FLORIDA
GAMING CONTROL
COMMISSION

JULIE I. BROWN, VICE CHAIR
CHUCK DRAGO, COMMISSIONER
JOHN D'AQUILA, COMMISSIONER
TINA REPP, COMMISSIONER

Agency Certification
Legislative Budget Request
Schedule I

September 15, 2023

Pursuant to the Legislative Budget Request instructions (LBR) for Fiscal Year 2024-25, I hereby certify, the revenue estimates reflected on the Schedule I of the Florida Gaming Control Commission (FGCC) are the most accurate, based on the information available at the time of the LBR technical review. The FGCC will notify the Office of Policy and Budget of any significant changes in revenue estimates that occur prior to the issuance of the Governor's Budget Recommendations.

This certification covers the 2520 Pari-Mutuel Wagering Trust Fund, as of September 15, 2023.

Sincerely,

Louis Trombetta
Executive Director

OFFICE OF THE EXECUTIVE DIRECTOR
4070 ESPLANDADE WAY, SUITE 250
TALLAHASSEE, FLORIDA 32399

The Florida Gaming Control Commission
Temporary Special Duty – General Pay Additives Implementation Plan
Fiscal Year 2024-2025

Section 110.2035(7)(b), Florida Statutes, provides that each state agency shall include in its annual legislative budget request a proposed written plan for implementing temporary special duties—general pay additives during the next fiscal year.

This pay additive is a valuable management tool that allows the agency to recognize and compensate employees for identified duties without providing a permanent pay increase.

The Florida Gaming Control Commission (FGCC) is requesting approval to implement temporary special duties – general pay additive as described below. The agency will use existing resources to grant the temporary special duties – general pay additive, when warranted.

Temporary Special Duties – General

Description:

This additive may be recommended for employees in career service classes for a variety of circumstances such as:

- An employee performing additional duties of a higher-level position when that position is vacant for any reason other than absent coworker due to Family Medical Leave Act (FMLA) or military leave.
- An employee performing additional duties of a higher-level position whose incumbent has been temporarily assigned other duties.
- An employee who meets the criteria for out-of-title work under the American Federation of State, County and Municipal Employees' (AFSCME) or Police Benevolent Association (PBA) collective bargaining agreement.
- An employee performing additional duties of a significant nature and time regarding a special project or special assignment not normally assigned to the employee.

Effective date of additive:

For employees covered by the AFSCME or PBA collective bargaining agreements, and who meets the requirements of Article 21, Compensation for Temporary Special Duty in a Higher Position, the additive shall be effective on the 23rd day.

For employees not covered by the AFSCME or PBA collective bargaining agreement, the additive will be effective beginning the first day of the added duties.

Length of time additive will be used:

The additive will be in effect for the length of time the position is vacant or until such time management decides that the additional duties can be removed from the employees receiving the additive. In either case, the agency will review the need for continuance of the additive at ninety (90) days to decide if an extension is necessary. Requests for extensions will be sent to the Department of Management Services for approval.

Additive Amount:

The additive will be up to 15% of the employee's base rate of pay or to the appointment rate of the higher-level position, if determined appropriate.

Classes/Positions affected:

Any employee in a career service class can potentially be affected by the provisions of this plan.

Class Code	Class Title	Number of Positions
See Class Listing	See Class Listing	105

Historical data:

The provision for agencies to grant a temporary special duty pay additive has been in effect for many years and authorized in statute. The agency did not provide any temporary special duty pay additives during the 2022-2023 fiscal year.

Estimated annual cost:

This additive has the potential to impact any of our current 105 Career Service position incumbents statewide. The additive will not exceed 15% of an employee's base rate of pay.

Collective Bargaining Units Impacted:

AFSCME, Article 21: Compensation for Temporary Special Duty In A Higher Position

A. Each time an employee is designated by the employee's immediate supervisor to act in a vacant established position in a higher broadband level than the employee's current broadband level, and performs a major portion of the duties of the higher level position, irrespective of whether the higher level position is funded, for more than 22 workdays within any six consecutive months, the employee shall be eligible to receive a temporary special duty additive in accordance with the Rules of the State Personnel System, beginning with the 23rd day."

B. Employees being paid at a higher rate while temporarily acting in a position in a higher broadband level will be returned to their regular rate of pay when the period of temporary special duty in the higher broadband level is ended.

PBA-Law Enforcement Unit, Article 21: Compensation for Temporary Special Duty in a Higher-Level Position

Section 1 - Eligibility

Each time an employee is officially designated by the appropriate supervisor to act in an established position in a higher broadband level than the employee's current broadband level, and performs a major portion of the duties of the higher-level position, irrespective of whether the higher level position is funded, for more than 22 workdays within any six consecutive months, the employee shall be eligible for a temporary special duty additive in accordance with Chapter 60L-32, F.A.C.

Section 2 – Method of Compensation

It is understood by the parties that, insofar as pay is concerned, employees temporarily filling a position in a higher broadband level shall be paid according to the same compensation method as promoted employees under the Rules of the State Personnel System.

Section 3 – Return to Regular Rate

Employees being paid at a higher rate while temporarily filling a position in a higher broadband level will be returned to their regular rate of pay when the period of temporary special duty in the higher broadband level is ended.

These additives will be implemented within current approved salary appropriations and rate.

Any requests to revise the FGCC plan to address any additional need for pay additives which may arise will be submitted for approval through the Department of Management Services to the Executive Office of the Governor.

FLORIDA
GAMING CONTROL
COMMISSION

Legislative Budget Request
Fiscal Year 2024-25

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.

Agency:	Florida Gaming Control Commission		
Contact Person:	Ross Marshman	Phone Number:	850-794-8073

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Christopher J. D'Arcy and D'Arcy Kennel, LLC v. Florida Gaming Control Commission	
Court with Jurisdiction:	First District Court of Appeal	
Case Number:	1D21-3696	
Summary of the Complaint:	As previously reported, Christopher J. D'Arcy and D'Arcy Kennel, LLC brought an inverse condemnation claim against the Department of Business and Professional Regulation and its Secretary. The plaintiffs allege that they owned racing greyhounds and real property related to racing. Because wagering on live greyhound racing is no longer permitted in Florida, the Plaintiffs claim that they are owed compensation for the value of their racing greyhounds and real property. The Florida Gaming Control Commission has been substituted for the DBPR as a party.	
Amount of the Claim:	N/A	
Specific Statutes or Laws (including GAA) Challenged:	Article X, Section 32 of the Florida Constitution.	
Status of the Case:	The First District ruled in the Commission's favor on all issues. The appellate court's opinion is now final and unappealable. Accordingly, this matter is resolved.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	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).	N/A	

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.

Agency:	Florida Gaming Control Commission		
Contact Person:	Eina Valentine	Phone Number:	850.794.8076

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Debary Real Estate Holdings, LLC v. Florida Gaming Control Commission
Court with Jurisdiction:	United States District Court for the Northern District of Florida
Case Number:	4:23-cv-00358-AW-MAF
Summary of the Complaint:	Debary Real Estate Holdings, LLC, Plaintiff, is a permitholder of a pari-mutuel wagering permit that did not hold an operating license for the 2020-2021 fiscal year. Following the Commission's issuance of a notice of intent to revoke Plaintiff's permit in accordance with section 550.054, Florida Statutes, and Plaintiff's request for administrative proceedings which are currently ongoing, Plaintiff filed a facial and/or as-applied constitutional challenge to certain provisions of chapters 550 and 849, Florida Statutes, as amended by Chapter 2021-271, Florida Laws. Specifically, Plaintiff is challenging the constitutionality of statutes that apply to certain permitholders that did not hold an operating license for the 2020-2021 fiscal year, including (i) statutory provisions that require the revocation of a pari-mutuel wagering permit, (ii) statutory provisions that prohibit the issuance of an operating license for pari-mutuel wagering, slot machine gaming, and cardroom operation, and (iii) statutes that allow municipalities to prohibit the establishment of pari-mutuel wagering facilities. In addition, Plaintiff alleges that the revocation of its pari-mutuel wagering permit constitutes a taking without just compensation.
Amount of the Claim:	The value of Plaintiff's permit, if Plaintiff's permit is revoked and such revocation is found to be a taking.
Specific Statutes or Laws (including GAA) Challenged:	§§ 550.054, 550.01215, 550.0651, 550.615, 849.086.

Status of the Case:	Plaintiff filed the Complaint on August 11, 2023. Litigation proceedings are ongoing.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
	X	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).	N/A	

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.

Agency:	Florida Gaming Control Commission		
Contact Person:	Eina Valentine	Phone Number:	850.794.8076

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Jefferson County Kennel Club, Inc. v. Florida Gaming Control Commission
Court with Jurisdiction:	Circuit Court of the Second Judicial Circuit, in and for Leon County
Case Number:	2023 CA 002048
Summary of the Complaint:	Jefferson County Kennel Club, Inc., Plaintiff, is a permitholder of a pari-mutuel wagering permit that did not hold an operating license for the 2020-2021 fiscal year. Following the Commission's issuance of a notice of intent to revoke Plaintiff's permit in accordance with section 550.054, Florida Statutes, and Plaintiff's request for administrative proceedings which are currently ongoing, Plaintiff filed a facial and/or as-applied constitutional challenge to certain provisions of chapters 550 and 849, Florida Statutes, as amended by Chapter 2021-271, Florida Laws. Specifically, Plaintiff is challenging the constitutionality of statutes that apply to certain permitholders that did not hold an operating license for the 2020-2021 fiscal year, including (i) statutory provisions that require the revocation of a pari-mutuel wagering permit, (ii) statutory provisions that prohibit the issuance of an operating license for pari-mutuel wagering, slot machine gaming, and cardroom operation, and (iii) statutes that allow municipalities to prohibit the establishment of pari-mutuel wagering facilities. In addition, Plaintiff alleges that the revocation of its pari-mutuel wagering permit constitutes a taking without just compensation.
Amount of the Claim:	The value of Plaintiff's permit, if Plaintiff's permit is revoked and such revocation is found to be a taking.
Specific Statutes or Laws (including GAA) Challenged:	§§ 550.054, 550.01215, 550.0651, 550.615, 849.086.

Status of the Case:	Plaintiff filed the Complaint on August 11, 2023. Litigation proceedings are ongoing.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
	X	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).	N/A	

