
Legislative Budget Request

October 15, 2024

Brandy Gunder, Acting Director of Budget
Office of Policy and Budget
Executive Office of the Governor
1702 Capitol
Tallahassee, Florida 32399-0001

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Florida Gaming Control Commission is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2025-26 Fiscal Year. This submission has been approved by Louis Trombetta, Executive Director.

If you have any questions concerning this submission, please contact Lisa Mustain, Director of Administration, at 850-794-8027 or Christine Hutton, Budget Officer, at 850-794-8023.

Sincerely,



Louis Trombetta
Executive Director

**The Florida Gaming Control Commission
Temporary Special Duty – General Pay Additives Implementation Plan
Fiscal Year 2025-2026**

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 the 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 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 PBA collective bargaining agreement, 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 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.

| <u>Class Code</u> | <u>Class Title</u> | <u>Number of Positions</u> |
|-------------------|--------------------|----------------------------|
| See Class Listing | See Class Listing | 121 |

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 2023-2024 fiscal year.

Estimated annual cost:

This additive has the potential to impact any of our current 90 Career Service position incumbents statewide. The additive will not exceed 15% of an employee’s base rate of pay.

Collective Bargaining Units Impacted:

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

Department Level Exhibits and Schedules

OUR MISSION

Preserve and protect the Integrity of gaming activities through fair regulation, licensing, effective criminal investigation, and enforcement.

**Fiscal Year
2025-2026**

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: | Elina Valentine | Phone Number: | 850-796-8076 |
| 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: | <p>Debary Real Estate Holdings, LLC, Plaintiff, is a permit holder 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 permit holders 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.</p> | | |
| Amount of the Claim: | The value of the 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: | <p>On January 29, 2024, the United States District Court for the Northern District of Florida, Tallahassee Division, granted the Commission’s Motion to Dismiss, without prejudice.</p> <p>On February 6, 2024, Plaintiff filed a voluntary motion to dismiss the</p> | | |

| | | |
|---|--|---|
| | <p>case without prejudice.</p> <p>The underlying administrative proceeding is before the Commission, in abeyance pending the outcome of related litigation in state court.</p> | |
| <p>Who is representing (of record) the state in this lawsuit? Check all that apply.</p> | X | Agency Counsel |
| | X | Office of the Attorney General or Division of Risk Management |
| | | Outside Contract Counsel |
| <p>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).</p> | | |

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: | Elina Valentine | Phone Number: | 850-796-8076 |
| 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: | <p>Jefferson County Kennel Club, Inc., Plaintiff, is a permit holder 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.</p> <p>Specifically, Plaintiff is challenging the constitutionality of statutes that apply to certain permit holders 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.</p> <p>In addition, Plaintiff alleges that the revocation of its pari-mutuel wagering permit constitutes a taking without just compensation, and that the change in the law resulted in an impairment of the Plaintiff's contract to sell the permit.</p> | | |
| Amount of the Claim: | The value of the 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. | | |

| | | |
|---|---|--|
| <p>Status of the Case:</p> | <p>On August 22, 2024, the Circuit Court of the Second Judicial Circuit granted the Commission’s Motion for Summary Final Judgment.</p> <p>The underlying administrative proceeding is pending before the Commission.</p> | |
| <p>Who is representing (of record) the state in this lawsuit? Check all that apply.</p> | <p>X</p> | <p>Agency Counsel</p> |
| | <p>X</p> | <p>Office of the Attorney General or Division of Risk Management</p> |
| | | <p>Outside Contract Counsel</p> |
| <p>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).</p> | | |



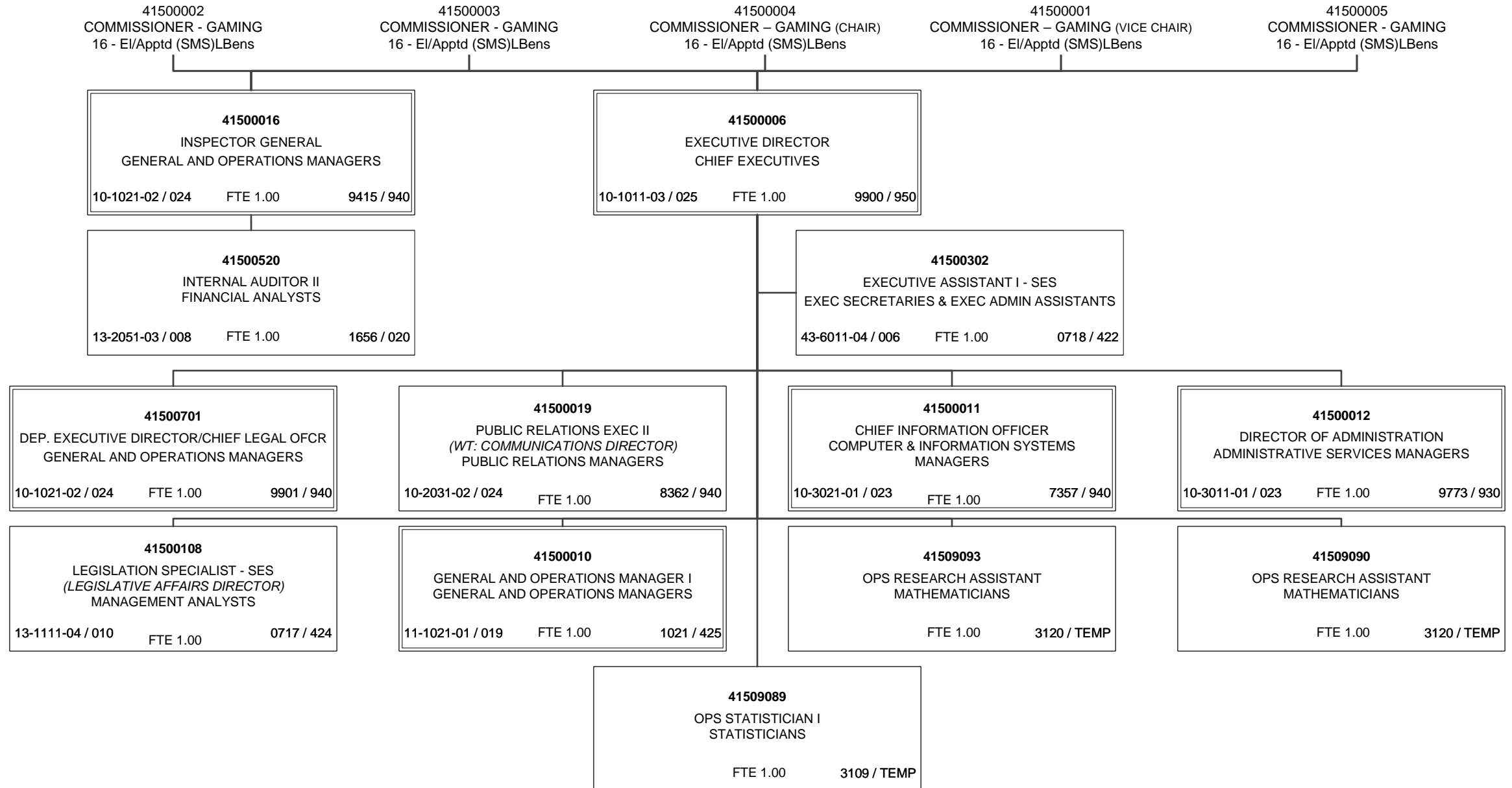
Florida Gaming Control Commission

Schedule X Organization Structure

**Fiscal Year
2025-2026**

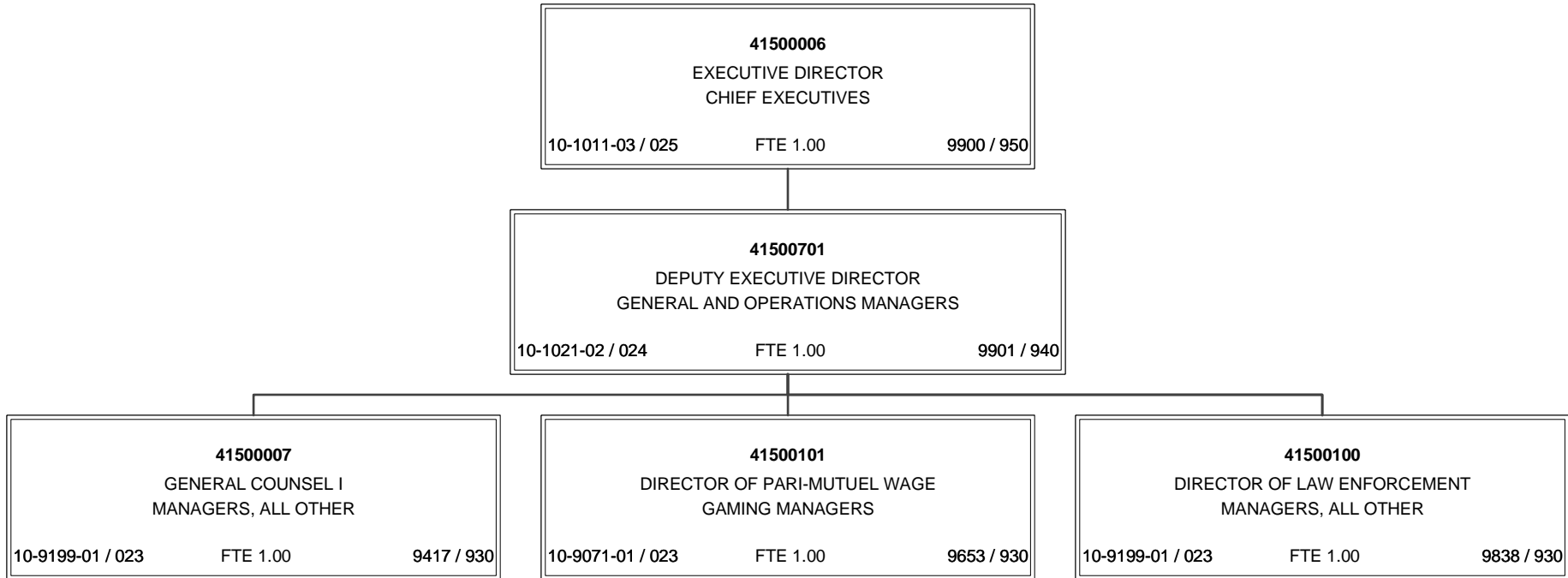
Staffing Organizational Chart

Florida Gaming Control Commission Executive Staff



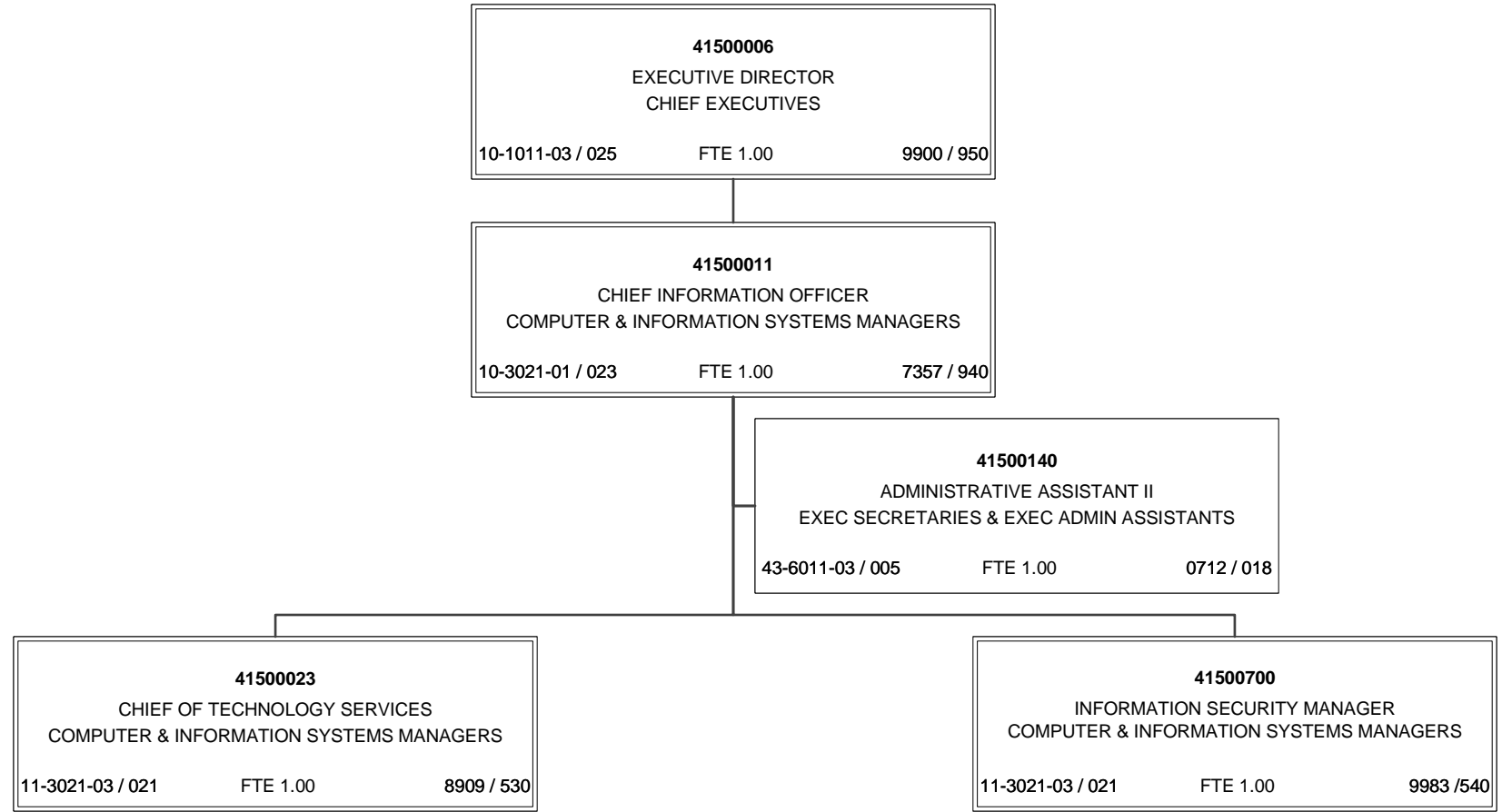
Staffing Organizational Chart

Florida Gaming Control Commission Executive Staff



Staffing Organizational Chart

Florida Gaming Control Commission Office of Information Technology



Staffing Organizational Chart

Florida Gaming Control Commission Executive Staff (Division of Administration)

41500006
EXECUTIVE DIRECTOR
CHIEF EXECUTIVES
10-1011-03 / 025 FTE 1.00 9900 / 950

41500012
DIRECTOR OF ADMINISTRATION
ADMINISTRATIVE SERVICES MANAGERS
10-3011-01 / 023 FTE 1.00 9773 / 930

41500059
ADMINISTRATIVE ASSISTANT III - SES
EXEC SECRETARIES & EXEC ADMIN ASSISTANTS
43-6011-04 / 006 FTE 1.00 0714 / 421

41500021
BUDGET OFFICER
FINANCIAL MANAGERS
11-3031-04 / 022 FTE 1.00 9931 / 540

41500040
CHIEF OF FINANCIAL SUPPORT SERVICES
FINANCIAL MANAGERS
11-3031-03 / 021 FTE 1.00 8717 / 530

41500020
CHIEF OF HUMAN RESOURCES
HUMAN RESOURCE MANAGERS
11-3121-03 / 021 FTE 1.00 9429 / 530

41500028
GENERAL SERVICES PURCHASING MGR-SES
PURCHASING MANAGERS
11-3061-02 / 020 FTE 1.00 9147 / 426

41500031
GENERAL AND OPERATIONS MANAGER I
GENERAL AND OPERATIONS MANAGERS
11-1021-01 / 019 FTE 1.00 1021 / 425

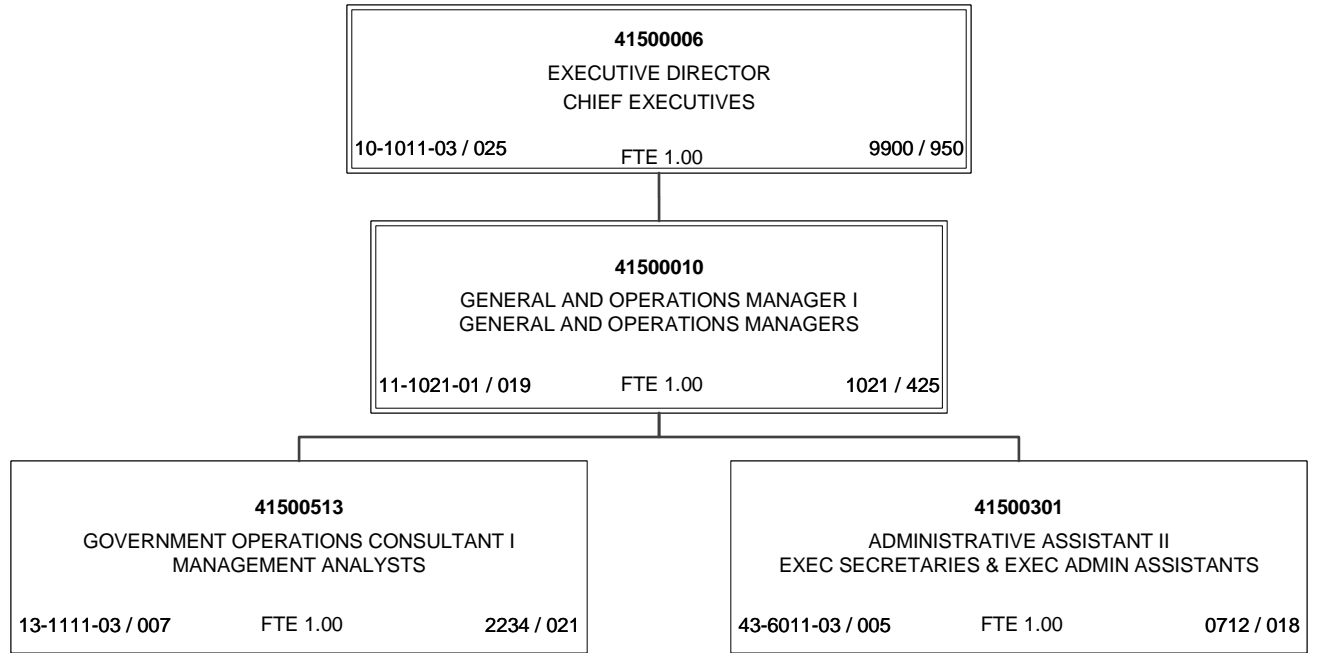
41500106
OPERATIONS REVIEW SPECIALIST
(WT: STAFF DEVELOPMENT ADMINISTRATOR)
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 1.00 2239 / 024

41500032
GOVERNMENT OPERATIONS CONSULTANT II
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 1.00 2236 / 023

41500510
GOVERNMENT OPERATIONS CONSULTANT I
MANAGEMENT ANALYSTS
13-1111-03 / 007 FTE 1.00 2234 / 021

Staffing Organizational Chart

Florida Gaming Control Commission Executive Staff (Operations)



Staffing Organizational Chart

Florida Gaming Control Commission Division of Administration

41500006
EXECUTIVE DIRECTOR
CHIEF EXECUTIVES
10-1011-03 / 025 FTE 1.00 9900 / 950

41500012
DIRECTOR OF ADMINISTRATION
ADMINISTRATIVE SERVICES MANAGERS
10-3011-01 / 023 FTE 1.00 9773 / 930

41500059
ADMINISTRATIVE ASSISTANT III - SES
EXEC SECRETARIES & EXEC ADMIN ASSISTANTS
43-6011-04 / 006 FTE 1.00 0714 / 421

41500021
BUDGET OFFICER
FINANCIAL MANAGERS
11-3031-04 / 022 FTE 1.00 9931 / 540

41500040
CHIEF OF FINANCIAL SUPPORT SERVICES
FINANCIAL MANAGERS
11-3031-03 / 021 FTE 1.00 8717 / 530

41500020
CHIEF OF HUMAN RESOURCES
HUMAN RESOURCE MANAGERS
11-3121-03 / 021 FTE 1.00 9429 / 530

41500028
GENERAL SERVICES PURCHASING MGR-SES
PURCHASING MANAGERS
11-3061-02 / 020 FTE 1.00 9147 / 426

41500031
GENERAL AND OPERATIONS MANAGER I
GENERAL AND OPERATIONS MANAGERS
11-1021-01 / 019 FTE 1.00 1021 / 425

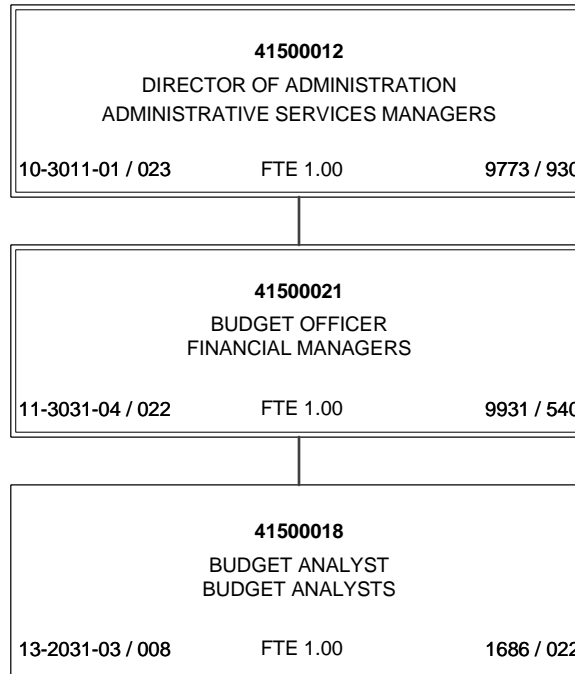
41500106
OPERATIONS REVIEW SPECIALIST
(WT: STAFF DEVELOPMENT ADMINISTRATOR)
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 1.00 2239 / 024

41500032
GOVERNMENT OPERATIONS CONSULTANT II
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 1.00 2236 / 023

41500510
GOVERNMENT OPERATIONS CONSULTANT I
MANAGEMENT ANALYSTS
13-1111-03 / 007 FTE 1.00 2234 / 021

Staffing Organizational Chart

Florida Gaming Control Commission Division of Administration Section (Budget)



Staffing Organizational Chart

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

41500012
DIRECTOR OF ADMINISTRATION
ADMINISTRATIVE SERVICES MANAGERS
10-3011-01 / 023 FTE 1.00 9773 / 930

41500040
CHIEF OF FINANCIAL SUPPORT SERVICES
FINANCIAL MANAGERS
11-3031-03 / 021 FTE 1.00 8717 / 530

41500111
ACCOUNTING SERVICES ANALYST D
ACCOUNTANTS AND AUDITORS
13-2011-04 / 009 FTE 1.00 4950 / 025

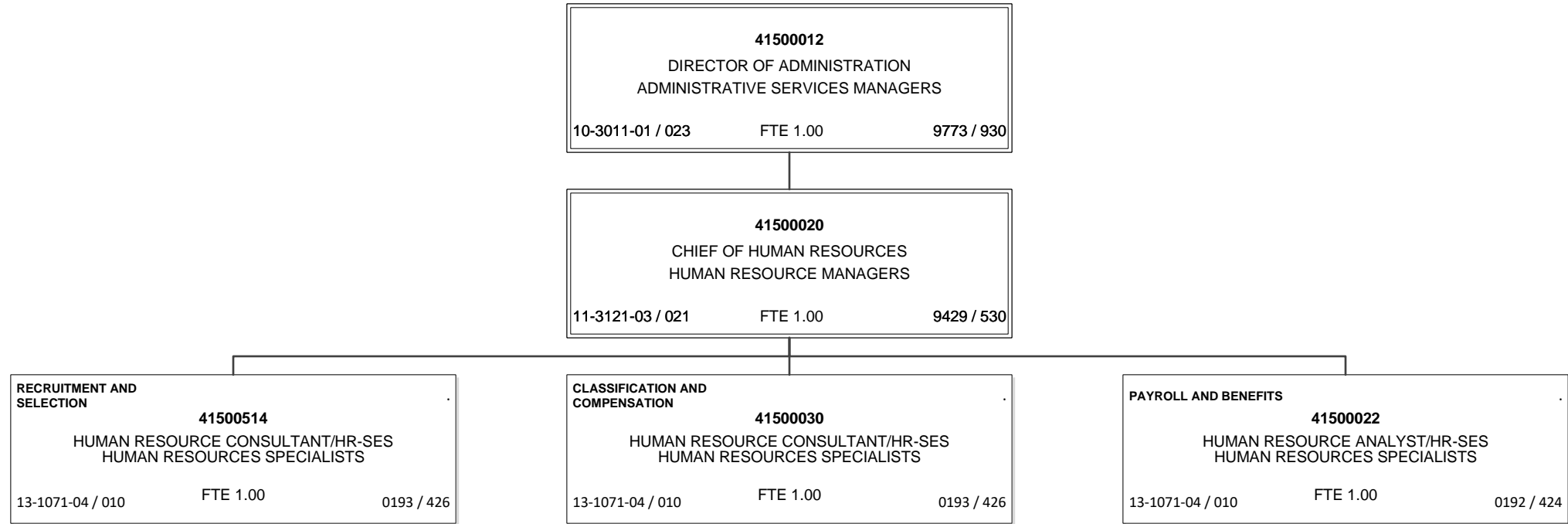
41500043
PROFESSIONAL ACCOUNTANT SPECIALIST
ACCOUNTANTS AND AUDITORS
13-2011-03 / 008 FTE 1.00 1469 / 024

