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FISCAL YEAR 2023-2024 LEGISLATIVE BUDGET REQUEST

DEPARTMENT OF EDUCATION

October 14, 2022

Chris Spencer, Director  
Office of Policy and Budget  
Executive Office of the Governor  
1702 Capitol  
Tallahassee, Florida 32399-0001

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

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

Dear Directors:

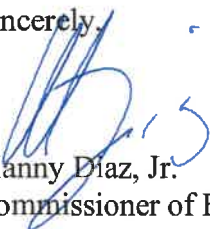
Pursuant to Chapter 216, Florida Statutes (F.S.), the Legislative Budget Request for the Department of Education is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2023-24 Fiscal Year. The submission has been approved by the State Board of Education on September 15, 2022.

This budget request aligns with the Five-Year Statewide Strategic Plan for Economic Development and continues Governor DeSantis' commitment to K-12 public education funding.

Director Chris Spencer  
Staff Director Eric Pridgeon  
Interim Staff Director John Shettle  
October 14, 2022  
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Also included are reports statutorily required to be submitted with the department's annual Legislative Budget Request. The reports are: (1) Florida's State Board of Education Strategic Plan 2020-2025 Framework as required by section (s.) 1001.02(3)(a), F.S., both the original plan and the updates; (2) the coordinated five-year plan for postsecondary enrollment as required in s. 1001.02(2)(v), F.S.; and (3) a proposed plan for implementing temporary special duties - general pay additives for next fiscal year.

Sincerely,



Manny Diaz, Jr.  
Commissioner of Education

MD/sp

Enclosures



**FLORIDA DEPARTMENT OF EDUCATION**  
**Temporary Special Duty – General Pay Additives Implementation Plan**  
**For Fiscal Year 2023-2024**

In accordance with rule authority established in 60L-32.0012, Florida Administrative Code, the Florida Department of Education has used existing rate and salary appropriations to grant pay additives when warranted based on the duties and responsibilities of the position. The requested additives are justified for reasons such as establishing lead worker duties, temporary duties due to vacancies and absent coworkers, and when temporarily assigning duties that are not customarily assigned to the position.

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

**Leadworker Duties**

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

**Temporary Special Duties (General)**

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

**Temporary Special Duties (Absent Coworker)**

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

**Competitive Area Differential**

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

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

During fiscal year 2021-2022, the agency implemented a total of 1 temporary special duty additive (general), which would fall within the scenario described above. The agency expended approximately \$2,703.96 on this one additive. The agency anticipates expenditures to be comparable to those in prior years.

The agency requested pay additives are in line with Article 21-Compensation for Temporary Special Duty in Higher Position as defined in the most recent AFSCME Master Contract (2020-2023).



FLORIDA DEPARTMENT OF  
**EDUCATION**  
fdoe.org

2023-24

Department Level

Exhibits and Schedules

## Schedule VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Florida Fiscal Portal.*

|   |  |   |              |
|---|--|---|--------------|
| <b>Agency:</b>  | Department of Education  |   |              |
| <b>Contact Person:</b>  | Jim Richmond   | <b>Phone Number:</b>  | 850-245-0442 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | Christopher Alianiello, et al., v. State of Florida, Department of Education, et al.   |   |              |
| <b>Court with Jurisdiction:</b>   | Florida Second Judicial Circuit, Leon County   |   |              |
| <b>Case Number:</b>   | 2019-CA-001674   |   |              |
| <b>Summary of the Complaint:</b>  | The operative complaint alleges that teachers who received awards under the former Best & Brightest program were effectively "shortchanged" because the Department's guidance to school districts suggested districts may be able to withhold certain payroll deductions from the award.   |   |              |
| <b>Amount of the Claim:</b>   | In excess of \$15,000; equitable relief  |   |              |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | § 1012.731, Fla. Stat.   |   |              |
| <b>Status of the Case:</b>  | Motion to Dismiss granted, pending order; the Department's Motion to Dismiss was granted in whole, based on federal preemption, failure to state a claim and sovereign immunity, and the operative complaint was dismissed with prejudice. Trial court order anticipated in the near future, uncertain about prospective appeal by Plaintiffs. |   |              |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | Jim Richmond;<br>Jason Borntreger  | Agency Counsel  |              |
|   | Karen Brodeen  | Office of the Attorney General or Division of Risk Management |              |
|   | Rocco Testani  | Outside Contract Counsel                                      |              |
| <b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b> | Purported class action, not certified; Plaintiffs are represented by Morgan & Morgan, c/o Ryan Morgan, Gregory Schmitz, & Ryan Naso.   |   |              |

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| <b>Agency:</b>  | Department of Education   |   |              |
| <b>Contact Person:</b>  | Jim Richmond  | <b>Phone Number:</b>  | 850-245-0442 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | D.N. by her next friends Jessica N., mother, and Gary N., father vs. Governor Ronald DeSantis, Florida High School Athletic Association, Broward County School Board, Florida State Board of Education, Florida Department of Education Commissioner Manny Diaz, Jr., and Attorney General Ashley Moody   |   |              |
| <b>Court with Jurisdiction:</b>   | United States District Court in the Southern District of Florida, Fort Lauderdale Division  |   |              |
| <b>Case Number:</b>   | 0:21-cv-61344-RKA   |   |              |
| <b>Summary of the Complaint:</b>  | The complaint alleges that Chapter 2021-35, Laws of Florida (SB 1028), which specifies that an athletic sport that is designated for females may not be open to students of the male sex, violates Title IX of the Education Amendments of 1972, the Due Process Clause, the Equal Protection Clause, and the right to privacy. Plaintiffs seek a declaratory judgment, injunction and nominal damages. |   |              |
| <b>Amount of the Claim:</b>   | Nominal damages, attorneys' fees and costs, injunctive relief   |   |              |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | § 1006.205, Fla. Stat.  |   |              |
| <b>Status of the Case:</b>  | Stayed pending the 11th Circuit's decision in <u>Adams v Sch. Bd. of St. Johns Co.</u> ; Governor DeSantis, Florida High School Athletic Association, and Broward County School Board dismissed via stipulation 2/7/22.   |   |              |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | Jim Richmond;<br>Jamie Braun  | Agency Counsel  |              |
|   |   | Office of the Attorney General or Division of Risk Management |              |
|   | Andy Bardos,<br>Ashley Lukis  | Outside Contract Counsel                                      |              |
| <b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b> |   |   |              |

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|--|---|---|--------------|
| Agency:  | Department of Education   |   |              |
| Contact Person:  | Jim Richmond  | Phone Number:   | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Robin McCarthy and John McCarthy, individually and on behalf of L.M., a minor; Allison Scott, individually and on behalf of W.S., a minor; Lesley Abravanel and Magnus Andersson, individually and on behalf of S.A. and A.A., minors; Kristen Thompson, individually and on behalf of P.T., a minor; Amy Nell, individually and on behalf of O.S., a minor; Eren Dooley, individually and on behalf of G.D., D.D., and F .D., minors; Damaris Allen, individually and on behalf of E.A., a minor; Patience Burke, individually and on behalf of C.B., a minor; and Peyton Donald and Tracy Donald, individually and on behalf of A.D., M.D., J.D., and L.D., minors v. Governor Ron DeSantis, in his official capacity as Governor of the State of Florida; Richard Corcoran, in his official capacity as Florida Commissioner of Education; Florida Department of Education, and Florida Board of Education |   |              |
| Court with Jurisdiction:   | Florida Second Judicial Circuit, Leon County  |   |              |
| Case Number:   | 2021-CA-001382  |   |              |
| Summary of the Complaint:  | The complaint alleges that Executive Order No. 21-175, which directed certain agencies to adopt rules allowing parents to determine whether or not their children will wear masks in public schools, is unconstitutional because it denies Plaintiffs access to safe schools, violates districts' home rule powers, makes arbitrary and capricious demands on schools, and exceeds the Department's authority. It further alleges that the Florida Department of Health Rule 64DER21-12 is unconstitutional.  |   |              |
| Amount of the Claim:   | Declaratory and injunctive relief   |   |              |
| Specific Statutes or Laws (including GAA) Challenged:                                | Executive Order No. 21-175; Florida Department of Health Rule 64DER21-12  |   |              |
| Status of the Case:  | Defendants' Motion to Dismiss granted by the First District Court of Appeal, decision rendered 10/27/21. Circuit Court dismissed case and closed its file on January 14, 2022.  |   |              |
| Who is representing (of record) the state in this lawsuit? Check all that apply.     | Jim Richmond;<br>Jamie Braun  | Agency Counsel  |              |
|  |   | Office of the Attorney General or Division of Risk Management |              |

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|--|---|--------------------------|
|  | Michael Abel;<br>Daniel Bean;<br>Jacqueline A. Van<br>Laningham | Outside Contract Counsel |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). |   |                          |

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|--|---|---------------|--------------|
| Agency:  | Department of Education   |               |              |
| Contact Person:  | Jim Richmond  | Phone Number: | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Judith Anne Hayes, individually and on behalf of W.H., a minor; Robyn McCarthy and John McCarthy, individually and on behalf of L.M., a minor; Amanda Banek, individually and on behalf of D.B. and B.B., minor children; Kas Arone-Miller, individually and on behalf of R.M. and L.M., minor children; Alish Todd, individually and on behalf of J.T., a minor; Jamie Kinder, individually and on behalf of R.K., a minor; Chris Rodriguez, individually and on behalf of J.D.-F., a minor; Jack Koch, individually and on behalf of R.K., B.K., and A.K., minor children; Kristen Thompson, individually and on behalf of P.T., a minor; Eren Dooley, individually and on behalf of G.D., a minor; Tom Collins, individually and on behalf of Q.C., a minor v. Governor Ronald Dion Desantis, in his official capacity as Governor of the State of Florida; Richard Corcoran, in his official capacity as Commissioner of the Florida Department of Education; Orange County School Board; Hillsborough County School Board; Palm Beach School Board; Broward County School Board; Pasco County School Board; Alachua County School Board; and Volusia County School Board |               |              |
| Court with Jurisdiction:   | United States District Court for the Southern District of Florida   |               |              |
| Case Number:   | 1:21-cv-22863-KMM   |               |              |
| Summary of the Complaint:  | The complaint alleges that Executive Order No. 21-175, which directed certain agencies to adopt rules allowing parents to determine whether or not their children will wear masks in public schools, prevents students with disabilities from safely returning to school and deprives them of a free appropriate public education in the least restrictive environment. Plaintiffs contend that the order and enforcement of the same violates Title II of the American with Disabilities Act, Section 504 of the Rehabilitation Act of 1973, and the Florida Educational Equity Act.   |               |              |
| Amount of the Claim:   | Injunctive relief; nonspecified damages; attorneys' fees and costs;   |               |              |
| Specific Statutes or Laws (including GAA) Challenged:                                | Executive Order No. 21-175  |               |              |
| Status of the Case:  | Following the filing of the Complaint, Plaintiffs filed a Motion for Preliminary Injunction, and State Defendants filed a Motion to Dismiss and a Response in Opposition to the request for an injunction. After State Defendants' successful litigation defending against the injunction resulting in the courts denial dated September 15, 2021, the Parties agreed   |               |              |

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|  | to a voluntary dismissal with prejudice, which the court accepted on May 16, 2022. |   |
| Who is representing (of record) the state in this lawsuit? Check all that apply.   | Anastasios Kamoutsas;<br>Jamie Braun;<br>Amanda Gay;                               | Agency Counsel  |
|  |  | Office of the Attorney General or Division of Risk Management |
|  | Rocco Testani;<br>Stacey Mohr;<br>Lee Peifer                                       | Outside Contract Counsel                                      |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | n/a  |   |



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|--|---|---|--------------|
| Agency:  | Department of Education   |   |              |
| Contact Person:  | Jim Richmond  | Phone Number:   | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | United Faculty of Florida; March for Our Lives Action Fund; William M. Link; Barry C. Edwards; Jack Fiorito; Robin Goodman; David Price; Julie Adams; Blake Simpson; Deaundr'e Newsome; and Katrina Riesgo v. Richard Corcoran, in his official capacity as the Florida Commissioner of Education; the members of the Florida Board of Governors, in their official capacities; the members of the Florida Board of Education, in their official capacities   |   |              |
| Court with Jurisdiction:   | United States District Court for the Northern District of Florida, Tallahassee Division   |   |              |
| Case Number:   | 4:21-cv-00271-MW-MAF  |   |              |
| Summary of the Complaint:  | The complaint alleges that Chapter 2021-159, Laws of Florida (HB 233) violates Plaintiffs' First and Fourteenth Amendment rights by permitting Defendants to require Plaintiffs to disclose political associations and ideologies; suppressing Plaintiffs' free speech; and compelling faculty members to teach and adopt topics and viewpoints. Plaintiffs seek injunctive and declaratory relief and request the court to (1) find that Chapter 2021-159, Laws of Florida violates the First and Fourteenth Amendments to the U.S. Constitution; (2) enjoin enforcement of Chapter 2021-159, Laws of Florida; and (3) award Plaintiffs their costs and attorneys' fees. |   |              |
| Amount of the Claim:   | Injunctive relief; costs and attorneys' fees.   |   |              |
| Specific Statutes or Laws (including GAA) Challenged:                                | §§ 1001.03, 1001.706, 1004.097, 1004.26, 1006.60, F.S.  |   |              |
| Status of the Case:  | Following the filing of the Complaint, Defendants filed a Motion to Dismiss; the presiding court denied Defendants' Motion, and Defendants filed their Answer and Affirmative Defenses 5/2/22. The case is currently still in the discovery phase of litigation, with a bench trial set 1/9/23.   |   |              |
| Who is representing (of record) the state in this lawsuit? Check all that apply.     | Anastasios Kamoutsas;<br>Amanda Gay;<br>Jamie Braun;  | Agency Counsel  |              |
|  |   | Office of the Attorney General or Division of Risk Management |              |

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|  | George Levesque;<br>Tim Moore, Jr.;<br>Ashley Lukis;<br>Patrick Hagen; | Outside Contract Counsel |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | n/a.   |                          |

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|---|--|----------------------|--------------|
| <b>Agency:</b>  | Department of Education  |                      |              |
| <b>Contact Person:</b>  | Jim Richmond   | <b>Phone Number:</b> | 850-245-0442 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b> | Equality Florida; Family Equality; M.A. by and through his parent Amber Armstrong; Zander Moricz; Lindsay McClelland in her personal capacity and as next friend and parent of Jane Doe; Rabbi Amy Morrison and Dr. CeCile Houry; Dan and Brent Vandice; Lourdes Casares and Kimberly Feinberg; Lindsey Bingham Shook; and Anita Hatcher Powderly v. Ronald D. DeSantis, Florida State Board of Education; Thomas R. Grady, Ben Gibson, Monesia Brown, Esther Byrd, Grazie P. Christie, Ryan Petty, and Joe York in their official capacities as members of the Board of Education; Manny Diaz, Jr.; Florida Department of Education; School Board of Manatee County; School Board of Sarasota County; School Board of Miami-Dade County; St. Johns County School Board; Jackson County School Board, Broward County School Board, Pasco County School Board, Orange County School Board |                      |              |
| <b>Court with Jurisdiction:</b>   | United States District Court for the Northern District of Florida  |                      |              |
| <b>Case Number:</b>   | 4:22-cv-00134  |                      |              |
| <b>Summary of the Complaint:</b>  | The operative complaint alleges that the classroom speech regulation provisions of Chapter 2022-22, Laws of Florida (HB1557) violate a number of rights for students, parents and teachers, including: the Due Process and Equal Protection Clauses of the Fourteenth Amendment; the rights to freedom of expression, freedom to receive information and protection against overbreadth under the First Amendment; and Title IX due to discrimination based on sex.  |                      |              |
| <b>Amount of the Claim:</b>   | Injunctive relief; nominal, compensatory, statutory and punitive damages to be determined at trial; reasonable attorneys' fees and costs;  |                      |              |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>                                | § 1001.42, Fla. Stat.  |                      |              |
| <b>Status of the Case:</b>  | Shortly after commencement of the action, State Defendants filed a Motion to Dismiss, which is currently pending. Plaintiffs' response is due 7/27/22, while Defendants' reply is due 8/10/22.   |                      |              |
|   | Jim Richmond   | Agency Counsel       |              |

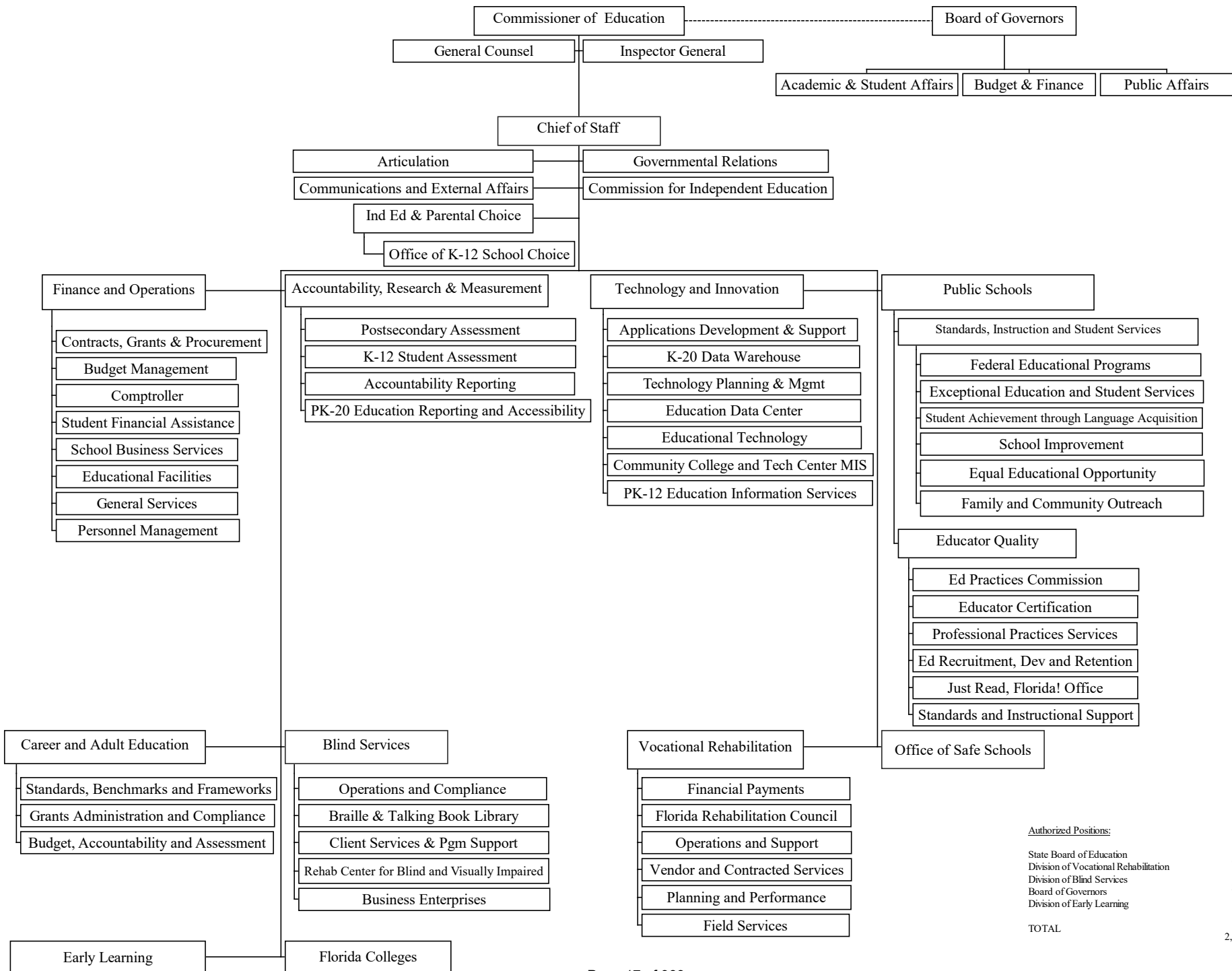
|  |   |   |
|--|---|---|
| Who is representing (of record) the state in this lawsuit? Check all that apply.   | Daniel William Bell;<br>Henry Charles Whitaker;<br>Bilal Ahmed Faruqui;<br>Anita Patel; | Office of the Attorney General or Division of Risk Management |
|  |   | Outside Contract Counsel                                      |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). |   |   |

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| Agency:  | Department of Education  |                |              |
| Contact Person:  | Jim Richmond   | Phone Number:  | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Donald Falls, Jill Harper, Dr. Robert Cassanello, Stephanie Nicole Jamieson as next friend of RMJ v. Manny Diaz, Jr., in his official capacity as Commissioner of Education; Tom Grady, Ben Gibson, Monesia Brown, Marva Johnson, Ryan Petty, Joe York in their official capacities as members of the Florida State Board of Education; Brian Lamb, Timothy M. Cerio, Aubrey Edge, Patricia Frost, Edward Haddock, H. Wayne Huizenga Jr., Natassia Janvier, Ken Jones, Darlene Luccio Jordan, Alan Levine, Charles H. Lydecker, Steven M. Scott, William Self, Eric Silagy, Kent Stermon, in their official capacities as members of the Florida Board of Governors of the State University System; and Ashley Moody, in her official capacity as Florida's Attorney General |                |              |
| Court with Jurisdiction:   | United States District Court for the Northern District of Florida  |                |              |
| Case Number:   | 4:22-cv-00166  |                |              |
| Summary of the Complaint:  | The operative complaint alleges that Chapter 2022-72, Laws of Florida (HB 7), an act related to protecting civil rights in employment and K-20 education, violates the United States Constitution in the following ways: teachers' First Amendment freedom of expression; students' First Amendment freedom to access information; employers' First Amendment freedom of expression; and the Fourteenth Amendment for vagueness.   |                |              |
| Amount of the Claim:   | Declaratory and injunctive relief; reasonable attorneys' fees and costs;   |                |              |
| Specific Statutes or Laws (including GAA) Challenged:                                | §§ 760.10, 1000.05, 1003.42, Fla. Stat.; Rule 6A-1.094124, FAC.  |                |              |
| Status of the Case:  | Motion for Temporary Injunction denied as to Department of Education and associated defendants but ruling reserved as to Board of Governors by order dated June 27, 2022. Motion to Dismiss partially granted dismissing claims against the Governor and Attorney General and claims by Plaintiff Hodo; allowing particular Plaintiffs to proceed against particular Defendants as set forth in Order dated July 8, 2022. Discovery is proceeding and motions for summary judgement are anticipated and required to be filed by January 10, 2023.  |                |              |
|  | Jim Richmond   | Agency Counsel |              |

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| Who is representing (of record) the state in this lawsuit? Check all that apply.   | Alannah Lee Shubrick;<br>Timothy Leeds Newhall;  | Office of the Attorney General or Division of Risk Management -- Representing the Attorney General |
|  | Megan Marie Wold;<br>Charles Justin Cooper;<br>Davis Cooper;<br>John D. Ohlendorf;<br>John D. Ramer; | Outside Contract Counsel for remaining State Defendants  |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | n/a  |  |



Authorized Positions:

|                                       |        |
|---------------------------------------|--------|
| State Board of Education              | 940.00 |
| Division of Vocational Rehabilitation | 884.00 |
| Division of Blind Services            | 289.75 |
| Board of Governors                    | 69.00  |
| Division of Early Learning            | 98.00  |

TOTAL 2,280.75

| EDUCATION, DEPARTMENT OF   |  | FISCAL YEAR 2021-22 |               |                                 |                      |
|--|--|---------------------|---------------|---------------------------------|----------------------|
| SECTION I: BUDGET  |  | OPERATING           |               | FIXED CAPITAL<br>OUTLAY         |                      |
| TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT   |  | 23,224,020,482      |               | 1,517,189,224                   |                      |
| ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)   |  | 9,081,899,384       |               | 508,788,140                     |                      |
| FINAL BUDGET FOR AGENCY  |  | 32,305,919,866      |               | 2,025,977,364                   |                      |
| SECTION II: ACTIVITIES * MEASURES  |  | Number of<br>Units  | (1) Unit Cost | (2) Expenditures<br>(Allocated) | (3) FCO              |
| Executive Direction, Administrative Support and Information Technology (2)   |  |                     |               |                                 | 2,025,977,364        |
| Educational Facilities * <b>Students served</b>  |  | 2,833,179           | 0.76          | 2,149,506                       |                      |
| Funding And Financial Reporting * <b>Students served</b>   |  | 2,833,179           | 0.56          | 1,599,996                       |                      |
| School Transportation Management * <b>Students transported.</b>  |  | 913,004             | 0.52          | 476,451                         |                      |
| Recruitment And Retention * <b>Postsecondary students who complete state-approved teacher preparation programs.</b>  |  | 5,574               | 1,092.54      | 6,089,815                       |                      |
| Curriculum And Instruction * <b>Students served</b>  |  | 2,833,179           | 18.01         | 51,016,270                      |                      |
| Community College Program Fund * <b>Students served</b>  |  | 630,101             | 2,052.68      | 1,293,398,723                   |                      |
| School Choice And Charter Schools * <b>Students served.</b>  |  | 2,833,179           | 2.02          | 5,721,303                       |                      |
| Education Practices Commission * <b>Final orders issued.</b>   |  | 626                 | 1,159.11      | 725,601                         |                      |
| Professional Practices Services * <b>Investigations Completed</b>  |  | 3,827               | 710.75        | 2,720,044                       |                      |
| Teacher Certification * <b>Subject area evaluations processed.</b>   |  | 158,607             | 37.99         | 6,024,914                       |                      |
| Assessment And Evaluation * <b>Total tests administered.</b>   |  | 7,329,408           | 16.05         | 117,613,181                     |                      |
| Exceptional Student Education * <b>Number of ESE students.</b>   |  | 578,317             | 7.19          | 4,156,039                       |                      |
| Postsecondary Education Coordination * <b>Number of institutions.</b>  |  | 213                 | 3,592.23      | 765,146                         |                      |
| Commission For Independent Education * <b>Number of institutions.</b>  |  | 1,038               | 4,092.67      | 4,248,196                       |                      |
| Florida Education Finance Program * <b>Number of students served.</b>  |  | 2,833,179           | 4,533.30      | 12,843,639,977                  |                      |
| State Grants To School Districts/ Non-florida Education Finance Program * <b>Number of students served.</b>  |  | 2,833,179           | 67.58         | 191,477,311                     |                      |
| Determine Eligibility, Provide Counseling, Facilitate Provision Of Rehabilitative Treatment, And Job Training To Blind Customers * <b>Customers served</b> |  | 10,973              | 4,635.04      | 50,860,298                      |                      |
| Provide Food Service Vending Training, Work Experience And Licensing * <b>Facilities supported</b>   |  | 139                 | 43,009.17     | 5,978,275                       |                      |
| Provide Braille And Recorded Publications Services * <b>Customers served</b>   |  | 26,749              | 3.35          | 89,735                          |                      |
| Federal Funds For School Districts * <b>Number of students served.</b>   |  | 2,833,179           | 1,686.16      | 4,777,193,730                   |                      |
| Capitol Technical Center * <b>Number of students served.</b>   |  | 2,833,179           | 0.08          | 224,624                         |                      |
| Public Broadcasting * <b>Stations supported.</b>   |  | 25                  | 388,561.68    | 9,714,042                       |                      |
| Provide School Readiness Services * <b>Number of children (FTE) served in School Readiness Program</b>   |  | 204,324             | 7,647.66      | 1,562,600,827                   |                      |
| Provide Voluntary Prekindergarten Services And System Support * <b>Number of children (FTE) served in VPK program (program year)</b>                       |  | 157,451             | 2,638.86      | 415,491,510                     |                      |
| Projects, Contracts And Grants * <b>Students Served</b>  |  | 2,833,179           | 0.07          | 184,700                         |                      |
| Florida Alliance For Assistive Service And Technology * <b>Number of clients served</b>  |  | 88,871              | 14.18         | 1,260,382                       |                      |
| Independent Living Services * <b>Number of clients served</b>  |  | 14,215              | 451.06        | 6,411,777                       |                      |
| Vocational Rehabilitation - General Program * <b>Number of individualized written plans for services</b>   |  | 11,646              | 20,349.05     | 236,985,056                     |                      |
| Medical Training And Simulation Laboratory * <b>Students served</b>  |  | 17,519              | 199.78        | 3,500,000                       |                      |
| Bethune Cookman * <b>Students served.</b>  |  | 2,624               | 6,463.46      | 16,960,111                      |                      |
| Edward Waters College * <b>Students served.</b>  |  | 1,243               | 5,977.09      | 7,429,526                       |                      |
| Florida Memorial College * <b>Students served.</b>   |  | 1,127               | 6,239.62      | 7,032,048                       |                      |
| State Grants To Private Colleges And Universities * <b>Students served</b>   |  | 12,489              | 700.62        | 8,750,000                       |                      |
| Effective Access To Student Education (ease) (formerly Frag) * <b>Students served</b>  |  | 43,145              | 2,478.96      | 106,954,852                     |                      |
| Leadership And Management- State Financial Aid * <b>Students Served</b>  |  | 286,519             | 19.73         | 5,653,492                       |                      |
| Leadership And Management- Federal Financial Aid * N/A   |  | 2,833,179           | 2.90          | 8,220,299                       |                      |
| Children Of Deceased/Disabled Veterans * <b>Number of students receiving support.</b>  |  | 2,756               | 4,248.81      | 11,709,707                      |                      |
| Florida Bright Futures Scholarship * <b>Students served.</b>   |  | 119,837             | 5,200.91      | 623,261,361                     |                      |
| Florida Education Fund * <b>Students served.</b>   |  | 215                 | 16,279.07     | 3,500,000                       |                      |
| Florida Work Experience Scholarship * <b>Students served.</b>  |  | 758                 | 2,005.27      | 1,519,993                       |                      |
| Florida Farmworker Scholarships * <b>Students served.</b>  |  | 39                  | 4,648.97      | 181,310                         |                      |
| Jose Marti Scholarship Challenge Grant * <b>Students served.</b>   |  | 54                  | 1,964.80      | 106,099                         |                      |
| Randolph Bracy Ocoee Scholarship * <b>Students served.</b>   |  | 14                  | 5,153.93      | 72,155                          |                      |
| Mary Mcleod Bethune Scholarship * <b>Students served.</b>  |  | 138                 | 2,326.09      | 321,000                         |                      |
| Minority Teacher Scholarships * <b>Students served.</b>  |  | 237                 | 3,872.57      | 917,798                         |                      |
| Florida National Merit Scholars Incentive Program * <b>Students served.</b>  |  | 1,977               | 18,383.30     | 36,343,778                      |                      |
| Postsecondary Student Assistance Grant * <b>Students served.</b>   |  | 4,458               | 1,308.75      | 5,834,390                       |                      |
| Prepaid Tuition Scholarships * <b>Students served.</b>   |  | 2,011               | 3,480.86      | 7,000,000                       |                      |
| Florida Able, Incorporated (Florida Achieving A Better Life Experience Program) * <b>Accounts opened</b>   |  | 2,211               | 800.54        | 1,770,000                       |                      |
| Private Student Assistance Grant * <b>Students served</b>  |  | 15,024              | 1,663.73      | 24,995,929                      |                      |
| Public Student Assistance Grant * <b>Students served.</b>  |  | 138,979             | 1,695.68      | 235,664,179                     |                      |
| Rosewood Family Scholarship * <b>Students served</b>   |  | 17                  | 4,636.29      | 78,817                          |                      |
| Dual Enrollment Scholarship Program * <b>Course sessions provided.</b>   |  | 24,603              | 713.33        | 17,550,000                      |                      |
| John R Justice Loan Repayment Program * <b>Number of awards.</b>   |  | 48                  | 1,620.65      | 77,791                          |                      |
| Honorably Discharged Graduate Assistance Program * <b>Students served.</b>   |  | 1,390               | 718.57        | 998,816                         |                      |
| First Generation In College - Matching Grant Program * <b>Students served.</b>   |  | 10,658              | 996.18        | 10,617,326                      |                      |
| Career Education * <b>Students served.</b>   |  | 4,065               | 795.63        | 3,234,244                       |                      |
| Nursing Student Loan Forgiveness Program * <b>Students served.</b>   |  | 322                 | 3,741.72      | 1,204,835                       |                      |
| Academic And Student Affairs * <b>Students served</b>  |  | 631,101             | 4.86          | 3,069,551                       |                      |
| Funding And Support Activities * <b>Students served.</b>   |  | 420,803             | 17.70         | 7,447,362                       |                      |
| State Grants To Districts And Community Colleges * <b>Students Served</b>  |  | 190,721             | 3,142.11      | 599,265,808                     |                      |
| Equal Opportunity And Diversity * <b>Students Served</b>   |  | 2,833,179           | 0.15          | 437,321                         |                      |
| Safe Schools Initiatives * <b>Students served</b>  |  | 2,833,179           | 1.74          | 4,924,532                       |                      |
| <b>TOTAL</b>   |  |                     |               | <b>23,365,421,859</b>           | <b>2,025,977,364</b> |
| SECTION III: RECONCILIATION TO BUDGET  |  |                     |               |                                 |                      |
| PASS THROUGHS  |  |                     |               |                                 |                      |
| TRANSFER - STATE AGENCIES  |  |                     |               |                                 |                      |
| AID TO LOCAL GOVERNMENTS   |  |                     |               |                                 |                      |
| PAYMENT OF PENSIONS, BENEFITS AND CLAIMS   |  |                     |               |                                 |                      |
| OTHER  |  |                     |               |                                 |                      |
| REVERSIONS   |  |                     |               | 8,800,726,735                   | 295,948,733          |
| <b>TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)</b>   |  |                     |               | <b>32,166,148,594</b>           | <b>2,321,926,097</b> |

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

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.

(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.

(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.

(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.



SECTION III - PASS THROUGH ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

AUDIT #1: THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND SHOULD NOT:

\*\*\* NO ACTIVITIES FOUND \*\*\*

AUDIT #2: THE FCO ACTIVITY (ACT0210) CONTAINS EXPENDITURES IN AN OPERATING CATEGORY AND SHOULD NOT: (NOTE: THIS ACTIVITY IS ROLLED INTO EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION TECHNOLOGY)

\*\*\* NO OPERATING CATEGORIES FOUND \*\*\*

AUDIT #3: THE ACTIVITIES LISTED IN AUDIT #3 DO NOT HAVE AN ASSOCIATED OUTPUT STANDARD. IN ADDITION, THE ACTIVITIES WERE NOT IDENTIFIED AS A TRANSFER-STATE AGENCIES, AS AID TO LOCAL GOVERNMENTS, OR A PAYMENT OF PENSIONS, BENEFITS AND CLAIMS (ACT0430). ACTIVITIES LISTED HERE SHOULD REPRESENT TRANSFERS/PASS THROUGH THAT ARE NOT REPRESENTED BY THOSE ABOVE OR ADMINISTRATIVE COSTS THAT ARE UNIQUE TO THE AGENCY AND ARE NOT APPROPRIATE TO BE ALLOCATED TO ALL OTHER ACTIVITIES.

\*\*\* NO ACTIVITIES FOUND \*\*\*

AUDIT #4: TOTALS FROM SECTION I AND SECTIONS II + III:

| DEPARTMENT: 48                               | EXPENDITURES   | FCO           |
|--|----------------|---------------|
| FINAL BUDGET FOR AGENCY (SECTION I):         | 32,305,919,866 | 2,025,977,364 |
| TOTAL BUDGET FOR AGENCY (SECTIONS II + III): | 32,166,148,594 | 2,321,926,097 |
|  | -----          | -----         |
| DIFFERENCE:                                  | 139,771,272    | 295,948,733-  |
| (MAY NOT EQUAL DUE TO ROUNDING)              | =====          | =====         |

EXPLANATION OF DIFFERENCES:

|                                      |             |
|--------------------------------------|-------------|
| FSDB EXPENDITURES FROM CARRY FORWARD | 2,569,425   |
| FSDB NEW CARRY FORWARD BUDGET        | (8,595,307) |
| FSDB ACCOUNTS PAYABLE                | 2,238,802   |

|  |             |               |
|--|-------------|---------------|
| SCHOOLS/HOPE EXPENDITURES FROM CARRY FORWARD | 72,382,381  |               |
| SBE APPROVED BUDGET UNRELEASED               | 71,175,459  |               |
| ROUNDING                                     | 512         |               |
| FCO REVERSION                                |             | (295,948,733) |
|  | -----       | -----         |
| TOTAL OF RECONCILING ITEMS                   | 139,771,272 | (295,948,733) |



# 2020-2025 Strategic Plan

November 15, 2019

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# Timeline

- August 21, 2019 – State Board reviewed updated results for the 2015-2020 Strategic Plan
- September 20, 2019 – State Board reviewed proposed revisions for what would become the 2020-2025 Strategic Plan
- [November 15, 2019 – State Board considers the 2020-2025 Strategic Plan for adoption](#)

# Goals of the Florida Education System

## *Section 1008.31, Florida Statutes*

- Highest student achievement, as indicated by evidence of student learning gains at all levels.
- Seamless articulation and maximum access, as measured by evidence of progression, readiness, and access by targeted groups of students identified by the Commissioner of Education.
- Skilled workforce and economic development, as measured by evidence of employment and earnings.
- Quality efficient services, as measured by evidence of return on investment.

# Current Metrics 2015-2020

## Goal 1 – Highest Student Achievement

- Student Achievement on Florida Assessments
- Continued Growth on Florida Assessments
- Closing the Achievement Gap
- High School Graduation Rate
- High School Graduation Rate Plus (Acceleration)
- Reducing the Percent of Low-Performing Schools
- Postsecondary Completion Rate

## Goal 2 – Seamless Articulation and Maximum Access

- Postsecondary Continuation Rate
- Associate Degree Articulation Rate
- Access to High-Quality K-12 Educational Outcomes

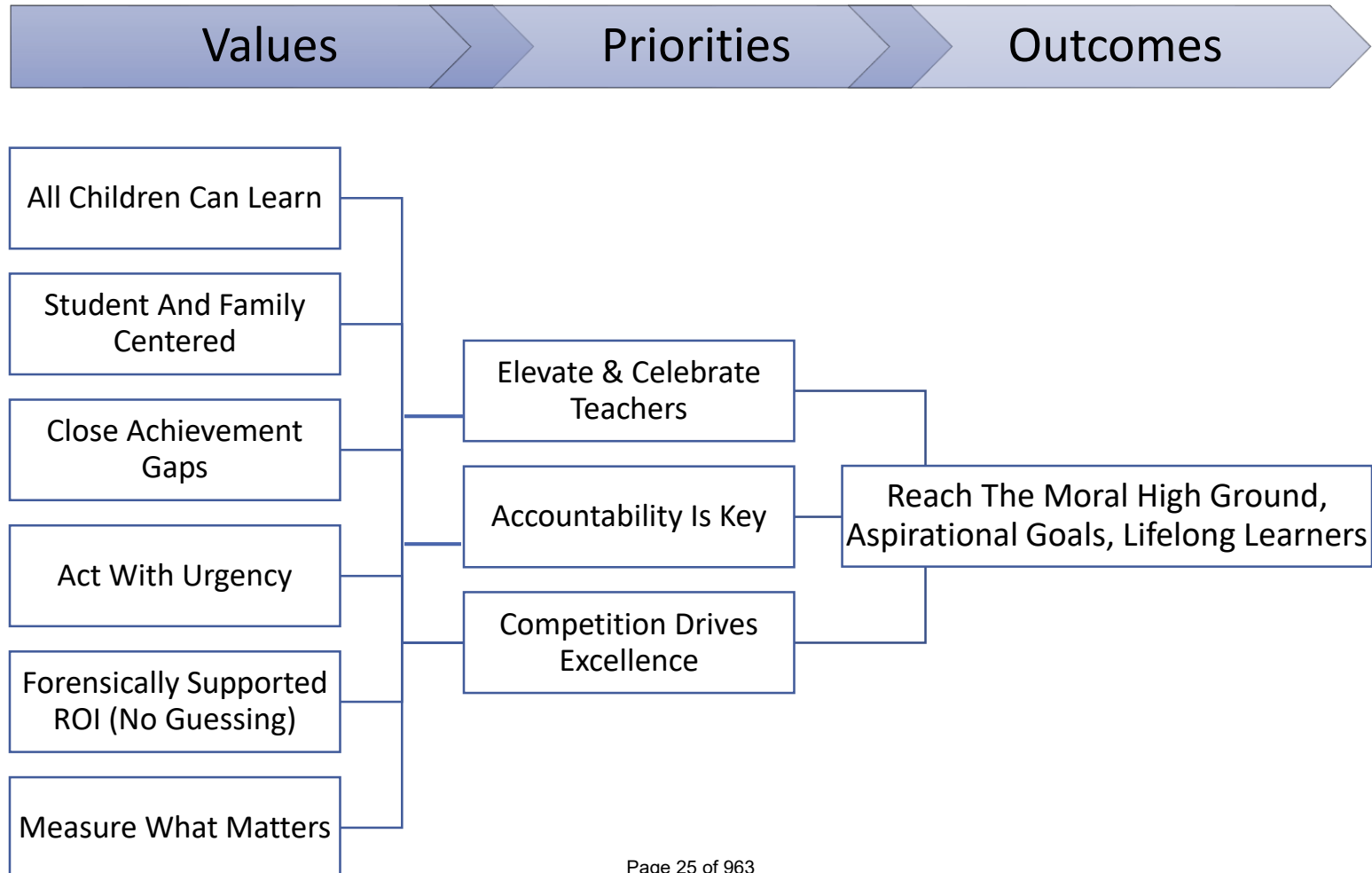
## Goal 3 – Skilled Workforce and Economic Development

- Postsecondary Employment Rate
- Initial Wages

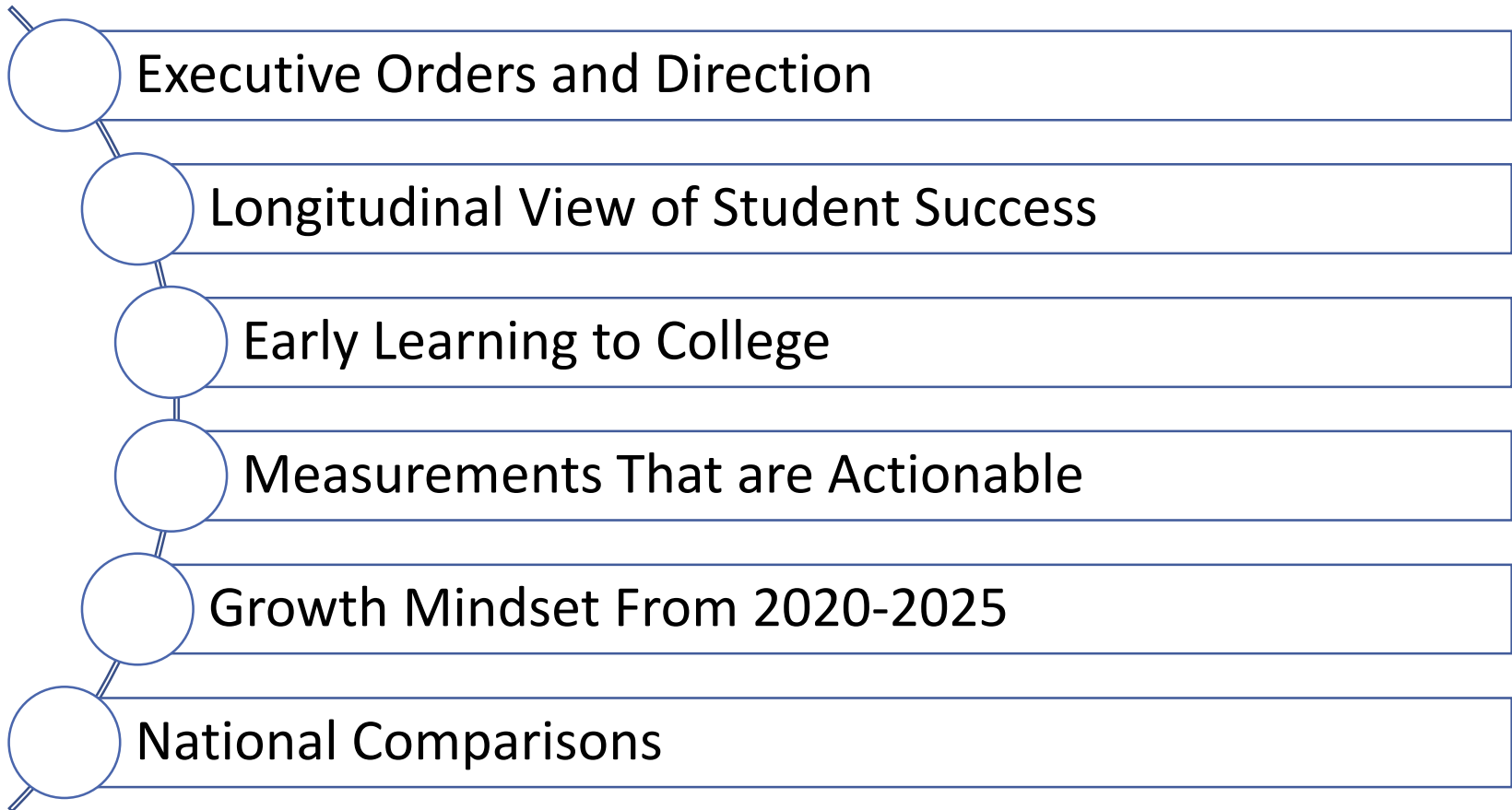
## Goal 4 – Quality Efficient Services

- Return on Investment
- Agency Efficiency

# Transition to 2020-2025: Values Alignment



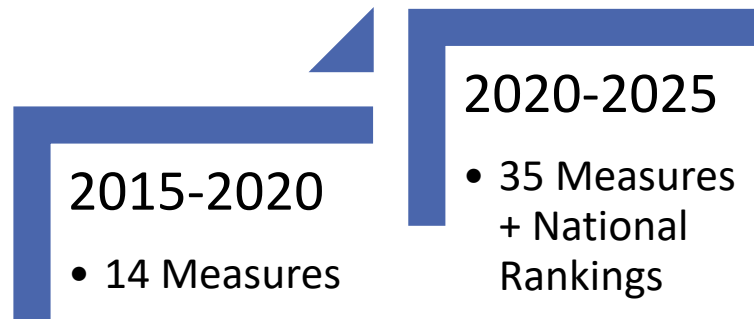
# Transition to 2020-2025: Operational Alignment





# Proposed Measures 2020-2025

- ❑ Goal 1 – Highest Student Achievement
  - ❑ 25 metrics (7 former + 18 new)
- ❑ Goal 2 – Seamless Articulation and Maximum Access
  - ❑ 6 metrics (3 former + 3 new)
- ❑ Goal 3 – Skilled Workforce and Economic Development
  - ❑ 4 metrics (2 former + 2 new)
- ❑ Goal 4 – Quality Efficient Services
  - ❑ National Rankings (retired former, replaced with 12 sources for rankings)



# Goal 1: Highest Student Achievement

1. Kindergarten Readiness
2. Reducing the Percent of Low-Performing VPK Providers
3. Student Achievement on Florida Assessments
4. Focused Measure on Student Achievement in Particular Grades and/or Subjects (Grade 3 ELA; Civics EOC)
5. Continued Achievement Growth on Florida Assessments
6. Closing the Achievement Gap
7. High School Graduation Rate
8. High School Graduation Rate Plus
9. Successful Transition of English Language Learners
10. Student Achievement on the NAEP

*Underlined metrics were in the 2015-2020 strategic plan.*

# Goal 1: Highest Student Achievement

11. Closing the Achievement Gap on NAEP
12. Student Achievement on NAEP, Students Attending Charter Schools Compared to Students Attending Traditional Schools
13. Reducing the Percent of Low-Performing Schools
14. Increasing the Percent of Schools that Earned a D or F for Multiple Years Improving to a C or Higher
15. Continual Improvement in School Performance
16. Improving the Performance of the Lowest-Performing Title I Schools
17. Reducing the Number of Schools Identified for Targeted Support and Improvement (TS&I) Due to Low-Performing Subgroups
18. Ensure Students Who Are Retained in Third Grade Due to Low Reading Scores Receive the Support Needed to Succeed in Subsequent Years

*Underlined metrics were in the 2015-2020 strategic plan.*

# Goal 1: Highest Student Achievement

19. Reading Scholarships 2018-19 Eligibility vs Participation by District
20. Postsecondary Completion Rate
21. Improving the Mental Health Personnel to Student Ratio
22. Improving the Engagement of Students
23. Improving the Retention of High-Quality Teachers
24. Teacher Compensation
25. Developing Successful School Leaders

*Underlined metrics were in the 2015-2020 strategic plan.*

## Goal 2: Seamless Articulation and Maximum Access

1. Access to High Quality VPK Providers
2. Access to High-Quality K-12 Educational Outcomes
3. Access to High Quality Charter Schools
4. Access to Choice
5. Florida Postsecondary Continuation Rate
6. Associate Degree Articulation Rate in Florida

*Underlined metrics were in the 2015-2020 strategic plan.*

# Goal 3: Skilled Workforce and Economic Development

1. Postsecondary Employment Rate
2. Initial Wages
3. Increasing Participation and Performance in Meaningful Accelerated Pathways
4. Access in Computer Science

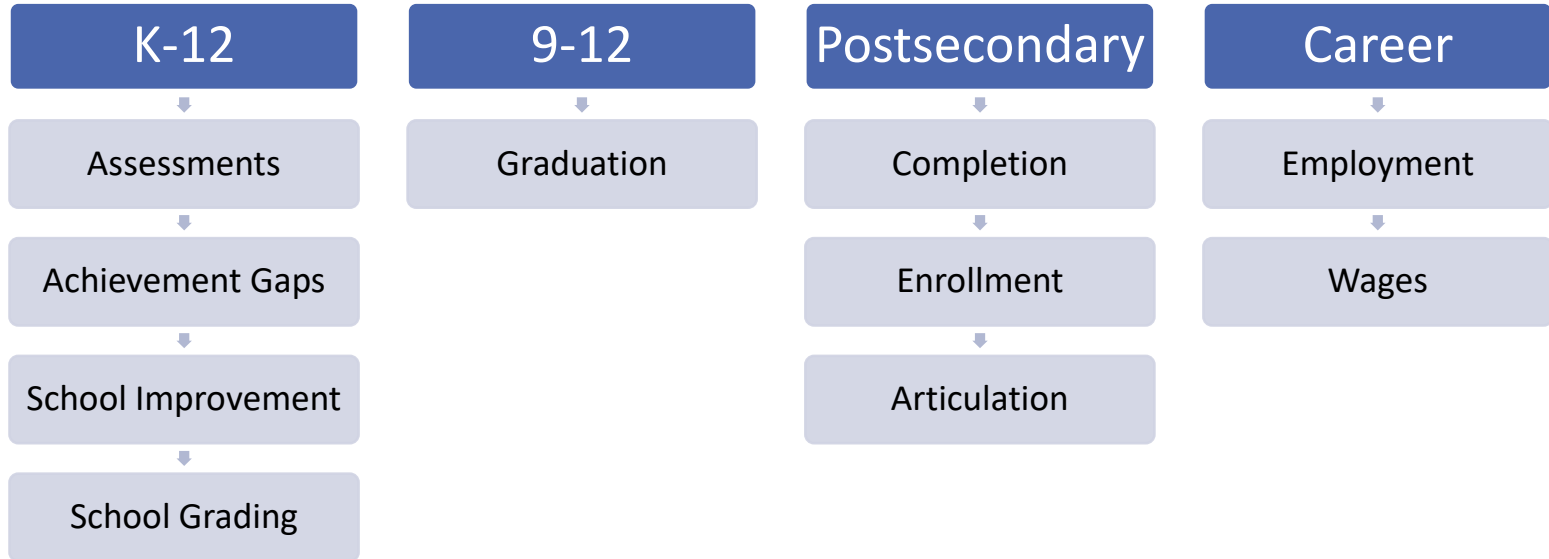
*Underlined metrics were in the 2015-2020 strategic plan.*

## Goal 4: Quality Efficient Services (ROI)

### Track Florida's National Rankings

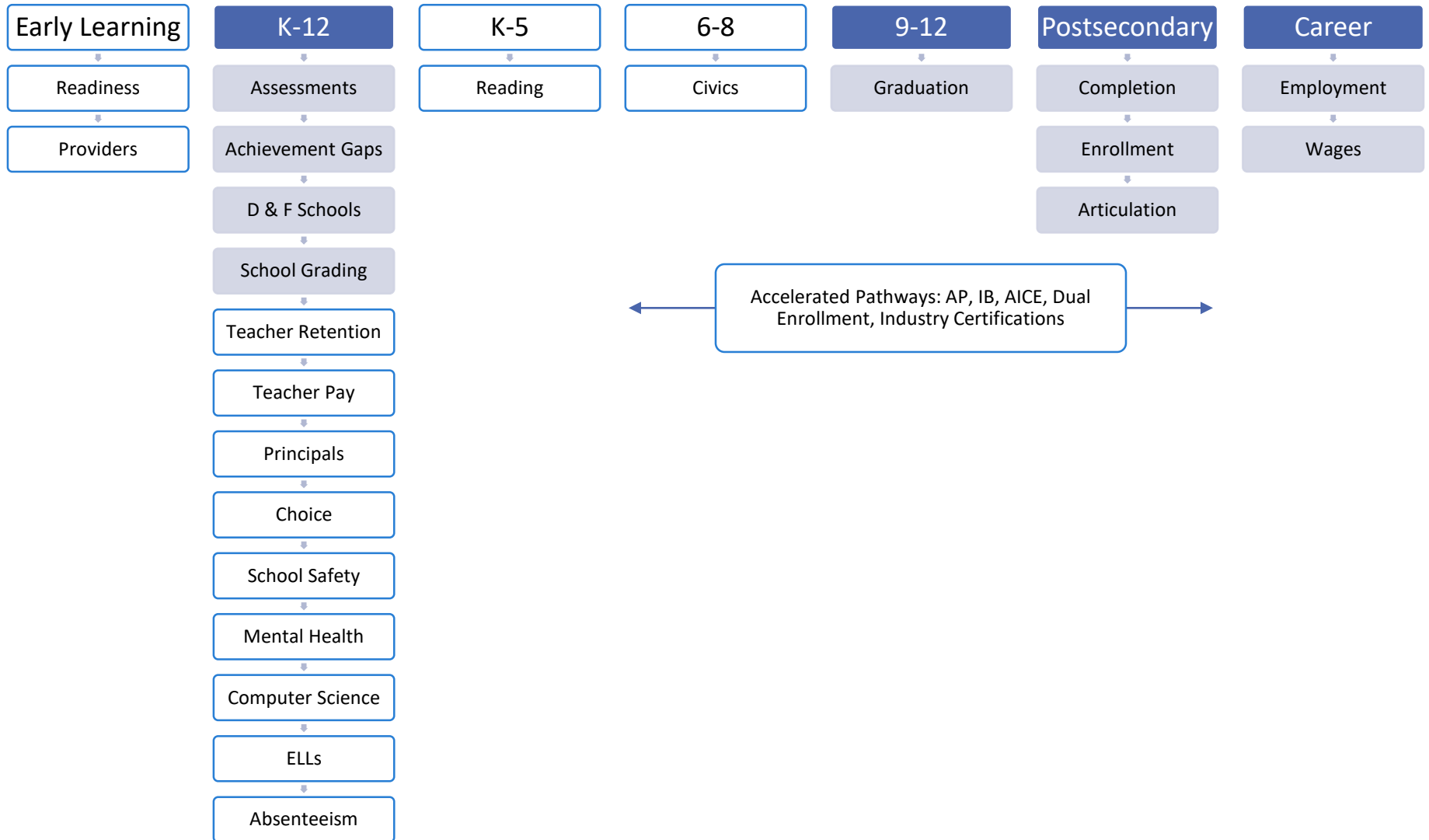
1. National Institute for Early Education Research
2. Education Week Quality Counts (K-12 Achievement)
3. NAEP – 4th and 8th Grade Reading and Math, ROI, Large Urban Districts
4. AP – Performance, Participation, and Improvement
5. Lumina Foundation – Workforce Education
6. U.S. DOL Data – Registered Apprentices and Graduates
7. Center for Education Reform Parent Power! Index
8. EdChoice – Educational Choice Share, Spending on School Choice
9. U.S. DOE Cost/Affordability Report – College Affordability
10. U.S. News and World Report – Higher Education
11. SREB – Three-year College Graduation Rate
12. Aspen Prize for College Excellence

## Comparing 2015-2020, Longitudinally, ...





# .... Proposed Metrics for 2020-2025



# General Framework for Setting Targets

- Red Target: Time Trend Goal – Growth/improvement follows historical trend
- Yellow Target: Ambitious, yet Achievable Goal – Growth/improvement beyond historical trend
- Green Target: Aspirational Goal – Growth/improvement significantly beyond historical trend

# Example: Percent of Students Achieving Grade-Level or Above Performance on Grade 3 ELA and Middle School Civics

| Percent of Students Achieving Grade-Level or Above Performance |         |         |         |         |         | New Plan –<br>Using 2018-19 as Baseline |             |             |
|--|---------|---------|---------|---------|---------|---|-------------|-------------|
| Subject  | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2024 Target                             | 2024 Target | 2024 Target |
| Grade 3 English Language Arts (ELA)                            | 53%     | 54%     | 58%     | 57%     | 58%     | 64%                                     | 73%         | 90%         |
| Civics   | 65%     | 67%     | 69%     | 71%     | 71%     | 79%                                     | 86%         | 90%         |

# Always Strive for Aspirational *Goals Beyond our Comfort Zone*

Don't be Afraid to be Aspirational

- True Victory for a Student Occurs When All Doors are Open, All Achievement Gaps are Zero and All Possibilities are Endless



[www.FLDOE.org](http://www.FLDOE.org)





# 2020-2025 Strategic Plan Updates

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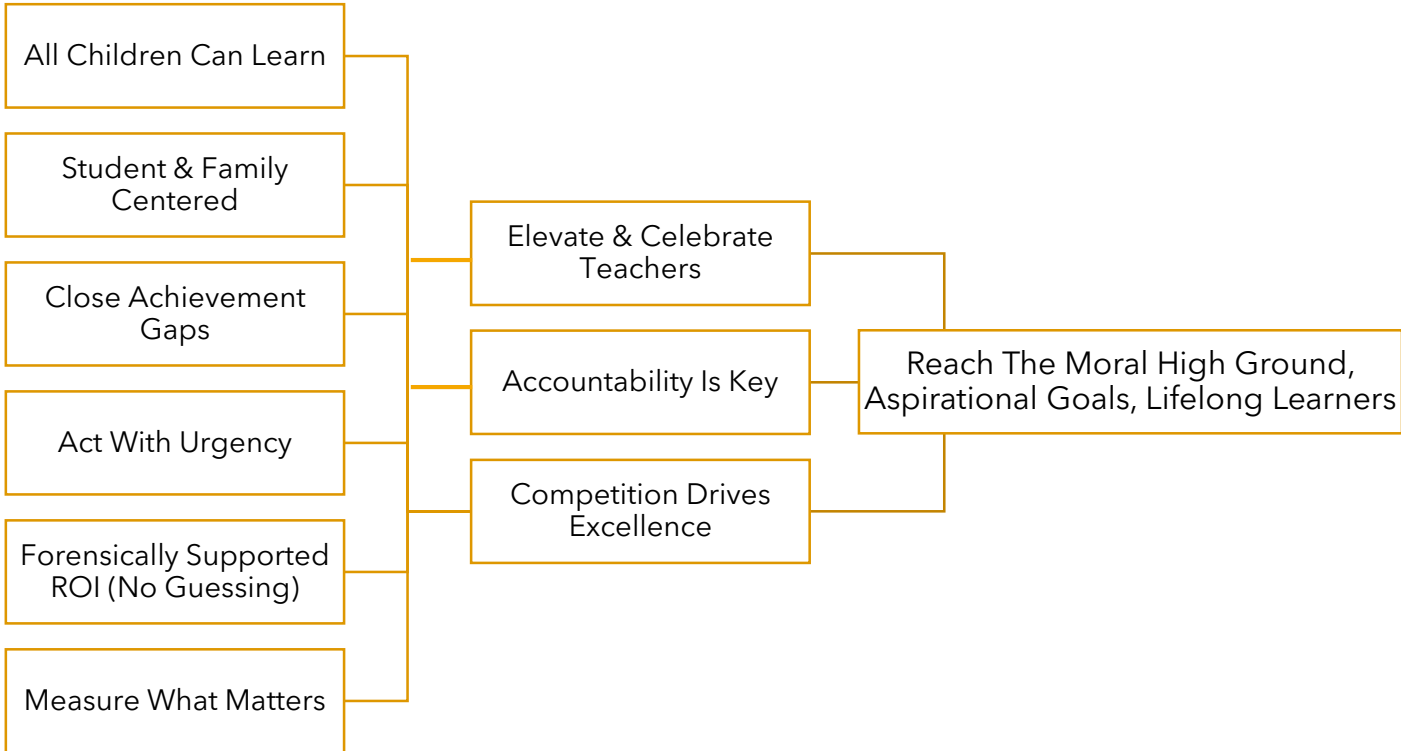
January 13, 2021



## **4 Goals of the Florida Education System Section 1008.31, Florida Statutes**

1. Highest student achievement, as indicated by evidence of student learning gains at all levels.
2. Seamless articulation and maximum access, as measured by evidence of progression, readiness, and access by targeted groups of students identified by the Commissioner of Education.
3. Skilled workforce and economic development, as measured by evidence of employment and earnings.
4. Quality efficient services, as measured by evidence of return on investment.

# 2020-2025: Values Alignment





# General Framework for Setting Targets

- ❑ Red Target: Time Trend Goal – Growth/improvement follows historical trend.
- ❑ Yellow Target: Ambitious, yet Achievable Goal – Growth/improvement beyond historical trend.
- ❑ Green Target: Aspirational Goal – Growth/improvement significantly beyond historical trend.

# 1.1 – Kindergarten Readiness: Percent of kindergarten students scoring “ready” on the Florida Kindergarten Readiness Screener (FLKRS)

| Percent Ready for Kindergarten by Category                         |                                 |                                 |                                  |  | Adopted Plan –<br>Using 2018-19 Target as Baseline |                |                |
|--|---------------------------------|---------------------------------|----------------------------------|--|--|----------------|----------------|
| VPK Program Year based<br>on Subsequent<br>Kindergarten Screening* | 2016-17<br>(Fall 2017<br>FLKRS) | 2017-18<br>(Fall 2018<br>FLKRS) | Target as<br>Baseline<br>2018-19 | Actual<br>2018-19<br>(Fall<br>2019<br>FLKRS) | 2024<br>Target                                     | 2024<br>Target | 2024<br>Target |
| VPK Completers   | 63%                             | 62%                             | 63%                              | 63%  | 68%  | 73%            | 78%            |
| All VPK Participants   | 61%                             | 59%                             | 61%                              | 60%  | 66%  | 71%            | 76%            |
| VPK and School<br>Readiness Participants                           | 53%                             | 52%                             | 53%                              | 51%  | 58%  | 63%            | 78%            |
| VPK Non-Completers   | 48%                             | 47%                             | 48%                              | 47%  | 53%  | 58%            | 63%            |
| School Readiness Only<br>Participants                              | 35%                             | 36%                             | 37%                              | 31%  | 42%  | 47%            | 52%            |

# 1.1 – VPK Participation and Readiness by Program Year

| VPK Program Year                      |                   |                         |     |           |           |           |                   |                         |     |                   |                         |     |                   |                         |     |
|---------------------------------------|-------------------|-------------------------|-----|-----------|-----------|-----------|-------------------|-------------------------|-----|-------------------|-------------------------|-----|-------------------|-------------------------|-----|
| Category                              | 2012-13*          |                         |     | 2013-14** | 2014-15** | 2015-16** | 2016-17           |                         |     | 2017-18           |                         |     | 2018-19           |                         |     |
|                                       | Count of Children | Count of Children Ready | %   |           |           |           | Count of Children | Count of Children Ready | %   | Count of Children | Count of Children Ready | %   | Count of Children | Count of Children Ready | %   |
| VPK Completers                        | 122,240           | 99,752                  | 82% | N/A       | N/A       | N/A       | 120,641           | 76,419                  | 63% | 122,860           | 76,157                  | 62% | 123,686           | 78,169                  | 63% |
| All VPK Participants                  | 153,995           | 120,811                 | 78% |           |           |           | 149,302           | 91,227                  | 61% | 150,053           | 88,855                  | 59% | 149,950           | 90,641                  | 60% |
| VPK and School Readiness Participants | 23,790            | 17,239                  | 73% |           |           |           | 14,019            | 7,369                   | 53% | 13,347            | 6,992                   | 52% | 9,996             | 5,113                   | 51% |
| VPK Non-Completers                    | 31,755            | 21,059                  | 66% |           |           |           | 28,661            | 13,808                  | 48% | 27,193            | 12,698                  | 47% | 26,364            | 12,472                  | 47% |
| School Readiness only Participants    | 4,758             | 2,533                   | 53% |           |           |           | 3,784             | 1,323                   | 35% | 3,538             | 1,273                   | 36% | 3,723             | 1,163                   | 31% |

## 1.2 – Reducing the Percent of Low-Performing VPK Providers: Percent of VPK providers with a readiness rate below 60 percent

| Percent of VPK Programs below Minimum Rate     |                |               |                                     |                   | Adopted Plan –<br>Using 2018-19 Target as<br>Baseline |                |                |
|--|----------------|---------------|-------------------------------------|-------------------|---|----------------|----------------|
|  | 2016-<br>17 ** | 2017-<br>18** | Target<br>as<br>Baseline<br>2018-19 | Actual<br>2018-19 | 2024<br>Target  | 2024<br>Target | 2024<br>Target |
| Percent of VPK Programs<br>below Minimum Rate* | 40%            | 42%           | 40%                                 | 33%               | 35%   | 30%            | 20%            |

## 1.2 – Number and Percent of VPK Providers with a Readiness Rate Below 60 Percent

|                                   | VPK Program Year |          |          |          |           |           |         |
|-----------------------------------|------------------|----------|----------|----------|-----------|-----------|---------|
|                                   | 2012-13          | 2013-14* | 2014-15* | 2015-16* | 2016-17** | 2017-18** | 2018-19 |
| <b>Total VPK Programs</b>         | 6,776            | 6,605    | 6,647    | 6,604    | 6,563     | 6,623     | 6,610   |
| Count of VPK Programs below 60%   | 1,396            | NA       | NA       | NA       | 2,619     | 2,801     | 2,158   |
| Percent of VPK Programs below 60% | 21%              | NA       | NA       | NA       | 40%       | 42%       | 33%     |

# 1.7 – High School Graduation Rate: Percent of students graduating with a standard diploma in 4 years

|                    | 2014-15 | 2015-16 | 2016-17 | Baseline<br>2017-18 | Year 1<br>2018-19 | Year 2<br>2019-20 | Adopted Plan –<br>Using 2017-18 as<br>Baseline |                |                |
|--------------------|---------|---------|---------|---------------------|-------------------|-------------------|--|----------------|----------------|
|                    |         |         |         |                     |                   |                   | 2024<br>Target                                 | 2024<br>Target | 2024<br>Target |
| Graduation<br>Rate | 77.9%   | 80.7%   | 82.3%   | 86.1%               | 86.9%             | 90.0%             | 100%   | 100%           | 100%           |

# 1.8 – High School Graduation Rate Plus: Percent of high school graduates who have successfully completed one or more accelerated outcomes (passed an AP, IB, or AICE exam or passed a dual enrollment course) or earned an industry certification

|   | 2014-15 | 2015-16 | 2016-17 | Baseline<br>2017-18 | Year 1<br>2018-19 | Year 2<br>2019-20 | Adopted Plan –<br>Using 2017-18 as<br>Baseline |                |                |
|---|---------|---------|---------|---------------------|-------------------|-------------------|--|----------------|----------------|
|   |         |         |         |                     |                   |                   | 2024<br>Target                                 | 2024<br>Target | 2024<br>Target |
| % Graduates with<br>Acceleration Credit | 55%     | 55%     | 59%     | 61%                 | 63%               | 63%               | 73%  | 85%            | 90%            |
| # Graduates with<br>Acceleration Credit | 85,168  | 88,503  | 99,979  | 110,291             | 116,203           | 118,237           |  |                |                |
| # Graduates                             | 155,714 | 159,672 | 168,042 | 180,411             | 184,509           | 188,088           |  |                |                |

# 1.20 – Postsecondary Completion Rate: Percent of students completing a postsecondary degree or certification within 150% of program time

|                                | 2013-14<br>(2011-12 enrollees) | 2014-15<br>(2012-13 enrollees) | 2015-16<br>(2013-14 enrollees) | 2016-17<br>(2014-15 enrollees) | Baseline<br>2017-18<br>(2015-16 enrollees) | Year 1<br>2018-19<br>(2016-17 enrollees) | 2024<br>Target<br>(2021-22 enrollees) | 2024 Target<br>(2021-22 enrollees) | 2024<br>Target<br>(2021-22 enrollees) |
|--------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|--|--|---------------------------------------|------------------------------------|---------------------------------------|
| Florida College System (150%)  | 34.6%                          | 37.0%                          | 36.5%                          | 38.1%                          | 40.0%                                      | 41.5%                                    | 48.1%                                 | 56.2%                              | 75%                                   |
| District Post-secondary (150%) | 57.3%                          | 60.8%                          | 62.0%                          | 62.4%                          | 67.7%                                      | 70.4%                                    | 83.3%                                 | 98.9%                              | 100%                                  |



# 1.21 – Improving the Mental Health Personnel to Student Ratio: Ratio of school counselors/social workers/school psychologists to students

|   | 2014-15   | 2015-16   | 2016-17   | 2017-18   | Baseline<br>2018-19 | Year 1<br>2019-20 | Year 2<br>2020-21 |
|---|-----------|-----------|-----------|-----------|---------------------|-------------------|-------------------|
| Student Enrollment                                | 2,756,944 | 2,792,234 | 2,817,076 | 2,833,115 | 2,846,857           | 2,858,949         | 2,791,687         |
| # of School Counselors                            | 5,645     | 5,778     | 5,871     | 5,948     | 6,174               | 6,314             | 6,391             |
| Ratio of School Counselors to Students            | 488       | 483       | 480       | 476       | 461                 | 453               | 437               |
| # of Social Workers                               | 1,063     | 1,104     | 1,149     | 1,192     | 1,414               | 1,518             | 1,567             |
| Ratio of Social Workers to Students               | 2,594     | 2,529     | 2,452     | 2,377     | 2,013               | 1,883             | 1,782             |
| # of School Psychologists                         | 1,413     | 1,409     | 1,416     | 1,438     | 1,452               | 1,494             | 1,471             |
| Ratio of School Psychologists to Students         | 1,951     | 1,982     | 1,989     | 1,970     | 1,961               | 1,914             | 1,898             |
| # of Combined Mental Health Staff                 | 8,121     | 8,291     | 8,436     | 8,578     | 9,040               | 9,326             | 9,429             |
| Ratio of Combined Mental Health Staff to Students | 339       | 337       | 334       | 330       | 315                 | 307               | 296               |

# 1.22 – Improving the Engagement of Students: Percent of students chronically absent

## Absent 21 or More Days

|                                      | 2013-14   | 2014-15   | 2015-16   | 2016-17   | Baseline<br>2017-18 | Year 1<br>2018-19 | Year 2<br>2019-20 |
|--------------------------------------|-----------|-----------|-----------|-----------|---------------------|-------------------|-------------------|
| % of Students Absent 21 Days or Over | 9.6%      | 9.8%      | 10.1%     | 10.2%     | 11.3%               | 11.3%             | 9.8%              |
| # of Students Absent 21 Days or Over | 292,146   | 303,913   | 318,787   | 324,879   | 360,722             | 360,464           | 306,663           |
| Total Enrollment                     | 3,040,436 | 3,111,840 | 3,157,431 | 3,176,306 | 3,190,598           | 3,187,437         | 3,135,978         |

## Absent 10% or More Days

|                                       | 2013-14 | 2014-15 | 2015-16   | 2016-17   | Baseline<br>2017-18 | Year 1<br>2018-19 | Year 2<br>2019-20 |
|---------------------------------------|---------|---------|-----------|-----------|---------------------|-------------------|-------------------|
| % of Students Absent 10% or more Days |         |         | 18.3%     | 18.6%     | 20.4%               | 20.0%             | 16.6%             |
| # of Students Absent 10% or more Days |         |         | 569,218   | 581,650   | 640,463             | 628,572           | 515,609           |
| Total Enrollment                      |         |         | 3,110,214 | 3,127,805 | 3,147,035           | 3,145,563         | 3,097,293         |

# 1.23 – Improving the Retention of High-Quality Teachers: Percent of first-year teachers who are still employed as a classroom teacher or administrator 5 years later

| Subject  | 5th year<br>2015-16 | 5th year<br>2016-17 | 5th year<br>2017-18 | Baseline<br>5th year<br>2018-19 | Year 1<br>5th year<br>2019-20 |
|--|---------------------|---------------------|---------------------|---------------------------------|-------------------------------|
| Percent of Year 1 teachers, Still Employed As a Classroom Teacher or Administrator in a Public School in Florida 5 years Later | 69%                 | 69%                 | 68%                 | 66%                             | 65%                           |
| Count of First Year Teachers   | 11,974              | 13,894              | 15,075              | 13,923                          | 15,418                        |
| Year 1 teachers, Still Employed As a Classroom Teacher or Administrator in a Public School in Florida 5 years Later            | 8,255               | 9,575               | 10,317              | 9,137                           | 10,083                        |

# 1.23 – Improving the Retention of High-Quality Teachers: Percent of all teachers who are still employed as a classroom teacher or administrator 5 years later

| Subject   | 5th year<br>2015-16 | 5th year<br>2016-17 | 5th year<br>2017-18 | Baseline<br>5th year<br>2018-19 | Year 1<br>5th year<br>2019-20 |
|---|---------------------|---------------------|---------------------|---------------------------------|-------------------------------|
| Percentage Still Employed in year 5 as Instructional Staff or Administrator                                       | 76%                 | 76%                 | 76%                 | 76%                             | 76%                           |
| Percentage Still Employed in year 5 as Instructional Staff or Administrator in the Same <u>District</u> in Year 5 | 72%                 | 71%                 | 71%                 | 71%                             | 71%                           |
| Percentage Still Employed in year 5 as Instructional Staff or Administrator in the Same <u>School</u>             | 53%                 | 52%                 | 52%                 | 52%                             | 52%                           |

## 2.1 – Access to High-Quality VPK Providers: Percent of 4-year-olds enrolled in a VPK provider with a readiness rate of at least 60 percent

| Number and Percent of Children in Satisfactory or Higher VPK Programs |         |         |                            |                | Adopted Plan - Using 2018-19 Target as Baseline |             |             |
|---|---------|---------|----------------------------|----------------|---|-------------|-------------|
|   | 2016-17 | 2017-18 | Target as Baseline 2018-19 | Actual 2018-19 | 2024 Target                                     | 2024 Target | 2024 Target |
| Percent in Satisfactory or Higher VPK Programs                        | 63%     | 59%     | 63%                        | 66%            | 73%   | 78%         | 84%         |
| Total Children Served   | 177,828 | 176,488 | NA                         | 177,282        |   |             |             |
| Number in Satisfactory or Higher VPK Programs                         | 111,539 | 104,776 | NA                         | 116,641        |   |             |             |

## 2.2 – Access to High-Quality Educational Outcomes: Percent of K-12 students enrolled in A and B schools

|   | 2015-16   | 2016-17   | 2017-18   | Baseline<br>2018-19 | Year 1<br>2019-20 | 2024<br>Target | 2024<br>Target | 2024<br>Target |
|---|-----------|-----------|-----------|---------------------|-------------------|----------------|----------------|----------------|
| % of K-12<br>Students in A<br>and B Schools | 49%       | 59%       | 62%       | 67%                 | 67%               | 97%            | 100%           | 100%           |
| # of K-12<br>Students in A<br>and B Schools | 1,297,486 | 1,582,075 | 1,679,037 | 1,808,266           | 1,814,296         |                |                |                |
| # of Students                               | 2,662,058 | 2,684,266 | 2,702,156 | 2,711,307           | 2,708,311         |                |                |                |

## 2.4 – Access to Choice: Number of students exercising choice options

| Measure  | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | 2020-21* |
|--|---------|---------|---------|---------|---------|---------|----------|
| Open Enrollment                                    | 246,357 | 252,579 | 251,216 | 262,633 | 273,377 | 266,693 | 249,290  |
| Charter Schools                                    | 251,736 | 270,870 | 283,694 | 295,748 | 313,532 | 329,168 | 341,869  |
| Private Schools                                    | 331,013 | 345,796 | 368,321 | 370,166 | 380,295 | 397,970 |          |
| Career and Professional Education Academies        | 75,026  | 88,981  | 97,364  | 92,256  | 89,174  | 76,422  |          |
| Private School/Center VPK Enrollment               | 135,473 | 136,350 | 135,903 | 134,910 | 134,521 | 131,712 |          |
| Tax Credit Scholarships                            | 69,950  | 78,664  | 98,936  | 108,098 | 104,091 | 111,219 | 100,028  |
| Home Education                                     | 84,096  | 83,359  | 87,462  | 89,817  | 97,261  | 106,115 |          |
| AICE Programs                                      | 26,900  | 32,917  | 41,402  | 49,183  | 55,119  | 63,059  |          |
| McKay Scholarships (Private)                       | 28,263  | 29,220  | 29,916  | 29,120  | 29,072  | 30,186  | 27,226   |
| McKay Scholarships (Public)                        | 3,467   | 3,922   | 4,322   | 5,134   | 5,636   | 6,059   | 5,386    |
| Full-Time Virtual Instruction                      | 11,790  | 13,346  | 12,984  | 12,286  | 11,175  | 12,097  | 78,850   |
| IB Programs  | 12,746  | 13,335  | 13,603  | 13,670  | 13,575  | 14,729  |          |
| Gardiner Scholarships                              | 1,559   | 4,815   | 8,000   | 10,236  | 12,179  | 14,319  | 17,508   |
| Lab Schools (1 FAU school, UF, and FAMU)           | 2,667   | 2,730   | 2,797   | 2,886   | 2,935   | 2,950   | 3,144    |
| Charter Lab Schools (FSUS and 1 FAU school)        | 3,799   | 3,832   | 3,835   | 3,813   | 3,856   | 3,941   | 3,968    |
| Lab Schools and Charter Lab Schools                | 6,466   | 6,562   | 6,632   | 6,699   | 6,791   | 6,891   | 7,112    |
| School Transfers Related to Low-Performing Schools | 5,638   | 2,662   | 3,503   | 3,709   | 3,944   | 2,265   | 1,368    |
| AP   | 188,260 | 195,703 | 203,984 | 211,057 | 208,772 | 205,509 |          |
| Dual Enrollment                                    | 53,286  | 56,005  | 63,402  | 69,934  | 76,292  | 80,498  |          |
| Collegiate Charter HS                              | 2,695   | 2,701   | 2,822   | 2,867   | 2,936   | 3,165   | 3,276    |
| Gifted Enrollment                                  |         | 165,614 | 169,297 | 172,276 | 176,457 | 178,173 | 166,312  |
| Family Empowerment Scholarship                     |         |         |         |         |         | 17,823  | 36,384   |
| Hope Scholarship (Private)                         |         |         |         |         | 127     | 297     | 388      |
| Hope Scholarship (Public)                          |         |         |         |         |         | 404     | 476      |

\*The following 2020-21 scholarship data are preliminary: Tax Credit, McKay Scholarship (Private), Gardiner, Family Empowerment, and Hope (Private).

## 2.5 – Florida Postsecondary Continuation Rate: Percent of high school graduates who enroll in postsecondary education

|                                       | 2014-15<br>(2013-14<br>HS<br>graduates) | 2015-16<br>(2014-15<br>HS<br>graduates) | 2016-17<br>(2015-16<br>HS<br>graduates) | Baseline<br>2017-18<br>(2016-17<br>HS<br>graduates) | Year 1<br>2018-19<br>(2017-18<br>HS<br>graduates) | Adopted Plan –<br>Using 2017-18 as<br>Baseline |                |                |
|---------------------------------------|---|---|---|---|---|--|----------------|----------------|
|                                       |   |   |   |   |   | 2024<br>Target                                 | 2024<br>Target | 2024<br>Target |
| Postsecondary<br>Continuation<br>Rate | 61.5%                                   | 62.2%                                   | 61.3%                                   | 60.8%   | 57.8%   | 67%  | 73%            | 90%            |
| Postsecondary<br>Enrollment           | 91,947                                  | 96,823                                  | 97,925                                  | 102,086   | 104,351   |  |                |                |
| Number of HS<br>Graduates             | 149,397                                 | 155,714                                 | 159,672                                 | 168,042   | 180,411   |  |                |                |



## 2.6 – Associate Degree Articulation Rate in Florida: Percent of students earning an Associate of Arts (AA) degree who transfer to the next postsecondary level in Florida

|  | 2014-15<br>(2013-14<br>AA<br>graduates) | 2015-16<br>(2014-15<br>AA<br>graduates) | 2016-17<br>(2015-16<br>AA<br>graduates) | Baseline<br>2017-18<br>(2016-17<br>AA<br>graduates) | Year 1<br>2018-19<br>(2017-18<br>AA<br>graduates) | 2024<br>Target | 2024<br>Target | 2024<br>Target |
|--|---|---|---|---|---|----------------|----------------|----------------|
| <b>AA Articulation Rate</b>            | 61.7%                                   | 61.3%                                   | 60.8%                                   | 61.4%   | 62.1%   | 67%            | 73%            | 90%            |
| <b>Number of Transferring Students</b> | 34,009                                  | 34,276                                  | 35,116                                  | 34,986  | 35,773  |                |                |                |
| <b>Number of AA Graduates</b>          | 55,132                                  | 55,888                                  | 57,799                                  | 56,939  | 57,587  |                |                |                |

### 3.1 – Postsecondary Employment Rate: Percent of program completers who are employed overall and by sector under the purview of the Department of Education

|                                | 2014-15<br>(2013-14 completers) | 2015-16<br>(2014-15 completers) | 2016-17<br>(2015-16 completers) | Baseline<br>2017-18<br>(2016-17 completers) | Year 1<br>2018-19<br>(2017-18 completers) | Year 2<br>2019-20<br>(2018-19 completers) | 2024 Target | 2024 Target | 2024 Target |
|--------------------------------|---------------------------------|---------------------------------|---------------------------------|---|---|---|-------------|-------------|-------------|
| Combined                       | 71%                             | 72%                             | 73%                             | 73%   | 74%                                       | 75%                                       | 77%         | 79%         | 90%         |
| Florida College System (FCS)   | 72%                             | 73%                             | 73%                             | 73%   | 74%                                       | 74%                                       |             |             |             |
| District Postsecondary (DPS)   | 71%                             | 73%                             | 75%                             | 75%   | 76%                                       | 76%                                       |             |             |             |
| Blind Services (BS)            | 56%                             | 52%                             | 53%                             | 54%   | 56%                                       | 56%                                       |             |             |             |
| Vocational Rehabilitation (VR) | 69%                             | 71%                             | 74%                             | 74%   | 75%                                       | 77%                                       |             |             |             |

## 3.2 – Initial Wages: Average initial wages earned by program completers overall and by sector under the purview of the Department of Education

|                                       | 2014-15<br>(2013-14<br>completers) | 2015-16<br>(2014-15<br>completers) | 2016-17<br>(2015-16<br>completers) | Baseline<br>2017-18<br>(2016-17<br>completers) | Year 1<br>2018-19<br>(2017-18<br>completers) | Year 2<br>2019-20<br>(2018-19<br>completers) |
|---------------------------------------|------------------------------------|------------------------------------|------------------------------------|--|--|--|
| <b>Combined</b>                       | \$30,556                           | \$33,616                           | \$32,756                           | \$34,040                                       | \$34,844                                     | \$36,152                                     |
| <b>Florida College System (FCS)</b>   | \$34,080                           | \$36,912                           | \$35,680                           | \$37,068                                       | \$37,600                                     | \$39,268                                     |
| <b>District Postsecondary (DPS)</b>   | \$25,288                           | \$28,464                           | \$27,772                           | \$29,776                                       | \$30,712                                     | \$32,164                                     |
| <b>Blind Services (BS)</b>            | \$23,660                           | \$24,788                           | \$23,460                           | \$25,152                                       | \$24,412                                     | \$28,920                                     |
| <b>Vocational Rehabilitation (VR)</b> | \$18,764                           | \$18,916                           | \$17,852                           | \$19,172                                       | \$19,356                                     | \$19,648                                     |

# 3.3 – Increasing Participation and Performance in Meaningful Accelerated Pathways

| Acceleration Mechanism   | Subgroup             | 2011-12        | 2012-13        | 2013-14        | 2014-15        | 2015-16        | 2016-17        | Baseline<br>2017-18 | Year 1<br>2018-19 | Year 2<br>2019-20 | 2024<br>Target | 2024<br>Target | 2024<br>Target |
|--|----------------------|----------------|----------------|----------------|----------------|----------------|----------------|---------------------|-------------------|-------------------|----------------|----------------|----------------|
| Percent of Graduates who passed at least one AP Exam                     | All Graduates        | 26%            | 26%            | 27%            | 28%            | 28%            | 28%            | 27%                 | 24%               | 28%               | 29%            | 33%            |                |
| Percent of Graduates who passed at least one IB Exam                     | All Graduates        | 3%             | 3%             | 3%             | 3%             | 3%             | 3%             | 3%                  | 3%                | 3%                | 9%             | 15%            |                |
| Percent of Graduates who passed at least one AICE Exam                   | All Graduates        | 2%             | 2%             | 3%             | 5%             | 6%             | 7%             | 8%                  | 8%                | 11%               | 15%            | 20%            |                |
| Percent of Graduates who passed at least one Dual Enrollment Course      | All Graduates        | 21%            | 22%            | 23%            | 22%            | 22%            | 24%            | 25%                 | 24%               | 28%               | 29%            | 31%            |                |
| Percent of Graduates who passed at least one Industry Certification Exam | All Graduates        | 16%            | 19%            | 23%            | 24%            | 25%            | 29%            | 31%                 | 29%               | 31%               | 46%            | 61%            |                |
| # Graduates who passed at least one AP Exam                              | All Graduates        | 36,626         | 38,876         | 40,516         | 42,825         | 44,515         | 46,819         | 49,378              | 51,804            | 53,169            |                |                |                |
| # Graduates who passed at least one IB Exam                              | All Graduates        | 4,332          | 4,607          | 5,006          | 5,007          | 5,019          | 5,262          | 5,390               | 5,397             | 5,396             |                |                |                |
| # Graduates who passed at least one AICE Exam                            | All Graduates        | 2,267          | 3,297          | 4,587          | 7,361          | 8,925          | 12,512         | 14,722              | 16,867            | 21,201            |                |                |                |
| # Graduates who passed at least one Dual Enrollment Course               | All Graduates        | 29,485         | 32,849         | 34,062         | 34,847         | 35,391         | 40,092         | 44,903              | 50,067            | 52,574            |                |                |                |
| # Graduates who passed at least one Industry Certification Exam          | All Graduates        | 22,081         | 28,475         | 34,454         | 36,891         | 40,377         | 47,963         | 55,330              | 62,298            | 58,517            |                |                |                |
| <b>Total Graduates</b>   | <b>All Graduates</b> | <b>141,954</b> | <b>149,430</b> | <b>149,397</b> | <b>155,714</b> | <b>159,672</b> | <b>168,042</b> | <b>180,411</b>      | <b>212,240</b>    | <b>188,088</b>    |                |                |                |

## 3.4 – Access in Computer Science (Grades 6-8)

**Middle Grades Computer Science (includes Career and Technical Education 6-8)**

|   | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | 2020-21 |
|---|---------|---------|---------|---------|---------|---------|---------|
| # of Students Enrolled                    |         |         |         |         | 7,326   | 17,435  | 24,917  |
| # of Female Students Enrolled             |         |         |         |         | 3,007   | 6,946   | 10,060  |
| # of Male Students Enrolled               |         |         |         |         | 4,319   | 10,489  | 14,857  |
| White                                     |         |         |         |         | 3,770   | 7,310   | 10,468  |
| Black or African American                 |         |         |         |         | 1,135   | 2,967   | 4,573   |
| Hispanic/Latino                           |         |         |         |         | 1,841   | 5,789   | 7,683   |
| Asian                                     |         |         |         |         | 308     | 591     | 1,008   |
| American Indian or Alaska Native          |         |         |         |         | 9       | 51      | 59      |
| Native Hawaiian or Other Pacific Islander |         |         |         |         | 13      | 32      | 49      |
| Two or More Races                         |         |         |         |         | 250     | 695     | 1,077   |
| # of FRL Enrolled                         |         |         |         |         | 2,877   | 8,304   | 12,015  |
| # of Non-FRL Enrolled                     |         |         |         |         | 4,449   | 9,131   | 12,902  |
| # of ELL Enrolled                         |         |         |         |         | 416     | 2,065   | 3,050   |
| # of Non-ELL Enrolled                     |         |         |         |         | 6,910   | 15,370  | 21,867  |
| # of SWD Enrolled                         |         |         |         |         | 687     | 1,916   | 2,958   |
| # of Non-SWD Enrolled                     |         |         |         |         | 6,639   | 15,519  | 21,959  |

## 3.4 – Access in Computer Science (Grades 9-12)

High School Grades Computer Science (includes Career and Technical Education, 9-12)

|   | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | 2020-21 |
|---|---------|---------|---------|---------|---------|---------|---------|
| # of Students Enrolled                    | 15,362  | 16,595  | 21,279  | 26,037  | 31,192  | 34,696  | 42,811  |
| # of Female Students Enrolled             | 4,206   | 4,533   | 5,487   | 7,096   | 8,917   | 10,177  | 13,675  |
| # of Male Students Enrolled               | 11,156  | 12,062  | 15,792  | 18,941  | 22,275  | 24,519  | 29,136  |
| White                                     | 8,195   | 8,272   | 10,269  | 11,642  | 13,125  | 14,476  | 16,625  |
| Black or African American                 | 2,347   | 2,618   | 2,942   | 4,118   | 4,938   | 5,641   | 7,449   |
| Hispanic/Latino                           | 3,374   | 4,055   | 5,745   | 7,312   | 9,417   | 10,436  | 13,534  |
| Asian                                     | 839     | 1,028   | 1,518   | 1,975   | 2,464   | 2,730   | 3,443   |
| American Indian or Alaska Native          | 55      | 80      | 63      | 103     | 112     | 99      | 122     |
| Native Hawaiian or Other Pacific Islander | 16      | 16      | 39      | 43      | 50      | 67      | 79      |
| Two or More Races                         | 536     | 526     | 703     | 844     | 1,086   | 1,247   | 1,559   |
| # of FRL Enrolled                         | 5,618   | 6,407   | 8,049   | 10,278  | 11,990  | 13,375  | 17,857  |
| # of Non-FRL Enrolled                     | 9,744   | 10,188  | 13,230  | 15,759  | 19,202  | 21,321  | 24,954  |
| # of ELL Enrolled                         | 468     | 548     | 835     | 1,075   | 1,446   | 2,292   | 3,399   |
| # of Non-ELL Enrolled                     | 14,894  | 16,047  | 20,444  | 24,962  | 29,746  | 32,404  | 39,412  |
| # of SWD Enrolled                         | 977     | 1,071   | 1,239   | 1,491   | 1,870   | 2,121   | 2,883   |
| # of Non-SWD Enrolled                     | 14,385  | 15,524  | 20,040  | 24,546  | 29,322  | 32,575  | 39,928  |

# New Data Expected Through Summer 2021

- Measures 1.3-1.6 (assessments and school grades; Summer 2021)
- Measure 1.8 (graduation rate plus; final data March 2021)
- Measure 1.9 (assessments and school grades; Summer 2021)
- Measures 1.13-1.17 (school grades; Summer 2021)
- Measure 2.4 Select Measures (Access to Choice)
- Measures 2.5-2.6 (postsecondary continuation rate and AA articulation rate; March 2021)

## Baccalaureate Enrollment and Graduation Expectations (Projections)

Florida College System and State University System

August 2022

Section 1001.02, Florida Statutes, *General powers of State Board of Education*, includes the following requirement.

*(2) The State Board of Education has the following duties:*

*(v) To develop, in conjunction with the Board of Governors, and periodically review for adjustment, a coordinated 5-year plan for postsecondary enrollment, identifying enrollment and graduation expectations by baccalaureate degree program, and annually submit the plan to the Legislature as part of its legislative budget request.*

In response to this requirement, the State Board of Education, in conjunction with the Board of Governors, submits the attached enrollment and completion projections for baccalaureate degree programs in the Florida College and State University Systems.

The Florida Department of Education calculated the enrollment and completion projections using an exponential triple smoothing algorithm accounting for historical enrollment and completion data. The methodology used was consistent for all programs, except newly approved programs with no or limited historical data. For these programs, projections provided by the institution were the basis of the Department's projections. The projections included are for active programs that have been approved by the State Board of Education.

The Florida Department of Education also consulted with the Office of the Board of Governors, resulting in the attached information for the State University System institutions.



STATE  
UNIVERSITY  
SYSTEM  
of FLORIDA  
Board of Governors



**Florida College System Baccalaureate Projections  
2023 Legislative Budget Request**

| College # | College                       | Deg | Program Title                                    | 10-Digit CIP | Program Approval Date | Actual Enrollments |         |         |         |         | Enrollment Projections |         |         |         |         |
|-----------|-------------------------------|-----|--|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |                               |     |  |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 01        | Eastern Florida State College | BAS | Information Systems Technology                   | 1101104011   | 3/18/14               | 302                | 403     | 455     | 490     | 486     | 487                    | 484     | 482     | 479     | 476     |
| 01        | Eastern Florida State College | BAS | Applied Health Sciences                          | 1105122111   | 2/18/14               | 331                | 346     | 296     | 275     | 251     | 254                    | 257     | 260     | 263     | 266     |
| 01        | Eastern Florida State College | BS  | Nursing  | 1105138012   | 7/17/17               | 15                 | 86      | 143     | 216     | 215     | 262                    | 305     | 348     | 391     | 434     |
| 01        | Eastern Florida State College | BAS | Organizational Management                        | 1105202991   | 12/12/12              | 1,276              | 1,454   | 1,618   | 1,672   | 1,525   | 1,655                  | 1,785   | 1,916   | 2,046   | 2,176   |
| 01        | Eastern Florida State College | BS  | Science Teacher Education                        | 1101313161   | 7/15/20               | 0                  | 0       | 0       | 0       | 1       | 55                     | 85      | 110     | 138     | 166     |
| 02        | Broward College               | BS  | Environmental Science                            | 1100301991   | 11/19/13              | 123                | 118     | 103     | 97      | 97      | 92                     | 88      | 84      | 80      | 76      |
| 02        | Broward College               | BAS | Information Technology                           | 1101101032   | 1/21/09               | 522                | 618     | 657     | 661     | 635     | 674                    | 712     | 751     | 789     | 828     |
| 02        | Broward College               | BAS | Technology Management                            | 1101110991   | 1/21/09               | 126                | 130     | 144     | 155     | 146     | 150                    | 153     | 155     | 158     | 161     |
| 02        | Broward College               | BS  | Exceptional Student Education                    | 1101310011   | 2/19/08               | 316                | 282     | 248     | 306     | 295     | 278                    | 272     | 266     | 260     | 254     |
| 02        | Broward College               | BS  | Secondary Mathematics Education                  | 1101313111   | 2/19/08               | 29                 | 32      | 28      | 38      | 40      | 46                     | 52      | 58      | 63      | 69      |
| 02        | Broward College               | BS  | Middle Grades Mathematics Education              | 1101313112   | 2/19/08               | 19                 | 14      | 4       | 2       | 1       | 0                      | 0       | 0       | 0       | 0       |
| 02        | Broward College               | BS  | Secondary Biology Education                      | 1101313221   | 2/19/08               | 26                 | 26      | 22      | 23      | 18      | 18                     | 17      | 16      | 14      | 13      |
| 02        | Broward College               | BS  | Aerospace Sciences                               | 1104901011   | 11/16/16              | 18                 | 47      | 76      | 101     | 121     | 143                    | 166     | 188     | 210     | 232     |
| 02        | Broward College               | BS  | Nursing  | 1105138012   | 1/21/09               | 381                | 396     | 442     | 383     | 304     | 355                    | 343     | 330     | 318     | 306     |
| 02        | Broward College               | BAS | Supply Chain Management                          | 1105202031   | 11/6/12               | 184                | 176     | 163     | 150     | 149     | 150                    | 151     | 152     | 153     | 154     |
| 02        | Broward College               | BAS | Supervision and Management                       | 1105202991   | 1/21/09               | 1,415              | 1,521   | 1,451   | 1,387   | 1,280   | 1,307                  | 1,334   | 1,361   | 1,388   | 1,415   |
| 03        | College of Central Florida    | BS  | Early Childhood Education, Pre-K through Grade 3 | 1101312101   | 3/26/10               | 43                 | 43      | 38      | 54      | 63      | 61                     | 64      | 68      | 72      | 75      |
| 03        | College of Central Florida    | BS  | Nursing  | 1105138012   | 11/19/13              | 140                | 151     | 136     | 135     | 113     | 117                    | 118     | 120     | 121     | 122     |
| 03        | College of Central Florida    | BAS | Business and Organizational Management           | 1105202991   | 3/26/10               | 754                | 760     | 767     | 705     | 653     | 640                    | 627     | 614     | 600     | 587     |
| 04        | Chipola College               | BS  | Exceptional Student Education                    | 1101310011   | 2/19/08               | 8                  | 7       | 11      | 15      | 11      | 13                     | 15      | 16      | 17      | 18      |
| 04        | Chipola College               | BS  | Elementary Education                             | 1101312021   | 2/19/08               | 23                 | 33      | 48      | 56      | 64      | 69                     | 73      | 78      | 83      | 88      |
| 04        | Chipola College               | BS  | Secondary English Education                      | 1101313051   | 12/17/10              | 4                  | 12      | 10      | 10      | 16      | 15                     | 16      | 17      | 18      | 20      |
| 04        | Chipola College               | BS  | Secondary Mathematics Education                  | 1101313111   | 5/14/02               | 3                  | 4       | 9       | 7       | 0       | 3                      | 2       | 2       | 1       | 1       |
| 04        | Chipola College               | BS  | Middle Grades Mathematics Education              | 1101313112   | 5/14/02               | 2                  | 8       | 9       | 7       | 2       | 7                      | 8       | 8       | 9       | 9       |
| 04        | Chipola College               | BS  | Middle Grades Science Education                  | 1101313165   | 5/14/02               | 1                  | 2       | 4       | 6       | 2       | 5                      | 5       | 6       | 7       | 7       |
| 04        | Chipola College               | BS  | Secondary Science-Biology Education              | 1101313221   | 5/14/02               | 0                  | 0       | 1       | 1       | 2       | 2                      | 2       | 3       | 3       | 3       |
| 04        | Chipola College               | BS  | Nursing  | 1105138012   | 2/19/08               | 79                 | 66      | 65      | 66      | 58      | 55                     | 51      | 47      | 43      | 40      |
| 04        | Chipola College               | BS  | Business Administration                          | 1105202011   | 12/17/10              | 78                 | 88      | 81      | 81      | 81      | 89                     | 92      | 94      | 96      | 98      |
| 05        | Daytona State College         | BS  | Secondary Earth/Space Science Education          | 1101313163   | 2/19/08               | 2                  | 0       | 0       | 0       | 0       | 0                      | 0       | 0       | 0       | 0       |
| 05        | Daytona State College         | BS  | Engineering Technology                           | 1101599991   | 5/18/10               | 195                | 194     | 236     | 275     | 251     | 270                    | 281     | 293     | 305     | 317     |
| 05        | Daytona State College         | BS  | Information Technology                           | 1101101032   | 9/17/13               | 267                | 248     | 267     | 236     | 211     | 217                    | 211     | 204     | 198     | 191     |
| 05        | Daytona State College         | BS  | Accounting                                       | 1105203011   | 11/15/19              | 0                  | 0       | 0       | 37      | 64      | 50                     | 60      | 100     | 125     | 150     |
| 05        | Daytona State College         | BS  | Exceptional Student Education                    | 1101310011   | 2/19/08               | 20                 | 15      | 26      | 27      | 28      | 28                     | 28      | 29      | 29      | 29      |
| 05        | Daytona State College         | BS  | Elementary Education                             | 1101312021   | 2/19/08               | 113                | 108     | 112     | 142     | 134     | 137                    | 139     | 141     | 143     | 145     |
| 05        | Daytona State College         | BS  | Secondary Mathematics Education                  | 1101313111   | 2/19/08               | 11                 | 10      | 9       | 9       | 9       | 8                      | 7       | 6       | 5       | 5       |
| 05        | Daytona State College         | BS  | Secondary Biology Education                      | 1101313221   | 2/19/08               | 2                  | 1       | 6       | 9       | 5       | 7                      | 8       | 9       | 9       | 10      |
| 05        | Daytona State College         | BS  | Secondary Chemistry Education                    | 1101313231   | 2/19/08               | 2                  | 1       | 2       | 2       | 1       | 1                      | 1       | 1       | 1       | 1       |
| 05        | Daytona State College         | BS  | Secondary Physics Education                      | 1101313291   | 2/19/08               | 0                  | 1       | 1       | 1       | 2       | 2                      | 2       | 3       | 3       | 3       |

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| College # | College                               | Deg | Program Title   | 10-Digit CIP | Program Approval Date | Actual Enrollments |         |         |         |         | Enrollment Projections |         |         |         |         |
|-----------|---------------------------------------|-----|---|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |                                       |     |   |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 05        | Daytona State College                 | BS  | Nursing   | 1105138012   | 9/17/13               | 245                | 299     | 363     | 392     | 315     | 405                    | 429     | 453     | 477     | 501     |
| 05        | Daytona State College                 | BAS | Supervision and Management                            | 1105202991   | 4/19/05               | 1,105              | 1,078   | 1,007   | 952     | 867     | 789                    | 712     | 634     | 556     | 479     |
| 06        | Florida SouthWestern State College    | BAS | Cardiopulmonary Sciences                              | 1105109081   | 3/26/10               | 37                 | 57      | 73      | 69      | 55      | 68                     | 70      | 73      | 75      | 78      |
| 06        | Florida SouthWestern State College    | BS  | Elementary Education                                  | 1101312021   | 2/19/08               | 166                | 176     | 175     | 220     | 228     | 236                    | 246     | 256     | 266     | 276     |
| 06        | Florida SouthWestern State College    | BAS | Information Systems Technology                        | 1101101032   | 1/13/21               | 0                  | 0       | 0       | 0       | 0       | 28                     | 56      | 83      | 111     | 138     |
| 06        | Florida SouthWestern State College    | BAS | Public Safety Administration                          | 1104399991   | 4/19/05               | 120                | 122     | 105     | 106     | 105     | 101                    | 92      | 92      | 83      | 84      |
| 06        | Florida SouthWestern State College    | BS  | Nursing   | 1105138012   | 2/19/08               | 277                | 279     | 284     | 367     | 377     | 392                    | 410     | 427     | 445     | 462     |
| 06        | Florida SouthWestern State College    | BAS | Supervision and Management                            | 1105202991   | 2/19/08               | 636                | 588     | 569     | 534     | 478     | 461                    | 441     | 421     | 401     | 380     |
| 07        | Florida State College at Jacksonville | BAS | Supervision and Management                            | 1105202991   | 2/19/08               | 869                | 788     | 787     | 730     | 634     | 572                    | 503     | 434     | 366     | 297     |
| 07        | Florida State College at Jacksonville | BS  | Financial Services                                    | 1105208031   | 7/17/12               | 156                | 219     | 258     | 243     | 256     | 267                    | 277     | 288     | 299     | 309     |
| 07        | Florida State College at Jacksonville | BS  | Communication and Media                               | 1100901021   | 10/18/11              | 127                | 115     | 119     | 143     | 146     | 146                    | 147     | 147     | 148     | 149     |
| 07        | Florida State College at Jacksonville | BAS | Digital Media   | 1101003041   | 6/21/11               | 152                | 138     | 151     | 154     | 175     | 176                    | 184     | 192     | 200     | 207     |
| 07        | Florida State College at Jacksonville | BAS | Computer Networking                                   | 1101109011   | 2/19/08               | 258                | 280     | 279     | 251     | 249     | 246                    | 240     | 233     | 227     | 221     |
| 07        | Florida State College at Jacksonville | BAS | Information Technology Management                     | 1101110991   | 1/21/09               | 335                | 347     | 344     | 304     | 257     | 249                    | 241     | 232     | 224     | 216     |
| 07        | Florida State College at Jacksonville | BS  | Early Childhood Education - Age Three Through Grade 3 | 1101312101   | 1/21/09               | 108                | 97      | 100     | 116     | 170     | 165                    | 160     | 155     | 150     | 145     |
| 07        | Florida State College at Jacksonville | BS  | Biomedical Sciences                                   | 1102601021   | 12/17/10              | 270                | 263     | 259     | 256     | 214     | 222                    | 214     | 206     | 198     | 191     |
| 07        | Florida State College at Jacksonville | BAS | Public Safety Management                              | 1104399991   | 1/21/09               | 193                | 190     | 152     | 146     | 148     | 136                    | 127     | 118     | 108     | 99      |
| 07        | Florida State College at Jacksonville | BS  | Human Services  | 1104400001   | 3/27/12               | 602                | 637     | 634     | 666     | 635     | 695                    | 747     | 799     | 851     | 903     |
| 07        | Florida State College at Jacksonville | BS  | Nursing   | 1105138012   | 2/19/08               | 287                | 316     | 491     | 536     | 444     | 560                    | 602     | 643     | 685     | 727     |
| 07        | Florida State College at Jacksonville | BS  | Business Administration                               | 1105202011   | 9/21/10               | 778                | 925     | 854     | 863     | 858     | 925                    | 985     | 1,045   | 1,105   | 1,166   |
| 07        | Florida State College at Jacksonville | BAS | Logistics   | 1105202031   | 11/19/13              | 197                | 203     | 220     | 208     | 204     | 214                    | 221     | 228     | 235     | 242     |
| 08        | The College of the Florida Keys       | BAS | Supervision and Management                            | 1105202991   | 1/6/16                | 35                 | 32      | 44      | 58      | 54      | 68                     | 77      | 85      | 94      | 103     |
| 08        | The College of the Florida Keys       | BAS | Marine Resource Management                            | 1103032011   | 7/17/19               | 0                  | 0       | 0       | 34      | 48      | 55                     | 62      | 70      | 77      | 85      |
| 08        | The College of the Florida Keys       | BS  | Nursing   | 1105138012   | 5/16/17               | 0                  | 0       | 17      | 23      | 30      | 35                     | 41      | 46      | 52      | 57      |
| 09        | Gulf Coast State College              | BAS | Digital Media   | 1101003041   | 5/21/13               | 36                 | 43      | 44      | 49      | 57      | 56                     | 60      | 63      | 66      | 69      |
| 09        | Gulf Coast State College              | BAS | Organizational Management                             | 1105202991   | 11/6/12               | 120                | 121     | 112     | 99      | 106     | 109                    | 112     | 115     | 118     | 121     |
| 09        | Gulf Coast State College              | BAS | Technology Management                                 | 1101110991   | 3/26/10               | 72                 | 64      | 57      | 56      | 45      | 51                     | 50      | 49      | 49      | 48      |
| 09        | Gulf Coast State College              | BS  | Nursing   | 1105138012   | 3/27/12               | 116                | 122     | 117     | 145     | 147     | 161                    | 172     | 183     | 194     | 205     |
| 10        | Hillsborough Community College        | BS  | Nursing   | 1105138012   | 8/18/21               | 0                  | 0       | 0       | 0       | 0       | 150                    | 300     | 450     | 450     | 581     |
| 11        | Indian River State College            | BAS | Organizational Management                             | 1105202991   | 2/20/07               | 470                | 453     | 512     | 457     | 431     | 432                    | 417     | 403     | 389     | 374     |
| 11        | Indian River State College            | BAS | Digital Media   | 1101003041   | 5/18/10               | 179                | 183     | 183     | 192     | 184     | 180                    | 176     | 171     | 167     | 163     |
| 11        | Indian River State College            | BS  | Information Technology and Security Management        | 1101101034   | 5/10/12               | 280                | 292     | 336     | 340     | 317     | 367                    | 387     | 408     | 429     | 449     |
| 11        | Indian River State College            | BS  | Exceptional Student Education-with ESOL Endorsement   | 1101310011   | 2/20/07               | 41                 | 38      | 30      | 29      | 30      | 21                     | 13      | 5       | 0       | 0       |
| 11        | Indian River State College            | BS  | Elementary Education                                  | 1101312021   | 9/17/13               | 114                | 108     | 125     | 108     | 176     | 158                    | 167     | 175     | 184     | 192     |
| 11        | Indian River State College            | BS  | Secondary Mathematics Education                       | 1101313111   | 2/20/07               | 9                  | 5       | 8       | 8       | 9       | 9                      | 9       | 10      | 10      | 10      |
| 11        | Indian River State College            | BS  | Middle Grades Mathematics Education                   | 1101313112   | 2/20/07               | 12                 | 11      | 8       | 8       | 8       | 5                      | 2       | 0       | 0       | 0       |
| 11        | Indian River State College            | BS  | Middle Grades Science Education                       | 1101313165   | 2/20/07               | 21                 | 19      | 11      | 7       | 11      | 6                      | 5       | 3       | 1       | 0       |
| 11        | Indian River State College            | BS  | Secondary Biology Education                           | 1101313221   | 2/20/07               | 5                  | 5       | 5       | 3       | 7       | 5                      | 4       | 4       | 3       | 3       |

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| College # | College                                    | Deg | Program Title                                  | 10-Digit CIP | Program Approval Date | Actual Enrollments |         |         |         |         | Enrollment Projections |         |         |         |         |
|-----------|--|-----|--|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |  |     |  |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 11        | Indian River State College                 | BS  | Biology  | 1102601011   | 5/18/10               | 466                | 452     | 416     | 340     | 340     | 319                    | 300     | 281     | 262     | 243     |
| 11        | Indian River State College                 | BS  | Criminal Justice                               | 1104301041   | 3/27/12               | 330                | 309     | 315     | 303     | 311     | 293                    | 304     | 285     | 296     | 278     |
| 11        | Indian River State College                 | BS  | Human Services                                 | 1104400001   | 5/18/10               | 552                | 542     | 521     | 499     | 422     | 406                    | 389     | 373     | 356     | 340     |
| 11        | Indian River State College                 | BS  | Public Administration                          | 1104404011   | 5/10/12               | 150                | 138     | 141     | 137     | 133     | 131                    | 129     | 126     | 124     | 121     |
| 11        | Indian River State College                 | BS  | Health Care Management                         | 1105107011   | 9/17/13               | 149                | 139     | 161     | 190     | 221     | 232                    | 244     | 255     | 266     | 277     |
| 11        | Indian River State College                 | BS  | Nursing  | 1105138012   | 2/20/07               | 435                | 439     | 445     | 415     | 357     | 344                    | 330     | 317     | 304     | 290     |
| 11        | Indian River State College                 | BS  | Business Administration                        | 1105202011   | 3/27/12               | 502                | 486     | 530     | 500     | 463     | 475                    | 482     | 489     | 496     | 504     |
| 11        | Indian River State College                 | BS  | Accounting                                     | 1105203011   | 9/17/13               | 317                | 333     | 347     | 307     | 291     | 292                    | 292     | 291     | 291     | 290     |
| 12        | Florida Gateway College                    | BAS | Water Resource Management                      | 1100302052   | 3/18/14               | 22                 | 27      | 31      | 44      | 43      | 48                     | 53      | 57      | 62      | 66      |
| 12        | Florida Gateway College                    | BS  | certification                                  | 1101312102   | 9/20/11               | 51                 | 76      | 83      | 87      | 87      | 87                     | 87      | 86      | 86      | 86      |
| 12        | Florida Gateway College                    | BS  | Nursing  | 1105138012   | 6/21/11               | 88                 | 129     | 120     | 102     | 77      | 83                     | 89      | 95      | 101     | 107     |
| 12        | Florida Gateway College                    | BS  | Elementary Education                           | 1101312021   | 11/15/19              | 0                  | 0       | 0       | 11      | 38      | 52                     | 62      | 72      | 82      | 92      |
| 13        | Lake-Sumter State College                  | BS  | RN to BSN                                      | 1105138012   | 7/17/17               | 0                  | 68      | 126     | 138     | 125     | 183                    | 211     | 238     | 266     | 294     |
| 13        | Lake-Sumter State College                  | BAS | Organizational Management                      | 1105202991   | 3/27/12               | 114                | 129     | 151     | 168     | 186     | 196                    | 206     | 216     | 226     | 236     |
| 14        | State College of Florida, Manatee-Sarasota | BS  | Early Childhood Education, Birth through Age 4 | 1101312102   | 3/26/10               | 94                 | 93      | 96      | 126     | 164     | 172                    | 180     | 187     | 195     | 203     |
| 14        | State College of Florida, Manatee-Sarasota | BAS | Public Safety Administration/Homeland Security | 1104399991   | 3/26/10               | 67                 | 90      | 108     | 112     | 101     | 123                    | 133     | 143     | 153     | 163     |
| 14        | State College of Florida, Manatee-Sarasota | BAS | Health Services Administration                 | 1105107011   | 3/26/10               | 93                 | 81      | 71      | 82      | 109     | 95                     | 96      | 97      | 98      | 100     |
| 14        | State College of Florida, Manatee-Sarasota | BS  | Nursing  | 1105138012   | 3/17/09               | 490                | 479     | 451     | 458     | 399     | 400                    | 390     | 380     | 370     | 360     |
| 14        | State College of Florida, Manatee-Sarasota | BAS | Supervision and Management                     | 1105202011   | 3/19/19               | 0                  | 0       | 55      | 117     | 179     | 209                    | 238     | 268     | 297     | 327     |
| 14        | State College of Florida, Manatee-Sarasota | BS  | Elementary Education                           | 1101312021   | 3/30/22               | 0                  | 0       | 0       | 0       | 0       | 50                     | 100     | 150     | 200     | 250     |
| 14        | State College of Florida, Manatee-Sarasota | BS  | Exceptional Student Education                  | 1101310011   | 3/30/22               | 0                  | 0       | 0       | 0       | 0       | 6                      | 12      | 24      | 50      | 62      |
| 15        | Miami Dade College                         | BS  | Data Analytics                                 | 1101101011   | 9/23/16               | 57                 | 106     | 102     | 109     | 123     | 154                    | 176     | 198     | 220     | 242     |
| 15        | Miami Dade College                         | BS  | Cybersecurity                                  | 1101110031   | 7/15/20               | 0                  | 0       | 0       | 13      | 124     | 150                    | 270     | 420     | 685     | 819     |
| 15        | Miami Dade College                         | BS  | Information Systems Technology                 | 1101101034   | 11/19/13              | 335                | 330     | 307     | 281     | 262     | 255                    | 247     | 239     | 231     | 223     |
| 15        | Miami Dade College                         | BS  | Exceptional Student Education                  | 1101310011   | 5/14/02               | 307                | 261     | 237     | 243     | 235     | 215                    | 203     | 191     | 179     | 166     |
| 15        | Miami Dade College                         | BS  | Age 4  | 1101312103   | 9/20/11               | 221                | 206     | 180     | 198     | 240     | 237                    | 234     | 231     | 228     | 225     |
| 15        | Miami Dade College                         | BS  | Secondary Mathematics Education                | 1101313111   | 5/14/02               | 29                 | 20      | 18      | 19      | 16      | 13                     | 11      | 8       | 6       | 3       |
| 15        | Miami Dade College                         | BS  | Secondary Biology Education                    | 1101313221   | 5/14/02               | 11                 | 11      | 11      | 6       | 8       | 6                      | 5       | 5       | 4       | 3       |
| 15        | Miami Dade College                         | BS  | Electronics Engineering Technology             | 1101503031   | 3/26/10               | 115                | 103     | 90      | 80      | 88      | 70                     | 61      | 51      | 42      | 32      |
| 15        | Miami Dade College                         | BS  | Biological Sciences                            | 1102601011   | 6/21/11               | 219                | 218     | 231     | 222     | 190     | 208                    | 207     | 207     | 207     | 206     |
| 15        | Miami Dade College                         | BAS | Public Safety Management                       | 1104399991   | 3/21/06               | 556                | 540     | 591     | 701     | 706     | 719                    | 732     | 745     | 758     | 772     |
| 15        | Miami Dade College                         | BAS | Film, Television, and Digital Production       | 1105006021   | 1/21/09               | 246                | 254     | 280     | 284     | 280     | 291                    | 298     | 304     | 311     | 317     |
| 15        | Miami Dade College                         | BAS | Studies  | 1105100002   | 1/21/09               | 34                 | 85      | 126     | 172     | 194     | 226                    | 257     | 288     | 319     | 349     |
| 15        | Miami Dade College                         | BS  | Nursing  | 1105138012   | 2/20/07               | 916                | 752     | 700     | 649     | 654     | 651                    | 654     | 656     | 659     | 661     |
| 15        | Miami Dade College                         | BAS | Supply Chain Management                        | 1105202032   | 11/19/13              | 103                | 117     | 110     | 105     | 102     | 107                    | 101     | 105     | 100     | 104     |
| 15        | Miami Dade College                         | BAS | Supervision and Management                     | 1105202991   | 1/21/09               | 1,812              | 1,771   | 1,864   | 2,062   | 2,135   | 2,186                  | 2,238   | 2,289   | 2,340   | 2,391   |
| 16        | North Florida College                      | BS  | Nursing  | 1105138012   | 9/23/16               | 23                 | 31      | 53      | 83      | 85      | 107                    | 119     | 139     | 151     | 171     |
| 17        | Northwest Florida State College            | BS  | Elementary Education                           | 1101312021   | 2/20/07               | 53                 | 47      | 46      | 57      | 62      | 59                     | 56      | 54      | 51      | 48      |

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|-----------|---------------------------------|-----|--|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |                                 |     |  |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 17        | Northwest Florida State College | BS  | certification                                  | 1101312102   | 3/19/13               | 42                 | 74      | 76      | 96      | 99      | 121                    | 130     | 147     | 156     | 173     |
| 17        | Northwest Florida State College | BS  | Nursing  | 1105138012   | 2/19/08               | 127                | 129     | 124     | 156     | 139     | 149                    | 153     | 158     | 162     | 167     |
| 17        | Northwest Florida State College | BAS | Project Management                             | 1105202021   | 5/15/03               | 190                | 164     | 136     | 124     | 119     | 113                    | 107     | 101     | 96      | 90      |
| 17        | Northwest Florida State College | BAS | Supervision and Management                     | 1105202991   | 6/18/13               | 225                | 235     | 253     | 265     | 229     | 256                    | 262     | 267     | 273     | 278     |
| 18        | Palm Beach State College        | BAS | Information Management                         | 1101110991   | 6/15/10               | 402                | 417     | 453     | 456     | 445     | 474                    | 489     | 503     | 517     | 531     |
| 18        | Palm Beach State College        | BS  | Nursing  | 1105138012   | 6/15/10               | 301                | 312     | 385     | 474     | 429     | 500                    | 540     | 581     | 622     | 662     |
| 18        | Palm Beach State College        | BAS | Supervision and Management                     | 1105202991   | 2/19/08               | 1,636              | 1,794   | 1,859   | 1,698   | 1,583   | 1,603                  | 1,623   | 1,644   | 1,664   | 1,684   |
| 18        | Palm Beach State College        | BS  | Human Services                                 | 1104400001   | 4/1/20                | 0                  | 0       | 0       | 190     | 347     | 63                     | 73      | 83      | 93      | 103     |
| 18        | Palm Beach State College        | BS  | Cardiopulmonary Sciences                       | 1105109081   | 4/1/20                | 0                  | 0       | 0       | 35      | 37      | 53                     | 64      | 75      | 86      | 97      |
| 19        | Pasco-Hernando State College    | BS  | Nursing  | 1105138012   | 6/18/13               | 208                | 251     | 231     | 187     | 145     | 147                    | 149     | 150     | 152     | 154     |
| 19        | Pasco-Hernando State College    | BAS | Supervision and Management                     | 1105202991   | 6/18/13               | 692                | 710     | 738     | 725     | 681     | 732                    | 775     | 817     | 859     | 901     |
| 20        | Pensacola State College         | BAS | Cybersecurity                                  | 1101110031   | 1/6/16                | 90                 | 131     | 166     | 188     | 190     | 194                    | 198     | 202     | 207     | 211     |
| 20        | Pensacola State College         | BS  | Nursing  | 1105138012   | 3/26/10               | 179                | 203     | 173     | 191     | 230     | 234                    | 247     | 259     | 271     | 284     |
| 20        | Pensacola State College         | BAS | Business and Management                        | 1105202991   | 3/26/10               | 700                | 748     | 702     | 717     | 720     | 741                    | 760     | 780     | 799     | 818     |
| 21        | Polk State College              | BS  | Elementary Education                           | 1101312021   | 8/26/15               | 57                 | 87      | 103     | 106     | 120     | 142                    | 162     | 183     | 204     | 224     |
| 21        | Polk State College              | BS  | Early Childhood Education                      | 1101312101   | 8/26/15               | 8                  | 17      | 18      | 28      | 36      | 41                     | 47      | 53      | 59      | 65      |
| 21        | Polk State College              | BS  | Criminal Justice                               | 1104301041   | 7/17/12               | 239                | 228     | 212     | 229     | 215     | 217                    | 215     | 213     | 211     | 209     |
| 21        | Polk State College              | BS  | Aerospace Science                              | 1104901011   | 9/17/13               | 41                 | 53      | 66      | 79      | 90      | 103                    | 115     | 127     | 140     | 152     |
| 21        | Polk State College              | BS  | Nursing  | 1105138012   | 5/17/11               | 451                | 387     | 355     | 317     | 305     | 278                    | 252     | 226     | 200     | 174     |
| 21        | Polk State College              | BAS | Supervision and Management                     | 1105202991   | 1/21/09               | 1,241              | 1,157   | 1,127   | 1,096   | 988     | 945                    | 888     | 830     | 772     | 714     |
| 22        | St. Johns River State College   | BS  | Early Childhood Education, P-K through Grade 3 | 1101312101   | 3/26/10               | 47                 | 49      | 50      | 50      | 59      | 57                     | 57      | 56      | 56      | 55      |
| 22        | St. Johns River State College   | BS  | Nursing  | 1105138012   | 5/10/12               | 204                | 223     | 230     | 226     | 189     | 200                    | 212     | 223     | 234     | 245     |
| 22        | St. Johns River State College   | BAS | Organizational Management                      | 1105202991   | 3/26/10               | 275                | 277     | 301     | 300     | 311     | 311                    | 317     | 323     | 329     | 335     |
| 23        | St. Petersburg College          | BS  | Cybersecurity                                  | 1101110034   | 2/12/20               | 0                  | 0       | 0       | 78      | 179     | 134                    | 121     | 108     | 95      | 82      |
| 23        | St. Petersburg College          | BAS | Sustainability Management                      | 1100302991   | 5/15/07               | 203                | 192     | 185     | 161     | 142     | 134                    | 121     | 108     | 95      | 82      |
| 23        | St. Petersburg College          | BAS | Technology Management                          | 1101110051   | 10/17/01              | 571                | 551     | 547     | 510     | 428     | 411                    | 394     | 377     | 361     | 344     |
| 23        | St. Petersburg College          | BS  | Exceptional Student Education                  | 1101310011   | 10/17/01              | 38                 | 24      | 27      | 33      | 39      | 29                     | 20      | 10      | 1       | 0       |
| 23        | St. Petersburg College          | BS  | Elementary Education                           | 1101312021   | 10/17/01              | 168                | 165     | 174     | 171     | 182     | 177                    | 175     | 174     | 172     | 170     |
| 23        | St. Petersburg College          | BS  | Secondary Mathematics Education                | 1101313111   | 10/17/01              | 14                 | 14      | 13      | 10      | 7       | 7                      | 5       | 4       | 2       | 1       |
| 23        | St. Petersburg College          | BS  | Middle Grades Mathematics Education            | 1101313112   | 2/20/07               | 16                 | 7       | 1       | 2       | 5       | 0                      | 0       | 0       | 0       | 0       |
| 23        | St. Petersburg College          | BS  | Middle Grades Science Education                | 1101313165   | 2/20/07               | 3                  | 6       | 5       | 2       | 1       | 0                      | 0       | 0       | 0       | 0       |
| 23        | St. Petersburg College          | BS  | Educational Studies - non-certification        | 1101399991   | 2/20/07               | 457                | 581     | 602     | 562     | 528     | 563                    | 599     | 634     | 670     | 705     |
| 23        | St. Petersburg College          | BAS | Paralegal Studies                              | 1102203022   | 8/23/05               | 152                | 120     | 105     | 107     | 104     | 80                     | 66      | 52      | 37      | 23      |
| 23        | St. Petersburg College          | BS  | Biology, General                               | 1102601011   | 2/18/08               | 218                | 206     | 202     | 172     | 156     | 151                    | 140     | 128     | 117     | 105     |
| 23        | St. Petersburg College          | BAS | Public Safety Administration                   | 1104399991   | 7/24/03               | 432                | 410     | 381     | 406     | 356     | 357                    | 345     | 333     | 321     | 309     |
| 23        | St. Petersburg College          | BS  | Public Policy and Administration               | 1104404011   | 2/18/08               | 188                | 185     | 173     | 163     | 126     | 124                    | 122     | 120     | 118     | 117     |
| 23        | St. Petersburg College          | BAS | Dental Hygiene                                 | 1105106021   | 3/20/03               | 145                | 173     | 176     | 175     | 168     | 184                    | 192     | 200     | 207     | 215     |
| 23        | St. Petersburg College          | BAS | Veterinary Technology                          | 1105108081   | 1/23/04               | 172                | 137     | 128     | 132     | 124     | 116                    | 110     | 103     | 96      | 89      |

**Florida College System Baccalaureate Projections  
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| College # | College                           | Deg | Program Title                                  | 10-Digit CIP | Program Approval Date | Actual Enrollments |         |         |         |         | Enrollment Projections |         |         |         |         |
|-----------|-----------------------------------|-----|--|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |                                   |     |  |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 23        | St. Petersburg College            | BAS | Applied Health Sciences                        | 1105122111   | 2/20/07               | 543                | 583     | 589     | 563     | 487     | 516                    | 536     | 555     | 575     | 594     |
| 23        | St. Petersburg College            | BS  | Nursing  | 1105138012   | 10/17/01              | 775                | 693     | 686     | 763     | 683     | 640                    | 595     | 551     | 506     | 461     |
| 23        | St. Petersburg College            | BS  | Business Administration                        | 1105202011   | 12/18/08              | 768                | 707     | 660     | 619     | 506     | 479                    | 444     | 409     | 374     | 339     |
| 23        | St. Petersburg College            | BAS | Management and Organizational Leadership       | 1105202991   | 2/20/07               | 1,157              | 1,163   | 1,172   | 1,094   | 1,041   | 1,058                  | 1,074   | 1,091   | 1,107   | 1,124   |
| 24        | Santa Fe College                  | BAS | Information Technology and Security Management | 1101101034   | 8/26/15               | 104                | 154     | 176     | 169     | 156     | 180                    | 204     | 229     | 253     | 277     |
| 24        | Santa Fe College                  | BS  | certification                                  | 1101312102   | 9/21/10               | 91                 | 92      | 85      | 77      | 65      | 65                     | 60      | 54      | 49      | 43      |
| 24        | Santa Fe College                  | BAS | Industrial Biotechnology                       | 1102612011   | 4/16/13               | 24                 | 21      | 16      | 20      | 22      | 20                     | 20      | 20      | 21      | 21      |
| 24        | Santa Fe College                  | BAS | Multimedia and Video Production Technology     | 1105006021   | 3/18/14               | 35                 | 39      | 41      | 42      | 42      | 45                     | 48      | 51      | 54      | 58      |
| 24        | Santa Fe College                  | BAS | Health Services Administration                 | 1105107011   | 1/21/09               | 271                | 245     | 224     | 200     | 188     | 158                    | 130     | 101     | 73      | 45      |
| 24        | Santa Fe College                  | BAS | Clinical Laboratory Science                    | 1105110051   | 1/21/09               | 83                 | 85      | 81      | 87      | 88      | 92                     | 96      | 99      | 103     | 107     |
| 24        | Santa Fe College                  | BS  | Nursing  | 1105138012   | 10/18/11              | 212                | 218     | 220     | 218     | 191     | 197                    | 203     | 208     | 214     | 220     |
| 24        | Santa Fe College                  | BAS | Supervision and Organizational Management      | 1105202991   | 3/27/12               | 426                | 382     | 362     | 377     | 362     | 339                    | 317     | 295     | 273     | 251     |
| 24        | Santa Fe College                  | BS  | Accounting                                     | 1105203011   | 2/16/17               | 1                  | 43      | 81      | 112     | 111     | 136                    | 159     | 181     | 204     | 227     |
| 24        | Seminole State College of Florida | BS  | Public Safety Administration                   | 1104399991   | 2/9/22                | 0                  | 0       | 0       | 0       | 0       | 160                    | 260     | 220     | 268     | 304     |
| 24        | Seminole State College of Florida | BS  | Elementary Education K-6                       | 1101312021   | 2/9/22                | 0                  | 0       | 0       | 0       | 0       | 30                     | 60      | 60      | 60      | 71      |
| 24        | Seminole State College of Florida | BS  | Exceptional Student Education K-12             | 1101310011   | 2/9/22                | 0                  | 0       | 0       | 0       | 0       | 20                     | 40      | 40      | 40      | 47      |
| 24        | Seminole State College of Florida | BAS | Management and Organizational Leadership       | 1105202991   | 3/30/22               | 0                  | 0       | 0       | 0       | 0       | 167                    | 310     | 436     | 573     | 708     |
| 25        | Seminole State College of Florida | BS  | Information Technology And Security Management | 1101101034   | 9/21/10               | 568                | 621     | 608     | 548     | 484     | 482                    | 479     | 477     | 475     | 472     |
| 25        | Seminole State College of Florida | BS  | Engineering Technology                         | 1101501011   | 9/21/10               | 142                | 127     | 133     | 124     | 120     | 122                    | 123     | 124     | 125     | 127     |
| 25        | Seminole State College of Florida | BS  | Construction                                   | 1101510012   | 9/21/10               | 163                | 177     | 242     | 236     | 221     | 262                    | 282     | 302     | 323     | 343     |
| 25        | Seminole State College of Florida | BAS | Interior Design                                | 1105004083   | 1/21/09               | 57                 | 60      | 55      | 165     | 241     | 262                    | 289     | 317     | 344     | 371     |
| 25        | Seminole State College of Florida | BS  | Health Sciences                                | 1105100005   | 8/26/15               | 494                | 574     | 573     | 516     | 513     | 590                    | 659     | 728     | 797     | 865     |
| 25        | Seminole State College of Florida | BS  | Nursing  | 1105138012   | 7/17/17               | 90                 | 177     | 188     | 231     | 222     | 306                    | 350     | 394     | 438     | 482     |
| 25        | Seminole State College of Florida | BS  | Business Information Management                | 1105212011   | 9/21/10               | 932                | 904     | 869     | 774     | 691     | 646                    | 597     | 547     | 498     | 449     |
| 26        | South Florida State College       | BS  | Elementary Education                           | 1101312021   | 1/21/14               | 24                 | 33      | 29      | 27      | 25      | 29                     | 30      | 31      | 32      | 33      |
| 26        | South Florida State College       | BS  | Nursing  | 1105138012   | 1/21/14               | 52                 | 49      | 48      | 52      | 55      | 54                     | 55      | 56      | 58      | 59      |
| 26        | South Florida State College       | BAS | Supervision and Management                     | 1105202991   | 9/20/11               | 139                | 128     | 145     | 155     | 154     | 157                    | 160     | 163     | 165     | 168     |
| 27        | Tallahassee Community College     | BSN | Bachelor of Science in Nursing                 | 1105138012   | 8/26/15               | 42                 | 58      | 79      | 99      | 102     | 123                    | 139     | 156     | 172     | 188     |
| 28        | Valencia College                  | BS  | Radiologic and Imaging Sciences                | 1105109071   | 9/21/10               | 169                | 137     | 132     | 124     | 136     | 122                    | 118     | 114     | 110     | 105     |
| 28        | Valencia College                  | BAS | Business Administration                        | 1105202011   | 7/7/17                | 0                  | 779     | 1,514   | 1,914   | 1,938   | 2,373                  | 2,771   | 3,169   | 3,567   | 3,965   |
| 28        | Valencia College                  | BAS | Computing Technology & Software Development    | 1101101034   | 10/25/18              | 0                  | 0       | 65      | 185     | 301     | 349                    | 397     | 444     | 492     | 540     |
| 28        | Valencia College                  | BS  | Electrical and Computer Engineering Technology | 1101503031   | 9/21/10               | 187                | 169     | 182     | 187     | 146     | 160                    | 157     | 153     | 150     | 146     |
| 28        | Valencia College                  | BS  | Cardiopulmonary Sciences                       | 1105109081   | 6/18/13               | 98                 | 100     | 96      | 97      | 76      | 78                     | 80      | 82      | 84      | 85      |
| 28        | Valencia College                  | BS  | Nursing  | 1105138012   | 7/7/17                | 0                  | 179     | 322     | 511     | 535     | 647                    | 753     | 858     | 963     | 1,068   |



**Florida College System Baccalaureate Projections  
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| College # | College                       | Deg | Program Title                                    | 10-Digit CIP | Program Approval Date | Actual Completions |         |         |         |         | Completion Projections |         |         |         |         |
|-----------|-------------------------------|-----|--|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |                               |     |  |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 01        | Eastern Florida State College | BAS | Information Systems Technology                   | 1101104011   | 3/18/14               | 30                 | 53      | 59      | 84      | 114     | 125                    | 143     | 161     | 179     | 197     |
| 01        | Eastern Florida State College | BAS | Applied Health Sciences                          | 1105122111   | 2/18/14               | 49                 | 59      | 47      | 53      | 44      | 49                     | 53      | 56      | 60      | 63      |
| 01        | Eastern Florida State College | BS  | Nursing  | 1105138012   | 7/17/17               | 0                  | 0       | 15      | 36      | 57      | 66                     | 75      | 85      | 94      | 103     |
| 01        | Eastern Florida State College | BAS | Organizational Management                        | 1105202991   | 12/12/12              | 218                | 290     | 357     | 407     | 445     | 515                    | 571     | 627     | 682     | 738     |
| 01        | Eastern Florida State College | BS  | Science Teacher Education                        | 1101313161   | 7/15/20               | 0                  | 0       | 0       | 0       | 0       | 20                     | 50      | 75      | 103     | 131     |
| 02        | Broward College               | BS  | Environmental Science                            | 1100301991   | 11/19/13              | 33                 | 24      | 22      | 24      | 22      | 29                     | 31      | 34      | 36      | 39      |
| 02        | Broward College               | BAS | Information Technology                           | 1101101032   | 1/21/09               | 69                 | 105     | 105     | 164     | 134     | 182                    | 157     | 205     | 181     | 229     |
| 02        | Broward College               | BAS | Technology Management                            | 1101110991   | 1/21/09               | 21                 | 25      | 21      | 38      | 37      | 38                     | 39      | 40      | 42      | 43      |
| 02        | Broward College               | BS  | Exceptional Student Education                    | 1101310011   | 2/19/08               | 53                 | 51      | 46      | 67      | 50      | 51                     | 49      | 48      | 46      | 45      |
| 02        | Broward College               | BS  | Secondary Mathematics Education                  | 1101313111   | 2/19/08               | 1                  | 7       | 1       | 6       | 6       | 6                      | 4       | 6       | 4       | 6       |
| 02        | Broward College               | BS  | Middle Grades Mathematics Education              | 1101313112   | 2/19/08               | 3                  | 2       | 1       | 0       | 0       | 0                      | 0       | 0       | 0       | 0       |
| 02        | Broward College               | BS  | Secondary Biology Education                      | 1101313221   | 2/19/08               | 2                  | 1       | 4       | 3       | 3       | 4                      | 5       | 5       | 5       | 6       |
| 02        | Broward College               | BS  | Aerospace Sciences                               | 1104901011   | 11/16/16              | 0                  | 0       | 19      | 24      | 27      | 33                     | 38      | 43      | 49      | 54      |
| 02        | Broward College               | BS  | Nursing  | 1105138012   | 1/21/09               | 117                | 110     | 102     | 108     | 92      | 100                    | 101     | 101     | 102     | 102     |
| 02        | Broward College               | BAS | Supply Chain Management                          | 1105202031   | 11/6/12               | 52                 | 43      | 51      | 33      | 32      | 35                     | 37      | 39      | 41      | 43      |
| 02        | Broward College               | BAS | Supervision and Management                       | 1105202991   | 1/21/09               | 260                | 299     | 293     | 289     | 267     | 304                    | 317     | 330     | 342     | 355     |
| 03        | College of Central Florida    | BS  | Early Childhood Education, Pre-K through Grade 3 | 1101312101   | 3/26/10               | 12                 | 16      | 14      | 13      | 15      | 14                     | 14      | 14      | 14      | 14      |
| 03        | College of Central Florida    | BS  | Nursing  | 1105138012   | 11/19/13              | 35                 | 52      | 56      | 46      | 33      | 36                     | 39      | 42      | 45      | 47      |
| 03        | College of Central Florida    | BAS | Business and Organizational Management           | 1105202991   | 3/26/10               | 152                | 156     | 156     | 173     | 139     | 151                    | 147     | 144     | 141     | 137     |
| 04        | Chipola College               | BS  | Exceptional Student Education                    | 1101310011   | 2/19/08               | 2                  | 4       | 0       | 4       | 5       | 6                      | 4       | 6       | 5       | 7       |
| 04        | Chipola College               | BS  | Elementary Education                             | 1101312021   | 2/19/08               | 10                 | 9       | 11      | 21      | 21      | 22                     | 23      | 23      | 24      | 25      |
| 04        | Chipola College               | BS  | Secondary English Education                      | 1101313051   | 12/17/10              | 1                  | 2       | 3       | 2       | 5       | 5                      | 5       | 5       | 5       | 6       |
| 04        | Chipola College               | BS  | Secondary Mathematics Education                  | 1101313111   | 5/14/02               | 1                  | 0       | 2       | 7       | 0       | 5                      | 5       | 6       | 6       | 6       |
| 04        | Chipola College               | BS  | Middle Grades Mathematics Education              | 1101313112   | 5/14/02               | 1                  | 1       | 2       | 5       | 1       | 4                      | 2       | 4       | 3       | 5       |
| 04        | Chipola College               | BS  | Middle Grades Science Education                  | 1101313165   | 5/14/02               | 1                  | 0       | 2       | 3       | 1       | 2                      | 3       | 3       | 4       | 4       |
| 04        | Chipola College               | BS  | Secondary Science-Biology Education              | 1101313221   | 5/14/02               | 0                  | 0       | 0       | 1       | 0       | 0                      | 0       | 0       | 0       | 0       |
| 04        | Chipola College               | BS  | Nursing  | 1105138012   | 2/19/08               | 31                 | 28      | 27      | 25      | 26      | 25                     | 22      | 22      | 20      | 20      |
| 04        | Chipola College               | BS  | Business Administration                          | 1105202011   | 12/17/10              | 16                 | 25      | 28      | 14      | 28      | 28                     | 29      | 30      | 32      | 33      |
| 05        | Daytona State College         | BS  | Secondary Earth/Space Science Education          | 1101313163   | 2/19/08               | 2                  | 0       | 0       | 0       | 0       | 0                      | 0       | 0       | 0       | 0       |
| 05        | Daytona State College         | BS  | Engineering Technology                           | 1101599991   | 5/18/10               | 24                 | 33      | 34      | 42      | 42      | 45                     | 48      | 50      | 53      | 56      |
| 05        | Daytona State College         | BS  | Information Technology                           | 1101101032   | 9/17/13               | 26                 | 29      | 45      | 34      | 25      | 33                     | 34      | 35      | 36      | 38      |
| 05        | Daytona State College         | BS  | Accounting                                       | 1105203011   | 11/15/19              | 0                  | 0       | 0       | 0       | 8       | 18                     | 26      | 34      | 42      | 50      |
| 05        | Daytona State College         | BS  | Exceptional Student Education                    | 1101310011   | 2/19/08               | 7                  | 6       | 8       | 9       | 4       | 5                      | 4       | 4       | 3       | 2       |
| 05        | Daytona State College         | BS  | Elementary Education                             | 1101312021   | 2/19/08               | 39                 | 38      | 54      | 36      | 42      | 40                     | 48      | 43      | 51      | 46      |
| 05        | Daytona State College         | BS  | Secondary Mathematics Education                  | 1101313111   | 2/19/08               | 0                  | 4       | 5       | 2       | 2       | 2                      | 2       | 2       | 2       | 2       |
| 05        | Daytona State College         | BS  | Secondary Biology Education                      | 1101313221   | 2/19/08               | 1                  | 1       | 0       | 4       | 2       | 2                      | 3       | 3       | 3       | 3       |
| 05        | Daytona State College         | BS  | Secondary Chemistry Education                    | 1101313231   | 2/19/08               | 2                  | 0       | 0       | 1       | 0       | 0                      | 0       | 0       | 0       | 0       |
| 05        | Daytona State College         | BS  | Secondary Physics Education                      | 1101313291   | 2/19/08               | 0                  | 0       | 0       | 0       | 1       | 1                      | 1       | 1       | 1       | 1       |