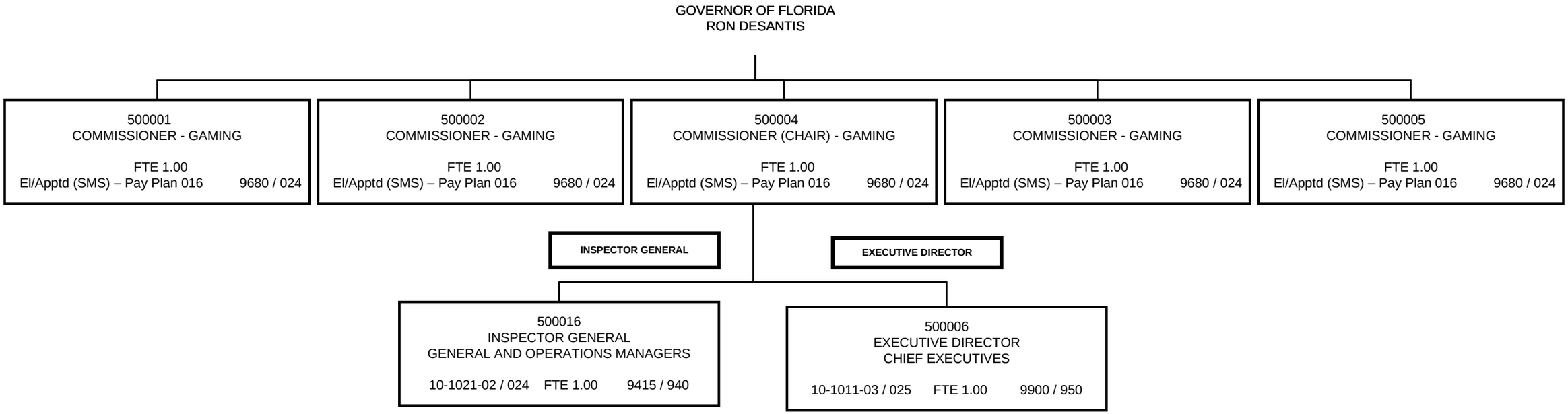
FLORIDA
GAMING CONTROL
COMMISSION

Schedule X
Organization Structure

Fiscal Year
2024-2025

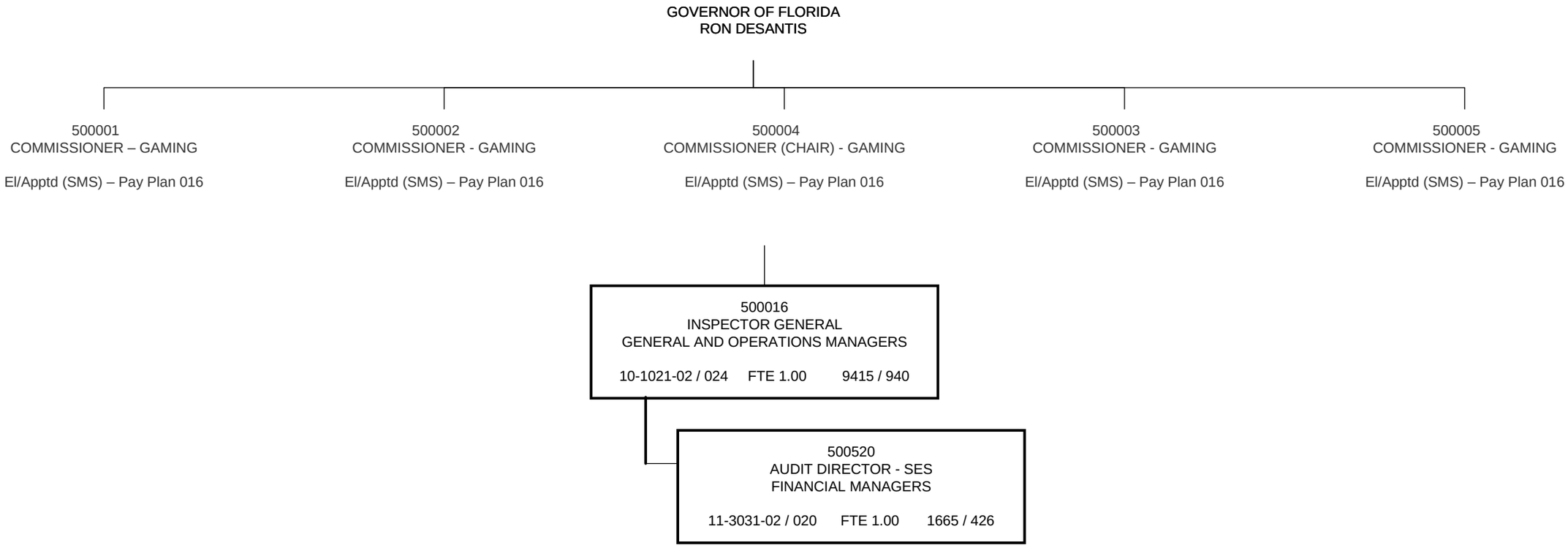
Staffing Organizational Chart

Florida Gaming Control Commission
Executive Staff - Commissioners



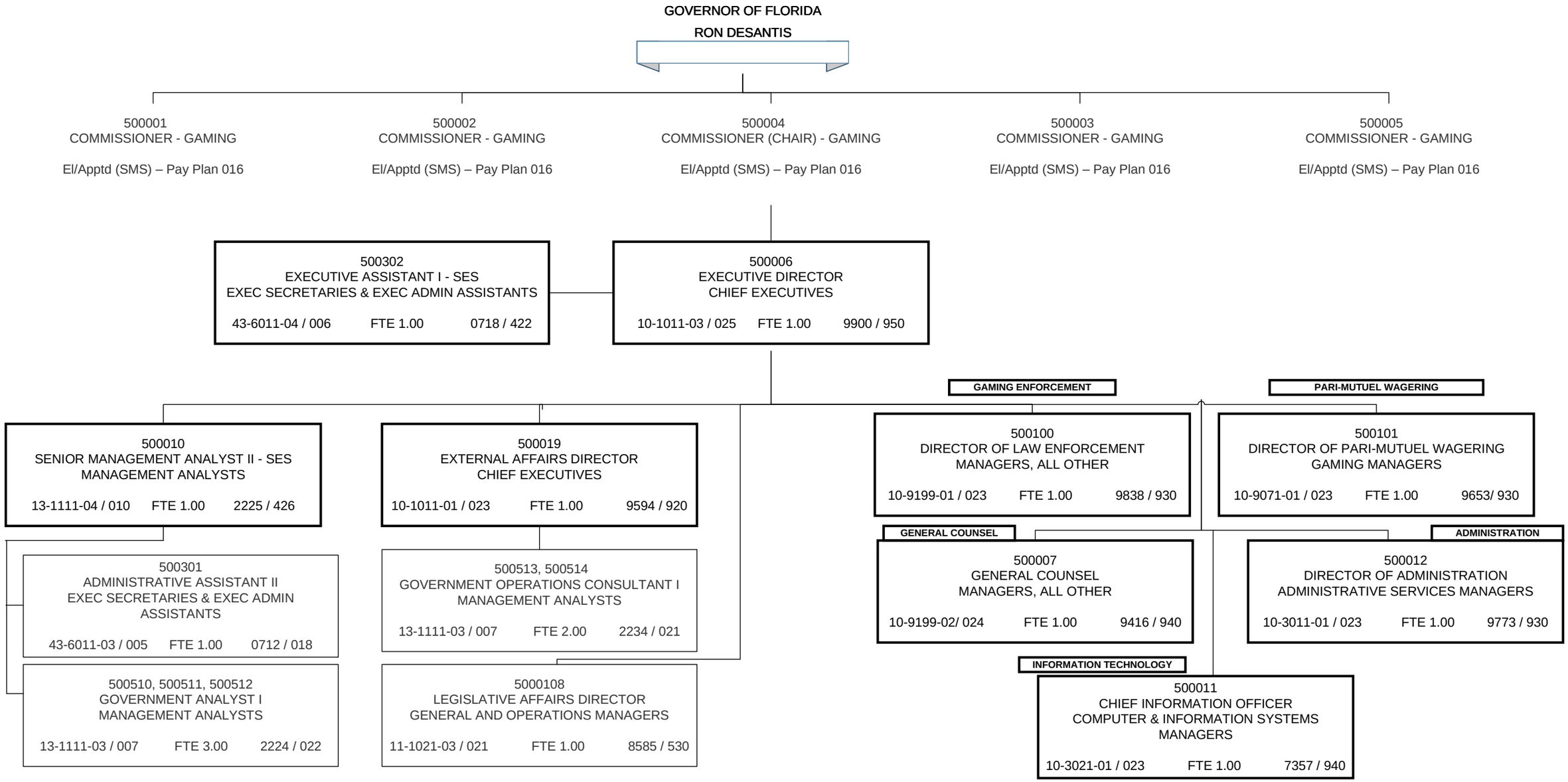
Staffing Organizational Chart

Florida Gaming Control Commission
Office of the Inspector General



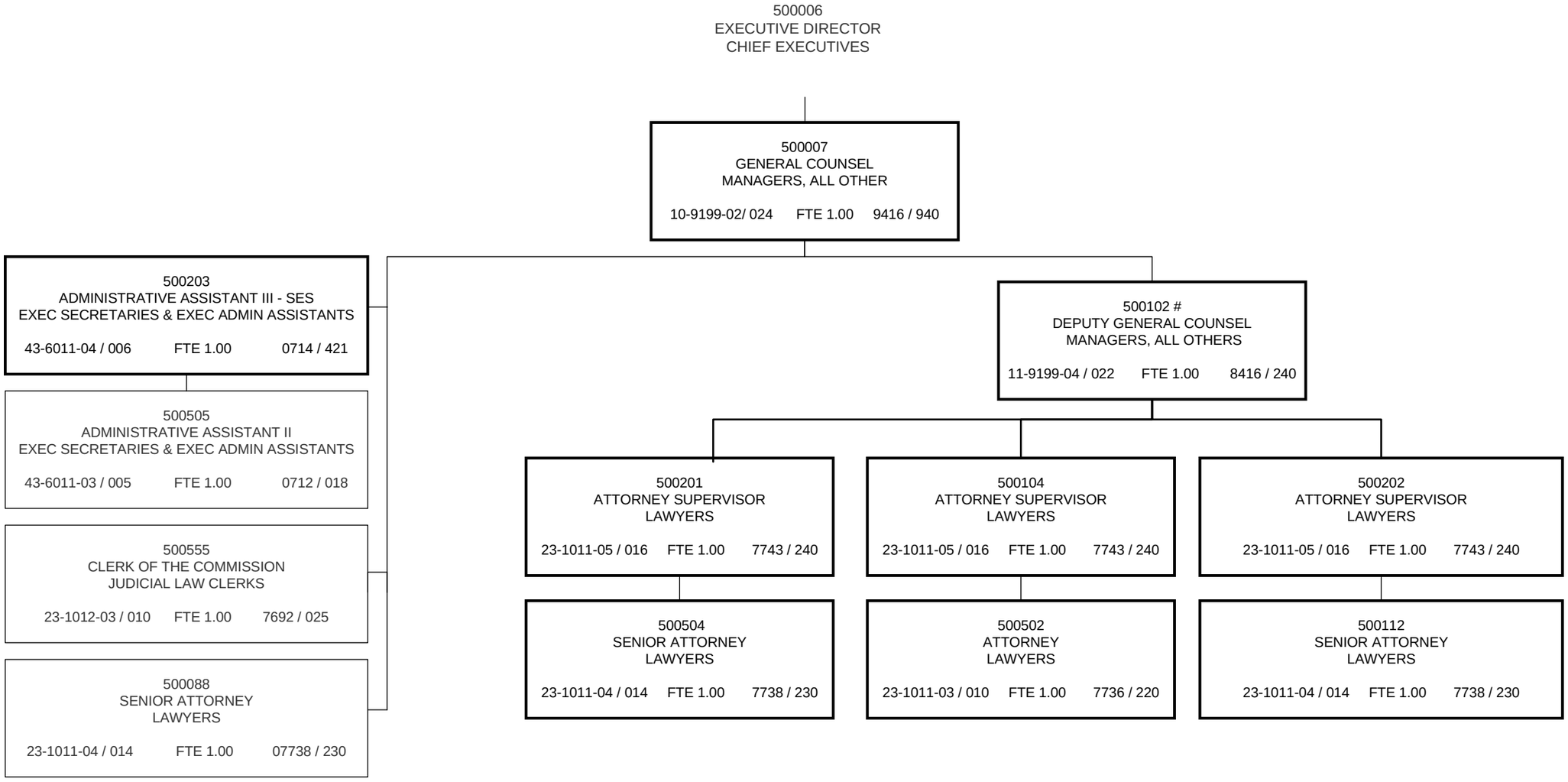
Staffing Organizational Chart

Florida Gaming Control Commission
Office of the Executive Director



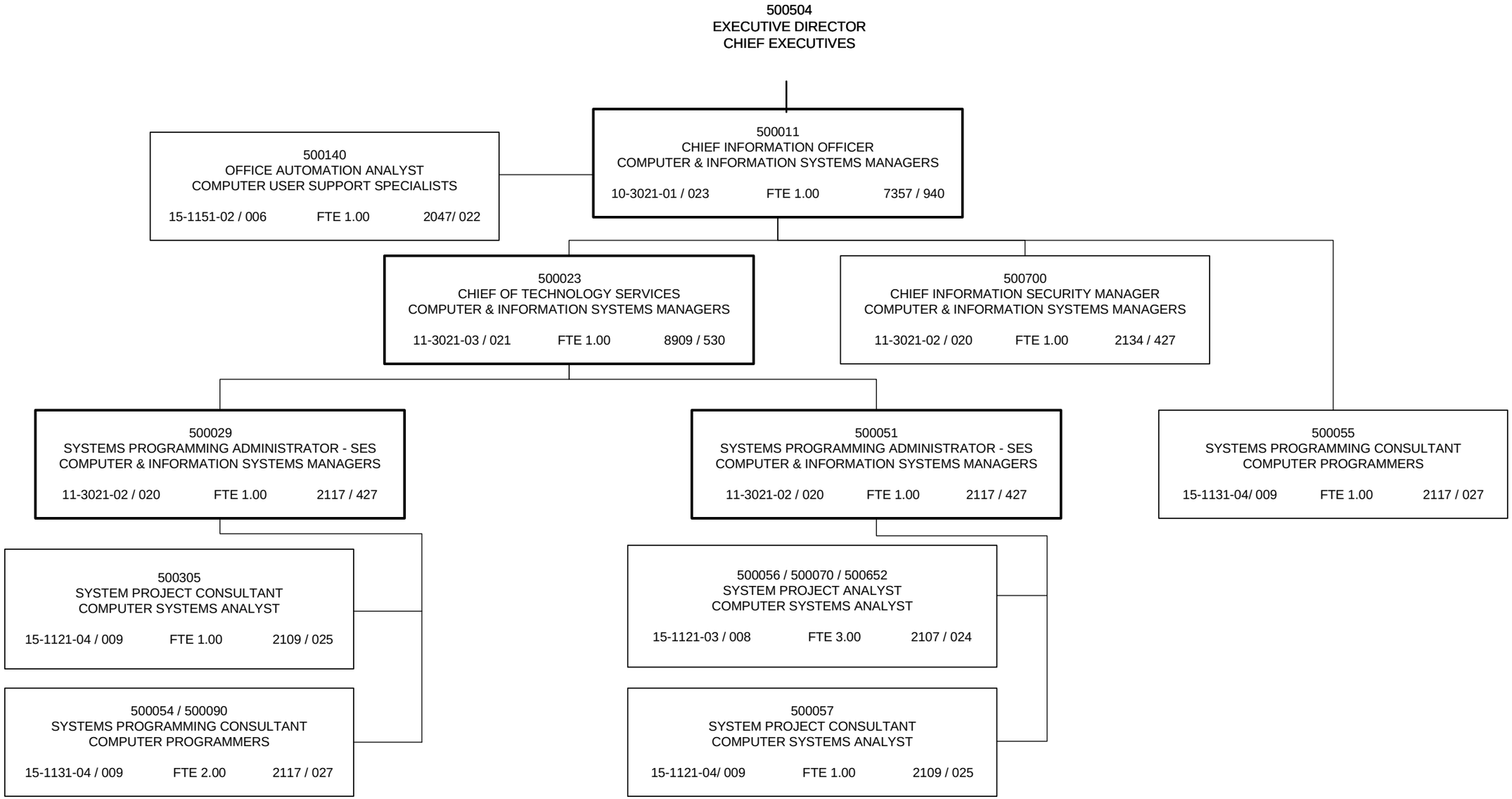
Staffing Organizational Chart

Florida Gaming Control Commission
Office of the General Counsel



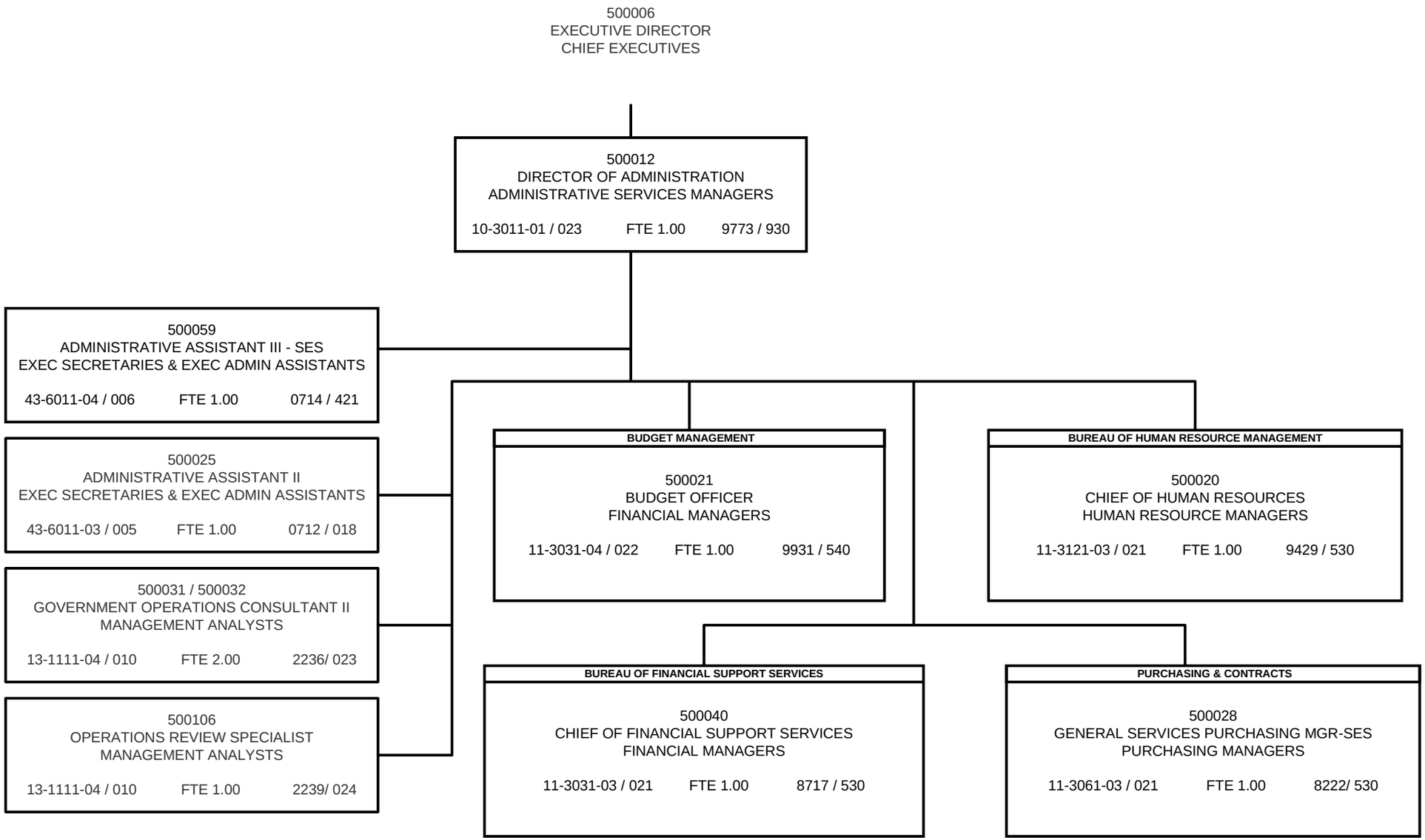
Staffing Organizational Chart

Florida Gaming Control Commission
Office of Information Technology



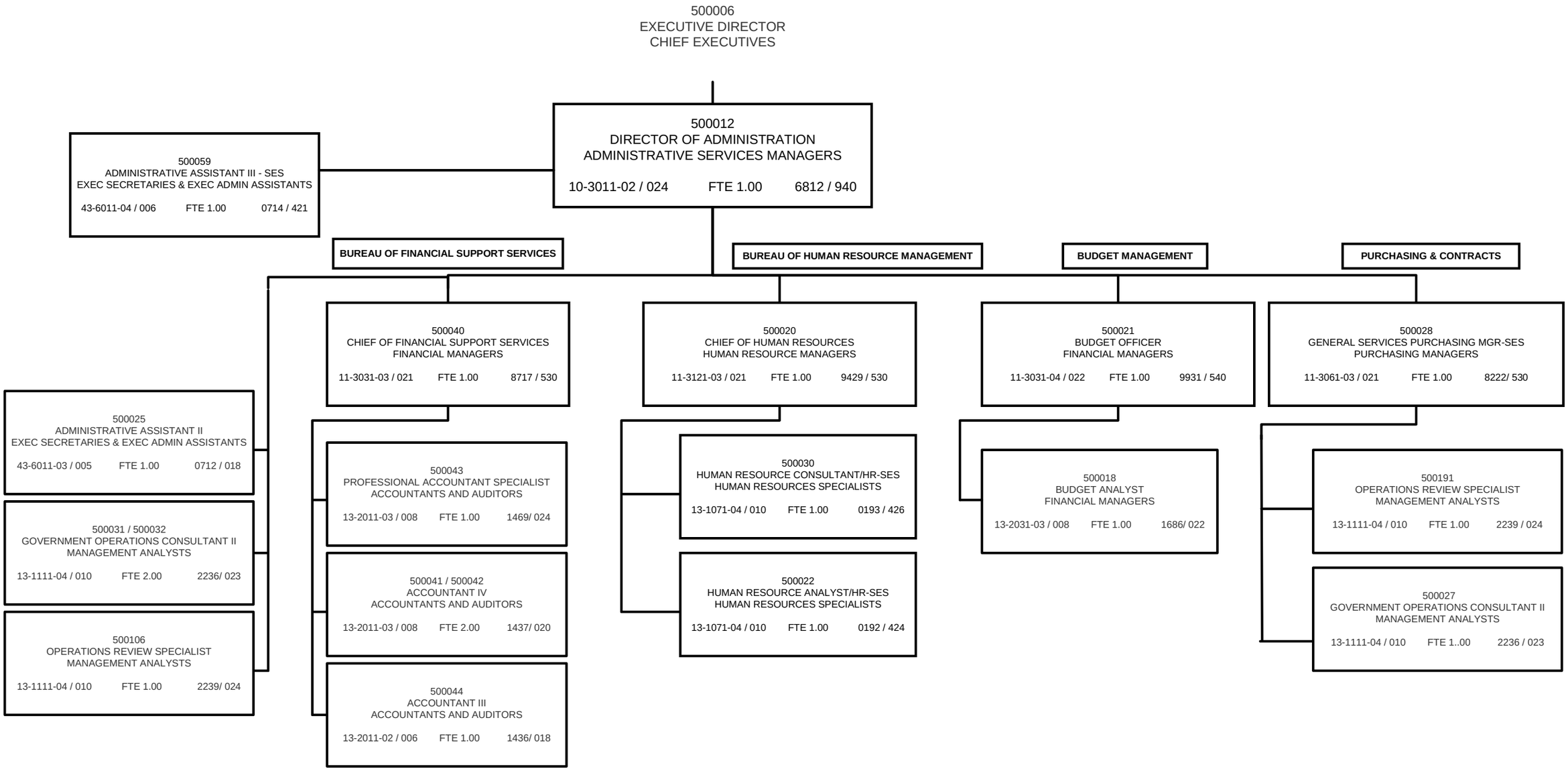
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Administration
Director's Office



Staffing Organizational Chart

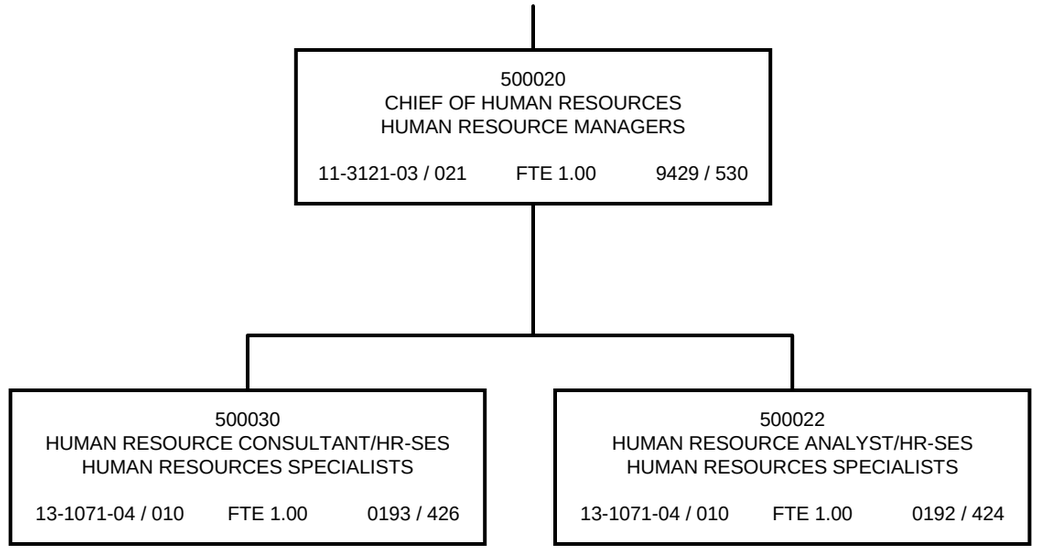
Florida Gaming Control Commission
Division of Administration (All)



Staffing Organizational Chart

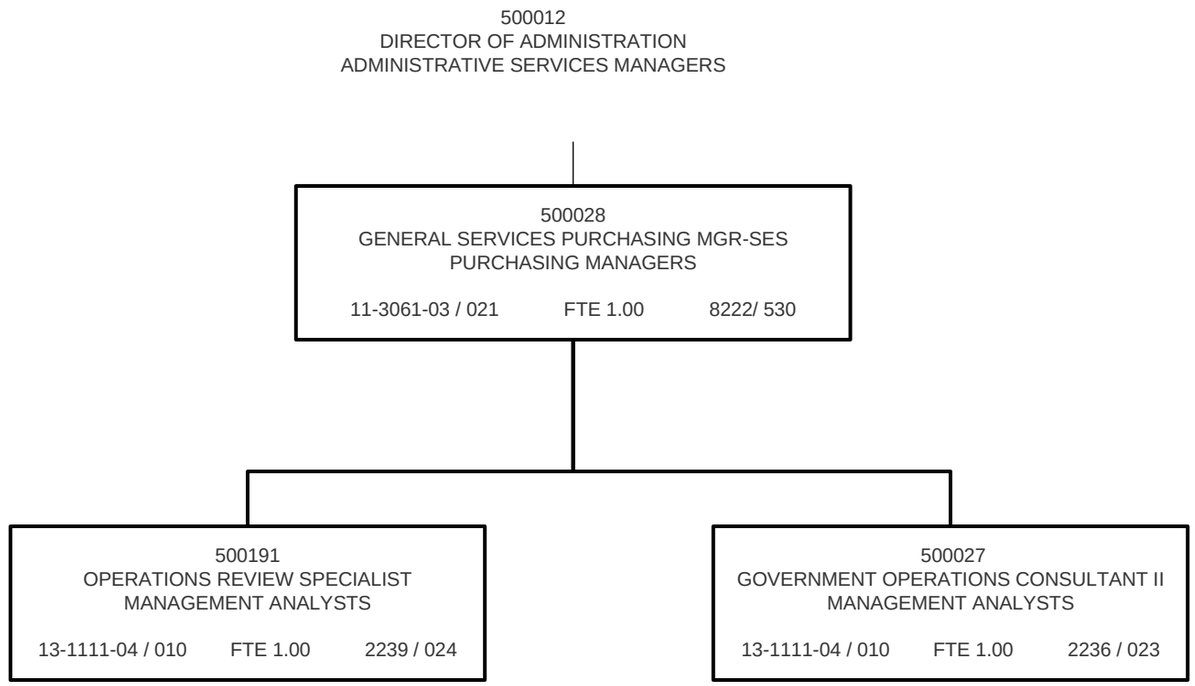
Florida Gaming Control Commission
Division of Administration
Bureau of Human Resource Management

500012
DIRECTOR OF ADMINISTRATION
ADMINISTRATIVE SERVICES MANAGERS



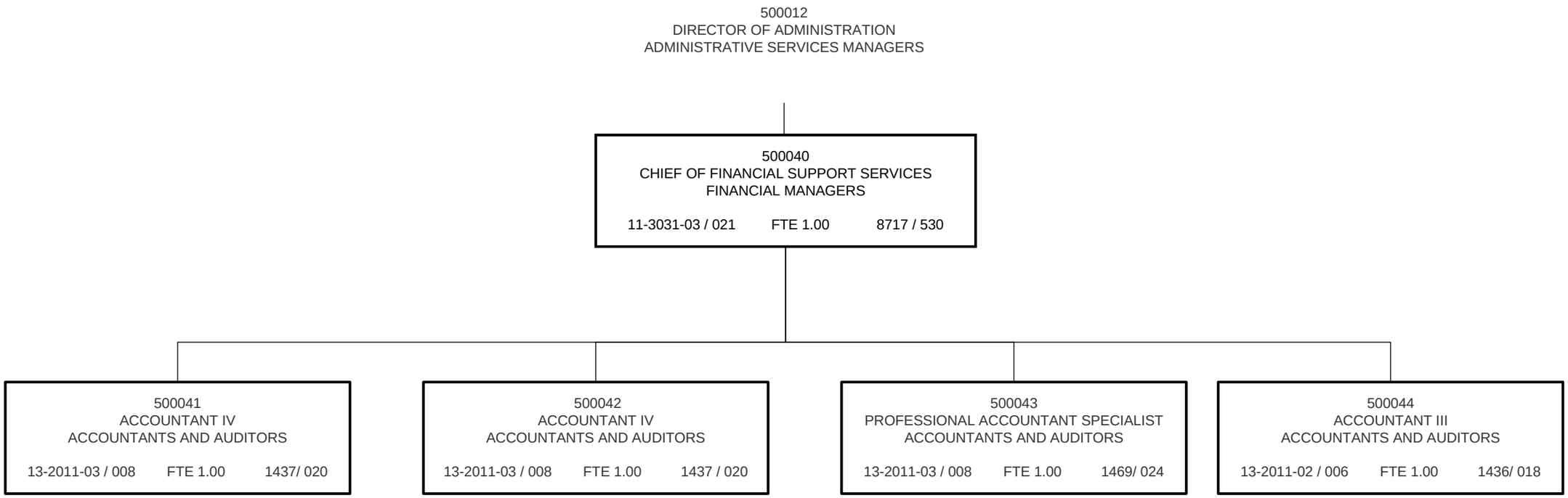
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Administration
Purchasing & Contracts



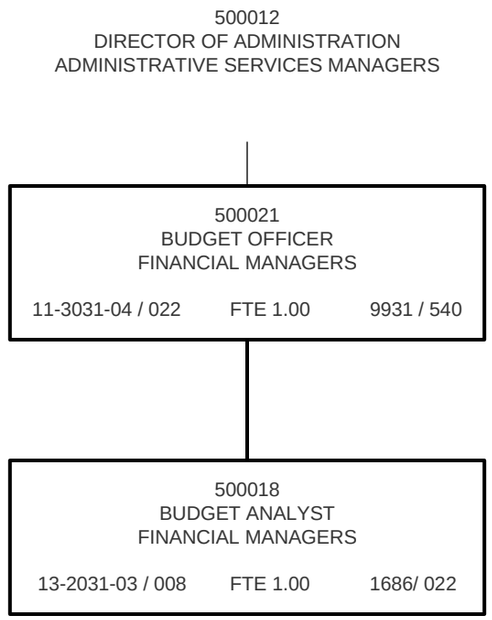
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Administration
Bureau of Financial Support Services