41500042
ACCOUNTANT IV
ACCOUNTANTS AND AUDITORS
13-2011-03 / 008 FTE 1.00 1437 / 020

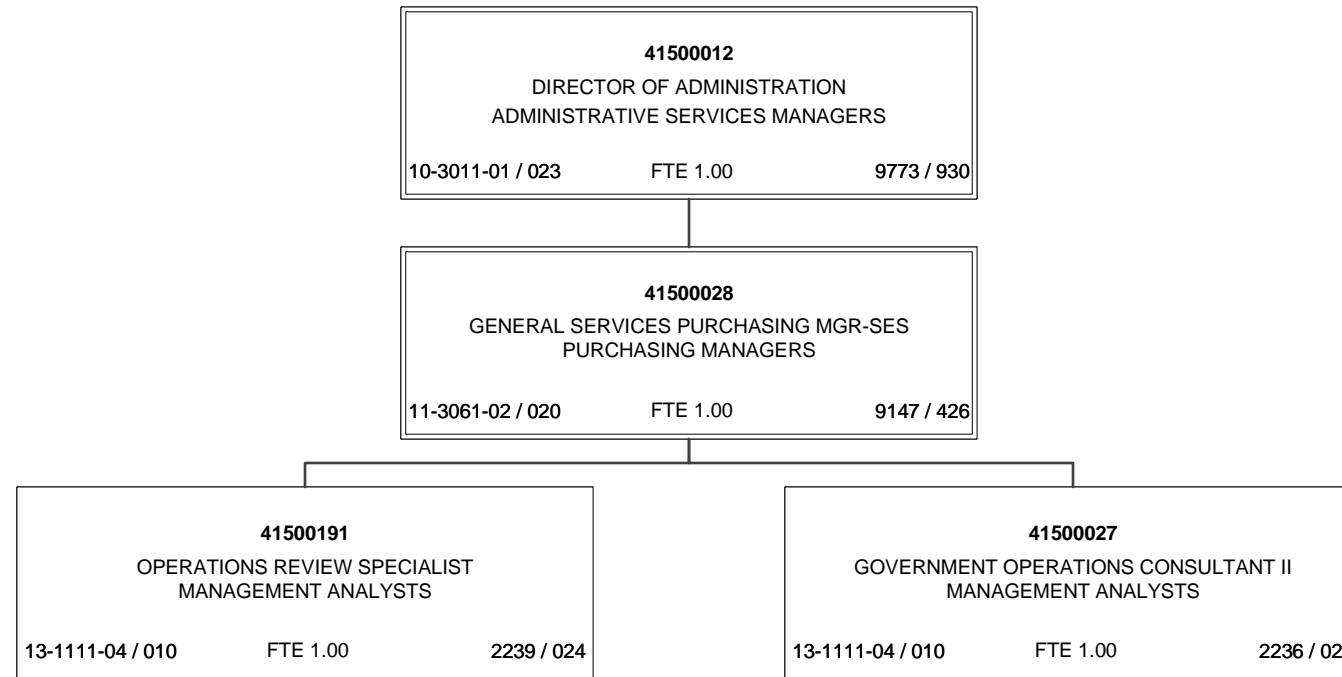
41500041
ACCOUNTANT IV
ACCOUNTANTS AND AUDITORS
13-2011-03 / 008 FTE 1.00 1437 / 020

41500044
ACCOUNTANT III
ACCOUNTANTS AND AUDITORS
13-2011-02 / 006 FTE 1.00 1436 / 018

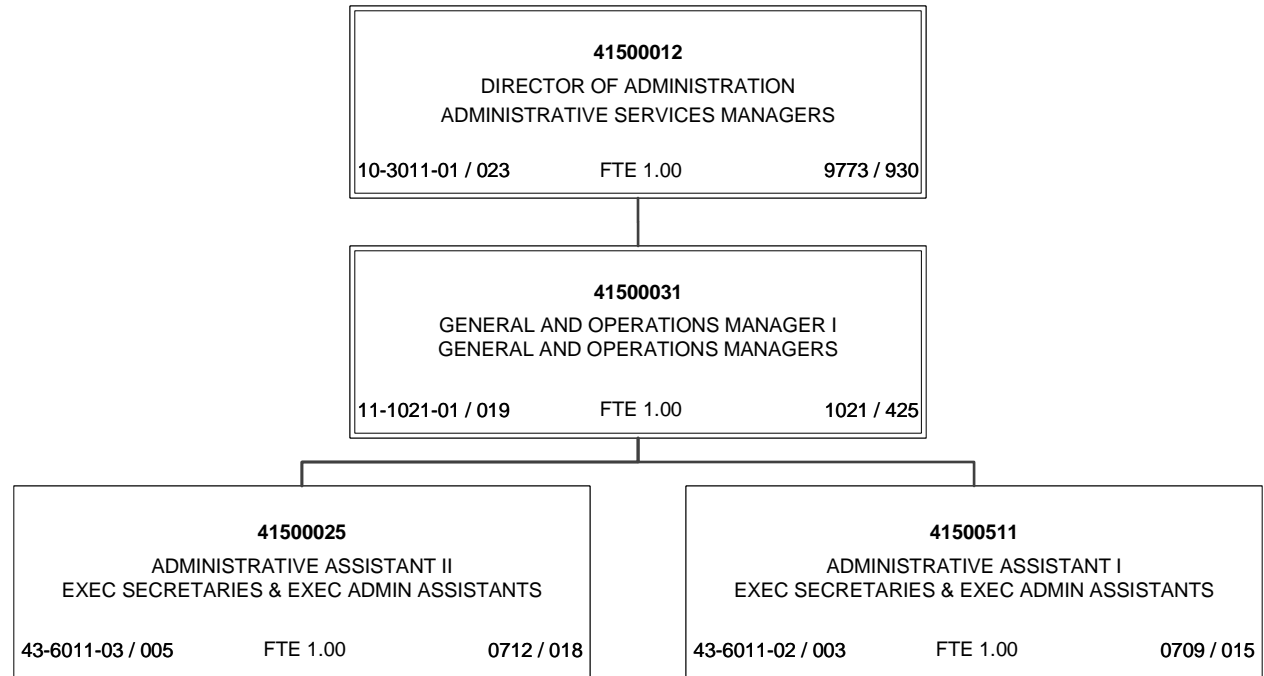
Staffing Organizational Chart
Florida Gaming Control Commission
Division of Administration
(Bureau of Human Resource Management)



Staffing Organizational Chart
Florida Gaming Control Commission
Division of Administration
Section (Purchasing and Contracts)

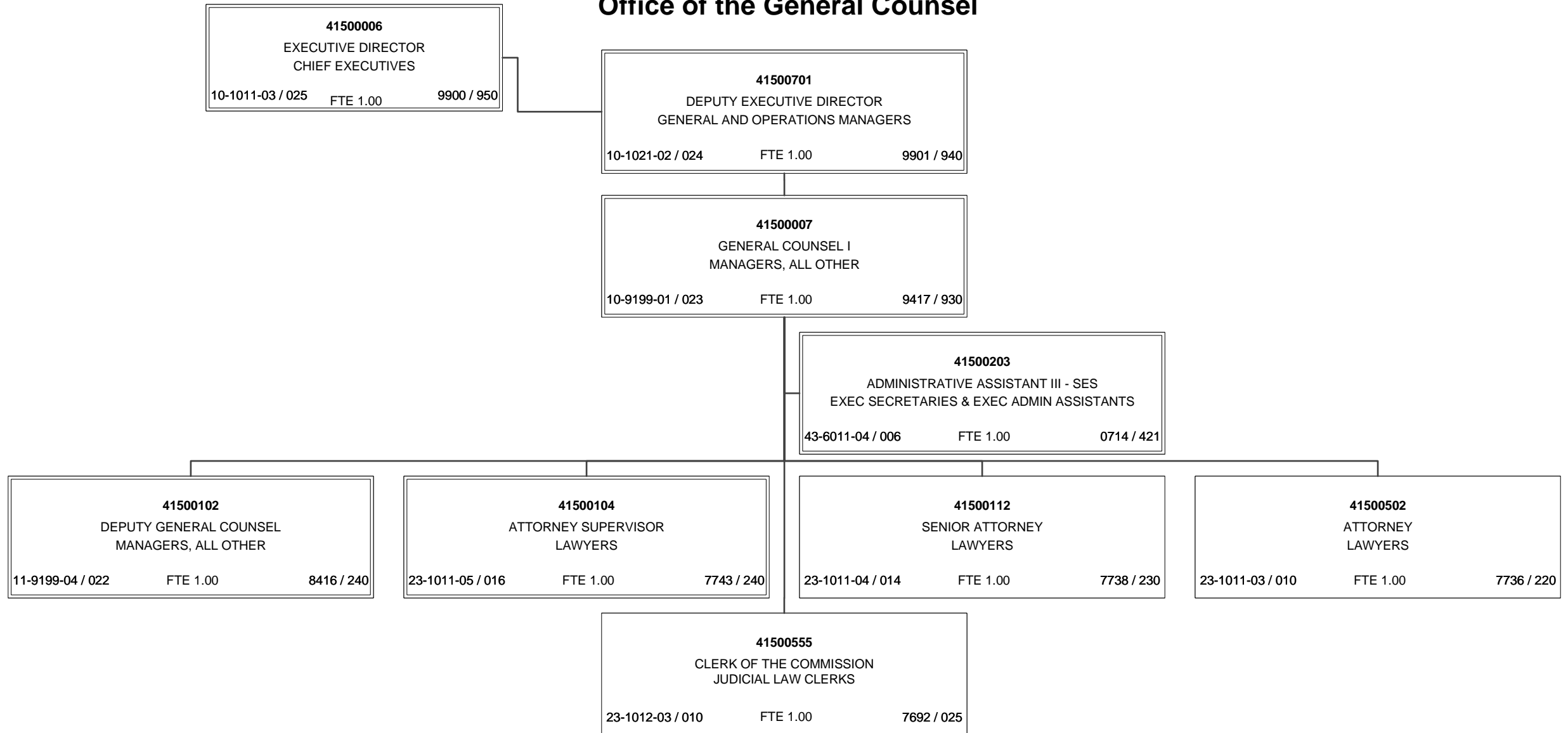


Staffing Organizational Chart
Florida Gaming Control Commission
Division of Administration
Section (Operations)



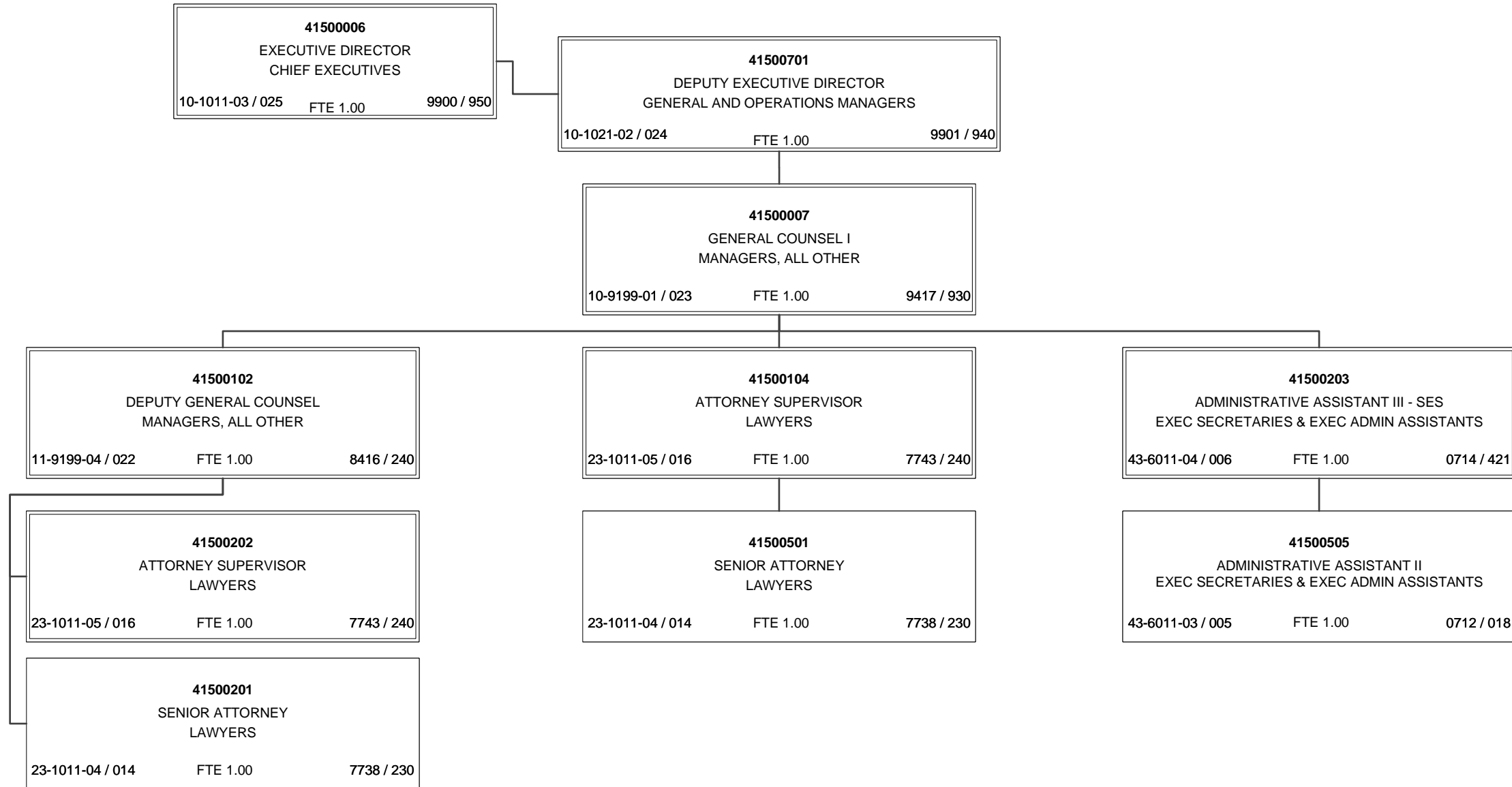
Staffing Organizational Chart

Florida Gaming Control Commission Office of the General Counsel



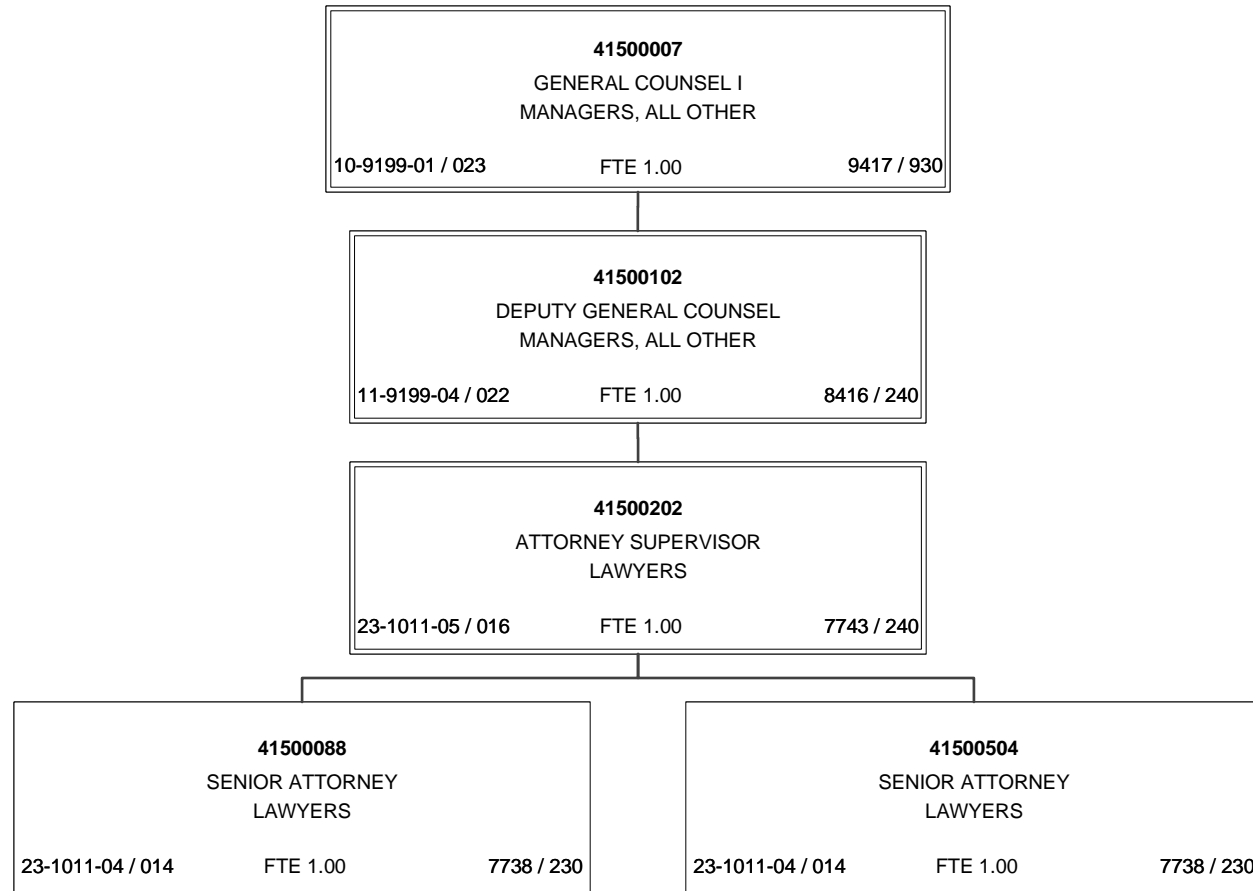
Staffing Organizational Chart

Florida Gaming Control Commission Office of the General Counsel



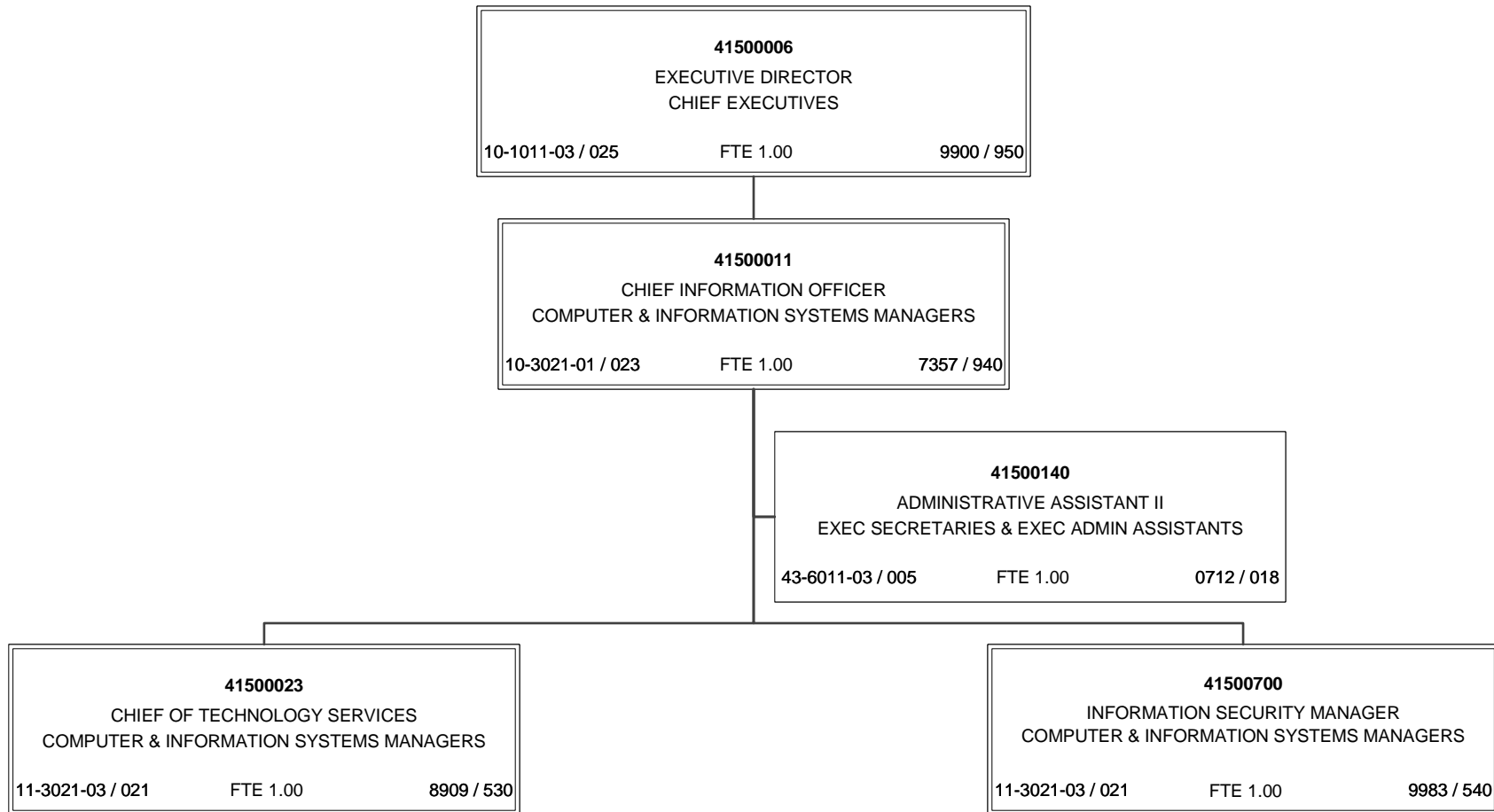
Staffing Organizational Chart

Florida Gaming Control Commission (Office of the General Counsel)



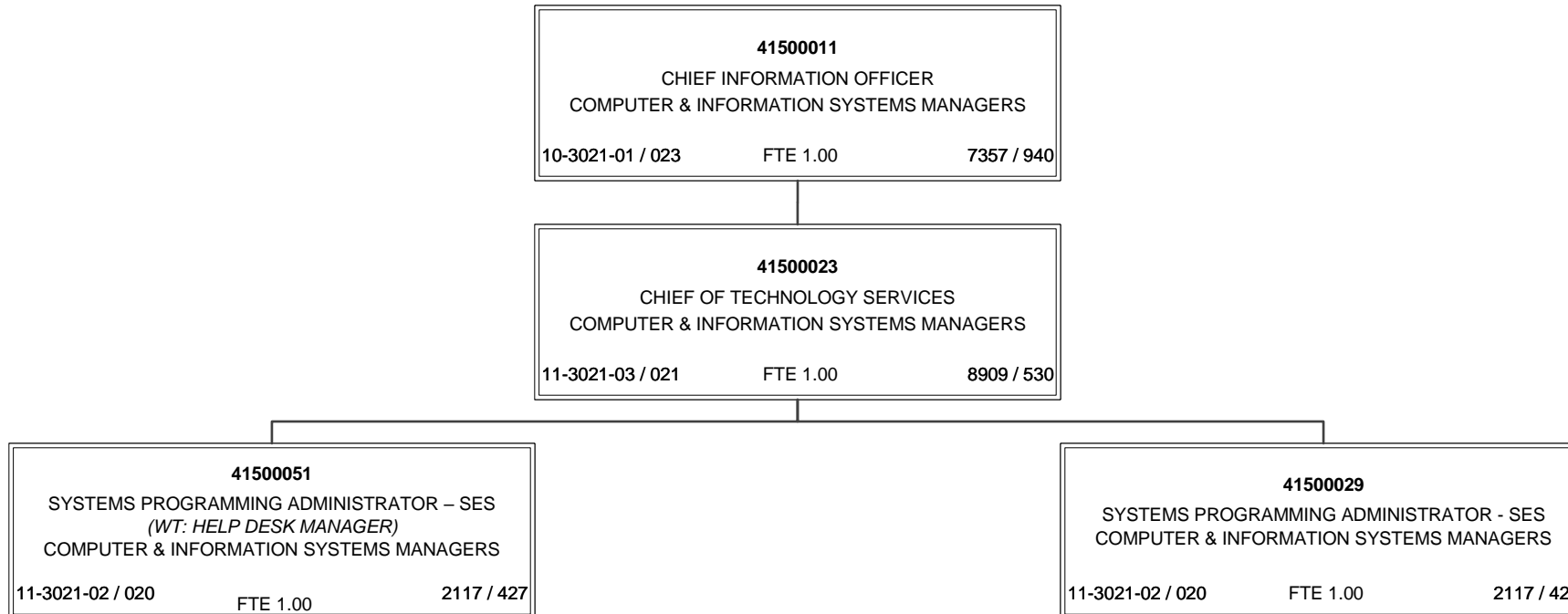
Staffing Organizational Chart

Florida Gaming Control Commission Office of Information Technology



Staffing Organizational Chart

Florida Gaming Control Commission Office of Information Technology (Bureau of Technology Services)



Staffing Organizational Chart

Florida Gaming Control Commission Office of Information Technology Bureau of Technology Services (Cloud and User Services)