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| College # | College                               | Deg | Program Title   | 10-Digit CIP | Program Approval Date | Actual Completions |         |         |         |         | Completion Projections |         |         |         |         |
|-----------|---------------------------------------|-----|---|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |                                       |     |   |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 05        | Daytona State College                 | BS  | Nursing   | 1105138012   | 9/17/13               | 80                 | 102     | 131     | 145     | 153     | 168                    | 183     | 197     | 211     | 226     |
| 05        | Daytona State College                 | BAS | Supervision and Management                            | 1105202991   | 4/19/05               | 256                | 272     | 269     | 231     | 244     | 232                    | 229     | 218     | 215     | 204     |
| 06        | Florida SouthWestern State College    | BAS | Cardiopulmonary Sciences                              | 1105109081   | 3/26/10               | 5                  | 6       | 13      | 14      | 15      | 16                     | 18      | 19      | 20      | 22      |
| 06        | Florida SouthWestern State College    | BS  | Elementary Education                                  | 1101312021   | 2/19/08               | 46                 | 70      | 63      | 59      | 76      | 83                     | 77      | 91      | 85      | 100     |
| 06        | Florida SouthWestern State College    | BAS | Information Systems Technology                        | 1101101032   | 1/13/21               | 0                  | 0       | 0       | 0       | 0       | 13                     | 27      | 40      | 54      | 67      |
| 06        | Florida SouthWestern State College    | BAS | Public Safety Administration                          | 1104399991   | 4/19/05               | 22                 | 25      | 22      | 24      | 22      | 24                     | 21      | 23      | 21      | 22      |
| 06        | Florida SouthWestern State College    | BS  | Nursing   | 1105138012   | 2/19/08               | 92                 | 108     | 92      | 162     | 159     | 169                    | 182     | 196     | 209     | 223     |
| 06        | Florida SouthWestern State College    | BAS | Supervision and Management                            | 1105202991   | 2/19/08               | 103                | 128     | 138     | 139     | 99      | 127                    | 131     | 134     | 138     | 141     |
| 07        | Florida State College at Jacksonville | BAS | Supervision and Management                            | 1105202991   | 2/19/08               | 196                | 194     | 100     | 223     | 331     | 328                    | 336     | 344     | 352     | 360     |
| 07        | Florida State College at Jacksonville | BS  | Financial Services                                    | 1105208031   | 7/17/12               | 18                 | 32      | 18      | 57      | 89      | 86                     | 99      | 112     | 124     | 137     |
| 07        | Florida State College at Jacksonville | BS  | Communication and Media                               | 1100901021   | 10/18/11              | 23                 | 23      | 13      | 25      | 24      | 22                     | 21      | 20      | 19      | 19      |
| 07        | Florida State College at Jacksonville | BAS | Digital Media   | 1101003041   | 6/21/11               | 28                 | 24      | 16      | 31      | 22      | 25                     | 26      | 27      | 28      | 29      |
| 07        | Florida State College at Jacksonville | BAS | Computer Networking                                   | 1101109011   | 2/19/08               | 43                 | 47      | 28      | 54      | 31      | 41                     | 22      | 34      | 15      | 27      |
| 07        | Florida State College at Jacksonville | BAS | Information Technology Management                     | 1101110991   | 1/21/09               | 55                 | 48      | 28      | 68      | 41      | 45                     | 43      | 42      | 41      | 40      |
| 07        | Florida State College at Jacksonville | BS  | Early Childhood Education - Age Three Through Grade 3 | 1101312101   | 1/21/09               | 30                 | 25      | 19      | 42      | 29      | 25                     | 24      | 23      | 21      | 20      |
| 07        | Florida State College at Jacksonville | BS  | Biomedical Sciences                                   | 1102601021   | 12/17/10              | 41                 | 28      | 30      | 45      | 28      | 33                     | 32      | 31      | 29      | 28      |
| 07        | Florida State College at Jacksonville | BAS | Public Safety Management                              | 1104399991   | 1/21/09               | 37                 | 51      | 26      | 48      | 42      | 49                     | 41      | 50      | 42      | 52      |
| 07        | Florida State College at Jacksonville | BS  | Human Services  | 1104400001   | 3/27/12               | 62                 | 67      | 83      | 154     | 115     | 189                    | 166     | 235     | 211     | 281     |
| 07        | Florida State College at Jacksonville | BS  | Nursing   | 1105138012   | 2/19/08               | 129                | 115     | 99      | 202     | 159     | 175                    | 185     | 196     | 206     | 216     |
| 07        | Florida State College at Jacksonville | BS  | Business Administration                               | 1105202011   | 9/21/10               | 115                | 146     | 92      | 178     | 146     | 183                    | 155     | 198     | 170     | 213     |
| 07        | Florida State College at Jacksonville | BAS | Logistics   | 1105202031   | 11/19/13              | 42                 | 36      | 30      | 48      | 55      | 57                     | 62      | 68      | 73      | 79      |
| 08        | The College of the Florida Keys       | BAS | Supervision and Management                            | 1105202991   | 1/6/16                | 8                  | 7       | 8       | 7       | 16      | 15                     | 18      | 20      | 22      | 24      |
| 08        | The College of the Florida Keys       | BAS | Marine Resource Management                            | 1103032011   | 7/17/19               | 0                  | 0       | 0       | 0       | 6       | 4                      | 4       | 5       | 6       | 6       |
| 08        | The College of the Florida Keys       | BS  | Nursing   | 1105138012   | 5/16/17               | 0                  | 0       | 0       | 2       | 5       | 6                      | 6       | 7       | 8       | 8       |
| 09        | Gulf Coast State College              | BAS | Digital Media   | 1101003041   | 5/21/13               | 8                  | 7       | 9       | 6       | 7       | 7                      | 7       | 7       | 8       | 8       |
| 09        | Gulf Coast State College              | BAS | Organizational Management                             | 1105202991   | 11/6/12               | 19                 | 24      | 27      | 13      | 18      | 19                     | 21      | 23      | 24      | 26      |
| 09        | Gulf Coast State College              | BAS | Technology Management                                 | 1101110991   | 3/26/10               | 10                 | 16      | 10      | 11      | 7       | 11                     | 11      | 12      | 12      | 12      |
| 09        | Gulf Coast State College              | BS  | Nursing   | 1105138012   | 3/27/12               | 30                 | 37      | 27      | 34      | 47      | 49                     | 47      | 57      | 55      | 65      |
| 10        | Hillsborough Community College        | BS  | Nursing   | 1105138012   | 8/18/21               | 0                  | 0       | 0       | 0       | 0       | 0                      | 135     | 150     | 285     | 352     |
| 11        | Indian River State College            | BAS | Organizational Management                             | 1105202991   | 2/20/07               | 111                | 98      | 118     | 114     | 116     | 112                    | 109     | 106     | 102     | 99      |
| 11        | Indian River State College            | BAS | Digital Media   | 1101003041   | 5/18/10               | 42                 | 39      | 39      | 39      | 26      | 25                     | 21      | 17      | 13      | 9       |
| 11        | Indian River State College            | BS  | Information Technology and Security Management        | 1101101034   | 5/10/12               | 45                 | 45      | 57      | 60      | 61      | 68                     | 73      | 78      | 83      | 88      |
| 11        | Indian River State College            | BS  | Exceptional Student Education-with ESOL Endorsement   | 1101310011   | 2/20/07               | 9                  | 9       | 8       | 12      | 4       | 2                      | 0       | 0       | 0       | 0       |
| 11        | Indian River State College            | BS  | Elementary Education                                  | 1101312021   | 9/17/13               | 24                 | 29      | 28      | 20      | 29      | 30                     | 32      | 34      | 36      | 39      |
| 11        | Indian River State College            | BS  | Secondary Mathematics Education                       | 1101313111   | 2/20/07               | 4                  | 3       | 3       | 0       | 2       | 2                      | 2       | 2       | 2       | 2       |
| 11        | Indian River State College            | BS  | Middle Grades Mathematics Education                   | 1101313112   | 2/20/07               | 5                  | 3       | 1       | 1       | 2       | 0                      | 0       | 0       | 0       | 0       |
| 11        | Indian River State College            | BS  | Middle Grades Science Education                       | 1101313165   | 2/20/07               | 6                  | 3       | 7       | 3       | 2       | 0                      | 3       | 0       | 2       | 0       |
| 11        | Indian River State College            | BS  | Secondary Biology Education                           | 1101313221   | 2/20/07               | 0                  | 0       | 2       | 0       | 0       | 0                      | 0       | 0       | 0       | 0       |

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| College # | College                                    | Deg | Program Title                                  | 10-Digit CIP | Program Approval Date | Actual Completions |         |         |         |         | Completion Projections |         |         |         |         |
|-----------|--|-----|--|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |  |     |  |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 11        | Indian River State College                 | BS  | Biology  | 1102601011   | 5/18/10               | 43                 | 44      | 38      | 35      | 47      | 45                     | 46      | 48      | 50      | 52      |
| 11        | Indian River State College                 | BS  | Criminal Justice                               | 1104301041   | 3/27/12               | 79                 | 80      | 71      | 72      | 63      | 67                     | 59      | 62      | 54      | 58      |
| 11        | Indian River State College                 | BS  | Human Services                                 | 1104400001   | 5/18/10               | 124                | 115     | 121     | 149     | 105     | 118                    | 117     | 116     | 116     | 115     |
| 11        | Indian River State College                 | BS  | Public Administration                          | 1104404011   | 5/10/12               | 21                 | 32      | 23      | 21      | 22      | 25                     | 25      | 26      | 27      | 28      |
| 11        | Indian River State College                 | BS  | Health Care Management                         | 1105107011   | 9/17/13               | 40                 | 27      | 35      | 23      | 36      | 38                     | 41      | 45      | 48      | 51      |
| 11        | Indian River State College                 | BS  | Nursing  | 1105138012   | 2/20/07               | 82                 | 106     | 116     | 132     | 83      | 116                    | 121     | 126     | 131     | 137     |
| 11        | Indian River State College                 | BS  | Business Administration                        | 1105202011   | 3/27/12               | 90                 | 73      | 101     | 87      | 84      | 78                     | 101     | 89      | 111     | 99      |
| 11        | Indian River State College                 | BS  | Accounting                                     | 1105203011   | 9/17/13               | 49                 | 49      | 46      | 47      | 30      | 31                     | 30      | 29      | 28      | 27      |
| 12        | Florida Gateway College                    | BAS | Water Resource Management                      | 1100302052   | 3/18/14               | 4                  | 2       | 4       | 2       | 19      | 14                     | 16      | 18      | 20      | 22      |
| 12        | Florida Gateway College                    | BS  | certification                                  | 1101312102   | 9/20/11               | 8                  | 9       | 11      | 23      | 17      | 22                     | 25      | 28      | 31      | 34      |
| 12        | Florida Gateway College                    | BS  | Nursing  | 1105138012   | 6/21/11               | 20                 | 37      | 51      | 36      | 26      | 42                     | 46      | 50      | 54      | 58      |
| 12        | Florida Gateway College                    | BS  | Elementary Education                           | 1101312021   | 11/15/19              | 0                  | 0       | 0       | 0       | 0       | 9                      | 18      | 27      | 36      | 45      |
| 13        | Lake-Sumter State College                  | BS  | RN to BSN                                      | 1105138012   | 7/17/17               | 0                  | 0       | 16      | 38      | 23      | 36                     | 42      | 48      | 54      | 59      |
| 13        | Lake-Sumter State College                  | BAS | Organizational Management                      | 1105202991   | 3/27/12               | 32                 | 27      | 33      | 36      | 47      | 48                     | 50      | 52      | 54      | 56      |
| 14        | State College of Florida, Manatee-Sarasota | BS  | Early Childhood Education, Birth through Age 4 | 1101312102   | 3/26/10               | 20                 | 21      | 17      | 34      | 37      | 39                     | 42      | 46      | 50      | 54      |
| 14        | State College of Florida, Manatee-Sarasota | BAS | Public Safety Administration/Homeland Security | 1104399991   | 3/26/10               | 16                 | 16      | 19      | 21      | 21      | 22                     | 24      | 25      | 26      | 27      |
| 14        | State College of Florida, Manatee-Sarasota | BAS | Health Services Administration                 | 1105107011   | 3/26/10               | 31                 | 32      | 23      | 20      | 27      | 24                     | 23      | 21      | 20      | 19      |
| 14        | State College of Florida, Manatee-Sarasota | BS  | Nursing  | 1105138012   | 3/17/09               | 181                | 186     | 156     | 164     | 172     | 171                    | 172     | 174     | 175     | 176     |
| 14        | State College of Florida, Manatee-Sarasota | BAS | Supervision and Management                     | 1105202011   | 3/19/19               | 0                  | 0       | 0       | 2       | 22      | 14                     | 17      | 19      | 22      | 24      |
| 14        | State College of Florida, Manatee-Sarasota | BS  | Elementary Education                           | 1101312021   | 3/30/22               | 0                  | 0       | 0       | 0       | 0       | 0                      | 20      | 30      | 40      | 54      |
| 14        | State College of Florida, Manatee-Sarasota | BS  | Exceptional Student Education                  | 1101310011   | 3/30/22               | 0                  | 0       | 0       | 0       | 0       | 0                      | 6       | 12      | 23      | 30      |
| 15        | Miami Dade College                         | BS  | Data Analytics                                 | 1101101011   | 9/23/16               | 0                  | 19      | 29      | 33      | 61      | 63                     | 73      | 83      | 93      | 103     |
| 15        | Miami Dade College                         | BS  | Cybersecurity                                  | 1101110031   | 7/15/20               | 0                  | 0       | 0       | 0       | 8       | 12                     | 23      | 28      | 37      | 45      |
| 15        | Miami Dade College                         | BS  | Information Systems Technology                 | 1101101034   | 11/19/13              | 98                 | 83      | 108     | 110     | 97      | 113                    | 123     | 133     | 143     | 153     |
| 15        | Miami Dade College                         | BS  | Exceptional Student Education                  | 1101310011   | 5/14/02               | 55                 | 47      | 53      | 48      | 55      | 50                     | 47      | 43      | 40      | 36      |
| 15        | Miami Dade College                         | BS  | Age 4  | 1101312103   | 9/20/11               | 45                 | 25      | 43      | 34      | 61      | 46                     | 64      | 55      | 73      | 64      |
| 15        | Miami Dade College                         | BS  | Secondary Mathematics Education                | 1101313111   | 5/14/02               | 8                  | 5       | 4       | 2       | 1       | 0                      | 0       | 0       | 0       | 0       |
| 15        | Miami Dade College                         | BS  | Secondary Biology Education                    | 1101313221   | 5/14/02               | 0                  | 1       | 5       | 1       | 0       | 1                      | 1       | 1       | 1       | 0       |
| 15        | Miami Dade College                         | BS  | Electronics Engineering Technology             | 1101503031   | 3/26/10               | 8                  | 10      | 18      | 16      | 26      | 22                     | 23      | 24      | 25      | 26      |
| 15        | Miami Dade College                         | BS  | Biological Sciences                            | 1102601011   | 6/21/11               | 36                 | 51      | 49      | 79      | 44      | 74                     | 55      | 79      | 60      | 85      |
| 15        | Miami Dade College                         | BAS | Public Safety Management                       | 1104399991   | 3/21/06               | 114                | 142     | 128     | 160     | 161     | 165                    | 170     | 174     | 179     | 184     |
| 15        | Miami Dade College                         | BAS | Film, Television, and Digital Production       | 1105006021   | 1/21/09               | 37                 | 57      | 49      | 60      | 74      | 72                     | 76      | 80      | 84      | 88      |
| 15        | Miami Dade College                         | BAS | Studies  | 1105100002   | 1/21/09               | 17                 | 21      | 5       | 63      | 56      | 62                     | 69      | 77      | 85      | 92      |
| 15        | Miami Dade College                         | BS  | Nursing  | 1105138012   | 2/20/07               | 282                | 277     | 281     | 229     | 206     | 196                    | 177     | 157     | 138     | 119     |
| 15        | Miami Dade College                         | BAS | Supply Chain Management                        | 1105202032   | 11/19/13              | 17                 | 25      | 26      | 26      | 17      | 21                     | 24      | 26      | 29      | 32      |
| 15        | Miami Dade College                         | BAS | Supervision and Management                     | 1105202991   | 1/21/09               | 443                | 455     | 402     | 529     | 519     | 533                    | 536     | 567     | 570     | 600     |
| 16        | North Florida College                      | BS  | Nursing  | 1105138012   | 9/23/16               | 0                  | 9       | 17      | 23      | 45      | 51                     | 58      | 65      | 72      | 79      |
| 17        | Northwest Florida State College            | BS  | Elementary Education                           | 1101312021   | 2/20/07               | 15                 | 20      | 15      | 9       | 11      | 4                      | 5       | 0       | 0       | 0       |



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|-----------|---------------------------------|-----|--|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |                                 |     |  |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 17        | Northwest Florida State College | BS  | certification                                  | 1101312102   | 3/19/13               | 8                  | 20      | 16      | 14      | 25      | 25                     | 27      | 30      | 32      | 34      |
| 17        | Northwest Florida State College | BS  | Nursing  | 1105138012   | 2/19/08               | 41                 | 50      | 45      | 51      | 32      | 43                     | 43      | 44      | 44      | 45      |
| 17        | Northwest Florida State College | BAS | Project Management                             | 1105202021   | 5/15/03               | 44                 | 30      | 26      | 22      | 21      | 8                      | 0       | 0       | 0       | 0       |
| 17        | Northwest Florida State College | BAS | Supervision and Management                     | 1105202991   | 6/18/13               | 36                 | 43      | 35      | 51      | 41      | 53                     | 44      | 56      | 47      | 59      |
| 18        | Palm Beach State College        | BAS | Information Management                         | 1101110991   | 6/15/10               | 54                 | 58      | 61      | 66      | 54      | 59                     | 62      | 65      | 69      | 72      |
| 18        | Palm Beach State College        | BS  | Nursing  | 1105138012   | 6/15/10               | 73                 | 84      | 96      | 113     | 114     | 131                    | 143     | 155     | 168     | 180     |
| 18        | Palm Beach State College        | BAS | Supervision and Management                     | 1105202991   | 2/19/08               | 226                | 286     | 323     | 306     | 236     | 285                    | 293     | 300     | 308     | 316     |
| 18        | Palm Beach State College        | BS  | Human Services                                 | 1104400001   | 4/1/20                | 0                  | 0       | 0       | 0       | 8       | 0                      | 28      | 33      | 52      | 70      |
| 18        | Palm Beach State College        | BS  | Cardiopulmonary Sciences                       | 1105109081   | 4/1/20                | 0                  | 0       | 0       | 0       | 1       | 0                      | 25      | 36      | 56      | 74      |
| 19        | Pasco-Hernando State College    | BS  | Nursing  | 1105138012   | 6/18/13               | 31                 | 47      | 90      | 81      | 45      | 75                     | 84      | 92      | 101     | 109     |
| 19        | Pasco-Hernando State College    | BAS | Supervision and Management                     | 1105202991   | 6/18/13               | 119                | 167     | 135     | 143     | 141     | 163                    | 182     | 201     | 220     | 240     |
| 20        | Pensacola State College         | BAS | Cybersecurity                                  | 1101110031   | 1/6/16                | 0                  | 4       | 32      | 34      | 47      | 55                     | 63      | 72      | 80      | 89      |
| 20        | Pensacola State College         | BS  | Nursing  | 1105138012   | 3/26/10               | 27                 | 43      | 45      | 42      | 54      | 55                     | 59      | 63      | 67      | 71      |
| 20        | Pensacola State College         | BAS | Business and Management                        | 1105202991   | 3/26/10               | 126                | 131     | 164     | 169     | 148     | 174                    | 184     | 194     | 204     | 213     |
| 21        | Polk State College              | BS  | Elementary Education                           | 1101312021   | 8/26/15               | 0                  | 16      | 33      | 33      | 23      | 42                     | 48      | 54      | 60      | 66      |
| 21        | Polk State College              | BS  | Early Childhood Education                      | 1101312101   | 8/26/15               | 0                  | 6       | 5       | 8       | 6       | 10                     | 10      | 13      | 13      | 16      |
| 21        | Polk State College              | BS  | Criminal Justice                               | 1104301041   | 7/17/12               | 47                 | 60      | 47      | 49      | 57      | 60                     | 64      | 67      | 71      | 74      |
| 21        | Polk State College              | BS  | Aerospace Science                              | 1104901011   | 9/17/13               | 14                 | 7       | 20      | 21      | 28      | 29                     | 35      | 37      | 43      | 46      |
| 21        | Polk State College              | BS  | Nursing  | 1105138012   | 5/17/11               | 108                | 97      | 93      | 95      | 103     | 109                    | 116     | 122     | 128     | 135     |
| 21        | Polk State College              | BAS | Supervision and Management                     | 1105202991   | 1/21/09               | 281                | 266     | 241     | 256     | 222     | 223                    | 221     | 220     | 218     | 216     |
| 22        | St. Johns River State College   | BS  | Early Childhood Education, P-K through Grade 3 | 1101312101   | 3/26/10               | 13                 | 19      | 19      | 16      | 18      | 16                     | 16      | 15      | 14      | 13      |
| 22        | St. Johns River State College   | BS  | Nursing  | 1105138012   | 5/10/12               | 33                 | 37      | 55      | 59      | 56      | 70                     | 79      | 87      | 96      | 104     |
| 22        | St. Johns River State College   | BAS | Organizational Management                      | 1105202991   | 3/26/10               | 58                 | 47      | 49      | 62      | 62      | 64                     | 67      | 71      | 74      | 78      |
| 23        | St. Petersburg College          | BS  | Cybersecurity                                  | 1101110034   | 2/12/20               | 0                  | 0       | 0       | 0       | 21      | 28                     | 28      | 28      | 28      | 28      |
| 23        | St. Petersburg College          | BAS | Sustainability Management                      | 1100302991   | 5/15/07               | 29                 | 31      | 27      | 27      | 25      | 28                     | 28      | 28      | 28      | 28      |
| 23        | St. Petersburg College          | BAS | Technology Management                          | 1101110051   | 10/17/01              | 127                | 127     | 112     | 144     | 119     | 149                    | 129     | 157     | 137     | 165     |
| 23        | St. Petersburg College          | BS  | Exceptional Student Education                  | 1101310011   | 10/17/01              | 18                 | 6       | 6       | 10      | 9       | 4                      | 0       | 0       | 0       | 0       |
| 23        | St. Petersburg College          | BS  | Elementary Education                           | 1101312021   | 10/17/01              | 58                 | 56      | 42      | 69      | 50      | 57                     | 50      | 55      | 48      | 53      |
| 23        | St. Petersburg College          | BS  | Secondary Mathematics Education                | 1101313111   | 10/17/01              | 4                  | 5       | 3       | 3       | 2       | 1                      | 1       | 0       | 0       | 0       |
| 23        | St. Petersburg College          | BS  | Middle Grades Mathematics Education            | 1101313112   | 2/20/07               | 9                  | 7       | 0       | 0       | 2       | 1                      | 0       | 0       | 0       | 0       |
| 23        | St. Petersburg College          | BS  | Middle Grades Science Education                | 1101313165   | 2/20/07               | 1                  | 2       | 2       | 1       | 1       | 0                      | 0       | 0       | 0       | 0       |
| 23        | St. Petersburg College          | BS  | Educational Studies - non-certification        | 1101399991   | 2/20/07               | 53                 | 68      | 92      | 114     | 105     | 128                    | 142     | 156     | 169     | 183     |
| 23        | St. Petersburg College          | BAS | Paralegal Studies                              | 1102203022   | 8/23/05               | 40                 | 33      | 22      | 34      | 26      | 21                     | 18      | 14      | 11      | 8       |
| 23        | St. Petersburg College          | BS  | Biology, General                               | 1102601011   | 2/18/08               | 40                 | 34      | 58      | 29      | 24      | 25                     | 22      | 19      | 16      | 13      |
| 23        | St. Petersburg College          | BAS | Public Safety Administration                   | 1104399991   | 7/24/03               | 88                 | 88      | 64      | 87      | 95      | 90                     | 92      | 94      | 95      | 97      |
| 23        | St. Petersburg College          | BS  | Public Policy and Administration               | 1104404011   | 2/18/08               | 18                 | 27      | 46      | 31      | 24      | 32                     | 33      | 34      | 34      | 35      |
| 23        | St. Petersburg College          | BAS | Dental Hygiene                                 | 1105106021   | 3/20/03               | 40                 | 50      | 58      | 54      | 58      | 64                     | 68      | 71      | 75      | 79      |
| 23        | St. Petersburg College          | BAS | Veterinary Technology                          | 1105108081   | 1/23/04               | 46                 | 21      | 12      | 38      | 21      | 22                     | 21      | 21      | 21      | 21      |

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|-----------|-----------------------------------|-----|--|--------------|-----------------------|--------------------|---------|---------|---------|---------|------------------------|---------|---------|---------|---------|
|           |                                   |     |  |              |                       | 2017-18            | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23                | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
| 23        | St. Petersburg College            | BAS | Applied Health Sciences                        | 1105122111   | 2/20/07               | 100                | 120     | 98      | 131     | 113     | 147                    | 131     | 164     | 148     | 181     |
| 23        | St. Petersburg College            | BS  | Nursing  | 1105138012   | 10/17/01              | 309                | 237     | 223     | 252     | 192     | 163                    | 156     | 115     | 107     | 66      |
| 23        | St. Petersburg College            | BS  | Business Administration                        | 1105202011   | 12/18/08              | 153                | 137     | 144     | 157     | 112     | 136                    | 138     | 141     | 144     | 147     |
| 23        | St. Petersburg College            | BAS | Management and Organizational Leadership       | 1105202991   | 2/20/07               | 200                | 176     | 184     | 238     | 178     | 221                    | 234     | 247     | 261     | 274     |
| 24        | Santa Fe College                  | BAS | Information Technology and Security Management | 1101101034   | 8/26/15               | 2                  | 21      | 20      | 40      | 11      | 38                     | 32      | 48      | 42      | 57      |
| 24        | Santa Fe College                  | BS  | certification                                  | 1101312102   | 9/21/10               | 26                 | 9       | 24      | 27      | 14      | 17                     | 16      | 16      | 15      | 14      |
| 24        | Santa Fe College                  | BAS | Industrial Biotechnology                       | 1102612011   | 4/16/13               | 4                  | 3       | 1       | 3       | 4       | 3                      | 3       | 3       | 3       | 3       |
| 24        | Santa Fe College                  | BAS | Multimedia and Video Production Technology     | 1105006021   | 3/18/14               | 6                  | 9       | 9       | 7       | 7       | 8                      | 9       | 10      | 11      | 12      |
| 24        | Santa Fe College                  | BAS | Health Services Administration                 | 1105107011   | 1/21/09               | 33                 | 40      | 46      | 39      | 28      | 21                     | 17      | 12      | 8       | 3       |
| 24        | Santa Fe College                  | BAS | Clinical Laboratory Science                    | 1105110051   | 1/21/09               | 12                 | 23      | 21      | 9       | 23      | 20                     | 22      | 24      | 25      | 27      |
| 24        | Santa Fe College                  | BS  | Nursing  | 1105138012   | 10/18/11              | 70                 | 76      | 84      | 89      | 39      | 67                     | 68      | 69      | 69      | 70      |
| 24        | Santa Fe College                  | BAS | Supervision and Organizational Management      | 1105202991   | 3/27/12               | 75                 | 80      | 76      | 73      | 67      | 68                     | 68      | 68      | 68      | 67      |
| 24        | Santa Fe College                  | BS  | Accounting                                     | 1105203011   | 2/16/17               | 0                  | 0       | 8       | 18      | 20      | 24                     | 28      | 31      | 35      | 39      |
| 24        | Seminole State College of Florida | BS  | Public Safety Administration                   | 1104399991   | 2/9/22                | 0                  | 0       | 0       | 0       | 0       | 0                      | 140     | 70      | 132     | 175     |
| 24        | Seminole State College of Florida | BS  | Elementary Education K-6                       | 1101312021   | 2/9/22                | 0                  | 0       | 0       | 0       | 0       | 0                      | 29      | 29      | 29      | 39      |
| 24        | Seminole State College of Florida | BS  | Exceptional Student Education K-12             | 1101310011   | 2/9/22                | 0                  | 0       | 0       | 0       | 0       | 0                      | 19      | 38      | 38      | 55      |
| 24        | Seminole State College of Florida | BAS | Management and Organizational Leadership       | 1105202991   | 3/30/22               | 0                  | 0       | 0       | 0       | 0       | 0                      | 64      | 92      | 143     | 190     |
| 25        | Seminole State College of Florida | BS  | Information Technology And Security Management | 1101101034   | 9/21/10               | 91                 | 129     | 137     | 135     | 111     | 144                    | 152     | 160     | 168     | 176     |
| 25        | Seminole State College of Florida | BS  | Engineering Technology                         | 1101501011   | 9/21/10               | 27                 | 22      | 22      | 22      | 17      | 18                     | 18      | 18      | 18      | 18      |
| 25        | Seminole State College of Florida | BS  | Construction                                   | 1101510012   | 9/21/10               | 16                 | 24      | 30      | 48      | 47      | 54                     | 61      | 68      | 74      | 81      |
| 25        | Seminole State College of Florida | BAS | Interior Design                                | 1105004083   | 1/21/09               | 24                 | 28      | 34      | 35      | 42      | 41                     | 47      | 47      | 53      | 53      |
| 25        | Seminole State College of Florida | BS  | Health Sciences                                | 1105100005   | 8/26/15               | 52                 | 126     | 128     | 164     | 147     | 211                    | 241     | 271     | 302     | 332     |
| 25        | Seminole State College of Florida | BS  | Nursing  | 1105138012   | 7/17/17               | 0                  | 6       | 49      | 64      | 61      | 78                     | 91      | 104     | 117     | 130     |
| 25        | Seminole State College of Florida | BS  | Business Information Management                | 1105212011   | 9/21/10               | 154                | 135     | 146     | 139     | 128     | 131                    | 133     | 135     | 136     | 138     |
| 26        | South Florida State College       | BS  | Elementary Education                           | 1101312021   | 1/21/14               | 9                  | 13      | 16      | 8       | 10      | 12                     | 12      | 13      | 13      | 14      |
| 26        | South Florida State College       | BS  | Nursing  | 1105138012   | 1/21/14               | 26                 | 15      | 15      | 5       | 14      | 12                     | 12      | 11      | 11      | 10      |
| 26        | South Florida State College       | BAS | Supervision and Management                     | 1105202991   | 9/20/11               | 28                 | 37      | 35      | 30      | 41      | 39                     | 40      | 41      | 42      | 43      |
| 27        | Tallahassee Community College     | BSN | Bachelor of Science in Nursing                 | 1105138012   | 8/26/15               | 0                  | 12      | 19      | 23      | 24      | 31                     | 36      | 41      | 46      | 51      |
| 28        | Valencia College                  | BS  | Radiologic and Imaging Sciences                | 1105109071   | 9/21/10               | 47                 | 24      | 31      | 37      | 38      | 34                     | 35      | 35      | 35      | 36      |
| 28        | Valencia College                  | BAS | Business Administration                        | 1105202011   | 7/7/17                | 0                  | 8       | 208     | 421     | 491     | 582                    | 672     | 762     | 852     | 942     |
| 28        | Valencia College                  | BAS | Computing Technology & Software Development    | 1101101034   | 10/25/18              | 0                  | 0       | 0       | 21      | 46      | 52                     | 59      | 65      | 72      | 78      |
| 28        | Valencia College                  | BS  | Electrical and Computer Engineering Technology | 1101503031   | 9/21/10               | 23                 | 26      | 26      | 31      | 22      | 27                     | 28      | 28      | 29      | 30      |
| 28        | Valencia College                  | BS  | Cardiopulmonary Sciences                       | 1105109081   | 6/18/13               | 19                 | 22      | 20      | 24      | 28      | 29                     | 31      | 34      | 36      | 38      |
| 28        | Valencia College                  | BS  | Nursing  | 1105138012   | 7/7/17                | 0                  | 0       | 54      | 110     | 139     | 164                    | 190     | 215     | 241     | 266     |

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|-------------|--|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |  | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |  | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 010000      | Agribusiness & Agric. Production                   | 16        | 11        | 27        | 16        | 36        | 29        | 3                        | 10%                    | 30                             | 30      | 30      | 30      | 30      |
| 010102      | Agricultural Business/Operations                   | 11        | 7         | 3         | 11        | 6         | 9         | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 010103      | Ag (Food and Resource) Economics                   | 131       | 133       | 147       | 124       | 114       | 98        | -7                       | -7%                    | 90                             | 80      | 70      | 70      | 70      |
| 010901      | Animal Sciences                                    | 119       | 154       | 151       | 195       | 144       | 142       | 5                        | 4%                     | 150                            | 160     | 160     | 160     | 160     |
| 011001      | Food Sciences and Technology                       | 119       | 42        | 33        | 18        | 31        | 30        | -18                      | -60%                   | 30                             | 30      | 30      | 30      | 30      |
| 011101      | Plant Sciences                                     | 34        | 38        | 40        | 38        | 55        | 52        | 4                        | 8%                     | 60                             | 60      | 60      | 60      | 60      |
| 011103      | Horticulture Science                               | 20        | 13        | 16        | 29        | 25        | 12        | -2                       | -17%                   | 10                             | 10      | 10      | 10      | 10      |
| 011201      | Soil Sciences                                      | 3         | 3         | 2         | 1         | 6         | 1         | 0                        | 0%                     | 0                              | 0       | 0       | 0       | 0       |
| 030101      | Natural Resources/Conservation General             | 88        | 85        | 75        | 63        | 52        | 41        | -9                       | -22%                   | 40                             | 40      | 40      | 40      | 40      |
| 030103      | Environmental Studies                              | 101       | 146       | 142       | 176       | 178       | 194       | 19                       | 10%                    | 210                            | 230     | 250     | 260     | 270     |
| 030104      | Environmental Science                              | 291       | 268       | 294       | 304       | 308       | 268       | -5                       | -2%                    | 260                            | 260     | 260     | 260     | 260     |
| 030205      | Marine Science                                     | 28        | 26        | 36        | 39        | 21        | 27        | 0                        | 0%                     | 30                             | 30      | 30      | 30      | 30      |
| 030501      | Forest Resources & Conservation                    | 50        | 50        | 61        | 62        | 58        | 77        | 5                        | 6%                     | 80                             | 90      | 90      | 90      | 90      |
| 030601      | Wildlife, Fish and Wildlands Science and Managemen | 59        | 46        | 67        | 49        | 51        | 38        | -4                       | -11%                   | 40                             | 40      | 40      | 40      | 40      |
| 040201      | Architecture                                       | 171       | 203       | 206       | 194       | 226       | 172       | 0                        | 0%                     | 170                            | 170     | 170     | 170     | 170     |
| 040301      | Urban & Regional Planning                          | 36        | 25        | 34        | 24        | 23        | 16        | -4                       | -25%                   | 20                             | 20      | 20      | 20      | 20      |
| 040401      | Environmental Design/Architecture                  | 23        | 24        | 24        | 17        | 23        | 31        | 2                        | 6%                     | 30                             | 30      | 30      | 30      | 30      |
| 040601      | Landscape Architecture                             | 11        | 10        | 9         | 10        | 12        | 13        | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 050103      | Asian Studies                                      | 41        | 34        | 37        | 36        | 29        | 43        | 0                        | 0%                     | 40                             | 40      | 40      | 40      | 40      |
| 050107      | Latin American Studies                             | 4         | 3         | 14        | 12        | 8         | 6         | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 050108      | Middle Eastern Studies                             | 3         | 13        | 7         | 6         | 5         | 8         | 1                        | 13%                    | 10                             | 10      | 10      | 10      | 10      |
| 050124      | French and Francophone Studies                     | 5         | 3         | 4         | 5         | 2         | 2         | -1                       | -50%                   | 0                              | 0       | 0       | 0       | 0       |
| 050134      | Latin American and Caribbean Studies               | 11        | 8         | 8         | 13        | 9         | 12        | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 050201      | African-American (Black) Studies                   | 38        | 50        | 39        | 49        | 36        | 27        | -2                       | -7%                    | 30                             | 30      | 30      | 30      | 30      |
| 050207      | Womens Studies                                     | 45        | 71        | 69        | 61        | 87        | 71        | 5                        | 7%                     | 80                             | 90      | 90      | 90      | 90      |
| 090100      | Communication, General                             |           | 189       | 256       | 233       | 201       | 194       | 39                       | 20%                    | 190                            | 190     | 190     | 190     | 190     |
| 090101      | Speech Communication and Rhetoric                  | 1,346     | 1,382     | 1,336     | 1,426     | 1,414     | 1,213     | -27                      | -2%                    | 1,190                          | 1,170   | 1,150   | 1,130   | 1,110   |
| 090102      | Communication (Mass)                               | 977       | 875       | 774       | 531       | 371       | 359       | -124                     | -35%                   | 360                            | 360     | 360     | 360     | 360     |
| 090401      | Journalism   | 188       | 186       | 220       | 218       | 198       | 252       | 13                       | 5%                     | 270                            | 280     | 290     | 300     | 310     |
| 090701      | Radio & TV Broadcasting                            | 331       | 351       | 317       | 292       | 264       | 253       | -16                      | -6%                    | 240                            | 230     | 220     | 210     | 200     |
| 090702      | Digital Communication and Media/Multimedia         | 371       | 387       | 383       | 442       | 428       | 449       | 16                       | 4%                     | 470                            | 480     | 490     | 500     | 510     |
| 090900      | Public Relations, Advertising, and Applied Communi | 107       | 128       | 178       | 360       | 549       | 611       | 101                      | 17%                    | 610                            | 610     | 610     | 610     | 610     |
| 090902      | Public Relations & Organizational Comm             | 204       | 228       | 264       | 281       | 283       | 304       | 20                       | 7%                     | 320                            | 340     | 360     | 370     | 380     |
| 090903      | Advertising  | 292       | 312       | 331       | 330       | 307       | 304       | 2                        | 1%                     | 310                            | 310     | 310     | 310     | 310     |
| 110101      | Computer and Information Sciences, General         | 995       | 1,257     | 1,393     | 1,577     | 1,822     | 1,879     | 177                      | 9%                     | 2,060                          | 2,220   | 2,360   | 2,480   | 2,590   |
| 110103      | Information Technology                             | 837       | 827       | 869       | 966       | 1,026     | 1,080     | 49                       | 5%                     | 1,130                          | 1,170   | 1,210   | 1,240   | 1,270   |
| 110701      | Computer Science                                   |           |           | 2         | 14        | 104       | 171       | 34                       | 20%                    | 170                            | 170     | 170     | 170     | 170     |
| 111003      | Computer and Information Systems Security/Informat |           |           | 3         | 22        | 30        | 50        | 10                       | 20%                    | 50                             | 50      | 50      | 50      | 50      |
| 130101      | Education, General                                 | 100       | 119       | 130       | 126       | 159       | 182       | 16                       | 9%                     | 200                            | 210     | 220     | 230     | 240     |
| 131001      | Special Ed, General                                | 175       | 169       | 183       | 202       | 197       | 162       | -3                       | -2%                    | 160                            | 160     | 160     | 160     | 160     |
| 131003      | Ed. Of the Deaf and Hearing Impaired               |           | 3         | 7         | 9         | 11        | 5         | 1                        | 20%                    | 10                             | 10      | 10      | 10      | 10      |
| 131009      | Ed. Of the Blind & Visually Handicapped            | 18        | 8         | 10        | 13        | 11        | 11        | -1                       | -9%                    | 10                             | 10      | 10      | 10      | 10      |
| 131202      | Elementary Teacher Ed                              | 1,206     | 1,068     | 1,095     | 1,047     | 936       | 879       | -65                      | -7%                    | 810                            | 750     | 700     | 660     | 620     |
| 131203      | JR High/Middle School Ed                           | 2         | 3         | 6         | 2         | 1         | 6         | 1                        | 17%                    | 10                             | 10      | 10      | 10      | 10      |
| 131205      | Secondary Teacher Ed                               | 45        | 50        | 62        | 114       | 113       | 129       | 17                       | 13%                    | 130                            | 130     | 130     | 130     | 130     |
| 131206      | Teacher Education Multiple Levels                  | 71        | 56        | 63        | 86        | 79        | 67        | -1                       | -1%                    | 70                             | 70      | 70      | 70      | 70      |
| 131210      | Pre-Elem/Early Childhood Teacher Ed.               | 313       | 322       | 346       | 329       | 372       | 361       | 10                       | 3%                     | 370                            | 380     | 390     | 400     | 410     |

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|-------------|--|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |  | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |  | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 131301      | Agricultural Teacher Ed. (Voc)                     | 56        | 61        | 70        | 64        | 45        | 63        | 1                        | 2%                     | 60                             | 60      | 60      | 60      | 60      |
| 131302      | Art Teacher Ed.                                    | 23        | 24        | 15        | 29        | 22        | 14        | -2                       | -14%                   | 10                             | 10      | 10      | 10      | 10      |
| 131305      | English Teacher Ed.                                | 132       | 93        | 88        | 83        | 51        | 62        | -14                      | -23%                   | 60                             | 60      | 60      | 60      | 60      |
| 131311      | Mathematics Teacher Ed.                            | 58        | 47        | 44        | 34        | 41        | 19        | -8                       | -42%                   | 20                             | 20      | 20      | 20      | 20      |
| 131312      | Music Teacher Ed.                                  | 123       | 116       | 124       | 127       | 126       | 154       | 6                        | 4%                     | 160                            | 170     | 180     | 180     | 180     |
| 131314      | Physical Ed. Teaching & Coaching                   | 514       | 538       | 560       | 581       | 472       | 263       | -50                      | -19%                   | 260                            | 260     | 260     | 260     | 260     |
| 131316      | Science Teacher Ed.                                | 41        | 35        | 16        | 16        | 14        | 12        | -6                       | -50%                   | 10                             | 10      | 10      | 10      | 10      |
| 131317      | Social Science Teacher Ed.                         | 121       | 92        | 117       | 68        | 50        | 53        | -14                      | -26%                   | 50                             | 50      | 50      | 50      | 50      |
| 131320      | Trade and Industrial Teacher Ed                    | 29        | 28        | 26        | 19        | 9         | 6         | -5                       | -83%                   | 10                             | 10      | 10      | 10      | 10      |
| 140201      | Aerospace, Aeronautical and Astronautical/Space En | 190       | 180       | 258       | 317       | 332       | 326       | 27                       | 8%                     | 350                            | 370     | 390     | 410     | 430     |
| 140301      | Agricultural Engineering                           | 5         | 4         | 4         | 8         | 4         | 3         | 0                        | 0%                     | 0                              | 0       | 0       | 0       | 0       |
| 140501      | Bioengineering and Biomedical Engineering          | 146       | 162       | 203       | 195       | 256       | 252       | 21                       | 8%                     | 270                            | 290     | 310     | 330     | 340     |
| 140701      | Chemical Engineering                               | 270       | 347       | 347       | 309       | 293       | 270       | 0                        | 0%                     | 270                            | 270     | 270     | 270     | 270     |
| 140801      | Civil Engineering                                  | 646       | 668       | 710       | 785       | 808       | 793       | 29                       | 4%                     | 820                            | 850     | 870     | 890     | 910     |
| 140803      | Structural Engineering                             | 9         | 7         | 6         | 9         | 11        | 6         | -1                       | -17%                   | 10                             | 10      | 10      | 10      | 10      |
| 140901      | Computer Engineering                               | 426       | 426       | 508       | 536       | 561       | 634       | 42                       | 7%                     | 680                            | 720     | 750     | 780     | 810     |
| 140903      | Computer Software Engineering                      | 34        | 61        | 55        | 56        | 72        | 68        | 7                        | 10%                    | 70                             | 70      | 70      | 70      | 70      |
| 141001      | Electrical and Electronics Engineering             | 666       | 648       | 665       | 697       | 767       | 769       | 21                       | 3%                     | 790                            | 810     | 830     | 850     | 860     |
| 141003      | Laser and Optical Engineering                      | 14        | 13        | 17        | 19        | 25        | 36        | 4                        | 11%                    | 40                             | 40      | 40      | 40      | 40      |
| 141401      | Environmental Engineering                          | 112       | 127       | 121       | 132       | 138       | 140       | 6                        | 4%                     | 150                            | 160     | 170     | 170     | 170     |
| 141801      | Materials Engineering                              | 39        | 47        | 62        | 70        | 61        | 59        | 4                        | 7%                     | 60                             | 60      | 60      | 60      | 60      |
| 141901      | Mechanical Engineering                             | 1,104     | 1,344     | 1,440     | 1,528     | 1,577     | 1,519     | 83                       | 5%                     | 1,600                          | 1,680   | 1,750   | 1,810   | 1,860   |
| 142301      | Nuclear Engineering                                | 27        | 15        | 14        | 21        | 9         | 12        | -3                       | -25%                   | 10                             | 10      | 10      | 10      | 10      |
| 142401      | Coastal & Ocean Engineering                        | 38        | 27        | 23        | 24        | 23        | 20        | -4                       | -20%                   | 20                             | 20      | 20      | 20      | 20      |
| 142701      | Industrial & Systems Engineering                   | 133       | 103       | 127       | 119       | 140       | 123       | -2                       | -2%                    | 120                            | 120     | 120     | 120     | 120     |
| 143501      | Industrial/Manufacturing Engineering               | 227       | 253       | 207       | 268       | 231       | 223       | -1                       | 0%                     | 220                            | 220     | 220     | 220     | 220     |
| 143801      | Surveying Engineering                              | 6         | 3         | 6         | 5         | 10        | 34        | 6                        | 18%                    | 30                             | 30      | 30      | 30      | 30      |
| 144501      | Biological/Biosystems Engineering                  | 36        | 35        | 20        | 23        | 17        | 17        | -4                       | -24%                   | 20                             | 20      | 20      | 20      | 20      |
| 150000      | Engineering Technologies and Engineering-Related F | 31        | 26        | 28        | 32        | 34        | 21        | -2                       | -10%                   | 20                             | 20      | 20      | 20      | 20      |
| 150303      | Electronic Engineering Technology                  | 7         | 9         | 11        | 5         | 8         | 6         | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 151001      | Construction/Building Tech.                        | 165       | 143       | 202       | 241       | 246       | 257       | 18                       | 7%                     | 280                            | 300     | 310     | 320     | 330     |
| 151102      | Surveying  | 16        | 23        | 16        | 14        | 20        | 14        | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 159999      | Engineering Technologies and Engineering-Related F |           |           |           | 4         | 11        | 31        | 6                        | 19%                    | 30                             | 30      | 30      | 30      | 30      |
| 160101      | Foreign Lang, Multiple                             | 17        | 41        | 97        | 169       | 153       | 124       | 21                       | 17%                    | 120                            | 120     | 120     | 120     | 120     |
| 160102      | Linguistics  | 81        | 78        | 87        | 47        | 45        | 46        | -7                       | -15%                   | 50                             | 50      | 50      | 50      | 50      |
| 160399      | East Asian Lang/Literature                         | 74        | 36        | 35        | 20        | 22        | 17        | -11                      | -65%                   | 20                             | 20      | 20      | 20      | 20      |
| 160402      | Russian  | 26        | 21        | 21        | 8         | 16        | 5         | -4                       | -80%                   | 10                             | 10      | 10      | 10      | 10      |
| 160901      | French   | 77        | 49        | 46        | 29        | 19        | 25        | -10                      | -40%                   | 30                             | 30      | 30      | 30      | 30      |
| 160902      | Italian  | 9         | 9         | 6         | 6         | 4         | 6         | -1                       | -17%                   | 10                             | 10      | 10      | 10      | 10      |
| 160904      | Portuguese   | 5         | 4         | 3         | 7         | 6         | 4         | 0                        | 0%                     | 0                              | 0       | 0       | 0       | 0       |
| 160905      | Spanish  | 154       | 235       | 221       | 208       | 172       | 170       | 3                        | 2%                     | 170                            | 170     | 170     | 170     | 170     |
| 161200      | Classics   | 43        | 37        | 35        | 32        | 24        | 35        | -2                       | -6%                    | 30                             | 30      | 30      | 30      | 30      |
| 161603      | Sign Language Interpretation & Translation         | 29        | 13        | 16        | 18        | 17        | 14        | -3                       | -21%                   | 10                             | 10      | 10      | 10      | 10      |
| 190701      | Home & Family Life                                 | 236       | 212       | 264       | 309       | 328       | 273       | 7                        | 3%                     | 280                            | 290     | 300     | 310     | 310     |
| 190707      | Family and Community Studies                       | 121       | 126       | 103       | 122       | 105       | 91        | -6                       | -7%                    | 90                             | 90      | 90      | 90      | 90      |
| 190901      | Textiles & Clothing                                | 150       | 171       | 149       | 165       | 145       | 94        | -11                      | -12%                   | 90                             | 90      | 90      | 90      | 90      |
| 220000      | Law  |           | 184       | 246       | 214       | 264       | 235       | 47                       | 20%                    | 240                            | 240     | 240     | 240     | 240     |

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|             |   | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 220302      | Legal Assisting                                   | 399       | 176       | 117       | 120       | 101       | 77        | -64                      | -83%                   | 80                             | 80      | 80      | 80      | 80      |
| 230101      | English, General                                  | 1,615     | 1,606     | 1,605     | 1,514     | 1,462     | 1,367     | -50                      | -4%                    | 1,320                          | 1,280   | 1,240   | 1,210   | 1,180   |
| 231303      | Professional, Technical, Business, and Scientific | 10        | 23        | 15        | 16        | 20        | 13        | 1                        | 8%                     | 10                             | 10      | 10      | 10      | 10      |
| 231304      | Rhetoric and Composition                          | 24        | 31        | 32        | 31        | 26        | 27        | 1                        | 4%                     | 30                             | 30      | 30      | 30      | 30      |
| 240101      | Liberal Arts & Sciences                           | 217       | 335       | 390       | 683       | 589       | 544       | 65                       | 12%                    | 540                            | 540     | 540     | 540     | 540     |
| 240103      | Humanities  | 154       | 141       | 137       | 150       | 132       | 97        | -11                      | -11%                   | 100                            | 100     | 100     | 100     | 100     |
| 240199      | New College/Honors College                        | 155       | 176       | 203       | 141       | 127       | 116       | -8                       | -7%                    | 110                            | 100     | 90      | 80      | 80      |
| 260101      | Biology, General                                  | 2,956     | 3,072     | 3,245     | 3,502     | 3,654     | 3,643     | 137                      | 4%                     | 3,780                          | 3,900   | 4,010   | 4,110   | 4,190   |
| 260102      | Biomedical Sciences                               | 956       | 964       | 1,120     | 1,152     | 1,361     | 1,316     | 72                       | 5%                     | 1,390                          | 1,460   | 1,520   | 1,570   | 1,610   |
| 260202      | Biochemistry                                      | 44        | 76        | 71        | 95        | 95        | 119       | 15                       | 13%                    | 120                            | 120     | 120     | 120     | 120     |
| 260301      | Botany, General                                   | 8         | 7         | 12        | 12        | 9         | 11        | 1                        | 9%                     | 10                             | 10      | 10      | 10      | 10      |
| 260503      | Microbiology/Bacteriology                         | 242       | 226       | 250       | 263       | 261       | 281       | 8                        | 3%                     | 290                            | 300     | 310     | 320     | 330     |
| 260701      | Zoology   | 27        | 25        | 26        | 18        | 32        | 28        | 0                        | 0%                     | 30                             | 30      | 30      | 30      | 30      |
| 260702      | Entomology  | 13        | 16        | 11        | 16        | 15        | 15        | 0                        | 0%                     | 20                             | 20      | 20      | 20      | 20      |
| 260908      | Exercise Physiology                               | 479       | 524       | 472       | 412       | 405       | 416       | -13                      | -3%                    | 400                            | 390     | 380     | 370     | 360     |
| 261104      | Computational Biology                             | 4         | 4         | 5         | 7         | 7         | 4         | 0                        | 0%                     | 0                              | 0       | 0       | 0       | 0       |
| 261201      | Biotechnology                                     | 34        | 41        | 37        | 36        | 40        | 31        | -1                       | -3%                    | 30                             | 30      | 30      | 30      | 30      |
| 261302      | Marine/Aquatic Biology                            | 48        | 43        | 58        | 51        | 55        | 71        | 5                        | 7%                     | 80                             | 90      | 90      | 90      | 90      |
| 261501      | Neuroscience                                      |           |           |           | 15        | 44        | 100       | 20                       | 20%                    | 100                            | 100     | 100     | 100     | 100     |
| 270101      | Mathematics, General                              | 354       | 344       | 380       | 371       | 364       | 326       | -6                       | -2%                    | 320                            | 320     | 320     | 320     | 320     |
| 270501      | Statistics  | 154       | 174       | 193       | 195       | 234       | 235       | 16                       | 7%                     | 250                            | 260     | 270     | 280     | 290     |
| 300000      | Multi-/Interdisciplinary Studies, General         | 1,419     | 1,547     | 1,576     | 2,161     | 2,324     | 1,985     | 113                      | 6%                     | 2,100                          | 2,200   | 2,290   | 2,370   | 2,440   |
| 300101      | Interdisc. Biological & Physical Sciences         | 74        | 73        | 86        | 518       | 637       | 865       | 158                      | 18%                    | 870                            | 870     | 870     | 870     | 870     |
| 301101      | Gerontology                                       | 23        | 18        | 8         | 14        | 6         | 10        | -3                       | -30%                   | 10                             | 10      | 10      | 10      | 10      |
| 301901      | Nutrition Science                                 | 39        | 112       | 143       | 122       | 118       | 110       | 14                       | 13%                    | 110                            | 110     | 110     | 110     | 110     |
| 302001      | International/Global Studies                      | 211       | 210       | 210       | 225       | 204       | 200       | -2                       | -1%                    | 200                            | 200     | 200     | 200     | 200     |
| 303001      | Computational Science                             | 4         | 3         | 6         | 6         | 13        | 14        | 2                        | 14%                    | 10                             | 10      | 10      | 10      | 10      |
| 303301      | Sustainability Studies                            | 55        | 67        | 102       | 119       | 127       | 173       | 24                       | 14%                    | 170                            | 170     | 170     | 170     | 170     |
| 309999      | Independent/Interdisc./Comparative Studies        | 234       | 1,037     | 1,205     | 664       | 68        | 53        | -36                      | -68%                   | 50                             | 50      | 50      | 50      | 50      |
| 310301      | Recreation, Leisure Studies                       | 285       | 319       | 305       | 333       | 311       | 259       | -5                       | -2%                    | 250                            | 250     | 250     | 250     | 250     |
| 310501      | Health and Physical Education                     | 151       | 155       | 140       | 95        | 60        | 27        | -25                      | -93%                   | 30                             | 30      | 30      | 30      | 30      |
| 310504      | Sport Business Management                         | 304       | 318       | 365       | 369       | 420       | 406       | 20                       | 5%                     | 430                            | 450     | 470     | 480     | 490     |
| 310505      | Exercise Sci/Physiol/Mvmt Studies                 | 240       | 227       | 223       | 241       | 323       | 435       | 39                       | 9%                     | 470                            | 510     | 540     | 570     | 590     |
| 380101      | Philosophy  | 223       | 219       | 259       | 234       | 247       | 211       | -2                       | -1%                    | 210                            | 210     | 210     | 210     | 210     |
| 380201      | Religious Studies                                 | 91        | 61        | 58        | 58        | 52        | 55        | -7                       | -13%                   | 60                             | 60      | 60      | 60      | 60      |
| 380206      | Jewish/Judaic Studies                             | 10        | 7         | 4         | 1         | 1         | 1         | -2                       | -200%                  | 0                              | 0       | 0       | 0       | 0       |
| 389999      | Philosophy & Religion                             | 10        | 3         | 3         | 5         | 2         | 2         | -2                       | -100%                  | 0                              | 0       | 0       | 0       | 0       |
| 400201      | Astronomy   | 14        | 11        | 8         | 21        | 28        | 14        | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 400401      | Atmospheric Sci. & Meteorology                    | 15        | 17        | 22        | 20        | 13        | 23        | 2                        | 9%                     | 30                             | 30      | 30      | 30      | 30      |
| 400501      | Chemistry   | 474       | 460       | 505       | 478       | 482       | 479       | 1                        | 0%                     | 480                            | 480     | 480     | 480     | 480     |
| 400599      | Chemical Sciences/Industrial Chemistry            | 19        | 19        | 10        | 11        | 10        | 7         | -2                       | -29%                   | 10                             | 10      | 10      | 10      | 10      |
| 400601      | Geology   | 117       | 129       | 97        | 99        | 90        | 107       | -2                       | -2%                    | 110                            | 110     | 110     | 110     | 110     |
| 400699      | Geological and Related Sciences Other             |           |           | 7         | 18        | 5         | 18        | 4                        | 22%                    | 20                             | 20      | 20      | 20      | 20      |
| 400801      | Physics   | 174       | 182       | 166       | 201       | 186       | 168       | -1                       | -1%                    | 170                            | 170     | 170     | 170     | 170     |
| 400899      | Radiation Physics                                 | 4         | 6         | 5         | 13        | 6         | 8         | 1                        | 13%                    | 10                             | 10      | 10      | 10      | 10      |
| 420101      | Psychology, General                               | 4,935     | 5,178     | 5,374     | 5,517     | 6,068     | 6,269     | 267                      | 4%                     | 6,540                          | 6,780   | 6,990   | 7,180   | 7,340   |
| 422706      | Physiological Psychology/Psychobiology            | 108       | 78        | 120       | 135       | 148       | 137       | 6                        | 4%                     | 140                            | 150     | 160     | 160     | 160     |

**SUS Baccalaureate Degree Trends and Estimates**

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The actual data are bachelor's degrees awarded within the State University System by discipline (shown by six-digit CIP code). The mathematical estimates are based only on the five year average annual change, and not any approved policy, strategic decision, or enrollment factors. The methodology used to estimate out-year projections are progressively conservative and designed to smooth volatile (defined as annual change of ±10% of the 2021-22 total) trends. If the average annual change is not within a ±10% range of the 2021-22 value, then the degree awarded estimates are held constant at the 2021-22 level. Note: Institutions began reporting program enrollment and degrees awarded using the CIP 2020 taxonomy for the 2019-20 academic year. The trends shown below may be impacted by this reporting change.

| 6-DIGIT CIP | CIP LABEL  | ACTUAL    |           |           |           |           |           | AVG. ANNUAL CHANGE (AAC) | CHANGE AS % OF 2021-22 | ROUNDED MATHEMATICAL ESTIMATES |         |         |         |         |
|-------------|--|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |  | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |  | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 422799      | Research and Experimental Psychology, Other        | 243       | 282       | 299       | 313       | 344       | 281       | 8                        | 3%                     | 290                            | 300     | 310     | 320     | 330     |
| 430104      | Criminal Justice Studies                           | 2,337     | 2,271     | 2,346     | 2,389     | 2,483     | 2,483     | 29                       | 1%                     | 2,510                          | 2,540   | 2,560   | 2,580   | 2,600   |
| 430107      | Law Enforcement/Police Science                     | 25        | 30        | 29        | 26        | 38        | 35        | 2                        | 6%                     | 40                             | 40      | 40      | 40      | 40      |
| 430203      | Fire Science/Fire-fighting                         | 16        | 32        | 35        | 43        | 50        | 41        | 5                        | 12%                    | 40                             | 40      | 40      | 40      | 40      |
| 430302      | Crisis/Emergency/Disaster Management               |           |           |           | 15        | 29        | 52        | 10                       | 19%                    | 50                             | 50      | 50      | 50      | 50      |
| 430402      | Criminalistics and Criminal Science                |           |           |           | 60        | 87        | 108       | 22                       | 20%                    | 110                            | 110     | 110     | 110     | 110     |
| 430403      | Cyber/Computer Forensics and Counterterrorism      |           |           |           | 39        | 47        | 38        | 8                        | 21%                    | 40                             | 40      | 40      | 40      | 40      |
| 430406      | Forensic Science and Technology                    |           |           |           | 33        | 40        | 54        | 11                       | 20%                    | 50                             | 50      | 50      | 50      | 50      |
| 439999      | Homeland Security, Law Enforcement, Firefighting   | 50        | 53        | 44        | 63        | 66        | 56        | 1                        | 2%                     | 60                             | 60      | 60      | 60      | 60      |
| 440000      | Public Admin & Social Serv Profs                   | 100       | 89        | 77        | 60        | 91        | 110       | 2                        | 2%                     | 110                            | 110     | 110     | 110     | 110     |
| 440401      | Public Administration                              | 172       | 201       | 221       | 224       | 240       | 202       | 6                        | 3%                     | 210                            | 220     | 230     | 230     | 230     |
| 440701      | Social Work, General                               | 842       | 848       | 764       | 798       | 747       | 792       | -10                      | -1%                    | 780                            | 770     | 760     | 750     | 740     |
| 450101      | Social Sciences, General                           | 584       | 518       | 530       | 520       | 541       | 444       | -28                      | -6%                    | 420                            | 400     | 380     | 360     | 340     |
| 450201      | Anthropology                                       | 465       | 504       | 435       | 477       | 422       | 413       | -10                      | -2%                    | 400                            | 390     | 380     | 370     | 360     |
| 450401      | Criminology  | 558       | 603       | 579       | 631       | 620       | 648       | 18                       | 3%                     | 670                            | 690     | 700     | 710     | 720     |
| 450601      | Economics  | 941       | 962       | 1,022     | 1,072     | 1,055     | 990       | 10                       | 1%                     | 1,000                          | 1,010   | 1,020   | 1,030   | 1,040   |
| 450701      | Geography  | 135       | 102       | 115       | 92        | 86        | 83        | -10                      | -12%                   | 80                             | 80      | 80      | 80      | 80      |
| 450901      | International Relations and Affairs                | 823       | 814       | 764       | 771       | 711       | 716       | -21                      | -3%                    | 700                            | 680     | 660     | 650     | 640     |
| 451001      | Political Science & Government                     | 1,731     | 1,811     | 1,852     | 1,962     | 2,054     | 2,045     | 63                       | 3%                     | 2,110                          | 2,170   | 2,220   | 2,260   | 2,300   |
| 451101      | Sociology  | 898       | 1,036     | 869       | 837       | 821       | 750       | -30                      | -4%                    | 720                            | 690     | 670     | 650     | 630     |
| 459999      | Maritime Studies                                   | 12        | 12        | 11        | 14        | 10        | 16        | 1                        | 6%                     | 20                             | 20      | 20      | 20      | 20      |
| 500102      | Digital Arts                                       | 226       | 208       | 248       | 344       | 455       | 512       | 57                       | 11%                    | 510                            | 510     | 510     | 510     | 510     |
| 500301      | Dance  | 53        | 39        | 59        | 67        | 68        | 57        | 1                        | 2%                     | 60                             | 60      | 60      | 60      | 60      |
| 500408      | Interior Design                                    | 58        | 52        | 61        | 67        | 64        | 70        | 2                        | 3%                     | 70                             | 70      | 70      | 70      | 70      |
| 500409      | Graphic Design                                     | 57        | 56        | 57        | 63        | 73        | 61        | 1                        | 2%                     | 60                             | 60      | 60      | 60      | 60      |
| 500501      | Dramatic Arts                                      | 283       | 333       | 305       | 338       | 338       | 313       | 6                        | 2%                     | 320                            | 330     | 340     | 340     | 340     |
| 500602      | Cinematography and Film/Video Production           | 135       | 137       | 138       | 151       | 166       | 199       | 13                       | 7%                     | 210                            | 220     | 230     | 240     | 250     |
| 500605      | Photography  | 20        | 17        | 8         | 8         | 5         | 21        | 0                        | 0%                     | 20                             | 20      | 20      | 20      | 20      |
| 500701      | Visual Art, General                                | 364       | 356       | 364       | 365       | 352       | 344       | -4                       | -1%                    | 340                            | 340     | 340     | 340     | 340     |
| 500702      | Studio/Fine Art                                    | 497       | 478       | 491       | 500       | 442       | 386       | -22                      | -6%                    | 360                            | 340     | 320     | 310     | 300     |
| 500703      | Art History & Appreciation                         | 70        | 64        | 65        | 82        | 65        | 71        | 0                        | 0%                     | 70                             | 70      | 70      | 70      | 70      |
| 500901      | Music, General                                     | 162       | 143       | 147       | 174       | 142       | 157       | -1                       | -1%                    | 160                            | 160     | 160     | 160     | 160     |
| 500903      | Music Performance                                  | 107       | 142       | 145       | 110       | 124       | 139       | 6                        | 4%                     | 150                            | 160     | 170     | 170     | 170     |
| 500904      | Music Composition                                  | 4         | 5         | 5         | 5         | 5         | 4         | 0                        | 0%                     | 0                              | 0       | 0       | 0       | 0       |
| 500910      | Jazz Studies                                       | 16        | 10        | 4         | 9         | 9         | 7         | -2                       | -29%                   | 10                             | 10      | 10      | 10      | 10      |
| 501001      | Arts, Entertainment, and Media Management, General |           | 14        | 94        | 150       | 169       | 192       | 38                       | 20%                    | 190                            | 190     | 190     | 190     | 190     |
| 501003      | Music Management                                   | 15        | 27        | 17        | 15        | 10        | 22        | 1                        | 5%                     | 20                             | 20      | 20      | 20      | 20      |
| 509999      | Music Studies                                      | 23        | 23        | 15        | 14        | 15        | 19        | -1                       | -5%                    | 20                             | 20      | 20      | 20      | 20      |
| 510000      | Health Professions and Related Programs            | 2,320     | 2,403     | 2,779     | 2,957     | 3,320     | 3,356     | 207                      | 6%                     | 3,560                          | 3,750   | 3,920   | 4,070   | 4,190   |
| 510201      | Communication Sciences and Disorders, General      | 40        | 38        | 48        | 70        | 47        | 16        | -5                       | -31%                   | 20                             | 20      | 20      | 20      | 20      |
| 510204      | Speech Pathology and Audiology                     | 532       | 516       | 547       | 545       | 519       | 556       | 5                        | 1%                     | 560                            | 570     | 570     | 570     | 570     |
| 510701      | Health Services Administration                     | 1,087     | 1,057     | 1,001     | 991       | 889       | 775       | -62                      | -8%                    | 710                            | 650     | 600     | 560     | 520     |
| 510706      | Health Information Management                      | 61        | 46        | 68        | 41        | 66        | 49        | -2                       | -4%                    | 50                             | 50      | 50      | 50      | 50      |
| 510908      | Cardiopulmonary Sciences(Resp Ther)                | 13        | 15        | 9         | 15        | 11        | 11        | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 510913      | Athletic Training                                  | 113       | 106       | 129       | 117       | 94        | 75        | -8                       | -11%                   | 80                             | 80      | 80      | 80      | 80      |
| 511005      | Clinical Laboratory Science/Medical Technology/Tec | 81        | 68        | 79        | 74        | 79        | 82        | 0                        | 0%                     | 80                             | 80      | 80      | 80      | 80      |
| 511504      | Community Health Liaison                           | 12        | 18        | 9         | 6         | 11        | 3         | -2                       | -67%                   | 0                              | 0       | 0       | 0       | 0       |

**SUS Baccalaureate Degree Trends and Estimates**

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| 6-DIGIT CIP | CIP LABEL   | ACTUAL    |           |           |           |           |           | AVG. ANNUAL CHANGE (AAC) | CHANGE AS % OF 2021-22 | ROUNDED MATHEMATICAL ESTIMATES |         |         |         |         |
|-------------|---|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |   | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |   | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 512201      | Public Health, General                            | 323       | 317       | 325       | 350       | 399       | 512       | 38                       | 7%                     | 550                            | 580     | 610     | 640     | 660     |
| 512208      | Community Health                                  | 240       | 251       | 335       | 273       | 222       | 217       | -5                       | -2%                    | 210                            | 210     | 210     | 210     | 210     |
| 512305      | Music Therapy                                     | 22        | 11        | 12        | 19        | 19        | 18        | -1                       | -6%                    | 20                             | 20      | 20      | 20      | 20      |
| 513101      | Dietetics/Nutritional Services                    | 206       | 225       | 199       | 207       | 192       | 167       | -8                       | -5%                    | 160                            | 150     | 140     | 130     | 130     |
| 513102      | Clinical Nutrition/Nutritionist                   | 35        | 28        | 28        | 21        | 28        | 25        | -2                       | -8%                    | 20                             | 20      | 20      | 20      | 20      |
| 513801      | Registered Nursing/Registered Nurse               | 2,764     | 2,964     | 3,094     | 3,079     | 3,012     | 2,964     | 40                       | 1%                     | 3,000                          | 3,040   | 3,070   | 3,100   | 3,120   |
| 520101      | Business, General                                 | 674       | 795       | 954       | 862       | 1,014     | 1,008     | 67                       | 7%                     | 1,080                          | 1,140   | 1,190   | 1,240   | 1,280   |
| 520201      | Business Administration and Management            | 2,155     | 2,220     | 2,264     | 2,279     | 2,383     | 2,357     | 40                       | 2%                     | 2,400                          | 2,440   | 2,470   | 2,500   | 2,520   |
| 520203      | Logistics, Materials, and Supply Chain Management | 101       | 101       | 138       | 167       | 190       | 165       | 13                       | 8%                     | 180                            | 190     | 200     | 210     | 220     |
| 520206      | Non-Profit Management                             |           | 1         | 9         | 23        | 12        | 15        | 3                        | 20%                    | 20                             | 20      | 20      | 20      | 20      |
| 520301      | Accounting  | 1,870     | 1,775     | 1,741     | 1,673     | 1,634     | 1,662     | -42                      | -3%                    | 1,620                          | 1,580   | 1,550   | 1,520   | 1,500   |
| 520601      | Business Managerial Economics                     | 104       | 102       | 109       | 103       | 102       | 95        | -2                       | -2%                    | 90                             | 90      | 90      | 90      | 90      |
| 520701      | Entrepreneurship                                  | 15        | 16        | 72        | 107       | 95        | 110       | 19                       | 17%                    | 110                            | 110     | 110     | 110     | 110     |
| 520801      | Finance, General                                  | 2,763     | 2,969     | 2,902     | 2,834     | 2,913     | 2,810     | 9                        | 0%                     | 2,820                          | 2,830   | 2,840   | 2,850   | 2,860   |
| 520804      | Financial Planning                                |           |           | 22        | 21        | 22        | 26        | 5                        | 19%                    | 30                             | 30      | 30      | 30      | 30      |
| 520901      | Hospitality Administration/Management             | 1,488     | 1,440     | 1,486     | 1,404     | 1,396     | 1,371     | -23                      | -2%                    | 1,350                          | 1,330   | 1,310   | 1,290   | 1,280   |
| 520905      | Resturant and Food Service Management             | 51        | 45        | 36        | 19        | 34        | 33        | -4                       | -12%                   | 30                             | 30      | 30      | 30      | 30      |
| 520906      | Resort and Hospitality Management                 | 201       | 160       | 215       | 177       | 108       | 105       | -19                      | -18%                   | 110                            | 110     | 110     | 110     | 110     |
| 520907      | Meeting and Event Planning                        | 300       | 322       | 288       | 221       | 247       | 178       | -24                      | -13%                   | 180                            | 180     | 180     | 180     | 180     |
| 521001      | Human Resources Management                        | 96        | 115       | 114       | 122       | 138       | 150       | 11                       | 7%                     | 160                            | 170     | 180     | 190     | 200     |
| 521101      | International Business Management                 | 689       | 682       | 719       | 772       | 772       | 669       | -4                       | -1%                    | 670                            | 670     | 670     | 670     | 670     |
| 521201      | MGMT. Info. Systems/Busi Data Proc.               | 455       | 485       | 496       | 568       | 580       | 573       | 24                       | 4%                     | 600                            | 620     | 640     | 660     | 670     |
| 521301      | Management Science                                | 65        | 92        | 135       | 198       | 195       | 219       | 31                       | 14%                    | 220                            | 220     | 220     | 220     | 220     |
| 521304      | Actuarial Science                                 | 39        | 76        | 69        | 57        | 62        | 60        | 4                        | 7%                     | 60                             | 60      | 60      | 60      | 60      |
| 521401      | Business Marketing Management                     | 2,258     | 2,270     | 2,434     | 2,333     | 2,465     | 2,378     | 24                       | 1%                     | 2,400                          | 2,420   | 2,440   | 2,460   | 2,470   |
| 521499      | Mkt. MGMT. And Research Oth.                      | 2         | 1         | 15        | 24        | 22        | 16        | 3                        | 19%                    | 20                             | 20      | 20      | 20      | 20      |
| 521501      | Real Estate                                       | 141       | 201       | 254       | 235       | 204       | 185       | 9                        | 5%                     | 190                            | 200     | 210     | 220     | 230     |
| 521701      | Insurance & Risk Mgmt                             | 102       | 130       | 134       | 133       | 122       | 121       | 4                        | 3%                     | 130                            | 130     | 130     | 130     | 130     |
| 540101      | History   | 751       | 671       | 687       | 752       | 652       | 680       | -14                      | -2%                    | 670                            | 660     | 650     | 640     | 630     |

SUS Baccalaureate Enrollment Trends and Estimates

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| 6-DIGIT CIP | CIP LABEL  | ACTUAL    |           |           |           |           |           | AVG. ANNUAL CHANGE (AAC) | CHANGE AS % OF 2021-22 | ROUNDED MATHEMATICAL ESTIMATES |         |         |         |         |
|-------------|--|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |  | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |  | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 010000      | Agribusiness & Agric. Production                   | 158       | 175       | 159       | 172       | 185       | 213       | 11                       | 5%                     | 220                            | 230     | 240     | 250     | 260     |
| 010102      | Agricultural Business/Operations                   | 37        | 43        | 39        | 47        | 49        | 46        | 2                        | 4%                     | 50                             | 50      | 50      | 50      | 50      |
| 010103      | Ag (Food and Resource) Economics                   | 461       | 469       | 433       | 394       | 336       | 303       | -32                      | -11%                   | 300                            | 300     | 300     | 300     | 300     |
| 010901      | Animal Sciences                                    | 646       | 686       | 708       | 674       | 622       | 565       | -16                      | -3%                    | 550                            | 540     | 530     | 520     | 510     |
| 011001      | Food Sciences and Technology                       | 193       | 132       | 130       | 115       | 121       | 127       | -13                      | -10%                   | 130                            | 130     | 130     | 130     | 130     |
| 011101      | Plant Sciences                                     | 157       | 157       | 176       | 172       | 178       | 145       | -2                       | -1%                    | 140                            | 140     | 140     | 140     | 140     |
| 011103      | Horticulture Science                               | 61        | 70        | 81        | 75        | 54        | 40        | -4                       | -10%                   | 40                             | 40      | 40      | 40      | 40      |
| 011201      | Soil Sciences                                      | 8         | 13        | 14        | 13        | 12        | 13        | 1                        | 8%                     | 10                             | 10      | 10      | 10      | 10      |
| 030101      | Natural Resources/Conservation General             | 195       | 174       | 156       | 164       | 125       | 118       | -15                      | -13%                   | 120                            | 120     | 120     | 120     | 120     |
| 030103      | Environmental Studies                              | 669       | 770       | 886       | 879       | 963       | 1,017     | 70                       | 7%                     | 1,090                          | 1,150   | 1,210   | 1,260   | 1,300   |
| 030104      | Environmental Science                              | 1,259     | 1,339     | 1,343     | 1,334     | 1,363     | 1,445     | 37                       | 3%                     | 1,480                          | 1,510   | 1,540   | 1,570   | 1,590   |
| 030205      | Marine Science                                     | 234       | 225       | 246       | 226       | 234       | 268       | 7                        | 3%                     | 280                            | 290     | 300     | 310     | 310     |
| 030501      | Forest Resources & Conservation                    | 196       | 199       | 208       | 218       | 221       | 213       | 3                        | 1%                     | 220                            | 220     | 220     | 220     | 220     |
| 030601      | Wildlife, Fish and Wildlands Science and Managemen | 247       | 230       | 250       | 240       | 238       | 259       | 2                        | 1%                     | 260                            | 260     | 260     | 260     | 260     |
| 040201      | Architecture                                       | 1,389     | 1,471     | 1,537     | 1,331     | 1,274     | 793       | -119                     | -15%                   | 790                            | 790     | 790     | 790     | 790     |
| 040301      | Urban & Regional Planning                          | 132       | 123       | 113       | 91        | 99        | 75        | -11                      | -15%                   | 80                             | 80      | 80      | 80      | 80      |
| 040401      | Environmental Design/Architecture                  | 65        | 73        | 88        | 100       | 113       | 107       | 8                        | 7%                     | 120                            | 130     | 140     | 150     | 160     |
| 040501      | Interior Architecture                              | 81        | 83        | 89        | 76        | 84        | 80        | 0                        | 0%                     | 80                             | 80      | 80      | 80      | 80      |
| 040601      | Landscape Architecture                             | 120       | 112       | 100       | 110       | 113       | 110       | -2                       | -2%                    | 110                            | 110     | 110     | 110     | 110     |
| 049999      | Architecture Studies Other                         |           |           |           | 288       | 654       | 713       | 143                      | 20%                    | 710                            | 710     | 710     | 710     | 710     |
| 050103      | Asian Studies                                      | 117       | 115       | 112       | 123       | 133       | 149       | 6                        | 4%                     | 160                            | 170     | 180     | 180     | 180     |
| 050105      | Russian, Central European, East European and Euras | 3         | 3         | 2         | 3         | 2         | 3         | 0                        | 0%                     | 0                              | 0       | 0       | 0       | 0       |
| 050107      | Latin American Studies                             | 13        | 18        | 29        | 21        | 23        | 18        | 1                        | 6%                     | 20                             | 20      | 20      | 20      | 20      |
| 050108      | Middle Eastern Studies                             | 12        | 11        | 12        | 12        | 11        | 11        | 0                        | 0%                     | 10                             | 10      | 10      | 10      | 10      |
| 050124      | French and Francophone Studies                     | 13        | 12        | 9         | 11        | 12        | 8         | -1                       | -13%                   | 10                             | 10      | 10      | 10      | 10      |
| 050134      | Latin American and Caribbean Studies               | 20        | 21        | 28        | 36        | 27        | 25        | 1                        | 4%                     | 30                             | 30      | 30      | 30      | 30      |
| 050201      | African-American (Black) Studies                   | 145       | 165       | 176       | 145       | 111       | 77        | -14                      | -18%                   | 80                             | 80      | 80      | 80      | 80      |
| 050207      | Womens Studies                                     | 128       | 151       | 151       | 146       | 142       | 126       | 0                        | 0%                     | 130                            | 130     | 130     | 130     | 130     |
| 090100      | Communication, General                             |           | 950       | 991       | 900       | 818       | 720       | 144                      | 20%                    | 720                            | 720     | 720     | 720     | 720     |
| 090101      | Speech Communication and Rhetoric                  | 5,033     | 5,062     | 5,064     | 5,057     | 4,851     | 4,395     | -128                     | -3%                    | 4,270                          | 4,160   | 4,060   | 3,970   | 3,890   |
| 090102      | Communication (Mass)                               | 4,518     | 3,924     | 2,632     | 1,858     | 1,461     | 1,017     | -700                     | -69%                   | 1,020                          | 1,020   | 1,020   | 1,020   | 1,020   |
| 090401      | Journalism   | 1,328     | 1,314     | 1,321     | 1,081     | 1,105     | 1,155     | -35                      | -3%                    | 1,120                          | 1,090   | 1,060   | 1,040   | 1,020   |
| 090701      | Radio & TV Broadcasting                            | 1,366     | 1,273     | 1,201     | 994       | 893       | 814       | -110                     | -14%                   | 810                            | 810     | 810     | 810     | 810     |
| 090702      | Digital Communication and Media/Multimedia         | 1,713     | 1,739     | 1,950     | 2,052     | 2,211     | 2,482     | 154                      | 6%                     | 2,640                          | 2,780   | 2,900   | 3,010   | 3,100   |
| 090900      | Public Relations, Advertising, and Applied Communi | 427       | 529       | 1,228     | 1,788     | 1,977     | 1,889     | 292                      | 15%                    | 1,890                          | 1,890   | 1,890   | 1,890   | 1,890   |
| 090902      | Public Relations & Organizational Comm             | 951       | 1,063     | 1,103     | 1,101     | 1,019     | 973       | 4                        | 0%                     | 980                            | 980     | 980     | 980     | 980     |
| 090903      | Advertising  | 1,377     | 1,340     | 1,288     | 972       | 1,000     | 1,032     | -69                      | -7%                    | 960                            | 900     | 850     | 800     | 760     |
| 099999      | Communications, Other                              |           |           |           | 762       | 718       | 662       | 132                      | 20%                    | 660                            | 660     | 660     | 660     | 660     |
| 110101      | Computer and Information Sciences, General         | 7,906     | 8,998     | 9,945     | 10,593    | 11,531    | 12,601    | 939                      | 7%                     | 13,540                         | 14,390  | 15,140  | 15,800  | 16,360  |
| 110103      | Information Technology                             | 3,872     | 4,290     | 4,674     | 4,877     | 4,811     | 4,287     | 83                       | 2%                     | 4,370                          | 4,450   | 4,520   | 4,580   | 4,630   |
| 110104      | Informatics  |           |           |           | 154       | 110       | 157       | 31                       | 20%                    | 160                            | 160     | 160     | 160     | 160     |
| 110401      | Information Sciences & Studies                     |           |           |           | 13        | 170       | 601       | 120                      | 20%                    | 600                            | 600     | 600     | 600     | 600     |
| 110701      | Computer Science                                   |           |           | 113       | 375       | 1,131     | 1,339     | 268                      | 20%                    | 1,340                          | 1,340   | 1,340   | 1,340   | 1,340   |
| 110802      | Data Modeling/Warehousing & Database Adm           | 54        | 60        | 56        | 41        | 31        | 1         | -11                      | -1100%                 | 0                              | 0       | 0       | 0       | 0       |
| 110899      | Computer Software & Media Applications Other       | 588       | 662       | 702       | 619       | 579       | 2         | -117                     | -5850%                 | 0                              | 0       | 0       | 0       | 0       |
| 111003      | Computer and Information Systems Security/Informat |           |           | 142       | 413       | 646       | 985       | 197                      | 20%                    | 990                            | 990     | 990     | 990     | 990     |
| 130101      | Education, General                                 | 455       | 446       | 464       | 562       | 649       | 784       | 66                       | 8%                     | 850                            | 910     | 960     | 1,010   | 1,050   |
| 130501      | Educational/Instructional Technology               |           |           |           | 14        | 35        | 49        | 10                       | 20%                    | 50                             | 50      | 50      | 50      | 50      |
| 131001      | Special Ed, General                                | 894       | 773       | 803       | 655       | 739       | 758       | -27                      | -4%                    | 730                            | 710     | 690     | 670     | 650     |
| 131003      | Ed. Of the Deaf and Hearing Impaired               | 14        | 24        | 37        | 21        | 22        | 18        | 1                        | 6%                     | 20                             | 20      | 20      | 20      | 20      |
| 131009      | Ed. Of the Blind & Visually Handicapped            | 35        | 25        | 35        | 31        | 28        | 22        | -3                       | -14%                   | 20                             | 20      | 20      | 20      | 20      |
| 131202      | Elementary Teacher Ed                              | 5,558     | 5,070     | 4,618     | 3,385     | 3,346     | 3,423     | -427                     | -12%                   | 3,420                          | 3,420   | 3,420   | 3,420   | 3,420   |



SUS Baccalaureate Enrollment Trends and Estimates

This data is provided to the Florida College System staff in response to their request related to Section, 1001.02, Florida Statutes.

The actual data are enrollments within the State University System by discipline (shown by six-digit CIP code). The mathematical estimates are based only on the five year average annual change, and not any approved policy, strategic decision, or enrollment factors. The methodology used to estimate out-year projections are progressively conservative and designed to smooth volatile (defined as annual change of  $\pm 10\%$  of the 2021-22 total) trends. If the average annual change is not within a  $\pm 10\%$  range of the 2021-22 value, then the enrollment estimates are held constant at the 2021-22 level. Note: Institutions began reporting program enrollment and degrees awarded using the CIP 2020 taxonomy for the 2019-20 academic year. The trends shown below may be impacted by this reporting change.

| 6-DIGIT CIP | CIP LABEL  | ACTUAL    |           |           |           |           |           | AVG. ANNUAL CHANGE (AAC) | CHANGE AS % OF 2021-22 | ROUNDED MATHEMATICAL ESTIMATES |         |         |         |         |
|-------------|--|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |  | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |  | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 131203      | JR High/Middle School Ed                           | 13        | 12        | 13        | 6         | 6         | 6         | -1                       | -17%                   | 10                             | 10      | 10      | 10      | 10      |
| 131205      | Secondary Teacher Ed                               | 171       | 354       | 520       | 310       | 328       | 390       | 44                       | 11%                    | 390                            | 390     | 390     | 390     | 390     |
| 131206      | Teacher Education Multiple Levels                  | 353       | 392       | 407       | 306       | 271       | 208       | -29                      | -14%                   | 210                            | 210     | 210     | 210     | 210     |
| 131210      | Pre-Elem/Early Childhood Teacher Ed.               | 1,503     | 1,607     | 1,592     | 1,370     | 1,367     | 1,367     | -27                      | -2%                    | 1,340                          | 1,320   | 1,300   | 1,280   | 1,260   |
| 131301      | Agricultural Teacher Ed. (Voc)                     | 188       | 184       | 190       | 176       | 165       | 163       | -5                       | -3%                    | 160                            | 160     | 160     | 160     | 160     |
| 131302      | Art Teacher Ed.                                    | 139       | 118       | 93        | 86        | 73        | 61        | -16                      | -26%                   | 60                             | 60      | 60      | 60      | 60      |
| 131305      | English Teacher Ed.                                | 644       | 521       | 408       | 323       | 387       | 359       | -57                      | -16%                   | 360                            | 360     | 360     | 360     | 360     |
| 131311      | Mathematics Teacher Ed.                            | 330       | 281       | 218       | 158       | 139       | 84        | -49                      | -58%                   | 80                             | 80      | 80      | 80      | 80      |
| 131312      | Music Teacher Ed.                                  | 794       | 828       | 874       | 736       | 727       | 691       | -21                      | -3%                    | 670                            | 650     | 630     | 620     | 610     |
| 131314      | Physical Ed. Teaching & Coaching                   | 2,413     | 2,377     | 2,335     | 1,741     | 993       | 622       | -358                     | -58%                   | 620                            | 620     | 620     | 620     | 620     |
| 131316      | Science Teacher Ed.                                | 202       | 152       | 99        | 101       | 106       | 91        | -22                      | -24%                   | 90                             | 90      | 90      | 90      | 90      |
| 131317      | Social Science Teacher Ed.                         | 651       | 488       | 421       | 274       | 243       | 230       | -84                      | -37%                   | 230                            | 230     | 230     | 230     | 230     |
| 131320      | Trade and Industrial Teacher Ed                    | 114       | 98        | 73        | 45        | 32        | 31        | -17                      | -55%                   | 30                             | 30      | 30      | 30      | 30      |
| 139999      | Education, Other                                   | 544       | 571       | 619       | 3,319     | 2,915     | 2,745     | 440                      | 16%                    | 2,750                          | 2,750   | 2,750   | 2,750   | 2,750   |
| 140101      | Engineering, General                               |           |           |           |           | 11        | 29        | 6                        | 21%                    | 30                             | 30      | 30      | 30      | 30      |
| 140201      | Aerospace, Aeronautical and Astronautical/Space En | 1,516     | 1,652     | 1,843     | 1,471     | 1,609     | 1,656     | 28                       | 2%                     | 1,680                          | 1,710   | 1,730   | 1,750   | 1,770   |
| 140301      | Agricultural Engineering                           | 37        | 30        | 41        | 30        | 28        | 25        | -2                       | -8%                    | 20                             | 20      | 20      | 20      | 20      |
| 140501      | Bioengineering and Biomedical Engineering          | 1,058     | 1,070     | 1,161     | 1,526     | 1,673     | 1,686     | 126                      | 7%                     | 1,810                          | 1,920   | 2,020   | 2,110   | 2,190   |
| 140701      | Chemical Engineering                               | 1,698     | 1,809     | 1,845     | 1,621     | 1,421     | 1,222     | -95                      | -8%                    | 1,130                          | 1,050   | 970     | 900     | 840     |
| 140801      | Civil Engineering                                  | 3,735     | 4,081     | 4,223     | 4,260     | 4,386     | 3,752     | 3                        | 0%                     | 3,760                          | 3,760   | 3,760   | 3,760   | 3,760   |
| 140803      | Structural Engineering                             | 59        | 81        | 92        | 50        | 52        | 59        | 0                        | 0%                     | 60                             | 60      | 60      | 60      | 60      |
| 140901      | Computer Engineering                               | 3,163     | 3,372     | 3,591     | 3,136     | 3,174     | 3,103     | -12                      | 0%                     | 3,090                          | 3,080   | 3,070   | 3,060   | 3,050   |
| 140903      | Computer Software Engineering                      | 360       | 398       | 430       | 456       | 446       | 443       | 17                       | 4%                     | 460                            | 480     | 490     | 500     | 510     |
| 141001      | Electrical and Electronics Engineering             | 3,644     | 3,658     | 3,844     | 3,743     | 3,742     | 3,521     | -25                      | -1%                    | 3,500                          | 3,480   | 3,460   | 3,440   | 3,430   |
| 141003      | Laser and Optical Engineering                      | 120       | 127       | 148       | 134       | 138       | 150       | 6                        | 4%                     | 160                            | 170     | 180     | 180     | 180     |
| 141201      | Engineering Physics/Applied Physics                |           |           |           | 3         | 22        | 39        | 8                        | 21%                    | 40                             | 40      | 40      | 40      | 40      |
| 141401      | Environmental Engineering                          | 814       | 808       | 802       | 719       | 727       | 704       | -22                      | -3%                    | 680                            | 660     | 640     | 630     | 620     |
| 141801      | Materials Engineering                              | 263       | 279       | 276       | 254       | 263       | 247       | -3                       | -1%                    | 240                            | 240     | 240     | 240     | 240     |
| 141901      | Mechanical Engineering                             | 7,647     | 8,390     | 8,650     | 7,797     | 7,767     | 7,450     | -39                      | -1%                    | 7,410                          | 7,380   | 7,350   | 7,320   | 7,300   |
| 142301      | Nuclear Engineering                                | 102       | 80        | 79        | 77        | 73        | 88        | -3                       | -3%                    | 90                             | 90      | 90      | 90      | 90      |
| 142401      | Coastal & Ocean Engineering                        | 124       | 113       | 112       | 92        | 84        | 64        | -12                      | -19%                   | 60                             | 60      | 60      | 60      | 60      |
| 142701      | Industrial & Systems Engineering                   | 614       | 592       | 610       | 555       | 521       | 481       | -27                      | -6%                    | 450                            | 430     | 410     | 390     | 370     |
| 143501      | Industrial/Manufacturing Engineering               | 1,061     | 1,155     | 1,154     | 968       | 929       | 930       | -26                      | -3%                    | 900                            | 880     | 860     | 840     | 820     |
| 143801      | Surveying Engineering                              | 22        | 22        | 33        | 71        | 81        | 71        | 10                       | 14%                    | 70                             | 70      | 70      | 70      | 70      |
| 144501      | Biological/Biosystems Engineering                  | 136       | 125       | 111       | 123       | 99        | 98        | -8                       | -8%                    | 90                             | 80      | 70      | 60      | 60      |
| 149999      | Telecommunications/Networking                      | 4,480     | 2,942     | 2,116     | 4,426     | 4,591     | 4,867     | 77                       | 2%                     | 4,940                          | 5,010   | 5,070   | 5,120   | 5,170   |
| 150000      | Engineering Technologies and Engineering-Related F | 147       | 138       | 141       | 140       | 113       | 89        | -12                      | -13%                   | 90                             | 90      | 90      | 90      | 90      |
| 150303      | Electronic Engineering Technology                  | 33        | 35        | 31        | 28        | 33        | 32        | 0                        | 0%                     | 30                             | 30      | 30      | 30      | 30      |
| 151001      | Construction/Building Tech.                        | 936       | 1,040     | 1,164     | 1,284     | 1,376     | 1,484     | 110                      | 7%                     | 1,590                          | 1,690   | 1,780   | 1,860   | 1,930   |
| 151102      | Surveying  | 78        | 77        | 78        | 76        | 72        | 84        | 1                        | 1%                     | 90                             | 90      | 90      | 90      | 90      |
| 159999      | Engineering Technologies and Engineering-Related F |           | 2         | 46        | 121       | 156       | 142       | 28                       | 20%                    | 140                            | 140     | 140     | 140     | 140     |
| 160101      | Foreign Lang., Multiple                            | 114       | 209       | 324       | 399       | 430       | 392       | 56                       | 14%                    | 390                            | 390     | 390     | 390     | 390     |
| 160102      | Linguistics  | 289       | 270       | 235       | 181       | 144       | 144       | -29                      | -20%                   | 140                            | 140     | 140     | 140     | 140     |
| 160399      | East Asian Lang/Literature                         | 117       | 76        | 67        | 60        | 48        | 46        | -14                      | -30%                   | 50                             | 50      | 50      | 50      | 50      |
| 160402      | Russian  | 43        | 33        | 20        | 15        | 12        | 8         | -7                       | -88%                   | 10                             | 10      | 10      | 10      | 10      |
| 160501      | German Language and Literature                     | 26        | 14        | 7         | 10        | 11        | 6         | -4                       | -67%                   | 10                             | 10      | 10      | 10      | 10      |
| 160901      | French   | 151       | 119       | 110       | 84        | 64        | 58        | -19                      | -33%                   | 60                             | 60      | 60      | 60      | 60      |
| 160902      | Italian  | 14        | 11        | 7         | 6         | 5         | 7         | -1                       | -14%                   | 10                             | 10      | 10      | 10      | 10      |
| 160904      | Portuguese   | 13        | 11        | 16        | 13        | 12        | 5         | -2                       | -40%                   | 10                             | 10      | 10      | 10      | 10      |
| 160905      | Spanish  | 461       | 505       | 487       | 471       | 393       | 363       | -20                      | -6%                    | 340                            | 320     | 300     | 290     | 280     |
| 160908      | Hispanic and Latin American Languages, Literatures |           |           |           | 11        | 22        | 37        | 7                        | 19%                    | 40                             | 40      | 40      | 40      | 40      |
| 161200      | Classics   | 96        | 72        | 67        | 57        | 70        | 80        | -3                       | -4%                    | 80                             | 80      | 80      | 80      | 80      |

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| 6-DIGIT CIP | CIP LABEL   | ACTUAL    |           |           |           |           |           | AVG. ANNUAL CHANGE (AAC) | CHANGE AS % OF 2021-22 | ROUNDED MATHEMATICAL ESTIMATES |         |         |         |         |
|-------------|---|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |   | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |   | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 161203      | Latin   | 2         | 2         | 2         | 1         | 1         | 2         | 0                        | 0%                     | 0                              | 0       | 0       | 0       | 0       |
| 161603      | Sign Language Interpretation & Translation        | 77        | 67        | 85        | 48        | 43        | 50        | -5                       | -10%                   | 50                             | 50      | 50      | 50      | 50      |
| 169999      | Foreign Languages and Literatures, Oth.           |           | 10        | 11        | 54        | 60        | 52        | 10                       | 19%                    | 50                             | 50      | 50      | 50      | 50      |
| 190701      | Home & Family Life                                | 926       | 927       | 970       | 942       | 788       | 634       | -58                      | -9%                    | 580                            | 530     | 480     | 440     | 410     |
| 190707      | Family and Community Studies                      | 418       | 433       | 416       | 384       | 320       | 277       | -28                      | -10%                   | 280                            | 280     | 280     | 280     | 280     |
| 190901      | Textiles & Clothing                               | 594       | 535       | 526       | 478       | 364       | 264       | -66                      | -25%                   | 260                            | 260     | 260     | 260     | 260     |
| 220000      | Law   |           | 791       | 948       | 929       | 961       | 825       | 165                      | 20%                    | 830                            | 830     | 830     | 830     | 830     |
| 220302      | Legal Assisting                                   | 1,398     | 939       | 464       | 430       | 413       | 429       | -194                     | -45%                   | 430                            | 430     | 430     | 430     | 430     |
| 229999      | Law and Legal Studies, Other                      |           |           |           | 15        | 19        | 24        | 5                        | 21%                    | 20                             | 20      | 20      | 20      | 20      |
| 230101      | English, General                                  | 6,279     | 5,993     | 5,835     | 5,626     | 5,366     | 5,100     | -236                     | -5%                    | 4,860                          | 4,650   | 4,460   | 4,300   | 4,160   |
| 231303      | Professional, Technical, Business, and Scientific | 63        | 83        | 77        | 58        | 52        | 72        | 2                        | 3%                     | 70                             | 70      | 70      | 70      | 70      |
| 231304      | Rhetoric and Composition                          | 117       | 115       | 104       | 90        | 84        | 77        | -8                       | -10%                   | 80                             | 80      | 80      | 80      | 80      |
| 240101      | Liberal Arts & Sciences                           | 2,144     | 2,716     | 2,964     | 2,249     | 2,046     | 1,955     | -38                      | -2%                    | 1,920                          | 1,890   | 1,860   | 1,830   | 1,810   |
| 240102      | Applied Science                                   | 996       | 1,106     | 1,177     | 7,743     | 6,531     | 7,177     | 1,236                    | 17%                    | 7,180                          | 7,180   | 7,180   | 7,180   | 7,180   |
| 240103      | Humanities  | 708       | 648       | 613       | 516       | 472       | 473       | -47                      | -10%                   | 430                            | 390     | 350     | 320     | 290     |
| 240199      | New College/Honors College                        | 1,147     | 1,330     | 1,102     | 1,084     | 942       | 801       | -69                      | -9%                    | 730                            | 670     | 620     | 570     | 530     |
| 260101      | Biology, General                                  | 21,433    | 21,043    | 21,159    | 20,941    | 21,467    | 21,413    | -4                       | 0%                     | 21,410                         | 21,410  | 21,410  | 21,410  | 21,410  |
| 260102      | Biomedical Sciences                               | 6,894     | 7,295     | 7,456     | 7,743     | 6,767     | 5,660     | -247                     | -4%                    | 5,410                          | 5,190   | 4,990   | 4,820   | 4,670   |
| 260202      | Biochemistry                                      | 396       | 675       | 837       | 875       | 914       | 933       | 107                      | 11%                    | 930                            | 930     | 930     | 930     | 930     |
| 260301      | Botany, General                                   | 45        | 43        | 45        | 44        | 38        | 47        | 0                        | 0%                     | 50                             | 50      | 50      | 50      | 50      |
| 260503      | Microbiology/Bacteriology                         | 1,186     | 1,182     | 1,272     | 1,247     | 1,221     | 1,240     | 11                       | 1%                     | 1,250                          | 1,260   | 1,270   | 1,280   | 1,290   |
| 260701      | Zoology   | 124       | 105       | 112       | 128       | 149       | 169       | 9                        | 5%                     | 180                            | 190     | 200     | 210     | 220     |
| 260702      | Entomology  | 51        | 61        | 63        | 70        | 69        | 70        | 4                        | 6%                     | 70                             | 70      | 70      | 70      | 70      |
| 260908      | Exercise Physiology                               | 2,447     | 2,147     | 1,944     | 1,843     | 1,853     | 1,882     | -113                     | -6%                    | 1,770                          | 1,670   | 1,580   | 1,500   | 1,430   |
| 261104      | Computational Biology                             | 23        | 26        | 21        | 19        | 23        | 28        | 1                        | 4%                     | 30                             | 30      | 30      | 30      | 30      |
| 261201      | Biotechnology                                     | 255       | 238       | 245       | 251       | 187       | 135       | -24                      | -18%                   | 140                            | 140     | 140     | 140     | 140     |
| 261302      | Marine/Aquatic Biology                            | 410       | 418       | 447       | 456       | 589       | 800       | 78                       | 10%                    | 880                            | 950     | 1,010   | 1,070   | 1,120   |
| 261501      | Neuroscience                                      |           |           | 139       | 339       | 457       | 524       | 105                      | 20%                    | 520                            | 520     | 520     | 520     | 520     |
| 269999      | Medical Sciences                                  | 2         | 635       | 657       | 629       | 1,945     | 2,293     | 458                      | 20%                    | 2,290                          | 2,290   | 2,290   | 2,290   | 2,290   |
| 270101      | Mathematics, General                              | 1,891     | 1,923     | 1,849     | 1,781     | 1,713     | 1,652     | -48                      | -3%                    | 1,600                          | 1,560   | 1,520   | 1,490   | 1,460   |
| 270301      | Applied Mathematics, General                      |           |           |           | 2         | 14        | 27        | 5                        | 19%                    | 30                             | 30      | 30      | 30      | 30      |
| 270304      | Computational and Applied Mathematics             |           |           |           | 8         | 13        | 43        | 9                        | 21%                    | 40                             | 40      | 40      | 40      | 40      |
| 270501      | Statistics  | 652       | 724       | 739       | 770       | 844       | 871       | 44                       | 5%                     | 920                            | 960     | 1,000   | 1,030   | 1,060   |
| 300000      | Multi-/Interdisciplinary Studies, General         | 4,244     | 5,059     | 5,235     | 5,578     | 5,189     | 4,826     | 116                      | 2%                     | 4,940                          | 5,040   | 5,130   | 5,210   | 5,280   |
| 300101      | Interdisc. Biological & Physical Sciences         | 241       | 201       | 193       | 403       | 1,040     | 977       | 147                      | 15%                    | 980                            | 980     | 980     | 980     | 980     |
| 301101      | Gerontology                                       | 45        | 30        | 24        | 25        | 15        | 15        | -6                       | -40%                   | 20                             | 20      | 20      | 20      | 20      |
| 301901      | Nutrition Science                                 | 408       | 481       | 470       | 400       | 391       | 387       | -4                       | -1%                    | 380                            | 380     | 380     | 380     | 380     |
| 302001      | International/Global Studies                      | 889       | 835       | 842       | 804       | 757       | 783       | -21                      | -3%                    | 760                            | 740     | 720     | 710     | 700     |
| 303001      | Computational Science                             | 29        | 35        | 43        | 49        | 42        | 39        | 2                        | 5%                     | 40                             | 40      | 40      | 40      | 40      |
| 303301      | Sustainability Studies                            | 241       | 248       | 437       | 495       | 544       | 583       | 68                       | 12%                    | 580                            | 580     | 580     | 580     | 580     |
| 309999      | Independent/Interdisc./Comparative Studies        | 847       | 1,088     | 1,322     | 1,399     | 282       | 168       | -136                     | -81%                   | 170                            | 170     | 170     | 170     | 170     |
| 310301      | Recreation, Leisure Studies                       | 1,430     | 1,421     | 1,427     | 1,327     | 1,277     | 1,041     | -78                      | -7%                    | 960                            | 890     | 830     | 780     | 730     |
| 310501      | Health and Physical Education                     | 820       | 593       | 404       | 258       | 192       | 162       | -132                     | -81%                   | 160                            | 160     | 160     | 160     | 160     |
| 310504      | Sport Business Management                         | 1,355     | 1,467     | 1,640     | 1,689     | 1,736     | 1,782     | 85                       | 5%                     | 1,870                          | 1,950   | 2,020   | 2,080   | 2,130   |
| 310505      | Exercise Sci/Physiol/Mvmt Studies                 | 1,631     | 1,643     | 1,623     | 1,570     | 2,310     | 2,730     | 220                      | 8%                     | 2,950                          | 3,150   | 3,330   | 3,480   | 3,610   |
| 319999      | Parks, Rcrtn, Leisure & Fitness Stud., Other      | 166       | 55        | 13        | 13        | 692       | 669       | 101                      | 15%                    | 670                            | 670     | 670     | 670     | 670     |
| 380101      | Philosophy  | 924       | 884       | 887       | 815       | 835       | 788       | -27                      | -3%                    | 760                            | 740     | 720     | 700     | 680     |
| 380201      | Religious Studies                                 | 246       | 208       | 181       | 176       | 183       | 183       | -13                      | -7%                    | 170                            | 160     | 150     | 140     | 130     |
| 380206      | Jewish/Judaic Studies                             | 15        | 12        | 9         | 4         | 8         | 1         | -3                       | -300%                  | 0                              | 0       | 0       | 0       | 0       |
| 389999      | Philosophy & Religion                             | 25        | 20        | 16        | 14        | 15        | 15        | -2                       | -13%                   | 20                             | 20      | 20      | 20      | 20      |
| 400201      | Astronomy   | 42        | 47        | 74        | 91        | 89        | 91        | 10                       | 11%                    | 90                             | 90      | 90      | 90      | 90      |
| 400401      | Atmospheric Sci. & Meteorology                    | 96        | 102       | 97        | 109       | 123       | 139       | 9                        | 6%                     | 150                            | 160     | 170     | 180     | 190     |

SUS Baccalaureate Enrollment Trends and Estimates

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The actual data are enrollments within the State University System by discipline (shown by six-digit CIP code). The mathematical estimates are based only on the five year average annual change, and not any approved policy, strategic decision, or enrollment factors. The methodology used to estimate out-year projections are progressively conservative and designed to smooth volatile (defined as annual change of ±10% of the 2021-22 total) trends. If the average annual change is not within a ±10% range of the 2021-22 value, then the enrollment estimates are held constant at the 2021-22 level. Note: Institutions began reporting program enrollment and degrees awarded using the CIP 2020 taxonomy for the 2019-20 academic year. The trends shown below may be impacted by this reporting change.

| 6-DIGIT CIP | CIP LABEL  | ACTUAL    |           |           |           |           |           | AVG. ANNUAL CHANGE (AAC) | CHANGE AS % OF 2021-22 | ROUNDED MATHEMATICAL ESTIMATES |         |         |         |         |
|-------------|--|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |  | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |  | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 400501      | Chemistry  | 3,915     | 3,762     | 3,673     | 3,449     | 3,356     | 3,163     | -150                     | -5%                    | 3,010                          | 2,880   | 2,760   | 2,660   | 2,570   |
| 400599      | Chemical Sciences/Industrial Chemistry             | 68        | 51        | 38        | 30        | 29        | 23        | -9                       | -39%                   | 20                             | 20      | 20      | 20      | 20      |
| 400601      | Geology  | 555       | 530       | 466       | 465       | 430       | 420       | -27                      | -6%                    | 390                            | 370     | 350     | 330     | 310     |
| 400699      | Geological and Related Sciences Other              |           |           | 24        | 63        | 90        | 134       | 27                       | 20%                    | 130                            | 130     | 130     | 130     | 130     |
| 400801      | Physics  | 1,366     | 1,354     | 1,306     | 1,272     | 1,246     | 1,196     | -34                      | -3%                    | 1,160                          | 1,130   | 1,100   | 1,080   | 1,060   |
| 400899      | Radiation Physics                                  | 29        | 32        | 32        | 28        | 23        | 25        | -1                       | -4%                    | 20                             | 20      | 20      | 20      | 20      |
| 409999      | Geophysical Fluid Dynamics                         |           |           |           |           | 78        | 42        | 8                        | 19%                    | 40                             | 40      | 40      | 40      | 40      |
| 420101      | Psychology, General                                | 21,255    | 20,907    | 21,776    | 22,983    | 24,501    | 25,488    | 847                      | 3%                     | 26,340                         | 27,100  | 27,780  | 28,370  | 28,880  |
| 422706      | Physiological Psychology/Psychobiology             | 660       | 604       | 625       | 667       | 709       | 800       | 28                       | 4%                     | 830                            | 860     | 880     | 900     | 920     |
| 422799      | Research and Experimental Psychology, Other        | 1,179     | 1,239     | 1,254     | 1,353     | 1,388     | 1,361     | 36                       | 3%                     | 1,400                          | 1,430   | 1,460   | 1,490   | 1,510   |
| 430104      | Criminal Justice Studies                           | 9,605     | 9,428     | 9,540     | 9,491     | 9,361     | 8,908     | -139                     | -2%                    | 8,770                          | 8,650   | 8,540   | 8,440   | 8,360   |
| 430107      | Law Enforcement/Police Science                     | 125       | 129       | 136       | 142       | 148       | 158       | 7                        | 4%                     | 170                            | 180     | 190     | 200     | 200     |
| 430203      | Fire Science/Fire-fighting                         | 124       | 170       | 216       | 247       | 278       | 265       | 28                       | 11%                    | 270                            | 270     | 270     | 270     | 270     |
| 430302      | Crisis/Emergency/Disaster Management               |           |           | 24        | 92        | 152       | 254       | 51                       | 20%                    | 250                            | 250     | 250     | 250     | 250     |
| 430402      | Criminalistics and Criminal Science                |           |           |           | 429       | 535       | 600       | 120                      | 20%                    | 600                            | 600     | 600     | 600     | 600     |
| 430403      | Cyber/Computer Forensics and Counterterrorism      |           |           |           | 246       | 281       | 249       | 50                       | 20%                    | 250                            | 250     | 250     | 250     | 250     |
| 430406      | Forensic Science and Technology                    |           |           |           | 471       | 570       | 636       | 127                      | 20%                    | 640                            | 640     | 640     | 640     | 640     |
| 439999      | Homeland Security, Law Enforcement, Firefighting a | 229       | 234       | 237       | 310       | 272       | 262       | 7                        | 3%                     | 270                            | 280     | 290     | 300     | 300     |
| 440000      | Public Admin & Social Serv Profs                   | 294       | 264       | 218       | 287       | 339       | 330       | 7                        | 2%                     | 340                            | 350     | 360     | 370     | 370     |
| 440401      | Public Administration                              | 831       | 864       | 900       | 868       | 795       | 649       | -36                      | -6%                    | 610                            | 580     | 550     | 530     | 510     |
| 440701      | Social Work, General                               | 3,035     | 2,921     | 2,821     | 2,481     | 2,398     | 2,297     | -148                     | -6%                    | 2,150                          | 2,020   | 1,900   | 1,800   | 1,710   |
| 449999      | Public Affairs                                     | 5         | 2         | 118       | 420       | 442       | 424       | 84                       | 20%                    | 420                            | 420     | 420     | 420     | 420     |
| 450101      | Social Sciences, General                           | 2,157     | 2,069     | 1,964     | 1,908     | 1,720     | 1,535     | -124                     | -8%                    | 1,410                          | 1,300   | 1,200   | 1,110   | 1,040   |
| 450201      | Anthropology                                       | 1,863     | 1,828     | 1,712     | 1,638     | 1,562     | 1,538     | -65                      | -4%                    | 1,470                          | 1,410   | 1,360   | 1,320   | 1,280   |
| 450401      | Criminology  | 2,110     | 2,115     | 2,149     | 2,156     | 2,140     | 2,107     | -1                       | 0%                     | 2,110                          | 2,110   | 2,110   | 2,110   | 2,110   |
| 450601      | Economics  | 4,038     | 3,722     | 3,675     | 3,610     | 3,729     | 3,832     | -41                      | -1%                    | 3,790                          | 3,750   | 3,720   | 3,690   | 3,670   |
| 450701      | Geography  | 484       | 378       | 376       | 328       | 305       | 305       | -36                      | -12%                   | 310                            | 310     | 310     | 310     | 310     |
| 450901      | International Relations and Affairs                | 2,851     | 2,781     | 2,622     | 2,483     | 2,220     | 2,082     | -154                     | -7%                    | 1,930                          | 1,790   | 1,670   | 1,560   | 1,470   |
| 451001      | Political Science & Government                     | 6,760     | 7,116     | 7,328     | 7,441     | 7,683     | 7,738     | 196                      | 3%                     | 7,930                          | 8,110   | 8,270   | 8,410   | 8,530   |
| 451101      | Sociology  | 3,475     | 3,223     | 2,934     | 2,795     | 2,622     | 2,354     | -224                     | -10%                   | 2,130                          | 1,930   | 1,750   | 1,590   | 1,460   |
| 459999      | Maritime Studies                                   | 79        | 75        | 68        | 78        | 210       | 138       | 12                       | 9%                     | 150                            | 160     | 170     | 180     | 190     |
| 500102      | Digital Arts                                       | 1,265     | 1,341     | 1,454     | 1,724     | 2,293     | 2,717     | 290                      | 11%                    | 2,720                          | 2,720   | 2,720   | 2,720   | 2,720   |
| 500301      | Dance  | 283       | 266       | 292       | 310       | 312       | 289       | 1                        | 0%                     | 290                            | 290     | 290     | 290     | 290     |
| 500408      | Interior Design                                    | 288       | 312       | 317       | 325       | 296       | 285       | -1                       | 0%                     | 280                            | 280     | 280     | 280     | 280     |
| 500409      | Graphic Design                                     | 363       | 364       | 418       | 442       | 435       | 391       | 6                        | 2%                     | 400                            | 410     | 420     | 420     | 420     |
| 500501      | Dramatic Arts                                      | 1,510     | 1,512     | 1,489     | 1,427     | 1,436     | 1,357     | -31                      | -2%                    | 1,330                          | 1,300   | 1,280   | 1,260   | 1,240   |
| 500602      | Cinematography and Film/Video Production           | 738       | 779       | 864       | 841       | 950       | 1,093     | 71                       | 6%                     | 1,160                          | 1,220   | 1,280   | 1,330   | 1,370   |
| 500605      | Photography  | 60        | 45        | 30        | 23        | 26        | 29        | -6                       | -21%                   | 30                             | 30      | 30      | 30      | 30      |
| 500701      | Visual Art, General                                | 1,797     | 1,776     | 1,871     | 1,800     | 1,782     | 1,849     | 10                       | 1%                     | 1,860                          | 1,870   | 1,880   | 1,890   | 1,900   |
| 500702      | Studio/Fine Art                                    | 2,691     | 2,818     | 2,857     | 1,935     | 1,750     | 1,603     | -218                     | -14%                   | 1,600                          | 1,600   | 1,600   | 1,600   | 1,600   |
| 500703      | Art History & Appreciation                         | 304       | 298       | 278       | 297       | 284       | 311       | 1                        | 0%                     | 310                            | 310     | 310     | 310     | 310     |
| 500901      | Music, General                                     | 817       | 777       | 827       | 827       | 794       | 786       | -6                       | -1%                    | 780                            | 780     | 780     | 780     | 780     |
| 500903      | Music Performance                                  | 749       | 750       | 752       | 613       | 678       | 675       | -15                      | -2%                    | 660                            | 650     | 640     | 630     | 620     |
| 500904      | Music Composition                                  | 13        | 10        | 12        | 12        | 8         | 6         | -1                       | -17%                   | 10                             | 10      | 10      | 10      | 10      |
| 500910      | Jazz Studies                                       | 56        | 46        | 38        | 28        | 34        | 22        | -7                       | -32%                   | 20                             | 20      | 20      | 20      | 20      |
| 501001      | Arts, Entertainment, and Media Management, General | 239       | 465       | 652       | 734       | 749       | 723       | 97                       | 13%                    | 720                            | 720     | 720     | 720     | 720     |
| 501003      | Music Management                                   | 110       | 102       | 81        | 82        | 91        | 96        | -3                       | -3%                    | 90                             | 90      | 90      | 90      | 90      |
| 509999      | Music Studies                                      | 109       | 102       | 76        | 1,456     | 1,568     | 1,564     | 291                      | 19%                    | 1,560                          | 1,560   | 1,560   | 1,560   | 1,560   |
| 510000      | Health Professions and Related Programs            | 11,909    | 13,408    | 14,781    | 14,833    | 15,624    | 15,834    | 785                      | 5%                     | 16,620                         | 17,330  | 17,960  | 18,510  | 18,980  |
| 510201      | Communication Sciences and Disorders, General      | 125       | 151       | 178       | 191       | 99        | 21        | -21                      | -100%                  | 20                             | 20      | 20      | 20      | 20      |
| 510204      | Speech Pathology and Audiology                     | 1,931     | 1,910     | 1,890     | 1,933     | 1,945     | 1,931     | 0                        | 0%                     | 1,930                          | 1,930   | 1,930   | 1,930   | 1,930   |
| 510701      | Health Services Administration                     | 4,031     | 3,747     | 3,545     | 3,178     | 2,800     | 2,497     | -307                     | -12%                   | 2,500                          | 2,500   | 2,500   | 2,500   | 2,500   |

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|-------------|--|-----------|-----------|-----------|-----------|-----------|-----------|--------------------------|------------------------|--------------------------------|---------|---------|---------|---------|
|             |  | CIP 2010  |           |           | CIP 2020  |           |           |                          |                        | 2022-23                        | 2023-24 | 2024-25 | 2025-26 | 2026-27 |
|             |  | 2016-2017 | 2017-2018 | 2018-2019 | 2019-2020 | 2020-2021 | 2021-2022 |                          |                        | 100% AAC                       | 90% AAC | 80% AAC | 70% AAC | 60% AAC |
| 510706      | Health Information Management                      | 261       | 240       | 243       | 180       | 198       | 185       | -15                      | -8%                    | 170                            | 160     | 150     | 140     | 130     |
| 510708      | Long Term Care Administration/Management           |           |           |           |           | 11        | 21        | 4                        | 19%                    | 20                             | 20      | 20      | 20      | 20      |
| 510908      | Cardiopulmonary Sciences(Resp Ther)                | 100       | 96        | 85        | 29        | 46        | 40        | -12                      | -30%                   | 40                             | 40      | 40      | 40      | 40      |
| 510913      | Athletic Training                                  | 708       | 652       | 552       | 441       | 365       | 338       | -74                      | -22%                   | 340                            | 340     | 340     | 340     | 340     |
| 511005      | Clinical Laboratory Science/Medical Technology/Tec | 422       | 431       | 423       | 329       | 377       | 387       | -7                       | -2%                    | 380                            | 370     | 360     | 360     | 360     |
| 511504      | Community Health Liaison                           | 51        | 53        | 33        | 30        | 31        | 13        | -8                       | -62%                   | 10                             | 10      | 10      | 10      | 10      |
| 512001      | Pharmacy (Pharm.D.)                                | 441       | 383       | 339       | 506       | 364       | 340       | -20                      | -6%                    | 320                            | 300     | 280     | 270     | 260     |
| 512099      | Pharmaceutical Sciences                            |           | 8         | 11        | 21        | 27        | 24        | 5                        | 21%                    | 20                             | 20      | 20      | 20      | 20      |
| 512201      | Public Health, General                             | 1,016     | 1,215     | 1,234     | 1,522     | 1,802     | 1,906     | 178                      | 9%                     | 2,080                          | 2,240   | 2,380   | 2,510   | 2,620   |
| 512208      | Community Health                                   | 1,068     | 1,027     | 947       | 714       | 653       | 593       | -95                      | -16%                   | 590                            | 590     | 590     | 590     | 590     |
| 512305      | Music Therapy                                      | 103       | 115       | 121       | 120       | 117       | 111       | 2                        | 2%                     | 110                            | 110     | 110     | 110     | 110     |
| 512399      | Rehabilitation/Therapeutic Prof., Other            |           |           |           |           | 55        | 341       | 68                       | 20%                    | 340                            | 340     | 340     | 340     | 340     |
| 513101      | Dietetics/Nutritional Services                     | 975       | 903       | 862       | 785       | 805       | 794       | -36                      | -5%                    | 760                            | 730     | 700     | 680     | 660     |
| 513102      | Clinical Nutrition/Nutritionist                    | 128       | 123       | 120       | 115       | 134       | 131       | 1                        | 1%                     | 130                            | 130     | 130     | 130     | 130     |
| 513801      | Registered Nursing/Registered Nurse                | 11,847    | 12,201    | 12,043    | 9,703     | 9,435     | 9,034     | -563                     | -6%                    | 8,470                          | 7,960   | 7,510   | 7,120   | 6,780   |
| 519999      | Health Policy Research                             | 1,440     | 830       | 793       | 4,153     | 3,856     | 3,276     | 367                      | 11%                    | 3,280                          | 3,280   | 3,280   | 3,280   | 3,280   |
| 520101      | Business, General                                  | 5,895     | 5,613     | 4,741     | 3,025     | 2,754     | 3,280     | -523                     | -16%                   | 3,280                          | 3,280   | 3,280   | 3,280   | 3,280   |
| 520201      | Business Administration and Management             | 15,238    | 15,377    | 16,233    | 14,410    | 13,909    | 14,263    | -195                     | -1%                    | 14,070                         | 13,900  | 13,740  | 13,600  | 13,480  |
| 520203      | Logistics, Materials, and Supply Chain Management  | 378       | 405       | 383       | 602       | 605       | 621       | 49                       | 8%                     | 670                            | 710     | 750     | 780     | 810     |
| 520206      | Non-Profit Management                              |           | 35        | 63        | 66        | 58        | 77        | 15                       | 19%                    | 80                             | 80      | 80      | 80      | 80      |
| 520301      | Accounting   | 9,589     | 9,090     | 8,847     | 7,021     | 6,331     | 6,064     | -705                     | -12%                   | 6,060                          | 6,060   | 6,060   | 6,060   | 6,060   |
| 520601      | Business Managerial Economics                      | 570       | 547       | 599       | 365       | 364       | 316       | -51                      | -16%                   | 320                            | 320     | 320     | 320     | 320     |
| 520701      | Entrepreneurship                                   | 44        | 295       | 453       | 476       | 448       | 682       | 128                      | 19%                    | 680                            | 680     | 680     | 680     | 680     |
| 520801      | Finance, General                                   | 12,300    | 12,460    | 12,333    | 10,740    | 10,394    | 11,122    | -236                     | -2%                    | 10,890                         | 10,680  | 10,490  | 10,330  | 10,190  |
| 520804      | Financial Planning                                 |           |           | 48        | 63        | 69        | 97        | 19                       | 20%                    | 100                            | 100     | 100     | 100     | 100     |
| 520901      | Hospitality Administration/Management              | 5,830     | 5,456     | 5,294     | 5,041     | 4,899     | 4,682     | -230                     | -5%                    | 4,450                          | 4,240   | 4,060   | 3,900   | 3,760   |
| 520905      | Resturant and Food Service Management              | 128       | 121       | 125       | 113       | 132       | 111       | -3                       | -3%                    | 110                            | 110     | 110     | 110     | 110     |
| 520906      | Resort and Hospitality Management                  | 926       | 833       | 769       | 629       | 410       | 324       | -120                     | -37%                   | 320                            | 320     | 320     | 320     | 320     |
| 520907      | Meeting and Event Planning                         | 1,069     | 991       | 904       | 787       | 698       | 563       | -101                     | -18%                   | 560                            | 560     | 560     | 560     | 560     |
| 521001      | Human Resources Management                         | 462       | 503       | 493       | 502       | 520       | 471       | 2                        | 0%                     | 470                            | 470     | 470     | 470     | 470     |
| 521101      | International Business Management                  | 2,804     | 2,751     | 2,785     | 2,629     | 2,303     | 2,392     | -82                      | -3%                    | 2,310                          | 2,240   | 2,170   | 2,110   | 2,060   |
| 521201      | MGMT. Info. Systems/Busi Data Proc.                | 1,728     | 1,840     | 1,977     | 1,894     | 1,761     | 1,702     | -5                       | 0%                     | 1,700                          | 1,700   | 1,700   | 1,700   | 1,700   |
| 521301      | Management Science                                 | 296       | 389       | 492       | 783       | 875       | 987       | 138                      | 14%                    | 990                            | 990     | 990     | 990     | 990     |
| 521304      | Actuarial Science                                  | 293       | 301       | 332       | 353       | 347       | 310       | 3                        | 1%                     | 310                            | 310     | 310     | 310     | 310     |
| 521401      | Business Marketing Management                      | 9,120     | 9,465     | 9,756     | 8,125     | 7,748     | 8,509     | -122                     | -1%                    | 8,390                          | 8,280   | 8,180   | 8,100   | 8,030   |
| 521499      | Mkt. MGMT. And Research Oth.                       | 56        | 78        | 101       | 99        | 45        | 34        | -4                       | -12%                   | 30                             | 30      | 30      | 30      | 30      |
| 521501      | Real Estate  | 419       | 506       | 574       | 429       | 476       | 538       | 24                       | 4%                     | 560                            | 580     | 600     | 620     | 630     |
| 521701      | Insurance & Risk Mgmt                              | 298       | 352       | 355       | 355       | 322       | 282       | -3                       | -1%                    | 280                            | 280     | 280     | 280     | 280     |
| 529999      | Business MGMT. & Administrative Serv., Other       |           |           |           | 8,909     | 10,624    | 8,102     | 1,620                    | 20%                    | 8,100                          | 8,100   | 8,100   | 8,100   | 8,100   |
| 540101      | History  | 2,813     | 2,734     | 2,760     | 2,714     | 2,634     | 2,719     | -19                      | -1%                    | 2,700                          | 2,680   | 2,670   | 2,660   | 2,650   |

**SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY**

| <b>Schedule XII Cover Sheet and Agency Project Approval</b>   |   |
|---|---|
| <b>Agency:</b> Department of Education  | <b>Schedule XII Submission Date:</b> 10/14/22                               |
| <b>Project Name:</b> N/A  | <b>Is this project included in the Agency's LRPP?</b><br>Yes _____ No _____ |
| <b>FY 2023 - 2024 LBR Issue Code:</b> N/A   | <b>FY 2023 -2024 LBR Issue Title:</b>                                       |
| <b>Agency Contact for Schedule XII (Name, Phone #, and E-mail address):</b><br><br>There are no projects that apply.<br><br>Suzanne Pridgeon, Deputy Commissioner<br>Division of Finance and Operations<br>850-245-9244<br>Suzanne.Pridgeon@fldoe.org |   |
| <b>AGENCY APPROVAL SIGNATURES</b>   |   |
| I am submitting the attached Schedule XII in support of our legislative budget request.<br>I have reviewed and agree with the information in the attached Schedule XII.   |   |
| <b>Agency Head:</b>   | <b>Date:</b>  |
| <b>Printed Name:</b>  |   |
| <b>Agency Chief Information Officer:</b><br><i>(If applicable)</i>  | <b>Date:</b>  |
| <b>Printed Name:</b>  |   |
| <b>Budget Officer:</b>  | <b>Date:</b>  |
| <b>Printed Name:</b>  |   |
| <b>Planning Officer:</b>  | <b>Date:</b>  |
| <b>Printed Name:</b>  |   |
| <b>Project Sponsor:</b>   | <b>Date:</b>  |
| <b>Printed Name:</b>  |   |

**SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY**

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

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

|   |
|---|
| <b>II. Evaluation of Options</b>  |
| 1. Provide a description of the available options for performing the service or activity and list for each option the general resources and processes needed to perform the service or activity. If state employees are currently performing the service or activity, provide at least one option involving maintaining state provision of the service or activity. |
|   |
| 2. For each option, describe its current market for the service or activity under consideration for outsourcing or privatizing. How many vendors are currently providing the specific service or activity on a scale similar to the proposed option? How mature is this market?   |
|   |
| 3. List the criteria used to evaluate the options. Include a cost-benefit analysis documenting the direct and indirect specific baseline costs, savings, and qualitative and quantitative benefits involved in or resulting from the implementation of the recommended option(s).   |
|   |
| 4. Based upon the evaluation criteria, identify and analyze the advantages and disadvantages of each option, including potential performance improvements and risks.  |
|   |
| 5. For each option, describe the anticipated impact on the agency and the stakeholders, including impacts on other state agencies and their operations.   |
|   |

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

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



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

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

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

|  |
|--|
| <b>Contact Information</b>                 |
| Agency: Florida Department of Education    |
| Name: Suzanne Pridgeon                     |
| Phone: 850-245-9244                        |
| E-mail address: Suzanne.Pridgeon@fldoe.org |

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

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

|  |
|--|
| <b>1. Commodities proposed for purchase.</b>   |
| The Department of Education does not have any Consolidated Financing of Deferred Payment commodity contracts.  |
| <b>2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.</b>   |
|  |
| <b>3. Summary of one-time payment versus financing analysis including a summary amortization schedule for the financing by fiscal year (amortization schedule and analysis detail may be attached separately).</b> |
|  |
| <b>4. Identify base budget proposed for payment of contract and/or issue code and title of budget request if increased authority is required for payment of the contract.</b>                                      |
|  |

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

Agency: Department of Education

Contact: Amy Hammock

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 | #1 Maintain Current Budget - FEFP - Maximize Trust Funds - Fund Shift from GR to to Trust | R    | 502.2                                | 471.7                      |
| b | #2 Workload and Enrollment - FEFP   | B    | 182.5                                | (44.9)                     |
| c | Workload and Enrollment - Class Size Reduction  | B    | 0.0                                  | 44.9                       |
| d | #3 Workload and Enrollment - VPK  | B    | (2.1)                                | (2.1)                      |
| e | Other - VPK   | B    | 0.0                                  | 101.6                      |
| f | #4 Workload and Enrollment - Bright Futures and CSDDV                                     | B    | (5.5)                                | (5.5)                      |
| g | #5 Educational Enhancement TF Adjustment in Higer Ed - Fund Shift from GR to Trust        | R    | 70.7                                 | 0.0                        |
| h | #16 Workload and Enrollment - Other PreK-12 Programs                                      | B    | 23.9                                 | 136.2                      |
| i | #17 Restore nonrecurring in the SUS Performance Funding                                   | B    | 265                                  | 265.0                      |
| j | #18 Workload - District Workforce   | B    | 6.7                                  | 34.2                       |
| k | #19 Workload - Florida Colleges   | B    | 58.2                                 | 53.7                       |
| l | #20 Workload - State Universities   | B    | 124.9                                | 328.9                      |
| m | #21 Workload and Adjustments - Other Higher Education Programs                            | B    | 0.2                                  | 3.7                        |
| n | Workload - Debt Service Reduction   | B    |                                      | (14.9)                     |
| o | Critical Pay Issues for Vocational Rehab and Blind Services                               | B    |                                      | 0.9                        |
| p | State Board Initiatives   | B    |                                      | 47.1                       |
|   | TOTAL   |      | 263.9                                | 948.8                      |

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

The \$295 million increase over the LRFO is the result of two drivers: "e" related to increasing the base student allocation for VPK resulting in an increase of \$101.6 million and "l" for increases in the State University System that are \$204 million over the LRFO. All other drivers have a net cumulative decrease compared to the LRFO of (\$10.6) million.

a. The department is holding a 5% reserve in both Lottery and SSTF. It is unclear if the LRFO is projecting a reserve at all for either of these funds.

b. Requested is an increase of 1.91% per FTE in the FEFP rather than a three year average as used in the LRFO. This resulted in an decreased need of state funds.

c. Requested is an increase in the Class Size Reduction constitutional requirement. It is unclear if this included in Driver #2 in the LRFO, it is assumed it is not.

d. No difference with LRFO.

e. Requested is a 22% increase in the BSA for VPK. The LRFO only assumes a 4.93% increase.

f. No difference with LRFO.

g. The department placed all funds shifts to maximize trust funds in the FEFP, none in Higher Ed.

h. Request includes funding for new and enhanced programs rather than a three year average as used in the LRFO.

i. No difference with LRFO.

j. Request includes funding for new programs rather than a three year average as used in the LRFO.

k. Request includes a decrease in an existing program.

l. Request amount for the State University System in excess of the LRFO is primarily driven by a requested \$210 million incremental increase in state support of the Performance-Based Funding (PBF) initiative. The PBF funding model has proven to be a highly effective success strategy, with university performance metrics showing significant state-wide improvements in student outcomes in the nine years since it's inception. In addition, an incremental amount of \$100 million is requested for the Preeminent Research Universities to ensure the continued upward trajectory of these institutions in the national rankings of U.S. public universities.

m. Request includes funding for a new financial aid program.

n. Request includes a reduction in Debt Service funding.

o. Request addresses critical hiring needs in the Divisions of Vocational Rehabilitation and Blind Services.

p. Request addresses major initiatives within the State Board.