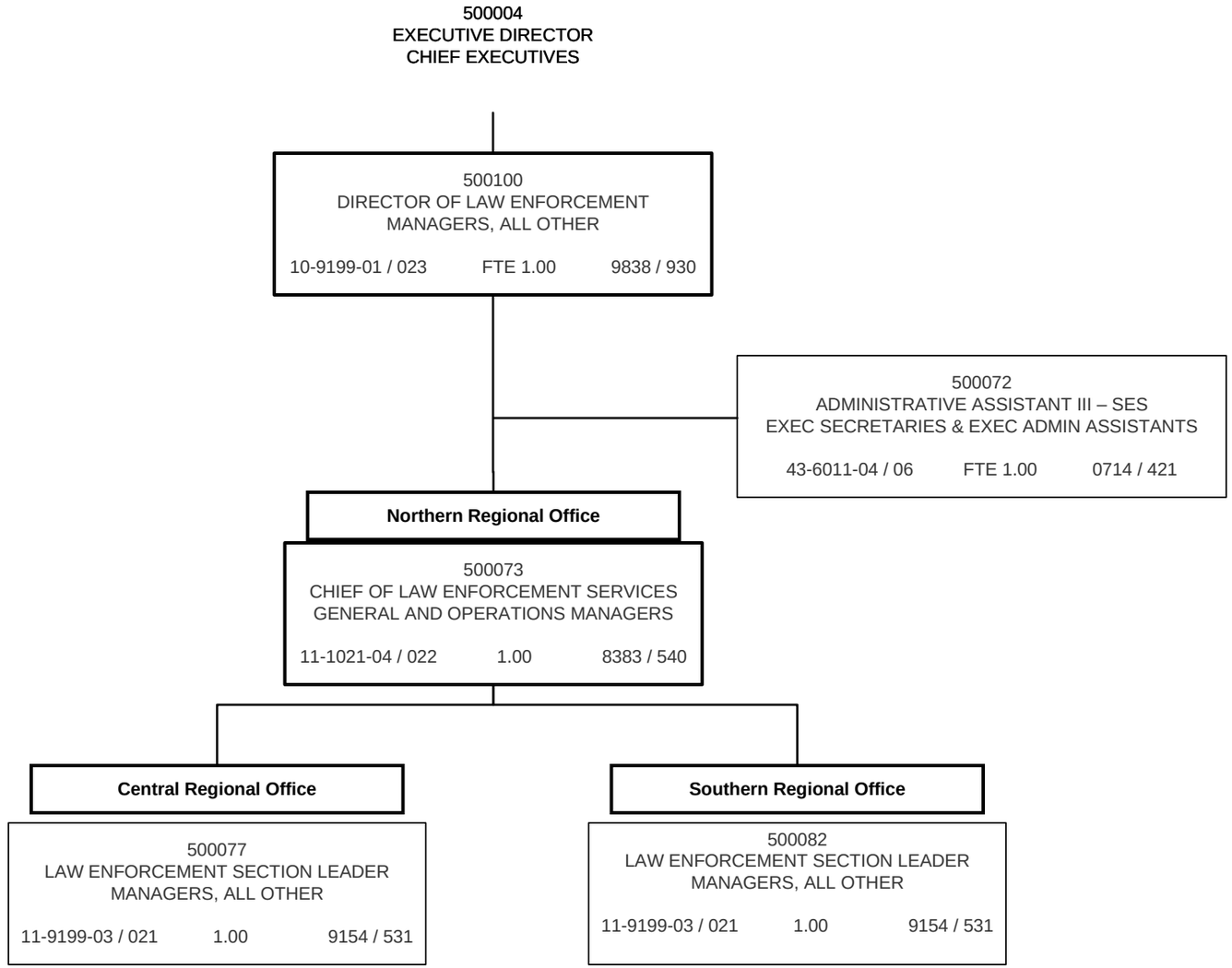
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Administration
Budget Management



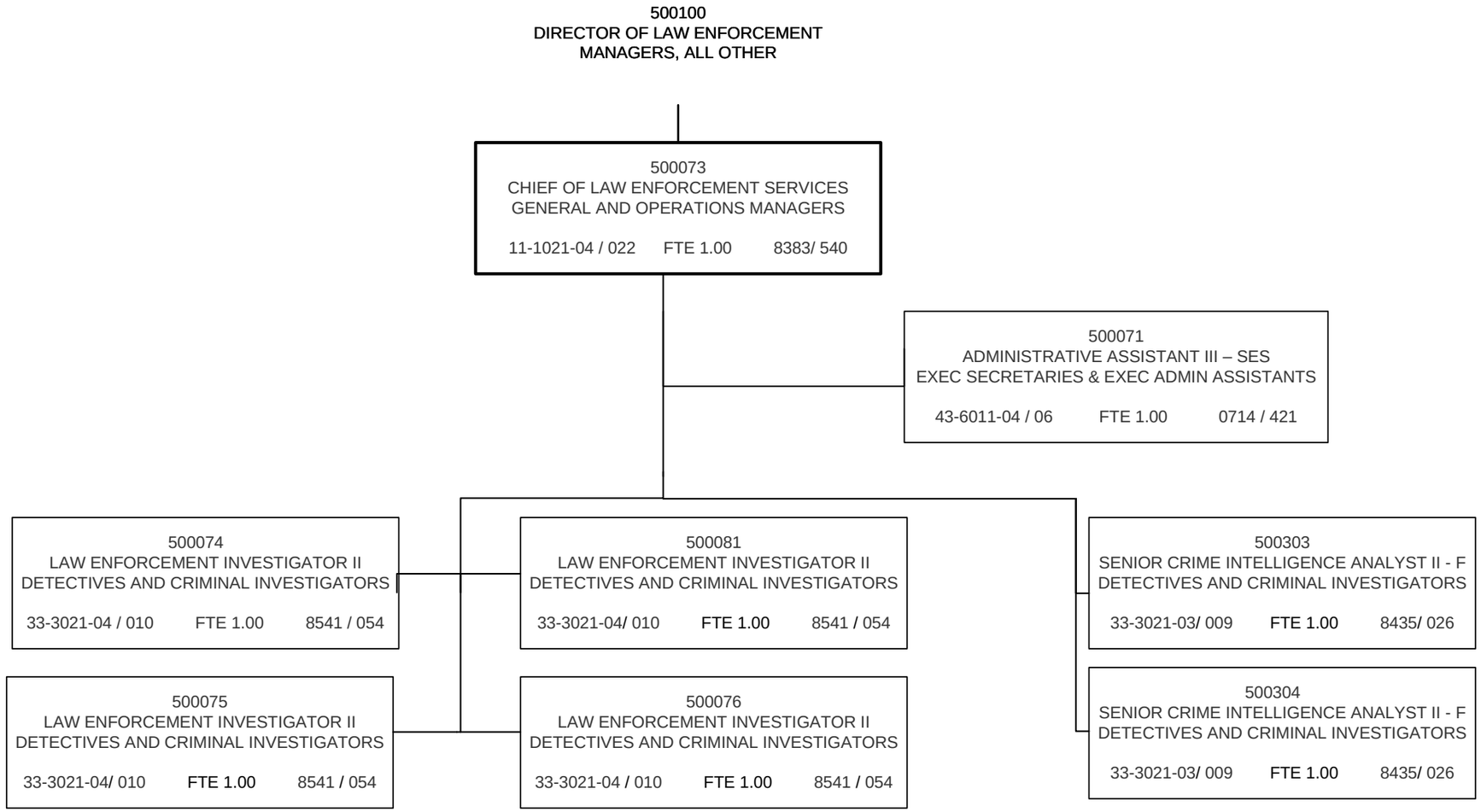
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Gaming Enforcement
Director's Office



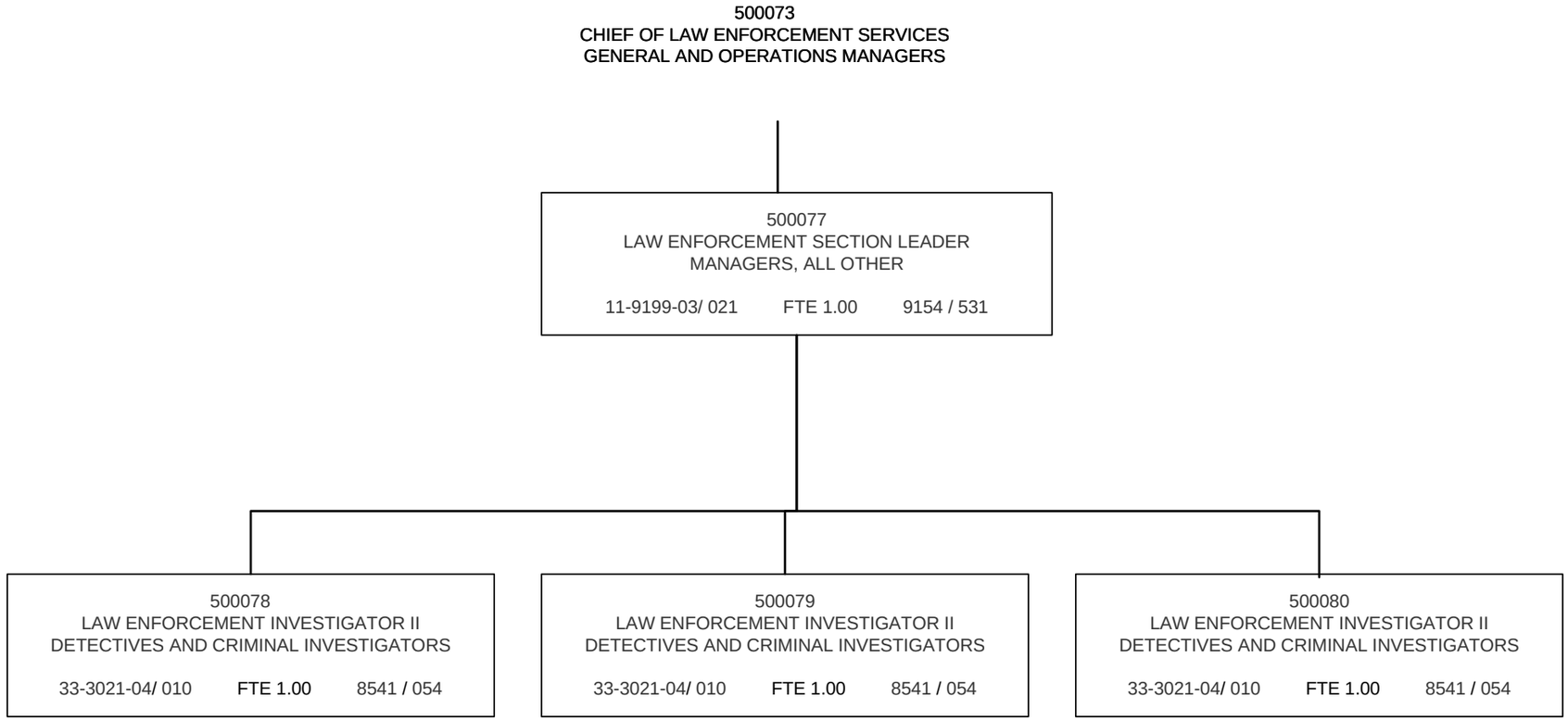
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Gaming Enforcement
Northern Regional Office



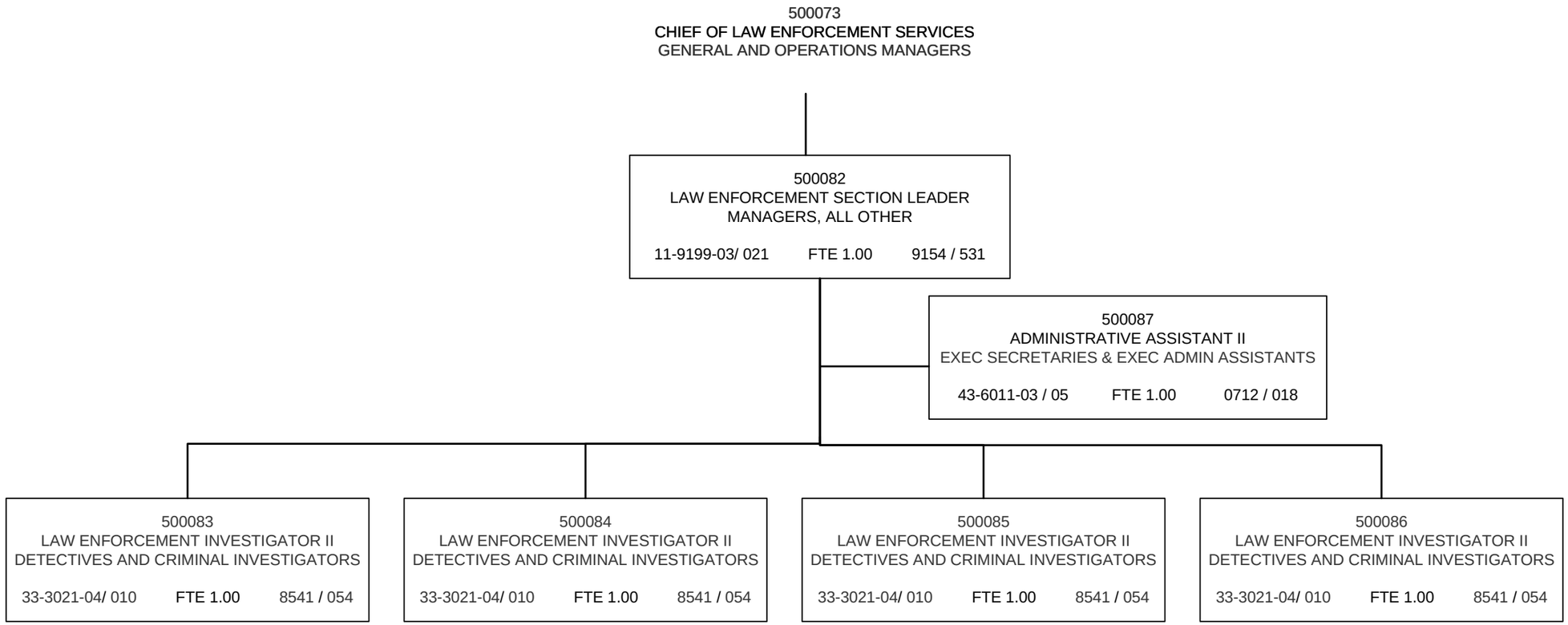
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Gaming Enforcement
Central Regional Office



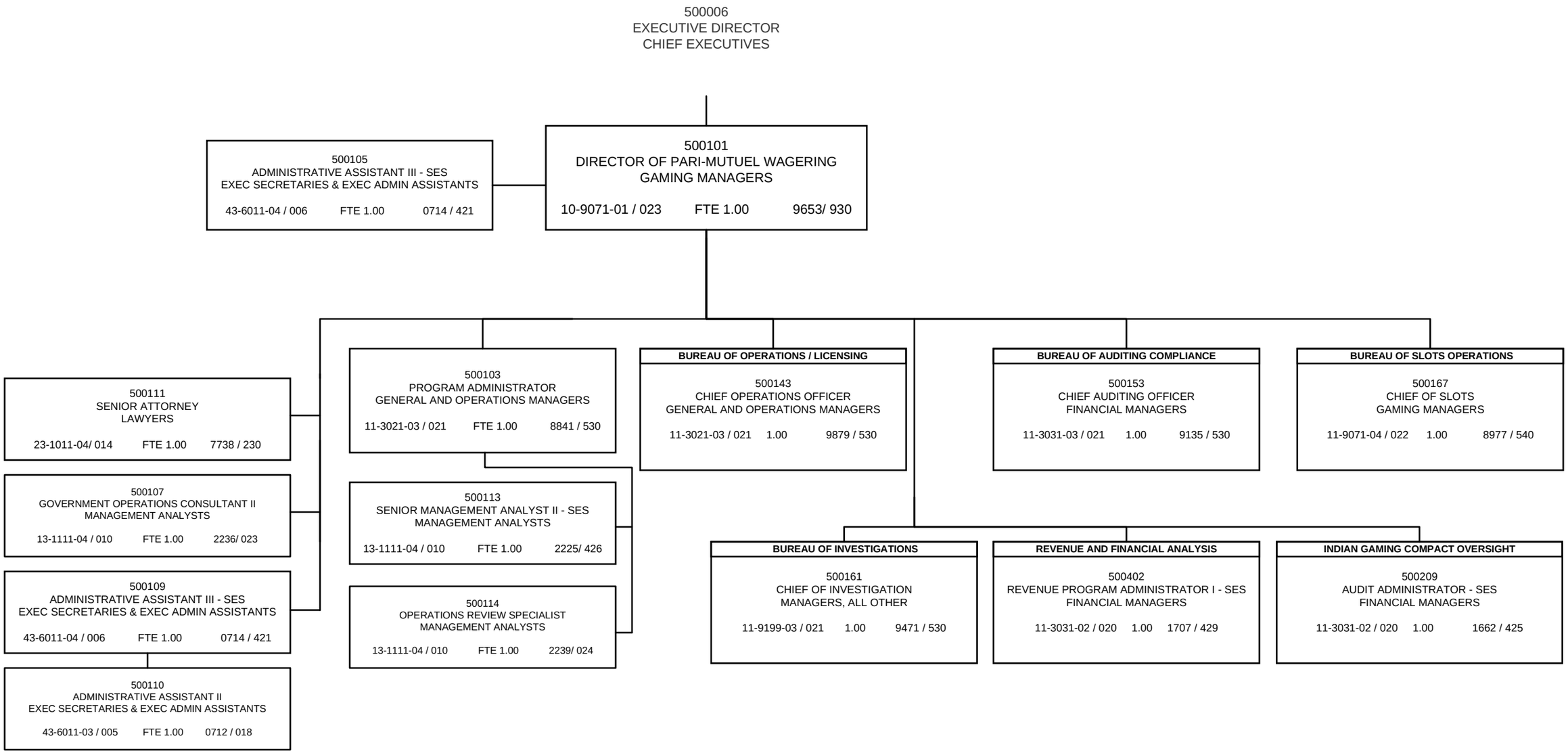
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Gaming Enforcement
Southern Regional Office



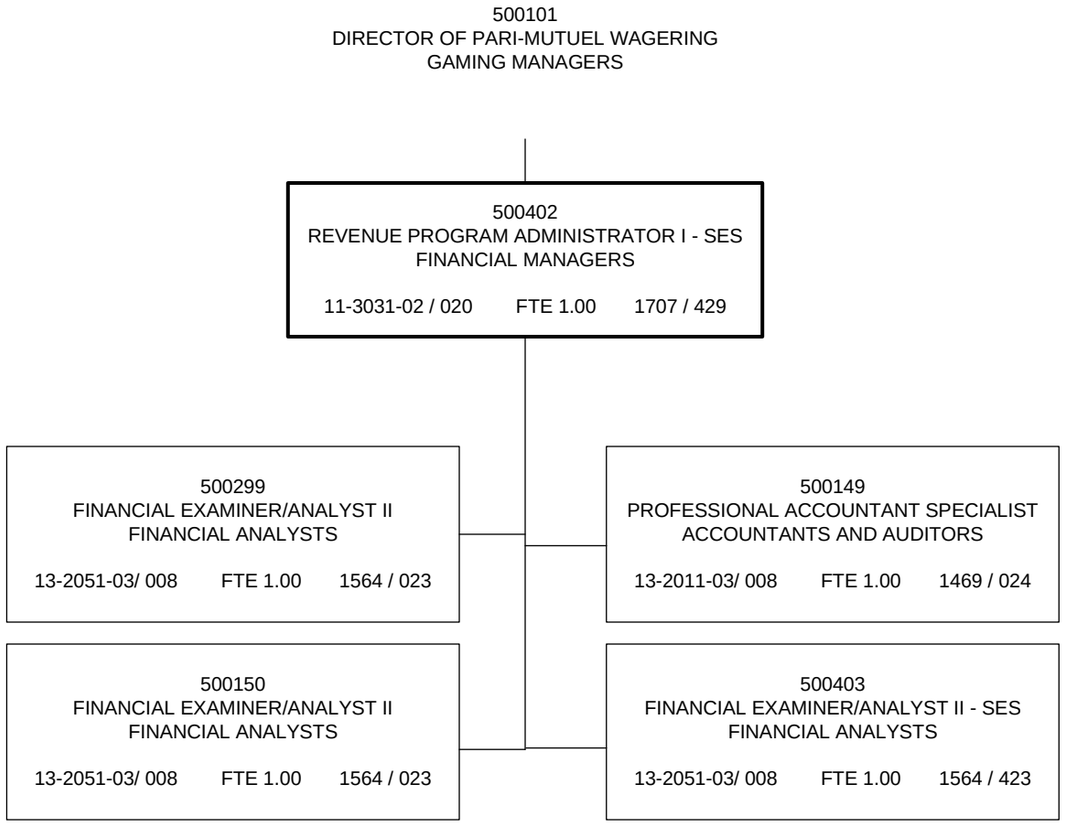
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Pari-Mutuel Wagering
Director's Office (Overview)



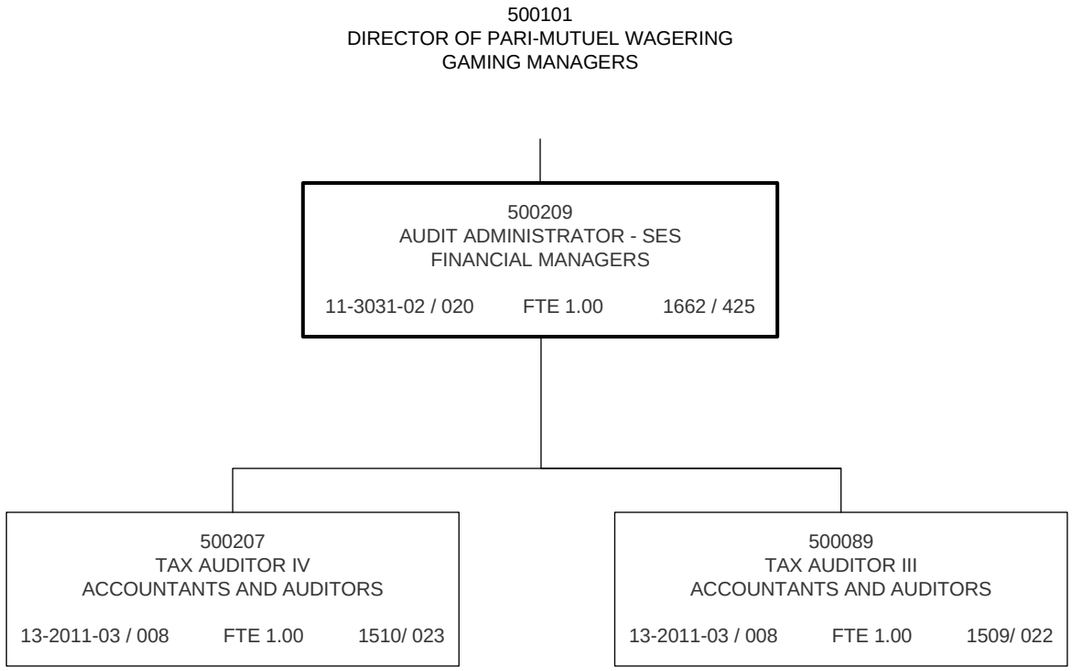
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Pari-Mutuel Wagering
Revenue and Financial Analysis



Staffing Organizational Chart

Florida Gaming Control Commission
Division of Pari-Mutuel Wagering
Indian Gaming Compact Oversight



Staffing Organizational Chart

Florida Gaming Control Commission
Division of Pari-Mutuel Wagering
Bureau of Operations / Licensing (chart 1 of 2)