41500011
CHIEF INFORMATION OFFICER
COMPUTER & INFORMATION SYSTEMS MANAGERS
10-3021-01 / 023 FTE 1.00 7357 / 940

41500023
CHIEF OF TECHNOLOGY SERVICES
COMPUTER & INFORMATION SYSTEMS MANAGERS
11-3021-03 / 021 FTE 1.00 8909 / 530

41500051
SYSTEMS PROGRAMMING ADMINISTRATOR - SES
COMPUTER & INFORMATION SYSTEMS MANAGERS
11-3021-02 / 020 FTE 1.00 2117 / 427

41500090
SYSTEMS PROGRAMMING CONSULTANT
COMPUTER PROGRAMMERS
15-1131-04 / 009 FTE 1.00 2117 / 027

41500056
SYSTEM PROJECT CONSULTANT
(SENIOR HELP DESK TECHNICIAN)
COMPUTER SYSTEMS ANALYST
15-1121-04 / 009 FTE 1.00 2109 / 025

41500652
SYSTEMS PROJECT ANALYST
COMPUTER SYSTEMS ANALYST
15-1121-03 / 008 FTE 1.00 2107 / 024

41500070
SYSTEMS PROJECT ANALYST
COMPUTER SYSTEMS ANALYST
15-1121-03 / 008 FTE 1.00 2107 / 024

41500703
SYSTEMS PROJECT ANALYST
(WT: HELP DESK TECHNICIAN)
COMPUTER SYSTEMS ANALYST
15-1121-03 / 008 FTE 1.00 2107 / 024

Staffing Organizational Chart

Florida Gaming Control Commission Office of Information Technology Bureau of Technology Services (Enterprise Solutions)

41500011
CHIEF INFORMATION OFFICER
COMPUTER & INFORMATION SYSTEMS MANAGERS
10-3021-01 / 023 FTE 1.00 7357 / 940

41500023
CHIEF OF TECHNOLOGY SERVICES
COMPUTER & INFORMATION SYSTEMS MANAGERS
11-3021-03 / 021 FTE 1.00 8909 / 530

41500029
SYSTEMS PROGRAMMING ADMINISTRATOR - SES
COMPUTER & INFORMATION SYSTEMS MANAGERS
11-3021-02 / 020 FTE 1.00 2117 / 427

41500512
SYSTEMS PROGRAMMING CONSULTANT
(WT: APPLICATIONS ADMINISTRATOR)
COMPUTER PROGRAMMERS
15-1131-04 / 009 FTE 1.00 2117 / 027

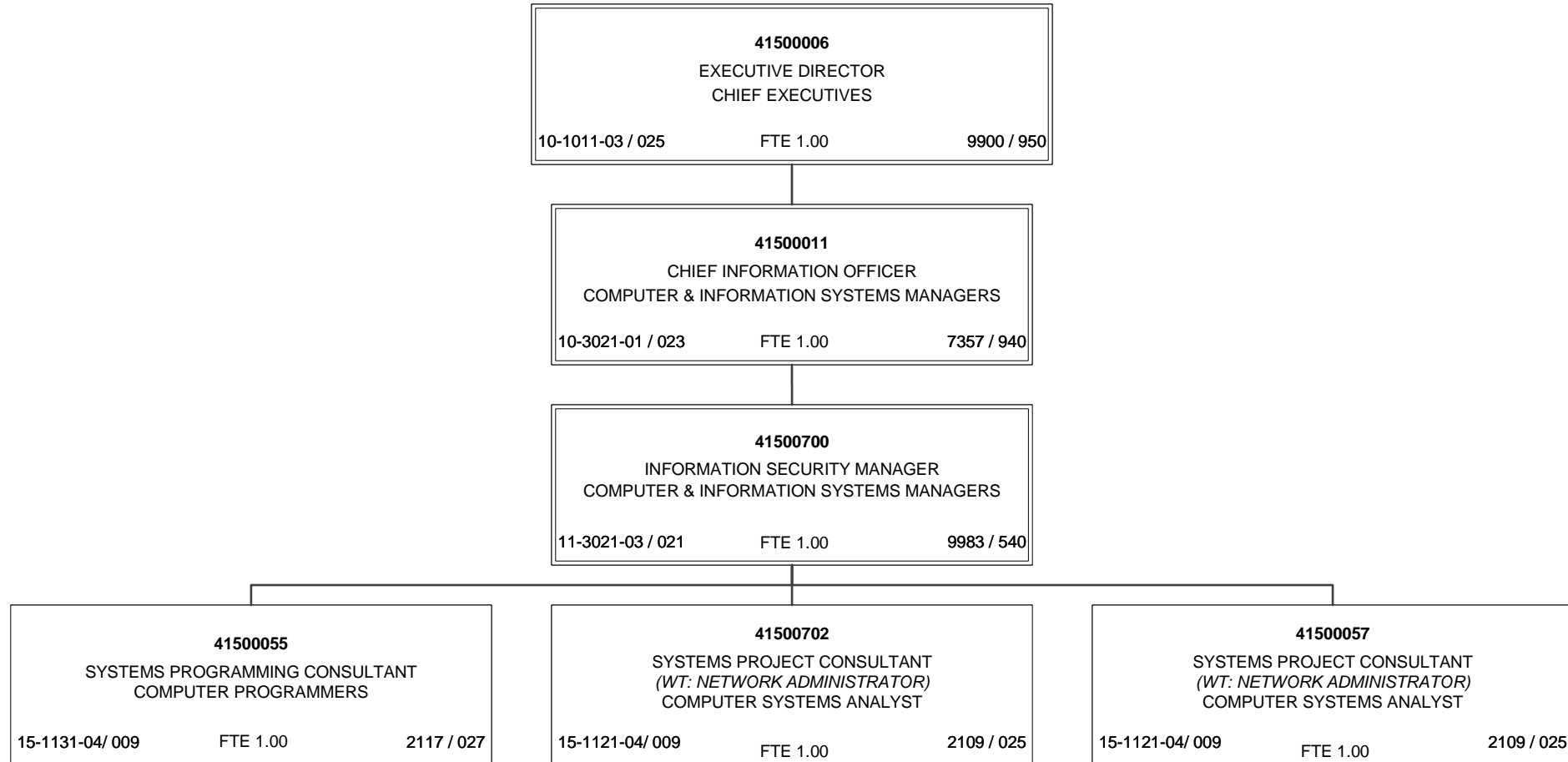
41500054
SYSTEMS PROGRAMMING CONSULTANT
(WT: BUSINESS AND TECHNICAL ANALYST)
COMPUTER PROGRAMMERS
15-1131-04 / 009 FTE 1.00 2117 / 027

41500704
SYSTEMS PROGRAMMING CONSULTANT
(WT: BUSINESS AND REPORTING ANALYST)
COMPUTER PROGRAMMERS
15-1131-04 / 009 FTE 1.00 2117 / 027

41500305
SYSTEM PROJECT CONSULTANT
(WT: SYSTEM PROJECT CONSULTANT -Web Dev/ShrPt)
COMPUTER SYSTEMS ANALYST
15-1121-04 / 009 FTE 1.00 2109 / 025

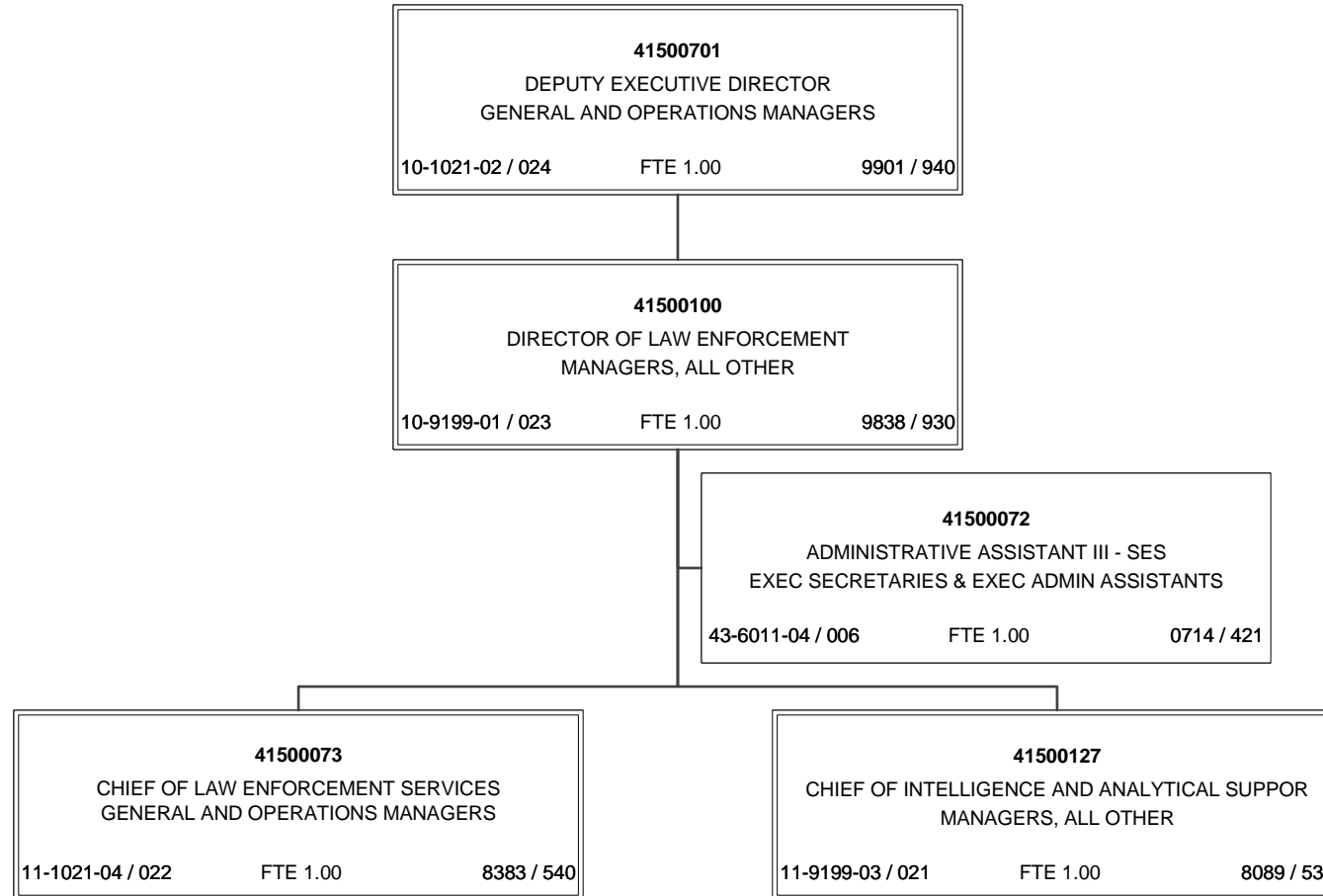
Staffing Organizational Chart

Florida Gaming Control Commission Office of Information Technology Bureau of Network and Information Security



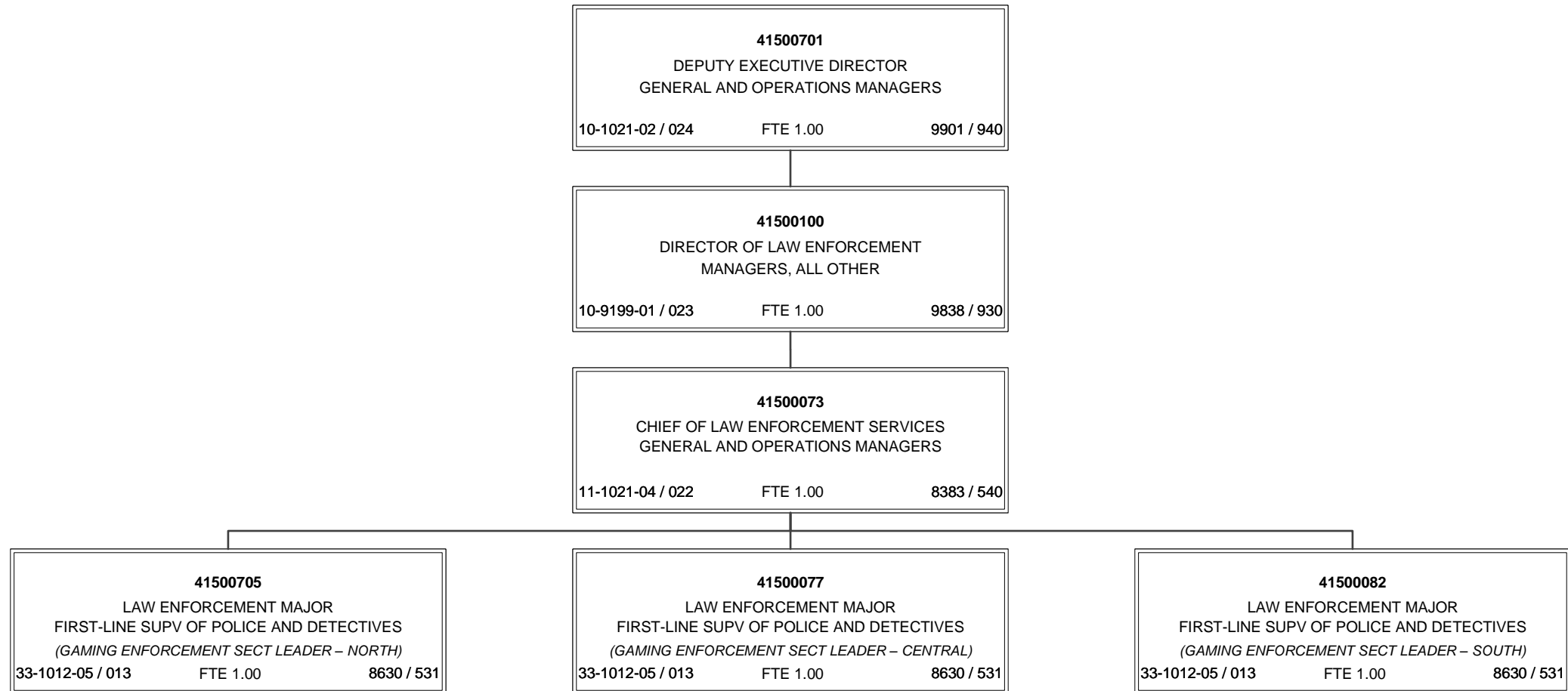
Staffing Organizational Chart

Florida Gaming Control Commission Division of Gaming Enforcement



Staffing Organizational Chart

Florida Gaming Control Commission Division of Gaming Enforcement Bureau of Law Enforcement Services



Staffing Organizational Chart

Florida Gaming Control Commission Division of Gaming Enforcement Section (Law Enforcement Services Northern Region)

41500100
DIRECTOR OF LAW ENFORCEMENT
MANAGERS, ALL OTHER
10-9199-01 / 023 FTE 1.00 9838 / 930

41500073
CHIEF OF LAW ENFORCEMENT SERVICES
GENERAL AND OPERATIONS MANAGERS
11-1021-04 / 022 FTE 1.00 8383 / 540

41500705
LAW ENFORCEMENT MAJOR
FIRST-LINE SUPV OF POLICE AND DETECTIVES
(GAMING ENFORCEMENT SECT LEADER – NORTH)
33-1012-05 / 013 FTE 1.00 8630 / 531

41500081
LAW ENFORCEMENT INVESTIGATOR II
DETECTIVES AND CRIMINAL INVESTIGATORS
33-3021-04 / 010 FTE 1.00 8541 / 054

41500076
LAW ENFORCEMENT INVESTIGATOR II
DETECTIVES AND CRIMINAL INVESTIGATORS
33-3021-04 / 010 FTE 1.00 8541 / 054

41500075
LAW ENFORCEMENT INVESTIGATOR II
DETECTIVES AND CRIMINAL INVESTIGATORS
33-3021-04 / 010 FTE 1.00 8541 / 054

41500074
LAW ENFORCEMENT INVESTIGATOR II
DETECTIVES AND CRIMINAL INVESTIGATORS
33-3021-04 / 010 FTE 1.00 8541 / 054

Staffing Organizational Chart

Florida Gaming Control Commission Division of Gaming Enforcement Section (Law Enforcement Services Central Region)

41500100
DIRECTOR OF LAW ENFORCEMENT
MANAGERS, ALL OTHER
10-9199-01 / 023 FTE 1.00 9838 / 930

41500073
CHIEF OF LAW ENFORCEMENT SERVICES
GENERAL AND OPERATIONS MANAGERS
11-1021-04 / 022 FTE 1.00 8383 / 540

41500077
LAW ENFORCEMENT MAJOR
FIRST-LINE SUPV OF POLICE AND DETECTIVES
(GAMING ENFORCEMENT SECT LEADER – CENTRAL)
33-1012-05 / 013 FTE 1.00 8630 / 531

41500071
ADMINISTRATIVE ASSISTANT II
EXEC SECRETARIES & EXEC ADMIN ASSISTANTS
43-6011-03 / 005 FTE 1.00 0712 / 018

41500080
LAW ENFORCEMENT INVESTIGATOR II
DETECTIVES AND CRIMINAL INVESTIGATORS
33-3021-04 / 010 FTE 1.00 8541 / 054

41500079
LAW ENFORCEMENT INVESTIGATOR II
DETECTIVES AND CRIMINAL INVESTIGATORS
33-3021-04 / 010 FTE 1.00 8541 / 054

41500078
LAW ENFORCEMENT INVESTIGATOR II
DETECTIVES AND CRIMINAL INVESTIGATORS
33-3021-04 / 010 FTE 1.00 8541 / 054

41500706
LAW ENFORCEMENT INVESTIGATOR II
DETECTIVES AND CRIMINAL INVESTIGATORS
33-3021-04 / 010 FTE 1.00 8541 / 054

Staffing Organizational Chart

Florida Gaming Control Commission
Division of Gaming Enforcement
Section (Law Enforcement Services Southern Region)

41500100
 DIRECTOR OF LAW ENFORCEMENT
 MANAGERS, ALL OTHER
 10-9199-01 / 023 FTE 1.00 9838 / 930

41500073
 CHIEF OF LAW ENFORCEMENT SERVICES
 GENERAL AND OPERATIONS MANAGERS
 11-1021-04 / 022 FTE 1.00 8383 / 540

41500082
 LAW ENFORCEMENT MAJOR
 FIRST-LINE SUPV OF POLICE AND DETECTIVES
(GAMING ENFORCEMENT SECT LEADER – SOUTH)
 33-1012-05 / 013 FTE 1.00 8630 / 531

41500087
 ADMINISTRATIVE ASSISTANT II
 EXEC SECRETARIES & EXEC ADMIN ASSISTANTS
 43-6011-03 / 005 FTE 1.00 0712 / 018

41500086
 LAW ENFORCEMENT INVESTIGATOR II
 DETECTIVES AND CRIMINAL INVESTIGATORS
 33-3021-04 / 010 FTE 1.00 8541 / 054

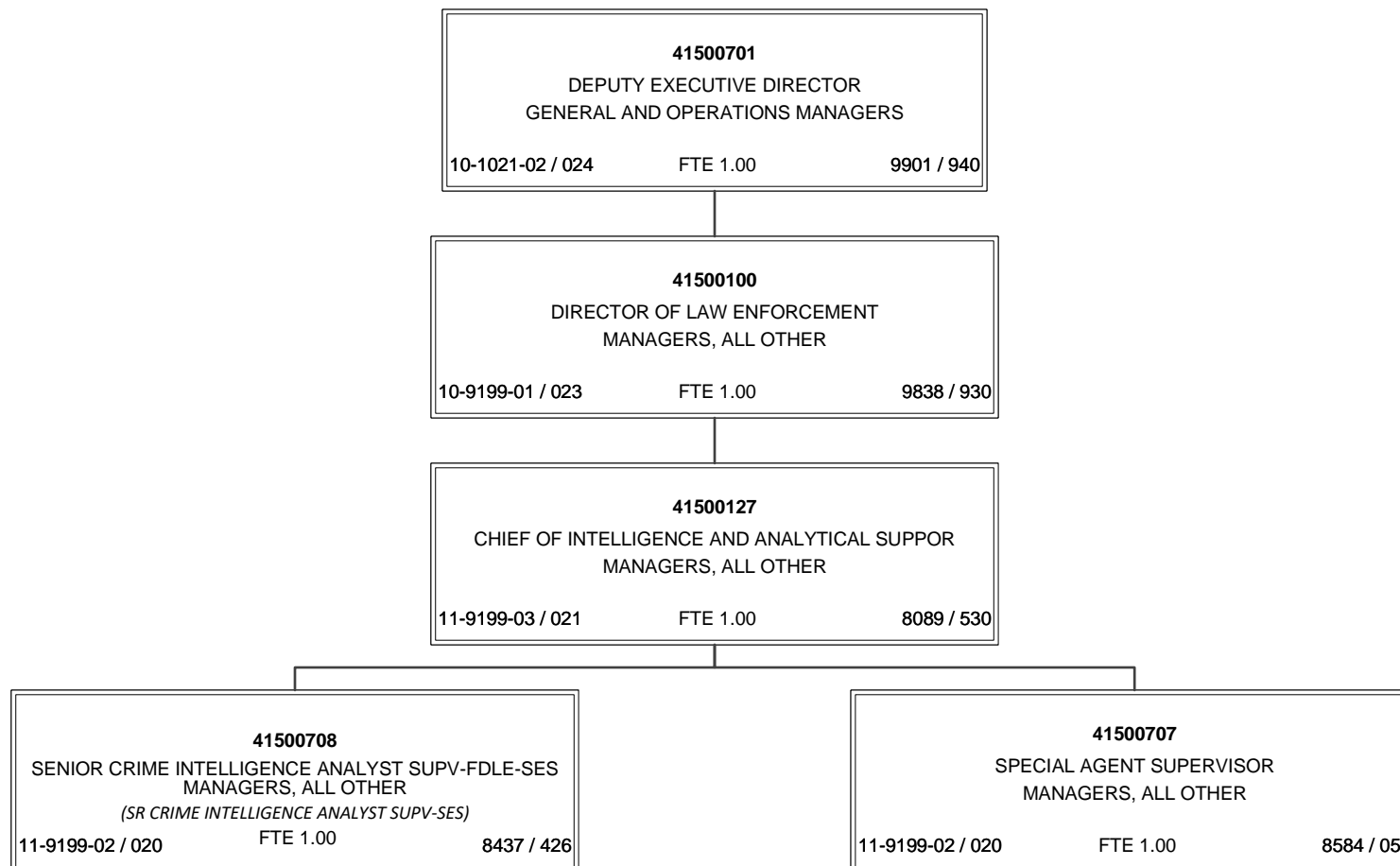
41500085
 LAW ENFORCEMENT INVESTIGATOR II
 DETECTIVES AND CRIMINAL INVESTIGATORS
 33-3021-04 / 010 FTE 1.00 8541 / 054

41500084
 LAW ENFORCEMENT INVESTIGATOR II
 DETECTIVES AND CRIMINAL INVESTIGATORS
 33-3021-04 / 010 FTE 1.00 8541 / 054

41500083
 LAW ENFORCEMENT INVESTIGATOR II
 DETECTIVES AND CRIMINAL INVESTIGATORS
 33-3021-04 / 010 FTE 1.00 8541 / 054

Staffing Organizational Chart

Florida Gaming Control Commission Division of Gaming Enforcement (Bureau of Intelligence and Analytical Support Services)



Staffing Organizational Chart
Florida Gaming Control Commission
Division of Gaming Enforcement
Bureau of Intelligence and Analytical Support
(Criminal Intelligence)

41500100
 DIRECTOR OF LAW ENFORCEMENT
 MANAGERS, ALL OTHER
 10-9199-01 / 023 FTE 1.00 9838 / 930

41500127
 CHIEF OF INTELLIGENCE AND ANALYTICAL SUPPOR
 MANAGERS, ALL OTHER
 11-9199-03 / 021 FTE 1.00 8089 / 530

41500708
 SENIOR CRIME INTELLIGENCE ANALYST SUPV-FDLE-SES
(WT: SR CRIME INTELLIGENCE ANALYST SUPV-SES)
 MANAGERS, ALL OTHER
 11-9199-02 / 020 FTE 1.00 8437 / 426

41500304
 SENIOR CRIME INTELLIGENCE ANALYST II - FDLE
 DETECTIVES AND CRIMINAL INVESTIGATORS
 33-3021-03 / 009 FTE 1.00 8435 / 026