\* R/B = Revenue or Budget Driver

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

|  |
|--|
| <b>Contact Information</b>                 |
| Agency: Florida Department of Education    |
| Name: Suzanne Pridgeon                     |
| Phone: 850-245-9244                        |
| E-mail address: Suzanne.Pridgeon@fldoe.org |

|  |                     |                                 |
|--|---------------------|---------------------------------|
| <b>1. Vendor Name</b>  |                     |                                 |
| The Department of Education does not have any contracts in which we receive in excess of \$10 million from a vendor. |                     |                                 |
| <b>2. Brief description of services provided by the vendor.</b>  |                     |                                 |
|  |                     |                                 |
| <b>3. Contract terms and years remaining.</b>  |                     |                                 |
|  |                     |                                 |
| <b>4. Amount of revenue generated</b>  |                     |                                 |
| Prior Fiscal Year  | Current Fiscal Year | Next Fiscal Year (Request Year) |
|  |                     |                                 |
| <b>5. Amount of revenue remitted</b>   |                     |                                 |
| Prior Fiscal Year  | Current Fiscal Year | Next Fiscal Year (Request Year) |
|  |                     |                                 |
| <b>6. Value of capital improvement</b>   |                     |                                 |
|  |                     |                                 |
| <b>7. Remaining amount of capital improvement</b>  |                     |                                 |
|  |                     |                                 |
| <b>8. Amount of state appropriations</b>   |                     |                                 |
| Prior Fiscal Year  | Current Fiscal Year | Next Fiscal Year (Request Year) |
|  |                     |                                 |



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Fixed Capital Outlay  
Exhibits or Schedules



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2023-24  
Fixed Capital Outlay  
Schedule I Series

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** 48 EDUCATION **Budget Period 2023-24**  
**Budget Entity:** 48150000/2004 Lottery Revenue Bonds

| (1)                        | (2)                  | (3)                     | (4)                   |
|----------------------------|----------------------|-------------------------|-----------------------|
| <u>SECTION I</u>           | ACTUAL<br>FY 2021-22 | ESTIMATED<br>FY 2022-23 | REQUEST<br>FY 2023-24 |
| Interest on Debt           | (A) 32,125,350       | 26,006,100              | 20,596,600            |
| Principal                  | (B) 129,920,000      | 108,190,000             | 98,995,000            |
| Repayment of Loans         | (C)                  |                         |                       |
| Fiscal Agent or Other Fees | (D) 65,464           | 52,472                  | 41,653                |
| Other Debt Service         | (E)                  |                         |                       |
| Total Debt Service         | (F) 162,110,814      | 134,248,572             | 119,633,253           |

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

**SECTION II**

**ISSUE:**

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

**ISSUE:**

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



**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** 48 EDUCATION **Budget Period 2023-24**  
**Budget Entity:** 48150000/2071 University System Improvement Revenue Bonds

| (1)                        | (2)                   | (3)               | (4)               |
|----------------------------|-----------------------|-------------------|-------------------|
| <b>SECTION I</b>           | <b>ACTUAL</b>         | <b>ESTIMATED</b>  | <b>REQUEST</b>    |
|                            | <b>FY 2021-22</b>     | <b>FY 2022-23</b> | <b>FY 2023-24</b> |
| Interest on Debt           | (A) 3,123,357         | 2,603,957         | 2,177,857         |
| Principal                  | (B) 11,265,000        | 9,435,000         | 6,850,000         |
| Repayment of Loans         | (C)                   |                   |                   |
| Fiscal Agent or Other Fees | (D) 7,017             | 6,454             | 5,510             |
| Other Debt Service         | (E)                   |                   |                   |
| <b>Total Debt Service</b>  | <b>(F) 14,395,374</b> | <b>12,045,411</b> | <b>9,033,367</b>  |

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

**SECTION II**

**ISSUE:**

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

**ISSUE:**

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

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** 48 EDUCATION **Budget Period 2023-24**  
**Budget Entity:** 48150000/2555 Public Education Capital Outlay Bonds

| (1)                            | (2)                  | (3)                     | (4)                   |
|--------------------------------|----------------------|-------------------------|-----------------------|
| <u>SECTION I</u>               | ACTUAL<br>FY 2021-22 | ESTIMATED<br>FY 2022-23 | REQUEST<br>FY 2023-24 |
| Interest on Debt (A)           | 240,395,511          | 219,760,876             | 193,788,587           |
| Principal (B)                  | 582,375,000          | 571,800,000             | 501,365,000           |
| Repayment of Loans (C)         |                      |                         |                       |
| Fiscal Agent or Other Fees (D) | 573,732              | 540,163                 | 482,983               |
| Other Debt Service (E)         |                      |                         |                       |
| <b>Total Debt Service (F)</b>  | <b>823,344,243</b>   | <b>792,101,039</b>      | <b>695,636,570</b>    |

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

**SECTION II**

**ISSUE:**

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

**ISSUE:**

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

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** 48 EDUCATION **Budget Period 2023-24**  
**Budget Entity:** 48150000/2612 Capital Outlay & Debt Service

| (1)                        | (2)                   | (3)                     | (4)                   |
|----------------------------|-----------------------|-------------------------|-----------------------|
| <u>SECTION I</u>           | ACTUAL<br>FY 2021-22  | ESTIMATED<br>FY 2022-23 | REQUEST<br>FY 2023-24 |
| Interest on Debt           | (A) 2,816,200         | 2,257,950               | 1,775,650             |
| Principal                  | (B) 13,690,000        | 12,410,000              | 9,230,000             |
| Repayment of Loans         | (C)                   |                         |                       |
| Fiscal Agent or Other Fees | (D) 6,834             | 5,465                   | 4,224                 |
| Other Debt Service         | (E)                   |                         |                       |
| <b>Total Debt Service</b>  | <b>(F) 16,513,034</b> | <b>14,673,415</b>       | <b>11,009,874</b>     |

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

**SECTION II**

**ISSUE:**

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

**ISSUE:**

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

# Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus

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

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

## 1. GENERAL

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

## AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>                                  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b> | 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

|  |
|--|
| Department/Budget Entity (Service): Education / Fixed Capital Outlay |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus  |

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

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

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>   | Y |  |  |  |  |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03.   |  |  |  |  |  |
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.   |  |  |  |  |  |
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
| 4.2 Is the program component code and title used correct?  | Y |  |  |  |  |
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.   |   |  |  |  |  |

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / Fixed Capital Outlay |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus  |

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

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

### AUDITS:

|     |   |   |  |  |  |  |
|-----|---|---|--|--|--|--|
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus

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

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

|      |   |    |  |  |  |  |
|------|---|----|--|--|--|--|
| 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?   | NA |  |  |  |  |
| 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?   | NA |  |  |  |  |
| 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.)  | NA |  |  |  |  |
| 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.  | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 7.8  | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?   | NA |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?   | NA |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 7.14 | Do the amounts reflect appropriate FSI assignments?   | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus

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

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

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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.   | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 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)?  | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 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? <b>(GENR, LBR1)</b>   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | NA |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b> | 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. <b>(NAAR, BSNR)</b>   | Y  |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / Fixed Capital Outlay |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus  |

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

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

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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. | NA |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |    |  |  |  |  |
| <b>TIP</b> 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.   |    |  |  |  |  |
| <b>TIP</b> 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.  |    |  |  |  |  |
| <b>TIP</b> 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).  |    |  |  |  |  |
| <b>TIP</b> 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)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / Fixed Capital Outlay |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus  |

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

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

|      |  |   |  |  |  |                                       |
|------|--|---|--|--|--|---------------------------------------|
| 8.4  | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   |   |  |  |  | Y, for 2176 and 2380 only             |
| 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?  | Y |  |  |  |                                       |
| 8.8  | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y |  |  |  |                                       |
| 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, for 2176 only                      |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?   |   |  |  |  | Y, for 2178, 2543, 2555 and 2612 only |
| 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 |  |  |  |                                       |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus

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

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

|                |  |                  |  |  |  |  |
|----------------|--|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21           | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22           | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23           | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24           | Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25           | Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26           | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27           | Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28           | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29           | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |
| <b>AUDITS:</b> |  |                  |  |  |  |  |
| 8.30           | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).   | Y                |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus

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

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

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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.  |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

AUDIT:

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | NA |  |  |  |  |
|---|----|--|--|--|--|

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | NA |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / Fixed Capital Outlay |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus  |

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

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

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>  | NA |  |  |  |  |
| TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the 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.) | NA |  |  |  |  |
| TIP Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.   |    |  |  |  |  |
| TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.   |    |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.) |                      |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / Fixed Capital Outlay |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus  |

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

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

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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? ( <b>GENR, ACT1</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> ) | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> ) | No, reconciliation provided |  |  |  |  |
|--|-----------------------------|--|--|--|--|

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

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | NA |  |  |  |  |
|---|----|--|--|--|--|

|   |       |  |  |  |  |
|---|-------|--|--|--|--|
| 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, NA |  |  |  |  |
|---|-------|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / Fixed Capital Outlay |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Grant Stolfus  |

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

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

### 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)

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

### 19. FLORIDA FISCAL PORTAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|



FLORIDA DEPARTMENT OF  
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2023-24

Vocational Rehabilitation  
Exhibits or Schedules





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2023-24

Vocational Rehabilitation  
Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |   |
|-----------------------------|---|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>           |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                         |
| <b>Budget Entity:</b>       | <b>ADMINISTRATIVE TRUST FUND</b>            |
| <b>LAS/PBS Fund Number:</b> | <b>48160000 - VOCATIONAL REHABILITATION</b> |
|                             | <b>2021</b>                                 |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|-----|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 1,473.06                   | (A) |                      | 1,473.06            |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                |
| ADD: Investments                                    |                            | (C) |                      | 0.00                |
| ADD: Outstanding Accounts Receivable                | 23,187.70                  | (D) |                      | 23,187.70           |
| ADD: _____  |                            | (E) |                      | 0.00                |
| <b>Total Cash plus Accounts Receivable</b>          | <b>24,660.76</b>           | (F) | <b>0.00</b>          | <b>24,660.76</b>    |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                |
| LESS: Approved "A" Certified Forwards               | 24,660.76                  | (H) |                      | 24,660.76           |
| Approved "B" Certified Forwards                     |                            | (H) |                      | 0.00                |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         |                            | (I) |                      | 0.00                |
| LESS: _____   |                            | (J) |                      | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00</b>                | (K) | <b>0.00</b>          | <b>0.00</b> **      |

**Notes:**

\*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2022

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <u>Budget Period: 2023 - 2024</u>                                |
| <b>Trust Fund Title:</b>    | <u>48 EDUCATION</u>  |
| <b>LAS/PBS Fund Number:</b> | <u>ADMINISTRATIVE TRUST FUND</u>                                 |
|                             | <u>2021</u> <span style="float:right"><u>BE: 48160000</u></span> |

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/22**  
Total all GLC's 5XXXX for governmental funds;  (A)  
GLC 539XX for proprietary and fiduciary funds

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

**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

SWFS Adjustment # and Description  (C)

SWFS Adjustment # and Description  (C)

**Add/Subtract Other Adjustment(s):**

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

Approved FCO Certified Forward per LAS/PBS  (D)

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

(D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:**  (E)

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

**DIFFERENCE:**  (G)\*

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |   |
|-----------------------------|---|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>         |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                       |
| <b>Budget Entity:</b>       | <b>FEDERAL REHABILITATION TRUST FUND</b>  |
| <b>LAS/PBS Fund Number:</b> | <b>48160000 VOCATIONAL REHABILITATION</b> |
|                             | <b>2270</b>                               |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance  |
|---|----------------------------|-----|----------------------|----------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 696,013.95                 | (A) |                      | 696,013.95           |
| ADD: Other Cash (See Instructions)                  | 59,913.59                  | (B) |                      | 59,913.59            |
| ADD: Investments                                    | 711,558.40                 | (C) |                      | 711,558.40           |
| ADD: Outstanding Accounts Receivable                | 18,498.79                  | (D) |                      | 18,498.79            |
| ADD: ANTICIPATED REVENUE                            | 16,141,626.98              | (E) | 4,309.50             | 16,145,936.48        |
| ADD: SWFS ADJ# B4800008                             |                            | (E) | (6,445.73)           | (6,445.73)           |
| <b>Total Cash plus Accounts Receivable</b>          | <b>17,627,611.71</b>       | (F) | <b>(2,136.23)</b>    | <b>17,625,475.48</b> |
| LESS Allowances for Uncollectibles                  | 2,510.70                   | (G) |                      | 2,510.70             |
| LESS Approved "A" Certified Forwards                | 918,722.43                 | (H) |                      | 918,722.43           |
| Approved "B" Certified Forwards                     | 16,646,183.05              | (H) |                      | 16,646,183.05        |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                 |
| LESS: Other Accounts Payable (Nonoperating)         | 60,195.53                  | (I) |                      | 60,195.53            |
| LESS: SWFS ADJ # 04,05,08,18,20                     |                            | (J) | (2,136.23)           | (2,136.23)           |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00</b>                | (K) | <b>(0.00)</b>        | <b>0.00</b> **       |

**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**

|                             |  |
|-----------------------------|--|
|                             | <b>Budget Period: 2023 - 2024</b>                                  |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>  |
| <b>Trust Fund Title:</b>    | <b>FEDERAL REHABILITATION TRUST FUND</b>                           |
| <b>LAS/PBS Fund Number:</b> | <b>2270</b> <span style="float: right;"><b>BE: 48160000</b></span> |

**BEGINNING TRIAL BALANCE:**

|  |                     |
|--|---------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>                                    |                     |
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | 341,433.81 (A)      |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>  |                     |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>                         |                     |
| SWFS Adjustment # 04,05,08,18,20   | (4,309.50) (C)      |
| SWFS Adjustment # and Description  |                     |
| <b>Add/Subtract Other Adjustment(s):</b>   |                     |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS  | (16,646,183.05) (D) |
| Approved FCO Certified Forward per LAS/PBS   |                     |
| A/P not C/F-Operating Categories   | 163,122.26 (D)      |
| ANTICIPATED REVENUE  | 16,145,936.48 (D)   |
| LONG TERM ACCOUNTS RECEIVABLE  | 66,868.19 (D)       |
| ALLOWANCE FOR UNCOLLECTIBLES   | (66,868.19) (D)     |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>   | <b>0.00</b> (E)     |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>   | <b>0.00</b> (F)     |
| <b>DIFFERENCE:</b>   | <b>(0.00)</b> (G)*  |

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |   |
|-----------------------------|---|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>         |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                       |
| <b>Budget Entity:</b>       | <b>GRANTS &amp; DONATIONS TRUST FUND</b>  |
| <b>LAS/PBS Fund Number:</b> | <b>48160000 VOCATIONAL REHABILITATION</b> |
|                             | <b>2339</b>                               |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|-----|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 2,147.31                   | (A) |                      | 2,147.31            |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                |
| ADD: Investments                                    | 146,257.34                 | (C) |                      | 146,257.34          |
| ADD: Outstanding Accounts Receivable                | 15,249.79                  | (D) |                      | 15,249.79           |
| ADD: ANTICIPATED REVENUE                            | 36,358.83                  | (E) |                      | 36,358.83           |
| <b>Total Cash plus Accounts Receivable</b>          | <b>200,013.27</b>          | (F) | <b>0.00</b>          | <b>200,013.27</b>   |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                |
| LESS: Approved "A" Certified Forwards               |                            | (H) |                      | 0.00                |
| Approved "B" Certified Forwards                     | 200,000.00                 | (H) |                      | 200,000.00          |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         | 13.27                      | (I) |                      | 13.27               |
| LESS: _____   |                            | (J) |                      | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00</b>                | (K) | <b>0.00</b>          | <b>0.00</b> **      |

**Notes:**

\*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2022

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |  |
|-----------------------------|--|
|                             | <b>Budget Period: 2023 - 2024</b>                                  |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>  |
| <b>Trust Fund Title:</b>    | <b>GRANTS &amp; DONATIONS TRUST FUND</b>                           |
| <b>LAS/PBS Fund Number:</b> | <b>2339</b> <span style="float: right;"><b>BE: 48160000</b></span> |

**BEGINNING TRIAL BALANCE:**

|  |                    |
|--|--------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>            |                    |
| Total all GLC's 5XXXX for governmental funds;                          | 163,641.17 (A)     |
| GLC 539XX for proprietary and fiduciary funds                          |                    |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>                  | (B)                |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b> |                    |
| SWFS Adjustment # and Description                                      | (C)                |
| SWFS Adjustment # and Description                                      | (C)                |
| <b>Add/Subtract Other Adjustment(s):</b>                               |                    |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS                  | (200,000.00) (D)   |
| Approved FCO Certified Forward per LAS/PBS                             | (D)                |
| A/P not C/F-Operating Categories                                       | (D)                |
| ANTICIPATED REVENUE  | 36,358.83 (D)      |
|  | (D)                |
|  | (D)                |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>                               | <b>0.00 (E)</b>    |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>                   | <b>0.00 (F)</b>    |
| <b>DIFFERENCE:</b>   | <b>(0.00) (G)*</b> |

**\*SHOULD EQUAL ZERO.**

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2021 - 2022**

**Department: Office of the Inspector General**

**Chief Internal Auditor: Bradley Rich**

**Budget Entity: Vocational Rehabilitation**

**Phone Number: (850) 245-9221**

| (1)<br>REPORT<br>NUMBER  | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
|--|-------------------------|--|---|---|----------------------|
| Office of the Inspector General<br>Six-Month Status Report #<br>F-2021DOE-033 on Report #<br>A-2021DOE-004 | 7/30/2021               | Division of Vocational Rehabilitation (DVR)<br>Jackson County School Board<br>Adults with Disabilities Program<br><br>Acronyms:<br><br>Jackson County School District (JCSD)<br><br>Adults with Disabilities (AWD)<br><br>Adult Individual Education Plans (AIEPs)<br><br>Short Term Objectives (STOs) | Finding.1 DVR did not conduct effective monitoring of the grant.<br>Recommendation: We recommend DVR complete monitoring plans in accordance with the risk assessment and reflect sufficient activities to monitor high risk providers. We additionally recommend DVR conduct monitoring in accordance with the risk assessment and monitoring plan. We recommend that DVR promptly provide any monitoring results and recommendations for improvement to JCSD and ensure corrective action plans have been created and initiated on noted program deficiencies.<br><br>Finding 2. Grant language was unclear and inconsistent, and JCSD did not meet all quarterly grant deliverables.<br>Recommendation: We recommend DVR review the grant language and ensure the deliverable requirements are consistent throughout the grant. We recommend DVR determine the intent of the grant and the desired deliverables and modify the grant language accordingly to clarify the requirements for quarterly and cumulative benchmark attainment. If the grant language remains unchanged, we recommend DVR ensure deliverables are met on a quarterly basis through review of AIEPS, STOs, and other documentation that support benchmark progress and achievement. If quarterly deliverables are not met, we recommend DVR require JCSD to complete a corrective action plan. | DVR Management response 7/29/2021: Quarterly monitoring's were completed as indicated below:<br>Quarter 1 – February 16, 2021<br>Quarter 2 – February 16, 2021<br>Quarter 3 – May 27, 2021<br>There were no concerns or findings noted during these scheduled monitoring's.<br>Complete<br>Contact: Monica Moye 850-245-7004<br><br>DVR Management response 7/29/2021: The original executed grant for the current grant period reflects that the grantee is contracted to serve 100 adults with disabilities by the end of fiscal year 2020-21. Each of the 100 participants are required to meet 75% performance outcomes for Benchmark 1 and 50% performance outcomes for Benchmark 2. |                      |



| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE<br>CODE |
|---|-------------------------|---|---|--|----------------------|
| Office of the Inspector<br>General<br>Six-Month Status Report<br>#<br>F-2021DOE-033 on<br>Report #<br>A-2021DOE-004 | 7/30/2021               | Division of Vocational<br>Rehabilitation (DVR)<br>Jackson County School<br>Board Adults with Disabilities<br>Program<br><br>Acronyms:<br>Jackson County School District<br>(JCSD)<br><br>Adults with Disabilities | <p>Finding 3. A lack of communication and sense of urgency related to this grant led to a delayed execution of the grant, inconsistent submission and review of quarterly reports, and insufficient opportunities for program improvement throughout the grant period. Recommendation: We recommend DVR execute the AWD grants in a timely manner. We additionally recommend that DVR establish a consistent method</p> <p>of submittal and document receipt of the required quarterly documents, either by requiring JCSD to upload documents to a secure online portal or mail the documents as a hard copy. Should hardcopy be the preferred method of delivery, we recommend that a tracking system be used to verify when DVR receives the documents. Furthermore, we recommend that DVR establish a plan to address staff turnover during a grant term to ensure they continue to receive documents timely, review submittals in a timely manner, and verify achievement of deliverables.</p> <p>Finding 4. DVR did not conduct effective monitoring of the grant. Recommendation: We recommend that the JCSD ensures that all expenditures align with the approved original budget narrative form. We additionally recommend JCSD ensure the DOE 300 forms and 301 forms submitted to DVR are accurate, supported, and align with the final 399 form.</p> <p>Finding 5. Grant language was unclear and inconsistent, and JCSD did not meet all quarterly grant deliverables. Recommendation: We recommend JCSD submit corrective action plans quarterly.</p> | <p>DVR Management response 7/29/2021: The Electronic Grant Routing System is owned by the Office of Grants Management (OGM). Soft date for release was 4/1/2020. The electronic system is now fully active and has been a more efficient and successful mechanism for the grant routing process.</p> <p>DVR worked internally with IT to develop a secure link to send to grantees for quarterly submittal of invoices and supporting documentation. DVR IT will issue a new link annually to coincide with the new fiscal year/grant period.</p> <p>DVR Management response 7/29/2021: The Assistant Finance Director (AFD) at the District office, in coordination with the AWD program manager reviews expenditures related to AWD project funds. The AFD prepares the quarterly expense report and provides to AWD coordinator for submission. Ongoing</p> <p>DVR Management response 7/29/2021: Spreadsheet has been developed and is submitted with quarterly report as of January 7, 2021</p> |                      |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
|---|-------------------------|---|--|---|----------------------|
| Office of the Inspector<br>General<br>Six-Month Status<br>Report #<br>F-2021DOE-033 on<br>Report #<br>A-2021DOE-004 | 7/30/2021               | Division of Vocational<br>Rehabilitation (DVR)<br>Jackson County School Board<br>Adults with Disabilities<br>Program<br><br>Acronyms:<br>Jackson County School District<br>(JCS D)<br><br>Adults with Disabilities<br>(AWD) | Recommendation: We recommend JCS D submit<br>corrective action plans in the event quarterly<br>deliverables are not met. We additionally recommend<br>that JCS D include a summary of the number of<br>participants who have achieved benchmarks 1 and 2 in<br>the quarterly document submittal. These numbers<br>should be supported by the accompanying STOs.<br>Furthermore, we recommend JCS D ensure that<br>documentation submitted to DVR is complete,<br>accurate, and supports the achievement of quarterly<br>deliverables.<br><br>Finding 6. A lack of communication and sense of<br>urgency related to this grant led to delayed execution of<br>the grant, inconsistent submission and review of<br>quarterly reports, and insufficient opportunities for<br>program improvement throughout the grant period. | DVR Management response 7/29/2021: Upon<br>mailing, documentation provided by the USPS is<br>filed with quarterly report documentation.<br>Ongoing  |                      |
| Office of the Inspector<br>General<br>Report #<br>A-2021DOE-019   | 7/30/2021               | Division of Vocational<br>Rehabilitation (DVR)<br>Jobs for Florida Graduates<br>(JFG)<br>Contracts #19-183, #19-184,<br>and #21-100   | Finding 1. DVR did not provide effective monitoring in<br>accordance with the monitoring plan and risk<br>assessment.<br>Recommendation: We recommend DVR complete<br>monitoring plans in accordance with the risk<br>assessment and reflect sufficient activities to monitor<br>medium risk providers. We additionally recommend<br>DVR conduct monitoring in accordance with the risk<br>assessment and monitoring plan. We recommend that<br>DVR promptly provide any monitoring results and<br>recommendations for improvement to JFG and ensure<br>corrective action plans have been created and<br>initiated on noted program deficiencies. We<br>recommend DVR update monitoring plans as<br>necessary to accommodate for changing<br>circumstances.  | DVR Management response: DVR is currently in<br>the process of developing a new contract, to be<br>effective August 2021. Part of that process will<br>be to reassess risk and develop new monitoring<br>plans. Those plans will include incremental<br>monitoring activities, as well as clear<br>procedures for communicating deficiencies to<br>JFG. |                      |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
|---|-------------------------|--|--|---|----------------------|
| Office of the Inspector<br>General<br>Report #<br>A-2021DOE-019 | 7/30/2021               | Division of Vocational<br>Rehabilitation (DVR)<br>Jobs for Florida Graduates<br>(JFG)<br>Contracts #19-183, #19-184,<br>and #21-100<br><br>Acronyms:<br><br>Pre-Employment Transition<br>Services<br>(Pre-ETS)<br><br>Student Transition Activities<br>Record (STAR) | <p>Finding 2. DVR did not inspect and approve invoices timely.<br/>Recommendation: We recommend that DVR streamline its invoice gathering, inspection, and approval procedures to ensure timely approval of invoices. We recommend that DVR establish a plan to address staffing changes to ensure they continue to receive documents, review submittals in a timely manner, and verify achievement of deliverables. We additionally recommend that DVR clarify contract language to specify the supporting documentation to be included with invoice submittals.</p> <p>Finding 3. Contractual payment terms and financial consequences did not align.<br/>Recommendation: We recommend DVR consider updating the payment schedule and ensure the contract language meets the intent and desired deliverables of the program. We additionally recommend DVR consider restructuring the payment schedule in the contract to require payment to JFG for services provided each month, as reflected on the monthly Model Service reports, rather than equal monthly payments that require a reconciliation in the final month of the contract.</p> <p>Finding 4. Students served were not in the VR or Student Transition Activities Record (STAR) system in an active status at commencement of services.</p> | <p>DVR Management response: The contract set to begin August 2021 will be assigned to staff dedicated strictly to managing contracts. Additionally, the payment structure in the new contract will be streamlined to allow for efficient and timely invoice review and approval.</p> <p>DVR Management response: The new contract will include a different payment structure that will allow for payment of actual services delivered only.</p> <p>DVR Management response: The referral requirement will be clarified in the new contract. DVR will also work with JFG to develop a mutually acceptable process to record and track student referrals.</p> |                      |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
|---|-------------------------|--|--|---|----------------------|
| Office of the Inspector<br>General<br>Report #<br>A-2021DOE-019 | 7/30/2021               | Division of Vocational<br>Rehabilitation (DVR)<br>Jobs for Florida Graduates<br>(JFG)<br>Contracts #19-183, #19-184,<br>and #21-100<br><br>Acronyms:<br><br>Students Transition Activities<br>Record (STAR)<br><br>Rehabilitation Electronic<br>Billing Application (REBA)<br><br>Rehabilitation Information<br>Management System (RIMS)<br><br>Provider Electronic Referral<br>Management System (PERM) | <p>Recommendation: We recommend DVR modify the contract language to require that services commence after DVR refers the student to JFG. DVR should work with JFG to develop a more efficient process to record and track all student referrals. We recommend that DVR provide additional training to the DVR Youth Techs to ensure all staff are consistently following the new process for student referrals. We further recommend that DVR consider restructuring the payment schedule in the contract to require payment to JFG for services provided each month, as reflected on the monthly Model Service reports, rather than equal monthly payments that require a reconciliation in the final month of the contract.</p> <p>The DVR contract manager should ensure all students have appropriate referrals prior to approving payment for services to those students and ensure that contractual caps on student hours are not exceeded. If DVR continues with the current process, we recommend the contract manager request the referred students prior to the start of the school year, review their status in the VR or STAR system, alert JFG to those students who are approved for services, and deny payment for any student that is not in an active status. We recommend JFG work with DVR to develop an efficient and effective student referral process that allows both parties to identify and track which students are eligible for services. We recommend JFG ensure that students are eligible prior to billing for services.</p> | <p>The Employment Programs Unit will provide additional training to all Youth Techs prior to execution of the new contract. The new contract will include a different payment structure that will allow for payment of actual services delivered only.</p> <p>JFG Management response: The VR produced contract of 2019-20 (19-183 &amp; 19-184) stated that students must be found in the VR system or in STARS System.</p> <p>In 2020-21 (21-100), language was broadened to read: the VR system. None of the contracts included a definition of VR system. As stated, for the purpose of these contracts, JFG does not use VR technology platforms (STARS, REBA, RIMS, PERM, etc.) with exception of the background screening clearinghouse.</p> |                      |

| (1)<br>REPORT<br>NUMBER  | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
|--|-------------------------|--|--|---|----------------------|
| Office of the Inspector<br>General<br>12 Month Status<br>Report #<br>F-2122DOE-004 on<br>Report #<br>A-1920DOE-021 | 10/14/2021              | Division of Vocational<br>Rehabilitation (DVR)<br>Center for Independent Living,<br>Inc. (CIL) | <p>Finding 1. DVR did not provide effective monitoring in accordance with the monitoring agreement.<br/>Recommendation: We recommend DVR conduct monitoring in accordance with the risk assessment and monitoring plan. We recommend DVR promptly provide any monitoring results and recommendations for improvement to the CIL and ensure corrective action has been initiated on noted deficiencies.</p> <p>Finding 2. The CIL did not maintain sufficient documentation to demonstrate appropriate allocation of contract #19-103 funds.<br/>Recommendation: We recommend DVR include a review of expenditures incurred and the supporting documentation as part of their monitoring efforts to ensure expenditures are supported, allowable, allocable, reasonable, and necessary to the performance of the contract.</p> <p>Finding 3. Consumer service records did not include all required elements and documentation could be strengthened.<br/>Recommendation: We recommend DVR include a review of CSRs in its monitoring activities and ensure consumers have been deemed eligible for services in accordance with the federal regulations. Management Response as of October 20, 2020 Concur. VR will include a review of CSRs in its monitoring activities to ensure consumers have been deemed eligible for services in accordance with the federal regulations.</p> | <p>DVR Management response on 10/20/2021: High work volume and staff turnover in the Contract Administrative Management (CAM) unit have resulted in additional monitoring delays. A new Contract Manager for the CIL contracts is now in place. Catching up monitoring for this CIL, including all activities outlined in previous management responses, has been made a priority.</p> <p>DVR Management response on 10/20/2021: High work volume and staff turnover in the Contract Administrative Management (CAM) unit have resulted in additional monitoring delays. A new Contract Manager for the CIL contracts is now in place. Catching up monitoring for this CIL, including all activities outlined in previous management responses, has been made a priority.</p> <p>DVR response on 10/20/2021: High work volume and staff turnover in the Contract Administrative Management (CAM) unit have resulted in additional monitoring delays. A new Contract Manager for the CIL contracts is now in place. Catching up monitoring for this CIL, including all activities outlined in previous management responses, has been made a priority.</p> |                      |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
|---|-------------------------|---|--|---|----------------------|
| Office of the Inspector<br>General<br>Six-Month Status<br>Report #<br>F-2122DOE-008 on<br>Report #<br>A-2021DOE-021 | 12/22/2021              | Division of Vocational<br>Rehabilitation (DVR)<br>Creative Action, Inc                  | <p>Finding 1. DVR did not inspect and approve invoices timely.<br/>Recommendation: We recommend DVR streamline its invoice gathering, inspection, and approval procedures to ensure timely approval of invoices.</p> <p>Finding 2. DVR should enhance its monitoring process.<br/>Recommendation: We recommend DVR provide the monitoring results and recommendations for improvement to Creative Action, Inc. and ensure corrective action is implemented for noted deficiencies. We further recommend DVR utilize the DVR 2018 Provider Monitoring Guidebook or develop new procedures specific to monitoring practices for contracts.</p>   | <p>DVR Management response on 12/22/2021: Beginning November 1, 2021, Career Camp services are now offered as Fee for Service benchmarks in VR's Referral Management/PERM systems.<br/>Completed: Maggie Munsey<br/>850-895-1784</p> <p>DVR Management response on 12/22/2021: Complete. Monitoring Guidebook was updated in June 2021 to include Career Camp. All Career Camp contractors were monitored in 2021. Providers informed of monitoring results. Management/PERM systems.<br/>Completed: Maggie Munsey<br/>850-895-1784</p> |                      |
| Office of the Inspector<br>General<br>Six-Month Status<br>Report #<br>F-2122DOE-013 on<br>Report #<br>A-2021DOE-019 | 1/27/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Jobs for Florida's Graduates<br>(JFG) | <p>Finding 1. DVR did not provide effective monitoring in accordance with the monitoring plan and risk assessment.<br/>Recommendation: We recommend DVR complete monitoring plans in accordance with the risk assessment and reflect sufficient activities to monitor medium risk providers. We additionally recommend DVR conduct monitoring in accordance with risk assessment and monitoring plan. We recommend that DVR promptly provide any monitoring results and recommendations for improvement to JFG and ensure corrective action plans have been created and initiated on noted program deficiencies. We additionally recommend DVR update monitoring plans as necessary to accommodate for changing circumstances.</p> | <p>DVR Management response 01/30/2022: After extensive negotiation, VR entered into a series of purchase orders with JFG for services. The purchase orders covered Sept 2021, October 2021, November 2021, and December 2021 through June 2022. The purchase orders include detailed requirements for VR to review all required documentation throughout the term of the purchase order.</p>  |                      |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE<br>CODE |
|---|-------------------------|---|--|--|----------------------|
| Office of the Inspector<br>General<br>Six-Month Status<br>Report #<br>F-2122DOE-013 on<br>Report #<br>A-2021DOE-019 | 1/27/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Jobs for Florida's Graduates<br>(JFG)<br><br>Vocational Rehabilitation (VR) | <p>Finding 2. DVR did not inspect and approve invoices timely.<br/>Recommendation: We recommend that DVR streamline its invoice gathering, inspection, and approval procedures to ensure timely approval of invoices. We recommend that DVR establish a plan to address staffing changes to ensure they continue to receive documents, review submittals in a timely manner, and verify achievement of deliverables. We additionally recommend that DVR clarify contract language to specify the supporting documentation to be included with invoice submittals.</p> <p>Finding 3. Contractual Payment terms and financial consequences did not align.<br/>Recommendation: We recommend DVR consider updating the payment schedule and ensure the contract language meets the intent and desired deliverables of the program. We additionally recommend DVR consider restructuring the payment schedule in the contract to require payment to JFG for services provided each month, as reflected on the monthly Model Service reports, rather than equal monthly payments that require a reconciliation in the final month of the contract.</p> <p>Finding 4. Students served were not in the VR or Student Transition Activities Record (STAR) system in an active status at commencement of services.</p> | <p>DVR Management response 01/30/2022: Because there are vacancies within the bureau, the bureau chief remains the contract manager of record for purchase orders. A small team of individuals review each monthly submission to ensure that service hours are counted for students that have been appropriately referred to the provider. The provider is informed of deficiencies within the 10 days permitted by the purchase order and have an opportunity to make corrections. To date, the invoices have been processed within the time frames provided in the purchase orders.</p> <p>DVR Management response 01/30/2022: The purchase order payment structure requires the contractor to document the hours of service provided to each student. The hours are verified by VR staff to ensure that the student was appropriately referred from VR to the contractor. Any services rendered prior to documented referral date are deducted from the total number of hours provided in the month. The contractor is then paid a fixed hourly rate (\$38.00 per hour) for each validated service provided.</p> <p>DVR Management response 01/30/2022: VR has made the VR Request for JFG Services Form a specific requirement for each student. This form is generated by the VR case management system, and the purchase order specifies that services may not be billed unless that form is provided to the contractor. Services may begin on the date of the form. VR runs regular reports that include the date of the referral. When an invoice is submitted, the Model Service Reports are compared to the dates contained the report. If students have hours reported prior to the date of the referral, those hours are reduced from the monthly payment calculation.</p> |                      |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
|---|-------------------------|---|--|---|----------------------|
| Office of the Inspector<br>General<br>Six-Month Status<br>Report #<br>F-2122DOE-013 on<br>Report #<br>A-2021DOE-019 | 1/27/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Jobs for Florida's Graduates<br>(JFG)<br><br>Vocational Rehabilitation (VR) | <p>Finding 5. Internal controls to track service hours for students in non-credit classes need improvement.<br/>Recommendation: We recommend DVR implement internal controls to require additional evidence of services rendered to students</p> <p>Finding 6. Certain instructors provided Pre-ETS services without the required credentials.<br/>Recommendation: We recommend that DVR request a copy of the Professional Educator's Certificate or a current Temporary Certificate during their monitoring process to ensure compliance with contractual language. We additionally recommend DVR require JFG to provide a list of the teachers providing Pre-ETS services under the contract periodically throughout the school year to ensure that teacher contact information is accurate and the teachers possess the required certifications. If the parties mutually agree to allow otherwise qualified individuals to provide services, the contract language should be modified accordingly.</p> | <p>The contractor is notified of any adjustments in advance and has an opportunity to make corrections. This process ensures that the contractor will be paid only for services delivered that have been validated each month. VR staff have received intensive training on the purchase order requirements and associated processes. In the event that VR or the contractor identify problems with implementation, additional training and technical assistance is provided to all parties.<br/>Anticipated completion date: 06/30/2022<br/>Contact: Monica Moye:<br/>850 245-7004</p> <p>DVR Management response 1/30/2022: In addition to the processes list above, VR has implemented a share file system to maintain all documentation in a single location. VR and the contractor have primary points of contact for managing the information. This process has improved communication and accountability for all parties.</p> <p>DVR Management response 1/30/2022: The PO provides that, "The Contractor shall provide a list of teachers assigned to the project, including teacher certification documentation and contact information, on the first monthly report due in the Purchase Order Period. A revised roster must be submitted, including teacher certification documentation and contact information, must be submitted at any time a teacher is deleted, added, or the contact information changes. The Contractor must submit a current list of teachers quarterly, even if no modifications have been made." The contractor has complied with this requirement, and one teacher was disqualified because they did not meet this standard.</p> |                      |



| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE<br>CODE |
|---|-------------------------|---|--|--|----------------------|
| Office of the Inspector<br>General<br>Six-Month Status<br>Report #<br>F-2122DOE-013 on<br>Report #<br>A-2021DOE-019 | 1/27/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Jobs for Florida's Graduates<br>(JFG)<br><br>Vocational Rehabilitation (VR) | Finding 7. Students served were not in the VR or Student Transition Activities Record (STAR) system in an active status at commencement of services. | JFG Management response: 01/30/2022: JFG had no responsibility in or authority to determine commencement of service dates. As the IG report stated, VR was solely responsible for monitoring the commencement of service dates. That failure and the failure to communicate any questions, comments, or concerns about commencement of services to any member of the JFG team led to this audit finding, contractual language changes, reporting changes and personnel changes within VR.<br><br>In September 2021, VR proposed a new process to more effectively communicate the status of individual students, which JFG agreed to without hesitation. VR then assigned two new individuals to monitor and oversee JFG monthly reports. The new process and the increased collaboration has improved the student referral process significantly. The negotiated language governing our 2021-22 relationship reads: "The Department will notify Contractor through the VR Request for JFG Services Form, Attachment F to this Purchase Order (the "Form") that a student with a disability has made an informed choice to participate in Contractor's program. The Department will submit the Form electronically to the below designated point of contact for Contractor for purposes of receiving Forms and supporting documentation under this purchase order agreement until Contractor provides written notification to the Department's contract manager that it has designated another point of contact. The Date of Referral on the Form is the date billable service hours may begin for the specific student. No payments will e made for services provided to a student before the Date of Referral on the Form."<br><br>Anticipated Completion Date:<br>December 2021 |                      |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE<br>CODE |
|---|-------------------------|--|---|--|----------------------|
| Office of the Inspector<br>General<br>Six-Month Status Report<br>#<br>F-2122DOE-013 on<br>Report #<br>A-2021DOE-019 | 1/27/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Jobs for Florida Graduates<br>(JFG)<br><br>Department of Education<br>(DOE)  | Finding 8. Certain instructors provided Pre-ETS<br>services without the required credentials.<br>Recommendation: We recommend JFG comply with<br>the contract language requiring all individuals hired to<br>provide services under this contract hold either a<br>current Professional Educators Certificate or a current<br>Temporary Certificate. We recommend JFG obtain<br>copies of the certificates for their records and provide<br>the certificates to DVR upon request.   | DVR Management response 01/30/2022: This<br>recommendation has been incorporated into the<br>DVR/JFG contractual relationship. The VR<br>authored language regarding teacher<br>qualifications reads: "The Contractor shall require<br>that all teachers hired to provide services under<br>this purchase order agreement in public or private<br>schools must hold an active Professional<br>Certificate or Temporary Certificate issued<br>pursuant to s.1012.56,<br><br>Florida Statutes, and rules of the State Board of<br>Education. Individuals who will provide Self-<br>Advocacy Training and /or Postsecondary<br>Educational Counseling and Job Exploration<br>Counseling must also successfully complete<br>DOE/DVR's Self Advocacy Provider Training,<br>including passing a post-assessment test." |                      |
| Office of the Inspector<br>General<br>12-Month Status Report<br>#<br>F-2122DOE-012 on<br>Report #<br>A-2021DOE-004  | 1/28/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Jackson County School Board<br>Adults with Disabilities<br>Program<br><br>Adults With Disabilities<br>(AWD)<br><br>Jackson County School District<br>(JCS D) | Finding 1. A lack of communication and sense of<br>urgency related to this grant led to the delayed<br>execution of the grant, inconsistent submission and<br>review of quarterly reports, and insufficient<br>opportunities for program improvement throughout the<br>grant period.<br>Recommendation: We recommend DVR execute the<br>AWD grants in a timely manner. We additionally<br>recommend that DVR establish a consistent method of<br>submittal and document receipt of the required<br>quarterly documents, either by requiring JCS D to<br>upload documents to a secure online portal or mail the<br>documents as a hard copy. Should hardcopy be the<br>preferred method of delivery, we recommend that a<br>tracking system be used to verify when DVR receives<br>the documents. Furthermore, we recommend that DVR<br>establish a plan to address staff turnover during a grant<br>term to ensure they continue to receive documents<br>timely, review submittals in a timely manner, and<br>verify achievement of deliverables. | DVR management response 01/29/2022: The<br>Office of Grants Management (OGM) routing<br>system has been very efficient with moving grants<br>through DOE for OGM review and approval. The<br>system was implemented in April 1, 2020, and is<br>now fully effective. In addition, an electronic link<br>(Invoice Link) was provided to the Grantee(s) on<br>August 9, 2021 to securely submit all quarterly<br>invoices and supporting documents. Each grant<br>year, a new secure link will be provided to each<br>grantee for invoice and documentation<br>submission to ensure timely receipt, review and<br>approval for quarterly payments.<br>Completion Date: 4/1/2020<br>Contact:<br>Monica Moye, Bureau Chief OGM<br>(850) 245-7004<br>Cacetha Sims, Grant Manager<br>(850) 245-3373                    |                      |

| (1)<br>REPORT<br>NUMBER  | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
|--|-------------------------|---|--|---|----------------------|
| Office of the Inspector<br>General 18-Month<br>Status Report #<br>F-2122DOE-015 on<br>Report #<br>A-1920DOE-021    | 4/13/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Center for Independent Living<br>(CIL) in Central Florida, Inc. | Finding 1. DVR did not provide effective monitoring in accordance with the monitoring agreement.<br>Recommendation: We recommend DVR conduct monitoring in accordance with the risk assessment and monitoring plan. In addition, we recommend DVR promptly provide any monitoring results and recommendations for improvement to the CIL and ensure corrective action has been initiated on noted deficiencies.  | DVR Management response 4/20/2022: DVRs monitoring efforts with the CIL is still in progress. Since the audit DVR has assigned dual duty to oversight and accountability of the Independent Living (IL) program.<br>The IL program now have an assigned program administrator, as well as an assigned contract manager.<br>The two assigned positions are collaboratively working together to complete a full monitoring of the CIL to ensure compliance with contractual and programmatic requirements.  |                      |
| Office of the Inspector<br>General 18-Month<br>Status<br>Report #<br>F-2122DOE-015 on<br>Report #<br>A-1920DOE-021 | 4/13/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Center for Independent Living<br>(CIL) in Central Florida, Inc. | Finding 2. The CIL did not maintain sufficient documentation to demonstrate appropriate allocation of contract #19-103 funds.<br>Recommendation: We recommend DVR include a review of expenditures incurred and the supporting documentation as part of their monitoring efforts to ensure expenditures are supported, allowable, allocable, reasonable, and necessary to the performance of the contract.<br><br>Finding 3. Consumer Service Records did not include all required elements and documentation could be strengthened.<br>Recommendation: We recommend DVR include a review of CSRs in its monitoring activities and ensure consumers have been deemed eligible for services in accordance with the federal regulations. | CIL Management response 4/20/2022: The contract manager reviews all Budget expenses submitted each for the allowableness, reasonableness, and determination if cost are ancillary for programmatic purposes.<br>Any cost allocations that are sustainable are questioned by DVR to the CIL. Unallowable and/or unjustifiable cost expenditures are required to be removed and not charged to the DVR programs funding.<br><br>DVR Management response 4/20/2022: The IL program administrator is currently working on reviews of the consumer service records for the CIL. As the program administrator and contract manager continue to work collaboratively on these efforts, corrective action required of the CIL will be noted in the final monitoring report that will be issued on or before June 30 <sup>th</sup> . |                      |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE<br>CODE |
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| Office of the Inspector<br>General<br>30-Month Status<br>Report #<br>F-2122DOE-016 on<br>Report #<br>A-1819-027 | 4/19/2022               | Division of Vocational<br>Rehabilitation (DVR)<br>Suncoast Center for<br>Independent Living (SCIL) | Finding 1. The SCIL did not maintain proper fiscal oversight.<br>Recommendation: We recommend the SCIL maintain financial records in accordance with contract terms to support expenditures incurred. We recommended the SCIL<br>enhance its procedures to ensure expenses funded through DVR's contract are allowable and appropriately reflected in budget reconciliations by funding source. We recommended the SCIL ensure employees accurately and consistently allocate work hours across funding sources on the submitted timesheets. We recommended the SCIL maintain the petty cash in accordance with policies and procedures with completed and approved vouchers. | SCIL Management response April 23, 2022: SCIL continues working with CPA, Stephen Wicker, who oversees SCIL finance ensuring all budget reconciliation, Invoices, and Financial Reports are accurate and appropriately allocated in the budget reconciliation on monthly basis to ensure that expenses funded through DVR's contract are in compliance.<br>SCIL continues using the Fiscal Policy and Procedures approved by SCIL Board on 10/20/20. The use of petty cash has been eliminated since January 2021 after SCIL Board approval.<br><br>The debit card has eliminated the use of petty cash. SCIL continues using a debit card since January 2021 in accordance with SCIL Policy & Procedures ensuring proper usage and documentation. (Pg. 31 in the Fiscal Policies & Procedures.) SCIL has been keeping the receipts for debit card purchases since January 2021 and will keep doing it for 5 years until January 2026 as per SCIL Policy & Procedures. SCIL 's debit card is kept locked up in the SCIL Executive Director's Office.<br>SCIL continues using the Mileage tracking/ reimbursement forms implemented since 10/20/2020. On 10/8/2020 SCIL Board approved the Purchase Approval Request (PAR). |                      |

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| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS  | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Office of the Inspector General<br>30-Month Status Report #<br>F-2122DOE-016 on Report #<br>A-1819-027 | 4/19/2022     | Division of Vocational Rehabilitation (DVR)<br>Suncoast Center for Independent Living (SCIL) |  | SCIL continues using the PAR regardless of the amount or how money is spent.<br>SCIL staff still using COMS as the database system to clock-in and clock-out along with the hard timesheet copy to accurately allocate SCIL staff work hours and properly distribute across SCIL funding sources. SCIL staff still updating consumers notes in COMS database every time there is contact service (s) with a consumer to ensure proper backup documentation for all funding sources.<br>Completion date: November 2020<br>On-going.<br>COMS Clock-In/Out: October 2019<br>On-going.<br>Contact: Harvey Brooks, Executive Director<br>Stephen Wicker, Accountant<br><del>Debra Villanueva, Program Director</del> |            |
| Office of the Inspector General<br>Report #<br>A-2021DOE-029   | 4/21/2022     | Division of Vocational Rehabilitation (DVR)<br>Best Buddies International, Inc.              | Finding1. DVR did not inspect and approve all invoices within statutory timelines. Best Buddies did not include required supporting documentation for all invoices for completed benchmarks, and DVR approved those invoices without proper supporting documentation.<br>Recommendation: We recommend DVR streamline its invoice gathering, inspection, and approval procedures to ensure timely supervisory approval of invoices for payment. We further recommend that DVR reject invoices submitted for benchmark payment if all required supporting documentation is not included in the invoice submission. We also recommend Best Buddies enhance its internal procedures to ensure all required supporting documentation is maintained and provided to DVR with the submitted invoices. | DVR Management response: Concur. DVR concurs that all invoices were not approved within statutory timelines. DVR agrees that procedures need to be strengthened. DVR will streamline its invoice gathering, inspection, and approval procedures to ensure timely supervisory approval of invoices for payment.<br><br>Best Buddies Management response: Concur. Best Buddies staff will ensure that all required supporting documentation is properly maintained and provided prior to submission of an invoice to DVR. The Jobs Supervisor has put measures in place to ensure all documents are provided with the Notice of Approval (NOA) prior to submission of invoices.                                   |            |

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| REPORT<br>NUMBER   | PERIOD<br>ENDING | UNIT/AREA  | SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | ISSUE<br>CODE |
| <p>Florida Auditor General Report<br/>U.S. Department of Education<br/>Report No. 2022-189<br/>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</p> | <p>3/30/2021</p> | <p>Florida Department of Education (FDOE)<br/>Rehabilitation Services<br/>Vocational Rehabilitation<br/>Grants to States</p> | <p>Finding 2. Internal controls could be strengthened to ensure policies, procedures, and other provider related guidance are consistently and effectively communicated to providers.<br/>Recommendation: We recommend DVR streamline its notification process to ensure up-to-date policies, procedures, and other provider related guidance are consistently and effectively communicated to providers and remain available on the DVR web site for future reference.</p> <p>Finding No. 2021-047: Certain security controls related to user authentication for the Accessible Web-based Activity Reporting Environment (Aware) system need improvement to ensure the confidentiality, integrity, and availability of Aware system data and related information technology (IT) resources.<br/>Recommendation: We recommend that FDOE management improve certain security controls related to Aware system user authentication to ensure the confidentiality, integrity, and availability of Aware system data and related IT resources.</p> | <p>DVR Management response: Concur. DVR concurs that internal controls can be strengthened to ensure that payments for completed benchmark align with established payment rates. In addition, DVR's Employment Services Manual is being incorporated into the Vendor Qualifications Manual. Providers will be instructed to refer to the Vendor Qualifications Manual and the Programmatic Operations Resource Guide (PORG) documents. Providers will be required to sign a Provider Acknowledgement Form attesting they will abide by the Vendor Qualifications Manual.</p> <p>FDOE Management response: In the spring of 2020, FDOE recognized deficiencies with the existing on premises Division of Vocational Rehabilitation (DVR) RIMS and Division of Blind Services (DBS) AWARE system. Therefore, FDOE issued a procurement through a NASPO contract in October 2020 to replace the antiquated systems for both DBS and DVR with a modernized secured cloud-hosted AWARE case management system in accordance with Florida Administrative Code 60-GG-2,</p> <p>Florida Cybersecurity Standards. For efficiency purposes, FDOE directed its resources to DVR enterprise, which will replace adequate security controls with enhanced security controls to ensure the successful implementation of the new modernized secured systems. FDOE intends on having this new system implemented by Spring 2023.<br/>Contact: Andre Smith</p> |               |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
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| <p>Florida Auditor General Report<br/>U.S. Department of Education<br/>Report No. 2022-189<br/>State of Florida - Compliance and Internal Controls Ove Reporting and Federal Awards</p> | <p>3/30/2021</p>        | <p>Florida Department of Education (FDOE)<br/>Rehabilitation Services Vocational Rehabilitation Grants to States</p> <p>Acronym:<br/>Accessible Web-based Activity Reporting Environment (AWARE)</p> | <p>Finding No. 2021-048: FDOE change management controls need improvement to ensure that only authorized, tested, and approved Aware system program code changes are implemented into the production environment.<br/>Recommendation: We recommend that FDOE management enhance change management controls to ensure that all changes to the Aware system are recorded in the ticketing system and do not by bypass the FDOE change management process.</p> <p>Finding No. 2021-049: The report used by the FDOE to conduct periodic Aware system user access privilege reviews did not promote an effective review of the appropriateness of all user accounts. Additionally, the FDOE did not always promptly deactivate Aware system access privileges upon a user’s separation from FDOE employment.<br/>Recommendation: We recommend that FDOE management strengthen controls to ensure that FDOE records evidence periodic reviews of the appropriateness of all Aware system user access privileges.</p> <p>We also recommend that FDOE management enhance controls to ensure that Aware system user access privileges are deactivated immediately upon a user’s separation from FDOE employment.</p> | <p>FDOE Management response: FDOE utilizes a formal Information System Development Methodology (ISDM) framework to guide the departmental software development lifecycle. FDOE’s ISDM outlines the process for planning, defining, designing, building, testing,</p> <p>FDOE management response: FDOE has a standardized process for managing user access, including the periodic review of role appropriateness. FDOE will evaluate the current process and make modifications to ensure consistent implementation across all divisions and timely access removal.<br/>Contact: Andre Smith</p> |                      |

| (1)  | (2)              | (3)   | (4)  | (5)   | (6)           |
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| REPORT<br>NUMBER   | PERIOD<br>ENDING | UNIT/AREA   | SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | ISSUE<br>CODE |
| Florida Auditor General<br>Report<br>U.S. Department of<br>Education<br>Report No. 2022-189<br><br>State of Florida -<br>Compliance and Internal<br>Controls Over Financial<br>Reporting and Federal<br>Awards | 3/30/2021        | Florida Department of<br>Education (FDOE)<br>Rehabilitation Services<br>Vocational Rehabilitation<br>Grants to States | <p>Finding No. 2021-050: Certain security controls related to user authentication for the FDOE network need improvement to ensure the confidentiality, integrity, and availability of Rehabilitation Information Management System (RIMS) data and related information technology (IT) resources.</p> <p>Recommendation: We recommend that FDOE management improve certain security controls related to FDOE network user authentication to ensure the confidentiality, integrity, and availability of RIMS data and related IT resources.</p> | <p>FDOE Management response: In the spring of 2020, FDOE recognized deficiencies with the existing Division of Vocational Rehabilitation (DVR) RIMS and Division of Blind Services (DBS) AWARE system.</p> <p>Therefore, FDOE issued a procurement through a NASPO contract in October 2020 to replace the antiquated systems for both DBS and DVR with a modernized secured cloud-hosted AWARE case management system in accordance with Florida Administrative Code 60-GG-2, Florida Cybersecurity Standards. For efficiency purposes, FDOE directed its resources to DVR enterprise, which will replace adequate security controls with enhanced security controls to ensure the successful implementation of the new modernized secured systems. FDOE intends on having this new system implemented by Spring 2023.</p> <p>Contact: Andre Smith</p> |               |



| (1)   | (2)              | (3)  | (4)  | (5)  | (6)           |
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| REPORT<br>NUMBER  | PERIOD<br>ENDING | UNIT/AREA  | SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | ISSUE<br>CODE |
| <p>Florida Auditor General Report<br/>U.S. Department of Education<br/>Report No. 2022-189</p> <p>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</p> | <p>3/30/2021</p> | <p>Florida Department of Education (FDOE)<br/>Rehabilitation Services<br/>Vocational Rehabilitation Grants to States</p> | <p>Finding No. 2021-051: FDOE change management controls need improvement to ensure that only authorized, tested, and approved Rehabilitation Information Management System (RIMS) program code changes are implemented into the production environment.<br/>Recommendation: We recommend that FDOE management enhance change management controls to ensure that all changes to RIMS are recorded in the ticketing system and do not bypass the FDOE change management process.</p> <p>Finding No. 2021-052: The FDOE was unable to provide system-generated network access controls records evidencing the date that user access rights to the network were disabled or system-generated access control records evidencing the date that a user last accessed the Rehabilitation Information Management System (RIMS). In addition, the FDOE did not periodically review the appropriateness of RIMS user access roles.<br/>Recommendation: We recommend that FDOE management ensure that system-generated network and RIMS access control records are maintained. We also recommend that FDOE management strengthen controls to ensure that periodic reviews of the appropriateness of RIMS user roles are conducted and documented in FDOE records.</p> | <p>FDOE Management response: FDOE utilizes a formal Information System Development Methodology (ISDM) framework to guide the departmental software development lifecycle. FDOE's ISDM outlines the process for planning, defining, designing, building, testing, deploying, and monitoring code changes. FDOE will implement a reconciliation process and realign all IT staff procedures within Division of Technology and Innovation to ensure only approved changes are implemented in production environments.<br/>Contact: Andre Smith</p> <p>FDOE Management response: FDOE has a standardized process for managing user access, including the periodic review of role appropriateness. FDOE will evaluate the current process and make modifications to ensure consistent implementation across all divisions and timely access removal.<br/>Contact: Andre Smith</p> |               |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight

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

|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

### 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)? <b>(CSDI or Web LBR Column Security)</b> | Yes |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Yes |  |  |  |  |

### AUDITS:

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>  | Yes |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> to verify.  | Yes |  |  |  |  |
| 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? <b>(CSDR, CSA)</b>   | Yes |  |  |  |  |
| <b>TIP</b> 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? | Yes |  |  |  |  |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?   | Yes |  |  |  |  |
| 2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?                  | Yes |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight

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

|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Yes |  |  |  |  |
|--|-----|--|--|--|--|

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | Yes |  |  |  |  |
|--|-----|--|--|--|--|

**TIP** Generally look for and be able to fully explain significant differences between A02 and A03.

**TIP** Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.

**TIP** Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.

### 4. EXHIBIT D (EADR, EXD)

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Yes |  |  |  |  |
|--|-----|--|--|--|--|

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Yes |  |  |  |  |
|---|-----|--|--|--|--|

**TIP** Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Yes |  |  |  |  |
|--|-----|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight                   |

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

|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

### AUDITS:

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Yes |  |  |  |  |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Yes |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | Yes |  |  |  |  |
| TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.   |     |  |  |  |  |
| TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.  |     |  |  |  |  |
| 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. |     |  |  |  |  |
| <b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>   |     |  |  |  |  |
| 6.1 Are issues appropriately aligned with appropriation categories?   | Yes |  |  |  |  |
| TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.  |     |  |  |  |  |
| <b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>  |     |  |  |  |  |
| 7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 27 of the LBR Instructions.)   | Yes |  |  |  |  |
| 7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 64 through 69 of the LBR Instructions.)  | Yes |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight

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

|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

|      |  |     |  |  |  |  |
|------|--|-----|--|--|--|--|
| 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?  | NA  |  |  |  |  |
| 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?  | NA  |  |  |  |  |
| 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.)   | NA  |  |  |  |  |
| 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.   | Yes |  |  |  |  |
| 7.7  | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/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.) | Yes |  |  |  |  |
| 7.8  | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?  | NA  |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?  | NA  |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?  | NA  |  |  |  |  |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>   | NA  |  |  |  |  |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?  | NA  |  |  |  |  |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?   | NA  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 7.14 Do the amounts reflect appropriate FSI assignments?   | Yes |  |  |  |  |
| 7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.   | Yes |  |  |  |  |
| 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.) | Yes |  |  |  |  |
| 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)?   | NA  |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA  |  |  |  |  |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Yes |  |  |  |  |
| <b>AUDIT:</b>  |     |  |  |  |  |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | Yes |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA  |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | Yes |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>                                   | Yes |  |  |  |  |
| 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. <b>(NAAR, BSNR)</b>   | Yes |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight

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|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| <p>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.</p> | NA |  |  |  |  |
| <p><b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.</p>   |    |  |  |  |  |
| <p><b>TIP</b> 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.</p>   |    |  |  |  |  |
| <p><b>TIP</b> 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.</p>  |    |  |  |  |  |
| <p><b>TIP</b> 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).</p>  |    |  |  |  |  |
| <p><b>TIP</b> 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.</p>  |    |  |  |  |  |

**8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency?   | Yes                  |  |  |  |  |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?   | Yes                  |  |  |  |  |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)? | Yes                  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight

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|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

|  |                                       |
|--|---------------------------------------|
| 8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only             |
| 8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?           | Yes                                   |
| 8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?   | Yes                                   |
| 8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?  | Yes                                   |
| 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?   | Yes                                   |
| 8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)? | Yes                                   |
| 8.10 Are the statutory authority references correct?   | Yes                                   |
| 8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)   | Y, for 2176 only                      |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y, for 2178, 2543, 2555 and 2612 only |
| 8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?  | Yes                                   |
| 8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?   | Yes                                   |
| 8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?   | Yes                                   |



## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation

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|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

|   |                  |  |  |  |  |
|---|------------------|--|--|--|--|
| 8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?  | Yes              |  |  |  |  |
| 8.17 If applicable, are nonrecurring revenues entered into Column A04?  | Yes              |  |  |  |  |
| 8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued? | Yes              |  |  |  |  |
| 8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?  | Yes              |  |  |  |  |
| 8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?  | Y, for 2176 only |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Yes              |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Yes              |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Yes              |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?  | Yes              |  |  |  |  |
| 8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Yes              |  |  |  |  |
| 8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Yes              |  |  |  |  |
| 8.27 Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Yes              |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Yes              |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

### AUDITS:

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).  | Yes |  |  |  |  |
| 8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | Yes |  |  |  |  |
| 8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>   | Yes |  |  |  |  |
| 8.33 Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?  | Yes |  |  |  |  |
| 8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?   | Yes |  |  |  |  |
| TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!   |     |  |  |  |  |
| TIP Determine if the agency is scheduled for trust fund review. (See 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.  |     |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

#### AUDIT:

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | Yes |  |  |  |  |
|---|-----|--|--|--|--|

### 10. SCHEDULE III (PSCR, SC3)

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA  |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | Yes |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>  | NA |  |  |  |  |
| TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the 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.) | Yes |  |  |  |  |
| TIP Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.   |     |  |  |  |  |
| TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.   |     |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) |                      |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?  | Yes                  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation

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|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

### 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? ( <b>GENR, ACT1</b> )  | Yes                         |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Yes                         |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | Yes                         |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.) | Yes                         |  |  |  |  |
| 16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | No, reconciliation provided |  |  |  |  |
| 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?  | Yes     |  |  |  |  |
| 17.2 Does manual exhibits tie to LAS/PBS where applicable?   | Yes     |  |  |  |  |
| 17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?  | Yes     |  |  |  |  |
| 17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US</b> ? | NA      |  |  |  |  |
| 17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?  | Yes, NA |  |  |  |  |

### 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. |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Division of Vocational Rehabilitation

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight

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

|        |   |
|--------|---|
|        | Program or Service (Budget Entity Code) |
| Action | 48160000                                |

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

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

### 19. FLORIDA FISCAL PORTAL

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Yes |  |  |  |  |
|--|-----|--|--|--|--|



FLORIDA DEPARTMENT OF  
**EDUCATION**  
fldoe.org

2023-24  
Blind Services  
Exhibits or Schedules



FLORIDA DEPARTMENT OF  
**EDUCATION**  
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2023-24  
Blind Services  
Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |                                       |
|-----------------------------|---------------------------------------|
| <b>Department Title:</b>    | Budget Period: 2023 - 2024            |
| <b>Trust Fund Title:</b>    | 48 EDUCATION                          |
| <b>Budget Entity:</b>       | ADMINISTRATIVE TRUST FUND             |
| <b>LAS/PBS Fund Number:</b> | 48180000 - DIVISION OF BLIND SERVICES |
|                             | 2021                                  |

|   | Balance as of<br>6/30/2022 |            | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|------------|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 5,347.57                   | (A)        |                      | 5,347.57            |
| ADD: Other Cash (See Instructions)                  |                            | (B)        |                      | 0.00                |
| ADD: Investments                                    |                            | (C)        |                      | 0.00                |
| ADD: Outstanding Accounts Receivable                |                            | (D)        |                      | 0.00                |
| ADD: ANTICIPATED TRANSFER FROM<br>48800000/2021     |                            | (E)        |                      | 0.00                |
| <b>Total Cash plus Accounts Receivable</b>          | <b>5,347.57</b>            | <b>(F)</b> | <b>0.00</b>          | <b>5,347.57</b>     |
| LESS: Allowances for Uncollectibles                 |                            | (G)        |                      | 0.00                |
| LESS: Approved "A" Certified Forwards               |                            | (H)        |                      | 0.00                |
| Approved "B" Certified Forwards                     | 1,318.26                   | (H)        |                      | 1,318.26            |
| Approved "FCO" Certified Forwards                   |                            | (H)        |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         |                            | (I)        |                      | 0.00                |
| LESS: _____   |                            | (J)        |                      | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>4,029.31</b>            | <b>(K)</b> | <b>0.00</b>          | <b>4,029.31</b> **  |

**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**

|                             |                                   |                     |
|-----------------------------|-----------------------------------|---------------------|
|                             | <b>Budget Period: 2023 - 2024</b> |                     |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>               |                     |
| <b>Trust Fund Title:</b>    | <b>ADMINISTRATIVE TRUST FUND</b>  |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2021</b>                       | <b>BE: 48180000</b> |

**BEGINNING TRIAL BALANCE:**

|  |                     |
|--|---------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>            |                     |
| Total all GLC's 5XXXX for governmental funds;                          | 5,347.57 (A)        |
| GLC 539XX for proprietary and fiduciary funds                          |                     |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>                  | (B)                 |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b> |                     |
| SWFS Adjustment # and Description                                      | (C)                 |
| SWFS Adjustment # and Description                                      | (C)                 |
| <b>Add/Subtract Other Adjustment(s):</b>                               |                     |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS                  | (1,318.26) (D)      |
| Approved FCO Certified Forward per LAS/PBS                             | (D)                 |
| A/P not C/F-Operating Categories                                       | (D)                 |
| ANTICIPATED TRANSFER FROM  | (D)                 |
| 48800000/2021  | (D)                 |
|  | (D)                 |
|  | (D)                 |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>                               | <b>4,029.31 (E)</b> |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>                   | <b>4,029.31 (F)</b> |
| <b>DIFFERENCE:</b>   | <b>0.00 (G)*</b>    |

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>        |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                      |
| <b>Budget Entity:</b>       | <b>FEDERAL REHABILITATION TRUST FUND</b> |
| <b>LAS/PBS Fund Number:</b> | <b>48180000 BLIND SERVICES</b>           |
|                             | <b>2270</b>                              |

|   | Balance as of<br>6/30/2022 | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 677,553.77 (A)             |                      | 677,553.77          |
| ADD: Other Cash (See Instructions)                  | (B)                        |                      | 0.00                |
| ADD: Investments                                    | (C)                        |                      | 0.00                |
| ADD: Outstanding Accounts Receivable                | 76,991.05 (D)              |                      | 76,991.05           |
| ADD: ANTICIPATEDDD REVENUE                          | 2,112,292.80 (E)           |                      | 2,112,292.80        |
| <b>Total Cash plus Accounts Receivable</b>          | <b>2,866,837.62 (F)</b>    | <b>0.00</b>          | <b>2,866,837.62</b> |
| LESS: Allowances for Uncollectibles                 | 69,975.13 (G)              |                      | 69,975.13           |
| LESS: Approved "A" Certified Forwards               | 493,748.94 (H)             |                      | 493,748.94          |
| Approved "B" Certified Forwards                     | 2,279,469.39 (H)           |                      | 2,279,469.39        |
| Approved "FCO" Certified Forwards                   | (H)                        |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         | 23,644.16 (I)              |                      | 23,644.16           |
| LESS: _____   | (J)                        |                      | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00 (K)</b>            | <b>0.00</b>          | <b>0.00</b> **      |

**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**

|                             |  |                     |
|-----------------------------|--|---------------------|
|                             | <b>Budget Period: 2023 - 2024</b>        |                     |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>                      |                     |
| <b>Trust Fund Title:</b>    | <b>FEDERAL REHABILITATION TRUST FUND</b> |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2270</b>                              | <b>BE: 48180000</b> |

**BEGINNING TRIAL BALANCE:**

|  |                    |
|--|--------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>                                    |                    |
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | 146,243.14 (A)     |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>  |                    |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>                         |                    |
| SWFS Adjustment # and Description  |                    |
| SWFS Adjustment # and Description  |                    |
| <b>Add/Subtract Other Adjustment(s):</b>   |                    |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS  | (2,279,469.39) (D) |
| Approved FCO Certified Forward per LAS/PBS   |                    |
| A/P not C/F-Operating Categories   | 20,933.45 (D)      |
| ANTICIPATED REVENUE  | 2,112,292.80 (D)   |
|  |                    |
|  |                    |
|  |                    |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>   | <b>0.00 (E)</b>    |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>   | <b>0.00 (F)</b>    |
| <b>DIFFERENCE:</b>   | <b>(0.00) (G)*</b> |

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>        |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                      |
| <b>Budget Entity:</b>       | <b>GRANTS &amp; DONATIONS TRUST FUND</b> |
| <b>LAS/PBS Fund Number:</b> | <b>48180000 BLIND SERVICES</b>           |
|                             | <b>2339</b>                              |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|-----|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 51,306.09                  | (A) |                      | 51,306.09           |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                |
| ADD: Investments                                    |                            | (C) |                      | 0.00                |
| ADD: Outstanding Accounts Receivable                |                            | (D) |                      | 0.00                |
| ADD: _____  |                            | (E) |                      | 0.00                |
| <b>Total Cash plus Accounts Receivable</b>          | <b>51,306.09</b>           | (F) | <b>0.00</b>          | <b>51,306.09</b>    |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                |
| LESS: Approved "A" Certified Forwards               | 6,135.31                   | (H) |                      | 6,135.31            |
| Approved "B" Certified Forwards                     | 2,856.11                   | (H) |                      | 2,856.11            |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         |                            | (I) |                      | 0.00                |
| LESS: _____   |                            | (J) |                      | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>42,314.67</b>           | (K) | <b>0.00</b>          | <b>42,314.67</b> ** |

**Notes:**

\*SWFS = Statewide Financial Statement

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

*Office of Policy and Budget - July 2022*

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |  |
|-----------------------------|--|
|                             | <b>Budget Period: 2023 - 2024</b>                                  |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>  |
| <b>Trust Fund Title:</b>    | <b>GRANTS &amp; DONATIONS TRUST FUND</b>                           |
| <b>LAS/PBS Fund Number:</b> | <b>2339</b> <span style="float: right;"><b>BE: 48180000</b></span> |

**BEGINNING TRIAL BALANCE:**

|  |                      |
|--|----------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>                                    |                      |
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | 45,170.78 (A)        |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>  |                      |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>                         |                      |
| SWFS Adjustment # and Description  |                      |
| SWFS Adjustment # and Description  |                      |
| <b>Add/Subtract Other Adjustment(s):</b>   |                      |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS  | (2,856.11) (D)       |
| Approved FCO Certified Forward per LAS/PBS   |                      |
| A/P not C/F-Operating Categories   |                      |
|  |                      |
|  |                      |
|  |                      |
|  |                      |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>   | <b>42,314.67 (E)</b> |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>   | <b>42,314.67 (F)</b> |
| <b>DIFFERENCE:</b>   | <b>0.00 (G)*</b>     |

**\*SHOULD EQUAL ZERO.**

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2021 - 2022**

**Department: Office of the Inspector General**

**Chief Internal Auditor: Bradley Rich**

**Budget Entity: Blind Services**

**Phone Number: (850) 245-9221**

| (1)<br>REPORT NUMBER   | (2)<br>PERIOD ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE CODE |
|--|----------------------|--|---|--|-------------------|
| Office of the Inspector General<br>6 Month Status Report # F-2021DOE-032<br>on Report # A-1920-032 | 7/16/2021            | Division of Blind Services (DBS)<br>Independent Living Older Blind Program<br><br>Acronyms:<br><br>Accessible Web-based Activity Reporting Environment (AWARE)<br><br>Comprehensive Functional Assessment (CFA)<br><br>Community Rehabilitation Provider (CRP) | 1. Comprehensive Functional Assessments occurred after the client's individualized plan was developed and signed.<br>Recommendation: We recommend the Division clarify requirements for the recording of CFA's through its program manual and its contracts to better direct CRP case managers completing the CFAs. We recommend DBS monitor the CRPs to ensure the needs assessments are completed prior to the plans. DBS may also consider conducting training and technical assistance following these adjustments to ensure services rendered to older blind clients are offered through consistent application of assessment tools. | DBS Management response 7/14/2021:<br>1. Clarify requirements:<br>* Update program manual to match contract language.<br>Completed Oct. 1, 2021; Bridget Giles<br>* Update AWARE pages for CFA reporting consistency.<br><br>2. Contract Monitoring:<br>The program manual is under final approval. The Contract Management and Compliance Team will continue reviewing and verifying completed assessment dates. Upon completion and approval of the Program Manual, Contract Management and Compliance team will update their process to align with the provisions.<br><br>3. Technical Assistance:<br>Pending. Awaiting final approval of updated manual language and completion of AWARE reporting update. |                   |

| (1)<br>REPORT NUMBER  | (2)<br>PERIOD ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE CODE |
|---|----------------------|--|--|--|-------------------|
| Office of the Inspector General<br>6 Month Status Report # F-2021DOE-032 on Report # A-1920-032 | 7/16/2021            | Division of Blind Services (DBS)<br>Independent Living Older Blind Program                   | <p>2. DBS could enhance the CRP Risk Assessment and subsequent monitoring.<br/>Recommendation: We recommend in future monitoring, DBS finalize the monitoring reports and provide the reports and results to the CRPs. We recommend DBS modify the risk assessment to include a numerical score for previous monitoring (monitored last year, 3 years, etc.).</p> <p>We additionally recommend DBS clearly define the type of monitoring that should be conducted based on the risk category. DBS should also consider developing a monitoring tracking system that displays timing of its monitoring process to include scheduled visits, summarized results of visits, findings identified, and the dates corrective actions were implemented and completed.</p> | <p>DBS Management response 7/14/2021:</p> <ol style="list-style-type: none"> <li>1. The Contract Monitoring and Compliance Team will finalize and send monitoring reports and results to CRP's.</li> <li>2. The Contract Monitoring and Compliance Team updated the risk assessment to include a score for previous contract monitoring visits. Completed 7/14/2021</li> <li>3. The Contract Monitoring and Compliance Team updated the risk assessment to include the type of monitoring (desk or on-site) that is recommended based upon risk score and previous corrective action plans. Completed 7/14/2021</li> <li>4. The Contract Monitoring and Compliance Team created a tracking report for all desk and on-site monitoring visits. Completed 7/14/2021</li> </ol> |                   |
| Office of the Inspector General<br>Report # A-2021DOE-031                                       | 12/16/2021           | Division of Blind Services (DBS)<br>Miami Lighthouse, Inc. - Senior Group Activities Program | <p>Finding 1. DBS did not monitor the Senior Group Activities (SGA) Program in accordance with the contract for fiscal Year 2019-20.<br/>Recommendation: We recommend that DBS conduct on-site or desk review monitoring of the Miami Lighthouse, Inc. Senior Group Activities Program in accordance with contract requirements. We further recommend DBS develop a risk assessment tool and monitoring plan for each monitoring period to aid its monitoring requirement to more strategically review Community Rehabilitation Provider (CRP)-based blind services.</p>   | <p>DBS Management response: Concur. The Division acknowledges the recommendations noted. The Division has a monitoring plan and risk assessment tool for annual contract monitoring. The Division will prioritize monitoring using the risk tool as a baseline.<br/>The Division will utilize its monitoring plan and risk assessment tool during the 2021-22 FT. On-site and/or desk monitoring will be prioritized based on the results of these guides. Additionally, there will be an ongoing effort to continue monitoring of contracted vendors on an annual basis.</p>  |                   |

| (1)<br>REPORT NUMBER   | (2)<br>PERIOD ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE CODE |
|--|----------------------|---|--|--|-------------------|
| Office of the Inspector General<br>12-Month Status Report # F-2122DOE-010 on Report # A-1920-032 | 1/5/2022             | Division of Blind Services (DBS)<br>Independent Living Older Blind Program<br><br>Acronym:<br>Community Rehabilitation Provider (CRP) | <p>Finding 1. Comprehensive Functional Assessments (CFAs) occurred after the client's individualized plan was developed and signed.<br/>Recommendation: We recommend the Division clarify requirements for the recording of CFAs through its program manual and its contracts to better direct CRP case managers completing the CFAs.</p> <p>We recommend DBS monitor the CRPs to ensure the needs assessments are completed prior to the plans. DBS may also consider conducting training and technical assistance following these adjustments to ensure services rendered to older blind clients are offered through consistent application of assessment tools.</p> | <p>DBS Management response 1/5/22:</p> <p><u>1. Clarify requirements:</u><br/>Update Program manual to match contract language: Complete. Program manual language updated to match contract language on assessments. Phase 1 of comprehensive review and revision of manual by field completed 11/01/2021.</p> <p>Phase 2 for Final Draft and implementation is in process.<br/>CFA Reporting consistency: Two AWARE enhancements have been developed A. IL CFA page created to streamline recording practices capturing initial, carryover, and final assessments.</p> <p>Actual service Mass Entry data page to ease CRP reporting of billable units for assessments. Both enhancements are currently in test aware and are expected to be released when testing is complete.</p> <p><u>2. Contract Monitoring:</u> Complete. Contract Management and Compliance Team monitors dates of completed assessments to align with contract and program requirements.</p> <p><u>3. Technical Assistance:</u> Pending. Awaiting roll out of AWARE enhancements after testing is complete. In the interim, technical assistance is provided as needed through Helpdesk.</p> |                   |



| (1)  | (2)           | (3)  | (4)  | (5)   | (6)        |
|--|---------------|--|--|---|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS  | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Office of the Inspector General<br>12-Month Status Report #<br>F-2122DOE-010<br>on<br>Report #<br>A-1920-032 | 1/5/2022      | Division of Blind Services (DBS)<br>Independent Living Older Blind Program | <p>Finding 2. DBS could enhance the CRP Risk Assessment and subsequent monitoring.<br/>Recommendation: We recommend in future monitoring, DBS finalize the monitoring reports and provide the reports and results to the CRPs. We recommend DBS modify the risk assessment to include a numerical score for previous monitoring (monitored in the last year, 3 years, etc.)</p> <p>We additionally recommend DBS clearly define the type of monitoring that should be conducted based on the risk category. DBS should also consider developing a monitoring tracking system that displays timing of its monitoring process to include scheduled visits, summarized results of visits, findings identified, and the dates corrective actions were implemented and completed.</p> | <p>DBS Management response 1/5/2022:</p> <p>1. Contract Monitoring: 52% of 2020-2021 on-site visits will be conducted between January and March 2022. Remaining 9 CRP's are being monitored via a desk review. Reviews will be completed by June 30, 2022</p> <p>2. The Contract Monitoring and Compliance Team updated the risk assessment to include a score for previous contract monitoring visits.</p> <p>3. The Contract Monitoring and Compliance Team updated the risk assessment to include the type of monitoring (desk or on-site) that is recommended based upon risk score and previous corrective action plans.</p> <p>4. The Contract Monitoring and Compliance Team created a tracking report for all desk and on-site monitoring visits.<br/>Reviews will be completed by June 30, 2022.</p> |            |

| (1)  | (2)           | (3)  | (4)  | (5)  | (6)        |
|--|---------------|--|--|--|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS  | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Office of the Inspector General<br>6 Month Status Report #<br>F-2122DOE-018<br>Report #<br>A-2021DOE-031 | 6/16/2022     | Division of Blind Services (DBS)<br>Miami Lighthouse, Inc.<br>Senior Group Activities Program<br><br>Acronym:<br>Community Rehabilitation Provider (CRP) | Finding 1. DBS did not monitor the Senior Group Activities (SGA) Program in accordance with the contract for fiscal Year 2019-20.<br>Recommendation: We recommend that DBS conduct on-site or desk review monitoring of the Miami Lighthouse, Inc. Senior Group Activities Program in accordance with contract requirements. We further recommend DBS develop a risk assessment tool and monitoring plan for each monitoring requirement to more strategically review CRP-based blind services programs. | DBS Management response June 16, 2022:<br>The Division continues to utilize its risk assessment tool to assist with monitoring prioritization of contracted vendors. The Division also refers to its monitoring plan to guide in the types of monitoring the Division conducts.<br><br>For the Year-Ended 2020-21 contracts, the Division actively monitored, via on-site or desk, its contracted vendors. Specifically, the Miami Lighthouse was considered a low priority vendor based on the Divisions Risk Assessment tool, and therefore, was monitored via desk review only.<br><br>Anticipated completion date: Annual desk monitoring of the Miami Lighthouse SGA contract for the Year Ended 2020-2021 has been completed per the auditor's recommendations and the Division's monitoring expectations. |            |

Office of Policy and Budget - July 2022

# Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Blind Services, Division of |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight         |

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

## 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>                                  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b> | 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 |  |  |  |  |

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

### 3. EXHIBIT B (EXBR, EXB)

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

#### AUDITS:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity and program component at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>   | Y |  |  |  |  |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

### AUDITS:

|     |   |   |  |  |  |  |
|-----|---|---|--|--|--|--|
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|      |   |     |  |  |  |  |
|------|---|-----|--|--|--|--|
| 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 |  |  |  |  |
| 7.5  | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)  | N/A |  |  |  |  |
| 7.6  | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.  | 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. <b>(PLRR, PLMO)</b>  | 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   |  |  |  |  |

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| Action | 48180000                                 |

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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   |  |  |  |  |
| 7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?  | N/A |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | Y   |  |  |  |  |
| 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? <b>(GENR, LBR1)</b>   | N/A |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | N/A |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | Y   |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b> | 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. <b>(NAAR, BSNR)</b>   | N/A |  |  |  |  |

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

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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 <b>OADA/OADR</b> 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.  |     |  |  |  |  |
| 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)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |



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|      |  |                                       |  |  |  |
|------|--|---------------------------------------|--|--|--|
| 8.4  | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only             |  |  |  |
| 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?  | Y                                     |  |  |  |
| 8.8  | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                                     |  |  |  |
| 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, for 2176 only                      |  |  |  |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?   | Y, for 2178, 2543, 2555 and 2612 only |  |  |  |
| 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                                     |  |  |  |

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|      |  |                  |  |  |  |  |
|------|--|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27 | Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |

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| Action | 48180000                                 |

### 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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.  |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

#### AUDIT:

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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 |  |  |  |  |
|---|-----|--|--|--|--|

### 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | N/A |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Blind Services, Division of |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight         |

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

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

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   |  |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |  |
| <b>TIP</b> If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.  |   |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) |                      |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?  | Y                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Blind Services, Division of |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight         |

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

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

### 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? ( <b>GENR, ACT1</b> )  | Y                           |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | No, reconciliation provided |  |  |  |  |
| <b>TIP</b> 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      |  |  |  |  |
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | N/A    |  |  |  |  |
| 17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?   | Y, N/A |  |  |  |  |

### AUDITS - GENERAL INFORMATION

|   |  |
|---|--|
| <b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.                     |  |
| <b>TIP</b> Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error. |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Blind Services, Division of |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Mariah Knight         |

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

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

| <b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>   |   |
|--|---|
|  | <b>DEPT LEVEL RESPONSE</b>  |
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?   | NA - Section 1013.60, F.S. states the Commissioner shall submit an integrated, comprehensive budget request, notwithstanding the legislative budget requirements of 216.043, F.S. |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?   |   |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?  |   |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?  |   |
| 18.5 Are the appropriate counties identified in the narrative?   |   |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?   |   |
| <b>TIP</b> 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. |   |

| <b>19. FLORIDA FISCAL PORTAL</b>   |   |  |  |  |
|--|---|--|--|--|
| 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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Private Colleges and Universities  
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Private Colleges and Universities  
Schedule I Series



# Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

## 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

## AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>                                  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b> | 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

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Private Colleges and Universities

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

|      |   |    |  |  |  |  |
|------|---|----|--|--|--|--|
| 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?   | NA |  |  |  |  |
| 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?   | NA |  |  |  |  |
| 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.)  | NA |  |  |  |  |
| 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.  | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 7.8  | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?   | Y  |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?   | NA |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 7.14 | Do the amounts reflect appropriate FSI assignments?   | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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.   | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 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)?  | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Y  |  |  |  |  |
| <b>AUDIT:</b>  |    |  |  |  |  |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | NA |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>                                   | NA |  |  |  |  |
| 7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. <b>(NAAR, BSNR)</b>   | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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. | NA |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |    |  |  |  |  |
| <b>TIP</b> 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.   |    |  |  |  |  |
| <b>TIP</b> 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.  |    |  |  |  |  |
| <b>TIP</b> 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).  |    |  |  |  |  |
| <b>TIP</b> 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)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

|      |  |                                       |  |  |  |
|------|--|---------------------------------------|--|--|--|
| 8.4  | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only             |  |  |  |
| 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?  | Y                                     |  |  |  |
| 8.8  | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                                     |  |  |  |
| 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, for 2176 only                      |  |  |  |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?   | Y, for 2178, 2543, 2555 and 2612 only |  |  |  |
| 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                                     |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

|      |  |                  |  |  |  |  |
|------|--|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27 | Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

### 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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.  |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

#### AUDIT:

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | NA |  |  |  |  |
|---|----|--|--|--|--|

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | NA |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   | NA |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |  |
| <b>TIP</b> If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.  |   |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.) |                      |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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? ( <b>GENR, ACT1</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> ) | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> ) | No, reconciliation provided |  |  |  |  |
|--|-----------------------------|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| <b>TIP</b> 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 |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | 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, NA |  |  |  |  |
|---|-------|--|--|--|--|

### AUDITS - GENERAL INFORMATION

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions. |  |  |  |  |  |
|---|--|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Private Colleges and Universities |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker   |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 4819                                     |

|   |  |
|---|--|
| <b>TIP</b> 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)**

|  | DEPT LEVEL RESPONSE  |
|--|--|
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?   | NA - Section 1013.60, F.S., states the Commissioner shall submit an integrated, comprehensive budget request, notwithstanding the legislative budget requirements of 216.043, F.S. |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?   |  |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?  |  |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?  |  |
| 18.5 Are the appropriate counties identified in the narrative?   |  |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? |  |

|  |  |
|--|--|
| <b>TIP</b> 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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Student Financial Aid Program

State

Exhibits or Schedules



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2023-24

Student Financial Aid Program

State

Schedule I Series

# Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / State Financial Aid - State

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

## 1. GENERAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| <p>1.1 Are Columns A01, A04, A05, A91, A92, A93, A94, A95, A96, A36, A10, IA1, IA4, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? <b>(CSDI or Web LBR Column Security)</b></p> | Y |  |  |  |  |
| <p>1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b></p>   | Y |  |  |  |  |

## AUDITS:

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

## 2. EXHIBIT A (EADR, EXA)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| <p>2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?</p> | Y |  |  |  |  |
| <p>2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?</p>   | Y |  |  |  |  |
| <p>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?</p>                  | Y |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - State |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker         |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker         |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

**AUDITS:**

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - State |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker         |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

|      |  |    |  |  |  |  |
|------|--|----|--|--|--|--|
| 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?  | NA |  |  |  |  |
| 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?  | NA |  |  |  |  |
| 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.)   | NA |  |  |  |  |
| 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.   | NA |  |  |  |  |
| 7.7  | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/A/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 92 of the LBR Instructions.) | NA |  |  |  |  |
| 7.8  | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?  | Y  |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?  | NA |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?  | NA |  |  |  |  |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>   | NA |  |  |  |  |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?  | NA |  |  |  |  |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?   | NA |  |  |  |  |
| 7.14 | Do the amounts reflect appropriate FSI assignments?  | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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.   | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 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)?  | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 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? <b>(GENR, LBR1)</b>   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | NA |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b> | NA |  |  |  |  |
| 7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. <b>(NAAR, BSNR)</b>   | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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. | NA |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |    |  |  |  |  |
| <b>TIP</b> 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.   |    |  |  |  |  |
| <b>TIP</b> 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.  |    |  |  |  |  |
| <b>TIP</b> 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).  |    |  |  |  |  |
| <b>TIP</b> 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)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

|      |  |   |  |  |  |  |  |  |  |                                       |
|------|--|---|--|--|--|--|--|--|--|---------------------------------------|
| 8.4  | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   |   |  |  |  |  |  |  |  | Y, for 2176 and 2380 only             |
| 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?  | Y |  |  |  |  |  |  |  |                                       |
| 8.8  | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y |  |  |  |  |  |  |  |                                       |
| 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, for 2176 only                      |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?   |   |  |  |  |  |  |  |  | Y, for 2178, 2543, 2555 and 2612 only |
| 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 |  |  |  |  |  |  |  |                                       |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

|                |  |                  |  |  |  |  |
|----------------|--|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21           | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22           | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23           | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24           | Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25           | Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26           | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27           | Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28           | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29           | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |
| <b>AUDITS:</b> |  |                  |  |  |  |  |
| 8.30           | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).   | Y                |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / State Financial Aid - State

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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.  |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

#### AUDIT:

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | NA |  |  |  |  |
|---|----|--|--|--|--|

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | NA |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - State |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker         |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   | NA |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |  |
| <b>TIP</b> If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.  |   |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.) |                      |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - State |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker         |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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? ( <b>GENR, ACT1</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> ) | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> ) | No, reconciliation provided |  |  |  |  |
|--|-----------------------------|--|--|--|--|

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

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | NA |  |  |  |  |
|---|----|--|--|--|--|

|   |       |  |  |  |  |
|---|-------|--|--|--|--|
| 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, NA |  |  |  |  |
|---|-------|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - State |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker         |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200200                                 |

### 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)

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

### 19. FLORIDA FISCAL PORTAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|



FLORIDA DEPARTMENT OF  
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2023-24

Student Financial Aid Program

Federal

Exhibits or Schedules



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2023-24

Student Financial Aid Program

Federal

Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |   |
|-----------------------------|---|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>                         |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                                       |
| <b>Budget Entity:</b>       | <b>FEDERAL GRANTS TRUST FUND</b>                          |
| <b>LAS/PBS Fund Number:</b> | <b>48200300 - STUDENT FINANCIAL AID PROGRAM - FEDERAL</b> |
|                             | <b>2261</b>   |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|-----|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 0.00                       | (A) |                      | 0.00                |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                |
| ADD: Investments                                    |                            | (C) |                      | 0.00                |
| ADD: Outstanding Accounts Receivable                |                            | (D) |                      | 0.00                |
| ADD: _____  |                            | (E) |                      | 0.00                |
| <b>Total Cash plus Accounts Receivable</b>          | <b>0.00</b>                | (F) | <b>0.00</b>          | <b>0.00</b>         |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                |
| LESS: Approved "A" Certified Forwards               |                            | (H) |                      | 0.00                |
| Approved "B" Certified Forwards                     |                            | (H) |                      | 0.00                |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         |                            | (I) |                      | 0.00                |
| LESS: _____   |                            | (J) |                      | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00</b>                | (K) | <b>0.00</b>          | <b>0.00</b> **      |

**Notes:**

\*SWFS = Statewide Financial Statement

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

*Office of Policy and Budget - July 2022*

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |                                   |                     |
|-----------------------------|-----------------------------------|---------------------|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b> |                     |
|                             | <b>48 EDUCATION</b>               |                     |
| <b>Trust Fund Title:</b>    | <b>FEDERAL GRANTS TRUST FUND</b>  |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2261</b>                       | <b>BE: 48200300</b> |

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/22**  
Total all GLC's 5XXXX for governmental funds;  (A)  
GLC 539XX for proprietary and fiduciary funds

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

**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

SWFS Adjustment # and Description  (C)

SWFS Adjustment # and Description  (C)

**Add/Subtract Other Adjustment(s):**

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

Approved FCO Certified Forward per LAS/PBS  (D)

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

(D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:**  **0.00** (E)

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

**DIFFERENCE:**  **0.00** (G)\*

**\*SHOULD EQUAL ZERO.**

# Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / State Financial Aid - Federal

Agency Budget Officer/OPB Analyst Name: Amy Hammock /Amanda Walker

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

## 1. GENERAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| <p>1.1 Are Columns A01, A04, A05, A91, A92, A93, A94, A95, A96, A36, A10, IA1, IA4, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? <b>(CSDI or Web LBR Column Security)</b></p> | Y |  |  |  |  |
| <p>1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b></p>   | Y |  |  |  |  |

## AUDITS:

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

## 2. EXHIBIT A (EADR, EXA)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| <p>2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?</p> | Y |  |  |  |  |
| <p>2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?</p>   | Y |  |  |  |  |
| <p>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?</p>                  | Y |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - Federal |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock /Amanda Walker            |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - Federal |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock /Amanda Walker            |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

### AUDITS:

|     |   |   |  |  |  |  |
|-----|---|---|--|--|--|--|
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / State Financial Aid - Federal

Agency Budget Officer/OPB Analyst Name: Amy Hammock /Amanda Walker

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

|      |   |    |  |  |  |  |
|------|---|----|--|--|--|--|
| 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?   | NA |  |  |  |  |
| 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?   | NA |  |  |  |  |
| 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.)  | NA |  |  |  |  |
| 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.  | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 7.8  | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?   | NA |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?   | NA |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 7.14 | Do the amounts reflect appropriate FSI assignments?   | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - Federal |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock /Amanda Walker            |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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.   | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 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)?  | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 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? <b>(GENR, LBR1)</b>   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | NA |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b> | NA |  |  |  |  |
| 7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. <b>(NAAR, BSNR)</b>   | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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. | NA |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |    |  |  |  |  |
| <b>TIP</b> 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.   |    |  |  |  |  |
| <b>TIP</b> 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.  |    |  |  |  |  |
| <b>TIP</b> 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).  |    |  |  |  |  |
| <b>TIP</b> 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)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - Federal |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock /Amanda Walker            |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

|      |  |   |  |  |  |  |                                       |
|------|--|---|--|--|--|--|---------------------------------------|
| 8.4  | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   |   |  |  |  |  | Y, for 2176 and 2380 only             |
| 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?  | Y |  |  |  |  |                                       |
| 8.8  | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y |  |  |  |  |                                       |
| 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, for 2176 only                      |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?   |   |  |  |  |  | Y, for 2178, 2543, 2555 and 2612 only |
| 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 |  |  |  |  |                                       |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - Federal |
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

|      |  |                  |  |  |  |  |
|------|--|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27 | Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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| Agency Budget Officer/OPB Analyst Name: Amy Hammock /Amanda Walker            |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

### 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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.  |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

#### AUDIT:

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | NA |  |  |  |  |
|---|----|--|--|--|--|

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | NA |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - Federal |
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   | NA |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |  |
| <b>TIP</b> If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.  |   |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.) |                      |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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? ( <b>GENR, ACT1</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> ) | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> ) | No, reconciliation provided |  |  |  |  |
|--|-----------------------------|--|--|--|--|

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

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | NA |  |  |  |  |
|---|----|--|--|--|--|

|   |       |  |  |  |  |
|---|-------|--|--|--|--|
| 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, NA |  |  |  |  |
|---|-------|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / State Financial Aid - Federal |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock /Amanda Walker            |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48200300                                 |

### 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)

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

### 19. FLORIDA FISCAL PORTAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|



FLORIDA DEPARTMENT OF  
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2023-24

Early Learning Services

Exhibits or Schedules



FLORIDA DEPARTMENT OF  
**EDUCATION**  
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2023-24

Early Learning Services

Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2023 - 2024

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>48 EDUCATION</b>                      |
| <b>Trust Fund Title:</b>    | <b>FEDERAL GRANTS TRUST FUND</b>         |
| <b>Budget Entity:</b>       | <b>48220400- EARLY LEARNING SERVICES</b> |
| <b>LAS/PBS Fund Number:</b> | <b>2261</b>                              |

|   | Balance as of<br>6/30/2022 |            | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|------------|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 414,895.63                 | (A)        |                      | 414,895.63          |
| ADD: Other Cash (See Instructions)                  |                            | (B)        |                      | 0.00                |
| ADD: Investments                                    |                            | (C)        |                      | 0.00                |
| ADD: Outstanding Accounts Receivable                | 82,809.97                  | (D)        |                      | 82,809.97           |
| ADD: ANTICIPATED REVENUES                           | 293,858.82                 | (E)        | (35,557.35)          | 258,301.47          |
| ADD: SWFS ADJ#B4800021                              | 0.00                       | (E)        | 51,907.36            | 51,907.36           |
| <b>Total Cash plus Accounts Receivable</b>          | <b>791,564.42</b>          | <b>(F)</b> | <b>16,350.01</b>     | <b>807,914.43</b>   |
| LES: Allowances for Uncollectibles                  |                            | (G)        |                      | 0.00                |
| LES: Approved "A" Certified Forwards                |                            | (H)        |                      | 0.00                |
| Approved "B" Certified Forwards                     | 293,858.82                 | (H)        |                      | 293,858.82          |
| Approved "FCO" Certified Forwards                   |                            | (H)        |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         | 497,705.60                 | (I)        |                      | 497,705.60          |
| LESS: SWFS ADJ # B48000019& B48000021               |                            | (J)        | 16,350.01            | 16,350.01           |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>(0.00)</b>              | <b>(K)</b> | <b>0.00</b>          | <b>(0.00)**</b>     |

**Notes:**

\*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2022

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |                                   |                     |
|-----------------------------|-----------------------------------|---------------------|
|                             | <b>Budget Period: 2023 - 2024</b> |                     |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>               |                     |
| <b>Trust Fund Title:</b>    | <b>FEDERAL GRANTS TRUST FUND</b>  |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2261</b>                       | <b>BE: 48220400</b> |

**BEGINNING TRIAL BALANCE:**

|  |                  |
|--|------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>            |                  |
| Total all GLC's 5XXXX for governmental funds;                          | 0.00 (A)         |
| GLC 539XX for proprietary and fiduciary funds                          |                  |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>                  | (B)              |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b> |                  |
| SWFS Adjustment # B4800019 to record A/P.                              | (53,850.01) (C)  |
| SWFS Adjustment # B4800021 to record a/r &A/P.                         | 89,407.36 (C)    |
| <b>Add/Subtract Other Adjustment(s):</b>                               |                  |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS                  | (293,858.82) (D) |
| Approved FCO Certified Forward per LAS/PBS                             | (D)              |
| A/P not C/F-Operating Categories                                       | (D)              |
| ANTICIPATED REVENUES   | 258,301.47 (D)   |
|  | (D)              |
|  | (D)              |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>                               | 0.00 (E)         |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>                   | (0.00) (F)       |
| <b>DIFFERENCE:</b>   | 0.00 (G)*        |

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>        |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                      |
| <b>Budget Entity:</b>       | <b>GRANTS &amp; DONATIONS TRUST FUND</b> |
| <b>LAS/PBS Fund Number:</b> | <b>48220400 EARLY LEARNING SERVICES</b>  |
|                             | <b>2339</b>                              |

|   | Balance as of<br>6/30/2022 |            | SWFS*<br>Adjustments | Adjusted<br>Balance  |
|---|----------------------------|------------|----------------------|----------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 103,054.58                 | (A)        |                      | 103,054.58           |
| ADD: Other Cash (See Instructions)                  |                            | (B)        |                      | 0.00                 |
| ADD: Investments                                    |                            | (C)        |                      | 0.00                 |
| ADD: Outstanding Accounts Receivable                |                            | (D)        |                      | 0.00                 |
| ADD: _____  |                            | (E)        |                      | 0.00                 |
| <b>Total Cash plus Accounts Receivable</b>          | <b>103,054.58</b>          | <b>(F)</b> | <b>0.00</b>          | <b>103,054.58</b>    |
| LESS: Allowances for Uncollectibles                 |                            | (G)        |                      | 0.00                 |
| LESS: Approved "A" Certified Forwards               |                            | (H)        |                      | 0.00                 |
| Approved "B" Certified Forwards                     |                            | (H)        |                      | 0.00                 |
| Approved "FCO" Certified Forwards                   |                            | (H)        |                      | 0.00                 |
| LESS: Other Accounts Payable (Nonoperating)         |                            | (I)        |                      | 0.00                 |
| LESS: _____   |                            | (J)        |                      | 0.00                 |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>103,054.58</b>          | <b>(K)</b> | <b>0.00</b>          | <b>103,054.58</b> ** |

**Notes:**

\*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2022

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |  |
|-----------------------------|--|
|                             | <b>Budget Period: 2023 - 2024</b>                                  |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>  |
| <b>Trust Fund Title:</b>    | <b>GRANTS &amp; DONATIONS TRUST FUND</b>                           |
| <b>LAS/PBS Fund Number:</b> | <b>2339</b> <span style="float: right;"><b>BE: 48220400</b></span> |

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/22**  
 Total all GLC's 5XXXX for governmental funds; **103,054.58** (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:** **103,054.58** (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** **103,054.58** (F)

**DIFFERENCE:** **0.00** (G)\*

**\*SHOULD EQUAL ZERO.**



# Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

## 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b>   | Y |  |  |  |  |
| <b>TIP</b> 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

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

### 3. EXHIBIT B (EXBR, EXB)

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

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

### AUDITS:

|     |   |   |  |  |  |  |
|-----|---|---|--|--|--|--|
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

|      |   |     |  |  |  |  |
|------|---|-----|--|--|--|--|
| 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 |  |  |  |  |
| 7.5  | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)  | N/A |  |  |  |  |
| 7.6  | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.  | 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.) | N/A |  |  |  |  |
| 7.8  | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?   | Y   |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?   | Y   |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #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. <b>(PLRR, PLMO)</b>  | 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   |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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.) | N/A |  |  |  |  |
| 7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?  | N/A |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | N/A |  |  |  |  |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Y   |  |  |  |  |
| <b>AUDIT:</b>  |     |  |  |  |  |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | N/A |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | N/A |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | N/A |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>                                   | 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. <b>(NAAR, BSNR)</b>   | Y   |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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 |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |     |  |  |  |  |
| <b>TIP</b> 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.   |     |  |  |  |  |
| <b>TIP</b> 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.  |     |  |  |  |  |
| <b>TIP</b> 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).  |     |  |  |  |  |
| <b>TIP</b> 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)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Early Learning

Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

|  |                                       |  |  |  |  |
|--|---------------------------------------|--|--|--|--|
| 8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?  | Y                                     |  |  |  |  |
| 8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only             |  |  |  |  |
| 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?  | Y                                     |  |  |  |  |
| 8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                                     |  |  |  |  |
| 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, for 2176 only                      |  |  |  |  |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y, for 2178, 2543, 2555 and 2612 only |  |  |  |  |
| 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                                     |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

|   |                  |  |  |  |  |
|---|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27 Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

### AUDITS:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).  | Y |  |  |  |  |
| 8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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 |  |  |  |  |
| <b>TIP</b> 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!  |   |  |  |  |  |
| <b>TIP</b> 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.   |   |  |  |  |  |
| <b>TIP</b> Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.   |   |  |  |  |  |
| <b>TIP</b> Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.   |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

#### AUDIT:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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 |  |  |  |  |
|---|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

### 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | N/A |  |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>  | Y |  |  |  |  |
| 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.   |   |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (NO LONGER REQUIRED)

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

### 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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) |                      |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?  | Y                    |  |  |  |  |

#### AUDITS INCLUDED IN THE SCHEDULE XI REPORT:

|   |                             |  |  |  |  |
|---|-----------------------------|--|--|--|--|
| 16.3 Does the FY 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )  | Y                           |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | No, reconciliation provided |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
|---|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Early Learning    |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48220400                                 |

|   |        |  |  |  |  |
|---|--------|--|--|--|--|
| 17.2 Does manual exhibits tie to LAS/PBS where applicable?  | Y      |  |  |  |  |
| 17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?   | Y      |  |  |  |  |
| 17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US?</b> | N/A    |  |  |  |  |
| 17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?   | Y, N/A |  |  |  |  |

**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)**

|   | DEPT LEVEL RESPONSE  |
|---|--|
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?  | N/A - Section 10123.60, F.S., states the Commissioner shall submit an integrated, comprehensive budget request, notwithstanding the legislative budget requirements of 216.043, F.S. |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?  |  |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?   |  |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?   |  |
| 18.5 Are the appropriate counties identified in the narrative?  |  |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?  |  |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. |  |

**19. FLORIDA FISCAL PORTAL**

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|



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State Grants/K-12 Programs

FEFP

Exhibits or Schedules



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2023-24

State Grants/K-12 Programs

FEFP

Schedule I Series

# Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / State Grants/K-12 Program - FEFP |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton           |

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

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

## 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>                                  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b> | 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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| Department/Budget Entity (Service): Education / State Grants/K-12 Program - FEFP |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton           |

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

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| Action | Program or Service (Budget Entity Codes)<br>48250300 |
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### 3. EXHIBIT B (EXBR, EXB)

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

#### AUDITS:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>   | Y |  |  |  |  |
|  | Y |  |  |  |  |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>   | Y |  |  |  |  |
| TIP Generally look for and be able to fully explain significant differences between A02 and A03.   |   |  |  |  |  |
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.   |   |  |  |  |  |
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |   |  |  |  |  |

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
| 4.2 Is the program component code and title used correct?  | Y |  |  |  |  |
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.   |   |  |  |  |  |

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|



## Fiscal Year 2023-24 LBR Technical Review Checklist

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| Department/Budget Entity (Service): Education / State Grants/K-12 Program - FEFP |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton           |

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

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| Action | Program or Service (Budget Entity Codes)<br>48250300 |
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### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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. |   |  |  |  |  |
| <b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>   |   |  |  |  |  |
| 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.  |   |  |  |  |  |
| <b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>  |   |  |  |  |  |
| 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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| Department/Budget Entity (Service): Education / State Grants/K-12 Program - FEFP |
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|        |  |
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| Action | Program or Service (Budget Entity Codes) |
|        | 48250300                                 |

| Action  | Program or Service (Budget Entity Codes) |
|---|--|
| 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?   | Y  |
| 7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?   | Y<br>Y                                   |
| 7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)  | N/A<br>N/A                               |
| 7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.  | N/A                                      |
| 7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 92 of the LBR Instructions.) | N/A                                      |
| 7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?   | Y  |
| 7.9 Does the issue narrative reference the specific county(ies) where applicable?   | 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<br>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. <b>(PLRR, PLMO)</b>   | 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                                      |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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.) | N/A |  |  |  |  |
| 7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?  | N/A |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | N/A |  |  |  |  |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Y   |  |  |  |  |

**AUDIT:**

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | N/A |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | N/A |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | N/A |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b> | 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. <b>(NAAR, BSNR)</b>   | Y   |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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 |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |     |  |  |  |  |
| <b>TIP</b> 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.   |     |  |  |  |  |
| <b>TIP</b> 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.  |     |  |  |  |  |
| <b>TIP</b> 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).  |     |  |  |  |  |
| <b>TIP</b> 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)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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|--|
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|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48250300 |
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|  |                                       |
|--|---------------------------------------|
| 8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only             |
| 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?  | Y                                     |
| 8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                                     |
| 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, for 2176 only                      |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y, for 2178, 2543, 2555 and 2612 only |
| 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                                     |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|   |                  |  |  |  |  |
|---|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27 Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |
| <b>AUDITS:</b>  |                  |  |  |  |  |
| 8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).   | Y                |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

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|--|---|--|--|--|--|
| 8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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 |  |  |  |  |
| <b>TIP</b> 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!  |   |  |  |  |  |
| <b>TIP</b> 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.   |   |  |  |  |  |
| <b>TIP</b> Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.   |   |  |  |  |  |
| <b>TIP</b> Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.   |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| AUDIT:  |     |  |  |  |  |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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 |  |  |  |  |

### 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | N/A |  |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 11.1 Are the correct Information Technology (IT) issue codes used?   | Y |  |  |  |  |
| <b>TIP</b> 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. |   |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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| Action | Program or Service (Budget Entity Codes)<br>48250300 |
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### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>  |  |  |  |  |  |
| 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.   |   |  |  |  |  |

### 15. SCHEDULE VIIIC (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)

| DEPT LEVEL RESPONSES   |   |  |  |  |  |
|--|---|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) |   |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?  | Y |  |  |  |  |

### AUDITS INCLUDED IN THE SCHEDULE XI REPORT:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 16.3 Does the FY 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> ) | Y |  |  |  |  |
|--|---|--|--|--|--|



## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / State Grants/K-12 Program - FEFP |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton           |

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

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

|   |                             |  |  |  |  |
|---|-----------------------------|--|--|--|--|
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? <b>(Audit #1 should print "No Activities Found")</b>   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? <b>(Audit #2 should print "No Operating Categories Found")</b>  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? <b>(Audit #4 should print "No Discrepancies Found")</b>  | No, reconciliation provided |  |  |  |  |
| <b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.  |                             |  |  |  |  |

| <b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>  |       |  |  |  |  |
|---|-------|--|--|--|--|
| 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     |  |  |  |  |
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | 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, NA |  |  |  |  |

| <b>AUDITS - GENERAL INFORMATION</b>   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.                     |  |  |  |  |  |
| <b>TIP</b> Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error. |  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education / State Grants/K-12 Program - FEFP |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton           |

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

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

| <b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>   |  |
|--|--|
|  | <b>DEPT LEVEL RESPONSE</b>   |
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?   | NA - Section 1013.60, F.S., states the Commissioner shall submit an integrated, comprehensive budget request, notwithstanding the legislative budget requirements of 216.043, F.S. |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?   |  |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?  |  |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?  |  |
| 18.5 Are the appropriate counties identified in the narrative?   |  |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?   |  |
| <b>TIP</b> 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. |  |

| <b>19. FLORIDA FISCAL PORTAL</b>   |   |  |  |  |
|--|---|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |



FLORIDA DEPARTMENT OF  
**EDUCATION**  
fldoe.org

2023-24

State Grants/K-12 Programs

NON-FEFP

Exhibits or Schedules



FLORIDA DEPARTMENT OF  
**EDUCATION**  
fdoe.org

2023-24

State Grants/K-12 Programs

NON-FEFP

Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>                    |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                                  |
| <b>Budget Entity:</b>       | <b>ADMINISTRATIVE TRUST FUND</b>                     |
| <b>LAS/PBS Fund Number:</b> | <b>48250400 STATE GRANTS/K-12 PROGRAM - NON FEFP</b> |
|                             | <b>2021 (FSDB)</b>                                   |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance  |
|---|----------------------------|-----|----------------------|----------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 205,728.99                 | (A) |                      | 205,728.99           |
| ADD: Other Cash (See Instructions)                  | -                          | (B) |                      | -                    |
| ADD: Investments                                    | -                          | (C) |                      | -                    |
| ADD: Outstanding Accounts Receivable                | 15,371.94                  | (D) |                      | 15,371.94            |
| ADD: _____  | -                          | (E) |                      | -                    |
| <b>Total Cash plus Accounts Receivable</b>          | <b>221,100.93</b>          | (F) | -                    | <b>221,100.93</b>    |
| LESS: Allowances for Uncollectibles                 | -                          | (G) |                      | -                    |
| LESS: Approved "A" Certified Forwards               | -                          | (H) |                      | -                    |
| Approved "B" Certified Forwards                     | -                          | (H) |                      | -                    |
| Approved "FCO" Certified Forwards                   | -                          | (H) |                      | -                    |
| LESS: Other Accounts Payable (Nonoperating)         | -                          | (I) |                      | -                    |
| LESS: _____   | -                          | (J) |                      | -                    |
| <b>Unreserved Fund Balance, 07/01/2022</b>          | <b>221,100.93</b>          | (K) | -                    | <b>221,100.93</b> ** |

**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**

|                             |                                   |
|-----------------------------|-----------------------------------|
|                             | <b>Budget Period: 2023 - 2024</b> |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>               |
| <b>Trust Fund Title:</b>    | <b>ADMINISTRATIVE TRUST FUND</b>  |
| <b>LAS/PBS Fund Number:</b> | <b>2021 (FSDB) BE 48250400</b>    |

**BEGINNING TRIAL BALANCE:**

|  |                |
|--|----------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/2022</b>                                  |                |
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | 221,100.93 (A) |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>  | -              |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>                         |                |
| SWFS Adjustment # and Description  | -              |
| SWFS Adjustment # and Description  | -              |
| <b>Add/Subtract Other Adjustment(s):</b>   |                |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS  | -              |
| Approved FCO Certified Forward per LAS/PBS   | -              |
| A/P not C/F-Operating Categories   | -              |
| FSDB - Current Year Payables Not Certified   |                |
|  |                |
|  |                |
|  |                |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>   | 221,100.93 (E) |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>   | 221,100.93 (F) |
| <b>DIFFERENCE:</b>   | -              |

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>                    |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                                  |
| <b>Budget Entity:</b>       | <b>FEDERAL GRANTS TRUST FUND</b>                     |
| <b>LAS/PBS Fund Number:</b> | <b>48250400 STATE GRANTS/K-12 PROGRAM - NON FEFP</b> |
|                             | <b>2261</b>  |

|   | Balance as of<br>6/30/2022 | SWFS*<br>Adjustments | Adjusted<br>Balance  |
|---|----------------------------|----------------------|----------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 230,640.40 (A)             |                      | 230,640.40           |
| ADD: Other Cash (See Instructions)                  | (B)                        |                      | -                    |
| ADD: Investments                                    | (C)                        |                      | -                    |
| ADD: Outstanding Accounts Receivable                | 114,133.90 (D)             |                      | 114,133.90           |
| ADD: Anticipated Revenue                            | 385,358.86 (E)             |                      | 385,358.86           |
| <b>Total Cash plus Accounts Receivable</b>          | <b>730,133.16 (F)</b>      | <b>-</b>             | <b>730,133.16</b>    |
| LESS Allowances for Uncollectibles                  | -                          | (G)                  | -                    |
| LESS Approved "A" Certified Forwards                | 35,995.00 (H)              |                      | 35,995.00            |
| Approved "B" Certified Forwards                     | 395,584.03 (H)             |                      | 395,584.03           |
| Approved "FCO" Certified Forwards                   | -                          | (H)                  | -                    |
| LESS: Other Accounts Payable (Nonoperating)         | 19,515.00 (I)              |                      | 19,515.00            |
| LESS: _____   | (J)                        |                      | -                    |
| <b>Unreserved Fund Balance, 07/01/2022</b>          | <b>279,039.13 (K)</b>      | <b>-</b>             | <b>279,039.13 **</b> |

**Notes:**

\*SWFS = Statewide Financial Statement

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

*Office of Policy and Budget - July 2022*

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2023 - 2024**

**Department Title:**

**48 EDUCATION**

**Trust Fund Title:**

**FEDERAL GRANTS TRUST FUND**

**LAS/PBS Fund Number:**

**2261**

**BE 48250400**

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/2022**

Total all GLC's 5XXXX for governmental funds; **223,346.02** (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 **(395,584.03)** (D)

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

A/P not C/F-Operating Categories **10,225.17** (D)

Anticipated Revenue **385,358.86** (D)

FSDB - Current Year Payables Not Certified **55,693.11** (D)

**-** (D)

**ADJUSTED BEGINNING TRIAL BALANCE:** **279,039.13** (E)

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

**DIFFERENCE:** **279,039.13** (G)\*

**\*SHOULD EQUAL ZERO.**



## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2023 - 2024**

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

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance    |
|---|----------------------------|-----|----------------------|------------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 1,035,051.58               | (A) |                      | 1,035,051.58           |
| ADD: Other Cash (See Instructions)                  | -                          | (B) |                      | -                      |
| ADD: Investments                                    | -                          | (C) |                      | -                      |
| ADD: Outstanding Accounts Receivable                | 116,401.64                 | (D) |                      | 116,401.64             |
| ADD: _____  | -                          | (E) |                      | -                      |
| <b>Total Cash plus Accounts Receivable</b>          | <b>1,151,453.22</b>        | (F) | -                    | <b>1,151,453.22</b>    |
| LESS: Allowances for Uncollectibles                 | -                          | (G) |                      | -                      |
| LESS: Approved "A" Certified Forwards               | -                          | (H) |                      | -                      |
| Approved "B" Certified Forwards                     | -                          | (H) |                      | -                      |
| Approved "FCO" Certified Forwards                   | -                          | (H) |                      | -                      |
| LESS: Other Accounts Payable (Nonoperating)         | 1,148.21                   | (I) |                      | 1,148.21               |
| LESS: _____   |                            | (J) |                      | -                      |
| <b>Unreserved Fund Balance, 07/01/2022</b>          | <b>1,150,305.01</b>        | (K) | -                    | <b>1,150,305.01</b> ** |

**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 - 24**

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>48 EDUCATION</b>                    |
| <b>Trust Fund Title:</b>    | <b>GRANTS AND DONATIONS TRUST FUND</b> |
| <b>LAS/PBS Fund Number:</b> | <b>2339 (FSDB) BE 48250400</b>         |

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/2022**

|  |              |     |
|--|--------------|-----|
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | 1,117,353.62 | (A) |
|--|--------------|-----|

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

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

**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

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

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

**Add/Subtract Other Adjustment(s):**

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

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

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

|  |           |     |
|--|-----------|-----|
| FSDB - Current Year Payables Not Certified | 32,951.39 | (D) |
|--|-----------|-----|

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

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

**ADJUSTED BEGINNING TRIAL BALANCE:**

|              |     |
|--------------|-----|
| 1,150,305.01 | (E) |
|--------------|-----|

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

|              |     |
|--------------|-----|
| 1,150,305.01 | (F) |
|--------------|-----|

**DIFFERENCE:**

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

**\*SHOULD EQUAL ZERO.**

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2021 - 2022**

**Department:** Office of the Inspector General

**Chief Internal Auditor:** Bradley Rich

**Budget Entity:** K-12 Programs Non-FEFP

**Phone Number:** (850) 245-9221

| (1)  | (2)       | (3)  | (4)  | (5)   | (6)   |
|--|-----------|--|--|---|-------|
| REPORT   | PERIOD    |  | SUMMARY OF   | SUMMARY OF  | ISSUE |
|  |           |  |  |   |       |
| NUMBER   | ENDING    | UNIT/AREA  | FINDINGS AND RECOMMENDATIONS   | CORRECTIVE ACTION TAKEN   | CODE  |
| Office of the Inspector General Report # A-2021DOE-018 | 7/28/2021 | Department of Education (DOE)<br>Bureau of Exceptional Education and Student Services (BEES)<br>The Family Café (Cooperation, Advocacy, Friendship, and Empowerment) | Finding 1. The Family Café did not submit, nor did BEES require, a modified budget narrative for changes to the project budget for agreement #37F-90745-9Q001.<br>Recommendation: We recommend that BEES request and review The Family Café interim and final disbursement reports throughout the agreement periods and ensure modified narrative forms are required as necessary in accordance with agreement terms. We additionally recommend BEES consider clarifying the agreement language and include a percentage variation, or a combination of percentage variation and dollar threshold per budget line, that would trigger the requirement for the modified budget form and justification as appropriate based on the funding source.<br><br>We recommend the Family Cafe submit a modified Budget Narrative Form (DOE 101) and a written justification for all changes to the project budget in accordance with agreement terms. | BEES Management response March 21, 2021: The Bureau of Exceptional Student Education <sup>2</sup> (BESE) program office has conducted an interim disbursement report for Quarters 1-3 billing periods ranging from August of 2020 to March of 2021. Additionally, the BESE program office has met internally and collaboratively with the Comptroller’s Office on May 20, 2021, May 28, 2021 and June 2, 2021 to establish an additional review process for payment requests and amendments submitted by The Family Cafe and ensure a comprehensive review is conducted prior to processing and approval of future payments effective immediately. The BESE program office reviewed and will revise the 2021-22 contract agreement language to align with the Office of Inspector General’s recommendations i.e. the addition of language to include the requirement of a modified budget narrative form and written justification for line item variations that exceed 1%.<br><br>Family Cafe Management response: While The Family cafe agrees that the project did not submit a modified budget narrative, also known as an amendment, it should be noted the BEES did not provide any guidance as to what percentage or amount of deviation from the original budget narrative, |       |

| (1)   | (2)                  | (3)   | (4)  | (5)   | (6)               |
|---|----------------------|---|--|---|-------------------|
| REPORT<br><br>NUMBER  | PERIOD<br><br>ENDING | UNIT/AREA   | SUMMARY OF<br><br>FINDINGS AND RECOMMENDATIONS | SUMMARY OF<br><br>CORRECTIVE ACTION TAKEN   | ISSUE<br><br>CODE |
| Office of the<br>Inspector General<br>Report #<br>A-2021DOE-018 | 7/28/2021            | Department of Education<br>(DOE) Bureau of Exceptional<br>Education and Student Services<br>(BEES) The Family Café<br>(Cooperation, Advocacy,<br>Friendship, and Empowerment) |  | <p>would trigger the need for such a modification or amendment, nor does the relevant Cooperative Agreement stipulate what conditions would necessitate such a modification or amendment. The project makes the greatest possible effort to meet all deliverables and expend funding as allocated. Real costs can vary in relationship to budgeted costs due to a variety of factors beyond the project's control. As the project was implemented in the manner promised, the idea of submitting an amendment was not considered, nor was the project offered guidance on what degree of variation from the initial budget would make an amendment necessary.</p> <p>The project is not aware of any DOE guidance regarding the necessity to submit an amendment when budget line items and planned deliverables do not change, but actual expense departs from budget projections. Further, the nature of The Annual Family Café as a large-scale training event hosted at a third-party hotel makes it difficult to adhere precisely to all budget amounts and deliverables.</p> <p>Factors including unforeseen scholarship funding from non-DOE sources, hotel space availability, and decisions by individual families on whether or not to attend can make it difficult for the actual event to entirely match the planned structure in terms of exact budget amounts and deliverable units.</p> <p>While one remedy may be to amend the budget and deliverables, that may be impossible as every circumstance cannot be foreseen, and changes can occur mere days before the event itself.</p> |                   |

| (1)   | (2)                  | (3)   | (4)   | (5)   | (6)               |
|---|----------------------|---|---|---|-------------------|
| REPORT<br><br>NUMBER  | PERIOD<br><br>ENDING | UNIT/AREA   | SUMMARY OF<br><br>FINDINGS AND RECOMMENDATIONS  | SUMMARY OF<br><br>CORRECTIVE ACTION TAKEN   | ISSUE<br><br>CODE |
| Office of the<br>Inspector General<br>Report #<br>A-2021DOE-018 | 7/28/2021            | Department of Education<br>(DOE)<br>Bureau of Exceptional<br>Education and Student Services<br>(BEES)<br>The Family Café (Cooperation,<br>Advocacy, Friendship, and<br>Empowerment) | <p>Finding 2. The Family Café submitted, and the department approved and paid for, vague invoices and invoices without adequate documentation.</p> <p>Recommendation: We recommend that BEES request and review invoices submitted by The Family Café during the agreement term to ensure invoices are appropriately detailed and align with the approved budget narrative. We recommend BEES review these invoices when conducting programmatic monitoring. We further recommend BEES add a conflict of interest statement in their grant language that requires disclosure of conflicts of interest and additional safeguards to prohibit employee's from using their positions for a purpose</p> | <p>In other words, it is not possible to submit an accurate amendment when the real cost is not yet known. The Family Café makes a good faith effort to implement the event as described in its initial application and uses DOE funding solely in support of the activities and purposes outlined in the project's application narrative, and the project welcomes further guidance as to what circumstances would necessitate a formal modification or amendment.</p> <p>BEES Management response: In collaboration with the Office of the Comptroller, The BESE program office has revised the review and approval process for payments to include an additional step that requires the thorough review and approval by the designated project liaison, the program office, BESE senior leadership and the Office of the Comptroller prior to final approval of the requested payments. The revised review process includes, but is not limited to, requesting clarification in writing from the project, additional written justification of how the requests for payment allowed the project to meet their required deliverables, how the requests for payment aligned with the project's scope of work, product samples i.e. flyers, website postings, newsletters, brochures etc.,</p> |                   |

| (1)   | (2)                  | (3)   | (4)   | (5)   | (6)               |
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| REPORT<br><br>NUMBER  | PERIOD<br><br>ENDING | UNIT/AREA   | SUMMARY OF<br><br>FINDINGS AND RECOMMENDATIONS  | SUMMARY OF<br><br>CORRECTIVE ACTION TAKEN   | ISSUE<br><br>CODE |
| Office of the<br>Inspector General<br>Report #<br>A-2021DOE-018 | 7/28/2021            | Department of Education<br>(DOE)<br>Bureau of Exceptional<br>Education and Student Services<br>(BEES)<br>The Family Café (Cooperation,<br>Advocacy, Friendship, and<br>Empowerment) | that constitutes, or presents the appearance of, a<br>personal or organizational conflict of interest or<br>personal gain. We recommend that The Family<br>Café include details in the submitted invoices to<br>adequately depict the services billed and ensure<br>all supporting documentation accompanies<br>invoices submitted for payment. Finally, we<br>recommend all decisions related to expenditure<br>approvals between The Family Cafe, Office of<br>the Comptroller, and BEES be documented in<br>writing. | <p>additional source documentation and itemized<br/>receipts that explicitly state quantities and costs per<br/>item for each requested payment rather than<br/>previously approved vague language and generic<br/>summaries. The revised review process is effective<br/>March 3, 2021, and has been implemented for the<br/>quarters 1-3 billing period of the 2020-2021 FY.<br/>Additionally, the BESE program office has added<br/>contractual language to include a conflict of interest<br/>statement in the 2021-2022 Family Café Request For<br/>Application (RFA).</p> <p>The statement will require The Family Café to<br/>provide disclosure of potential or actual conflicts of<br/>interest. The provision of additional safeguards has<br/>been included within the RFA to prohibit Family<br/>Cafe employees from using their positions in a way<br/>that may constitute or present the appearance of any<br/>personal or organizational gains.</p> <p>Family Café Management response: The project<br/>agrees that a number of invoices submitted in the<br/>years subject to audit did not meet the standard for<br/>detail and clarity currently being applied by the<br/>Department. It should be noted that the project had<br/>previously received guidance from DOE to the effect<br/>that the type of detail being sought in the context of<br/>the current audit was unnecessary, and the varied<br/>materials produced could be listed as "printed<br/>materials" or "educational materials" for invoicing<br/>purposes.</p> |                   |

| (1)<br>REPORT   | (2)<br>PERIOD | (3)   | (4)<br>SUMMARY OF   | (5)<br>SUMMARY OF  | (6)<br>ISSUE |
|---|---------------|---|---|--|--------------|
| NUMBER  | ENDING        | UNIT/AREA   | FINDINGS AND RECOMMENDATIONS  | CORRECTIVE ACTION TAKEN  | CODE         |
| Office of the<br>Inspector General<br>Report #<br>A-2021DOE-018 | 7/28/2021     | Department of Education<br>(DOE)<br>Bureau of Exceptional<br>Education and Student Services<br>(BEES)<br>The Family Café (Cooperation,<br>Advocacy, Friendship, and<br>Empowerment) | <p>Finding 3. The Family Café did not achieve one deliverable in fiscal year 2018-2019 related to providing scholarships to conference attendee's, and could improve the tracking of conference scholarship awards.</p> <p>Recommendation: We recommend the BEES project liaison enhance their monitoring of project deliverables by periodically ensuring a sufficient number of scholarship program families utilize the conference hotel. The monitoring should include a review and analysis of the list of families awarded the scholarships, the scholarship applications, and the hotel records demonstrating attendance.</p> <p>We also recommend BEES ensure the cost per unit in the Schedule of Deliverables are proportionate to the deliverable in the event a payment reduction is required. We recommend that The Family Café ensure achievement of the deliverable to support families attending The Annual Family Café. We additionally recommend The Family Café enhance their tracking mechanisms to better account for families and individuals awarded scholarships and utilizing the conference hotel while attending The Annual Family Cafe.</p> | <p>Going forward, the project is willing and able to provide invoices with the type of detail and supporting documentation being sought by the Department.</p> <p>BEES Management response: The Program Office requested via email on June 4, 2021, that Family Café submit a list of the 2020-21 scholarship recipients (including name and contact information for recipients) in addition to the applicants submitted to the project to match the roster. The email requested a list of conference attendees, number of hotel rooms proposed for booking prior to the conference and submission of the confirmed number of hotel rooms booked with a hotel invoice to accompany the roster no later than one week post the Family Café conference (on or before June 21, 2021). The revised review process will be conducted to assess the accuracy of the submitted documentation and will be considered by the Program Office and Office of the Comptroller prior to approval and processing of any form of payment.</p> <p>Family Café Management response:<br/>While the project agrees that the financial assistance scholarship deliverable was not met in the 2018-19 contract year, a number of unique circumstances contributed to this. First, it must be recognized that the relationship between the initial list of Financial Assistance lottery recipients and the final hotel rooming list is complex.</p> |              |

| (1)   | (2)                  | (3)   | (4)  | (5)  | (6)               |
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| REPORT<br><br>NUMBER  | PERIOD<br><br>ENDING | UNIT/AREA   | SUMMARY OF<br><br>FINDINGS AND RECOMMENDATIONS | SUMMARY OF<br><br>CORRECTIVE ACTION TAKEN  | ISSUE<br><br>CODE |
| Office of the<br>Inspector General<br>Report #<br>A-2021DOE-018 | 7/28/2021            | Department of Education<br>(DOE)<br>Bureau of Exceptional<br>Education and Student Services<br>(BEES)<br>The Family Café (Cooperation,<br>Advocacy, Friendship, and<br>Empowerment) |  | Some recipients may cancel, some recipients may fail to appear at check in, and some may have name changes due to the need to make perseverations under the name of adult household members, while event registration may have been made under the name of a minor child or other house hold member. Some families may include more than four family members, therefore require more than one room.In the event of cancellations, The Family Cafe contacts families on the waiting list that were not selected through the financial assistance lottery to offer them a scholarship room. This practice also occurs up to and at the event itself, with families being contacted on site to fill scholarship room when families do not appear at check in. Given the project’s limited staff, the size of the event, and the ongoing, ad hoc nature of this process, it can be extremely difficult to track the use With specific reference to the 2018-2019 year, the host hotel sold a number of rooms that had been allocated to The Family Café room block without the project’s knowledge or consent. As a result, there was not sufficient room space to accommodate the number of scholarship families called for in the DOE agreement. Additionally, two non-DOE entities contributed funding to provide accommodation to scholarship recipients. While these families cannot be counted against the DOE deliverable, their inclusion on the rooming list further limited the number of hotel rooms available on site. To remedy this situation and prevent it from occurring again, |                   |



| (1)   | (2)                  | (3)   | (4)  | (5)  | (6)               |
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| REPORT<br><br>NUMBER  | PERIOD<br><br>ENDING | UNIT/AREA   | SUMMARY OF<br><br>FINDINGS AND RECOMMENDATIONS | SUMMARY OF<br><br>CORRECTIVE ACTION TAKEN  | ISSUE<br><br>CODE |
| Office of the<br>Inspector General<br>Report #<br>A-2021DOE-018 | 7/28/2021            | Department of Education<br>(DOE)<br>Bureau of Exceptional<br>Education and Student Services<br>(BEES)<br>The Family Café (Cooperation,<br>Advocacy, Friendship, and<br>Empowerment) |  | <p>in 2021 the project contacted the host hotel and arranged to identify families that applied for financial assistance that were initially declined and then attended at their own cost. A number of these non-awardee families were moved from the "self-pay" list to the financial assistance list. Doing so required the project to cross-reference the hotel billing folio with its internal financial assistance lottery list, with non-awardee families being moved form self pay to financial assistance in lottery order until a sufficient number of families was included in the financial assistance list to meet the deliverable.</p> <p>Again, it should be noted that this process can be difficult and complex, as it relies on the willingness of a third party, the host hotel, to provide the project with the necessary information to identify qualified financial applicants that attended at their own cost. Also, the project must rely on the willingness of the third party host hotel to provide sufficient room space to house the number of families called for in the deliverable.</p> |                   |

| (1)<br>REPORT   | (2)<br>PERIOD | (3)  | (4)<br>SUMMARY OF   | (5)<br>SUMMARY OF  | (6)<br>ISSUE |
|---|---------------|--|---|--|--------------|
| NUMBER  | ENDING        | UNIT/AREA  | FINDINGS AND RECOMMENDATIONS  | CORRECTIVE ACTION TAKEN  | CODE         |
| Office of the Inspector General Six-Month Status Report # F-2122DOE-011 on Report # A-2021DOE-018 | 1/28/2022     | Department of Education (DOE)<br>Bureau of Exceptional Education and Student Services (BEES)<br>The Family Café (Cooperation, Advocacy, Friendship, and Empowerment) | <p>Finding 1. The Family Café did not submit, nor did BEESS require, a modified budget narrative for changes to the project budget for agreement #37F-90745-9Q001.</p> <p>Recommendation: We recommend that BEESS request and review The Family Café interim and final disbursement reports throughout the agreement periods and ensure modified narrative forms are required as necessary in accordance with agreement terms.</p> <p>We additionally recommend BEESS consider clarifying the agreement language and include a percentage variation, or a combination of percentage variation and dollar threshold per budget line, that would trigger the requirement for the modified budget form and justification as appropriate based on the funding source.</p> | <p>BEESS Management response January 28, 2022: The project submits quarterly return on investment forms detailing the project's transactions per billing cycle. The project also submits time and effort logs, PTS data entries that capture monthly completed deliverables and activities completed, and submits source documentation quarterly.</p> <p>The documentation is reviewed and approved by the BESE project liaison and fiscal program specialist before final approval is given to the Office of the Comptroller for payment. Additional language was added to the Request for Application (RFA) to include percentage variations and dollar threshold amounts per budget line, that would trigger the requirement for the modified budget form and justification as appropriate based on the funding source. Per the Reporting Requirements section of the 2021-22 RFA, a budget amendment is required for variances greater than 10% and for any existing approved line item that is less than \$75,000. A budget amendment is required for variances greater than 5% for any existing approved line item that is equal to or greater than \$75,000. The Family Café must submit a Project Amendment Request Form (DOE 150) and modified Budget Narrative Form (DOE 151) and provide written justification for changes to the project budget or line items per specified standards.</p> |              |

| (1)  | (2)                  | (3)   | (4)  | (5)   | (6)               |
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| REPORT<br><br>NUMBER   | PERIOD<br><br>ENDING | UNIT/AREA   | SUMMARY OF<br><br>FINDINGS AND RECOMMENDATIONS   | SUMMARY OF<br><br>CORRECTIVE ACTION TAKEN   | ISSUE<br><br>CODE |
| Office of the<br>Inspector General<br>Six-Month Status<br>Report #<br>F-2122DOE-011 on<br>Report #<br>A-20221DOE-018 | 1/28/2022            | Department of Education<br>(DOE)<br>Bureau of Exceptional<br>Education and Student Services<br>(BEES)<br>The Family Café (Cooperation,<br>Advocacy, Friendship, and<br>Empowerment) | <p>Finding 2. The Family Café submitted, and the department approved and paid for, vague invoices and invoices without adequate documentation.</p> <p>Recommendation: We recommend that BEES request and review invoices submitted by The Family Café during the agreement term to ensure invoices are appropriately detailed and align with the approved budget narrative. We recommend BEES review these invoices when conducting programmatic monitoring.</p> <p>We further recommend BEES add a conflict of interest statement in their grant language that requires disclosure of conflicts of interest and additional safeguards to prohibit employees from using their positions for a purpose that constitutes, or presents the appearance of, a personal or organizational conflict of interest or personal gain.</p> | <p>Additionally, the project shall obtain prior approval in writing to make any changes to the approved project application. Please note, the 1% language as proposed on July 28, 2021 response has been adjusted subsequent to further review.</p> <p>The Office of the Comptroller and the BESE program office revised and implemented the review and approval process for payments to include an additional step that requires the thorough review and approval by the designated BESE project liaison, the BESE program office, BESE senior leadership and the Office of the Comptroller prior to final approval of the requested payments.</p> <p>A conflict of interest statement has been added to the project's 2021-22 RFA, refer to the section titled Conflict of Interest<br/>Disclosure. The applicant must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by this award if he or she has a real or apparent conflict of interest.</p> |                   |

| (1)<br>REPORT  | (2)<br>PERIOD | (3)  | (4)<br>SUMMARY OF   | (5)<br>SUMMARY OF  | (6)<br>ISSUE |
|--|---------------|--|---|--|--------------|
| NUMBER   | ENDING        | UNIT/AREA  | FINDINGS AND RECOMMENDATIONS  | CORRECTIVE ACTION TAKEN  | CODE         |
| Office of the Inspector General Six-Month Status Report # F-2122DOE-011 on Report # A-20221DOE-018 | 1/28/2022     | Department of Education (DOE)<br>Bureau of Exceptional Education and Student Services (BEES)<br>The Family Café (Cooperation, Advocacy, Friendship, and Empowerment) | Finding 3. The Family Café did not achieve one deliverable in fiscal year 2018-2019 related to providing scholarships to conference attendees, and could improve the tracking of conference scholarship awards. | Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts.<br><br>However, the Applicant Per the Funding Method section and Fiscal Records Requirements and Documentation section of the 2021-22 RFA, payment is rendered upon submission of documented allowable disbursements, and the documentation of completed specified performance objectives. The BESE project liaison and project manager will verify that the project's expenditures are allowable and that performance objectives are progressing in a satisfactory manner, consistent with the project narrative and performance targets. Budgeted items must correlate with the narrative portion of the project application that describes the specific activities, tasks and deliverables to be implemented.<br><br>BEES Management response January 28, 2022: The project submitted a conference roster and an itemized hotel invoice after the 2021 Family Café Conference. The hotel invoice provided further documentation of the funds expended for 501 scholarship recipients. Effective May 2021, the BESE project liaison increased quarterly monitoring by implementing the submission of project produced documents such as registration forms, conference pamphlets, etc. |              |

| (1)   | (2)                  | (3)   | (4)  | (5)   | (6)               |
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| REPORT<br><br>NUMBER  | PERIOD<br><br>ENDING | UNIT/AREA   | SUMMARY OF<br><br>FINDINGS AND RECOMMENDATIONS | SUMMARY OF<br><br>CORRECTIVE ACTION TAKEN   | ISSUE<br><br>CODE |
| Office of the<br>Inspector General<br>Six-Month Status<br>Report #<br>F-2122DOE-011 on<br>Report #<br>A-2021DOE-018 | 1/28/2022            | Department of Education<br>(DOE)<br>Bureau of Exceptional<br>Education and Student Services<br>(BEES)<br>The Family Café (Cooperation,<br>Advocacy, Friendship, and<br>Empowerment) |  | Effective May 2021, the project manager and BESE<br>project liaison collaborate on requested source<br>documentation to ensure targets and deliverables are<br>met quarterly.<br>The program office intends to increase compliance by<br>introducing a tracking<br>document for the 2021-22 scholarship recipient cycle.<br>The tracking document<br>includes:<br>1. Scholarship Recipient<br>Last Name;<br>2. Scholarship Recipient<br>First Name;<br>3. Lottery Number;<br>4. County;<br>5. Scholarship Level;<br>6. Hotel Invoice; and,<br>7. Total Amount of<br>Scholarship Awarded<br><br>to link approved payment transactions to awarded<br>scholarship recipients. The inclusion of the lottery<br>number, hotel invoice number and total amount of<br>scholarship awarded on the tracking document<br>permits the BESE program office to analyze and<br>cross-reference the hotel list with the list of families<br>awarded scholarships/scholarship applications. The<br>cost per unit in the Schedule of Deliverables is now<br>proportionate in the event a payment reduction is<br>required for conference scholarships. The overall<br>deliverable can be reduced accordingly |                   |

| (1)   | (2)                  | (3)   | (4)  | (5)  | (6)               |
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| REPORT<br><br>NUMBER  | PERIOD<br><br>ENDING | UNIT/AREA   | SUMMARY OF<br><br>FINDINGS AND RECOMMENDATIONS | SUMMARY OF<br><br>CORRECTIVE ACTION TAKEN  | ISSUE<br><br>CODE |
| Office of the<br>Inspector General<br>Six-Month Status<br>Report #<br>F-2122DOE-011 on<br>Report #<br>A-2021DOE-018 | 1/28/2022            | Department of Education<br>(DOE)<br>Bureau of Exceptional<br>Education and Student Services<br>(BEES)<br>The Family Café (Cooperation,<br>Advocacy, Friendship, and<br>Empowerment) |  | (i.e., unit cost equals one night of hotel<br>accommodation) since, the deliverable now states the<br>total number of nights of hotel accommodation, and<br>provides a breakdown of the scholarship levels<br>(attendees residing more than 250 miles from the<br>event site and pre-conference event participants will<br>receive three nights; attendees will have the option to<br>request one night only; and, recipients residing less<br>than 250 miles and more than 50 miles from the event<br>site will receive two nights).<br><br>Family Cafe Management response: Complete. The<br>Family Café has agreed to contracted budget<br>deviation amounts on the project agreement for fiscal<br>year 2021-2022 and will submit modified Budget<br>Narrative Forms as necessary.<br>Date completed: October 18, 2021<br>Lori Fahey, President & CEO<br>The Family Café, Inc. |                   |

Office of Policy and Budget - July 2022

# Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton

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

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

## 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>                                  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b> | 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

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton

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

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

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>   | Y |  |  |  |  |

**TIP** Generally look for and be able to fully explain significant differences between A02 and A03.

**TIP** Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.

**TIP** Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
| 4.2 Is the program component code and title used correct?  | Y |  |  |  |  |

**TIP** Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|



## Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton

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

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

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton

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

|      |   |    |  |  |  |  |
|------|---|----|--|--|--|--|
| 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?   | NA |  |  |  |  |
| 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?   | NA |  |  |  |  |
| 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.)  | NA |  |  |  |  |
| 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?   | NA |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?   | NA |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 7.14 | Do the amounts reflect appropriate FSI assignments?   | Y  |  |  |  |  |

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

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

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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.   | NA |  |  |  |  |
| 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  |  |  |  |  |
| 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)?  | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 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? <b>(GENR, LBR1)</b>   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | Y  |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b> | 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. <b>(NAAR, BSNR)</b>   | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

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

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| <p>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.</p> | NA |  |  |  |  |
| <p><b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.</p>   |    |  |  |  |  |
| <p><b>TIP</b> 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.</p>   |    |  |  |  |  |
| <p><b>TIP</b> 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.</p>  |    |  |  |  |  |
| <p><b>TIP</b> 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).</p>  |    |  |  |  |  |
| <p><b>TIP</b> 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.</p>  |    |  |  |  |  |

**8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)  
(Required to be posted to the Florida Fiscal Portal)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton

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

|      |  |   |  |  |  |                                       |
|------|--|---|--|--|--|---------------------------------------|
| 8.4  | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   |   |  |  |  | Y, for 2176 and 2380 only             |
| 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?  | Y |  |  |  |                                       |
| 8.8  | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y |  |  |  |                                       |
| 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, for 2176 only                      |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?   |   |  |  |  | Y, for 2178, 2543, 2555 and 2612 only |
| 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 |  |  |  |                                       |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|      |  |                  |  |  |  |  |
|------|--|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27 | Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

### 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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.  |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

#### AUDIT:

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | NA |  |  |  |  |
|---|----|--|--|--|--|

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | Y  |  |  |  |  |

# Fiscal Year 2023-24 LBR Technical Review Checklist

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

## 11. SCHEDULE IV (EADR, SC4)

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

## 12. SCHEDULE VIIIA (EADR, SC8A)

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

## 13. SCHEDULE VIIIB-1 (EADR, S8B1)

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

## 15. SCHEDULE VIIIC (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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.) |                      |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|   |                             |  |  |  |  |
|---|-----------------------------|--|--|--|--|
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?   | Y                           |  |  |  |  |
| <b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>   |                             |  |  |  |  |
| 16.3 Does the FY 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )  | Y                           |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | No, reconciliation provided |  |  |  |  |
| <b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.  |                             |  |  |  |  |
| <b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>  |                             |  |  |  |  |
| 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                           |  |  |  |  |
| 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: <b>IT@LASPBS.STATE.FL.US?</b>   | Y                           |  |  |  |  |

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

|   |       |  |  |  |  |
|---|-------|--|--|--|--|
| 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, NA |  |  |  |  |
|---|-------|--|--|--|--|

### 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)

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

### 19. FLORIDA FISCAL PORTAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|



FLORIDA DEPARTMENT OF  
**EDUCATION**  
fdoe.org

2023-24

Federal Grants K-12 Program  
Exhibits or Schedules



FLORIDA DEPARTMENT OF  
**EDUCATION**  
fdoe.org

2023-23

Federal Grants K-12 Program  
Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |   |
|-----------------------------|---|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>             |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                           |
| <b>Budget Entity:</b>       | <b>ADMINISTRATIVE TRUST FUND</b>              |
| <b>LAS/PBS Fund Number:</b> | <b>48250500 - FEDERAL GRANTS K/12 PROGRAM</b> |
|                             | <b>2021</b>                                   |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|-----|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 0.00                       | (A) |                      | 0.00                |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                |
| ADD: Investments                                    |                            | (C) |                      | 0.00                |
| ADD: Outstanding Accounts Receivable                |                            | (D) |                      | 0.00                |
| ADD: ANTICIPATED TR FROM 48800000/2021              | 21,494.13                  | (E) |                      | 21,494.13           |
| <b>Total Cash plus Accounts Receivable</b>          | <b>21,494.13</b>           | (F) | <b>0.00</b>          | <b>21,494.13</b>    |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                |
| LESS: Approved "A" Certified Forwards               |                            | (H) |                      | 0.00                |
| Approved "B" Certified Forwards                     | 21,494.13                  | (H) |                      | 21,494.13           |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         |                            | (I) |                      | 0.00                |
| LESS:   |                            | (J) |                      | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00</b>                | (K) | <b>0.00</b>          | <b>0.00</b> **      |

**Notes:**

\*SWFS = Statewide Financial Statement

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

*Office of Policy and Budget - July 2022*

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |                                   |                     |
|-----------------------------|-----------------------------------|---------------------|
|                             | <b>Budget Period: 2023 - 2024</b> |                     |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>               |                     |
| <b>Trust Fund Title:</b>    | <b>ADMINISTRATIVE TRUST FUND</b>  |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2021</b>                       | <b>BE: 48250500</b> |

**BEGINNING TRIAL BALANCE:**

|  |                      |
|--|----------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>                                    |                      |
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | [ ] (A)              |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>  | [ ] (B)              |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>                         |                      |
| SWFS Adjustment # and Description  | [ ] (C)              |
| SWFS Adjustment # and Description  | [ ] (C)              |
| <b>Add/Subtract Other Adjustment(s):</b>   |                      |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS  | [ (21,494.13) ] (D)  |
| Approved FCO Certified Forward per LAS/PBS   | [ ] (D)              |
| A/P not C/F-Operating Categories   | [ ] (D)              |
| ANTICIPATED TR FROM 48800000/2021  | [ 21,494.13 ] (D)    |
|  | [ ] (D)              |
|  | [ ] (D)              |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>   | <b>[ 0.00 ] (E)</b>  |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>   | <b>[ 0.00 ] (F)</b>  |
| <b>DIFFERENCE:</b>   | <b>[ 0.00 ] (G)*</b> |

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |   |
|-----------------------------|---|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>             |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                           |
| <b>Budget Entity:</b>       | <b>FEDERAL GRANTS TRUST FUND</b>              |
| <b>LAS/PBS Fund Number:</b> | <b>48250500 - FEDERAL GRANTS K/12 PROGRAM</b> |
|                             | <b>2261</b>                                   |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance   |
|---|----------------------------|-----|----------------------|-----------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | (1,997.79)                 | (A) |                      | (1,997.79)            |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                  |
| ADD: Investments                                    |                            | (C) |                      | 0.00                  |
| ADD: Outstanding Accounts Receivable                | 3,696,449.46               | (D) |                      | 3,696,449.46          |
| ADD: ANTICIPATED REVENUES                           | 394,328,830.06             | (E) |                      | 394,328,830.06        |
| <b>Total Cash plus Accounts Receivable</b>          | <b>398,023,281.73</b>      | (F) | <b>0.00</b>          | <b>398,023,281.73</b> |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                  |
| LESS: Approved "A" Certified Forwards               | 3,441,494.79               | (H) |                      | 3,441,494.79          |
| Approved "B" Certified Forwards                     | 394,581,786.94             | (H) |                      | 394,581,786.94        |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                  |
| LESS: Other Accounts Payable (Nonoperating)         |                            | (I) |                      | 0.00                  |
| LESS: ANTICIPATED TRSF TO 48800000/2261             |                            | (J) |                      | 0.00                  |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00</b>                | (K) | <b>0.00</b>          | <b>0.00</b> **        |

**Notes:**

\*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2022

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |                                   |                     |
|-----------------------------|-----------------------------------|---------------------|
|                             | <b>Budget Period: 2023 - 2024</b> |                     |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>               |                     |
| <b>Trust Fund Title:</b>    | <b>FEDERAL GRANTS TRUST FUND</b>  |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2261</b>                       | <b>BE: 48250500</b> |

**BEGINNING TRIAL BALANCE:**

|  |                      |
|--|----------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>            |                      |
| Total all GLC's 5XXXX for governmental funds;                          | 0.00 (A)             |
| GLC 539XX for proprietary and fiduciary funds                          |                      |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>                  | (B)                  |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b> |                      |
| SWFS Adjustment # and Description                                      | (C)                  |
| SWFS Adjustment # and Description                                      | (C)                  |
| <b>Add/Subtract Other Adjustment(s):</b>                               |                      |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS                  | (394,581,786.94) (D) |
| Approved FCO Certified Forward per LAS/PBS                             | (D)                  |
| A/P not C/F-Operating Categories                                       | 252,956.88 (D)       |
| ANTICIPATED TRSF TO 48800000/2261                                      | (D)                  |
| ANTICIPATED REVENUES   | 394,328,830.06 (D)   |
|  | (D)                  |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>                               | 0.00 (E)             |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>                   | 0.00 (F)             |
| <b>DIFFERENCE:</b>   | 0.00 (G)*            |

**\*SHOULD EQUAL ZERO.**



## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |   |
|-----------------------------|---|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>             |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                           |
| <b>Budget Entity:</b>       | <b>GRANTS &amp; DONATIONS TRUST FUND</b>      |
| <b>LAS/PBS Fund Number:</b> | <b>48250500 - FEDERAL GRANTS K/12 PROGRAM</b> |
|                             | <b>2339</b>                                   |

|   | Balance as of<br>6/30/2022 | SWFS* | Adjustments | Adjusted<br>Balance  |
|---|----------------------------|-------|-------------|----------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 182.09 (A)                 |       |             | 182.09               |
| ADD: Other Cash (See Instructions)                  |                            |       |             | 0.00                 |
| ADD: Investments                                    | 383,620.84 (C)             |       |             | 383,620.84           |
| ADD: Outstanding Accounts Receivable                | 1,871.04 (D)               |       |             | 1,871.04             |
| ADD: _____  |                            |       |             | 0.00                 |
| <b>Total Cash plus Accounts Receivable</b>          | <b>385,673.97 (F)</b>      |       | <b>0.00</b> | <b>385,673.97</b>    |
| LESS: Allowances for Uncollectibles                 |                            |       |             | 0.00                 |
| LESS: Approved "A" Certified Forwards               |                            |       |             | 0.00                 |
| Approved "B" Certified Forwards                     | 122,200.00 (H)             |       |             | 122,200.00           |
| Approved "FCO" Certified Forwards                   |                            |       |             | 0.00                 |
| LESS: Other Accounts Payable (Nonoperating)         | 35.81 (I)                  |       |             | 35.81                |
| LESS: _____   |                            |       |             | 0.00                 |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>263,438.16 (K)</b>      |       | <b>0.00</b> | <b>263,438.16</b> ** |

**Notes:**

\*SWFS = Statewide Financial Statement

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

*Office of Policy and Budget - July 2022*

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |  |
|-----------------------------|--|
|                             | <b>Budget Period: 2023 - 2024</b>                                  |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>  |
| <b>Trust Fund Title:</b>    | <b>GRANTS &amp; DONATIONS TRUST FUND</b>                           |
| <b>LAS/PBS Fund Number:</b> | <b>2339</b> <span style="float: right;"><b>BE: 48250500</b></span> |

**BEGINNING TRIAL BALANCE:**

|   |   |
|---|---|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b> |   |
| Total all GLC's 5XXXX for governmental funds;               | <input type="text" value="385,638.16"/> (A) |
| GLC 539XX for proprietary and fiduciary funds               |   |

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

**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

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

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

**Add/Subtract Other Adjustment(s):**

|   |   |
|---|---|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(122,200.00)"/> (D) |
|---|---|

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

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

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

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

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

|  |   |
|--|---|
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b> | <input type="text" value="263,438.16"/> (E) |
|--|---|

|  |   |
|--|---|
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b> | <input type="text" value="263,438.16"/> (F) |
|--|---|