See chart 2 of 2

500101
DIRECTOR OF PARI-MUTUEL WAGERING
GAMING MANAGERS

500143
CHIEF OPERATIONS OFFICER
GENERAL AND OPERATIONS MANAGERS
11-3021-03 / 021 FTE 1.00 9879 / 530

500148
ADMINISTRATIVE ASSISTANT II
EXEC SECRETARIES & EXEC ADMIN ASSISTANTS
43-6011-03 / 005 FTE 1.00 0712 / 018

500146
REGIONAL PROGRAM ADMINISTRATOR - SES
COMMUNITY/SOCIAL SERVICE SPEC,ALL OTHER
21-1099-04 / 009 FTE 1.00 5911 / 426

500135
PARI-MUTUEL REGIONAL MANAGER - SES
GAMING MANAGERS
11-9071-02 / 020 FTE 1.00 8823 / 421

500127
PARI-MUTUEL REGIONAL MANAGER - SES
GAMING MANAGERS
11-9071-02 / 020 FTE 1.00 8823 / 421

500126
SENIOR MANAGEMENT ANALYST II - SES
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 1.00 2225 / 426

500132 / 500131 / 500145
PARI-MUTUEL OPERATIONS SPECIALIST
INFORMATION AND RECORD CLERKS, ALL OTHER
43-4199-03 / 005 FTE 3.00 8822 / 016

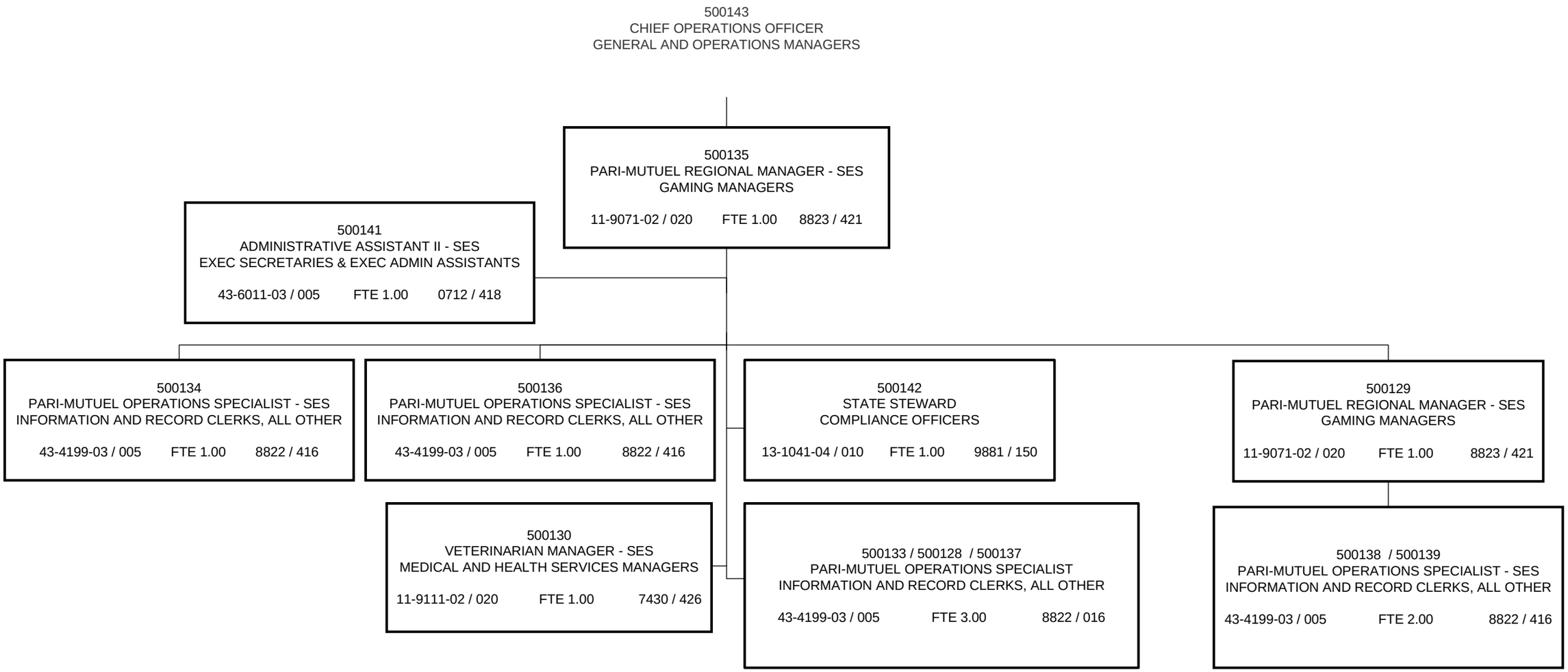
11 FTE
PMW – Office of Operations / Licensing
(see chart 2 of 2)

500144 / 500147 / 500188 / 500189
OPERATIONS ANALYST II
MANAGEMENT ANALYSTS
13-1111-03 / 007 FTE 4.00 2212 / 019

500503 / 500190
OPERATIONS REVIEW SPECIALIST
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 2.00 2239 / 024

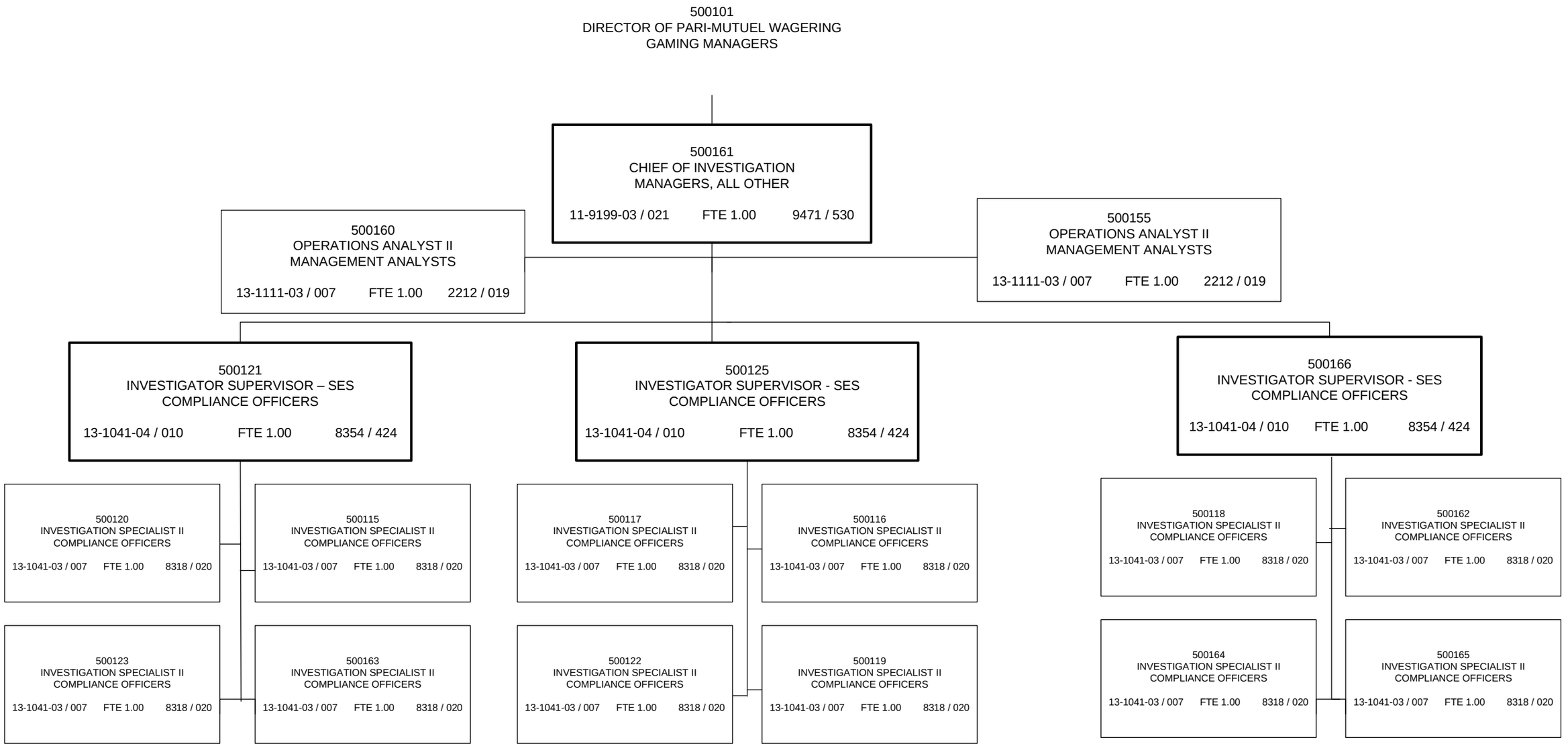
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Pari-Mutuel Wagering
Bureau of Operations / Licensing (chart 2 of 2)



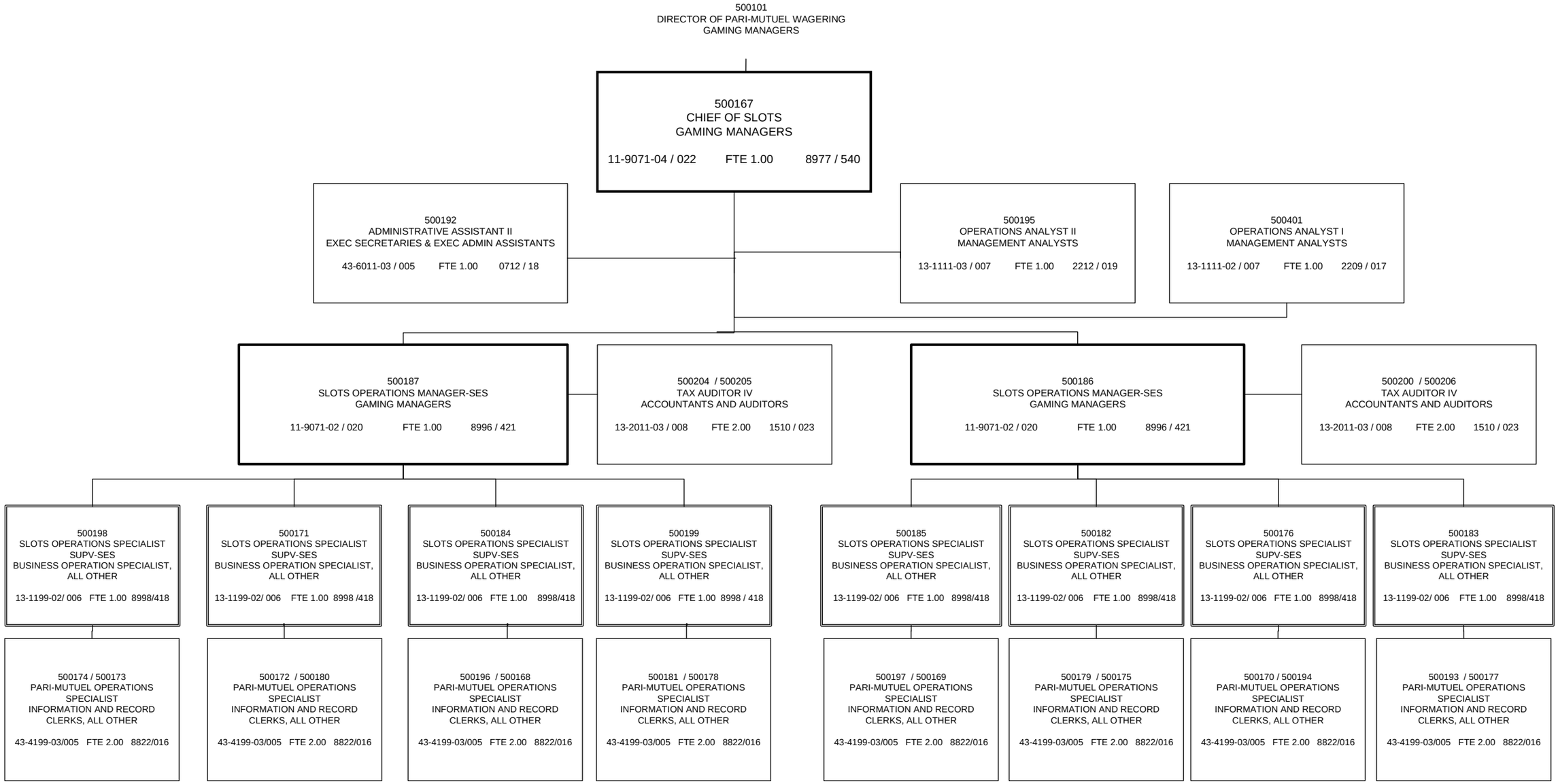
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Pari-Mutuel Wagering
Bureau of Investigations



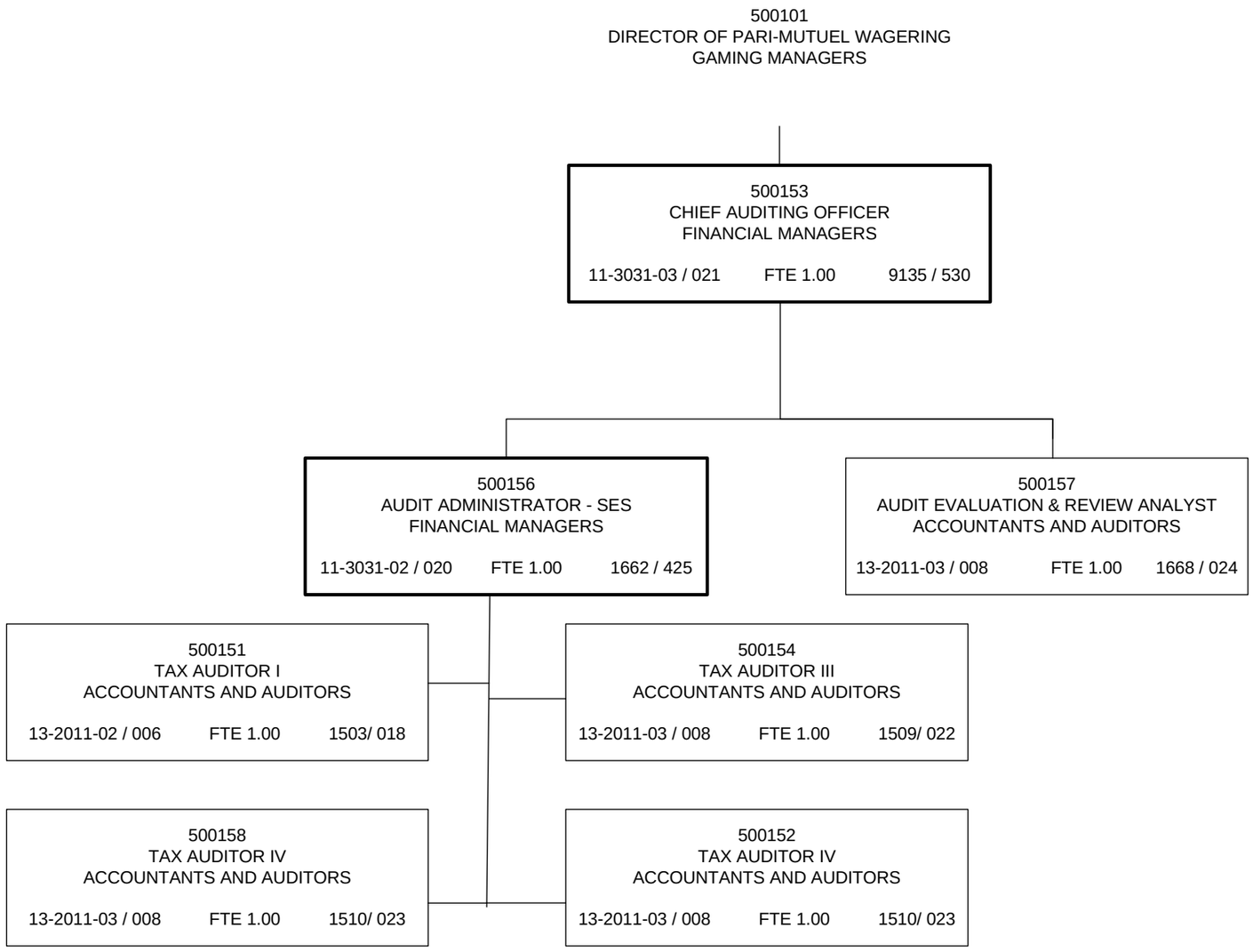
Staffing Organizational Chart

Florida Gaming Control Commission
Division of Pari-Mutuel Wagering
Bureau of Slots Operations



Staffing Organizational Chart

Florida Gaming Control Commission
Division of Pari-Mutuel Wagering
Bureau of Auditing Compliance



FLORIDA GAMING CONTROL COMMISSION

SECTION I: BUDGET	FISCAL YEAR 2022-23 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	26,875,242	0
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	833,184	0
FINAL BUDGET FOR AGENCY	27,708,426	0

SECTION II: ACTIVITIES * MEASURES	Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)				0
Number Of Complaints Of Illegal Gambling * NUMBER OF COMPLAINTS OF ILLEGAL GAMBLING	1,700	1,663.31	2,827,621	
Number Of Races Monitored * NUMBER OF RACES MONITORED	2,765	757.99	2,095,848	
Number Of Blood And Urine Samples Tested * NUMBER OF BLOOD AND URINE SAMPLES TESTED	8,315	230.43	1,916,000	
Number Of Pmw Applications Processed * NUMBER OF PMW APPLICATIONS PROCESSED	13,066	356.50	4,657,980	
Number Of Audits Conducted * NUMBER OF AUDITS CONDUCTED	4,771	465.72	2,221,965	
Number Of Slot Applications Processed * NUMBER OF SLOT APPLICATIONS PROCESSED	2,845	2,798.35	7,961,305	
TOTAL			21,680,719	

SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS			
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS			
OTHER			
REVERSIONS		6,027,716	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)		27,708,435	

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 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.

*** NO ACTIVITIES FOUND ***

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

DEPARTMENT: 4150	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	27,708,426	
TOTAL BUDGET FOR AGENCY (SECTIONS II + III):	27,708,435	
DIFFERENCE:	9-	
(MAY NOT EQUAL DUE TO ROUNDING)		

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

THIS FORM IS NOT APPLICABLE

Schedule XII Cover Sheet and Agency Project Approval	
Agency: Florida Gaming Control Commission	**Schedule XII Submission Date:**
Project Name:	**Is this project included in the Agency's LRPP?** **____ Yes ____ No**
FY 2024 - 2025 LBR Issue Code:	**FY 2024 -2025 LBR Issue Title:**
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	

AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head: **Printed Name:**	**Date:**
Agency Chief Information Officer: ***(If applicable)*** **Printed Name:**	**Date:**
Budget Officer: **Printed Name:**	**Date:**
Planning Officer: **Printed Name:**	**Date:**
Project Sponsor: **Printed Name:**	**Date:**

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

I.	**Background Information**
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?

II.	**Evaluation of Options**
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.

III. Information on Recommended Option
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.

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?
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.
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.
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.
8. Identify all other Legislative Budget Request issues that are related to this proposal.

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.
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.
11. Provide a plan to verify vendor(s) compliance with public records laws.
12. If applicable, provide a plan to verify vender compliance with applicable federal and state law ensuring access by persons with disabilities.
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.
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.

SCHEDULE XIII
PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT COMMODITY CONTRACTS
THIS FORM IS NOT APPLICABLE

Contact Information
Agency: Florida Gaming Control Commission
Name:
Phone:
E-mail address:

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

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

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

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Florida Gaming Control Commission **Contact: Christine Hutton**

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 2023 contain revenue or expenditure estimates related to your agency?