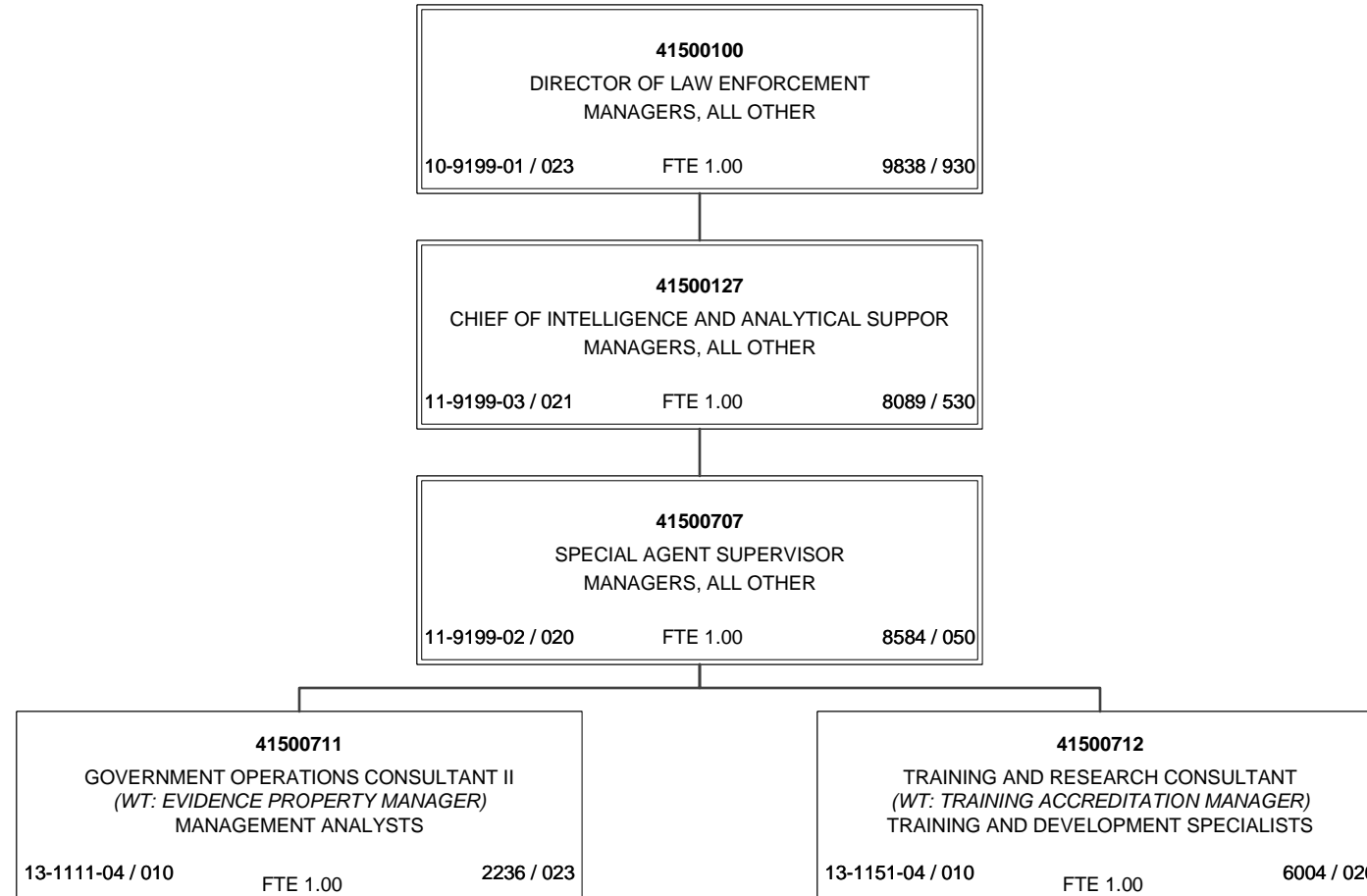
41500303
 SENIOR CRIME INTELLIGENCE ANALYST II - FDLE
 DETECTIVES AND CRIMINAL INVESTIGATORS
 33-3021-03 / 009 FTE 1.00 8435 / 026

41500710
 CRIMINAL JUSTICE INFORMATION ANALYST II
(WT: CYBER AND DIGITAL TECHNOLOGY ANALYST)
 PROTECTIVE SERVICE WORKERS - NON SWORN
 33-9099-02 / 006 FTE 1.00 7770 / 021

41500709
 CRIMINAL JUSTICE INFORMATION ANALYST II
(WT: CYBER AND DIGITAL TECHNOLOGY ANALYST)
 PROTECTIVE SERVICE WORKERS - NON SWORN
 33-9099-02 / 006 FTE 1.00 7770 / 021

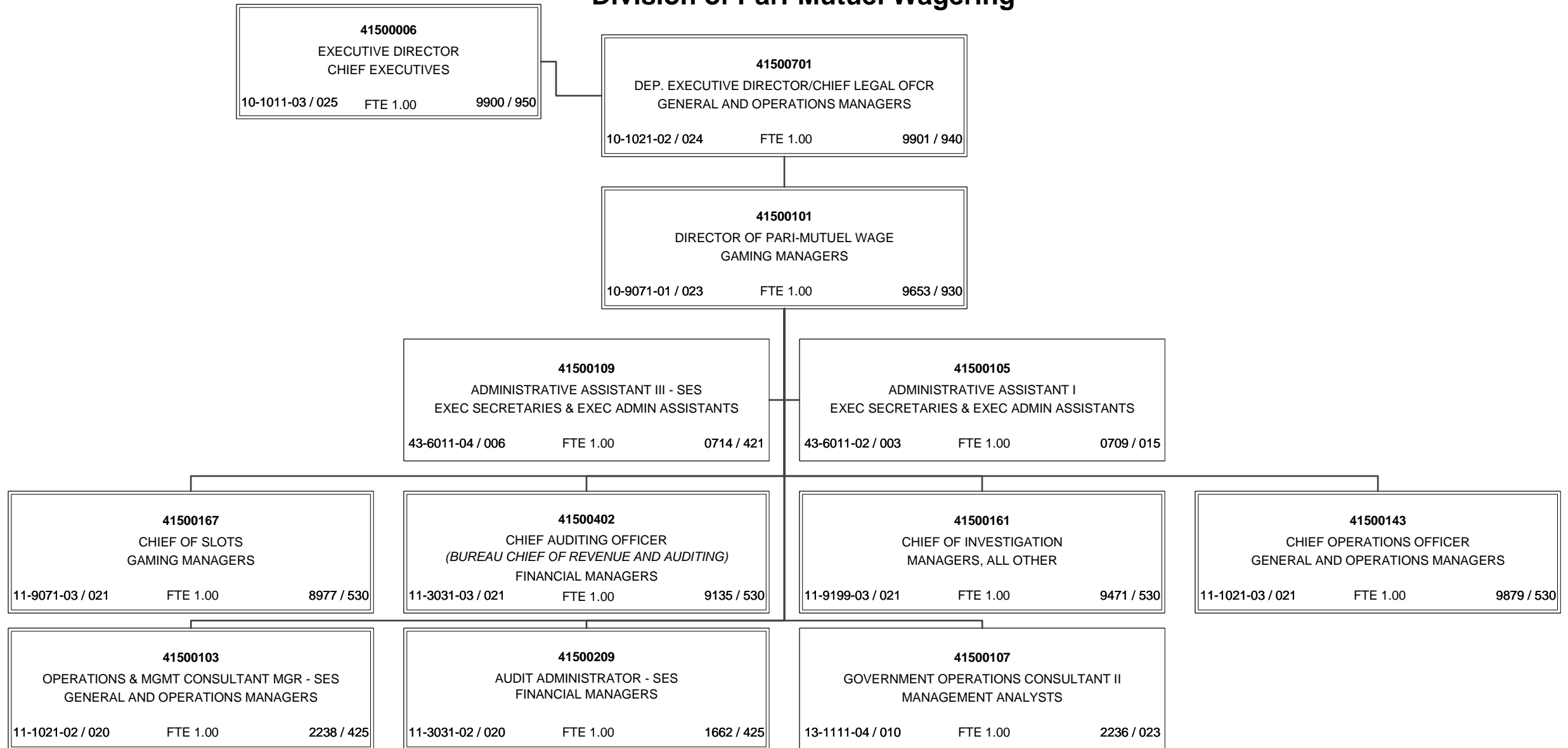
Staffing Organizational Chart

Florida Gaming Control Commission Division of Gaming Enforcement Bureau of Intelligence and Analytical Support (Evidence, Policy, and Training)



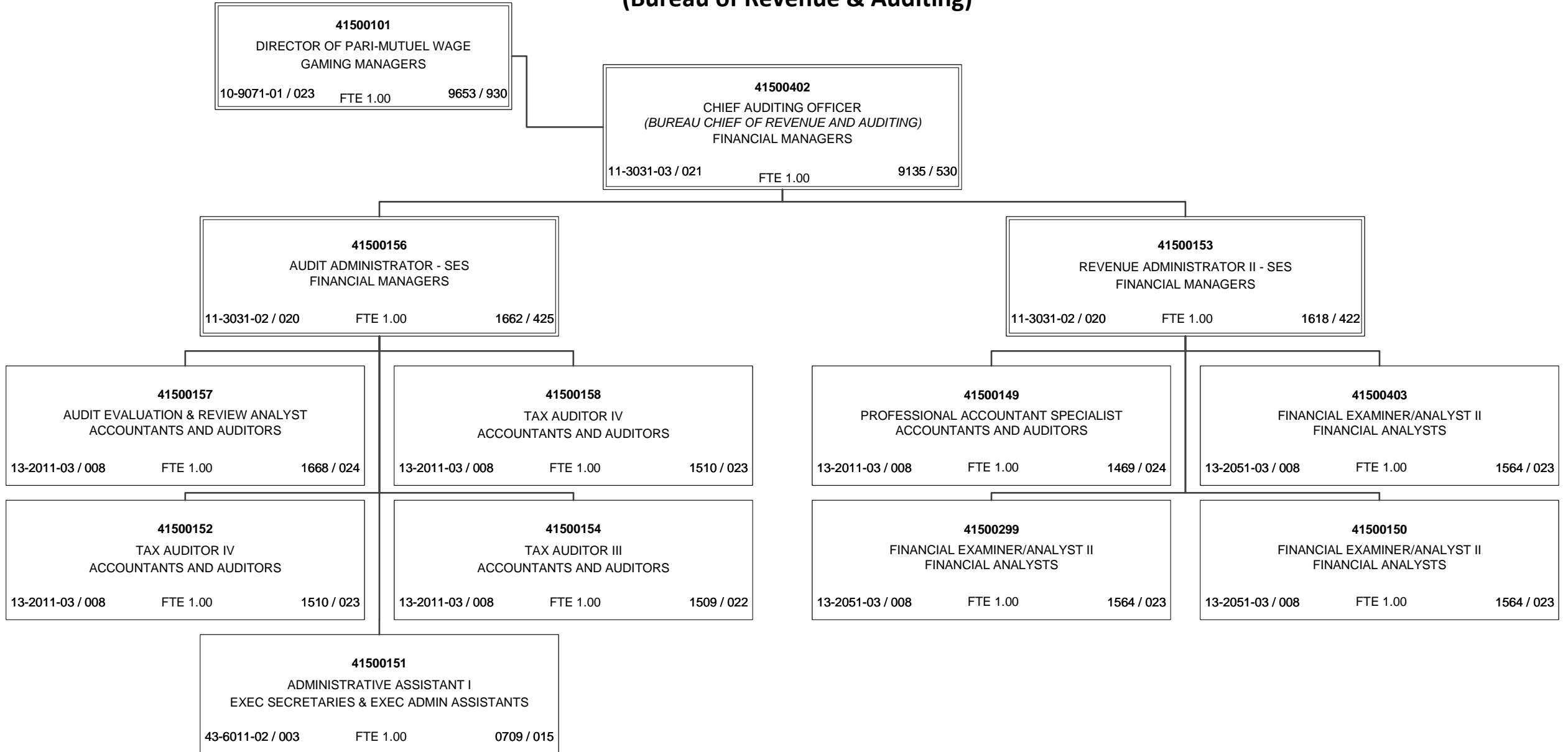
Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering



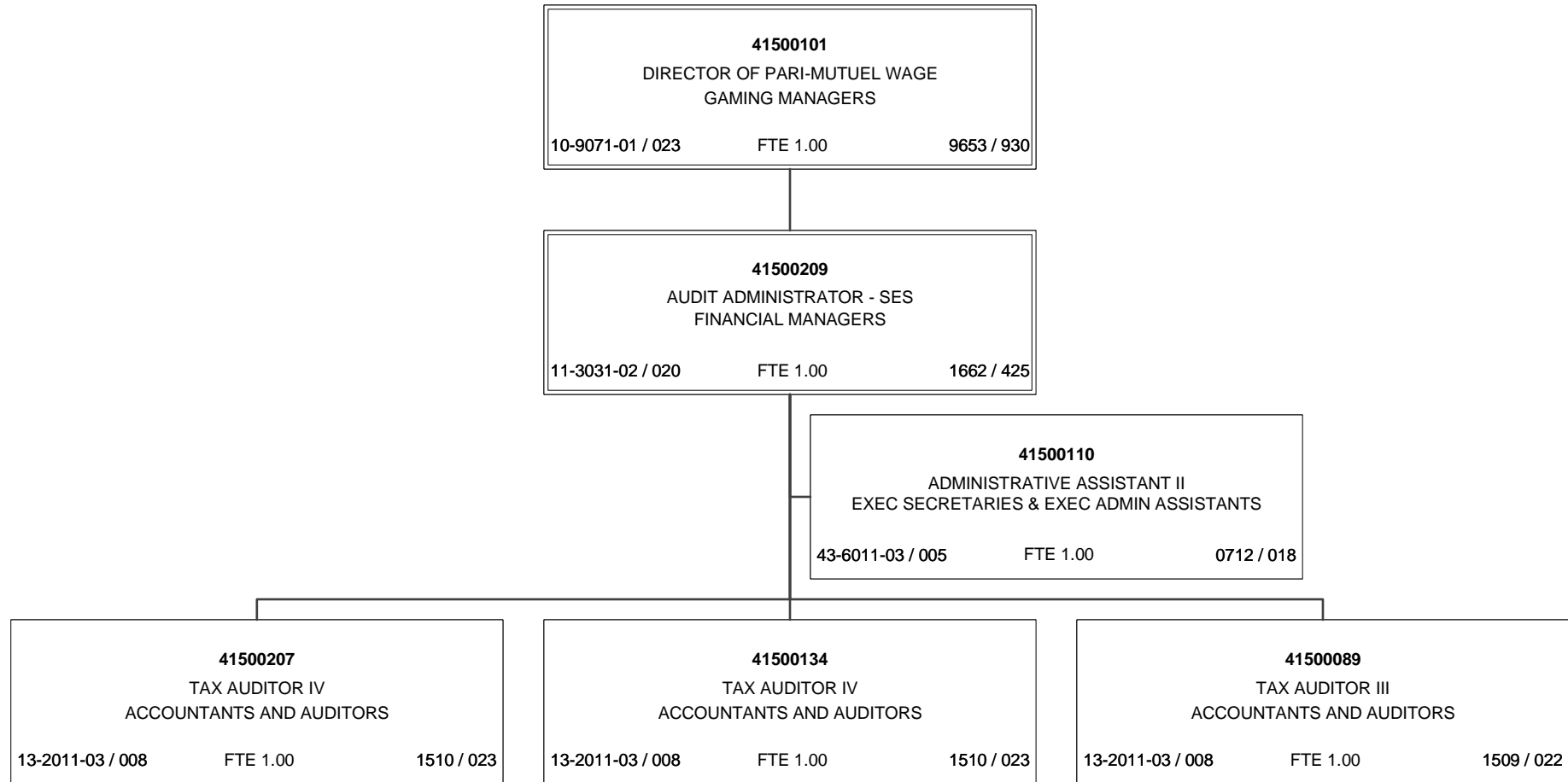
Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering (Bureau of Revenue & Auditing)



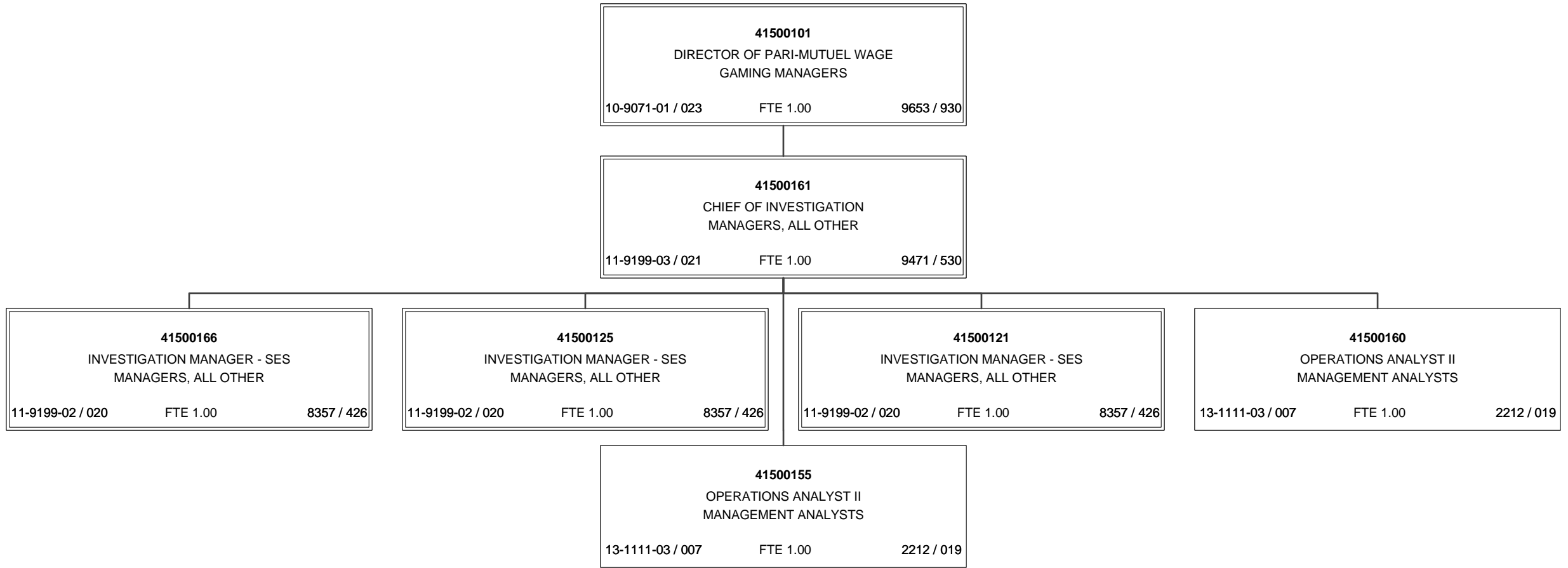
Staffing Organizational Chart

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



Staffing Organizational Chart

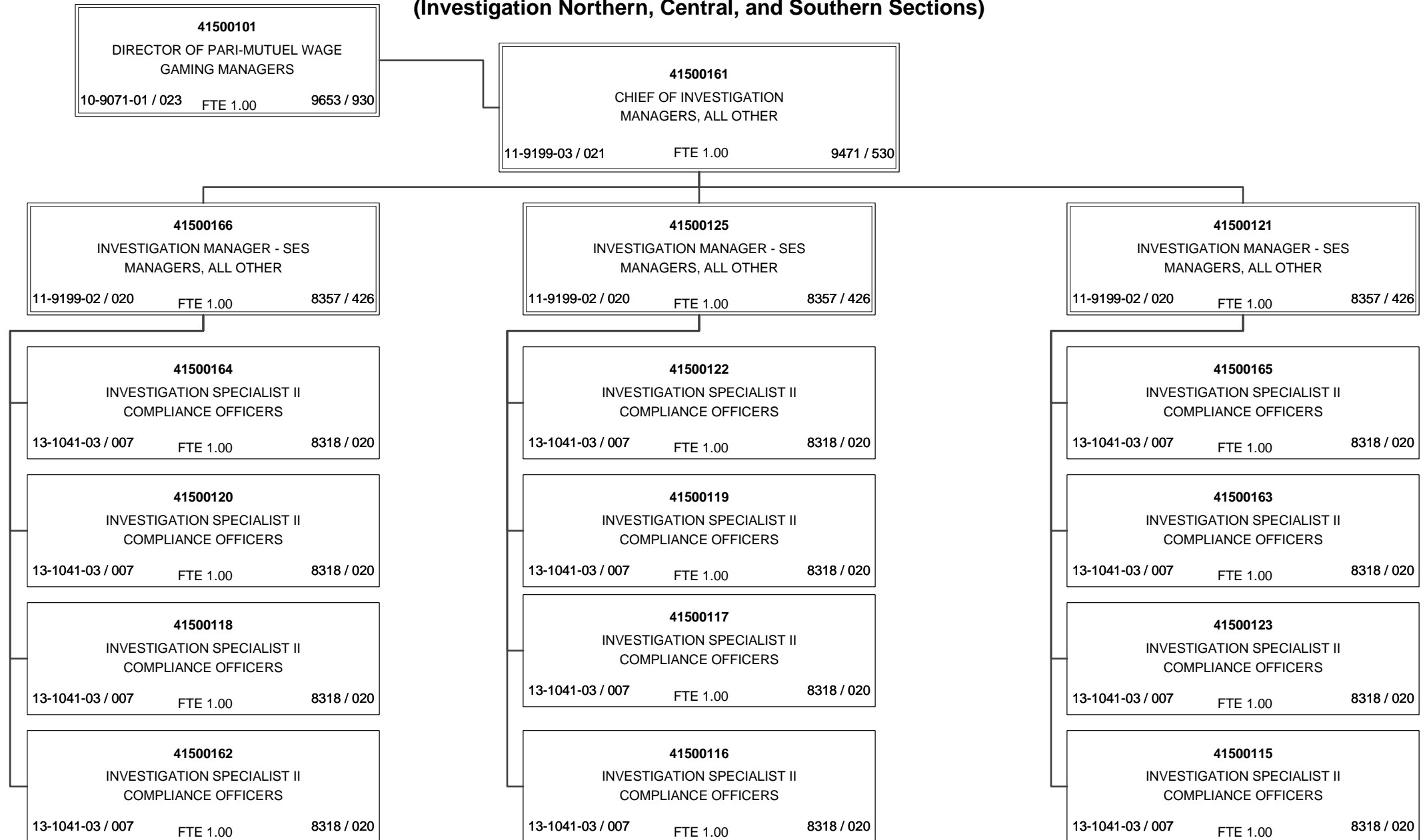
Florida Gaming Control Commission Division of Pari-Mutuel Wagering (Bureau of Investigations)



Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering

(Investigation Northern, Central, and Southern Sections)



Staffing Organizational Chart

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

41500101
DIRECTOR OF PARI-MUTUEL WAGE
GAMING MANAGERS
10-9071-01 / 023 FTE 1.00 9653 / 930

41500143
CHIEF OPERATIONS OFFICER
GENERAL AND OPERATIONS MANAGERS
11-1021-03 / 021 FTE 1.00 9879 / 530

41500148
ADMINISTRATIVE ASSISTANT II
EXEC SECRETARIES & EXEC ADMIN ASSISTANTS
43-6011-03 / 005 FTE 1.00 0712 / 018

41500146
REGIONAL PROGRAM ADMINISTRATOR - SES
COMMUNITY/SOCIAL SERVICE SPEC/ALL OTHER
21-1099-04 / 009 FTE 1.00 5911 / 426

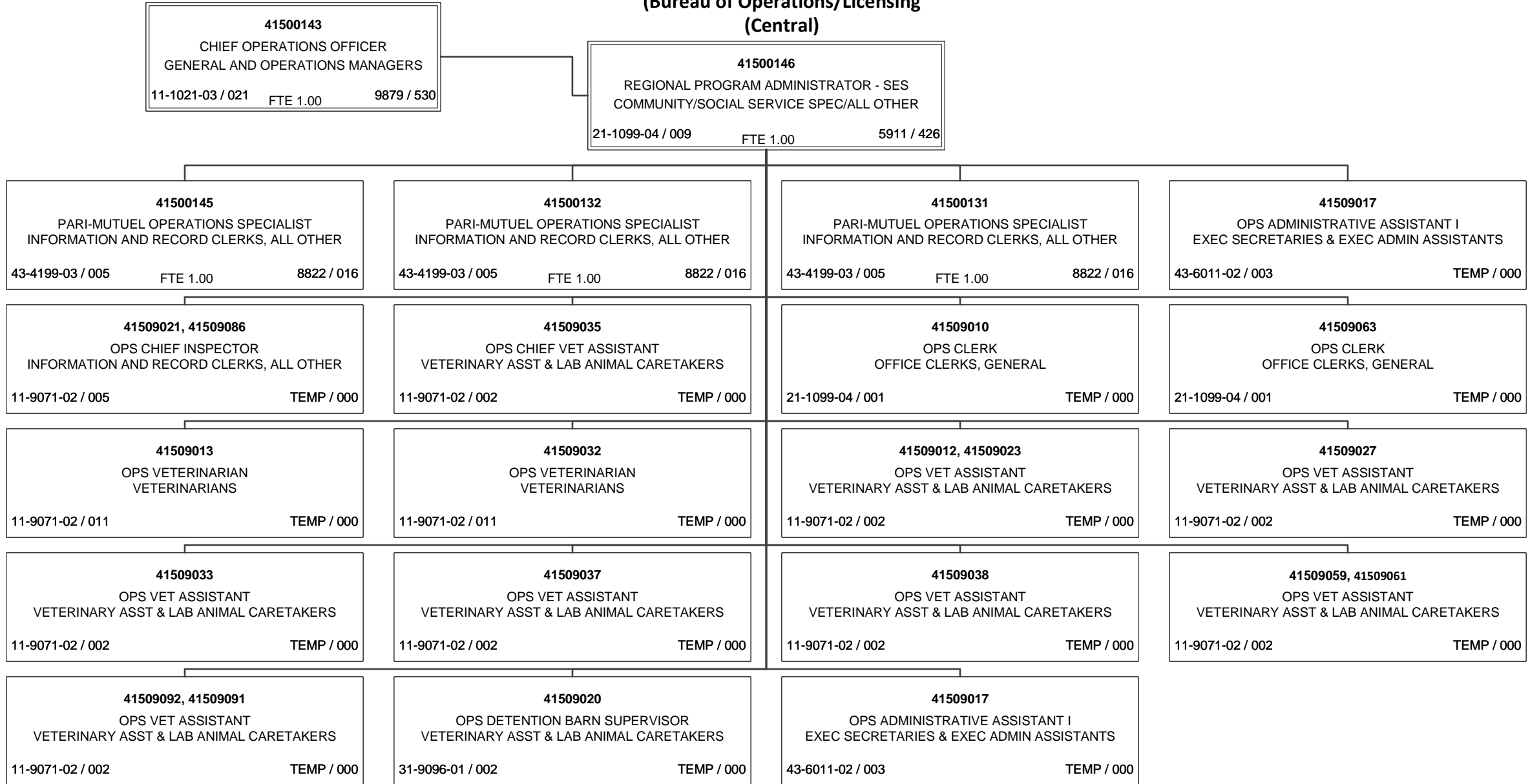
41500126
GENERAL AND OPERATIONS MANAGER I
GENERAL AND OPERATIONS MANAGERS
11-1021-01 / 019 FTE 1.00 1021 / 425