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

**\*SHOULD EQUAL ZERO.**

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2021 - 2022**

**Department: Office of the Inspector General**

**Chief Internal Auditor: Bradley Rich**

**Budget Entity: Federal Grants K-12 Programs**

**Phone Number: (850) 245-9221**

| (1)<br>REPORT NUMBER   | (2)<br>PERIOD ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE CODE |
|--|----------------------|---|---|---|-------------------|
| <p><b>1</b> Florida Auditor General Report U.S. Department of Education Report No. 2022-189<br/>Prior Audit report No. 2021-182</p> <p>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</p> | <p>3/30/2021</p>     | <p>Florida Department of Education (FDOE)<br/>Title 1 Grants to Local Educational Entities</p>  | <p>Prior Finding 2020-29 - FDOE records did not demonstrate that Comprehensive Management Information System (CMIS) software changes were appropriately tested or approved.</p> <p>Recommendation: We recommend that the FDOE enhance CMIS change management controls to ensure that all changes are appropriately tested and approved.</p>   | <p>Florida Auditor General Status of Findings: Partially Corrected</p> <p>The Department has updated the production control process to demonstrate that software changes to the Comprehensive Management Information System (CMIS) were appropriately tested and approved. Production control forms have also been modified and instituted to capture documentation of approvals for code validation, testing, and deployment providing proof of separation of duties.</p> <p>Completed: June 30, 2021<br/>Contact: Andre Smith</p>   |                   |
| <p><b>2</b> Florida Auditor General Report U.S. Department of Education Report No. 2022-189</p> <p>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</p>                                     |                      | <p>Florida Department of Education (FDOE)<br/>Basic Grants to States English Language Acquisition State Grants, Elementary and Secondary School Emergency Relief Fund, and Coronavirus Response and Relief Supplemental Appropriations Act, 2021 Emergency Assistance for Non-Public Schools (CRRSA EANS)</p> | <p>Finding No. 2021-045: FDOE change management controls need improvement to ensure that only authorized, tested, and approved Florida Grants System (FLAGS) program code changes are implemented into the production environment. Criteria-into the production environment Effective change management controls are intended to ensure that all program code changes are properly authorized, tested, and approved for implementation.</p> <p>Recommendation: We recommend that FDOE management enhance change management controls to ensure that all changes to FLAGS are recorded in the ticketing system and do not by bypass the FDOE change management process.</p> | <p>FDOE management response: FDOE utilizes a formal Information System Development Methodology (ISDM) framework to guide the departmental software development lifecycle. FDOE's ISDM outlines the process for planning, defining, designing, building, testing, deploying, and monitoring code changes. FDOE will implement a reconciliation process and realign all IT staff procedures within Division of Technology and Innovation to ensure that only approved changes are implemented in production environments.</p> <p>Anticipated Completion: 90 days from date of this report.<br/>Contact: Andre Smith</p> |                   |

| (1)<br>REPORT NUMBER | (2)<br>PERIOD ENDING   | (3)<br>UNIT/AREA | (4)<br>SUMMARY OF FINDINGS AND RECOMMENDATIONS  | (5)<br>SUMMARY OF CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE CODE   |  |
|----------------------|--|------------------|---|---|---|--|
| 3                    | Florida Auditor General Report U.S. Department of Education Report No. 2022-189<br><br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021        | Florida Department of Education (FDOE)<br>Basic Grants to States English Language Acquisition State Grants, Elementary and Secondary School Emergency Relief Fund, and Coronavirus Response and Relief Supplemental Appropriations Act, 2021 Emergency Assistance for Non-Public Schools (CRRSA EANS) | Finding No. 2021-046: The FDOE could not provide records from the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) demonstrating that subawards were timely reported with the information required by the Federal Funding Accountability and Transparency Act (FFATA).<br>Criteria 2 CFR 170, Appendix A – Reporting Subawards and Executive Compensation – Unless otherwise exempt, you must report each action that equals or exceeds \$30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency.<br>Recommendation: We recommend that the FDOE enhance FLAGS data reporting controls to ensure and demonstrate that all required data is accurately and timely reported in the FSRS. | FDOE Management response: FDOE does not concur with this finding. Throughout FY2020-21, FDOE uploaded monthly reports to the FSRS system within the federally required timeframes. In April 2021, FDOE became aware that FSRS was designed for monthly activity reporting and not cumulative monthly reporting that FDOE had been providing. From April through November 2021, FDOE worked with USED on a solution to replace the monthly cumulative reports with monthly activity reports. On November 5, 2021, USED deleted the following sampling of cumulative reports in FSRS:<br>S425D210052 – 4 FFATA reports<br>S425D200052 – 6 FFATA reports<br>S425C200025 – 7 FFATA reports<br>During this same time FDOE was enhancing its FLAGS system to generate monthly activity reports instead of monthly cumulative reports.<br><br>This enhancement was completed in January 2022. In February 2022, FDOE started the process of replacing the deleted cumulative reports with the monthly activity reports. During the Auditor General's (AG) fieldwork in December 2021, FDOE and the AG both discovered that when USED deletes files from FSRS, the history (of when the original files were uploaded) is not maintained in FSRS.<br><br>FDOE provided the AG evidence of its communications with USED from April 2021 through January 2022 demonstrating its efforts to replace cumulative reports with monthly activity reports in FSRS. |  |

| (1)<br>REPORT NUMBER  | (2)<br>PERIOD ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5)<br>SUMMARY OF CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE CODE |
|---|----------------------|--|--|--|-------------------|
| <p>Florida Auditor General Report U.S. Department of Education Report No. 2022-189</p> <p>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</p> | <p>3/30/2021</p>     | <p>Florida Department of Education (FDOE)</p> <p>Basic Grants to States English Language Acquisition State Grants, Elementary and Secondary School Emergency Relief Fund, and Coronavirus Response and Relief Supplemental Appropriations Act, 2021 Emergency Assistance for Non-Public Schools (CRRSA EANS)</p> | <p>Finding No. 2021-046 continued</p>          | <p>FDOE provided the AG access to the reports that were uploaded to FSRS and subsequently deleted to correct errors. FDOE does not agree that this finding warrants a Disclaimer of Opinion which suggests material and pervasive misstatements in its financial statements because the AG has elected not to review the monthly reports that FDOE stated were uploaded to FSRS in FY 2020-21, but subsequently deleted in November 2021 and reloaded in February 2022.</p> <p>Contact: Matt Kirkland</p> <p>FDOE informed the AG that some of the reports uploaded in FY2021-22 will also need to be deleted and reloaded with monthly activity data. Since FSRS does not maintain a history of original upload dates, FDOE inquired with the AG if this would warrant a repeat finding in FY 2021-22.</p> <p>AG responded that they would not since FDOE had an agreement with USED to delete cumulative reports and reload monthly activity reports. Since the AG agrees that continued deletion and reloading of reports in FSRS will not warrant further findings, FDOE believes that these same actions regarding FY2020-21 reports do not warrant this finding.</p> <p>Follow-Up to Management's response: FDOE management indicated in their written response that the FDOE did not concur with the finding and indicated that the Auditor General elected not to review the monthly reports that were deleted and then reloaded to the FSRS in February 2022.</p> |                   |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE<br>CODE |
|---|-------------------------|---|---|--|----------------------|
| <p>Florida Auditor General Report<br/>U.S. Department of Education<br/>Report No. 2022-189</p> <p>State of Florida - Compliance<br/>and Internal Controls Over<br/>Financial Reporting and Federal<br/>Awards</p> | <p>3/30/2021</p>        | <p>Florida Department of Education<br/>(FDOE)<br/>Basic Grants to States English<br/>Language Acquisition State<br/>Grants, Elementary and<br/>Secondary School Emergency<br/>Relief Fund, and Coronavirus<br/>Response and Relief<br/>Supplemental Appropriations<br/>Act, 2021 Emergency Assistance<br/>for Non-Public Schools (CRRSA<br/>EANS)</p> | <p>Finding No. 2021-046 continued</p>             | <p>Additionally, the FDOE indicated that they did not agree that the finding warrants a Disclaimer of Opinion which suggests material and pervasive misstatements in the financial statements and that the Auditor General agreed that continued deletion and reloading of reports in the FSRS will not warrant further findings.</p> <p>Notwithstanding, the reports that the FDOE originally provided access to were not sufficient and appropriate audit evidence upon which to render an opinion on compliance with the Reporting compliance requirement because the reports did not originate from the FSRS. Further, the Auditor General was not made aware of the possible availability of reloaded reports in the FSRS until receipt of the FDOE's response to the finding in March 2022, beyond the time frame necessary to permit the performance of sufficient and appropriate audit procedures.</p> <p>Regarding the finding classification, under the Uniform Guidance, a disclaimer of opinion relates to whether an auditee complied with laws, regulations, and the terms and conditions of Federal awards which could have a direct and material effect on the Federal program and does not relate to the financial statements. Lastly, the Auditor General did not agree that the deletion and reloading of reports would not warrant a future finding. Consequently, the finding and related recommendation stand as presented.</p> |                      |

| (1)<br>REPORT NUMBER | (2)<br>PERIOD ENDING   | (3)<br>UNIT/AREA | (4)<br>SUMMARY OF FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE CODE  |  |
|----------------------|--|------------------|--|---|--|--|
| 4                    | Florida Auditor General Report U.S. Department of Education Report No. 2022-189<br><br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021        | Florida Department of Education (FDOE)<br>English Language Acquisition State Grants  | Finding No. 2021-053: Certain security controls related to user authentication for the Comprehensive Management Information System (CMIS) need improvement to ensure the confidentiality, integrity, and availability of CMIS data and related information technology (IT) resources.<br>Recommendation: We recommend that FDOE management improve certain security controls related to CMIS user authentication to ensure the confidentiality, integrity, and availability of CMIS data and related IT resources.  | FDOE Management response: During the audit period, FDOE contends that the security controls for CMIS were the maximum controls allowable based on the legacy environment in which the system was hosted. However, this system was migrated to a cloud-based environment with enhanced security control options. FDOE is currently working with our vendor to implement the enhanced controls in accordance with Florida Administrative Code 60-GG-2.<br>Contact: Andre Smith |  |
| 5                    | Florida Auditor General Report U.S. Department of Education Report No. 2022-189<br><br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/221         | Florida Department of Education (FDOE)<br>English Language Acquisition State Grants<br><br>Basic Grants to States English Language Acquisition State Grants, Elementary and Secondary School Emergency Relief Fund, and Coronavirus Response and Relief Supplemental Appropriations Act, 2021 Emergency Assistance for Non-Public Schools (CRRSA EANS) | Finding No. 2021-055: The FDOE did not conduct periodic Comprehensive Management Information System (CMIS) user access privilege reviews or timely deactivate the CMIS user accounts for employees who separated from FDOE employment.<br>Recommendation: We recommend that FDOE management ensure that periodic reviews of CMIS user access privileges are adequately performed and documented in FDOE records. We also recommend that FDOE management enhance controls to ensure that CMIS user access privileges are deactivated immediately upon a user's separation from FDOE. | FDOE Management response: FDOE has a standardized process for managing user access, including the periodic review of role appropriateness. FDOE will evaluate the current process and make modifications to ensure consistent implementation across all divisions and timely access removal.<br>Contact: Andre Smith   |  |
| 6                    |  |                  | Florida Department of Education (FDOE)<br>Basic Grants to States English Language Acquisition State Grants, Elementary and Secondary School Emergency Relief Fund, and Coronavirus Response and Relief Supplemental Appropriations Act, 2021 Emergency Assistance for Non-Public Schools (CRRSA EANS)  | Finding No. 2021-056: FDOE monitoring activities did not validate the allowability of actual subrecipient ESF program expenditures nor did the FDOE require all subrecipients to provide a Budget Narrative Form documenting the financial plan and uses of funds for carrying out project objectives, services, and activities. In addition, the FDOE did not evaluate subrecipient risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward or perform monitoring activities based on the assessed risk of noncompliance.           | FDOE Management response: The Department does not concur with this finding that it did not engage in subrecipient monitoring or risk analysis for Education Stabilization Fund (ESF) programs in 2020-21. Subrecipient monitoring begins with application and budget review. For all ESF programs except the ESSER II Advance Lump Sum program, FDOE required LEAs to submit an application and detailed budget outlining anticipated expenditures.                          |  |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE<br>CODE |
|---|-------------------------|---|---|--|----------------------|
|   |                         |   | <p>Recommendation: We recommend that FDOE management evaluate each subrecipient’s risk of noncompliance and, based on the assessment of risk, conduct monitoring activities that: validate the allowability of ESF program expenditures; verify the accuracy of annual report information submitted to the USED; and confirm each subrecipient’s compliance with Federal statutes, regulations, and the terms and conditions of the subaward.</p> | <p>FDOE reviews the detailed budget to ensure all anticipated expenditures are allowable prior to making the award. In addition, all subgrantees undergo a risk analysis prior to receiving an award. At the end of the program period, LEAs submit a Final Disbursement Report that aids in verifying that actual expenditures match the approved budget. All LEAs in Florida are subject to an annual independent audit and a federal single audit. All these activities constitute monitoring.</p>  |                      |
| <p>Florida Auditor General Report<br/>U.S. Department of Education<br/>Report No. 2022-189</p> <p>State of Florida - Compliance<br/>and Internal Controls Over<br/>Financial Reporting and Federal<br/>Awards</p> | <p>3/30/2021</p>        | <p>Florida Department of Education<br/>(FDOE)<br/>Basic Grants to States English<br/>Language Acquisition State<br/>Grants, Elementary and<br/>Secondary School Emergency<br/>Relief Fund, and Coronavirus<br/>Response and Relief<br/>Supplemental Appropriations<br/>Act, 2021 Emergency Assistance<br/>for Non-Public Schools (CRRSA<br/>EANS)</p> | <p>Finding No. 2021-056 continued</p>   | <p>In addition to these activities, FDOE does plan to contract for additional subrecipient monitoring to include sampling expenditures, procurement activities, inventories and other programmatic requirements. This monitoring will occur within the program period. All the ESF programs are multi-year programs, still within the program period. The only exception made to require a detailed budget in advance of the award was for the ESSER II advance lump sum.</p> <p>To ensure that there would be no gap in receipt of stabilization funds and in light of the emergency nature of the program, FDOE provided an advance allocation of ESSER II funds to those school districts having expended a large proportion of their ESSER I funds, without having to submit a detailed budget for approval in advance of the award; however, these districts were required to submit a detailed list of actual or planned expenditures for the advance prior to receiving the balance of their ESSER II lump sum award.</p> <p>Therefore, the expenditures are indeed subject to review by FDOE. Prior to proceeding in this manner, FDOE obtained a legal opinion that this procedure was legally sufficient and has provided the opinion to the auditors. FDOE disagrees that because the “FDOE did not perform monitoring activities</p> |                      |



| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE<br>CODE |
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| <p>Florida Auditor General Report<br/>U.S. Department of Education<br/>Report No. 2022-189</p> <p>State of Florida - Compliance<br/>and Internal Controls Over<br/>Financial Reporting and<br/>Federal Awards</p> | <p>3/30/2021</p>        | <p>Florida Department of Education<br/>(FDOE)<br/>Basic Grants to States English<br/>Language Acquisition State<br/>Grants, Elementary and<br/>Secondary School Emergency<br/>Relief Fund, and Coronavirus<br/>Response and Relief<br/>Supplemental Appropriations<br/>Act, 2021 Emergency Assistance<br/>for Non-Public Schools (CRRSA<br/>EANS)</p> | <p>Finding 2021-056 continued</p>                 | <p>subsequent to the approval of the subrecipients' Budget Narrative forms to validate the allowability of the subrecipients' actual expenditures," the auditors "could not determine whether the expenditures, including expenditures for equipment and real property" were allowable and in accordance with the grant terms and conditions." All expenditures are required to be documented by all subrecipients and are subject to sampling and validation by auditors using ordinary sampling and verification.</p> <p>Indeed, it is recognized that fiscal monitoring and auditing should not be duplicative; FDOE is not required to monitor those requirements covered by the single audit. The very fact that every LEA in Florida is covered by an independent audit that includes the federal single audit is an element of monitoring that ensures compliance.</p> <p>Follow-Up to Management's Response: FDOE management indicated in their written response that the FDOE did not concur with the finding and cited various activities that constituted monitoring, among others, that the LEAs are covered by an independent audit that includes the Federal single audit. However, the Uniform Guidance requires additional monitoring efforts conducted by the pass-through entity (i.e., the FDOE),</p> |                      |

| (1)<br>REPORT NUMBER   | (2)<br>PERIOD ENDING | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF CORRECTIVE ACTION TAKEN   | (6)<br>ISSUE CODE |
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| <p>7</p> <p>Florida Department of Education (FDOE)<br/>U.S. Department of Education Report No. 2022-189</p> <p>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</p> | <p>3/30/2021</p>     | <p>Florida Department of Education (FDOE)<br/>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund,<br/>Elementary and Secondary School Emergency Relief Fund</p> <p>Florida Department of Education (FDOE)<br/>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund</p> | <p>Finding No. 2021-056 continued</p> <p>Finding No. 2021-057: The FDOE did not always provide required award information to all subrecipients or verify the suspension and debarment status of subrecipients.<br/>Recommendation: We recommend that the FDOE ensure that all required award information is provided to all subrecipients and that the FDOE verifies that all subrecipients are not suspended or debarred.</p> | <p>including an evaluation of subrecipient risk and conduct of subrecipient monitoring to ensure that the subaward is used for authorized purposes. As indicated in the finding, the FDOE did not evaluate the LEAs’ risk of not compliance to determine the appropriate subrecipient monitoring and, as noted in the FDOE’s response, the FDOE plans to contract for subrecipient monitoring, including a sampling of expenditures. Consequently, the finding and related recommendation stand as presented.<br/>Completed September 2022<br/>Contact: Suzanne Pridgeon</p> <p>FDOE Management response: The Florida Department of Education (FDOE or Department) concurs with the findings and recommendations during the audit period and has already addressed the auditor’s recommendations. Since the Memorandum of Understanding (MOU) served as the subaward agreement, the elements required under 2 CFR § 200.332 should have been included in the agreement and were not. Communications to the recipients did identify the Governor’s Emergency Education Relief (GEER) program as the source of funding, and based on the circumstances, it was clear that the relationship was a subgrant relationship. None of the subrecipients were, in fact, suspended or debarred.</p> |                   |
| <p>Florida Department of Education (FDOE)<br/>U.S. Department of Education Report No. 2022-189</p> <p>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</p>          | <p>3/30/2021</p>     | <p>Florida Department of Education (FDOE)<br/>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund</p>  | <p>Finding No. 2021-057 continued</p>  | <p>As thoroughly vetted public schools that are subject to audit and financial regulation, the subrecipients in question were low risk, especially since the payments were on a reimbursement basis. In the future, if MOUs are used as a vehicle for a subgrant, FDOE will include those elements required by 2 CFR § 200.332 in the MOU and will verify that the subrecipients are not suspended or debarred. Under the GEER program, 138 subawards to charter schools were issued. GEER is intended to provide immediate relief to educational entities to ensure continued operation of schools in the wake of the COVID-19 pandemic.</p>   |                   |

| (1)<br>REPORT<br>NUMBER   | (2)<br>PERIOD<br>ENDING | (3)<br>UNIT/AREA  | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN  | (6)<br>ISSUE<br>CODE |
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|   |                         |   |   | <p>The Charter School Growth Funding program provided relief to charter schools that provided instructional services for a significant number of students above the number of full-time equivalent (FTE) students for which they were funded through the Florida Education Finance Program and for many schools above their projected enrollment. A MOU was chosen as the vehicle for this program because it was the most expeditious means of providing this relief. Federal grant funds for charter schools usually flow from FDOE through the sponsoring school district, so there were no existing pathways and infrastructure for direct subgrants to charter schools. Building the program supports, contacts, procedures, and expertise for a traditional subgrant award process was too slow</p> |                      |
| <p>Florida Department of Education (FDOE)<br/>U.S. Department of Education<br/>Report No. 2022-189</p> <p>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</p> | <p>3/30/2021</p>        | <p>Florida Department of Education (FDOE)<br/>Basic Grants to States English Language Acquisition State Grants, Elementary and Secondary School Emergency Relief Fund, and Coronavirus Response and Relief Supplemental Appropriations Act, 2021 Emergency Assistance for Non-Public Schools (CRRSA EANS)</p> | <p>Finding No. 2021-057 continued</p>             | <p>and unnecessarily time-consuming, given the nature of the program. Under the MOU process, FDOE required the charter school to submit documentation of allowable expenditures prior to releasing a reimbursement under the MOU. By making funds available on a reimbursement basis, FDOE ensured that all expenditures were allowable prior to the release of any funds.<br/>Completed: December 2021<br/>Contact: Suzanne Pridgeon</p>   |                      |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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|---|
| Department/Budget Entity (Service): Education / Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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|        |  |
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| Action | Program or Service (Budget Entity Codes)<br>48250500 |
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### 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b>   | Y |  |  |  |  |
| <b>TIP</b> 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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| Action | Program or Service (Budget Entity Codes)<br>48250500 |
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### 3. EXHIBIT B (EXBR, EXB)

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

#### AUDITS:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity and program component at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

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|--|---|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | 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. |  |  |  |  |  |
|--|--|--|--|--|--|

### 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 |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 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. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

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|---|
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| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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| Action | Program or Service (Budget Entity Codes)<br>48250500 |
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### AUDITS:

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|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>   | Y |  |  |  |  |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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. |   |  |  |  |  |
| <b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>   |   |  |  |  |  |
| 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.  |   |  |  |  |  |
| <b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>  |   |  |  |  |  |
| 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 |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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|        |  |
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| Action | Program or Service (Budget Entity Codes) |
|        | 48250500                                 |

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| 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?   | NA |  |  |  |  |
| 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?   | NA |  |  |  |  |
| 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.)  | NA |  |  |  |  |
| 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.  | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 7.8  | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?   | NA |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?   | NA |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 7.14 | Do the amounts reflect appropriate FSI assignments?   | Y  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
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| Action | Program or Service (Budget Entity Codes) |
|        | 48250500                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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.   | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |
| 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)?  | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Y  |  |  |  |  |
| <b>AUDIT:</b>  |    |  |  |  |  |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? ( <b>GENR, LBR1</b> )   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? ( <b>GENR, LBR2</b> )   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? ( <b>GENR, LBR3</b> )   | NA |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? ( <b>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)</b> )                                 | NA |  |  |  |  |
| 7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. ( <b>NAAR, BSNR</b> )   | Y  |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes) |
|        | 48250500                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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. | NA |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |    |  |  |  |  |
| <b>TIP</b> 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.   |    |  |  |  |  |
| <b>TIP</b> 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.  |    |  |  |  |  |
| <b>TIP</b> 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).  |    |  |  |  |  |
| <b>TIP</b> 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)**

|     |   | DEPT LEVEL RESPONSES |  |  |  |  |
|-----|---|----------------------|--|--|--|--|
| 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                    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48250500                                 |

|  |                                       |  |  |  |
|--|---------------------------------------|--|--|--|
| 8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only             |  |  |  |
| 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?  | Y                                     |  |  |  |
| 8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                                     |  |  |  |
| 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, for 2176 only                      |  |  |  |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y, for 2178, 2543, 2555 and 2612 only |  |  |  |
| 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                                     |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes) |
|        | 48250500                                 |

|   |                  |  |  |  |  |
|---|------------------|--|--|--|--|
| 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, for 2176 only |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | Y                |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | Y                |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y                |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?  | Y                |  |  |  |  |
| 8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?   | Y                |  |  |  |  |
| 8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?   | Y                |  |  |  |  |
| 8.27 Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?  | Y, FSDB only     |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?  | Y                |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?  | Y                |  |  |  |  |
| <b>AUDITS:</b>  |                  |  |  |  |  |
| 8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).   | Y                |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes) |
|        | 48250500                                 |

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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 |  |  |  |  |
| <b>TIP</b> 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!  |   |  |  |  |  |
| <b>TIP</b> 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.   |   |  |  |  |  |
| <b>TIP</b> Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.   |   |  |  |  |  |
| <b>TIP</b> Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.   |   |  |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| AUDIT:  |    |  |  |  |  |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | NA |  |  |  |  |

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | NA |  |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 11.1 Are the correct Information Technology (IT) issue codes used?   | NA |  |  |  |  |
| <b>TIP</b> 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. |    |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48250500 |
|--------|--|

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>  |  |  |  |  |  |
| 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.   |   |  |  |  |  |

### 15. SCHEDULE VIIIC (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)

| DEPT LEVEL RESPONSES   |   |  |  |  |  |
|--|---|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) |   |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?  | Y |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48250500 |
|--------|--|

### 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? ( <b>GENR, ACT1</b> )  | Y                           |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | No, reconciliation provided |  |  |  |  |
| <b>TIP</b> 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     |  |  |  |  |
| 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: <b>IT@LASPBS.STATE.FL.US</b> ? | 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, NA |  |  |  |  |

### AUDITS - GENERAL INFORMATION

|   |  |
|---|--|
| <b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.                     |  |
| <b>TIP</b> Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error. |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Jessica Wiginton      |

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48250500 |
|--------|--|

| <b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>   |  |
|--|--|
|  | <b>DEPT LEVEL RESPONSE</b>   |
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?   | NA - Section 1013.60, F.S., states the Commissioner shall submit an integrated, comprehensive budget request, notwithstanding the legislative budget requirements of 216.043, F.S. |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?   |  |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?  |  |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?  |  |
| 18.5 Are the appropriate counties identified in the narrative?   |  |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?   |  |
| <b>TIP</b> 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. |  |

| <b>19. FLORIDA FISCAL PORTAL</b>   |   |  |  |  |
|--|---|--|--|--|
| 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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2023-24  
Educational Media and  
Technology Services  
Schedule I Series

# Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education

Agency Budget Officer/OPB Analyst Name: Amy Hammock/Jessica Wiginton

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

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

## 1. GENERAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| <p>1.1 Are Columns A01, A04, A05, A91, A92, A93, A94, A95, A96, A36, A10, IA1, IA4, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? <b>(CSDI or Web LBR Column Security)</b></p> | Y |  |  |  |  |
| <p>1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b></p>   | Y |  |  |  |  |

## AUDITS:

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

## 2. EXHIBIT A (EADR, EXA)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| <p>2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?</p> | Y |  |  |  |  |
| <p>2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?</p>   | Y |  |  |  |  |
| <p>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?</p>                  | Y |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
| Department/Budget Entity (Service): Education                        |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Jessica Wiginton |

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

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

#### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b> | Y |  |  |  |  |
|---|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

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|--|
| Department/Budget Entity (Service): Education                        |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Jessica Wiginton |

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

|     |   |   |  |  |  |  |
|-----|---|---|--|--|--|--|
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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?                   | NA |  |  |  |  |
| 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? | NA |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Jessica Wiginton |

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

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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.)   | NA |  |  |  |  |
| 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.   | NA |  |  |  |  |
| 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.)                | NA |  |  |  |  |
| 7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?  | NA |  |  |  |  |
| 7.9 Does the issue narrative reference the specific county(ies) where applicable?  | NA |  |  |  |  |
| 7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 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.   | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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)?   | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Y  |  |  |  |  |
| <b>AUDIT:</b>  |    |  |  |  |  |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | NA |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>   | NA |  |  |  |  |
| 7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. <b>(NAAR, BSNR)</b>   | 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. | NA |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |    |  |  |  |  |
| <b>TIP</b> 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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|--|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48250600                                 |

|     |  |  |
|-----|--|--|
| 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)**

|     |  | DEPT LEVEL RESPONSES      |  |  |  |  |
|-----|--|---------------------------|--|--|--|--|
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency?  | Y                         |  |  |  |  |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?  | Y                         |  |  |  |  |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?  | Y                         |  |  |  |  |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only |  |  |  |  |
| 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?  | Y                         |  |  |  |  |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                         |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|  |                                       |  |  |  |  |
|--|---------------------------------------|--|--|--|--|
| 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, for 2176 only                      |  |  |  |  |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y, for 2178, 2543, 2555 and 2612 only |  |  |  |  |
| 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, for 2176 only                      |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?   | Y                                     |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)  | Y                                     |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?   | Y                                     |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?   | Y                                     |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|  |              |  |  |  |  |
|--|--------------|--|--|--|--|
| 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?   | Y, FSDB only |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y            |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?   | Y            |  |  |  |  |

**AUDITS:**

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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 | 48250600                                 |

### 9. SCHEDULE II (PSCR, SC2)

|   |    |  |  |  |
|---|----|--|--|--|
| AUDIT:  |    |  |  |  |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | NA |  |  |  |

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |
|---|----|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | NA |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |    |  |  |  |
|--|----|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   | NA |  |  |  |
| <b>TIP</b> 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 |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |
| <b>TIP</b> 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): Education                        |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Jessica Wiginton |

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

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

### 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)

|   | DEPT LEVEL RESPONSES        |  |  |  |  |
|---|-----------------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)  |                             |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?   |                             |  |  |  |  |
| AUDITS INCLUDED IN THE SCHEDULE XI REPORT:  | Y                           |  |  |  |  |
| 16.3 Does the FY 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )  |                             |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | Y                           |  |  |  |  |
| TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.   | No, reconciliation provided |  |  |  |  |
| <b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>  |                             |  |  |  |  |
| 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

|  |
|--|
| Department/Budget Entity (Service): Education                        |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Jessica Wiginton |

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

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

|   |       |  |  |  |  |
|---|-------|--|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | 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, NA |  |  |  |  |

**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)**

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

**19. FLORIDA FISCAL PORTAL**

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|



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# 2023-24 Workforce Education Exhibits or Schedules



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# 2023-24 Workforce Education Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |                                       |
|-----------------------------|---------------------------------------|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>     |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                   |
| <b>Budget Entity:</b>       | <b>FEDERAL GRANTS TRUST FUND</b>      |
| <b>LAS/PBS Fund Number:</b> | <b>48250800 - WORKFORCE EDUCATION</b> |
|                             | <b>2261</b>                           |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance  |
|---|----------------------------|-----|----------------------|----------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | [ ]                        | (A) | [ ]                  | 0.00                 |
| ADD: Other Cash (See Instructions)                  | [ ]                        | (B) | [ ]                  | 0.00                 |
| ADD: Investments                                    | [ ]                        | (C) | [ ]                  | 0.00                 |
| ADD: Outstanding Accounts Receivable                | 257,904.33                 | (D) | [ ]                  | 257,904.33           |
| ADD: ANTICIPATED REVENUE                            | 42,334,895.38              | (E) | [ ]                  | 42,334,895.38        |
| <b>Total Cash plus Accounts Receivable</b>          | <b>42,592,799.71</b>       | (F) | <b>0.00</b>          | <b>42,592,799.71</b> |
| LESS: Allowances for Uncollectibles                 | [ ]                        | (G) | [ ]                  | 0.00                 |
| LESS: Approved "A" Certified Forwards               | 29,960.75                  | (H) | [ ]                  | 29,960.75            |
| Approved "B" Certified Forwards                     | 42,562,838.96              | (H) | [ ]                  | 42,562,838.96        |
| Approved "FCO" Certified Forwards                   | [ ]                        | (H) | [ ]                  | 0.00                 |
| LESS: Other Accounts Payable (Nonoperating)         | [ ]                        | (I) | [ ]                  | 0.00                 |
| LESS: _____   | [ ]                        | (J) | [ ]                  | 0.00                 |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00</b>                | (K) | <b>0.00</b>          | <b>0.00</b> **       |

**Notes:**

\*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2022

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |                                   |                     |
|-----------------------------|-----------------------------------|---------------------|
|                             | <b>Budget Period: 2023 - 2024</b> |                     |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>               |                     |
| <b>Trust Fund Title:</b>    | <b>FEDERAL GRANTS TRUST FUND</b>  |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2261</b>                       | <b>BE: 48250800</b> |

**BEGINNING TRIAL BALANCE:**

|  |  |
|--|--|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>            |  |
| Total all GLC's 5XXXX for governmental funds;                          | <input type="text" value="0.08"/> (A)            |
| GLC 539XX for proprietary and fiduciary funds                          |  |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>                  | <input type="text"/> (B)                         |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b> |  |
| SWFS Adjustment # and Description                                      | <input type="text"/> (C)                         |
| SWFS Adjustment # and Description                                      | <input type="text"/> (C)                         |
| <b>Add/Subtract Other Adjustment(s):</b>                               |  |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS                  | <input type="text" value="(42,562,838.96)"/> (D) |
| Approved FCO Certified Forward per LAS/PBS                             | <input type="text"/> (D)                         |
| A/P not C/F-Operating Categories                                       | <input type="text" value="227,943.50"/> (D)      |
| ANTICIPATED REVENUE  | <input type="text" value="42,334,895.38"/> (D)   |
|  | <input type="text"/> (D)                         |
|  | <input type="text"/> (D)                         |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>                               | <input type="text" value="0.00"/> (E)            |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>                   | <input type="text" value="0.00"/> (F)            |
| <b>DIFFERENCE:</b>   | <input type="text" value="0.00"/> (G)*           |

**\*SHOULD EQUAL ZERO.**



**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2021 - 2022**

**Department: Office of the Inspector General**

**Chief Internal Auditor: Bradley Rich**

**Budget Entity: Workforce Education Grants**

**Phone Number: (850) 245-9221**

| (1)   | (2)           | (3)   | (4)   | (5)  | (6)        |
|---|---------------|---|---|--|------------|
| REPORT NUMBER   | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Florida Auditor General Report U.S. Department of Education Report No. 2022-189 State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE) Career and Technical Education Education Stabilization Fund – Governor’s Emergency Education Relief Fund | Finding No. 2021-045: FDOE change management controls need improvement to ensure that only authorized, tested, and approved Florida Grants System (FLAGS) program code changes are implemented into the production environment. Criteria-into the production environment Effective change management controls are intended to ensure that all program code changes are properly authorized, tested, and approved for implementation. Recommendation: We recommend that FDOE management enhance change management controls to ensure that all changes to FLAGS are recorded in the ticketing system and do not by bypass the FDOE change management process. | FDOE management response: FDOE utilizes a formal Information System Development Methodology (ISDM)framework to guide the departmental software development lifecycle. FDOE’s ISDM outlines the process for planning, defining, designing, building, testing, deploying, and monitoring code changes. FDOE will implement a reconciliation process and realign all IT staff procedures within Division of Technology and Innovation to ensure that only approved changes are implemented in production environments. Anticipated Completion: 90 days from date of this report. Contact: Andre Smith |            |

| (1)  | (2)           | (3)  | (4)   | (5)  | (6)        |
|--|---------------|--|---|--|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Florida Auditor General Report<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Career and Technical Education<br>Education Stabilization Fund – Governor’s<br>Emergency Education Relief Fund | Finding No. 2021-046: The FDOE could not provide records from the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) demonstrating that subawards were timely reported with the information required by the Federal Funding Accountability and Transparency Act (FFATA).<br>Criteria 2 CFR 170, Appendix A – Reporting Subawards and Executive Compensation – Unless otherwise exempt, you must report each action that equals or exceeds \$30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency.<br>Recommendation: We recommend that the FDOE enhance FLAGS data reporting controls to ensure and demonstrate that all required data is accurately and timely reported in the FSRS. | FDOE Management response: FDOE does not concur with this finding. Throughout FY2020-21, FDOE uploaded monthly reports to the FSRS system within the federally required timeframes. In April 2021, FDOE became aware that FSRS was designed for monthly activity reporting and not cumulative monthly reporting that FDOE had been providing. From April through November 2021, FDOE worked with USED on a solution to replace the monthly cumulative reports with monthly activity reports. On November 5, 2021, USED deleted the following sampling of cumulative reports in FSRS:<br><br>S425D210052 – 4 FFATA reports<br>S425D200052 – 6 FFATA reports<br>S425C200025 – 7 FFATA reports<br>During this same time FDOE was enhancing its FLAGS system to generate monthly activity reports instead of monthly cumulative reports.<br>This enhancement was completed in January 2022. In February 2022, FDOE started the process of replacing the deleted cumulative reports with the monthly activity reports. |            |

| (1)  | (2)           | (3)   | (4)                                     | (5)   | (6)        |
|--|---------------|---|---|---|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Florida Auditor General Report<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Career and Technical Education<br>Education Stabilization Fund – Governor’s Emergency Education Relief Fund | Finding No. 2021-046 continued          | <p>During the Auditor General's (AG) fieldwork in December 2021, FDOE and the AG both discovered that when USED deletes files from FSRS, the history (of when the original files were uploaded) is not maintained in FSRS. FDOE provided the AG evidence of its communications with USED from April 2021 through January 2022 demonstrating its efforts to replace cumulative reports with monthly activity reports in FSRS. FDOE provided the AG access to the reports that were uploaded to FSRS and subsequently deleted to correct errors. FDOE does not agree that this finding warrants a Disclaimer of Opinion which suggests material and pervasive misstatements in its financial statements because the AG has elected not to review the monthly reports that FDOE stated were uploaded to FSRS in FY 2020-21, but subsequently deleted in November 2021 and reloaded in February 2022.</p> <p>FDOE informed the AG that some of the reports uploaded in FY2021-22 will also need to be deleted and reloaded with monthly activity data. AG responded that they would not since FDOE had an agreement with USED to delete cumulative reports and reload monthly activity reports.</p> |            |

| (1)  | (2)           | (3)   | (4)                                     | (5)   | (6)        |
|--|---------------|---|---|---|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Florida Auditor General Report<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Career and Technical Education<br>Education Stabilization Fund – Governor’s Emergency Education Relief Fund | Finding No. 2021-046 continued          | <p>Since the AG agrees that continued deletion and reloading of reports in FSRS will not warrant further findings, FDOE believes that these same actions regarding FY2020-21 reports do not warrant this finding.</p> <p>Follow-Up to Management's response: FDOE Management indicated in their written response that the FDOE did not concur with the finding and indicated that the Auditor General elected not to review the monthly reports that were deleted and then reloaded to the FSRS in February 2022.</p> <p>Additionally, the FDOE indicated that they did not agree that the finding warrants a Disclaimer of Opinion which suggests material and pervasive misstatements in the financial statements and that the Auditor General agreed that continued deletion and reloading of reports in the FSRS will not warrant further findings.</p> <p>Since FSRS does not maintain a history of original upload dates, FDOE inquired with the AG if this would warrant a repeat finding in FY 2021-22.</p> |            |

| (1)  | (2)           | (3)  | (4)                                     | (5)  | (6)        |
|--|---------------|--|---|--|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Florida Auditor General Report<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards |               | Florida Department of Education (FDOE)<br>Career and Technical Education<br>Education Stabilization Fund – Governor’s<br>Emergency Education Relief Fund | Finding No. 2021-046 continued          | <p>Notwithstanding, the reports that the FDOE originally provided access to were not sufficient and appropriate audit evidence upon which to render an opinion on compliance with the Reporting compliance requirement because the reports did not originate from the FSRS. Further, the Auditor General was not made aware of the possible availability of reloaded reports in the FSRS until receipt of the FDOE’s response to the finding in March 2022, beyond the time frame necessary to permit the performance of sufficient and appropriate audit procedures.</p> <p>Regarding the finding classification, under the Uniform Guidance, a disclaimer of opinion relates to whether an auditee complied with laws, regulations, and the terms and conditions of Federal awards which could have a direct and material effect on the Federal program and does not relate to the financial statements. Lastly, the Auditor General did not agree that the deletion and reloading of reports would not warrant a future finding. Consequently, the finding and related recommendation stand as presented.</p> |            |

| (1)  | (2)           | (3)   | (4)   | (5)   | (6)        |
|--|---------------|---|---|---|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Florida Auditor General Report<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards |               | Florida Department of Education (FDOE)<br>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund | <p>Finding No. 2021-048: FDOE change management controls need improvement to ensure that only authorized, tested, and approved Aware system program code changes are implemented into the production environment.<br/>           Recommendation: We recommend that FDOE management enhance change management controls to ensure that all changes to the Aware system are recorded in the ticketing system and do not by bypass the FDOE change management process.</p> <p>Finding No. 2021-056: FDOE monitoring activities did not validate the allowability of actual subrecipient ESF program expenditures nor did the FDOE require all subrecipients to provide a Budget Narrative Form documenting the financial plan and uses of funds for carrying out project objectives, services, and activities. In addition, the FDOE did not evaluate subrecipient risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward or perform monitoring activities based on the assessed risk of noncompliance.</p> | <p>FDOE Management response: FDOE utilizes a formal Information System Development Methodology (ISDM) framework to guide the departmental software development lifecycle. FDOE’s ISDM outlines the process for planning, defining, designing, building, testing,</p> <p>FDOE Management response: The Department does not concur with this finding that it did not engage in subrecipient monitoring or risk analysis for Education Stabilization Fund (ESF) programs in 2020-21. Subrecipient monitoring begins with application and budget review. For all ESF programs except the ESSER II Advance Lump Sum program, FDOE required LEAs to submit an application and detailed budget outlining anticipated expenditures.</p> |            |

| (1)  | (2)           | (3)   | (4)  | (5)  | (6)        |
|--|---------------|---|--|--|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS  | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Florida Auditor General Report<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund | Recommendation: We recommend that FDOE management evaluate each subrecipient’s risk of noncompliance and, based on the assessment of risk, conduct monitoring activities that: validate the allowability of ESF program expenditures; verify the accuracy of annual report information submitted to the USED; and confirm each subrecipient’s compliance with Federal statutes, regulations, and the terms and conditions of the subaward. | FDOE reviews the detailed budget to ensure all anticipated expenditures are allowable prior to making the award. In addition, all subgrantees undergo a risk analysis prior to receiving an award. At the end of the program period, LEAs submit a Final Disbursement Report that aids in verifying that actual expenditures match the approved budget. All LEAs in Florida are subject to an annual independent audit and a federal single audit. All these activities constitute monitoring.<br><br>In addition to these activities, FDOE does plan to contract for additional subrecipient monitoring to include sampling expenditures, procurement activities, inventories and other programmatic requirements. This monitoring will occur within the program period. All the ESF programs are multi-year programs, still within the program period. The only exception made to require a detailed budget in advance of the award was for the ESSER II advance lump sum. |            |

| (1)  | (2)           | (3)   | (4)                                     | (5)   | (6)        |
|--|---------------|---|---|---|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Florida Auditor General Report<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund | Finding 2021-056 continued              | <p>To ensure that there would be no gap in receipt of stabilization funds and in light of the emergency nature of the program, FDOE provided an advance allocation of ESSER II funds to those school districts having expended a large proportion of their ESSER I funds, without having to submit a detailed budget for approval in advance of the award; however, these districts were required to submit a detailed list of actual or planned expenditures for the advance prior to receiving the balance of their ESSER II lump sum award.</p> <p>Therefore, the expenditures are indeed subject to review by FDOE. Prior to proceeding in this manner, FDOE obtained a legal opinion that this procedure was legally sufficient and has provided the opinion to the auditors. FDOE disagrees that because the “FDOE did not perform monitoring activities subsequent to the approval of the subrecipients’ Budget Narrative forms to validate the allowability of the subrecipients’ actual expenditures,” the auditors “could not determine whether</p> |            |



| (1)  | (2)           | (3)   | (4)                                     | (5)   | (6)        |
|--|---------------|---|---|---|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Florida Auditor General Report<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund | Finding 2021-056 continued              | <p>expenditures, including expenditures for equipment and real property“ were allowable and in accordance with the grant terms and conditions.” All expenditures are required to be documented by all subrecipients and are subject to sampling and validation by auditors using ordinary sampling and verification.</p> <p>Indeed, it is recognized that fiscal monitoring and auditing should not be duplicative; FDOE is not required to monitor those requirements covered by the single audit. The very fact that every LEA in Florida is covered by an independent audit that includes the federal single audit is an element of monitoring that ensures compliance.</p> <p>Follow-Up to Management's Response: FDOE management indicated in their written response that the FDOE did not concur with the finding and cited various activities that constituted monitoring, among others, that the LEAs are covered by an independent audit that includes the Federal single audit. However, the Uniform Guidance requires additional monitoring efforts conducted by the pass-through entity (i.e., the FDOE),</p> |            |

| (1)  | (2)           | (3)   | (4)  | (5)   | (6)        |
|--|---------------|---|--|---|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS  | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Florida Department of Education (FDOE)<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund | Finding No. 2021-056 continued   | including an evaluation of subrecipient risk and conduct of subrecipient monitoring to ensure that the subaward is used for authorized purposes. As indicated in the finding, the FDOE did not evaluate the LEAs’ risk of not compliance to determine the appropriate subrecipient monitoring and, as noted in the FDOE’s response, the FDOE plans to contract for subrecipient monitoring, including a sampling of expenditures. Consequently, the finding and related recommendation stand as presented.<br>Completed September 2022<br>Contact: Suzanne Pridgeon   |            |
|  |               | Florida Department of Education (FDOE)<br>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund | Finding No. 2021-057: The FDOE did not always provide required award information to all subrecipients or verify the suspension and debarment status of subrecipients.<br>Recommendation: We recommend that the FDOE ensure that all required award information is provided to all subrecipients and that the FDOE verifies that all subrecipients are not suspended or debarred. | FDOE Management response: The Florida Department of Education (FDOE or Department) concurs with the findings and recommendations during the audit period and has already addressed the auditor's recommendations.<br>Since the Memorandum of Understanding (MOU) served as the subaward agreement, the elements required under 2 CFR § 200.332 should have been included in the agreement and were not. Communications to the recipients did identify the Governor’s Emergency Education Relief (GEER) program as the source of funding, and based on the circumstances, it was clear that the relationship was a subgrant relationship. None of the subrecipients were, in fact, suspended or disbarred. |            |

| (1)  | (2)           | (3)   | (4)                                     | (5)   | (6)        |
|--|---------------|---|---|---|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Florida Department of Education (FDOE)<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund | Finding No. 2021-057 continued          | <p>As thoroughly vetted public schools that are subject to audit and financial regulation, the subrecipients in question were low risk, especially since the payments were on a reimbursement basis. In the future, if MOUs are used as a vehicle for a subgrant, FDOE will include those elements required by 2 CFR § 200.332 in the MOU and will verify that the subrecipients are not suspended or debarred. Under the GEER program, 138 subawards to charter schools were issued. GEER is intended to provide immediate relief to educational entities to ensure continued operation of schools in the wake of the COVID-19 pandemic.</p> <p>The Charter School Growth Funding program provided relief to charter schools that provided instructional services for a significant number of students above the number of full-time equivalent (FTE) students for which they were funded through the Florida Education Finance Program (FEFP), and for many schools above their projected enrollment.</p> |            |

| (1)  | (2)           | (3)   | (4)                                     | (5)  | (6)        |
|--|---------------|---|---|--|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Florida Department of Education (FDOE)<br>U.S. Department of Education<br>Report No. 2022-189<br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Education Stabilization Fund (ESF) – Governor’s Emergency Education Relief Fund | Finding No. 2021-057 continued          | A MOU was chosen as the vehicle for this program because it was the most expeditious means of providing this relief. Federal grant funds for charter schools usually flow from FDOE through the sponsoring school district, so there were no existing pathways and infrastructure for direct subgrants to charter schools. Building the program supports, contacts, procedures, and expertise for a traditional subgrant award process was too slow and unnecessarily time-consuming, given the nature of the program. Under the MOU process, FDOE required the charter school to submit documentation of allowable expenditures prior to releasing a reimbursement under the MOU. By making funds available on a reimbursement basis, FDOE ensured that all expenditures were allowable prior to the release of any funds.<br>Completed: December 2021<br>Contact: Suzanne Pridgeon |            |

*Office of Policy and Budget - July 2022*

# Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Workforce Education |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker |

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|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48250800 |
|--------|--|

## 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b>   | Y |  |  |  |  |
| <b>TIP</b> 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 | 48250800                                 |

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

#### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b> | Y |  |  |  |  |
|---|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker |

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

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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?                   | Y |  |  |  |  |
| 7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|      |   |    |  |  |  |  |
|------|---|----|--|--|--|--|
| 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.)  | NA |  |  |  |  |
| 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.  | NA |  |  |  |  |
| 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.)               | NA |  |  |  |  |
| 7.8  | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?   | Y  |  |  |  |  |
| 7.9  | Does the issue narrative reference the specific county(ies) where applicable?   | Y  |  |  |  |  |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 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.   | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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)? | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 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? <b>(GENR, LBR1)</b>   | Y  |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | Y  |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>   | NA |  |  |  |  |
| 7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. <b>(NAAR, BSNR)</b>   | 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. | NA |  |  |  |  |

**TIP** Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.

**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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|--------|--|

|   |  |
|---|--|
| <b>TIP</b> 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. |  |
| <b>TIP</b> 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).   |  |
| <b>TIP</b> 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)**

|     |  | DEPT LEVEL RESPONSES      |  |  |  |  |
|-----|--|---------------------------|--|--|--|--|
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency?  | Y                         |  |  |  |  |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?  | Y                         |  |  |  |  |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?  | Y                         |  |  |  |  |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only |  |  |  |  |
| 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?  | Y                         |  |  |  |  |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                         |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|  |                                       |  |  |  |  |
|--|---------------------------------------|--|--|--|--|
| 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, for 2176 only                      |  |  |  |  |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y, for 2178, 2543, 2555 and 2612 only |  |  |  |  |
| 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, for 2176 only                      |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?   | Y                                     |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)  | Y                                     |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?   | Y                                     |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?   | Y                                     |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Workforce Education |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock / Amanda Walker |

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

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

|  |              |  |  |  |  |
|--|--------------|--|--|--|--|
| 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?   | Y, FSDB only |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y            |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?   | Y            |  |  |  |  |

**AUDITS:**

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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 |  |  |  |  |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| <b>TIP</b> 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!  |  |  |  |  |  |
| <b>TIP</b> 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. |  |  |  |  |  |
| <b>TIP</b> Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.   |  |  |  |  |  |
| <b>TIP</b> 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 | 48250800                                 |

### 9. SCHEDULE II (PSCR, SC2)

#### AUDIT:

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> 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.) | NA |  |  |  |  |
|---|----|--|--|--|--|

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |  |
|---|----|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | NA |  |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   |  |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |  |
| <b>TIP</b> If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.  |   |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (NO LONGER REQUIRED)

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

**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)**

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) |                      |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?  | Y                    |  |  |  |  |

**AUDITS INCLUDED IN THE SCHEDULE XI REPORT:**

|   |                             |  |  |  |  |
|---|-----------------------------|--|--|--|--|
| 16.3 Does the FY 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? <b>(GENR, ACT1)</b>  | Y                           |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? <b>(Audit #1 should print "No Activities Found")</b>   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? <b>(Audit #2 should print "No Operating Categories Found")</b>  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? <b>(Audit #4 should print "No Discrepancies Found")</b>  | No, reconciliation provided |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
| 17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?   | Y |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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

|   |       |  |  |  |  |
|---|-------|--|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | 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, NA |  |  |  |  |

### AUDITS - GENERAL INFORMATION

|   |  |
|---|--|
| <b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.                     |  |
| <b>TIP</b> 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)

|  | DEPT LEVEL RESPONSE  |
|--|--|
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?   | NA - Section 1013.60, F.S., states the Commissioner shall submit an integrated, comprehensive budget request, notwithstanding the legislative budget requirements of 216.043, F.S. |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?   |  |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP   |  |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?  |  |
| 18.5 Are the appropriate counties identified in the narrative?   |  |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?   |  |
| <b>TIP</b> Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. |  |

### 19. FLORIDA FISCAL PORTAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|





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Florida Colleges  
Schedule I Series

# Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Colleges

Agency Budget Officer/OPB Analyst Name: Amy Hammock/Amanda Walker

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

## 1. GENERAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| <p>1.1 Are Columns A01, A04, A05, A91, A92, A93, A94, A95, A96, A36, A10, IA1, IA4, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? <b>(CSDI or Web LBR Column Security)</b></p> | Y |  |  |  |  |
| <p>1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b></p>   | Y |  |  |  |  |

## AUDITS:

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

## 2. EXHIBIT A (EADR, EXA)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| <p>2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?</p> | Y |  |  |  |  |
| <p>2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?</p>   | Y |  |  |  |  |
| <p>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?</p>                  | Y |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Amanda Walker |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>   | Y |  |  |  |  |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

#### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b> | Y |  |  |  |  |
|---|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

|   |             |  |  |  |  |
|---|-------------|--|--|--|--|
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y           |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | N, Rounding |  |  |  |  |
| 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?                   | Y |  |  |  |  |
| 7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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.)   | NA |  |  |  |  |
| 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.   | NA |  |  |  |  |
| 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.)                | NA |  |  |  |  |
| 7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?  | Y  |  |  |  |  |
| 7.9 Does the issue narrative reference the specific county(ies) where applicable?  | Y  |  |  |  |  |
| 7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 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.   | NA |  |  |  |  |
| 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.) | NA |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Colleges          |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Amanda Walker |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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)?   | NA |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Y  |  |  |  |  |
| <b>AUDIT:</b>  |    |  |  |  |  |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | NA |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | NA |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>   | NA |  |  |  |  |
| 7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. <b>(NAAR, BSNR)</b>   | 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. | NA |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |    |  |  |  |  |
| <b>TIP</b> 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): Education / Colleges

Agency Budget Officer/OPB Analyst Name: Amy Hammock/Amanda Walker

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

|  |  |
|--|--|
| <p><b>TIP</b> 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.</p> |  |
| <p><b>TIP</b> 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).</p>   |  |
| <p><b>TIP</b> 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.</p>   |  |

**8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)**

|  | DEPT LEVEL RESPONSES      |  |  |  |  |
|--|---------------------------|--|--|--|--|
| 8.1 Has a separate department level Schedule I and supporting documents package been submitted by the agency?  | Y                         |  |  |  |  |
| 8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?  | Y                         |  |  |  |  |
| 8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?  | Y                         |  |  |  |  |
| 8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only |  |  |  |  |
| 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?  | Y                         |  |  |  |  |
| 8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                         |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Colleges          |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Amanda Walker |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

|  |                                       |  |  |  |  |
|--|---------------------------------------|--|--|--|--|
| 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, for 2176 only                      |  |  |  |  |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y, for 2178, 2543, 2555 and 2612 only |  |  |  |  |
| 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, for 2176 only                      |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?   | Y                                     |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)  | Y                                     |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?   | Y                                     |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?   | Y                                     |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Education / Colleges          |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Amanda Walker |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

|  |              |  |  |  |  |
|--|--------------|--|--|--|--|
| 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?   | Y, FSDB only |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y            |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?   | Y            |  |  |  |  |

**AUDITS:**

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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

|   |
|---|
| Department/Budget Entity (Service): Education / Colleges          |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Amanda Walker |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

### 9. SCHEDULE II (PSCR, SC2)

|   |    |  |  |  |
|---|----|--|--|--|
| <b>AUDIT:</b>   |    |  |  |  |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) 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.) | NA |  |  |  |

### 10. SCHEDULE III (PSCR, SC3)

|   |    |  |  |  |
|---|----|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | NA |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | NA |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |    |  |  |  |
|--|----|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   | NA |  |  |  |
| <b>TIP</b> 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 |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |
| <b>TIP</b> 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): Education / Colleges          |
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

### 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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) |                      |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?  | Y                    |  |  |  |  |

#### AUDITS INCLUDED IN THE SCHEDULE XI REPORT:

|   |                             |  |  |  |  |
|---|-----------------------------|--|--|--|--|
| 16.3 Does the FY 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )  | Y                           |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | No, reconciliation provided |  |  |  |  |
| <b>TIP</b> 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

|   |
|---|
| Department/Budget Entity (Service): Education / Colleges          |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Amanda Walker |

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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48400600                                 |

|   |       |  |  |  |  |
|---|-------|--|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | 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, NA |  |  |  |  |

**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)**

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

**19. FLORIDA FISCAL PORTAL**

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|



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State Board of Education  
Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2023 - 2024

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>48 EDUCATION</b>                        |
| <b>Trust Fund Title:</b>    | <b>ADMINISTRATIVE TRUST FUND</b>           |
| <b>Budget Entity:</b>       | <b>48800000 - STATE BOARD OF EDUCATION</b> |
| <b>LAS/PBS Fund Number:</b> | <b>2021</b>                                |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance    |
|---|----------------------------|-----|----------------------|------------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 780,261.48                 | (A) |                      | 780,261.48             |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                   |
| ADD: Investments                                    | 11,612,075.90              | (C) |                      | 11,612,075.90          |
| ADD: Outstanding Accounts Receivable                | 97,525.33                  | (D) |                      | 97,525.33              |
| ADD: SWFS#B4800012                                  |                            | (E) | (22,383.28)          | (22,383.28)            |
| <b>Total Cash plus Accounts Receivable</b>          | <b>12,489,862.71</b>       | (F) | <b>(22,383.28)</b>   | <b>12,467,479.43</b>   |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                   |
| LESS: Approved "A" Certified Forwards               | 410,060.39                 | (H) |                      | 410,060.39             |
| Approved "B" Certified Forwards                     | 3,021,431.65               | (H) |                      | 3,021,431.65           |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                   |
| LESS: Other Accounts Payable (Nonoperating)         | 24,363.25                  | (I) |                      | 24,363.25              |
| LESS: SWFS#B4800012                                 | 0.00                       | (J) | (22,241.93)          | (22,241.93)            |
| LESS: Anticipated Transfers to 48250500/2021        | 21,494.13                  | (J) |                      | 21,494.13              |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>9,012,513.29</b>        | (K) | <b>(141.35)</b>      | <b>9,012,371.94</b> ** |

**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**

|                             |                                   |                     |
|-----------------------------|-----------------------------------|---------------------|
|                             | <b>Budget Period: 2023 - 2024</b> |                     |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>               |                     |
| <b>Trust Fund Title:</b>    | <b>ADMINISTRATIVE TRUST FUND</b>  |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2021</b>                       | <b>BE: 48800000</b> |

**BEGINNING TRIAL BALANCE:**

|  |                         |
|--|-------------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>                                    |                         |
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | 12,237,384.77 (A)       |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>  |                         |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>                         |                         |
| SWFS Adjustment # B4800012 - To make A/P accurate.   | (141.35) (C)            |
| SWFS Adjustment # and Description  |                         |
| <b>Add/Subtract Other Adjustment(s):</b>   |                         |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS  | (3,021,431.65) (D)      |
| Approved FCO Certified Forward per LAS/PBS   |                         |
| A/P not C/F-Operating Categories   | 1,853.25 (D)            |
| OTHER LOANS AND NOTES RECEIVABLE   | (183,798.95) (D)        |
| Anticipated Transfer to 48250500/2021  | (21,494.13) (D)         |
|  |                         |
|  | (D)                     |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>   | <b>9,012,371.94 (E)</b> |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>   | <b>9,012,371.94 (F)</b> |
| <b>DIFFERENCE:</b>   | <b>0.00 (G)*</b>        |

**\*SHOULD EQUAL ZERO.**



## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>          |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                        |
| <b>Budget Entity:</b>       | <b>FEDERAL GRANTS TRUST FUND</b>           |
| <b>LAS/PBS Fund Number:</b> | <b>48800000 - STATE BOARD OF EDUCATION</b> |
|                             | <b>2261</b>                                |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance  |
|---|----------------------------|-----|----------------------|----------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 466,499.54                 | (A) |                      | 466,499.54           |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                 |
| ADD: Investments                                    |                            | (C) |                      | 0.00                 |
| ADD: Outstanding Accounts Receivable                | 466.16                     | (D) |                      | 466.16               |
| ADD: Anticipated Revenue                            | 39,056,172.37              | (E) |                      | 39,056,172.37        |
| ADD: Anticipated Transfer from 48250500/2261        |                            | (E) |                      | 0.00                 |
| <b>Total Cash plus Accounts Receivable</b>          | <b>39,523,138.07</b>       | (F) | <b>0.00</b>          | <b>39,523,138.07</b> |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                 |
| LESS: Approved "A" Certified Forwards               | 98,092.04                  | (H) |                      | 98,092.04            |
| Approved "B" Certified Forwards                     | 39,420,841.16              | (H) |                      | 39,420,841.16        |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                 |
| LESS: Other Accounts Payable (Nonoperating)         | 4,204.87                   | (I) |                      | 4,204.87             |
| LESS: _____   |                            | (J) |                      | 0.00                 |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>0.00</b>                | (K) | <b>0.00</b>          | <b>0.00</b> **       |

**Notes:**

\*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2022

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |                                   |                     |
|-----------------------------|-----------------------------------|---------------------|
|                             | <b>Budget Period: 2023 - 2024</b> |                     |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>               |                     |
| <b>Trust Fund Title:</b>    | <b>FEDERAL GRANTS TRUST FUND</b>  |                     |
| <b>LAS/PBS Fund Number:</b> | <b>2261</b>                       | <b>BE: 48800000</b> |

**BEGINNING TRIAL BALANCE:**

|  |                     |
|--|---------------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>            |                     |
| Total all GLC's 5XXXX for governmental funds;                          | 208,084.60 (A)      |
| GLC 539XX for proprietary and fiduciary funds                          |                     |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>                  | (B)                 |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b> |                     |
| SWFS Adjustment # and Description                                      | (C)                 |
| SWFS Adjustment # and Description                                      | (C)                 |
| <b>Add/Subtract Other Adjustment(s):</b>                               |                     |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS                  | (39,420,841.16) (D) |
| Approved FCO Certified Forward per LAS/PBS                             | (D)                 |
| A/P not C/F-Operating Categories                                       | 156,584.19 (D)      |
| Anticipated Revenue  | 39,056,172.37 (D)   |
| Anticipated Transfer from 48250500/2261                                | (D)                 |
|  | (D)                 |

**ADJUSTED BEGINNING TRIAL BALANCE:** 0.00 (E)

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

**DIFFERENCE:** (0.00) (G)\*

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>        |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                      |
| <b>Budget Entity:</b>       | <b>GRANTS &amp; DONATIONS TRUST FUND</b> |
| <b>LAS/PBS Fund Number:</b> | <b>48800000 STATE BOARD OF EDUCATION</b> |
|                             | <b>2339</b>                              |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|-----|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | 733.60                     | (A) |                      | 733.60              |
| ADD: Other Cash (See Instructions)                  |                            | (B) |                      | 0.00                |
| ADD: Investments                                    |                            | (C) |                      | 0.00                |
| ADD: Outstanding Accounts Receivable                |                            | (D) |                      | 0.00                |
| ADD: _____  |                            | (E) |                      | 0.00                |
| <b>Total Cash plus Accounts Receivable</b>          | <b>733.60</b>              | (F) | <b>0.00</b>          | <b>733.60</b>       |
| LESS: Allowances for Uncollectibles                 |                            | (G) |                      | 0.00                |
| LESS: Approved "A" Certified Forwards               |                            | (H) |                      | 0.00                |
| Approved "B" Certified Forwards                     |                            | (H) |                      | 0.00                |
| Approved "FCO" Certified Forwards                   |                            | (H) |                      | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         |                            | (I) |                      | 0.00                |
| LESS: _____   |                            | (J) |                      | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>733.60</b>              | (K) | <b>0.00</b>          | <b>733.60</b> **    |

**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**

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>        |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                      |
| <b>LAS/PBS Fund Number:</b> | <b>GRANTS &amp; DONATIONS TRUST FUND</b> |
|                             | <b>2339 - 48800000</b>                   |

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/22**  
Total all GLC's 5XXXX for governmental funds; 733.60 (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:** 733.60 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 733.60 (F)

**DIFFERENCE:** 0.00 (G)\*

**\*SHOULD EQUAL ZERO.**

**SCHEDULE IV-B FOR REGISTERED APPRENTICESHIP  
CLOUD-BASED SOLUTION AND REGISTERED  
PREAPPRENTICESHIP REGISTRATION AND CASE  
MANAGEMENT SOLUTION  
For Fiscal Year 2023-24**



**October 11, 2022**

**FLORIDA DEPARTMENT OF EDUCATION**

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**SCHEDULE IV-B FOR REGISTERED APPRENTICESHIP PAPERLESS CLOUD-BASED SOLUTION AND REGISTERED PREAPPRENTICESHIP  
REGISTRATION AND CASE MANAGEMENT SOLUTION**

**SCHEDULE IV-B FOR REGISTERED APPRENTICESHIP PAPERLESS CLOUD-BASED SOLUTION AND REGISTERED PREAPPRENTICESHIP REGISTRATION AND CASE MANAGEMENT SOLUTION**

**I. Schedule IV-B Cover Sheet**

| <b>Schedule IV-B Cover Sheet and Agency Project Approval</b>  |  |
|---|--|
| Agency: Florida Department of Education   | Schedule IV-B Submission Date: October 14, 2022  |
| Project Name: Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution   | Is this project included in the Agency's LRPP?<br><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |
| FY 2023-24 LBR Issue Code:<br>40004C0   | FY 2023-24 LBR Issue Title: Registered Apprenticeship Paperless Cloud-Based Solution and Registered Pre-Apprenticeship Registration and Case Management Solution - New Program                                     |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Andre Smith, 850-245-0428, <a href="mailto:Andre.Smith@fldoe.org">Andre.Smith@fldoe.org</a>   |  |
| <b>AGENCY APPROVAL SIGNATURES</b>   |  |
| 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: <i>Chief of Staff</i><br>  | Date:<br>10/13/22  |
| Printed Name: Manny Diaz, Jr. Anastasios Karamantas   |  |
| Agency Chief Information Officer (or equivalent):<br>   | Date:<br>10/13/22  |
| Printed Name: Andre Smith   |  |
| Budget Officer: <i>Suzanne Pidgeon</i>  | Date:<br>10/13/22  |
| Printed Name: Suzanne Pidgeon   |  |
| Planning Officer: <i>Bryan Hudnall</i>  | Date:<br>10/13/22  |
| Printed Name: Bryan Hudnall   |  |
| Project Sponsor: <i>Kevin O'Farrell</i>   | Date:<br>10/13/22  |
| Printed Name: Kevin O'Farrell   |  |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |  |
| Business Need:  | Kathryn Wheeler, 850-245-9038, <a href="mailto:kathryn.wheeler@fldoe.org">kathryn.wheeler@fldoe.org</a><br>Kathleen Taylor, 850-245-9062, <a href="mailto:kathleen.taylor@fldoe.org">kathleen.taylor@fldoe.org</a> |
| Cost Benefit Analysis:  | Kathryn Wheeler, 850-245-9038, <a href="mailto:kathryn.wheeler@fldoe.org">kathryn.wheeler@fldoe.org</a><br>Kathleen Taylor, 850-245-9062, <a href="mailto:kathleen.taylor@fldoe.org">kathleen.taylor@fldoe.org</a> |



## General Guidelines

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

Schedule IV-B is not required for requests to:

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

## Documentation Requirements

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

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

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

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

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

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

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

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

### **A. Background and Strategic Needs Assessment**

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

#### **1. Business Need**

In January 2019, Governor Ron DeSantis issued Executive Order 19-31, charting a course for Florida to become number one in the nation for workforce education by 2030. Our economy will need a skilled labor force for opportunities in health services, education, transportation, trade, utilities and computing. Registered apprenticeship and preapprenticeship training programs prepare individuals for occupations in these industries and are a key component of Florida’s workforce education ecosystem.

This request aims to develop and deploy a centralized apprenticeship enterprise solution that interfaces with Florida’s Workforce Innovation Opportunity Act (WIOA) case-management system with application functionality to enhance the user experience and develop and deploy a paperless registration that is cloud-based with Application Programming Interface (API) functionality to link to Florida’s WIOA case-management system with application functionality to enhance the user experience. These efforts will allow for seamless comprehensive data collection and standardization and improve data sharing and data integrity and systems change in order to comply with the Code of Federal Regulations.

Having a centralized apprenticeship enterprise solution will enable the Department to comply with statutory changes made as a result of HB 1507. This includes the establishment of policies requiring training providers to submit data necessary to determine program performance consistent with state and federal law (s. 446.032 (1), F.S.), as well as the requirement for the Department to report annually on retention, completion, and employment rates for recipients of the Pathways to Career Opportunities Grant (s. 1011.802(4)(b), F.S.).

In order to do this effectively, the Division of Career and Adult Education proposes to modernize the entire process of registering program sponsors and apprentices to a cloud-based format. Currently, all registration is a paper process. Moreover, the user experience must be user friendly and intuitive. To that end, consideration should be given to develop a smartphone app for apprentices and preapprentices to 1) complete the employer agreement and access their account, 2) engage in a new case management system capable of being linked with the Department of Economic Opportunity’s (DEO) proposed case management portal (FL-WINS) and 3) permit the Department of Education (FDOE) to have a more efficient means for case management of apprenticeship programs and their participating employers and apprentices.

While legacy construction programs have historically been the backbone of Florida’s registered apprenticeship programs, the Office of Apprenticeship looks to expand into other non-traditional industries such as healthcare, manufacturing, transportation and information technology. Oftentimes, employers in these industries struggle with antiquated paper-based registration systems and would be more receptive to a modernized approach.

This proposal also seeks to develop a preapprenticeship registration system—integrated with DEO’s case management system—to centrally track all registered preapprenticeship programs and associated preapprentices. The proposal would also consider resources to be used to build and maintain a web-based registration platform that will allow for the registration of preapprenticeship programs, completing action forms for preapprentices (registrations, completions, cancellations), accessing and printing preapprenticeship agreements and completion certificates, updating employer information, amending program occupations, and generating reports.

#### **2. Business Objectives**

- Develop a smartphone app for apprentices and preapprentices to complete the employer agreement and access their account.
- Engage in a new case management system capable of being linked with the DEO’s proposed case

## SCHEDULE IV-B FOR REGISTERED APPRENTICESHIP PAPERLESS CLOUD-BASED SOLUTION AND REGISTERED PREAPPRENTICESHIP REGISTRATION AND CASE MANAGEMENT SOLUTION

management portal and permit the department to have a more efficient means for case management of apprenticeship programs and their participating employers and apprentices.

- New systems will provide efficient means for case management of apprenticeship programs and their participating employers and apprentices and provide streamlined, efficient processes for program sponsors.
- New systems will impact state capacity to increase the number of apprenticeship and preapprenticeship programs served.
- Improved data quality on programs and participants used to assess equity and job quality using evidence-based approaches.
- Improved support for high-quality, scalable and sustainable programs through integration with the DEO case management system, and ability for apprentices to access resources.
- Ability for sponsors to send updates to participants through smartphone app.
- Improved data sharing with Department of Labor, CareerSource Florida and DEO.
- Decrease in time it takes to create or change and approve a Reemployment Assistance Program.
- Growth-oriented smartphone app and case management system capable of adding additional features with the growth and modernization of apprenticeship over many years to come.
- Compliance with Code of Federal Regulation (29 CFR Parts 29 and 30) and state statutes and rules.

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

---

### B. Baseline Analysis

*Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.*

#### 1. Current Business Process(es)

The current process is largely paper-based and inefficient. The solution seeks to modernize arcane paper-based functions and processes related to apprenticeship and preapprenticeship registration of program standards, amendments to program standards, conveyance of apprentice information. Secondly it seeks to centralize the collection of preapprentice information at the FDOE level in order to comply with s. 446.032 F.S. Presently there is no mechanism for preapprenticeship sponsors to report preapprentice personal identifiable information for tracking purposes.

Currently, new apprentices complete and sign an Apprenticeship Agreement Form in paper format. The form is given to the employer, who signs it, enters the information into the federal Registered Apprenticeship Partners Information Data System (RAPIDS) and sends it to the apprenticeship training representative (ATR) along with an action form. The ATR verifies that the information entered in RAPIDS matches the paper agreement and action form, signs the forms, and then mails the paper forms to both the program sponsor and the State Office of Apprenticeship in Tallahassee where these forms are saved in a file cabinet. The process is similar for new preapprentices; however, this information is not entered into RAPIDS, as the system does not account for preapprenticeship at this time. Currently, all data on registered preapprenticeship programs, including registered preapprentices, is stored at the regional level. This solution would allow for necessary centralization of functions in order to track outcomes of apprentices and preapprentices at completion and within 1 and 5 years after completion. Additionally, this solution will make it easier for modern companies to start apprenticeship programs in Florida.

While some regions have moved to electronic collection (ShareFile) and storage of these documents, the steps only mirror the cumbersome and time-consuming paper-based practices.

## SCHEDULE IV-B FOR REGISTERED APPRENTICESHIP PAPERLESS CLOUD-BASED SOLUTION AND REGISTERED PREAPPRENTICESHIP REGISTRATION AND CASE MANAGEMENT SOLUTION

In summary the current business process and delivery system lacks a coherent process flow, includes various business owners, and is inefficient and antiquated.

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

---

### 2. Assumptions and Constraints

Section 446.032, Florida Statutes requires enhanced accountability for registered apprenticeship and preapprenticeship programs including retention rates, completion rates and wage progression metrics annually for all programs based on registered sponsor, program and occupation. Presently, a centralized tracking system for preapprentices does not exist and self-reported information is maintained at the regional level which creates data integrity constraints and an inability to track outcomes associated with preapprentices. A key feature of this technology solution will allow the FDOE to track statutory outcomes with fidelity. Further the solution will increase the secure transmission of employer, apprentices and preapprentices records while minimizing processing inefficiencies.

## C. Proposed Business Process Requirements

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

### 1. Proposed Business Process Requirements

The proposed business process requirements are to procure, develop, deploy and train key constituents on a centralized apprenticeship enterprise solution. The solution will interface with Florida's proposed unified case-management system (FL-WINS), WIOA with application functionality to enhance the user experience and develop and deploy a paperless registration that is cloud-based with API functionality to link to FL-WINS with application functionality to enhance the user experience. These efforts will allow for seamless comprehensive data collection and standardization and improve data sharing and data integrity and systems change to comply with the Code of Federal Regulations (CFR 29 Parts 29 and 30).

At a minimum, the solution must:

- Build and maintain a web-based registration platform that will allow for the registration of preapprenticeship programs, completing action forms for preapprentices (registrations, completions, cancellations), accessing and printing preapprenticeship agreements and completion certificates, updating employer information, amending program occupations, and generating reports.
- Modernize the entire process of registering program sponsors and apprentices to a cloud-based format.
- Include functionality of a smartphone application for apprentices and preapprentices to complete the employer agreement and access their account.
- Generate standard and customized reports.
- Secure API connecting to FL-WINS.
- Provision of online support capabilities, training and assistance for core customers.

Finally, it is critical that the solution create and bring efficiency to the current process given the interest in apprenticeship and to have a secure method to store and track sponsor, apprentice and preapprentice information to determine outcomes and efficacy of preapprenticeship programs.

## **2. Business Solution Alternatives**

FDOE examined three alternatives to meet the business goals of the statewide threat assessment database solution:

- Develop a custom solution in-house
- Outsource a stand-alone custom solution
- Deploy a Commercial Off-the-shelf COTS solution

## **3. Rationale for Selection**

In considering the advantages and disadvantages of each alternative, the department also considered the following factors in making a selection:

- Usability
- Maintainability
- Scalability
- Data management
- Customization
- Cost
- Risk

## **4. Recommended Business Solution**

FDOE recommends outsourcing a custom solution to be used by the Office of Apprenticeship and its core customers. During 2021-2022, the Office of Apprenticeship served 275 registered apprenticeship programs comprised of 3,600 employers training 15,479 apprentices in 99 apprenticeable occupations and 53 preapprenticeship programs and approximately 1,500 preapprentices for a combined total of 17,179 apprentices and preapprentices. This represents a nine percent increase in the total number of registered apprenticeship and preapprenticeship programs from last year; a seven percent increase in the total number of newly registered apprentices over last year and eight more apprenticeable occupations used for training were registered during this same period. An outsourced custom solution will provide the flexibility to ensure that the unique requirements for this solution are met through a usable, cost-efficient, and secure solution.

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

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## **D. Functional and Technical Requirements**

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

The functional and technical requirements of centralized apprenticeship enterprise solution include the ability to interface with FL-WINS with application functionality to enhance the user experience and develop and deploy a paperless registration that is cloud-based with API functionality to link to FL-WINS with application functionality to enhance the user experience. These efforts will allow for seamless comprehensive data collection and standardization and improve data sharing and data integrity and systems change to comply with the Code of Federal Regulations (29 CFR Parts 29 and 30).

At a minimum, the solution must:

- Build and maintain a web-based registration platform that will allow for the registration of preapprenticeship programs, completing action forms for preapprentices (registrations, completions, cancellations), accessing and printing preapprenticeship agreements and completion certificates, updating employer information, amending program occupations, and generating reports.

**SCHEDULE IV-B FOR REGISTERED APPRENTICESHIP PAPERLESS CLOUD-BASED SOLUTION AND REGISTERED PREAPPRENTICESHIP REGISTRATION AND CASE MANAGEMENT SOLUTION**

- Modernize the entire process of registering program sponsors and apprentices to a cloud-based format.
- Include functionality of a smartphone application for apprentices and preapprentices to complete the employer agreement and access their account.

### III. Success Criteria

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

| SUCCESS CRITERIA TABLE |   |   |  |                          |
|------------------------|---|---|--|--------------------------|
| #                      | Description of Criteria   | How will the Criteria be measured/assessed?   | Who benefits?  | Realization Date (MM/YY) |
| 1                      | Develop and deploy a centralized preapprenticeship enterprise solution that interfaces with FL-WINS | <p>25% increase in the total number of registered preapprenticeship programs</p> <p>Secure transmission of student records containing PII</p> <p>Reduced burden on DOE staff</p> <p>Centralized reliable data for annual accountability reporting</p> | <p>Office of Registered Apprenticeship and Apprenticeship and Preapprenticeship Programs</p> <p>Apprentices and Preapprentices</p> | 06/24                    |
| 2                      | Develop and deploy a paperless registration system that is cloud-based                              | <p>Increase of 500 registered apprentices and preapprentices</p> <p>25% decrease in the length of time required to register new programs</p> <p>Secure transmission of student records containing PII</p> <p>Reduced burden on DO staff</p>           | <p>Office of Registered Apprenticeship and Apprenticeship and Preapprenticeship Programs</p> <p>Apprentices and Preapprentices</p> | 06/24                    |

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

#### A. Benefits Realization Table

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

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

| BENEFITS REALIZATION TABLE |   |   |  |  |                          |
|----------------------------|---|---|--|--|--------------------------|
| #                          | Description of Benefit  | Who receives the benefit?   | How is benefit realized?   | How is the realization of the benefit measured?                              | Realization Date (MM/YY) |
| 1                          | Efficient means for case management of programs, participating employers, and apprentices and preapprentices. | Program sponsors (employers)<br>Office of Apprenticeship                | Increase in new programs and expansion of existing programs  | 25% increase in new programs   | Annually beginning 06/24 |
| 2                          | Better data to assess equity and job quality using evidence-based approaches.                                 | Apprentices and preapprentices<br>Employers<br>Office of Apprenticeship | Increase in the number of apprentices, preapprentices, program sponsors and participating employers. | Increase in the those served as reported in the Annual Apprenticeship Report | 09/24                    |

**B. Cost Benefit Analysis (CBA)**

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

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

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



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

## V. Schedule IV-B Major Project Risk Assessment

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

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

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



## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System -

The Registered Apprenticeship Paperless Cloud-Based Solution and Registered Pre-Apprenticeship Registration and Case Management Solution currently does not exist

##### a. Description of Current System

N/A as a current system does not exist.

##### b. Current System Resource Requirements

N/A as a current system does not exist.

##### c. Current System Performance

N/A as a current system does not exist.

#### 2. Information Technology Standards

The Registered Apprenticeship Paperless Cloud-Based Solution and Registered Pre-Apprenticeship Registration and Case Management Solution will be architected and implemented based on the information technology standards defined in Florida Administrative Code Chapter 60GG-2 and best practices.

### B. Current Hardware and/or Software Inventory

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

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### C. Proposed Technical Solution

#### 1. Technical Solution Alternatives -

Developing a scaled-back custom solution in-house or a commercial off-the-shelf solution with minimal functionality are the only viable alternatives but would lack the customer relationship management (CRM) functionality.

#### 2. Rationale for Selection

In compliance with s. 282.206, F.S., the department has adopted a cloud-first policy to show preference towards cloud-computing solutions.

#### 3. Recommended Technical Solution

Commercial off-the-shelf solution with minimal functionality.

## D. Proposed Solution Description

### 1. Summary Description of Proposed System

The proposed system seeks to procure a centralized apprenticeship enterprise solution that interfaces with FL-WINS with application functionality to enhance the user experience and develop and deploy a paperless registration that is cloud-based with API functionality to link to FL-WINS with application functionality to enhance the user experience. These efforts will allow for seamless comprehensive data collection and standardization and improve data sharing and data integrity and systems change to comply with the Code of Federal Regulations.

At a minimum, the solution must:

- Build and maintain a web-based registration platform that will allow for the registration of preapprenticeship programs, completing action forms for preapprentices (registrations, completions, cancellations), accessing and printing preapprenticeship agreements and completion certificates, updating employer information, amending program occupations, and generating reports.
- Modernize the entire process of registering program sponsors and apprentices to a cloud-based format.
- Include functionality of a smartphone application for apprentices and preapprentices to complete the employer agreement and access their account.
- Generate standard and customized reports.
- Secure API connecting to FL-WINS.
- Provision of online support capabilities, training and assistance for core customers.

Finally, it is critical that the solution create and bring efficiency to the current process given the interest in apprenticeship and to have a secure method to store and track sponsor, apprentice and preapprentice information to determine outcomes and efficacy of preapprenticeship programs.

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

FDOE estimates a need of approximately \$5,000,000 for this project.

## E. Capacity Planning

*(historical and current trends versus projected requirements)*

## VII. Schedule IV-B Project Management Planning

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

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

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

Please see the attached Schedule IV-B Program Management Document.

## VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to

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accompany and support the narrative data provided by the agency within the Schedule IV-B.

- Risk Assessment
- Cost Benefit Analysis
- Project Plan

|    | B   | C | D   | E   | F | G                | H                    |
|----|---|---|---|---|---|------------------|----------------------|
| 3  | <b>Project</b>  |   | <i>Registered Apprenticeship Paperless Cloud-Based Solution and Registered Pre-Apprenticeship Registration and Case Management Solution</i> |   |   |                  |                      |
| 4  |   |   |   |   |   |                  |                      |
| 5  | <b>Agency</b>   |   | <i>Florida Department of Education</i>  |   |   |                  |                      |
| 6  | <b>FY 2023-24 LBR Issue Code:</b>   |   |   | <b>FY 2023-24 LBR Issue Title:</b>  |   |                  |                      |
| 7  | <i>40004C0</i>  |   |   | <i>Registered Apprenticeship Paperless Cloud-Based Solution and Registered Pre-Apprenticeship Registration and Case Management Solution - New Program</i> |   |                  |                      |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>  |   |   |   |   |                  |                      |
| 9  | <i>Andre Smith, 850-245-0428, Andre.Smith@fldoe.org</i>   |   |   |   |   |                  |                      |
| 10 | <b>Executive Sponsor</b>  |   |   | <i>Kevin O'Farrell</i>  |   |                  |                      |
| 11 | <b>Project Manager</b>  |   |   | <i>Kathleen Taylor</i>  |   |                  |                      |
| 12 | <b>Prepared By</b>  |   |   | <i>Tara Goodman</i>   |   | <i>9/22/2022</i> |                      |
| 14 | <b>Risk Assessment Summary</b>  |   |   |   |   |                  |                      |
| 15 | <div style="border: 1px solid black; padding: 10px;"> <p style="text-align: center; margin: 0;"><b>Risk Assessment Summary</b></p> </div> |   |   |   |   |                  |                      |
| 16 |   |   |   |   |   |                  |                      |
| 17 |   |   |   |   |   |                  |                      |
| 18 |   |   |   |   |   |                  |                      |
| 19 |   |   |   |   |   |                  |                      |
| 20 |   |   |   |   |   |                  |                      |
| 21 |   |   |   |   |   |                  |                      |
| 22 |   |   |   |   |   |                  |                      |
| 23 |   |   |   |   |   |                  |                      |
| 24 |   |   |   |   |   |                  |                      |
| 25 |   |   |   |   |   |                  |                      |
| 26 |   |   |   |   |   |                  |                      |
| 27 |   |   |   |   |   |                  |                      |
| 28 |   |   |   |   |   |                  |                      |
| 29 |   |   |   |   |   |                  |                      |
| 30 | <b>Level of Project Risk</b>  |   |   |   |   |                  |                      |
| 31 | <b>Least Risk</b>   |   |   | <b>Most Risk</b>  |   |                  |                      |
| 32 |   |   |   |   |   |                  |                      |
| 34 | <b>Project Risk Area Breakdown</b>  |   |   |   |   |                  |                      |
| 35 | <b>Risk Assessment Areas</b>  |   |   |   |   |                  | <b>Risk Exposure</b> |
| 36 | <b>Strategic Assessment</b>   |   |   |   |   |                  | <b>MEDIUM</b>        |
| 37 |   |   |   |   |   |                  |                      |
| 38 | <b>Technology Exposure Assessment</b>   |   |   |   |   |                  | <b>MEDIUM</b>        |
| 39 |   |   |   |   |   |                  |                      |
| 40 | <b>Organizational Change Management Assessment</b>  |   |   |   |   |                  | <b>HIGH</b>          |
| 41 |   |   |   |   |   |                  |                      |
| 42 | <b>Communication Assessment</b>   |   |   |   |   |                  | <b>HIGH</b>          |
| 43 |   |   |   |   |   |                  |                      |
| 44 | <b>Fiscal Assessment</b>  |   |   |   |   |                  | <b>HIGH</b>          |
| 45 |   |   |   |   |   |                  |                      |
| 46 | <b>Project Organization Assessment</b>  |   |   |   |   |                  | <b>MEDIUM</b>        |
| 47 |   |   |   |   |   |                  |                      |
| 48 | <b>Project Management Assessment</b>  |   |   |   |   |                  | <b>MEDIUM</b>        |
| 49 |   |   |   |   |   |                  |                      |
| 50 | <b>Project Complexity Assessment</b>  |   |   |   |   |                  | <b>MEDIUM</b>        |
| 51 |   |   |   |   |   |                  |                      |
| 52 |   |   |   |   |   |                  |                      |
| 53 | <b>Overall Project Risk</b>   |   |   |   |   |                  | <b>HIGH</b>          |

|    | B   | C   | D  | E   |
|----|---|---|--|---|
| 1  | Agency Paperless Case-Based Education and Registered Pre-Apprenticeship Registration and Case Management Solution |   |  |   |
| 3  | Section 1 -- Strategic Area   |   |  |   |
| 4  | #   | Criteria  | Values   | Answer  |
| 5  | 1.01  | Are project objectives clearly aligned with the agency's legal mission?   | 0% to 40% -- Few or no objectives aligned  | 81% to 100% -- All or nearly all objectives aligned         |
| 6  |   |   | 41% to 80% -- Some objectives aligned  |   |
| 7  |   |   | 81% to 100% -- All or nearly all objectives aligned  |   |
| 8  | 1.02  | Are project objectives clearly documented and understood by all stakeholder groups?   | Not documented or agreed to by stakeholders  | Informal agreement by stakeholders                          |
| 9  |   |   | Informal agreement by stakeholders   |   |
| 10 |   |   | Documented with sign-off by stakeholders   |   |
| 11 | 1.03  | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved   | Most regularly attend executive steering committee meetings |
| 12 |   |   | Most regularly attend executive steering committee meetings  |   |
| 13 |   |   | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |   |
| 14 | 1.04  | Has the agency documented its vision for how changes to the proposed technology will improve its business processes?                                  | Vision is not documented   | Vision is partially documented                              |
| 15 |   |   | Vision is partially documented   |   |
| 16 |   |   | Vision is completely documented  |   |
| 17 | 1.05  | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?                            | 0% to 40% -- Few or none defined and documented  | 0% to 40% -- Few or none defined and documented             |
| 18 |   |   | 41% to 80% -- Some defined and documented  |   |
| 19 |   |   | 81% to 100% -- All or nearly all defined and documented  |   |
| 20 | 1.06  | Are all needed changes in law, rule, or policy identified and documented?   | No changes needed  | No changes needed   |
| 21 |   |   | Changes unknown  |   |
| 22 |   |   | Changes are identified in concept only   |   |
| 23 |   |   | Changes are identified and documented  |   |
| 24 |   |   | Legislation or proposed rule change is drafted   |   |
| 25 | 1.07  | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?                     | Few or none  | Few or none   |
| 26 |   |   | Some   |   |
| 27 |   |   | All or nearly all  |   |
| 28 | 1.08  | What is the external (e.g. public) visibility of the proposed system or project?  | Minimal or no external use or visibility   | Extensive external use or visibility                        |
| 29 |   |   | Moderate external use or visibility  |   |
| 30 |   |   | Extensive external use or visibility   |   |
| 31 | 1.09  | What is the internal (e.g. state agency) visibility of the proposed system or project?  | Multiple agency or state enterprise visibility   | Use or visibility at division and/or bureau level only      |
| 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   | Greater than 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 Paperless Department Based Solution and Registered Pre-Apprenticeship Registration and Case Management Solution |  |  |  |
| 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  | Internal resources have sufficient knowledge for implementation and operations                             |
| 11 |  |  | External technical resources will be needed through implementation only  |  |
| 12 |  |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03   | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | Some alternatives documented and considered  |
| 14 |  |  | Some alternatives documented and considered  |  |
| 15 |  |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04   | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| 17 |  |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |  |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05   | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Minor or no infrastructure change required   |
| 20 |  |  | Moderate infrastructure change required  |  |
| 21 |  |  | Extensive infrastructure change required   |  |
| 22 |  |  | Complete infrastructure replacement  |  |
| 23 | 2.06   | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are defined only at a conceptual level   |
| 24 |  |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |  |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

|    | B  | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency Paperless Department Based Solution and Registered Pre-Apprenticeship Registration and Case Management Solution |  |  |  |
| 3  | <b>Section 3 -- Organizational Change Management Area</b>  |  |  |  |
| 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                    | 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   | Over 10% contractor count change   |
| 19 |  |  | 1 to 10% contractor count change   |  |
| 20 |  |  | Less than 1% contractor count change   |  |
| 21 | 3.07   | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?        | Extensive change or new way of providing/receiving services or information)      | Moderate changes   |
| 22 |  |  | Moderate changes   |  |
| 23 |  |  | Minor or no changes  |  |
| 24 | 3.08   | What is the expected change impact on other state or local government agencies as a result of implementing the project?                | Extensive change or new way of providing/receiving services or information       | Minor or no changes  |
| 25 |  |  | Moderate changes   |  |
| 26 |  |  | Minor or no changes  |  |
| 27 | 3.09   | Has the agency successfully completed a project with similar organizational change requirements?                                       | No experience/Not recently (>5 Years)  | No experience/Not recently (>5 Years)                                    |
| 28 |  |  | Recently completed project with fewer change requirements                        |  |
| 29 |  |  | Recently completed project with similar change requirements                      |  |
| 30 |  |  | Recently completed project with greater change requirements                      |  |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Agency Name                    |  | Project: Project Name  |  |
| 3  | <b>Section 4 -- Communication Area</b> |  |  |  |
| 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                                    | Proactive use of feedback in Plan                      |
| 8  |  |  | Routine feedback in Plan   |  |
| 9  |  |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                                   | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | No   |
| 11 |  |  | No   |  |
| 12 | 4.04                                   | Are all affected stakeholders included in the Communication Plan?  | Yes  | Yes  |
| 13 |  |  | No   |  |
| 14 | 4.05                                   | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Some key messages have been developed                  |
| 15 |  |  | Some key messages have been developed                                |  |
| 16 |  |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                                   | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Success measures have been developed for some messages |
| 18 |  |  | Success measures have been developed for some messages               |  |
| 19 |  |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                                   | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | No   |
| 21 |  |  | No   |  |



|    | B                        | C  | D   | E   |
|----|--------------------------|--|---|---|
| 1  | Agency                   | Standards-Based Evaluation   | and Registered Pre-Apprenticeship Registration and Case Management Solution                           |   |
| 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   | No  |
| 16 |                          |  | No  |   |
| 17 | 5.05                     | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Detailed and rigorous (accurate within ±10%)  |
| 18 |                          |  | Order of magnitude – estimate could vary between 10-100%  |   |
| 19 |                          |  | Placeholder – actual cost may exceed estimate by more than 100%                                       |   |
| 20 | 5.06                     | Are funds available within existing agency resources to complete this project?   | Yes   | No  |
| 21 |                          |  | No  |   |
| 22 | 5.07                     | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency  |
| 23 |                          |  | Funding from local government agencies  |   |
| 24 |                          |  | Funding from other state agencies   |   |
| 25 | 5.08                     | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Requested but not received  |
| 26 |                          |  | Requested but not received  |   |
| 27 |                          |  | Requested and received  |   |
| 28 |                          |  | Not applicable  |   |
| 29 | 5.09                     | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | All or nearly all project benefits have been identified and validated                                 |
| 30 |                          |  | Some project benefits have been identified but not validated  |   |
| 31 |                          |  | Most project benefits have been identified but not validated  |   |
| 32 |                          |  | All or nearly all project benefits have been identified and validated                                 |   |
| 33 | 5.10                     | What is the benefit payback period that is defined and documented?   | Within 1 year   | Within 1 year   |
| 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)  | Firm Fixed Price (FFP)  |
| 42 |                          |  | Firm Fixed Price (FFP)  |   |
| 43 |                          |  | Combination FFP and T&E   |   |
| 44 | 5.13                     | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Timing of major hardware and software purchases has not yet been determined                           |
| 45 |                          |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |   |
| 46 |                          |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |   |
| 47 | 5.14                     | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager is the 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  | All or nearly all selection criteria and expected outcomes have been defined and documented           |
| 54 |                          |  | Some selection criteria and outcomes have been defined and documented                                 |   |
| 55 |                          |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |   |
| 56 | 5.17                     | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| 57 |                          |  | Multi-stage evaluation not planned/used for procurement   |   |
| 58 |                          |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |   |
| 59 | 5.18                     | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Not applicable  |
| 60 |                          |  | No, bid response did/will not require proof of concept or prototype                                   |   |
| 61 |                          |  | Yes, bid response did/will include proof of concept or prototype                                      |   |
| 62 |                          |  | Not applicable  |   |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency Paperless Complaint Based on Education Registered Pre-Apprenticeship Registration and Case Management Solution |  |  |  |
| 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   | Agency   |
| 11 |   |  | Agency   |  |
| 12 |   |  | System Integrator (contractor)   |  |
| 13 | 6.04  | How many project managers and project directors will be responsible for managing the project?  | 3 or more  | 2  |
| 14 |   |  | 2  |  |
| 15 |   |  | 1  |  |
| 16 | 6.05  | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |
| 17 |   |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |   |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06  | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | Yes, experienced project manager dedicated full-time, 100% to project  |
| 20 |   |  | No, project manager is assigned 50% or less to project   |  |
| 21 |   |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |   |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07  | Are qualified project management team members dedicated full-time to the project   | None   | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |
| 24 |   |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |   |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |   |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08  | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Mostly staffed from in-house resources   |
| 28 |   |  | Half of staff from in-house resources  |  |
| 29 |   |  | Mostly staffed from in-house resources   |  |
| 30 |   |  | Completely staffed from in-house resources   |  |
| 31 | 6.09  | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |   |  | Moderate impact  |  |
| 33 |   |  | Extensive impact   |  |
| 34 | 6.10  | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 6.11  | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager  |
| 37 |   |  | No, only IT staff are on change review and control board   |  |
| 38 |   |  | No, all stakeholders are not represented on the board  |  |
| 39 |   |  | Yes, all stakeholders are represented by functional manager  |  |

|    | B                                    | C  | D  | E  |
|----|--------------------------------------|--|--|--|
| 1  | Agency                               | Illinois Department of Education   | Registered Pre-Apprenticeship Registration and Case Management Solution  |  |
| 3  | Section 7 -- Project Management Area |  |  |  |
| 4  | #                                    | Criteria   | Values   | Answer   |
| 5  | 7.01                                 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | Yes  |
| 6  |                                      |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |                                      |  | Yes  |  |
| 8  | 7.02                                 | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |                                      |  | 1-3  |  |
| 10 |                                      |  | More than 3  |  |
| 11 | 7.03                                 | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | All or nearly all  |
| 12 |                                      |  | Some   |  |
| 13 |                                      |  | All or nearly all  |  |
| 14 | 7.04                                 | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 81% to 100% -- All or nearly all have been defined and documented  |
| 15 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05                                 | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 18 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06                                 | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 81% to 100% -- All or nearly all requirements and specifications are traceable   |
| 21 |                                      |  | 41 to 80% -- Some are traceable  |  |
| 22 |                                      |  | 81% to 100% -- All or nearly all requirements and specifications are traceable   |  |
| 23 | 7.07                                 | Have all project deliverables/services and acceptance criteria been clearly defined and documented?  | None or few have been defined and documented   | Some deliverables and acceptance criteria have been defined and documented   |
| 24 |                                      |  | Some deliverables and acceptance criteria have been defined and documented   |  |
| 25 |                                      |  | All or nearly all deliverables and acceptance criteria have been defined and documented  |  |
| 26 | 7.08                                 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required   | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 |                                      |  | Only project manager signs-off   |  |
| 28 |                                      |  | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |  |
| 29 | 7.09                                 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?  | 0% to 40% -- None or few have been defined to the work package level   | 41 to 80% -- Some have been defined to the work package level  |
| 30 |                                      |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |                                      |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10                                 | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | Yes  |
| 33 |                                      |  | No   |  |
| 34 | 7.11                                 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | 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   | No or informal processes are used for status reporting   |
| 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   | No 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  | No   |
| 48 |                                      |  | No   |  |
| 49 | 7.17                                 | Are issue reporting and management processes documented and in place for this project?   | Yes  | No   |
| 50 |                                      |  | No   |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency Paperless Case-Based Education and Registered Pre-Apprenticeship Registration and Case Management Solution |  |  |  |
| 2  |   |  |  |  |
| 3  | <b>Section 8 -- Project Complexity Area</b>   |  |  |  |
| 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  | 9 to 15  |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | More than 4  |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Business process change in single division or bureau   |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Similar size and complexity  |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Similar size and complexity  |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |

CBAForm 1 - Net Tangible Benefits

Agency e Florida Department of Educati Project Registered Apprenticeship Pa

| 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<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2023-24                    |                                |  | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |  |  | FY 2027-28                    |                                |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>A.b Total Staff</b>  | 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                            |  |
| 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>B. Application Maintenance Costs</b>   | \$0                           | \$0                            | \$0  | \$200,000                     | \$0                            | \$200,000  | \$200,000                     | \$0                            | \$200,000  | \$200,000                     | \$0  | \$200,000  | \$200,000                     | \$0                            | \$200,000  |
| B-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$0                           | \$200,000                      | \$200,000  | \$200,000                     | \$0                            | \$200,000  | \$200,000                     | \$0                            | \$200,000  | \$200,000                     | \$0  | \$200,000  | \$200,000                     | \$0                            | \$200,000  |
| B-4. Other <i>Initial Platform Setup</i>  | \$0                           |                                | \$0  | \$0                           |                                | \$0  | \$0                           |                                | \$0  |                               | \$0  | \$0  |                               | \$0                            |  |
| <b>C. Data Center Provider Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-4. Disaster Recovery  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>D. Plant &amp; Facility Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>E. Other Costs</b>   | \$0                           | \$0                            | \$0  | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0  | \$50,000   | \$50,000                      | \$0                            | \$50,000   |
| 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>Specify</i>   | \$0                           | \$50,000                       | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$0                           | \$0                            | \$50,000   | \$0                           | \$50,000                                   | \$50,000   | \$0                           | \$50,000                       | \$50,000   |
| <b>Total of Recurring Operational Costs</b>   | \$0                           | \$250,000                      | \$250,000  | \$250,000                     | \$0                            | \$250,000  | \$250,000                     | \$0                            | \$250,000  | \$250,000                     | \$0  | \$250,000  | \$250,000                     | \$0                            | \$250,000  |
| <b>F. Additional Tangible Benefits:</b>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |
| F-1. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |
| F-2. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |
| F-3. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |
| <b>Total Net Tangible Benefits:</b>   |                               | (\$250,000)                    |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |                     |               |
|--|---------------------|---------------|
| Choose Type  | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous <input type="checkbox"/>                 | Confidence Level    |               |
| Order of Magnitude <input type="checkbox"/>                | Confidence Level    |               |
| Placeholder <input type="checkbox"/>                       | Confidence Level    |               |

| A  | B  |  | C                      | D   | E            | F                   |                  | G           | H        | I                | J           | K        |                  | L           | M        | N                | O           | P        | Q                | R           | S            | T                   |
|----|--|--|------------------------|---|--------------|---------------------|------------------|-------------|----------|------------------|-------------|----------|------------------|-------------|----------|------------------|-------------|----------|------------------|-------------|--------------|---------------------|
| 1  | The Florida Department of Education  | Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreA |                        |   |              |                     |                  |             |          |                  |             |          |                  |             |          |                  |             |          |                  |             |              |                     |
| 2  | Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |  |                        |   |              |                     |                  |             |          |                  |             |          |                  |             |          |                  |             |          |                  |             |              |                     |
| 3  |  |  |                        | \$ -  | \$ 5,000,000 |                     |                  | \$ -        |          |                  |             | \$ -     |                  |             | \$ -     |                  |             |          | \$ -             |             |              | \$ 5,000,000        |
| 4  | Item Description<br>(remove guidelines and annotate entries here)  | Project Cost Element   | Appropriation Category | Current & Previous Years Project-Related Cost | YR 1 #       | YR 1 LBR            | YR 1 Base Budget | YR 2 #      | YR 2 LBR | YR 2 Base Budget | YR 3 #      | YR 3 LBR | YR 3 Base Budget | YR 4 #      | YR 4 LBR | YR 4 Base Budget | YR 5 #      | YR 5 LBR | YR 5 Base Budget | TOTAL       |              |                     |
| 5  | Costs for all state employees working on the project.  | FTE  | S&B                    | \$ -  | 1.00         | \$ 100,000          | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -         | \$ 100,000          |
| 6  | Costs for all OPS employees working on the project.  | OPS  | OPS                    | \$ -  | 0.00         | \$ -                | \$ -             | 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        | \$ -     | \$ -             | 0.00        | \$ -         | \$ -                |
| 8  | Project management personnel and related deliverables.   | Project Management   | Contracted Services    | \$ -  | 1.00         | \$ 200,000          | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -         | \$ 200,000          |
| 9  | Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.  | Project Oversight  | Contracted Services    | \$ -  | 0.00         | \$ -                | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -         | \$ -                |
| 10 | Staffing costs for all professional services not included in other categories.   | Consultants/Contractors  | Contracted Services    | \$ -  | 0.00         | \$ -                | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -         | \$ -                |
| 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    | \$ -  |              | \$ 4,665,000        | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ 4,665,000 |                     |
| 15 | All first-time training costs associated with the project.   | Training   | Contracted Services    | \$ -  |              | \$ -                | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ -                |
| 16 | Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.  | Data Center Services - One Time Costs  | Data Center Category   |   |              | \$ -                | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ -                |
| 17 | Other contracted services not included in other categories.  | Other Services   | Contracted Services    | \$ -  |              | \$ 30,000           | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ 30,000    |                     |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)  | Equipment  | Expense                | \$ -  |              | \$ -                | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ -                |
| 19 | Include costs associated with leasing space for project personnel.   | Leased Space   | Expense                | \$ -  |              | \$ 5,000            | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ 5,000     |                     |
| 20 | Other project expenses not included in other categories.   | Other Expenses   | Expense                | \$ -  |              | \$ -                | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ -                |
| 21 | <b>Total</b>   |  |                        | \$ -  | <b>2.00</b>  | <b>\$ 5,000,000</b> | \$ -             | <b>0.00</b> | \$ -     | \$ -             | <b>0.00</b> | \$ -     | \$ -             | <b>0.00</b> | \$ -     | \$ -             | <b>0.00</b> | \$ -     | \$ -             | <b>0.00</b> | \$ -         | <b>\$ 5,000,000</b> |

CBAForm 2 - Project Cost Analysis

|  |   |
|--|---|
| Agency <a href="#">Department of Education</a> | Project <a href="#">d Solution and Registered PreApprentice</a> |
|--|---|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |               |               |               |               | TOTAL       |
|---|--|---------------|---------------|---------------|---------------|-------------|
|   | FY<br>2023-24                          | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |             |
| TOTAL PROJECT COSTS (*)   | \$5,000,000                            | \$0           | \$0           | \$0           | \$0           | \$5,000,000 |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$5,000,000                            | \$5,000,000   | \$5,000,000   | \$5,000,000   | \$5,000,000   |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |               |               |               |               |             |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |               |               |               |               | TOTAL        |
|--|--------------------------------------|---------------|---------------|---------------|---------------|--------------|
|  | FY<br>2023-24                        | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |              |
| General Revenue                        | \$5,000,000                          | \$5,000,000   | \$5,000,000   | \$5,000,000   | \$5,000,000   | \$25,000,000 |
| 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                       | \$5,000,000                          | \$5,000,000   | \$5,000,000   | \$5,000,000   | \$5,000,000   | \$25,000,000 |
| CUMULATIVE INVESTMENT                  | \$5,000,000                          | \$10,000,000  | \$15,000,000  | \$20,000,000  | \$25,000,000  |              |

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

CBAForm 3 - Project Investment Summary

|        |   |         |   |
|--------|---|---------|---|
| Agency | <a href="#">he Florida Department of Educatio</a> | Project | <a href="#">ion and Registered PreApp</a> |
|--------|---|---------|---|

| COST BENEFIT ANALYSIS -- CBAForm 3A     |               |               |               |               |               |                        |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
|   | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | TOTAL FOR ALL<br>YEARS |
| Project Cost                            | \$5,000,000   | \$0           | \$0           | \$0           | \$0           | \$5,000,000            |
| Net Tangible Benefits                   | (\$250,000)   | \$0           | \$0           | \$0           | \$0           | (\$250,000)            |
| Return on Investment                    | (\$5,250,000) | \$0           | \$0           | \$0           | \$0           | (\$5,250,000)          |
| Year to Year Change in Program Staffing | 0             | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |               |   |
|---|---------------|---|
| Payback Period (years)                      | NO PAYBACK    | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK    | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$5,072,464) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR)               | NO IRR        | IRR is the project's rate of return.  |

| Investment Interest Earning Yield -- CBAForm 3C |               |               |               |               |               |
|---|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year                                     | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |
| Cost of Capital                                 | 3.50%         | 3.50%         | 3.60%         | 3.60%         | 3.60%         |





# Project Management Plan

## Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution

### Project Department of Education

#### Contact Information

To request copies, suggest changes, or submit corrections, contact:  
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#### Revision History

| Date      | Version | Revised By      | Description                |
|-----------|---------|-----------------|----------------------------|
| 9/20/2022 | .1      | Kathleen Taylor | Revised w/ Master Template |
|           |         |                 |                            |

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## Introduction

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The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Division of Career and Adult Education – Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

Introduction

Project Charter

Scope Management Plan

Work Breakdown Structure (WBS)

Resource Breakdown Structure (RBS)

Master Project Schedule

Schedule Management Plan

Work Management Plan

Spending Plan

Communication Plan

Risk Management Plan

Issue Management Plan

Quality Management Plan

Change Management Plan

Procurement Management Plan

## 2. Project Charter

The Project Charter for the Florida Department of Education – Registered Apprenticeship Paperless Cloud-Based Solution and Registered Preapprenticeship Registration and Case Management Solution formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and it recognizes the project manager role and gives the project manager the authority to "get the job done." The document is due at initiation of the project.

### 2.1 Overview

As required by Section (s.) 446.011, Florida Statute, F.S., the Florida Department of Education (FDOE) is the state apprenticeship agency responsible for the promotion, registration, servicing and monitoring of registered apprenticeship and preapprenticeship programs as well as the annual reporting of program outcomes in accordance with s 446.032 F.S. FDOE is the United States Department of Labor, Office of Apprenticeship recognized apprenticeship registration agency as per 29-CFR Part-29.13 - Recognition of State Apprenticeship Agencies. The Division of Career and Adult Education, Office of Registered Apprenticeship oversees the day-to-day management of Florida's apprenticeship system in compliance with Federal regulations 29-CFR Part-29 - Labor Standards For the Registration Of Apprenticeship Programs, and 29-CFR Part-30 - Equal Employment Opportunity in Apprenticeship, as well as Chapters 446.011-092 Florida Statutes (FS) and Chapters 6A.23-001-011 Florida Administrative Code (FAC).

The division seeks to improve efficiency and access to information by procuring a paperless cloud-based solution for the management of the registered apprenticeship and preapprenticeship operations within the Division of Career and Adult Education. The assessment of operational needs identified a need to build and maintain a web-based registration platform that will allow for the registration of preapprenticeship programs, completing action forms for preapprentices (registrations, completions, cancellations), accessing and printing preapprenticeship agreements and completion certificates, updating employer information, amending program occupations, and generating reports. If this legislative budget request is not funded, the Department will maintain operations using antiquated technology and paper-based records. This structure does not support the most efficient methods of serving the needs of apprenticeship sponsors and their apprentices.

### 2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction

- Business Need

- Strategic Goals

- Project Scope

- Budget Estimate and Summary Project Schedule

- Assumptions and Constraints

- Project Team and Stakeholders

- Critical Success Factors

- Project Approvals

- Appendix A

---

### 3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification Scope Control

#### 3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for acceptance.

Upon approval of scope changes by the Change Control Board and Project Sponsor the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.

### 4. Work Breakdown Structure

The work required to complete this project is subdivided into individual work packages. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

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The project is organized in phases and coincides with the Project Management Institute, Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

The procurement, development, deployment, acceptance testing, launch, and training will be provided by the selected vendor. A WBS will be developed after the selected vendor provides the solution.

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## 5. Resource Breakdown Structure

The Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

Executive Sponsor - 1

Project Sponsor – 1

Project Manager – 1

Systems or Enterprise Architect/Technical Lead (Developer) – 1

Quality Assurance Analyst – 1

Security Analyst – 2

Developers – 1

DBA – 1 (assistance as needed)

## 6. Master Project Schedule

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The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained Microsoft Project. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

### 6.1 Schedule Management Plan

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

The Schedule Management Plan is organized into the following sections:

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

### Schedule Management Approach

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

#### Schedule Tool/Format

Project schedules will be created using Microsoft Project.

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

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

#### Schedule Milestones

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



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

- Completion of scope statement, Work Breakdown Structure (WBS) and Resource Breakdown Structure (RBS)

Baselined project schedule

Approval of final project budget

Project kick-off

Approval of roles and responsibilities

Requirements definition approval

Completion of data mapping/inventory

Project implementation

Acceptance of final deliverables

#### Project Manager Roles and Responsibilities

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

Closely monitoring the deliverable status.

Developing, maintaining, and meeting the approved project schedule.

Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.

Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.

Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

#### Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

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

## Work Breakdown Structure

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

The WBS for the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution is organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing.

## Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

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

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

### Reporting

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

## Schedule Changes

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

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

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

## Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The Change Management process will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

## Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

## Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.

## 7. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies

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## 8. Spending Management Plan

This section presents the project spending plan and the high-level project schedule for the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution .

### 8.1 Spending Plan

The table below shows the cost of the project projected for 2023-24.

Table 1: Summary Spending Plan

|   |                |
|---|----------------|
| Recurring Costs   |                |
| Services, subscriptions, maintenance                        | \$4,750,000    |
| Project Management Staffing and Potential Data Center Costs | \$250,000      |
|   |                |
| Total Amount to be Requested                                | \$5,000,000.00 |

## 9. Communication Plan

The Communication Plan describes the planned and periodic communications between the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Team and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

Introduction

Roles and Responsibilities

Communication Types

Communication Management

Appendix

The Communication Plan is filed for reference in the Project Documentation Folder.

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## 10. Risk Management Plan

This section presents the Risk Management Plan for the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution . A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

### 10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

### 10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy

- Risk Management Database

- Risk Breakdown Structure

Risks are reported separately in the SharePoint™ Risk Management Database.

## Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

### Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution .<sup>1</sup> The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and

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<sup>1</sup> David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

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Case Management Solution Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

#### Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

| Risk Probability |           |                      |
|------------------|-----------|----------------------|
| Low              | < 30%     | unlikely to occur    |
| Medium           | 31% - 50% | may occur            |
| High             | 51% - 80% | probably will occur  |
| Very High        | > 80%     | very likely to occur |

| Risk Impact |                      |   |                          |
|-------------|----------------------|---|--------------------------|
|             | <u>Cost Increase</u> | <u>Scope Change</u>   | <u>Schedule Increase</u> |
| Minor       | < 5%                 | Barely  | < 5%                     |
| Moderate    | 5% - 8%              | Minor areas of deliverable(s)   | 5% - 10%                 |
| Serious     | 9% - 10%             | Major areas of deliverable(s)   | 11% - 15%                |
| Critical    | > 10%                | Failure to complete deliverable or failure to achieve project objective | >15%                     |

| Probability x Impact Rank |              |                 |                |                 |
|---------------------------|--------------|-----------------|----------------|-----------------|
|                           | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low                       | Low(1)       | Low(1)          | Medium(2)      | High(3)         |
| Medium                    | Low(1)       | Medium(2)       | Medium(2)      | High(3)         |
| High                      | Low(1)       | Medium(2)       | High(3)        | High(3)         |
| Very High                 | Low(1)       | High(3)         | High(3)        | Very High(4)    |



## Risk Response Options

Risk responses are planned using four basic risk response options:

Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.

Avoid – take proactive action to eliminate the risk to the project.

Mitigate – take proactive action to reduce the probability and/or impact of the risk.

Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team and the Project Sponsor. Input from Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

## Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date.

The initial development of the Risk Management Database will be completed by the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team. The Risk Management Database will be updated on an ongoing basis by the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team will use the Risk Management Database as the system of record and store it in the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team in the weekly status meeting. The Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook and update the Project Workbook and upload it to the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

## Risk Management Responsibilities

The responsibility for managing risk is shared between the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity                         | Responsibility   |
|---------------------------------------|--|
| Identify risks                        | <p>All – Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team, Project Sponsor, subject matter experts, and other stakeholders.</p> <p>Initial identification was made by the Project Sponsor and Project Manager.</p> |
| Assess risks                          | <p>All – Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team, Project Sponsor, subject matter experts, and other stakeholders.</p> <p>Initial assessment was made by the Project Sponsor and Project Manager.</p>     |
| Plan risk responses                   | <p>All – Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team, Project Sponsor, subject matter experts, and other stakeholders.</p> <p>Initial responses were planned by the Project Sponsor and Project Manager.</p>  |
| Approve risk responses                | Project Sponsor  |
| Develop Risk Management Database      | Project Manager and Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team   |
| Maintain Risk Management Database     | Project Manager  |
| Develop or take risk response actions | Risk Owner   |
| Manage risk responses                 | Project Manager, Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team  |
| Report risks                          | Project Manager, Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team  |

## Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint™. It is reviewed and updated as necessary on a weekly basis.

### Risk Breakdown Structure (RBS)

| RBS LEVEL 1        | RBS LEVEL 2 |                                     |
|--------------------|-------------|-------------------------------------|
| 1. Technical Risk  | 1.1         | Scope Definition                    |
|                    | 1.2         | Requirements Definition             |
|                    | 1.3         | Estimates, Assumptions, Constraints |
|                    | 1.4         | Technical Processes                 |
|                    | 1.5         | Technology                          |
|                    | 1.6         | Interfaces                          |
|                    | 1.7         | Design                              |
|                    | 1.8         | Performance                         |
|                    | 1.9         | Reliability & Maintainability       |
|                    | 1.10        | ADA                                 |
|                    | 1.11        | Security                            |
|                    | 1.12        | Test & Acceptance                   |
| 2. Management Risk | 2.1         | Project Management                  |
|                    | 2.2         | Program Management                  |
|                    | 2.3         | Operations Management               |
|                    | 2.4         | Organization                        |
|                    | 2.5         | Resourcing                          |
|                    | 2.6         | Communication                       |
|                    | 2.7         | Information                         |
|                    | 2.8         | Health, Safety, & Environment       |
|                    | 2.9         | Quality                             |
|                    | 2.10        | Reputation                          |
| 3. Business Risk   | 3.1         | Contractual Terms & Conditions      |
|                    | 3.2         | Internal Procurement                |
|                    | 3.3         | Contractor                          |
|                    | 3.4         | Subcontracts                        |
|                    | 3.5         | Client/Customer Stability           |

|                  |      |                       |
|------------------|------|-----------------------|
|                  | 3.6  | Stakeholders          |
| 4. External Risk | 4.1  | Legislation           |
|                  | 4.2  | Exchange Rates        |
|                  | 4.3  | Site / Facilities     |
|                  | 4.4  | Environment / Weather |
|                  | 4.5  | Competition           |
|                  | 4.6  | Regulatory            |
|                  | 4.7  | Political             |
|                  | 4.8  | Country               |
|                  | 4.9  | Social / Demographic  |
|                  | 4.10 | Pressure Groups       |
|                  | 4.11 | Force Majeure         |

## 11. Issue Management Plan

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This section presents the Issue Management plan for the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

### 11.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- The resolution is in question or lacking agreement among stakeholders

- It is highly visible or involves external stakeholders such as requests or directives from control agencies

- It has critical deadlines or timeframes that cannot be missed

- It can result in an important decision or resolution for which the rationale and activities must be captured for historical purposes it has critical deadlines that may impede project progress.

Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

### 11.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy

- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint™ and maintained there for history.

## Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance. Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an

issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.

#### Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Manager via e-mail. Prospective issues shall be entered by the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution – Project Status Meeting.

#### Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented SharePoint™. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint™ will be updated weekly as needed by the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team will use Microsoft Project as the system of record. The Project Manager will add any new issues identified to Microsoft Project. These items will be

discussed with Project Sponsor and Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team in the weekly status meeting.

### Issue Management Responsibilities

The responsibility for managing issues is shared between the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity                    | Responsibility   |
|-----------------------------------|--|
| Identify issues                   | <p>All – Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team, Project Sponsor, subject matter experts, and other stakeholders.</p> <p>Initial identification will be made by the Project Sponsor and Project Manager.</p> |
| Validate issues                   | <p>All – Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team, Project Sponsor, subject matter experts, and other stakeholders.</p>  |
| Assign issues                     | <p>Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Manager, Project Sponsor, and Project Manager.</p>  |
| Approve issue responses           | <p>Project Sponsor and/or</p>  |
| Develop Issue Management Database | <p>Project Manager and Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team</p>  |

|  |   |
|--|---|
| Maintain Issue Management Database     | Project Manager   |
| Develop or take issue response actions | Issue Owner   |
| Manage issue responses                 | Project Manager, Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team |
| Report issues                          | Project Manager, Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team |

## Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible
2. Attempts to resolve must be made by appropriate parties prior to escalation
3. The issue owner, as identified by the issue tracker, completes the Issue Submission Form with a brief issue write-up identifying the issue, concerns, and positions of involved parties
4. The issue owner schedules a meeting to discuss with involved parties
5. The issue is ENTERED on the Issue Register for tracking
6. The issue owner provides the issue write-up at least 24 hours prior to meeting
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered)
9. Once escalation need is identified, notice is sent to the next levels of management (Project Sponsor and )



10. Issue review process is repeated at the next level of management

### Issue Submission Form

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

### Sample Issue Submission Form

A sample of the Issue Submission Form is shown on the following page.

| ISSUE SUBMISSION FORM               |                    |                |
|-------------------------------------|--------------------|----------------|
| Issue Number:                       | Reported By:       | Date Reported: |
| Issue Status:                       | Issue Assigned To: | Date Resolved: |
| Description of Issue:               |                    |                |
| Project Impact:                     |                    |                |
| Alternatives and Recommendation(s): |                    |                |
| Final Resolution:                   |                    |                |

## 12. Quality Management Plan

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### Introduction

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

## Approach

This section describes the approach the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project beginning in the first phase of the project to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

## Quality Management Approach Overview



Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
- Ensure the quality of the system development process, project artifacts, and project products to Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution and its stakeholder meet their requirements

#### Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

#### Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

#### Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

#### Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

#### Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.

## 13. Change Management Plan

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The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

### Change Management Process

This section provides the Change Management process which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

### Change Request Process Stages

Change Request Initiation: Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.

Change Impact Estimation: Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.

Approvals and Acceptance: The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

### Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage             | Step          | Description   |
|-------------------|---------------|---|
| Initiation        | Generate CR   | A submitter completes a CR Form and sends the completed form to the Project Manager   |
| Initiation        | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed.                              |
| Impact Estimation | Evaluate CR   | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change   |
| Approval          | Authorize     | Approval to move forward with incorporating the suggested change into the project/product   |
| Approval          | Implement     | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

#### Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in Appendix A – Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Change Request Form.

A sample copy of the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Change Request Form is provided in the table below:

Table 3. Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Project Change Request Form:

| Change Request  |           |            |
|---|-----------|------------|
| Project:  |           | Date:      |
| Change Requestor:   |           | Change No: |
| Change Category (Check all that apply):<br><input type="checkbox"/> Schedule <input type="checkbox"/> Cost <input type="checkbox"/> Scope <input type="checkbox"/> Requirements/Deliverables<br><input type="checkbox"/> Testing/Quality <input type="checkbox"/> Resources |           |            |
| Does this Change Affect (Check all that apply):<br><input type="checkbox"/> Corrective Action <input type="checkbox"/> Preventative Action <input type="checkbox"/> Defect Repair <input type="checkbox"/> Updates<br><input type="checkbox"/> Other                        |           |            |
| Describe the Change Being Requested:  |           |            |
| Describe the Reason for the Change:   |           |            |
| Describe all Alternatives Considered:   |           |            |
| Describe any Technical Changes Required to Implement this Change:   |           |            |
| Describe Risks to be Considered for this Change:  |           |            |
| Estimate Resources and Costs Needed to Implement this Change:   |           |            |
| Describe the Implications to Quality:   |           |            |
| Disposition:<br><input type="checkbox"/> Approve <input type="checkbox"/> Reject <input type="checkbox"/> Defer   |           |            |
| Justification of Approval, Rejection, or Deferral:  |           |            |
| Change Board Approval:  |           |            |
| Name  | Signature | Date       |
|   |           |            |
|   |           |            |

## Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Change Request Form included in Appendix A – Registered Apprenticeship Paperless Cloud-Based Solution and Registered PreApprenticeship Registration and Case Management Solution Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

## Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

## Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

- a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.
- b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

### Team Member Roles and Responsibilities

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

**Table 4. RASCI Matrix**

|   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
|---|------------------------|--|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|--|
| <b>ROLE Definitions</b>   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>R Responsible</b><br>The person who will perform the task.                             |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>I Informed</b><br>The person(s) who are kept up-to-date on task status.                |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>TASKS/ACTIVITIES</b>   | <b>Project Manager</b> |  | <b>Project Sponsor</b> | <b>Project Oversight Group</b> | <b>Business Analyst Team</b> | <b>Solution Architect</b> | <b>Database Team</b> | <b>Technical Team Lead</b> | <b>Development Team</b> | <b>Maintenance Team Manager</b> | <b>Maintenance Team</b> |  |



| Initiation Tasks              |     |     |   |   |   |   |   |   |   |   |   |
|-------------------------------|-----|-----|---|---|---|---|---|---|---|---|---|
| 1. Generate Change Request.   | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I   | I | I | I | I | I | I | I | I | I |

**Table 2. RASCI Matrix**

| ROLE Definitions  | Project Manager |  | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
|---|-----------------|--|-----------------|-------------------------|-----------------------|--------------------|---------------|---------------------|------------------|--------------------------|------------------|
| <b>R Responsible</b><br>The person who will perform the task.                             |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>I Informed</b><br>The person(s) who are kept up-to-                                    |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |

|                              |     |       |   |     |   |   |   |   |   |   |   |   |
|------------------------------|-----|-------|---|-----|---|---|---|---|---|---|---|---|
| date on task status.         |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>TASKS/ACTIVITIES</b>      |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>Impact Estimate Tasks</b> |     |       |   |     |   |   |   |   |   |   |   |   |
| 5. Evaluate Change Request.  | C   | C,R,A | I | I   | C | C | C | C | C | C | C | C |
| <b>Approval Tasks</b>        |     |       |   |     |   |   |   |   |   |   |   |   |
| 6. Authorize Change Request. | I   | I     | I | A,R | I | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C     | I | I   | I | I | I | I | I | I | I | I |
|                              |     |       |   |     |   |   |   |   |   |   |   |   |

## 14. Procurement Management Plan

---

The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

Introduction

General Procurement Approach

Procurement Definition

Staff Augmentation Procedures

Hardware/Software Purchasing

Northwest Regional Data Center (NWRDC) Services Request Procedures

Procurement Risks

Procurement Risk Management

Cost Determination

Procurement Constraints

Contract Manager

Vendor Management

### Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a Guidebook to Public Procurement to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. It was created by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' Guidebook to Public Procurement is revised each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.

The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify all items to be procured for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

### General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action is selected based on requirements.

### Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, procurement deadlines are usually affected by the project schedule and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. This is usually performed by the Business Analysts on the project team.

### Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that its decision was based upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). It is then up to the Project Sponsor to set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

#### Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the Operations Supervisor who will check to see if the item is already available within the Department. If not, then the specifications for the requirements should be provided to the Bureau Chief Staff Assistant so that it can be entered into the MyFloridaMarketPlace eQuote system for purposes of requesting quotes.

#### Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

#### Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

#### Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project

procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

### Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

### Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

Schedule: Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.

Cost: Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.

Scope: All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

Resources: All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.

Technology: Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

## Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
  - a. Contract Manager verifies with the Technical Contact any missing information
  - b. Contract Manager creates the Requisition in MyFloridaMarketPlace (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
  - a. Contract cover sheet
  - b. Purchase Order
  - c. Contract management check list
  - d. RFQ or SOW
  - e. Resume
  - f. Disclosure statement
  - g. Drug-free work place form
  - h. References
  - i. Skills matrix
  - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

## Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.



**SCHEDULE IV-B FOR CAREER PLANNING AND WORK-  
BASED LEARNING COORDINATION SYSTEM  
For Fiscal Year 2023-24**



**October 11, 2022**

**DEPARTMENT OF EDUCATION**

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**SCHEDULE IV-B FOR CAREER PLANNING AND WORK-BASED LEARNING COORDINATION SYSTEM**

**I. Schedule IV-B Cover Sheet**

| <b>Schedule IV-B Cover Sheet and Agency Project Approval</b>  |  |
|---|--|
| Agency: Florida Department of Education   | Schedule IV-B Submission Date: October 14, 2022  |
| Project Name: Career Planning and Work-Based Learning Coordination System   | Is this project included in the Agency's LRPP?<br><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |
| FY 2023-24 LBR Issue Code:<br>53004C0   | FY 2023-24 LBR Issue Title: Career Planning and Work-Based Learning Coordination System  |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Andre Smith, 850-245-0428, <a href="mailto:Andre.Smith@fldoe.org">Andre.Smith@fldoe.org</a>   |  |
| <b>AGENCY APPROVAL SIGNATURES</b>   |  |
| 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:<br><i>Chief of staff</i>   | Date: 10/13/22   |
| Printed Name: <del>Manny Diaz, Jr</del> Anastasios Karanoutsas  |  |
| Agency Chief Information Officer (or equivalent):   | Date: 10/13/22   |
| Printed Name: Andre Smith   |  |
| Budget Officer:   | Date: 10/23/22   |
| Printed Name: Suzanne Pridgeon  |  |
| Planning Officer:   | Date: 10/13/22   |
| Printed Name: Bryan Hudnall   |  |
| Project Sponsor:  | Date: 10/13/22   |
| Printed Name: Kevin O'Farrell   |  |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |  |
| Business Need:  | Kathryn Wheeler, 850-245-9038, <a href="mailto:kathryn.wheeler@fldoe.org">kathryn.wheeler@fldoe.org</a><br>Kathleen Taylor, 850-245-9062, <a href="mailto:kathleen.taylor@fldoe.org">kathleen.taylor@fldoe.org</a> |
| Cost Benefit Analysis:  | Kathryn Wheeler, 850-245-9038, <a href="mailto:kathryn.wheeler@fldoe.org">kathryn.wheeler@fldoe.org</a><br>Kathleen Taylor, 850-245-9062, <a href="mailto:kathleen.taylor@fldoe.org">kathleen.taylor@fldoe.org</a> |

## General Guidelines

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

Schedule IV-B is not required for requests to:

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

## Documentation Requirements

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

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

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

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

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

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

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

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

For Florida to become one of the top ten economies in the world, it needs a robust labor force that can meet the technical needs of the 21st century. To achieve that, we need to raise awareness of and help prepare students for the high-skill, in-demand, and high-wage career fields that will be the backbone of our future economy. Only with meaningful career information, data, and experiences can students make the fully-informed decisions necessary to choose a career and postsecondary path.

Section (s.) 1003.4156, Florida Statutes (F.S.), requires that students complete an “internet-based” career and education planning course prior to middle school graduation. Moreover, in 2021, House Bill (HB) 1507 in the 2021 created s. 446.0915, F.S., providing a statewide definition for work-based learning (WBL). Online systems are not only critical for both middle school and high school career exploration and planning, but also WBL placement and coordination. A robust career planning and WBL coordination system can seamlessly transition a student through the entire career exploration, planning, and placement process.

The process starts with career assessment so that the student has a better understanding of their own career interests, skills, and values. After assessment, a career planning and WBL coordination system can then – with customized specificity – direct a student to learn about aligned careers, explore career videos and media, dive into relevant labor market data, and be placed in a relevant internship, externship, preapprenticeship, or apprenticeship. Once the student has zeroed in on one or more careers of interest, they can investigate options and make specific and actionable plans to get postsecondary training aligned with their career goals. The system will house a vast panoply of postsecondary options – apprenticeships, technical college certificates, state college degrees, university degrees, military and AmeriCorps service, etc. – that can fit their career aspirations. A career planning system is a modern day non-negotiable necessity because of the way it customizes its results based on the student; its access to rich multimedia information on careers, postsecondary institutions and programs; its ability to provide up-to-date data related to careers and postsecondary training options; and its integration of a large selection of digital tools – assessments, graduation planning, financial aid, transcripts, data reports on students, etc.

WBL is an evidence-based educational practice and has a myriad of benefits, including higher graduation rates, higher academic performance, higher postsecondary matriculation rates, improved technical and employability skill development, student social capital building, student resume and application development, and a closer working relationship between employers and educators. These are difficult to realize benefits, as many teachers are unaware of which businesses are willing to offer work-based learning and many businesses have misconceptions related to Child Labor Laws and the benefits of offering work-based learning. A WBL coordination system addresses both difficulties by housing a database of businesses willing to offer WBL and by providing information and tools to make WBL both understandable and achievable for businesses. The system will help match students and classrooms with WBL opportunities, develop customized training agreements and plans, evaluate student performance to facilitate technical and employability skill development, track work hours, and engage the student in a process of reflection and career planning related to their experiences.

#### 2. Business Objectives

- Provide a Florida-specific career planning and WBL coordination system for students, instructors, counselors, and administrators in Florida districts, district postsecondary technical colleges/center and the Florida College system.
- Help Florida districts meet the middle school graduation “internet-based” career and education planning course requirements of s.1003.4156, F.S.
- Help Florida implement the provisions of HB 1507 (2021) around increased opportunities for WBL.
- Expose students to information, data, and experiences related to high-skill, high-wage, in-demand career



fields that meet the 21<sup>st</sup> century workforce needs of Florida.

- Help students weigh the costs and benefits of various postsecondary training programs and institutions to make an informed decision about the preparation aligned with their goals.
- Prepare students for postsecondary training through tools and information on testing, application, and financial aid processes.
- Complement and integrate with the existing statewide computer-assisted student advising services, as described in section s.1006.73(3)(b) F.S., the Workforce Development Information System (aka the Education Meets Opportunity Platform) as described in s.1008.40 (4) F.S., and the FL-WINS system currently under development by the Department of Economic Opportunity.
- Strengthen the relationship between businesses and educators in Florida by increasing the amount and quality of WBL happening in Florida.
- Realize the evidence-based benefits of work-based learning for Florida students, which include increased high school graduation rates, higher GPAs, increased employment rates, increased starting salaries, and higher rates of postsecondary matriculation.
- Support WBL quality through tools to match students and employers, training agreement and plan development, work hours tracking, student experience reflection, performance assessment, and program evaluation.
- Ensure that every student graduating high school in Florida is career ready, in that they have fully explored career and postsecondary options, developed specific and actionable college and career plans, and have first-hand experienced WBL to build career skills and clarify career aspirations.

## B. Baseline Analysis

*Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.*

### 1. Current Business Process(es)

District guidance services are regulated under s.1006.025, F.S. and career and education planning for middle school graduation is regulated under s.1003.4156, F.S. Students in middle school develop a personalized career and academic plan that readies them for high school course selection, high school graduation, and for postsecondary decision making and application. School counselors provide guidance and counseling related to course selection, careers, and postsecondary options. Many districts and schools struggle to provide enough school counselors to meet the American School Counselors Association recommended 1:250 ratio of school counselors to students. Districts and colleges individually choose if they are to have an online career planning system. The nature and quality of these systems varies widely.

WBL is regulated under s. 446.0915, F.S. and Rule 6A-23.0042, F.A.C. The majority of WBL happening in Florida is either organized by the students or by instructors of career and technical education programs. A small but growing number of districts and colleges have staff dedicated to recruiting businesses to offer WBL and supporting high-quality programming. Very few districts have WBL coordination systems. The nature and quality of these systems varies widely.

FDOE, Florida State University, the Florida Virtual Campus, and the Florida Association of School Counselors are in an active and incomplete Invitation to Negotiate (FSU ITN 6343-6) to procure a career planning and WBL system that meets the specifications of this Schedule IV-B, except that it will only be offered to grades 6-12. This procurement uses ESSER II dollars and has a performance date ending June 30, 2023. This Schedule IV-B will begin on July 1, 2023, extend the services procured within the aforementioned ITN, and expand upon them to postsecondary students at Florida technical colleges/centers and Florida State University System institutions.

### 2. Assumptions and Constraints

## C. Proposed Business Process Requirements

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

## 1. Proposed Business Process Requirements

- The system must meet the assessment, and the academic and career plan requirements of s.1003.4156(e), F.S., such as offer a “research-based assessments to assist students in determining educational and career options and goals” and a “completed personalized academic and career plan for the student that may be revised as the student progresses through middle school and high school.” (s. 1003.4156, F.S.) The assessment(s) provide a rich, multidimensional view of the student, such as their interests, aptitudes, and values. Solution must then help identify appropriate regional and state occupations or industries as a result and the necessary training programs or credentials required by those occupations or industries. The system provides the capability for parents, school counselors or other career advisors, as appropriate, to assist students in the review of their assessment and the preparation of their plan.
- Users may browse and search a hierarchical list of multimedia industry and occupation profiles.
- Users have access to detailed descriptions of institutions and credentials relevant to their career goals.
- Users are given access to information on admissions requirements, financial aid, and scholarships.
- Educators, students, and employers have direct access to work-based learning custom landing page and coordination functionality without having to navigate through career planning content or login.
- Educators and vetted employers are able to post WBL opportunities into the system. Employers can migrate their profile information into the career planning and work-based learning system from other systems, such as Employ Florida/FL-WINS. Students and educators are able to filter, browse, and search WBL opportunities based on a prioritized list of attributes, such as geographic location, industry, occupation, job description, duration, paid/unpaid, online/in-person, type of opportunity, qualifications, and number of positions available. Students and educators may then apply to the opportunities of their choice.
- Employer ability to search for students that would match to an available opportunity.
- The system supports WBL program quality through build-in tools, for instance training agreement formation and signing, mobile app access, student performance assessments, training modules, work hours logging and verification, student work product portfolio development, surveying, letter of recommendation templates, resume and cover letter templates, and student reflection tools.
- Respondent will provide an implementation team to support the implementation process to include any data loading necessary.
- Administrators could login in, generate data reports, and analyze system use and outcomes. Reporting should be flexible with any field being reportable.
- System can access and use data from multiple external data sources to aggregate, analyze, and visualize these data for students in an engaging fashion. The system must complement and integrate with the existing statewide computer-assisted student advising services, as described in s.1006.73(3)(b) F.S.
- Student data is appropriately secure and private.
- Users with a variety of disabilities and primary languages are able to access and use the system.
- Website is available 99.9% of the time with scheduled weekend/evening updates.
- Website is compatible with various browsers on both mobile and PC devices.
- System is available at no cost to the student and can meet the needs of Florida’s secondary student body.
- Debugging and other minor enhancements will take place regularly.
- Ability to brand the system specifically for Florida.
- The applicant will provide start-up and ongoing systems training through synchronous and asynchronous means to include written training content, virtual and on-site to the users. On-going support will require written, virtual, on-site means to help the individual communities (i.e., schools, school districts) organize and engage external and internal stakeholders (i.e., employers, parents, counselors, students, and other school personnel)
- System users will have access to written help content and help desk support.

## 2. Business Solution Alternatives

FDOE examined three alternatives to meet the business goals of the statewide threat assessment

database solution:

- Develop a custom solution in-house
- Outsource a stand-alone custom solution



**SCHEDULE IV-B FOR CAREER PLANNING AND WORK-BASED LEARNING COORDINATION SYSTEM**

- Deploy a Commercial Off-the-shelf COTS solution

**3. Rationale for Selection**

In considering the advantages and disadvantages of each alternative, the department also considered the following factors in making a selection:

- Usability
- Maintainability
- Scalability
- Data management
- Customization
- Cost

**4. Recommended Business Solution**

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

FDOE recommends procuring a custom outside solution to provide for the Career Planning and Work-Based Learning Coordination System to ensure that the unique requirements for this solution are met through a usable, cost efficient, and secure solution.

**D. Functional and Technical Requirements**

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

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

**III. Success Criteria**

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

| SUCCESS CRITERIA TABLE |   |  |   |                          |
|------------------------|---|--|---|--------------------------|
| #                      | Description of Criteria   | How will the Criteria be measured/assessed?  | Who benefits?                               | Realization Date (MM/YY) |
| 1                      | Customization of career planning system to include Florida labor market data and postsecondary institution and program data.  | Labor market data integration.<br>Postsecondary data integration.  | Students in Florida districts and colleges. | 08/23                    |
| 2                      | Customization of work-based learning functionality to meet the requirements of Work-Based Learning Standards Rule 6A-23.0042, F.A.C. and the specifications of the Florida Department of Education. | Training agreement and plan customization, work-based learning landing pages for educators, students, and employers. | Students in Florida districts and colleges. | 08/23                    |

**SCHEDULE IV-B FOR CAREER PLANNING AND WORK-BASED LEARNING COORDINATION SYSTEM**

| SUCCESS CRITERIA TABLE |  |  |   |       |
|------------------------|--|--|---|-------|
| 3                      | Execute a communication plan to raise district and college buy-in. | Email campaigns, virtual and in-person training and information sessions.  | Districts and colleges faculty and staff involved in adopting the system. | 08/23 |
| 4                      | Individual kick-off calls with system training team.               | Creation of local administrator accounts,  | District and college counselors and administrators.                       | 09/23 |
| 5                      | Local setup and configuration.                                     | Integration of student information system, loading of master course schedules, loading of student information into the system. | District and college counselors and administrators.                       | 09/23 |

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

**A. Benefits Realization Table**

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

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

| BENEFITS REALIZATION TABLE |   |  |  |   |                          |
|----------------------------|---|--|--|---|--------------------------|
| #                          | Description of Benefit                    | Who receives the benefit?              | How is benefit realized?   | How is the realization of the benefit measured?   | Realization Date (MM/YY) |
| 1                          | Increased postsecondary employment rates. | Florida district and college students. | Improved student decision making on career goals.<br>Expanded student social capital from work-based learning.<br>More competitive student resumes and applications due to work-based learning experience.<br>Improved student technical and employability skills. | Above 79% postsecondary employment rate (Goal 3 Skilled Workforce and Economic Development, Measure 1 – Postsecondary Employment Rate – Florida State Board of Education’s Strategic Plan 2020-2025). | 12/24                    |
| 2                          | Increased average initial wages.          | Florida district and college students. | Improved student decision making on career goals.<br>Expanded student social capital from work-based   | More than \$36,152 average initial wages earned by program completers in the Florida  | 12/24                    |

SCHEDULE IV-B FOR CAREER PLANNING AND WORK-BASED LEARNING COORDINATION SYSTEM

| BENEFITS REALIZATION TABLE |  |   |  |  |              |
|----------------------------|--|---|--|--|--------------|
|                            |  |   | <p>learning.</p> <p>More competitive student resumes and applications due to work-based learning experience.</p> <p>Improved student technical and employability skills.</p> | <p>College System, District Postsecondary, Blind Services, and Vocational Rehabilitation (Goal 3 Skilled Workforce and Economic Development, Measure 2 – Average Initial Wages – Florida State Board of Education’s Strategic Plan 2020-2025).</p> |              |
| 3                          | <p>Increased number of students making career and postsecondary training plans that are both aligned with their own informed choice and the labor market of Florida.</p> | <p>Florida district and college students.</p>   | <p>By exposure to up-to-date career information, data, and experiences.</p>  | <p>Personalized academic and career plans.</p>   | <p>08/23</p> |
| 4                          | <p>Increased number of high school students graduating on time.</p>  | <p>Florida high school students</p>   | <p>Reports of students that do not meet high school graduation requirements.</p>   | <p>Increase in the number of students graduating high school on time.</p>  | <p>08/23</p> |
| 5                          | <p>Increased number of Floridians obtaining a credential of value.</p>   | <p>Florida district and college students.</p>   | <p>By better informing students of the salary and employment benefits of high-skill, high-wage, and in-demand careers.</p>   | <p>The percent of Floridians that have attained a recognized postsecondary credential.</p>   | <p>08/23</p> |
| 6                          | <p>Increased number of work-based learning opportunities.</p>  | <p>Florida district and college students.</p> <p>Employers that hire better trained and vetted employees through work-based learning opportunities.</p> | <p>By matching students with available work-based learning opportunities.</p>  | <p>Number of work-based learning experiences.</p>  | <p>05/24</p> |

**SCHEDULE IV-B FOR CAREER PLANNING AND WORK-BASED LEARNING COORDINATION SYSTEM**

| BENEFITS REALIZATION TABLE |                                     |  |   |  |       |
|----------------------------|-------------------------------------|--|---|--|-------|
| 7                          | Higher quality work-based learning. | Florida district and college students.<br><br>Employers that hire better trained and vetted employees through work-based learning opportunities. | By better preparing and supporting students and employers for work-based learning through tools, information, and training. | High student performance assessments and high work-based learning program evaluations.<br><br>Increased number of students participating in a paid WBL experience.<br><br>Increased number of students that are participating in off-campus WBL. | 05/24 |

**B. Cost Benefit Analysis (CBA)**

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

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

| Cost Benefit Analysis              |  |
|------------------------------------|--|
| Form                               | Description of Data Captured   |
| CBA Form 1 - Net Tangible Benefits | <p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p> <p>The following benefits are sought through this initiative:</p> <ul style="list-style-type: none"> <li>• Postsecondary Employment Rate                             <ul style="list-style-type: none"> <li>○ Above 79% postsecondary employment rate (Goal 3 Skilled Workforce and Economic Development, Measure 1 – Postsecondary Employment Rate – Florida State Board of Education’s Strategic Plan 2020-2025).</li> </ul> </li> <li>• Average Initial Wages                             <ul style="list-style-type: none"> <li>○ More than \$36,152 average initial wages earned by program completers in the Florida College System, District Postsecondary, Blind Services, and Vocational Rehabilitation (Goal 3 Skilled Workforce and Economic Development, Measure 2 – Average Initial Wages – Florida State Board of Education’s Strategic Plan 2020-2025).</li> </ul> </li> <li>• Personalized Career and Academic Plan Formation                             <ul style="list-style-type: none"> <li>○ 100% of high school students in Florida will have completed a Personalized Career and Academic Plan</li> </ul> </li> </ul> |

| Cost Benefit Analysis                   |   |
|---|---|
| Form                                    | Description of Data Captured  |
|   | <p>before graduating.</p> <ul style="list-style-type: none"> <li>• High School Graduation Rate                             <ul style="list-style-type: none"> <li>○ 100% high school graduation rate, as targeted by the Florida State Board of Education’s Strategic Plan 2020-2025.</li> </ul> </li> <li>• Floridian Credential Attainment Rate                             <ul style="list-style-type: none"> <li>○ Greater than 60% of Floridians hold a credential of value, as targeted by Governor DeSantis’ Sail to Sixty initiative.</li> </ul> </li> <li>• Work-Based Learning Participation                             <ul style="list-style-type: none"> <li>○ Greater than 50% of Florida high school graduates will have completed a work-based learning experience prior to graduating.</li> </ul> </li> <li>• Work-Based Learning Quality (Baseline Setting Forthcoming)                             <ul style="list-style-type: none"> <li>○ Continuous improvement on student performance assessments and program evaluations</li> <li>○ Increased number of students participating in a paid WBL experience.</li> <li>○ Increased number of students that are participating in off-campus WBL.</li> </ul> </li> </ul> |
| CBA Form 2 - Project Cost Analysis      | <p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>  |
| CBA Form 3 - Project Investment Summary | <p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> <li>• Return on Investment</li> <li>• Payback Period</li> <li>• Breakeven Fiscal Year</li> <li>• Net Present Value</li> <li>• Internal Rate of Return</li> </ul>  |

## V. Schedule IV-B Major Project Risk Assessment

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

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

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



## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System

N/A current system does not exist.

#### 2. Information Technology Standards

The Career Planning and Work-Based Learning Coordination System will be architected and implemented based on the middle school career planning requirements of s.1003.4156, F.S., the guidance services requirements of s.1006.25, F.S., the requirements as defined in s. 446.0915, F.S., as well as best practices.

### B. Current Hardware and/or Software Inventory

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

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### C. Proposed Technical Solution

#### 1. Technical Solution Alternatives

No alternatives are contemplated.

#### 2. Rationale for Selection

Having a single system for both career planning and for WBL coordination reduces account creation and management complexity and increases the likelihood for student success and job placement.

#### 3. Recommended Technical Solution

Deploy a cloud-based solution for career planning and WBL coordination to be used by Florida district and college students, administrators, counselors, and Florida employers. The system will be able to:

- Assess students for career interests, values, and skills
- Allow students to browse and search for career aligned with their interests, values, and skills
- Expose students to career information, data, and experiences
- Allow students to browse and search for postsecondary training opportunities aligned with their career goals
- Facilitate students developing specific and actionable plans to apply for and gain financial aid related to their postsecondary goals
- Match students with WBL opportunities
- Prepare students for success in WBL opportunities through training agreements, training plans, and employability skill training
- Support high-quality WBL through training agreement and plan development, work hours tracking, student experience reflection, performance assessment, and program evaluation
- Create career planning and WBL reports to track participation and use

## D. Proposed Solution Description

### 1. Summary Description of Proposed System

The Career Planning and WBL Coordination System will be an online system, and services relevant to the maintenance and operation of this system, that will connect secondary students with information, data, and experiences that will inform their postsecondary and career decisions. This system will complement and integrate with the existing statewide computer-assisted student advising services, as described in s.1006.73(4)(b) F.S. Students will be guided by the system through a career assessment process, be introduced to industry and occupational information and data, be connected to key postsecondary information and data, and be matched with WBL opportunities. The system will be designed for students in secondary districts, postsecondary district technical colleges/center, and Florida College System institutions. The system will aim to merge or integrate data and resources from existing career planning, career advisement, employment or reemployment, and other academic advising solutions available in the state of Florida.

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

\$4,000,000 annually through general revenue.

## E. Capacity Planning

*(historical and current trends versus projected requirements)*

The system will give access to career planning and work-based learning coordination tools for roughly 1,533,769 students in 6th -12th grade and 370,510 students in Florida College System institutions (based on 2021-22 school year data).