Yes [X] No [ ]

2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2024-2025 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 2024-2025 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Slot Machine Tax Collections (Educational Enhancement TF)		245,400,000	247,920,000
b				
c				
d				
e				
f				

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

N/A

* 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
THIS FORM IS NOT APPLICABLE

Contact Information
Agency: Florida Gaming Control Commission
Name: Christine Hutton
Phone: 850-794-8023
E-mail address: Christine.Hutton@flgaming.gov

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

FLORIDA
GAMING CONTROL
COMMISSION

Pari-Mutuel Wagering

Budget Entity Level
Exhibits or Schedules

Fiscal Year
2024-2025

FLORIDA
GAMING CONTROL
COMMISSION

Pari-Mutuel Wagering
41501040 / 41501050
Schedule I Series

Fiscal Year
2024-2025

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Florida Gaming Control Commision **Budget Period: 2024-2025**
Program: Pari-Mutuel Wagering
Fund: Pari-Mutuel Wagering TF 2520

Specific Authority: Chapter 550, Florida Statutes
Purpose of Fees Collected: To ensure lawful operation of pari-mutuel wagering facilities in Florida

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

X	Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach **Examination of Regulatory Fees** Form - Part I and II.)
	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION	**ACTUAL FY 2022-2023**	**ESTIMATED FY 2023-2024**	**REQUEST FY 2024-2025**
Receipts:			
Fees (includes finger printing)	1,933,829	1,216,463	1,223,352
Licenses	370,011	374,511	442,229
Fines/Penalties/Miscellaneous	196,361	54,861	54,861
Taxes	15,533,695	11,868,283	12,053,580
Addictive Gambling Fund	2,250,000	2,000,000	2,000,000
Slot Licenses	180,362	180,362	237,500
Slot Taxes	241,619,935	245,400,000	247,920,000
Indian Gaming Compact Reimbursement	303,936	250,000	250,000
Total Fee Collection to Line (A) - Section III	262,388,129	261,344,480	264,181,522
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits / Incentives	11,282,413	17,723,834	19,519,111
Other Personal Services	711,597	1,496,349	1,496,349
Expenses	3,058,453	3,411,499	4,999,022
Operating Capital Outlay	139,783	23,895	33,895
Acquisition of Motor Vehicles	412,590	105,717	407,111
Gambling Prevention Contract	1,250,000	1,250,000	1,250,000
TR/ Division of Admin Hearing	-	16,322	16,322
TR/Attorney Office/Slot Inves & Prosc	67,237	331,694	331,694
Contracted Services	1,208,125	751,278	10,397,278
PALM Readiness	-	-	398,140
Cloud Computing Services	-	295,000	295,000
Operation/Maintenance of Motor/Patrol Vehicles	68,269	132,743	162,743
Risk Management	136,962	165,271	165,271
Lease Purchases	10,789	12,911	34,911
Racing Animal Medical Research	100,000	100,000	70,000
Lab Contract	1,916,000	1,916,000	1,916,000
Stwd Law Enforce Radio System	93,100	-	73,924
TR/DMS/HR Services/Stw Contract	63,189	70,335	75,015
Transfer to DBPR for IT Services	680,243	498,000	498,000
Con/Pari-Mutuel Wagering/Compi Sys	275,936	296,476	296,476
Indirect Costs Charged to Trust Fund	247,450,271	251,173,353	253,794,553
Total Full Costs to Line (B) - Section III	268,924,957	279,770,677	296,230,815

Basis Used: Accrual Basis

SECTION III - SUMMARY

TOTAL SECTION I	(A)	262,388,129	261,344,480	264,181,522
TOTAL SECTION II	(B)	268,924,957	279,770,677	296,230,815
TOTAL - Surplus/Deficit	(C)	(6,536,828)	(18,426,197)	(32,049,293)

EXPLANATION of LINE C:
Any deficit will be covered by carry forward cash.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2024 - 2025

Department Title: Florida Gaming Control Commission
Trust Fund Title: Pari-Mutuel Wagering Trust Fund
Budget Entity: Pari-Mutuel Wagering
LAS/PBS Fund Number: 2520

	Balance as of 6/30/2023		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	6,313,863	(A)		6,313,863	
ADD: Other Cash (See Instructions)		(B)		-	
ADD: Investments	34,668,165	(C)		34,668,165	
ADD: Outstanding Accounts Receivable	66,116	(D)	20,922,766	20,988,881	
ADD: _____		(E)		-	
Total Cash plus Accounts Receivable	**41,048,143**	(F)	**20,922,766**	**61,970,909**	
LESS Allowances for Uncollectibles		(G)		-	
LESS Approved "A" Certified Forwards	1,629,269	(H)		1,629,269	
Approved "B" Certified Forwards	798,310	(H)		798,310	
Approved "FCO" Certified Forwards		(H)		-	
LESS: Other Accounts Payable (Nonoperating)	3,863	(I)	20,564,571	20,568,433	
LESS: _____		(J)		-	
Unreserved Fund Balance, 07/01/23	**38,616,702**	(K)	**358,195**	**38,974,897**	**

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: 2024 - 2025

Department Title: Florida Gaming Control Commission
Trust Fund Title: Pari-Mutuel Wagering Trust Fund
LAS/PBS Fund Number: 2520

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/23		
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**39,583,288**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment #B4150002 - Payable Adjustment	(52,111)	(C)
SWFS Adjustment #B4150003 - Receivable Adjustment	21,834,801	(C)
SWFS Adjustment #B4150004 - Payable Adjustment	(19,605,163)	(C)
SWFS Adjustment #B4150005 - Payable Adjustment	(907,297)	(C)
SWFS Adjustment #B4150006 - Receivable Adjustment	(912,035)	(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(798,310)	(D)
Approved FCO Certified Forward per LAS/PBS		(D)
A/P not C/F-Operating Categories	(168,277)	(D)
		(D)
		(D)
		(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**38,974,897**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**38,974,897**	(F)
DIFFERENCE:	-	(G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR LICENSING SYSTEM-VERSA SYSTEM REPLACEMENT

For Fiscal Year 2024-25

July 1, 2024

FLORIDA GAMING CONTROL COMMISSION

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Gaming Control Commission	Schedule IV-B Submission Date:
Project Name: Florida Gaming Control Commission Licensing System-Versa System Replacement	Is this project included in the Agency's LRPP? ____ Yes __X__ No
FY 2024-25 LBR Issue Code: 36001C0	FY 2024-25 LBR Issue Title: Licensing and Enforcement System
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Jason Brock, 850-672-2942, Jason. Brock@flgaming.gov	
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: Printed Name: Louis Trombetta	Date: 9/15/23
Agency Chief Information Officer (or equivalent): Printed Name: Susan Whitmire	Date: 9/13/23
Budget Officer: Printed Name: Christine Hutton	Date: 9/13/23
Planning Officer: Printed Name: Jason Brock	Date: 9/13/23
Project Sponsor: Printed Name: Susan Whitmire	Date: 9/13/23

Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Jason Brock
Cost Benefit Analysis:	Christine Hutton
Risk Analysis:	Jason Brock
Technology Planning:	Jason Brock, Susan Whitmire
Project Planning:	Jason Brock, Susan Whitmire

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

A. Background and Strategic Needs Assessment

To meet the demands of licensure and regulation of the gambling industry and gambling related activities in the growing state of Florida, the Legislature established a new commission, the Florida Gaming Control Commission (FGCC). FGCC needs an independent licensing system that can be configured to meet its regulatory, investigatory, and enforcement needs. To do so FGCC needs to purchase a licensing system to replace limited functionality provided by DBPR's existing system VERSA REG and the integrated document management solution OnBase. The FGCC currently utilizes VERSA REG, through an MOU with the Department of Business and Professional Regulation, to conduct licensing activities for the 34 pari-mutuel license types.

Currently FGCC does not manage technology related to the VERSA REG system, leaving FGCC at risk. Application and security patching on the licensing system and components are past end of life and is not kept up to date or patched appropriately to meet industry security standards. FGCC is unable to maintain security protocols, best practices, and patching of workstations because doing so would cause the systems not to function, leaving FGCC in a poor security posture and vulnerable to attacks and exploits. The software company sustaining VERSA REG no longer offers or supports the product used by DBPR.

The consequences of not implementing its own licensing system means that FGCC is dependent on another agency to provide a licensing system and has no ability to issue and renew licenses and complete associated tasks for parimutuel license and permit holders without them. FGCC does not have access to the system or system data other than as users of the system maintained, owned, and operated by DBPR, which limits FGCC's ability to change, update, or modernize its process and limited access to its data. FGCC also is unable to provide support to staff since we have not independent systems license.

The FGCC currently maintains 34 parimutuel license types, and over 350,000 past and current licensees, facilities, and permit holders. The FGCC seeks to implement a cloud-based software as a solution that will provide regulatory, licensing, investigation and enforcement activities that support the following business processes: Application processing; Mobile inspections; License renewal; License updates; Enforcement activities including complaint intake, investigations, case management, and legal activities; Payment tracking and audit functions; Reporting; Configurable workflow solution; Interfaces to auxiliary systems such as document management, license look-up, and artificial intelligence solutions (chat bot); Batch and web service exchanges of information with other agencies; and Cyber security management.

In doing so, FGCC can streamline business processes in a secure, independent, environment using industry best practices. By selecting a modern system, the FGCC will be able to not only maintain current mission-critical licensing application processing workflows for over 350,000 past and current licensees, facilities, and permit holders but position itself for the future demands by securely and concurrently making business decisions to accommodate a growing customer base.

1. Business Need

FGCC seeks to implement a licensing and regulation system with an encrypted, role-based cloud solution. FGCC currently utilizes Versa Regulation, through an MOU with the Department of Business and Professional Regulation, to conduct licensing activities for the 34 pari-mutuel license types. The existing system being utilized has reached the end of useful life and the vendor has stopped making improvements to the product, including no longer selling the solution. The product will eventually reach end of life and the MOU with DBPR is time limited.

The business solution will address current and emerging business needs related to licensing and regulation of over 350,000 gambling licenses, facilities, and permit holders in Florida, such as:

- Inefficient workflows inhibit the ability to automate routine business processes for application processing, facility inspections and the complaint process.
- Reliance on DBPR for functional solutions to keep systems functioning in an unsupported environment.
- Additional efficiencies to reduce time from application to license are not realizable in the current system.
- Outdated technology lacks modern architecture and customizable integrations to provide real-time information to applicants and reduce deficient applications.
- Annual agreement costs to access Versa Regulation through DBPR are estimated at $400,000.

- Current system requires Criminal Justice Information Systems (CJIS) activities to be worked outside of the licensing application database.
- Current system is susceptible to security vulnerabilities due to inability for timely enhancements and limited support.
- Current system relies on vendor-based document management, OnBase, requiring external maintenance and limits enhanced interoperability between the two for tighter, more robust integration. Legacy documents will be migrated to the new system.

2. Business Objectives

FGCC is requesting budget authority in the amount of $9,863,603 ($500,000 of which is for Operations and Management services) to replace the existing system and document management solution, including configuration and migration of data, and three (3) support staff. This will allow the FGCC to:

- Enable compatibility with mobile devices and interfaces to auxiliary systems.
- Enhance application processing, mobile inspections, license renewal, license updates, payment functionality and auditing, and configurable workflows.
- Enhance applicant portal to assist in reducing the number of deficient applications submitted and received by the agency, lessen call volumes, and help to provide a modern and improved customer-centric experience.
- Automate information gathering to reduce repetitive, manual, and paper-driven business processes.
- Facilitate greater data-driven capacities.
- Provide FGCC staff with an efficient, user-friendly, responsive system that improves stakeholder communication and reduces repetitive data entry and document management.

The system will be a cloud-based solution, ensuring more adaptability, and have less reliance on code customization so that the system configurable for growth and changes to laws and regulations.

This issue is in support of the following Governor's Priority 4.1 Ensure predictable legal, permitting, and other regulatory processes meet changing business needs.

B. Baseline Analysis

The following section demonstrates the functional areas and various functions of the Florida Gaming Control Commission.

1. Current Business Process(es)

- Licensing activities include, but are not limited to, providing licenses and renewals, monitoring licensure, and compliance of financial responsibility requirements associated with licensure.
- Enforcement activities may include research and tracking of reported activity from beginning to end, from receiving initial complaints to action against unlicensed activity.
- Investigative activities include collection and documentation of data to review, monitor and present to appropriate parties for action.
- Information activities include response to public records requests, required retention of records, collection, and compilation of licensure data for reporting, and ensuring the reliable access and quality control of licensure data.

See Appendix C for a high-level process flow chart.

2. Assumptions and Constraints

- The FGCC will select the best available Commercial Off-The-Shelf (COTS) or Software as a Service (SaaS) product following established procurement processes.
- The vendor selected to deliver the solution will be responsible for system configuration, data migration, integration with applicable systems and applications, developing documentation, developing training

materials, and providing training to all appropriate staff.

- The FGCC staff will be responsible for performing a fit-gap analysis of processes and interfaces, development and execution of any identified modifications needed for existing business processes, ensuring data integrity, and validating data migration, and ensuring all required documentation for the project and operational needs is completed and delivered.
- The FGCC IT support staff will follow the Agencies policies and project management methodologies.
- Existing systems used by the FGCC through an MOU with DBPR will continue to be supported and maintained during the life of this project.
- The system needs to be able to change as business processes and governing laws and regulations change.
- The system will provide data reporting and analysis capabilities comparable, at minimum, with current capabilities.
- The vendor will migrate legacy documents to the solution within the project schedule as part of data migration.
- As the FGCC continues to refine business processes and seek technological solutions in response to customer-driven needs, resources may be dedicated to other strategic initiatives.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

To meet the needs of parimutuel licensing in Florida, FGCC requires a modern and integrated licensure system that provides more efficient processing, consistency, and improved data integrity with supported and stable platforms. The system solution will maintain licensing application processing, auditing, investigation and complaint evaluation, and database functions currently managed through VERSA REG, as well as capturing technology advances. The solution is intended to provide FGCC staff with an efficient, user-friendly licensing system that improves workflow and reduces repetitive, manual processes.

Some basic components include:

- Administrative Tool: Licensing system used by FGCC staff to conduct business, such as application processing, auditing, and investigations. System shall be accessed through a secure login.
- Application Management: Ability to adjust the software to accommodate key business processes of licensing activities. Assimilation of historical applicant and licensee demographic data across all various license types. Data validation and integration tools.
- Case Management: The solution is intended to provide streamlined workflows for FGCC staff by licensee, permit holder and facility, increasing productivity and customer satisfaction.
- Devices: Hardware used by FGCC field staff to conduct inspections. Staff utilize hardware to conduct in person inspections and gather information and documentation. Devices have mobile data capability and touchscreen features.
- Document Management: Built-in document management component, with ability to ingest and map documents from existing document management system to records in the proposed system.
- Public Interface: Website interface that is available to the public that does not require a user to log into a secure location, such as, but not limited to, licensure verification.
- Security: Ability to meet the State of Florida Cyber Security standards as outlined in Rule 60GG-2, and found at 60GG-2 : Information Technology Standards - Florida Administrative Rules, Law, Code, Register - FAC, FAR, eRulemaking (flrules.org), including the following areas:

Governance Area	Statute, Rule, or Policy
Data Confidentiality	o Public Law (PL), 104-191, Health Insurance Portability and Accountability Act of 1996
Data Security and Privacy	

	○ 45 Code of Federal Regulations (CFR), Part 164 (Security and Privacy) ○ Florida Statute 282.318, Enterprise Security of Data and Information Technology ○ Florida Administrative Code Rule Chapter 60GG-2: Information Technology Security
Data Center Operations	○ Florida Statute 282.201, State data center ○ Florida Administrative Code Rule Chapter 60GG-3 Data Center Operations
Cloud Policy	○ Florida Statute 282.206, Cloud-first policy in state agencies ○ Florida Administrative Code Rule Chapter 60GG-4 Cloud Computing
Project Management	○ Florida Administrative Code Rule Chapter 60GG-1: Project Management and Oversight
Enterprise Architecture	○ Florida Administrative Code Rule Chapter 60GG-5 Enterprise Architecture
Identity and Access Management	○ Florida Statute 282.601, Accessibility of Electronic Information, and Information Technology ○ Florida Administrative Code Chapter 60-8, Accessible and Electronic Information Technology
Public Records	• Florida Statute 119, General State Policy on Public Records
Criminal Justice Data	• FBI Criminal Justice Information Services (CJIS) Security Policy (CSP)

- Reporting Tool: Built-in or external reporting component that allows for the ability to build on-demand and batch reports through real-time database access, as well as the ability to integrate with and pull back more than one data source or query for each report.
- Self-Service: Online portal for customer engagement to allow for submissions of applications and supporting documentation, 24/7 access to application and license status information.
- System Management: Infrastructure, hardware, services, set-ups, and processes that allow the licensing software and affiliated systems to reliably function with high availability.

2. Business Solution Alternatives

The FGCC conducted systems requirements gathering and research of basic systems information and considered the following business solutions alternatives:

a. SaaS Vendor system solution

FGCC has conducted research of available solutions for a Software-as-a-Service (Saas). There are a number of available solutions of software geared toward governmental regulatory entities that provide licensing services.

b. COTS Solution

These solutions allow for a faster insertion of technology, reduced development time and lower initial costs.

Other Florida state agencies that engage in licensing have utilized COTS solutions.

c. In-house development

FGCC lacks the team of software architects, engineers, and developers necessary to develop a solution to meet the needs of the business. Hiring a team of highly skilled staff in a competitive marketplace could postpone the implementation of a solution and increase risk due to turnover.

3. Rationale for Selection

The FGCC is currently reliant on system access through an MOU with DBPR. The current system is nearing end of life, with no opportunity for system enhancements, creating a security risk. Additionally, the current system does not have a modernized user interface or support a customer-centric approach. To establish as an independent agency, using industry best practices, vendor support is needed to implement, migrate, and maintain a licensing solution. FGCC technical and business staff possess the knowledge to assist during the process and manage operations after deployment.

As the commission continues to grow a solution that accommodates changes to laws, statute and business demand is needed to ensure mission critical work is conducted securely and efficiently.

4. Recommended Business Solution

The FGCC recommends selecting a commercial cloud-based system. The solution would achieve the following:

- Support the licensing and maintenance of parimutuel licensees, permitholders and facilities regulated under the FGCC.
- Be configurable when changes are required.
- Support an efficient data entry environment.
- Feature a user-interface for online services that are compatible with mobile devices.
- Ensure robust security at all levels.
- Include workflow solutions to streamline business processes.
- Convert and migrate data seamlessly from the existing system to the new solution.
- Automate business processes to reduce processing times.

D. Functional and Technical Requirements

The functional requirements documentation developed by the agency is attached in Appendix D.

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
1	A solution that provides security and recoverability while maintaining the latest technology standards.	System outages Data backup Security incidents	FGCC Staff	Upon implementation 2025

SUCCESS CRITERIA TABLE				
2	A solution that will expand self-service options and on-demand availability of information.	Increase in customer satisfaction through decreased support calls Decrease in application processing times	FGCC Staff Licensees, permitholders and facilities Florida residents	Upon implementation 2025
3	A solution that will satisfy business, customer, and state reporting requirements.	Availability of reports Report accuracy Tine to produce reports	FGCC Staff External Partners	Upon implementation 2025
4	A solution that provides consistent experience for users.	Staff satisfaction Identification of training needs	FGCC Staff External Partners	Upon implementation 2025

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

A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Implementation of FGCC licensure system.	FGCC Staff Licensees, permitholders, facilities	FGCC licensure system is available with historical data.	System implementation is completed, data has been migrated and UAT is completed.	Upon implementation of the system
2	Greater self-service functionality for external users	FGCC Staff Licensees, permitholders, facilities Florida residents	Increased information and functions available through a self-service portal.	Improved efficiency for applicants and staff.	Upon implementation of the system.

B. Cost Benefit Analysis (CBA)

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.

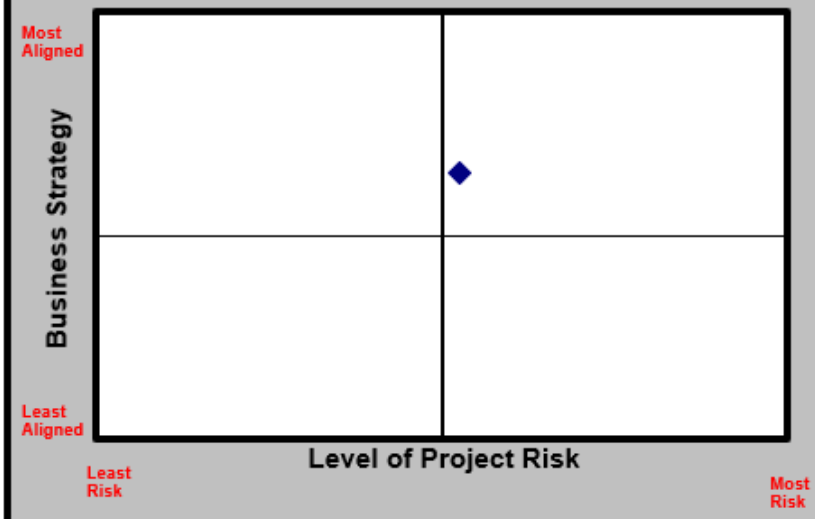
<table>
<tr><th colspan="2">Cost Benefit Analysis</th></tr>
<tr><th>Form</th><th>Description of Data Captured</th></tr>
<tr><td>CBA Form 1 - Net Tangible Benefits</td><td>Agency Program Cost Elements: No existing program operational costs currently exist. This is a new system request. The cost will continue each year based on the benefits realization table above.</td></tr>
<tr><td>CBA Form 2 - Project Cost Analysis</td><td>This project will be funded through the Pari-Mutuel Wagering Trust Fund and is estimated at $19,318,015 over the next five years. This project is to replace the existing system and document management solution with an encrypted, role-based cloud solution. Three (3) support staff are required.</td></tr>
<tr><td>CBA Form 3 - Project Investment Summary</td><td><table>
<tr><td>Payback Period (years)</td><td>NO PAYBACK</td></tr>
<tr><td>Breakeven Fiscal Year</td><td>NO PAYBACK</td></tr>
<tr><td>Net Present Value (NPV)</td><td>($36,022,554)</td></tr>
<tr><td>Internal Rate of Return (IRR)</td><td>NO IRR</td></tr>
</table></td></tr>
</table>

V. Schedule IV-B Major Project Risk Assessment

While the current Risks Assessment (see Appendix B) has determined an Overall Project Risk of Medium, once approvals are given to move forward, comprehensive project planning will occur. FGCC will use industry standard project management and change management methodologies and templates.

Project	Versa System Replacement	
Agency	Florida Gaming Control Commission	
FY 2024-25 LBR Issue Code:	FY 2024-25 LBR Issue Title:	
36001C0	Licensing and Enforcement System	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Jason Brock, 850-672-2942, Jason.Brock@flgaming.gov		
Executive Sponsor	Susan Whitmire	
Project Manager	Jason Brock	
Prepared By	Jason Brock	8/17/2023

Risk Assessment Summary



Project Risk Area Breakdown

Risk Assessment Areas	*Risk Exposure*
Strategic Assessment	MEDIUM
Technology Exposure Assessment	MEDIUM
Organizational Change Management Assessment	MEDIUM
Communication Assessment	MEDIUM
Fiscal Assessment	MEDIUM
Project Organization Assessment	MEDIUM
Project Management Assessment	MEDIUM
Project Complexity Assessment	MEDIUM
Overall Project Risk	MEDIUM

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

The Florida Gaming Control Commission currently utilizes VERSA REG for licensure activities and OnBase for document management. Systems access is currently provided through an MOU with the Department of Business and Professional Regulation. VERSA is currently nearing the end of life, meaning the vendor will no longer improve functionality. FGCC does not have access to the system or system data other than as users of the system maintained, owned and operated by DBPR, which limits FGCC's ability to change, update, or modernize its process and limited access to its data. FGCC also is unable to provide support to staff since we have not independent systems license.

a. Description of Current System

The Florida Gaming Control Commission currently maintains over 350,000 past and present licensees, permit holders and facilities across 34 parimutuel license types. All license types require interaction with the systems to facilitate mandate licensure activities.

b. Current System Resource Requirements

FGCC staff evaluate licensure requirements by license type to ensure compliance with applicable laws, policies and procedures. To accomplish these activities, VERSA REG is utilized to facilitate the licensure process and record maintenance.

c. Current System Performance

VERSA REG provides access to FGCC to carry out licensure functions for 350,000 past and present licensees, permitholders and facility records across 34 license types. Access and maintenance of VERSA REG is provided by DBPR through an MOU.