41500135
PARI-MUTUEL REGIONAL MANAGER - SES
GAMING MANAGERS
11-9071-02 / 020 FTE 1.00 8823 / 421

41500129
GOVERNMENT OPERATIONS CONSULTANT II
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 1.00 2236 / 023

Staffing Organizational Chart

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



Staffing Organizational Chart

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

41500143
CHIEF OPERATIONS OFFICER
GENERAL AND OPERATIONS MANAGERS
11-1021-03 / 021 FTE 1.00 9879 / 530

41500135
PARI-MUTUEL REGIONAL MANAGER - SES
GAMING MANAGERS
11-9071-02 / 020 FTE 1.00 8823 / 421

41500141
ADMINISTRATIVE ASSISTANT II
EXEC SECRETARIES & EXEC ADMIN ASSISTANTS
43-6011-03 / 005 FTE 1.00 0712 / 018

41500130
VETERINARIAN MANAGER - SES
MEDICAL AND HEALTH SERVICES MANAGERS
11-9111-02 / 020 FTE 1.00 7430 / 426

41500142
STATE STEWARD
COMPLIANCE OFFICERS
13-1041-04 / 010 FTE 1.00 9881 / 150

41500139
PARI-MUTUEL OPERATIONS SPECIALIST
INFORMATION AND RECORD CLERKS, ALL OTHER
43-4199-03 / 005 FTE 1.00 8822 / 016

41500138
PARI-MUTUEL OPERATIONS SPECIALIST
INFORMATION AND RECORD CLERKS, ALL OTHER
43-4199-03 / 005 FTE 1.00 8822 / 016

41500136
PARI-MUTUEL OPERATIONS SPECIALIST
INFORMATION AND RECORD CLERKS, ALL OTHER
43-4199-03 / 005 FTE 1.00 8822 / 016

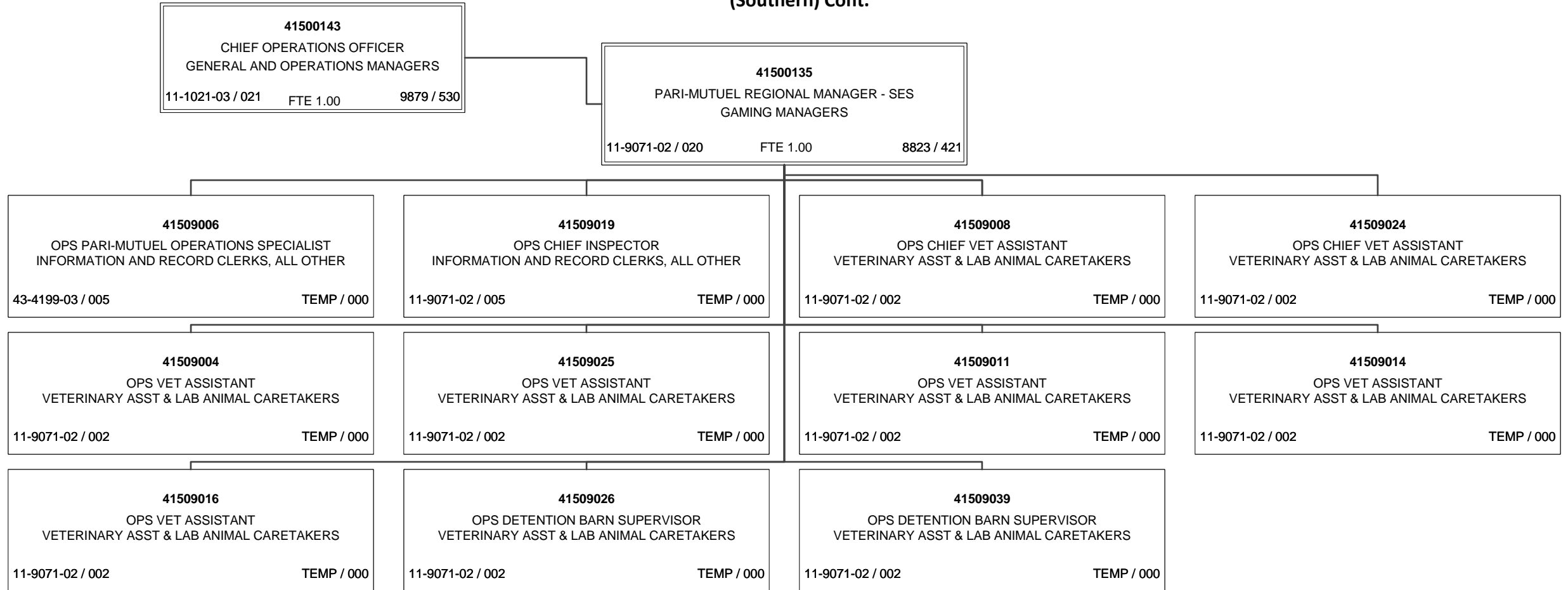
41500137
PARI-MUTUEL OPERATIONS SPECIALIST
INFORMATION AND RECORD CLERKS, ALL OTHER
43-4199-03 / 005 FTE 1.00 8822 / 016

41500133
PARI-MUTUEL OPERATIONS SPECIALIST
INFORMATION AND RECORD CLERKS, ALL OTHER
43-4199-03 / 005 FTE 1.00 8822 / 016

41500128
PARI-MUTUEL OPERATIONS SPECIALIST
INFORMATION AND RECORD CLERKS, ALL OTHER
43-4199-03 / 005 FTE 1.00 8822 / 016

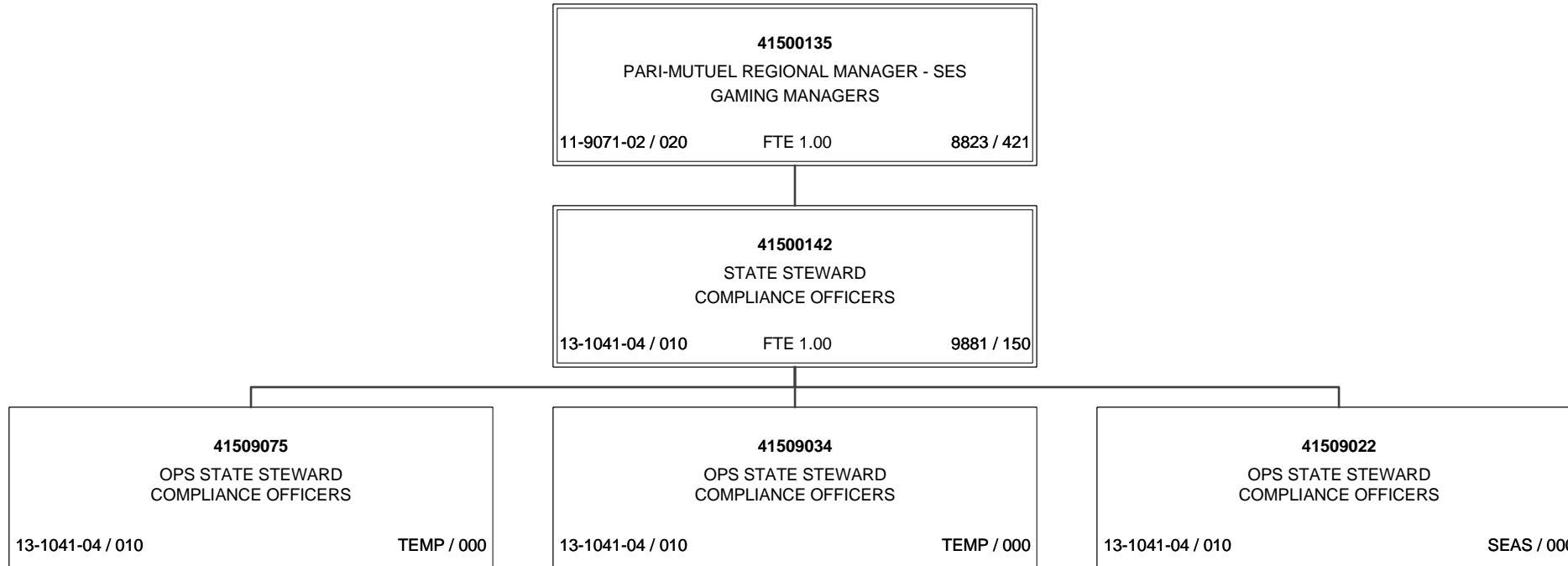
Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering Bureau of Operations/Licensing (Southern) Cont.



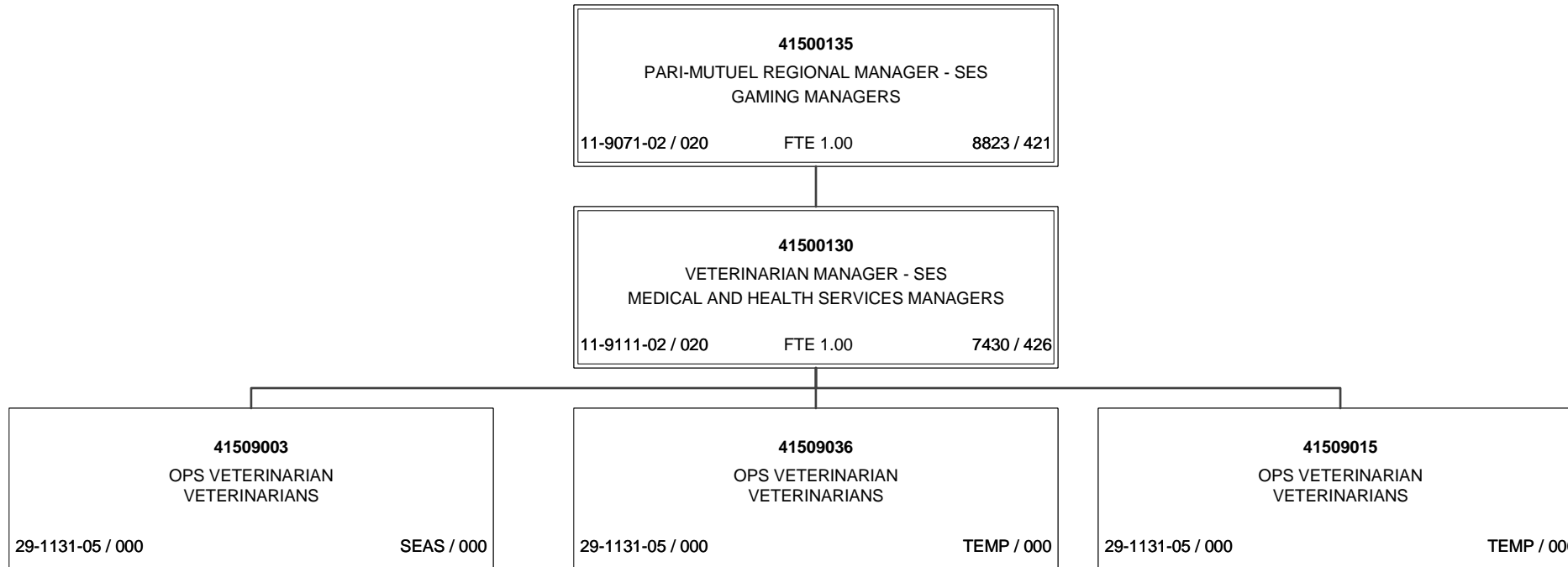
Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering Bureau of Operations/Licensing (Southern) State Steward



Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering Bureau of Operations/Licensing (Southern) Veterinarian Services



Staffing Organizational Chart

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

41500143
CHIEF OPERATIONS OFFICER
GENERAL AND OPERATIONS MANAGERS
11-1021-03 / 021 FTE 1.00 9879 / 530

41500126
GENERAL AND OPERATIONS MANAGER I
GENERAL AND OPERATIONS MANAGERS
11-1021-01 / 019 FTE 1.00 1021 / 425

41500503
OPERATIONS REVIEW SPECIALIST
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 1.00 2239 / 024

41500190
OPERATIONS REVIEW SPECIALIST
MANAGEMENT ANALYSTS
13-1111-04 / 010 FTE 1.00 2239 / 024

41500189
OPERATIONS ANALYST II
MANAGEMENT ANALYSTS
13-1111-03 / 007 FTE 1.00 2212 / 019

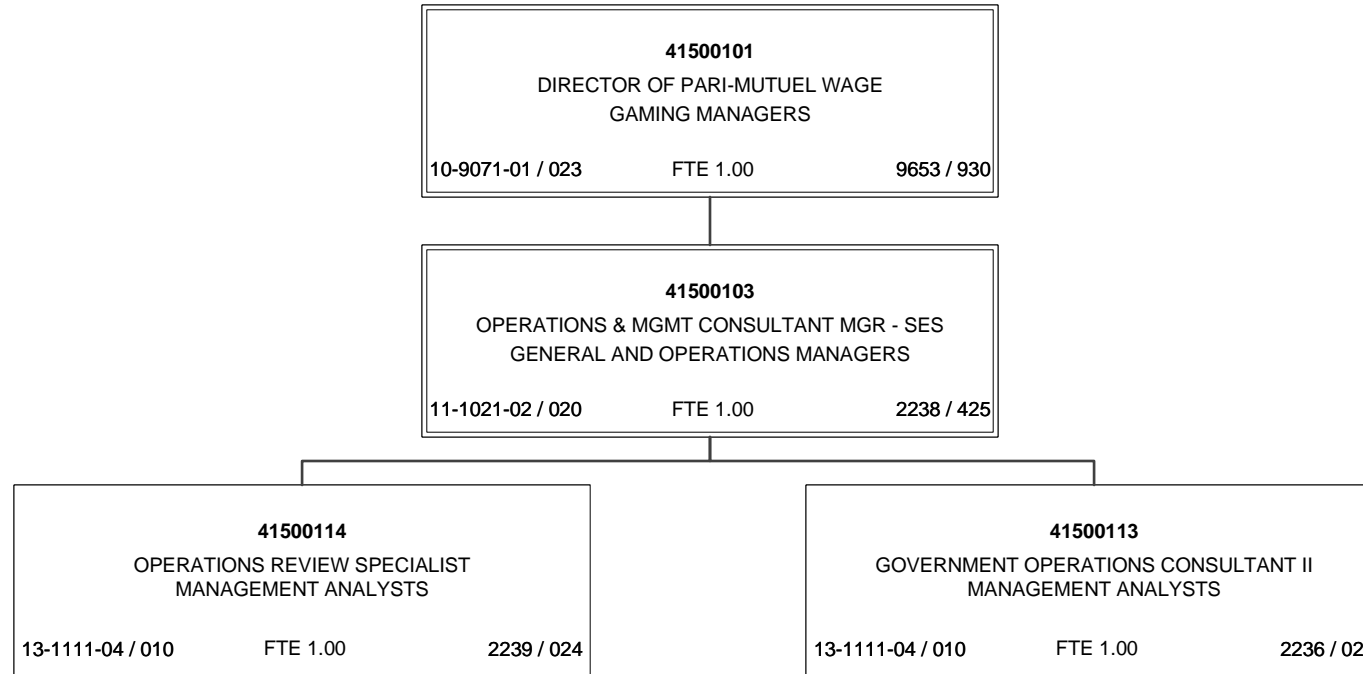
41500188
OPERATIONS ANALYST II
MANAGEMENT ANALYSTS
13-1111-03 / 007 FTE 1.00 2212 / 019

41500147
OPERATIONS ANALYST II
MANAGEMENT ANALYSTS
13-1111-03 / 007 FTE 1.00 2212 / 019

41500144
OPERATIONS ANALYST II
MANAGEMENT ANALYSTS
13-1111-03 / 007 FTE 1.00 2212 / 019

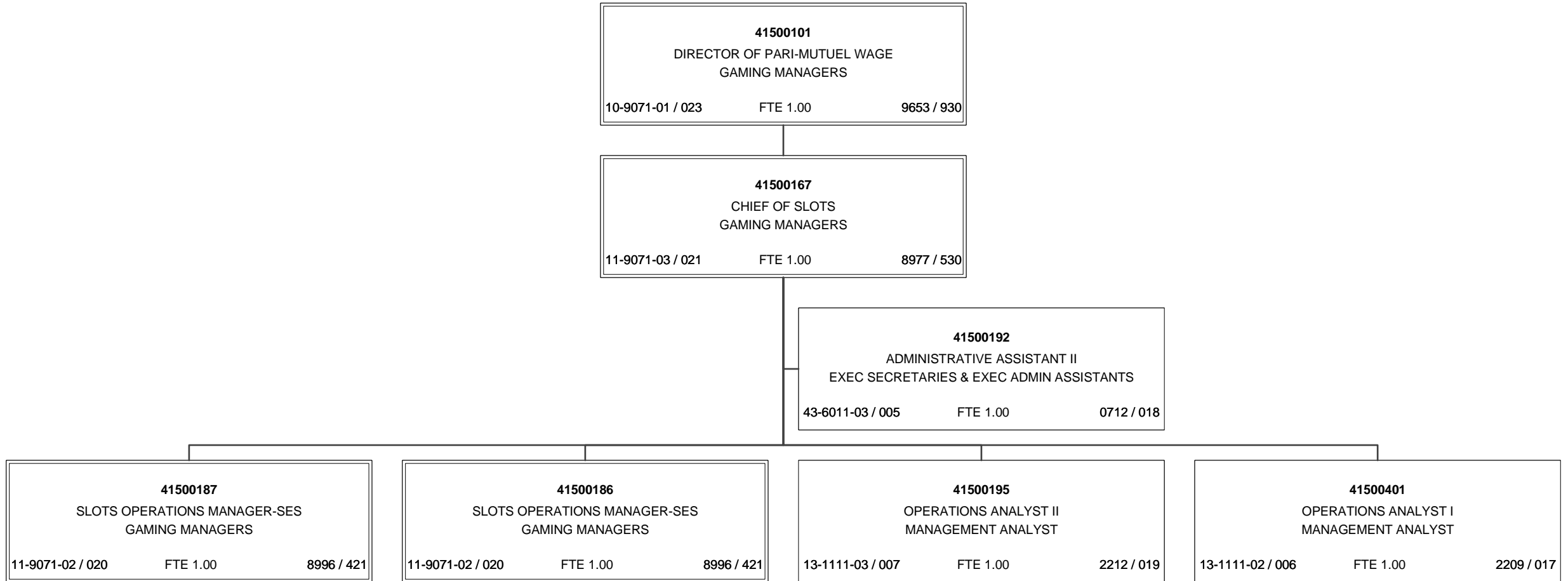
Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering



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 Slots Operations (Slots Operations – Miami Dade)

41500101
DIRECTOR OF PARI-MUTUEL WAGE
GAMING MANAGERS
10-9071-01 / 023 FTE 1.00 9653 / 930

41500167
CHIEF OF SLOTS
GAMING MANAGERS
11-9071-03/ 021 FTE 1.00 8977 / 530

41500187
SLOTS OPERATIONS MANAGER-SES
GAMING MANAGERS
11-9071-02 / 020 FTE 1.00 8996 / 421

41500199
SLOTS OPERATIONS SPECIALIST SUPV-SES
BUSINESS OPERATION SPECIALIST, ALL OTHER
13-1199-02 / 006 FTE 1.00 8998 / 418

41500198
SLOTS OPERATIONS SPECIALIST SUPV-SES
BUSINESS OPERATION SPECIALIST, ALL OTHER
13-1199-02 / 006 FTE 1.00 8998 / 418

41500184
SLOTS OPERATIONS SPECIALIST SUPV-SES
BUSINESS OPERATION SPECIALIST, ALL OTHER
13-1199-02 / 006 FTE 1.00 8998 / 418

41500171
SLOTS OPERATIONS SPECIALIST SUPV-SES
BUSINESS OPERATION SPECIALIST, ALL OTHER
13-1199-02 / 006 FTE 1.00 8998 / 418

41500205
TAX AUDITOR IV
ACCOUNTANTS AND AUDITORS
13-2011-03 / 008 FTE 1.00 1510 / 023

41500204
TAX AUDITOR IV
ACCOUNTANTS AND AUDITORS
13-2011-03 / 008 FTE 1.00 1510 / 023

Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering Bureau of Slots Operations (Slots Operations – Miami Dade) Cont.

41500101
DIRECTOR OF PARI-MUTUEL WAGE
GAMING MANAGERS
10-9071-01 / 023 FTE 1.00 9653 / 930

41500167
CHIEF OF SLOTS
GAMING MANAGERS
11-9071-03/ 021 FTE 1.00 8977 / 530

41500186
SLOTS OPERATIONS MANAGER-SES
GAMING MANAGERS
11-9071-02 / 020 FTE 1.00 8996 / 421

41500185
SLOTS OPERATIONS SPECIALIST SUPV-SES
BUSINESS OPERATION SPECIALIST, ALL OTHER
13-1199-02 / 006 FTE 1.00 8998 / 418

41500183
SLOTS OPERATIONS SPECIALIST SUPV-SES
BUSINESS OPERATION SPECIALIST, ALL OTHER
13-1199-02 / 006 FTE 1.00 8998 / 418

41500182
SLOTS OPERATIONS SPECIALIST SUPV-SES
BUSINESS OPERATION SPECIALIST, ALL OTHER
13-1199-02 / 006 FTE 1.00 8998 / 418

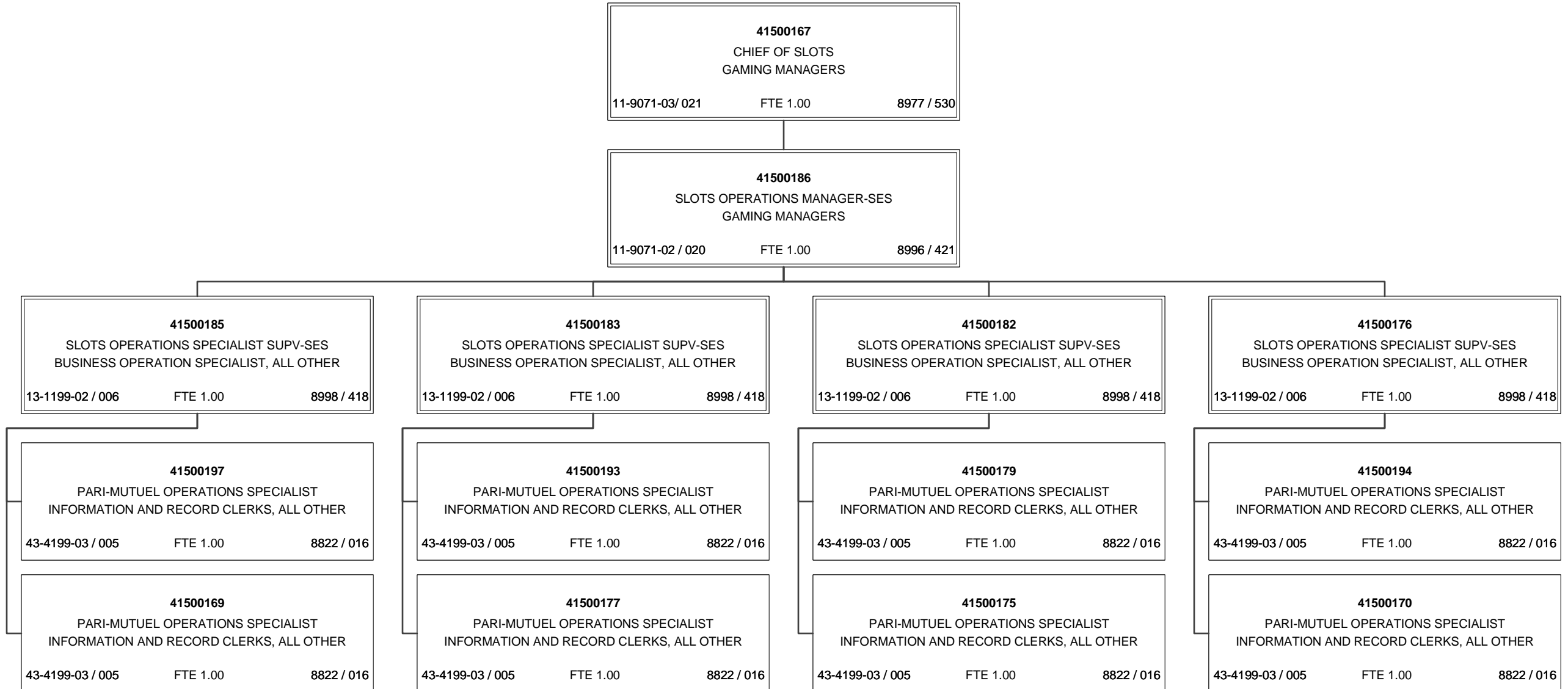
41500176
SLOTS OPERATIONS SPECIALIST SUPV-SES
BUSINESS OPERATION SPECIALIST, ALL OTHER
13-1199-02 / 006 FTE 1.00 8998 / 418