## VII. Schedule IV-B Project Management Planning

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

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

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

## VIII. Appendices

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

- Risk Assessment
- Cost Benefit Analysis
- Project Plan



|    | B   | C          | D  | E  | F | G                | H                    |                   |  |   |  |  |  |  |
|----|---|------------|--|--|---|------------------|----------------------|-------------------|--|---|--|--|--|--|
| 3  | <b>Project</b>  |            | <i>Career Planning and Work-Based Learning</i> |  |   |                  |                      |                   |  |   |  |  |  |  |
| 4  |   |            | <i>Coordination System</i>                     |  |   |                  |                      |                   |  |   |  |  |  |  |
| 5  | <b>Agency</b>   |            | <i>Florida Department of Education</i>         |  |   |                  |                      |                   |  |   |  |  |  |  |
| 6  | <b>FY 2023-24 LBR Issue Code:</b>   |            |  | <b>FY 2023-24 LBR Issue Title:</b>             |   |                  |                      |                   |  |   |  |  |  |  |
| 7  | <i>53004C0</i>  |            |  | <i>Career Planning and Work-Based Learning</i> |   |                  |                      |                   |  |   |  |  |  |  |
| 8  |   |            |  | <i>Coordination System - New Program</i>       |   |                  |                      |                   |  |   |  |  |  |  |
| 9  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>  |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 10 | <i>Andre Smith, 850-245-0428, Andre.Smith@fldoe.org</i>   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 11 | <b>Executive Sponsor</b>  |            | <i>Kevin O'Farrell</i>                         |  |   |                  |                      |                   |  |   |  |  |  |  |
| 12 | <b>Project Manager</b>  |            | <i>Kathleen Taylor</i>                         |  |   |                  |                      |                   |  |   |  |  |  |  |
| 13 | <b>Prepared By</b>  |            | <i>Tara Goodman</i>                            |  |   | <i>9/22/2022</i> |                      |                   |  |   |  |  |  |  |
| 14 | <b>Risk Assessment Summary</b>  |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 15 | <div style="border: 1px solid black; padding: 10px;"> <table border="1" style="width: 100%; height: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"></td> <td style="width: 50%;"></td> </tr> <tr> <td style="text-align: center; vertical-align: middle;">◆</td> <td></td> </tr> </table> </div> |            |  |  |   |                  |                      |                   |  | ◆ |  |  |  |  |
|    |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| ◆  |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 16 |   |            |  |  |   |                  |                      | Most Aligned      |  |   |  |  |  |  |
| 17 |   |            |  |  |   |                  |                      | Business Strategy |  |   |  |  |  |  |
| 18 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 19 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 20 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 21 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 22 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 23 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 24 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 25 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 26 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 27 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 28 | Least Aligned   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 29 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 30 |   |            | <b>Level of Project Risk</b>                   |  |   |                  |                      |                   |  |   |  |  |  |  |
| 31 |   | Least Risk |  |  |   | Most Risk        |                      |                   |  |   |  |  |  |  |
| 32 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 34 | <b>Project Risk Area Breakdown</b>  |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 35 | <b>Risk Assessment Areas</b>  |            |  |  |   |                  | <i>Risk Exposure</i> |                   |  |   |  |  |  |  |
| 36 | <b>Strategic Assessment</b>   |            |  |  |   |                  | <b>MEDIUM</b>        |                   |  |   |  |  |  |  |
| 37 | <b>Technology Exposure Assessment</b>   |            |  |  |   |                  | <b>LOW</b>           |                   |  |   |  |  |  |  |
| 38 | <b>Organizational Change Management Assessment</b>  |            |  |  |   |                  | <b>MEDIUM</b>        |                   |  |   |  |  |  |  |
| 39 | <b>Communication Assessment</b>   |            |  |  |   |                  | <b>HIGH</b>          |                   |  |   |  |  |  |  |
| 40 | <b>Fiscal Assessment</b>  |            |  |  |   |                  | <b>MEDIUM</b>        |                   |  |   |  |  |  |  |
| 41 | <b>Project Organization Assessment</b>  |            |  |  |   |                  | <b>MEDIUM</b>        |                   |  |   |  |  |  |  |
| 42 | <b>Project Management Assessment</b>  |            |  |  |   |                  | <b>LOW</b>           |                   |  |   |  |  |  |  |
| 43 | <b>Project Complexity Assessment</b>  |            |  |  |   |                  | <b>HIGH</b>          |                   |  |   |  |  |  |  |
| 44 |   |            |  |  |   |                  |                      |                   |  |   |  |  |  |  |
| 45 | <b>Overall Project Risk</b>   |            |  |  |   |                  | <b>HIGH</b>          |                   |  |   |  |  |  |  |

|    | B                                       | C   | D  | E  |
|----|---|---|--|--|
| 1  | Agency: Florida Department of Education |   | Project: Career Planning and Work-Based Learning Coordination System   |  |
| 3  | Section 1 -- Strategic Area             |   |  |  |
| 4  | #                                       | Criteria  | Values   | Answer   |
| 5  | 1.01                                    | Are project objectives clearly aligned with the agency's legal mission?   | 0% to 40% -- Few or no objectives aligned  | 81% to 100% -- All or nearly all objectives aligned  |
| 6  |   |   | 41% to 80% -- Some objectives aligned  |  |
| 7  |   |   | 81% to 100% -- All or nearly all objectives aligned  |  |
| 8  | 1.02                                    | Are project objectives clearly documented and understood by all stakeholder groups?   | Not documented or agreed to by stakeholders  | Documented with sign-off by stakeholders   |
| 9  |   |   | Informal agreement by stakeholders   |  |
| 10 |   |   | Documented with sign-off by stakeholders   |  |
| 11 | 1.03                                    | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved   | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |
| 12 |   |   | Most regularly attend executive steering committee meetings  |  |
| 13 |   |   | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |  |
| 14 | 1.04                                    | Has the agency documented its vision for how changes to the proposed technology will improve its business processes?                                  | Vision is not documented   | Vision is completely documented  |
| 15 |   |   | Vision is partially documented   |  |
| 16 |   |   | Vision is completely documented  |  |
| 17 | 1.05                                    | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?                            | 0% to 40% -- Few or none defined and documented  | 81% to 100% -- All or nearly all defined and documented  |
| 18 |   |   | 41% to 80% -- Some defined and documented  |  |
| 19 |   |   | 81% to 100% -- All or nearly all defined and documented  |  |
| 20 | 1.06                                    | Are all needed changes in law, rule, or policy identified and documented?   | No changes needed  | No changes needed  |
| 21 |   |   | Changes unknown  |  |
| 22 |   |   | Changes are identified in concept only   |  |
| 23 |   |   | Changes are identified and documented  |  |
| 24 |   |   | Legislation or proposed rule change is drafted   |  |
| 25 | 1.07                                    | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?                     | Few or none  | Few or none  |
| 26 |   |   | Some   |  |
| 27 |   |   | All or nearly all  |  |
| 28 | 1.08                                    | What is the external (e.g. public) visibility of the proposed system or project?  | Minimal or no external use or visibility   | Extensive external use or visibility   |
| 29 |   |   | Moderate external use or visibility  |  |
| 30 |   |   | Extensive external use or visibility   |  |
| 31 | 1.09                                    | What is the internal (e.g. state agency) visibility of the proposed system or project?  | Multiple agency or state enterprise visibility   | 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   | Greater than 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 Education |  | Project: Career Planning and Work-Based Learning Coordination System   |  |
| 3  | Section 2 -- Technology Area            |  |  |  |
| 4  | #                                       | Criteria   | Values   | Answer   |
| 5  | 2.01                                    | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?   | Read about only or attended conference and/or vendor presentation  | Installed and supported production system more than 3 years  |
| 6  |   |  | Supported prototype or production system less than 6 months  |  |
| 7  |   |  | Supported production system 6 months to 12 months  |  |
| 8  |   |  | Supported production system 1 year to 3 years  |  |
| 9  |   |  | Installed and supported production system more than 3 years  |  |
| 10 | 2.02                                    | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations  | Internal resources have sufficient knowledge for implementation and operations                             |
| 11 |   |  | External technical resources will be needed through implementation only  |  |
| 12 |   |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03                                    | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | All or nearly all alternatives documented and considered   |
| 14 |   |  | Some alternatives documented and considered  |  |
| 15 |   |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04                                    | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| 17 |   |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |   |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05                                    | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Minor or no infrastructure change required   |
| 20 |   |  | Moderate infrastructure change required  |  |
| 21 |   |  | Extensive infrastructure change required   |  |
| 22 |   |  | Complete infrastructure replacement  |  |
| 23 | 2.06                                    | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are based on historical data and new system design specifications and                |
| 24 |   |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |   |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Education                   |  | Project: Career Planning and Work-Based Learning Coordination System             |  |
| 3  | <b>Section 3 -- Organizational Change Management Area</b> |  |  |  |
| 4  | <b>#</b>  | <b>Criteria</b>  | <b>Values</b>  | <b>Answer</b>  |
| 5  | 3.01  | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes         | Minimal changes to organization structure, staff or business processes structure |
| 6  |   |  | Moderate changes to organization structure, staff or business processes          |  |
| 7  |   |  | Minimal changes to organization structure, staff or business processes structure |  |
| 8  | 3.02  | Will this project impact essential business processes?   | Yes  | Yes  |
| 9  |   |  | No   |  |
| 10 | 3.03  | Have all business process changes and process interactions been defined and documented?  | 0% to 40% -- Few or no process changes defined and documented                    | 41% to 80% -- Some process changes defined and documented                        |
| 11 |   |  | 41% to 80% -- Some process changes defined and documented                        |  |
| 12 |   |  | 81% to 100% -- All or nearly all processes defined and documented                |  |
| 13 | 3.04  | Has an Organizational Change Management Plan been approved for this project?   | Yes  | Yes  |
| 14 |   |  | No   |  |
| 15 | 3.05  | Will the agency's anticipated FTE count change as a result of implementing the project?  | Over 10% FTE count change  | Less than 1% FTE count change  |
| 16 |   |  | 1% to 10% FTE count change   |  |
| 17 |   |  | Less than 1% FTE count change  |  |
| 18 | 3.06  | Will the number of contractors change as a result of implementing the project?   | Over 10% contractor count change   | Less than 1% contractor count change   |
| 19 |   |  | 1 to 10% contractor count change   |  |
| 20 |   |  | Less than 1% contractor count change   |  |
| 21 | 3.07  | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?        | Extensive change or new way of providing/receiving services or information)      | Moderate changes   |
| 22 |   |  | Moderate changes   |  |
| 23 |   |  | Minor or no changes  |  |
| 24 | 3.08  | What is the expected change impact on other state or local government agencies as a result of implementing the project?                | Extensive change or new way of providing/receiving services or information       | 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 similar change requirements                      |
| 28 |   |  | Recently completed project with fewer change requirements                        |  |
| 29 |   |  | Recently completed project with similar change requirements                      |  |
| 30 |   |  | Recently completed project with greater change requirements                      |  |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Agency Name                    |  | Project: Project Name  |  |
| 3  | <b>Section 4 -- Communication Area</b> |  |  |  |
| 4  | #                                      | Criteria   | Value Options  | Answer   |
| 5  | 4.01                                   | Has a documented Communication Plan been approved for this project?  | Yes  | No   |
| 6  |  |  | No   |  |
| 7  | 4.02                                   | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan                                    | Negligible or no feedback in Plan                                    |
| 8  |  |  | Routine feedback in Plan   |  |
| 9  |  |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                                   | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | No   |
| 11 |  |  | No   |  |
| 12 | 4.04                                   | Are all affected stakeholders included in the Communication Plan?  | Yes  | No   |
| 13 |  |  | No   |  |
| 14 | 4.05                                   | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Plan does not include key messages                                   |
| 15 |  |  | Some key messages have been developed                                |  |
| 16 |  |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                                   | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Plan does not include desired messages outcomes and success measures |
| 18 |  |  | Success measures have been developed for some messages               |  |
| 19 |  |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                                   | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | No   |
| 21 |  |  | No   |  |

|    | B                                       | C  | D   | E   |
|----|---|--|---|---|
| 1  | Agency: Florida Department of Education |  | Project: Career Planning and Work-Based Learning Coordination System                                  |   |
| 3  | Section 5 -- Fiscal Area                |  |   |   |
| 4  | #                                       | Criteria   | Values  | Answer  |
| 5  | 5.01                                    | Has a documented Spending Plan been approved for the entire project lifecycle?   | Yes   | Yes   |
| 6  |   |  | No  |   |
| 7  | 5.02                                    | Have all project expenditures been identified in the Spending Plan?  | 0% to 40% -- None or few defined and documented   | 81% to 100% -- All or nearly all defined and documented   |
| 8  |   |  | 41% to 80% -- Some defined and documented   |   |
| 9  |   |  | 81% to 100% -- All or nearly all defined and documented   |   |
| 10 | 5.03                                    | What is the estimated total cost of this project over its entire lifecycle?  | Unknown   | Greater than \$10 M   |
| 11 |   |  | Greater than \$10 M   |   |
| 12 |   |  | Between \$2 M and \$10 M  |   |
| 13 |   |  | Between \$500K and \$1,999,999  |   |
| 14 |   |  | Less than \$500 K   |   |
| 15 | 5.04                                    | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?   | Yes   | No  |
| 16 |   |  | No  |   |
| 17 | 5.05                                    | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Detailed and rigorous (accurate within ±10%)  |
| 18 |   |  | Order of magnitude – estimate could vary between 10-100%  |   |
| 19 |   |  | Placeholder – actual cost may exceed estimate by more than 100%                                       |   |
| 20 | 5.06                                    | Are funds available within existing agency resources to complete this project?   | Yes   | No  |
| 21 |   |  | No  |   |
| 22 | 5.07                                    | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from other state agencies   |
| 23 |   |  | Funding from local government agencies  |   |
| 24 |   |  | Funding from other state agencies   |   |
| 25 | 5.08                                    | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Neither requested nor received  |
| 26 |   |  | Requested but not received  |   |
| 27 |   |  | Requested and received  |   |
| 28 |   |  | Not applicable  |   |
| 29 | 5.09                                    | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | All or nearly all project benefits have been identified and validated                                 |
| 30 |   |  | Some project benefits have been identified but not validated  |   |
| 31 |   |  | Most project benefits have been identified but not validated  |   |
| 32 |   |  | All or nearly all project benefits have been identified and validated                                 |   |
| 33 | 5.10                                    | What is the benefit payback period that is defined and documented?   | Within 1 year   | Within 1 year   |
| 34 |   |  | Within 3 years  |   |
| 35 |   |  | Within 5 years  |   |
| 36 |   |  | More than 5 years   |   |
| 37 |   |  | No payback  |   |
| 38 | 5.11                                    | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?   | Procurement strategy has not been identified and documented   | Stakeholders have reviewed and approved the proposed procurement strategy                             |
| 39 |   |  | Stakeholders have not been consulted re: procurement strategy   |   |
| 40 |   |  | Stakeholders have reviewed and approved the proposed procurement strategy                             |   |
| 41 | 5.12                                    | What is the planned approach for acquiring necessary products and solution services to successfully complete the project?  | Time and Expense (T&E)  | Firm Fixed Price (FFP)  |
| 42 |   |  | Firm Fixed Price (FFP)  |   |
| 43 |   |  | Combination FFP and T&E   |   |
| 44 | 5.13                                    | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Timing of major hardware and software purchases has not yet been determined                           |
| 45 |   |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |   |
| 46 |   |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |   |
| 47 | 5.14                                    | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager is the 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  | All or nearly all selection criteria and expected outcomes have been defined and documented           |
| 54 |   |  | Some selection criteria and outcomes have been defined and documented                                 |   |
| 55 |   |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |   |
| 56 | 5.17                                    | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| 57 |   |  | Multi-stage evaluation not planned/used for procurement   |   |
| 58 |   |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |   |
| 59 | 5.18                                    | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Yes, bid response did/will include 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 Education |  | Project: Career Planning and Work-Based Learning Coordination System   |  |
| 3  | Section 6 -- Project Organization Area  |  |  |  |
| 4  | #                                       | Criteria   | Values   | Answer   |
| 5  | 6.01                                    | Is the project organization and governance structure clearly defined and documented within an approved project plan?   | Yes  | Yes  |
| 6  |   |  | No   |  |
| 7  | 6.02                                    | Have all roles and responsibilities for the executive steering committee been clearly identified?  | None or few have been defined and documented   | All or nearly all have been defined and documented   |
| 8  |   |  | Some have been defined and documented  |  |
| 9  |   |  | All or nearly all have been defined and documented   |  |
| 10 | 6.03                                    | Who is responsible for integrating project deliverables into the final solution?   | Not yet determined   | System Integrator (contractor)   |
| 11 |   |  | Agency   |  |
| 12 |   |  | System Integrator (contractor)   |  |
| 13 | 6.04                                    | How many project managers and project directors will be responsible for managing the project?  | 3 or more  | 2  |
| 14 |   |  | 2  |  |
| 15 |   |  | 1  |  |
| 16 | 6.05                                    | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented |
| 17 |   |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |   |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06                                    | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | No, project manager is assigned 50% or less to project   |
| 20 |   |  | No, project manager is assigned 50% or less to project   |  |
| 21 |   |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |   |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07                                    | Are qualified project management team members dedicated full-time to the project   | None   | No, business, functional or technical experts dedicated 50% or less 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  | Completely staffed from in-house resources   |
| 28 |   |  | Half of staff from in-house resources  |  |
| 29 |   |  | Mostly staffed from in-house resources   |  |
| 30 |   |  | Completely staffed from in-house resources   |  |
| 31 | 6.09                                    | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |   |  | Moderate impact  |  |
| 33 |   |  | Extensive impact   |  |
| 34 | 6.10                                    | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 6.11                                    | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager  |
| 37 |   |  | No, only IT staff are on change review and control board   |  |
| 38 |   |  | No, all stakeholders are not represented on the board  |  |
| 39 |   |  | Yes, all stakeholders are represented by functional manager  |  |

|    | B                                       | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Education |  | Project: Career Planning and Work-Based Learning   | Coordination System  |
| 3  | Section 7 -- Project Management Area    |  |  |  |
| 4  | #                                       | Criteria   | Values   | Answer   |
| 5  | 7.01                                    | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | Yes  |
| 6  |   |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |   |  | Yes  |  |
| 8  | 7.02                                    | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |   |  | 1-3  |  |
| 10 |   |  | More than 3  |  |
| 11 | 7.03                                    | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | All or nearly all  |
| 12 |   |  | Some   |  |
| 13 |   |  | All or nearly all  |  |
| 14 | 7.04                                    | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 81% to 100% -- All or nearly all have been defined and documented  |
| 15 |   |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |   |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05                                    | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 81% to 100% -- All or nearly all have been defined and documented  |
| 18 |   |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |   |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06                                    | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 81% to 100% -- All or nearly all requirements and specifications are traceable   |
| 21 |   |  | 41 to 80% -- Some are traceable  |  |
| 22 |   |  | 81% to 100% -- All or nearly all requirements and specifications are traceable   |  |
| 23 | 7.07                                    | Have all project deliverables/services and acceptance criteria been clearly defined and documented?  | None or few have been defined and documented   | All or nearly all deliverables and acceptance criteria have been defined and documented  |
| 24 |   |  | Some deliverables and acceptance criteria have been defined and documented   |  |
| 25 |   |  | All or nearly all deliverables and acceptance criteria have been defined and documented  |  |
| 26 | 7.08                                    | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required   | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 |   |  | Only project manager signs-off   |  |
| 28 |   |  | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |  |
| 29 | 7.09                                    | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?  | 0% to 40% -- None or few have been defined to the work package level   | 81% to 100% -- All or nearly all have been defined to the work package level   |
| 30 |   |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |   |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10                                    | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | Yes  |
| 33 |   |  | No   |  |
| 34 | 7.11                                    | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 7.12                                    | Are formal project status reporting processes documented and in place to manage and control this project?  | No or informal processes are used for status reporting   | Project team uses formal processes   |
| 37 |   |  | Project team uses formal processes   |  |
| 38 |   |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13                                    | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | Some 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   | All known risks and mitigation strategies have been defined  |
| 45 |   |  | Some have been defined and documented  |  |
| 46 |   |  | All known risks and mitigation strategies have been defined  |  |
| 47 | 7.16                                    | Are standard change request, review and approval processes documented and in place for this project?   | Yes  | Yes  |
| 48 |   |  | No   |  |
| 49 | 7.17                                    | Are issue reporting and management processes documented and in place for this project?   | Yes  | Yes  |
| 50 |   |  | No   |  |



|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Education     |  | Project: Career Planning and Work-Based Learning Coordination System                                 |  |
| 2  |   |  |  |  |
| 3  | <b>Section 8 -- Project Complexity Area</b> |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 8.01  | How complex is the proposed solution compared to the current agency systems?   | Unknown at this time   | Unknown at this time   |
| 6  |   |  | More complex   |  |
| 7  |   |  | Similar complexity   |  |
| 8  |   |  | Less complex   |  |
| 9  | 8.02  | Are the business users or end users dispersed across multiple cities, counties, districts, or regions?   | Single location  | More than 3 sites  |
| 10 |   |  | 3 sites or fewer   |  |
| 11 |   |  | More than 3 sites  |  |
| 12 | 8.03  | Are the project team members dispersed across multiple cities, counties, districts, or regions?  | Single location  | Single location  |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | 1 to 3 external organizations  |
| 16 |   |  | 1 to 3 external organizations  |  |
| 17 |   |  | More than 3 external organizations   |  |
| 18 | 8.05  | What is the expected project team size?  | Greater than 15  | 5 to 8   |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | 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  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Similar size and complexity  |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Similar size and complexity  |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |

CBAForm 1 - Net Tangible Benefits

|        |                         |         |                             |
|--------|-------------------------|---------|-----------------------------|
| Agency | Department of Education | Project | Career Planning and Work-Ba |
|--------|-------------------------|---------|-----------------------------|

| 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<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2023-24                    |                                |  | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |  |  | FY 2027-28                    |                                |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>A.b Total Staff</b>  | 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>B. Application Maintenance Costs</b>   | \$0                           | \$4,000,000                    | \$4,000,000  | \$4,000,000                   | \$0                            | \$4,000,000  | \$4,000,000                   | \$0                            | \$4,000,000  | \$4,000,000                   | \$0  | \$4,000,000  | \$4,000,000                   | \$0                            | \$4,000,000  |
| B-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$0                           | \$3,000,000                    | \$3,000,000  | \$3,000,000                   | \$0                            | \$3,000,000  | \$3,000,000                   | \$0                            | \$3,000,000  | \$3,000,000                   | \$0  | \$3,000,000  | \$3,000,000                   | \$0                            | \$3,000,000  |
| B-4. Other <i>Postsecondary user services.</i>  | \$0                           | \$1,000,000                    | \$1,000,000  | \$1,000,000                   | \$0                            | \$1,000,000  | \$1,000,000                   | \$0                            | \$1,000,000  | \$1,000,000                   | \$0  | \$1,000,000  | \$1,000,000                   | \$0                            | \$1,000,000  |
| <b>C. Data Center Provider Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-4. Disaster Recovery  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>D. Plant &amp; Facility Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>E. Other Costs</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| E-1. Training   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| E-2. Travel   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| E-3. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>Total of Recurring Operational Costs</b>   | \$0                           | \$4,000,000                    | \$4,000,000  | \$4,000,000                   | \$0                            | \$4,000,000  | \$4,000,000                   | \$0                            | \$4,000,000  | \$4,000,000                   | \$0  | \$4,000,000  | \$4,000,000                   | \$0                            | \$4,000,000  |
| <b>F. Additional Tangible Benefits:</b>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-1. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-2. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-3. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| <b>Total Net Tangible Benefits:</b>   |                               | (\$4,000,000)                  |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |                     |               |
|--|---------------------|---------------|
| Choose Type  | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous <input type="checkbox"/>                 | Confidence Level    |               |
| Order of Magnitude <input type="checkbox"/>                | Confidence Level    |               |
| Placeholder <input type="checkbox"/>                       | Confidence Level    |               |

| A  | B  |   | C                      | D   | E            | F            |                  | G      | H        | I                | J      | K        | L                | M      | N        | O                | P      | Q        | R                | S     | T            |
|----|--|---|------------------------|---|--------------|--------------|------------------|--------|----------|------------------|--------|----------|------------------|--------|----------|------------------|--------|----------|------------------|-------|--------------|
| 1  | Department of Education  | Career Planning and Work-Based Learning Coordination System |                        |   |              |              |                  |        |          |                  |        |          |                  |        |          |                  |        |          |                  |       |              |
| 2  | Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |   |                        |   | FY2023-24    |              | FY2024-25        |        |          | FY2025-26        |        |          | FY2026-27        |        |          | FY2027-28        |        |          | TOTAL            |       |              |
| 3  | \$ -   |   |                        |   | \$ 4,000,000 |              | \$ -             |        |          | \$ -             |        |          | \$ -             |        |          | \$ -             |        |          | \$ 4,000,000     |       |              |
| 4  | Item Description<br><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                    | \$ -  | 0.25         | \$ 14,500    | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | \$ -  | \$ 14,500    |
| 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    | \$ -  | 1.00         | \$ 200,000   | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | \$ -  | \$ 200,000   |
| 9  | Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.  | Project Oversight   | Contracted Services    | \$ -  | 0.00         | \$ -         | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | \$ -  | \$ -         |
| 10 | Staffing costs for all professional services not included in other categories.   | Consultants/Contractors                                     | Contracted Services    | \$ -  | 0.00         | \$ -         | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | 0.00   | \$ -     | \$ -             | \$ -  | \$ -         |
| 11 | Separate requirements analysis and feasibility study procurements.   | Project Planning/Analysis                                   | Contracted Services    | \$ -  |              | \$ -         | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             | \$ -  | \$ -         |
| 12 | Hardware purchases not included in data center services.   | Hardware  | OCO                    | \$ -  |              | \$ -         | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             | \$ -  | \$ -         |
| 13 | Commercial software purchases and licensing costs.   | Commercial Software   | Contracted Services    | \$ -  |              | \$ 3,750,500 | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             | \$ -  | \$ 3,750,500 |
| 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    | \$ -  |              | \$ 30,000    | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             | \$ -  | \$ 30,000    |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)  | Equipment   | Expense                | \$ -  |              | \$ -         | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             | \$ -  | \$ -         |
| 19 | Include costs associated with leasing space for project personnel.   | Leased Space  | Expense                | \$ -  |              | \$ 5,000     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             | \$ -  | \$ 5,000     |
| 20 | Other project expenses not included in other categories.   | Other Expenses  | Expense                | \$ -  |              | \$ -         | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             |        | \$ -     | \$ -             | \$ -  | \$ -         |
| 21 | <b>Total</b>   |   |                        |   | \$ -         | 1.25         | \$ 4,000,000     | \$ -   | 0.00     | \$ -             | \$ -   | 0.00     | \$ -             | \$ -   | 0.00     | \$ -             | \$ -   | 0.00     | \$ -             | \$ -  | \$ 4,000,000 |

CBAForm 2 - Project Cost Analysis

|                                       |   |
|---------------------------------------|---|
| Agency <u>Department of Education</u> | Project <u>ning and Work-Based Learning Coordin</u> |
|---------------------------------------|---|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |               |               |               |               | TOTAL       |
|---|--|---------------|---------------|---------------|---------------|-------------|
|   | FY<br>2023-24                          | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |             |
| TOTAL PROJECT COSTS (*)   | \$4,000,000                            | \$0           | \$0           | \$0           | \$0           | \$4,000,000 |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$4,000,000                            | \$4,000,000   | \$4,000,000   | \$4,000,000   | \$4,000,000   |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |               |               |               |               |             |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |               |               |               |               | TOTAL        |
|--|--------------------------------------|---------------|---------------|---------------|---------------|--------------|
|  | FY<br>2023-24                        | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |              |
| General Revenue                        | \$4,000,000                          | \$4,000,000   | \$4,000,000   | \$4,000,000   | \$4,000,000   | \$20,000,000 |
| 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                       | \$4,000,000                          | \$4,000,000   | \$4,000,000   | \$4,000,000   | \$4,000,000   | \$20,000,000 |
| CUMULATIVE INVESTMENT                  | \$4,000,000                          | \$8,000,000   | \$12,000,000  | \$16,000,000  | \$20,000,000  |              |

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

CBAForm 3 - Project Investment Summary

|        |                                |         |                                  |
|--------|--------------------------------|---------|----------------------------------|
| Agency | <u>Department of Education</u> | Project | <u>nd Work-Based Learning Co</u> |
|--------|--------------------------------|---------|----------------------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A     |               |               |               |               |               |                        |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
|   | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | TOTAL FOR ALL<br>YEARS |
| Project Cost                            | \$4,000,000   | \$0           | \$0           | \$0           | \$0           | \$4,000,000            |
| Net Tangible Benefits                   | (\$4,000,000) | \$0           | \$0           | \$0           | \$0           | (\$4,000,000)          |
| Return on Investment                    | (\$8,000,000) | \$0           | \$0           | \$0           | \$0           | (\$8,000,000)          |
| Year to Year Change in Program Staffing | 0             | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |               |   |
|---|---------------|---|
| Payback Period (years)                      | NO PAYBACK    | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK    | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$7,729,469) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR)               | NO IRR        | IRR is the project's rate of return.  |

| Investment Interest Earning Yield -- CBAForm 3C |               |               |               |               |               |
|---|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year                                     | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |
| Cost of Capital                                 | 3.50%         | 3.50%         | 3.60%         | 3.60%         | 3.60%         |



# Project Management Plan

## Career Planning and Work-Based Learning Coordination System

### Department of Education

#### Contact Information

To request copies, suggest changes, or submit corrections, contact:  
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#### Revision History

| Date    | Version | Revised By   | Description                |
|---------|---------|--------------|----------------------------|
| 9/22/22 | .1      | Tara Goodman | Revised w/ Master Template |
|         |         |              |                            |

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## Introduction

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The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Division of Technology & Innovation – Career Planning and Work-Based Learning Coordination System Project. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

Introduction

Project Charter

Scope Management Plan

Work Breakdown Structure (WBS)

Resource Breakdown Structure (RBS)

Master Project Schedule

Schedule Management Plan

Work Management Plan

Spending Plan

Communication Plan

Risk Management Plan

Issue Management Plan

Quality Management Plan

Change Management Plan

Procurement Management Plan



## 2. Project Charter

The Project Charter for the Florida Department of Education, Division of Technology & Innovation – Career Planning and Work-Based Learning Coordination System Project formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and it recognizes the project manager role and gives the project manager the authority to "get the job done." The document is due at initiation of the project.

### 2.1 Overview

The Florida Department of Education (FDOE) has identified XXXX need. The state has not had a centralized career planning system available for the 2022-23 year with agencies required to work locally to provide solutions that satisfy statutory career planning requirements. A statewide solution was identified as a need and the state has approved use of federal COVID relief funds for an initial procurement; however, there is no current funding sources that would support any continuation funds for the project. The funding will be used to pay for student and educator subscription fees, as well as, system customization - branding; programming for additional data and work-based learning functionality; expand functionality to include students of postsecondary district technical colleges/center and Florida College System institutions; system training for teachers, counselors, and administrators; and user technical assistance. Florida's students need data, information, and experiences to make fully informed decisions about their future careers. A career readiness system complete with prioritized and graphical labor market data; multimedia occupational, industry, and postsecondary training profiles; as well as functionality to coordinate and support work-based learning will have the power to connect students to the world of work in life changing ways. If this legislative budget request is not funded, the Department will not be able to maintain a statewide career planning and work-based learning system.

### 2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction
- Business Need
- Strategic Goals
- Project Scope
- Budget Estimate and Summary Project Schedule
- Assumptions and Constraints
- Project Team and Stakeholders
- Critical Success Factors
- Project Approvals
- Appendix A

---

### 3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification Scope
- Control

#### 3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for acceptance.

Upon approval of scope changes by the Change Control Board and Project Sponsor the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.

---

## 4. Work Breakdown Structure

The work required to complete this project is subdivided into individual work packages. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

The project is organized in phases and coincides with the Project Management Institute, Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

The installation, deployment, acceptance testing, launch, and training will be provided by the Vendor. A WBS will be developed after the selected vendor provides the solution.

---

## 5. Resource Breakdown Structure

The Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

Executive Sponsor - 1

Project Sponsor – 1

Project Manager – 1

Systems or Enterprise Architect/Technical Lead (Developer) – 1

Quality Assurance Analyst – 1

Security Analyst – 2

Developers – 1

DBA – 1 (assistance as needed)

## 6. Master Project Schedule

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The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained Microsoft Project. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

### 6.1 Schedule Management Plan

---

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

The Schedule Management Plan is organized into the following sections:

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

### Schedule Management Approach

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

#### Schedule Tool/Format

Project schedules will be created using Microsoft Project.

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

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

#### Schedule Milestones

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

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

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

#### Project Manager Roles and Responsibilities

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

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.
- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

#### Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

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

## Work Breakdown Structure

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

The WBS for the Career Planning and Work-Based Learning Coordination System Project is organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing.

## Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

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

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

### Reporting

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

## Schedule Changes

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

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

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

## Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The Change Management process will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

## Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

## Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.



## 7. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies

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## 8. Spending Management Plan

This section presents the project spending plan and the high-level project schedule for the Threat Management Project.

### 8.1 Spending Plan

The table below shows the cost of the project projected for 2023-24.

Table 1: Summary Spending Plan

|                                      |                    |
|--------------------------------------|--------------------|
| Recurring Costs                      |                    |
| Services, subscriptions, maintenance | <u>\$4,000,000</u> |
| Total Recurring Costs                | \$4,000,000        |

## 9. Communication Plan

The Communication Plan describes the planned and periodic communications between the Career Planning and Work-Based Learning Coordination System Team and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

- Introduction
- Roles and Responsibilities
- Communication Types
- Communication Management
- Appendix

The Communication Plan is filed for reference in the Project Documentation Folder.

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## 10. Risk Management Plan

This section presents the Risk Management Plan for the Career Planning and Work-Based Learning Coordination System Project. A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

### 10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

### 10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy
- Risk Management Database
- Risk Breakdown Structure

Risks are reported separately in the SharePoint™ Risk Management Database.

## Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

### Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the Career Planning and Work-Based Learning Coordination System Project.<sup>1</sup> The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the Career Planning and Work-Based Learning Coordination System Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the Career Planning and Work-Based Learning Coordination System Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

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<sup>1</sup> David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

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## Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

| Risk Probability |           |                      |
|------------------|-----------|----------------------|
| Low              | < 30%     | unlikely to occur    |
| Medium           | 31% - 50% | may occur            |
| High             | 51% - 80% | probably will occur  |
| Very High        | > 80%     | very likely to occur |

| Risk Impact |                      |   |                          |
|-------------|----------------------|---|--------------------------|
|             | <u>Cost Increase</u> | <u>Scope Change</u>   | <u>Schedule Increase</u> |
| Minor       | < 5%                 | Barely  | < 5%                     |
| Moderate    | 5% - 8%              | Minor areas of deliverable(s)   | 5% - 10%                 |
| Serious     | 9% - 10%             | Major areas of deliverable(s)   | 11% - 15%                |
| Critical    | > 10%                | Failure to complete deliverable or failure to achieve project objective | >15%                     |

| Probability x Impact Rank |              |                 |                |                 |
|---------------------------|--------------|-----------------|----------------|-----------------|
|                           | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low                       | Low(1)       | Low(1)          | Medium(2)      | High(3)         |
| Medium                    | Low(1)       | Medium(2)       | Medium(2)      | High(3)         |
| High                      | Low(1)       | Medium(2)       | High(3)        | High(3)         |
| Very High                 | Low(1)       | High(3)         | High(3)        | Very High(4)    |

## Risk Response Options

Risk responses are planned using four basic risk response options:

- Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.
- Avoid – take proactive action to eliminate the risk to the project.
- Mitigate – take proactive action to reduce the probability and/or impact of the risk.
- Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the Career Planning and Work-Based Learning Coordination System Project Team and the Project Sponsor. Input from Career Planning and Work-Based Learning Coordination System subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

## Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date.

The initial development of the Risk Management Database will be completed by the Career Planning and Work-Based Learning Coordination System Project Team. The Risk Management Database will be updated on an ongoing basis by the Career Planning and Work-Based Learning Coordination System Project Manager using the weekly project status meetings, status reports, and other relevant sources. The Career Planning and Work-Based Learning Coordination System Project Team will use the Risk Management Database as the system of record and store it in the Career Planning and Work-Based Learning Coordination System SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and Career Planning and Work-Based Learning Coordination System Project Team in the weekly status meeting. The Career Planning and Work-Based Learning Coordination System Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook and update the Project Workbook and upload it to the Career Planning and Work-Based Learning Coordination System Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

## Risk Management Responsibilities

The responsibility for managing risk is shared between the Career Planning and Work-Based Learning Coordination System Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity                         | Responsibility  |
|---------------------------------------|---|
| Identify risks                        | All – Career Planning and Work-Based Learning Coordination System Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial identification was made by the Project Sponsor and Project Manager. |
| Assess risks                          | All – Career Planning and Work-Based Learning Coordination System Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial assessment was made by the Project Sponsor and Project Manager.     |
| Plan risk responses                   | All – Career Planning and Work-Based Learning Coordination System Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial responses were planned by the Project Sponsor and Project Manager.  |
| Approve risk responses                | Project Sponsor   |
| Develop Risk Management Database      | Project Manager and Career Planning and Work-Based Learning Coordination System Project Team  |
| Maintain Risk Management Database     | Project Manager   |
| Develop or take risk response actions | Risk Owner  |
| Manage risk responses                 | Project Manager, Career Planning and Work-Based Learning Coordination System Project Team   |
| Report risks                          | Project Manager, Career Planning and Work-Based Learning Coordination System Project Team   |

## Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint™. It is reviewed and updated as necessary on a weekly basis.

## Risk Breakdown Structure (RBS)

| RBS LEVEL 1        | RBS LEVEL 2 |                                     |
|--------------------|-------------|-------------------------------------|
| 1. Technical Risk  | 1.1         | Scope Definition                    |
|                    | 1.2         | Requirements Definition             |
|                    | 1.3         | Estimates, Assumptions, Constraints |
|                    | 1.4         | Technical Processes                 |
|                    | 1.5         | Technology                          |
|                    | 1.6         | Interfaces                          |
|                    | 1.7         | Design                              |
|                    | 1.8         | Performance                         |
|                    | 1.9         | Reliability & Maintainability       |
|                    | 1.10        | ADA                                 |
|                    | 1.11        | Security                            |
|                    | 1.12        | Test & Acceptance                   |
| 2. Management Risk | 2.1         | Project Management                  |
|                    | 2.2         | Program Management                  |
|                    | 2.3         | Operations Management               |
|                    | 2.4         | Organization                        |
|                    | 2.5         | Resourcing                          |
|                    | 2.6         | Communication                       |
|                    | 2.7         | Information                         |
|                    | 2.8         | Health, Safety, & Environment       |
|                    | 2.9         | Quality                             |
|                    | 2.10        | Reputation                          |
| 3. Business Risk   | 3.1         | Contractual Terms & Conditions      |
|                    | 3.2         | Internal Procurement                |
|                    | 3.3         | Contractor                          |
|                    | 3.4         | Subcontracts                        |
|                    | 3.5         | Client/Customer Stability           |
|                    | 3.6         | Stakeholders                        |
| 4. External Risk   | 4.1         | Legislation                         |
|                    | 4.2         | Exchange Rates                      |
|                    | 4.3         | Site / Facilities                   |
|                    | 4.4         | Environment / Weather               |
|                    | 4.5         | Competition                         |
|                    | 4.6         | Regulatory                          |
|                    | 4.7         | Political                           |
|                    | 4.8         | Country                             |
|                    | 4.9         | Social / Demographic                |



|  |      |                 |
|--|------|-----------------|
|  | 4.10 | Pressure Groups |
|  | 4.11 | Force Majeure   |

## 11. Issue Management Plan

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This section presents the Issue Management plan for the Career Planning and Work-Based Learning Coordination System Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

### 11.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- The resolution is in question or lacking agreement among stakeholders
- It is highly visible or involves external stakeholders such as requests or directives from control agencies
- It has critical deadlines or timeframes that cannot be missed
- It can result in an important decision or resolution for which the rationale and activities must be captured for historical purposes it has critical deadlines that may impede project progress.
- Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

### 11.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy
- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint™ and maintained there for history.

## Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance. Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an

issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the Career Planning and Work-Based Learning Coordination System Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the Career Planning and Work-Based Learning Coordination System Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.

#### Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the Career Planning and Work-Based Learning Coordination System Project Manager via e-mail. Prospective issues shall be entered by the Career Planning and Work-Based Learning Coordination System Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly Career Planning and Work-Based Learning Coordination System – Project Status Meeting.

#### Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented SharePoint™. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint™ will be updated weekly as needed by the Career Planning and Work-Based Learning Coordination System Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The Career Planning and Work-Based Learning Coordination System Project Team will use Microsoft Project as the system of record. The Project Manager will add any new issues identified to Microsoft Project. These items will be discussed with Project Sponsor and Career Planning and Work-Based Learning Coordination System Project Team in the weekly status meeting.

## Issue Management Responsibilities

The responsibility for managing issues is shared between the Career Planning and Work-Based Learning Coordination System Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity                         | Responsibility   |
|--|--|
| Identify issues                        | <p>All – Career Planning and Work-Based Learning Coordination System Project Team, Project Sponsor, subject matter experts, and other stakeholders.</p> <p>Initial identification will be made by the Project Sponsor and Project Manager.</p> |
| Validate issues                        | <p>All – Career Planning and Work-Based Learning Coordination System Project Team, Project Sponsor, subject matter experts, and other stakeholders.</p>  |
| Assign issues                          | <p>Career Planning and Work-Based Learning Coordination System Project Manager, Project Sponsor, and Project Manager.</p>  |
| Approve issue responses                | <p>Project Sponsor and/or</p>  |
| Develop Issue Management Database      | <p>Project Manager and Career Planning and Work-Based Learning Coordination System Project Team</p>  |
| Maintain Issue Management Database     | <p>Project Manager</p>   |
| Develop or take issue response actions | <p>Issue Owner</p>   |
| Manage issue responses                 | <p>Project Manager, Career Planning and Work-Based Learning Coordination System Project Team</p>   |
| Report issues                          | <p>Project Manager, Career Planning and Work-Based Learning Coordination System Project Team</p>   |

## Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the Career Planning and Work-Based Learning Coordination System Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible
2. Attempts to resolve must be made by appropriate parties prior to escalation
3. The issue owner, as identified by the issue tracker, completes the Issue Submission Form with a brief issue write-up identifying the issue, concerns, and positions of involved parties
4. The issue owner schedules a meeting to discuss with involved parties
5. The issue is ENTERED on the Issue Register for tracking
6. The issue owner provides the issue write-up at least 24 hours prior to meeting
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered)
9. Once escalation need is identified, notice is sent to the next levels of management (Project Sponsor and )
10. Issue review process is repeated at the next level of management

### Issue Submission Form

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

### Sample Issue Submission Form

A sample of the Issue Submission Form is shown on the following page.

| ISSUE SUBMISSION FORM |              |                |
|-----------------------|--------------|----------------|
| Issue Number:         | Reported By: | Date Reported: |

|                                     |                    |                |
|-------------------------------------|--------------------|----------------|
| Issue Status:                       | Issue Assigned To: | Date Resolved: |
| Description of Issue:               |                    |                |
| Project Impact:                     |                    |                |
| Alternatives and Recommendation(s): |                    |                |
| Final Resolution:                   |                    |                |

## 12. Quality Management Plan

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### Introduction

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the Career Planning and Work-Based Learning Coordination System Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

## Approach

This section describes the approach the Career Planning and Work-Based Learning Coordination System Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the Career Planning and Work-Based Learning Coordination System Project beginning in the first phase of the project to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

## Quality Management Approach Overview



## Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
- Ensure the quality of the system development process, project artifacts, and project products to Career Planning and Work-Based Learning Coordination System and its stakeholder meet their requirements

## Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

### Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

### Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

### Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

### Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.



## 13. Change Management Plan

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The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

### Change Management Process

This section provides the Change Management process which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

### Change Request Process Stages

Change Request Initiation: Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.

Change Impact Estimation: Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.

Approvals and Acceptance: The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

### Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage             | Step          | Description   |
|-------------------|---------------|---|
| Initiation        | Generate CR   | A submitter completes a CR Form and sends the completed form to the Project Manager   |
| Initiation        | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed.                              |
| Impact Estimation | Evaluate CR   | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change   |
| Approval          | Authorize     | Approval to move forward with incorporating the suggested change into the project/product   |
| Approval          | Implement     | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

#### Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in Appendix A – Career Planning and Work-Based Learning Coordination System Project Change Request Form.

A sample copy of the Career Planning and Work-Based Learning Coordination System Project Change Request Form is provided in the table below:

Table 3. Career Planning and Work-Based Learning Coordination System Project Change Request Form:

| Change Request  |           |            |
|---|-----------|------------|
| Project:  |           | Date:      |
| Change Requestor:   |           | Change No: |
| Change Category (Check all that apply):<br><input type="checkbox"/> Schedule <input type="checkbox"/> Cost <input type="checkbox"/> Scope      Requirements/Deliverables<br><input type="checkbox"/> Testing/Quality <input type="checkbox"/> Resources |           |            |
| Does this Change Affect (Check all that apply):<br><input type="checkbox"/> Corrective Action <input type="checkbox"/> Preventative Action <input type="checkbox"/> Defect Repair <input type="checkbox"/> Updates<br><input type="checkbox"/> Other    |           |            |
| Describe the Change Being Requested:  |           |            |
| Describe the Reason for the Change:   |           |            |
| Describe all Alternatives Considered:   |           |            |
| Describe any Technical Changes Required to Implement this Change:   |           |            |
| Describe Risks to be Considered for this Change:  |           |            |
| Estimate Resources and Costs Needed to Implement this Change:   |           |            |
| Describe the Implications to Quality:   |           |            |
| Disposition:<br><input type="checkbox"/> Approve <input type="checkbox"/> Reject <input type="checkbox"/> Defer   |           |            |
| Justification of Approval, Rejection, or Deferral:  |           |            |
| Change Board Approval:  |           |            |
| Name  | Signature | Date       |
|   |           |            |
|   |           |            |

## Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the Career Planning and Work-Based Learning Coordination System Change Request Form included in Appendix A – Career Planning and Work-Based Learning Coordination System Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

## Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

## Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

- a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.
- b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

### Team Member Roles and Responsibilities

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

**Table 4. RASCI Matrix**

|   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
|---|------------------------|--|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|--|
| <b>ROLE Definitions</b>   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>R Responsible</b><br>The person who will perform the task.                             |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>I Informed</b><br>The person(s) who are kept up-to-date on task status.                |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>TASKS/ACTIVITIES</b>   | <b>Project Manager</b> |  | <b>Project Sponsor</b> | <b>Project Oversight Group</b> | <b>Business Analyst Team</b> | <b>Solution Architect</b> | <b>Database Team</b> | <b>Technical Team Lead</b> | <b>Development Team</b> | <b>Maintenance Team Manager</b> | <b>Maintenance Team</b> |  |

| Initiation Tasks              |     |     |   |   |   |   |   |   |   |   |   |
|-------------------------------|-----|-----|---|---|---|---|---|---|---|---|---|
| 1. Generate Change Request.   | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I   | I | I | I | I | I | I | I | I | I |
|                               |     |     |   |   |   |   |   |   |   |   |   |

**Table 2. RASCI Matrix**

| ROLE Definitions  | Project Manager |  | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
|---|-----------------|--|-----------------|-------------------------|-----------------------|--------------------|---------------|---------------------|------------------|--------------------------|------------------|
| <b>R Responsible</b><br>The person who will perform the task.                             |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>I Informed</b><br>The person(s) who are kept up-to-                                    |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |

|                              |     |       |   |     |   |   |   |   |   |   |   |   |
|------------------------------|-----|-------|---|-----|---|---|---|---|---|---|---|---|
| date on task status.         |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>TASKS/ACTIVITIES</b>      |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>Impact Estimate Tasks</b> |     |       |   |     |   |   |   |   |   |   |   |   |
| 5. Evaluate Change Request.  | C   | C,R,A | I | I   | C | C | C | C | C | C | C | C |
| <b>Approval Tasks</b>        |     |       |   |     |   |   |   |   |   |   |   |   |
| 6. Authorize Change Request. | I   | I     | I | A,R | I | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C     | I | I   | I | I | I | I | I | I | I | I |
|                              |     |       |   |     |   |   |   |   |   |   |   |   |

## 14. Procurement Management Plan

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The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

- Introduction
- General Procurement Approach
- Procurement Definition
- Staff Augmentation Procedures
- Hardware/Software Purchasing
- Northwest Regional Data Center (NWRDC) Services Request Procedures
- Procurement Risks
- Procurement Risk Management
- Cost Determination
- Procurement Constraints
- Contract Manager
- Vendor Management

### Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a Guidebook to Public Procurement to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. It was created by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' Guidebook to Public Procurement is revised each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.



The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify all items to be procured for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

### General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action is selected based on requirements.

### Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, procurement deadlines are usually affected by the project schedule and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. This is usually performed by the Business Analysts on the project team.

### Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that its decision was based upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). It is then up to the Project Sponsor to set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

#### Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the Operations Supervisor who will check to see if the item is already available within the Department. If not, then the specifications for the requirements should be provided to the Bureau Chief Staff Assistant so that it can be entered into the MyFloridaMarketPlace eQuote system for purposes of requesting quotes.

#### Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

#### Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

#### Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project

procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

### Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

### Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

Schedule: Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.

Cost: Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.

Scope: All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

Resources: All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.

Technology: Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

## Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
  - a. Contract Manager verifies with the Technical Contact any missing information
  - b. Contract Manager creates the Requisition in MyFloridaMarketPlace (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
  - a. Contract cover sheet
  - b. Purchase Order
  - c. Contract management check list
  - d. RFQ or SOW
  - e. Resume
  - f. Disclosure statement
  - g. Drug-free work place form
  - h. References
  - i. Skills matrix
  - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

## Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.

# SCHEDULE IV-B FOR CPALMS

For Fiscal Year 2023-24



October 11, 2022

FLORIDA DEPARTMENT OF EDUCATION

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Schedule IV-B Cover Sheet

SCHEDULE IV-B FOR CPALMS

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Department of Education  | Schedule IV-B Submission Date:<br>September 23, 2022  |
| Project Name:<br>CPALMS   | Is this project included in the Agency's LRPP?<br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2023-24 LBR Issue Code: 30067C0  | FY 2023-24 LBR Issue Title: District Tools  |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>PJ Duncan, 850-245-0808, Patricia.Duncan@fldoe.org   |   |
| AGENCY APPROVAL SIGNATURES  |   |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. |   |
| Agency Head:<br><i>Chief of Staff</i>   | Date:<br>10/13/22   |
| Printed Name: <del>Manny Diaz, Jr.</del> Anastasios Karamouzas  |   |
| Agency Chief Information Officer (or equivalent):   | Date:<br>10/13/22   |
| Printed Name: Andre K Smith   |   |
| Budget Officer:   | Date:<br>10/13/22   |
| Printed Name: Suzanne Pridgeon  |   |
| Planning Officer:   | Date:<br>10/13/22   |
| Printed Name: Bryan Hudnall   |   |
| Project Sponsor:  | Date:<br>10/13/22   |
| Printed Name: Jacob Oliva   |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | PJ Duncan, 850-245-0808, Patricia.Duncan@fldoe.org  |
| Cost Benefit Analysis:  | PJ Duncan, 850-245-0808, Patricia.Duncan@fldoe.org  |
| Risk Analysis:  | PJ Duncan, 850-245-0808, Patricia.Duncan@fldoe.org  |
| Technology Planning:  | PJ Duncan, 850-245-0808, Patricia.Duncan@fldoe.org  |
| Project Planning:   | PJ Duncan, 850-245-0808, Patricia.Duncan@fldoe.org  |



## I. Schedule IV-B Business Case – Strategic Needs Assessment

### A. Background and Strategic Needs Assessment

#### 1. Business Need

The [CPALMS](#) project, facilitated by the Florida Center for Research-STEM (FCR-STEM) office within the [Learning Systems Institute \(LSI\) at Florida State University](#), supports the strategies and goals defined by the State Board of Education's Strategic Plan. The mission of Florida's Early Learning-20 education system is to increase the proficiency of all students within one seamless efficient system, by allowing them the opportunity to expand their knowledge and skills through learning opportunities and research valued by students, parents and communities. Florida will have an efficient world-class education system that engages and prepares all students to be globally competitive for college and careers. The identified goals include higher student achievement, seamless articulation and maximum access, skilled workforce and economic development, and quality efficient services.

Over the past decade, the Florida Department of Education (FDOE) and legislature have invested resources, time and money, respectively, in collaboration with the LSI-FSU to support the major operational processes required by statute and the critical communication initiatives vital to the support of higher student achievement. LSI provides the staff and infrastructure to support the work of CPALMS. Please refer to the infographic provided as Appendix 1.

As important background information to understanding the current need, the FCR-STEM office was created at FSU in order to complement a STEM office within the FDOE. The intention at the time was to follow the precedent established by the creation of the Florida Center for Research – Reading (FCRR) office and the complementary Just Read Florida (JRF!) office at the department. When the financial crisis of 2008 occurred, the plans were set aside to deal with the more immediate demands of the larger system and the STEM office was not created. These plans were not revisited and therefore the original plans for the management of CPALMS did not happen. It seems that may have contributed to the situation in terms of planning. CPALMS began growing in 2014, without planning for future costs. Project management changed in July 2021 prompting a thorough analysis and research of the situation where next steps were determined.

#### 2. Business Objectives

CPALMS is the official repository of Florida's state academic standards, course descriptions and the CTE Frameworks which are key information needed by teachers and educators. Clearly providing the expectations of K-12 students supports **higher student achievement**. CPALMS assures that educators are well-prepared to provide standards-aligned instruction as required by [s. 1003.41, F.S.](#)

An individual instructional planning tool, iCPALMS, is available to all Florida educators, administrators and district personnel via the FDOE Single Sign-On system and the integration of this system with the district's learning management system. This unique platform provides a curriculum planning tool, known as a CMAP, to assist districts, schools and teachers in collaborating with the development and implementation of lesson plans and pacing of instruction within the 180 days of instruction. This tool populates each district's approved school calendar to assist with common district planning. Professional learning is available through iCPALMS and allows educators to develop an individual professional learning plan. These modules are available online and accommodate an educator's unique availability and need.

The thirty certified teacher preparation programs in Florida have access to CPALMS and iCPALMS. Educators and students of the teacher prep programs are active users and integrate directly with CPALMS via their learning management system. Access to CPALMS as part of their educational experience, allows pre-service teachers to experience Florida's state academic standards, lesson planning and curriculum mapping before graduating to the classroom.

To assist students and parents, CPALMS provides [FloridaStudents.org](#). This site is accessible via a district's integration through either the CLEVER or Class Link systems. Students have been provided a unique sign-

on within their district, and through the integration, students are able to access grade-level, standards-aligned resources to support their individual learning needs. The vast majority of resources available on FloridaStudents.org are the catalogue of Original Student Tutorials. These resources are also available to teachers via CPALMS and student website.

The Office of Articulation works in tandem with the CPALMS system and staff to develop and revise K-12 general education courses. The CPALMS system initiates the information that the FDOE Course Code Directory is dependent upon. Communication of this information is critical to providing **seamless articulation and maximum access** to Florida students. Florida teachers, administrators, students and parents are dependent upon the course descriptions available on CPALMS. An efficient system is the backbone of K-20 educational pathways.

Currently, the Career and Technical Education (CTE) Frameworks are in development on the CPALMS platform. As a part of this project, the Florida College System is preparing to provide K-20 Mathematics Pathways to complement the CTE Frameworks as well as the K-12 general education math courses. The CTE curriculum frameworks are much like the course descriptions within general education. These frameworks and their accompanying resources will soon be available on the CPALMS website. CPALMS will conduct and maintain a Labor Market Analysis of the CTE frameworks dependent upon current labor market demand. This analysis, along with the frameworks and resources, will support the department's goal to be number one in workforce preparedness by 2030 while attending to the goal of a **skilled workforce and economic development** by providing Florida stakeholders with current, accurate and immediately accessible information.

The Florida Instructional Materials (FLIM) adoption portal supports **quality and efficient services** by providing the required tools for a seamless instructional materials adoption process. Publishers are able to submit bids and materials to the portal for review annually. Reviewers receive training via the portal and complete all reviews within the system. Management and reporting associated with the IM adoption process, put forth in [s. 1006.28-1006.42, F.S.](#), is timely, responsive and accurate.

The Florida Required Instruction Portal provides districts and the department with a system to support required reporting by districts to the department, as well the required reporting to parents and additional stakeholders via a school district's website. This platform was designed to meet the requirements put forth in [s. 1003.42, F.S.](#)

## B. Baseline Analysis

### 1. Current Business Processes

As the official repository of the standards for Florida K-12 education, CPALMS serves a vital role for the department and all educational stakeholders in Florida.

Over the last decade the department has been requesting that further systems be developed at CPALMS, such as the Florida Required Instruction Portal, the Florida Instructional Materials Review Portal, the district reporting portal for Instructional Materials, the Civics Seal of Excellence (60-hour digital course for Florida educators), FloridaStudents.org and additional systems crucial to the educational work in Florida. With the increase of users comes an increase in costs.

In the beginning, CPALMS did not host resources or systems that were significantly demanding in terms of bandwidth. As time progressed, the complexity of resources and programs increased bandwidth requirements and costs for maintenance. In 2020, with the increased demand for online resources, Florida teachers flocked to CPALMS as a major portion of their virtual classroom curriculum. To compound the challenge, the most popular resource on CPALMS became and has remained the Original Student Tutorials that require the most data to utilize.

Because of the additional content and systems added to CPALMS, the increased user demand for the site, and the increased bandwidth required to host all programming successfully, the annual recurring funding is insufficient for covering the costs. The Civics Seal of Excellence alone will consume a tremendous amount of data and will be expensive to host. This 60-hour, video-based course will open on September 28, 2022

and has a goal of being successfully completed by 20,000 Florida educators by September 2023.

## 2. Assumptions and Constraints

The CPALMS system continues to grow and grow quickly. For instance, with the addition of the CTE Frameworks and supporting resources, the number of users will increase. Currently, Florida has approximately 10,000 CTE teachers. Considering [Executive Order 19-31](#), this number may increase in the coming years as the department works to meet the goals of the executive order. And importantly, for the first time, CPALMS will have postsecondary, technical college and Florida College System institutions users. The amount of new users, unfortunately, is much harder to estimate, in part due to adjunct faculty and the inability to predict whether postsecondary faculty will be interested in using a secondary-focused CPALMS system. Since there are roughly the same amount of CTE secondary students and postsecondary CTE students, doubling the number of instructors seems reasonable.

### 1. Proposed Business Process Requirements

In order to continue to provide the services required by the FDOE, an increase in recurring funding for CPALMS will allow for increased user demand.

### 2. Business Solution Alternatives

As CPALMS has historically been meeting the needs of the department for over a decade and the investment made by Florida tax payers has been significant, an alternative has not been determined at this time. However, many critical systems reside with LSI-FSU and an executive leadership team may prefer to seek other solutions. That information is not available at this time.

### 3. Rationale for Selection

Not applicable at this time.

### 4. Recommended Business Solution

Not applicable at this time.

## C. Functional and Technical Requirements

This information is not currently provided to the department. All functional and technical requirements are met by LSI-FSU and their subcontractors.

## II. Success Criteria

For the table below, the realization date

| SUCCESS CRITERIA TABLE |  |  |  |   |
|------------------------|--|--|--|---|
| #                      | Description of Criteria  | How will the Criteria be measured/assessed?  | Who benefits?  | Realization Date (MM/YY)  |
| 1                      | Existing programming on CPALMS will remain available without interruption to the user experience     | User data collection/assessed by current student population<br>As of 2022-23:<br>approximately 2.9 million K-12 students<br>approximately 800,000 Florida college students | K-20 educators, administrators, parents, students, legislature, business and industry partners | Ongoing at this time to support K-20 instruction<br>Dependent on annual funding |
| 2                      | Enhancements (within funding constraints) and updates to CPALMS as required by FDOE will be possible | User data collection/assessed by current student population<br>As of 2022-23:<br>approximately 2.9 million K-12 students<br>approximately 800,000 Florida college students | K-20 educators, administrators, parents, students, legislature, business and industry partners | Ongoing at this time to support K-20 instruction<br>Dependent on annual funding |

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

#### A. Benefits Realization Table

| BENEFITS REALIZATION TABLE |   |  |  |  |  |
|----------------------------|---|--|--|--|--|
| #                          | Description of Benefit                                    | Who receives the benefit?  | How is benefit realized?   | How is the realization of the benefit measured?  | Realization Date (MM/YY)   |
| 1                          | Communication of Florida's state academic standards       | Teachers, Pre-service teachers, administrators, district personnel, parents and students | Successful maintenance and user access   | User data collection/assessed by current student population<br><br>As of 2022-23:<br><br>approximately 2.9 million K-12 students<br><br>approximately 800,000 Florida college students | Current funding is recurring. This work is ongoing, there is no identified realization date other than the end of the fiscal year. |
| 2                          | Communication of Florida's K-12 general education courses | Teachers, Pre-service teachers, administrators, district personnel, parent and students  | Successful maintenance and user access   | User data collection/assessed by current student population<br><br>As of 2022-23:<br><br>approximately 2.9 million K-12 students<br><br>approximately 800,000 Florida college students | Current funding is recurring. This work is ongoing, there is no identified realization date other than the end of the fiscal year. |
| 3                          | Successful operation of existing CPALMS systems           | Teachers, Pre-service teachers, administrators, district personnel, parents and students | Successful maintenance and achieving goals set by FDOE<br><br>For example: meeting the goal of 20,000 Civics Seal of Excellence completers by September 2023 | User data as compared to success rate and duration of course prior to awarding the seal of excellence<br><br>i.e., are participants repeating certain segments or replaying videos     | Current programming on CPALMS does not have an end date, therefore the work is ongoing.  |
| 4                          | Communication of Florida's CTE Frameworks                 | Teachers, Pre-service teachers, administrators, district personnel, parents and students | Successful maintenance and user access   | User data  | Current funding is recurring. This work is ongoing, there is no identified realization date other than the end of the fiscal year. |

## B. Cost Benefit Analysis (CBA)

Please note on the attached CBA:

- Currently, hosting costs are not included within recurring funding; and
- The tangible benefit estimate has been indicated as an Order of Magnitude within 50% due to the fact that CPALMS work is driven by department initiatives and statute, which are subject to change.

## IV. Schedule IV-B Major Project Risk Assessment

The Risk Assessment Summary is complete and provided as an attachment.

|  |                                    |                  |
|--|------------------------------------|------------------|
| <b>Project</b>   | <i>CPALMS</i>                      |                  |
| <b>Agency</b>  | <i>Department of Education</i>     |                  |
| <b>FY 2023-24 LBR Issue Code:</b>  | <b>FY 2023-24 LBR Issue Title:</b> |                  |
| <i>30067C0</i>   | <i>District Tools</i>              |                  |
| <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b> |                                    |                  |
| <i>PJ Duncan, 850-245-0808, Patricia.Duncan@fldoe.org</i>                |                                    |                  |
| <b>Executive Sponsor</b>   | <i>Jacob Oliva</i>                 |                  |
| <b>Project Manager</b>   | <i>PJ Duncan</i>                   |                  |
| <b>Prepared By</b>   | <i>PJ Duncan</i>                   | <i>9/21/2022</i> |

|                                |               |           |
|--------------------------------|---------------|-----------|
| <b>Risk Assessment Summary</b> |               |           |
| <b>Business Strategy</b>       | Most Aligned  |           |
|                                | Least Aligned |           |
|                                | Least Risk    | Most Risk |

## V. Schedule IV-B Technology Planning

### A. Current Information Technology Environment

#### 1. Current System

##### a. Description of Current System

CPALMS is the official repository of Florida's state academic standards, course descriptions and the CTE Frameworks. It provides access to thousands of standards-aligned, free, and high-quality instructional/educational resources that have been developed specifically for the standards and vetted through our rigorous [review process](#). CPALMS also provides several state-of-the-art curriculum planning and professional learning applications and tools to help educators effectively implement the standards. CPALMS instructional and educational resources are available FREE of charge to all K-12 and post-secondary teachers in the state of Florida.

In addition to the CPALMS website, the following Florida Department of Education programs and initiatives are owned and maintained by the Learning Systems Institute (LSI) at Florida State University.

1. **Benchmarks for Excellent Student Thinking (B.E.S.T.) Standards and Florida State Academic Standards Alignment** – 2022-23 plans include reviewing and retooling resources to ensure alignment to new and revised standards.
2. **Course Submission and Review System** – This system, built by CPALMS and used by both districts and FDOE, maintains the submission and review process for all Florida K-12 courses. The Florida Department of Education Course Code Directory is dependent upon this system to maintain all K-12 course information by the FDOE Office of Articulation.
3. **Florida Civics Seal of Excellence Endorsement** – 2022-23 plans include CPALMS to continue updating, hosting, and supporting teachers enrolling and completing the Civics Seal of Excellence 60-hour online professional development course. This includes maintenance of the software platform, user support, and hosting for all users as well as regular maintenance of the modules/content of the five modules.
4. **Florida Instructional Materials Portal (FLIM)** – This portal houses the annual instructional materials review process for both publishers and reviewers.
5. **Florida Required Instruction Reporting Portal** – This portal is to meet the annual reporting and planning from school districts on components requirement of section 1003.42(2), Florida Statutes. This portal is provided for districts to report to the department per 6A-1.094124 Florida Administrative Code (F.A.C.), Required Instruction Reporting.
6. **Integration with Florida School Districts (charter networks included)** – 2022-23 plans include the on-going work of creating single sign on services for login, integration with Clever and Class Link as needed per each district, and publication of three new apps for user dashboard interface.
7. **Instructional Materials District Certifications and Reporting Portal** – This portal houses data from district certification and reporting on the instructional materials used in Florida classrooms.
8. **FloridaStudents.org** – This website primarily hosts the Original Student Tutorials created to support Florida's state academic standards. The resources are also housed at CPALMS .org.

##### b. Current System Resource Requirements

Current funding for maintenance and required system enhancements was established in the 2013-14 fiscal year. This funding is included within the general fund for the Department of Education. Since then, the system has grown due to the hardware and software expansions, causing Florida State University to absorb the costs. Funding has not been revisited since 2014.



**c. Current System Performance**

The current system supports vital initiatives for the department. The system’s performance has not diminished at this time but that is due to extenuating circumstances and FSU’s investment in the system’s longevity.

The extenuating circumstances were created as the previous CPALMS Project Manager made false promises to LSI that additional maintenance funds would be provided to cover the increase in hosting costs. As part of funding received in the 19-20 fiscal year for the Number One Standards project, the Project Manager at the time approved LSI to utilize \$200,000 to pay for the transition of CPALMS to cloud hosting. The previous Project Manager provided false information to LSI and the transition to the cloud system was not approved by the IT Department at FDOE. LSI wrote this into the approved Application for Funding and this language is included in the Award Notification from FDOE.

The previous manager explained that the department would “pay FSU back” for the funding that had previously been provided to the Northwest server on CPALMS behalf. FSU continued to fund the additional costs based on this false promise.

This created a situation where FDOE has vital programming for K-20 educators, students and parents on the CPALMS website that the current maintenance funding cannot support.

**2. Information Technology Standards**

CPALMS receives funding from a variety of sources, including but not limited to, the federal and state departments of education, the National Science Foundation, as well as private and public entities.

Because of the varied funding sources, CPALMS must abide by the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99). This is a federal law that protects the privacy of student education records. The law applies to all schools that receive funds under an applicable program of the U.S. Department of Education. Requirements of FERPA are the reason that student data is no longer held at CPALMS, instead district hold the information and integrate via their learning management system. Any breach of data at CPALMS would not provide personal information for students or teachers.

**B. Current Hardware and/or Software Inventory**

Not applicable to this request. All hardware and software utilized by CPALMS is owned by the FCR-STEM office at LSI-FSU.

Software updates are funded through the CPALMS project with the FDOE.

**C. Proposed Technical Solution**

**1. Technical Solution Alternatives**

Due to the investment in the CPALMS project by the legislature and the department, and the critical nature of the work, the project manager has not been advised to seek alternatives by leadership at this time.

**2. Rationale for Selection**

FDOE has built out critical programs on CPALMS that are vital to the mission, vision and strategic plan.

**3. Recommended Technical Solution**

The recommendation is to invest in the increased maintenance and hosting costs. Currently, the construction and development of new programming to provide services required by statute is limited by time. Strategic planning and approval by leadership could lead to the discovery of an alternative.



## D. Proposed Solution Description

### 1. Summary Description of Proposed System

This system has been developed and operational for over a decade. This proposal supports an increase to recurring funds in order to support the maintenance of the current system and to cover the increased hosting costs based upon user demands of the system.

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

Unknown at this time.

## E. Capacity Planning

CPALMS began in 2004 by Rabieh Razzouk at Florida State University and has grown to become the official source of the standards and course descriptions in the State of Florida, a repository of high-quality instructional and educational resources, and instructional tools that are utilized by millions of users.

In July 2021, Project Management for CPALMS became the responsibility of PJ Duncan, STEM Director in the Bureau of Standards and Instructional Support (BSIS). No evidence can be provided to support that strategic planning to support the increased capacity experienced at CPALMS by the previous project manager.

As background, several key FDOE initiatives directed work at CPALMS since 2011, and with the increase in requirements by the department costs have increased over time.

Key initiatives include, but are not limited to, the following:

- Through the Teacher Standards Instructional Tool project that started in 2011, a license of CPALMS and all its content/tools were made available to Florida’s educators and pre-service teachers within Florida’s thirty approved teacher preparation programs;
- In 2015, FloridaStudents.org was released for students to access educational resources including original tutorials developed by educators and the CPALMS team and built on the CPALMS platform;
- In 2018, the Florida Instructional Materials process for publishers, reviewers and district reporting was added to the CPALMS suite of services;
- In 2019, CPALMS has added the Required Instruction Portal to programming; and
- In 2021, ESSER funds, \$1.5 million, awarded has allowed for the addition of the CTE Frameworks, standards and resources to the CPALMS platform.

Today, CPALMS and FloridaStudents.org serve close to an average of 2 million+ visitors per month and more than 184,000 Florida educators maintain an account on iCPALMS.

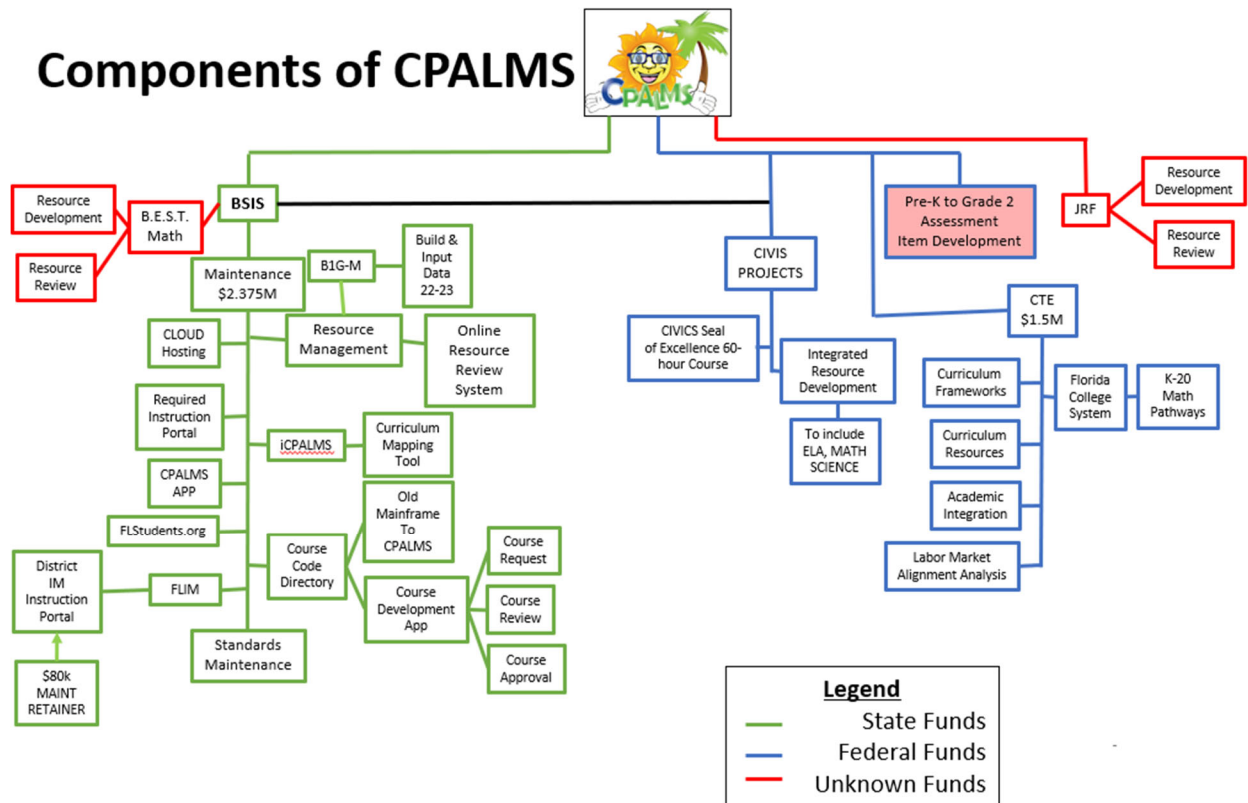
## VI. Schedule IV-B Project Management Planning

Please refer to the approved applications associated with the work at CPALMS since 2014 included within the appendices below.

## VII. Appendices

1. CPALMS Infographic (included below)
2. Memorandum of Agreement (attached)
3. Risk Assessment
4. Cost Benefit Analysis

### Appendix 1. CPALMS Infographic



## Memorandum of Agreement

regarding

### Ownership and Commercialization of the CPALMS platform and content

The parties to this Memorandum of Agreement (MOA) are the Florida Department of Education (FDOE) and the Florida State University (FSU).

#### Recitals:

WHEREAS, FSU has developed and is developing the iCPALMS platform and other tools at FSU through federal funding (National Science Foundation and other sources) and has ownership rights in such works; and

WHEREAS, FDOE has ownership rights in CPALMS; and

WHEREAS, Florida State University was competitively awarded through Florida Statutes, Section 1004.86, Florida Center for Mathematics and Science Education Research and named Florida State University's Center for Research in Science, Technology, Engineering, and Mathematics (FCR-STEM), with the defined purposes of:

- Increasing student achievement in mathematics and science, with an emphasis on K-12 education;
- Providing technical assistance and support to school districts and schools in the development and implementation of mathematics and science instruction;
- Conducting applied research on policy and practices related to mathematics and science instruction and assessment in the state;
- Conducting or compiling basic research regarding student acquisition of mathematics and science knowledge and skills;
- Developing a comprehensive course framework for mathematics and science courses that emphasize rigor and relevance at the elementary, middle, and high school levels;
- Disseminating information regarding research-based teaching practices in mathematics and science to teachers and teacher educators in the state;
- Collecting, managing, and reporting on assessment information regarding student achievement in mathematics and science;
- Establishing partnerships with public and private universities, community colleges, school districts, and other appropriate entities to further increase student achievement in mathematics and science; and
- Developing a comprehensive plan, with input from school districts, to increase the number and percentage of females and minority students enrolling in and successfully completing mathematics and science courses.

PROJECT/AMENDMENT APPROVAL TRACKING SIGNATURES/DATES

Fiscal Agent: Florida State University

Date Rec'd in DOE: 5/10/12

Program/Project Name: Ownership and Commercialization of the CPALMS platform and content

**Intake (Matt Caldwell)**

Tasks & TAPS entry completed.

Initials/Date:

MGC 10/5/12

**Office of General Counsel**

Tasks & TAPS entry completed.

Initials/Date:

Bonnie Whitcomb

BW 10/5/12

**Bureau Chief Approval (Dave Guido)**

Tasks & TAPS entry completed.

Initials/Date:

DG 10/5/12

**Deputy Commissioner for Finance and Operations**

Tasks & TAPS entry completed.

Initials/Date:

MFA 10/15/12

**Notify (10.1-10.3)**

Tasks & TAPS entry completed.

Initials/Date:

DR 10/15/12

PLEASE NOTE: This form is required to accompany each project.

The Florida department of Education shall monitor the center through the Division of K-12 Public Schools.

WHEREAS, once competitively funded, the following funding was provided through FLDOE managed state appropriation projects, FLDOE federal funded projects, and federal competitive grants all managed by the FDOE Division of K-12 Public Schools:

- 2006-2007: #07A224 - \$2,000,000
- 2007-2008: #08A224 - \$1,750,000
- 2007-2008: #08A262 - \$220,000; 08A252 (PROMISE) - \$1,176,000
- 2008-2009 : #09A261 - \$1,259,600; 09A100 (PROMISE) - \$3,171,435
- 2008-2009 : #09A262 - \$330,000
- 2008-2009 - \$1,200,000; #11A311 - \$5,405,297
- 2007-2009: #08A261 - \$196,461.98
- 2009-2010 - \$1,000,000

WHEREAS, the 2006-2011 projects funded to FCR-STEM through the FLDOE supported the development of themajor tools associated with CPALMS; and

WHEREAS, FSU has current funding from FDOE for additional development of the CPALMS system (371-RA111-2C001; 371-RA111-2C002; and 371-RA411-2C003); and

WHEREAS, FSU agrees to provide an irrevocable royalty-free non-commercial license of CPALMS and the iCPALMS platform and related tools as currently funded, to the FDOE. This is named the Florida instance of iCPALMS. The form of license is the Creative Commons non-commercial version available at <http://creativecommons.org/licenses/by-nc-nd/3.0/us/legalcode> ; and

WHEREAS, FSU and FDOE desire to maintain the CPALMS and Florida instance of the iCPALMS system for the benefit of educators in the State of Florida under a sustainability plan that will be further refined. Now therefore, the parties agree as follows:

**Definitions:**

Existing intellectual property, primarily funded by FDOE and created by the Florida Center for Research in Science, Technology, Engineering, and Mathematics at FSU (FCR-STEM) as part of its ongoing research, and the NSF- funded iCPALMS system comprise the Background Intellectual Property ("Background IP") for the expanded system identified as CPALMS in this current Grant.

Additional materials, together with indexing, navigation and support programmed by FCR-STEM, or licensed for public use by participating teachers, reviewers and other educational professionals and review of content through FCR-STEM, with funding from the FDOE comprise the Foreground Intellectual Property ("Foreground IP"). Any product or work resulting from the combination or incorporation of Background IP and Foreground IP pursuant to this grant comprise the "Derivative Work."

CPALMS Revenue is defined as the sum of payments made for the use of all or part of the Derivative Work together with payments made by third parties for the installation , modification , and maintenance of the Derivative Work.

CPALMS Management Cost is defined as the direct cost paid by FSU of marketing and managing the system beyond its grant supported level.

CPALMS Maintenance and Sustainability Cost is defined as the direct cost to cover the hosting, upgrade of software, and provide the review process in math, science, and reading/language arts.

CPALMS Residual Margin is defined by the CPALMS Revenue less the sum of CPALMS Management Cost and the CPALMS Maintenance and Sustainability Cost.

**Priority Order:** 1) CPALMS Management Cost; 2) CPALMS Maintenance and Sustainability Cost;

**IP Ownership:** Background IP is and will remain the property of FSU or the other contributing authors, providers and reviewers. Foreground IP developed by FSU and funded under this Agreement will be jointly owned by FSU and FDOE. FSU will insure that FDOE has an irrevocable right to use, perform, and display the Background and Foreground IP as incorporated in Derivative Works, without charge, for the benefit of the State of Florida.

**Commercialization:** FDOE agrees not to license the Derivative Work for use by other than the FDOE, and FDOE further agrees not to commercialize the work. All commercialization of the Derivative Work shall be done by FSU, acting through a Project manager or Contractor who will be responsible for securing additional revenue and managing additional investment. FDOE shall have input regarding the direction of commercialization and FSU agrees that any new tools added as a result of commercialization shall not compromise FDOE's version of CPALMS or free access to that version by Florida educators. At least 50% of such additional investments shall be used to satisfy specific content requests of the FDOE.

**Distribution of Residual Margin:** CPALMS Residual Margin will be shared equally between FSU and FDOE . FDOE's share of CPALMS Residual Margin will be reinvested to provide improvements, enhancements or tools in support of Florida educators. FSU's share of CPALMS Residual Margin will be distributed according to FSU policy for Copyright income.

The parties agree to act in good faith and to amend this MOA and attachment with a complete list of Background and Foreground IP, from time to time, and to complete the details of a sustainability plan to keep the system updated and available at no cost to FDOE and the teachers of Florida. This agreement does not guarantee that enough resources will be generated to cover the management and the maintenance and sustainability costs.

This MOA shall remain in effect until mutually terminated. The parties agree to revisit the terms of this MOA after the first five year term and at such subsequent times, as needed.

|    | B  | C                            | D                       | E                                  | F | G         | H                    |  |
|----|--|------------------------------|-------------------------|------------------------------------|---|-----------|----------------------|--|
| 3  | <b>Project</b>   |                              | CPALMS                  |                                    |   |           |                      |  |
| 4  |  |                              |                         |                                    |   |           |                      |  |
| 5  | <b>Agency</b>  |                              | Department of Education |                                    |   |           |                      |  |
| 6  | <b>FY 2023-24 LBR Issue Code:</b>  |                              |                         | <b>FY 2023-24 LBR Issue Title:</b> |   |           |                      |  |
| 7  | 30067C0  |                              |                         | District Tools                     |   |           |                      |  |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b> |                              |                         |                                    |   |           |                      |  |
| 9  | PJ Duncan, 850-245-0808, Patricia.Duncan@fldoe.org                       |                              |                         |                                    |   |           |                      |  |
| 10 | <b>Executive Sponsor</b>   |                              | Jacob Oliva             |                                    |   |           |                      |  |
| 11 | <b>Project Manager</b>   |                              | PJ Duncan               |                                    |   |           |                      |  |
| 12 | <b>Prepared By</b>   |                              | PJ Duncan               |                                    |   | 9/21/2022 |                      |  |
| 14 | <b>Risk Assessment Summary</b>   |                              |                         |                                    |   |           |                      |  |
| 15 |  |                              |                         |                                    |   |           |                      |  |
| 16 |  |                              |                         |                                    |   |           |                      |  |
| 17 | <b>Business Strategy</b>   | <b>Level of Project Risk</b> |                         |                                    |   |           |                      |  |
| 18 |  |                              |                         |                                    |   |           |                      |  |
| 19 |  |                              |                         |                                    |   |           |                      |  |
| 20 |  |                              |                         |                                    |   |           |                      |  |
| 21 |  |                              |                         |                                    |   |           |                      |  |
| 22 |  |                              |                         |                                    |   |           |                      |  |
| 23 |  |                              |                         |                                    |   |           |                      |  |
| 24 |  |                              |                         |                                    |   |           |                      |  |
| 25 |  |                              |                         |                                    |   |           |                      |  |
| 26 |  |                              |                         |                                    |   |           |                      |  |
| 27 |  |                              |                         |                                    |   |           |                      |  |
| 28 |  |                              |                         |                                    |   |           |                      |  |
| 29 |  |                              |                         |                                    |   |           |                      |  |
| 30 |  |                              |                         |                                    |   |           |                      |  |
| 31 |  |                              |                         |                                    |   |           |                      |  |
| 32 |  |                              |                         |                                    |   |           |                      |  |
| 34 | <b>Project Risk Area Breakdown</b>                                       |                              |                         |                                    |   |           |                      |  |
| 35 | <b>Risk Assessment Areas</b>   |                              |                         |                                    |   |           | <i>Risk Exposure</i> |  |
| 36 | Strategic Assessment   |                              |                         |                                    |   |           | MEDIUM               |  |
| 37 |  |                              |                         |                                    |   |           |                      |  |
| 38 | Technology Exposure Assessment   |                              |                         |                                    |   |           | LOW                  |  |
| 39 |  |                              |                         |                                    |   |           |                      |  |
| 40 | Organizational Change Management Assessment                              |                              |                         |                                    |   |           | MEDIUM               |  |
| 41 |  |                              |                         |                                    |   |           |                      |  |
| 42 | Communication Assessment   |                              |                         |                                    |   |           | HIGH                 |  |
| 43 |  |                              |                         |                                    |   |           |                      |  |
| 44 | Fiscal Assessment  |                              |                         |                                    |   |           | HIGH                 |  |
| 45 |  |                              |                         |                                    |   |           |                      |  |
| 46 | Project Organization Assessment  |                              |                         |                                    |   |           | HIGH                 |  |
| 47 |  |                              |                         |                                    |   |           |                      |  |
| 48 | Project Management Assessment  |                              |                         |                                    |   |           | HIGH                 |  |
| 49 |  |                              |                         |                                    |   |           |                      |  |
| 50 | Project Complexity Assessment  |                              |                         |                                    |   |           | HIGH                 |  |
| 51 |  |                              |                         |                                    |   |           |                      |  |
| 52 |  |                              |                         |                                    |   |           |                      |  |
| 53 | <b>Overall Project Risk</b>  |                              |                         |                                    |   |           | HIGH                 |  |

|    | B                               | C   | D  | E   |
|----|---------------------------------|---|--|---|
| 1  | Agency: Department of Education |   | Project: CPALMS  |   |
| 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  | 81% to 100% -- All or nearly all defined and documented     |
| 18 |                                 |   | 41% to 80% -- Some defined and documented  |   |
| 19 |                                 |   | 81% to 100% -- All or nearly all defined and documented  |   |
| 20 | 1.06                            | Are all needed changes in law, rule, or policy identified and documented?   | No changes needed  | Changes are identified and documented                       |
| 21 |                                 |   | Changes unknown  |   |
| 22 |                                 |   | Changes are identified in concept only   |   |
| 23 |                                 |   | Changes are identified and documented  |   |
| 24 |                                 |   | Legislation or proposed rule change is drafted   |   |
| 25 | 1.07                            | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?                     | Few or none  | All or nearly all   |
| 26 |                                 |   | Some   |   |
| 27 |                                 |   | All or nearly all  |   |
| 28 | 1.08                            | What is the external (e.g. public) visibility of the proposed system or project?  | Minimal or no external use or visibility   | Extensive external use or visibility                        |
| 29 |                                 |   | Moderate external use or visibility  |   |
| 30 |                                 |   | Extensive external use or visibility   |   |
| 31 | 1.09                            | What is the internal (e.g. state agency) visibility of the proposed system or project?  | Multiple agency or state enterprise visibility   | Single agency-wide use or visibility                        |
| 32 |                                 |   | Single agency-wide use or visibility   |   |
| 33 |                                 |   | Use or visibility at division and/or bureau level only   |   |
| 34 | 1.10                            | Is this a multi-year project?   | Greater than 5 years   | Greater than 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: Department of Education |  |  | Project: CPALMS  |
| 3  | Section 2 -- Technology Area    |  |  |  |
| 4  | #                               | Criteria   | Values   | Answer   |
| 5  | 2.01                            | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?   | Read about only or attended conference and/or vendor presentation  | Installed and supported production system more than 3 years  |
| 6  |                                 |  | Supported prototype or production system less than 6 months  |  |
| 7  |                                 |  | Supported production system 6 months to 12 months  |  |
| 8  |                                 |  | Supported production system 1 year to 3 years  |  |
| 9  |                                 |  | Installed and supported production system more than 3 years  |  |
| 10 | 2.02                            | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations  | Internal resources have sufficient knowledge for implementation and operations                             |
| 11 |                                 |  | External technical resources will be needed through implementation only  |  |
| 12 |                                 |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03                            | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | No technology alternatives researched  |
| 14 |                                 |  | Some alternatives documented and considered  |  |
| 15 |                                 |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04                            | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| 17 |                                 |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |                                 |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05                            | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Minor or no infrastructure change required   |
| 20 |                                 |  | Moderate infrastructure change required  |  |
| 21 |                                 |  | Extensive infrastructure change required   |  |
| 22 |                                 |  | Complete infrastructure replacement  |  |
| 23 | 2.06                            | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are based on historical data and new system design specifications and                |
| 24 |                                 |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |                                 |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

|    | B  | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Department of Education                    |  |  | Project: CPALMS  |
| 3  | Section 3 -- Organizational Change Management Area |  |  |  |
| 4  | #  | Criteria   | Values   | Answer   |
| 5  | 3.01   | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes         | Minimal changes to organization structure, staff or business processes structure |
| 6  |  |  | Moderate changes to organization structure, staff or business processes          |  |
| 7  |  |  | Minimal changes to organization structure, staff or business processes structure |  |
| 8  | 3.02   | Will this project impact essential business processes?   | Yes  | Yes  |
| 9  |  |  | No   |  |
| 10 | 3.03   | Have all business process changes and process interactions been defined and documented?  | 0% to 40% -- Few or no process changes defined and documented                    | 81% to 100% -- All or nearly all processes defined and documented                |
| 11 |  |  | 41% to 80% -- Some process changes defined and documented                        |  |
| 12 |  |  | 81% to 100% -- All or nearly all processes defined and documented                |  |
| 13 | 3.04   | Has an Organizational Change Management Plan been approved for this project?   | Yes  | No   |
| 14 |  |  | No   |  |
| 15 | 3.05   | Will the agency's anticipated FTE count change as a result of implementing the project?  | Over 10% FTE count change  | Less than 1% FTE count change  |
| 16 |  |  | 1% to 10% FTE count change   |  |
| 17 |  |  | Less than 1% FTE count change  |  |
| 18 | 3.06   | Will the number of contractors change as a result of implementing the project?   | Over 10% contractor count change   | 1 to 10% contractor count change   |
| 19 |  |  | 1 to 10% contractor count change   |  |
| 20 |  |  | Less than 1% contractor count change   |  |
| 21 | 3.07   | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?        | Extensive change or new way of providing/receiving services or information)      | Minor or no changes  |
| 22 |  |  | Moderate changes   |  |
| 23 |  |  | Minor or no changes  |  |
| 24 | 3.08   | What is the expected change impact on other state or local government agencies as a result of implementing the project?                | Extensive change or new way of providing/receiving services or information       | Minor or no changes  |
| 25 |  |  | Moderate changes   |  |
| 26 |  |  | Minor or no changes  |  |
| 27 | 3.09   | Has the agency successfully completed a project with similar organizational change requirements?                                       | No experience/Not recently (>5 Years)  | Recently completed project with greater change requirements                      |
| 28 |  |  | Recently completed project with fewer change requirements                        |  |
| 29 |  |  | Recently completed project with similar change requirements                      |  |
| 30 |  |  | Recently completed project with greater change requirements                      |  |

|    | B                               | C  | D  | E  |
|----|---------------------------------|--|--|--|
| 1  | Agency: Agency Name             |  | Project: Project Name  |  |
| 3  | Section 4 -- Communication Area |  |  |  |
| 4  | #                               | Criteria   | Value Options  | Answer   |
| 5  | 4.01                            | Has a documented Communication Plan been approved for this project?  | Yes  | No   |
| 6  |                                 |  | No   |  |
| 7  | 4.02                            | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan                                    | Negligible or no feedback in Plan                                    |
| 8  |                                 |  | Routine feedback in Plan   |  |
| 9  |                                 |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                            | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | No   |
| 11 |                                 |  | No   |  |
| 12 | 4.04                            | Are all affected stakeholders included in the Communication Plan?  | Yes  | No   |
| 13 |                                 |  | No   |  |
| 14 | 4.05                            | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Plan does not include key messages                                   |
| 15 |                                 |  | Some key messages have been developed                                |  |
| 16 |                                 |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                            | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Plan does not include desired messages outcomes and success measures |
| 18 |                                 |  | Success measures have been developed for some messages               |  |
| 19 |                                 |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                            | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | No   |
| 21 |                                 |  | No   |  |

|    | B                               | C  | D   | E   |
|----|---------------------------------|--|---|---|
| 1  | Agency: Department of Education |  | Project: CPALMS   |   |
| 3  | Section 5 -- Fiscal Area        |  |   |   |
| 4  | #                               | Criteria   | Values  | Answer  |
| 5  | 5.01                            | Has a documented Spending Plan been approved for the entire project lifecycle?   | Yes   | No  |
| 6  |                                 |  | No  |   |
| 7  | 5.02                            | Have all project expenditures been identified in the Spending Plan?  | 0% to 40% -- None or few defined and documented   | 81% to 100% -- All or nearly all defined and documented                                     |
| 8  |                                 |  | 41% to 80% -- Some defined and documented   |   |
| 9  |                                 |  | 81% to 100% -- All or nearly all defined and documented   |   |
| 10 | 5.03                            | What is the estimated total cost of this project over its entire lifecycle?  | Unknown   | 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   | No  |
| 16 |                                 |  | No  |   |
| 17 | 5.05                            | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Detailed and rigorous (accurate within ±10%)  |
| 18 |                                 |  | Order of magnitude – estimate could vary between 10-100%  |   |
| 19 |                                 |  | Placeholder – actual cost may exceed estimate by more than 100%                                       |   |
| 20 | 5.06                            | Are funds available within existing agency resources to complete this project?   | Yes   | No  |
| 21 |                                 |  | No  |   |
| 22 | 5.07                            | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency  |
| 23 |                                 |  | Funding from local government agencies  |   |
| 24 |                                 |  | Funding from other state agencies   |   |
| 25 | 5.08                            | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Neither requested nor received  |
| 26 |                                 |  | Requested but not received  |   |
| 27 |                                 |  | Requested and received  |   |
| 28 |                                 |  | Not applicable  |   |
| 29 | 5.09                            | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | All or nearly all project benefits have been identified and validated                       |
| 30 |                                 |  | Some project benefits have been identified but not validated  |   |
| 31 |                                 |  | Most project benefits have been identified but not validated  |   |
| 32 |                                 |  | All or nearly all project benefits have been identified and validated                                 |   |
| 33 | 5.10                            | What is the benefit payback period that is defined and documented?   | Within 1 year   | Within 1 year   |
| 34 |                                 |  | Within 3 years  |   |
| 35 |                                 |  | Within 5 years  |   |
| 36 |                                 |  | More than 5 years   |   |
| 37 |                                 |  | No payback  |   |
| 38 | 5.11                            | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?   | Procurement strategy has not been identified and documented   | Procurement strategy has not been identified and documented                                 |
| 39 |                                 |  | Stakeholders have not been consulted re: procurement strategy   |   |
| 40 |                                 |  | Stakeholders have reviewed and approved the proposed procurement strategy                             |   |
| 41 | 5.12                            | What is the planned approach for acquiring necessary products and solution services to successfully complete the project?  | Time and Expense (T&E)  | 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                           | Timing of major hardware and software purchases has not yet been determined                 |
| 45 |                                 |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |   |
| 46 |                                 |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |   |
| 47 | 5.14                            | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager is the 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  | All or nearly all selection criteria and expected outcomes have been defined and documented |
| 54 |                                 |  | Some selection criteria and outcomes have been defined and documented                                 |   |
| 55 |                                 |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |   |
| 56 | 5.17                            | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Procurement strategy has not been developed   |
| 57 |                                 |  | Multi-stage evaluation not planned/used for procurement   |   |
| 58 |                                 |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |   |
| 59 | 5.18                            | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Not applicable  |
| 60 |                                 |  | No, bid response did/will not require proof of concept or prototype                                   |   |
| 61 |                                 |  | Yes, bid response did/will include proof of concept or prototype                                      |   |
| 62 |                                 |  | Not applicable  |   |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Department of Education        |  |  | Project: CPALMS  |
| 3  | Section 6 -- Project Organization Area |  |  |  |
| 4  | #                                      | Criteria   | Values   | Answer   |
| 5  | 6.01                                   | Is the project organization and governance structure clearly defined and documented within an approved project plan?   | Yes  | Yes  |
| 6  |  |  | No   |  |
| 7  | 6.02                                   | Have all roles and responsibilities for the executive steering committee been clearly identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 8  |  |  | Some have been defined and documented  |  |
| 9  |  |  | All or nearly all have been defined and documented   |  |
| 10 | 6.03                                   | Who is responsible for integrating project deliverables into the final solution?   | Not yet determined   | Agency   |
| 11 |  |  | Agency   |  |
| 12 |  |  | System Integrator (contractor)   |  |
| 13 | 6.04                                   | How many project managers and project directors will be responsible for managing the project?  | 3 or more  | 3 or more  |
| 14 |  |  | 2  |  |
| 15 |  |  | 1  |  |
| 16 | 6.05                                   | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Some or most staff roles and responsibilities and needed skills have been identified                           |
| 17 |  |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |  |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06                                   | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | No, project manager assigned more than half-time, but less than full-time to project                           |
| 20 |  |  | No, project manager is assigned 50% or less to project   |  |
| 21 |  |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |  |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07                                   | Are qualified project management team members dedicated full-time to the project   | None   | 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  | 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  | No   |
| 35 |  |  | No   |  |
| 36 | 6.11                                   | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | No board has been established  |
| 37 |  |  | No, only IT staff are on change review and control board   |  |
| 38 |  |  | No, all stakeholders are not represented on the board  |  |
| 39 |  |  | Yes, all stakeholders are represented by functional manager  |  |

|    | B                                    | C  | D  | E  |
|----|--------------------------------------|--|--|--|
| 1  | Agency: Department of Education      |  | Project: CPALMS  |  |
| 3  | Section 7 -- Project Management Area |  |  |  |
| 4  | #                                    | Criteria   | Values   | Answer   |
| 5  | 7.01                                 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | No   |
| 6  |                                      |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |                                      |  | Yes  |  |
| 8  | 7.02                                 | For how many projects has the agency successfully used the selected project management methodology?  | None   | None   |
| 9  |                                      |  | 1-3  |  |
| 10 |                                      |  | More than 3  |  |
| 11 | 7.03                                 | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | None   |
| 12 |                                      |  | Some   |  |
| 13 |                                      |  | All or nearly all  |  |
| 14 | 7.04                                 | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 81% to 100% -- All or nearly all have been defined and documented  |
| 15 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05                                 | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 81% to 100% -- All or nearly all have been defined and documented  |
| 18 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06                                 | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 41 to 80% -- Some are traceable  |
| 21 |                                      |  | 41 to 80% -- Some are traceable  |  |
| 22 |                                      |  | 81% to 100% -- All or nearly all requirements and specifications are traceable   |  |
| 23 | 7.07                                 | Have all project deliverables/services and acceptance criteria been clearly defined and documented?  | None or few have been defined and documented   | All or nearly all deliverables and acceptance criteria have been defined and documented  |
| 24 |                                      |  | Some deliverables and acceptance criteria have been defined and documented   |  |
| 25 |                                      |  | All or nearly all deliverables and acceptance criteria have been defined and documented  |  |
| 26 | 7.08                                 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required   | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 |                                      |  | Only project manager signs-off   |  |
| 28 |                                      |  | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |  |
| 29 | 7.09                                 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?  | 0% to 40% -- None or few have been defined to the work package level   | 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 uses formal processes   |
| 37 |                                      |  | Project team uses formal processes   |  |
| 38 |                                      |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13                                 | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | Some 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   | None or few 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  | No   |
| 50 |                                      |  | No   |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education             |  |  | Project: CPALMS                                      |
| 2  |   |  |  |  |
| 3  | <b>Section 8 -- Project Complexity Area</b> |  |  |  |
| 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  | More than 3 sites                                    |
| 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  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Combination of the above                             |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Greater size and complexity                          |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity                          |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |

CBAForm 1 - Net Tangible Benefits

|        |                         |         |        |
|--------|-------------------------|---------|--------|
| Agency | Department of Education | Project | CPALMS |
|--------|-------------------------|---------|--------|

| 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<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2023-24                    |                                |  | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |  |  | FY 2027-28                    |                                |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>A.b Total Staff</b>  | 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  |
| 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>B. Application Maintenance Costs</b>   | \$825,072                     | \$1,775,000                    | \$2,600,072  | \$2,600,072                   | \$0                            | \$2,600,072  | \$2,600,072                   | \$0                            | \$2,600,072  | \$2,600,072                   | \$0  | \$2,600,072  | \$2,600,072                   | \$0                            | \$2,600,072  |
| B-1. Managed Services (Staffing)  | \$812,411                     | \$1,750,000                    | \$2,562,411  | \$2,562,411                   | \$0                            | \$2,562,411  | \$2,562,411                   | \$0                            | \$2,562,411  | \$2,562,411                   | \$0  | \$2,562,411  | \$2,562,411                   | \$0                            | \$2,562,411  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-4. Other <i>software license fees, hardware as</i>  | \$12,661                      | \$25,000                       | \$37,661   | \$37,661                      | \$0                            | \$37,661   | \$37,661                      | \$0                            | \$37,661   | \$37,661                      | \$0  | \$37,661   | \$37,661                      | \$0                            | \$37,661   |
| <b>C. Data Center Provider Costs</b>  | \$1,548,928                   | \$1,225,000                    | \$2,773,928  | \$2,773,928                   | \$0                            | \$2,773,928  | \$2,773,928                   | \$0                            | \$2,773,928  | \$2,773,928                   | \$0  | \$2,773,928  | \$2,773,928                   | \$0                            | \$2,773,928  |
| C-1. Managed Services (Staffing)  | \$1,548,928                   | \$625,000                      | \$2,173,928  | \$2,173,928                   | \$0                            | \$2,173,928  | \$2,173,928                   | \$0                            | \$2,173,928  | \$2,173,928                   | \$0  | \$2,173,928  | \$2,173,928                   | \$0                            | \$2,173,928  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services   | \$0                           | \$600,000                      | \$600,000  | \$600,000                     | \$0                            | \$600,000  | \$600,000                     | \$0                            | \$600,000  | \$600,000                     | \$0  | \$600,000  | \$600,000                     | \$0                            | \$600,000  |
| C-4. Disaster Recovery  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>D. Plant &amp; Facility Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>E. Other Costs</b>   | \$3,988                       | \$0                            | \$3,988  | \$3,988                       | \$0                            | \$3,988  | \$3,988                       | \$0                            | \$3,988  | \$3,988                       | \$0  | \$3,988  | \$3,988                       | \$0                            | \$3,988  |
| E-1. Training   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| E-2. Travel   | \$2,988                       | \$0                            | \$2,988  | \$2,988                       | \$0                            | \$2,988  | \$2,988                       | \$0                            | \$2,988  | \$2,988                       | \$0  | \$2,988  | \$2,988                       | \$0                            | \$2,988  |
| E-3. Other <i>printing as requested by FDOE for</i>   | \$1,000                       | \$0                            | \$1,000  | \$1,000                       | \$0                            | \$1,000  | \$1,000                       | \$0                            | \$1,000  | \$1,000                       | \$0  | \$1,000  | \$1,000                       | \$0                            | \$1,000  |
| <b>Total of Recurring Operational Costs</b>   | \$2,377,988                   | \$3,000,000                    | \$5,377,988  | \$5,377,988                   | \$0                            | \$5,377,988  | \$5,377,988                   | \$0                            | \$5,377,988  | \$5,377,988                   | \$0  | \$5,377,988  | \$5,377,988                   | \$0                            | \$5,377,988  |
| <b>F. Additional Tangible Benefits:</b>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |
| F-1. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |
| F-2. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |
| F-3. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |
| <b>Total Net Tangible Benefits:</b>   |                               | (\$3,000,000)                  |  |                               | \$0                            |  |                               | \$0                            |  | \$0                           |  |  | \$0                           |                                | \$0  |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |                     |               |
|--|---------------------|---------------|
| Choose Type  | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous <input type="checkbox"/>                 | Confidence Level    |               |
| Order of Magnitude <input checked="" type="checkbox"/>     | Confidence Level    | 50%           |
| Placeholder <input type="checkbox"/>                       | Confidence Level    |               |



| A  | B  |                                       | C                      | D   | E         | F                                   |                  | G         | H        | I                | J         | K        |                  | L         | M        |                  | N         | O        | P                | Q     | R    | S    | T |
|----|--|---------------------------------------|------------------------|---|-----------|-------------------------------------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-----------|----------|------------------|-------|------|------|---|
| 1  | Department of Education  | CPALMS                                |                        |   |           | CBA Form 2A Baseline Project Budget |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |       |      |      |   |
| 2  | Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |                                       |                        |   | FY2023-24 |                                     |                  | FY2024-25 |          |                  | FY2025-26 |          |                  | FY2026-27 |          |                  | FY2027-28 |          |                  | TOTAL |      |      |   |
| 3  |  |                                       |                        |   | \$ -      | \$ -                                |                  | \$ -      | \$ -     |                  | \$ -      | \$ -     |                  | \$ -      | \$ -     |                  | \$ -      | \$ -     |                  | \$ -  | \$ - |      |   |
| 4  | Item Description<br>(remove guidelines and annotate entries here)  | Project Cost Element                  | Appropriation Category | Current & Previous Years Project-Related Cost | YR 1 #    | YR 1 LBR                            | YR 1 Base Budget | YR 2 #    | YR 2 LBR | YR 2 Base Budget | YR 3 #    | YR 3 LBR | YR 3 Base Budget | YR 4 #    | YR 4 LBR | YR 4 Base Budget | YR 5 #    | YR 5 LBR | YR 5 Base Budget | TOTAL |      |      |   |
| 5  | Costs for all state employees working on the project.  | FTE                                   | S&B                    | \$ -  | 0.00      | \$ -                                | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -  | \$ - | \$ - |   |
| 6  | Costs for all OPS employees working on the project.  | OPS                                   | OPS                    | \$ -  | 0.00      | \$ -                                | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -  | \$ - |      |   |
| 7  | Staffing costs for personnel using Time & Expense.   | Staff Augmentation                    | Contracted Services    |   |           |                                     |                  |           |          |                  |           |          |                  |           |          |                  |           |          |                  |       | \$ - |      |   |
| 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    | \$ -  | \$ -      | \$ -                                | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -  | \$ - |      |   |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)  | Equipment                             | Expense                | \$ -  | \$ -      | \$ -                                | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -  | \$ - |      |   |
| 19 | Include costs associated with leasing space for project personnel.   | Leased Space                          | Expense                | \$ -  | \$ -      | \$ -                                | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -  | \$ - |      |   |
| 20 | Other project expenses not included in other categories.   | Other Expenses                        | Expense                | \$ -  | \$ -      | \$ -                                | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -      | \$ -     | \$ -             | \$ -  | \$ - |      |   |
| 21 | <b>Total</b>   |                                       |                        |   | \$ -      | 0.00                                | \$ -             | \$ -      | 0.00     | \$ -             | \$ -      | 0.00     | \$ -             | \$ -      | 0.00     | \$ -             | \$ -      | 0.00     | \$ -             | \$ -  | \$ - |      |   |

CBAForm 2 - Project Cost Analysis

|        |                                |         |               |
|--------|--------------------------------|---------|---------------|
| Agency | <u>Department of Education</u> | Project | <u>CPALMS</u> |
|--------|--------------------------------|---------|---------------|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |               |               |               |               | TOTAL |
|---|--|---------------|---------------|---------------|---------------|-------|
|   | FY<br>2023-24                          | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |       |
| TOTAL PROJECT COSTS (*)   | \$0                                    | \$0           | \$0           | \$0           | \$0           | \$0   |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$0                                    | \$0           | \$0           | \$0           | \$0           |       |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |               |               |               |               |       |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |               |               |               |               | TOTAL        |
|--|--------------------------------------|---------------|---------------|---------------|---------------|--------------|
|  | FY<br>2023-24                        | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |              |
| General Revenue                        | \$5,374,000                          | \$5,374,000   | \$5,374,000   | \$5,374,000   | \$5,374,000   | \$26,870,000 |
| 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                       | \$5,374,000                          | \$5,374,000   | \$5,374,000   | \$5,374,000   | \$5,374,000   | \$26,870,000 |
| CUMULATIVE INVESTMENT                  | \$5,374,000                          | \$10,748,000  | \$16,122,000  | \$21,496,000  | \$26,870,000  |              |

| Characterization of Project Cost Estimate - CBAForm 2C |                     |               |     |
|--|---------------------|---------------|-----|
| Choose Type  | Estimate Confidence | Enter % (+/-) |     |
| Detailed/Rigorous                                      | Confidence Level    |               |     |
| Order of Magnitude                                     | Confidence Level    | x             | 50% |
| Placeholder  | Confidence Level    |               |     |

CBAForm 3 - Project Investment Summary

|        |                                |         |               |
|--------|--------------------------------|---------|---------------|
| Agency | <u>Department of Education</u> | Project | <u>CPALMS</u> |
|--------|--------------------------------|---------|---------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A     |               |               |               |               |               |                        |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
|   | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | TOTAL FOR ALL<br>YEARS |
| Project Cost                            | \$0           | \$0           | \$0           | \$0           | \$0           | \$0                    |
| Net Tangible Benefits                   | (\$3,000,000) | \$0           | \$0           | \$0           | \$0           | (\$3,000,000)          |
| Return on Investment                    | (\$3,000,000) | \$0           | \$0           | \$0           | \$0           | (\$3,000,000)          |
| Year to Year Change in Program Staffing | 0             | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |               |   |
|---|---------------|---|
| Payback Period (years)                      | NO PAYBACK    | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK    | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$2,898,551) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR)               | NO IRR        | IRR is the project's rate of return.  |

| Investment Interest Earning Yield -- CBAForm 3C |               |               |               |               |               |
|---|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year                                     | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |
| Cost of Capital                                 | 3.50%         | 3.50%         | 3.60%         | 3.60%         | 3.60%         |

# SCHEDULE IV-B FOR RISK ASSESSMENT MITIGATION

For Fiscal Year 2023-24



October 11, 2022

DEPARTMENT OF EDUCATION

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SCHEDULE IV-B FOR RISK ASSESSMENT MITIGATION

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Department of Education  | Schedule IV-B Submission Date: 10/11/2022   |
| Project Name:<br>Division of Technology & Innovation<br>Risk Assessment Mitigation  | Is this project included in the Agency's LRPP?<br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2023-24 LBR Issue Code:<br>78002C0   | FY 2023-24 LBR Issue Title:<br>Technology Security Services   |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Andre K. Smith, 850-245-0428, Andre.Smith@fldoe.org  |   |
| AGENCY APPROVAL SIGNATURES  |   |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. |   |
| Agency Head:<br><i>Chief of Staff</i>   | Date: 10/13/22  |
| Printed Name: <del>Manny Diaz, Jr.</del> Anastasios Kamouras  |   |
| Agency Chief Information Officer (or equivalent):   | Date: 10/13/22  |
| Printed Name: Andre K. Smith  |   |
| Budget Officer:   | Date: 10/13/22  |
| Printed Name: Suzanne Pridgeon  |   |
| Planning Officer:   | Date: 10/13/22  |
| Printed Name: Bryan Hudnall   |   |
| Project Sponsor:  | Date: 10/13/22  |
| Printed Name: Andre K. Smith  |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Bryan Hudnall, <a href="mailto:Bryan.Hudnall@fldoe.org">Bryan.Hudnall@fldoe.org</a> , 850-245-0337                    |
| Cost Benefit Analysis:  | Andre K. Smith, <a href="mailto:Andre.Smith@fldoe.org">Andre.Smith@fldoe.org</a> , 850-245-0428                       |
| Risk Analysis:  | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573     |
| Technology Planning:  | Rod King, <a href="mailto:Rod.King@fldoe.org">Rod.King@fldoe.org</a> , 850-245-0342                                   |
| Project Planning:   | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573     |

## General Guidelines

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

Schedule IV-B is not required for requests to:

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

## Documentation Requirements

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

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

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

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

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

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

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



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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

The Florida Department of Education (FDOE) completed an internal reassessment of the Information Technology (IT) Security Program. The assessment considers the Enterprise Cybersecurity tools provided by the Florida Digital Service (FLDS), enabling hardware and software asset management, endpoint protection and centralizing Cybersecurity monitoring. The request provided in this LBR addresses information security and risk management gaps that FDOE needs to address in order to improve the maturity of the overall security program. If this legislative budget request is not funded, a wide range of sensitive data of employees, students and teachers could be targets for cyber-attacks and compromised. Thus, FDOE information security needs staff and resources to stay ahead of existing and developing threats.

#### 2. Business Objectives

Every day, malicious entities breach systems and compromise sensitive personal information. We must seek approval for the funds to facilitate the development of stronger, more robust security and privacy programs and provide a unified approach for protecting all types of information, including personal information. From the findings of recent audits and risk assessments, FDOE must improve the following areas to protect FDOE's sensitive and confidential data:

- Enhance firewalls
- Teleworking enhanced authorization and access controls
- Update FDOE's programs regularly
- Secure FDOE laptops
- Network Access Control
- Backup FDOE data regularly
- Monitor diligently to protect against cyber-attacks and system breaches

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

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### B. Baseline Analysis

*Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.*

### 1. Current Business Process(es)

Current business processes are segmented throughout the FDOE regarding security monitoring and management ranging from minimal security to industry standard security. Security incidents are detected and responded to differently throughout the environments which often create delays to proper mitigation.

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

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### 2. Assumptions and Constraints

Obtaining the same level of security for all segmented IT structures individually would not be possible due to varying degrees of technology and budget constraints.

## C. Proposed Business Process Requirements

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

### 1. Proposed Business Process Requirements

Continue improving upon current information security plan through enterprise solutions around the following areas:

- Establish high-level security governance processes that protect IT and information assets while removing the barriers to productivity through well-understood management processes and governance principles.
- Comprehensive enterprise standards and strategy for IT architecture zoning.
- Comprehensive program for proactive vulnerability identification, reporting, and remediation.
- Comprehensive enterprise platform build and security-hardening processes.
- Technologically enforced identity and access management.

### 2. Business Solution Alternatives

Individually upgrade existing segmented systems to the same level as the FDOE's information security solution creating additional licensing and maintenance costs above and beyond what maintaining one system would cost.

### 3. Rationale for Selection

Selection is based on independent risk assessment conducted by Gartner.

### 4. Recommended Business Solution

Using the baseline information gathered during the risk assessment, Gartner was able to identify the maturity of various aspects of the IT Security program as well as strategic gaps that exist between current-state capabilities, the desired future-state requirements, and industry leading practices. Analysis of the gaps conducted from a standpoint of Gartner's Reference Architecture for Security and Risk Management produced a set of findings and recommendations for enhancing the maturity of the existing IT Security program. FDOE reassessed its security program and considered Cybersecurity Tools provided by the FL Digital Service. These recommendations are intended to remain consistent with FDOE principles.

**SCHEDULE IV-B FOR RISK ASSESSMENT MITIGATION**

Gartner’s solution recommendations identified during the gap and maturity analysis task were organized into a high-level, strategic deployment roadmap depicting the sequence and dependencies of actions required for achieving the desired strategy and architecture. The process for developing the detailed deployment plan and strategy necessary for achieving the desired results leveraged professional project management practices, Gartner’s extensive research and advisory service, as well as our understanding of what other like-industry institutions are doing to deploy similar capabilities and technologies. The planning of the deployment phases was designed to deliver a modular, appropriately encompassing architecture implemented over an achievable, phased timeline. The recommended deployment plan is intended to be consistent with the FDOE short and long-term business drivers and requirements as defined during the baseline assessment.

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

**D. Functional and Technical Requirements**

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

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

Expanding the FDOE’s existing information security plan to encompass all currently segmented security services.

**III. Success Criteria**

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

| SUCCESS CRITERIA TABLE |  |  |               |                          |
|------------------------|--|--|---------------|--------------------------|
| #                      | Description of Criteria  | How will the Criteria be measured/assessed?      | Who benefits? | Realization Date (MM/YY) |
| 1                      | Employ encryption technology to protect sensitive data-at-rest, in accordance with the enterprise data classification policy.  | Assessed against Florida Cybersecurity Standards | FDOE          | 6/24                     |
| 2                      | Establish an enterprise policy and direct the development and maintenance of an organizational Security Management Plan (SMP) that defines the overall information protection program as it relates to security and privacy, and explicitly describes applicability of security and privacy policy to enterprise business processes. | Assessed against Florida Cybersecurity Standards | FDOE          | 12/23                    |
| 3                      | Deploy network-based controls and device authentication to restrict access based on device and user  | Assessed against Florida Cybersecurity           | FDOE          | 6/24                     |

**SCHEDULE IV-B FOR RISK ASSESSMENT MITIGATION**

| SUCCESS CRITERIA TABLE |   |  |      |       |
|------------------------|---|--|------|-------|
|                        | identity.   | Standards  |      |       |
| 4                      | Establish and document formal enterprise security policy and standards. | Assessed against Florida Cybersecurity Standards | FDOE | 12/24 |

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

### A. Benefits Realization Table

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

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

| BENEFITS REALIZATION TABLE |   |                             |                          |   |                          |
|----------------------------|---|-----------------------------|--------------------------|---|--------------------------|
| #                          | Description of Benefit                                  | Who receives the benefit?   | How is benefit realized? | How is the realization of the benefit measured? | Realization Date (MM/YY) |
| 1                          | More robust information security plan                   | Employees/Students/Teachers | Risk Assessment Maturity | Risk Assessment                                 | 6/25                     |
| 2                          | Reduced potential for cyber-attacks and system breaches | Employees/Students/Teachers | Risk Assessment Maturity | Risk Assessment                                 | 6/25                     |

### B. Cost Benefit Analysis (CBA)

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

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

| Cost Benefit Analysis              |  |
|------------------------------------|--|
| Form                               | Description of Data Captured   |
| CBA Form 1 - Net Tangible Benefits | <p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the</p> |

| Cost Benefit Analysis                   |   |
|---|---|
| Form                                    | Description of Data Captured  |
|   | year the benefits will be realized.   |
| CBA Form 2 - Project Cost Analysis      | Baseline Project Budget: Estimated project costs.<br>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.<br>Characterization of Project Cost Estimate.   |
| CBA Form 3 - Project Investment Summary | Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: <ul style="list-style-type: none"> <li>• Return on Investment</li> <li>• Payback Period</li> <li>• Breakeven Fiscal Year</li> <li>• Net Present Value</li> <li>• Internal Rate of Return</li> </ul> |

## V. Schedule IV-B Major Project Risk Assessment

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

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

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

## VI. Schedule IV-B Technology Planning

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

## A. Current Information Technology Environment

### 1. Current System

#### a. Description of Current System

IT resources are located primarily at the Northwest Regional Data Center (NWRDC) in Tallahassee and managed by Florida State University (FSU). The NWRDC manages both server resources and much of the network infrastructure used by FDOE. Approximately 400 servers are supported, spanning Windows 2008 through Windows 2019. An IBM mainframe is managed by the NWRDC. FDOE has implemented Microsoft Azure cloud services.

A multi-layered network protection architecture uses a combination of Cisco Adaptive Security Appliance (ASA) devices and SonicWall firewalls as well as iSensor Intrusion Prevention System (IPS) appliances. The network is monitored by Dell SecureWorks, a managed security services provider. Several of the FDOE's business areas Division of Blind Services (DBS), Division of Vocational Rehabilitation (VR), Office of Student Financial Assistance (OSFA), Division of Early Learning (DEL) have additional layers of protection managed by the Divisions themselves.

#### b. Current System Resource Requirements

Currently, the divisions and offices such as the Office of Student Financial Assistance (OSFA), Division of Blind Services (DBS), Division of Early Learning (DEL), and Vocational Rehabilitation (VR) are running their own separate security environment, and they lack the staff, expertise, and/or funding to maintain a mature security architecture.

#### c. Current System Performance

Performance monitoring systems are not in place for the entire environment.

### 2. Information Technology Standards

Information Technology Standards Consist of:

- Onsite Next Generation Firewall with Deep Packet Inspection
- 24/7 365 Monitoring and Incident Response Services
- Intrusion Detection and Prevention Services
- Network through Application Layer Monitoring and Controls
- Application, System, and Database Vulnerability Scanning
- Network Access Controls
- Gateway, endpoint and hypervisor antivirus/spyware and web filtering
- Content Filtering
- URL Filtering
- Enterprise-wide system and performance management
- Log monitoring, filtering and analysis
- Centralized SSL VPN from central firewall
- Cloud assisted Onsite behavioral behavioral-based ATA inspection in Next Generation Firewall

## B. Current Hardware and/or Software Inventory

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

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FDOE’s application development standard is the .NET platform. Applications developed internally are primarily developed using Microsoft Visual Studio using the .NET framework with Microsoft SQL Server backend databases.

### C. Proposed Solution Description

#### 1. Summary Description of Proposed System

The proposed enhancements will consist of a state of the art security monitoring, updated processes and procedures, and management system that will be continually refreshed and upgraded as time moves forward in order to support the entire agency. This will ensure the best possible overall security the FDOE can provide without the need to repeat this process throughout segmented infrastructures.

This enterprise solution will adopt the following security standards:

- Monitor and protect against network through application layer threats
- Gain access to critical threat intelligence
- Rapidly baseline the entire agency risk
- Scale services up and down as the infrastructure grows or shrinks
- Centralize remote access
- Web Application Scanning
- System Vulnerability Scanning
- Network access control for enhancement of mobile device management efforts
- Monitoring of accidental confidential data movement in clear text

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

|   |                        |
|---|------------------------|
| Recurring Costs                         |                        |
| Services, subscriptions, maintenance    | \$ 738,400.00          |
| Staffing (Contractors)                  | <u>\$ 1,088,100.00</u> |
| Total Recurring Costs                   | \$ 1,826,500.00        |
| One-Time Initial Total Costs - Year One |                        |
| Recurring Costs                         | \$ 1,826,500.00        |
| Capital Expenses                        | \$ 910,000.00          |
| Temporary Staffing                      | <u>\$ 470,080.00</u>   |
| Total Amount to be Requested            | \$ 3,206,580.00        |

## VII. Schedule IV-B Project Management Planning

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

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

*NOTE: For IT projects with total cost in excess of \$10 million, the project scope, business*

*objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.*

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## VIII. Appendices

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

- A: Risk Assessment
- B: Cost Benefits Analysis
- C: Project Management Plan



|    | B   | C | D                                 | E                                   | F | G                 | H                    |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
|----|---|---|-----------------------------------|-------------------------------------|---|-------------------|----------------------|-------------------------------------|--|--|--|--|---------------|--|--|--|--|--|------------|--|--|--|--|--|---------------|--|--|--|--|--|-----------------------------|
| 3  | <b>Project</b>  |   | <i>Risk Assessment Mitigation</i> |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 4  |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 5  | <b>Agency</b>   |   | <i>Department of Education</i>    |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 6  | <b>FY 2023-24 LBR Issue Code:</b>   |   |                                   | <b>FY 2023-24 LBR Issue Title:</b>  |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 7  | <i>78002C0</i>  |   |                                   | <i>Technology Security Services</i> |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>  |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 9  | <i>Andre K. Smith, 850-245-0428, Andre.smith@fldoe.org</i>  |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 10 | <b>Executive Sponsor</b>  |   | <i>Andre K. Smith</i>             |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 11 | <b>Project Manager</b>  |   | <i>Cassandra J. Grayson</i>       |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 12 | <b>Prepared By</b>  |   | <i>Cassandra J. Grayson</i>       |                                     |   | <i>10/14/2022</i> |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 14 | <b>Risk Assessment Summary</b>  |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 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%;"></td> </tr> </table> </div> |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
|    |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
|    |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 17 |   |   |                                   |                                     |   |                   |                      | Most Aligned                        |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 18 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 19 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 20 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 21 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 22 |   |   |                                   |                                     |   |                   |                      | <span style="color: blue;">◆</span> |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 23 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 24 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 25 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 26 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 27 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 28 | Least Aligned   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 29 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 30 | <b>Level of Project Risk</b>  |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 31 | Least Risk  |   |                                   |                                     |   | Most Risk         |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 32 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 34 | <b>Project Risk Area Breakdown</b>  |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 35 | <b>Risk Assessment Areas</b>  |   |                                   |                                     |   |                   | <i>Risk Exposure</i> |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 36 |   |   |                                   |                                     |   |                   | <b>MEDIUM</b>        |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 37 |   |   |                                   |                                     |   |                   | <b>MEDIUM</b>        |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 38 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  | <b>MEDIUM</b> |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 39 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  | <b>MEDIUM</b> |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  |                             |
| 40 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  | <b>LOW</b> |  |  |  |  |  |               |  |  |  |  |  |                             |
| 41 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  | <b>LOW</b> |  |  |  |  |  |               |  |  |  |  |  |                             |
| 42 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  | <b>MEDIUM</b> |  |  |  |  |  |                             |
| 43 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  | <b>MEDIUM</b> |  |  |  |  |  |                             |
| 44 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 45 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 46 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 47 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 48 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 49 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 50 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 51 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 52 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 53 |   |   |                                   |                                     |   |                   |                      |                                     |  |  |  |  |               |  |  |  |  |  |            |  |  |  |  |  |               |  |  |  |  |  | <i>Overall Project Risk</i> |

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

|    | B                               | C  | D  | E  |
|----|---------------------------------|--|--|--|
| 1  | Agency: Department of Education |  | Project: Risk Assessment Mitigation  |  |
| 3  | Section 2 -- Technology Area    |  |  |  |
| 4  | #                               | Criteria   | Values   | Answer   |
| 5  | 2.01                            | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?   | Read about only or attended conference and/or vendor presentation  | Installed and supported production system more than 3 years  |
| 6  |                                 |  | Supported prototype or production system less than 6 months  |  |
| 7  |                                 |  | Supported production system 6 months to 12 months  |  |
| 8  |                                 |  | Supported production system 1 year to 3 years  |  |
| 9  |                                 |  | Installed and supported production system more than 3 years  |  |
| 10 | 2.02                            | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations  | External technical resources will be needed through implementation only                                    |
| 11 |                                 |  | External technical resources will be needed through implementation only  |  |
| 12 |                                 |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03                            | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | Some alternatives documented and considered  |
| 14 |                                 |  | Some alternatives documented and considered  |  |
| 15 |                                 |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04                            | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| 17 |                                 |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |                                 |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05                            | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Moderate infrastructure change required  |
| 20 |                                 |  | Moderate infrastructure change required  |  |
| 21 |                                 |  | Extensive infrastructure change required   |  |
| 22 |                                 |  | Complete infrastructure replacement  |  |
| 23 | 2.06                            | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are based on historical data and new system design specifications and                |
| 24 |                                 |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |                                 |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education                           |  | Project: Risk Assessment Mitigation  |  |
| 3  | <b>Section 3 -- Organizational Change Management Area</b> |  |  |  |
| 4  | <b>#</b>  | <b>Criteria</b>  | <b>Values</b>  | <b>Answer</b>  |
| 5  | 3.01  | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes         | Minimal changes to organization structure, staff or business processes structure |
| 6  |   |  | Moderate changes to organization structure, staff or business processes          |  |
| 7  |   |  | Minimal changes to organization structure, staff or business processes structure |  |
| 8  | 3.02  | Will this project impact essential business processes?   | Yes  | No   |
| 9  |   |  | No   |  |
| 10 | 3.03  | Have all business process changes and process interactions been defined and documented?  | 0% to 40% -- Few or no process changes defined and documented                    | 81% to 100% -- All or nearly all processes defined and documented                |
| 11 |   |  | 41% to 80% -- Some process changes defined and documented                        |  |
| 12 |   |  | 81% to 100% -- All or nearly all processes defined and documented                |  |
| 13 | 3.04  | Has an Organizational Change Management Plan been approved for this project?   | Yes  | No   |
| 14 |   |  | No   |  |
| 15 | 3.05  | Will the agency's anticipated FTE count change as a result of implementing the project?  | Over 10% FTE count change  | Less than 1% FTE count change  |
| 16 |   |  | 1% to 10% FTE count change   |  |
| 17 |   |  | Less than 1% FTE count change  |  |
| 18 | 3.06  | Will the number of contractors change as a result of implementing the project?   | Over 10% contractor count change   | 1 to 10% contractor count change   |
| 19 |   |  | 1 to 10% contractor count change   |  |
| 20 |   |  | Less than 1% contractor count change   |  |
| 21 | 3.07  | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?        | Extensive change or new way of providing/receiving services or information)      | Minor or no changes  |
| 22 |   |  | Moderate changes   |  |
| 23 |   |  | Minor or no changes  |  |
| 24 | 3.08  | What is the expected change impact on other state or local government agencies as a result of implementing the project?                | Extensive change or new way of providing/receiving services or information       | Minor or no changes  |
| 25 |   |  | Moderate changes   |  |
| 26 |   |  | Minor or no changes  |  |
| 27 | 3.09  | Has the agency successfully completed a project with similar organizational change requirements?                                       | No experience/Not recently (>5 Years)  | Recently completed project with greater change requirements                      |
| 28 |   |  | Recently completed project with fewer change requirements                        |  |
| 29 |   |  | Recently completed project with similar change requirements                      |  |
| 30 |   |  | Recently completed project with greater change requirements                      |  |

|    | B                               | C  | D  | E  |
|----|---------------------------------|--|--|--|
| 1  | Agency: Agency Name             |  | Project: Project Name  |  |
| 3  | Section 4 -- Communication Area |  |  |  |
| 4  | #                               | Criteria   | Value Options  | Answer   |
| 5  | 4.01                            | Has a documented Communication Plan been approved for this project?  | Yes  | No   |
| 6  |                                 |  | No   |  |
| 7  | 4.02                            | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan                                    | Routine feedback in Plan   |
| 8  |                                 |  | Routine feedback in Plan   |  |
| 9  |                                 |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                            | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | Yes  |
| 11 |                                 |  | No   |  |
| 12 | 4.04                            | Are all affected stakeholders included in the Communication Plan?  | Yes  | Yes  |
| 13 |                                 |  | No   |  |
| 14 | 4.05                            | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Some key messages have been developed                                |
| 15 |                                 |  | Some key messages have been developed                                |  |
| 16 |                                 |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                            | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Plan does not include desired messages outcomes and success measures |
| 18 |                                 |  | Success measures have been developed for some messages               |  |
| 19 |                                 |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                            | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | Yes  |
| 21 |                                 |  | No   |  |

|    | B                               | C  | D   | E  |
|----|---------------------------------|--|---|--|
| 1  | Agency: Department of Education |  | Project: Risk Assessment Mitigation   |  |
| 3  | Section 5 -- Fiscal Area        |  |   |  |
| 4  | #                               | Criteria   | Values  | Answer   |
| 5  | 5.01                            | Has a documented Spending Plan been approved for the entire project lifecycle?   | Yes   | No   |
| 6  |                                 |  | No  |  |
| 7  | 5.02                            | Have all project expenditures been identified in the Spending Plan?  | 0% to 40% -- None or few defined and documented   | 81% to 100% -- All or nearly all defined and documented                                |
| 8  |                                 |  | 41% to 80% -- Some defined and documented   |  |
| 9  |                                 |  | 81% to 100% -- All or nearly all defined and documented   |  |
| 10 | 5.03                            | What is the estimated total cost of this project over its entire lifecycle?  | Unknown   | Between \$2 M and \$10 M   |
| 11 |                                 |  | Greater than \$10 M   |  |
| 12 |                                 |  | Between \$2 M and \$10 M  |  |
| 13 |                                 |  | Between \$500K and \$1,999,999  |  |
| 14 |                                 |  | Less than \$500 K   |  |
| 15 | 5.04                            | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?   | Yes   | Yes  |
| 16 |                                 |  | No  |  |
| 17 | 5.05                            | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Detailed and rigorous (accurate within ±10%)   |
| 18 |                                 |  | Order of magnitude – estimate could vary between 10-100%  |  |
| 19 |                                 |  | Placeholder – actual cost may exceed estimate by more than 100%                                       |  |
| 20 | 5.06                            | Are funds available within existing agency resources to complete this project?   | Yes   | No   |
| 21 |                                 |  | No  |  |
| 22 | 5.07                            | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency   |
| 23 |                                 |  | Funding from local government agencies  |  |
| 24 |                                 |  | Funding from other state agencies   |  |
| 25 | 5.08                            | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Not applicable   |
| 26 |                                 |  | Requested but not received  |  |
| 27 |                                 |  | Requested and received  |  |
| 28 |                                 |  | Not applicable  |  |
| 29 | 5.09                            | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | All or nearly all project benefits have been identified and validated                  |
| 30 |                                 |  | Some project benefits have been identified but not validated  |  |
| 31 |                                 |  | Most project benefits have been identified but not validated  |  |
| 32 |                                 |  | All or nearly all project benefits have been identified and validated                                 |  |
| 33 | 5.10                            | What is the benefit payback period that is defined and documented?   | Within 1 year   | No payback   |
| 34 |                                 |  | Within 3 years  |  |
| 35 |                                 |  | Within 5 years  |  |
| 36 |                                 |  | More than 5 years   |  |
| 37 |                                 |  | No payback  |  |
| 38 | 5.11                            | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?   | Procurement strategy has not been identified and documented   | Stakeholders have reviewed and approved the proposed procurement strategy              |
| 39 |                                 |  | Stakeholders have not been consulted re: procurement strategy   |  |
| 40 |                                 |  | Stakeholders have reviewed and approved the proposed procurement strategy                             |  |
| 41 | 5.12                            | What is the planned approach for acquiring necessary products and solution services to successfully complete the project?  | Time and Expense (T&E)  | Time and Expense (T&E)   |
| 42 |                                 |  | Firm Fixed Price (FFP)  |  |
| 43 |                                 |  | Combination FFP and T&E   |  |
| 44 | 5.13                            | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Just-in-time purchasing of hardware and software is documented in the project schedule |
| 45 |                                 |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |  |
| 46 |                                 |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |  |
| 47 | 5.14                            | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager is the procurement manager  |
| 48 |                                 |  | Contract manager is the procurement manager   |  |
| 49 |                                 |  | Contract manager is the project manager   |  |
| 50 |                                 |  | Contract manager assigned is not the procurement manager or the project manager                       |  |
| 51 | 5.15                            | Has equipment leasing been considered for the project's large-scale computing purchases?   | Yes   | No   |
| 52 |                                 |  | No  |  |
| 53 | 5.16                            | Have all procurement selection criteria and outcomes been clearly identified?  | No selection criteria or outcomes have been identified  | Some selection criteria and outcomes have been defined and documented                  |
| 54 |                                 |  | Some selection criteria and outcomes have been defined and documented                                 |  |
| 55 |                                 |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |  |
| 56 | 5.17                            | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Procurement strategy has not been developed  |
| 57 |                                 |  | Multi-stage evaluation not planned/used for procurement   |  |
| 58 |                                 |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |  |
| 59 | 5.18                            | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Not applicable   |
| 60 |                                 |  | No, bid response did/will not require proof of concept or prototype                                   |  |
| 61 |                                 |  | Yes, bid response did/will include proof of concept or prototype                                      |  |
| 62 |                                 |  | Not applicable  |  |
| 63 |                                 |  |   |  |
| 64 |                                 |  |   |  |
| 65 |                                 |  |   |  |
| 66 |                                 |  |   |  |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Department of Education        |  | Project: Risk Assessment Mitigation  |  |
| 3  | Section 6 -- Project Organization Area |  |  |  |
| 4  | #                                      | Criteria   | Values   | Answer   |
| 5  | 6.01                                   | Is the project organization and governance structure clearly defined and documented within an approved project plan?   | Yes  | Yes  |
| 6  |  |  | No   |  |
| 7  | 6.02                                   | Have all roles and responsibilities for the executive steering committee been clearly identified?  | None or few have been defined and documented   | None or few have been defined and documented   |
| 8  |  |  | Some have been defined and documented  |  |
| 9  |  |  | All or nearly all have been defined and documented   |  |
| 10 | 6.03                                   | Who is responsible for integrating project deliverables into the final solution?   | Not yet determined   | Agency   |
| 11 |  |  | Agency   |  |
| 12 |  |  | System Integrator (contractor)   |  |
| 13 | 6.04                                   | How many project managers and project directors will be responsible for managing the project?  | 3 or more  | 3 or more  |
| 14 |  |  | 2  |  |
| 15 |  |  | 1  |  |
| 16 | 6.05                                   | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Some or most staff roles and responsibilities and needed skills have been identified |
| 17 |  |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |  |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06                                   | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | Yes, experienced project manager dedicated full-time, 100% to project                |
| 20 |  |  | No, project manager is assigned 50% or less to project   |  |
| 21 |  |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |  |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07                                   | Are qualified project management team members dedicated full-time to the project   | None   | Yes, business, functional or technical experts dedicated full-time, 100% to project  |
| 24 |  |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |  |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |  |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08                                   | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Mostly staffed from in-house resources   |
| 28 |  |  | Half of staff from in-house resources  |  |
| 29 |  |  | Mostly staffed from in-house resources   |  |
| 30 |  |  | Completely staffed from in-house resources   |  |
| 31 | 6.09                                   | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |  |  | Moderate impact  |  |
| 33 |  |  | Extensive impact   |  |
| 34 | 6.10                                   | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |  |  | No   |  |
| 36 | 6.11                                   | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager                          |
| 37 |  |  | No, only IT staff are on change review and control board   |  |
| 38 |  |  | No, all stakeholders are not represented on the board  |  |
| 39 |  |  | Yes, all stakeholders are represented by functional manager  |  |

|    | B                                    | C  | D  | E  |
|----|--------------------------------------|--|--|--|
| 1  | Agency: Department of Education      |  | Project: Risk Assessment Mitigation  |  |
| 3  | Section 7 -- Project Management Area |  |  |  |
| 4  | #                                    | Criteria   | Values   | Answer   |
| 5  | 7.01                                 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | No   |
| 6  |                                      |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |                                      |  | Yes  |  |
| 8  | 7.02                                 | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |                                      |  | 1-3  |  |
| 10 |                                      |  | More than 3  |  |
| 11 | 7.03                                 | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | All or nearly all  |
| 12 |                                      |  | Some   |  |
| 13 |                                      |  | All or nearly all  |  |
| 14 | 7.04                                 | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 15 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05                                 | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 18 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06                                 | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 41 to 80% -- Some are traceable  |
| 21 |                                      |  | 41 to 80% -- Some are traceable  |  |
| 22 |                                      |  | 81% to 100% -- All or nearly all requirements and specifications are traceable   |  |
| 23 | 7.07                                 | Have all project deliverables/services and acceptance criteria been clearly defined and documented?  | None or few have been defined and documented   | Some deliverables and acceptance criteria have been defined and documented   |
| 24 |                                      |  | Some deliverables and acceptance criteria have been defined and documented   |  |
| 25 |                                      |  | All or nearly all deliverables and acceptance criteria have been defined and documented  |  |
| 26 | 7.08                                 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required   | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 |                                      |  | Only project manager signs-off   |  |
| 28 |                                      |  | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |  |
| 29 | 7.09                                 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?  | 0% to 40% -- None or few have been defined to the work package level   | 0% to 40% -- None or few have been defined to the work package level   |
| 30 |                                      |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |                                      |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10                                 | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | No   |
| 33 |                                      |  | No   |  |
| 34 | 7.11                                 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | No   |
| 35 |                                      |  | No   |  |
| 36 | 7.12                                 | Are formal project status reporting processes documented and in place to manage and control this project?  | No or informal processes are used for status reporting   | Project team and executive steering committee use formal status reporting processes  |
| 37 |                                      |  | Project team uses formal processes   |  |
| 38 |                                      |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13                                 | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | All planning and reporting templates are available   |
| 40 |                                      |  | Some templates are available   |  |
| 41 |                                      |  | All planning and reporting templates are available   |  |
| 42 | 7.14                                 | Has a documented Risk Management Plan been approved for this project?  | Yes  | Yes  |
| 43 |                                      |  | No   |  |
| 44 | 7.15                                 | Have all known project risks and corresponding mitigation strategies been identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 45 |                                      |  | Some have been defined and documented  |  |
| 46 |                                      |  | All known risks and mitigation strategies have been defined  |  |
| 47 | 7.16                                 | Are standard change request, review and approval processes documented and in place for this project?   | Yes  | Yes  |
| 48 |                                      |  | No   |  |
| 49 | 7.17                                 | Are issue reporting and management processes documented and in place for this project?   | Yes  | Yes  |
| 50 |                                      |  | No   |  |



|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education             |  | Project: Risk Assessment Mitigation  |  |
| 2  |   |  |  |  |
| 3  | <b>Section 8 -- Project Complexity Area</b> |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 8.01  | How complex is the proposed solution compared to the current agency systems?   | Unknown at this time   | Similar complexity                                   |
| 6  |   |  | More complex   |  |
| 7  |   |  | Similar complexity   |  |
| 8  |   |  | Less complex   |  |
| 9  | 8.02  | Are the business users or end users dispersed across multiple cities, counties, districts, or regions?   | Single location  | More than 3 sites                                    |
| 10 |   |  | 3 sites or fewer   |  |
| 11 |   |  | More than 3 sites  |  |
| 12 | 8.03  | Are the project team members dispersed across multiple cities, counties, districts, or regions?  | Single location  | Single location                                      |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | 1 to 3 external organizations                        |
| 16 |   |  | 1 to 3 external organizations  |  |
| 17 |   |  | More than 3 external organizations   |  |
| 18 | 8.05  | What is the expected project team size?  | Greater than 15  | 5 to 8   |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | None   |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Statewide or multiple agency business process change |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Combination of the above                             |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Greater size and complexity                          |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity                          |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |

CBAForm 1 - Net Tangible Benefits

|        |  |         |                        |
|--------|--|---------|------------------------|
| Agency | <u>Florida Department of Education</u> | Project | <u>Risk Mitigation</u> |
|--------|--|---------|------------------------|

| 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<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2023-24                          |                                   |   | FY 2024-25                          |                                   |   | FY 2025-26                          |                                   |   | FY 2026-27                          |  |   | FY 2027-28                          |                                   |   |
|   | (a)<br>Existing<br>Program<br>Costs | (b)<br>Operational<br>Cost Change | (c) = (a)+(b)<br>New Program<br>Costs resulting<br>from Proposed<br>Project | (a)<br>Existing<br>Program<br>Costs | (b)<br>Operational<br>Cost Change | (c) = (a) + (b)<br>New Program<br>Costs resulting<br>from Proposed<br>Project | (a)<br>Existing<br>Program<br>Costs | (b)<br>Operational<br>Cost Change | (c) = (a) + (b)<br>New Program<br>Costs resulting<br>from Proposed<br>Project | (a)<br>Existing<br>Program<br>Costs | (b)<br>Cost Change<br>Operational<br>Cost Change | (c) = (a) + (b)<br>New Program<br>Costs resulting<br>from Proposed<br>Project | (a)<br>Existing<br>Program<br>Costs | (b)<br>Operational<br>Cost Change | (c) = (a) + (b)<br>New Program<br>Costs resulting<br>from Proposed<br>Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$0                                 | \$1,088,100                       | \$1,088,100   | \$1,088,100                         | \$0                               | \$1,088,100   | \$1,088,100                         | \$0                               | \$1,088,100   | \$1,088,100                         | \$0  | \$1,088,100   | \$1,088,100                         | \$0                               | \$1,088,100   |
| <b>A.b Total Staff</b>  | 0.00                                | 10.00                             | 10.00   | 10.00                               | 0.00                              | 10.00   | 10.00                               | 0.00                              | 10.00   | 10.00                               | 0.00   | 10.00   | 10.00                               | 0.00                              | 10.00   |
| A-1.a. State FTEs (Salaries & Benefits)   | \$0                                 | \$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                                 | \$1,088,100                       | \$1,088,100   | \$1,088,100                         | \$0                               | \$1,088,100   | \$1,088,100                         | \$0                               | \$1,088,100   | \$1,088,100                         | \$0  | \$1,088,100   | \$1,088,100                         | \$0                               | \$1,088,100   |
| A-3.b. Staff Augmentation (# of Contractors)  | 0.00                                | 10.00                             | 10.00   | 10.00                               | 0.00                              | 10.00   | 10.00                               | 0.00                              | 10.00   | 10.00                               | 0.00   | 10.00   | 10.00                               | 0.00                              | 10.00   |
| <b>B. Application Maintenance Costs</b>   | \$0                                 | \$647,400                         | \$647,400   | \$647,400                           | \$0                               | \$647,400   | \$647,400                           | \$0                               | \$647,400   | \$647,400                           | \$0  | \$647,400   | \$647,400                           | \$0                               | \$647,400   |
| B-1. Managed Services (Staffing)  | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| B-2. Hardware   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| B-3. Software   | \$0                                 | \$244,300                         | \$244,300   | \$244,300                           | \$0                               | \$244,300   | \$244,300                           | \$0                               | \$244,300   | \$244,300                           | \$0  | \$244,300   | \$244,300                           | \$0                               | \$244,300   |
| B-4. Other <span style="float: right;"><i>Network Access Control</i></span>   | \$0                                 | \$403,100                         | \$403,100   | \$403,100                           | \$0                               | \$403,100   | \$403,100                           | \$0                               | \$403,100   | \$403,100                           | \$0  | \$403,100   | \$403,100                           | \$0                               | \$403,100   |
| <b>C. Data Center Provider Costs</b>  | \$0                                 | \$52,000                          | \$52,000  | \$52,000                            | \$0                               | \$52,000  | \$52,000                            | \$0                               | \$52,000  | \$52,000                            | \$0  | \$52,000  | \$52,000                            | \$0                               | \$52,000  |
| C-1. Managed Services (Staffing)  | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| C-2. Infrastructure   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| C-3. Network / Hosting Services   | \$0                                 | \$52,000                          | \$52,000  | \$52,000                            | \$0                               | \$52,000  | \$52,000                            | \$0                               | \$52,000  | \$52,000                            | \$0  | \$52,000  | \$52,000                            | \$0                               | \$52,000  |
| C-4. Disaster Recovery  | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| C-5. Other <span style="float: right;"><i>Specify</i></span>  | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| <b>D. Plant &amp; Facility Costs</b>  | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| <b>E. Other Costs</b>   | \$0                                 | \$39,000                          | \$39,000  | \$39,000                            | \$0                               | \$39,000  | \$39,000                            | \$0                               | \$39,000  | \$39,000                            | \$0  | \$39,000  | \$39,000                            | \$0                               | \$39,000  |
| E-1. Training   | \$0                                 | \$39,000                          | \$39,000  | \$39,000                            | \$0                               | \$39,000  | \$39,000                            | \$0                               | \$39,000  | \$39,000                            | \$0  | \$39,000  | \$39,000                            | \$0                               | \$39,000  |
| E-2. Travel   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| E-3. Other <span style="float: right;"><i>Specify</i></span>  | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0                               | \$0   | \$0                                 | \$0  | \$0   | \$0                                 | \$0                               | \$0   |
| <b>Total of Recurring Operational Costs</b>   | \$0                                 | \$1,826,500                       | \$1,826,500   | \$1,826,500                         | \$0                               | \$1,826,500   | \$1,826,500                         | \$0                               | \$1,826,500   | \$1,826,500                         | \$0  | \$1,826,500   | \$1,826,500                         | \$0                               | \$1,826,500   |
| <b>F. Additional Tangible Benefits:</b>   |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0  |   |                                     | \$0                               |   |
| F-1. <span style="float: right;"><i>Specify</i></span>  |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0  |   |                                     | \$0                               |   |
| F-2. <span style="float: right;"><i>Specify</i></span>  |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0  |   |                                     | \$0                               |   |
| F-3. <span style="float: right;"><i>Specify</i></span>  |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0  |   |                                     | \$0                               |   |
| <b>Total Net Tangible Benefits:</b>   |                                     | (\$1,826,500)                     |   |                                     | \$0                               |   |                                     | \$0                               |   |                                     | \$0  |   |                                     | \$0                               |   |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |                          |                  |
|--|--------------------------|------------------|
| Choose Type  | Estimate Confidence      | Enter % (+/-)    |
| Detailed/Rigorous  | <input type="checkbox"/> | Confidence Level |
| Order of Magnitude   | <input type="checkbox"/> | Confidence Level |
| Placeholder  | <input type="checkbox"/> | Confidence Level |

| A  | B   | C                                     | D                       | E  | F            | G            | H                   | I      | J        | K                   | L      | M        | N                   | O      | P        | Q                   | R      | S        | T                   |       |              |
|----|---|---------------------------------------|-------------------------|--|--------------|--------------|---------------------|--------|----------|---------------------|--------|----------|---------------------|--------|----------|---------------------|--------|----------|---------------------|-------|--------------|
| 1  | Florida Department of Education   | Risk Mitigation                       |                         |  |              |              |                     |        |          |                     |        |          |                     |        |          |                     |        |          |                     |       |              |
|    |   |                                       |                         | CBA Form 2A Baseline Project Budget                  |              |              |                     |        |          |                     |        |          |                     |        |          |                     |        |          |                     |       |              |
|    |   |                                       |                         | FY2023-24  |              |              | FY2024-25           |        |          | FY2025-26           |        |          | FY2026-27           |        |          | FY2027-28           |        |          | TOTAL               |       |              |
|    |   |                                       |                         | \$ -   | \$ 3,206,580 | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ 3,206,580        |       |              |
| 4  | Item Description<br>(remove guidelines and annotate entries here)   | Project Cost Element                  | Appropriation Category  | Current & Previous<br>Years Project-<br>Related Cost | YR 1 #       | YR 1 LBR     | YR 1 Base<br>Budget | YR 2 # | YR 2 LBR | YR 2 Base<br>Budget | YR 3 # | YR 3 LBR | YR 3 Base<br>Budget | YR 4 # | YR 4 LBR | YR 4 Base<br>Budget | YR 5 # | YR 5 LBR | YR 5 Base<br>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<br>Services  | \$ -   | 13.00        | \$ 1,469,700 | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | \$ -  | \$ 1,469,700 |
| 8  | Project management personnel and related deliverables.  | Project Management                    | Contracted<br>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<br>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<br>Services  | \$ -   | 0.00         | \$ -         | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | \$ -  | \$ -         |
| 11 | Separate requirements analysis and feasibility study procurements.  | Project Planning/Analysis             | Contracted<br>Services  | \$ -   | \$ -         | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -  | \$ -         |
| 12 | Hardware purchases not included in data center services.  | Hardware                              | OCO                     | \$ -   | \$ -         | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -  | \$ -         |
| 13 | Commercial software purchases and licensing costs.  | Commercial Software                   | Contracted<br>Services  | \$ -   | \$ 1,557,400 | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -  | \$ 1,557,400 |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation)   | Project Deliverables                  | Contracted<br>Services  | \$ -   | \$ -         | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -  | \$ -         |
| 15 | All first-time training costs associated with the project.  | Training                              | Contracted<br>Services  | \$ -   | \$ 39,000    | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -  | \$ 39,000    |
| 16 | Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center<br>Category | \$ -   | \$ 102,000   | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -  | \$ 102,000   |
| 17 | Other contracted services not included in other categories.   | Other Services                        | Contracted<br>Services  | \$ -   | \$ -         | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -  | \$ -         |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)   | Equipment                             | Expense                 | \$ -   | \$ 38,480    | \$ -         | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -   | \$ -     | \$ -                | \$ -  | \$ 38,480    |
| 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   |                                       |                         | \$ -   | 13.00        | \$ 3,206,580 | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | 0.00   | \$ -     | \$ -                | \$ -  | \$ 3,206,580 |

CBAForm 2 - Project Cost Analysis

|   |                                |
|---|--------------------------------|
| Agency <u>Florida Department of Education</u> | Project <u>Risk Mitigation</u> |
|---|--------------------------------|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |               |               |               |               | TOTAL       |
|---|--|---------------|---------------|---------------|---------------|-------------|
|   | FY<br>2023-24                          | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |             |
| TOTAL PROJECT COSTS (*)   | \$3,206,580                            | \$0           | \$0           | \$0           | \$0           | \$3,206,580 |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$3,206,580                            | \$3,206,580   | \$3,206,580   | \$3,206,580   | \$3,206,580   |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |               |               |               |               |             |

| PROJECT FUNDING SOURCES  | PROJECT FUNDING SOURCES - CBAForm 2B |               |               |               |               | TOTAL        |
|--|--------------------------------------|---------------|---------------|---------------|---------------|--------------|
|  | FY<br>2023-24                        | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |              |
| General Revenue  | \$3,206,580                          | \$3,206,580   | \$3,206,580   | \$3,206,580   | \$3,206,580   | \$16,032,900 |
| 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"/> <span style="color: blue;">Specify</span> | \$0                                  | \$0           | \$0           | \$0           | \$0           | \$0          |
| TOTAL INVESTMENT   | \$0                                  | \$0           | \$0           | \$0           | \$0           | \$0          |
| CUMULATIVE INVESTMENT  | \$0                                  | \$0           | \$0           | \$0           | \$0           | \$0          |

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

CBAForm 3 - Project Investment Summary

|        |  |         |                        |
|--------|--|---------|------------------------|
| Agency | <u>Florida Department of Education</u> | Project | <u>Risk Mitigation</u> |
|--------|--|---------|------------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A     |               |               |               |               |               |                        |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
|   | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | TOTAL FOR ALL<br>YEARS |
| Project Cost                            | \$3,206,580   | \$0           | \$0           | \$0           | \$0           | \$3,206,580            |
| Net Tangible Benefits                   | (\$1,826,500) | \$0           | \$0           | \$0           | \$0           | (\$1,826,500)          |
| Return on Investment                    | (\$5,033,080) | \$0           | \$0           | \$0           | \$0           | (\$5,033,080)          |
| Year to Year Change in Program Staffing | 10            | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |               |   |
|---|---------------|---|
| Payback Period (years)                      | NO PAYBACK    | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK    | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$4,862,879) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR)               | NO IRR        | IRR is the project's rate of return.  |

| Investment Interest Earning Yield -- CBAForm 3C |               |               |               |               |               |
|---|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year                                     | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |
| Cost of Capital                                 | 3.50%         | 3.50%         | 3.60%         | 3.60%         | 3.60%         |



# Project Management Plan

## Statewide Student Safety and Support Portal Project Department of Education

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### Revision History

| Date      | Version | Revised By           | Description                |
|-----------|---------|----------------------|----------------------------|
| 8/10/2022 | .1      | Cassandra J. Grayson | Revised w/ Master Template |
|           |         |                      |                            |

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## Introduction

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The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Division of Technology & Innovation - Risk Assessment Mitigation (RAM) Project. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

- Introduction
- Project Charter
- Scope Management Plan
- Work Breakdown Structure (WBS)
- Resource Breakdown Structure (RBS)
- Master Project Schedule
- Schedule Management Plan
- Work Management Plan
- Spending Plan
- Communication Plan
- Risk Management Plan
- Issue Management Plan
- Quality Management Plan
- Change Management Plan
- Procurement Management Plan
-



## 2. Project Charter

The Project Charter for the Florida Department of Education, Division of Technology & Innovation - Risk Assessment Mitigation Project formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and, it recognizes the project manager role and gives the project manager the authority to "get the job done." The document is due at initiation of the project.