2. Information Technology Standards

- Latest .Net framework
- Latest C# framework
- CJIS
- COTS/SaaS

B. Current Hardware and/or Software Inventory

The Florida Gaming Control Commission does not own hardware and/or software. Hardware and Software are being provided through the Department of Business and Professional Regulation through an MOU.

C. Proposed Technical Solution

1. Technical Solution Alternatives

The FGCC conducted systems requirements gathering and research of basic systems information and considered the following business solutions alternatives. Gartner also provided a Market Guide for Community Development, Regulation and Licensing Applications (Appendix E) which has used as a resource in evaluating the following:

a. SaaS Vendor system solution

FGCC has conducted research of available solutions for a Software-as-a-Service (Saas). There are a number of available solutions of software geared toward governmental regulatory entities that provide licensing services.

b. COTS Solution

These solutions allow for a faster insertion of technology, reduced development time and lower initial costs.

Other Florida state agencies that engage in licensing have utilized COTS solutions.

c. In-house development

FGCC lacks the team of software architects, engineers, and developers necessary to develop a solution to meet the needs of the business. Hiring a team of highly skilled staff in a competitive marketplace could postpone the implementation of a solution and increase risk due to turnover.

2. Rationale for Selection

FGCC has identified goals to provide a minimum set of capabilities to be met by a potential solution.

Establishing a minimum set of capabilities is critical to ensure all options are compared to a common standard.

This common base will allow option costs, timelines, and capabilities to be compared in a consistent manner.

The goals identified are:

- An intuitive and easy-to-use system
- A system that can provide flexibility to adapt to future process, legislative or organizational changes
- A system driven by business processes
- A system providing on-demand reporting
- A system that provides necessary security requirements and system patching
- A system that provides a complete audit trail
- A system that is accessible (ADA compliant)

3. Recommended Technical Solution

The recommended technical solution is to procure a Licensing and Enforcement system. We are recommending a SaaS vendor-managed or self-hosted cloud solution that is configurable and provides in-house staff the ability to make configuration changes as needed. The technical solution should utilize modern encryption methodologies throughout and leverage the Department's identity and access management solution for authentication and role-based access.

The application should be highly available, scalable, and load-balanced with multiple application replicas along with persistent session management stored separately from the application tier to allow for limited user experience interruptions. Our recommendation is that it requires a modern and integrated licensure system that provides more efficient transaction processing, greater consistency, and improved data integrity with supported and stable platforms.

It should maintain licensing application processing, enforcement and complaint evaluation and investigation workflows, and database functions, as well as capturing technology advances that automate repetitive workflows and tasks and providing comprehensive case management, document management and data analysis and reporting.

D. Proposed Solution Description

1. Summary Description of Proposed System

The system will provide regulatory, licensing, investigation and enforcement activities that support the following business processes:

- Application processing
- Mobile inspections
- License renewal and updates
- Enforcement activities including complaint intake
- Investigations, Reporting
- Case management and legal activities
- Payment tracking and audit functions

- Configurable workflow solution
- Interfaces to auxiliary systems such as document management, license look-up, and artificial intelligence solutions (chat bot)
- Batch and web service exchanges of information with other agencies
- Cyber security management

The system must be: Configurable and easily deployed when changes are required. User Interface (UI) for online systems should be fully compatible with mobile devices, at the minimum Apple and Android, and easily maintainable. Flexible cost-effective hosting options including public cloud options. Modern and secure web application programming interface service layer for interacting with the back-end applications. Robust security at all levels. Workflow solution that streamlines business processes by multiple groups. Extendable source code designed for future growth that allows technical staff to build extension and enhancements without impairing existing system functions. Seamless conversion of data from existing system to new system. Secure cloud-based solution that is FedRAMP compliant. Automate business processes and communication to reduce application processing times and manual review.

The document management solution must provide management of documentation related to parimutuel licensing functions in conjunction to the system. Additionally, the document management solution should allow for the management of all FGCC documents, eliminating the need for other solutions for non-license-based documents.

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

The new system will require recurring operational costs for use of the platform as well as cloud hosting. It is anticipated positions may be required for the support of the systems.

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

Currently, VERSA REG access is provided to FGCC under an MOU with the Department of Business and Professional Regulation. FGCC was established as an independent commission on July 1, 2022 creating the need to procure a secure, independent system.

VII. Schedule IV-B Project Management Planning

The diagram below is a summary of anticipated project phases and key activities.

	Year 0 (FY 22-23)	**Year 1 (FY23-24)**	**Year 2 (FY 24-25 pending funding)**
Phase	Requirements Gathering	Planning and Contracting	Development and Transition
Key Activity	• Kick-off meeting • Requirements gathering and analysis • Documentation development	• ITN • Contract development • Contract procurement • Gap analysis	• System design • Data Migration mapping • Test Plan development • Migration • UAT • Go-Live
Deliverables	Milestones: • Business workflows • Requirements documentation	Milestones: • Vendor/ solution selection • Contract execution • D1 – Gap analysis	Milestones: • D2 – Design documentation • D3 – Test plan • D4 – Demonstrations • D5 – UAT Scripts • D6 – Go-Live acceptance • D7 – Transition plan

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.

Appendix A

Cost Benefit Analysis

Appendix B

Risk Assessment

Appendix C

Business Flow Chart

Appendix D

Business requirements

Appendix E

Gartner Market Guide for Community Development, Regulation and Licensing Applications

CBAForm 1 - Net Tangible Benefits

Agency	Florida Gaming Control Commission	Project	Licensing and Enforcement System

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A

Agency *(Recurring Costs Only -- No Project Costs)*	FY 2024-25			FY 2025-26			FY 2026-27			FY 2027-28			FY 2028-29		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	**$0**	**$324,429**	**$324,429**	**$324,429**	**$324,429**	**$648,858**	**$324,429**	**$324,429**	**$648,858**	**$324,429**	**$324,429**	**$648,858**	**$324,429**	**$324,429**	**$648,858**
A.b Total Staff	**0.00**	**3.00**	**3.00**	**3.00**	**3.00**	**6.00**	**3.00**	**3.00**	**6.00**	**3.00**	**3.00**	**6.00**	**3.00**	**3.00**	**6.00**
A-1.a. State FTEs (Salaries & Benefits)	$0	$324,429	$324,429	$324,429	$324,429	$648,858	$324,429	$324,429	$648,858	$324,429	$324,429	$648,858	$324,429	$324,429	$648,858
A-1.b. State FTEs (#)	0.00	3.00	3.00	3.00	3.00	6.00	3.00	3.00	6.00	3.00	3.00	6.00	3.00	3.00	6.00
A-2.a. OPS Staff (Salaries)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-3.b. Staff Augmentation (# of Contractors)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Application Maintenance Costs	**$0**	**$2,005,174**	**$2,005,174**	**$39,174**	**$39,174**	**$78,348**	**$39,174**	**$39,174**	**$78,348**	**$39,174**	**$39,174**	**$78,348**	**$39,174**	**$39,174**	**$78,348**
B-1. Managed Services (Staffing)	$0	$39,174	$39,174	$39,174	$39,174	$78,348	$39,174	$39,174	$78,348	$39,174	$39,174	$78,348	$39,174	$39,174	$78,348
B-2. Hardware	$0	$1,466,000	$1,466,000	$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 Operation and Mgmt. Services	$0	$500,000	$500,000	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. Data Center Provider Costs	**$0**	**$7,000,000**	**$7,000,000**	**$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 Setup Configuration & Data Migration Services	$0	$7,000,000	$7,000,000	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	**$0**	$0	**$0**	$0	$0	**$0**	$0	$0	**$0**	$0	**$0**	**$0**	**$0**	**$0**	**$0**
E. Other Costs	**$0**	**$534,000**	**$534,000**	**$2,000,000**	**$2,000,000**	**$4,000,000**	**$2,000,000**	**$2,000,000**	**$4,000,000**	**$2,000,000**	**$2,000,000**	**$4,000,000**	**$2,000,000**	**$2,000,000**	**$4,000,000**
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 Licensing Fees	$0	$534,000	$534,000	$2,000,000	$2,000,000	$4,000,000	$2,000,000	$2,000,000	$4,000,000	$2,000,000	$2,000,000	$4,000,000	$2,000,000	$2,000,000	$4,000,000
Total of Recurring Operational Costs	**$0**	**$9,863,603**	**$9,863,603**	**$2,363,603**	**$2,363,603**	**$4,727,206**	**$2,363,603**	**$2,363,603**	**$4,727,206**	**$2,363,603**	**$2,363,603**	**$4,727,206**	**$2,363,603**	**$2,363,603**	**$4,727,206**
F. Additional Tangible Benefits:		**$0**			**$0**			**$0**			**$0**			**$0**	
F-1. Specify		$0			$0			$0			$0			$0	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		**($9,863,603)**			**($2,363,603)**			**($2,363,603)**			**($2,363,603)**			**($2,363,603)**	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type		**Estimate Confidence**	**Enter % (+/-)**
Detailed/Rigorous	☐	**Confidence Level**	
Order of Magnitude	☐	**Confidence Level**	
Placeholder	☑	**Confidence Level**	**100%**

Florida Gaming Control Commission **Licensing and Enforcement System**

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.***

CBAForm 2A Baseline Project Budget

				FY2024-25			FY2025-26			FY2026-27			FY2027-28			FY2028-29			TOTAL
			$ -		$ 9,863,603			$ 2,363,603			$ 2,363,603			$ 2,363,603			$ 2,363,603		$ 19,318,015
Item Description *(remove guidelines and annotate entries here)*	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
Costs for all state employees working on the project.	**FTE**	S&B	$ -	3.00	$324,429	$ -	3.00	$ 324,429	$ -	3.00	$ 324,429	$ -	3.00	$ 324,429	$ -	3.00	$ 324,429	$ -	**$ 1,622,145**
Costs for all OPS employees working on the project.	**OPS**	OPS	$ -	0.00		$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
Staffing costs for personnel using Time & Expense.	**Staff Augmentation**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	**Project Oversight**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
Staffing costs for all professional services not included in other categories.	**Consultants/Contractors**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
Separate requirements analysis and feasibility study procurements. Setup Configuration & Data Migration Services	**Project Planning/Analysis**	Contracted Services	$ -		$ 7,000,000	$ -		$ 2,000,000	$ -		$ 2,000,000	$ -		$ 2,000,000	$ -		$ 2,000,000	$ -	**$ 15,000,000**
Hardware purchases not included in data center services.	**Hardware**	Contracted Services	$ -		$ 1,466,000	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 1,466,000**
Commercial software purchases and licensing costs.	**Commercial Software**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	**Project Deliverables**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
All first-time training costs associated with the project.	**Training**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A	**Data Center Services - One Time Costs**	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Other contracted services not included in other categories. Operation and Mgmt. Services	**Other Services**	Contracted Services	$ -		$ 500,000	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 500,000**
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	**Equipment**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Include costs associated with leasing space for project personnel.	**Leased Space**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Other project expenses not included in other categories.	**Other Expenses**	Expense	$ -		$ 573,174	$ -		$ 39,174	$ -		$ 39,174	$ -		$ 39,174	$ -		$ 39,174	$ -	**$ 729,870**
	Total		**$ -**	**3.00**	**$ 9,863,603**	**$ -**	**3.00**	**$ 2,363,603**	**$ -**	**3.00**	**$ 2,363,603**	**$ -**	**3.00**	**$ 2,363,603**	**$ -**	**3.00**	**$ 2,363,603**	**$ -**	**$ 19,318,015**

CBAForm 2 - Project Cost Analysis

Agency Florida Gaming Control Commission

Project Licensing and Enforcement System

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	
TOTAL PROJECT COSTS (*)	$9,863,603	$2,363,603	$2,363,603	$2,363,603	$2,363,603	$19,318,015
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$9,863,603	$12,227,206	$14,590,809	$16,954,412	$19,318,015	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	
General Revenue	$0	$0	$0	$0	$0	$0
Trust Fund - Pari-Mutuel Wagering	$9,863,603	$2,363,603	$2,363,603	$2,363,603	$2,363,603	$19,318,015
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$9,863,603	$2,363,603	$2,363,603	$2,363,603	$2,363,603	$19,318,015
CUMULATIVE INVESTMENT	$9,863,603	$12,227,206	$14,590,809	$16,954,412	$19,318,015	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous		Confidence Level	
Order of Magnitude		Confidence Level	
Placeholder	x	Confidence Level	100%

CBAForm 3 - Project Investment Summary

Agency	Florida Gaming Control Commission	Project	Licensing and Enforcement System

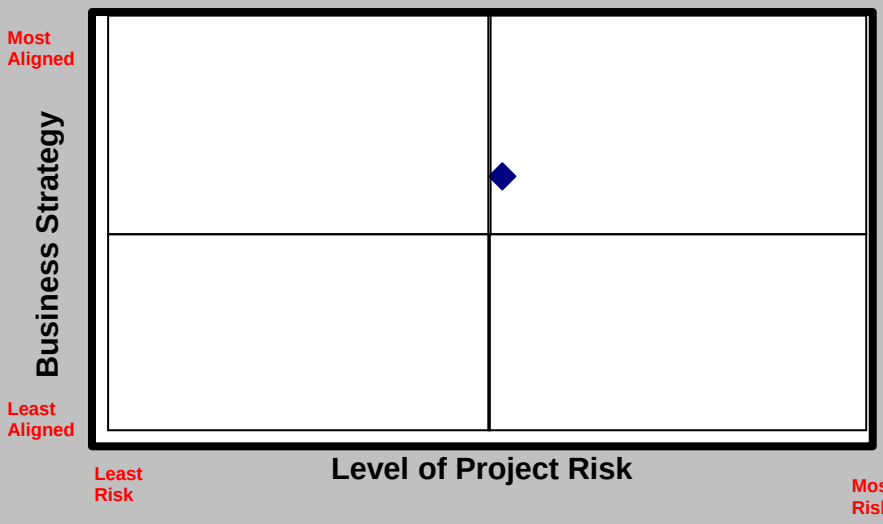
COST BENEFIT ANALYSIS -- CBAForm 3A	FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	TOTAL FOR ALL YEARS
Project Cost	$9,863,603	$2,363,603	$2,363,603	$2,363,603	$2,363,603	$19,318,015
Net Tangible Benefits	($9,863,603)	($2,363,603)	($2,363,603)	($2,363,603)	($2,363,603)	($19,318,015)
Return on Investment	($19,727,206)	($4,727,206)	($4,727,206)	($4,727,206)	($4,727,206)	($38,636,030)
Year to Year Change in Program Staffing	3	3	3	3	3	

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)	($36,022,554)	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	FY 2024-25	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29
Fiscal Year					
Cost of Capital	2.90%	3.10%	3.30%	3.40%	3.50%

Project	*Versa System Replacement*	
Agency	*Florida Gaming Control Commission*	
FY 2024-25 LBR Issue Code:	**FY 2024-25 LBR Issue Title:**	
36001C0	*Licensing and Enforcement System*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Jason Brock, 850-672-2942, Jason.Brock@flgaming.gov		
Executive Sponsor	*Susan Whitmire*	
Project Manager	*Jason Brock*	
Prepared By	*Jason Brock*	*8/17/2023*

Risk Assessment Summary



Project Risk Area Breakdown

Risk Assessment Areas	*Risk Exposure*
Strategic Assessment	MEDIUM
Technology Exposure Assessment	MEDIUM
Organizational Change Management Assessment	MEDIUM
Communication Assessment	MEDIUM
Fiscal Assessment	MEDIUM
Project Organization Assessment	MEDIUM
Project Management Assessment	MEDIUM
Project Complexity Assessment	MEDIUM
Overall Project Risk	MEDIUM

	B	C	D	E
1	**Agency: Florida Gaming Control Commission**			**Project: Versa System Replacement**
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 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	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 Gaming Control Commission**			**Project: Versa System Replacement**
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	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Moderate infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are 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 Gaming Control Commission			Project: Versa System Replacement
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 defiined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defiined 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	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)	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	**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	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Gaming Control Commission			Project: Versa System Replacement
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	No
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	41% to 80% -- Some defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	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	All or nearly all project benefits have been identified and validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Firm Fixed Price (FFP)
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Purchase all hardware and software at start of project to take advantage of one-time discounts
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager 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	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 and proof of concept or prototype planned/used to select best qualified vendor
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	5.18	For projects with total cost exceeding $10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	

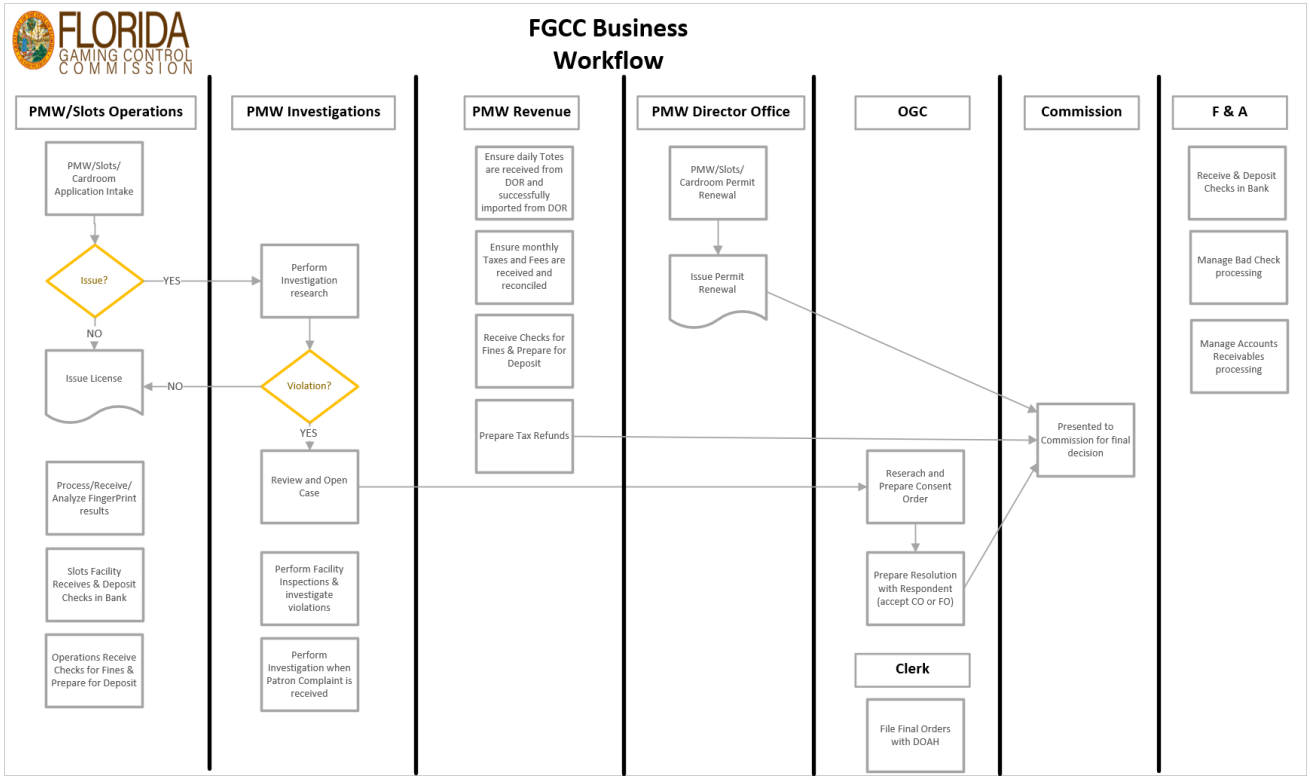
	B	C	D	E
1	Agency: Florida Gaming Control Commission			Project: Versa System Replacement
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	No
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	Some have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	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	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	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	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	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 Gaming Control Commission			Project: Versa System Replacement
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Project Management team will use the methodology selected by the systems integrator
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	1-3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	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	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	Project team and executive steering committee use formal status reporting processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	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: Florida Gaming Control Commission**			**Project: Versa System Replacement**
2				
3	**Section 8 -- Project Complexity Area**			
4	**#**	**Criteria**	**Values**	**Answer**
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Less 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	1
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	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	

Appendix C

Business Flow Chart



REQUIREMENT LIST				
DESCRIPTION	**USER**	**CATEGORY**	**PRIORITY**	**NEW FEATURE (Y/N)**
SYSTEM				
Must be Cloud Based	Internal	System	High	Y
Must have DEV, TEST, PROD environments	Internal	System	High	N
Must comply with Florida Statute 282.601-282.606 (Accessibility of Information and Technology)	Internal	System	High	Y
Must comply with the State of Florida Cyber Security standards as outlined in Rule 60GG-2	Internal	System	High	N
Must have Data Dictionary Document	Internal	System	High	N
Must allow for integrations to third-party solutions using industry standard APIs to send and receive data from other systems	Integration	System	High	N
Must allow interface modification for FGCC branding	Integration	System	High	Y
Must provide Online application process	Internal/ External	System	High	N
Must have document management with workflow routing configuration capability	System	System	High	N
Must allow email template configuration	System	System	High	N
Must allow ability to build on-demand reports	Internal	System	High	N
Must allow batch dataset updates	Internal	System	High	N
Must provide Help/ FAQ framework	External	System	High	N
Must allow correspondence tracking	Internal/ External	System	High	N
Must allow for document retention/archiving schedule based on document type	Internal	System	High	Y
Must provide data mapping and migration of VERSA data to new system	System	System	High	Y
Must provide mapping and migration of documents to new document repository	System	System	High	Y
Must allow exporting of reports and all data types (csv, text, docx, xlsx)	System	System	High	N
Must allow capturing an storing of images	System	System	High	Y
Must allow configuration for scheduling/delivering reports	System	System	High	N
Must have ability to configure a pathway prompting the user to answer questions to select appropriate application type	System	System	High	N
SECURITY				
Must allow Administrative Role	Internal	Security	High	N
Must allow User Roles/Groups configuration for both internal & external access	Internal	Security	High	N
Must allow access via SSO	Internal	Security	High	Y
Must require System UserID & Strong Password	External	Security	High	N
Must allow self-service UserID retrieval	External	Security	High	N
Must require self-service Strong Password retrieval	External	Security	High	N
Must require Strong Password expiration configuration	External	Security	High	N