41500206
TAX AUDITOR IV
ACCOUNTANTS AND AUDITORS
13-2011-03 / 008 FTE 1.00 1510 / 023

41500200
TAX AUDITOR IV
ACCOUNTANTS AND AUDITORS
13-2011-03 / 008 FTE 1.00 1510 / 023

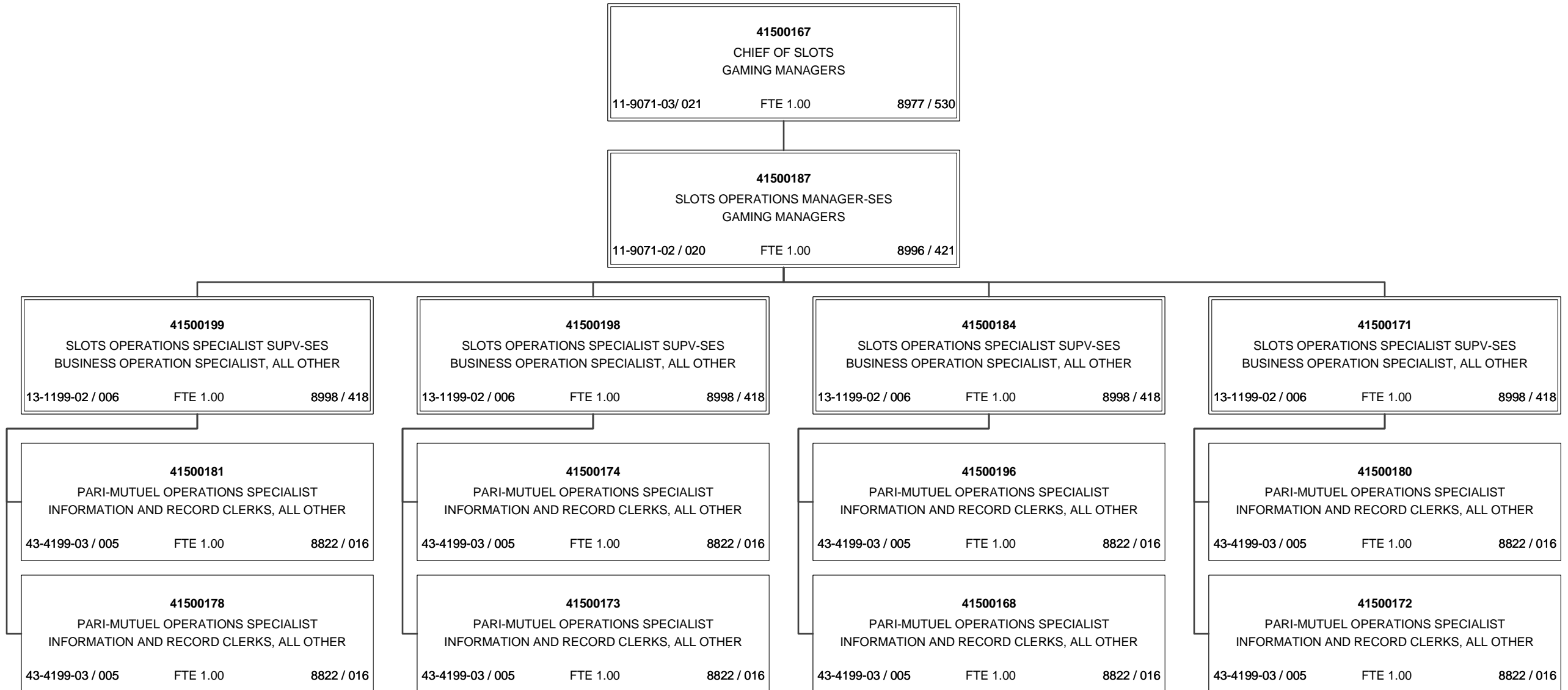
Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering Bureau of Slots Operations (Slots Operations – Broward)



Staffing Organizational Chart

Florida Gaming Control Commission Division of Pari-Mutuel Wagering Bureau of Slots Operations (Slots Operations – Broward)



SECTION III - PASS THROUGH ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

*** NO ACTIVITIES FOUND ***

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

*** NO OPERATING CATEGORIES FOUND ***

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

*** NO ACTIVITIES FOUND ***

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

| DEPARTMENT: 4150 | EXPENDITURES | FCO |
|--|--------------|-------|
| FINAL BUDGET FOR AGENCY (SECTION I): | 29,022,976 | |
| TOTAL BUDGET FOR AGENCY (SECTIONS II + III): | 28,925,103 | |
| | ----- | ----- |
| * DIFFERENCE: | 97,873 | |
| (MAY NOT EQUAL DUE TO ROUNDING) | ===== | ===== |

* The difference of \$97,885 is due to an approved budget unreleased amount from the Flair System
Replacement category 100781 from Fiscal Year 2023-2024 and rounding of -\$12.

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: October 15, 2024 |
| Project Name: | Is this project included in the Agency's LRPP? Yes _____ No _____ |
| FY 2025 - 2026 LBR Issue Code: | FY 2025 -2026 LBR Issue Title: |
| Agency Contact for Schedule XII (Name, Phone #, and E-mail address): | |
| AGENCY APPROVAL SIGNATURES | |
| I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII. | |
| Agency Head: | Date: |
| Printed Name: | |
| Agency Chief Information Officer: <i>(If applicable)</i> | Date: |
| Printed Name: | |
| Budget Officer: | Date: |
| Printed Name: | |
| Planning Officer: | Date: |
| Printed Name: | |
| Project Sponsor: | Date: |
| Printed Name: | |

SCHEDULE 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. |
| |

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

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

**SCHEDULE XIII
 PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT
 COMMODITY CONTRACTS
 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 <https://www.myfloridacfo.com/division/aa/state-agencies> 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 2024 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2025-2026 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 2025-2026 Estimate/Request Amount | |
|---|---|------|--------------------------------------|----------------------------|
| | | | Long Range Financial Outlook | Legislative Budget Request |
| a | Slot Machine Tax Collections (Educational Enhancement TF) | | 247,500,000 | 247,500,000 |
| 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.

* 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: |
| Phone: |
| E-mail address: |

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



Florida Gaming Control Commission

Pari-Mutuel Wagering

Budget Entity Level Exhibits or Schedules

**Fiscal Year
2025-2026**



Florida Gaming Control Commission

Pari-Mutuel Wagering

**41501040 / 41501050
Schedule I Series**

**Fiscal Year
2025-2026**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Florida Gaming Control Commission **Budget Period: 2025-2026**
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.)

| | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | 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.) |
| <input type="checkbox"/> | 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 | ESTIMATED | REQUEST |
|---|-----------------------|-----------------------|-----------------------|
| | FY 2023 - 2024 | FY 2024 - 2025 | FY 2025 - 2026 |
| <u>Receipts:</u> | | | |
| Fees (includes finger printing) | 1,464,569 | 1,632,360 | 1,386,344 |
| Licenses | 445,735 | 457,043 | 425,482 |
| Fines/Penalties/Miscellaneous | 158,876 | 136,526 | 136,526 |
| Taxes | 11,728,400 | 12,540,767 | 12,213,174 |
| Addictive Gambling Fund | 2,000,000 | 2,000,000 | 2,000,000 |
| Slot Licenses | 321,382 | 273,000 | 255,000 |
| Slot Taxes | 242,236,264 | 244,800,000 | 247,500,000 |
| Indian Gaming Compact Reimbursement | 276,640 | 250,000 | 250,000 |
| Total Fee Collection to Line (A) - Section III | 258,631,866 | 262,089,696 | 264,166,526 |

| SECTION II - FULL COSTS | | | |
|---|--------------------|--------------------|--------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits / Incentives | 14,180,015 | 19,715,190 | 20,469,083 |
| Other Personal Services | 756,647 | 1,500,765 | 1,503,919 |
| Expenses | 2,718,714 | 4,370,848 | 4,495,000 |
| Operating Capital Outlay | 20,430 | 33,895 | 163,111 |
| Acquisition of Motor Vehicles | 98,389 | 352,844 | 110,002 |
| Gambling Prevention Contract | 1,250,000 | 2,000,000 | 2,000,000 |
| TR/ Division of Admin Hearing | 16,322 | 16,198 | 16,198 |
| TR/State Atty/Slots | - | 337,184 | 338,100 |
| Contracted Services | 729,498 | 931,278 | 1,225,528 |
| FLAIR System Replacement | 69,648 | 720,031 | 398,140 |
| Cloud Computing Services | 288,511 | 295,000 | 5,039,400 |
| Contracted Legal Services | - | 500,000 | 500,000 |
| Operation/Maintenance of Motor/Patrol Vehicles | 81,677 | 155,743 | 155,743 |
| Risk Management | 165,271 | 86,934 | 86,934 |
| Tenant Broker Commissions | 24,110 | | - |
| Lease Purchases | 12,644 | 34,911 | 34,911 |
| Laboratory Contract | - | 1,916,000 | 1,916,000 |
| Stwd Law Enforce Radio System | - | 73,924 | 7,660 |
| TR/DMS/HR Services/Stw Contract | 70,335 | 72,407 | 73,815 |
| Transfer to DBPR for IT Services | 498,000 | 498,000 | 498,000 |
| Con/Pari-Mutuel Wagering/Compi Sys | 296,476 | 296,476 | 296,476 |
| Indirect Costs Charged to Trust Fund | 248,014,123 | 250,810,634 | 254,979,183 |
| Total Full Costs to Line (B) - Section III | 269,290,810 | 284,718,262 | 294,307,203 |

Basis Used: Accrual Basis

| SECTION III - SUMMARY | | | | |
|--------------------------------|-----|---------------------|---------------------|---------------------|
| TOTAL SECTION I | (A) | 258,631,866 | 262,089,696 | 264,166,526 |
| TOTAL SECTION II | (B) | 269,290,810 | 284,718,262 | 294,307,203 |
| TOTAL - Surplus/Deficit | (C) | (10,658,944) | (22,628,566) | (30,140,677) |

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2025 - 2026 |
| Trust Fund Title: | Florida Gaming Control Commission |
| Budget Entity: | Pari-Mutuel Wagering Trust Fund |
| LAS/PBS Fund Number: | Pari-Mutuel Wagering |
| | 2520 |

| | Balance as of 6/30/2024 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|-------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 987,064.07 | (A) | 0 | 987,064.07 |
| ADD: Other Cash (See Instructions) | 408.00 | (B) | 0 | 408.00 |
| ADD: Investments | 46,756,770.70 | (C) | 0 | 46,756,770.70 |
| ADD: Outstanding Accounts Receivable | 19,509,384.66 | (D) | 0 | 19,509,384.66 |
| ADD: _____ | | (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 67,253,627.43 | (F) | 0 | 67,253,627.43 |
| LESS Allowances for Uncollectibles | | (G) | 0 | 0 |
| LESS Approved "A" Certified Forwards | 1,145,460.67 | (H) | 0 | 1,145,460.67 |
| Approved "B" Certified Forwards | 566,704.66 | (H) | 0 | 566,704.66 |
| Approved "FCO" Certified Forwards | | (H) | 0 | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 19,184,493.03 | (I) | 0 | 19,184,493.03 |
| LESS: _____ | | (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/24 | 46,356,969.07 | (K) | 0 | 46,356,969.07 ** |

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: 2025 - 2026

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, 07/01/24

Total all GLC's 5XXXX for governmental funds; 46,839,575.24 (A)
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (566,704.66) (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories 3,671.90 (D)

Compensated Absenses 80,426.59 (D)

 (D)

 (D)

ADJUSTED BEGINNING TRIAL BALANCE: 46,356,969.07 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 46,356,969.07 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR FGCC REGULATORY, LICENSING, AND ENFORCEMENT SYSTEM

For Fiscal Year 2025-26



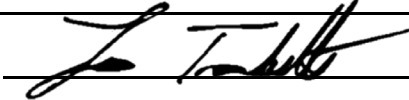



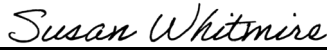
JULY 1, 2025

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: 10/15/2024 |
| Project Name: Regulatory, Licensing and Enforcement System | Is this project included in the Agency's LRPP? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| FY 2025-26 LBR Issue Code: 36002C0 | FY 2025-26 LBR Issue Title: Regulatory and Enforcement System |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Susan Whitmire, 850-794-8065, Susan.Whitmire@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:  | Date: 10/11/2024 |
| Printed Name: Louis Trombetta | |
| Agency Chief Information Officer (or equivalent):  | Date: 10/11/2024 |
| Printed Name: Susan Whitmire | |
| Budget Officer:  | Date: 10/11/2024 |
| Printed Name: Christine Hutton | |
| Planning Officer:  | Date: 10/11/2024 |
| Printed Name: Jason Brock | |
| Project Sponsor:  | Date: 10/11/2024 |
| Printed Name: Susan Whitmire | |
| 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

The Legislature established the Florida Gaming Control Commission (FGCC) on July 1, 2022, to meet the demands of licensure and regulation of the gambling industry and gambling-related activities in the growing state of Florida. The FGCC currently maintains 34 parimutuel license types and over 350,000 past and current licensees, facilities, and permit holders. The FGCC currently utilizes VERSA REG through a Memorandum of Understanding (MOU) with the Department of Business and Professional Regulation (DBPR) to conduct licensing activities. VERSA REG does not meet the regulatory, investigatory, and law enforcement needs the FGCC has been legislatively tasked with, and the FGCC is dependent on another agency to provide a licensing system. In the absence of the system, the FGCC cannot issue and renew licenses and complete associated tasks for parimutuel licenses and permit holders.

To fulfill the agency's core mission, the FGCC needs to purchase a cloud-based software as a solution licensing system that will provide regulatory, licensing, investigation, and law 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 (chatbot); 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 also position itself for future demands by securely and concurrently making business decisions to accommodate a growing customer base.

1. Business Need

FGCC issues and maintains 34 pari-mutuel license types, serving over 350,000 licensees, facilities, or permit holders. It also manages several terabytes of data in a semi-integrated document management system for parimutuel license documentation.

When FGCC was created in FY 2022-23, these system services were provided through an MOU with DBPR, with the understanding that these services would continue until FGCC procured its own independent Regulatory and Enforcement system to meet its evolving business needs. FGCC relies on DBPR for services, support, upgrades, and security patching through the Versa/OnBase/Versa Online systems and other small systems with limited access.

Change in Mission:

Initially, the DBPR VERSA systems met FGCC's needs under the DBPR umbrella. However, transitioning from a regulatory and licensing body to a regulatory, licensing, and law enforcement body has substantially changed our system requirements. Additionally, operating outside the DBPR network environment has introduced numerous operational inefficiencies and made the system challenging to use and adapt to our new business model.

Change in User Experience:

Since FGCC became an independent entity, user experience with the Versa system has deteriorated. FGCC and DBPR now operate on separate networks, complicating the user experience. Users must maintain three separate usernames and passwords, as well as two separate MFA credentials. This cumbersome login process consumes significant time, especially if users forget passwords or if passwords expire.

Password Changes:

When a DBPR user credential password expires, users face a lengthy process to reset it. Self-service password resets often fail, requiring users to open a ticket with the FGCC IT Help Desk, which then must coordinate with DBPR's help desk. This process lacks a defined SLA and can take hours or even days. OnBase password resets are similarly cumbersome, handled by a single trained DBPR help desk individual, and passwords expire every 90 days without notification. FGCC has submitted 544 tickets for these resets. This number does not include self-service, calls directly to DBPR, or resets for multiple users on a single ticket.

Operational Inefficiencies/Work Experience Differences:

SCHEDULE IV-B FOR FGCC REGULATORY, LICENSING, AND ENFORCEMENT SYSTEM

1. Document Scanning and Processing:
 - OnBase requires a process called “disconnected scanning”, which is prone to issues like inconsistent connections and the need for frequent profile rebuilds, delaying application processing. Disconnected scanning is new to the user experience. When FGCC was within the DBPR network, this service was not required. Since we are now in a separate network, this process is uniquely FGCC and highly problematic requiring IT intervention every time the user reboots their computer.
 - Users must navigate three applications (Versa Regulation, Disconnected Scanning, and OnBase) to complete one task, leading to delays and potential errors.
2. Application Processing:
 - Separate logins and frequent timeouts in Versa hinder productivity. Transactions may take from seconds to over 20 minutes, causing significant delays.
 - Inability to move across tabs in Versa without losing progress further complicates workflows.
 - Transaction times- some FGCC transactions are at 10+ minutes.
3. Downtime:
 - FGCC outages in Versa and OnBase disrupt operations. Full system outages have exceeded 7.5 hours since March 2024.
4. Renewal Processes:
 - Versa does not support pre-programmed renewals, requiring FGCC to request renewal batch jobs months in advance.
5. Reporting:
 - FGCC's Limited reporting capabilities in Versa and OnBase hinder effective productivity and workload management. Qlik, intended to enhance reporting, lacks adequate training and setup.
 - FGCC's lack of access to the data, data tables, and other essential items, such as a data dictionary, means we cannot report on our data.
6. User Permissions:
 - The granularity of permissions in Versa is insufficient, either too broad or restrictive, affecting daily work. Enforcing the least permissions means that users often do not have all the functionality necessary to do their jobs.
7. Collection of fees and credit card payments:
 - FGCC must rely on DBPR to collect and process payments. This causes delays and complicates FGCC's financial responsibilities
8. Restricted changes:
 - FGCC is not able to merge budget entities or complete account cleanup for Florida PALM and other operational/structural changes.

Lack of Control and Strategic Oversight:

FGCC has no operational or strategic control over the systems. All programming changes and corrections must be routed through DBPR, leading to delays. The dependency on DBPR for after-hours support is particularly problematic, as FGCC operates beyond standard hours to support law enforcement and licensing at horse racing facilities.

Security and Compliance Risks:

Versa Reg does not meet FGCC's ongoing responsibilities. The outdated system is not built for FGCC's specific needs, resulting in operational inefficiencies and security vulnerabilities. FGCC cannot assess risks due to a lack of visibility into data structures and security controls.

Security patching is outdated, and the system does not meet industry security standards. FGCC users must operate with outdated software, such as Office 2019 instead of M365, further compromising security and productivity. Frequent system outages hinder FGCC's ability to conduct business effectively.

An FGCC-centric system is crucial for addressing these challenges. Without it, FGCC will continue to face operational inefficiencies, security vulnerabilities, and an inability to serve constituents effectively. Relying on DBPR for continued licensing system access and support is not a sustainable long-term solution.

2. Business Objectives

The Florida Gaming Control Commission (FGCC) requests \$4,821,365, budget authority in the Pari-Mutual Wagering Trust Fund within the Executive Direction and Support Services budget entity to procure a Regulatory, Licensing and Enforcement and staff augmentation.

This is a two-phase project that will span two fiscal years.

Phase one (FY 25/26) FGCC is requesting:

- \$4,500,000 will be used to build a regulatory, licensing, and enforcement system. This includes the configuration of the new system.
- \$2,000,000 of which is non-recurring cloud and \$2,500,000 in recurring cloud money for subscription costs. * The agency currently has an RFI to confirm the cost and availability of a solution to fit our needs.
- \$200,000 in non-recurring contracted services dollars for project management support.

Phase two (FY 26/27) FGCC estimates at \$3,500,000, non-recurring, but we will have more information at the completion of the RFI process. FY 26/27 (or sooner, depending on procured solution implementation), recurring funds of \$498,000 paid to DBPR for licensing service will no longer be needed.

This approach will allow the FGCC to:

- Remediate operational inefficiencies and work experience variations.
- 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.
- Provide an enhanced applicant portal to reduce the number of deficient applications submitted and received by the agency, lessen call volumes, and help provide a modern and improved customer-centric experience.
- Automate information gathering to reduce repetitive, manual, and paper-driven business processes.
- Facilitate 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.
- Maintain a secure environment.
- Integrate Gaming Enforcement operations.

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

This issue supports 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 business areas and various functions within them 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 with 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 collecting and documenting data to review, monitor, and present to appropriate parties for action.
- Information activities include response to public records requests, records retention, collection and compilation of licensure data for reporting, data security, 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 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 perform a fit-gap analysis of processes and interfaces, develop and execute any identified modifications needed for existing business processes, ensure data integrity and validating data migration, and ensure all required documentation for the project and operational needs is completed and delivered.
- The FGCC IT support staff will follow the agency's policies and project management methodologies.
- The FGCC's existing systems, which are used through an MOU with DBPR, will continue to be supported and maintained during the life of this project.
- The system will 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.
- Phase two funding availability.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

To meet licensing, regulation, and enforcement needs in Florida, the FGCC requires a modern and integrated licensure and enforcement system that provides more efficient processing, consistency, and improved data integrity with supported and stable platforms. The system solution will maintain the core functions of licensing application processing, auditing, investigation, complaint evaluation, and database functions currently managed through VERSA REG while capturing technology advances and allowing for the FGCC to conduct business as needed. The solution is intended to provide FGCC staff with an efficient, user-friendly licensing system that improves workflow and reduces repetitive, manual processes while aligning with the business requirements of an independent agency. It will also allow integration of key elements necessary for Gaming Enforcement investigations and enforcement actions.

Basic components include:

- Administrative Tool: A licensing system used by FGCC staff to conduct business, such as application processing, auditing, investigations, and law enforcement actions that shall be accessed through a secure login.
- Application Management: Ability to adjust the system to accommodate key business processes of

SCHEDULE IV-B FOR FGCC REGULATORY, LICENSING, AND ENFORCEMENT SYSTEM

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 streamline 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 utilizes 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 the ability to ingest and map documents from existing document management system to records in the proposed system.
- Public Interface: A website interface that is available to the public and does not require a user to log into a secure location, such as licensure verification.
- 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: An online portal for customer engagement that allows for the submission of applications and supporting documentation and 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 function reliably with high availability.
- 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 | <ul style="list-style-type: none"> ○ Public Law (PL), 104-191, Health Insurance Portability and Accountability Act of 1996 |
| Data Security and Privacy | <ul style="list-style-type: none"> ○ 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 | <ul style="list-style-type: none"> ○ Florida Statute 282.201, State data center ○ Florida Administrative Code Rule Chapter 60GG-3 Data Center Operations |
| Cloud Policy | <ul style="list-style-type: none"> ○ Florida Statute 282.206, Cloud-first policy in state agencies ○ Florida Administrative Code Rule Chapter 60GG-4 Cloud Computing |
| Project Management | <ul style="list-style-type: none"> ○ 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)

2. Business Solution Alternatives

FGCC does not own or operate a licensing system but is granted the use of a DBPR-owned and maintained licensing system, VERSA REG. VERSA REG does not meet the regulatory, investigatory, and law enforcement needs the FGCC has been legislatively tasked with, and the FGCC is dependent on another agency to provide a licensing system. In the absence of, or downtime in the system, the FGCC has no ability to issue and renew licenses and complete associated tasks for parimutuel licenses and permit holders. Additionally, the FGCC has no ability to enhance or manage its own processes and systematic needs. Versa Reg is an antiquated system that handles licensing for all license types in DBPR. As such, the system's design is based on the greater good of all license types, and therefore, processes and offerings are generic. Customization is limited, and FGCC has no voice in the design, maintenance, security, or enhancement of the system.

There are currently no other business alternatives available since FGCC does not have an independent licensing solution. Due to the quantity of licenses, data validation, cash processing, and real-time issuance of licenses, including screening, a manual process outside of a system is not viable.

3. Rationale for Selection

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

The FGCC is currently reliant on system access through an MOU with DBPR. The DBPR system is nearing the end of its life (no longer offered by the vendor), 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. FGCC is completely dependent on DBPR to manage users, user access, and security. Still, because we are in our own technical environment, DBPR can offer no assistance when their solution does not work in FGCC's modern environment, which greatly impacts FGCC's ability to regulate the gaming industry efficiently.

FGCC intends to conduct an ITN to identify and select a solution. A cloud-based SaaS is being proposed to meet the following needs:

- Support the licensing and maintenance of parimutuel licensees, permit holders, and facilities regulated under the FGCC, as well as support its legal and law enforcement responsibilities.

- 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.