### 2.1 Overview

The Florida Department of Education (FDOE) completed an internal reassessment of the Information Technology (IT) Security Program. The assessment considers the Enterprise Cybersecurity tools provided by the Florida Digital Service (FL[DS]), enabling hardware and software asset management, endpoint protection and centralizing Cybersecurity monitoring. The request provided in this LBR addresses information security and risk management gaps that FDOE needs to address in order to improve the maturity of the overall security program. If this legislative budget request is not funded, a wide range of sensitive data of employees, students and teachers could be targets for cyber-attacks and compromised. Thus, FDOE information security needs staff and resources to stay ahead of existing and developing threats.

### 2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction
- Business Need
- Strategic Goals
- Project Scope
- Budget Estimate and Summary Project Schedule
- Assumptions and Constraints
- Project Team and Stakeholders
- Critical Success Factors
- Project Approvals
- Appendix A
-

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### 3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification Scope Control
- 3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for acceptance.

Upon approval of scope changes by the Change Control Board and Project Sponsor the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.

### 4. Work Breakdown Structure

The work required to complete this project is subdivided into individual work packages. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

The project is organized in phases and coincides with the Project Management Institute, Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK®)

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Guide) – Fourth Edition standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

The Project had a previous WBS that was based on an internal Modernization and Application Improvement project approach that was executed to about 50% when it was realized that the existing Licensing System obsolescence prevented the completion of the original plan. After a full Project review it was decided that a full replacement of the Licensing System was required to meet Project goals. After an Analysis of Alternatives (AoA): Design and Develop a new system internally, purchase a Commercial off the Shelf (COTS) solution, or procure a Managed Service/Cloud based solution; it was decided to pursue the procurement of a COTS solution that met requirements. As the installation, deployment, acceptance testing, launch, and training will be provided by the Vendor, a new WBS is not available at this time. As soon as it is provided by the Vendor, a link to it will be provided in this document.

---

## 5. Resource Breakdown Structure

The Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

Executive Sponsor - 1

Project Sponsor – 1

Project Manager – 1

Systems or Enterprise Architect/Technical Lead (Developer) – 1

Quality Assurance Analyst – 1

Security Analyst – 2

Developers – 1

DBA – 1 (assistance as needed)

## 6. Master Project Schedule

---

The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained Microsoft Project. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

### 6.1 Schedule Management Plan

---

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

The Schedule Management Plan is organized into the following sections:

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

#### Schedule Management Approach

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

#### Schedule Tool/Format

Project schedules will be created using Microsoft Project.

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

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

#### Schedule Milestones

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

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

- Completion of scope statement, Work Breakdown Structure (WBS) and Resource Breakdown Structure (RBS)

- Baselined project schedule
- Approval of final project budget
- Project kick-off
- Approval of roles and responsibilities
- Requirements definition approval
- Completion of data mapping/inventory
- Project implementation
- Acceptance of final deliverables
- 

#### Project Manager Roles and Responsibilities

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

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.
- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

#### Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

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

#### Work Breakdown Structure

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

The WBS for the RAM Project is organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing.

#### Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

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

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

#### Reporting

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

#### Schedule Changes

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

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

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

#### Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The Change Management process and will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

#### Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

#### Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.



## 7. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies

---

## 8. Spending Management Plan

This section presents the project spending plan and the high level project schedule for the Microsoft Project.

### 8.1 Spending Plan

The table below shows the cost of the project projected for 2023-24.

Table 1: Summary Spending Plan

|   |                        |
|---|------------------------|
| Recurring Costs                         |                        |
| Services, subscriptions, maintenance    | \$ 738,400.00          |
| Staffing (FTE's and Contractors)        | <u>\$ 1,088,100.00</u> |
| Total Recurring Costs                   | \$ 1,826,500.00        |
| One-Time Initial Total Costs - Year One |                        |
| Recurring Costs                         | \$ 1,826,500.00        |
| Capital Expenses                        | \$ 910,000.00          |
| Temporary Staffing                      | <u>\$ 470,080.00</u>   |
| Total Amount to be Requested            | \$ 3,206,580.00        |

## 9. Communication Plan

The Communication Plan describes the planned and periodic communications between the RAM and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

- Introduction
- Roles and Responsibilities
- Communication Types
- Communication Management
- Appendix
- 

The Communication Plan is filed for reference in the Project Documentation Folder.

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## 10. Risk Management Plan

This section presents the Risk Management Plan for the RAM Project. A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

### 10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

### 10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy
- Risk Management Database
- Risk Breakdown Structure

Risks are reported separately in the SharePoint™ Risk Management Database.

#### Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

#### Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the RAM Project.<sup>1</sup> The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the RAM Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the RAM Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

#### Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

---

<sup>1</sup> David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

| Risk Probability |           |                      |
|------------------|-----------|----------------------|
| Low              | < 30%     | unlikely to occur    |
| Medium           | 31% - 50% | may occur            |
| High             | 51% - 80% | probably will occur  |
| Very High        | > 80%     | very likely to occur |

| Risk Impact |                      |   |                          |
|-------------|----------------------|---|--------------------------|
|             | <u>Cost Increase</u> | <u>Scope Change</u>   | <u>Schedule Increase</u> |
| Minor       | < 5%                 | Barely  | < 5%                     |
| Moderate    | 5% - 8%              | Minor areas of deliverable(s)   | 5% - 10%                 |
| Serious     | 9% - 10%             | Major areas of deliverable(s)   | 11% - 15%                |
| Critical    | > 10%                | Failure to complete deliverable or failure to achieve project objective | >15%                     |

| Probability x Impact Rank |              |                 |                |                 |
|---------------------------|--------------|-----------------|----------------|-----------------|
|                           | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low                       | Low(1)       | Low(1)          | Medium(2)      | High(3)         |
| Medium                    | Low(1)       | Medium(2)       | Medium(2)      | High(3)         |
| High                      | Low(1)       | Medium(2)       | High(3)        | High(3)         |
| Very High                 | Low(1)       | High(3)         | High(3)        | Very High(4)    |

## Risk Response Options

Risk responses are planned using four basic risk response options:

- Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.
- Avoid – take proactive action to eliminate the risk to the project.
- Mitigate – take proactive action to reduce the probability and/or impact of the risk.
- Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the RAM Project Team and the Project Sponsor. Input from RAM subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

## Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date. The initial development of the Risk Management Database will be completed by the RAM Project Team. The Risk Management Database will be updated on an ongoing basis by the RAM Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The RAM Project Team will use the Risk Management Database as the system of record and store it in the RAM SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and RAM Project Team in the weekly status meeting. The RAM Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook, and update the Project Workbook and upload it to the RAM Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

## Risk Management Responsibilities

The responsibility for managing risk is shared between the RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity  | Responsibility  |
|----------------|---|
| Identify risks | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br><br>Initial identification was made by the Project Sponsor and Project Manager. |

|                                       |  |
|---------------------------------------|--|
| Assess risks                          | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial assessment was made by the Project Sponsor and Project Manager.    |
| Plan risk responses                   | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial responses were planned by the Project Sponsor and Project Manager. |
| Approve risk responses                | Project Sponsor  |
| Develop Risk Management Database      | Project Manager and RAM Project Team   |
| Maintain Risk Management Database     | Project Manager  |
| Develop or take risk response actions | Risk Owner   |
| Manage risk responses                 | Project Manager, RAM Project Team  |
| Report risks                          | Project Manager, RAM Project Team  |

#### Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint™. It is reviewed and updated as necessary on a weekly basis.

#### Risk Breakdown Structure (RBS)

| RBS LEVEL 1       | RBS LEVEL 2 |                                     |
|-------------------|-------------|-------------------------------------|
| 1. Technical Risk | 1.1         | Scope Definition                    |
|                   | 1.2         | Requirements Definition             |
|                   | 1.3         | Estimates, Assumptions, Constraints |
|                   | 1.4         | Technical Processes                 |
|                   | 1.5         | Technology                          |

|                    |      |                                |
|--------------------|------|--------------------------------|
|                    | 1.6  | Interfaces                     |
|                    | 1.7  | Design                         |
|                    | 1.8  | Performance                    |
|                    | 1.9  | Reliability & Maintainability  |
|                    | 1.10 | ADA                            |
|                    | 1.11 | Security                       |
|                    | 1.12 | Test & Acceptance              |
| 2. Management Risk | 2.1  | Project Management             |
|                    | 2.2  | Program Management             |
|                    | 2.3  | Operations Management          |
|                    | 2.4  | Organization                   |
|                    | 2.5  | Resourcing                     |
|                    | 2.6  | Communication                  |
|                    | 2.7  | Information                    |
|                    | 2.8  | Health, Safety, & Environment  |
|                    | 2.9  | Quality                        |
|                    | 2.10 | Reputation                     |
| 3. Business Risk   | 3.1  | Contractual Terms & Conditions |
|                    | 3.2  | Internal Procurement           |
|                    | 3.3  | Contractor                     |
|                    | 3.4  | Subcontracts                   |
|                    | 3.5  | Client/Customer Stability      |
|                    | 3.6  | Stakeholders                   |
| 4. External Risk   | 4.1  | Legislation                    |
|                    | 4.2  | Exchange Rates                 |
|                    | 4.3  | Site / Facilities              |
|                    | 4.4  | Environment / Weather          |
|                    | 4.5  | Competition                    |
|                    | 4.6  | Regulatory                     |
|                    | 4.7  | Political                      |
|                    | 4.8  | Country                        |
|                    | 4.9  | Social / Demographic           |
|                    | 4.10 | Pressure Groups                |
|                    | 4.11 | Force Majeure                  |

## 11. Issue Management Plan

---

This section presents the Issue Management plan for the RAM Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

### 11.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- The resolution is in question or lacking agreement among stakeholders
- It is highly visible or involves external stakeholders such as requests or directives from control agencies
  - It has critical deadlines or timeframes that cannot be missed
- It can result in an important decision or resolution for which the rationale and activities must be captured
- for historical purposes it has critical deadlines that may impede project progress.

Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

### 11.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy
- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint™ and maintained there for history.

#### Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance. Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the RAM Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the RAM Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.



## Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the RAM Project Manager via e-mail. Prospective issues shall be entered by the RAM Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly RAM – Reengineering Project Status Meeting.

## Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented SharePoint™. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint™ will be updated weekly as needed by the RAM Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The RAM Project Team will use Microsoft Project as the system of record. The Project Manager will add any new issues identified to Microsoft Project. These items will be discussed with Project Sponsor and RAM Project Team in the weekly status meeting.

## Issue Management Responsibilities

The responsibility for managing issues is shared between the RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity  | Responsibility  |
|-----------------|---|
| Identify issues | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br><br>Initial identification will be made by the Project Sponsor and Project Manager. |

|  |  |
|--|--|
| Validate issues                        | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. |
| Assign issues                          | RAM Project Manager, Project Sponsor, and Project Manager.                               |
| Approve issue responses                | Project Sponsor and/or   |
| Develop Issue Management Database      | Project Manager and RAM Project Team   |
| Maintain Issue Management Database     | Project Manager  |
| Develop or take issue response actions | Issue Owner  |
| Manage issue responses                 | Project Manager, RAM Project Team  |
| Report issues                          | Project Manager, RAM Project Team  |

#### Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the RAM Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible
2. Attempts to resolve must be made by appropriate parties prior to escalation
3. The issue owner, as identified by the issue tracker, completes the Issue Submission Form with a brief issue write-up identifying the issue, concerns, and positions of involved parties
4. The issue owner schedules a meeting to discuss with involved parties
5. The issue is ENTERED on the Issue Register for tracking
6. The issue owner provides the issue write-up at least 24 hours prior to meeting
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered)

9. Once escalation need is identified, notice is sent to the next levels of management (Project Sponsor and )
10. Issue review process is repeated at the next level of management

**Issue Submission Form**

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

**Sample Issue Submission Form**

A sample of the Issue Submission Form is shown on the following page.

| ISSUE SUBMISSION FORM               |                    |                |
|-------------------------------------|--------------------|----------------|
| Issue Number:                       | Reported By:       | Date Reported: |
| Issue Status:                       | Issue Assigned To: | Date Resolved: |
| Description of Issue:               |                    |                |
| Project Impact:                     |                    |                |
| Alternatives and Recommendation(s): |                    |                |
| Final Resolution:                   |                    |                |

12. Quality Management Plan

---

**Introduction**

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the RAM Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

### Approach

This section describes the approach the RAM Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the RAM Project beginning in the first phase of the project to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

### Quality Management Approach Overview



### Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
  - Ensure the quality of the system development process, project artifacts, and project products to RAM and its stakeholder meet their requirements

#### Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

#### Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

#### Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

#### Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

#### Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.

## 13. Change Management Plan

---

The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

### Change Management Process

This section provides the Change Management process which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

### Change Request Process Stages

Change Request Initiation: Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.

Change Impact Estimation: Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.

Approvals and Acceptance: The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

### Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage | Step | Description |
|-------|------|-------------|
|-------|------|-------------|

|                   |               |   |
|-------------------|---------------|---|
| Initiation        | Generate CR   | A submitter completes a CR Form and sends the completed form to the Project Manager   |
| Initiation        | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed.                              |
| Impact Estimation | Evaluate CR   | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change   |
| Approval          | Authorize     | Approval to move forward with incorporating the suggested change into the project/product   |
| Approval          | Implement     | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in Appendix A – RAM Change Request Form.

A sample copy of the RAM Change Request Form is provided in the table below:

Table 3. RAM Change Request Form:

| Change Request   |           |            |
|--|-----------|------------|
| Project:   |           | Date:      |
| Change Requestor:  |           | Change No: |
| Change Category (Check all that apply):<br><input type="checkbox"/> Schedule <input type="checkbox"/> Cost <input type="checkbox"/> Scope Requirements/Deliverables<br><input type="checkbox"/> <input type="checkbox"/> Testing/QualityResources    |           |            |
| Does this Change Affect (Check all that apply):<br><input type="checkbox"/> Corrective Action <input type="checkbox"/> Preventative Action <input type="checkbox"/> Defect Repair <input type="checkbox"/> Updates<br><input type="checkbox"/> Other |           |            |
| Describe the Change Being Requested:   |           |            |
| Describe the Reason for the Change:  |           |            |
| Describe all Alternatives Considered:  |           |            |
| Describe any Technical Changes Required to Implement this Change:  |           |            |
| Describe Risks to be Considered for this Change:   |           |            |
| Estimate Resources and Costs Needed to Implement this Change:  |           |            |
| Describe the Implications to Quality:  |           |            |
| Disposition:<br><input type="checkbox"/> Approve <input type="checkbox"/> Reject <input type="checkbox"/> Defer  |           |            |
| Justification of Approval, Rejection, or Deferral:   |           |            |
| Change Board Approval:   |           |            |
| Name   | Signature | Date       |
|  |           |            |
|  |           |            |



#### Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the RAM Change Request Form included in Appendix A – RAM Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

#### Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

#### Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

- a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.
- b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

### Team Member Roles and Responsibilities

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

**Table 4. RASCI Matrix**

|   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
|---|------------------------|--|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|--|
| <b>ROLE Definitions</b>   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>R Responsible</b><br>The person who will perform the task.                             |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>I Informed</b><br>The person(s) who are kept up-to-date on task status.                |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>TASKS/ACTIVITIES</b>   | <b>Project Manager</b> |  | <b>Project Sponsor</b> | <b>Project Oversight Group</b> | <b>Business Analyst Team</b> | <b>Solution Architect</b> | <b>Database Team</b> | <b>Technical Team Lead</b> | <b>Development Team</b> | <b>Maintenance Team Manager</b> | <b>Maintenance Team</b> |  |

| Initiation Tasks              |     |     |   |   |   |   |   |   |   |   |   |
|-------------------------------|-----|-----|---|---|---|---|---|---|---|---|---|
| 1. Generate Change Request.   | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I   | I | I | I | I | I | I | I | I | I |

**Table 2. RASCI Matrix**

| ROLE Definitions  | Project Manager | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
|---|-----------------|-----------------|-------------------------|-----------------------|--------------------|---------------|---------------------|------------------|--------------------------|------------------|
| <b>R Responsible</b><br>The person who will perform the task.                             |                 |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                 |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                 |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                 |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>I Informed</b><br>The person(s) who are kept up-to-                                    |                 |                 |                         |                       |                    |               |                     |                  |                          |                  |

|                              |     |       |   |     |   |   |   |   |   |   |   |   |
|------------------------------|-----|-------|---|-----|---|---|---|---|---|---|---|---|
| date on task status.         |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>TASKS/ACTIVITIES</b>      |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>Impact Estimate Tasks</b> |     |       |   |     |   |   |   |   |   |   |   |   |
| 5. Evaluate Change Request.  | C   | C,R,A | I | I   | C | C | C | C | C | C | C | C |
| <b>Approval Tasks</b>        |     |       |   |     |   |   |   |   |   |   |   |   |
| 6. Authorize Change Request. | I   | I     | I | A,R | I | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C     | I | I   | I | I | I | I | I | I | I | I |
|                              |     |       |   |     |   |   |   |   |   |   |   |   |

The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

- Introduction
- General Procurement Approach
- Procurement Definition
- Staff Augmentation Procedures
- Hardware/Software Purchasing
- Northwest Regional Data Center (NWRDC) Services Request Procedures
- Procurement Risks
- Procurement Risk Management
- Cost Determination
- Procurement Constraints
- Contract Manager
- Vendor Management
- 

#### Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a Guidebook to Public Procurement to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. It was created by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' Guidebook to Public Procurement is revised each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.

The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify all items to be procured for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

## General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action is selected based on requirements.

## Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, procurement deadlines are usually affected by the project schedule and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. This is usually performed by the Business Analysts on the project team.

## Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that its decision was based upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). It is then up to the Project Sponsor to set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

## Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the RAM Operations Supervisor who will check to see if the item is already available within the Department. If not, then the specifications for the requirements should be provided to the RAM Bureau Chief Staff Assistant so that it can be entered into the MyFloridaMarketPlace eQuote system for purposes of requesting quotes.

## Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

### Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

### Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

### Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

### Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

Schedule: Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.

Cost: Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.

Scope: All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

Resources: All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.



Technology: Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

#### Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
  - a. Contract Manager verifies with the Technical Contact any missing information
  - b. Contract Manager creates the Requisition in MyFloridaMarketPlace (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
  - a. Contract cover sheet
  - b. Purchase Order
  - c. Contract management check list
  - d. RFQ or SOW
  - e. Resume
  - f. Disclosure statement
  - g. Drug-free work place form
  - h. References
  - i. Skills matrix
  - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

#### Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it

complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.

**SCHEDULE IV-B FOR SESIR REPORTING TOOL**  
**For Fiscal Year 2023-24**



**October 11, 2022**

**DEPARTMENT OF EDUCATION**


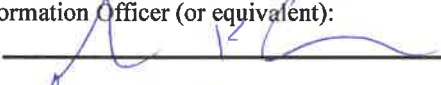
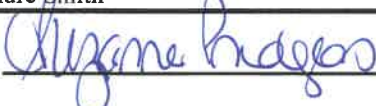


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SCHEDULE IV-B FOR SESIR REPORTING TOOL

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Department of Education  | Schedule IV-B Submission Date: 10/14/2022   |
| Project Name:<br>SESIR Reporting Tool   | Is this project included in the Agency's LRPP?<br><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| FY 2023-24 LBR Issue Code:<br>40007C0   | FY 2023-24 LBR Issue Title:<br>School Environment Safety Incident Report  |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Andre K. Smith, 850-245-0428, Andre.Smith@fldoe.org  |   |
| AGENCY APPROVAL SIGNATURES  |   |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. |   |
| Agency Head:<br><i>Chief of Staff</i>    | Date: 10/13/22  |
| Printed Name: Manny Diaz, Jr. <i>Anastasio Kowontas</i>   |   |
| Agency Chief Information Officer (or equivalent):<br>  | Date: 10/13/22  |
| Printed Name: Andre Smith   |   |
| Budget Officer:<br>  | Date: 10/13/22  |
| Printed Name: Suzanne Pridgeon  |   |
| Planning Officer:<br>  | Date: 10/13/22  |
| Printed Name: Bryan Hudnall   |   |
| Project Sponsor:<br>   | Date: 10/13/22  |
| Printed Name: Tim Hay   |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Julie Collins <a href="mailto:Julie.Collins@fldoe.org">Julie.Collins@fldoe.org</a> 850 245-0676                       |
| Cost Benefit Analysis:  | Andre K. Smith, <a href="mailto:Andre.Smith@fldoe.org">Andre.Smith@fldoe.org</a> , 850-245-0428                       |
| Risk Analysis:  | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573     |
| Technology Planning:  | Rod King, <a href="mailto:Rod.King@fldoe.org">Rod.King@fldoe.org</a> , 850-245-0342                                   |
| Project Planning:   | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573     |

## General Guidelines

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

Schedule IV-B is not required for requests to:

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

## Documentation Requirements

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

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

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

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

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

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

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

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

Florida Department of Education (FDOE) is requesting \$3,000,000, half of which is nonrecurring, to implement and maintain a common School Environment Safety Incident Report (SESIR) tool. This will allow districts to provide uniform transparent data that can be thoughtfully analyzed and satisfy SESIR reporting requirements from both a law enforcement perspective and a federal reporting perspective. This tool will also implement the new SESIR definitions created by the workgroup the department launched in August 2022.

#### 2. Business Objectives

- Create a new web-based cloud platform for collecting SESIR data that supports the safety of the entire school.
- Configure access to allow authorized public-school personnel to enter information related to any substantiated threat at their respective schools.
- Compliance with Florida's Cybersecurity Standards, located in Florida Administrative Code Rules 60GG-2.001-2.006.
- Compliance with the Federal Educational Rights and Privacy Act (FERPA) and Health Insurance Portability and Accountability Act (HIPAA).

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

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### B. Baseline Analysis

*Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.*

#### 1. Current Business Process(es)

Currently, all 67 districts are using different means of reporting SESIR data and then FDOE must compile and standardize the information. The creation of a web-based tool with preset drop-down menus would mean that district and school staff entering SESIR reporting would select (1) a Florida criminal code description for each incident and then (2) select from a subsequent drop-down box the corresponding appropriate federal report category for that law enforcement description. This two drop-down layered approach is necessary due to the differing purposes SESIR data services. This will greatly reduce the mistakes and under/over reporting data that can come from human error or judgment.

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

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## 2. Assumptions and Constraints

### C. Proposed Business Process Requirements

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

#### 1. Proposed Business Process Requirements

In order to facilitate a statewide behavioral management solution, this solution should have the following core functionality:

- Generate standard and customized reports;
- Secure Application Programming Interface (API) connecting to the Florida School Safety Portal;
- Web-based interfaces for users to add or edit SESIR data; and
- Provision of online support capabilities, training and assistance for users in various media platforms.

#### 2. Business Solution Alternatives

The department examined three alternatives to meet the business goals of the statewide threat assessment database solution:

- Develop a custom solution in-house
- Outsource a stand-alone custom solution
- Deploy a Commercial Off-the-shelf COTS solution

#### 3. Rationale for Selection

In considering the advantages and disadvantages of each alternative, the department also considered the following factors in making a selection:

- Usability
- Maintainability
- Scalability
- Data management
- Security
- Cost
- Risk

#### 4. Recommended Business Solution

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

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### D. Functional and Technical Requirements

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

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

### III. Success Criteria

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

| SUCCESS CRITERIA TABLE |   |   |                                      |                          |
|------------------------|---|---|--------------------------------------|--------------------------|
| #                      | Description of Criteria   | How will the Criteria be measured/assessed?   | Who benefits?                        | Realization Date (MM/YY) |
| 1                      | Web-based interfaces for users ensures connectivity through Single Sign On credentials.                 | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | School-based threat assessment teams | August 2024              |
| 2                      | Build secured Application Programming Interface.  | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | School-based threat assessment teams | August 2024              |
|                        |   |   |                                      |                          |
| 3                      | Ability to add and edit SESIR data  | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | Students                             | August 2024              |
| 4                      | Build standard and customize reports.   | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | School-based threat assessment teams | August 2024              |
| 5                      | Provision of online support capabilities, training and assistance for users in various media platforms. | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | School-based threat assessment teams | August 2024              |

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

#### A. Benefits Realization Table

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

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will

**SCHEDULE IV-B FOR SESIR REPORTING TOOL**

be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

| BENEFITS REALIZATION TABLE |                            |                                       |   |  |                          |
|----------------------------|----------------------------|---------------------------------------|---|--|--------------------------|
| #                          | Description of Benefit     | Who receives the benefit?             | How is benefit realized?                      | How is the realization of the benefit measured?              | Realization Date (MM/YY) |
| 1                          | Digitizing SESIR reporting | School-based threat assessment teams. | Standardization of substantiated threat data. | Reduction of time required to conduct quantitative analysis. | August 2024              |
| 2                          | Increased data protection. | Student                               | Access controls                               | Security audits  | August 2024              |

**B. Cost Benefit Analysis (CBA)**

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

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

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

## V. Schedule IV-B Major Project Risk Assessment

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

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

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

## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System

The SESIR reporting tool currently doesn't exist.

#### 2. Information Technology Standards

The SESIR reporting tool will be architected and implemented based on the information technology standards defined in F.A.C. Chapter 60GG-2 and best practices.

### B. Current Hardware and/or Software Inventory

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

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### C. Proposed Technical Solution

#### 1. Technical Solution Alternatives

Building within the current shared resources at NWRDC or building within a cloud solution are the two technical solution alternatives for this initiative

#### 2. Rationale for Selection

In compliance with s. 282.06, F.S., FDOE has adopted a cloud-first policy to show preference towards cloud-computing solutions.

#### 3. Recommended Technical Solution

Build solution within FDOE cloud resources to minimize long-term sustainability cost.

### D. Proposed Solution Description

#### 1. Summary Description of Proposed System

Deploy a secure cloud-based solution for collecting and reporting SESIR data with the following capabilities and features:

- Web/mobile portal;

## SCHEDULE IV-B FOR SESIR REPORTING TOOL

- Automated workflows and notifications;
- Connection with Florida School Safety Portal;
- Custom reporting functionality; and
- Robust user access and management controls.

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

FDOE estimates a need of approximately \$3,000,000 for this project.

### E. Capacity Planning

*(historical and current trends versus projected requirements)*

## VII. Schedule IV-B Project Management Planning

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

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

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

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## VIII. Appendices

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

A: Risk Assessment

B: Cost Benefits Analysis

C: Project Management Plan

|   | B   | C | D                              | E                                  | F | G                | H                    |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
|---|---|---|--------------------------------|------------------------------------|---|------------------|----------------------|--------------|--------------------------------|--------|---|-----|--------------------------|--------|-------------------|--------|---------------------------------|--------|-------------------------------|--------|-------------------------------|--------|-----------------------------|--|--------|
| 3   | <b>Project</b>  |   | <i>SESIR Reporting Tool</i>    |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 4   |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 5   | <b>Agency</b>   |   | <i>Department of Education</i> |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 6   | <b>FY 2023-24 LBR Issue Code:</b>   |   |                                | <b>FY 2023-24 LBR Issue Title:</b> |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 7   | <i>40007C0</i>  |   |                                | <i>SESIR Reporting Tool</i>        |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 8   | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 9   | <i>Andre K. Smith, 850-245-0428, Andre.smith@fldoe.org</i>  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 10  | <b>Executive Sponsor</b>  |   | <i>Andre K. Smith</i>          |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 11  | <b>Project Manager</b>  |   | <i>Cassandra J. Grayson</i>    |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 12  | <b>Prepared By</b>  |   | <i>Cassandra J. Grayson</i>    |                                    |   | <i>9/21/2022</i> |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 14  | <b>Risk Assessment Summary</b>  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 15  | <div style="display: flex; align-items: 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%;"></td> </tr> </table> </div>  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
|   |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
|   |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 17  |   |   |                                |                                    |   |                  |                      | Most Aligned |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 18  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 19  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 20  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 21  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 22  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 23  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 24  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 25  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 26  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 27  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 28  | Least Aligned   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 30  | Level of Project Risk   |   | Least Risk                     | Most Risk                          |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 31  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 32  |   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 34  | <b>Project Risk Area Breakdown</b>  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 35  | <b>Risk Assessment Areas</b>  |   |                                |                                    |   |                  | <i>Risk Exposure</i> |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 36  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Strategic Assessment</td> <td style="text-align: center;">MEDIUM</td> </tr> <tr> <td>Technology Exposure Assessment</td> <td style="text-align: center;">MEDIUM</td> </tr> <tr> <td>Organizational Change Management Assessment</td> <td style="text-align: center;">LOW</td> </tr> <tr> <td>Communication Assessment</td> <td style="text-align: center;">MEDIUM</td> </tr> <tr> <td>Fiscal Assessment</td> <td style="text-align: center;">MEDIUM</td> </tr> <tr> <td>Project Organization Assessment</td> <td style="text-align: center;">MEDIUM</td> </tr> <tr> <td>Project Management Assessment</td> <td style="text-align: center;">MEDIUM</td> </tr> <tr> <td>Project Complexity Assessment</td> <td style="text-align: center;">MEDIUM</td> </tr> <tr> <td colspan="2" style="text-align: center;"><i>Overall Project Risk</i></td> <td style="text-align: center;">MEDIUM</td> </tr> </table> |   |                                |                                    |   |                  | Strategic Assessment | MEDIUM       | Technology Exposure Assessment | MEDIUM | Organizational Change Management Assessment | LOW | Communication Assessment | MEDIUM | Fiscal Assessment | MEDIUM | Project Organization Assessment | MEDIUM | Project Management Assessment | MEDIUM | Project Complexity Assessment | MEDIUM | <i>Overall Project Risk</i> |  | MEDIUM |
| Strategic Assessment                        |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| Technology Exposure Assessment              |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| Organizational Change Management Assessment |   |   |                                |                                    |   |                  | LOW                  |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| Communication Assessment                    |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| Fiscal Assessment                           |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| Project Organization Assessment             |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| Project Management Assessment               |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| Project Complexity Assessment               |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| <i>Overall Project Risk</i>                 |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 37  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 38  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 39  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 40  | LOW   |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 41  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 42  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 43  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 44  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 45  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 46  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 47  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 48  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 49  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 50  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 51  | MEDIUM  |   |                                |                                    |   |                  |                      |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 52  |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |
| 53  |   |   |                                |                                    |   |                  | MEDIUM               |              |                                |        |   |     |                          |        |                   |        |                                 |        |                               |        |                               |        |                             |  |        |

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



|    | B                                   | C  | D  | E  |
|----|-------------------------------------|--|--|--|
| 1  | Agency: Department of Education     |  | Project: SESIR Reporting Tool  |  |
| 3  | <b>Section 2 -- Technology Area</b> |  |  |  |
| 4  | #                                   | Criteria   | Values   | Answer   |
| 5  | 2.01                                | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?   | Read about only or attended conference and/or vendor presentation  | Installed and supported production system more than 3 years  |
| 6  |                                     |  | Supported prototype or production system less than 6 months  |  |
| 7  |                                     |  | Supported production system 6 months to 12 months  |  |
| 8  |                                     |  | Supported production system 1 year to 3 years  |  |
| 9  |                                     |  | Installed and supported production system more than 3 years  |  |
| 10 | 2.02                                | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations  | External technical resources will be needed through implementation only                                    |
| 11 |                                     |  | External technical resources will be needed through implementation only  |  |
| 12 |                                     |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03                                | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | Some alternatives documented and considered  |
| 14 |                                     |  | Some alternatives documented and considered  |  |
| 15 |                                     |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04                                | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| 17 |                                     |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |                                     |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05                                | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Moderate infrastructure change required  |
| 20 |                                     |  | Moderate infrastructure change required  |  |
| 21 |                                     |  | Extensive infrastructure change required   |  |
| 22 |                                     |  | Complete infrastructure replacement  |  |
| 23 | 2.06                                | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are based on historical data and new system design specifications and                |
| 24 |                                     |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |                                     |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education                           |  | Project: SESIR Reporting Tool  |  |
| 3  | <b>Section 3 -- Organizational Change Management Area</b> |  |  |  |
| 4  | <b>#</b>  | <b>Criteria</b>  | <b>Values</b>  | <b>Answer</b>  |
| 5  | 3.01  | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes         | Minimal changes to organization structure, staff or business processes structure |
| 6  |   |  | Moderate changes to organization structure, staff or business processes          |  |
| 7  |   |  | Minimal changes to organization structure, staff or business processes structure |  |
| 8  | 3.02  | Will this project impact essential business processes?   | Yes  | No   |
| 9  |   |  | No   |  |
| 10 | 3.03  | Have all business process changes and process interactions been defined and documented?  | 0% to 40% -- Few or no process changes defined and documented                    | 81% to 100% -- All or nearly all processes defined and documented                |
| 11 |   |  | 41% to 80% -- Some process changes defined and documented                        |  |
| 12 |   |  | 81% to 100% -- All or nearly all processes defined and documented                |  |
| 13 | 3.04  | Has an Organizational Change Management Plan been approved for this project?   | Yes  | No   |
| 14 |   |  | No   |  |
| 15 | 3.05  | Will the agency's anticipated FTE count change as a result of implementing the project?  | Over 10% FTE count change  | Less than 1% FTE count change  |
| 16 |   |  | 1% to 10% FTE count change   |  |
| 17 |   |  | Less than 1% FTE count change  |  |
| 18 | 3.06  | Will the number of contractors change as a result of implementing the project?   | Over 10% contractor count change   | 1 to 10% contractor count change   |
| 19 |   |  | 1 to 10% contractor count change   |  |
| 20 |   |  | Less than 1% contractor count change   |  |
| 21 | 3.07  | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?        | Extensive change or new way of providing/receiving services or information)      | Minor or no changes  |
| 22 |   |  | Moderate changes   |  |
| 23 |   |  | Minor or no changes  |  |
| 24 | 3.08  | What is the expected change impact on other state or local government agencies as a result of implementing the project?                | Extensive change or new way of providing/receiving services or information       | Minor or no changes  |
| 25 |   |  | Moderate changes   |  |
| 26 |   |  | Minor or no changes  |  |
| 27 | 3.09  | Has the agency successfully completed a project with similar organizational change requirements?                                       | No experience/Not recently (>5 Years)  | Recently completed project with greater change requirements                      |
| 28 |   |  | Recently completed project with fewer change requirements                        |  |
| 29 |   |  | Recently completed project with similar change requirements                      |  |
| 30 |   |  | Recently completed project with greater change requirements                      |  |

|    | B                               | C  | D  | E  |
|----|---------------------------------|--|--|--|
| 1  | Agency: Agency Name             |  | Project: Project Name  |  |
| 3  | Section 4 -- Communication Area |  |  |  |
| 4  | #                               | Criteria   | Value Options  | Answer   |
| 5  | 4.01                            | Has a documented Communication Plan been approved for this project?  | Yes  | No   |
| 6  |                                 |  | No   |  |
| 7  | 4.02                            | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan                                    | Routine feedback in Plan   |
| 8  |                                 |  | Routine feedback in Plan   |  |
| 9  |                                 |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                            | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | Yes  |
| 11 |                                 |  | No   |  |
| 12 | 4.04                            | Are all affected stakeholders included in the Communication Plan?  | Yes  | Yes  |
| 13 |                                 |  | No   |  |
| 14 | 4.05                            | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Some key messages have been developed                                |
| 15 |                                 |  | Some key messages have been developed                                |  |
| 16 |                                 |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                            | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Plan does not include desired messages outcomes and success measures |
| 18 |                                 |  | Success measures have been developed for some messages               |  |
| 19 |                                 |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                            | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | Yes  |
| 21 |                                 |  | No   |  |

|    | B                               | C  | D   | E  |
|----|---------------------------------|--|---|--|
| 1  | Agency: Department of Education |  | Project: SESIR Reporting Tool   |  |
| 3  | Section 5 -- Fiscal Area        |  |   |  |
| 4  | #                               | Criteria   | Values  | Answer   |
| 5  | 5.01                            | Has a documented Spending Plan been approved for the entire project lifecycle?   | Yes   | No   |
| 6  |                                 |  | No  |  |
| 7  | 5.02                            | Have all project expenditures been identified in the Spending Plan?  | 0% to 40% -- None or few defined and documented   | 81% to 100% -- All or nearly all defined and documented                                |
| 8  |                                 |  | 41% to 80% -- Some defined and documented   |  |
| 9  |                                 |  | 81% to 100% -- All or nearly all defined and documented   |  |
| 10 | 5.03                            | What is the estimated total cost of this project over its entire lifecycle?  | Unknown   | Between \$2 M and \$10 M   |
| 11 |                                 |  | Greater than \$10 M   |  |
| 12 |                                 |  | Between \$2 M and \$10 M  |  |
| 13 |                                 |  | Between \$500K and \$1,999,999  |  |
| 14 |                                 |  | Less than \$500 K   |  |
| 15 | 5.04                            | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?   | Yes   | Yes  |
| 16 |                                 |  | No  |  |
| 17 | 5.05                            | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Detailed and rigorous (accurate within ±10%)   |
| 18 |                                 |  | Order of magnitude – estimate could vary between 10-100%  |  |
| 19 |                                 |  | Placeholder – actual cost may exceed estimate by more than 100%                                       |  |
| 20 | 5.06                            | Are funds available within existing agency resources to complete this project?   | Yes   | No   |
| 21 |                                 |  | No  |  |
| 22 | 5.07                            | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency   |
| 23 |                                 |  | Funding from local government agencies  |  |
| 24 |                                 |  | Funding from other state agencies   |  |
| 25 | 5.08                            | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Not applicable   |
| 26 |                                 |  | Requested but not received  |  |
| 27 |                                 |  | Requested and received  |  |
| 28 |                                 |  | Not applicable  |  |
| 29 | 5.09                            | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | All or nearly all project benefits have been identified and validated                  |
| 30 |                                 |  | Some project benefits have been identified but not validated  |  |
| 31 |                                 |  | Most project benefits have been identified but not validated  |  |
| 32 |                                 |  | All or nearly all project benefits have been identified and validated                                 |  |
| 33 | 5.10                            | What is the benefit payback period that is defined and documented?   | Within 1 year   | No payback   |
| 34 |                                 |  | Within 3 years  |  |
| 35 |                                 |  | Within 5 years  |  |
| 36 |                                 |  | More than 5 years   |  |
| 37 |                                 |  | No payback  |  |
| 38 | 5.11                            | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?   | Procurement strategy has not been identified and documented   | Stakeholders have reviewed and approved the proposed procurement strategy              |
| 39 |                                 |  | Stakeholders have not been consulted re: procurement strategy   |  |
| 40 |                                 |  | Stakeholders have reviewed and approved the proposed procurement strategy                             |  |
| 41 | 5.12                            | What is the planned approach for acquiring necessary products and solution services to successfully complete the project?  | Time and Expense (T&E)  | Time and Expense (T&E)   |
| 42 |                                 |  | Firm Fixed Price (FFP)  |  |
| 43 |                                 |  | Combination FFP and T&E   |  |
| 44 | 5.13                            | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Just-in-time purchasing of hardware and software is documented in the project schedule |
| 45 |                                 |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |  |
| 46 |                                 |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |  |
| 47 | 5.14                            | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager is the procurement manager  |
| 48 |                                 |  | Contract manager is the procurement manager   |  |
| 49 |                                 |  | Contract manager is the project manager   |  |
| 50 |                                 |  | Contract manager assigned is not the procurement manager or the project manager                       |  |
| 51 | 5.15                            | Has equipment leasing been considered for the project's large-scale computing purchases?   | Yes   | No   |
| 52 |                                 |  | No  |  |
| 53 | 5.16                            | Have all procurement selection criteria and outcomes been clearly identified?  | No selection criteria or outcomes have been identified  | Some selection criteria and outcomes have been defined and documented                  |
| 54 |                                 |  | Some selection criteria and outcomes have been defined and documented                                 |  |
| 55 |                                 |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |  |
| 56 | 5.17                            | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Procurement strategy has not been developed  |
| 57 |                                 |  | Multi-stage evaluation not planned/used for procurement   |  |
| 58 |                                 |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |  |
| 59 | 5.18                            | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Not applicable   |
| 60 |                                 |  | No, bid response did/will not require proof of concept or prototype                                   |  |
| 61 |                                 |  | Yes, bid response did/will include proof of concept or prototype                                      |  |
| 62 |                                 |  | Not applicable  |  |
| 63 |                                 |  |   |  |
| 64 |                                 |  |   |  |
| 65 |                                 |  |   |  |
| 66 |                                 |  |   |  |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Department of Education        |  | Project: SESIR Reporting Tool  |  |
| 3  | Section 6 -- Project Organization Area |  |  |  |
| 4  | #                                      | Criteria   | Values   | Answer   |
| 5  | 6.01                                   | Is the project organization and governance structure clearly defined and documented within an approved project plan?   | Yes  | Yes  |
| 6  |  |  | No   |  |
| 7  | 6.02                                   | Have all roles and responsibilities for the executive steering committee been clearly identified?  | None or few have been defined and documented   | None or few have been defined and documented   |
| 8  |  |  | Some have been defined and documented  |  |
| 9  |  |  | All or nearly all have been defined and documented   |  |
| 10 | 6.03                                   | Who is responsible for integrating project deliverables into the final solution?   | Not yet determined   | Agency   |
| 11 |  |  | Agency   |  |
| 12 |  |  | System Integrator (contractor)   |  |
| 13 | 6.04                                   | How many project managers and project directors will be responsible for managing the project?  | 3 or more  | 3 or more  |
| 14 |  |  | 2  |  |
| 15 |  |  | 1  |  |
| 16 | 6.05                                   | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Some or most staff roles and responsibilities and needed skills have been identified |
| 17 |  |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |  |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06                                   | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | Yes, experienced project manager dedicated full-time, 100% to project                |
| 20 |  |  | No, project manager is assigned 50% or less to project   |  |
| 21 |  |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |  |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07                                   | Are qualified project management team members dedicated full-time to the project   | None   | Yes, business, functional or technical experts dedicated full-time, 100% to project  |
| 24 |  |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |  |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |  |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08                                   | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Mostly staffed from in-house resources   |
| 28 |  |  | Half of staff from in-house resources  |  |
| 29 |  |  | Mostly staffed from in-house resources   |  |
| 30 |  |  | Completely staffed from in-house resources   |  |
| 31 | 6.09                                   | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |  |  | Moderate impact  |  |
| 33 |  |  | Extensive impact   |  |
| 34 | 6.10                                   | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |  |  | No   |  |
| 36 | 6.11                                   | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager                          |
| 37 |  |  | No, only IT staff are on change review and control board   |  |
| 38 |  |  | No, all stakeholders are not represented on the board  |  |
| 39 |  |  | Yes, all stakeholders are represented by functional manager  |  |

|    | B                                    | C  | D  | E  |
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| 1  | Agency: Department of Education      |  | Project: SESIR Reporting Tool  |  |
| 3  | Section 7 -- Project Management Area |  |  |  |
| 4  | #                                    | Criteria   | Values   | Answer   |
| 5  | 7.01                                 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | No   |
| 6  |                                      |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |                                      |  | Yes  |  |
| 8  | 7.02                                 | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |                                      |  | 1-3  |  |
| 10 |                                      |  | More than 3  |  |
| 11 | 7.03                                 | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | All or nearly all  |
| 12 |                                      |  | Some   |  |
| 13 |                                      |  | All or nearly all  |  |
| 14 | 7.04                                 | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 15 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05                                 | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 18 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06                                 | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 41 to 80% -- Some are traceable  |
| 21 |                                      |  | 41 to 80% -- Some are traceable  |  |
| 22 |                                      |  | 81% to 100% -- All or nearly all requirements and specifications are traceable   |  |
| 23 | 7.07                                 | Have all project deliverables/services and acceptance criteria been clearly defined and documented?  | None or few have been defined and documented   | Some deliverables and acceptance criteria have been defined and documented   |
| 24 |                                      |  | Some deliverables and acceptance criteria have been defined and documented   |  |
| 25 |                                      |  | All or nearly all deliverables and acceptance criteria have been defined and documented  |  |
| 26 | 7.08                                 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required   | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 |                                      |  | Only project manager signs-off   |  |
| 28 |                                      |  | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |  |
| 29 | 7.09                                 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?  | 0% to 40% -- None or few have been defined to the work package level   | 0% to 40% -- None or few have been defined to the work package level   |
| 30 |                                      |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |                                      |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10                                 | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | No   |
| 33 |                                      |  | No   |  |
| 34 | 7.11                                 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | No   |
| 35 |                                      |  | No   |  |
| 36 | 7.12                                 | Are formal project status reporting processes documented and in place to manage and control this project?  | No or informal processes are used for status reporting   | Project team and executive steering committee use formal status reporting processes  |
| 37 |                                      |  | Project team uses formal processes   |  |
| 38 |                                      |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13                                 | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | All planning and reporting templates are available   |
| 40 |                                      |  | Some templates are available   |  |
| 41 |                                      |  | All planning and reporting templates are available   |  |
| 42 | 7.14                                 | Has a documented Risk Management Plan been approved for this project?  | Yes  | Yes  |
| 43 |                                      |  | No   |  |
| 44 | 7.15                                 | Have all known project risks and corresponding mitigation strategies been identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 45 |                                      |  | Some have been defined and documented  |  |
| 46 |                                      |  | All known risks and mitigation strategies have been defined  |  |
| 47 | 7.16                                 | Are standard change request, review and approval processes documented and in place for this project?   | Yes  | Yes  |
| 48 |                                      |  | No   |  |
| 49 | 7.17                                 | Are issue reporting and management processes documented and in place for this project?   | Yes  | Yes  |
| 50 |                                      |  | No   |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education             |  | Project: SESIR Reporting Tool  |  |
| 2  |   |  |  |  |
| 3  | <b>Section 8 -- Project Complexity Area</b> |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 8.01  | How complex is the proposed solution compared to the current agency systems?   | Unknown at this time   | Similar complexity                                   |
| 6  |   |  | More complex   |  |
| 7  |   |  | Similar complexity   |  |
| 8  |   |  | Less complex   |  |
| 9  | 8.02  | Are the business users or end users dispersed across multiple cities, counties, districts, or regions?   | Single location  | More than 3 sites                                    |
| 10 |   |  | 3 sites or fewer   |  |
| 11 |   |  | More than 3 sites  |  |
| 12 | 8.03  | Are the project team members dispersed across multiple cities, counties, districts, or regions?  | Single location  | Single location                                      |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | 1 to 3 external organizations                        |
| 16 |   |  | 1 to 3 external organizations  |  |
| 17 |   |  | More than 3 external organizations   |  |
| 18 | 8.05  | What is the expected project team size?  | Greater than 15  | 5 to 8   |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | None   |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Statewide or multiple agency business process change |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Combination of the above                             |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Greater size and complexity                          |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity                          |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |

CBAForm 1 - Net Tangible Benefits

|        |                                 |         |                      |
|--------|---------------------------------|---------|----------------------|
| Agency | Florida Department of Education | Project | SESIR Reporting Tool |
|--------|---------------------------------|---------|----------------------|

**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<br><i>(Recurring Costs Only -- No Project Costs)</i> | FY 2023-24                    |                                |  | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |  |  | FY 2027-28                    |                                |  |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>           | \$0                           | \$385,300                      | \$385,300  | \$385,300                     | \$0                            | \$385,300  | \$385,300                     | \$0                            | \$385,300  | \$385,300                     | \$0  | \$385,300  | \$385,300                     | \$0                            | \$385,300  |
| <b>A.b Total Staff</b>                                      | 0.00                          | 2.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                                       | 2.00   | 2.00                          | 0.00                           | 2.00   |
| 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                           | \$385,300                      | \$385,300  | \$385,300                     | \$0                            | \$385,300  | \$385,300                     | \$0                            | \$385,300  | \$385,300                     | \$0  | \$385,300  | \$385,300                     | \$0                            | \$385,300  |
| A-3.b. Staff Augmentation (# of Contractors)                | 0.00                          | 2.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                                       | 2.00   | 2.00                          | 0.00                           | 2.00   |
| <b>B. Application Maintenance Costs</b>                     | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-1. Managed Services (Staffing)                            | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-4. Other <i>Specify</i>                                   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C. Data Center Provider Costs</b>                        | \$0                           | \$1,064,700                    | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  | \$1,064,700                   | \$0  | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  |
| C-1. Managed Services (Staffing)                            | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services                             | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-4. Disaster Recovery                                      | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <i>Cloud Services</i>                            | \$0                           | \$1,064,700                    | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  | \$1,064,700                   | \$0  | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  |
| <b>D. Plant &amp; Facility Costs</b>                        | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>E. Other Costs</b>                                       | \$0                           | \$50,000                       | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0  | \$50,000   | \$50,000                      | \$0                            | \$50,000   |
| 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>EdTech Cost recovery/SSO</i>                  | \$0                           | \$50,000                       | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0  | \$50,000   | \$50,000                      | \$0                            | \$50,000   |
| <b>Total of Recurring Operational Costs</b>                 | \$0                           | \$1,500,000                    | \$1,500,000  | \$1,500,000                   | \$0                            | \$1,500,000  | \$1,500,000                   | \$0                            | \$1,500,000  | \$1,500,000                   | \$0  | \$1,500,000  | \$1,500,000                   | \$0                            | \$1,500,000  |
| <b>F. Additional Tangible Benefits:</b>                     |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-1. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-2. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-3. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| <b>Total Net Tangible Benefits:</b>                         |                               | (\$1,500,000)                  |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |   |               |
|--|---|---------------|
| Choose Type  | Estimate Confidence                       | Enter % (+/-) |
| Detailed/Rigorous  | <input type="checkbox"/> Confidence Level |               |
| Order of Magnitude   | <input type="checkbox"/> Confidence Level |               |
| Placeholder  | <input type="checkbox"/> Confidence Level |               |



| A  | B  |                                       | C                      | D   | E                | F            | G                | H    | I                | J    | K                | L         | M                | N    | O         | P    | Q    | R            | S    | T            |
|----|--|---------------------------------------|------------------------|---|------------------|--------------|------------------|------|------------------|------|------------------|-----------|------------------|------|-----------|------|------|--------------|------|--------------|
| 1  | Florida Department of Education  | SESIR Reporting Tool                  |                        | CBA Form 2A Baseline Project Budget           |                  |              |                  |      |                  |      |                  |           |                  |      |           |      |      |              |      |              |
| 2  | Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |                                       |                        | FY2023-24                                     |                  | FY2024-25    |                  |      | FY2025-26        |      |                  | FY2026-27 |                  |      | FY2027-28 |      |      | TOTAL        |      |              |
| 3  | \$ -   |                                       |                        | \$ 3,000,000                                  |                  | \$ -         |                  |      | \$ -             |      |                  | \$ -      |                  |      | \$ -      |      |      | \$ 3,000,000 |      |              |
| 4  | Item Description<br>(remove guidelines and annotate entries here)  | 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     |      |      |              |      |              |
| 5  | Costs for all state employees working on the project.  | FTE                                   | S&B                    | \$ -  | 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    | \$ -  | 1.00             | \$ 157,600   | \$ -             | 0.00 | \$ -             | \$ - | 0.00             | \$ -      | \$ -             | 0.00 | \$ -      | \$ - | 0.00 | \$ -         | \$ - | \$ 157,600   |
| 8  | Project management personnel and related deliverables.   | Project Management                    | Contracted Services    | \$ -  | 1.00             | \$ 227,700   | \$ -             | 0.00 | \$ -             | \$ - | 0.00             | \$ -      | \$ -             | 0.00 | \$ -      | \$ - | 0.00 | \$ -         | \$ - | \$ 227,700   |
| 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    | \$ -  | \$ 2,560,800     | \$ -         | \$ -             | \$ - | \$ -             | \$ - | \$ -             | \$ -      | \$ -             | \$ - | \$ -      | \$ - | \$ - | \$ -         | \$ - | \$ 2,560,800 |
| 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    | \$ -  | \$ 38,500        | \$ -         | \$ -             | \$ - | \$ -             | \$ - | \$ -             | \$ -      | \$ -             | \$ - | \$ -      | \$ - | \$ - | \$ -         | \$ - | \$ 38,500    |
| 16 | Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.  | Data Center Services - One Time Costs | Data Center Category   | \$ -  | \$ -             | \$ -         | \$ -             | \$ - | \$ -             | \$ - | \$ -             | \$ -      | \$ -             | \$ - | \$ -      | \$ - | \$ - | \$ -         | \$ - | \$ -         |
| 17 | Other contracted services not included in other categories.  | Other Services                        | Contracted Services    | \$ -  | \$ -             | \$ -         | \$ -             | \$ - | \$ -             | \$ - | \$ -             | \$ -      | \$ -             | \$ - | \$ -      | \$ - | \$ - | \$ -         | \$ - | \$ -         |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)  | Equipment                             | Expense                | \$ -  | \$ -             | \$ -         | \$ -             | \$ - | \$ -             | \$ - | \$ -             | \$ -      | \$ -             | \$ - | \$ -      | \$ - | \$ - | \$ -         | \$ - | \$ -         |
| 19 | Include costs associated with leasing space for project personnel.   | Leased Space                          | Expense                | \$ -  | \$ 4,096         | \$ -         | \$ -             | \$ - | \$ -             | \$ - | \$ -             | \$ -      | \$ -             | \$ - | \$ -      | \$ - | \$ - | \$ -         | \$ - | \$ 4,096     |
| 20 | Other project expenses not included in other categories.   | Other Expenses                        | Expense                | \$ -  | \$ 11,304        | \$ -         | \$ -             | \$ - | \$ -             | \$ - | \$ -             | \$ -      | \$ -             | \$ - | \$ -      | \$ - | \$ - | \$ -         | \$ - | \$ 11,304    |
| 21 | Total  |                                       |                        | \$ -  | 2.00             | \$ 3,000,000 | \$ -             | 0.00 | \$ -             | \$ - | 0.00             | \$ -      | \$ -             | 0.00 | \$ -      | \$ - | 0.00 | \$ -         | \$ - | \$ 3,000,000 |

CBAForm 2 - Project Cost Analysis

|   |                                     |
|---|-------------------------------------|
| Agency <u>Florida Department of Education</u> | Project <u>SESIR Reporting Tool</u> |
|---|-------------------------------------|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |               |               |               |               | TOTAL       |
|---|--|---------------|---------------|---------------|---------------|-------------|
|   | FY<br>2023-24                          | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |             |
| TOTAL PROJECT COSTS (*)   | \$3,000,000                            | \$0           | \$0           | \$0           | \$0           | \$3,000,000 |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$3,000,000                            | \$3,000,000   | \$3,000,000   | \$3,000,000   | \$3,000,000   |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |               |               |               |               |             |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |               |               |               |               | TOTAL        |
|--|--------------------------------------|---------------|---------------|---------------|---------------|--------------|
|  | FY<br>2023-24                        | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |              |
| General Revenue                        | \$3,000,000                          | \$3,000,000   | \$3,000,000   | \$3,000,000   | \$3,000,000   | \$15,000,000 |
| 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                       | \$0                                  | \$0           | \$0           | \$0           | \$0           | \$0          |
| CUMULATIVE INVESTMENT                  | \$0                                  | \$0           | \$0           | \$0           | \$0           | \$0          |

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

CBAForm 3 - Project Investment Summary

|        |   |         |                                      |
|--------|---|---------|--------------------------------------|
| Agency | <a href="#">Florida Department of Education</a> | Project | <a href="#">SESIR Reporting Tool</a> |
|--------|---|---------|--------------------------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A     |               |               |               |               |               |                        |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
|   | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | TOTAL FOR ALL<br>YEARS |
| Project Cost                            | \$3,000,000   | \$0           | \$0           | \$0           | \$0           | \$3,000,000            |
| Net Tangible Benefits                   | (\$1,500,000) | \$0           | \$0           | \$0           | \$0           | (\$1,500,000)          |
| Return on Investment                    | (\$4,500,000) | \$0           | \$0           | \$0           | \$0           | (\$4,500,000)          |
| Year to Year Change in Program Staffing | 2             | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |               |   |
|---|---------------|---|
| Payback Period (years)                      | NO PAYBACK    | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK    | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$4,347,826) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR)               | NO IRR        | IRR is the project's rate of return.  |

| Investment Interest Earning Yield -- CBAForm 3C |               |               |               |               |               |
|---|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year                                     | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |
| Cost of Capital                                 | 3.50%         | 3.50%         | 3.60%         | 3.60%         | 3.60%         |



# Project Management Plan

## SESIR Reporting Tool Project Department of Education

### Contact Information

To request copies, suggest changes, or submit corrections, contact:  
Department of Education, Division of Technology & Innovation  
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### Revision History

| Date      | Version | Revised By           | Description                |
|-----------|---------|----------------------|----------------------------|
| 9/19/2022 | .1      | Cassandra J. Grayson | Revised w/ Master Template |
|           |         |                      |                            |

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## Introduction

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The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Division of Technology & Innovation – SESIR Reporting Tool Project. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

- Introduction
- Project Charter
- Scope Management Plan
- Work Breakdown Structure (WBS)
- Resource Breakdown Structure (RBS)
- Master Project Schedule
- Schedule Management Plan
- Work Management Plan
- Spending Plan
- Communication Plan
- Risk Management Plan
- Issue Management Plan
- Quality Management Plan
- Change Management Plan
- Procurement Management Plan

## 2. Project Charter

The Project Charter for the Florida Department of Education, Division of Technology & Innovation – SESIR Reporting Tool Project formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and it recognizes the project manager role and gives the project manager the authority to "get the job done." The document is due at initiation of the project.

### 2.1 Overview

As required by 2016-17 General Appropriations Act (1961B), the Florida Department of Education (FDOE) contracted with an independent security and risk management firm to assess the department's Information Technology (IT) Security Program. The assessment identified information security and risk management gaps that FDOE needs to address in order to improve the maturity of the overall security program. If this legislative budget request is not funded, a wide range of sensitive data of employees, students and teachers could be targets for cyber-attacks and compromised. Thus, FDOE information security needs staff and resources in order to stay ahead of existing and developing threats.

### 2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction
- Business Need
- Strategic Goals
- Project Scope
- Budget Estimate and Summary Project Schedule
- Assumptions and Constraints
- Project Team and Stakeholders
- Critical Success Factors
- Project Approvals
- Appendix A

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### 3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification Scope
- Control

#### 3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for acceptance.

Upon approval of scope changes by the Change Control Board and Project Sponsor the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.



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## 4. Work Breakdown Structure

The work required to complete this project is subdivided into individual work packages. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

The project is organized in phases and coincides with the Project Management Institute, Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

The Project had a previous WBS that was based on an internal Modernization and Application Improvement project approach that was executed to about 50% when it was realized that the existing Licensing System obsolescence prevented the completion of the original plan. After a full Project review it was decided that a full replacement of the Licensing System was required to meet Project goals. After an Analysis of Alternatives (AoA): Design and Develop a new system internally, purchase a Commercial off the Shelf (COTS) solution, or procure a Managed Service/Cloud based solution; it was decided to pursue the procurement of a COTS solution that met requirements. As the installation, deployment, acceptance testing, launch, and training will be provided by the Vendor, a new WBS is not available at this time. As soon as it is provided by the Vendor, a link to it will be provided in this document.

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## 5. Resource Breakdown Structure

The Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

Executive Sponsor - 1

Project Sponsor – 1

Project Manager – 1

Systems or Enterprise Architect/Technical Lead (Developer) – 1

Quality Assurance Analyst – 1

Security Analyst – 2

Developers – 1

DBA – 1 (assistance as needed)

## 6. Master Project Schedule

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The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained Microsoft Project. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

### 6.1 Schedule Management Plan

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

The Schedule Management Plan is organized into the following sections:

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

### Schedule Management Approach

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

#### Schedule Tool/Format

Project schedules will be created using Microsoft Project.

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

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

#### Schedule Milestones

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

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

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

#### Project Manager Roles and Responsibilities

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

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.
- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

#### Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

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

## Work Breakdown Structure

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

The WBS for the SESIR Reporting Tool Project is organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing.

## Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

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

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

### Reporting

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

## Schedule Changes

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

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

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

## Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The Change Management process will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

## Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

## Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.

## 7. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies

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## 8. Spending Management Plan

This section presents the project spending plan and the high-level project schedule for the Threat Management Project.

### 8.1 Spending Plan

The table below shows the cost of the project projected for 2023-24.

Table 1: Summary Spending Plan

|   |                      |
|---|----------------------|
| Recurring Costs                         |                      |
| Services, subscriptions, maintenance    | \$2,560,800.00       |
| Staffing (FTE's and Contractors)        | <u>\$ 157,600.00</u> |
| Total Recurring Costs                   | \$2,718,400.00       |
| One-Time Initial Total Costs - Year One |                      |
| Recurring Costs                         | \$ 15,400.00         |
| Capital Expenses                        | \$ 38,500.00         |
| Temporary Staffing                      | <u>\$ 227,700.00</u> |
| Total Amount to be Requested            | \$3,000,000.00       |

## 9. Communication Plan

The Communication Plan describes the planned and periodic communications between the SESIR Reporting Tool Team and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

- Introduction
- Roles and Responsibilities
- Communication Types
- Communication Management
- Appendix

The Communication Plan is filed for reference in the Project Documentation Folder.



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## 10. Risk Management Plan

This section presents the Risk Management Plan for the SESIR Reporting Tool Project. A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

### 10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

### 10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy
- Risk Management Database
- Risk Breakdown Structure

Risks are reported separately in the SharePoint™ Risk Management Database.

## Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

### Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the SESIR Reporting Tool Project.<sup>1</sup> The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the SESIR Reporting Tool Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the SESIR Reporting Tool Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

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<sup>1</sup> David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

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## Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

| Risk Probability |           |                      |
|------------------|-----------|----------------------|
| Low              | < 30%     | unlikely to occur    |
| Medium           | 31% - 50% | may occur            |
| High             | 51% - 80% | probably will occur  |
| Very High        | > 80%     | very likely to occur |

| Risk Impact |                      |   |                          |
|-------------|----------------------|---|--------------------------|
|             | <u>Cost Increase</u> | <u>Scope Change</u>   | <u>Schedule Increase</u> |
| Minor       | < 5%                 | Barely  | < 5%                     |
| Moderate    | 5% - 8%              | Minor areas of deliverable(s)   | 5% - 10%                 |
| Serious     | 9% - 10%             | Major areas of deliverable(s)   | 11% - 15%                |
| Critical    | > 10%                | Failure to complete deliverable or failure to achieve project objective | >15%                     |

| Probability x Impact Rank |              |                 |                |                 |
|---------------------------|--------------|-----------------|----------------|-----------------|
|                           | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low                       | Low(1)       | Low(1)          | Medium(2)      | High(3)         |
| Medium                    | Low(1)       | Medium(2)       | Medium(2)      | High(3)         |
| High                      | Low(1)       | Medium(2)       | High(3)        | High(3)         |
| Very High                 | Low(1)       | High(3)         | High(3)        | Very High(4)    |

## Risk Response Options

Risk responses are planned using four basic risk response options:

- Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.
- Avoid – take proactive action to eliminate the risk to the project.
- Mitigate – take proactive action to reduce the probability and/or impact of the risk.
- Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the SESIR Reporting Tool Project Team and the Project Sponsor. Input from SESIR Reporting Tool subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

## Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date.

The initial development of the Risk Management Database will be completed by the SESIR Reporting Tool Project Team. The Risk Management Database will be updated on an ongoing basis by the SESIR Reporting Tool Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The SESIR Reporting Tool Project Team will use the Risk Management Database as the system of record and store it in the SESIR Reporting Tool SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and SESIR Reporting Tool Project Team in the weekly status meeting. The SESIR Reporting Tool Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook and update the Project Workbook and upload it to the SESIR Reporting Tool Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

## Risk Management Responsibilities

The responsibility for managing risk is shared between the SESIR Reporting Tool Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity                         | Responsibility   |
|---------------------------------------|--|
| Identify risks                        | All – SESIR Reporting Tool Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial identification was made by the Project Sponsor and Project Manager. |
| Assess risks                          | All – SESIR Reporting Tool Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial assessment was made by the Project Sponsor and Project Manager.     |
| Plan risk responses                   | All – SESIR Reporting Tool Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial responses were planned by the Project Sponsor and Project Manager.  |
| Approve risk responses                | Project Sponsor  |
| Develop Risk Management Database      | Project Manager and SESIR Reporting Tool Project Team  |
| Maintain Risk Management Database     | Project Manager  |
| Develop or take risk response actions | Risk Owner   |
| Manage risk responses                 | Project Manager, SESIR Reporting Tool Project Team   |
| Report risks                          | Project Manager, SESIR Reporting Tool Project Team   |

## Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint™. It is reviewed and updated as necessary on a weekly basis.

## Risk Breakdown Structure (RBS)

| RBS LEVEL 1        | RBS LEVEL 2 |                                     |
|--------------------|-------------|-------------------------------------|
| 1. Technical Risk  | 1.1         | Scope Definition                    |
|                    | 1.2         | Requirements Definition             |
|                    | 1.3         | Estimates, Assumptions, Constraints |
|                    | 1.4         | Technical Processes                 |
|                    | 1.5         | Technology                          |
|                    | 1.6         | Interfaces                          |
|                    | 1.7         | Design                              |
|                    | 1.8         | Performance                         |
|                    | 1.9         | Reliability & Maintainability       |
|                    | 1.10        | ADA                                 |
|                    | 1.11        | Security                            |
|                    | 1.12        | Test & Acceptance                   |
| 2. Management Risk | 2.1         | Project Management                  |
|                    | 2.2         | Program Management                  |
|                    | 2.3         | Operations Management               |
|                    | 2.4         | Organization                        |
|                    | 2.5         | Resourcing                          |
|                    | 2.6         | Communication                       |
|                    | 2.7         | Information                         |
|                    | 2.8         | Health, Safety, & Environment       |
|                    | 2.9         | Quality                             |
|                    | 2.10        | Reputation                          |
| 3. Business Risk   | 3.1         | Contractual Terms & Conditions      |
|                    | 3.2         | Internal Procurement                |
|                    | 3.3         | Contractor                          |
|                    | 3.4         | Subcontracts                        |
|                    | 3.5         | Client/Customer Stability           |
|                    | 3.6         | Stakeholders                        |
| 4. External Risk   | 4.1         | Legislation                         |
|                    | 4.2         | Exchange Rates                      |
|                    | 4.3         | Site / Facilities                   |
|                    | 4.4         | Environment / Weather               |
|                    | 4.5         | Competition                         |
|                    | 4.6         | Regulatory                          |
|                    | 4.7         | Political                           |
|                    | 4.8         | Country                             |
|                    | 4.9         | Social / Demographic                |
|                    | 4.10        | Pressure Groups                     |
|                    | 4.11        | Force Majeure                       |

## 11. Issue Management Plan

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This section presents the Issue Management plan for the SESIR Reporting Tool Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

### 11.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- The resolution is in question or lacking agreement among stakeholders
- It is highly visible or involves external stakeholders such as requests or directives from control agencies
- It has critical deadlines or timeframes that cannot be missed
- It can result in an important decision or resolution for which the rationale and activities must be captured for historical purposes it has critical deadlines that may impede project progress.
- Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

### 11.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy
- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint™ and maintained there for history.

## Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance. Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an

issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the SESIR Reporting Tool Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the SESIR Reporting Tool Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.

#### Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the SESIR Reporting Tool Project Manager via e-mail. Prospective issues shall be entered by the SESIR Reporting Tool Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly SESIR Reporting Tool – Project Status Meeting.

#### Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented SharePoint™. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint™ will be updated weekly as needed by the SESIR Reporting Tool Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The SESIR Reporting Tool Project Team will use Microsoft Project as the system of record. The Project Manager will add any new issues identified to Microsoft Project. These items will be discussed with Project Sponsor and SESIR Reporting Tool Project Team in the weekly status meeting.



## Issue Management Responsibilities

The responsibility for managing issues is shared between the SESIR Reporting Tool Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity                         | Responsibility   |
|--|--|
| Identify issues                        | All – SESIR Reporting Tool Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br><br>Initial identification will be made by the Project Sponsor and Project Manager. |
| Validate issues                        | All – SESIR Reporting Tool Project Team, Project Sponsor, subject matter experts, and other stakeholders.  |
| Assign issues                          | SESIR Reporting Tool Project Manager, Project Sponsor, and Project Manager.  |
| Approve issue responses                | Project Sponsor and/or   |
| Develop Issue Management Database      | Project Manager and SESIR Reporting Tool Project Team  |
| Maintain Issue Management Database     | Project Manager  |
| Develop or take issue response actions | Issue Owner  |
| Manage issue responses                 | Project Manager, SESIR Reporting Tool Project Team   |
| Report issues                          | Project Manager, SESIR Reporting Tool Project Team   |

## Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the SESIR Reporting Tool Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible
2. Attempts to resolve must be made by appropriate parties prior to escalation
3. The issue owner, as identified by the issue tracker, completes the Issue Submission Form with a brief issue write-up identifying the issue, concerns, and positions of involved parties
4. The issue owner schedules a meeting to discuss with involved parties
5. The issue is ENTERED on the Issue Register for tracking
6. The issue owner provides the issue write-up at least 24 hours prior to meeting
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered)
9. Once escalation need is identified, notice is sent to the next levels of management (Project Sponsor and )
10. Issue review process is repeated at the next level of management

#### Issue Submission Form

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

#### Sample Issue Submission Form

A sample of the Issue Submission Form is shown on the following page.

| ISSUE SUBMISSION FORM |                    |                |
|-----------------------|--------------------|----------------|
| Issue Number:         | Reported By:       | Date Reported: |
| Issue Status:         | Issue Assigned To: | Date Resolved: |
| Description of Issue: |                    |                |
| Project Impact:       |                    |                |

|                                     |
|-------------------------------------|
| Alternatives and Recommendation(s): |
| Final Resolution:                   |

## 12. Quality Management Plan

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### Introduction

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the SESIR Reporting Tool Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

### Approach

This section describes the approach the SESIR Reporting Tool Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the SESIR Reporting Tool Project beginning in the first phase of the project to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

### Quality Management Approach Overview



### Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
- Ensure the quality of the system development process, project artifacts, and project products to SESIR Reporting Tool and its stakeholder meet their requirements

### Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

#### Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

#### Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

#### Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

#### Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.

## 13. Change Management Plan

---

The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

### Change Management Process

This section provides the Change Management process which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

### Change Request Process Stages

Change Request Initiation: Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.

Change Impact Estimation: Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.

Approvals and Acceptance: The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

### Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage             | Step          | Description   |
|-------------------|---------------|---|
| Initiation        | Generate CR   | A submitter completes a CR Form and sends the completed form to the Project Manager   |
| Initiation        | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed.                              |
| Impact Estimation | Evaluate CR   | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change   |
| Approval          | Authorize     | Approval to move forward with incorporating the suggested change into the project/product   |
| Approval          | Implement     | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

#### Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in Appendix A – SESIR Reporting Tool Project Change Request Form.

A sample copy of the SESIR Reporting Tool Project Change Request Form is provided in the table below:

Table 3. SESIR Reporting Tool Project Change Request Form:

| Change Request  |  |   |
|---|--|---|
| Project:  |  | Date:   |
| Change Requestor:   |  | Change No:  |
| Change Category (Check all that apply):                           |  |   |
| <input type="checkbox"/> Schedule                                 | <input type="checkbox"/> Cost                | <input type="checkbox"/> Scope Requirements/Deliverables                |
| <input type="checkbox"/> Testing/Quality                          | <input type="checkbox"/> Resources           |   |
| Does this Change Affect (Check all that apply):                   |  |   |
| <input type="checkbox"/> Corrective Action                        | <input type="checkbox"/> Preventative Action | <input type="checkbox"/> Defect Repair <input type="checkbox"/> Updates |
| <input type="checkbox"/> Other                                    |  |   |
| Describe the Change Being Requested:                              |  |   |
| Describe the Reason for the Change:                               |  |   |
| Describe all Alternatives Considered:                             |  |   |
| Describe any Technical Changes Required to Implement this Change: |  |   |
| Describe Risks to be Considered for this Change:                  |  |   |
| Estimate Resources and Costs Needed to Implement this Change:     |  |   |
| Describe the Implications to Quality:                             |  |   |
| Disposition:  |  |   |
| <input type="checkbox"/> Approve                                  | <input type="checkbox"/> Reject              | <input type="checkbox"/> Defer  |
| Justification of Approval, Rejection, or Deferral:                |  |   |
| Change Board Approval:  |  |   |
| Name  | Signature                                    | Date  |
|   |  |   |
|   |  |   |



## Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the SESIR Reporting Tool Change Request Form included in Appendix A – SESIR Reporting Tool Project Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

## Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

## Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

- a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.
- b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

### Team Member Roles and Responsibilities

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

**Table 4. RASCI Matrix**

|   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |
|---|------------------------|--|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|
| <b>ROLE Definitions</b>   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |
| <b>R Responsible</b><br>The person who will perform the task.                             |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |
| <b>I Informed</b><br>The person(s) who are kept up-to-date on task status.                |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |
| <b>TASKS/ACTIVITIES</b>   | <b>Project Manager</b> |  | <b>Project Sponsor</b> | <b>Project Oversight Group</b> | <b>Business Analyst Team</b> | <b>Solution Architect</b> | <b>Database Team</b> | <b>Technical Team Lead</b> | <b>Development Team</b> | <b>Maintenance Team Manager</b> | <b>Maintenance Team</b> |

| Initiation Tasks              |     |     |   |   |   |   |   |   |   |   |   |
|-------------------------------|-----|-----|---|---|---|---|---|---|---|---|---|
| 1. Generate Change Request.   | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I   | I | I | I | I | I | I | I | I | I |
|                               |     |     |   |   |   |   |   |   |   |   |   |

**Table 2. RASCI Matrix**

| ROLE Definitions  | Project Manager |  | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
|---|-----------------|--|-----------------|-------------------------|-----------------------|--------------------|---------------|---------------------|------------------|--------------------------|------------------|
| <b>R Responsible</b><br>The person who will perform the task.                             |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>I Informed</b><br>The person(s) who are kept up-to-                                    |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |

|                              |     |       |   |     |   |   |   |   |   |   |   |   |
|------------------------------|-----|-------|---|-----|---|---|---|---|---|---|---|---|
| date on task status.         |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>TASKS/ACTIVITIES</b>      |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>Impact Estimate Tasks</b> |     |       |   |     |   |   |   |   |   |   |   |   |
| 5. Evaluate Change Request.  | C   | C,R,A | I | I   | C | C | C | C | C | C | C | C |
| <b>Approval Tasks</b>        |     |       |   |     |   |   |   |   |   |   |   |   |
| 6. Authorize Change Request. | I   | I     | I | A,R | I | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C     | I | I   | I | I | I | I | I | I | I | I |
|                              |     |       |   |     |   |   |   |   |   |   |   |   |

## 14. Procurement Management Plan

---

The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

- Introduction
- General Procurement Approach
- Procurement Definition
- Staff Augmentation Procedures
- Hardware/Software Purchasing
- Northwest Regional Data Center (NWRDC) Services Request Procedures
- Procurement Risks
- Procurement Risk Management
- Cost Determination
- Procurement Constraints
- Contract Manager
- Vendor Management

### Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a Guidebook to Public Procurement to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. It was created by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' Guidebook to Public Procurement is revised each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.

The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify all items to be procured for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

### General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action is selected based on requirements.

### Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, procurement deadlines are usually affected by the project schedule and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. This is usually performed by the Business Analysts on the project team.

### Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that its decision was based upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). It is then up to the Project Sponsor to set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

#### Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the Operations Supervisor who will check to see if the item is already available within the Department. If not, then the specifications for the requirements should be provided to the Bureau Chief Staff Assistant so that it can be entered into the MyFloridaMarketPlace eQuote system for purposes of requesting quotes.

#### Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

#### Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

#### Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project

procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

### Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

### Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

Schedule: Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.

Cost: Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.

Scope: All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

Resources: All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.



Technology: Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

## Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
  - a. Contract Manager verifies with the Technical Contact any missing information
  - b. Contract Manager creates the Requisition in MyFloridaMarketPlace (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
  - a. Contract cover sheet
  - b. Purchase Order
  - c. Contract management check list
  - d. RFQ or SOW
  - e. Resume
  - f. Disclosure statement
  - g. Drug-free work place form
  - h. References
  - i. Skills matrix
  - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

## Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.

# SCHEDULE IV-B FOR SCHOOL CHOICE WEB APPLICATIONS AND DATABASE UPDATE

For Fiscal Year 2023-24



October 11, 2022

FLORIDA DEPARTMENT OF EDUCATION

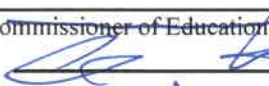
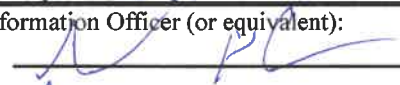
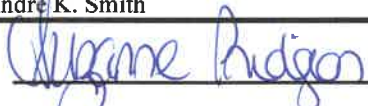
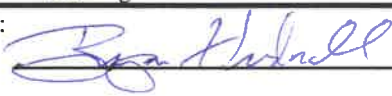
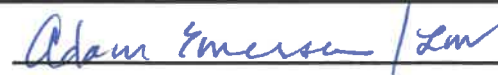
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SCHEDULE IV-B FOR SCHOOL CHOICE WEB APPLICATIONS AND DATABASE UPDATE

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Department of Education  | Schedule IV-B Submission Date:<br>October 11, 2022  |
| Project Name:<br>School Choice Web Applications and Database Update   | Is this project included in the Agency's LRPP?<br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2023-24 LBR Issue Code:<br>40005C0   | FY 2023-24 LBR Issue Title:<br>School Choice Web Applications and Database Update                                     |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Andre Smith, (850) 245-0428, Andre.Smith@fldoe.org   |   |
| AGENCY APPROVAL SIGNATURES  |   |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. |   |
| Agency Head: Commissioner of Education<br>  | Date: 10/13/22  |
| Printed Name: Manny Diaz, Jr. <i>ANASTASIOS KAVOUTZOS</i>   |   |
| Agency Chief Information Officer (or equivalent):<br>  | Date: 10/13/22  |
| Printed Name: Andre K. Smith  |   |
| Budget Officer:<br>  | Date: 10/13/22  |
| Printed Name: Suzanne Pridgeon  |   |
| Planning Officer:<br>  | Date: 10/13/22  |
| Printed Name: Bryan Hudnall   |   |
| Project Sponsor:<br>   | Date: 10-13-22  |
| Printed Name: Adam Emerson  |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Cathy Russell, (850) 245-9640, Cathy.Russell@fldoe.org  |
| Cost Benefit Analysis:  |   |
| Risk Analysis:  | Cathy Russell, (850) 245-9640, Cathy.Russell@fldoe.org  |
| Technology Planning:  | Rod King, <a href="mailto:Rod.King@fldoe.org">Rod.King@fldoe.org</a> , 850-245-0342                                   |
| Project Planning:   | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573     |

## General Guidelines

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

Schedule IV-B is not required for requests to:

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

## Documentation Requirements

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

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

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

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

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

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

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

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

### A. Background and Strategic Needs Assessment

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

The purpose of the Office of Independent Education & Parental Support (School Choice) is to support quality public and private educational choice programs by providing information and assistance to promote successful outcomes for students, families, institutions and communities.

Florida Department of Education (FDOE) identified the need to modernize the school choice systems that support business operations for the Office of Independent Education & Parental Choice. The primary goals of this project will focus on transitioning an Oracle/.asp (Active Server Pages) based database and user interface application from critical system failures and growing maintenance costs to a solution aligned with the department's enterprise architecture. This transition requires developing, testing, documenting and implementing the new solution.

#### **Program Background:**

FDOE provides a variety of school choice options, including scholarship programs. These programs allow for parental choice among public and private schools. The scholarship programs are Family Empowerment Scholarship for Educational Options, Family Empowerment Scholarship for Students with Unique Abilities, Florida Tax Credit Scholarship, Hope Scholarship, and New Worlds Reading Scholarship Accounts.

FDOE uses the system in determining the eligibility of students and providers and is used for scholarship payments on behalf of students to approved not-for-profit organizations and to private schools. The system calculates scholarships for each program by a different formula, on a different schedule, and funded through a different mechanism. Funding amounts are pro-rated, based on established application, enrollment, and other program deadlines. Florida families, school district personnel, accrediting agencies, private school administrators, and scholarship funding organizations (SFO) utilize the system.

The **Family Empowerment Scholarship Program for Educational Options (FES EO)** provides the option for K-12 students to attend a participating private school. Families apply through one of the approved SFO, which are responsible for determining and distributing funding to private schools. FES EO also offers families of eligible students the option to receive a \$750 scholarship to provide transportation to a public school different from the school to which the student was assigned. (s. 1002.394, F.S.)

The **Family Empowerment Scholarship Program for Students with Unique Abilities (FES UA)** is designed to offer families of students with disabilities, as young as 3 years of age, access to additional education options. Families may choose to enroll their student in another public school, or they may take the opportunity to receive a personal education savings account (ESA) for their student. With an ESA, parents receive a deposit of public funds into government-authorized savings accounts with restricted, but multiple, uses. An ESA can be used to fund not only items such as private school tuition and fees, but also online learning programs, private tutoring, community college costs, higher education expenses and other approved customized learning services and materials. Families apply and annually renew for participation in FES UA through one of the approved SFOs, which are responsible for determining eligibility, distributing funding to eligible student accounts, and approving eligible expenditures. (s. 1002.394, F.S.)

The **Florida Tax Credit Scholarship Program (FTC)** provides opportunities for children of families that have limited financial resources and enables children to receive a greater level of excellence in their education. The Florida legislature created the FTC Program in 2001. The law provides for state tax credits for contributions to nonprofit SFO. The SFO awards scholarships to eligible children of income-eligible families. (s. 1002.395, F.S.)

The **Hope Scholarship** is for students in grades kindergarten through 12 who are enrolled in a Florida public school and have been bullied, harassed, assaulted, threatened and or other violent acts to transfer to another public school or enroll in an approved private school. (S. 1002.40, F.S.)

The **New Worlds Reading Scholarship Accounts** program provides education savings accounts for public school students enrolled in kindergarten through grade 5, who have a substantial reading deficiency identified under s. 1008.25(5)(a), F.S. or who scored below a Level 3 on the statewide, standardized English Language Arts (ELA) assessment in the prior school year. (s. 1002.411, F.S.)



## 1. Business Need

The School Choice core systems infrastructure comprises diverse vendor platforms and a mix of technologies which are either outdated with limited/scarce support or have discontinued product support by the vendors. As a result, the outdated software platforms have become increasingly incompatible with current technology releases with which they must interact. The maintenance of these applications has become very expensive and it is no longer cost efficient to keep existing systems without essential upgrades.

It is critical to maintain and enhance all School Choice applications to support the ongoing business operations. Therefore, it is essential to streamline and consolidate the applications into a single database and user interface that is consistent with the department's enterprise platform. Though they may be currently in working condition and performing, the School Choice support applications have entered a phase of data vulnerabilities and security concerns at the end of their viable shelf-life. As technology vendors routinely modernize and upgrade hardware and system software, School Choice applications are experiencing increasingly degraded performance and security threats. Due to increasing age of the systems, their components, and the servers on which the system is hosted, service providers such as Microsoft, Oracle, and Northwest Regional Data Center (NWRDC) hosting the applications no longer offer support for issue resolution as problems with increasing frequency occur.

This critical maintenance function has become extremely difficult since many manufacturer software releases are no longer compatible with the antiquated platforms in the School Choice systems. To keep up with ongoing changes in School Choice business rules, it has become very difficult and expensive to locate, procure, and maintain the development skill sets for the older/outdated technologies. Any further changes in the applications pose an extreme risk to School Choice application systems as well as increasing vulnerability of interoperable systems or subjecting systems to irreparable failures. If the system fails, the stakeholders could lose millions of scholarship dollars due to drastic data loss.

Application systems require routine upgrades and patches applied to enforce information security and other industry compliance. School Choice systems must maintain compliance with agency IT security guidelines, Florida Digital Services (FLDS), and other industry standards, such as Payment Card Industry (PCI) Data Security Standards (DSS) and Criminal Justice Information Security (CJIS). The state of the current School Choice architecture (hardware and software) makes it impossible to remain in compliance with all of these information security policies and standards. The Department estimates the cost to meet compliance requirements will exceed the investments necessary to upgrade School Choice systems to the current levels of supported technologies.

## 2. Business Objectives

As mentioned earlier, the business objectives for this project are to provide a single solution for all internal and external users to access the School Choice user interface and database. The solution should support current functionality, any enhancements to current functionality requested, migrating legacy data, tracking students, parents, districts, etc. scholarship information, private school information, and eligibility to receive scholarship payments, and any changes or additions due to legislative action.

Activities associated with the objectives:

- Convert School Choice primary database from Oracle/.asp platform to eliminate heterogeneous database platforms and align database for more efficient enterprise support and maintenance.
- Migrate School Choice applications from physical to virtual platform servers hosted at the Northwest Regional Data Center or Cloud Solution.
- Upgrade Peripheral Support application servers to supported platforms using advanced server operating systems for compliance with technology infrastructure and security standards.
- Document business requirements for current School Choice applications and desired future state.
- Ensure operational continuity and compliance with records retention requirements by assessing the most cost-effective solution for School Choice document management.

## B. Baseline Analysis

*Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.*

### 1. Current Business Process(es)

System functionality for External Users includes, but is not limited to:

- Submitting data files and reports (both scheduled and ad hoc) for upload to the Department.
- Completing and submitting reports via the web application.
- Viewing and editing submitted data.
- Viewing and exporting static and on-demand reports generated by the system.
- Receiving routine downloads of system data.
- Searching for student and school records.
- Accessing via secure connection other Department systems.
- Viewing on-demand reports generated by the system.
- Entering student eligibility and funding data.
- Accessing, filtering, and exporting public record data.

System functionality for Internal Users includes, but is not limited to:

- Assigning a unique school code to private schools that register with FDOE.
- Viewing and editing student data submitted by private schools, SFO, and school districts.
- Uploading and viewing documents received from parents and participating private schools.
- Generating scholarship payments, each based on multiple eligibility and funding calculation requirements, and documenting the return of scholarship payments.
- Documenting and tracking annual private school compliance information.
- Logging and tracking calls to the FDOE’s scholarship information hotline.
- Logging and tracking actions taken by FDOE related to scholarship compliance.
- Comparing lists of scholarship students and public school students.
- Communicating with users via online forms and auto-generated notifications.
- Editing website navigation menus.
- Posting user-specific messages available on log in.
- Creating and managing secure user profiles and permissions.
- Extracting data files to export to other users.
- Loading data from other sources using stored procedural jobs or batch processing jobs.
- Interfacing with existing systems within FDOE.
- Viewing and exporting reports for program and data integrity monitoring.

#### Batch Job/Data Transfer Processes

1. Schemas housing School Choice Databases:
  - a. DOEOSAS\_Data
  - b. DOEOSAS\_Survey
  - c. FES3A\_Data
  - d. FES4D\_Data
  - e. IEPCSchoolChoice
2. Oracle Processes/Jobs:
  - a. Load Survey Data
  - b. Load Direct Certification Data
  - c. Load Student Records
  - d. Generate Files for Export
  - e. Check for School Code Duplication
  - f. Maintain School Enrollment Statistics
  - g. Maintain Student Demographic Information
  - h. Record School Payments Received

- i. Record Basic School Information
3. Data loaded from multiple external sources (i.e. SSIS jobs).
4. SQL Server housing the WebteamAppData database to store PDFs of affidavits and annual surveys.

#### Application Information

5. Applications are located on the Sbe-pelbweb01.ecs.dmz and Sbe-pelbweb02.ecs.dmz.Net Web Servers at NWRDC.
6. Access applications using the <http://www.floridaschoolchoice.org> website.
7. Large Application System Supporting Multiple Sub-Systems:
  - a. Admin Functions
  - b. Call Tracking
  - c. Hope/FTC
  - d. New Worlds Reading
  - e. District Scholarship Contact
  - f. FES Payment Processing
  - g. Private School
  - h. Web Services

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

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## 2. Assumptions and Constraints

The current choice application is over 18 years old lacking adequate upgrades or modernization of its core system. The infrastructure that this system is maintained on is nearing its end-life-support. Key assumption is that current system and infrastructure will need to be re-engineered based on shared resource model or cloud solution model.

Other Assumptions:

- Current environment will remain stable with minimal impact on staff availability needed for conversion.
- A complete requirement and functional analysis will be done to ensure that new system meets the business needs.
- Ensure interoperability with required internal agency or interagency source systems.
- Cost Benefit Analysis to determine Infrastructure – Cloud Services or managed services through NWRDC.
- Project Management Team will be used by the department to manage project plan, staff, resources, and risks/issues log.

## C. Proposed Business Process Requirements

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

### 1. Proposed Business Process Requirements

Solution should sustain current functionality and the department has identified the following requirements that will improve the School Choice solution:

- Improved access and authentication model.
- Development based on current ISDM
- The standardization of multiple applications into single unified application.
- The use of shared resources to minimize costs.
- User-friendly navigation and reports.
- Maximum flexibility for expansion, modification or reduction with minimal rework.

## 2. Business Solution Alternatives

The department issued two Requests for Information (RFI) regarding this project: one for a complete solution developed from a redesign of the applications in use at this time, another to adapt the product of previous project developed in the Salesforce to align with current statutory and business requirements.

## 3. Rationale for Selection

In considering the advantages and disadvantages of each alternative, the department also will consider the following factors in making a selection:

- Usability
- Maintainability
- Scalability
- Data management
- Security
- Cost
- Risk

## 4. Recommended Business Solution

The department will evaluate the submissions from both RFIs, completing a Cost Benefit Analysis on each alternative. The solution chosen will ensure that technical and business requirements are met through a flexible and viable solution. This solution will also reduce the overall project risks and ensure that the resulting solution can be maintained in the future.

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

## D. Functional and Technical Requirements

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

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

See Appendix A.

## III. Success Criteria

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

| SUCCESS CRITERIA TABLE |   |   |               |                          |
|------------------------|---|---|---------------|--------------------------|
| #                      | Description of Criteria   | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 1                      | Consolidate current School Choice technology systems and migrate to a modern, supported technology platform | Inventory of updated system components      | FDOE          | 06/2024                  |

**SCHEDULE IV-B FOR SCHOOL CHOICE WEB APPLICATIONS AND DATABASE UPDATE**

| SUCCESS CRITERIA TABLE |   |  |                    |         |
|------------------------|---|--|--------------------|---------|
| 2                      | School Choice technology system supports ongoing business operations                                      | Compliance with agency and other applicable industry standards   | FDOE               | 06/2024 |
| 3                      | School Choice technology system stores and securely maintains student and parent confidential information | Compliance with agency and other applicable data security standards  | FDOE, stakeholders | 06/2024 |
| 4                      | Minimize peak volumes and maintain quality efficient service  | Enhanced capacity of School Choice staff to document and report interactions with stakeholders across all programs | FDOE, stakeholders | 06/2024 |
| 5                      | Enhance accessibility of school choice system for Florida families  | School Choice application that is compatible with mobile devices   | FDOE, stakeholders | 06/2024 |
| 6                      | Update interface options to improve service to stakeholders   | Increased access to relevant stakeholder data  | Stakeholders       | 06/2024 |

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

**A. Benefits Realization Table**

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

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

| BENEFITS REALIZATION TABLE |  |                           |   |   |                          |
|----------------------------|--|---------------------------|---|---|--------------------------|
| #                          | Description of Benefit   | Who receives the benefit? | How is benefit realized?  | How is the realization of the benefit measured?       | Realization Date (MM/YY) |
| 1                          | Optimize single solution aligned with the department’s enterprise architecture | FDOE                      | Optimize use of system features   | Cost stabilization of support costs                   | 06/2024                  |
| 2                          | Improved system security   | FDOE & System Users       | The application and its database are made secure, both during operation and at rest | System/database vulnerabilities, exploits and attacks | 06/2024                  |

| BENEFITS REALIZATION TABLE |                             |                     |   |   |         |
|----------------------------|-----------------------------|---------------------|---|---|---------|
| 3                          | Improved system performance | FDOE & System Users | The application is able to render information to users faster | Faster response times, increased request rates, and lower error rates | 06/2024 |
| 4                          | Lower maintenance costs     | FDOE                | Reduction in support effort                                   | Minimize support costs  | 06/2024 |
| 5                          | Improved system reliability | FDOE                | Primary business applications consolidation service approach  | Cost avoidance of rising support costs                                | 06/2024 |
| 6                          | Technology refresh          | FDOE                | System stability and reduced support effort                   | Cost avoidance of rising support costs                                | 06/2024 |

### B. Cost Benefit Analysis (CBA)

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

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

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

| Cost Benefit Analysis |   |
|-----------------------|---|
| Form                  | Description of Data Captured  |
|                       | <ul style="list-style-type: none"> <li>Internal Rate of Return</li> </ul> |

## V. Schedule IV-B Major Project Risk Assessment

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

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

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

## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System

One application separated by business processes on a Windows 2016 server with mixed Classic ASP & .Net code. Second application on a Windows 2016 server with 100% .Net code.

One application accesses a shared production (PDOE) database and a shared test (TDOE) database housed at the Florida Digital Services, both are on Oracle19 servers. The application accesses PDF data from a SQL 2019 databases as well on other databases located on virtual servers at our local Northwest Regional Data Center (NWRDC).

The second application accesses a shared production and a shared test database housed at state datacenter; both are on SQL servers.

Lastly, the application allows access via Web Services for external entities.

#### a. Description of Current System

Stakeholders use the system to determine the eligibility of students and providers, and for scholarship payments on behalf of students to approved not-for-profit organizations. The system calculates the scholarship for each program is calculated by a different formula, on a different schedule, and funded through different mechanisms. Funding amounts are pro-rated, based on established application, enrollment, and other program deadlines. Florida families, school district personnel, accrediting agencies, private school administrators, and scholarship funding organizations (SFOs) utilize the system.

#### b. Current System Resource Requirements

- One Developer Resource.
- One Shared Business Analyst Resource (supports approx. 70% of their time).
- One Shared Database Administrator Resource (supports approx. 40% of their time).
- Shared Production Control Resource.
- Shared Server Management Resource.
- Overall management of the before-mentioned resources.

#### c. Current System Performance

- Application technology does not match updated database requirements. Connection between application and database is lost when records are in the process of being saved.
- Old and Inconsistent Code is currently written in three software languages (Classic ASP, .Net 2.0, .Net 4.0).
- Application Architecture is outdated and needs restructuring based on the current application structure.

#### 2. Information Technology Standards

Information Systems Development Methodology – June 2022, Version 2.0.

### B. Current Hardware and/or Software Inventory

- Current Legacy Application Server – Windows 2016 Enterprise .Net Web Server Located at NWRDC.
- Access to Oracle Sun Solaris servers containing databases.



## C. Proposed Technical Solution

### 1. Technical Solution Alternatives

Building within the current shared resources at NWRDC or building a separate cloud solution are the two technical solution alternatives for this initiative.

### 2. Rationale for Selection

The technical solution recommendation will be based on whether or not additional resources are needed to improve performance throughout the year.

### 3. Recommended Technical Solution

Building within the current shared resources at NWRDC is recommended technical solution given the fact that scalable resources are not needed for School Choice solution based on their current capacity.

## D. Proposed Solution Description

### 1. Summary Description of Proposed System

The proposed system will provide a single solution for all internal and external users to access the School Choice user interface and database. The solution should support current functionality, any enhancements to current functionality requested, migrating legacy data, tracking students, parents, districts, etc. scholarship information, private school information, and eligibility to receive scholarship payments, and any changes or additions due to legislative action.

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

Unknown

## E. Capacity Planning

*(historical and current trends versus projected requirements)*

Current Users:

- Over 3,500 administrators of private schools, accrediting agencies and scholarship funding organizations.
- Multiple users in each of over 70 school districts.
- Over 50 agency program staff members.
- Approximately 100,000 additional public users annually.

## VII. Schedule IV-B Project Management Planning

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

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

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

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## VIII. Appendices

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

- Functional Requirements

**SCHEDULE IV-B FOR SCHOOL CHOICE WEB APPLICATIONS AND DATABASE UPDATE**

- Project Risks Assessment
- Cost Benefits Analysis (CBA) will be completed with results of RFIs when available



# Functional Requirements for School Choice Solution

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# Overall System Needs

## 1. Security

- 1.1. The system should provide role-based security.
- 1.2. The system should provide configurable security for each role.
- 1.3. Displayed pages should be dependent on security role (Admin).

## 2. Information/Forms/PDFs/Text Docs/Etc.

- 1.1. The system should display Information in the form of PDFs, Text Documents, Forms and Resource links throughout the pages in the system. Information displayed is based on the different logins.
- 1.2. The system should allow the Administrator role to load, create and edit this information on the system.

## 3. Auto-Generated Emails

- 1.1. The system should create auto-generated emails based on business rules.

## 4. Reports

- 1.1. The system should generate reports where needed based on business rules. The system creates reports within all the roles.

## 5. Batch Processing

- 1.1. The system should generate incoming and outgoing batch jobs that can occur nightly, weekly, monthly, quarterly, and semi-annually.

## 6. Search Functions

- 1.2. The system should provide dynamic search functionality when needed based on business rules.

# Private School Administrator Login

## 1. Request a School Code

- 1.1. New Private Schools must request a School Code before logging in. This is completed outside of the School Choice Database. Request includes, school name, district, address (city, state, zip), phone, contact person, contact email, owner/director and director's email.
  - 1.1.1. Once the Private School has submitted a School Code request, the School Choice Office is notified and will send an auto-generated email to the Private School.
- 1.2. Private Schools WILL NOT request a School Code if;
  - 1.2.1. They have a School Code.
  - 1.2.2. They have forgotten their School Code and/or password.
  - 1.2.3. They do not operate a Florida private school that serves at least one grade from kindergarten to grade 12.
- 1.3. When a School Choice Office administrator approves the request and assigns a school code, an auto-generated email will be sent to the new private school with the code and a generic password.

## 2. Non-Participating Private Schools

- 2.1. Private Schools can choose to participate in a scholarship program or not.

- 2.2. Non-Participating Private Schools can log into the website, submit request to participate in scholarship programs, and submit documentation related to compliance.
- 2.3. Non-Participating schools are statutorily required to complete the Annual Private School Survey form.

### 3. Notification Window

- 3.1. The system should display information pertinent to all Private Schools and the specific Private School logged in, such as, the most recent Payment Report available, the status of the Private School's Scholarship Compliance Form, etc.

### 4. Annual Private School Survey Form

- 4.1. The system should provide a fillable form to capture the following information:
  - 4.1.1. General Information
  - 4.1.2. Program Information
  - 4.1.3. Student Information
  - 4.1.4. Teacher Information
  - 4.1.5. Graduate Information

### 5. Scholarship Compliance Form

- 5.1. The system should link to an instruction sheet for the Scholarship Compliance Form.
- 5.2. The system should provide a printable form to capture the following information:
  - 5.2.1. Program Participation
  - 5.2.2. School Ownership, Affiliation, and Licensing
  - 5.2.3. Financial Solvency
  - 5.2.4. School Administration
  - 5.2.5. School Staffing
  - 5.2.6. School Program
  - 5.2.7. Student Health, Safety, Welfare
  - 5.2.8. Student Records
  - 5.2.9. School Facility
  - 5.2.10. Submission of Scholarship Form
    - 5.2.10.1. Submitter contact information
    - 5.2.10.2. Notary Public information
- 5.3. The system should provide a link to the Scholarship Compliance Correction Form (if already completed).
- 5.4. The system should provide a link to the Scholarship Compliance Printable Record (if already completed).

### 6. Student Lists

The system should display the FTC, Hope, FES EO and FES UA Student List search pages.

- 6.1. The system should display students by status.
  - 6.1.1. The system should display hyperlinks to students with the following information:
    - 6.1.1.1. Student Information
    - 6.1.1.2. Parent Information
    - 6.1.1.3. School Information
    - 6.1.1.4. Scholarship Information

### 7. Bureau of Educator Certification VERSA System

- 7.1. The system should allow Participating schools access to the Bureau of Educator Certification VERSA System to complete statutorily mandated certifications.

## Private School Accrediting Agency Login

This page is for administrators of **Private School Accrediting Associations** that have been issued a user name and password.

### 1. Accrediting Agency Contact Info

- 1.1. The system should display Accrediting Agency contact information.
- 1.2. The system should allow the authenticated user to edit Accrediting Agency contact information.

### 2. Private School Search

- 2.1. The system should provide the capability to search Florida Private Schools by District.
- 2.2. The system should provide the capability to search Florida Private Schools by School Name
- 2.3. The system should provide the capability to search Florida Private Schools by Program
- 2.4. The system should provide the capability to filter search results by schools accredited by the agency.

### 3. Private School Search Results

- 3.1. The system should display the filtered search results in a columnar row format.
- 3.2. The system should provide a hypertext link to the School Information Page for each school in the search results.
- 3.3. The system should provide email address with clickable embed link.

### 4. School Information Page

- 4.1. The system should provide the ability to select and submit a school for accreditation.
- 4.2. The system should display General Information on the selected school.

## Scholarship Funding Organization (SFO) Login

This page is for administrators of **Scholarship Funding Organizations** that are currently participating in the state scholarship programs and have been issued a user name and password.

### 1. SFO Home Page

### 2. Search Scholarship Students

- 2.1. The system should display drop down filters (School Year, District, Program Type, and Student Status) and a Last name fillable field to allow an SFO to search their own scholarship students.
- 2.2. The system should display the filtered search results in a columnar row format. (Student (hyperlink), DOB, Grade, District, School, School Type and Matrix Level)
- 2.3. The system should allow and SFO to click on the Students name (hyperlink) to display the following information.
  - 2.3.1. Student Information
  - 2.3.2. Parent Information

### 2.3.3. School Information

### 3. New Worlds Reading Scholarship Reports

- 3.1. The system should display drop down filters (Month Name and Report Name) to allow



an SFO to run New Worlds Reading Scholarship Reports. The system should allow the following reports to be run:

3.1.1. Invoice Report (PDF)

3.1.1.1. The system should display the filtered search results in a columnar row format. (SFO Sequence Number, Student Last Name, Zip, County, Eligibility Confirmed Date, Scholarship Amount, Student First Name, DOB, Gender, Race, Current Grade, Address, City, State, and Eligibility Evidence)

3.1.2. Post Payment Report (Excel)

3.1.2.1. The system should display the filtered search results in a columnar row format. (SFO Sequence Number, Student Last Name, Zip, County, Eligibility Confirmed Date, Scholarship Amount, Admin Fee Amount, Student First Name, DOB, Gender, Race, Current Grade, Address, City, State, and Eligibility Evidence,)

3.1.3. Pre Payments Report (Excel)

3.1.3.1. The system should display the filtered search results in a columnar row format. (SFO Sequence Number, Student First Name, Student Last Name, DOB, , Gender, Race, Current Grade, Address, City, State, Zip, County, Scholarship Amount, Eligibility Confirmation Date, Approved for Funding, and Comments)

3.1.4. Reconciliation Report (Excel)

3.1.4.1. The system should display the filtered search results in a columnar row format. (SFO Sequence Number, Student First Name, Student Last Name, Scholarship Amount, Other, and Comments)

3.1.5. Reject Reports

3.1.5.1. The system should display and allow for exportable Excel file of rejected report records, including details on the reject reason

#### 4. Family Empowerment Scholarship Reports

4.1. The system should display drop down filters to allow an SFO to run reports for both the EO and UA branches of the Family Empowerment Scholarship program. The system should allow the following reports to be run:

4.1.1. Scholarship Overview

4.1.2. Reject reports

4.1.2.1. The system should display and allow for exportable Excel file of rejected report records, including details on the reject reason

4.1.3. Quarterly report student files

4.1.3.1. The system should display and allow for exportable Excel file of students previously reported to the department as participating

4.1.3.2. The system should allow for the upload of SFO's responses to exported file.

4.1.4. Student Info files

4.1.4.1. Following each student file upload, the system should allow for exportable Excel file of students and their current status.

4.1.5. Payment files

4.1.5.1. Following each payment generation, the system should allow for exportable Excel file of students included in the payment and their individual payment information.

4.1.6. Payment reconciliation files

4.1.6.1. Following each payment generation, the system should allow for exportable

Excel file of students not included in the payment and the reason/s they were omitted.

#### 4.1.7. Refund Reports

- 4.1.7.1. The system should allow for an exportable Excel file of students for whom funds have been returned by the SFO.

## 5. Private Schools

- 5.1. The system should display a list of all Private Schools.
- 5.2. The system should allow the SFO to filter the Private Schools based on District.
- 5.3. The system should provide hyperlinks to each of the Private Schools that link the SFO to the Private Schools information (General information, Contact Information, Program Participation, Annual Survey Status, Compliance Form Status and Renewal Information).

## District Contact Login

This login is for **Public School District** Administrators.

### 1. District Home Page

The system should display an informational window with pertinent information.

### 2. FES UA Matrix Update Request

- 2.1. The system should display drop down filters (School Year and Parent Matrix Request) and a Last Name and Birth Date fillable fields to search FES UA students.
- 2.2. The system should display all FES UA students who have requested a matrix update in columnar and row format (Last Name, Middle Name, First Name, FLEID, DOB, Matrix and Requested Matrix Update).
- 2.3. The system should allow the district contact to update the matrix when appropriate when requested.
- 2.4. The system should allow the FES UA Matrix Update Request student list to be an Exportable Excel file.

### 3. Family Empowerment Scholarship (EO and UA) Student Lists

- 3.1. The system should display drop down filters (Eligibility, Student Status and School Year) and a Last Name fillable field to search FES students.
- 3.2. The system should display all eligible FES students by scholarship type in columnar and row format (Student, Student ID, DOB, Grade, Public School, Intent Date, Exceptionality, Eligibility, and Original School Year).
  - 3.2.1. The student's name should be a hyperlink to access the student's information in view-only:
    - 3.2.1.1. Student Information
    - 3.2.1.2. Parent Information
- 3.3. The system should allow the FES student lists to be Exportable Excel files.

### 4. EPS Student List

- 4.1. The system should allow districts to download files of FES EO and UA payment candidates to compare with public school records.
- 4.2. The system should allow districts to upload a results file of the FES EO and UA comparison to public school records.
- 4.3. The system should allow districts to view students previously reported as Enrolled in Public School (EPS) for the current pay period. During certain windows, districts can

remove a prior incorrect notice of student ineligibility (EPS).

## 5. Family Empowerment Scholarship Payment Files

5.1. The system should allow districts to download files of FES EO and UA payments in a format that is compatible with current processes.

## 6. Survey FTE Comparison Files

6.1. The system should allow districts to download files comparing students reported for FTE funding to FES EO and UA payment files.

6.2. The system should perform comparisons and update the results available for download daily during certain windows.

## 7. District Administration

7.1 The system should allow districts to manage their password.

7.2 The system should allow district to manage their district administrators contact information with editable fields (First Name, Last Name, Phone, Fax and email address).

## Administrator Login

This login is for School Choice Office **Administrators**. This login provides different access based on the rights provided.

### 1. Search Students

1.1. The system should allow an administrator to search students. The Search Students page is defaulted to FES UA students. Users can select the FES EO, FTC, Hope students or Full Time Equivalent (FTE) students' hyperlinks to search those students.

1.2. The system should allow admin user with specific permissions to edit any student's information.

1.3. The system should display the student's event history once you have accessed the student's general information page.

1.3.1. The system should display the following related fields for each historical event, detail, date, event, user and submitted by.

1.3.2. The system should provide search criteria (year, district and private school based on the district selected), Student Criteria (Status, first name, and last name, DOB, RecID, SFO Sequence Number and FLEID) and Parent Criteria (Parent first name, parent last name) for Admin users.

1.3.3. The system should display the student search results in columnar/row format with the following fields, student name (hyperlink to student's general info page), SFO sequence number, RecID, DOB, district, grade, status, and private school.

1.3.4. The system should allow the student lists to be an Exportable Excel file.

### 2. New Worlds Reading Student Payment Returns

2.1. The system should provide search criteria (school year, SFO sequence number, RecID, first name, last name, and DOB) for admin users to search New Worlds Reading student payment returns.

2.1.1. The system should display the search results in columnar/row format with the following fields, RecID, school year, SFO sequence number, student first name, student last name, DOB, student status, payment status, scholarship amount, paid month, paid amount, and admin fee. Admin users with the correct permissions can cancel the student's full or partial scholarship payment from this list.

### 3. Search Schools

- 3.1. The system should allow admin users to select a district and provide search criteria (school code, school name, status and program for admin users to search Private Schools.
  - 3.1.1. The system should display the search results in columnar/row format with the following fields, private school name, history, comments and reset login information.
  - 3.1.2. The system should allow admin users to edit the schools' information:
    - 3.1.2.1. General Information
    - 3.1.2.2. Contact Information
    - 3.1.2.3. Accreditations
    - 3.1.2.4. Program Participation – Admin users can request to participate on behalf of the school.
    - 3.1.2.5. Annual Survey – Admin users can access pdf versions of prior annual surveys.
    - 3.1.2.6. Compliance Form
    - 3.1.2.7. Renewal
    - 3.1.2.8. Attendance Verification
  - 3.1.3. The system should display the schools event history information in columnar/row format.
  - 3.1.4. The system should display any comments entered for the private school and the ability to review, edit or add a new comment.

### 4. Manage Private Schools

- 4.1. The system should allow the admin user the ability to manage a listing of private schools. Users can search by district, school name, status and programs.
- 4.2. The system should display the schools in columnar/row format with the following fields, district, school code, school name, password, status and year closed (if applicable).
- 4.3. The system provide a hyperlink to the school name where admin users can edit the school's information (same as searching for the school).
- 4.4. The system should allow admin user to look up private school's passwords. Users can search by district, school name, status and program.

### 5. Private School Annual Report

- 5.1. The system should provide the Private School Survey History. Users can search by district.

### 6. Private School Compliance Form Report

- 6.1. The system should display a listing on Compliance Forms for the current FY.
- 6.2. The system should display the information in columnar/row format with the following fields, #, district number, school code, school name, and submission date.

### 7. Pending School Code Requests

- 7.1. The system should display a list of pending school code requests. The requests can be filtered on completed, pending or manage existing private schools.
- 7.2. The system should display the information in columnar/row format with the following fields, edit functions (delete/edit/view), received date, processed date, sent date, name of school, district, and the capability to email contacts at the private school directly from the page.

## 8. Family Empowerment Scholarship Programs Overview

- 8.1. The system should display the SFO name, student count and total scholarship amount for all SFOs. The system should present live report of capped slots available.

## 9. New Worlds Reading Payment Processing

- 9.1. The system should allow admin users to create funding reports and notify the SFOs of this information.
- 9.2. The system should allow admin users to filter by school year and month to generate the payment candidates file.
- 9.3. The system should populate elements within the tables to display the payment candidate list to include the following fields, RecID, student first name, student last name, gender, and comments.

## 10. Tools

### 10.1 FES EO and UA Payment Systems

- 10.1.1. The system should allow admin user with the correct permission to access the payment website.
- 10.1.2. The system should provide school year and payment period filters on the main menu of the payment website to select and access the main menu options.
- 10.1.3. The system should allow the user access to the following menu options:
  - 10.1.3.1. Generate Regular Payment Candidates
    - 10.1.3.1.1. The system allows the user to select a button to generate candidate list, once the system is finished generating the list, the user will receive an email that the processing is complete.
    - 10.1.3.1.2. The system will post the list of candidates on the main menu under candidate batches.
    - 10.1.3.1.3. The system will allow the user to select the recent or previous candidate batches to view the candidate batches menu. Once the user accesses a candidate batch a drop down navigation window is populated to move easily through the batch menu, main menu and admin menu.  
The user can:
      - 10.1.3.1.3.1. View candidates – candidate list is provided in columnar/row format with the following fields, EnrolledID, RecID, student name, school, run date, reject records, payment generated and eligible for.
      - 10.1.3.1.3.2. View rejects – reject list is provided in columnar/row format with the following fields, Reject ID, RecID, EnrolledID, student name, school year, pay period, reject reason and reject date.
      - 10.1.3.1.3.3. Calculate payments – the payment system will automatically generate reject records for student ineligible for payment due to established factors.
  - 10.1.3.2. Add Candidates Manually (Special) – the system should allow admin users to add candidates manually using the student's RecID or uploading an excel file.
  - 10.1.3.3. Payment EPS List – the system should allow admin users to search Payment EPS list or view all students to remove an EPS flag for a student during any pay period (1-4).
  - 10.1.3.4. Generate Payment File for Comptroller – the system should allow admin

users to generate a file to the comptroller's office by selecting the BatchID and clicking build payment file.

- 10.1.3.5. Generate OFFR File – the system should allow admin users to generate a payment file to the Office of Funding and Financial Reporting (OFFR)
- 10.1.4. The system should allow the user to access Payment Batches. Once the user accesses a payment batch a drop down navigation window is populated to move easily through the batch menu, main menu and admin menu.
  - 10.1.4.1. The system should allow the admin user to click on the payment batch ID and the Payment Batch Options menu is present. The user can:
    - 10.1.4.2. View Payments – the system should allow an admin user to view payments, they are presented in columnar/row format with the following fields, Payment ID, RecID, EnrolledID, last name, first name, annual tuition, payment amt, eligible for and status. The user can also export payments and cancel a payment.
    - 10.1.4.3. View Candidates –the system should display candidates in columnar/row format with the following fields, EnrolledID, RecID, Student name, school, run date, reject records, payment generated and eligible for.
    - 10.1.4.4. View Rejects – the system should display reject records in columnar/row format with the following fields, RejectID, RecID, EnrolledID, student name, school year, pay period, reject reason and reject date.
    - 10.1.4.5. Edit Comments – the system should allow users to enter comments regarding the batch process, once comments are entered the user can edit comment last entered.
- 10.2. FES EO and UA Payment Returns
  - 10.2.1. The system should provide search criteria (school year, SFO sequence number, RecID, first name, last name, and DOB) for admin users to search FES student payments.
  - 10.2.2. The system should display the search results in columnar/row format with the following fields, RecID, school year, SFO sequence number, student first name, student last name, DOB, student status, payment status, scholarship amount, paid month, and paid amount. Admin users with the correct permissions can cancel the student's full or partial scholarship payment from this list.
  - 10.2.3. The system should generate a report of funds returned by SFO, by batch date.
- 10.3. FLEID Match and Assignment
  - 10.3.1. The system should provide files of student records for each scholarship program that lack FLEIDs for submission to match with existing student records or assignment of a new FLEID.
  - 10.3.2. The system should allow the results of match/assignment files to be used to update scholarship student records.
- 10.4. Agency Action Administration
  - 10.4.1. The system should allow admin users the ability to log, track and search administrative actions taken against participating private schools.
  - 10.4.2. The system should allow users to search admin actions using the following search criteria: district, school code, contact name, owner name, draft date, issued date, school name, director name and school address.

- 10.4.3. The system should display the list of agency actions in columnar/row format with the following fields, select, edit, ID, draft, issued, school, action, physical location, payment, fraud, other, deadline, NRT, and AUP.
  - 10.4.3.1. Once the user clicks on the select button, the agency action and school details are displayed.
  - 10.4.3.2. Once the user clicks on the edit button (pencil), the original agency action is displayed (editable).
- 10.4.4. The system should allow the user to export the agency actions into an excel file.
- 10.5. Call Tracking System
  - 10.5.1. The system should allow admin users with certain permission to create calls to track and search previous tracked calls.
  - 10.5.2. The system should allow an admin user to create a new call to track.
    - 10.5.2.1. The system should create the call log with the following data elements:
      - 18.5.2.1.1. Customer first and last name
      - 18.5.2.1.2. Student first and last name
      - 18.5.2.1.3. District
      - 18.5.2.1.4. School Code/School
      - 18.5.2.1.5. Call Back Phone Number
  - 10.5.3. The system should allow an admin user to search previous tracked calls.
    - 10.5.3.1. The system should populate a list of previous tracked calls.
    - 10.5.3.2. The system should provide an advance search form to search previous tracked calls.

## 11. Admin Reports

- 11.1. The system should allow admin users to run reports and export all filtered/unfiltered search results in excel format. Certain search results may also be exported in delimited or fixed-width flat files.
- 11.2. Private School Reports
  - 11.2.1. Data Integrity Checks – the system provides the data count for data elements requested.
  - 11.2.2. All Private School List Report – the system provides a list of all private schools, users can filter on district, school ID, school code, school name, address, owner, contact and/or director.
  - 11.2.3. School Name Change Report – the system should display the school ID, district ID, district name, school code, school previous name, school updated name, school current name and the date the name was updated on.
  - 11.2.4. Fiscal Soundness Report – Participating private schools in operation fewer than 3 years must provide fiscal soundness documentation based on scholarship funds received. The system should display the region code, district ID, district name, school code, school name, status, address, city, zip, director name, credit bond amount, FES EO payment, FES UA payment, FTC funding, Hope funding, bond through date, and over bond amount.
- 11.3. General Program Reports
  - 11.3.1. FES Scholarships Refund Amount Reports – the system should generate the scholarship refund report and the scholarship payment log report.
    - 11.3.1.1. The system should display the refund report in columnar/row format with the following fields, RecID, last name first name, batch ID, period, apply first attended date, withdraw dates, amount, payment ID, SFO sequence number, student last name, student first name.



- 11.3.1.2. The system should display the scholarship payment log report with the following fields, last name, first name, amount, sfo sequence number, student last name and student first name.
- 11.3.2. Agency Action Report – the system should generate an agency action status report with the following fields, ID, draft date, issued date, district, school code, school, action, status, status date and reason.
- 11.4. FES Student Reports
  - 11.4.1. Data Integrity Checks – the system should generate enrolled (current year) and intent (previous year) student information based on business rules.
- 11.5. New Worlds Reading Reports
  - 11.5.1. Generate Post Payment Monthly Reports – the system provides the following filters to generate this report, school year, month name, SFO name, and Report name.
    - 11.5.1.1. Invoice Report – the system displays the following fields, SFO sequence number, student last name, zip, county, eligibility confirmed date, scholarship amount, student first name, DOB, gender, race, current grade, address, city, state, disability, eligibility evidence and matrix.
    - 11.5.1.2. Post Payments File – the system displays the following fields, SFO sequence number, student last name, zip, county, eligibility confirmation date, scholarship amount, admin fee amount, student first name, DOB, gender, race, current grade, address, city, state, disability, eligibility evidence and matrix.
    - 11.5.1.3. Pre Payments - the system displays the following fields, SFO sequence number, student last name, DOB, gender, race, current grade, address, city, state, zip, county, disability, matrix, max scholarship amount, eligibility confirmation date, eligible scholarship %, previous payments, scholarship amount, in FTC, Other, EPS, evidence found, approved for funding, and comments.
    - 11.5.1.4. Reconciliation Report - the system displays the following fields, SFO sequence number, student first name, student last name, scholarship amount, enrolled in FTC, others, EPS and comments.
  - 11.5.2. New Worlds Reading Prior Year Report – the system generates the report to provide to the SFOs and displays the following fields, RecID, SFO name, year found, SFO sequence number, student last name, Balance \$0?, and comments.
  - 11.5.3. FES Prior Year Report – the system generates the report to provide to the SFOs and displays the following fields, RecID, SFO name, year found, SFO sequence number, student last name, Balance \$0?, and comments.

## 12. Complaint Administration

- 12.1. The system should allow admin users to log, edit and search complaints filed against participating private schools.
- 12.2. The system should allow admin users to search complaint with the following criteria, district, complaint name, school code, school name, school address, date, director name, contact name and owner name.
- 12.3. The system should display the list of complaints in columnar/row format with the following fields, select, view, edit, ID, received, program type, complaint, district, student name and school.
  - 12.3.1. Once the user clicks on the select button, the complaint events and school detail are displayed.



- 12.3.2. Once the user clicks on the view button (picture), the original complaint is displayed (not editable).
- 12.3.3. Once the user clicks on the edit button (pencil), the original complaint is displayed (editable).
- 12.4. The system should allow the user to export the complaints into an excel file.

## 13. Website

- 13.1. Webpage Messages
  - 13.1.1. The system should allow admin users with the permissions to create, view, edit and delete messages displayed on the website.
  - 13.1.2. The system should allow posted messages to be displayed within a certain timeframe determined by admin or based on business rules.
- 13.2. Website Navigation Menus
  - 13.2.1. The system should allow admin users with the permissions to edit the left menus within each of the logins, to include adding/deleting links and adding/editing/deleting headers.
- 13.3. Website User Administration
  - 13.3.1. The system should allow admin users with the permissions to create admin users with specific permissions and/or view-only access.
    - 13.3.1.1. The system allows admin users to view:
      - 21.3.1.1.1. Application Permissions
      - 21.3.1.1.2. Users
      - 21.3.1.1.3. Inactive Users
  - 13.3.2. The system should allow admin users with the permissions to create Accrediting Agency users (currently done in TOAD).
  - 13.3.3. The system should allow admin users with the permissions to create Scholarship Funding Organization users (currently done in TOAD).

## 14. District Contact Information

- 14.1. The system should allow admin users the capability to view, add and edit a district contact.
- 14.2. The system should allow admin users the capability to view district passwords.

|    | B   | C | D   | E  | F | G                 | H                           |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
|----|---|---|---|--|---|-------------------|-----------------------------|--------------|--|--|--|--|---------------------------------------|--|--|--|--|--|--|--|--|--|--|--|---------------------------------|--|--|--|--|--|--|
| 3  | <b>Project</b>  |   | <i>School Choice Web Apps and Database Update</i> |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 4  |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 5  | <b>Agency</b>   |   | <i>Florida Department of Education</i>            |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 6  | <b>FY 2023-24 LBR Issue Code:</b>   |   |   | <b>FY 2023-24 LBR Issue Title:</b>         |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 7  | <i>40005C0</i>  |   |   | <i>School Choice Web Apps and Database</i> |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>  |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 9  | <i>Cathy Russell, (850) 245-9640, Cathy.Russell@fldoe.org</i>   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 10 | <b>Executive Sponsor</b>  |   | <i>Adam Emerson</i>                               |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 11 | <b>Project Manager</b>  |   | <i>TBD</i>  |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 12 | <b>Prepared By</b>  |   | <i>Cathy Russell</i>                              |  |   | <i>10/10/2022</i> |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 14 | <b>Risk Assessment Summary</b>  |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 15 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 16 | <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%;"></td> </tr> </table> </div> |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
|    |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
|    |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 17 |   |   |   |  |   |                   |                             | Most Aligned |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 18 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 19 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 20 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 21 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 22 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 23 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 24 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 25 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 26 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 27 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 28 | Least Aligned   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 29 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 30 | <b>Level of Project Risk</b>  |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 31 | Least Risk  |   |   |  |   | Most Risk         |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 32 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 34 | <b>Project Risk Area Breakdown</b>  |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 35 | <b>Risk Assessment Areas</b>  |   |   |  |   |                   | <i>Risk Exposure</i>        |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 36 |   |   |   |  |   |                   | <b>MEDIUM</b>               |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 37 |   |   |   |  |   |                   | <b>Strategic Assessment</b> |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 38 |   |   |   |  |   |                   |                             |              |  |  |  |  | <b>MEDIUM</b>                         |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 39 |   |   |   |  |   |                   |                             |              |  |  |  |  | <b>Technology Exposure Assessment</b> |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 40 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  | <b>MEDIUM</b>                                      |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 41 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  | <b>Organizational Change Management Assessment</b> |  |  |  |  |  |                                 |  |  |  |  |  |  |
| 42 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  | <b>MEDIUM</b>                   |  |  |  |  |  |  |
| 43 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  | <b>Communication Assessment</b> |  |  |  |  |  |  |
| 44 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>HIGH</b>                            |
| 45 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>Fiscal Assessment</b>               |
| 46 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>MEDIUM</b>                          |
| 47 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>Project Organization Assessment</b> |
| 48 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>MEDIUM</b>                          |
| 49 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>Project Management Assessment</b>   |
| 50 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>HIGH</b>                            |
| 51 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>Project Complexity Assessment</b>   |
| 52 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>HIGH</b>                            |
| 53 |   |   |   |  |   |                   |                             |              |  |  |  |  |                                       |  |  |  |  |  |  |  |  |  |  |  |                                 |  |  |  |  |  | <b>Overall Project Risk</b>            |

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

|    | B                                       | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Education |  | Project: School Choice Web Apps and Database Update  |  |
| 3  | Section 2 -- Technology Area            |  |  |  |
| 4  | #                                       | Criteria   | Values   | Answer   |
| 5  | 2.01                                    | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?   | Read about only or attended conference and/or vendor presentation  | Installed and supported production system more than 3 years  |
| 6  |   |  | Supported prototype or production system less than 6 months  |  |
| 7  |   |  | Supported production system 6 months to 12 months  |  |
| 8  |   |  | Supported production system 1 year to 3 years  |  |
| 9  |   |  | Installed and supported production system more than 3 years  |  |
| 10 | 2.02                                    | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations  | External technical resources will be needed through implementation only                                    |
| 11 |   |  | External technical resources will be needed through implementation only  |  |
| 12 |   |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03                                    | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | Some alternatives documented and considered  |
| 14 |   |  | Some alternatives documented and considered  |  |
| 15 |   |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04                                    | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| 17 |   |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |   |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05                                    | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Minor or no infrastructure change required   |
| 20 |   |  | Moderate infrastructure change required  |  |
| 21 |   |  | Extensive infrastructure change required   |  |
| 22 |   |  | Complete infrastructure replacement  |  |
| 23 | 2.06                                    | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are defined only at a conceptual level   |
| 24 |   |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |   |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Education                   |  | Project: School Choice Web Apps and Database Update                              |  |
| 3  | <b>Section 3 -- Organizational Change Management Area</b> |  |  |  |
| 4  | <b>#</b>  | <b>Criteria</b>  | <b>Values</b>  | <b>Answer</b>  |
| 5  | 3.01  | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes         | Minimal changes to organization structure, staff or business processes structure |
| 6  |   |  | Moderate changes to organization structure, staff or business processes          |  |
| 7  |   |  | Minimal changes to organization structure, staff or business processes structure |  |
| 8  | 3.02  | Will this project impact essential business processes?   | Yes  | Yes  |
| 9  |   |  | No   |  |
| 10 | 3.03  | Have all business process changes and process interactions been defined and documented?  | 0% to 40% -- Few or no process changes defined and documented                    | 0% to 40% -- Few or no process changes defined and documented                    |
| 11 |   |  | 41% to 80% -- Some process changes defined and documented                        |  |
| 12 |   |  | 81% to 100% -- All or nearly all processes defined and documented                |  |
| 13 | 3.04  | Has an Organizational Change Management Plan been approved for this project?   | Yes  | Yes  |
| 14 |   |  | No   |  |
| 15 | 3.05  | Will the agency's anticipated FTE count change as a result of implementing the project?  | Over 10% FTE count change  | Less than 1% FTE count change  |
| 16 |   |  | 1% to 10% FTE count change   |  |
| 17 |   |  | Less than 1% FTE count change  |  |
| 18 | 3.06  | Will the number of contractors change as a result of implementing the project?   | Over 10% contractor count change   | Less than 1% contractor count change   |
| 19 |   |  | 1 to 10% contractor count change   |  |
| 20 |   |  | Less than 1% contractor count change   |  |
| 21 | 3.07  | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?        | Extensive change or new way of providing/receiving services or information)      | Minor or no changes  |
| 22 |   |  | Moderate changes   |  |
| 23 |   |  | Minor or no changes  |  |
| 24 | 3.08  | What is the expected change impact on other state or local government agencies as a result of implementing the project?                | Extensive change or new way of providing/receiving services or information       | Minor or no changes  |
| 25 |   |  | Moderate changes   |  |
| 26 |   |  | Minor or no changes  |  |
| 27 | 3.09  | Has the agency successfully completed a project with similar organizational change requirements?                                       | No experience/Not recently (>5 Years)  | Recently completed project with similar change requirements                      |
| 28 |   |  | Recently completed project with fewer change requirements                        |  |
| 29 |   |  | Recently completed project with similar change requirements                      |  |
| 30 |   |  | Recently completed project with greater change requirements                      |  |

|    | B                               | C  | D  | E  |
|----|---------------------------------|--|--|--|
| 1  | Agency: Agency Name             |  | Project: Project Name  |  |
| 3  | Section 4 -- Communication Area |  |  |  |
| 4  | #                               | Criteria   | Value Options  | Answer   |
| 5  | 4.01                            | Has a documented Communication Plan been approved for this project?  | Yes  | Yes  |
| 6  |                                 |  | No   |  |
| 7  | 4.02                            | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan                                    | Routine feedback in Plan                               |
| 8  |                                 |  | Routine feedback in Plan   |  |
| 9  |                                 |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                            | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | Yes  |
| 11 |                                 |  | No   |  |
| 12 | 4.04                            | Are all affected stakeholders included in the Communication Plan?  | Yes  | Yes  |
| 13 |                                 |  | No   |  |
| 14 | 4.05                            | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Some key messages have been developed                  |
| 15 |                                 |  | Some key messages have been developed                                |  |
| 16 |                                 |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                            | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Success measures have been developed for some messages |
| 18 |                                 |  | Success measures have been developed for some messages               |  |
| 19 |                                 |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                            | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | Yes  |
| 21 |                                 |  | No   |  |

|    | B                                       | C  | D   | E   |
|----|---|--|---|---|
| 1  | Agency: Florida Department of Education |  | Project: School Choice Web Apps and Database Update   |   |
| 3  | Section 5 -- Fiscal Area                |  |   |   |
| 4  | #                                       | Criteria   | Values  | Answer  |
| 5  | 5.01                                    | Has a documented Spending Plan been approved for the entire project lifecycle?   | Yes   | Yes   |
| 6  |   |  | No  |   |
| 7  | 5.02                                    | Have all project expenditures been identified in the Spending Plan?  | 0% to 40% -- None or few defined and documented   | 41% to 80% -- Some defined and documented                                   |
| 8  |   |  | 41% to 80% -- Some defined and documented   |   |
| 9  |   |  | 81% to 100% -- All or nearly all defined and documented   |   |
| 10 | 5.03                                    | What is the estimated total cost of this project over its entire lifecycle?  | Unknown   | Between \$2 M and \$10 M  |
| 11 |   |  | Greater than \$10 M   |   |
| 12 |   |  | Between \$2 M and \$10 M  |   |
| 13 |   |  | Between \$500K and \$1,999,999  |   |
| 14 |   |  | Less than \$500 K   |   |
| 15 | 5.04                                    | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?   | Yes   | Yes   |
| 16 |   |  | No  |   |
| 17 | 5.05                                    | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Order of magnitude – estimate could vary between 10-100%                    |
| 18 |   |  | Order of magnitude – estimate could vary between 10-100%  |   |
| 19 |   |  | Placeholder – actual cost may exceed estimate by more than 100%                                       |   |
| 20 | 5.06                                    | Are funds available within existing agency resources to complete this project?   | Yes   | No  |
| 21 |   |  | No  |   |
| 22 | 5.07                                    | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency  |
| 23 |   |  | Funding from local government agencies  |   |
| 24 |   |  | Funding from other state agencies   |   |
| 25 | 5.08                                    | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Not applicable  |
| 26 |   |  | Requested but not received  |   |
| 27 |   |  | Requested and received  |   |
| 28 |   |  | Not applicable  |   |
| 29 | 5.09                                    | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | Some project benefits have been identified but not validated                |
| 30 |   |  | Some project benefits have been identified but not validated  |   |
| 31 |   |  | Most project benefits have been identified but not validated  |   |
| 32 |   |  | All or nearly all project benefits have been identified and validated                                 |   |
| 33 | 5.10                                    | What is the benefit payback period that is defined and documented?   | Within 1 year   | No payback  |
| 34 |   |  | Within 3 years  |   |
| 35 |   |  | Within 5 years  |   |
| 36 |   |  | More than 5 years   |   |
| 37 |   |  | No payback  |   |
| 38 | 5.11                                    | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?   | Procurement strategy has not been identified and documented   | Stakeholders have reviewed and approved the proposed procurement strategy   |
| 39 |   |  | Stakeholders have not been consulted re: procurement strategy   |   |
| 40 |   |  | Stakeholders have reviewed and approved the proposed procurement strategy                             |   |
| 41 | 5.12                                    | What is the planned approach for acquiring necessary products and solution services to successfully complete the project?  | Time and Expense (T&E)  | Firm Fixed Price (FFP)  |
| 42 |   |  | Firm Fixed Price (FFP)  |   |
| 43 |   |  | Combination FFP and T&E   |   |
| 44 | 5.13                                    | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Timing of major hardware and software purchases has not yet been determined |
| 45 |   |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |   |
| 46 |   |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |   |
| 47 | 5.14                                    | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager is the project manager                                     |
| 48 |   |  | Contract manager is the procurement manager   |   |
| 49 |   |  | Contract manager is the project manager   |   |
| 50 |   |  | Contract manager assigned is not the procurement manager or the project manager                       |   |
| 51 | 5.15                                    | Has equipment leasing been considered for the project's large-scale computing purchases?   | Yes   | Yes   |
| 52 |   |  | No  |   |
| 53 | 5.16                                    | Have all procurement selection criteria and outcomes been clearly identified?  | No selection criteria or outcomes have been identified  | 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   | Not applicable  |
| 60 |   |  | No, bid response did/will not require proof of concept or prototype                                   |   |
| 61 |   |  | Yes, bid response did/will include proof of concept or prototype                                      |   |
| 62 |   |  | Not applicable  |   |

|    | B                                       | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Education |  | Project: School Choice Web Apps and Database Update  |  |
| 3  | Section 6 -- Project Organization Area  |  |  |  |
| 4  | #                                       | Criteria   | Values   | Answer   |
| 5  | 6.01                                    | Is the project organization and governance structure clearly defined and documented within an approved project plan?   | Yes  | Yes  |
| 6  |   |  | No   |  |
| 7  | 6.02                                    | Have all roles and responsibilities for the executive steering committee been clearly identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 8  |   |  | Some have been defined and documented  |  |
| 9  |   |  | All or nearly all have been defined and documented   |  |
| 10 | 6.03                                    | Who is responsible for integrating project deliverables into the final solution?   | Not yet determined   | Agency   |
| 11 |   |  | Agency   |  |
| 12 |   |  | System Integrator (contractor)   |  |
| 13 | 6.04                                    | How many project managers and project directors will be responsible for managing the project?  | 3 or more  | 2  |
| 14 |   |  | 2  |  |
| 15 |   |  | 1  |  |
| 16 | 6.05                                    | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented |
| 17 |   |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |   |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06                                    | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | Yes, experienced project manager dedicated full-time, 100% to project                              |
| 20 |   |  | No, project manager is assigned 50% or less to project   |  |
| 21 |   |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |   |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07                                    | Are qualified project management team members dedicated full-time to the project   | None   | Yes, business, functional or technical experts dedicated full-time, 100% to project                |
| 24 |   |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |   |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |   |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08                                    | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Few or no staff from in-house resources  |
| 28 |   |  | Half of staff from in-house resources  |  |
| 29 |   |  | Mostly staffed from in-house resources   |  |
| 30 |   |  | Completely staffed from in-house resources   |  |
| 31 | 6.09                                    | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Moderate impact  |
| 32 |   |  | Moderate impact  |  |
| 33 |   |  | Extensive impact   |  |
| 34 | 6.10                                    | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 6.11                                    | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager  |
| 37 |   |  | No, only IT staff are on change review and control board   |  |
| 38 |   |  | No, all stakeholders are not represented on the board  |  |
| 39 |   |  | Yes, all stakeholders are represented by functional manager  |  |



|    | B                                       | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Education |  | Project: School Choice Web Apps and Database Update  |  |
| 3  | Section 7 -- Project Management Area    |  |  |  |
| 4  | #                                       | Criteria   | Values   | Answer   |
| 5  | 7.01                                    | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | Yes  |
| 6  |   |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |   |  | Yes  |  |
| 8  | 7.02                                    | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |   |  | 1-3  |  |
| 10 |   |  | More than 3  |  |
| 11 | 7.03                                    | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | All or nearly all  |
| 12 |   |  | Some   |  |
| 13 |   |  | All or nearly all  |  |
| 14 | 7.04                                    | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 15 |   |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |   |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05                                    | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 18 |   |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |   |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06                                    | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 41 to 80% -- Some are traceable  |
| 21 |   |  | 41 to 80% -- Some are traceable  |  |
| 22 |   |  | 81% to 100% -- All or nearly all requirements and specifications are traceable   |  |
| 23 | 7.07                                    | Have all project deliverables/services and acceptance criteria been clearly defined and documented?  | None or few have been defined and documented   | Some deliverables and acceptance criteria have been defined and documented   |
| 24 |   |  | Some deliverables and acceptance criteria have been defined and documented   |  |
| 25 |   |  | All or nearly all deliverables and acceptance criteria have been defined and documented  |  |
| 26 | 7.08                                    | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required   | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 |   |  | Only project manager signs-off   |  |
| 28 |   |  | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |  |
| 29 | 7.09                                    | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?  | 0% to 40% -- None or few have been defined to the work package level   | 41 to 80% -- Some have been defined to the work package level  |
| 30 |   |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |   |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10                                    | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | No   |
| 33 |   |  | No   |  |
| 34 | 7.11                                    | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 7.12                                    | Are formal project status reporting processes documented and in place to manage and control this project?  | No or informal processes are used for status reporting   | Project team uses formal processes   |
| 37 |   |  | Project team uses formal processes   |  |
| 38 |   |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13                                    | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | Some templates are available   |
| 40 |   |  | Some templates are available   |  |
| 41 |   |  | All planning and reporting templates are available   |  |
| 42 | 7.14                                    | Has a documented Risk Management Plan been approved for this project?  | Yes  | Yes  |
| 43 |   |  | No   |  |
| 44 | 7.15                                    | Have all known project risks and corresponding mitigation strategies been identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 45 |   |  | Some have been defined and documented  |  |
| 46 |   |  | All known risks and mitigation strategies have been defined  |  |
| 47 | 7.16                                    | Are standard change request, review and approval processes documented and in place for this project?   | Yes  | Yes  |
| 48 |   |  | No   |  |
| 49 | 7.17                                    | Are issue reporting and management processes documented and in place for this project?   | Yes  | Yes  |
| 50 |   |  | No   |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Education     |  | Project: School Choice Web Apps and Database Update  |  |
| 2  |   |  |  |  |
| 3  | <b>Section 8 -- Project Complexity Area</b> |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 8.01  | How complex is the proposed solution compared to the current agency systems?   | Unknown at this time   | More complex   |
| 6  |   |  | More complex   |  |
| 7  |   |  | Similar complexity   |  |
| 8  |   |  | Less complex   |  |
| 9  | 8.02  | Are the business users or end users dispersed across multiple cities, counties, districts, or regions?   | Single location  | More than 3 sites                                    |
| 10 |   |  | 3 sites or fewer   |  |
| 11 |   |  | More than 3 sites  |  |
| 12 | 8.03  | Are the project team members dispersed across multiple cities, counties, districts, or regions?  | Single location  | 3 sites or fewer                                     |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | 1 to 3 external organizations                        |
| 16 |   |  | 1 to 3 external organizations  |  |
| 17 |   |  | More than 3 external organizations   |  |
| 18 | 8.05  | What is the expected project team size?  | Greater than 15  | 9 to 15  |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | More than 4  |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Business process change in single division or bureau |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | 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   | Greater size and complexity                          |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity                          |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |

# SCHEDULE IV-B STATEWIDE STUDENT SAFETY AND SUPPORT PORTAL

For Fiscal Year 2023-24



October 11, 2022

FLORIDA DEPARTMENT OF EDUCATION

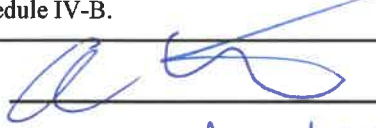
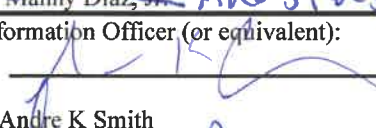
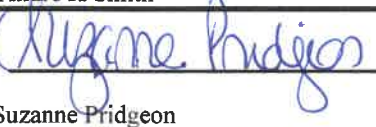
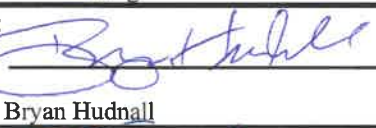
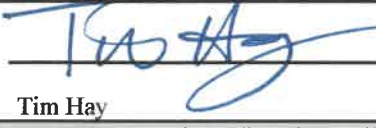
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SCHEDULE IV-B STATEWIDE STUDENT SAFETY AND SUPPORT PORTAL

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Florida Department of Education  | Schedule IV-B Submission Date:<br>August 31, 2022   |
| Project Name:<br>Statewide Student Safety and Support Portal  | Is this project included in the Agency's LRPP?<br>_____ Yes <u>  X  </u> No                                       |
| FY 2023-24 LBR Issue Code:<br>40006C0   | FY 2023-24 LBR Issue Title:<br>Statewide Student Safety and Support Portal  |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Timothy Hay, 850-245-5173, <a href="mailto:Timothy.Hay@fldoe.org">Timothy.Hay@fldoe.org</a>  |   |
| 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:<br><i>Chief of Staff</i>   | Date:<br>10/13/22   |
| Printed Name: Manny Diaz, Jr. Anastasios Konstantis   |   |
| Agency Chief Information Officer (or equivalent):<br>  | Date:<br>10/13/22   |
| Printed Name: Andre K. Smith  |   |
| Budget Officer:<br>  | Date:<br>10/13/22   |
| Printed Name: Suzanne Pidgeon   |   |
| Planning Officer:<br>  | Date:<br>10/13/22   |
| Printed Name: Bryan Hudnall   |   |
| Project Sponsor:<br>   | Date:<br>10/13/22   |
| Printed Name: Tim Hay   |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Sylvia Ifft <a href="mailto:Sylvia.Ifft@fldoe.org">Sylvia.Ifft@fldoe.org</a> 850-245-5176                         |
| Cost Benefit Analysis:  | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573 |
| Risk Analysis:  | Andre Smith, 850 245-0428, <a href="mailto:Andre.Smith@Fldoe.org">Andre.Smith@Fldoe.org</a>                       |
| Technology Planning:  | Rod King, <a href="mailto:Rod.King@fldoe.org">Rod.King@fldoe.org</a> , 850-245-0342                               |
| Project Planning:   | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573 |

## General Guidelines

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

Schedule IV-B is not required for requests to:

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

## Documentation Requirements

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

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

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

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

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

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

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

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

Since the enactment of s. [1001.212](#), F.S., the Office of Safe Schools (OSS) has developed a standardized, statewide behavioral threat assessment instrument for use by all public schools, including charter schools, which addresses early identification, evaluation, early intervention, and student support. However, the OSS lacks funding and technical support needed to integrate the threat assessment instrument into a statewide portal, as envisioned by the enacting statute.

Furthermore, there does not exist a statewide mechanism to fulfill the requirements that schools transfer records of threat assessment evaluations within three (3) days of a student transferring to another school (s. [1003.25\(2\)](#), F.S.). This is nonuniform process and the inconsistencies and lack of certainty impact students that transfer to a school in another district and need a continuity of services.

Therefore, OSS is seeking to implement a secure statewide student safety and support portal (Portal) based on the recommendations of the Threat Assessment Database Workgroup and to fulfill the requirements set forth in s. [1001.212\(13\)](#), F.S. that the system must allow authorized public school personnel to enter information related to any threat assessment conducted at their respective schools using the instrument developed by the OSS pursuant to s. [1001.212\(12\)](#), F.S. and must provide such information only to authorized personnel in each school district and public school and to appropriate stakeholders.

This portal will permit a consistent and secure method for transfer of appropriate records, as required in law, for the purposes of identifying and maintaining students' interventions and other services to support their success. The development and implementation of a secure statewide student safety and support portal will increase the secure transmission of student records from school to school and district to district, while simultaneously minimizing gaps in much needed student services.