REQUIREMENT LIST				
DESCRIPTION	**USER**	**CATEGORY**	**PRIORITY**	**NEW FEATURE (Y/N)**
SYSTEM				
Must require self-service Strong Password resets	External	Security	High	N
Must require self-service users to sign under penalty of perjury	External	Security	High	N
LICENSING				
Must maintain history of license information	Internal	License	High	N
Must maintain history of pending applications	Internal	License	High	N
Must track all licensure activities	Internal	License	High	N
Must provide ability to place highlighted indicators/alerts on licenses to bring attention to information	Internal	License	High	N
Must allow fillable & downloadable License Application forms	Internal/ External	License	High	N
Must allow fillable & downloadable License Application additional forms	Internal/ External	License	High	N
Must allow upload of supporting documents for Application submission	Internal/ External	License	High	N
Must allow uploading of large document sets	Internal	License	High	N
Must allow Secure Payment (PCI compliant) online processing	External	License	High	N
Must allow downloadable Application summary	External	License	High	N
Must allow downloaded Payment receipt confirmation	External	License	High	N
Must allow printing on pre-numbered License card stock	Internal	License	High	N
Must provide ability to account for voided pre-numbered License card stock	Internal	License	High	N
Must allow renewal of an active license	Internal/ External	License	High	N
Must allow merge/fill-in business letter templates	Internal	License	High	N
Must allow downloadable generated business letters	Internal	License	High	N
Must include Finger Print fees and FP fee exemptions when calculating Total Fees	Internal	License	High	N
Must allow configurable required checklist for each application type (Y/N)	Internal	License	High	N
Must allow configurable auto validations per checklist item	Internal	License	High	N
Must allow Search by Name/Organization	Internal/ External	License	High	N
Must allow Search by License Number	Internal/ External	License	High	N
Must allow Search by City or County	Internal/ External	License	High	N
Must allow Search by License Type	Internal/ External	License	High	N
Must allow Search by License Category	Internal/ External	License	High	N

REQUIREMENT LIST				
DESCRIPTION	**USER**	**CATEGORY**	**PRIORITY**	**NEW FEATURE (Y/N)**
SYSTEM				
Must allow Search by Special Qualification	Internal/ External	License	High	N
Must allow checking license application status	Internal/ External	License	High	N
Must allow more than one application for an individual/business	External	License	High	N
Must allow linking of Host track & Guest track	Internal	License	High	N
Must allow license upgrade from one type to another	External	License	High	N
Must allow duplicate license request	External	License	High	N
Must allow Licensee photo images to be captured and appear on license	Internal	License	High	Y
Must allow driver license bar code reader to capture legal name	Internal	License	High	Y
Must allow merging of entities or identities	Internal	License	High	N
Must allow splitting of entities or identities	Internal	License	High	N
Must allow user to open a closed application	Internal	License	High	N
Must allow user to change to License Type	Internal	License	High	N
Must allow user to change to application dates	Internal	License	High	N
Must allow user abiltiy to change filing summary/details	Internal	License	High	N
Must allow user to override of checklist items	Internal	License	High	N
Must allow user to override application status	Internal	License	High	N
Must allow change from Individual to Business and visa versa	Internal	License	High	N
Must allow Permit Transfer between existing businesses	Internal	License	High	N
Must allow recording of Surety Bond	Internal	License	High	N
Must allow Cardroom table maintenance	Internal	License	High	Y
CASH /REVENUE MANAGEMENT				
Must be able to track payment method (check, money order, credit card, EFT)	External	Cash	High	N
Must allow recording of check or money order number	Internal	Cash	High	Y
Must allow recording of unassigned payments	Internal	Cash	High	N
Must be able to apply monies received	Internal	Cash	High	N
Must allow assignment of unique identifier to each receipt	Internal	Cash	High	N
Must allow ability to search for receipts	Internal	Cash	High	N
Must be able to process refunds	Internal	Cash	High	N
Must be able to create cash batches for Deposits	Internal	Cash	High	N
Must be able to maintain deposit history	Internal	Cash	High	N
Must be able to maintain account balances	Internal	Cash	High	N
Must be able to create liabilities for fines imposed when violation occurs	Internal	Cash	High	Y
Must allow maintenance of tax payment history	Internal	Cash	High	N
Must allow transfer of tax credits between permitholders	Internal	Cash	High	N

REQUIREMENT LIST				
DESCRIPTION	**USER**	**CATEGORY**	**PRIORITY**	**NEW FEATURE (Y/N)**
SYSTEM				
Must allow reassignment or cancellation of cash receipts	Internal	Cash	High	N
Must allow adjustment to receipt amount	Internal	Cash	High	N
Must allow change to deposit number	Internal	Cash	High	N
Must allow change to cash batch fiscal year	Internal	Cash	High	N
Must be able to create accounts receivable for dishonored monies (bad check) or for fines approved by Commission	Internal	Cash	High	Y
Must be able to add a visible alert to a dishonored payment receipt	Internal	Cash	High	N
Must be able to tie accounts receivable to payment receipt	Internal	Cash	High	N
Must be able to add bank fee for dishonored monies	Internal	Cash	High	N
Must be able to post payment to an accounts receivable	Internal	Cash	High	N
Must be able to track outstanding accounts receivables	Internal	Cash	High	N
Must be able to flag an outstanding accounts receivable for Collections	Internal	Cash	High	N
Must be able to write off accounts receivable	Internal	Cash	High	N
CASE MANAGEMENT				
Must allow Case/Complaint management	Internal	Case Management	High	N
Must allow association of Respondent to a Case	Internal	Case Management	High	N
Must allow association of Complaintant to a Case	Internal	Case Management	High	N
Must allow association of Parties (licensed & unlicensed) to a Case	Internal	Case Management	High	N
Must allow association of Allegation(s) to a Case	Internal	Case Management	High	N
Must allow association of Violation(s) to a case	Internal	Case Management	High	N
Must allow Activities for a Case	Internal	Case Management	High	N
Must allow Disposition for a Case	Internal	Case Management	High	N
Must allow Drug Sample Tracking for a Case	Internal	Case Management	High	N

REQUIREMENT LIST				
DESCRIPTION	**USER**	**CATEGORY**	**PRIORITY**	**NEW FEATURE (Y/N)**
SYSTEM				
Must allow Evidence tracking for a Case	Internal	Case Management	High	N
Must allow establishment and maintenance of rates assigned to system users	Internal	Case Management	High	N
Must allow time tracking for a Case	Internal	Case Management	High	N
Must allow cost tracking for a Case	Internal	Case Management	High	N
Must provide tracking of Complaint status	Internal/ External	Case Management	High	N
Must have ability to view mutiple Cases at a time	Internal	Case Management	High	Y
Must allow change to Case type	Internal	Case Management	High	N
Must allow downloadable Case Report	Internal	Case Management	High	N
Must allow configurable triggers for Case assignment email notifications	Internal	Case Management	High	N
Must allow Slots Facility Inspection checklists	Internal	Case Management	High	Y
REPORTS - LETTERS				
Revenue per each lic type	Internal	Report	High	N
DOR Tax Payment transfer confirmation	Internal	Report	High	N
Cash Listing (ca31)	Internal	Report	High	N
Payment Report aka-Cash Deposit Action Report (fldp85)	Internal	Report	High	N
Open Cases Report	Internal	Report	High	N
Number of Applications processed within and over 90 days	Internal	Report	High	N
Accounts Receivables Report	Internal	Report	High	N
Open App Report	Internal	Report	High	N
Temp W No Closed for Upgrade	Internal	Report	High	N
High or Low PMW Document Processing Identification	Internal	Report	High	N
PMW - Documents Processed per Queue per User	Internal	Report	High	N
PMW - Number of VO Documents by Lic Type and Tran Code	Internal	Report	High	N
PMW Historical Scanning Productivity Report	Internal	Report	High	N
Scanning by PMW User per Day	Internal	Report	High	N
Application Status Breakdown Report	Internal	Report	High	N
Open Application Deficiency	Internal	Report	High	N
License Master List	Internal	Report	High	N

REQUIREMENT LIST				
DESCRIPTION	**USER**	**CATEGORY**	**PRIORITY**	**NEW FEATURE (Y/N)**
SYSTEM				
License Status Report	Internal	Report	High	N
Related License Report	Internal	Report	High	N
License Status Change Report	Internal	Report	High	N
Cash Deposit Report	Internal	Report	High	N
Refund Report	Internal	Report	High	N
Bad Check Report	Internal	Report	High	N
Unassigned Cash Report	Internal	Report	High	N
Case Report	Internal	Report	High	N
Cash Deposit Action	Internal	Report	High	N
Bad Check Letter	Internal	Letter	High	N
Deficiency Letter	Internal	Letter	High	N
Time/Costs associated with associated Enforcement	Internal	Report	High	Y

Market Guide for Community Development, Regulation and Licensing Applications

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By Analyst(s): Alia Mendonsa, John Kastrinos

Initiatives: Government Technology Optimization and Modernization

> Modern CDR applications have a rich set of features and seamless workflow, and increasingly leverage emerging technologies. Government CIOs should leverage this guide to identify the key functionalities and approaches to support application modernization and enable digital government services.

Overview

Key Findings

- SaaS delivery models have become the predominant delivery model for new community development and regulation (CDR) system implementations. This is a result of governments' growing receptivity toward cloud solutions and vendor community SaaS-first marketing strategies.
- Government pandemic response and the resulting economic recovery and resilience plans have fueled digital government momentum and increased investment in CDR modernization to increase remote and self-service capabilities.
- Capabilities such as geospatial analytics, robotic process automation and predictive modeling are application differentiators for governments.

Recommendations

Government CIOs modernizing legacy CDR solutions must:

- Work with executives and decision makers to balance a focus on delivering against business requirements against the organization's application strategy and IT principles.
- Include as a part of selection criteria the solution's alignment with the existing application portfolio, planned migrations or modernizations, and longer-term regulatory requirements.

- Select solutions with differentiating capabilities, such as geospatial analytics, robotic process automation and predictive modeling, while also assessing the vendor offerings' strength of security, extensibility, interoperability, scalability, modularity and configurability.
- Confirm that proposed solutions will meet mission requirements by articulating to providers use cases and desired outcomes, and by requiring demonstrations of how the proposed solution will meet those needs.

Strategic Planning Assumptions

By 2025, 95% of new IT investments made by government agencies will be made in as-a-service solutions.

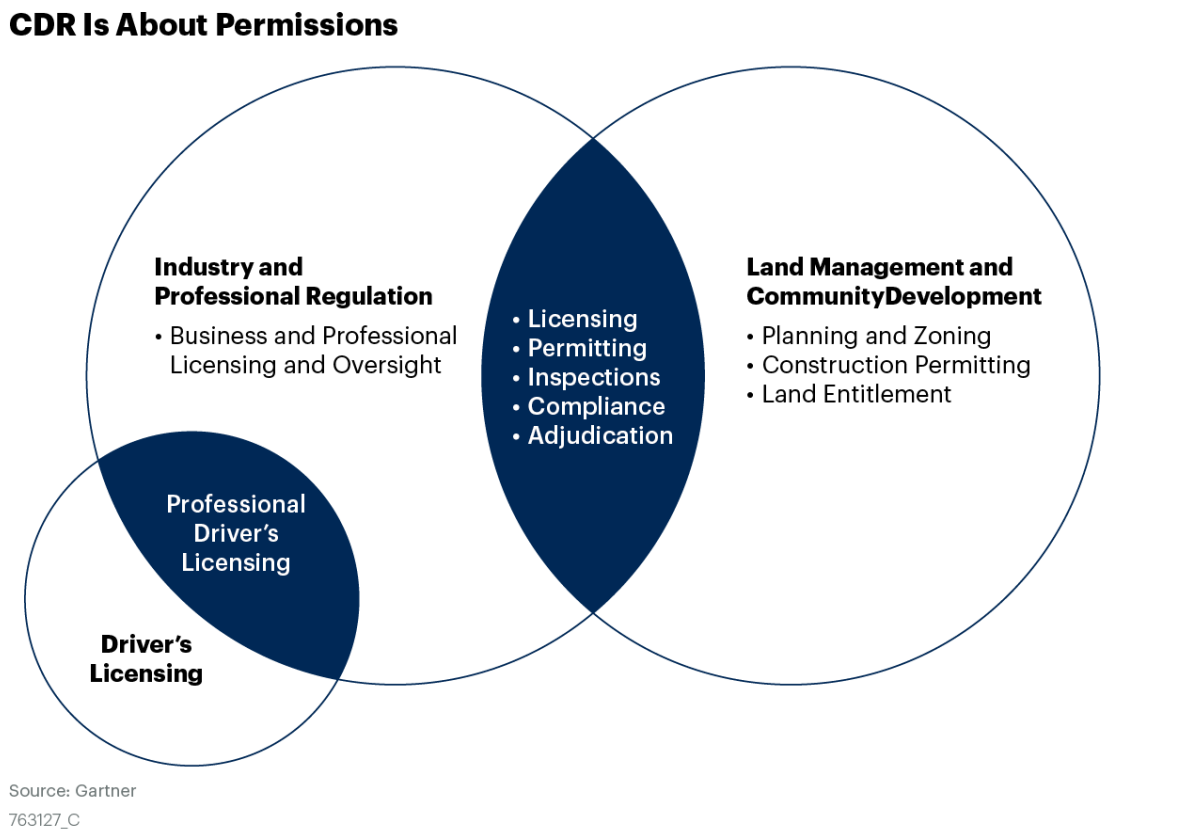
By 2025, over 75% of governments will operate more than half of workloads using hyperscale cloud service providers.

Market Definition

Gartner defines the market for community development and regulation applications as those in support of a vast list of government permissions and oversight activities, such as land management and community development. The solutions also support industry and professional regulatory functions typically found within state and local governments. CDR applications designed for community planning often include planning and zoning, construction permitting, plan review, and land management capabilities. They typically rely heavily on geographical information systems for visualizations of data.

CDR applications for industry and professional regulation support numerous types of licenses, such as professional, business, driver's, hunting and fishing, and animal licensing. They also handle more-complex regulatory processes, such as environmental protection, and oversight of controlled substances and financial, mining, manufacturing and other heavily regulated industries. At their intersection, most applications support licensing, permitting, inspections, compliance and adjudication capabilities. Driver's licensing and vehicle titling and registration for professionals and citizens represent a subset of this market (see Figure 1).

Figure 1: CDR Is About Permissions



Market Description

CDR-type agencies provide oversight and regulation to various industries and processes to ensure the health and safety of the communities that they serve. Gartner has identified 13 primary domains and processes.

Driver's licensing and vehicle registration:

- Driver's licensing — Applications for, assessment and issuance of driver's licenses, including commercial drivers
- Motor vehicle registration — Registration of ownership (titling) of motor vehicles

Industry and professional regulation:

- Business licensing — Application for, and issuance of, a license to operate a business

- Occupational licensing — Certification to practice in a given field
- Animal licensing — Registration of domesticated animals to a named owner
- Recreational licensing and permitting — Application for, and issuance of, a license to hunt, fish or use a public facility, such as a park, campground, preserve, sports field, boating dock or street closure
- Health licensing and permitting — Health permits, typically for restaurants and healthcare delivery organizations or other businesses subject to health and safety inspections and licenses to operate
- Industry regulation — Authority to operate a business subject to heavy regulation, such as alcohol, tobacco and cannabis sales, and gaming, and businesses regulated by environmental health regulatory bodies, such as water and wastewater treatment, mining, and manufacturing

Land management and community development:

- Land management — Processes and reporting that support the granting of land permissions, such as for construction, parcel allocation, zoning or planning
- Land development permitting — Land use and construction permitting processes
- Plan review — Blueprint and architectural plan review and markup processes associated with land development permitting

Compliance:

- Inspection and code enforcement — Module that supports compliance with regulations and codes, including inspections and site visits and related documentation, violation notification, ticketing, and public reports and notices
- Adjudication — Case management module that manages complaints, investigations, adjudications and sanctions

Application capabilities that support these processes can include:

- Identity verification
- Workflow, prioritization and enumeration of assignments

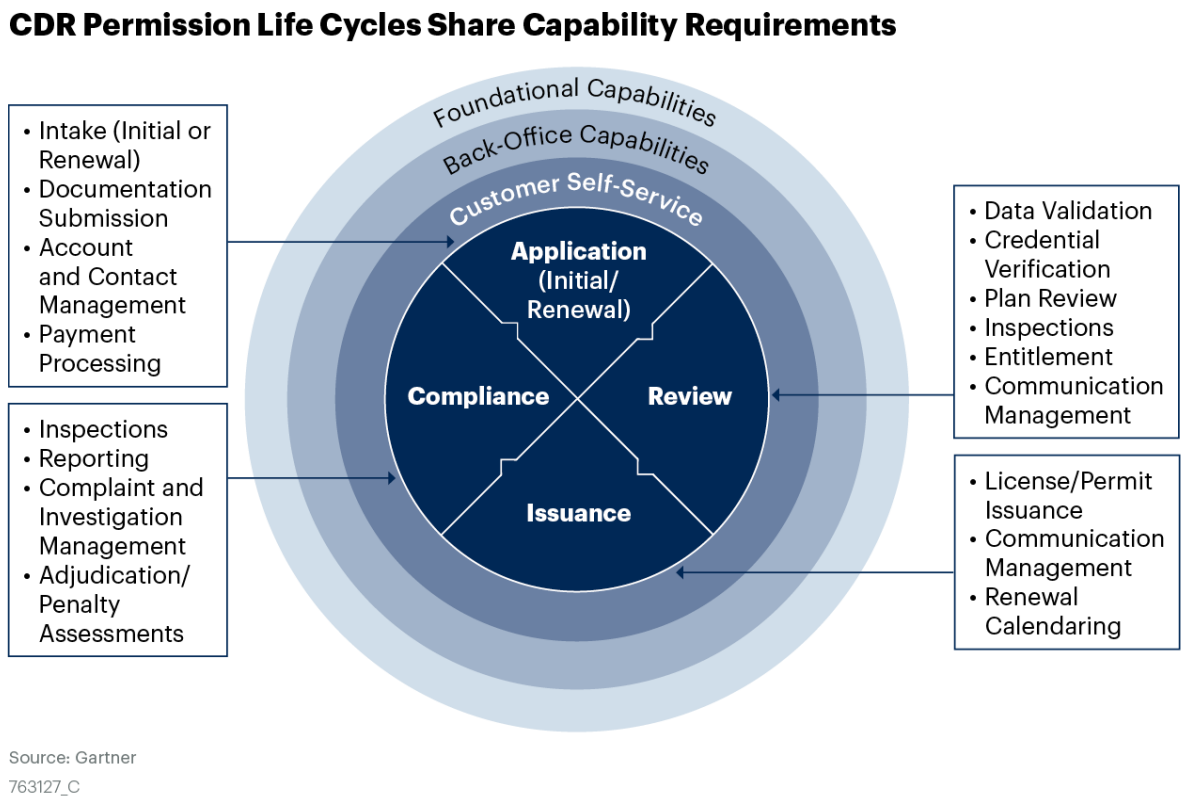
- Correspondence management
- Document storage, retrieval and version control
- Mobile access
- Payment engines
- Business intelligence (BI), analytics and reporting tools

CDR solutions will typically integrate with a number of additional applications and tools, including:

- End-user calendaring
- Email
- Operations management
- Asset management
- Financial management
- Electronic plan review (if not native to the application)
- License and credential validation and verification
- Assessment tools
- Digital signature services
- Agenda management
- Laboratory management information systems
- Human resources
- Timekeeping and payroll
- Document management (if not native to the application)

Each regulatory agency has unique requirements. However, Gartner has observed that the process by which a license or permit is applied for, processed, issued and enforced generally follows a similar workflow (see Figure 2) and requires similar business capabilities of its solutions.

Figure 2: CDR Permission Life Cycles Share Capability Requirements



Market Direction

CDR solutions have historically been built-for-purpose applications that were heavily customized according to specific customer needs. These implementations frequently resulted in complex applications that did not fully meet the expectations of the organizations that commissioned them, and were difficult to maintain, upgrade and evolve with changing business needs.

The predominant model for existing CDR solutions is commercial off-the-shelf (COTS) applications managed on-premises and often heavily customized. Economic recovery and growth is a key political platform for many local and state government politicians, which has placed pressure on departments to reduce turnaround times for licensing and permitting processes to accelerate local development and generate revenue. This further accelerated the adoption of COTS applications due to increased speed of implementation.

SaaS Delivery Models Have Become the Standard

Jurisdictions are increasingly implementing SaaS as part of an overarching cloud strategy. Today, most COTS vendors offer a SaaS delivery model as the default model for new CDR implementations. In fact, many vendors that previously supported on-premises delivery are now requiring clients to migrate to SaaS delivery by no longer supporting on-premises implementations. Gartner expects the adoption of SaaS delivery models for CDR applications to steadily increase over the next five years, as postpandemic economic recovery continues to spur legacy modernization investments.

Based on Gartner review of market solutions, COTS products (delivered on-premises or via a SaaS delivery model) offer approximately 80% of base functionality out of the box. Workflows and data fields can be configured to align with an organization's business processes and regulatory requirements, with no custom coding required. As a result, the time frames for implementation can be significantly reduced, and time to value in achieving desired business outcomes can be accelerated substantially. However, while COTS solutions are highly configurable, it is not advisable to customize them, and in a SaaS delivery model customization is not an option. A COTS implementation inevitably requires business process changes, which can negatively impact system acceptance and satisfaction.

A number of system integrators and software developers have leveraged low-code application platforms (LCAPs) to develop and productize CDR applications. Also, delivered in the cloud as a service, these solutions offer more-modern platforms and user interfaces, while also enabling an organization to build workflows that more closely align with existing business processes. Once implemented, LCAPs offer the flexibility to automate additional workflows outside of the core of CDR. They are commonly selected by organizations with complex regulatory environments where stakeholders believe a COTS solution cannot meet business needs.

However, implementations of CDR on an LCAP platform can run similar risks and complexities of custom development. Organizations may skip the opportunities to evaluate and streamline processes and instead focus on duplicating existing workflows on a more modern platform. This approach eliminates process efficiencies that can be gained by aligning with the out-of-the-box workflows of a COTS or SaaS product.