4. Recommended Business Solution

The FGCC seeks a robust, cloud-based SaaS system that aligns with its mission-critical tasks and functions. The desired system must meet the following requirements:

- **Configurability and Deployment:** Easily configurable and deployable to accommodate changes.
- **User Interface:** Fully compatible with mobile devices, including Apple and Android, and easy to maintain.
- **Hosting Options:** Flexible, cost-effective hosting options, including public cloud.
- **API Service Layer:** Modern, secure web application programming interface for back-end interaction.
- **Security:** Robust security at all levels.
- **Workflow Solution:** Streamlined business processes across multiple groups.
- **Extendable Source Code:** This code is designed for future growth, allowing technical staff to build extensions and enhancements without impairing existing functions.
- **Data Conversion:** Seamless data conversion from the existing system.
- **FedRAMP Compliance:** Secure, cloud-based solution compliant with FedRAMP.
- **Automation:** Automate business processes and communications to reduce application processing times and manual review.
- **Document Management:** Manage documentation related to para-mutuel licensing and all FGCC documents, eliminating the need for other solutions for non-license-based documents.

The new system will enable FGCC to function independently and efficiently, closing open security vulnerabilities and aligning with industry technology standards. It will support various regulatory, licensing, investigation, and enforcement activities, including:

- Application processing and reporting
- Mobile inspections
- License renewal and updates
- Enforcement activities (complaint intake, investigations, case management, legal activities)
- Law Enforcement activities
- Payment tracking and audit functions
- Configurable workflow solution
- Interfaces to auxiliary systems (document management, license look-up, AI solutions like chatbots)
- Batch and web service information exchanges with other agencies
- Cybersecurity management

The integrated document management solution will handle documentation for para-mutuel licensing, investigations, legal, and law enforcement functions. It will also manage all FGCC documents, eliminating the need for other document management solutions.

As a new agency transitioning to a regulatory and law enforcement body, FGCC requires detailed requirements and an ITN to procure a SaaS system. FGCC has completed documenting system and document management requirements. Working with Gartner, FGCC has conducted a market scan and found many suitable products—an RFI in underway to firm up budgetary estimates and availability of viable solutions.

FGCC plans to procure the SaaS system in FY 2025-26, with phase I implementation beginning in the second half of the fiscal year after successful procurement. Phase II is scheduled for FY 2026-27. The ITN for this procurement is in draft form. The new system will enable FGCC to securely conduct business and act as custodians of the public

good. It requires transparent and auditable storage and processing solutions, highly available data, infrastructural improvement options, and modern, secure authentication methods to protect against security threats.

The absence of the ability to procure a solution would impact the FGCC through:

- **Operational Inefficiencies:** FGCC must work around the operational inefficiencies of the existing system, which negatively impact workload, timeliness, and customer satisfaction and, harm staff morale and retention.
- **Dependency on DBPR:** Due to an MOU established at its inception, FGCC will remain dependent on DBPR for services, upgrades, and security patching, limiting its autonomy and responsiveness.
- **Outdated and Unsupported Solution:** Given the age and brittle nature of the current solution and the fact that the vendor no longer supports it, FGCC will need to modify its business practices as Versa Reg does not meet ongoing responsibilities.
- **Lack of Control:** Since the current systems are owned and operated by DBPR, FGCC will continue to have no operational or strategic control, which will affect its ability to implement necessary changes and improvements.
- **Legislative Influence:** The inability to change the existing system has shaped FGCC's legislative proposals, restricting its strategic direction and growth.
- **Structural and business changes:** FGCC cannot merge budget entities, complete account cleanup for Palm, or make other operational/organizational changes.
- **Security Risks:** FGCC's internal networks will remain at risk due to the inability to utilize current software versions, exposing the organization to potential security threats.
- **Disrupted Productivity:** System outages and support issues will continue to impact or halt daily business processes and productivity, reducing overall efficiency.
- **Inadequate System:** The current DBPR system will continue not to fit FGCC's needs or allow for future growth, leading to poor public service, opacity in business systems, and expensive maintenance of obsolete technologies, wasting skilled labor.

D. Functional and Technical Requirements

The functional requirements documentation developed by the FGCC 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 | FY 2026/2027 |
| 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 Increase in customer self-service through decreased requests of | FGCC Staff Licensees, permitholders and facilities Florida residents | FY 2026/2027 |

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|--|---|---------------------------------|--------------|
| | | staff | | |
| 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 | FY 2026/2027 |
| 4 | A solution that provides a consistent experience for users. | Staff satisfaction Identification of training needs | FGCC Staff External Partners | FY 2026/2027 |
| 5 | A solution that is configurable as business processes change to meet industry evolution. | Configuration ability by staff | FGCC Staff | FY 2026/2027 |

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. | FY 2026/2027 |
| 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. | FY 2026/2027 |

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.

| Cost Benefit Analysis | | | | | | | | | |
|---|---|-------------------------------|-------------------|------------------------------|-------------------|--------------------------------|-----------------------|--------------------------------------|---------------|
| Form | Description of Data Captured | | | | | | | | |
| CBA Form 1 - Net Tangible Benefits | Agency Program Cost Elements: The program does not currently have operational costs. This is a new system request. The cost will continue each year based on the benefits realization table above. | | | | | | | | |
| CBA Form 2 - Project Cost Analysis | This project will be funded through the Pari-Mutuel Wagering Trust Fund and is estimated at \$10,700,000 over the next five years. This project aims to provide the FGCC with the ability to conduct licensure, regulatory, and enforcement tasks through a solution with an encrypted, role-based cloud solution. Staff augmentation support staff will be required for phase one. | | | | | | | | |
| CBA Form 3 - Project Investment Summary | <table border="1"> <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>(\$18,072,381)</td> </tr> <tr> <td>Internal Rate of Return (IRR)</td> <td>NO IRR</td> </tr> </table> | Payback Period (years) | NO PAYBACK | Breakeven Fiscal Year | NO PAYBACK | Net Present Value (NPV) | (\$18,072,381) | Internal Rate of Return (IRR) | NO IRR |
| Payback Period (years) | NO PAYBACK | | | | | | | | |
| Breakeven Fiscal Year | NO PAYBACK | | | | | | | | |
| Net Present Value (NPV) | (\$18,072,381) | | | | | | | | |
| Internal Rate of Return (IRR) | NO IRR | | | | | | | | |

V. Schedule IV-B Major Project Risk Assessment

| | | |
|--|--|----------------------|
| Project | <i>Regulatory, Licensing, and Enforcement System</i> | |
| Agency | <i>Florida Gaming Control Commission</i> | |
| FY 2025-26 LBR Issue Code: | FY 2025-26 LBR Issue Title: | |
| <i>Issue Code</i> | <i>Issue Title</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Jason Brock, 850-672-2942, Jason.Brock@figaming.gov</i> | | |
| Executive Sponsor | <i>Susan Whitmire</i> | |
| Project Manager | <i>Jason Brock</i> | |
| Prepared By | <i>Jason Brock</i> | <i>9/12/2024</i> |
| Risk Assessment Summary | | |
| Business Strategy | | |
| | Level of Project Risk | |
| Project Risk Area Breakdown | | |
| Risk Assessment Areas | | <i>Risk Exposure</i> |
| Strategic Assessment | | MEDIUM |
| Technology Exposure Assessment | | MEDIUM |
| Organizational Change Management Assessment | | MEDIUM |
| Communication Assessment | | MEDIUM |
| Fiscal Assessment | | HIGH |
| Project Organization Assessment | | MEDIUM |
| Project Management Assessment | | MEDIUM |
| Project Complexity Assessment | | HIGH |
| <i>Overall Project Risk</i> | | HIGH |

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

The FGCC does not own or operate a licensing system but is granted the use of a DBPR-owned and maintained licensing system, VERSA REG. VERSA REG does not meet the regulatory, investigatory, and enforcement needs the FGCC has been legislatively tasked with, and the FGCC is dependent on another agency to provide a licensing system. In the absence of, or downtime in, the system, the FGCC cannot issue and renew licenses and complete associated tasks for parimutuel licenses and permit holders. Additionally, the FGCC cannot enhance or manage its own processes and systematic needs. Versa Reg is an antiquated system that handles licensing for all license types in DBPR. As such, the system's design is based on the greater good of all license types, and therefore, processes and offerings are generic. Customization is limited, and FGCC has no voice in the design, maintenance, security, or enhancement of the system.

a. Description of Current System

VERSA REG (a highly customized COTS) is used for licensure activities, and OnBase is used for document management. FGCC has little visibility into the technical solution and no ability to maintain this system; we are limited to user roles within the system. The FGCC 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, permit holders, and facility records across 34 license types. DBPR provides access and maintenance of VERSA REG through an MOU.

2. Information Technology Standards

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

B. Current Hardware and/or Software Inventory

The Florida Gaming Control Commission does not own hardware and/or software related to this system. Hardware and software are provided by the Department of Business and Professional Regulation through an MOU. VERSA REG is not a cloud or SaaS solution, but a highly customized COTS.

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:

a. SaaS Vendor system solution

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

b. COTS Solution

These solutions allow for faster technology integration, reduced development time, and lower initial costs. However, the FGCC is a cloud-only environment and does not have the infrastructure and staff to manage a software solution.

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 business's needs. Hiring a team of highly skilled staff in a competitive marketplace would postpone the implementation of a solution and increase risk due to turnover.

2. Rationale for Selection

The 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 regulation, licensing, and enforcement solution. We are recommending a SaaS vendor-managed system 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 agency'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 and persistent session management stored separately from the application tier to allow for limited user experience interruptions. We recommend 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. It should also capture technology advances that automate repetitive workflows and tasks and provide comprehensive case management, document management, and data analysis and reporting.

D. Proposed Solution Description

1. Summary Description of Proposed System

The cloud-based SaaS system will meet the following requirements:

- Configurability and Deployment: Easily configurable and deployable to accommodate changes.
- User Interface: Fully compatible with mobile devices, including Apple and Android, and easy to maintain.
- Hosting Options: Flexible, cost-effective hosting options, including public cloud.
- API Service Layer: Modern, secure web application programming interface for back-end interaction.
- Security: Robust security at all levels.
- Workflow Solution: Streamlined business processes across multiple groups.
- Extendable Source Code: This code is designed for future growth, allowing technical staff to build extensions and enhancements without impairing existing functions.
- Data Conversion: Seamless data conversion from the existing system.
- FedRAMP Compliance: Secure, cloud-based solution compliant with FedRAMP.
- Automation: Automate business processes and communications to reduce application processing times and manual review.
- Document Management: Manage documentation related to para-mutuel licensing and all FGCC documents, eliminating the need for other solutions for non-license-based documents.

The new system will enable FGCC to function independently and efficiently, closing open security vulnerabilities and aligning with industry technology standards. It will support various regulatory, licensing, investigation, and enforcement activities, including:

- Application processing and reporting
- Mobile inspections
- License renewal and updates
- Enforcement activities (complaint intake, investigations, case management, legal activities)
- Law Enforcement activities
- Payment tracking and audit functions
- Configurable workflow solution
- Interfaces to auxiliary systems (document management, license look-up, AI solutions like chatbots)
- Batch and web service information exchanges with other agencies
- Cybersecurity management

The integrated document management solution will handle documentation for para-mutuel licensing, investigations, legal, and law enforcement functions. It will also manage all FGCC documents, eliminating the need for other document management solutions.

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

The new system will require recurring operational costs for using the platform and cloud hosting. It is anticipated that additional contract positions may be required to support the systems.

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

Currently, VERSA REG access is provided to the FGCC under an MOU with the Department of Business and Professional Regulation. The FGCC was established as an independent commission on July 1, 2022, creating the need to procure a secure, independent system. The FGCC currently provides licensing and regulation of 34 parimutuel license types, and over 350,000 past and current licensees, facilities, and permit holders in the state of Florida. It is anticipated that the demand on a system will be equal to, or greater, over time as the industry and regulations continue to evolve.

VII. Schedule IV-B Project Management Planning

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

| | Years 0 (FY22-23, 23-24, 24-25) | Year 1 (FY25-26 pending funding) | Year 2 (FY26-27 pending funding) |
|---------------------|--|---|---|
| Phase | Requirements and Information Gathering | Planning and Contracting | Development and Transition |
| Key Activity | <ul style="list-style-type: none"> • Kick-off meeting • Requirements gathering and analysis • Documentation development • RFI | <ul style="list-style-type: none"> • ITN • Contract development • Contract procurement • Gap analysis • System design • Data Migration Mapping • Test Plan development | <ul style="list-style-type: none"> • Migration • UAT • Go-Live |
| Deliverables | Milestones: <ul style="list-style-type: none"> • Gartner Market Analysis • Business workflows • Requirements documentation • RFI documentation | Milestones: <ul style="list-style-type: none"> • Vendor/ solution selection • Contract execution • D1 – Gap analysis • D2 – Design documentation • D3 – Test plan • D4 – Demonstrations | Milestones: <ul style="list-style-type: none"> • D5 – UAT Scripts • D6 – Go-Live acceptance • D7 – Transition plan |

VIII. Appendices

Appendix A

Cost Benefit Analysis

Appendix B

Risk Assessment

Appendix C

Business Flow Chart

Appendix D

Business requirements

APPENDIX A - COST BENEFIT ANALYSIS

CBAForm 1 - Net Tangible Benefits

| | | | |
|---------------|--|----------------|--|
| Agency | <u>Florida Gaming Control Commission</u> | Project | <u>Regulatory & Enforcement System</u> |
|---------------|--|----------------|--|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency <i>(Recurring Costs Only -- No Project Costs)</i> | FY 2025-26 | | | FY 2026-27 | | | FY 2027-28 | | | FY 2028-29 | | | FY 2029-30 | | |
| | (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 | \$200,000 | \$200,000 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A.b Total Staff | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A-1.a. State FTEs (Salaries & Benefits) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A-1.b. State FTEs (#) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A-2.a. OPS Staff (Salaries) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A-2.b. OPS (#) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A-3.a. Staff Augmentation (Contract Cost) | \$0 | \$200,000 | \$200,000 | \$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 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-2. Hardware | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-3. Software | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-4. Other | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C. Data Center Provider Costs | \$0 | \$2,000,000 | \$2,000,000 | \$0 | \$3,500,000 | \$3,500,000 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-2. Infrastructure | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-3. Network / Hosting Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-4. Disaster Recovery | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-5. Other <i>System setup and configuration</i> | \$0 | \$2,000,000 | \$2,000,000 | \$0 | \$3,500,000 | \$3,500,000 | \$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 | \$2,500,000 | \$2,500,000 | \$2,500,000 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-1. Training | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-2. Travel | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-3. Other <i>Subscription</i> | \$0 | \$2,500,000 | \$2,500,000 | \$2,500,000 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Total of Recurring Operational Costs | \$0 | \$4,700,000 | \$4,700,000 | \$2,500,000 | \$3,500,000 | \$3,500,000 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| F. Additional Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-1. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-2. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | (\$4,700,000) | | | (\$3,500,000) | | | \$0 | | | \$0 | | | \$0 | |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B | | | |
|--|-------------------------------------|------------------|------|
| Choose Type | Estimate Confidence | Enter % (+/-) | |
| Detailed/Rigorous | <input type="checkbox"/> | Confidence Level | |
| Order of Magnitude | <input type="checkbox"/> | Confidence Level | |
| Placeholder | <input checked="" type="checkbox"/> | Confidence Level | 100% |

APPENDIX A - COST BENEFIT ANALYSIS

Florida Gaming Control Commission

Regulatory & Enforcement System

CBA Form 2A Baseline Project Budget

Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.

| Item Description <i>(remove guidelines and annotate entries here)</i> | Project Cost Element | Appropriation Category | Current & Previous Years Project-Related Cost | FY2025-26 | | FY2026-27 | | FY2027-28 | | FY2028-29 | | FY2029-30 | | TOTAL | |
|---|---------------------------------------|------------------------|---|------------------|------------------|------------------|------------------|------------------|--------------|-----------|----------|-----------|----------|-------|---------------|
| | | | | YR 1 # | YR 1 LBR | YR 2 # | YR 2 LBR | YR 3 # | YR 3 LBR | YR 4 # | YR 4 LBR | YR 5 # | YR 5 LBR | TOTAL | |
| | | | | YR 1 Base Budget | YR 2 Base Budget | YR 3 Base Budget | YR 4 Base Budget | YR 5 Base Budget | TOTAL | | | | | | |
| Costs for all state employees working on the project. | FTE | S&B | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - |
| Costs for all OPS employees working on the project. | OPS | OPS | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - |
| Staffing costs for personnel using Time & Expense. | Staff Augmentation | Contracted Services | \$ - | 0.00 | \$ 200,000 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ 200,000 |
| Project management personnel and related deliverables. | Project Management | Contracted Services | \$ - | 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 | \$ - | \$ - |
| Staffing costs for all professional services not included in other categories. | Consultants/Contractors | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - |
| Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis | Contracted Services | \$ - | | \$ 4,500,000 | \$ - | | \$ 3,500,000 | \$ 2,500,000 | | \$ - | \$ - | | \$ - | \$ 10,500,000 |
| Hardware purchases not included in data center services. | Hardware | OCO | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - |
| 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. | Other Services | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - |
| Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail) | Equipment | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - |
| Include costs associated with leasing space for project personnel. | Leased Space | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - |
| Other project expenses not included in other categories. | Other Expenses | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - |
| Total | | | \$ - | 0.00 | \$ 4,700,000 | \$ - | 0.00 | \$ 3,500,000 | \$ 2,500,000 | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ 10,700,000 |

APPENDIX A - COST BENEFIT ANALYSIS

CBAForm 2 - Project Cost Analysis

| | |
|---|--|
| Agency <u>Florida Gaming Control Commission</u> | Project <u>Regulatory & Enforcement System</u> |
|---|--|

| PROJECT COST SUMMARY | PROJECT COST SUMMARY (from CBAForm 2A) | | | | | TOTAL |
|---|--|--------------|--------------|--------------|--------------|--------------|
| | FY 2025-26 | FY 2026-27 | FY 2027-28 | FY 2028-29 | FY 2029-30 | |
| TOTAL PROJECT COSTS (*) | \$4,700,000 | \$6,000,000 | \$0 | \$0 | \$0 | \$10,700,000 |
| CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i> | \$4,700,000 | \$10,700,000 | \$10,700,000 | \$10,700,000 | \$10,700,000 | |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet. | | | | | | |

| PROJECT FUNDING SOURCES | PROJECT FUNDING SOURCES - CBAForm 2B | | | | | TOTAL |
|--|--------------------------------------|--------------|--------------|--------------|--------------|--------------|
| | FY 2025-26 | FY 2026-27 | FY 2027-28 | FY 2028-29 | FY 2029-30 | |
| General Revenue | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Trust Fund - Pari-Mutuel Wagering | \$4,700,000 | \$6,000,000 | \$0 | \$0 | \$0 | \$10,700,000 |
| Federal Match <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$4,700,000 | \$6,000,000 | \$0 | \$0 | \$0 | \$10,700,000 |
| CUMULATIVE INVESTMENT | \$4,700,000 | \$10,700,000 | \$10,700,000 | \$10,700,000 | \$10,700,000 | |

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

APPENDIX A - COST BENEFIT ANALYSIS

CBAForm 3 - Project Investment Summary

Agency Florida Gaming Control Commission

Project Regulatory & Enforcement System

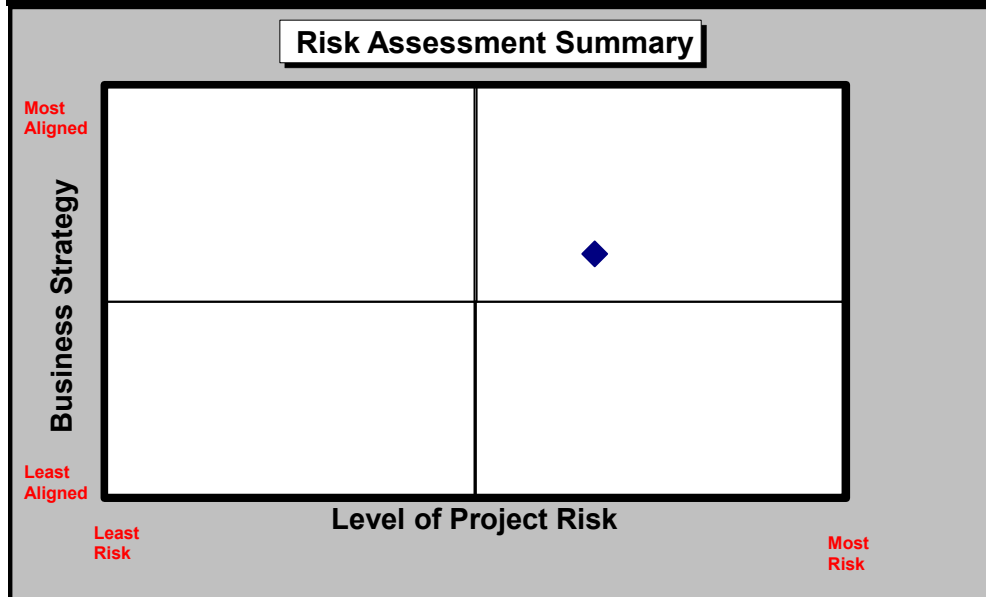
| COST BENEFIT ANALYSIS -- CBAForm 3A | | | | | | |
|---|---------------|---------------|------------|------------|------------|---------------------|
| | FY 2025-26 | FY 2026-27 | FY 2027-28 | FY 2028-29 | FY 2029-30 | TOTAL FOR ALL YEARS |
| Project Cost | \$4,700,000 | \$6,000,000 | \$0 | \$0 | \$0 | \$10,700,000 |
| Net Tangible Benefits | (\$4,700,000) | (\$3,500,000) | \$0 | \$0 | \$0 | (\$8,200,000) |
| Return on Investment | (\$9,400,000) | (\$9,500,000) | \$0 | \$0 | \$0 | (\$18,900,000) |
| Year to Year Change in Program Staffing | 0 | 0 | 0 | 0 | 0 | |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B | | |
|---|----------------|---|
| Payback Period (years) | NO PAYBACK | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | NO PAYBACK | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | (\$18,072,381) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | NO IRR | IRR is the project's rate of return. |

| Investment Interest Earning Yield -- CBAForm 3C | | | | | |
|---|------------|------------|------------|------------|------------|
| Fiscal Year | FY 2025-26 | FY 2026-27 | FY 2027-28 | FY 2028-29 | FY 2029-30 |
| Cost of Capital | 2.90% | 3.10% | 3.30% | 3.40% | 3.50% |

APPENDIX B - RISK ASSESSMENT

| | | |
|---|--|------------------|
| Project | <i>Regulatory, Licensing, and Enforcement System</i> | |
| Agency | <i>Florida Gaming Control Commission</i> | |
| FY 2025-26 LBR Issue Code: | FY 2025-26 LBR Issue Title: | |
| <i>36002C0</i> | <i>Regulatory and Enforcement System</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Jason Brock, 850-672-2942, Jason.Brock@flgaming.gov</i> | | |
| Executive Sponsor | <i>Susan Whitmire</i> | |
| Project Manager | <i>Jason Brock</i> | |
| Prepared By | <i>Jason Brock</i> | <i>9/12/2024</i> |



| 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 | HIGH |
| Project Organization Assessment | MEDIUM |
| Project Management Assessment | MEDIUM |
| Project Complexity Assessment | HIGH |
| Overall Project Risk | |
| HIGH | |

APPENDIX B - RISK ASSESSMENT

Agency: Florida Gaming Control Commission

Project: Regulatory, Licensing, and Enforcement System

| Section 1 -- Strategic Area | | | |
|-----------------------------|---|--|---|
| # | Criteria | Values | Answer |
| 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 |
| | | 41% to 80% -- Some objectives aligned | |
| | | 81% to 100% -- All or nearly all objectives aligned | |
| 1.02 | Are project objectives clearly documented and understood by all stakeholder groups? | Not documented or agreed to by stakeholders | Informal agreement by stakeholders |
| | | Informal agreement by stakeholders | |
| | | Documented with sign-off by stakeholders | |
| 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 |
| | | Most regularly attend executive steering committee meetings | |
| | | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings | |
| 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 |
| | | Vision is partially documented | |
| | | Vision is completely documented | |
| 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 |
| | | 41% to 80% -- Some defined and documented | |
| | | 81% to 100% -- All or nearly all defined and documented | |
| 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | No changes needed |
| | | Changes unknown | |
| | | Changes are identified in concept only | |
| | | Changes are identified and documented | |
| | | Legislation or proposed rule change is drafted | |
| 1.07 | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions? | Few or none | Some |
| | | Some | |
| | | All or nearly all | |
| 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 |
| | | Moderate external use or visibility | |
| | | Extensive external use or visibility | |
| 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 |
| | | Single agency-wide use or visibility | |
| | | Use or visibility at division and/or bureau level only | |
| 1.10 | Is this a multi-year project? | Greater than 5 years | Between 1 and 3 years |
| | | Between 3 and 5 years | |
| | | Between 1 and 3 years | |
| | | 1 year or less | |

APPENDIX B - RISK ASSESSMENT

Agency: Florida Gaming Control Commission

Project: Regulatory, Licensing, and Enforcement System

| Section 2 -- Technology Area | | | |
|------------------------------|--|--|--|
| # | Criteria | Values | Answer |
| 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 |
| | | Supported prototype or production system less than 6 months | |
| | | Supported production system 6 months to 12 months | |
| | | Supported production system 1 year to 3 years | |
| | | Installed and supported production system more than 3 years | |
| 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 |
| | | External technical resources will be needed through implementation only | |
| | | Internal resources have sufficient knowledge for implementation and operations | |
| 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 |
| | | Some alternatives documented and considered | |
| | | All or nearly all alternatives documented and considered | |
| 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 |
| | | Some relevant standards have been incorporated into the proposed technology | |
| | | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards | |
| 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 |
| | | Moderate infrastructure change required | |
| | | Extensive infrastructure change required | |
| | | Complete infrastructure replacement | |
| 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 |
| | | Capacity requirements are defined only at a conceptual level | |
| | | Capacity requirements are based on historical data and new system design specifications and performance requirements | |