#### 2. Business Objectives

- Create a new web-based cloud platform for collecting threat assessment data to conform to the statewide behavioral threat assessment instrument developed by the Office of Safe Schools.
- Configure access to allow authorized public-school personnel to enter information related to any threat assessment conducted at their respective schools.
- Collect and analyze quantitative data on security and threat assessments.
- Create a secured Application Programming Interface (API) w/ the Florida School Safety Portal.
- Compliance with Florida's Cybersecurity Standards, located in Florida Administrative Code Rules 60GG-2.001-2.006.
- Compliance with the Federal Educational Rights and Privacy Act (FERPA) and Health Insurance Portability and Accountability Act (HIPAA).

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

---

### B. Baseline Analysis

*Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.*



## 1. Current Business Process(es)

The statewide behavioral threat assessment instrument was developed OSS for use by all public schools, including charter schools, to address early identification, evaluation, early intervention, and student support (s. [1001.212](#), F.S.).

The statewide behavioral threat assessment instrument includes the following:

- An assessment of the threat, which includes an assessment of the student, family, and school and social dynamics.
- An evaluation to determine if the threat is transient or substantive.
- The response to a substantive threat, which includes the school response and the role of law enforcement agencies.
- The response to a serious substantive threat, including mental health and law enforcement referrals.
- Ongoing monitoring to assess implementation of safety strategies.
- Training for members of threat assessment teams established under s. [1006.07](#)(7), and school administrators regarding the use of the instrument.

The current format of the behavioral threat assessment instrument is comprised of forms provided via word document posted on OSS webpage and is not integrated into any statewide portal.

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

## 2. Assumptions and Constraints

Section [1003.25](#)(2), F.S. requires that transfer of student records that include verified reports of serious or recurrent behavior patterns, including threat assessment evaluations and intervention services and psychological evaluations, including therapeutic treatment plans and therapy or progress notes created or maintained by school district or charter school staff, shall occur within 3 school days of a student transferring to another school.

- There does not exist a statewide mechanism to fulfill the requirements that schools transfer records of threat assessment evaluations within three (3) days of a student transferring to another school (s. [1003.25](#)(2), F.S.). This is nonuniform process and the inconsistencies and lack of certainty impact students that transfer to a school in another district and need a continuity of services.

Districts are required to adopt policies for the establishment of threat assessment teams at each school whose duties include the coordination of resources and assessment and intervention with individuals whose behavior may pose a threat to the safety of school staff or students consistent with the model policies developed by the OSS.

Threat assessment teams are required to report quantitative data on its activities to OSS in accordance with guidance from OSS and shall utilize the threat assessment database developed pursuant to s. [1001.212](#)(13) upon the availability of the database (s. [1006.07](#)(7), F.S.).

- School districts currently collect quantitative threat assessment data from each school and manually report the number of transient and substantive threats to the OSS.

This Portal will permit a consistent and secure method for transfer of appropriate records, as required in law, for the purposes of identifying and maintaining students' interventions and other services to support their success. The development and implementation of a secure statewide student safety and support portal will increase the secure transmission of student records from school to school and district to district, while simultaneously minimizing gaps in much needed student services.

## Proposed Business Process Requirements

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

### 1. Proposed Business Process Requirements

The Portal must be implemented in a cloud-based environment to collect data elements as listed in the threat

## SCHEDULE IV-B STATEWIDE STUDENT SAFETY AND SUPPORT PORTAL

assessment instrument, within the school district that the student resides. In order to facilitate a statewide behavior assessment solution, this portal should have the following core functionality:

- Generate standard and customize reports;
- Include workflows for routing and approving threat assessments;
- Ability to move threat assessment data from one district to another district;
- Web-based interfaces for users to add or edit threat assessment and response data as needed;
- Secured Application Programming Interface (API) connecting to the Florida School Safety Portal;
- Ability to upload or connect current staff and student information; and
- Provision of online support capabilities, training and assistance for users in various media platforms.

The Portal must allow state and local agencies to share information and records with one another, as long as the information is reasonably necessary to ensure access to services or to ensure the safety of the student or others while remaining in compliance with federal privacy laws.

Finally, it is critical to consolidate the threat assessment data within current tools leveraged by threat assessment teams to simplify and ensure efficient processes when protecting students in Florida.

### 2. Business Solution Alternatives

The department examined three alternatives to meet the business goals of the Portal solution:

- Develop a custom solution in-house
- Outsource a stand-alone custom solution
- Deploy a Commercial Off-the-shelf COTS solution

### 3. Rationale for Selection

In considering the advantages and disadvantages of each alternative, the department also considered the following factors in making a selection:

- Usability
- Maintainability
- Scalability
- Data management
- Security
- Cost
- Risk

### 4. Recommended Business Solution

FDOE recommends outsourcing a custom solution to be used by the threat assessment team. An outsourced custom solution will provide OSS flexibility to ensure that the unique requirements for this solution are met through a usable, cost efficient, and secure solution.

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

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## C. Functional and Technical Requirements

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

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

**SCHEDULE IV-B STATEWIDE STUDENT SAFETY AND SUPPORT PORTAL**

See attached report: “*Statewide Threat Assessment Database Workgroup Recommendations Report (2019)*”

**III. Success Criteria**

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

| SUCCESS CRITERIA TABLE |  |   |  |                          |
|------------------------|--|---|--|--------------------------|
| #                      | Description of Criteria  | How will the Criteria be measured/assessed?   | Who benefits?  | Realization Date (MM/YY) |
| 1                      | Build standard and customize reports   | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools.   | OSS<br>Public school districts<br>School-based threat assessment teams | August 2025              |
| 2                      | Build workflows for routing and approving threat assessments   | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools.   | School-based threat assessment teams                                   | August 2025              |
| 3                      | Establish capability and procedures to move threat assessment data from one district to another district | Procedures provided to and accepted by the Office of Safe Schools, and acceptance testing of functionality performed by the Office of Safe Schools. | School-based threat assessment teams                                   | August 2025              |
| 4                      | Web-based interfaces for users ensures connectivity through Single Sign On credentials                   | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools.   | OSS<br>Public school districts<br>School-based threat assessment teams | August 2025              |
| 5                      | Ability to add and edit threat assessment and response data as needed                                    | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools.   | School-based threat assessment teams                                   | August 2025              |
| 6                      | Secure Application Programming Interface (API) connecting to the Florida School Safety Portal            | Demonstrated by the contracted provider.  | OSS<br>Public school districts<br>School-based threat assessment teams | August 2025              |

**SCHEDULE IV-B STATEWIDE STUDENT SAFETY AND SUPPORT PORTAL**

| SUCCESS CRITERIA TABLE |  |   |  |             |
|------------------------|--|---|--|-------------|
| 7                      | Ability to upload or connect current staff and student information                                     | Demonstrated by the contracted provider.  | Public school districts<br>School-based threat assessment teams        | August 2025 |
| 8                      | Provision of online support capabilities, training and assistance for users in various media platforms | Demonstrated by the contracted provider and accepted by the Office of Safe Schools. | OSS<br>Public school districts<br>School-based threat assessment teams | August 2025 |

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

**A. Benefits Realization Table**

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

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

| BENEFITS REALIZATION TABLE |  |  |  |  |                          |
|----------------------------|--|--|--|--|--------------------------|
| #                          | Description of Benefit   | Who receives the benefit?  | How is benefit realized?   | How is the realization of the benefit measured?                              | Realization Date (MM/YY) |
| 1                          | Digitizing the standardized, statewide behavioral threat assessment instrument developed by the Office of Safe Schools | OSS<br>Public school districts<br>School-based threat assessment teams | Increases availability of information to school-based and district threat assessment teams and provides capability for meaningful qualitative and quantitative analysis. | Reduction of time required to conduct quantitative analysis.                 | August 2025              |
| 2                          | Build workflows for routing and approving threat assessments   | School-based threat assessment teams                                   | Automates and digitally archives the approval work flow and ensures a  | Providing a statewide standard for tracking user access to data, measured by | August 2025              |

SCHEDULE IV-B STATEWIDE STUDENT SAFETY AND SUPPORT PORTAL

| BENEFITS REALIZATION TABLE |  |   |   |  |             |
|----------------------------|--|---|---|--|-------------|
|                            |  |   | consistent process is followed.   | number of users accessing the system or API calls to local systems.  |             |
| 3                          | Establish capability and procedures to move threat assessment data from one district to another district | School-based threat assessment teams  | Automates and digitally archives the transfer of threat assessments between teams, schools and districts.                             | Providing a statewide standard for tracking user access to data, measured by number of active users and audit and activity logs.                 | August 2025 |
| 4                          | Web-based interfaces for users ensures connectivity through Single Sign On credentials                   | OSS<br>Public school districts<br>School-based threat assessment teams                    | Gives districts greater control and accountability for user access to the information.  | Providing a statewide standard for tracking user access to data, measured by number of active users and audit and activity logs.                 | August 2025 |
| 5                          | Ability to add, delete and edit threat assessment and response data as needed.                           | School-based threat assessment teams  | Gives threat assessment teams flexibility in updating threat assessment data and complying with retention schedules and requirements. | Reduction of time required to add, delete and edit threat assessment and response data as needed.  | August 2025 |
| 6                          | Secure Application Programming Interface (API) connecting to the Florida School Safety Portal            | Office of Safe Schools<br>Public school districts<br>School-based threat assessment teams | Drives threat assessment teams to the Florida School Safety that threat assessment teams should use when conducting the               | Providing a statewide standard for tracking user access to data, measured by number of users accessing the system or API calls to local systems. | August 2025 |
| 7                          | Ability to upload or connect current staff and student information                                       | Public school districts<br>School-based threat assessment teams                           | Automates connectivity between staff and student  | Providing a statewide standard for tracking user   | August 2025 |

**SCHEDULE IV-B STATEWIDE STUDENT SAFETY AND SUPPORT PORTAL**

| BENEFITS REALIZATION TABLE |  |  |  |   |             |
|----------------------------|--|--|--|---|-------------|
|                            | systems  |  | information systems.   | access to data, measured by API calls to local systems.       |             |
| 8                          | Provision of online support capabilities, training and assistance for users in various media platforms | OSS<br>Public school districts<br>School-based threat assessment teams | Provides a central repository for online training and support. | Measured by number of users accessing the training materials. | August 2025 |

**B. Cost Benefit Analysis (CBA)**

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

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

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

**V. Schedule IV-B Major Project Risk Assessment**

*Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary*

**SCHEDULE IV-B STATEWIDE STUDENT SAFETY AND SUPPORT PORTAL**

*identifies the overall level of risk associated with the project and provides an assessment of the project's alignment with business objectives.*

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

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

## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System

The Statewide Student Safety and Support Portal currently does not exist.

#### 2. Information Technology Standards

The Statewide Student Safety and Support Portal will be architected and implemented based on the information technology standards defined in F.A.C. Chapter 60GG-2 and best practices.

### B. Current Hardware and/or Software Inventory

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

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### C. Proposed Technical Solution

#### 1. Technical Solution Alternatives

Building within the current shared resources at NWRDC or building within a cloud solution are the two technical solution alternatives for this initiative

#### 2. Rationale for Selection

In compliance s. 282.06, F.S., Florida Department of Education (FDOE) has adopted a cloud-first policy to show preference towards cloud-computing solutions.

#### 3. Recommended Technical Solution

FDOE recommends to outsource a custom solution for the Portal within a cloud-hosted environment to enable flexibility to ensure the unique requirements for this solution as outlined in Florida law, rule and recommended by the Workgroup are met.

### D. Proposed Solution Description

#### 1. Summary Description of Proposed System

Deploy a secure cloud-based solution for conducting student threat assessments and managing responses to the highest-priority threats in each district, regardless of its size, geographic location or demographic makeup with the following functional capabilities and features:

- Web/mobile application for conducting student threat assessments;
- Secure, privacy-protected statewide threat assessment data repository;
- Threat response management system;
- Custom reporting functionality; and
- Robust user access and management controls.



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

Fund \$4M through general revenue to expand an existing tool to incorporate statewide behavioral threat assessment reporting and analytical support:

1. Implement the recommendations of the Threat Assessment Database Workgroup (s. 1001.212(13), F.S.);
2. Enhance Office of Safe School's analytical capabilities; and
3. Project management and oversight.

### Budget:

Year one: \$4,000,000; Year two and annually thereafter: \$2,000,000. These costs were based on the evaluation conducted by the Threat Assessment Database Workgroup.

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

- Total threat assessments conducted in K-12 schools for the 2019-2020 school year: 17,843.
- Total threat assessments conducted in K-12 schools for the 2020-2021 school year: 14,019.
- Number of public K-12 school campuses as of January 2022: 3,792.
- Minimum number of required threat assessment team members per school (s. 1006.07(9), F.S.): 4.

## VII. Schedule IV-B Project Management Planning

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

Project management plan and any associated planning tools/documents attachment.

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

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## VIII. Appendices

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

See attached:

- Statewide Threat Assessment Database Workgroup Recommendations Report (2019)
- Risk Assessment
- Cost Benefit Analysis
- Project Plan

Florida Department of Education

Statewide  
Threat Assessment  
Database  
Workgroup  
Recommendations  
Report

Report Recommendations for the Statewide Threat  
Assessment Database Workgroup per  
Section 1001.212, Florida Statutes

Office of Safe Schools  
12/31/19

Prepared for:

The Honorable Ron DeSantis  
Governor of the State of Florida

The Honorable Bill Galvano  
President of the Florida Senate

The Honorable Jose R. Oliva  
Speaker of the Florida House of Representatives

Statewide Threat Assessment  
Database Workgroup  
Recommendations  
Section 1001.212, Florida Statutes  
December 31, 2019

## **Introduction**

In the wake of the tragic shooting at Marjory Stoneman Douglas High School that took the lives of 17 Florida students and educators, the 2018 Florida Legislature passed, and the Governor signed, Senate Bill 7026, known as the Marjory Stoneman Douglas High School Public Safety Act. This legislation introduced sweeping changes to Florida law designed to increase school safety. These changes included creating the Office of Safe Schools within the Department of Education (“department”), establishing the Marjory Stoneman Douglas High School Public Safety Commission, providing the FortifyFL mobile suspicious activity reporting tool to districts, and requiring safe-school officers to be assigned to all public schools.

Senate Bill 7026 also required each district school board to establish threat assessment teams at all public schools for coordination of resources and intervention with individuals whose behavior may pose a threat to the safety of students and staff. Threat assessment teams are required to include persons with expertise in counseling, instruction, school administration, and law enforcement. Districts have discretion to add other school or community-based partners to the team, as needed. In 2019, the requirement to have a threat assessment team at each school was expanded to include all charter schools.

In addition, Senate Bill 7026 required the Department of Education, in coordination with the Department of Law Enforcement, to provide a centralized integrated data repository and data analytics resources to school districts in order to improve access to information. The repository was required to integrate data from social media, the Department of Children and Families, the Department of Law Enforcement, the Department of Juvenile Justice, and local law enforcement. To satisfy this requirement, the Department of Education created the Florida Schools Safety Portal, which provides threat assessment teams with access to information from several sources to facilitate the threat assessment process. The Department of Education also procured a social media monitoring tool, which is available to school districts at no cost.

In 2019, the Florida Legislature passed, and the Governor signed, Senate Bill 7030, which implemented recommendations made by the Marjory Stoneman Douglas High School Public Safety Commission. Senate Bill 7030 required the Department of Education to develop a standardized, statewide behavioral threat assessment instrument for use by all public schools, including charter schools, for the purpose of addressing early identification, evaluation, early intervention and student support. The Office of Safe Schools adopted the Comprehensive School Threat Assessment Guidelines (CSTAG) Threat Assessment and

Response Protocol as Florida's standardized behavioral threat assessment instrument. All public schools are required to use the CSTAG when conducting a threat assessment.

The CSTAG is an evidence-based threat assessment model developed by Dr. Dewey Cornell and the University of Virginia that is viewed nationally as the most thorough and comprehensive model for performing threat assessments in schools. During the summer of 2019, the Department of Education brought Dr. Cornell to Florida where he provided training in the CSTAG process to representatives from almost all school districts in a train-the-trainer format.

Senate Bill 7030 created section 1001.212(13), F.S., which directs the Florida Department of Education's Office of Safe Schools to establish a Statewide Threat Assessment Database Workgroup, composed of members appointed by the department, to complement the work of the department and the Department of Law Enforcement associated with the centralized integrated data repository and data analytics resources initiative and to make recommendations regarding the development of a statewide threat assessment database. The database must allow authorized school personnel to enter information related to any threat assessment conducted at their respective schools using the instrument developed by the Office of Safe Schools, and must provide such information to authorized personnel in each school district and public school and to appropriate stakeholders.

Section 1001.212(13), F.S., requires the workgroup to provide a report by December 31, 2019, with recommendations that include, but need not be limited to:

- a. Threat assessment data that should be required to be entered into the database.
- b. School district and public school personnel who should be allowed to input student records to the database and view such records.
- c. Database design and functionality, to include data security.
- d. Restrictions and authorities on information sharing, including:
  1. Section 1002.22, F.S., and other applicable state laws.
  2. The Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. § 1232g, 42 C.F.R. part 2; the Health Insurance Portability and Accountability Act (HIPAA), 42 U.S.C. § 1320d-6, 45 C.F.R. part 164, subpart E; and other applicable federal laws.
  3. The appropriateness of interagency agreements that will allow law enforcement to view database records.
- e. The cost to develop and maintain a statewide online database.
- f. An implementation plan and timeline for the workgroup recommendations.

## **A. Threat assessment data that should be required to be entered into the database.**

Senate Bill 7030 established an August 1, 2019 deadline for the Florida Department of Education's Office of Safe Schools to develop a standardized, statewide behavioral threat assessment instrument for use by all public schools, including charter schools, for the purpose of addressing early identification, evaluation, early intervention and student support. In meeting this requirement, the Office of Safe Schools adopted the Comprehensive School Threat Assessment Guidelines (CSTAG) Threat Assessment and Response Protocol as Florida's standardized behavioral threat assessment instrument. The CSTAG instrument is attached at Exhibit A.

The CSTAG leads threat assessment teams through a process framed within a 5-step "School Threat Assessment Decision Tree" from evaluating threats or behaviors that may pose a threat to implementing and monitoring a safety plan. Each step throughout this process is critical in determining the seriousness of the threat and appropriate responses that should be considered. The decision tree is summarized below:

### **Step 1 – Evaluate the threat.**

- The first step is for the threat assessment team to obtain a detailed account of the threat by interviewing the person who made the threat, the intended victim, and other witnesses.
- In evaluating the threat, the team should consider the circumstances in which the threat was made and the person's intentions. The key question is whether there is a communication of intent to harm someone or behavior suggesting an intent to harm someone else?
- If the answer to the question is no, then there is not a threat and the rest of the decision tree does not need to be completed. Even if no threat is present, concerning statements or behaviors may still merit attention, intervention, or services, as determined by the threat assessment team.
- If the answer to the question is yes, then proceed to Step 2.

### **Step 2 – Attempt to resolve the threat as transient.**

- A transient threat is one where there is not a sustained intent to harm. Transient threats are often made in the heat of the moment and may be an expression of humor, rhetoric, anger, or frustration that can be easily resolved with an apology, retraction, or explanation by the person who made the threat.
- The critical question in determining if a threat is transient is whether the person intends to carry out the threat.
- If a threat is determined to be transient, it should be quickly resolved. The threat assessment team may require disciplinary action and/or refer to school or community-based resources, as appropriate.
- If the threat cannot be resolved as transient, then the team must proceed to Step 3.

### **Step 3 – Respond to a substantive threat.**

- A substantive threat is one where an intent to harm someone is present or not clear. When in doubt, a threat should be considered substantive.
- Substantive threats may be serious, meaning a threat to hit, fight, or beat up someone else, or very serious, meaning a threat to kill, rape, or cause very serious injury with a weapon.
- All substantive threats require threat assessment teams to take immediate action to protect others, reduce the risk of violence, and manage the situation, including:
  - Taking precautions to protect potential victims;
  - Warning the intended victim and parents;
  - Looking for ways to resolve conflict; and
  - Disciplining the student, when appropriate.

### **Step 4 – Conduct a safety evaluation for a very serious substantive threat.**

- In addition to the immediate precautions listed above in Step 3, serious substantive threats require further investigation and interventions. A student making a very serious substantive threat may be briefly placed elsewhere or suspended pending completion of the following:
  - Screening the student for mental health services and referral as needed;
  - Contacting law enforcement to investigate evidence of planning and preparation or criminal activity; and
  - Developing a safety plan that reduces risk and addresses student needs. The plan should include review of Individual Educational Plan if the student is already receiving special education services and further assessment if there is a possible disability.

### **Step 5 – Implement and monitor the safety plan.**

- The safety plan should be documented and should include regular contact with the student. Threat assessment teams should continue to monitor whether the plan is working and revise as needed.

As behavioral threat assessment teams work through the process, key information should be collected and documented as part of the assessment. Depending on the nature of the threat, this information may include completion of some or all of the CSTAG tool, such as:

- Threat Report – includes initial summary information that begins the threat assessment process.
- Assessment Findings – includes a review of various sources of information and relevant findings, as needed. Sources of information reviewed by the team may include, but are not limited to:
  - Prior threats
  - Prior disciplinary records
  - Academic records (grades, attendance, assignments, etc.)
  - Special education records (Individual Education Plan or Section 504 Plans)
  - Other records (social media, etc.)
  - Records from other schools

- Health or mental health records (school or community-based providers)
- Records from outside agencies (social services or mental health)
- Law enforcement records (adult and juvenile criminal history, contacts, firearm purchases, etc.)
- Employment records (grievances, disciplinary actions, Title IX, etc.)
- Interviews – notes from interviews include key information obtained from interviews of the student or person making the threat, the intended victims or target of the threat and other witnesses.
- Key Observations – Factors for consideration are presented in a checkbox format that is designed to help teams assess whether a threat is transient or substantive.
- Threat Classification – No threat, transient, serious or very serious substantive.
- Observations Suggesting Need for Intervention – This is used as needed for intervention planning. The factors to consider are listed in a checkbox format that helps teams identify possible interventions to assist the subject and reduce risk.
- Threat Response – list of actions taken in response to a threat. This may also include notes on actions recommended, but for some reason not completed or implemented.
- Case Plan Summary – This section is used to summarize how the case was resolved and may include any plans for further actions.
- Mental Health Assessment – Generally conducted in cases involving a very serious substantive threat, although may be completed in other cases as determined by the threat assessment team. The purpose of the mental health assessment is to maintain the safety and well-being of the student and others. The goal of the mental health assessment is to determine the student’s treatment and referral needs, and to identify strategies or interventions that may reduce the risk of violence.
- Behavior Intervention Plan – Only done as needed. These plans are designed to identify behaviors impeding learning of the student or others and strategies to respond to those problematic behaviors and to support positive behaviors.

**Recommendation:** The CSTAG Threat Assessment Response Protocol attached at Exhibit A has been provided to school districts and is available to districts on the Office of Safe Schools’ website. The CSTAG protocol should serve as the basis for the statewide threat assessment database. The workgroup recommends that information required by the CSTAG protocol should be required to be entered into the database for all threats reported to threat assessment teams, including those that are transient or determined not to be a threat. As described above, all parts of the CSTAG instrument are not required in all cases.

**B. School district and public school personnel who should be allowed to input student records to the database and view such records.**

Senate Bill 7026 required the establishment of threat assessment teams at each school, which must include persons with expertise in counseling, instruction, school administration, and law enforcement. In 2019, this requirement was expanded to require threat assessment teams at charter schools. In some cases, particularly those involving serious and very serious substantive threats, the assessment process may involve higher-level consultation with select school district administration, as well as others representing



other perspectives of threat assessment expertise. Some districts have established dedicated district-level threat assessment teams to facilitate this process.

**Recommendation:** Due to the sensitive nature of information reviewed, collected, and discussed through the work of the threat assessment teams, careful consideration must be taken in determining those involved with inputting and viewing student records as part of the threat assessment database. Access to these records should be limited in order to protect student privacy and limit opportunities for exposure of sensitive information. Therefore, the workgroup recommends that the ability to input information or view records in the statewide threat assessment database should be limited to members of a school or district-level threat assessment team that are considered school officials, as defined by the Federal Educational Rights and Privacy Act (FERPA). Members of the threat assessment team that are not school or district employees, such as law enforcement officers or mental health professionals, can qualify as school officials if certain conditions are met. This recommendation is consistent with the structure of the Florida Schools Safety Portal, access to which is also limited to members of a school or district-level threat assessment team.

### **C. Database design and functionality, to include data security.**

**Recommendation:** From a design standpoint, the workgroup recommends that the database be implemented in a cloud-based environment to collect data elements as listed in the threat assessment instrument, within the school district that the student resides. In order to facilitate a statewide behavior assessment solution, this database should have the following core functionality:

- Generate standard and customize reports;
- Workflows for routing and approving threat assessments;
- Ability to move threat assessment data from one district to another district;
- Web-based interfaces for users;
- Ability to add, delete and edit threat assessment and response data as needed;
- Secure Application Programming Interface (API) connecting to the Florida School Safety Portal;
- Ability to upload or connect current staff and student information; and
- Provision of online support capabilities, training and assistance for users in various media platforms.

In order to secure the data within the database, the solution should be compliant with Florida's Cybersecurity Standards, located in Florida Administrative Code Rules 60GG-2.001-2.006. These rules are modeled after the National Institute of Standards and Technology (NIST) Framework for Improving Critical Infrastructure Cybersecurity, Version 1.1, and the Federal Information Security Management of 2002 (44 U.S.C. § 3541 et seq.). The rules establish minimum standards used by state agencies to secure and protect information technology resources and consist of five high-level functions: identify, protect, detect, respond, and recover. In addition, the workgroup recommends the development of

standardized data access and use agreements for members of threat assessment teams to sign before getting access to the database, which will acknowledge their duties to protect information consistent with FERPA and other applicable laws.

#### **D. Restrictions and authorities on information sharing.**

Threat assessment teams should determine on a case-by-case basis when it is necessary to review records and gather additional information in order to get a complete picture of what is driving a person's behavior and to determine what interventions are needed. A records review should be conducted in all cases of very serious substantive threats, and may be valuable in other cases as determined by the team.

Depending on the type of record at issue, there are many federal and state laws which affect the threat assessment team's ability to access and share information. These considerations may inform decisions made on the front end about what information should be documented in the threat assessment record. However, once information is added to the CSTAG instrument, access and disclosure of the threat assessment record must comply with the Federal Educational Rights and Privacy Act (FERPA)<sup>1</sup>, as discussed below.

##### **1. Section 1002.22, F.S. and other applicable state laws.**

Changes made to Florida law as a part of Senate Bill 7026 allow for broad information sharing among agencies and local partners that provide services to students. Section 1006.07(7), F.S., states:

**(d) Notwithstanding any other provision of law, all state and local agencies and programs that provide services to students experiencing or at risk of an emotional disturbance or a mental illness, including the school districts, school personnel, state and local law enforcement agencies, the Department of Juvenile Justice, the Department of Children and Families, the Department of Health, the Agency for Health Care Administration, the Agency for Persons with Disabilities, the Department of Education, the Statewide Guardian Ad Litem Office, and any service or support provider contracting with such agencies, may share with each other records or information that are confidential or exempt from disclosure under chapter 119 if the records or information are reasonably necessary to ensure access to appropriate services for the student or to ensure the safety of the student or others. All such state and local agencies and program shall communicate, collaborate, and coordinate efforts to serve such students.**

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<sup>1</sup> For purposes of this report, the workgroup assumed that the majority of threat assessments done in the school context will be in situations where a student is the subject of the assessment, but this may not always be the case. The CSTAG protocol is applicable to threats by non-students. While FERPA does not apply to threat assessment records that are not directly related to a student, the workgroup recommends that all records entered into the statewide database be subject to the same privacy protections. This will allow for consistency in the handling of records and limits the potential exposure of sensitive information.

Section 1006.07(7)(d), F.S. (emphasis added). Thus, state and local agencies are directed to work together to serve students who are experiencing or at risk of an emotional disturbance or mental illness. In addition, the workgroup reads this section to permit these entities to share information and records with one another, as long as the information is reasonably necessary to ensure access to services or to ensure the safety of the student or others, no matter what restrictions may be stated elsewhere in state law.<sup>2</sup> Agencies sharing information must still comply with federal laws, which will be discussed in detail in the next section.

Section 1002.22(2), F.S., states that the rights of students and their parents with respect to education records created, maintained, or used by public educational institutions and agencies shall be protected in accordance with FERPA, 20 U.S.C. § 1232g, and the implementing regulations issued pursuant thereto. FERPA is a federal law that governs access to and re-disclosure of all education records, including the CSTAG instrument anticipated to be maintained in the statewide threat assessment database. Notably, Florida provides for a private right of action for parents and students to seek injunctive relief if they believe FERPA has been violated. § 1002.22(4), F.S.

**2. The Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. § 1232g, 42 C.F.R. part 2; the Health Insurance Portability and Accountability Act (HIPAA), 42 U.S.C. § 1320d6, 45 C.F.R. part 164, subpart E; and other applicable federal laws.**

While Florida law allows for broad information sharing among agencies in order to promote safety and provide services to students, state agencies and local entities that maintain records governed by federal law must still comply with those requirements. The federal restrictions on information sharing that are likely to impact the threat assessment process are outlined below.

**FERPA:** Education records maintained by school districts provide much of the information relevant to a threat assessment where the subject is a student. FERPA provides parents and eligible students (those who are 18 or older or attend a postsecondary institution) the right to review educational records, to limit disclosure of those records, and to challenge the information contained in those records. 20 U.S.C. § 1232g, 34 C.F.R. Part 99. FERPA applies to all educational institutions or agencies that receive federal funds from any program administered by the U.S. Department of Education.

FERPA applies only to education records and information derived from those records. “Education records” are defined as records that are (1) directly related to a student and (2)

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<sup>2</sup> State laws governing the privacy of records include, but are not limited to: § 39.00145 and § 39.202, Fla. Stat. (relating to child welfare records); § 394.463 and § 394.4615, Fla. Stat. (relating to mental health records); § 395.3025, Fla. Stat. (relating to hospital records); § 456.057, Fla. Stat. (relating to medical records), § 456.059, Fla. Stat. (relating to communications to a psychiatrist), and § 985.04 and § 943.053, Fla. Stat. (relating to juvenile criminal history records).

maintained by an educational agency or institution or by a party acting for the agency or institution. 34 C.F.R. § 99.3 (definition of “education records”). This encompasses most records held by school districts, such as grades, transcripts, course schedules, and disciplinary records. In most cases, student health and mental health records also qualify as education records.

Law enforcement unit records, which are created and maintained by the educational agency’s or institution’s law enforcement unit for a law enforcement purpose, are excluded from the definition of education records under FERPA. 34 C.F.R. §§ 99.3 (definition of “education records”) and 99.8. Records that meet this definition can be disclosed without consent. However, if the law enforcement unit records are maintained by a different unit at the school, or used for a non-law enforcement purpose (such as discipline), those records would be treated as education records subject to FERPA disclosure requirements.

All education records that contain personally identifiable information (PII) are subject to FERPA restrictions on access and disclosure. First, keep in mind that PII contained in education records can be disclosed with the consent of the parent or eligible student. Otherwise, generally, education records cannot be disclosed without consent of the parent or eligible student. However, an educational agency or institution may disclose PII from an education record without consent, if the disclosure meets one of the exceptions listed in 20 U.S.C. § 1232(g)(b) and (h)-(j) and 34 C.F.R. § 99.31. The exceptions most relevant to threat assessment are:

- **School Officials:** Educational agencies or institutions may disclose PII without consent to other school officials within the agency or institution that have a legitimate educational interest in the information. 34 C.F.R. § 99.31(a)(1). Information disclosed under this exception may only be used for the purpose for which the disclosure was made. Educational agencies and institutions must explain who is considered a school official and must explain how they define “legitimate educational interest” in an annual FERPA notification to parents and eligible students. 34 C.F.R. § 99.7(a)(3)(iii). Members of a threat assessment team who are not school or district employees (such as mental health professionals or law enforcement officers) may qualify as school officials if they:
  - Perform an institutional service or function for which the agency or institution would otherwise use employees;
  - Are under the direct control of the agency or institution with respect to the use and maintenance of education records;
  - Are subject to the requirements in § 99.33(a) that the personally identifiable information (PII) from education records may be used only for the purposes for which the disclosure was made and are also subject to requirements governing the re-disclosure of PII from education records.
- **Court Order or Subpoena:** Educational agencies and institutions may disclose PII from education records without consent in order to comply with judicial orders and

lawfully issued subpoenas. In most cases, an educational agency or institution is required to make a “reasonable effort” to notify the parent or eligible student of the order or subpoena before compliance. 34 C.F.R. § 99.31(a)(9).

- **Health or Safety Emergency:** Educational agencies or institutions may disclose PII from education records without consent if the disclosure is in connection with a health or safety emergency. 34 C.F.R. § 99.31(a)(10). If the school or district determines there is an articulable and significant threat to the health or safety of a student or others, and that one or more parties, including the parents of an eligible student, need education records (or PII contained in those records) in order to protect the student or others, then the school or district may disclose that information without consent. 34 C.F.R. § 99.36(a). This exception is limited to the period of the emergency and does not allow for a blanket release of information.

**IDEA:** The Individuals with Disabilities Education Act (IDEA) provides privacy protections for students with disabilities. The protections in IDEA Part B and C generally align with FERPA, and in some cases, directly adopt FERPA into the regulations. 34 C.F.R. §§ 300.610-627, 34 C.F.R. §§ 303.401-417.

**HIPAA:** Generally, HIPAA does not apply to medical or mental health records maintained by a school or district. The Health and Insurance Portability and Accountability Act (HIPAA) Privacy Rule governs the use and disclosure of an individuals’ protected health information (PHI). However, HIPAA only applies to “covered entities,” which are defined as health plans, health care clearing houses, and health care providers who conduct certain financial and administrative transactions electronically, such as billing and fund transfers, as well as business associates of those covered entities that are contracted to perform some of the covered entity’s functions. 45 C.F.R. § 160.103 (definition of “covered entity”). Most school districts and K-12 schools are not covered entities. Even where they do meet the definition of a covered entity, schools generally do not maintain records that are considered PHI. The HIPAA regulations state that if health information is maintained in records that meet the definition of “education records” under FERPA, those records are excluded from the definition of “protected health information.” 45 C.F.R. § 160.103.

While HIPAA does not apply to most elementary and secondary schools, it does apply to other agencies that are covered entities, such as the Department of Children and Families and the Agency for Health Care Administration, as well as local managing entities, behavioral health providers, hospitals, and private medical offices. These entities must comply with the HIPAA Privacy Rule with respect to any identifiable information it has about those to whom they provide or pay for health care, and these restrictions may inform what these entities can disclose to threat assessment teams. PHI can be disclosed to the individual who is the subject of the information or to a minor’s parent, when such disclosure is not inconsistent with state or other law. 45 C.F.R. § 164.502(g)(3).

HIPAA permits the disclosure of PHI with the patient’s or the patient’s parent or legal representative’s consent. PHI may also be disclosed without consent for treatment, payment, and healthcare operations, which includes care coordination. 45 C.F.R. §§

164.501, 164.506. Additional exceptions that allow the release of PHI without consent include:

- **Court Order or Subpoena:** A covered entity may disclose PHI in the course of any judicial or administrative proceeding in response to a court order or an order of an administrative tribunal. PHI may also be disclosed in response to a subpoena or discovery request, or other lawful process, without an order, if the covered entity receives assurance that reasonable efforts were made to provide notice to the person who was the subject of the PHI or notice that reasonable efforts have been made to secure a protective order. 45 C.F.R. § 164.512(e).
- **Serious Threat to Health or Safety:** A covered entity may use or disclose PHI if the entity, in good faith, believes that the use or disclosure is necessary to prevent or lessen a serious and imminent threat to the health or safety of a person or the public, and disclosure is to a person or persons reasonably able to prevent or lessen the threat, including the target of the threat. 45 C.F.R. § 164.512(j). Disclosure under this exception is also permitted based on reliance on a credible representation from a person with apparent knowledge or authority that the disclosure of information is necessary to prevent or lessen a serious and imminent threat to the health and safety of the patient or others and where the disclosure is to persons reasonably able to prevent or lessen the threat. 45 C.F.R. § 164.512(j)(4).
- **Law Enforcement Purposes:** A covered entity may disclose PHI for a law enforcement purpose to a law enforcement official under the following circumstances: (1) as required by law (including court orders, court-ordered warrants, subpoenas) and administrative requests; (2) to identify or locate a suspect, fugitive, material witness, or missing person; (3) in response to a law enforcement official's request for information about a victim or suspected victim of a crime; (4) to alert law enforcement of a person's death, if the covered entity suspects that criminal activity caused the death; (5) when a covered entity believes that protected health information is evidence of a crime that occurred on its premises; and (6) by a covered health care provider in a medical emergency not occurring on its premises, when necessary to inform law enforcement about the commission and nature of a crime, the location of the crime or victims, and the perpetrator of the crime. 45 C.F.R. § 164.512(f).

While HIPAA privacy regulations may limit what information the threat assessment team has access to, it is important to understand that once the information is in the hands of the school, HIPAA no longer applies. For example, mental health records maintained by a private physician are subject to HIPAA requirements. If those same records are provided to a school counselor or other school officials in connection with the development of an Individualized Education Plan, the copy maintained by the school would constitute an education record governed by FERPA that may be available to the threat assessment team. The copy of that record maintained by the school is an education record governed by FERPA, and not HIPAA.

A person who knowingly uses a unique health identifier, obtains individually identifiable health information relating to an individual, or discloses individually identifiable health information to another person is subject to penalties under federal law, including substantial fines and prison time. 42 U.S.C. § 1320d-6. In order for this section to apply, the information must be maintained by a covered entity and then obtained or disclosed without authorization. While other agencies will need to comply with HIPAA in order to lawfully provide information to threat assessment teams, as discussed above, once the school has information lawfully provided by a HIPAA covered entity, the record maintained by the school is subject to FERPA regulations. Thus, section 42 U.S.C. § 1320d-6 should not affect access to the statewide threat assessment database.

**Substance Abuse Records:** Substance abuse patient records are subject to a higher level of protection under federal law. These records can only be disclosed without consent for (a) medical emergencies where prior consent cannot be obtained; (b) for research; or (c) for audit and evaluation. 42 C.F.R. § 2.51-2.53. Records may also be released in response to a subpoena, but only where a court has issued an order compelling disclosure. 42 C.F.R. § 2.61. No general health and safety exception is provided. Threat assessment teams would likely need a court order to access substance abuse records. Such an order would, presumably, inform circumstances under which the team could disclose the information in those records to others. Given the heightened protections on these records, threat assessment teams should work with their legal counsel to determine whether any such information should be included in the threat assessment record.

**Medicaid Records:** Information concerning Medicaid program applicants and beneficiaries is also subject to additional federal restrictions. The use and disclosure of such information is limited to “purposes directly connected with the administration of the plan.” 42 C.F.R. § 431.301. Those purposes are defined as (a) establishing eligibility; (b) determining the amount of medical assistance; (c) providing services for beneficiaries; and (d) conducting or assisting an investigation, prosecution, or civil or criminal proceeding related to the administration of the plan. The law also allows for a release of information in an emergency situation or pursuant to a subpoena, provided certain requirements are met. 42 C.F.R. § 431.306(d), (f). Again, given the heightened restriction on these records, consultation with counsel regarding these records is recommended.

**Law Enforcement Data:** It is vital that threat assessment teams have strong relationships with local law enforcement agencies that serve their community and the surrounding area, as law enforcement officers have access to a wealth of information that is beneficial to the threat assessment process. The best source of information is generally local Records Management Systems or Computer-Aided Dispatch data, which show all law enforcement contact with an individual or those that live with them.

Law enforcement officers can also access a number of databases through the Florida Schools Safety Portal, including FortifyFL (mobile suspicious activity reporting tool), DAVID (driver and vehicle information), and CCIS (court record information). Additional resources are available through officers’ connection to CJNet, including the Florida Safe

Families Network (child welfare information), corrections and juvenile justice information, and intelligence information. Law enforcement officers can also access the Florida Crime Information Center (FCIC) and the National Crime Information Center (NCIC), which provide criminal justice information and criminal history record information, such as arrest records, juvenile records, incarceration information, judicial records, and expunged or sealed information.

With the required agreements in place, authorized members of a school or district-based threat assessment team can obtain criminal history information for juveniles. Florida law provides that upon a preliminary determination by the threat assessment team that a student poses a threat of violence to himself or others, or exhibits significantly disruptive behavior or need for assistance, authorized members of threat assessment teams may obtain criminal history record information on a juvenile. §§ 985.04(1), 1006.07(c), F.S. Information disclosed under this section may only be used for the purpose for which the disclosure was made. Section 985.04 F.S. requires a memorandum of understanding (MOU) in order to share information, and MOUs should be amended, if they have not been already, to allow for sharing information with non-enforcement members of the threat assessment team.

There is not a similar statute that allows for the sharing of criminal history information concerning adults. Law enforcement agencies, including the Florida Department of Law Enforcement, Department of Juvenile Justice, and local police or sheriff's offices, must comply with the Federal Bureau of Investigation's Criminal Justice Information Services (CJIS) Security Policy, which provides guidance for the creation, viewing, modification, transmission, dissemination, storage and destruction of criminal justice information, which encompasses all FBI-provided data necessary for law enforcement and civil agencies to perform their missions, including criminal history record information (CHRI). In Florida, this information is primarily housed in the FCIC/NCIC databases. Officers reviewing this information in the context of working with a threat assessment team can only share information from these sources with non-law enforcement members of the team that would otherwise be available to the public. If the same information is obtained from other sources, such as the underlying police reports, court records, or other databases that do not have the same limitations as a search from FCIC/NCIC, then the officer may share that information with the threat assessment team. For this reason, officers serving on threat assessment teams must be careful with respect to what information is shared with the team and documented in the threat assessment record.

### **3. The appropriateness of interagency agreements that will allow law enforcement to view database records.**

The completed CSTAG instrument is considered an education record, subject to FERPA requirements for access and disclosure. The workgroup recommends that the ability to input information and to view records contained in the statewide threat assessment database be limited to school officials with a legitimate educational interest in the information, which is consistent with FERPA regulations. Law enforcement officers serving on threat assessment teams may not be school or district employees, but can still be



considered school officials if they perform an institutional service or function for which the agency or institution would otherwise use employees; are under the direct control of the agency or institution with respect to the use and maintenance of education records; and are subject to FERPA requirements concerning disclosure and re-disclosure of records.

A law enforcement officer serving on a threat assessment team who has access to student education records as a school official is subject to FERPA’s restrictions on re-disclosure. Generally, this prohibits the officer from sharing information learned in the threat assessment process with others, including his employing law enforcement agency, unless the officer has consent or another FERPA exception is present, such as an emergency situation. There is no FERPA exception that allows for general access to student records by law enforcement agencies. Therefore, it is not appropriate to enter into an interagency agreement allowing such access to the statewide database.

In order to comply with federal law, the workgroup recommends that access to the statewide database be limited to members of school or district threat assessment teams that meet the definition of “school officials.” Members of the team who may not be school or district employees, such as mental health professionals and law enforcement officers, may meet this definition if certain conditions are met. Agreements allowing law enforcement officers who do not meet this definition to view database records must require consent or another FERPA exception.

**E. The cost to develop and maintain a statewide online database.**

A request for information was issued on October 30, 2019 and the workgroup received 15 responses by the due date. Based on the responses, implementing the solution will cost approximately \$4,000,000 with an estimated maintenance cost of \$2,000,000 per year.

**F. An implementation plan and timeline for the workgroup recommendations.**

| <b>Tasks</b>                                     | <b>Dates</b>                          |
|--|---------------------------------------|
| Competitive Procurement                          | July 1, 2020 - July 31, 2020          |
| Execute Contract                                 | August 3, 2020 - August 28, 2020      |
| Configure Solution                               | September 1, 2020 - December 31, 2020 |
| Connect Solution to Florida School Safety Portal | January 4, 2021 - January 29, 2021    |
| Test Solution                                    | January 4, 2021 - January 29, 2021    |
| Train the Trainers                               | February 1, 2021 - February 26, 2021  |
| Go Live  | March 1, 2021                         |

## **Additional Recommendations to Consider**

The Statewide Threat Assessment Database Workgroup used a number of timely resources to further inform recommendations relevant to this work. Of these, the following are most appropriate to include:

- **Marjory Stoneman Douglas High School Public Safety Commission’s Report from November 1, 2019.**

The Commission explained that the information most relevant to the threat assessment process is housed in databases maintained by local law enforcement entities, local school districts, and mental health providers. As noted by the Commission, it is not possible to include all of these information-rich local databases in the Florida School Safety Portal to be available to all members of the threat assessment team. However, the Commission felt it imperative that local teams establish procedures to ensure that all relevant information is obtained so that information important to the decision-making process is included. For this reason, the Commission recommended that “law enforcement agencies consider committing a dedicated analyst familiar with data gathering to conduct the research necessary for an effective threat assessment process.”

The Statewide Threat Assessment Database Workgroup recommends that a similar structure be established for school district personnel as well. While it is important to allow districts to maintain flexibility in designing threat assessment processes that will work with their individual districts, this should be considered a best practice. Ideally, school districts should identify key school and/or district personnel, to work in concert with a local law enforcement analyst and be allowed full access to all the information on the student or subject being assessed for analysis purposes.

- **Arapahoe High School Shooting: Lessons Learned on Information Sharing, Threat Assessment and Systems Integrity Report from January 2016**

The *Arapahoe High School Shooting: Lessons Learned on Information Sharing, Threat Assessment and Systems Integrity (January 2016)* report supports the case for having key school and/or district personnel look at all the information available for someone posing a threat of harm to self or others. In this report, it was recommended that an information vortex coordinator (from the threat assessment team) be assigned to every threat assessed student; the information vortex coordinator should be noted in the student's profile within the student information system so that when a concern arises, all teachers and other staff can easily identify and communicate with the assigned coordinator. In addition, “it should be the proactive duty of the information vortex coordinator to continue to seek out and evaluate information about a threat assessed student and recall the threat assessment team if new risk or threat factors are revealed.” The workgroup

recommends that the designation of an “information vortex coordinator” be considered a best practice for districts.

- **U.S. Secret Service National Threat Assessment Center (NTAC) Report from July 2018**

The NTAC’s *Enhancing School Safety Using a Threat Assessment Model* and the CSTAG both advocate for threat evaluators who can apply an “investigative, skeptical, inquisitive mindset.” A best practice would be having district personnel who are not directly connected to students, but who have the ability to collect all information and connect the dots, as part of the threat assessment process in order to preserve the integrity of the assessment.

## **Conclusion**

The Department of Education understands the importance of the threat assessment process in identifying and addressing risks posed by potential offenders with intentions to harm themselves or others. A key component of this effort involves a multifaceted team of school- and district-level experts to weigh the totality of information surrounding a potential threat and collectively establish an assessment based on the information available. From conclusions drawn, decisions are made which guide the team in identifying supports and preventing the possibility of harm. The development and use of a statewide threat assessment database will enhance the efforts of individual threat assessment teams to expeditiously and efficiently evaluate all relevant information surrounding concerning and threatening behaviors, allowing for timely implementation of appropriate measures to alleviate threats. Through statewide consistency, we are better able to protect students and staff across the state of Florida.

## EXHIBIT A:

# Comprehensive School Threat Assessment Guidelines

## Threat Assessment Protocol

# THREAT ASSESSMENT AND RESPONSE PROTOCOL®

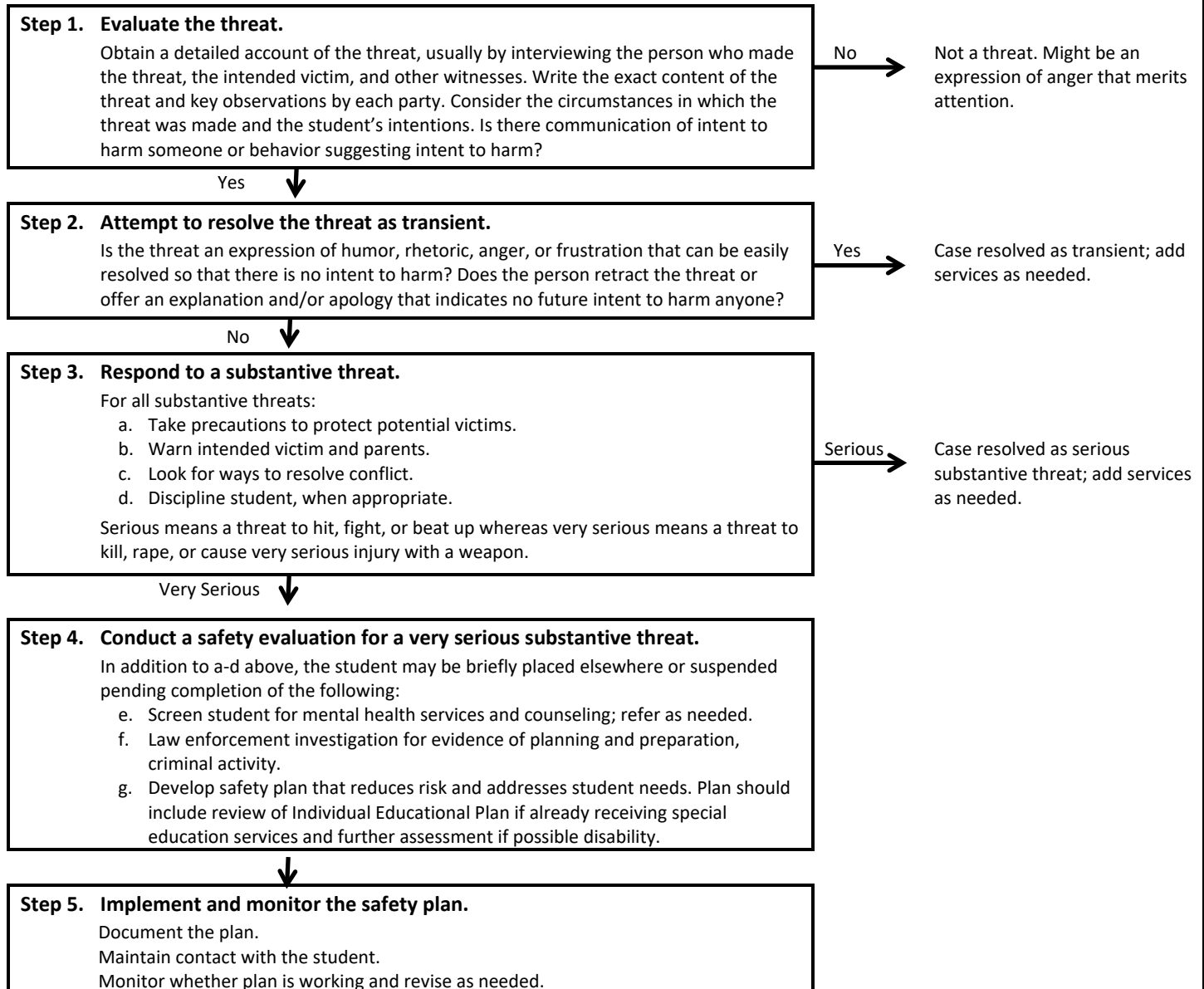
Comprehensive School Threat Assessment Guidelines

## OVERVIEW

A threat is a communication of intent to harm someone that may be spoken, written, gestured, or expressed in some other form, such as via text messaging, email, or other digital means. An expression of intent to harm someone is considered a threat regardless of whether it is communicated to the intended target(s) and regardless of whether the intended target is aware of the threat. Threats may be implied by behavior that an observer would reasonably regard as threatening, planning, or preparing to commit a violent act. When in doubt, treat the communication or behavior as a threat and conduct a threat assessment. Threats that are not easily recognized as harmless (e.g., an obvious joke that worries no one) should be reported to the school administrator or other team members. The administrator or another team member makes a preliminary determination of the seriousness of the threat. The student, targets of the threat, and other witnesses should be interviewed to obtain information using this protocol. A *transient* threat means there is no sustained intent to harm and a *substantive* threat means the intent is present (or not clear) and therefore requires protective action. This form is a guide for conducting a threat assessment, but each case may have unique features that require some modification.

A threat assessment is not a crisis response. If there is indication that violence is imminent (e.g., person has a firearm at school or is on the way to school to attack someone), a crisis response is appropriate. Take immediate action such as calling 911 and follow the school crisis response plan.

### School Threat Assessment Decision Tree\*



\*This 5-step decision tree is a revision of the original 7-step decision tree for the Virginia Student Threat Assessment Guidelines that retains the same information and procedures in a more condensed format.

| THREAT REPORT   |                                   |
|---|-----------------------------------|
| <p>A threat is an expression of intent to harm someone that may be spoken, written, gestured, or communicated in some other form, such as via text message or email. Threats may be explicit or implied, directed at the intended target or communicated to a third party. Behavior that suggests a threat such as weapon carrying, fighting, or menacing actions should be investigated to determine whether a threat is present.</p> <p>The process is designed for assessment of threats to harm others and is not intended for individuals who have only threatened to harm themselves. Only a small percentage of cases require both threat assessment and suicide assessment, and in those cases, the team should supplement this form with their choice of a standard suicide assessment protocol.</p> |                                   |
| <b>Name of person reporting threat:</b>   | <b>Date/time threat reported:</b> |
| <b>Affiliation of person reporting threat:</b> <input type="checkbox"/> Student <input type="checkbox"/> Parent <input type="checkbox"/> Staff <input type="checkbox"/> Other:  |                                   |
| <b>Name of person receiving the report:</b>   |                                   |

**INCIDENT or BEHAVIOR OF CONCERN**

|  |   |
|--|---|
| <b>Name of person making threat:</b>   | <b>Date/time threat made:</b>   |
| <b>Affiliation of person making threat:</b> <input type="checkbox"/> Student <input type="checkbox"/> Parent <input type="checkbox"/> Staff <input type="checkbox"/> Other _____   | <b>Status:</b> <input type="checkbox"/> Current <input type="checkbox"/> Former |
| <b>Identification:</b> <input type="checkbox"/> Male <input type="checkbox"/> Female Age:      Grade, if student:      School program, if student:   |   |
| <b>Emergency Contact:</b>  | <b>Relationship:</b>  |
| <b>Home Address:</b>   | <b>Phone:</b>   |
| <b>Location threat occurred:</b> <input type="checkbox"/> School Building or Grounds <input type="checkbox"/> School Bus/Other Travel <input type="checkbox"/> School-Sponsored Activity<br><input type="checkbox"/> Digital communication such as text or post <input type="checkbox"/> Other _____ |   |
| <b>Summary of the incident or threat.</b> What was reported? Include who said or did what to whom. Who else was present?   |   |

**ASSESSMENT FINDINGS** (All sources are not needed in most cases.)

| Sources of Information   | Was information reviewed?   | Relevant Findings (use additional pages as needed) |
|--|---|--|
| Prior threats  | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |
| Prior discipline incidents   | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |
| Academic records   | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |
| Special education records  | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |
| Other records  | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |
| Records from other schools   | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |
| Records from outside agencies (e.g., social services or mental health)         | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |
| Law enforcement records (criminal history, contacts, firearms purchases, etc.) | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |
| Employment records (grievances, disciplinary actions, Title IX, etc.)          | <input type="checkbox"/> Reviewed <input type="checkbox"/> Not applicable<br><input type="checkbox"/> Not available |  |







## KEY OBSERVATIONS

These items can help assess whether a threat is transient or substantive, but must be considered in the broader context of the situation and other known facts. Regard these items as a checklist to make sure you have considered these aspects of the threat, but they are not to be summed or used as a score.

### Threat is likely to be less serious:

|   |  |
|---|--|
| 1. Subject admits to threat (statement or behavior).                                  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 2. Subject has explanation for threat as benign (such as joke or figure of speech).   | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 3. Subject admits feeling angry toward target at time of threat.                      | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 4. Subject retracts threat or denies intent to harm.                                  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 5. Subject apologetic or willing to make amends for threat.                           | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 6. Subject willing to resolve threat through conflict resolution or some other means. | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |

### Threat is likely to be more serious:

|  |  |
|--|--|
| 7. Subject continues to feel angry toward target.                                  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 8. Subject expressed threat on more than one occasion.                             | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 9. Subject has specific plan for carrying out the threat.                          | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 10. Subject engaged in preparation for carrying out the threat.                    | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 11. Subject has prior conflict with target or other motive.                        | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 12. Subject is suicidal. (Supplement with suicide assessment.)                     | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 13. Threat involved use of a weapon other than a firearm, such as a knife or club. | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 14. Threat involves use of a firearm.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 15. Subject has possession of, or ready access to, a firearm.                      | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 16. Subject has or sought accomplices or audience for carrying out threat.         | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 17. Threat involves gang conflict.   | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |
| 18. Threat involves peers or others who have encouraged subject in making threat.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |

Other relevant observations

## THREAT CLASSIFICATION

|   |                                       |                                    |  |   |
|---|---------------------------------------|------------------------------------|--|---|
| Date of initial classification:           | <input type="checkbox"/> Not a threat | <input type="checkbox"/> Transient | <input type="checkbox"/> Serious Substantive | <input type="checkbox"/> Very Serious Substantive |
| Date of change in classification, if any: | <input type="checkbox"/> Not a threat | <input type="checkbox"/> Transient | <input type="checkbox"/> Serious Substantive | <input type="checkbox"/> Very Serious Substantive |

Reason for change:

## OBSERVATIONS SUGGESTING NEED FOR INTERVENTION

This is an optional form used as needed for intervention planning. Here are some factors to consider in identifying possible interventions to assist the subject and reduce risk. These items are not summed or scored. Use the term “partially” as appropriate to the category to mean the condition is moderate or not clearly present.

|   |  |  |
|---|--|--|
| 1. History of physical violence.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 2. History of criminal acts.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 3. Preoccupation with violence, violent individuals, or groups that advocate violence.                    | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 4. Preoccupation with mass shootings or infamous violent incidents.                                       | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 5. History of intense anger or resentment.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 6. Has grievance or feels treated unfairly.   | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 7. Feels abused, harassed, or bullied.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 8. History of self-injury or suicide ideation or attempts.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 9. Has been seriously depressed.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 10. Experienced serious stressful events or conditions.   | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 11. Substance abuse history.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 12. History of serious mental illness (symptoms such as delusions or hallucinations).                     | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 13. Might or does qualify for special education services due to serious emotional/behavioral disturbance. | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 14. Prescribed psychotropic medication.   | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 15. Substantial decline in level of academic or psychosocial adjustment.                                  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 16. Lacks positive relationships with one or more school staff.   | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 17. Lacks supportive family.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 18. Lacks positive relationships with peers.  | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |
| 19. Other factors that suggest need for intervention.   | <input type="checkbox"/> Yes <input type="checkbox"/> Partially <input type="checkbox"/> No<br><input type="checkbox"/> Don't know/Not available |  |

## THREAT RESPONSE

Use additional pages as needed. This is a list of common actions taken in response to a threat. Each case may require a unique set of actions. Add date and signature of person taking action if appropriate. Note if action was recommended but for some reason not completed (e.g., parent refusal).

|                          |  |  |
|--------------------------|--|--|
| <input type="checkbox"/> | 1. Increased contact/monitoring of subject   |  |
| <input type="checkbox"/> | 2. Reprimand or warning  |  |
| <input type="checkbox"/> | 3. Parent conference   |  |
| <input type="checkbox"/> | 4. Student apology   |  |
| <input type="checkbox"/> | 5. Contacted target of threat, including parent if target is a minor                         |  |
| <input type="checkbox"/> | 6. Counseling (note number of meetings)  |  |
| <input type="checkbox"/> | 7. Conflict mediation  |  |
| <input type="checkbox"/> | 8. Schedule change   |  |
| <input type="checkbox"/> | 9. Transportation change   |  |
| <input type="checkbox"/> | 10. Mental health assessment   |  |
| <input type="checkbox"/> | 11. Mental health services in school   |  |
| <input type="checkbox"/> | 12. Mental health services outside school  |  |
| <input type="checkbox"/> | 13. Assess need for special education services   |  |
| <input type="checkbox"/> | 14. Review of Individualized Education Program (IEP) for students already receiving services |  |
| <input type="checkbox"/> | 15. 504 plan or modification of 504 plan.  |  |
| <input type="checkbox"/> | 16. Behavior Support Plan created or modified  |  |
| <input type="checkbox"/> | 17. In-school time out or suspension   |  |
| <input type="checkbox"/> | 18. Out-of-school suspension (number days)   |  |
| <input type="checkbox"/> | 19. Referral for expulsion   |  |
| <input type="checkbox"/> | 20. Other disciplinary action  |  |
| <input type="checkbox"/> | 21. Change in school placement (e.g., transfer, homebound instruction)                       |  |
| <input type="checkbox"/> | 22. Services for other persons affected by threat  |  |
| <input type="checkbox"/> | 23. Law enforcement consulted  |  |
| <input type="checkbox"/> | 24. Legal actions (e.g., arrest, detentions, charges)  |  |
| <input type="checkbox"/> | 25. Other actions  |  |

## CASE PLAN

This section can be used to describe the plan for any case and should be completed as Step 5 in cases of a very serious substantive threat.

### Case Resolution or Safety Plan

Date

Describe how case was resolved, including any plan for further actions. List persons responsible for each component of plan.

### Follow-up or Revision of Plan

Date

Describe current status of plan and any revisions. List persons responsible for each component of revised plan.

## MENTAL HEALTH ASSESSMENT

Virginia Student Threat Assessment Guidelines<sup>®</sup>

A mental health assessment is usually conducted in cases involving a very serious substantive threat. The purpose of the mental health assessment is to maintain the safety and well-being of the student and others. Therefore, the assessment has two objectives:

1. *Treatment and referral needs.* Assess the student’s present mental state and determine whether there are urgent mental health needs that require attention, such as risk of suicide, psychosis, or rage. Beyond these immediate needs, consider whether there are other treatment, referral, or support needs.
2. *Threat reduction.* Gather information on the student’s motives and intentions in making the threat in order to understand why the threat was made and identify relevant strategies or interventions that have the potential to reduce the risk of violence.

### Subject Interview (Person who made threat or engaged in threatening behavior)

|                                       |  |  |
|---------------------------------------|--|--|
| <b>Subject Name</b>                   |  | See records and additional information obtained by threat assessment team to supplement this assessment. |
| <b>Person(s) Conducting Interview</b> |  | <b>Location, Date of Interview</b>   |

Usually the interview can begin by asking “Do you know why I want to talk to you?” and after the subject has responded, “Let me explain the purpose of our meeting today.” Use these questions as a guide to interview the person making the threat. Ask other questions as appropriate. Try to use open-ended questions rather than leading questions. Adjust spacing below as needed.

#### Review of threat

1. What happened that made others worried that you wanted to harm someone? What exactly did you say or do that made them worried? What did you mean by that?
2. I know you must have had reasons to say (or do) that; can you explain what led up to it?
3. How would you do it? (carry out the threat) (Probe for details of any planning or preparation.) Where did the idea come from?
4. What could happen that would make you want to do it? (carry out the threat)
5. What would happen if you did do it? (review both effects on intended victims and consequences for student)
6. What do you think the school should do in a situation in which a person makes a threat like this?
7. What were you feeling then? How do you feel now?
8. How do you think (the person threatened) felt?

#### Relationship with intended victim(s)

1. How long have you known this person?
2. What has happened in the past between you and this person?
3. What do you think this person deserves?
4. Do you see any way that things could be improved between you and this person?

**Family support**

1. Whom do you live with? Are there family members you don't live with? Have there been any changes in the past year?
2. Whom in your home are you close to?
3. How well do your parents/guardians know you?
4. Where do you go after school? Where are your parents/guardians at this time? How much do they keep track of where you are or what you are doing?
5. How strict are your parents/guardians? What do they do if you do something they don't want you to do? When was the last time you got in trouble with them? What was the worst time?
6. How will your parents/guardians react (or how did they react) when they found out about this situation?

**Stress and trauma**

1. What kinds of things have been going on with you lately? What sorts of things have you worried about?
2. How has your school work been going lately? Are there things you have been worried about with your school work? Other things at school?
3. What is the worst thing that has happened to you lately? Have any other bad things happened? Is there something you regret or wish you could change?
4. Have there been any changes in your family? Has anyone been sick, moved away, or had anything bad happen to them?
5. Do you have any family members in jail or prison?
6. Do you take any medication?
7. Have you been involved in any counseling?

**Mood**

1. What has your mood been like the past few weeks? Have you felt down or depressed at times? How bad has it been? (Be alert for statements of pessimism and hopelessness that might indicate suicide risk. If there are indications of suicidal thoughts or feelings, there should be a more extensive evaluation of suicide risk. If necessary, develop a plan for protecting the student and making appropriate referrals.)

2. Have you felt nervous or anxious? Irritable or short-tempered? How bad has it been?

3. Have you ever felt like life wasn't worth living? Like maybe you would kill yourself?

4. Have you ever done something to hurt yourself on purpose? Ever cut yourself on purpose?

5. Have you had any problems with your sleep? Appetite? Energy level? Concentration?

6. Have you been taking any medication to help with your mood or for any other reason?

**Psychotic symptoms**

Ask a few probe questions and follow up if there is any indication of delusions or hallucinations. Phrase questions appropriate to student's age and understanding.

1. Have you had any unusual experiences lately, such as hearing things that others cannot hear or seeing things that others cannot see?

2. Have you felt like someone was out to get you or wanted to harm you? Have you had any other fears that seem strange or out of the ordinary?

3. Do you have any abilities or powers that others do not have, such as ESP or reading minds?

4. Have you felt numb or disconnected from the world, or like you were somehow outside your body?

Note and inquire about any other symptoms of mental disorder.

**Weapons**

Ask about any weapons mentioned in the threat. As an example, these questions concern a threat made to stab someone.

1. You said that you were going to stab (name of victim). What were you going to stab him with?
2. Do you have a knife? What kind of a knife is it? (Or, how would you get a knife?)
3. Have you ever had to use a knife with someone? What happened?
4. What do you think would happen if you did use a knife with (name of victim)?

**Access to firearms**

Ask about firearms in all cases, even if no firearm was mentioned. If the threat involved a knife, bomb, or other weapon, ask about that weapon, too.

1. Do you have a gun?
2. Are there guns in your home? Have you ever used a gun for hunting or target shooting?
3. If you wanted a gun, how would you get one?
4. What do you think you might do if you had a gun?
5. Have you ever had to use a gun with someone? Have you ever thought about using a gun with someone?

**Aggressive behavior**

1. Do people treat you fairly? Who has been unfair with you lately? When people treat you unfairly, what do you do about it?
2. When you get angry, what do you do? Has your temper ever gotten you into trouble?
3. Do you get into fights? When was the last time? What happened?
4. Have you ever threatened to harm anyone before?
5. Have you thought about what it would be like to hurt someone really bad? Have you written any stories or made any drawings that are violent?
6. Have you ever set fire to things?
7. Have you damaged your own property or someone else's property?
8. Have you ever intentionally hurt an animal?

**School discipline**

1. When was the last time you got into trouble in school? What happened?
2. Have you ever been suspended or expelled?
3. Have your parents ever been called to school because of your behavior?
4. Do you ever cut school or certain classes?
5. Do you feel that the rules at this school are fair? What has been unfair?

**Delinquent behavior**

1. Have you been in trouble with the law or with police before? What happened?
2. Have you ever gone to juvenile court? What was it about?
3. Have you done things that could have gotten you arrested or in trouble with the law? What was the worst thing? What else?
4. Do you drink beer, wine, or other alcohol? Have you ever? How often do you drink? When was the last time? Tell me about it.
5. Do you smoke marijuana? Have you ever? How often? When was the last time?
6. Have you used any other drugs? How often? When was the last time? Tell me about it.

**Exposure to violence**

1. Do you see or hear of violence in your neighborhood?
2. Do you know anyone who was shot, stabbed, or beat up real bad?
3. Do people argue much at home? Does anyone get physically aggressive?
4. What kind of movies do like? What kind of video games do you enjoy playing? What are your favorite Internet sites?
5. Ask the student about his/her reactions to any recent acts of violence or to any highly publicized school shootings.



**Bullying**

Bullying is broadly defined and may include teasing, social exclusion, or other forms of humiliation in addition to physical threats of violence. The student may not use the term "bully," and may be reluctant to admit being the victim of bullying behavior, so be prepared to rephrase questions and probe for victim experiences.

1. Is there anyone who has threatened you recently? Is there anyone who makes you feel afraid? (Ask about sexual threats if appropriate to situation.)
2. Is there anyone who has teased you or picked on you recently? Is there anyone who has beat you up or pushed you around? How about at home?

In response to any positive answer, follow up for more information: How often does it happen? What have you tried to do about it? Did you let any adult know about this, and if so, what happened? Be alert to statements indicating that a bullied student feels like there is no solution to the problem or is contemplating revenge.

**Peer relations**

1. What are your friends like? Have you had any trouble with your friends lately? Who is your best friend?
2. How would your friends describe you?
3. Do you have a boyfriend/girlfriend? (Keep in mind that the student might not be heterosexual, and there may be concerns in this area.) How are things going with him/her? Did you have one before? What happened in that relationship?
4. Do you have friends who get in trouble?
5. Have you ever joined a gang? Been part of a group like a crew, clique, posse, or mob?
6. Do any of your friends know about (refer to threat situation?) What did they say about it? Anyone who feels the same way you do?

**Coping**

1. How do you like to spend your free time?
2. What kinds of things do you do well?
3. What are your hobbies and interests? What do you enjoy doing?
4. Can you think of a problem you faced in the past that worked out okay? Can you think of a problem that you solved? Can you think of a time when you went to someone about a problem and that person was able to solve it?
5. What are your plans for the future? What would you like to do when you finish school?
6. What could we do that would help with (refer to the problem that led to the threat)?

## Parent/Guardian Interview

|                                       |  |                                    |
|---------------------------------------|--|------------------------------------|
| <b>Parent Name</b>                    |  | <b>Relationship to Student</b>     |
| <b>Person(s) Conducting Interview</b> |  | <b>Location, Date of Interview</b> |

Understandably, parents may feel apprehensive, guilty, or defensive when being interviewed about their child's behavior. It is important that the interviewer find ways to convey respect for the parent, starting from the initial contact and throughout the interview. Also, it should be evident that the interviewer is interested in understanding and helping the parent's child; otherwise, the parent may regard the interview as an investigation designed to uncover evidence of wrongdoing by the student or incompetence by the parent. Overall, the interviewer should make every effort to engage the parent as an ally. Emphasize the common goal of helping their child to be safe and successful in school.

### Parent knowledge of the threat

1. What do you (the parent) know about the threat?
2. Have you heard your child (or use child's name) talk about things like this before?
3. Are you familiar with (the intended victim)? (Ask about the child's history with the intended victim—previous relationship and interactions.)
4. (Ask questions to determine if the child has the means to carry out the threat, such as access to firearms.)
5. What are you planning to do about the threat? (Is the parent willing to work with the school to develop a plan to assure the threat will not be carried out and that the student's needs are addressed?)

### School adjustment

1. Has your child ever been suspended or expelled from school?
2. Have you ever met with the school (teacher, counselor, principal) about concerns in the past? What happened, what was going on, what was the outcome?
3. Has your child ever needed special help in school? Ever been retained?
4. Has your child ever been tested in school?
5. How does your child like school?
6. How often does your child do homework?
7. What are your child's teachers like?

**Family relationships and current stressors**

1. Who lives in the home?
  
2. Are there any important events that have affected your family/child? Ask about any recent or pending changes, such as:
  - Move, divorce/separation, losses
  - Financial status, employment changes for parents
  - Others in home involved with court or the law
  
3. Who does your child share concerns with? Who is he/she close to?
  
4. How well does he/she get along with parents? Siblings? Type of conflicts, over what, how resolved?
  
5. How does your child show anger toward you and other family members?
  
6. What does your child do after school? Who supervises? What time is your child supposed to be home at night?
  
7. What responsibilities does your child have at home?
  
8. Does your child follow rules? What are the consequences for not following the rules?

**Peer relations and bullying**

1. Has your child reported being teased, intimidated, rejected, or bullied in some other way? (If so, what has the parent done in response?)
  
2. Who are your child's friends? Are you pleased or displeased with your child's choice of friends?
  
3. How much is the child influenced by peers? Are there any examples of your child doing something to please peers that got him or her into trouble?

**Delinquent behavior**

1. Has your child been in trouble with the law or with police before? What happened?
2. Has your child ever gone to juvenile court? What was it about?
3. Has your child done things that could have gotten him or her arrested or in trouble with the law? What was the worst thing? What else?
4. Does your child drink beer, wine, or other alcohol?
5. Does your child smoke marijuana?
6. Has your child used any other drugs?

**History of aggression**

1. How does your child handle frustration?
2. When your child gets angry, what does he/she do?
3. Has your child gotten into fights in the past? When, where, with whom?
4. Has your child's temper ever gotten him/her into trouble?
5. Has your child ever hit you or other family members?
6. Has your child destroyed his or her own things, or someone else's property?
7. Does your child have any pets? Has he/she ever intentionally hurt the pet or some other animal?

**Access to weapons**

1. Do you have a gun in your home? Does your child have access to firearms through friends, relatives, or some other source?
2. Does your child have access to weapons other than firearms, such as military knives, martial arts weapons or some other kind of weapon?
3. Has your child ever talked about using a weapon to hurt someone? Ever gotten into trouble for using a weapon, carrying a weapon, or threatening someone with a weapon?
4. What can you do to restrict your child's access to weapons?

**Exposure to violence**

1. Has your child ever been a victim of abuse?
2. Is your child exposed to violence in the neighborhood?
3. Do people argue much at home? Has there been any physical aggression at home?
4. What kinds of movies, video games, internet sites does your child like? Any parent restrictions? Level of supervision? Child's response?

**History**

1. Ask about any delays in cognitive, motor, language development. How old was your child when he/she started to walk, talk?
2. Has your child ever had a problem with bedwetting? When, how long? Was anything done for this?
3. Has your child ever been hospitalized? Had any serious illnesses?
4. Has your child had any recent medical treatment? Taking any medications? Obtain diagnoses and medications. Ask for a release.

**Mental health**

1. Does your child have problems paying attention? Does your child follow directions without repetition and reminders? Does your child complete activities on his/her own? Does your child say things without thinking? Surprised by the consequences of his/her actions?
2. What has your child's mood been like the past few weeks?
3. Has your child been unusually nervous or anxious? Irritable or short-tempered? How bad has it been?
4. Has your child had problems with sleep? Appetite? Energy level? Concentration?
5. Has your child ever talked about hurting himself or herself? Have you ever been concerned that he/she might be suicidal?
6. Have there been any times when your child seemed to be hearing things that weren't there? Has he/she said things that didn't make sense or seemed to believe in things that weren't real?
7. Has your child ever seen a counselor or therapist? Ever taken medication for his/her behavior or mood?
8. Has your child had any involvement with other agencies/programs in the community?

## Teacher/Staff Interview

|                                       |  |                                    |
|---------------------------------------|--|------------------------------------|
| <b>Name of Person Interviewed</b>     |  | <b>Relationship to Student</b>     |
| <b>Person(s) Conducting Interview</b> |  | <b>Location, Date of Interview</b> |

### Academics

1. How is this student doing academically? Has there been any change in recent weeks?
2. What are this student's verbal skills? How well can he or she express himself/herself in words?
3. Has this student been considered for special education or placed in special education? What kinds of difficulties does the student have? If a student is receiving special education services, ask about the problem behaviors that are regarded as part of his or her disability.

### Teacher knowledge of the threat

1. What do you know about the threat?
2. Have you heard this student talk about things like this before?
3. What have other students told you about this incident?
4. Is there another teacher or staff member who might know something about this?

### Student's peer relations

1. How well does this student get along with other students?
2. Who are the student's friends?
3. Are there students who do not get along with this student?
4. Have there been other conflicts or difficulties with peers?
5. Has this student ever complained of being bullied, teased, or treated unfairly by others?

**Depression**

1. Have there been any apparent changes in the student's mood, demeanor, or activity level? Seemed withdrawn or apathetic?
2. Has the student expressed any attitudes that could imply depression, such as expressions of hopelessness or futility, inadequacy or shame, self-criticism or worthlessness?
3. Has this student shown an increase in irritability or seemed short-tempered?

**Discipline**

1. What kinds of discipline problems have you experienced with this student?
2. How does this student respond to being corrected by an adult?
3. What are the student's emotional responses to being disciplined?

**Aggression**

1. How does this student express anger?
2. Does this student seem to hold a grudge? Seem resentful?
3. Has this student done anything that expresses anger or aggression, or has an aggressive theme in written assignments, drawings, class projects, etc.?

**Parents**

1. Have you had any contact with this student's parents? What happened?

## **Mental Health Assessment Report Template**

### **Identifying Information**

Give the student's name, gender, age, grade, school, and other relevant identifying information.

### **Reason for Referral**

State that this evaluation was requested by the school principal because the student made a threat of violence that was judged to be a very serious, substantive threat. Describe the threat, including the exact statement or threatening behavior, and where and when it took place.

### **Sources of Information**

Describe or list the sources of information used in this report, including information from team interviews with the student, witnesses, and parents, as well as any relevant records or psychological tests.

### **Major Findings**

Describe how the child presented and any important aspects of his or her mental state, including any indications or markers of mental disorder requiring further evaluation or referral. Identify any stresses, conflicts, or unmet needs that affect the child's functioning or bear on the threat incident.

Review the child's understanding of the threat and its meaning from his or her perspective. Note whether the child has a history of violent or aggressive behavior, and any findings from the assessment that raise concerns about the child's potential for violence, such as access to firearms, peer encouragement to fight, drug use, or inadequate home supervision.

### **Conclusions**

In general, the mental health professional should not be expected to make a definitive statement that a child is or is not dangerous; such statements go beyond current knowledge in the field of risk assessment. The report may identify risk factors and protective factors, and express concerns where there appear to be compelling risk factors.

The report should present recommendations aimed at reducing the risk of violence, and they might convey the degree of concern about the potential for violence in general terms, recognizing that a precise measure of risk is not feasible. In all cases, the goal is to reduce the risk of violence rather than to predict violence.

Recommendations may include a wide range of strategies, but should address both any immediate safety needs to protect potential victims and broader efforts to resolve conflicts or problems that precipitated the threat.

There are two basic types of recommendations. First are recommendations for school behavior support, which are actions to be taken at school. The report should identify any signs of disability that would indicate the need for further assessment, child study, or special education evaluation. Second, if appropriate, the report may propose other recommendations for the parents to consider implementing outside of school, such as seeking community-based services for their child.



# BEHAVIOR INTERVENTION PLAN

For behavior interfering with the student's learning or the learning of others

**Confidential - For Teacher/Staff Use Only**

See: [www.pent.ca.gov](http://www.pent.ca.gov) for downloadable forms

This BIP attaches to:  IEP date: \_\_\_\_\_  504 plan date: \_\_\_\_\_ Team meeting date:

School Safety plan/Threat Assessment form: date: \_\_\_\_\_

**Student Name** \_\_\_\_\_ **Today's Date** \_\_\_\_\_ **Next Review Date** \_\_\_\_\_

1. The behavior impeding learning is (*describe what it looks like*)\_

2. It impedes learning of self or others because

3. The need for a Behavior Intervention Plan  early stage intervention  moderate  serious  extreme

4. Frequency or intensity or duration of behavior

reported by \_\_\_\_\_ and/or  observed by \_\_\_\_\_

## PREVENTION PART I: ENVIRONMENTAL FACTORS AND NEEDED CHANGES

5. What are the predictors for the behavior? (*Situations in which the behavior is likely to occur: people, time, place, subject, etc.*)

6. What supports the student using the problem behavior? (*What is missing in the environment/curriculum or what is in the environment curriculum that needs changing?*)

## Remove student's need to use the problem behavior

7. What environmental changes, structure and supports are needed to remove the student's need to use this behavior?

Who will establish?

Who will monitor?

## ALTERNATIVES PART II: FUNCTIONAL FACTORS AND NEW BEHAVIORS TO SUPPORT

8. Team believes the behavior occurs because: (*Function of behavior in terms of obtaining, protesting, or avoiding something*)

## Support an alternative behavior that meets same need

9. What team believes the student should do instead of the problem behavior? (*How should the student escape/protest/avoid or get his/her need met in an acceptable way?*)

10. What teaching strategies/curriculum/materials are needed to teach the alternative behavior?

By whom?

How frequent?  
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11. What are reinforcement procedures to use for establishing, maintaining, and generalizing the new behavior(s)?

Selection of reinforcer based on:

reinforcer for using replacement behavior     reinforcer for general increase in positive behaviors

By whom?

Frequency?

**REACTIONS PART III: STRATEGIES FOR RESPONDING TO PROBLEM RECURRENCE**

12. What strategies will be employed if the problem behavior occurs again? (Prompt student to switch to the replacement behavior, review negative consequences of undesirable behavior)

Personnel?

**OUTCOME PART IV: BEHAVIORAL GOALS**

13. Behavioral Goal(s)

The above behavioral goal(s) are to:  Reduce frequency of problem behavior     Increase use of replacement behavior

Develop new general skills that remove student's need to use the problem behavior

**Conclusions**

Are curriculum accommodations or modifications also necessary? Where described:  **Yes**     **No**

Are environmental supports/changes necessary?  **Yes**     **No**

Is reinforcement of alternative behavior alone enough (no new teaching is necessary)?  **Yes**     **No**

Are both teaching of new alternative behavior AND reinforcement needed?  **Yes**     **No**

This BSP to be coordinated with other agency's service plans?  **Yes**     **No**

Person responsible for contact between agencies

**COMMUNICATION PART V: COMMUNICATION PROVISIONS**

14. Manner and frequency of communication, all participants:

Between?

Frequency?

**PARTICIPATION PART VI: PARTICIPANTS IN PLAN DEVELOPMENT**

Student:

Parent/Guardian:

Educator and Title:

Educator and Title:

Educator and Title:

Administrator:

Administrator:

Other:

Other:

|    | B   | C | D  | E  | F | G                | H                    |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
|----|---|---|--|--|---|------------------|----------------------|--------------|--|--|---|--|---------------|--|--|--|--|--|---------------|--|--|--|--|--|---------------|--|--|--|--|--|-----------------------------|
| 3  | <b>Project</b>  |   | <i>Statewide Student Safety and Support Portal</i> |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 4  |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 5  | <b>Agency</b>   |   | <i>Department of Education</i>                     |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 6  | <b>FY 2022-23 LBR Issue Code:</b>   |   |  | <b>FY 2022-23 LBR Issue Title:</b>                 |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 7  | <i>40006C0</i>  |   |  | <i>Statewide Student Safety and Support Portal</i> |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>  |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 9  | <i>Andre Smith, (850)245-0428 Andre.Smith@Fldoe.org</i>   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 10 | <b>Executive Sponsor</b>  |   | <i>Tim Hay</i>                                     |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 11 | <b>Project Manager</b>  |   | <i>To be hired</i>                                 |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 12 | <b>Prepared By</b>  |   | <i>Cassandra Grayson</i>                           |  |   | <i>8/23/2022</i> |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 14 | <b>Risk Assessment Summary</b>  |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 15 | <div style="display: flex; align-items: 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%;"></td> </tr> </table> </div> <p style="text-align: center; margin-top: 10px;"><b>Level of Project Risk</b></p> <div style="display: flex; justify-content: space-between; font-size: small;"> <span>Least Risk</span> <span>Most Risk</span> </div> |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
|    |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
|    |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 16 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 17 |   |   |  |  |   |                  |                      | Most Aligned |  |  | ◆ |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 18 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 19 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 20 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 21 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 22 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 23 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 24 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 25 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 26 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 27 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 28 | Least Aligned   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 29 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 30 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 31 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 32 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 34 | <b>Project Risk Area Breakdown</b>  |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 35 | <b>Risk Assessment Areas</b>  |   |  |  |   |                  | <i>Risk Exposure</i> |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 36 |   |   |  |  |   |                  | <b>MEDIUM</b>        |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 37 |   |   |  |  |   |                  | <b>MEDIUM</b>        |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 38 |   |   |  |  |   |                  |                      |              |  |  |   |  | <b>MEDIUM</b> |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 39 |   |   |  |  |   |                  |                      |              |  |  |   |  | <b>MEDIUM</b> |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  |                             |
| 40 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  | <b>MEDIUM</b> |  |  |  |  |  |               |  |  |  |  |  |                             |
| 41 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  | <b>MEDIUM</b> |  |  |  |  |  |               |  |  |  |  |  |                             |
| 42 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b> |  |  |  |  |  |                             |
| 43 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b> |  |  |  |  |  |                             |
| 44 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 45 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 46 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 47 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 48 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 49 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 50 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 51 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 52 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <b>MEDIUM</b>               |
| 53 |   |   |  |  |   |                  |                      |              |  |  |   |  |               |  |  |  |  |  |               |  |  |  |  |  |               |  |  |  |  |  | <i>Overall Project Risk</i> |

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

|    | B                               | C  | D  | E  |
|----|---------------------------------|--|--|--|
| 1  | Agency: Department of Education |  | Project: Statewide Student Safety and Support Portal   |  |
| 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   | Minor or no infrastructure change required   |
| 20 |                                 |  | Moderate infrastructure change required  |  |
| 21 |                                 |  | Extensive infrastructure change required   |  |
| 22 |                                 |  | Complete infrastructure replacement  |  |
| 23 | 2.06                            | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are defined only at a conceptual level   |
| 24 |                                 |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |                                 |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education                           |  | Project: Statewide Student Safety and Support Portal                             |  |
| 3  | <b>Section 3 -- Organizational Change Management Area</b> |  |  |  |
| 4  | <b>#</b>  | <b>Criteria</b>  | <b>Values</b>  | <b>Answer</b>  |
| 5  | 3.01  | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes         | Minimal changes to organization structure, staff or business processes structure |
| 6  |   |  | Moderate changes to organization structure, staff or business processes          |  |
| 7  |   |  | Minimal changes to organization structure, staff or business processes structure |  |
| 8  | 3.02  | Will this project impact essential business processes?   | Yes  | Yes  |
| 9  |   |  | No   |  |
| 10 | 3.03  | Have all business process changes and process interactions been defined and documented?  | 0% to 40% -- Few or no process changes defined and documented                    | 0% to 40% -- Few or no process changes defined and documented                    |
| 11 |   |  | 41% to 80% -- Some process changes defined and documented                        |  |
| 12 |   |  | 81% to 100% -- All or nearly all processes defined and documented                |  |
| 13 | 3.04  | Has an Organizational Change Management Plan been approved for this project?   | Yes  | Yes  |
| 14 |   |  | No   |  |
| 15 | 3.05  | Will the agency's anticipated FTE count change as a result of implementing the project?  | Over 10% FTE count change  | Less than 1% FTE count change  |
| 16 |   |  | 1% to 10% FTE count change   |  |
| 17 |   |  | Less than 1% FTE count change  |  |
| 18 | 3.06  | Will the number of contractors change as a result of implementing the project?   | Over 10% contractor count change   | Less than 1% contractor count change   |
| 19 |   |  | 1 to 10% contractor count change   |  |
| 20 |   |  | Less than 1% contractor count change   |  |
| 21 | 3.07  | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?        | Extensive change or new way of providing/receiving services or information)      | Minor or no changes  |
| 22 |   |  | Moderate changes   |  |
| 23 |   |  | Minor or no changes  |  |
| 24 | 3.08  | What is the expected change impact on other state or local government agencies as a result of implementing the project?                | Extensive change or new way of providing/receiving services or information       | Minor or no changes  |
| 25 |   |  | Moderate changes   |  |
| 26 |   |  | Minor or no changes  |  |
| 27 | 3.09  | Has the agency successfully completed a project with similar organizational change requirements?                                       | No experience/Not recently (>5 Years)  | Recently completed project with similar change requirements                      |
| 28 |   |  | Recently completed project with fewer change requirements                        |  |
| 29 |   |  | Recently completed project with similar change requirements                      |  |
| 30 |   |  | Recently completed project with greater change requirements                      |  |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Agency Name                    |  | Project: Project Name  |  |
| 3  | <b>Section 4 -- Communication Area</b> |  |  |  |
| 4  | #                                      | Criteria   | Value Options  | Answer   |
| 5  | 4.01                                   | Has a documented Communication Plan been approved for this project?  | Yes  | Yes  |
| 6  |  |  | No   |  |
| 7  | 4.02                                   | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan                                    | Routine feedback in Plan                               |
| 8  |  |  | Routine feedback in Plan   |  |
| 9  |  |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                                   | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | Yes  |
| 11 |  |  | No   |  |
| 12 | 4.04                                   | Are all affected stakeholders included in the Communication Plan?  | Yes  | Yes  |
| 13 |  |  | No   |  |
| 14 | 4.05                                   | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Some key messages have been developed                  |
| 15 |  |  | Some key messages have been developed                                |  |
| 16 |  |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                                   | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Success measures have been developed for some messages |
| 18 |  |  | Success measures have been developed for some messages               |  |
| 19 |  |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                                   | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | Yes  |
| 21 |  |  | No   |  |

|    | B                               | C  | D   | E   |
|----|---------------------------------|--|---|---|
| 1  | Agency: Department of Education |  | Project: Statewide Student Safety and Support Portal  |   |
| 3  | Section 5 -- Fiscal Area        |  |   |   |
| 4  | #                               | Criteria   | Values  | Answer  |
| 5  | 5.01                            | Has a documented Spending Plan been approved for the entire project lifecycle?   | Yes   | Yes   |
| 6  |                                 |  | No  |   |
| 7  | 5.02                            | Have all project expenditures been identified in the Spending Plan?  | 0% to 40% -- None or few defined and documented   | 41% to 80% -- Some defined and documented   |
| 8  |                                 |  | 41% to 80% -- Some defined and documented   |   |
| 9  |                                 |  | 81% to 100% -- All or nearly all defined and documented   |   |
| 10 | 5.03                            | What is the estimated total cost of this project over its entire lifecycle?  | Unknown   | Between \$2 M and \$10 M  |
| 11 |                                 |  | Greater than \$10 M   |   |
| 12 |                                 |  | Between \$2 M and \$10 M  |   |
| 13 |                                 |  | Between \$500K and \$1,999,999  |   |
| 14 |                                 |  | Less than \$500 K   |   |
| 15 | 5.04                            | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?   | Yes   | Yes   |
| 16 |                                 |  | No  |   |
| 17 | 5.05                            | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Order of magnitude – estimate could vary between 10-100%  |
| 18 |                                 |  | Order of magnitude – estimate could vary between 10-100%  |   |
| 19 |                                 |  | Placeholder – actual cost may exceed estimate by more than 100%                                       |   |
| 20 | 5.06                            | Are funds available within existing agency resources to complete this project?   | Yes   | No  |
| 21 |                                 |  | No  |   |
| 22 | 5.07                            | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency  |
| 23 |                                 |  | Funding from local government agencies  |   |
| 24 |                                 |  | Funding from other state agencies   |   |
| 25 | 5.08                            | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Not applicable  |
| 26 |                                 |  | Requested but not received  |   |
| 27 |                                 |  | Requested and received  |   |
| 28 |                                 |  | Not applicable  |   |
| 29 | 5.09                            | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | Some project benefits have been identified but not validated  |
| 30 |                                 |  | Some project benefits have been identified but not validated  |   |
| 31 |                                 |  | Most project benefits have been identified but not validated  |   |
| 32 |                                 |  | All or nearly all project benefits have been identified and validated                                 |   |
| 33 | 5.10                            | What is the benefit payback period that is defined and documented?   | Within 1 year   | No payback  |
| 34 |                                 |  | Within 3 years  |   |
| 35 |                                 |  | Within 5 years  |   |
| 36 |                                 |  | More than 5 years   |   |
| 37 |                                 |  | No payback  |   |
| 38 | 5.11                            | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?   | Procurement strategy has not been identified and documented   | Stakeholders have reviewed and approved the proposed procurement strategy                             |
| 39 |                                 |  | Stakeholders have not been consulted re: procurement strategy   |   |
| 40 |                                 |  | Stakeholders have reviewed and approved the proposed procurement strategy                             |   |
| 41 | 5.12                            | What is the planned approach for acquiring necessary products and solution services to successfully complete the project?  | Time and Expense (T&E)  | Combination FFP and T&E   |
| 42 |                                 |  | Firm Fixed Price (FFP)  |   |
| 43 |                                 |  | Combination FFP and T&E   |   |
| 44 | 5.13                            | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Just-in-time purchasing of hardware and software is documented in the project schedule                |
| 45 |                                 |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |   |
| 46 |                                 |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |   |
| 47 | 5.14                            | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager assigned is not the procurement manager or the project manager                       |
| 48 |                                 |  | Contract manager is the procurement manager   |   |
| 49 |                                 |  | Contract manager is the project manager   |   |
| 50 |                                 |  | Contract manager assigned is not the procurement manager or the project manager                       |   |
| 51 | 5.15                            | Has equipment leasing been considered for the project's large-scale computing purchases?   | Yes   | No  |
| 52 |                                 |  | No  |   |
| 53 | 5.16                            | Have all procurement selection criteria and outcomes been clearly identified?  | No selection criteria or outcomes have been identified  | Some selection criteria and outcomes have been defined and documented                                 |
| 54 |                                 |  | Some selection criteria and outcomes have been defined and documented                                 |   |
| 55 |                                 |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |   |
| 56 | 5.17                            | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| 57 |                                 |  | Multi-stage evaluation not planned/used for procurement   |   |
| 58 |                                 |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |   |
| 59 | 5.18                            | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Not applicable  |
| 60 |                                 |  | No, bid response did/will not require proof of concept or prototype                                   |   |
| 61 |                                 |  | Yes, bid response did/will include proof of concept or prototype                                      |   |
| 62 |                                 |  | Not applicable  |   |
| 63 |                                 |  |   |   |
| 64 |                                 |  |   |   |
| 65 |                                 |  |   |   |
| 66 |                                 |  |   |   |



|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Department of Education        |  | Project: Statewide Student Safety and Support Portal   |  |
| 3  | Section 6 -- Project Organization Area |  |  |  |
| 4  | #                                      | Criteria   | Values   | Answer   |
| 5  | 6.01                                   | Is the project organization and governance structure clearly defined and documented within an approved project plan?   | Yes  | Yes  |
| 6  |  |  | No   |  |
| 7  | 6.02                                   | Have all roles and responsibilities for the executive steering committee been clearly identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 8  |  |  | Some have been defined and documented  |  |
| 9  |  |  | All or nearly all have been defined and documented   |  |
| 10 | 6.03                                   | Who is responsible for integrating project deliverables into the final solution?   | Not yet determined   | 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  | 1  |
| 14 |  |  | 2  |  |
| 15 |  |  | 1  |  |
| 16 | 6.05                                   | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented |
| 17 |  |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |  |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06                                   | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | Yes, experienced project manager dedicated full-time, 100% to project                              |
| 20 |  |  | No, project manager is assigned 50% or less to project   |  |
| 21 |  |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |  |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07                                   | Are qualified project management team members dedicated full-time to the project   | None   | Yes, business, functional or technical experts dedicated full-time, 100% to project                |
| 24 |  |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |  |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |  |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08                                   | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Few or no staff from in-house resources  |
| 28 |  |  | Half of staff from in-house resources  |  |
| 29 |  |  | Mostly staffed from in-house resources   |  |
| 30 |  |  | Completely staffed from in-house resources   |  |
| 31 | 6.09                                   | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |  |  | Moderate impact  |  |
| 33 |  |  | Extensive impact   |  |
| 34 | 6.10                                   | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |  |  | No   |  |
| 36 | 6.11                                   | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager  |
| 37 |  |  | No, only IT staff are on change review and control board   |  |
| 38 |  |  | No, all stakeholders are not represented on the board  |  |
| 39 |  |  | Yes, all stakeholders are represented by functional manager  |  |

|    | B                                    | C  | D  | E  |
|----|--------------------------------------|--|--|--|
| 1  | Agency: Department of Education      |  | Project: Statewide Student Safety and Support Portal   |  |
| 3  | Section 7 -- Project Management Area |  |  |  |
| 4  | #                                    | Criteria   | Values   | Answer   |
| 5  | 7.01                                 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | Yes  |
| 6  |                                      |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |                                      |  | Yes  |  |
| 8  | 7.02                                 | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |                                      |  | 1-3  |  |
| 10 |                                      |  | More than 3  |  |
| 11 | 7.03                                 | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | All or nearly all  |
| 12 |                                      |  | Some   |  |
| 13 |                                      |  | All or nearly all  |  |
| 14 | 7.04                                 | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 15 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05                                 | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 18 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06                                 | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 41 to 80% -- Some are traceable  |
| 21 |                                      |  | 41 to 80% -- Some are traceable  |  |
| 22 |                                      |  | 81% to 100% -- All or nearly all requirements and specifications are traceable   |  |
| 23 | 7.07                                 | Have all project deliverables/services and acceptance criteria been clearly defined and documented?  | None or few have been defined and documented   | Some deliverables and acceptance criteria have been defined and documented   |
| 24 |                                      |  | Some deliverables and acceptance criteria have been defined and documented   |  |
| 25 |                                      |  | All or nearly all deliverables and acceptance criteria have been defined and documented  |  |
| 26 | 7.08                                 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required   | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 |                                      |  | Only project manager signs-off   |  |
| 28 |                                      |  | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |  |
| 29 | 7.09                                 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?  | 0% to 40% -- None or few have been defined to the work package level   | 41 to 80% -- Some have been defined to the work package level  |
| 30 |                                      |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |                                      |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10                                 | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | No   |
| 33 |                                      |  | No   |  |
| 34 | 7.11                                 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | Yes  |
| 35 |                                      |  | No   |  |
| 36 | 7.12                                 | Are formal project status reporting processes documented and in place to manage and control this project?  | No or informal processes are used for status reporting   | Project team uses formal processes   |
| 37 |                                      |  | Project team uses formal processes   |  |
| 38 |                                      |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13                                 | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | All planning and reporting templates are available   |
| 40 |                                      |  | Some templates are available   |  |
| 41 |                                      |  | All planning and reporting templates are available   |  |
| 42 | 7.14                                 | Has a documented Risk Management Plan been approved for this project?  | Yes  | Yes  |
| 43 |                                      |  | No   |  |
| 44 | 7.15                                 | Have all known project risks and corresponding mitigation strategies been identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 45 |                                      |  | Some have been defined and documented  |  |
| 46 |                                      |  | All known risks and mitigation strategies have been defined  |  |
| 47 | 7.16                                 | Are standard change request, review and approval processes documented and in place for this project?   | Yes  | Yes  |
| 48 |                                      |  | No   |  |
| 49 | 7.17                                 | Are issue reporting and management processes documented and in place for this project?   | Yes  | Yes  |
| 50 |                                      |  | No   |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education             |  | Project: Statewide Student Safety and Support Portal   |  |
| 2  |   |  |  |  |
| 3  | <b>Section 8 -- Project Complexity Area</b> |  |  |  |
| 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  | 3 sites or fewer   |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | 1 to 3 external organizations  |
| 16 |   |  | 1 to 3 external organizations  |  |
| 17 |   |  | More than 3 external organizations   |  |
| 18 | 8.05  | What is the expected project team size?  | Greater than 15  | 5 to 8   |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | More than 4  |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Business process change in single division or bureau   |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Greater size and complexity  |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity  |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |

CBAForm 1 - Net Tangible Benefits

|        |                                 |         |                               |
|--------|---------------------------------|---------|-------------------------------|
| Agency | Florida Department of Education | Project | de Student Safety and Support |
|--------|---------------------------------|---------|-------------------------------|

| 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<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2023-24                    |                                |  | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |  |  | FY 2027-28                    |                                |  |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |  |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| <b>A.b Total Staff</b>  | 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>B. Application Maintenance Costs</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$3,945,000                    | \$3,945,000  | \$1,945,000                   | \$0                            | \$1,945,000  | \$1,945,000                   | \$0  | \$1,945,000  | \$1,945,000                   | \$0                            | \$1,945,000  |  |
| B-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| B-3. Software   | \$0                           | \$0                            | \$0  | \$0                           | \$3,920,000                    | \$3,920,000  | \$1,920,000                   | \$0                            | \$1,920,000  | \$1,920,000                   | \$0  | \$1,920,000  | \$1,920,000                   | \$0                            | \$1,920,000  |  |
| B-4. Other <i>CO Package per employee</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$25,000                       | \$25,000   | \$25,000                      | \$0                            | \$25,000   | \$25,000                      | \$0  | \$25,000   | \$25,000                      | \$0                            | \$25,000   |  |
| <b>C. Data Center Provider Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| C-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| C-3. Network / Hosting Services   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| C-4. Disaster Recovery  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| C-5. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |  |
| <b>D. Plant &amp; Facility Costs (rent)</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$5,000                        | \$5,000  | \$5,000                       | \$0                            | \$5,000  | \$5,000                       | \$0  | \$5,000  | \$5,000                       | \$0                            | \$5,000  |  |
| <b>E. Other Costs</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$50,000                       | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0  | \$50,000   | \$50,000                      | \$0                            | \$50,000   |  |
| 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>EdTech cost recovery/SSO</i>  | \$0                           | \$0                            | \$0  | \$0                           | \$50,000                       | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0  | \$50,000   | \$50,000                      | \$0                            | \$50,000   |  |
| <b>Total of Recurring Operational Costs</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$4,000,000                    | \$4,000,000  | \$2,000,000                   | \$0                            | \$2,000,000  | \$2,000,000                   | \$0  | \$2,000,000  | \$2,000,000                   | \$0                            | \$2,000,000  |  |
| <b>F. Additional Tangible Benefits:</b>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |  |
| F-1. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |  |
| F-2. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |  |
| F-3. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |  |
| <b>Total Net Tangible Benefits:</b>   |                               | \$0                            |  |                               | (\$4,000,000)                  |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |  |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |                     |               |
|--|---------------------|---------------|
| Choose Type  | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous <input type="checkbox"/>                 | Confidence Level    |               |
| Order of Magnitude <input checked="" type="checkbox"/>     | Confidence Level    | 75%           |
| 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  | Florida Department of Education  | Statewide Student Safety and Support Portal |                        |   |              |              |                  |              |              |                  |              |              |                  |              |              |                  |              |              |                  |               |      |      |               |
|    | 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. |   |                        |   |              | FY2023-24    |                  | FY2024-25    |              | FY2025-26        |              | FY2026-27    |                  | FY2027-28    |              | TOTAL            |              |              |                  |               |      |      |               |
| 2  |  |   |                        |   |              | \$ 4,000,000 |                  | \$ 2,000,000 |              | \$ 2,000,000     |              | \$ 2,000,000 |                  | \$ 2,000,000 |              | \$ 12,000,000    |              |              |                  |               |      |      |               |
| 3  |  |   |                        |   |              |              |                  |              |              |                  |              |              |                  |              |              |                  |              |              |                  |               |      |      |               |
| 4  | Item Description<br>(remove guidelines and annotate entries here)  | Project Cost Element                        | Appropriation Category | Current & Previous Years Project-Related Cost | YR 1 #       | YR 1 LBR     | YR 1 Base Budget | YR 2 #       | YR 2 LBR     | YR 2 Base Budget | YR 3 #       | YR 3 LBR     | YR 3 Base Budget | YR 4 #       | YR 4 LBR     | YR 4 Base Budget | YR 5 #       | YR 5 LBR     | YR 5 Base Budget | TOTAL         |      |      |               |
| 5  | Costs for all state employees working on the project.  | FTE   | S&B                    | \$ -  | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | \$ -          | \$ - | \$ - | \$ -          |
| 6  | Costs for all OPS employees working on the project.  | OPS   | OPS                    | \$ -  | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | \$ -          | \$ - | \$ - | \$ -          |
| 7  | Staffing costs for personnel using Time & Expense.   | Staff Augmentation                          | Contracted Services    | \$ -  | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | \$ -          | \$ - | \$ - | \$ -          |
| 8  | Project management personnel and related deliverables.   | Project Management                          | Contracted Services    | \$ -  | 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    | \$ -  | \$ 3,920,000 | \$ -         | \$ -             | \$ 1,920,000 | \$ -         | \$ -             | \$ 1,920,000 | \$ -         | \$ -             | \$ 1,920,000 | \$ -         | \$ -             | \$ 1,920,000 | \$ -         | \$ -             | \$ 1,920,000  | \$ - | \$ - | \$ 11,600,000 |
| 15 | All first-time training costs associated with the project.   | Training                                    | Contracted Services    | \$ -  | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -          | \$ - | \$ - | \$ -          |
| 16 | Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.  | Data Center Services - One Time Costs       | Data Center Category   | \$ -  | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -          | \$ - | \$ - | \$ -          |
| 17 | Other contracted services not included in other categories.  | Other Services                              | Ed tech                | \$ -  | \$ 50,000    | \$ -         | \$ -             | \$ 50,000    | \$ -         | \$ -             | \$ 50,000    | \$ -         | \$ -             | \$ 50,000    | \$ -         | \$ -             | \$ 50,000    | \$ -         | \$ -             | \$ 50,000     | \$ - | \$ - | \$ 250,000    |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)  | Equipment                                   | Expense                | \$ -  | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -         | \$ -         | \$ -             | \$ -          | \$ - | \$ - | \$ -          |
| 19 | Include costs associated with leasing space for project personnel.   | Leased Space                                | Expense                | \$ -  | \$ 5,000     | \$ -         | \$ -             | \$ 5,000     | \$ -         | \$ -             | \$ 5,000     | \$ -         | \$ -             | \$ 5,000     | \$ -         | \$ -             | \$ 5,000     | \$ -         | \$ -             | \$ 5,000      | \$ - | \$ - | \$ 25,000     |
| 20 | Other project expenses not included in other categories.   | Other Expenses                              | Expense                | \$ -  | \$ 25,000    | \$ -         | \$ -             | \$ 25,000    | \$ -         | \$ -             | \$ 25,000    | \$ -         | \$ -             | \$ 25,000    | \$ -         | \$ -             | \$ 25,000    | \$ -         | \$ -             | \$ 25,000     | \$ - | \$ - | \$ 125,000    |
| 21 |  | Total                                       |                        | \$ -  | 0.00         | \$ 4,000,000 | \$ -             | 0.00         | \$ 2,000,000 | \$ -             | 0.00         | \$ 2,000,000 | \$ -             | 0.00         | \$ 2,000,000 | \$ -             | 0.00         | \$ 2,000,000 | \$ -             | \$ 12,000,000 | \$ - | \$ - | \$ 12,000,000 |

CBAForm 2 - Project Cost Analysis

|   |   |
|---|---|
| Agency <u>Florida Department of Education</u> | Project <u>Statewide Student Safety and Support Program</u> |
|---|---|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |               |               |               |               | TOTAL        |
|---|--|---------------|---------------|---------------|---------------|--------------|
|   | FY<br>2023-24                          | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |              |
| TOTAL PROJECT COSTS (*)   | \$4,000,000                            | \$2,000,000   | \$2,000,000   | \$2,000,000   | \$2,000,000   | \$12,000,000 |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$4,000,000                            | \$6,000,000   | \$8,000,000   | \$10,000,000  | \$12,000,000  |              |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |               |               |               |               |              |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |               |               |               |               | TOTAL        |
|--|--------------------------------------|---------------|---------------|---------------|---------------|--------------|
|  | FY<br>2023-24                        | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |              |
| General Revenue                        | \$4,000,000                          | \$2,000,000   | \$2,000,000   | \$2,000,000   | \$2,000,000   | \$12,000,000 |
| 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                       | \$4,000,000                          | \$2,000,000   | \$2,000,000   | \$2,000,000   | \$2,000,000   | \$12,000,000 |
| CUMULATIVE INVESTMENT                  | \$4,000,000                          | \$6,000,000   | \$8,000,000   | \$10,000,000  | \$12,000,000  |              |

| Characterization of Project Cost Estimate - CBAForm 2C |   |                     |               |
|--|---|---------------------|---------------|
| Choose Type  |   | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous                                      |   | Confidence Level    |               |
| Order of Magnitude                                     | x | Confidence Level    | 75%           |
| Placeholder  |   | Confidence Level    |               |

CBAForm 3 - Project Investment Summary

Agency Florida Department of Education Project Statewide Student Safety and Support

| <b>COST BENEFIT ANALYSIS -- CBAForm 3A</b> |               |               |               |               |               |                        |
|--|---------------|---------------|---------------|---------------|---------------|------------------------|
|  | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | TOTAL FOR ALL<br>YEARS |
| Project Cost                               | \$4,000,000   | \$2,000,000   | \$2,000,000   | \$2,000,000   | \$2,000,000   | \$12,000,000           |
| Net Tangible Benefits                      | \$0           | (\$4,000,000) | \$0           | \$0           | \$0           | (\$4,000,000)          |
| Return on Investment                       | (\$4,000,000) | (\$6,000,000) | (\$2,000,000) | (\$2,000,000) | (\$2,000,000) | (\$16,000,000)         |
| Year to Year Change in Program Staffing    | 0             | 0             | 0             | 0             | 0             |                        |

| <b>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</b> |                |   |
|--|----------------|---|
| Payback Period (years)                             | NO PAYBACK     | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                              | NO PAYBACK     | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                            | (\$14,676,465) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR)                      | NO IRR         | IRR is the project's rate of return.  |

| <b>Investment Interest Earning Yield -- CBAForm 3C</b> |               |               |               |               |               |
|--|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year  | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |
| Cost of Capital  | 3.50%         | 3.50%         | 3.60%         | 3.60%         | 3.60%         |



# Project Management Plan

## Statewide Student Safety and Support Portal Project Department of Education

### Contact Information

To request copies, suggest changes, or submit corrections, contact:  
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### Revision History

| Date      | Version | Revised By           | Description                |
|-----------|---------|----------------------|----------------------------|
| 8/10/2022 | .1      | Cassandra J. Grayson | Revised w/ Master Template |
|           |         |                      |                            |



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## Introduction

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The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Division of Technology & Innovation - Risk Assessment Mitigation (RAM) Project. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

- Introduction
- Project Charter
- Scope Management Plan
- Work Breakdown Structure (WBS)
- Resource Breakdown Structure (RBS)
- Master Project Schedule
- Schedule Management Plan
- Work Management Plan
- Spending Plan
- Communication Plan
- Risk Management Plan
- Issue Management Plan
- Quality Management Plan
- Change Management Plan
- Procurement Management Plan
-

## 2. Project Charter

The Project Charter for the Florida Department of Education, Division of Technology & Innovation - Risk Assessment Mitigation Project formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and, it recognizes the project manager role and gives the project manager the authority to "get the job done." The document is due at initiation of the project.

### 2.1 Overview

The Florida Department of Education (FDOE) completed an internal reassessment of the Information Technology (IT) Security Program. The assessment considers the Enterprise Cybersecurity tools provided by the Florida Digital Service (FL[DS]), enabling hardware and software asset management, endpoint protection and centralizing Cybersecurity monitoring. The request provided in this LBR addresses information security and risk management gaps that FDOE needs to address in order to improve the maturity of the overall security program. If this legislative budget request is not funded, a wide range of sensitive data of employees, students and teachers could be targets for cyber-attacks and compromised. Thus, FDOE information security needs staff and resources to stay ahead of existing and developing threats.

### 2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction
- Business Need
- Strategic Goals
- Project Scope
- Budget Estimate and Summary Project Schedule
- Assumptions and Constraints
- Project Team and Stakeholders
- Critical Success Factors
- Project Approvals
- Appendix A
-

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### 3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification Scope Control
- 3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for acceptance.

Upon approval of scope changes by the Change Control Board and Project Sponsor the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.

### 4. Work Breakdown Structure

The work required to complete this project is subdivided into individual work packages. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

The project is organized in phases and coincides with the Project Management Institute, Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK®)

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Guide) – Fourth Edition standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

The Project had a previous WBS that was based on an internal Modernization and Application Improvement project approach that was executed to about 50% when it was realized that the existing Licensing System obsolescence prevented the completion of the original plan. After a full Project review it was decided that a full replacement of the Licensing System was required to meet Project goals. After an Analysis of Alternatives (AoA): Design and Develop a new system internally, purchase a Commercial off the Shelf (COTS) solution, or procure a Managed Service/Cloud based solution; it was decided to pursue the procurement of a COTS solution that met requirements. As the installation, deployment, acceptance testing, launch, and training will be provided by the Vendor, a new WBS is not available at this time. As soon as it is provided by the Vendor, a link to it will be provided in this document.

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## 5. Resource Breakdown Structure

The Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

Executive Sponsor - 1

Project Sponsor – 1

Project Manager – 1

Systems or Enterprise Architect/Technical Lead (Developer) – 1

Quality Assurance Analyst – 1

Security Analyst – 2

Developers – 1

DBA – 1 (assistance as needed)

## 6. Master Project Schedule

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The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained Microsoft Project. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

### 6.1 Schedule Management Plan

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

The Schedule Management Plan is organized into the following sections:

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

#### Schedule Management Approach

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

#### Schedule Tool/Format

Project schedules will be created using Microsoft Project.

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

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

#### Schedule Milestones

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

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

- Completion of scope statement, Work Breakdown Structure (WBS) and Resource Breakdown Structure (RBS)

- Baselined project schedule
- Approval of final project budget
- Project kick-off
- Approval of roles and responsibilities
- Requirements definition approval
- Completion of data mapping/inventory
- Project implementation
- Acceptance of final deliverables
- 

#### Project Manager Roles and Responsibilities

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

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.
- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

#### Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

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

#### Work Breakdown Structure

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



The WBS for the RAM Project is organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing.

#### Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

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

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

#### Reporting

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

#### Schedule Changes

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

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

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

#### Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The Change Management process and will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

#### Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

#### Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.

## 7. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies

---

## 8. Spending Management Plan

This section presents the project spending plan and the high level project schedule for the Microsoft Project.

### 8.1 Spending Plan

The table below shows the cost of the project projected for 2023-24.

Table 1: Summary Spending Plan

|   |                        |
|---|------------------------|
| Recurring Costs                         |                        |
| Services, subscriptions, maintenance    | \$ 738,400.00          |
| Staffing (FTE's and Contractors)        | <u>\$ 1,088,100.00</u> |
| Total Recurring Costs                   | \$ 1,826,500.00        |
| One-Time Initial Total Costs - Year One |                        |
| Recurring Costs                         | \$ 1,826,500.00        |
| Capital Expenses                        | \$ 910,000.00          |
| Temporary Staffing                      | <u>\$ 470,080.00</u>   |
| Total Amount to be Requested            | \$ 3,206,580.00        |

## 9. Communication Plan

The Communication Plan describes the planned and periodic communications between the RAM and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

- Introduction
- Roles and Responsibilities
- Communication Types
- Communication Management
- Appendix
- 

The Communication Plan is filed for reference in the Project Documentation Folder.

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## 10. Risk Management Plan

This section presents the Risk Management Plan for the RAM Project. A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

### 10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

### 10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy
- Risk Management Database
- Risk Breakdown Structure

Risks are reported separately in the SharePoint™ Risk Management Database.

#### Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

#### Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the RAM Project.<sup>1</sup> The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the RAM Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the RAM Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

#### Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

---

<sup>1</sup> David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

| Risk Probability |           |                      |
|------------------|-----------|----------------------|
| Low              | < 30%     | unlikely to occur    |
| Medium           | 31% - 50% | may occur            |
| High             | 51% - 80% | probably will occur  |
| Very High        | > 80%     | very likely to occur |

| Risk Impact |                      |   |                          |
|-------------|----------------------|---|--------------------------|
|             | <u>Cost Increase</u> | <u>Scope Change</u>   | <u>Schedule Increase</u> |
| Minor       | < 5%                 | Barely  | < 5%                     |
| Moderate    | 5% - 8%              | Minor areas of deliverable(s)   | 5% - 10%                 |
| Serious     | 9% - 10%             | Major areas of deliverable(s)   | 11% - 15%                |
| Critical    | > 10%                | Failure to complete deliverable or failure to achieve project objective | >15%                     |

| Probability x Impact Rank |              |                 |                |                 |
|---------------------------|--------------|-----------------|----------------|-----------------|
|                           | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low                       | Low(1)       | Low(1)          | Medium(2)      | High(3)         |
| Medium                    | Low(1)       | Medium(2)       | Medium(2)      | High(3)         |
| High                      | Low(1)       | Medium(2)       | High(3)        | High(3)         |
| Very High                 | Low(1)       | High(3)         | High(3)        | Very High(4)    |

## Risk Response Options

Risk responses are planned using four basic risk response options:

- Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.
- Avoid – take proactive action to eliminate the risk to the project.
- Mitigate – take proactive action to reduce the probability and/or impact of the risk.
- Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the RAM Project Team and the Project Sponsor. Input from RAM subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

## Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date. The initial development of the Risk Management Database will be completed by the RAM Project Team. The Risk Management Database will be updated on an ongoing basis by the RAM Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The RAM Project Team will use the Risk Management Database as the system of record and store it in the RAM SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and RAM Project Team in the weekly status meeting. The RAM Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook, and update the Project Workbook and upload it to the RAM Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

## Risk Management Responsibilities

The responsibility for managing risk is shared between the RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity  | Responsibility  |
|----------------|---|
| Identify risks | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br><br>Initial identification was made by the Project Sponsor and Project Manager. |

|                                       |  |
|---------------------------------------|--|
| Assess risks                          | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial assessment was made by the Project Sponsor and Project Manager.    |
| Plan risk responses                   | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial responses were planned by the Project Sponsor and Project Manager. |
| Approve risk responses                | Project Sponsor  |
| Develop Risk Management Database      | Project Manager and RAM Project Team   |
| Maintain Risk Management Database     | Project Manager  |
| Develop or take risk response actions | Risk Owner   |
| Manage risk responses                 | Project Manager, RAM Project Team  |
| Report risks                          | Project Manager, RAM Project Team  |

#### Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint™. It is reviewed and updated as necessary on a weekly basis.

#### Risk Breakdown Structure (RBS)

| RBS LEVEL 1       | RBS LEVEL 2 |                                     |
|-------------------|-------------|-------------------------------------|
| 1. Technical Risk | 1.1         | Scope Definition                    |
|                   | 1.2         | Requirements Definition             |
|                   | 1.3         | Estimates, Assumptions, Constraints |
|                   | 1.4         | Technical Processes                 |
|                   | 1.5         | Technology                          |



|                    |      |                                |
|--------------------|------|--------------------------------|
|                    | 1.6  | Interfaces                     |
|                    | 1.7  | Design                         |
|                    | 1.8  | Performance                    |
|                    | 1.9  | Reliability & Maintainability  |
|                    | 1.10 | ADA                            |
|                    | 1.11 | Security                       |
|                    | 1.12 | Test & Acceptance              |
| 2. Management Risk | 2.1  | Project Management             |
|                    | 2.2  | Program Management             |
|                    | 2.3  | Operations Management          |
|                    | 2.4  | Organization                   |
|                    | 2.5  | Resourcing                     |
|                    | 2.6  | Communication                  |
|                    | 2.7  | Information                    |
|                    | 2.8  | Health, Safety, & Environment  |
|                    | 2.9  | Quality                        |
|                    | 2.10 | Reputation                     |
| 3. Business Risk   | 3.1  | Contractual Terms & Conditions |
|                    | 3.2  | Internal Procurement           |
|                    | 3.3  | Contractor                     |
|                    | 3.4  | Subcontracts                   |
|                    | 3.5  | Client/Customer Stability      |
|                    | 3.6  | Stakeholders                   |
| 4. External Risk   | 4.1  | Legislation                    |
|                    | 4.2  | Exchange Rates                 |
|                    | 4.3  | Site / Facilities              |
|                    | 4.4  | Environment / Weather          |
|                    | 4.5  | Competition                    |
|                    | 4.6  | Regulatory                     |
|                    | 4.7  | Political                      |
|                    | 4.8  | Country                        |
|                    | 4.9  | Social / Demographic           |
|                    | 4.10 | Pressure Groups                |
|                    | 4.11 | Force Majeure                  |

## 11. Issue Management Plan

---

This section presents the Issue Management plan for the RAM Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

### 11.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- The resolution is in question or lacking agreement among stakeholders
- It is highly visible or involves external stakeholders such as requests or directives from control agencies
  - It has critical deadlines or timeframes that cannot be missed
- It can result in an important decision or resolution for which the rationale and activities must be captured
- for historical purposes it has critical deadlines that may impede project progress.

Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

### 11.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy
- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint™ and maintained there for history.

#### Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance. Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the RAM Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the RAM Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.

## Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the RAM Project Manager via e-mail. Prospective issues shall be entered by the RAM Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly RAM – Reengineering Project Status Meeting.

## Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented SharePoint™. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint™ will be updated weekly as needed by the RAM Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The RAM Project Team will use Microsoft Project as the system of record. The Project Manager will add any new issues identified to Microsoft Project. These items will be discussed with Project Sponsor and RAM Project Team in the weekly status meeting.

## Issue Management Responsibilities

The responsibility for managing issues is shared between the RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity  | Responsibility  |
|-----------------|---|
| Identify issues | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br><br>Initial identification will be made by the Project Sponsor and Project Manager. |

|  |  |
|--|--|
| Validate issues                        | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. |
| Assign issues                          | RAM Project Manager, Project Sponsor, and Project Manager.                               |
| Approve issue responses                | Project Sponsor and/or   |
| Develop Issue Management Database      | Project Manager and RAM Project Team   |
| Maintain Issue Management Database     | Project Manager  |
| Develop or take issue response actions | Issue Owner  |
| Manage issue responses                 | Project Manager, RAM Project Team  |
| Report issues                          | Project Manager, RAM Project Team  |

#### Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the RAM Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible
2. Attempts to resolve must be made by appropriate parties prior to escalation
3. The issue owner, as identified by the issue tracker, completes the Issue Submission Form with a brief issue write-up identifying the issue, concerns, and positions of involved parties
4. The issue owner schedules a meeting to discuss with involved parties
5. The issue is ENTERED on the Issue Register for tracking
6. The issue owner provides the issue write-up at least 24 hours prior to meeting
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered)

9. Once escalation need is identified, notice is sent to the next levels of management (Project Sponsor and )
10. Issue review process is repeated at the next level of management

**Issue Submission Form**

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

**Sample Issue Submission Form**

A sample of the Issue Submission Form is shown on the following page.

| ISSUE SUBMISSION FORM               |                    |                |
|-------------------------------------|--------------------|----------------|
| Issue Number:                       | Reported By:       | Date Reported: |
| Issue Status:                       | Issue Assigned To: | Date Resolved: |
| Description of Issue:               |                    |                |
| Project Impact:                     |                    |                |
| Alternatives and Recommendation(s): |                    |                |
| Final Resolution:                   |                    |                |

12. Quality Management Plan

**Introduction**

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the RAM Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

### Approach

This section describes the approach the RAM Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the RAM Project beginning in the first phase of the project to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

### Quality Management Approach Overview



### Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
  - Ensure the quality of the system development process, project artifacts, and project products to RAM and its
- stakeholder meet their requirements

#### Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

#### Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

#### Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

#### Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

#### Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.

## 13. Change Management Plan

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The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

### Change Management Process

This section provides the Change Management process which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

### Change Request Process Stages

Change Request Initiation: Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.

Change Impact Estimation: Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.

Approvals and Acceptance: The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

### Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage | Step | Description |
|-------|------|-------------|
|-------|------|-------------|



|                   |               |   |
|-------------------|---------------|---|
| Initiation        | Generate CR   | A submitter completes a CR Form and sends the completed form to the Project Manager   |
| Initiation        | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed.                              |
| Impact Estimation | Evaluate CR   | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change   |
| Approval          | Authorize     | Approval to move forward with incorporating the suggested change into the project/product   |
| Approval          | Implement     | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in Appendix A – RAM Change Request Form.

A sample copy of the RAM Change Request Form is provided in the table below:

Table 3. RAM Change Request Form:

| Change Request   |           |            |
|--|-----------|------------|
| Project:   |           | Date:      |
| Change Requestor:  |           | Change No: |
| Change Category (Check all that apply):<br><input type="checkbox"/> Schedule <input type="checkbox"/> Cost <input type="checkbox"/> Scope Requirements/Deliverables<br><input type="checkbox"/> <input type="checkbox"/> Testing/QualityResources    |           |            |
| Does this Change Affect (Check all that apply):<br><input type="checkbox"/> Corrective Action <input type="checkbox"/> Preventative Action <input type="checkbox"/> Defect Repair <input type="checkbox"/> Updates<br><input type="checkbox"/> Other |           |            |
| Describe the Change Being Requested:   |           |            |
| Describe the Reason for the Change:  |           |            |
| Describe all Alternatives Considered:  |           |            |
| Describe any Technical Changes Required to Implement this Change:  |           |            |
| Describe Risks to be Considered for this Change:   |           |            |
| Estimate Resources and Costs Needed to Implement this Change:  |           |            |
| Describe the Implications to Quality:  |           |            |
| Disposition:<br><input type="checkbox"/> Approve <input type="checkbox"/> Reject <input type="checkbox"/> Defer  |           |            |
| Justification of Approval, Rejection, or Deferral:   |           |            |
| Change Board Approval:   |           |            |
| Name   | Signature | Date       |
|  |           |            |
|  |           |            |

#### Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the RAM Change Request Form included in Appendix A – RAM Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

#### Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

#### Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

- a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.
- b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

### Team Member Roles and Responsibilities

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

**Table 4. RASCI Matrix**

|   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
|---|------------------------|--|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|--|
| <b>ROLE Definitions</b>   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>R Responsible</b><br>The person who will perform the task.                             |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>I Informed</b><br>The person(s) who are kept up-to-date on task status.                |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>TASKS/ACTIVITIES</b>   | <b>Project Manager</b> |  | <b>Project Sponsor</b> | <b>Project Oversight Group</b> | <b>Business Analyst Team</b> | <b>Solution Architect</b> | <b>Database Team</b> | <b>Technical Team Lead</b> | <b>Development Team</b> | <b>Maintenance Team Manager</b> | <b>Maintenance Team</b> |  |

| Initiation Tasks              |     |     |   |   |   |   |   |   |   |   |   |
|-------------------------------|-----|-----|---|---|---|---|---|---|---|---|---|
| 1. Generate Change Request.   | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I   | I | I | I | I | I | I | I | I | I |
|                               |     |     |   |   |   |   |   |   |   |   |   |

**Table 2. RASCI Matrix**

| ROLE Definitions  | Project Manager |  | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
|---|-----------------|--|-----------------|-------------------------|-----------------------|--------------------|---------------|---------------------|------------------|--------------------------|------------------|
| <b>R Responsible</b><br>The person who will perform the task.                             |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>I Informed</b><br>The person(s) who are kept up-to-                                    |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |

|                              |     |       |   |     |   |   |   |   |   |   |   |   |
|------------------------------|-----|-------|---|-----|---|---|---|---|---|---|---|---|
| date on task status.         |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>TASKS/ACTIVITIES</b>      |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>Impact Estimate Tasks</b> |     |       |   |     |   |   |   |   |   |   |   |   |
| 5. Evaluate Change Request.  | C   | C,R,A | I | I   | C | C | C | C | C | C | C | C |
| <b>Approval Tasks</b>        |     |       |   |     |   |   |   |   |   |   |   |   |
| 6. Authorize Change Request. | I   | I     | I | A,R | I | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C     | I | I   | I | I | I | I | I | I | I | I |
|                              |     |       |   |     |   |   |   |   |   |   |   |   |

The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

- Introduction
- General Procurement Approach
- Procurement Definition
- Staff Augmentation Procedures
- Hardware/Software Purchasing
- Northwest Regional Data Center (NWRDC) Services Request Procedures
- Procurement Risks
- Procurement Risk Management
- Cost Determination
- Procurement Constraints
- Contract Manager
- Vendor Management
- 

#### Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a Guidebook to Public Procurement to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. It was created by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' Guidebook to Public Procurement is revised each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.

The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify all items to be procured for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

## General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action is selected based on requirements.

## Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, procurement deadlines are usually affected by the project schedule and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. This is usually performed by the Business Analysts on the project team.

## Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that its decision was based upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). It is then up to the Project Sponsor to set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

## Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the RAM Operations Supervisor who will check to see if the item is already available within the Department. If not, then the specifications for the requirements should be provided to the RAM Bureau Chief Staff Assistant so that it can be entered into the MyFloridaMarketPlace eQuote system for purposes of requesting quotes.



## Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

### Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

### Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

### Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

### Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

Schedule: Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.

Cost: Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.

Scope: All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

Resources: All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.

Technology: Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

#### Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
  - a. Contract Manager verifies with the Technical Contact any missing information
  - b. Contract Manager creates the Requisition in MyFloridaMarketPlace (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
  - a. Contract cover sheet
  - b. Purchase Order
  - c. Contract management check list
  - d. RFQ or SOW
  - e. Resume
  - f. Disclosure statement
  - g. Drug-free work place form
  - h. References
  - i. Skills matrix
  - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

#### Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it

complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.

# SCHEDULE IV-B FOR THREAT MANAGEMENT SYSTEM

For Fiscal Year 2023-24



October 11, 2022

DEPARTMENT OF EDUCATION

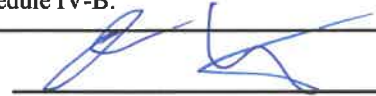
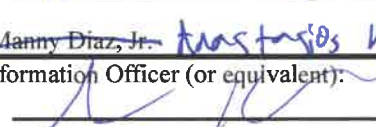
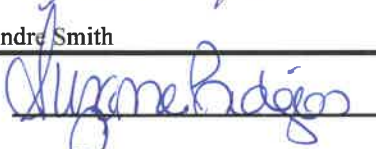
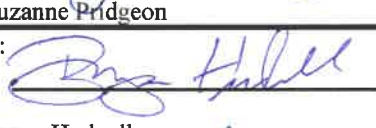
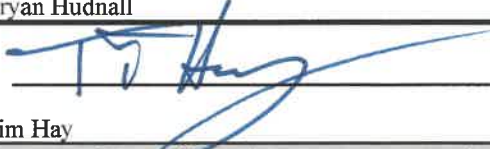
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**SCHEDULE IV-B FOR THREAT MANAGEMENT SYSTEM**

**I. Schedule IV-B Cover Sheet**

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Department of Education  | Schedule IV-B Submission Date: 10/14/2022   |
| Project Name:<br>Threat Management System   | Is this project included in the Agency's LRPP?<br><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| FY 2023-24 LBR Issue Code:<br>40008C0   | FY 2023-24 LBR Issue Title:<br>Threat Management System   |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Andre K. Smith, 850-245-0428, Andre.Smith@fldoe.org  |   |
| AGENCY APPROVAL SIGNATURES  |   |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. |   |
| Agency Head:<br><i>Chief of Staff</i>    | Date:<br>10/13/22   |
| Printed Name: Manny Diaz, Jr. <i>Kostasios Karamouzas</i>   |   |
| Agency Chief Information Officer (or equivalent):   | Date:<br>10/13/22   |
| Printed Name: Andre Smith   |   |
| Budget Officer:    | Date:<br>10/13/22<br><i>dup</i>   |
| Printed Name: Suzanne Pridgeon  |   |
| Planning Officer:    | Date:<br>10/13/22   |
| Printed Name: Bryan Hudnall   |   |
| Project Sponsor:   | Date:<br>10/13/22   |
| Printed Name: Tim Hay   |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Julie Collins <a href="mailto:Julie.Collins@fldoe.org">Julie.Collins@fldoe.org</a> 850-245-0676                       |
| Cost Benefit Analysis:  | Andre K. Smith, <a href="mailto:Andre.Smith@fldoe.org">Andre.Smith@fldoe.org</a> , 850-245-0428                       |
| Risk Analysis:  | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573     |
| Technology Planning:  | Rod King, <a href="mailto:Rod.King@fldoe.org">Rod.King@fldoe.org</a> , 850-245-0342                                   |
| Project Planning:   | Cassandra J. Grayson, <a href="mailto:Cassandra.Grayson@fldoe.org">Cassandra.Grayson@fldoe.org</a> , 850-245-9573     |



## General Guidelines

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

Schedule IV-B is not required for requests to:

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

## Documentation Requirements

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

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

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

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

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

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

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

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

Florida Department of Education (FDOE) is requesting \$3,000,000, half of which is nonrecurring, to implement and maintain a Threat Management System that will allow for the management of reported data for the purposes of threat management, in the presence of imminent danger to health and safety circumstances and delete data identified as "non-threats" as to not maintain a permanent record where a student was not a threat. The system is not intended to be used for managing day to day mental health concerns.

#### 2. Business Objectives

### B. Baseline Analysis

*Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.*

#### 1. Current Business Process(es)

Currently, districts are managing threat data in a variety of ways and the goal is to provide an umbrella Application Programming Interface (API) system. Of the 67 districts, 18 districts have procured such a system, two have built systems in-house, and the remaining 47 are effectively using paper and pencil, spreadsheets, Google documents, etc.

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

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#### 2. Assumptions and Constraints

### C. Proposed Business Process Requirements

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

#### 1. Proposed Business Process Requirements

In order to facilitate a statewide behavioral management solution, this solution should have the following core functionality:

- Generate standard and customized reports;
- Include workflows for routing and approving incident response;
- Web-based interfaces for users to add or edit data on students with substantiated threats; and
- Provision of online support capabilities, training and assistance for users in various media platforms.

#### 2. Business Solution Alternatives

## SCHEDULE IV-B FOR THREAT MANAGEMENT SYSTEM

The department examined three alternatives to meet the business goals of the statewide threat assessment database solution:

- Develop a custom solution in-house
- Outsource a stand-alone custom solution
- Deploy a Commercial Off-the-shelf COTS solution

### 3. Rationale for Selection

In considering the advantages and disadvantages of each alternative, the department also considered the following factors in making a selection:

- Usability
- Maintainability
- Scalability
- Data management
- Security
- Cost
- Risk

### 4. Recommended Business Solution

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

## D. Functional and Technical Requirements

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

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

## III. Success Criteria

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

| SUCCESS CRITERIA TABLE |   |   |                                      |                          |
|------------------------|---|---|--------------------------------------|--------------------------|
| #                      | Description of Criteria   | How will the Criteria be measured/assessed?   | Who benefits?                        | Realization Date (MM/YY) |
| 1                      | Web-based interfaces for users ensures connectivity through Single Sign On credentials. | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | School-based threat assessment teams | August 2024              |
| 2                      | Build workflows for routing and approving incident response.                            | Demonstrated by the contracted provider and acceptance testing performed by the Office                  | School-based threat assessment teams | August 2024              |

**SCHEDULE IV-B FOR THREAT MANAGEMENT SYSTEM**

| SUCCESS CRITERIA TABLE |   |   |                                      |             |
|------------------------|---|---|--------------------------------------|-------------|
|                        |   | of Safe Schools.  |                                      |             |
| 3                      | Ability to add and edit substantiated incidents.  | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | Students                             | August 2024 |
| 4                      | Build standard and customize reports.   | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | School-based threat assessment teams | August 2024 |
| 5                      | Provision of online support capabilities, training and assistance for users in various media platforms. | Demonstrated by the contracted provider and acceptance testing performed by the Office of Safe Schools. | School-based threat assessment teams | August 2024 |

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

**A. Benefits Realization Table**

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

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

| BENEFITS REALIZATION TABLE |                              |                                       |   |  |                          |
|----------------------------|------------------------------|---------------------------------------|---|--|--------------------------|
| #                          | Description of Benefit       | Who receives the benefit?             | How is benefit realized?                      | How is the realization of the benefit measured?              | Realization Date (MM/YY) |
| 1                          | Digitizing incident response | School-based threat assessment teams. | Standardization of substantiated threat data. | Reduction of time required to conduct quantitative analysis. | August 2024              |
| 2                          | Increased data protection.   | Student                               | Access controls                               | Security audits  | August 2024              |

**B. Cost Benefit Analysis (CBA)**

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

## SCHEDULE IV-B FOR THREAT MANAGEMENT SYSTEM

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

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

## V. Schedule IV-B Major Project Risk Assessment

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

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

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

## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System

The Threat Management System currently doesn't exist.

#### 2. Information Technology Standards

The Threat Management System will be architected and implemented based on the information technology standards defined in F.A.C. Chapter 60GG-2 and best practices.

### B. Current Hardware and/or Software Inventory

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

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### C. Proposed Technical Solution

#### 1. Technical Solution Alternatives

Building within the current shared resources at NWRDC or building within a cloud solution are the two technical solution alternatives for this initiative

#### 2. Rationale for Selection

In compliance with s. 282.06, F.S., FDOE has adopted a cloud-first policy to show preference towards cloud-computing solutions.

#### 3. Recommended Technical Solution

Build solution within FDOE cloud resources to minimize long-term sustainability cost.

### D. Proposed Solution Description

#### 1. Summary Description of Proposed System

Deploy a secure cloud-based solution for managing students with substantiated threats in each district, regardless of its size, geographic location or demographic makeup with the following functional

capabilities and features:

- Web/mobile portal;
- Incident response and documentation;
- Automated workflows and notifications;
- Custom reporting functionality; and
- Robust user access and management controls.

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

FLDOE estimates a need of approximately \$3,000,000 for this project.