More recently, some LCAP vendors are directly offering COTS modules on their platforms and delivering them in a SaaS model to accelerate development and delivery of CDR capability on their platforms, while retaining the increased flexibility of an LCAP.

Market Analysis

The state and local government CDR market can be viewed across multiple evaluation lenses — by jurisdiction size and level of government.

CDR Market by Jurisdiction Size

Gartner believes this criterion provides an important level of segmentation for government solutions and may indicate the appropriateness of a vendor's offering to that jurisdiction. Many vendors have developed CDR products that cater to the business needs and complexities of particular sizes of governments and so are actively pursuing market share in specific government tiers. However, many vendors in the market today offer pricing models that are accessible to both small and very large jurisdictions. Given the sheer magnitude of organizations, Gartner has divided the market into five user tiers of similar size, technology complexity and budgetary bandwidth (see Table 1).

Table 1: Jurisdiction Sizing Tiers

Tier	Jurisdiction Description
Tier 1	Organizations with operating budgets of greater than $1 billion
Tier 2	Organizations with operating budgets of $500 million to $1 billion
Tier 3	Organizations with operating budgets of $100 million to $500 million
Tier 4	Organizations with operating budgets of $20 million to $100 million
Tier 5	Organizations with operating budgets of less than $20 million

Source: Gartner (June 2022)

CDR Market by Level of Government

Given the discrete functions of CDR applications, another appropriate way to examine the market is to understand the orientation of specific products to state, regional and municipal organizations. Each government entity has specific business requirements and context that affect the scope of the CDR modernization effort and the criteria for right-fit analysis of solutions in the market.

Some vendors in the market cater their solutions to especially complex industry regulation, such as environmental and industry oversight and regulation. The functions needed include more-linear requirements for licensing applications, evaluations and permitting, as well as require automation for more-recursive oversight, reporting and compliance activities.

Municipal governments and state personal property revenue agencies often desire robust geospatial analysis capabilities for planning, zoning, entitlements and integrations to tax assessment. Motor vehicle departments require more-niche capabilities for driver's licensing, vehicle titling and registration, and dealer licensing, with integrations to external license and plate printing and issuance, for example.

In addition to business functionality, a discussion is necessary of the software approach in the context of the organization's broader enterprise architecture and application strategy.

Deciding Between COTS and LCAP

Neither a COTS and SaaS nor an LCAP is a "silver bullet" solution. Both generally offer a speedier time to value than a custom-developed solution. Each approach has its benefits and pitfalls.

Several factors may indicate a COTS or LCAP approach, including:

- Urgency of modernization
- Scope of the solution
- Maturity of the organization
- Alignment to the information and technology (I&T) strategy
- Existing investment in an LCAP

- I&T skill sets
- Technological and stakeholder resource availability

CIOs and their teams should carefully consider approaches to CDR application modernization across these factors to help determine which approach is most appropriate for the organization.

Approach to Execution

Organizations that are acquiring a CDR application commonly focus on product selection, with a lot of emphasis on functional requirements. However, the implementation approach and the competencies that the vendor brings to the implementation can be pivotal to project success.

The software companies in this market often have mixed reputations for their ability to execute. It is, therefore, critical to scrutinize the vendor's approach to achieving the desired outcomes of the organization. Business process change is almost inevitable and likely desirable for legacy modernization. Despite aspirations for business transformation, this is also the most likely domain for contention about solution approach and often leads to stakeholder dissatisfaction.

Organizations should develop business outcome scenarios and use cases and require demonstrations of how a proposed solution will achieve these outcomes to gain a tangible understanding of the capabilities and limitations of any solution being considered. The most successful implementation teams integrate a comprehensive business process reengineering (BPR) and organizational change management strategy into their implementation plans. Whether a system integrator or software vendor is supporting implementation, it should illustrate BPR and organizational change management competency, with both reflected in its proposal.

Differentiating Capabilities of CDR Solutions

Vendors are increasingly competing in the crowded CDR market with the incorporation of cutting-edge technologies. Embedding technologies like robotic process automation (RPA) and artificial intelligence (AI) can greatly increase the value proposition offered through intuitive functionality, enhanced user experience and increased efficiency.

For example, some vendors differentiate with mobile capabilities that incorporate AI. Oracle has implemented natural language technologies and AI capabilities to help citizens navigate the process of applying for various types of licenses and building permits. A citizen can speak or type in natural language, and the chatbot will initiate the process of applying for a given license or permit, as well as enable the user to navigate to supporting material.

Cityworks, a Trimble company, has leveraged its integrations with Esri for geospatial information to deliver robust visualizations of data and analysis via customized reporting capabilities. This gives data meaningful interpretations that help administrators make better decisions. Accela has integrated a robust BI capability to provide more comprehensive and interactive analysis of data to enhance capacity planning and work assignment.

Companies like OpenGov, Selectron Systems, Camino Technologies and Tyler Technologies are using technology to improve the experience of inspectors. OpenGov's code enforcement module combines site location data, inspector expertise and zone data, and calendar information to schedule inspections in the most efficient routes. Selectron has developed a robust rule engine that comprehensively supports inspectors in the field with next-best-action prompts to ensure no code evaluations are overlooked on-site. Companies such as Tyler and Camino Technologies have developed a virtual meeting capability native to their solutions. This tool can be used for a wide variety of use cases, including virtual inspections, application assistance and plan review.

Future of CDR Applications

As emerging technologies mature, CDR application vendors will increasingly offer hyperautomated processes end to end, suggesting the next best actions for both citizens and employees. Digital twins may offer more-robust scenario planning and data analysis. Immersive technology may allow for impressive virtualization of proposed construction for planning, zoning and plan review. As citizen ID technologies such as decentralized identity, identity wallets and authenticated provenance advance, both ID issuance for driver's licensing and identity validation capabilities across all CDR solutions will mature. Machine-readable legislation applied to the complex business rules in regulatory organizations could transform the visibility and compliance with code.

These capabilities are not predominantly native to CDR applications today. However, some of these capabilities will be offered native to CDR applications in the future, as both COTS and SaaS and LCAP evolve toward intelligent applications. Other capabilities will be integrated with an organization's CDR application in composable business capabilities. CIOs evaluating CDR solutions must make interoperability, extensibility and composability of CDR solutions crucial attributes to CDR product selection criteria today to incorporate these capabilities as they mature tomorrow.

Representative Vendors

The vendors listed in this Market Guide do not imply an exhaustive list. This section is intended to provide more understanding of the market and its offerings.

Market Introduction

Products that support at least three major process streams (modules) in CDR organizations and have demonstrated market presence in their target geographies were considered for inclusion in this Market Guide. The following list is derived from publicly available information (see Note 1 and Note 2).

Table 2: Representative Vendors in Community Development, Regulation and Licensing Applications

(Enlarged table in Appendix)

Vendor ↓	Solution ↓
Accela	Civic Platform
Appian	Low Code Platform
Avolve Software	OAS, ProjectDox, DigEplan, and PlansAnywhere
Autocene	Autocene Enterprise Automation Platform
Brightly Software (Dude Solutions)	SmartGov
Camino Technologies	Camino Platform
CentralSquare Technologies	Public Administration
CGI	Advantage Regulatory Management
citizenserve	citizenserve portal and solutions
Civica	Cx Regulatory Services and Licensing Management
CivicPlus	CivicGov
Clariti (formerly BasicGov)	Community Development
Computronix	POSSE
datb	Local Government Platform (LGP)/kinodb
Deloitte	GovConnect
FAST Enterprises	FastDS-VS
GovPilot	GovPilot
Granicus (Calytera)	Amanda Editions
Harris Computer	CityView
Hyland	OnBase and Plan Review
Idox	Planning, Building Control, Land Charges and Gazetteer Management
Infor	CloudSuite Public Sector
KPMG	Regulate 365
Kyra Solutions	CLIPA and ATMOS
Microsoft	License and permit solution
Objective	Objective RegWorks
OpenCounter	Special Events Portal and ZoningCheck
OpenGov	Citizen Services
Oracle	Permitting and Licensing
PayIt	PayItGov
Quisitive Mazik Global	MazikCity
Salesforce	Salesforce Licensing, Permitting and Inspections Solutions for Public Sector
SAP	SAP for Public Sector
Selectron	Atlas and Relay
System Automation	MyLicense
TechOne	OneGovernment and OneCouncil
Thentia Cloud	Thentia Cloud for Government
Trimble (Cityworks)	Cityworks
Tyler Technologies	Enterprise Permitting and Compliance and State Regulatory
Unqork	Unqork for Government

Source: Gartner (June 2022)

Market Recommendations

When evaluating CDR solutions, focus on differentiating requirements. That is because a large proportion of “commodity requirements” are common across jurisdictions and can be met by many CDR products to provide basic functionality. Data analytics, including geospatial analytics; mobile capabilities; and the use of RPA, AI and chatbots are particularly varied in solution maturity. Create a shortlist of solutions that provide innovative and mature native functionalities, or can leverage functionalities available in other platforms to deliver richer, more integrated capabilities that will improve and streamline internal and external services.

Evaluate the alignment of solution delivery models with your organization's application strategy and overarching IT principles. Consider existing platforms, planned migrations or modernizations, and their impact on short-term and long-term CDR solution architecture requirements. Moreover, consider the solution's interoperability with existing enterprise solutions, including financial management, document management and CRM solutions, as well as point solutions, such as plan review and markup applications, inspections, and billing or payment engines. Is the solution extensible to other similar workflows across the jurisdiction and to ecosystem partners? Can you leverage platform BI and analytics, AI, or machine learning (ML) capabilities through integration with the application, or are these capabilities native to the application?

Clearly communicate business and functional priorities to the market through use cases and related methods to describe process requirements. In particular, focus on business outcomes, not existing processes, to ensure a selected solution does not simply "check the boxes" on detailed product capabilities, but provides quantifiable value realized in efficiencies and effectiveness metrics.

CIOs procuring CDR applications:

- Identify the end-to-end business process scope that could be optimized (for example, through automation, integration or extension across agencies), with a focus on outcomes and use cases.
- Create a shortlist of CDR vendors, as well as system integrators, that address needed capabilities.
- Consult with similarly sized and functionally analogous organizations for their perspectives. Request references from vendors under consideration to gain a concrete understanding of a solution's capabilities and the level of effort required to implement them.
- Develop use cases and define desired outcomes and then require demonstrations of prospective vendor's approaches to fulfilling them.
- Require proposers to articulate how they will approach and test required integrations during the implementation and subsequent upgrades.
- Evaluate the alignment of solutions with your organization's application strategy. Is the solution secure, interoperable, scalable, modular, extensible and configurable?

- Require integration of BPR and organizational change management strategies into proposed implementation plans. This helps to evaluate a prospective partner's ability to facilitate a successful implementation that meets organizational objectives.

Note 1
Representative Vendor Selection

Vendors were selected among scores of viable solutions in this market, based on the geographical diversity, application approach and support of at least three process automations.

Note 2
Gartner's Initial Market Coverage

This Market Guide provides Gartner's initial coverage of the market and focuses on the market's definition, rationale and dynamics.

Document Revision History

Market Guide for U.S. Community Development and Regulation Applications - 25 June 2020

Market Guide for U.S. Community Development and Regulation Applications - 2 November 2018

Market Guide for U.S. Community Development and Regulation Applications - 25 July 2017

Recommended by the Authors

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Drive Adoption of a Digital Government Technology Platform for Government Transformation

Magic Quadrant for Enterprise Low-Code Application Platforms

Select Applications That Further Your Digital Government Technology Platform Goals

Optimize the CDR Application Selection Process to Ensure Positive Project Outcomes

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Table 1: Jurisdiction Sizing Tiers

Tier	Jurisdiction Description
Tier 1	Organizations with operating budgets of greater than $1 billion
Tier 2	Organizations with operating budgets of $500 million to $1 billion
Tier 3	Organizations with operating budgets of $100 million to $500 million
Tier 4	Organizations with operating budgets of $20 million to $100 million
Tier 5	Organizations with operating budgets of less than $20 million

Source: Gartner (June 2022)

Table 2: Representative Vendors in Community Development, Regulation and Licensing Applications

Vendor	*Solution*
Accela	Civic Platform
Appian	Low Code Platform
Avolve Software	OAS, ProjectDox, DigEplan, and PlansAnywhere
Autocene	Autocene Enterprise Automation Platform
Brightly Software (Dude Solutions)	SmartGov
Camino Technologies	Camino Platform
CentralSquare Technologies	Public Administration
CGI	Advantage Regulatory Management
citizenserve	citizenserve portal and solutions
Civica	Cx Regulatory Services and Licensing Management
CivicPlus	CivicGov
Clariti (formerly BasicGov)	Community Development
Computronix	POSSE
datb	Local Government Platform (LGP)/kinodb
Deloitte	GovConnect

Vendor	*Solution*
FAST Enterprises	FastDS-VS
GovPilot	GovPilot
Granicus (Calytera)	Amanda Editions
Harris Computer	CityView
Hyland	OnBase and Plan Review
Idox	Planning, Building Control, Land Charges and Gazetteer Management
Infor	CloudSuite Public Sector
KPMG	Regulate 365
Kyra Solutions	CLIPA and ATMOS
Microsoft	License and permit solution
Objective	Objective RegWorks
OpenCounter	Special Events Portal and ZoningCheck
OpenGov	Citizen Services
Oracle	Permitting and Licensing
PayIt	PayItGov
Quisitive Mazik Global	MazikCity
Salesforce	Salesforce Licensing, Permitting and Inspections Solutions for Public Sector

Vendor	*Solution*
SAP	SAP for Public Sector
Selectron	Atlas and Relay
System Automation	MyLicense
TechOne	OneGovernment and OneCouncil
Thentia Cloud	Thentia Cloud for Government
Trimble (Cityworks)	Cityworks
Tyler Technologies	Enterprise Permitting and Compliance and State Regulatory
Unqork	Unqork for Government

Source: Gartner (June 2022)

SCHEDULE VI: DETAIL OF DEBT SERVICE

THIS FORM IS NOT APPLICABLE

Department: Florida Gaming Control Commission **Budget Period 2024 - 2025**

Budget Entity: 415000000

(1) SECTION I		(2) ACTUAL FY 20___- ___	(3) ESTIMATED FY 20___- ___	(4) REQUEST FY 20___- ___
Interest on Debt	(A)			
Principal	(B)			
Repayment of Loans	(C)			
Fiscal Agent or Other Fees	(D)			
Other Debt Service	(E)			
Total Debt Service	**(F)**			

Explanation:

SECTION II

ISSUE:

(1) INTEREST RATE	(2) MATURITY DATE	(3) ISSUE AMOUNT	(4) JUNE 30, 20___	(5) JUNE 30, 20___

(6)		(7) ACTUAL FY 20___- ___	(8) ESTIMATED FY 20___- ___	(9) REQUEST FY 20___- ___
Interest on Debt	(G)			
Principal	(H)			
Fiscal Agent or Other Fees	(I)			
Other	(J)			
Total Debt Service	**(K)**			

ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20___	JUNE 30, 20___

		ACTUAL FY 20___- ___	ESTIMATED FY 20___- ___	REQUEST FY 20___- ___
Interest on Debt	(G)			
Principal	(H)			
Fiscal Agent or Other Fees	(I)			
Other	(J)			
Total Debt Service	**(K)**			

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS **Budget Period: 2024-2025**

Department: Florida Gaming Control Commissio **Chief Internal Auditor:** Brian Hamilton

Budget Entity: NA **Phone Number:** 850-794-8083

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			Due to the establishment of the Florida Gaming Control Commission(FGCC) beginning July 1, 2022, no audits were conducted related to perfomance measures or the LBR. The Office of Inspector General for FGCC will be conducting audits related to performance measures in FY 2023-24.		

Fiscal Year 2024-25 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Gaming Control Commission
Agency Budget Officer/OPB Analyst Name: Christine Hutton / Jared Heady

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	41501010	41501030	41501040	41501050	
1. GENERAL						
1.1	Are Columns A01, A04, A05, A91, A92, A93, A36, A10, IA1, IA4, IA5, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? **(CSDI or Web LBR Column Security)**	Yes	Yes	Yes	Yes	
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Yes	Yes	Yes	Yes	
AUDITS:						
1.3	Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Yes	Yes	Yes	Yes	
1.4	Have Column A03 trust fund files been copied to Column A12? Run Schedule I **(SC1R, SC1 or SC1R, SC1D adding column A12**) to verify.	Yes	Yes	Yes	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? **(CSDR, CSA)**	Yes	Yes	Yes	Yes	
TIP	The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.					
2. EXHIBIT A (EADR, EXA)						
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 57 of the LBR Instructions?	Yes	Yes	Yes	Yes	
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Yes	Yes	Yes	Yes	
2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?	Yes	Yes	Yes	Yes	
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	NA	NA	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? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Yes	Yes	Yes	Yes	
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Yes	Yes	Yes	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 60 of the LBR Instructions?	Yes	Yes	Yes	Yes	
4.2	Is the program component code and title used correct?	Yes	Yes	Yes	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	Yes	Yes	Yes	
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Yes	Yes	Yes	Yes	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences [with a $5,000 allowance] need to be corrected in Column A01.)**	Yes	Yes	Yes	Yes	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences [with a $5,000 allowance at the department level] need to be corrected in Column A01.)**	Yes	Yes	Yes	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 2022-23 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?	Yes	Yes	Yes	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.					
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 28 of the LBR Instructions.)	Yes	Yes	Yes	Yes	
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 63 through 70 of the LBR Instructions.)	Yes	Yes	Yes	Yes	
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 67 through 70 of the LBR Instructions?	Yes	NA	NA	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?	Yes	NA	NA	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.)	Yes	Yes	Yes	Yes	
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	Yes	Yes	Yes	
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 95 of the LBR Instructions.)	NA	NA	NA	NA	
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	NA	NA	NA	NA	
7.9	Does the issue narrative reference the specific county(ies) where applicable?	NA	NA	NA	NA	

7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-003?	NA	NA	NA	NA	
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. **(PLRR, PLMO)**	NA	NA	NA	NA	
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Yes	Yes	NA	NA	
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	NA	NA	NA	NA	
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes	Yes	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.	NA	NA	NA	NA	
7.16	Do the issue codes relating to special *salary and benefits* 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 27 and 89 of the LBR Instructions.)	NA	Yes	NA	NA	
7.17	Do the issues relating to *Information Technology (IT)* 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)?	Yes	NA	NA	NA	
7.18	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	NA	NA	NA	NA	
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Yes	Yes	Yes	Yes	
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? **(GENR, LBR1)**	NA	NA	NA	NA	
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? **(GENR, LBR2)**	Yes	Yes	Yes	Yes	
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? **(GENR, LBR3)**	NA	NA	NA	NA	
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? **(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))**	NA	NA	NA	NA	
7.24	Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. **(NAAR, BSNR)**	Yes	Yes	Yes	Yes	

7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2023-24? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2023-24. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03.	NA	NA	NA	NA	
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 63 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2023-24 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?	NA	NA	NA	NA	
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes	Yes	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	Yes	Yes	Yes	
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Yes	Yes	Yes	Yes	
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	Yes	Yes	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	Yes	Yes	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?	NA	NA	NA	NA	

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?	NA	NA	NA	NA	
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	Yes	Yes	Yes	
8.10	Are the statutory authority references correct?	Yes	Yes	Yes	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.)	Yes	Yes	Yes	Yes	
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Yes	Yes	Yes	Yes	
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes	Yes	Yes	
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	NA	NA	NA	NA	
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	NA	NA	NA	NA	
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes	Yes	Yes	
8.17	If applicable, are nonrecurring revenues entered into Column A04?	NA	NA	NA	NA	
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	Yes	Yes	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	Yes	Yes	Yes	
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Yes	Yes	Yes	Yes	
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes	Yes	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	Yes	Yes	Yes	
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes	Yes	Yes	
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Yes	Yes	Yes	Yes	
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	NA	NA	NA	NA	

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	Yes	Yes	Yes	
8.27	Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?	NA	NA	NA	NA	
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	Yes	Yes	Yes	
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Yes	Yes	Yes	Yes	
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes	Yes	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? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Yes	Yes	Yes	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. **(SC1R, DEPT)**	Yes	Yes	Yes	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	Yes	Yes	Yes	
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	NA	NA	NA	NA	
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 121 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? **(BRAR, BRAA - Report should print "No Records Selected For This Request")** Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See *Base Rate Audit* on page 156 of the LBR Instructions.)	Yes	NA	Yes	Yes	
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 91 of the LBR Instructions.)	Yes	Yes	Yes	Yes	
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See pages 94 and 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts	Yes	Yes	Yes	Yes	

11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Yes	NA	NA	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	Yes	Yes	Yes	
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	**NOT REQUIRED FOR THIS YEAR**	NA	NA	NA	NA	
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.					
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 100 through 103 of the LBR Instructions regarding a 10% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	NA	NA	Yes	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 105-109 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. **The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.** (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Yes	Yes	Yes	Yes	
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:						
16.3	Does the FY 2022-23 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1)**	Yes	Yes	Yes	Yes	
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Yes	Yes	Yes	Yes	
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? **(Audit #2 should print "No Operating Categories Found")**	NA	NA	NA	NA	

16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which should appear in Section II? (Note: The activities listed in **Audit #3** do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Yes	Yes	Yes	Yes	
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Yes	Yes	Yes	Yes	
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 53 through 109 of the LBR Instructions), and are they accurate and complete?	Yes	Yes	Yes	Yes	
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Yes	Yes	Yes	Yes	
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes	Yes	Yes	
17.4	Does the LBR include a separate Schedule IV-B for each IT project over $1 million (see page 129 and 130 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: **IT@LASPBS.STATE.FL.US?**	Yes	NA	NA	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) ?	NA	NA	NA	NA	
AUDITS - GENERAL INFORMATION						
TIP	Review *Section 6: Audits* of the LBR Instructions (pages 155 through 157) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	NA	NA	NA	NA	
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	NA	NA	NA	NA	
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	NA	NA	NA	NA	
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	NA	NA	NA	NA	
18.5	Are the appropriate counties identified in the narrative?	NA	NA	NA	NA	
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?	NA	NA	NA	NA	
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	Yes	Yes	Yes	