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

**VII. Schedule IV-B Project Management Planning**

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

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

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

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**VIII. Appendices**

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

- Risk Assessment
- Cost Benefit Analysis
- Project Plan

|    | B  | C         | D                               | E                                  | F | G                | H  |              |  |  |  |  |               |
|----|--|-----------|---------------------------------|------------------------------------|---|------------------|--|--------------|--|--|--|--|---------------|
| 3  | <b>Project</b>   |           | <i>Threat Management System</i> |                                    |   |                  |  |              |  |  |  |  |               |
| 4  |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 5  | <b>Agency</b>  |           | <i>Department of Education</i>  |                                    |   |                  |  |              |  |  |  |  |               |
| 6  | <b>FY 2023-24 LBR Issue Code:</b>  |           |                                 | <b>FY 2023-24 LBR Issue Title:</b> |   |                  |  |              |  |  |  |  |               |
| 7  | <i>40008C0</i>   |           |                                 | <i>Threat Management System</i>    |   |                  |  |              |  |  |  |  |               |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>   |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 9  | <i>Andre K. Smith, 850-245-0428, Andre.smith@fldoe.org</i>   |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 10 | <b>Executive Sponsor</b>   |           | <i>Andre K. Smith</i>           |                                    |   |                  |  |              |  |  |  |  |               |
| 11 | <b>Project Manager</b>   |           | <i>Cassandra J. Grayson</i>     |                                    |   |                  |  |              |  |  |  |  |               |
| 12 | <b>Prepared By</b>   |           | <i>Cassandra J. Grayson</i>     |                                    |   | <i>9/21/2022</i> |  |              |  |  |  |  |               |
| 14 | <b>Risk Assessment Summary</b>   |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 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: 80%; height: 100%;"> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%;"></td> </tr> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%;"></td> </tr> </table> </div> |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
|    |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
|    |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 17 |  |           |                                 |                                    |   |                  |  | Most Aligned |  |  |  |  |               |
| 18 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 19 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 20 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 21 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 22 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 23 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 24 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 25 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 26 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 27 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 28 | Least Aligned  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 30 | Least Risk   | Most Risk |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 31 | <b>Level of Project Risk</b>   |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 32 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 34 | <b>Project Risk Area Breakdown</b>   |           |                                 |                                    |   |                  |  |              |  |  |  |  |               |
| 35 | <b>Risk Assessment Areas</b>   |           |                                 |                                    |   |                  | <i>Risk Exposure</i>                               |              |  |  |  |  |               |
| 36 |  |           |                                 |                                    |   |                  | <b>MEDIUM</b>                                      |              |  |  |  |  |               |
| 37 |  |           |                                 |                                    |   |                  | <b>Strategic Assessment</b>                        |              |  |  |  |  |               |
| 38 |  |           |                                 |                                    |   |                  | <b>Technology Exposure Assessment</b>              |              |  |  |  |  | <b>MEDIUM</b> |
| 39 |  |           |                                 |                                    |   |                  | <b>Organizational Change Management Assessment</b> |              |  |  |  |  | <b>LOW</b>    |
| 40 |  |           |                                 |                                    |   |                  | <b>Communication Assessment</b>                    |              |  |  |  |  | <b>MEDIUM</b> |
| 41 |  |           |                                 |                                    |   |                  | <b>Fiscal Assessment</b>                           |              |  |  |  |  | <b>MEDIUM</b> |
| 42 |  |           |                                 |                                    |   |                  | <b>Project Organization Assessment</b>             |              |  |  |  |  | <b>MEDIUM</b> |
| 43 |  |           |                                 |                                    |   |                  | <b>Project Management Assessment</b>               |              |  |  |  |  | <b>MEDIUM</b> |
| 44 |  |           |                                 |                                    |   |                  | <b>Project Complexity Assessment</b>               |              |  |  |  |  | <b>MEDIUM</b> |
| 45 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  | <b>MEDIUM</b> |
| 46 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  | <b>MEDIUM</b> |
| 47 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  | <b>MEDIUM</b> |
| 48 |  |           |                                 |                                    |   |                  |  |              |  |  |  |  | <b>MEDIUM</b> |
| 49 |  |           |                                 |                                    |   |                  | <b>MEDIUM</b>                                      |              |  |  |  |  |               |
| 50 |  |           |                                 |                                    |   |                  | <b>MEDIUM</b>                                      |              |  |  |  |  |               |
| 51 |  |           |                                 |                                    |   |                  | <b>MEDIUM</b>                                      |              |  |  |  |  |               |
| 52 |  |           |                                 |                                    |   |                  | <b>MEDIUM</b>                                      |              |  |  |  |  |               |
| 53 | <b>Overall Project Risk</b>  |           |                                 |                                    |   |                  | <b>MEDIUM</b>                                      |              |  |  |  |  |               |



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

|    | B                               | C  | D  | E  |
|----|---------------------------------|--|--|--|
| 1  | Agency: Department of Education |  | Project: Threat Management System  |  |
| 3  | Section 2 -- Technology Area    |  |  |  |
| 4  | #                               | Criteria   | Values   | Answer   |
| 5  | 2.01                            | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?   | Read about only or attended conference and/or vendor presentation  | Installed and supported production system more than 3 years  |
| 6  |                                 |  | Supported prototype or production system less than 6 months  |  |
| 7  |                                 |  | Supported production system 6 months to 12 months  |  |
| 8  |                                 |  | Supported production system 1 year to 3 years  |  |
| 9  |                                 |  | Installed and supported production system more than 3 years  |  |
| 10 | 2.02                            | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations  | External technical resources will be needed through implementation only                                    |
| 11 |                                 |  | External technical resources will be needed through implementation only  |  |
| 12 |                                 |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03                            | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | Some alternatives documented and considered  |
| 14 |                                 |  | Some alternatives documented and considered  |  |
| 15 |                                 |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04                            | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| 17 |                                 |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |                                 |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05                            | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Moderate infrastructure change required  |
| 20 |                                 |  | Moderate infrastructure change required  |  |
| 21 |                                 |  | Extensive infrastructure change required   |  |
| 22 |                                 |  | Complete infrastructure replacement  |  |
| 23 | 2.06                            | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are based on historical data and new system design specifications and                |
| 24 |                                 |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |                                 |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education                           |  | Project: Threat Management System  |  |
| 3  | <b>Section 3 -- Organizational Change Management Area</b> |  |  |  |
| 4  | <b>#</b>  | <b>Criteria</b>  | <b>Values</b>  | <b>Answer</b>  |
| 5  | 3.01  | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes         | Minimal changes to organization structure, staff or business processes structure |
| 6  |   |  | Moderate changes to organization structure, staff or business processes          |  |
| 7  |   |  | Minimal changes to organization structure, staff or business processes structure |  |
| 8  | 3.02  | Will this project impact essential business processes?   | Yes  | No   |
| 9  |   |  | No   |  |
| 10 | 3.03  | Have all business process changes and process interactions been defined and documented?  | 0% to 40% -- Few or no process changes defined and documented                    | 81% to 100% -- All or nearly all processes defined and documented                |
| 11 |   |  | 41% to 80% -- Some process changes defined and documented                        |  |
| 12 |   |  | 81% to 100% -- All or nearly all processes defined and documented                |  |
| 13 | 3.04  | Has an Organizational Change Management Plan been approved for this project?   | Yes  | No   |
| 14 |   |  | No   |  |
| 15 | 3.05  | Will the agency's anticipated FTE count change as a result of implementing the project?  | Over 10% FTE count change  | Less than 1% FTE count change  |
| 16 |   |  | 1% to 10% FTE count change   |  |
| 17 |   |  | Less than 1% FTE count change  |  |
| 18 | 3.06  | Will the number of contractors change as a result of implementing the project?   | Over 10% contractor count change   | 1 to 10% contractor count change   |
| 19 |   |  | 1 to 10% contractor count change   |  |
| 20 |   |  | Less than 1% contractor count change   |  |
| 21 | 3.07  | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?        | Extensive change or new way of providing/receiving services or information)      | Minor or no changes  |
| 22 |   |  | Moderate changes   |  |
| 23 |   |  | Minor or no changes  |  |
| 24 | 3.08  | What is the expected change impact on other state or local government agencies as a result of implementing the project?                | Extensive change or new way of providing/receiving services or information       | Minor or no changes  |
| 25 |   |  | Moderate changes   |  |
| 26 |   |  | Minor or no changes  |  |
| 27 | 3.09  | Has the agency successfully completed a project with similar organizational change requirements?                                       | No experience/Not recently (>5 Years)  | Recently completed project with greater change requirements                      |
| 28 |   |  | Recently completed project with fewer change requirements                        |  |
| 29 |   |  | Recently completed project with similar change requirements                      |  |
| 30 |   |  | Recently completed project with greater change requirements                      |  |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Agency Name                    |  | Project: Project Name  |  |
| 3  | <b>Section 4 -- Communication Area</b> |  |  |  |
| 4  | #                                      | Criteria   | Value Options  | Answer   |
| 5  | 4.01                                   | Has a documented Communication Plan been approved for this project?  | Yes  | No   |
| 6  |  |  | No   |  |
| 7  | 4.02                                   | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan                                    | Routine feedback in Plan   |
| 8  |  |  | Routine feedback in Plan   |  |
| 9  |  |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                                   | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | Yes  |
| 11 |  |  | No   |  |
| 12 | 4.04                                   | Are all affected stakeholders included in the Communication Plan?  | Yes  | Yes  |
| 13 |  |  | No   |  |
| 14 | 4.05                                   | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Some key messages have been developed                                |
| 15 |  |  | Some key messages have been developed                                |  |
| 16 |  |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                                   | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Plan does not include desired messages outcomes and success measures |
| 18 |  |  | Success measures have been developed for some messages               |  |
| 19 |  |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                                   | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | Yes  |
| 21 |  |  | No   |  |

|    | B                               | C  | D   | E  |
|----|---------------------------------|--|---|--|
| 1  | Agency: Department of Education |  | Project: Threat Management System   |  |
| 3  | Section 5 -- Fiscal Area        |  |   |  |
| 4  | #                               | Criteria   | Values  | Answer   |
| 5  | 5.01                            | Has a documented Spending Plan been approved for the entire project lifecycle?   | Yes   | No   |
| 6  |                                 |  | No  |  |
| 7  | 5.02                            | Have all project expenditures been identified in the Spending Plan?  | 0% to 40% -- None or few defined and documented   | 81% to 100% -- All or nearly all defined and documented                                |
| 8  |                                 |  | 41% to 80% -- Some defined and documented   |  |
| 9  |                                 |  | 81% to 100% -- All or nearly all defined and documented   |  |
| 10 | 5.03                            | What is the estimated total cost of this project over its entire lifecycle?  | Unknown   | Between \$2 M and \$10 M   |
| 11 |                                 |  | Greater than \$10 M   |  |
| 12 |                                 |  | Between \$2 M and \$10 M  |  |
| 13 |                                 |  | Between \$500K and \$1,999,999  |  |
| 14 |                                 |  | Less than \$500 K   |  |
| 15 | 5.04                            | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?   | Yes   | Yes  |
| 16 |                                 |  | No  |  |
| 17 | 5.05                            | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Detailed and rigorous (accurate within ±10%)   |
| 18 |                                 |  | Order of magnitude -- estimate could vary between 10-100%   |  |
| 19 |                                 |  | Placeholder -- actual cost may exceed estimate by more than 100%                                      |  |
| 20 | 5.06                            | Are funds available within existing agency resources to complete this project?   | Yes   | No   |
| 21 |                                 |  | No  |  |
| 22 | 5.07                            | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency   |
| 23 |                                 |  | Funding from local government agencies  |  |
| 24 |                                 |  | Funding from other state agencies   |  |
| 25 | 5.08                            | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Not applicable   |
| 26 |                                 |  | Requested but not received  |  |
| 27 |                                 |  | Requested and received  |  |
| 28 |                                 |  | Not applicable  |  |
| 29 | 5.09                            | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | All or nearly all project benefits have been identified and validated                  |
| 30 |                                 |  | Some project benefits have been identified but not validated  |  |
| 31 |                                 |  | Most project benefits have been identified but not validated  |  |
| 32 |                                 |  | All or nearly all project benefits have been identified and validated                                 |  |
| 33 | 5.10                            | What is the benefit payback period that is defined and documented?   | Within 1 year   | No payback   |
| 34 |                                 |  | Within 3 years  |  |
| 35 |                                 |  | Within 5 years  |  |
| 36 |                                 |  | More than 5 years   |  |
| 37 |                                 |  | No payback  |  |
| 38 | 5.11                            | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?   | Procurement strategy has not been identified and documented   | Stakeholders have reviewed and approved the proposed procurement strategy              |
| 39 |                                 |  | Stakeholders have not been consulted re: procurement strategy   |  |
| 40 |                                 |  | Stakeholders have reviewed and approved the proposed procurement strategy                             |  |
| 41 | 5.12                            | What is the planned approach for acquiring necessary products and solution services to successfully complete the project?  | Time and Expense (T&E)  | Time and Expense (T&E)   |
| 42 |                                 |  | Firm Fixed Price (FFP)  |  |
| 43 |                                 |  | Combination FFP and T&E   |  |
| 44 | 5.13                            | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Just-in-time purchasing of hardware and software is documented in the project schedule |
| 45 |                                 |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |  |
| 46 |                                 |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |  |
| 47 | 5.14                            | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager is the procurement manager  |
| 48 |                                 |  | Contract manager is the procurement manager   |  |
| 49 |                                 |  | Contract manager is the project manager   |  |
| 50 |                                 |  | Contract manager assigned is not the procurement manager or the project manager                       |  |
| 51 | 5.15                            | Has equipment leasing been considered for the project's large-scale computing purchases?   | Yes   | No   |
| 52 |                                 |  | No  |  |
| 53 | 5.16                            | Have all procurement selection criteria and outcomes been clearly identified?  | No selection criteria or outcomes have been identified  | Some selection criteria and outcomes have been defined and documented                  |
| 54 |                                 |  | Some selection criteria and outcomes have been defined and documented                                 |  |
| 55 |                                 |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |  |
| 56 | 5.17                            | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Procurement strategy has not been developed  |
| 57 |                                 |  | Multi-stage evaluation not planned/used for procurement   |  |
| 58 |                                 |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |  |
| 59 | 5.18                            | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Not applicable   |
| 60 |                                 |  | No, bid response did/will not require proof of concept or prototype                                   |  |
| 61 |                                 |  | Yes, bid response did/will include proof of concept or prototype                                      |  |
| 62 |                                 |  | Not applicable  |  |
| 63 |                                 |  |   |  |
| 64 |                                 |  |   |  |
| 65 |                                 |  |   |  |
| 66 |                                 |  |   |  |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Department of Education        |  | Project: Threat Management System  |  |
| 3  | Section 6 -- Project Organization Area |  |  |  |
| 4  | #                                      | Criteria   | Values   | Answer   |
| 5  | 6.01                                   | Is the project organization and governance structure clearly defined and documented within an approved project plan?   | Yes  | Yes  |
| 6  |  |  | No   |  |
| 7  | 6.02                                   | Have all roles and responsibilities for the executive steering committee been clearly identified?  | None or few have been defined and documented   | None or few have been defined and documented   |
| 8  |  |  | Some have been defined and documented  |  |
| 9  |  |  | All or nearly all have been defined and documented   |  |
| 10 | 6.03                                   | Who is responsible for integrating project deliverables into the final solution?   | Not yet determined   | Agency   |
| 11 |  |  | Agency   |  |
| 12 |  |  | System Integrator (contractor)   |  |
| 13 | 6.04                                   | How many project managers and project directors will be responsible for managing the project?  | 3 or more  | 3 or more  |
| 14 |  |  | 2  |  |
| 15 |  |  | 1  |  |
| 16 | 6.05                                   | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Some or most staff roles and responsibilities and needed skills have been identified |
| 17 |  |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |  |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06                                   | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | Yes, experienced project manager dedicated full-time, 100% to project                |
| 20 |  |  | No, project manager is assigned 50% or less to project   |  |
| 21 |  |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |  |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07                                   | Are qualified project management team members dedicated full-time to the project   | None   | Yes, business, functional or technical experts dedicated full-time, 100% to project  |
| 24 |  |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |  |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |  |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08                                   | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Mostly staffed from in-house resources   |
| 28 |  |  | Half of staff from in-house resources  |  |
| 29 |  |  | Mostly staffed from in-house resources   |  |
| 30 |  |  | Completely staffed from in-house resources   |  |
| 31 | 6.09                                   | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |  |  | Moderate impact  |  |
| 33 |  |  | Extensive impact   |  |
| 34 | 6.10                                   | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |  |  | No   |  |
| 36 | 6.11                                   | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager                          |
| 37 |  |  | No, only IT staff are on change review and control board   |  |
| 38 |  |  | No, all stakeholders are not represented on the board  |  |
| 39 |  |  | Yes, all stakeholders are represented by functional manager  |  |

|    | B                                    | C  | D  | E  |
|----|--------------------------------------|--|--|--|
| 1  | Agency: Department of Education      |  | Project: Threat Management System  |  |
| 3  | Section 7 -- Project Management Area |  |  |  |
| 4  | #                                    | Criteria   | Values   | Answer   |
| 5  | 7.01                                 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | No   |
| 6  |                                      |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |                                      |  | Yes  |  |
| 8  | 7.02                                 | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |                                      |  | 1-3  |  |
| 10 |                                      |  | More than 3  |  |
| 11 | 7.03                                 | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | All or nearly all  |
| 12 |                                      |  | Some   |  |
| 13 |                                      |  | All or nearly all  |  |
| 14 | 7.04                                 | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 15 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05                                 | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 18 |                                      |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |                                      |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06                                 | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 41 to 80% -- Some are traceable  |
| 21 |                                      |  | 41 to 80% -- Some are traceable  |  |
| 22 |                                      |  | 81% to 100% -- All or nearly all requirements and specifications are traceable   |  |
| 23 | 7.07                                 | Have all project deliverables/services and acceptance criteria been clearly defined and documented?  | None or few have been defined and documented   | Some deliverables and acceptance criteria have been defined and documented   |
| 24 |                                      |  | Some deliverables and acceptance criteria have been defined and documented   |  |
| 25 |                                      |  | All or nearly all deliverables and acceptance criteria have been defined and documented  |  |
| 26 | 7.08                                 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required   | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 |                                      |  | Only project manager signs-off   |  |
| 28 |                                      |  | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |  |
| 29 | 7.09                                 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?  | 0% to 40% -- None or few have been defined to the work package level   | 0% to 40% -- None or few have been defined to the work package level   |
| 30 |                                      |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |                                      |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10                                 | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | No   |
| 33 |                                      |  | No   |  |
| 34 | 7.11                                 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | No   |
| 35 |                                      |  | No   |  |
| 36 | 7.12                                 | Are formal project status reporting processes documented and in place to manage and control this project?  | No or informal processes are used for status reporting   | Project team and executive steering committee use formal status reporting processes  |
| 37 |                                      |  | Project team uses formal processes   |  |
| 38 |                                      |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13                                 | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | All planning and reporting templates are available   |
| 40 |                                      |  | Some templates are available   |  |
| 41 |                                      |  | All planning and reporting templates are available   |  |
| 42 | 7.14                                 | Has a documented Risk Management Plan been approved for this project?  | Yes  | Yes  |
| 43 |                                      |  | No   |  |
| 44 | 7.15                                 | Have all known project risks and corresponding mitigation strategies been identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 45 |                                      |  | Some have been defined and documented  |  |
| 46 |                                      |  | All known risks and mitigation strategies have been defined  |  |
| 47 | 7.16                                 | Are standard change request, review and approval processes documented and in place for this project?   | Yes  | Yes  |
| 48 |                                      |  | No   |  |
| 49 | 7.17                                 | Are issue reporting and management processes documented and in place for this project?   | Yes  | Yes  |
| 50 |                                      |  | No   |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Department of Education             |  | Project: Threat Management System  |  |
| 2  |   |  |  |  |
| 3  | <b>Section 8 -- Project Complexity Area</b> |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 8.01  | How complex is the proposed solution compared to the current agency systems?   | Unknown at this time   | Similar complexity                                   |
| 6  |   |  | More complex   |  |
| 7  |   |  | Similar complexity   |  |
| 8  |   |  | Less complex   |  |
| 9  | 8.02  | Are the business users or end users dispersed across multiple cities, counties, districts, or regions?   | Single location  | More than 3 sites                                    |
| 10 |   |  | 3 sites or fewer   |  |
| 11 |   |  | More than 3 sites  |  |
| 12 | 8.03  | Are the project team members dispersed across multiple cities, counties, districts, or regions?  | Single location  | Single location                                      |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | 1 to 3 external organizations                        |
| 16 |   |  | 1 to 3 external organizations  |  |
| 17 |   |  | More than 3 external organizations   |  |
| 18 | 8.05  | What is the expected project team size?  | Greater than 15  | 5 to 8   |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | None   |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Statewide or multiple agency business process change |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Combination of the above                             |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Greater size and complexity                          |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity                          |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |



CBAForm 1 - Net Tangible Benefits

|        |  |         |                          |
|--------|--|---------|--------------------------|
| Agency | <u>Florida Department of Education</u> | Project | <u>Threat Management</u> |
|--------|--|---------|--------------------------|

**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<br><i>(Recurring Costs Only -- No Project Costs)</i> | FY 2023-24                    |                                |  | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |  |  | FY 2027-28                    |                                |  |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>           | \$0                           | \$385,300                      | \$385,300  | \$385,300                     | \$0                            | \$385,300  | \$385,300                     | \$0                            | \$385,300  | \$385,300                     | \$0  | \$385,300  | \$385,300                     | \$0                            | \$385,300  |
| <b>A.b Total Staff</b>                                      | 0.00                          | 2.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                                       | 2.00   | 2.00                          | 0.00                           | 2.00   |
| 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                           | \$385,300                      | \$385,300  | \$385,300                     | \$0                            | \$385,300  | \$385,300                     | \$0                            | \$385,300  | \$385,300                     | \$0  | \$385,300  | \$385,300                     | \$0                            | \$385,300  |
| A-3.b. Staff Augmentation (# of Contractors)                | 0.00                          | 2.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                                       | 2.00   | 2.00                          | 0.00                           | 2.00   |
| <b>B. Application Maintenance Costs</b>                     | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-1. Managed Services (Staffing)                            | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-4. Other <i>Specify</i>                                   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C. Data Center Provider Costs</b>                        | \$0                           | \$1,064,700                    | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  | \$1,064,700                   | \$0  | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  |
| C-1. Managed Services (Staffing)                            | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services                             | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-4. Disaster Recovery                                      | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <i>Cloud Services</i>                            | \$0                           | \$1,064,700                    | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  | \$1,064,700                   | \$0  | \$1,064,700  | \$1,064,700                   | \$0                            | \$1,064,700  |
| <b>D. Plant &amp; Facility Costs</b>                        | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>E. Other Costs</b>                                       | \$0                           | \$50,000                       | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0  | \$50,000   | \$50,000                      | \$0                            | \$50,000   |
| 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>EdTech Cost recovery/SSO</i>                  | \$0                           | \$50,000                       | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0                            | \$50,000   | \$50,000                      | \$0  | \$50,000   | \$50,000                      | \$0                            | \$50,000   |
| <b>Total of Recurring Operational Costs</b>                 | \$0                           | \$1,500,000                    | \$1,500,000  | \$1,500,000                   | \$0                            | \$1,500,000  | \$1,500,000                   | \$0                            | \$1,500,000  | \$1,500,000                   | \$0  | \$1,500,000  | \$1,500,000                   | \$0                            | \$1,500,000  |
| <b>F. Additional Tangible Benefits:</b>                     |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-1. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-2. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-3. <i>Specify</i>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| <b>Total Net Tangible Benefits:</b>                         |                               | (\$1,500,000)                  |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |   |               |
|--|---|---------------|
| Choose Type  | Estimate Confidence                       | Enter % (+/-) |
| Detailed/Rigorous  | <input type="checkbox"/> Confidence Level |               |
| Order of Magnitude   | <input type="checkbox"/> Confidence Level |               |
| Placeholder  | <input type="checkbox"/> Confidence Level |               |

| A  | B  |                                       | C                      | D  | E      | F            |                     | G      | H         | I                   | J      | K         | L                   | M      | N         | O                   | P      | Q            | R                   | S     | T            |
|----|--|---------------------------------------|------------------------|--|--------|--------------|---------------------|--------|-----------|---------------------|--------|-----------|---------------------|--------|-----------|---------------------|--------|--------------|---------------------|-------|--------------|
| 1  | Florida Department of Education  | Threat Management                     |                        | CBA Form 2A Baseline Project Budget                  |        |              |                     |        |           |                     |        |           |                     |        |           |                     |        |              |                     |       |              |
| 2  | Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |                                       |                        | FY2023-24  |        | FY2024-25    |                     |        | FY2025-26 |                     |        | FY2026-27 |                     |        | FY2027-28 |                     |        | TOTAL        |                     |       |              |
| 3  | \$ -   |                                       |                        | \$ 3,000,000   |        | \$ -         |                     |        | \$ -      |                     |        | \$ -      |                     |        | \$ -      |                     |        | \$ 3,000,000 |                     |       |              |
| 4  | Item Description<br><i>(remove guidelines and annotate entries here)</i>   | Project Cost Element                  | Appropriation Category | Current & Previous<br>Years Project-<br>Related Cost | YR 1 # | YR 1 LBR     | YR 1 Base<br>Budget | YR 2 # | YR 2 LBR  | YR 2 Base<br>Budget | YR 3 # | YR 3 LBR  | YR 3 Base<br>Budget | YR 4 # | YR 4 LBR  | YR 4 Base<br>Budget | YR 5 # | YR 5 LBR     | YR 5 Base<br>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    | \$ -   | 1.00   | \$ 157,600   | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -         | \$ -                | \$ -  | \$ 157,600   |
| 8  | Project management personnel and related deliverables.   | Project Management                    | Contracted Services    | \$ -   | 1.00   | \$ 227,700   | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -         | \$ -                | \$ -  | \$ 227,700   |
| 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    | \$ -   |        | \$ 2,560,800 | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -         | \$ -                | \$ -  | \$ 2,560,800 |
| 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    | \$ -   |        | \$ 38,500    | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -         | \$ -                | \$ -  | \$ 38,500    |
| 16 | Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.  | Data Center Services - One Time Costs | Data Center Category   | \$ -   |        | \$ -         | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -         | \$ -                | \$ -  | \$ -         |
| 17 | Other contracted services not included in other categories.  | Other Services                        | Contracted Services    | \$ -   |        | \$ -         | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -         | \$ -                | \$ -  | \$ -         |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)  | Equipment                             | Expense                | \$ -   |        | \$ -         | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -         | \$ -                | \$ -  | \$ -         |
| 19 | Include costs associated with leasing space for project personnel.   | Leased Space                          | Expense                | \$ -   |        | \$ 4,096     | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -         | \$ -                | \$ -  | \$ 4,096     |
| 20 | Other project expenses not included in other categories.   | Other Expenses                        | Expense                | \$ -   |        | \$ 11,304    | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -      | \$ -                |        | \$ -         | \$ -                | \$ -  | \$ 11,304    |
| 21 | <b>Total</b>   |                                       |                        | \$ -   | 2.00   | \$ 3,000,000 | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -      | \$ -                | 0.00   | \$ -         | \$ -                | \$ -  | \$ 3,000,000 |

CBAForm 2 - Project Cost Analysis

|        |   |         |                                   |
|--------|---|---------|-----------------------------------|
| Agency | <a href="#">Department of Education</a> | Project | <a href="#">Threat Management</a> |
|--------|---|---------|-----------------------------------|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |               |               |               |               | TOTAL       |
|---|--|---------------|---------------|---------------|---------------|-------------|
|   | FY<br>2023-24                          | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |             |
| TOTAL PROJECT COSTS (*)   | \$3,000,000                            | \$0           | \$0           | \$0           | \$0           | \$3,000,000 |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$3,000,000                            | \$3,000,000   | \$3,000,000   | \$3,000,000   | \$3,000,000   |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |               |               |               |               |             |

| PROJECT FUNDING SOURCES                                | PROJECT FUNDING SOURCES - CBAForm 2B |               |               |               |               | TOTAL        |
|--|--------------------------------------|---------------|---------------|---------------|---------------|--------------|
|  | FY<br>2023-24                        | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |              |
| General Revenue  | \$3,000,000                          | \$3,000,000   | \$3,000,000   | \$3,000,000   | \$3,000,000   | \$15,000,000 |
| 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"/> <a href="#">Specify</a> | \$0                                  | \$0           | \$0           | \$0           | \$0           | \$0          |
| TOTAL INVESTMENT                                       | \$0                                  | \$0           | \$0           | \$0           | \$0           | \$0          |
| CUMULATIVE INVESTMENT                                  | \$0                                  | \$0           | \$0           | \$0           | \$0           | \$0          |

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

CBAForm 3 - Project Investment Summary

|        |  |         |                          |
|--------|--|---------|--------------------------|
| Agency | <u>Florida Department of Education</u> | Project | <u>Threat Management</u> |
|--------|--|---------|--------------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A     |               |               |               |               |               |                        |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
|   | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | TOTAL FOR ALL<br>YEARS |
| Project Cost                            | \$3,000,000   | \$0           | \$0           | \$0           | \$0           | \$3,000,000            |
| Net Tangible Benefits                   | (\$1,500,000) | \$0           | \$0           | \$0           | \$0           | (\$1,500,000)          |
| Return on Investment                    | (\$4,500,000) | \$0           | \$0           | \$0           | \$0           | (\$4,500,000)          |
| Year to Year Change in Program Staffing | 2             | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |               |   |
|---|---------------|---|
| Payback Period (years)                      | NO PAYBACK    | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK    | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$4,347,826) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR)               | NO IRR        | IRR is the project's rate of return.  |

| Investment Interest Earning Yield -- CBAForm 3C |               |               |               |               |               |
|---|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year                                     | FY<br>2023-24 | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 |
| Cost of Capital                                 | 3.50%         | 3.50%         | 3.60%         | 3.60%         | 3.60%         |



# Project Management Plan

## Threat Management System Project Department of Education

### Contact Information

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### Revision History

| Date      | Version | Revised By           | Description                |
|-----------|---------|----------------------|----------------------------|
| 9/20/2022 | .1      | Cassandra J. Grayson | Revised w/ Master Template |
|           |         |                      |                            |

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## Introduction

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The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Division of Technology & Innovation – Threat Management System Project. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

- Introduction
- Project Charter
- Scope Management Plan
- Work Breakdown Structure (WBS)
- Resource Breakdown Structure (RBS)
- Master Project Schedule
- Schedule Management Plan
- Work Management Plan
- Spending Plan
- Communication Plan
- Risk Management Plan
- Issue Management Plan
- Quality Management Plan
- Change Management Plan
- Procurement Management Plan

## 2. Project Charter

The Project Charter for the Florida Department of Education, Division of Technology & Innovation – Threat Management System Project formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and it recognizes the project manager role and gives the project manager the authority to "get the job done." The document is due at initiation of the project.

### 2.1 Overview

As required by 2016-17 General Appropriations Act (1961B), the Florida Department of Education (FDOE) contracted with an independent security and risk management firm to assess the department's Information Technology (IT) Security Program. The assessment identified information security and risk management gaps that FDOE needs to address in order to improve the maturity of the overall security program. If this legislative budget request is not funded, a wide range of sensitive data of employees, students and teachers could be targets for cyber-attacks and compromised. Thus, FDOE information security needs staff and resources in order to stay ahead of existing and developing threats.

### 2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction
- Business Need
- Strategic Goals
- Project Scope
- Budget Estimate and Summary Project Schedule
- Assumptions and Constraints
- Project Team and Stakeholders
- Critical Success Factors
- Project Approvals
- Appendix A



---

### 3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification Scope
- Control

#### 3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for acceptance.

Upon approval of scope changes by the Change Control Board and Project Sponsor the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.

---

## 4. Work Breakdown Structure

The work required to complete this project is subdivided into individual work packages. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

The project is organized in phases and coincides with the Project Management Institute, Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

The Project had a previous WBS that was based on an internal Modernization and Application Improvement project approach that was executed to about 50% when it was realized that the existing Licensing System obsolescence prevented the completion of the original plan. After a full Project review it was decided that a full replacement of the Licensing System was required to meet Project goals. After an Analysis of Alternatives (AoA): Design and Develop a new system internally, purchase a Commercial off the Shelf (COTS) solution, or procure a Managed Service/Cloud based solution; it was decided to pursue the procurement of a COTS solution that met requirements. As the installation, deployment, acceptance testing, launch, and training will be provided by the Vendor, a new WBS is not available at this time. As soon as it is provided by the Vendor, a link to it will be provided in this document.

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## 5. Resource Breakdown Structure

The Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

Executive Sponsor - 1

Project Sponsor – 1

Project Manager – 1

Systems or Enterprise Architect/Technical Lead (Developer) – 1

Quality Assurance Analyst – 1

Security Analyst – 2

Developers – 1

DBA – 1 (assistance as needed)

## 6. Master Project Schedule

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The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained Microsoft Project. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

### 6.1 Schedule Management Plan

---

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

The Schedule Management Plan is organized into the following sections:

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

### Schedule Management Approach

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

#### Schedule Tool/Format

Project schedules will be created using Microsoft Project.

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

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

#### Schedule Milestones

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

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

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

#### Project Manager Roles and Responsibilities

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

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.
- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

#### Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

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

## Work Breakdown Structure

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

The WBS for the Threat Management System Project is organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing.

## Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

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

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

### Reporting

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

## Schedule Changes

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

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

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

## Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The Change Management process will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

## Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

## Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.

## 7. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies



---

## 8. Spending Management Plan

This section presents the project spending plan and the high-level project schedule for the Threat Management Project.

### 8.1 Spending Plan

The table below shows the cost of the project projected for 2023-24.

Table 1: Summary Spending Plan

|   |                      |
|---|----------------------|
| Recurring Costs                         |                      |
| Services, subscriptions, maintenance    | \$2,560,800.00       |
| Staffing (FTE's and Contractors)        | <u>\$ 157,600.00</u> |
| Total Recurring Costs                   | \$2,718,400.00       |
| One-Time Initial Total Costs - Year One |                      |
| Recurring Costs                         | \$ 15,400.00         |
| Capital Expenses                        | \$ 38,500.00         |
| Temporary Staffing                      | <u>\$ 227,700.00</u> |
| Total Amount to be Requested            | \$3,000,000.00       |

## 9. Communication Plan

The Communication Plan describes the planned and periodic communications between the Threat Management System Team and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

- Introduction
- Roles and Responsibilities
- Communication Types
- Communication Management
- Appendix

The Communication Plan is filed for reference in the Project Documentation Folder.

---

## 10. Risk Management Plan

This section presents the Risk Management Plan for the Threat Management System Project. A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

### 10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

### 10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy
- Risk Management Database
- Risk Breakdown Structure

Risks are reported separately in the SharePoint™ Risk Management Database.

## Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

### Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the Threat Management System Project.<sup>1</sup> The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the Threat Management System Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the Threat Management System Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

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<sup>1</sup> David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

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## Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

| Risk Probability |           |                      |
|------------------|-----------|----------------------|
| Low              | < 30%     | unlikely to occur    |
| Medium           | 31% - 50% | may occur            |
| High             | 51% - 80% | probably will occur  |
| Very High        | > 80%     | very likely to occur |

| Risk Impact |                      |   |                          |
|-------------|----------------------|---|--------------------------|
|             | <u>Cost Increase</u> | <u>Scope Change</u>   | <u>Schedule Increase</u> |
| Minor       | < 5%                 | Barely  | < 5%                     |
| Moderate    | 5% - 8%              | Minor areas of deliverable(s)   | 5% - 10%                 |
| Serious     | 9% - 10%             | Major areas of deliverable(s)   | 11% - 15%                |
| Critical    | > 10%                | Failure to complete deliverable or failure to achieve project objective | >15%                     |

| Probability x Impact Rank |              |                 |                |                 |
|---------------------------|--------------|-----------------|----------------|-----------------|
|                           | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low                       | Low(1)       | Low(1)          | Medium(2)      | High(3)         |
| Medium                    | Low(1)       | Medium(2)       | Medium(2)      | High(3)         |
| High                      | Low(1)       | Medium(2)       | High(3)        | High(3)         |
| Very High                 | Low(1)       | High(3)         | High(3)        | Very High(4)    |

## Risk Response Options

Risk responses are planned using four basic risk response options:

- Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.
- Avoid – take proactive action to eliminate the risk to the project.
- Mitigate – take proactive action to reduce the probability and/or impact of the risk.
- Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the Threat Management System Project Team and the Project Sponsor. Input from Threat Management System subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

## Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date.

The initial development of the Risk Management Database will be completed by the Threat Management System Project Team. The Risk Management Database will be updated on an ongoing basis by the Threat Management System Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The Threat Management System Project Team will use the Risk Management Database as the system of record and store it in the Threat Management System SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and Threat Management System Project Team in the weekly status meeting. The Threat Management System Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook and update the Project Workbook and upload it to the Threat Management System Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

## Risk Management Responsibilities

The responsibility for managing risk is shared between the Threat Management System Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity                         | Responsibility   |
|---------------------------------------|--|
| Identify risks                        | All – Threat Management System Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial identification was made by the Project Sponsor and Project Manager. |
| Assess risks                          | All – Threat Management System Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial assessment was made by the Project Sponsor and Project Manager.     |
| Plan risk responses                   | All – Threat Management System Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br>Initial responses were planned by the Project Sponsor and Project Manager.  |
| Approve risk responses                | Project Sponsor  |
| Develop Risk Management Database      | Project Manager and Threat Management System Project Team  |
| Maintain Risk Management Database     | Project Manager  |
| Develop or take risk response actions | Risk Owner   |
| Manage risk responses                 | Project Manager, Threat Management System Project Team   |
| Report risks                          | Project Manager, Threat Management System Project Team   |

## Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint™. It is reviewed and updated as necessary on a weekly basis.

## Risk Breakdown Structure (RBS)

| RBS LEVEL 1        | RBS LEVEL 2 |                                     |
|--------------------|-------------|-------------------------------------|
| 1. Technical Risk  | 1.1         | Scope Definition                    |
|                    | 1.2         | Requirements Definition             |
|                    | 1.3         | Estimates, Assumptions, Constraints |
|                    | 1.4         | Technical Processes                 |
|                    | 1.5         | Technology                          |
|                    | 1.6         | Interfaces                          |
|                    | 1.7         | Design                              |
|                    | 1.8         | Performance                         |
|                    | 1.9         | Reliability & Maintainability       |
|                    | 1.10        | ADA                                 |
|                    | 1.11        | Security                            |
|                    | 1.12        | Test & Acceptance                   |
| 2. Management Risk | 2.1         | Project Management                  |
|                    | 2.2         | Program Management                  |
|                    | 2.3         | Operations Management               |
|                    | 2.4         | Organization                        |
|                    | 2.5         | Resourcing                          |
|                    | 2.6         | Communication                       |
|                    | 2.7         | Information                         |
|                    | 2.8         | Health, Safety, & Environment       |
|                    | 2.9         | Quality                             |
|                    | 2.10        | Reputation                          |
| 3. Business Risk   | 3.1         | Contractual Terms & Conditions      |
|                    | 3.2         | Internal Procurement                |
|                    | 3.3         | Contractor                          |
|                    | 3.4         | Subcontracts                        |
|                    | 3.5         | Client/Customer Stability           |
|                    | 3.6         | Stakeholders                        |
| 4. External Risk   | 4.1         | Legislation                         |
|                    | 4.2         | Exchange Rates                      |
|                    | 4.3         | Site / Facilities                   |
|                    | 4.4         | Environment / Weather               |
|                    | 4.5         | Competition                         |
|                    | 4.6         | Regulatory                          |
|                    | 4.7         | Political                           |
|                    | 4.8         | Country                             |
|                    | 4.9         | Social / Demographic                |
|                    | 4.10        | Pressure Groups                     |
|                    | 4.11        | Force Majeure                       |

## 11. Issue Management Plan

---

This section presents the Issue Management plan for the Threat Management System Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

### 11.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- The resolution is in question or lacking agreement among stakeholders
- It is highly visible or involves external stakeholders such as requests or directives from control agencies
- It has critical deadlines or timeframes that cannot be missed
- It can result in an important decision or resolution for which the rationale and activities must be captured for historical purposes it has critical deadlines that may impede project progress.
- Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

### 11.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy
- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint™ and maintained there for history.

## Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance. Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an



issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the Threat Management System Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the Threat Management System Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.

#### Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the Threat Management System Project Manager via e-mail. Prospective issues shall be entered by the Threat Management System Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly Threat Management System – Project Status Meeting.

#### Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented SharePoint™. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint™ will be updated weekly as needed by the Threat Management System Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The Threat Management System Project Team will use Microsoft Project as the system of record. The Project Manager will add any new issues identified to Microsoft Project. These items will be discussed with Project Sponsor and Threat Management System Project Team in the weekly status meeting.

## Issue Management Responsibilities

The responsibility for managing issues is shared between the Threat Management System Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity                         | Responsibility   |
|--|--|
| Identify issues                        | All – Threat Management System Project Team, Project Sponsor, subject matter experts, and other stakeholders.<br><br>Initial identification will be made by the Project Sponsor and Project Manager. |
| Validate issues                        | All – Threat Management System Project Team, Project Sponsor, subject matter experts, and other stakeholders.  |
| Assign issues                          | Threat Management System Project Manager, Project Sponsor, and Project Manager.  |
| Approve issue responses                | Project Sponsor and/or   |
| Develop Issue Management Database      | Project Manager and Threat Management System Project Team  |
| Maintain Issue Management Database     | Project Manager  |
| Develop or take issue response actions | Issue Owner  |
| Manage issue responses                 | Project Manager, Threat Management System Project Team   |
| Report issues                          | Project Manager, Threat Management System Project Team   |

## Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the Threat Management System Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible
2. Attempts to resolve must be made by appropriate parties prior to escalation
3. The issue owner, as identified by the issue tracker, completes the Issue Submission Form with a brief issue write-up identifying the issue, concerns, and positions of involved parties
4. The issue owner schedules a meeting to discuss with involved parties
5. The issue is ENTERED on the Issue Register for tracking
6. The issue owner provides the issue write-up at least 24 hours prior to meeting
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered)
9. Once escalation need is identified, notice is sent to the next levels of management (Project Sponsor and )
10. Issue review process is repeated at the next level of management

#### Issue Submission Form

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

#### Sample Issue Submission Form

A sample of the Issue Submission Form is shown on the following page.

| ISSUE SUBMISSION FORM |                    |                |
|-----------------------|--------------------|----------------|
| Issue Number:         | Reported By:       | Date Reported: |
| Issue Status:         | Issue Assigned To: | Date Resolved: |
| Description of Issue: |                    |                |
| Project Impact:       |                    |                |

|                                     |
|-------------------------------------|
| Alternatives and Recommendation(s): |
| Final Resolution:                   |

## 12. Quality Management Plan

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### Introduction

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the Threat Management System Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

### Approach

This section describes the approach the Threat Management System Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the Threat Management System Project beginning in the first phase of the project to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

### Quality Management Approach Overview



### Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
- Ensure the quality of the system development process, project artifacts, and project products to Threat Management System and its stakeholder meet their requirements

### Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

#### Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

#### Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

#### Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

#### Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.

## 13. Change Management Plan

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The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

### Change Management Process

This section provides the Change Management process which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

### Change Request Process Stages

Change Request Initiation: Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.

Change Impact Estimation: Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.

Approvals and Acceptance: The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

### Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage             | Step          | Description   |
|-------------------|---------------|---|
| Initiation        | Generate CR   | A submitter completes a CR Form and sends the completed form to the Project Manager   |
| Initiation        | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed.                              |
| Impact Estimation | Evaluate CR   | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change   |
| Approval          | Authorize     | Approval to move forward with incorporating the suggested change into the project/product   |
| Approval          | Implement     | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

#### Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in Appendix A – Threat Management System Project Change Request Form.

A sample copy of the Threat Management System Project Change Request Form is provided in the table below:



Table 3. Threat Management System Project Change Request Form:

| Change Request  |  |   |
|---|--|---|
| Project:  |  | Date:   |
| Change Requestor:   |  | Change No:  |
| Change Category (Check all that apply):                           |  |   |
| <input type="checkbox"/> Schedule                                 | <input type="checkbox"/> Cost                | <input type="checkbox"/> Scope Requirements/Deliverables                |
| <input type="checkbox"/> Testing/Quality                          | <input type="checkbox"/> Resources           |   |
| Does this Change Affect (Check all that apply):                   |  |   |
| <input type="checkbox"/> Corrective Action                        | <input type="checkbox"/> Preventative Action | <input type="checkbox"/> Defect Repair <input type="checkbox"/> Updates |
| <input type="checkbox"/> Other                                    |  |   |
| Describe the Change Being Requested:                              |  |   |
| Describe the Reason for the Change:                               |  |   |
| Describe all Alternatives Considered:                             |  |   |
| Describe any Technical Changes Required to Implement this Change: |  |   |
| Describe Risks to be Considered for this Change:                  |  |   |
| Estimate Resources and Costs Needed to Implement this Change:     |  |   |
| Describe the Implications to Quality:                             |  |   |
| Disposition:  |  |   |
| <input type="checkbox"/> Approve                                  | <input type="checkbox"/> Reject              | <input type="checkbox"/> Defer  |
| Justification of Approval, Rejection, or Deferral:                |  |   |
| Change Board Approval:  |  |   |
| Name  | Signature                                    | Date  |
|   |  |   |
|   |  |   |

## Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the Threat Management System Change Request Form included in Appendix A – Threat Management System Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

## Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

## Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

- a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.
- b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

### Team Member Roles and Responsibilities

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

**Table 4. RASCI Matrix**

|   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
|---|------------------------|--|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|--|
| <b>ROLE Definitions</b>   |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>R Responsible</b><br>The person who will perform the task.                             |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>I Informed</b><br>The person(s) who are kept up-to-date on task status.                |                        |  |                        |                                |                              |                           |                      |                            |                         |                                 |                         |  |
| <b>TASKS/ACTIVITIES</b>   | <b>Project Manager</b> |  | <b>Project Sponsor</b> | <b>Project Oversight Group</b> | <b>Business Analyst Team</b> | <b>Solution Architect</b> | <b>Database Team</b> | <b>Technical Team Lead</b> | <b>Development Team</b> | <b>Maintenance Team Manager</b> | <b>Maintenance Team</b> |  |

| Initiation Tasks              |     |     |   |   |   |   |   |   |   |   |   |
|-------------------------------|-----|-----|---|---|---|---|---|---|---|---|---|
| 1. Generate Change Request.   | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I   | I | I | I | I | I | I | I | I | I |
|                               |     |     |   |   |   |   |   |   |   |   |   |

**Table 2. RASCI Matrix**

| ROLE Definitions  | Project Manager |  | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
|---|-----------------|--|-----------------|-------------------------|-----------------------|--------------------|---------------|---------------------|------------------|--------------------------|------------------|
| <b>R Responsible</b><br>The person who will perform the task.                             |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>A Accountable</b><br>The person who is ultimately accountable.                         |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>S Support</b><br>The person(s) who will assist the Responsible in completing the task. |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>C Consulted</b><br>The person(s) whose opinions are sought for the task.               |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |
| <b>I Informed</b><br>The person(s) who are kept up-to-                                    |                 |  |                 |                         |                       |                    |               |                     |                  |                          |                  |

|                              |     |       |   |     |   |   |   |   |   |   |   |   |
|------------------------------|-----|-------|---|-----|---|---|---|---|---|---|---|---|
| date on task status.         |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>TASKS/ACTIVITIES</b>      |     |       |   |     |   |   |   |   |   |   |   |   |
| <b>Impact Estimate Tasks</b> |     |       |   |     |   |   |   |   |   |   |   |   |
| 5. Evaluate Change Request.  | C   | C,R,A | I | I   | C | C | C | C | C | C | C | C |
| <b>Approval Tasks</b>        |     |       |   |     |   |   |   |   |   |   |   |   |
| 6. Authorize Change Request. | I   | I     | I | A,R | I | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C     | I | I   | I | I | I | I | I | I | I | I |
|                              |     |       |   |     |   |   |   |   |   |   |   |   |

## 14. Procurement Management Plan

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The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

- Introduction
- General Procurement Approach
- Procurement Definition
- Staff Augmentation Procedures
- Hardware/Software Purchasing
- Northwest Regional Data Center (NWRDC) Services Request Procedures
- Procurement Risks
- Procurement Risk Management
- Cost Determination
- Procurement Constraints
- Contract Manager
- Vendor Management

### Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a Guidebook to Public Procurement to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. It was created by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' Guidebook to Public Procurement is revised each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.

The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify all items to be procured for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

### General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action is selected based on requirements.

### Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, procurement deadlines are usually affected by the project schedule and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. This is usually performed by the Business Analysts on the project team.

### Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that its decision was based upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). It is then up to the Project Sponsor to set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

#### Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the Operations Supervisor who will check to see if the item is already available within the Department. If not, then the specifications for the requirements should be provided to the Bureau Chief Staff Assistant so that it can be entered into the MyFloridaMarketPlace eQuote system for purposes of requesting quotes.

#### Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

#### Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

#### Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project



procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

#### Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

#### Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

Schedule: Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.

Cost: Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.

Scope: All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

Resources: All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.

Technology: Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

## Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
  - a. Contract Manager verifies with the Technical Contact any missing information
  - b. Contract Manager creates the Requisition in MyFloridaMarketPlace (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
  - a. Contract cover sheet
  - b. Purchase Order
  - c. Contract management check list
  - d. RFQ or SOW
  - e. Resume
  - f. Disclosure statement
  - g. Drug-free work place form
  - h. References
  - i. Skills matrix
  - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

## Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2021 - 2022**

**Department: Office of the Inspector General**

**Chief Internal Auditor: Bradley Rich**

**Budget Entity: State Board of Education**

**Phone Number: (850) 245-9221**

| (1)   | (2)           | (3)   | (4)   | (5)   | (6)        |
|---|---------------|---|---|---|------------|
| REPORT NUMBER   | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| 1<br>Florida Auditor General Report<br>U.S. Department of Education<br>Report No.2022-189<br>Prior Audit Report No. 2020-170<br><br>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards | 3/30/2021     | Florida Department of Education (FDOE)<br>Federal Family Education Loans<br>CFDA No. 84.032<br><br>Acronyms:<br><br>United States Department of Education (USED)<br><br>Office of Student Financial Assistance (OSFA) | Prior Finding 2019-019: The FDOE did not assign all eligible loans to the USED.<br>Recommendation: We recommend that the FDOE ensure that all eligible loans are assigned to the USED in accordance with Federal regulations and procedures.  | The FDOE has contracted with an external vendor to carry out this aspect of the servicing requirements for the Office of Student Financial Assistance (OSFA).<br><br>Florida Auditor General Status of Findings: Fully Corrected<br><br>Contact:<br>Mike Blackburn, Inspector General   |            |
| 2<br>Office of the Inspector General<br>Six Month Status Report #<br>F-2122DOE-003 on<br>A-1920DOE-028<br>A-1920DOE-029   | 9/30/2021     | Department of Education (DOE)<br>Bureau of Educator Certification-Versa Certification Process<br><br>Acronyms:<br><br>Bureau of Educator Certification (BEC)<br><br>Division of Technology & Information (DTI)        | Finding 1. Current queries and calculations return inconsistent data and reports; Versa Analytics is not operational; and the Versa system could be enhanced.<br>Recommendation: We recommend BEC and DTI determine the required calculations and subsequent queries based on the needs of the program office, validate the calculations, and maintain documentation of the calculations and queries for future use. We recommend BEC and DTI cross-train team members on the Versa system and the certification process in the event a team member departs from the agency and is no longer available to perform the needed functions. | Management response: The BEC Operations Team has been coordinating with DTI to develop configurable SQL queries that will allow the BEC to run custom reports. The PPM ticket was generated shortly after the conclusion of the audit, and this effort was approved by DTI leadership on 08/04/21. This work is currently in development, with an anticipated completion of late 2021, possible early 2022. The developer assigned to the BEC is currently working on this project, assigned PPM number 2113564711. |            |

| (1)  | (2)           | (3)  | (4)   | (5)  | (6)        |
|--|---------------|--|---|--|------------|
| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Office of the Inspector General<br>Six Month Status Report #<br>F-2122DOE-003 on<br>A-1920DOE-028<br>A-1920DOE-029 | 9/30/2021     | Department of Education (DOE)<br>Bureau of Educator Certification-Versa Certification Process<br><br>Acronyms:<br><br>Bureau of Educator Certification (BEC)<br><br>Division of Technology & Information (DTI) | We recommend BEC partner with DTI to develop custom reports based on select original Logi reports, which then could be provided routinely to BEC to assist them in tracking production on a daily, weekly, monthly, and quarterly basis. We additionally recommend BEC and DTI engage in discussions with the Versa vendor regarding the inability to use the Versa Analytics tool purchased as part of the contract. We recommend BEC conduct a cost analysis for enhancing the Versa system in order to make key dates visible to users. We additionally recommend BEC and DTI consider continuation of the previous request for quote to procure the services of an IT professional to asses the Versa System and BEC business processes and produce a gap analysis to identify areas where system enhancements could better support the business processes and ensure competent, reliable data and reports. | This project has been prioritized at # 20 on the BEC Priority Status Report managed by the BA assigned to BEC by DTI. There are several other higher priority tickets in front of this effort, however as the certification busy season is coming to an end, this will be moved to a higher priority soon. The new DBA assigned to BEC, Steven Swenson, has been informed of the lack of functionality with Versa Analytics and will work with the vendor to explore options to vitalize this program. This project has not been assigned a high priority, as the data elements required are successfully captured via custom SQL reports run outside of the VA system. The BEC engaged in a business process analysis with a consultant secured by DTI, Dr. Adam Briggs, a licensed PMP. This business process analysis was completed on 07/09/21. A summary of the analysis has been included with this response. The business process analysis resulted in several recommendations for enhancement, many have been initiated. |            |

| (1)   | (2)              | (3)   | (4)   | (5)   | (6)        |
|---|------------------|---|---|---|------------|
| REPORT NUMBER   | PERIOD ENDING    | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| <p>Office of the Inspector General<br/>Six Month Status Report #<br/>F-2122DOE-003 on<br/>A-1920DOE-028<br/>A-1920DOE-029</p> | <p>9/30/2021</p> | <p>Department of Education (DOE)<br/>Bureau of Educator Certification-Versa Certification Process</p> | <p>Finding 2. BEC did not process all applications within statutory timeframes.<br/>Recommendation: We recommend BEC and DTI determine the required calculations and subsequent queries based on the needs of the program office, validate the calculations, and maintain documentation of the calculations and queries for future use.<br/>We recommend BEC ensure all applications are processed in the time frame allotted by the Florida Statutes and decrease the time between the date the applications are eligible for evaluation and the date assigned to a specialist. We recommend BEC conduct a cost analysis for enhancing the Versa system in order to assign applications more efficiently and timely. We recommend BEC cross-train team members on the certification process in the event additional staff is needed to process applications timely when application numbers surge.</p> <p>Finally, we recommend BEC consider moving District Issue Requests without associated background screening results to the release queue until the background screening results are appropriately provided and the application can be processed.</p> <p>Finding 3. Security Controls - User Access<br/>Recommendation: We recommend that BEC improve security controls related to user access to ensure the continued protection of confidential data.</p> | <p>Management response: Since the time period reviewed during the audit, the BEC has managed to process all applications for educator certification in 30 days or less, far below the statutory requirement of 90 days. The BEC also implemented a redundancy unit of fully trained backup evaluators to assist the BEC Evaluations Section when application numbers surge or the oldest files are approaching 30 days. This unit consists of BEC staff members from other sections: Contact Center, Special Projects, Operations, and District Support. This additional unit assists with the evaluations workflow as needed, and has been tremendously effective in managing the total number of files and the turnaround time for application processing.</p> <p>Management response 10/01/21: The BEC has implemented a 90 day real last login report that our Operations Unit is using to manage access to the Versa system. This report informs our team of the last time each user accessed the system, and individuals who have not used the system in 90 days are evaluated to determine if continued access is warranted. The BEC is conducting annual surveys of internal and external partners to clarify and revise system access based on the specific need and role of each user. Completed: 6/30/2022</p> |            |

| (1)   | (2)              | (3)   | (4)  | (5)  | (6)        |
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| REPORT NUMBER   | PERIOD ENDING    | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS  | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| <p>3 Office of the Inspector General<br/>12-Month Status Report #<br/>F-2122DOE-014 on Report (s) #<br/>A-1929DOE0028<br/>A-1920DOE-029</p> | <p>3/23/2022</p> | <p>Department of Education (DOE)<br/>Bureau of Educator Certification-Versa Certification Process</p> | <p>Finding 1. Current queries and calculations return inconsistent data and reports; Versa Analytics is not operational; and the Versa system could be enhanced.<br/>Recommendation: We recommend BEC and DTI determine the required calculations and subsequent queries based on the needs of the program office, validate the calculations, and maintain documentation of the calculations and queries for future use. We recommend BEC and DTI cross-train team members on the Versa system and the certification process in the event a team member departs from the agency and is no longer available to perform the needed functions. We recommend BEC partner with DTI to develop custom reports based on select original Logi reports, which then could be provided routinely to BEC to assist them in tracking production on a daily, weekly, monthly, and quarterly basis. We additionally recommend BEC and DTI engage in discussions with the Versa vendor regarding the inability to use the Versa Analytics tool purchased as part of the contract. We recommend BEC conduct a cost analysis for enhancing the Versa system in order to make key dates visible to users. We additionally recommend BEC and DTI consider continuation of the previous request for quote to procure the Versa system and</p> | <p>Management response 4/01/22: The BEC Operations Team continues to coordinate with DTI on the request to create configurable SQL queries to allow BEC to run better data reports. Limited progress has been made since the previous management response in October 2021. Currently, the request is at the number 22 priority on the BEC Priority Status report. Each request submitted to DTI requires an Application Development Request (ADR) Form, which requires numerous approvals and communication between BEC and DTI staff. Below is an update on items completed:<br/>* November 2021: FDOE Budget Office signed initial Application Development Request (ADR) Form<br/>* March 2022: BEC received revised ADR from DTI to be signed by Educator Quality Leadership<br/>* March 4, 2022: signed by Educator Quality Leadership<br/>* March 7, 2022: Sent to DTI Leadership for signature (as of 03/22- no response received)<br/>BEC experienced delays in making progress on this request to include:</p> |            |

| (1)  | (2)           | (3)   | (4)   | (5)  | (6)        |
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| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Office of the Inspector General<br>12-Month Status Report #<br>F-2122DOE-014 on Report (s) #<br>A-1929DOE0028<br>A-1920DOE-029 | 3/23/2022     | Department of Education (DOE)<br>Bureau of Educator Certification-Versa Certification Process     | BEC business processes and produce a gap analysis to identify areas where system enhancements could better support the business processes and ensure competent, reliable data and reports.  | * Departure of Daniel Moore as bureau chief on January 7, 2022. A new bureau chief was selected in early March 2022.)* other priority requests such as those from the legislature, division leadership, and public records taking immediate priority over this request.<br>* Staffing changes in DTI personnel: Michelle Gaines, Bureau Chief, BEC (03/28/22)                              |            |
| 4 Office of the Inspector General<br>Report #<br>A-2122DOE-0007  | 4/14/2022     | Department of Education (DOE)<br>Bureau of Contracts, Grants, and Procurement Management Services | The Office of the Inspector General (OIG) conducted an audit of the DOE Bureau of Contracts, Grants, and Procurement Management Services contract procurement procedures. This audit satisfies the requirements of House Bill 1079, passed during the 2020-2021 Legislative Session, which amended section 287.136, Florida Statutes, to require a periodic risk-based compliance audit of all contracts executed by a state agency to identify any trends in vendor preferences. | Audit Results: As required by section 287.136, Florida Statutes, we found no trends in vendor preference by DOE for the review period. We concluded the procurement function has implemented internal processes and procedures sufficient to ensure compliance with state purchasing laws and found no material instances of non-compliance with procurement laws for the period reviewed. |            |



| (1)   | (2)               | (3)   | (4)   | (5)  | (6)        |
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| REPORT NUMBER   | PERIOD ENDING     | UNIT/AREA   | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| <p>5 Office of the Inspector General<br/>Report #<br/>A-2021DOE-009</p> | <p>11/10/2021</p> | <p>Department of Education (DOE)<br/>Division of Career and Adult Education (DCAE)<br/>Apprenticeship Program</p> | <p>Finding 1. The State Apprenticeship Advisory Council (SAAC) is not in compliance with the requirements outlined in the Code of Federal regulation (CFR) 29 Part 29, regarding the committee members currently serving and the frequency of the SAAC meetings.<br/>Recommendation: We recommend DCAE continue to seek to fill all positions in accordance with the Code of Federal Regulations and the Florida Statutes and document its efforts. We additionally recommend the SAAC resume meeting bi-annually and maintain publicly available minutes of each meeting in accordance with the Code of Federal Regulations.</p> <p>Finding 2: The Apprenticeship Section did not conduct Provisional Quality Assurance Assessments (PQAA) and Quality Assurance Assessments (QAA) at the frequency outlined in Title 29 CFR §29 and §30.<br/>Recommendation: We recommend the Apprenticeship Section conduct Provisional Quality Assurance Assessments and subsequent Quality Assurance Assessments in a timely manner as required in the Code of Federal Regulations. To assist the section in ensuring the timeliness of assessments, the section should develop an internal log to track quality assurance activities.</p> | <p>Apprenticeship Management response: Concur. The Department will continue to work with the Executive Office of the governor to support the appointment of the 10 voting members required for the SAAC. As soon as the appointments are made, the Bureau Chief for Standards, Benchmarks, and Frameworks will convene the SAAC and host a subsequent meeting with the general counsel's office to conduct training on Florida sunshine laws. All meetings will be publicly noticed in the Florida Administrative Weekly. In addition, all registered Apprenticeship programs will be notified of the scheduled meeting. The anticipated completion date is February 2022.</p> |            |

| (1)  | (2)           | (3)  | (4)  | (5)   | (6)        |
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| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS  | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Office of the Inspector General<br>Report #<br>A-2021DOE-009 | 11/10/2022    | Department of Education (DOE)<br>Division of Career and Adult Education (DCAE)<br>Apprenticeship Program | <p>The log, at minimum, should include all the registered programs, date of registration, length of training cycle, date of the completed PQAA, date of the last completed QAA, date of the completed EEO Compliance Reviews, and the next QAA due date. This practice would allow for continuity of work if there is a change in personnel. We recommend the Apprenticeship Section conduct Provisional Quality Assurance Assessments and subsequent Quality Assurance Assessments in a timely manner as required in the Code of Federal Regulations. To assist the section in ensuring the timeliness of assessments, the section should develop an internal log to track quality assurance activities.</p> <p>We additionally recommended the Apprenticeship Section conduct a comprehensive assessment of their programs to document the dates of the last completed assurance reviews and ensure quality assessments are conducted in the timeframes required by the CFR.</p> | <p>Apprenticeship Management response: Concur. The Office of Apprenticeship (OA) (located in the Division’s Bureau of Standards, Benchmarks and Frameworks) will conduct the following steps to achieve full compliance with both the Code of Federal Regulation and State Board of Education rule:</p> <ol style="list-style-type: none"> <li>1. Build master PQAA and QAA tracking system that contains the fields recommended by the IG’s office. The target completion date is December 15, 2022.</li> <li>2. Prioritize the immediate scheduling of overdue PQAA and QAAs of registered programs with Apprenticeship Training</li> </ol> <p>Representatives with a tentative target completion of March 31, 2022 for any overdue program. Of the programs overdue for either a PQAA or QAA, programs with registered apprentices will be scheduled first followed by overdue programs that do not have registered apprentices.</p> |            |

| (1)  | (2)           | (3)  | (4)   | (5)   | (6)        |
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| REPORT NUMBER  | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN  | ISSUE CODE |
| Office of the Inspector General<br>Report #<br>A-2021DOE-0009  | 11/10/2022    | Department of Education (DOE)<br>Division of Career and Adult Education (DCAE)<br>Apprenticeship Program | <p>We recommend the department ensure the documentation of assurance and compliance reviews submitted to headquarters is consistent, as this serves as the program’s official file. The quality assurance assessment file maintained at the department should, at minimum, include a copy of the RAPIDS entry page; the Apprenticeship Program Quality Assessment form, the QAA-Final outcome letter, and documentation of any required follow-up.</p> <p>The records for EEO Compliance Reviews, at minimum, should contain the EEO checklist, the completed EEO Compliance Review Guide, and a final outcome letter, if separate from the QAA-Final Outcome Letter. Additionally, we recommend the Apprenticeship Section update the Apprentice Training Representatives (ATR) manual to require the ATRs to submit assessment documents to the department.</p> | In addition, the OA will document revised processes in the ATR manual and will develop a separate training guide on the PQAAs and QAAs. Furthermore, the Bureau Chief is requesting that United States Department of Labor (USDOL) Regional 3 representatives provide a comprehensive training to the team in early 2022 on PQAA and QAA best practices.                    |            |
| 6 Office of the Inspector General<br>6-Month Status Report #<br>F-2122DOE-017 on Report #<br>A-2021DOE-009 | 5/11/2022     | Department of Education (DOE)<br>Division of Career and Adult Education (DCAE)<br>Apprenticeship Program | Finding 1. The State Apprenticeship Advisory Council (SAAC) is not in compliance with the requirements outlined in the Code of Federal regulation (CFR) 29 Part 29, regarding the committee members currently serving and the frequency of the SAAC meetings.<br>Recommendation: We recommend DCAE continue to seek to fill all positions in accordance with the Code of Federal Regulations and the Florida Statutes and document its efforts.   | Apprenticeship Management response 05/10/2022: Gubernatorial appointments to the SAAC were announced on April 29, 2022. 8 of the 10 voting seats have been appointed and 2 appointments (1 joint representative and 1 non-joint representative) are pending. The interim commissioner approved Chancellor Kevin O’Farrell to serve as designee and chairperson of the SAAC. |            |



| (1)   | (2)           | (3)  | (4)   | (5)  | (6)        |
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| REPORT NUMBER   | PERIOD ENDING | UNIT/AREA  | SUMMARY OF FINDINGS AND RECOMMENDATIONS   | SUMMARY OF CORRECTIVE ACTION TAKEN   | ISSUE CODE |
| Office of the Inspector General<br>6-Month Status Report #<br>F-2122DOE-017 on Report3<br>A-2021DOE-009 | 5/11/2022     | Department of Education (DOE)<br>Division of Career and Adult Education (DCAE)<br>Apprenticeship Program | <p>We recommend the department ensure the documentation of assurance and compliance reviews submitted to headquarters is consistent, as this serves as the program’s official file. The quality assurance assessment file maintained at the department should, at a minimum, include a copy of the RAPIDS entry page; the</p> <p>Apprenticeship Program Quality Assessment form, the QAA-Final outcome letter, and documentation of any required follow-up. The records for EEO Compliance Review, at minimum, should contain the EEO checklist, the completed EEO Compliance Review Guide, and a final outcome letter, if separate from the QAA-Final Outcome Letter. Additionally, we recommend the Apprenticeship Section update the ATR manual to require the ATR’s to submit assessment documents to the department.</p> | <p>A digital quality assurance assessment file that contains the elements identified in the finding will be maintained by the department and archived in the federal RAPIDS system.</p> <p>Anticipated completion is November 1, 2022 to accommodate the director who will be taking maternity leave in July, August and September of 2022.</p> <p>Contacts:<br/>Kathryn Wheeler, Director of Office of Apprenticeship<br/>Kathleen Taylor, Bureau Chief</p> |            |

Office of Policy and Budget - July 2022

# Fiscal Year 2023-24 LBR Technical Review Checklist

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|--|
| Department/Budget Entity (Service): Education / State Board of Education |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight        |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

## 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>                                  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b> | 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

|  |
|--|
| Department/Budget Entity (Service): Education / State Board of Education |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight        |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

### 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. | NA |  |  |  |  |
|---|----|--|--|--|--|

#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>   | Y |  |  |  |  |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. |  |  |  |  |  |
|--|--|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|--|--|--|--|--|--|

### 4. EXHIBIT D (EADR, EXD)

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

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|--|--|--|--|--|--|

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

#### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b> | Y |  |  |  |  |
|---|---|--|--|--|--|

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / State Board of Education

Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

|   |             |  |  |  |  |
|---|-------------|--|--|--|--|
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y           |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | N, Rounding |  |  |  |  |
| 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?                   | Y |  |  |  |  |
| 7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

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| Department/Budget Entity (Service): Education / State Board of Education |
| Agency Budget Officer/OPB Analyst Name: Amy Hammock/Mariah Knight        |

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

|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 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?  | NA |  |  |  |  |
| 7.9 Does the issue narrative reference the specific county(ies) where applicable?  | NA |  |  |  |  |
| 7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #23-003?   | NA |  |  |  |  |
| 7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | NA |  |  |  |  |
| 7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | NA |  |  |  |  |
| 7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | NA |  |  |  |  |
| 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.   | NA |  |  |  |  |
| 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  |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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|--|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

|  |    |  |  |  |  |
|--|----|--|--|--|--|
| 7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?   | Y  |  |  |  |  |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | NA |  |  |  |  |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Y  |  |  |  |  |
| <b>AUDIT:</b>  |    |  |  |  |  |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | NA |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | Y  |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | Y  |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>   | NA |  |  |  |  |
| 7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. <b>(NAAR, BSNR)</b>   | 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. | NA |  |  |  |  |
| <b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.   |    |  |  |  |  |
| <b>TIP</b> 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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|--|
| Department/Budget Entity (Service): Education / State Board of Education |
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

|     |  |  |
|-----|--|--|
| 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)**

|     |  | DEPT LEVEL RESPONSES      |  |  |  |  |
|-----|--|---------------------------|--|--|--|--|
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency?  | Y                         |  |  |  |  |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?  | Y                         |  |  |  |  |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?  | Y                         |  |  |  |  |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y, for 2176 and 2380 only |  |  |  |  |
| 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?  | Y                         |  |  |  |  |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y                         |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

|  |                                       |  |  |  |  |
|--|---------------------------------------|--|--|--|--|
| 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, for 2176 only                      |  |  |  |  |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y, for 2178, 2543, 2555 and 2612 only |  |  |  |  |
| 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, for 2176 only                      |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?   | Y                                     |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)  | Y                                     |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?   | Y                                     |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?   | Y                                     |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|  |
|--|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

|  |              |  |  |  |  |
|--|--------------|--|--|--|--|
| 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?   | Y, FSDB only |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y            |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?   | Y            |  |  |  |  |

### AUDITS:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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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|--|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

### 9. SCHEDULE II (PSCR, SC2)

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| <b>AUDIT:</b>   |   |  |  |  |  |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) 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 |  |  |  |  |

### 10. SCHEDULE III (PSCR, SC3)

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 10.1 Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)  | Y |  |  |  |  |
| 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | Y |  |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   | N/A |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |  |
| <b>TIP</b> 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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|--|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

### 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)

|  | DEPT LEVEL RESPONSES |  |  |  |  |
|--|----------------------|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) |                      |  |  |  |  |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?  | Y                    |  |  |  |  |

#### AUDITS INCLUDED IN THE SCHEDULE XI REPORT:

|   |                             |  |  |  |  |
|---|-----------------------------|--|--|--|--|
| 16.3 Does the FY 2021-22 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )  | Y                           |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Y                           |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | Y                           |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | No, reconciliation provided |  |  |  |  |
| <b>TIP</b> 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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|--|
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|        |  |
|--------|--|
|        | Program or Service (Budget Entity Codes) |
| Action | 48800000                                 |

|  |        |  |  |  |  |
|--|--------|--|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US</b> ? | Y<br>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, NA  |  |  |  |  |

### 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)

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

### 19. FLORIDA FISCAL PORTAL

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|



State of Florida  
Department of Education

State Universities  
Education and General -  
Board of Governors



2023-24  
Manual Exhibits, Schedules,  
and Supporting Documents

## LEGISLATIVE BUDGET REQUEST

September 22, 2022

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

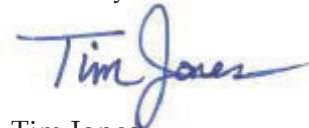
John Shettle, Interim Staff Director  
Senate Committee on Appropriations  
201 Capitol  
Tallahassee, Florida 32399-1300

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the State University System of Florida and the Board of Governors is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2023-2024 Fiscal Year. This submission was approved by the Board of Governors on September 14, 2022.

Sincerely,



Tim Jones  
Chief Financial Officer  
State University System of Florida

TJ/db

Enclosure

**Temporary Special Duty – General Pay Additives  
Implementation Plan for  
Fiscal Year 2023-2024**

Pursuant to Section 110.2035(7)(b), Florida Statutes, the Board of Governors submits the following.

- a. The pay additive, Temporary special duties –when a position has been assigned temporary duties and responsibilities not customarily assigned to the position due to a coworker out on leave due to extenuating circumstances, a vacant position exists, workload is heavier than normal, or a special project is required and the work is critical to the mission of the office.
- b. The additive would be approved by the Chancellor on a case-by-case basis.
- c. The additive would begin on the first day of the special duties.
- d. The period of time for this additive will be at the Chancellor’s discretion based on the circumstances regarding the length of the approved absence.
- e. The amount of the pay additive will not exceed 15% per pay period.
- f. Projected annual costs for any pay additives for 2022-23 is approximately \$15,000.
- g. Estimated 2023-24 fiscal year costs would be no more than \$100,000.

State of Florida  
Department of Education

State Universities  
Education and General -  
Board of Governors



2023-24  
Exhibits and Schedules

## Schedule VII: Agency Litigation Inventory

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

|   |   |   |              |
|---|---|---|--------------|
| <b>Agency:</b>  | <b>State University System of Florida, Board of Governors</b>   |   |              |
| <b>Contact Person:</b>  | Vikki Shirley   | <b>Phone Number:</b>  | 850-245-0430 |
|   |   |   |              |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b> | Lisa Browning, individually; Juliana Boisse, Jonathan Charles, Max Chern, and Michelle Gresser, on behalf of themselves and all other persons similarly situated v. The University of Florida Board of Trustees; and the Florida Board of Governors   |   |              |
| <b>Court with Jurisdiction:</b>   | Eighth Judicial Circuit, Alachua County   |   |              |
| <b>Case Number:</b>   | 2019 CA 3236  |   |              |
| <b>Summary of the Complaint:</b>  | Plaintiffs filed a class action complaint seeking a refund of fees paid by students for orientation at the University of Florida and for submitting applications for admission to the university. Plaintiffs contend the amounts charged exceeded the statutory fees established in section 1009.24, Florida Statutes, and brought claims for breach of contract, rescission of contract, conversion, breach of fiduciary duty, negligent misrepresentation, in addition to seeking a declaratory judgment.                     |   |              |
| <b>Amount of the Claim:</b>   | Plaintiffs are seeking in excess of \$5,000,000, plus attorneys' fees and costs.  |   |              |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>                                | None.   |   |              |
| <b>Status of the Case:</b>  | Defendants sought dismissal of all of the claims with prejudice based upon the claims being barred by sovereign immunity. The court granted the Defendants' Motion to Dismiss, in part, and dismissed the following claims with prejudice: breach of contract, rescission of contract, and breach of fiduciary duty. The other claims remain pending (conversion, negligent misrepresentation and declaratory judgment), but Defendants have appealed the court's ruling on these claims to the First District Court of Appeal. |   |              |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>     | <input type="checkbox"/>  | Agency Counsel  |              |
|   | <input type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |              |
|   | <input checked="" type="checkbox"/>   | Outside Contract Counsel                                      |              |

|  |  |
|--|--|
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | Paul S. Rothstein<br>626 N.E. First Street<br>Gainesville, Florida 32601 |
|--|--|

*Office of Policy and Budget – July 2022*

## Schedule VII: Agency Litigation Inventory

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

|   |   |                      |              |
|---|---|----------------------|--------------|
| <b>Agency:</b>  | <b>State University System of Florida, Board of Governors</b>   |                      |              |
| <b>Contact Person:</b>  | Vikki Shirley   | <b>Phone Number:</b> | 850-245-0430 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b> | <p>Britney Denton, Nyabi Stevens, Deidrick Dasby, Fayerachel Peterson, Alexander Harris and John Doe,</p> <p>v. The Board of Governors for the State University System of Florida; Marshall M. Criser III; and the State of Florida.</p>  |                      |              |
| <b>Court with Jurisdiction:</b>   | United States District Court, Northern District   |                      |              |
| <b>Case Number:</b>   | 4:22-cv-00341-RH-MAF  |                      |              |
| <b>Summary of the Complaint:</b>  | <p>Plaintiffs have filed a federal civil rights action pursuant to 42 USC s. 2000d and 42 USC s. 1983 contending the Defendants have failed to provide equal educational opportunities, programs, funding and facilities to Florida Agricultural &amp; Mechanical University in violation of Title VI and the Equal Protection clause of the U. S. Constitution, and the Partnership Agreement with the U.S. Department of Education. They seek a declaratory judgment to that effect and a permanent injunction and the appointment of a special referee to recommend a remedy to the court.</p> |                      |              |
| <b>Amount of the Claim:</b>   | Plaintiffs are seeking recovery of attorneys' fees and costs.   |                      |              |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>                                |   |                      |              |
| <b>Status of the Case:</b>  | The complaint was filed on 9/22/22 but has not yet been served on the Board of Governors or Mr. Criser.   |                      |              |

|  |  |   |
|--|--|---|
| Who is representing (of record) the state in this lawsuit? Check all that apply.   | <input type="checkbox"/>   | Agency Counsel  |
|  | <input type="checkbox"/>   | Office of the Attorney General or Division of Risk Management |
|  | <input type="checkbox"/>   | Outside Contract Counsel                                      |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | The class has not been certified. The Plaintiffs are represented by Grant & Eesenhofer P.A., 485 Lexington Avenue, 29 <sup>th</sup> Floor, New York, NY 10017. |   |

*Office of Policy and Budget – July 2022*



## Schedule VII: Agency Litigation Inventory

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

|  |   |               |              |
|--|---|---------------|--------------|
| Agency:  | State University System of Florida, Board of Governors  |               |              |
| Contact Person:  | Vikki Shirley   | Phone Number: | 850-245-0430 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | <p>Donald Falls, Jill Harper, Dr. Robert Cassanello, Stephanie Nicole Jamieson, as next friend of RMJ, Dr. Tammy Hodo</p> <p>v. Ron DeSantis, in his official capacity as Governor of Florida; Richard Corcoran, in his official capacity as the Florida Commissioner of Education; Tom Grady, Ben Gibson, Monesia Brown, Marva Johnson,, Ryan Petty, Joe York, in their official capacities as members of the Florida State Board of Education; Brian Lamb, Timothy M. Cerio, Aubrey Edge, Patricia Frost, Edward Haddock, H. Wayne Huizenga, Jr., Nastassia Janvier, Ken Jones, Darlene Luccio Jordan, Alan Levine, Charles H. Lydecker, Steven M. Scott, William Self, Eric Silagy, Kent Stermon, in their official capacities as member of the Florida Board of Governors of the State University System; and Ashley Moody, in her official capacity as Florida's Attorney General.</p> |               |              |
| Court with Jurisdiction:   | United States District Court, Northern District   |               |              |
| Case Number:   | 4:22-cv-00166-MW-MJF  |               |              |
| Summary of the Complaint:  | <p>Plaintiffs are challenging amendments to Florida's Educational Equity Act and Florida's Civil Rights Act of 1992 that now delineate certain concepts which constitute discrimination if a public employer mandates employee training that runs afoul of any of the delineated concepts or if a public educational entity provides similar training or instruction to employees or students. Plaintiffs contend the new statutory provisions violate their First Amendment rights under the U.S. Constitution and are seeking a declaratory judgment to that effect and a permanent injunction to prohibit implementation and enforcement of the new statutes.</p>  |               |              |
| Amount of the Claim:   | Plaintiffs are seeking recovery of attorneys' fees and costs.   |               |              |
| Specific Statutes or Laws (including GAA) Challenged:                                | Sections 1000.05, 760.10, Florida Statutes.   |               |              |
| Status of the Case:  | <p>The court denied Plaintiffs' motion for a preliminary injunction as to all Plaintiffs except for Dr. Cassanello and no ruling has been issued as to whether Dr. Cassanello is entitled to injunctive relief. The court dismissed the Governor as a party and concluded that Plaintiff Hodo</p>   |               |              |

|  |   |   |
|--|---|---|
|  | lacked standing to challenge the laws. The court further concluded Falls, Harper and RMJ did not have standing to pursue claims against the Board of Governors, but does have standing to pursue claims against the Board of Education. |   |
| Who is representing (of record) the state in this lawsuit? Check all that apply.   | <input type="checkbox"/>  | Agency Counsel  |
|  | <input type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |
|  | <input checked="" type="checkbox"/>   | Outside Contract Counsel                                      |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | N/A   |   |

*Office of Policy and Budget – July 2022*

## Schedule VII: Agency Litigation Inventory

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

|   |   |                      |              |
|---|---|----------------------|--------------|
| <b>Agency:</b>  | <b>State University System of Florida, Board of Governors</b>   |                      |              |
| <b>Contact Person:</b>  | Vikki Shirley   | <b>Phone Number:</b> | 850-245-0430 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b> | <p>United Faculty of Florida; March for Our Lives Action Fund; William A. Link; Barry C. Edwards; Jack Fiorito; Robin Goodman; David Price; Julie Adams; Blake Simpson; Deaundr'e Newsome; and Katrina Riesgo,</p> <p>v. Richard Corcoran, in his official capacity as the Florida Commissioner of Education; Timothy M. Cerio, in his official capacity as Member of the Florida Board of Governors; Aubrey Edge, in his official capacity as Member of the Florida Board of Governors; Patricia Frost, in her official capacity as Member of the Florida Board of Governors; Edward Haddock, in his official capacity as Member of the Florida Board of Governors; H. Wayne Huizenga, Jr., in his official capacity as Member of the Florida Board of Governors; Nastassia Janvier, in her official capacity as Member of the Florida Board of Governors; Ken Jones, in his official capacity as Member of the Florida Board of Governors; Darlene Luccio Jordan, in her official capacity as Member of the Florida Board of Governors; Sydney Kitson, in his official capacity as Chair of the Florida Board of Governors; Brian Lamb, in his official capacity as Vice-Chair of the Florida Board of Governors; Alan Levine, in his official capacity as Member of the Florida Board of Governors; Charles H. Lydecker, in his official capacity as Member of the Florida Board of Governors; Steven M. Scott, in his official capacity as Member of the Florida Board of Governors; William Self, in his official capacity as Member of the Florida Board of Governors; Eric Silagy, in his official capacity as Member of the Florida Board of Governors; Kent Stermon, in his official capacity as Member of the Florida Board of Governors; Andy Tuck, in his official capacity as Chair of the Florida Board of Education; Marva Johnson, in her official capacity as Vice Chair of the Florida Board of Education; Monesia Brown, in her official capacity as Member of the Florida Board of Education; Ben Gibson, in his official capacity as Member of the Florida Board of Education; Tom Grady, in his official capacity as Member of the Florida Board of Education; Ryan Petty, in his official capacity as Member of the Florida Board of Education; Joe York, in his official capacity as Member of the Florida Board of Education</p> |                      |              |
| <b>Court with Jurisdiction:</b>   | United States District Court, Northern District   |                      |              |
| <b>Case Number:</b>   | 4:21-cv-00271-MW-MAF  |                      |              |

|  |   |   |
|--|---|---|
| Summary of the Complaint:  | Plaintiffs are challenging new statutory provisions that: (1) require public colleges and universities to conduct an annual survey of students, faculty and staff on intellectual freedom and viewpoint diversity; (2) prohibit the Board of Governors and the State Board of Education from shielding students from ideas and opinions they may find uncomfortable; and (3) allow for college and university students to record class lectures for certain purposes. Plaintiffs contend the new statutory provisions violate their First Amendment rights under the U.S. Constitution and are seeking a declaratory judgment to that effect and a permanent injunction to prohibit implementation and enforcement of the new statutes. |   |
| Amount of the Claim:   | Plaintiffs are seeking recovery of attorneys' fees and costs.   |   |
| Specific Statutes or Laws (including GAA) Challenged:  | Sections 1001.03, 1001.706, and 1004.097, Florida Statutes.   |   |
| Status of the Case:  | Discovery has closed and a motion for summary judgment will be filed on all claims.   |   |
| Who is representing (of record) the state in this lawsuit? Check all that apply.   | <input type="checkbox"/>  | Agency Counsel  |
|  | <input type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |
|  | <input checked="" type="checkbox"/>   | Outside Contract Counsel                                      |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | N/A   |   |

Office of Policy and Budget – July 2022

## Schedule VII: Agency Litigation Inventory

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

|   |  |   |              |
|---|--|---|--------------|
| <b>Agency:</b>  | <b>State University System of Florida, Board of Governors</b>  |   |              |
| <b>Contact Person:</b>  | Vikki Shirley  | <b>Phone Number:</b>  | 850-245-0430 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | Christina McLaughlin v. Board of Governors, the Florida International University Board of Trustees, the U. S. Department of Education, and the following defendants named in their official capacities: Claudia Puig, Mark Rosenberg, Alex Acosta, Tawia Ansah, Joycelyn Brown, Rosario Schrier, Thomas Baker, Scott Norberg, Noah Weisbord, Marcy Rosenthal, Ned Lautenbach, Elisabeth DeVos, and Howard Wasserman in his official and personal capacities. |   |              |
| <b>Court with Jurisdiction:</b>   | United States District Court, Southern District  |   |              |
| <b>Case Number:</b>   | 1:20-cv-22942  |   |              |
| <b>Summary of the Complaint:</b>  | Plaintiff is seeking damages arising from her academic dismissal from the Florida International University College of Law in May 2017. She has brought a variety of different claims against the defendants including an alleged violation of her First Amendment rights, denial of equal protection; defamation, fraud, negligence, and breach of fiduciary duties.   |   |              |
| <b>Amount of the Claim:</b>   | Plaintiff is requesting \$25,000,000   |   |              |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | None.  |   |              |
| <b>Status of the Case:</b>  | The Eleventh Circuit Court of Appeals affirmed the dismissal with prejudice on April 22, 2022. Plaintiff recently filed a petition for writ of certiorari with the U.S. Supreme Court.   |   |              |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>   | Agency Counsel  |              |
|   | <input type="checkbox"/>   | Office of the Attorney General or Division of Risk Management |              |
|   | <input checked="" type="checkbox"/>  | Outside Contract Counsel                                      |              |
| <b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b> | N/A  |   |              |

## Schedule VII: Agency Litigation Inventory

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

|   |  |                      |              |
|---|--|----------------------|--------------|
| <b>Agency:</b>  | <b>State University System of Florida, Board of Governors</b>  |                      |              |
| <b>Contact Person:</b>  | Vikki Shirley  | <b>Phone Number:</b> | 850-245-0430 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b> | <p>Adriana Novoa, Samuel Recheck, and he First amendment Forum at University of South Florida,</p> <p>v. Manny Diaz, Jr., in his capacity as the Commissioner of the Florida State Board of Education; Timothy M. Cerio, Richard Corcoran, Aubrey Edge, Patricia Frost, Nimna Gabadage, Edward Haddock, Ken Jones, Darlene Luccio Jordan, Brian Lamb, Alan Levine, Charles H. Lydecker, Craig Mateer, Deanna Michael, Steven M. Scott, Eric Silagy, and Kent Stermon, in their official capacities as members of the Florida Board of Governors of the State University System; Julie Leftheris, in her official capacity as the Inspector General of the Florida Board of Governors of the State University System; the University of South Florida Board of Trustees; and Timothy L. Boaz, Sandra Callahan, Michael Carrere, N. Rogan Donnelly, Michael E. Griffin, Oscar Horton, Lauran Monbarren, Nithin Palyam, Shilen Patel, Fredrick Piccolo, Melissa Seixas, Jenifer Jasinski Schneider, and William Weatherford in their official capacities as members of the University of South Florida Board of Trustees.</p> |                      |              |
| <b>Court with Jurisdiction:</b>   | United States District Court, Northern District  |                      |              |
| <b>Case Number:</b>   | 4:22-cv-00324-AW-MAF   |                      |              |
| <b>Summary of the Complaint:</b>  | <p>Plaintiffs are challenging amendments to Florida's Educational Equity Act that now delineate certain concepts which constitute discrimination if a public educational entity provides training or instruction to employees or students that runs afoul of any of the delineated concepts. Plaintiffs contend the recently enacted amendments violate their First Amendment and Due Process rights under the U.S. Constitution and Florida's Campus Free Expression Act and are seeking a declaratory judgment to that effect and a permanent injunction to prohibit implementation and enforcement of the amended statute.</p>  |                      |              |
| <b>Amount of the Claim:</b>   | Plaintiffs are seeking recovery of attorneys' fees and costs.  |                      |              |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>                                | Sections 1000.05 and 1004.097, Florida Statutes.   |                      |              |

|  |   |   |
|--|---|---|
| Status of the Case:  | The court has scheduled a hearing on the Plaintiffs' motion for a preliminary injunction on October 13, 2022 (to be heard in conjunction with the Pernell motion for preliminary injunction). |   |
| Who is representing (of record) the state in this lawsuit? Check all that apply.   | <input type="checkbox"/>  | Agency Counsel  |
|  | <input type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |
|  | <input checked="" type="checkbox"/>   | Outside Contract Counsel                                      |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | N/A   |   |

*Office of Policy and Budget – July 2022*

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

|  |   |               |              |
|--|---|---------------|--------------|
| Agency:  | <b>State University System of Florida, Board of Governors</b>   |               |              |
| Contact Person:  | Vikki Shirley   | Phone Number: | 850-245-0430 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | <p>Leroy Pernell, Dana Thompson Dorsey, Sharon Austin, Shelley Park, Jennifer Sandoval, Russell Almond, Marvin Dunn, and Johana Dauphin</p> <p>v. Florida Board of Governors of the State University System, Brian Lamb, Eric Silagy, Timothy M. Cerio, Richard Corcoran, Aubrey Edge, Patricia Frost, Nimna Gabadage, Edward Haddock, Ken Jones, Darlene Luccio Jordan, Alan Levine, Charles H. Lydecker, Craig Mateer, Steven M. Scott, William Self, and Kent Stermon, in their official capacities as members of the Florida Board of Governors of the State University System; Manny Diaz, Jr., in his capacity as the Commissioner of the Florida State Board of Education; University of Florida Board of Trustees, University of South Florida Board of Trustees, Florida International Board of Trustees, Florida A&amp;M University Board of Trustees, Florida State University Board of Trustees, and University of Central Florida Board of Trustees.</p> |               |              |
| Court with Jurisdiction:   | United States District Court, Northern District   |               |              |
| Case Number:   | 4:22-cv-00304-MW-MAF  |               |              |
| Summary of the Complaint:  | <p>Plaintiffs are challenging amendments to Florida's Educational Equity Act that now delineate certain concepts which constitute discrimination if a public educational entity provides training or instruction to employees or students that runs afoul of any of the delineated concepts. Plaintiffs contend the recently enacted amendments violate their First Amendment and Equal Protection rights under the U.S. Constitution and are seeking a declaratory judgment to that effect and a permanent injunction to prohibit implementation and enforcement of the amended statute.</p>   |               |              |
| Amount of the Claim:   | Plaintiffs are seeking recovery of attorneys' fees and costs.   |               |              |
| Specific Statutes or Laws (including GAA) Challenged:                                | Section 1000.05, Florida Statutes.  |               |              |
| Status of the Case:  | The court has scheduled a hearing on the Plaintiffs' motion for a preliminary injunction on October 13, 2022 (to be heard in conjunction with the Novoa motion for preliminary injunction).   |               |              |



|  |                                     |   |
|--|-------------------------------------|---|
| Who is representing (of record) the state in this lawsuit? Check all that apply.   | <input type="checkbox"/>            | Agency Counsel  |
|  | <input type="checkbox"/>            | Office of the Attorney General or Division of Risk Management |
|  | <input checked="" type="checkbox"/> | Outside Contract Counsel                                      |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | N/A                                 |   |

*Office of Policy and Budget – July 2022*

## Board of Governors, State University System of Florida

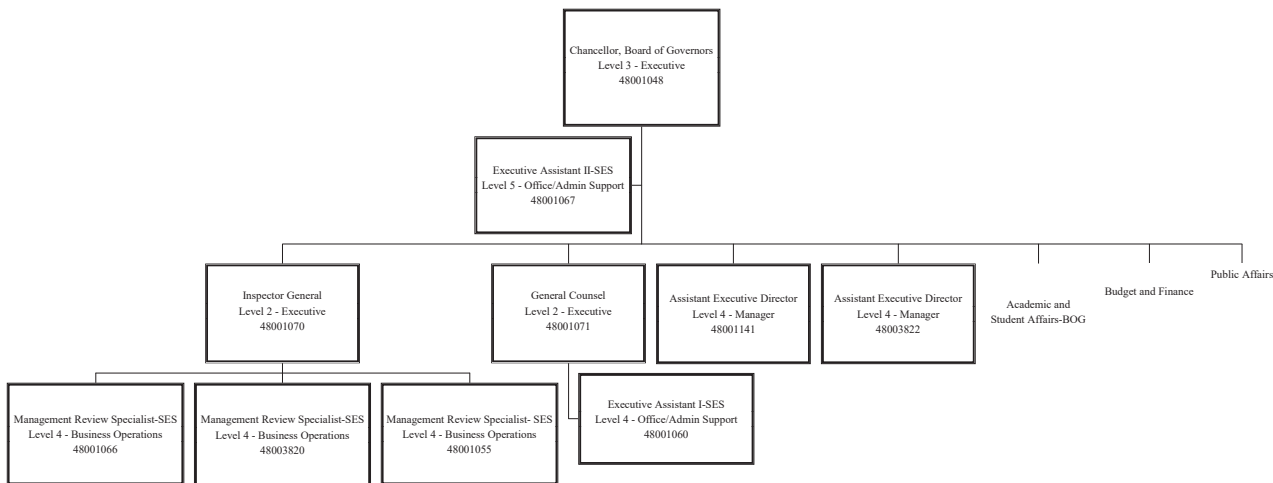
### Organization Charts

July 2022

|                                     |    |           |
|-------------------------------------|----|-----------|
| Office of the Chancellor            |    | 10        |
| Office of Academic Affairs          |    | 12        |
| Office of Budget and Finance        |    | 44        |
| Information Technology and Security | 16 |           |
| Budget                              | 15 |           |
| Facilities                          | 3  |           |
| Office of Data and Analytics        | 10 |           |
| Office of Public Affairs            |    | 3         |
| <b>Total Positions</b>              |    | <b>69</b> |

FLORIDA DEPARTMENT OF EDUCATION  
 BOARD OF GOVERNORS  
 OFFICE OF THE CHANCELLOR

DBS: 701001



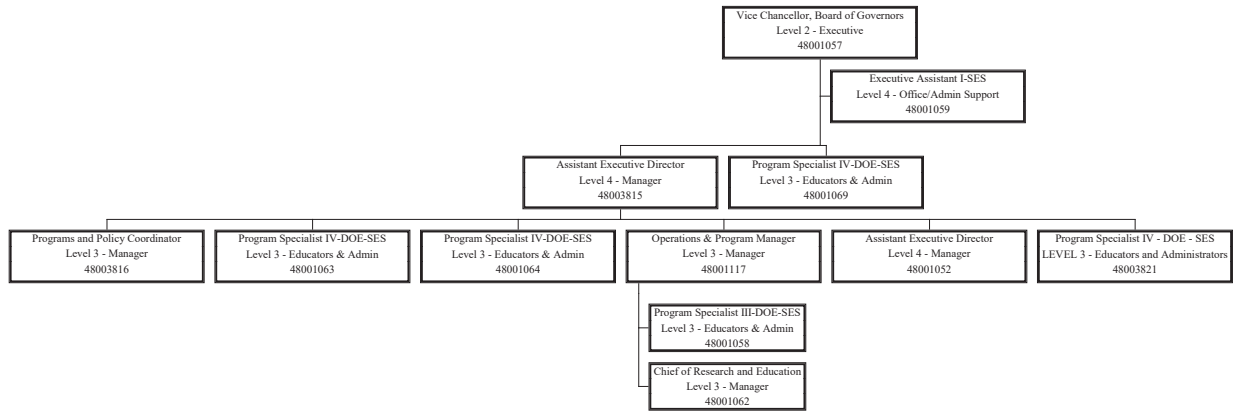
07/01/2022

BOG-I

FTE - 10.00

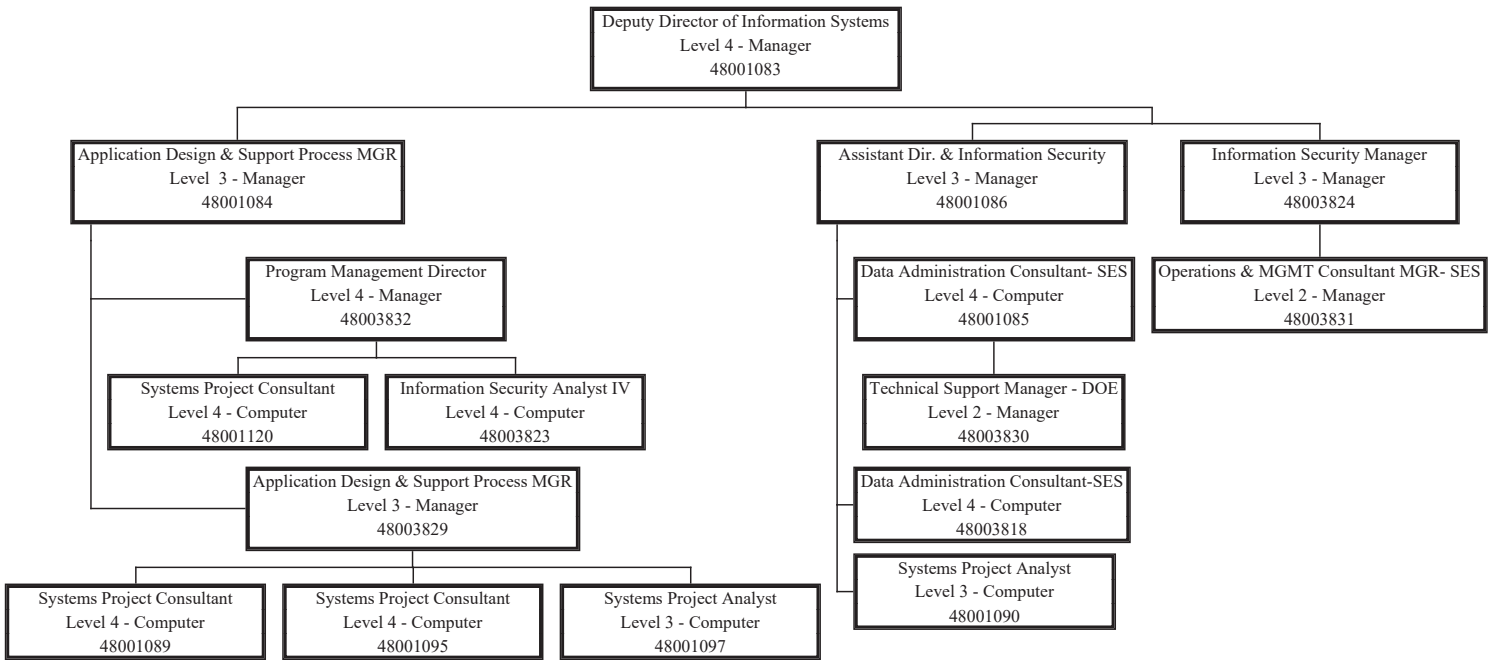
FLORIDA DEPARTMENT OF EDUCATION  
 BOARD OF GOVERNORS  
 ACADEMIC AND STUDENT AFFAIRS-BOG

DBS: 702001



FLORIDA DEPARTMENT OF EDUCATION  
 BOARD OF GOVERNORS  
 BUDGET AND FINANCE  
 INFORMATION TECHNOLOGY & SECURITY-BOG

DBS: 702002



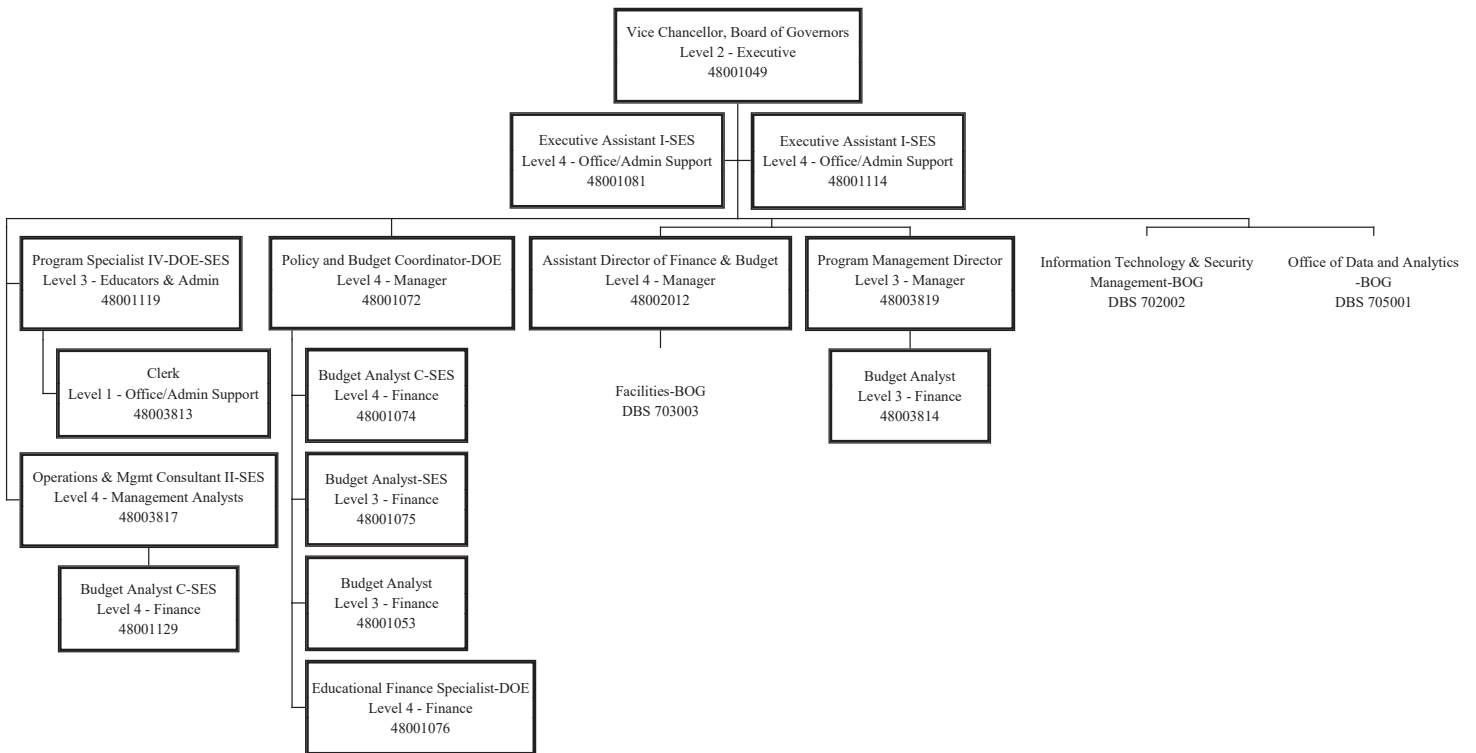
07/01/2022

BOG-3

FTE - 16.00

FLORIDA DEPARTMENT OF EDUCATION  
 BOARD OF GOVERNORS  
 BUDGET AND FINANCE

DBS: 703001



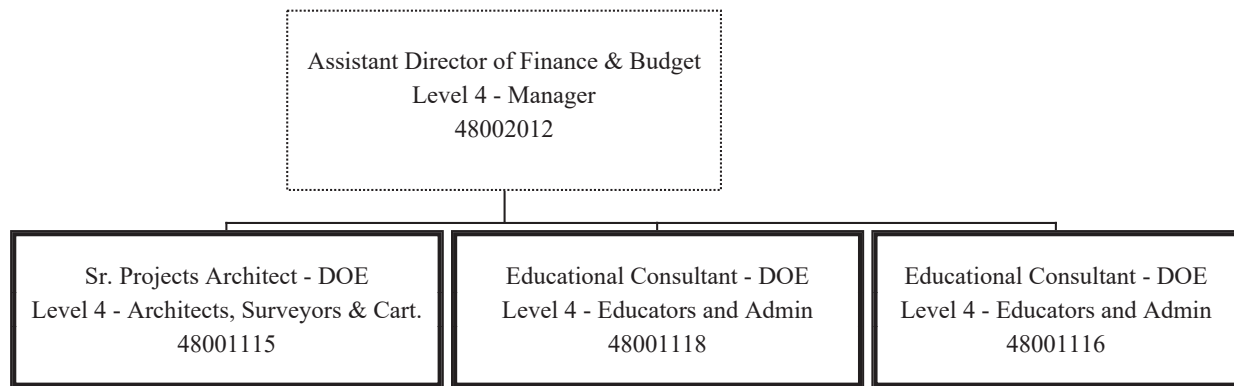
07/01/2022

BOG-4

FTE - 15.00

FLORIDA DEPARTMENT OF  
EDUCATION  
BOARD OF GOVERNORS  
BUDGET AND FINANCE  
FACILITIES-BOG

DBS: 703003



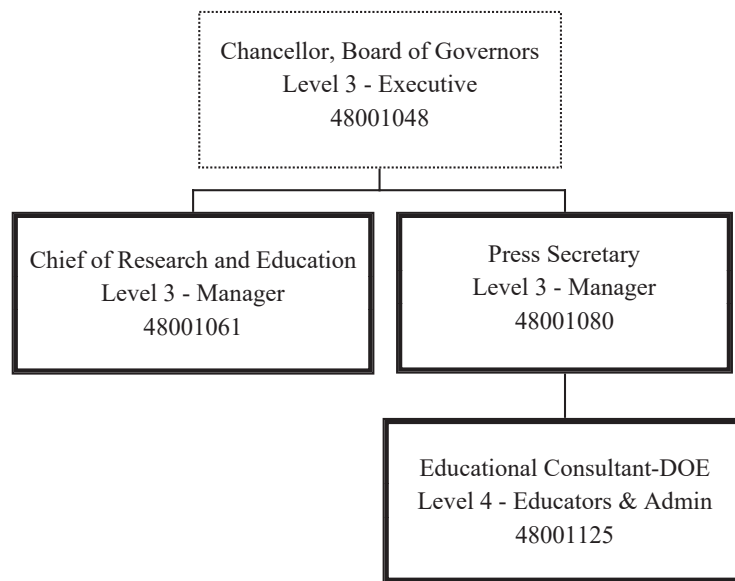
Position 48002012 Assigned to Supervise from 703001  
07/01/2022

BOG-5

FTE - 3.00

FLORIDA DEPARTMENT OF  
EDUCATION  
BOARD OF GOVERNORS  
PUBLIC AFFAIRS

DBS: 704001



07/01/2022

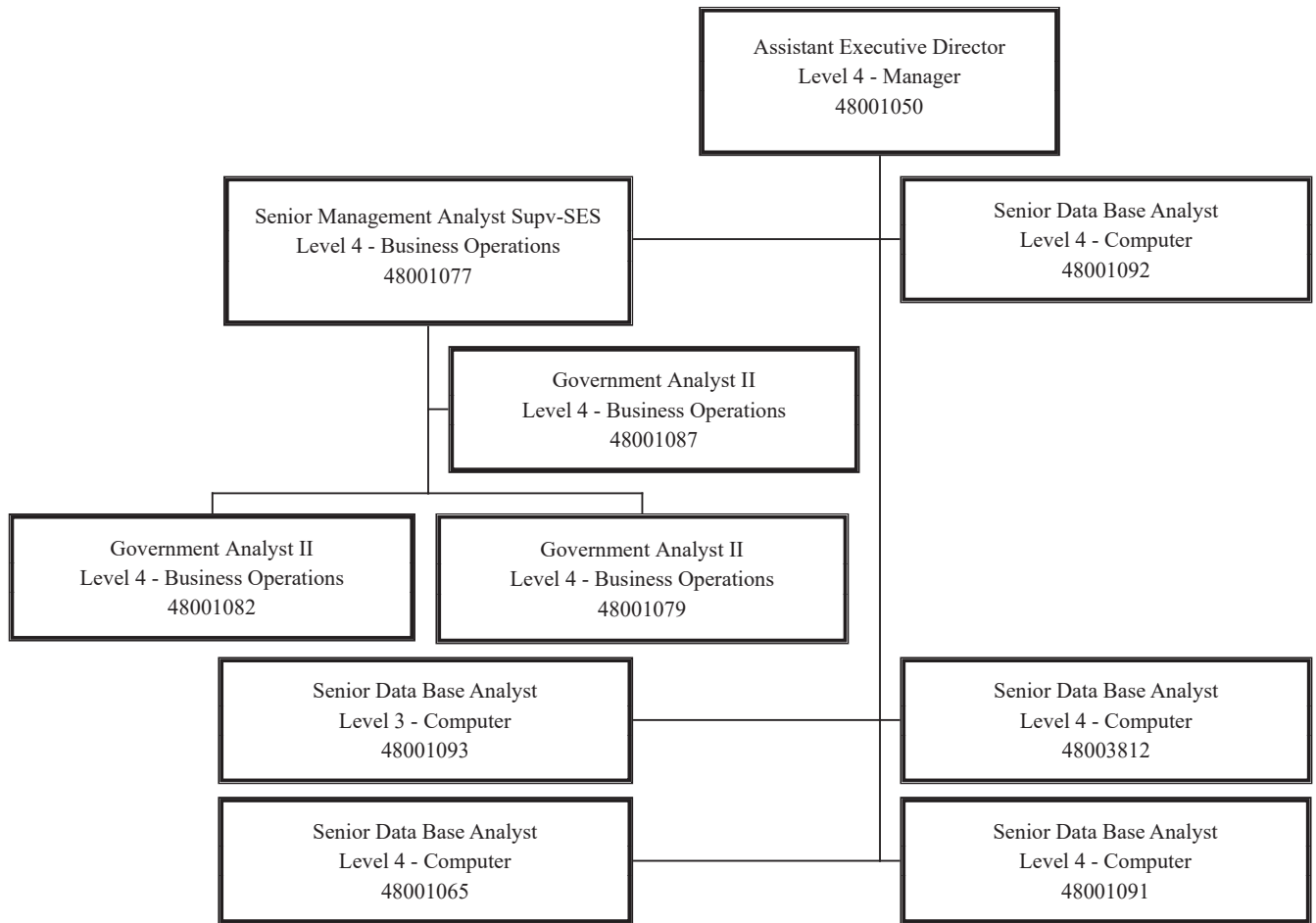
BOG-6

FTE - 3.00



FLORIDA DEPARTMENT OF EDUCATION  
 BOARD OF GOVERNORS  
 BUDGET AND FINANCE  
 OFFICE OF DATA AND ANALYTICS

DBS: 705001



07/01/2022

BOG-7

FTE-10.00

State of Florida  
Department of Education

State Universities  
Education and General



2023-24  
Exhibits or Schedules

## LBR 2022 | Appendix

This LBR appendix is in response to the 2020 Florida Legislature’s revisions to section 1011.90, Florida Statutes.

There is a misperception that a university faculty member is solely an instructor, which leads to misleading comparisons between faculty and administrator headcounts. Faculty have multiple responsibilities across instruction, research, public service, student support and administration, which is best measured by employee full-time equivalent (FTE) effort and why the headcount trends below may differ from the FTE trends.

The SUS institutions instituted a hiring freeze in early 2020 in response to possible budget restrictions and a 6 percent holdback related to the pandemic that have impacted these trends. Natural faculty departures created open positions that were not able to be filled.

### PERCENT OF ALL STATE-FUNDED EMPLOYEE FTE IN INSTRUCTION/RESEARCH

| FALL TERMS | FAMU | FAU  | FGCU | FIU  | FPU  | FSU  | NCF  | UCF  | UF   | UNF  | USF  | UWF  | SUS  |
|------------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| 2017       | 57.2 | 72.5 | 65.5 | 61.5 | 50.7 | 69.7 | 48.9 | 70.6 | 61.9 | 62.7 | 67.7 | 65.3 | 65.6 |
| 2018       | 57.6 | 71.3 | 66.7 | 61.1 | 48.8 | 70.3 | 48.3 | 70.8 | 62.7 | 62.5 | 67.2 | 63.7 | 65.7 |
| 2019       | 57.5 | 71.9 | 65.4 | 60.7 | 48.2 | 69.8 | 51.7 | 71.3 | 63.3 | 62.3 | 68.5 | 62.5 | 65.9 |
| 2020       | 54.7 | 69.6 | 64.6 | 60.9 | 46.1 | 69.8 | 50.5 | 71.0 | 62.6 | 62.7 | 67.7 | 62.0 | 65.4 |
| 2021       | 54.8 | 69.8 | 63.5 | 62.7 | 49.7 | 71.1 | 49.5 | 71.7 | 65.4 | 63.2 | 70.4 | 62.4 | 66.8 |

### PERCENT OF ALL STATE-FUNDED EMPLOYEE FTE IN ADMINISTRATION

| FALL TERMS | FAMU | FAU  | FGCU | FIU  | FPU  | FSU  | NCF  | UCF  | UF   | UNF  | USF  | UWF  | SUS  |
|------------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| 2017       | 24.8 | 19.4 | 20.5 | 24.0 | 36.4 | 14.2 | 22.9 | 16.2 | 15.9 | 16.7 | 22.3 | 17.5 | 18.6 |
| 2018       | 24.6 | 20.8 | 20.0 | 25.0 | 39.9 | 14.0 | 24.0 | 16.1 | 16.2 | 16.9 | 23.5 | 19.0 | 19.0 |
| 2019       | 23.1 | 20.1 | 21.8 | 24.7 | 37.5 | 14.7 | 22.3 | 16.4 | 16.1 | 17.2 | 22.9 | 19.9 | 19.0 |
| 2020       | 24.5 | 19.0 | 22.3 | 25.1 | 39.1 | 15.0 | 23.2 | 17.0 | 16.7 | 18.3 | 23.6 | 20.3 | 19.4 |
| 2021       | 23.9 | 19.5 | 23.2 | 23.6 | 36.9 | 14.5 | 22.8 | 17.0 | 16.4 | 18.5 | 18.7 | 20.0 | 18.5 |

Source: Board Office of Data & Analytics analysis of the Fall Employee submission (EDAT table), 2022-05.

Notes: Employee FTE is the portion of full-time effort assigned for the length of the contract. Only includes state-funded employees. The denominators for these percentages includes all state-funded FTE regardless of pay plan designation. Other activity categories (not shown) include: Student Support, Services, and Operational Support.

### STATE-FUNDED FACULTY HEADCOUNTS

| SPRING TERMS | FAMU | FAU   | FGCU | FIU   | FPU | FSU   | NCF | UCF   | UF    | UNF   | USF   | UWF | SUS    |
|--------------|------|-------|------|-------|-----|-------|-----|-------|-------|-------|-------|-----|--------|
| 2020         | 762  | 1,455 | 826  | 2,352 | 92  | 2,134 | 131 | 2,379 | 4,560 | 976   | 3,025 | 579 | 19,271 |
| 2021         | 807  | 1,302 | 890  | 2,371 | 93  | 2,118 | 130 | 2,296 | 4,498 | 975   | 2,753 | 584 | 18,817 |
| 2022         | 765  | 1,255 | 913  | 2,465 | 90  | 2,145 | 124 | 2,282 | 4,555 | 1,010 | 2,795 | 582 | 18,981 |

### STATE-FUNDED ADMINISTRATOR HEADCOUNTS

| SPRING TERMS | FAMU | FAU | FGCU | FIU | FPU | FSU | NCF | UCF | UF  | UNF | USF | UWF | SUS   |
|--------------|------|-----|------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------|
| 2020         | 131  | 361 | 169  | 573 | 34  | 496 | 34  | 533 | 683 | 169 | 589 | 174 | 3,946 |
| 2021         | 133  | 356 | 174  | 586 | 28  | 516 | 39  | 526 | 704 | 174 | 586 | 130 | 3,952 |
| 2022         | 137  | 368 | 188  | 586 | 26  | 527 | 37  | 537 | 740 | 175 | 589 | 136 | 4,046 |

Source: Board Office of Data & Analytics analysis of Spring Employee submission (EDAT table), extracted 2022-05.

Notes: Only includes state-funded employees. Pursuant to Board Regulation 9.006, Faculty includes all staff with a Faculty Pay Plan, or an OPS Adjunct Faculty, designation as defined by the institutions. An administrator is defined as an employee who has managerial responsibilities for the operations of departments, teams, units, projects, or programs. Administrators do not have a faculty pay plan designation as determined by each institution. Only three years of headcount data is available because the Board office recently developed a new employee classification system to better standardize the classification of institutional jobs. Five-year trends for headcounts will be available in the future.



State of Florida  
Department of Education

State Universities  
Education and General



2023-24  
Schedule I Series

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2023 - 2024

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>48 EDUCATION</b>                            |
| <b>Trust Fund Title:</b>    | <b>ED/GEN STUD &amp; OTHER FEES TRUST FUND</b> |
| <b>Budget Entity:</b>       | <b>DEPARTMENT</b>                              |
| <b>LAS/PBS Fund Number:</b> | <b>2164</b>                                    |

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

**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**

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>48 EDUCATION</b>                            |
| <b>Trust Fund Title:</b>    | <b>ED/GEN STUD &amp; OTHER FEES TRUST FUND</b> |
| <b>LAS/PBS Fund Number:</b> | <b>2164</b>                                    |

**BEGINNING TRIAL BALANCE:**

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

|  |                                       |
|--|---------------------------------------|
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | <input type="text" value="0.00"/> (A) |
|--|---------------------------------------|

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

**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

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

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

**Add/Subtract Other Adjustment(s):**

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

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

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

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

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

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

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

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

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

**\*SHOULD EQUAL ZERO.**

**SCHEDULE ID: REQUEST FOR CREATION, RE-CREATION, RETENTION, TERMINATION,  
OR MODIFICATION OF A TRUST FUND**

|   |  |   |  |
|---|--|---|--|
| Department:   | Education  |   |  |
| Fiscal Year   | 2023-2024  |   |  |
| Fund Name:  | Education/General Student & Other Fees Trust Fund                      |   |  |
| FLAIR #:*   | 48-2-164   |   |  |
| Name<br>Position<br>Telephone No. of Person<br>Completing Form: | Dale Bradley, University Budgets Director, 850-245-9392                |   |  |
| <b>Type of Action Requested :</b><br><br>(Check one)            | <input type="checkbox"/> <b>Exempt From Termination</b>                | <input type="checkbox"/> <b>Re-create without modification<br/>(last action was initial create)</b> |  |
|   | <input checked="" type="checkbox"/> <b>Retain without modification</b> | <input type="checkbox"/> <b>Re-create/Retain with modification<br/>(last action was re-create)</b>  |  |
|   | <input type="checkbox"/> <b>Create New Fund</b>                        | <input type="checkbox"/> <b>Terminate Existing Fund</b>   |  |

\* Enter ONLY the six-digit code. Not applicable for requests to Create trust fund.

For All Trust Funds scheduled for review this year, answer questions 1-6.

|   |  |   |
|---|--|---|
| 1 | Cite the statutory authority for the trust fund (Florida Statutes or, if none, Laws of Florida). Give the statutory purpose, if stated, for the trust fund.          | Section 1009.24(1), Florida Statutes, Funds from student fee collections and other miscellaneous fees and receipts are deposited in this trust fund. This trust was recreated in 2003-210, Laws of Florida. Section 1011.4106, Florida Statutes, provides that this fund be dissolved with unexpended balances being deposited into each universities' local account. However, in 2005-2006, the Legislature began again to appropriate tuition and fees in this trust fund. Therefore, it needs to be retained without modification. |
| 2 | List the specific sources of receipts to the trust fund and the statutory references for those receipts.   | Tuition, out-of-state, and other student-related fees   |
| 3 | If state or federal law requires or prohibits specific expenditures from the trust fund, list the requirements or prohibitions and the statutory citations for them. | Not Applicable  |
| 4 | If any source of receipts is federal, describe any restrictions on those receipts that are inconsistent with how the state does business.                            | Not Applicable  |
| 5 | If this trust fund could be combined with other agency trust funds that accomplish a similar purpose, list those trust funds.  | Not Applicable  |
| 6 | If General Revenue funding supports the same programs or activities that the trust fund supports, provide a justification.   | General Revenue funds also support the same program. However, it is mandated that postsecondary education students pay a portion of their educational costs.  |



For Trust Funds that the agency believes are **Exempt from Termination** answer question 7.

|   |  |                |
|---|--|----------------|
| 7 | If this trust fund is exempt from termination according to Article III, section 19(f)(3) of the Florida Constitution, list the specific exemptions that apply. | Not Applicable |
|---|--|----------------|

For Trust Funds that the agency recommends should be **Re-created/Retained with or without modification** answer questions 8 and 9 and attach draft legislation as requested.

|   |   |  |
|---|---|--|
| 8 | Give the specific reasons that continuation (re-creation after initial creation or retention after subsequent re-creation) of this trust fund is necessary. List agency activities (based on the activity detail report) supported by the trust fund. | Beginning in 2005-2006, the Legislature began to appropriate student tuition and fees in this trust fund again; therefore, this trust fund is needed. All instruction and research LRPP activities are supported by this trust fund, such as undergraduate instruction and graduate instruction. |
| 9 | Describe any modifications the agency is requesting when this fund is re-created/retained. Attach draft legislation to accomplish the requested change.   | Not Applicable   |

For Trust Funds that the agency recommends should be **Terminated** answer question 10 and attach draft legislation as requested.

|    |   |                |
|----|---|----------------|
| 10 | Explain how the current cash balance and all current receipts of the trust fund will be distributed. Attach draft legislation that removes reference to the trust fund from the statutes. | Not Applicable |
|----|---|----------------|

For **New** Trust Funds that the agency recommends should be **Created** answer questions 11-13 and attach draft legislation as requested.

|    |  |                |
|----|--|----------------|
| 11 | Describe the purpose of the trust fund and identify its revenue sources. Attach draft legislation that meets the requirements of section 215.3207, Florida Statutes. | Not Applicable |
| 12 | Describe the specific impact on any other trust fund or the General Revenue Fund from the creation of this new trust fund.   | Not Applicable |
| 13 | Describe the period of time for which this new trust fund will be needed, or the circumstances under which it will no longer be needed.                              | Not Applicable |

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |                                      |
|-----------------------------|--------------------------------------|
| <b>Department Title:</b>    | <b>Budget Period: 2023-2024</b>      |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                  |
| <b>Budget Entity:</b>       | <b>PHOSPHATE RESEARCH TRUST FUND</b> |
| <b>LAS/PBS Fund Number:</b> | <b>DEPARTMENT</b>                    |
|                             | <b>2530</b>                          |

|   | Balance as of<br>6/30/2022 |     | SWFS*<br>Adjustments |  | Adjusted<br>Balance            |
|---|----------------------------|-----|----------------------|--|--------------------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | <input type="text"/>       | (A) | <input type="text"/> |  | <input type="text" value="0"/> |
| ADD: Other Cash (See Instructions)                  | <input type="text"/>       | (B) | <input type="text"/> |  | <input type="text" value="0"/> |
| ADD: Investments                                    | <input type="text"/>       | (C) | <input type="text"/> |  | <input type="text" value="0"/> |
| ADD: Outstanding Accounts Receivable                | <input type="text"/>       | (D) | <input type="text"/> |  | <input type="text" value="0"/> |
| ADD: Unreserved Fund Balance Not Recorded in FLAIR  | 6,112,593                  | (E) | <input type="text"/> |  | 6,112,593                      |
| <b>Total Cash plus Accounts Receivable</b>          | <b>6,112,593</b>           | (F) | <b>0</b>             |  | <b>6,112,593</b>               |
| LESS: Allowances for Uncollectibles                 | <input type="text"/>       | (G) | <input type="text"/> |  | <input type="text" value="0"/> |
| LESS: Approved "A" Certified Forwards               | <input type="text"/>       | (H) | <input type="text"/> |  | <input type="text" value="0"/> |
| Approved "B" Certified Forwards                     | <input type="text"/>       | (H) | <input type="text"/> |  | <input type="text" value="0"/> |
| Approved "FCO" Certified Forwards                   | <input type="text"/>       | (H) | <input type="text"/> |  | <input type="text" value="0"/> |
| LESS: Other Accounts Payable (Nonoperating)         | <input type="text"/>       | (I) | <input type="text"/> |  | <input type="text" value="0"/> |
| LESS: _____   | <input type="text"/>       | (J) | <input type="text"/> |  | <input type="text" value="0"/> |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>6,112,593</b>           | (K) | <b>0</b>             |  | <b>6,112,593</b> **            |

**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**

|                             |                                      |                   |
|-----------------------------|--------------------------------------|-------------------|
| <b>Department Title:</b>    | <b>48 EDUCATION</b>                  |                   |
| <b>Trust Fund Title:</b>    | <b>PHOSPHATE RESEARCH TRUST FUND</b> |                   |
| <b>LAS/PBS Fund Number:</b> | <b>2530</b>                          | <b>DEPARTMENT</b> |

**BEGINNING TRIAL BALANCE:**

|  |   |
|--|---|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>            |   |
| Total all GLC's 5XXXX for governmental funds;                          | <input type="text"/> (A)                      |
| GLC 539XX for proprietary and fiduciary funds                          |   |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>                  | <input type="text"/> (B)                      |
| <b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b> |   |
| SWFS Adjustment # and Description                                      | <input type="text"/> (C)                      |
| SWFS Adjustment # and Description                                      | <input type="text"/> (C)                      |
| <b>Add/Subtract Other Adjustment(s):</b>                               |   |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS                  | <input type="text"/> (D)                      |
| Approved FCO Certified Forward per LAS/PBS                             | <input type="text"/> (D)                      |
| A/P not C/F-Operating Categories                                       | <input type="text"/> (D)                      |
|  | <input type="text"/> (D)                      |
|  | <input type="text"/> (D)                      |
| Unreserved Fund Balance Not Recorded in FLAIR                          | <input type="text" value="6,112,593.00"/> (D) |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>                               | <input type="text" value="6,112,593.00"/> (E) |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>                   | <input type="text" value="6,112,593.00"/> (F) |
| <b>DIFFERENCE:</b>   | <input type="text" value="0.00"/> (G)*        |

**\*SHOULD EQUAL ZERO.**

**SCHEDULE ID: REQUEST FOR CREATION, RE-CREATION, RETENTION, TERMINATION,  
OR MODIFICATION OF A TRUST FUND**

|   |   |   |  |
|---|---|---|--|
| Department:   | Education   |   |  |
| Fiscal Year   | 2023-2024   |   |  |
| Fund Name:  | Phosphate Research Trust Fund                                   |   |  |
| FLAIR #:*   | 48-2-530  |   |  |
| Name<br>Position<br>Telephone No. of Person<br>Completing Form: | Dale Bradley, University Budgets Director, 850-245-9392         |   |  |
| <b>Type of Action Requested :</b><br><br>(Check one)            | <input type="checkbox"/> Exempt From Termination                | <input type="checkbox"/> Re-create without modification<br>(last action was initial create) |  |
|   | <input checked="" type="checkbox"/> Retain without modification | <input type="checkbox"/> Re-create/Retain with modification<br>(last action was re-create)  |  |
|   | <input type="checkbox"/> Create New Fund                        | <input type="checkbox"/> Terminate Existing Fund  |  |

\* Enter ONLY the six-digit code. Not applicable for requests to Create trust fund.

For All Trust Funds scheduled for review this year, answer questions 1-6.

|   |  |   |
|---|--|---|
| 1 | Cite the statutory authority for the trust fund (Florida Statutes or, if none, Laws of Florida). Give the statutory purpose, if stated, for the trust fund.          | Section 1010.85, Florida Statutes, states that Chapter 99-45, Laws of Florida, re-created the Phosphate Research Trust Fund to record the revenue and disbursements from tax on severance of phosphate rock as provided in s. 211.3103. The Department of Revenue transfers these funds directly to the Florida Polytechnic University (previously to the University of South Florida), which administers the trust fund. The Department of Education and Florida Board of Governors do not participate in the distribution of these funds. |
| 2 | List the specific sources of receipts to the trust fund and the statutory references for those receipts.   | Tax on the severance of phosphate rock. The distribution of these funds is as stated in s. 211.3103, Florida Statutes.  |
| 3 | If state or federal law requires or prohibits specific expenditures from the trust fund, list the requirements or prohibitions and the statutory citations for them. | Not Applicable  |
| 4 | If any source of receipts is federal, describe any restrictions on those receipts that are inconsistent with how the state does business.                            | Not Applicable  |
| 5 | If this trust fund could be combined with other agency trust funds that accomplish a similar purpose, list those trust funds.  | Not Applicable  |
| 6 | If General Revenue funding supports the same programs or activities that the trust fund supports, provide a justification.   | Not Applicable  |

For Trust Funds that the agency believes are **Exempt from Termination** answer question 7.

|   |  |                |
|---|--|----------------|
| 7 | If this trust fund is exempt from termination according to Article III, section 19(f)(3) of the Florida Constitution, list the specific exemptions that apply. | Not Applicable |
|---|--|----------------|

For Trust Funds that the agency recommends should be **Re-created/Retained with or without modification** answer questions 8 and 9 and attach draft legislation as requested.

|   |   |  |
|---|---|--|
| 8 | Give the specific reasons that continuation (re-creation after initial creation or retention after subsequent re-creation) of this trust fund is necessary. List agency activities (based on the activity detail report) supported by the trust fund. | Recreation of this trust fund is necessary in order to remain compliant with s. 1010.85 F.S. |
| 9 | Describe any modifications the agency is requesting when this fund is re-created/retained. Attach draft legislation to accomplish the requested change.   | Not Applicable   |

For Trust Funds that the agency recommends should be **Terminated** answer question 10 and attach draft legislation as requested.

|    |   |                |
|----|---|----------------|
| 10 | Explain how the current cash balance and all current receipts of the trust fund will be distributed. Attach draft legislation that removes reference to the trust fund from the statutes. | Not Applicable |
|----|---|----------------|

For **New** Trust Funds that the agency recommends should be **Created** answer questions 11-13 and attach draft legislation as requested.

|    |  |                |
|----|--|----------------|
| 11 | Describe the purpose of the trust fund and identify its revenue sources. Attach draft legislation that meets the requirements of section 215.3207, Florida Statutes. | Not Applicable |
| 12 | Describe the specific impact on any other trust fund or the General Revenue Fund from the creation of this new trust fund.   | Not Applicable |
| 13 | Describe the period of time for which this new trust fund will be needed, or the circumstances under which it will no longer be needed.                              | Not Applicable |

# Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): State University System / Education & General

Agency Budget Officer/OPB Analyst Name: Dale Bradley / Shelby Cecil

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48900100 |
|--------|--|

## 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>                                  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b> | 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

Department/Budget Entity (Service): State University System / Education & General

Agency Budget Officer/OPB Analyst Name: Dale Bradley / Shelby Cecil

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48900100 |
|--------|--|

### 3. EXHIBIT B (EXBR, EXB)

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

#### AUDITS:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity and program component at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>   | Y |  |  |  |  |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>   | Y |  |  |  |  |
| TIP Generally look for and be able to fully explain significant differences between A02 and A03.   |   |  |  |  |  |
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.   |   |  |  |  |  |
| TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |   |  |  |  |  |

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
| 4.2 Is the program component code and title used correct?  | Y |  |  |  |  |
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.   |   |  |  |  |  |

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

#### AUDITS:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>  | Y |  |  |  |  |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>                          | Y |  |  |  |  |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b> | Y |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): State University System / Education & General |
| Agency Budget Officer/OPB Analyst Name: Dale Bradley / Shelby Cecil               |

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|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes) |
|        | 48900100                                 |

|   |  |
|---|--|
| 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 |  |  |  |  |
| 7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)   | N/A |  |  |  |  |
| 7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.   | N/A |  |  |  |  |
| 7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/A/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 92 of the LBR Instructions.) | N/A |  |  |  |  |
| 7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?  | Y   |  |  |  |  |
| 7.9 Does the issue narrative reference the specific county(ies) where applicable?  | N/A |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): State University System / Education & General

Agency Budget Officer/OPB Analyst Name: Dale Bradley / Shelby Cecil

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|        |  |
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| Action | Program or Service (Budget Entity Codes)<br>48900100 |
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|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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. <b>(PLRR, PLMO)</b>  | 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.   | Y   |  |  |  |  |
| 7.16 Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 88 of the LBR Instructions.) | N/A |  |  |  |  |
| 7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 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   |  |  |  |  |
| <b>AUDIT:</b>  |     |  |  |  |  |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | N/A |  |  |  |  |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | N/A |  |  |  |  |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | N/A |  |  |  |  |
| 7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>                                   | 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. <b>(NAAR, BSNR)</b>   | Y   |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): State University System / Education & General

Agency Budget Officer/OPB Analyst Name: Dale Bradley / Shelby Cecil

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|        |  |
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| Action | Program or Service (Budget Entity Codes) |
|        | 48900100                                 |

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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 <b>OADA/OADR</b> 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.  |     |  |  |  |  |
| 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?   | N/A |  |  |  |  |
| 8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?  | Y   |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): State University System / Education & General

Agency Budget Officer/OPB Analyst Name: Dale Bradley / Shelby Cecil

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|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48900100 |
|--------|--|

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 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?   | Y   |  |  |  |  |
| 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?  | Y   |  |  |  |  |
| 8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?  | Y   |  |  |  |  |
| 8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?   | N/A |  |  |  |  |
| 8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?   | N/A |  |  |  |  |
| 8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?   | Y   |  |  |  |  |
| 8.17 If applicable, are nonrecurring revenues entered into Column A04?   |     |  |  |  |  |
| 8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?  | Y   |  |  |  |  |
| 8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?   | Y   |  |  |  |  |
| 8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?   | Y   |  |  |  |  |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?   | N/A |  |  |  |  |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)  | N/A |  |  |  |  |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?   | Y   |  |  |  |  |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?   | N/A |  |  |  |  |
| 8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?  | N/A |  |  |  |  |
| 8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?  | Y   |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

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|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes) |
|        | 48900100                                 |

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 8.27 Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?   | Y |  |  |  |  |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y |  |  |  |  |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?   | Y |  |  |  |  |

**AUDITS:**

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).  | Y |  |  |  |  |
| 8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | 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

Department/Budget Entity (Service): State University System / Education & General

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|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes)<br>48900100 |
|--------|--|

### 9. SCHEDULE II (PSCR, SC2)

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| AUDIT:  |     |  |  |  |  |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3?<br><b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b><br>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 |  |  |  |  |

### 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | N/A |  |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

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

### 12. SCHEDULE VIIIA (EADR, SC8A)

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

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>  | 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.) | Y |  |  |  |  |
| TIP Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.   |   |  |  |  |  |
| TIP If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.   |   |  |  |  |  |

### 15. SCHEDULE VIIIC (EADR, S8C) (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)

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): State University System / Education & General

Agency Budget Officer/OPB Analyst Name: Dale Bradley / Shelby Cecil

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes) |
|        | 48900100                                 |

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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? ( <b>GENR, ACT1</b> )  | Y   |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   | Y   |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  | 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 <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  | Y   |  |  |  |  |
| <b>TIP</b> 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   |  |  |  |  |
| 17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?   | N/A |  |  |  |  |
| 17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US?</b> | N/A |  |  |  |  |
| 17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?   | N/A |  |  |  |  |

**AUDITS - GENERAL INFORMATION**

|  |  |
|--|--|
| TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 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)**



## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): State University System / Education & General

Agency Budget Officer/OPB Analyst Name: Dale Bradley / Shelby Cecil

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

|        |  |
|--------|--|
| Action | Program or Service (Budget Entity Codes) |
|        | 48900100                                 |

|   |     |  |  |  |  |
|---|-----|--|--|--|--|
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?  | N/A |  |  |  |  |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?  | N/A |  |  |  |  |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?   | N/A |  |  |  |  |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?   | N/A |  |  |  |  |
| 18.5 Are the appropriate counties identified in the narrative?  | N/A |  |  |  |  |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?  | N/A |  |  |  |  |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. |     |  |  |  |  |

**19. FLORIDA FISCAL PORTAL**

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |  |
|--|---|--|--|--|--|

# State of Florida Department of Education

## Board of Governors



## 2023-24 Exhibits or Schedules



State of Florida  
Department of Education

Board of Governors



2023-24  
Schedule I Series

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

|                             |  |
|-----------------------------|--|
| <b>Department Title:</b>    | <b>Budget Period: 2023 - 2024</b>              |
| <b>Trust Fund Title:</b>    | <b>48 EDUCATION</b>                            |
| <b>Budget Entity:</b>       | <b>OPERATIONS &amp; MAINTENANCE TRUST FUND</b> |
| <b>LAS/PBS Fund Number:</b> | <b>DEPARTMENT</b>                              |
|                             | <b>2516</b>                                    |

|   | Balance as of<br>6/30/2022 |            | SWFS*<br>Adjustments | Adjusted<br>Balance |
|---|----------------------------|------------|----------------------|---------------------|
| <b>Chief Financial Officer's (CFO) Cash Balance</b> | [ ]                        | (A)        | [ ]                  | 0.00                |
| ADD: Other Cash (See Instructions)                  | [ ]                        | (B)        | [ ]                  | 0.00                |
| ADD: Investments                                    | 17,451.14                  | (C)        | [ ]                  | 17,451.14           |
| ADD: Outstanding Accounts Receivable                | 14.94                      | (D)        | [ ]                  | 14.94               |
| ADD: _____  | [ ]                        | (E)        | [ ]                  | 0.00                |
| <b>Total Cash plus Accounts Receivable</b>          | <b>17,466.08</b>           | <b>(F)</b> | <b>0.00</b>          | <b>17,466.08</b>    |
| LESS: Allowances for Uncollectibles                 | [ ]                        | (G)        | [ ]                  | 0.00                |
| LESS: Approved "A" Certified Forwards               | [ ]                        | (H)        | [ ]                  | 0.00                |
| Approved "B" Certified Forwards                     | [ ]                        | (H)        | [ ]                  | 0.00                |
| Approved "FCO" Certified Forwards                   | [ ]                        | (H)        | [ ]                  | 0.00                |
| LESS: Other Accounts Payable (Nonoperating)         | 1.74                       | (I)        | [ ]                  | 1.74                |
| LESS: _____   | [ ]                        | (J)        | [ ]                  | 0.00                |
| <b>Unreserved Fund Balance, 07/01/22</b>            | <b>17,464.34</b>           | <b>(K)</b> | <b>0.00</b>          | <b>17,464.34</b> ** |

**Notes:**

\*SWFS = Statewide Financial Statement

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

*Office of Policy and Budget - July 2022*

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

|                             |  |
|-----------------------------|--|
|                             | <b>Budget Period: 2023 - 2024</b>                                |
| <b>Department Title:</b>    | <b>48 EDUCATION</b>  |
| <b>Trust Fund Title:</b>    | <b>OPERATIONS &amp; MAINTENANCE TRUST FUND</b>                   |
| <b>LAS/PBS Fund Number:</b> | <b>2516</b> <span style="float: right;"><b>DEPARTMENT</b></span> |

**BEGINNING TRIAL BALANCE:**

|  |               |
|--|---------------|
| <b>Total Fund Balance Per FLAIR Trial Balance, 07/01/22</b>                                    |               |
| Total all GLC's 5XXXX for governmental funds;<br>GLC 539XX for proprietary and fiduciary funds | 17,464.34 (A) |
| <b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>  | 0.00 (B)      |
| <b>Add/Subtract Statewide Financial Statement (SWFS)Adjustments :</b>                          |               |
| SWFS Adjustment # and Description  | 0.00 (C)      |
| SWFS Adjustment # and Description  | 0.00 (C)      |
| <b>Add/Subtract Other Adjustment(s):</b>   |               |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS  | 0.00 (D)      |
| Approved FCO Certified Forward per LAS/PBS   | 0.00 (D)      |
| A/P not C/F-Operating Categories   | 0.00 (D)      |
|  | (D)           |
|  | (D)           |
|  | (D)           |
| <b>ADJUSTED BEGINNING TRIAL BALANCE:</b>   | 17,464.34 (E) |
| <b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>   | 17,464.34 (F) |
| <b>DIFFERENCE:</b>   | 0.00 (G)*     |

**\*SHOULD EQUAL ZERO.**

**SCHEDULE ID: REQUEST FOR CREATION, RE-CREATION, RETENTION, TERMINATION,  
OR MODIFICATION OF A TRUST FUND**

|   |   |  |
|---|---|--|
| Department:   | Education   |  |
| Fiscal Year   | 2023-2024   |  |
| Fund Name:  | Operations and Maintenance Trust Fund   |  |
| FLAIR #:*   | 48-2-516  |  |
| Name<br>Position<br>Telephone No. of Person<br>Completing Form: | Heidie Bryant, Budget Officer, 850-245-0084   |  |
| <b>Type of Action Requested :</b><br><br>(Check one)            | <input type="checkbox"/> <b>Exempt From Termination</b> <input type="checkbox"/> <b>Re-create without modification (last action was initial create)</b><br><input checked="" type="checkbox"/> <b>Retain without modification</b> <input type="checkbox"/> <b>Re-create/Retain with modification (last action was re-create)</b><br><input type="checkbox"/> <b>Create New Fund</b> <input type="checkbox"/> <b>Terminate Existing Fund</b> |  |

\* Enter ONLY the six-digit code. Not applicable for requests to Create trust fund.

For All Trust Funds scheduled for review this year, answer questions 1-6.

|   |  |  |
|---|--|--|
| 1 | Cite the statutory authority for the trust fund (Florida Statutes or, if none, Laws of Florida). Give the statutory purpose, if stated, for the trust fund.          | There is no statute related to this trust fund directly. However, the Charity Racing Day Proceeds from the Department of Business and Professional Regulation (Section 550.0351 F.S.) are deposited into the Operation and Maintenance Trust Fund. The Laws of Florida that previously recreated this trust fund is Chapter 2003-221, Laws of Florida. |
| 2 | List the specific sources of receipts to the trust fund and the statutory references for those receipts.   | Charity Racing Day Proceeds plus any other miscellaneous assessments.  |
| 3 | If state or federal law requires or prohibits specific expenditures from the trust fund, list the requirements or prohibitions and the statutory citations for them. | Not Applicable   |
| 4 | If any source of receipts is federal, describe any restrictions on those receipts that are inconsistent with how the state does business.                            | Not Applicable   |
| 5 | If this trust fund could be combined with other agency trust funds that accomplish a similar purpose, list those trust funds.  | Not Applicable   |
| 6 | If General Revenue funding supports the same programs or activities that the trust fund supports, provide a justification.   | Not Applicable   |

For Trust Funds that the agency believes are **Exempt from Termination** answer question 7.

|   |  |                |
|---|--|----------------|
| 7 | If this trust fund is exempt from termination according to Article III, section 19(f)(3) of the Florida Constitution, list the specific exemptions that apply. | Not Applicable |
|---|--|----------------|

For Trust Funds that the agency recommends should be **Re-created/Retained with or without modification** answer questions 8 and 9 and attach draft legislation as requested.

|   |   |  |
|---|---|--|
| 8 | Give the specific reasons that continuation (re-creation after initial creation or retention after subsequent re-creation) of this trust fund is necessary. List agency activities (based on the activity detail report) supported by the trust fund. | Recreation of this trust fund is necessary in order for the Charity Racing Day Proceeds to be deposited into the trust as well as other miscellaneous assessments. |
| 9 | Describe any modifications the agency is requesting when this fund is re-created/retained. Attach draft legislation to accomplish the requested change.   | Not Applicable   |

For Trust Funds that the agency recommends should be **Terminated** answer question 10 and attach draft legislation as requested.

|    |   |                |
|----|---|----------------|
| 10 | Explain how the current cash balance and all current receipts of the trust fund will be distributed. Attach draft legislation that removes reference to the trust fund from the statutes. | Not Applicable |
|----|---|----------------|

For **New** Trust Funds that the agency recommends should be **Created** answer questions 11-13 and attach draft legislation as requested.

|    |  |                |
|----|--|----------------|
| 11 | Describe the purpose of the trust fund and identify its revenue sources. Attach draft legislation that meets the requirements of section 215.3207, Florida Statutes. | Not Applicable |
| 12 | Describe the specific impact on any other trust fund or the General Revenue Fund from the creation of this new trust fund.   | Not Applicable |
| 13 | Describe the period of time for which this new trust fund will be needed, or the circumstances under which it will no longer be needed.                              | Not Applicable |



## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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

|        | Program or Service (Budget Entity Codes) |  |  |  |  |
|--------|--|--|--|--|--|
| Action | 48900300                                 |  |  |  |  |

### 1. GENERAL

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, 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)? <b>(CSDI or Web LBR Column Security)</b> | Y |  |  |  |  |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y |  |  |  |  |

### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>                                  | Y |  |  |  |  |
| 1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> 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? <b>(CSDR, CSA)</b> | 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

Department/Budget Entity (Service): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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

|        | Program or Service (Budget Entity Codes) |  |  |  |
|--------|--|--|--|--|
| Action | 48900300                                 |  |  |  |

### 3. EXHIBIT B (EXBR, EXB)

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

#### AUDITS:

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity and program component at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b> | Y |  |  |  |  |
|--|---|--|--|--|--|

**TIP** Generally look for and be able to fully explain significant differences between A02 and A03.

**TIP** Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.

**TIP** Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.

### 4. EXHIBIT D (EADR, EXD)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions? | Y |  |  |  |  |
|--|---|--|--|--|--|

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 4.2 Is the program component code and title used correct? | Y |  |  |  |  |
|---|---|--|--|--|--|

**TIP** Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.

### 5. EXHIBIT D-1 (ED1R, EXD1)

|  |   |  |  |  |  |
|--|---|--|--|--|--|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y |  |  |  |  |
|--|---|--|--|--|--|

#### AUDITS:

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b> | Y |  |  |  |  |
|---|---|--|--|--|--|



## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): **Board of Governors/49800300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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

| Action  |   | Program or Service (Budget Entity Codes) |  |  |  |
|---|---|--|--|--|--|
|   |   | 48900300                                 |  |  |  |
| 5.3   | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y  |  |  |  |
| 5.4   | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | 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. |  |  |  |  |
| <b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b> |   |  |  |  |  |
| 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.  |  |  |  |  |
| <b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>    |   |  |  |  |  |
| 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.)  | 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                                      |  |  |  |
| 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

Department/Budget Entity (Service): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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

| Action |   | Program or Service (Budget Entity Codes) |  |  |  |  |
|--------|---|--|--|--|--|--|
|        |   | 48900300                                 |  |  |  |  |
| 7.5    | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)  | N/A                                      |  |  |  |  |
| 7.6    | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.  | N/A                                      |  |  |  |  |
| 7.7    | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 92 of the LBR Instructions.)               | N/A                                      |  |  |  |  |
| 7.8    | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?   | N/A                                      |  |  |  |  |
| 7.9    | Does the issue narrative reference the specific county(ies) where applicable?   | N/A                                      |  |  |  |  |
| 7.10   | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #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. <b>(PLRR, PLMO)</b>  | N/A                                      |  |  |  |  |
| 7.12   | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | N/A                                      |  |  |  |  |
| 7.13   | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | N/A                                      |  |  |  |  |
| 7.14   | Do the amounts reflect appropriate FSI assignments?   | N/A                                      |  |  |  |  |
| 7.15   | Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.   | N/A                                      |  |  |  |  |
| 7.16   | Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 88 of the LBR Instructions.) | N/A                                      |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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

|        | Program or Service (Budget Entity Codes) |  |  |  |  |
|--------|--|--|--|--|--|
| Action | 48900300                                 |  |  |  |  |

|      |  |     |  |  |  |  |
|------|--|-----|--|--|--|--|
| 7.17 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)? | N/A |  |  |  |  |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?  | N/A |  |  |  |  |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?   | N/A |  |  |  |  |

**AUDIT:**

|      |   |     |  |  |  |  |
|------|---|-----|--|--|--|--|
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>   | N/A |  |  |  |  |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>   | N/A |  |  |  |  |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>   | N/A |  |  |  |  |
| 7.23 | Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(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))</b>   | 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. <b>(NAAR, BSNR)</b>   | 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 |  |  |  |  |

**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): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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|        | Program or Service (Budget Entity Codes) |  |  |  |
|--------|--|--|--|--|
| Action | 48900300                                 |  |  |  |

|  |  |
|--|--|
| <p><b>TIP</b> 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.</p> |  |
| <p><b>TIP</b> 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).</p>   |  |
| <p><b>TIP</b> 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.</p>   |  |

**8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)  
(Required to be posted to the Florida Fiscal Portal)**

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 8.1 Has a separate department level Schedule I and supporting documents package been submitted by the agency?  | Y   |  |  |  |  |
| 8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?  | Y   |  |  |  |  |
| 8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?  | Y   |  |  |  |  |
| 8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | Y   |  |  |  |  |
| 8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)? | Y   |  |  |  |  |
| 8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?   | N/A |  |  |  |  |
| 8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?  | Y   |  |  |  |  |
| 8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | Y   |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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

|        |  | Program or Service (Budget Entity Codes) |  |  |  |  |
|--------|--|--|--|--|--|--|
| Action |  | 48900300                                 |  |  |  |  |
| 8.9    | Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)? | Y  |  |  |  |  |
| 8.10   | Are the statutory authority references correct?  | Y  |  |  |  |  |
| 8.11   | Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)  | Y  |  |  |  |  |
| 8.12   | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?   | N/A                                      |  |  |  |  |
| 8.13   | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?   | Y  |  |  |  |  |
| 8.14   | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?  | N/A                                      |  |  |  |  |
| 8.15   | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?  | N/A                                      |  |  |  |  |
| 8.16   | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?  | Y  |  |  |  |  |
| 8.17   | If applicable, are nonrecurring revenues entered into Column A04?  | N/A                                      |  |  |  |  |
| 8.18   | Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?   | Y  |  |  |  |  |
| 8.19   | Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?  | N/A                                      |  |  |  |  |
| 8.20   | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?  | N/A                                      |  |  |  |  |
| 8.21   | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?  | N/A                                      |  |  |  |  |
| 8.22   | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)   | N/A                                      |  |  |  |  |
| 8.23   | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?  | Y  |  |  |  |  |
| 8.24   | Are prior year September operating reversions appropriately shown in column A01, Section III?  | N/A                                      |  |  |  |  |

## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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|        | Program or Service (Budget Entity Codes) |  |  |  |
|--------|--|--|--|--|
| Action | 48900300                                 |  |  |  |

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?  | N/A |  |  |  |  |
| 8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?                  | Y   |  |  |  |  |
| 8.27 Has the agency 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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b> | 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. <b>(SC1R, DEPT)</b>   | Y   |  |  |  |  |
| 8.33 Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?  | Y   |  |  |  |  |
| 8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?   | N/A |  |  |  |  |

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| 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): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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|        | Program or Service (Budget Entity Codes) |  |  |  |
|--------|--|--|--|--|
| Action | 48900300                                 |  |  |  |

### 9. SCHEDULE II (PSCR, SC2)

**AUDIT:**

|   |   |  |  |  |  |
|---|---|--|--|--|--|
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) 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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested. | N/A |  |  |  |  |

### 11. SCHEDULE IV (EADR, SC4)

|  |     |  |  |  |  |
|--|-----|--|--|--|--|
| 11.1 Are the correct Information Technology (IT) issue codes used?   | N/A |  |  |  |  |
| <b>TIP</b> 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. | N/A |  |  |  |  |
|---|-----|--|--|--|--|

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b>   |  |  |  |  |  |
| <b>TIP</b> 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 |  |  |  |  |
| <b>TIP</b> 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.  |   |  |  |  |  |
| <b>TIP</b> 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 | 48900300                                 |  |  |  |

**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. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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? ( <b>GENR, ACT1</b> )  |   |  |  |  |  |
|   | Y |  |  |  |  |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )   |   |  |  |  |  |
|   | Y |  |  |  |  |
| 16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )  |   |  |  |  |  |
|   | Y |  |  |  |  |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in <b>Audit #3</b> 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? ( <b>Audit #4 should print "No Discrepancies Found"</b> )  |   |  |  |  |  |
|   | 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? |   |  |  |  |  |
|   | Y |  |  |  |  |
| 17.2 Does manual exhibits tie to LAS/PBS where applicable?  |   |  |  |  |  |
|   | Y |  |  |  |  |



## Fiscal Year 2023-24 LBR Technical Review Checklist

Department/Budget Entity (Service): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant/Shelby Cecil**

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|        | Program or Service (Budget Entity Codes) |  |  |  |
|--------|--|--|--|--|
| Action |  |  |  |  |
|        | 48900300                                 |  |  |  |

|   |     |  |  |  |
|---|-----|--|--|--|
| 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: <b>IT@LASPBS.STATE.FL.US?</b> | N/A |  |  |  |
| 17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?   | N/A |  |  |  |

### AUDITS - GENERAL INFORMATION

|  |  |  |  |  |
|--|--|--|--|--|
| TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 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?   | N/A |  |  |  |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?   | N/A |  |  |  |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?  | N/A |  |  |  |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?  | N/A |  |  |  |
| 18.5 Are the appropriate counties identified in the narrative?   | N/A |  |  |  |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A |  |  |  |

|   |  |  |  |  |
|---|--|--|--|--|
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. |  |  |  |  |
|---|--|--|--|--|

### 19. FLORIDA FISCAL PORTAL

|  |   |  |  |  |
|--|---|--|--|--|
| 19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y |  |  |  |
|--|---|--|--|--|