APPENDIX B - RISK ASSESSMENT

Agency: Florida Gaming Control Commission

Project: Regulatory, Licensing, and Enforcement System

| Section 3 -- Organizational Change Management Area | | | |
|--|--|--|--|
| # | Criteria | Values | Answer |
| 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 |
| | | Moderate changes to organization structure, staff or business processes | |
| | | Minimal changes to organization structure, staff or business processes structure | |
| 3.02 | Will this project impact essential business processes? | Yes | Yes |
| | | No | |
| 3.03 | Have all business process changes and process interactions been defined and documented? | 0% to 40% -- Few or no process changes defined and documented | 81% to 100% -- All or nearly all processes defined and documented |
| | | 41% to 80% -- Some process changes defined and documented | |
| | | 81% to 100% -- All or nearly all processes defined and documented | |
| 3.04 | Has an Organizational Change Management Plan been approved for this project? | Yes | No |
| | | No | |
| 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 |
| | | 1% to 10% FTE count change | |
| | | Less than 1% FTE count change | |
| 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 |
| | | 1 to 10% contractor count change | |
| | | Less than 1% contractor count change | |
| 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 |
| | | Moderate changes | |
| | | Minor or no changes | |
| 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 |
| | | Moderate changes | |
| | | Minor or no changes | |
| 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) |
| | | Recently completed project with fewer change requirements | |
| | | Recently completed project with similar change requirements | |
| | | Recently completed project with greater change requirements | |

APPENDIX B - RISK ASSESSMENT

Agency: Florida Gaming Control Commission

Project: Regulatory, Licensing, and Enforcement System

| Section 4 -- Communication Area | | | |
|---------------------------------|--|--|--|
| # | Criteria | Value Options | Answer |
| 4.01 | Has a documented Communication Plan been approved for this project? | Yes | No |
| | | No | |
| 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 |
| | | Routine feedback in Plan | |
| | | Proactive use of feedback in Plan | |
| 4.03 | Have all required communication channels been identified and documented in the Communication Plan? | Yes | Yes |
| | | No | |
| 4.04 | Are all affected stakeholders included in the Communication Plan? | Yes | Yes |
| | | No | |
| 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 |
| | | Some key messages have been developed | |
| | | All or nearly all messages are documented | |
| 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 |
| | | Success measures have been developed for some messages | |
| | | All or nearly all messages have success measures | |
| 4.07 | Does the project Communication Plan identify and assign needed staff and resources? | Yes | Yes |
| | | No | |

APPENDIX B - RISK ASSESSMENT

Agency: Florida Gaming Control Commission

Project: Regulatory, Licensing, and Enforcement System

| Section 5 -- Fiscal Area | | | |
|--------------------------|--|---|---|
| # | Criteria | Values | Answer |
| 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes No | No |
| 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 81% to 100% -- All or nearly all defined and documented | 41% to 80% -- Some defined and documented |
| 5.03 | What is the estimated total cost of this project over its entire lifecycle? | Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K | Between \$2 M and \$10 M |
| 5.04 | Is the cost estimate for this project based on quantitative analysis using a standard-based estimation model? | Yes No | Yes |
| 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% Placeholder – actual cost may exceed estimate by more than 100% | Order of magnitude – estimate could vary between 10-100% |
| 5.06 | Are funds available within existing agency resources to complete this project? | Yes No | No |
| 5.07 | Will/should multiple state or local agencies help fund this project or system? | Funding from single agency Funding from local government agencies Funding from other state agencies | Funding from single agency |
| 5.08 | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received? | Neither requested nor received Requested but not received Requested and received Not applicable | Not applicable |
| 5.09 | Have all tangible and intangible benefits been identified and validated as reliable and achievable? | Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated | All or nearly all project benefits have been identified and validated |
| 5.10 | What is the benefit payback period that is defined and documented? | Within 1 year Within 3 years Within 5 years More than 5 years No payback | No payback |
| 5.11 | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders? | Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy | Procurement strategy has not been identified and documented |
| 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) Combination FFP and T&E | Combination FFP and T&E |
| 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 Just-in-time purchasing of hardware and software is documented in the project schedule | Timing of major hardware and software purchases has not yet been determined |
| 5.14 | Has a contract manager been assigned to this project? | No contract manager assigned Contract manager is the procurement manager Contract manager is the project manager Contract manager assigned is not the procurement manager or the project manager | Contract manager is the procurement manager |
| 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes No | No |
| 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 All or nearly all selection criteria and expected outcomes have been defined and documented | Some selection criteria and outcomes have been defined and documented |
| 5.17 | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed Multi-stage evaluation not planned/used for procurement Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed No, bid response did/will not require proof of concept or prototype Yes, bid response did/will include proof of concept or prototype Not applicable | Not applicable |

APPENDIX B - RISK ASSESSMENT

Agency: Florida Gaming Control Commission

Project: Regulatory, Licensing, and Enforcement System

| Section 6 -- Project Organization Area | | | |
|--|--|--|--|
| # | Criteria | Values | Answer |
| 6.01 | Is the project organization and governance structure clearly defined and documented within an approved project plan? | Yes | No |
| | | No | |
| 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 |
| | | Some have been defined and documented | |
| | | All or nearly all have been defined and documented | |
| 6.03 | Who is responsible for integrating project deliverables into the final solution? | Not yet determined | System Integrator (contractor) |
| | | Agency | |
| | | System Integrator (contractor) | |
| 6.04 | How many project managers and project directors will be responsible for managing the project? | 3 or more | 1 |
| | | 2 | |
| | | 1 | |
| 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 |
| | | Some or most staff roles and responsibilities and needed skills have been identified | |
| | | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented | |
| 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 |
| | | No, project manager is assigned 50% or less to project | |
| | | No, project manager assigned more than half-time, but less than full-time to project | |
| | | Yes, experienced project manager dedicated full-time, 100% to project | |
| 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 |
| | | No, business, functional or technical experts dedicated 50% or less to project | |
| | | No, business, functional or technical experts dedicated more than half-time but less than full-time to project | |
| | | Yes, business, functional or technical experts dedicated full-time, 100% to project | |
| 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 |
| | | Half of staff from in-house resources | |
| | | Mostly staffed from in-house resources | |
| | | Completely staffed from in-house resources | |
| 6.09 | Is agency IT personnel turnover expected to significantly impact this project? | Minimal or no impact | Minimal or no impact |
| | | Moderate impact | |
| | | Extensive impact | |
| 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 |
| | | No | |
| 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 |
| | | No, only IT staff are on change review and control board | |
| | | No, all stakeholders are not represented on the board | |
| | | Yes, all stakeholders are represented by functional manager | |

APPENDIX B - RISK ASSESSMENT

Agency: Florida Gaming Control Commission

Project: Regulatory, Licensing, and Enforcement System

| Section 7 -- Project Management Area | | | |
|--------------------------------------|--|--|--|
| # | Criteria | Values | Answer |
| 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 |
| | | Project Management team will use the methodology selected by the systems integrator | |
| | | Yes | |
| 7.02 | For how many projects has the agency successfully used the selected project management methodology? | None | 1-3 |
| | | 1-3 | |
| | | More than 3 | |
| 7.03 | How many members of the project team are proficient in the use of the selected project management methodology? | None | All or nearly all |
| | | Some | |
| | | All or nearly all | |
| 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 |
| | | 41 to 80% -- Some have been defined and documented | |
| | | 81% to 100% -- All or nearly all have been defined and documented | |
| 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 |
| | | 41 to 80% -- Some have been defined and documented | |
| | | 81% to 100% -- All or nearly all have been defined and documented | |
| 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 |
| | | 41 to 80% -- Some are traceable | |
| | | 81% to 100% -- All or nearly all requirements and specifications are traceable | |
| 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 |
| | | Some deliverables and acceptance criteria have been defined and documented | |
| | | All or nearly all deliverables and acceptance criteria have been defined and documented | |
| 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 |
| | | Only project manager signs-off | |
| | | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables | |
| 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 |
| | | 41 to 80% -- Some have been defined to the work package level | |
| | | 81% to 100% -- All or nearly all have been defined to the work package level | |
| 7.10 | Has a documented project schedule been approved for the entire project lifecycle? | Yes | Yes |
| | | No | |
| 7.11 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources? | Yes | No |
| | | No | |
| 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 |
| | | Project team uses formal processes | |
| | | Project team and executive steering committee use formal status reporting processes | |
| 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 |
| | | Some templates are available | |
| | | All planning and reporting templates are available | |
| 7.14 | Has a documented Risk Management Plan been approved for this project? | Yes | No |
| | | No | |
| 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 |
| | | Some have been defined and documented | |
| | | All known risks and mitigation strategies have been defined | |
| 7.16 | Are standard change request, review and approval processes documented and in place for this project? | Yes | No |
| | | No | |
| 7.17 | Are issue reporting and management processes documented and in place for this project? | Yes | No |
| | | No | |

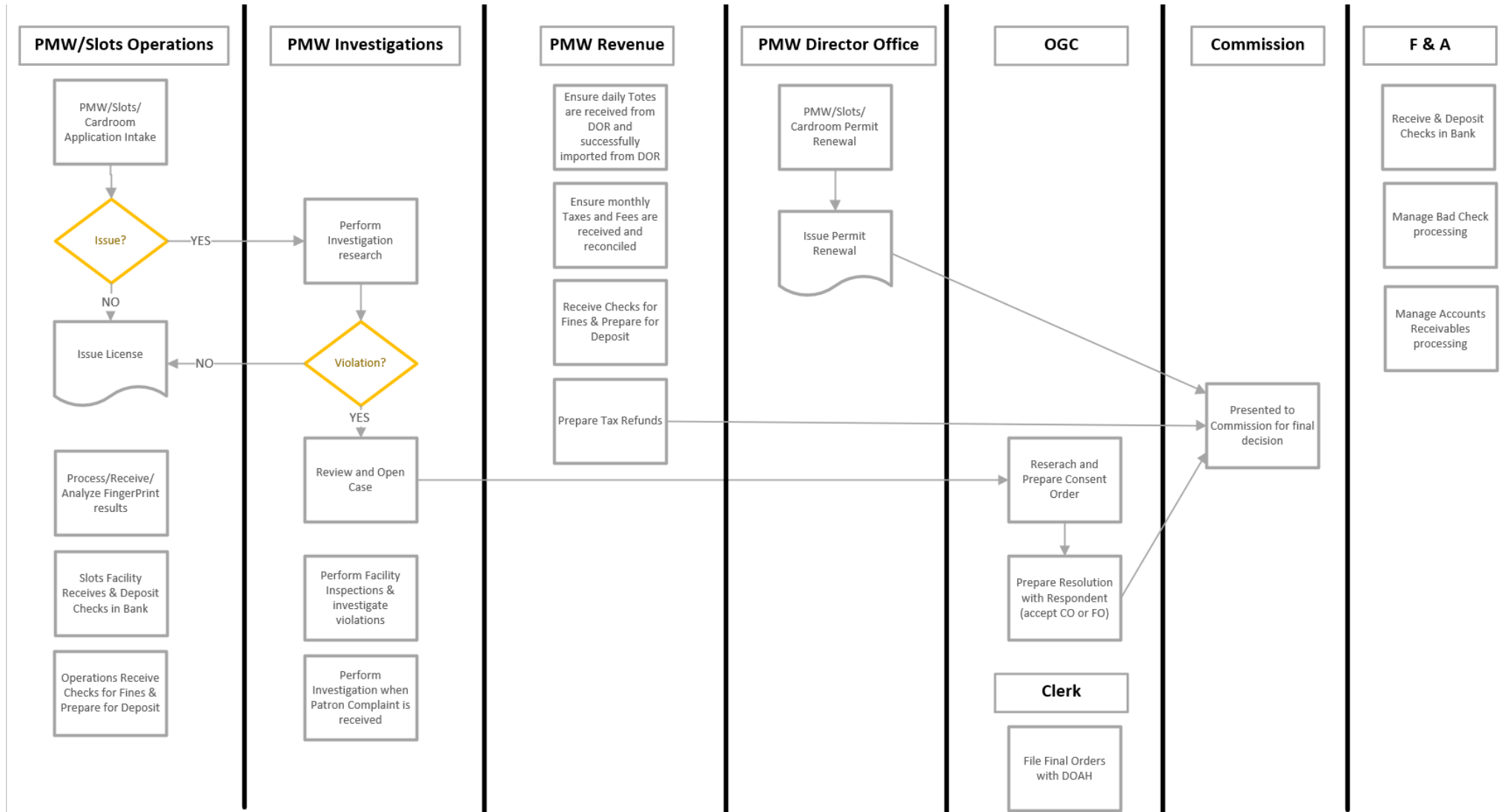
APPENDIX B - RISK ASSESSMENT

Agency: Florida Gaming Control Commission

Project: Regulatory, Licensing, and Enforcement System

| Section 8 -- Project Complexity Area | | | |
|--------------------------------------|--|--|-------------------------------------|
| # | Criteria | Values | Answer |
| 8.01 | How complex is the proposed solution compared to the current agency systems? | Unknown at this time | More complex |
| | | More complex | |
| | | Similar complexity | |
| | | Less complex | |
| 8.02 | Are the business users or end users dispersed across multiple cities, counties, districts, or regions? | Single location | More than 3 sites |
| | | 3 sites or fewer | |
| | | More than 3 sites | |
| 8.03 | Are the project team members dispersed across multiple cities, counties, districts, or regions? | Single location | 3 sites or fewer |
| | | 3 sites or fewer | |
| | | More than 3 sites | |
| 8.04 | How many external contracting or consulting organizations will this project require? | No external organizations | 1 to 3 external organizations |
| | | 1 to 3 external organizations | |
| | | More than 3 external organizations | |
| 8.05 | What is the expected project team size? | Greater than 15 | 9 to 15 |
| | | 9 to 15 | |
| | | 5 to 8 | |
| | | Less than 5 | |
| 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 |
| | | 2 to 4 | |
| | | 1 | |
| | | None | |
| 8.07 | What is the impact of the project on state operations? | Business process change in single division or bureau | Agency-wide business process change |
| | | Agency-wide business process change | |
| | | Statewide or multiple agency business process change | |
| 8.08 | Has the agency successfully completed a similarly sized project when acting as Systems Integrator? | Yes | No |
| | | No | |
| 8.09 | What type of project is this? | Infrastructure upgrade | Combination of the above |
| | | Implementation requiring software development or purchasing commercial off the shelf (COTS) software | |
| | | Business Process Reengineering | |
| | | Combination of the above | |
| 8.10 | Has the project manager successfully managed similar projects to completion? | No recent experience | Greater size and complexity |
| | | Lesser size and complexity | |
| | | Similar size and complexity | |
| | | Greater size and complexity | |
| 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 |
| | | Lesser size and complexity | |
| | | Similar size and complexity | |
| | | Greater size and complexity | |

APPENDIX C – Current Business Flow Chart



APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|---------------------|--|---|
| | APPLICATIONS | |
| Administrative Tool | Directly integrates with the existing or replaces FGCC imaging system. Ability to update the FGCC's document management system when changes are made in the licensing and enforcement system. Ability to maintain securities and functionalities such as status, activities, or changes to a document. | Maintains |
| Administrative Tool | Track all application and licensure activities and retain a revision history for business rule and workflow changes including author, type, date, and time of change(s). | Maintains |
| Administrative Tool | Ability to support multiple license types, with varying business rules, workflow, and requirements configurable in the system. | Maintains |
| Administrative Tool | Shall provide the ability to configure custom workflows including but not limited to: application, license, document, etc. | Maintains |
| Administrative Tool | Ability for multiple license types and subcategories to have different fees and expiration dates based on varying business rules. | Maintains |
| Administrative Tool | Ability to support reporting on workflow-related transactions (e.g., transaction volume, response time, amount of time a workflow step was in the user's control, operational reporting). | Maintains |
| Administrative Tool | Ability to allow clocks for a workflow task to stop and start according to business rules. | Maintains |
| Administrative Tool | Ability for business users (e.g., non-IT personnel) the ability to add and/or change business rules easily through the user interface (according to user roles/permissions). | Maintains |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|---------------------|--|---|
| Administrative Tool | Ability for multiple workflows to be configured in the system that differ across individual business areas according to their requirements (e.g., workflow assignment rules differ by department). | Maintains |
| Administrative Tool | Ability for documents to be sent electronically according to defined routing lists and business rules as part of a workflow task, or a communication / notification. | Maintains |
| Administrative Tool | Ability to incorporate "checklists" into the application processing based on the transaction type and/or record type (e.g., XZY application type). | Maintains |
| Administrative Tool | Ability to support configurable renewal periods, fees, and associated requirements by license type. | Maintains |
| Administrative Tool | Provide the ability to process applications and assist with the qualification of applicants. | Maintains |
| Administrative Tool | Ability to auto-assign a unique number to a new licensee who has never been licensed and maintain current license number for anyone who has ever been licensed. | Maintains |
| Administrative Tool | Maintain history of license information. | Maintains |
| Administrative Tool | Ability to produce data in response to requests for public information. | Maintains |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|---------------------|--|---|
| Administrative Tool | Provide ability to track requirements met/not met for licensees. | Maintains |
| Administrative Tool | Ability to maintain history of pending applications. | Maintains |
| Administrative Tool | Ability to track and enforce the requirements for eligibility for a license, including the successful completion of the required criminal history. | Maintains |
| Administrative Tool | Ability to automatically set license expiration dates according to business rules. | Maintains |
| Administrative Tool | Shall require the customer to provide an email address in order to register. (Florida Administrative Rule, Chapter 16.718, eff. 7/1/24) | Enhancement |
| Administrative Tool | Allow staff to verify that supplied information meets the requirements of application through configurable checklists for application types that staff can complete. | Maintains |
| Administrative Tool | Utilize automated workflow to reduce processing time through auto-assignment, dashboard management, and integration with the document management system. | Maintains |
| Administrative Tool | Ability for workflow component to be flexible enough to assist individual offices with how they process multiple applications and professions. | Maintains |
| Administrative Tool | Ability to pull data from other systems into the database using web services or overnight processes so the information is ready when the application is processed. | Maintains |
| Administrative Tool | Ability to configure and send letters by email based on defined set of business rules. | Enhancement |
| Administrative Tool | Ability to track and view changes to key demographic data such as SSN and Date of Birth. | Maintains |
| Administrative Tool | Ability to notify through workflow that documents for a licensee or applicant have been added to the document management system. | Maintains |
| Administrative Tool | Ability to automate routine maintenance and clean-up of transactions based on a defined set of business rules. | Maintains |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|-------------------------|--|---|
| Administrative Tool | Ability to seamlessly incorporate faxes and associate with correct file in the system. | Enhancement |
| Administrative Tool | Provide ability to send email or text notifications about applications and license renewal from the Licensing and Enforcement System. | New |
| Self-Service | Provide ability for licensees to be able to submit an information update and have it automatically applied to all related licenses where rules allow. | Maintains |
| Self Service | Ability for a licensee to pay an application or compliance fine fee online and update the system in real time. Provide the ability for a licensee to make a payment on a partially paid application or fine. Ability to pay for more than one service on a single payment (shopping cart functionality). | Maintains |
| Self-Service | Allow users to submit applications only when the information provided meets the eligibility requirements. | Maintains |
| Self-Service | Provide ability for applicants to intuitively track the status of their application. | Maintains |
| Public | Provide ability for users to view license information. | Maintains |
| Self-Service | Ability for users to upload documentation that is then transferred to the document management system. | Maintains |
| Self-Service | Ability to prevent application submission without a payment. | Enhancement |
| Self-Service | Provide basic data validation input filters for greater data integrity and reduced data entry errors online. Examples include email addresses, dates, ZIP codes, and SSN based on defined business rules. | Maintains |
| Self-Service | Ability for data received online to be as concise as possible to improve the efficiency of the application review process (data rules in the backend system require more flexibility). | Maintains |
| Self-Service | Provide self-service options to the individual licensee, based on their license status and system qualifications Example: duplicate license request, license verification request, address change, or name change. | Maintains |
| Self-Service | Ability to provide descriptive error messages to customer so they can better address how to resolve and continue with application. | Maintains |
| LICENSE RENEWALS | | |
| Administrative Tool | Ability to define renewal periods for license types that can automatically trigger workflow tasks associated with the process, such as generating renewal notices, track renewal activities and maintain history of pending renewals. | Enhancement |
| Administrative Tool | Ability to send electronic renewal notifications to the license holder and reminders to renew their license. | Enhancement |
| Administrative Tool | Ability to require various pre-requisites for license renewal according to the business rules for the renewal period. | Maintains |
| Administrative Tool | Ability to automatically process the renewal and generate the license once payment is received, if renewal requirements are met. | Enhancement |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|------------------------------|--|---|
| Administrative Tool | Ability to issue the next required renewal expiration date once the renewal is processed. | Maintains |
| Self-Service | Allow public users to select an alternate language (Spanish, Haitian, Creole). | New |
| Self-Service | Ability to support robust search capabilities to locate information or data records quickly. | Maintains |
| Self-Service | Ability to generate a confirmation of renewal submission for the licensee. | Maintains |
| Self-Service | Ability to apply for new application, search capabilities and renew a license from mobile devices. Must be compatible with android and ios. | Enhancement |
| Self-Service | Ability for additional authentication methods to verify identity to include current license number (license/entity number in licensing system), previous name or address. | Enhancement |
| LICENSURE MAINTENANCE | | |
| Administrative Tool | Ability to allow staff to link or unlink licenses under the same license holder. Individuals can hold more than one license. All licenses held by that individual must be related to the same individual's record. | Maintains |
| Administrative Tool | The Solution shall support the batch generation of notifications for printing and mailing. | Maintains |
| Administrative Tool | Tracks all licensure activities and maintain license history, including but not limited to: Contact information (name, phone number) and address history. | Maintains |
| Administrative Tool | Ability to produce data in response to requests for public information. | Enhancement |
| Administrative Tool | Ability to print batch letters. | Enhancement |
| Administrative Tool | Ability for authorized staff to suspend or revoke a license. Also be able to reinstate a closed or canceled license in accordance with business rules. | Maintains |
| Administrative Tool | Ability to place indicators/alerts on licenses for easy viewing. | Maintains |
| Administrative Tool | Provide for breadcrumb navigation. | Maintains |
| Administrative Tool | Ability for an authorized user to set an expiration date for a business rule or workflow change. | Maintains |
| Administrative Tool | Address fields should be intuitive to fill in (current solution has separate field for 'street number' from 'address line 1' this causes significant address clean-up and results in errors with mail-outs). | Maintains |
| Administrative Tool | Individual and Organization Name fields lengths are long enough to accommodate existing data. | Maintains |
| Administrative Tool | Ability to configure fields, such as 'notes' with spell check. | Maintains |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|--------------------------|---|---|
| Administrative Tool | Ability to transfer letters to the document management system with minimal steps/clicks. | Maintains |
| Administrative Tool | Ability to send and receive information to an Interactive Voice Response (IVR) and Artificial Intelligence Virtual Assistant (chat bot). | New |
| Administrative Tool | Ability to send automated reminders and information via text/SMS to licensees and applicants. | New |
| Administrative Tool | Provide for ability for staff to email system generated correspondence directly from the screen they are using. | Enhancement |
| Administrative Tool | Ability to send email and text notifications about applications and license renewal from the Licensing and Enforcement System. | New |
| Administrative Tool | Ability to generate an automatic email notifying licensee that license has been printed and will arrive by mail (triggered by the certificate date). | Enhancement |
| Administrative Tool | Ability to configure and send letters by email based on defined set of business rules. | Maintains |
| Administrative Tool | Provide for improved notes functionality. | Enhancement |
| Administrative Tool | Ability to be re-configurable, providing the ability to reposition and rename field labels, remove or "turn-off" unused fields, maintain data, and allow the addition of custom-defined fields based on user security profiles. | Enhancement |
| Administrative Tool | Upgrade capability that allows FGCC to upgrade to the latest version of the vendor's product without requiring FGCC staff to reconfigure the system. | Enhancement |
| Public | Provide ability for users to search data that has been designated as displayable to the public via the customer portal without being logged in (license search). | Maintains |
| Public | Ability to enforce the creation of a user account prior to specific transactions (e.g., submit an application) being performed online. | Maintains |
| Self-Service | Ability for users to upload documentation for a specific application that is then transferred to the document management system. | Maintains |
| Self-Service | Ability for a licensee to have limited visibility of their documents such as final orders and discipline narratives that are stored in the document management system. | Enhancement |
| Public | Ability for consumers to search for license and enforcement actions. | Maintains |
| Self-Service | Ability to sign into self-service system securely. | Maintains |
| Self-Service | Ability for self-service users to sign under penalty of perjury. | Maintains |
| Self-Service | Provide for self-service password retrieval and resets. | Maintains |
| Self-Service | Ability to prompt a user to respond to a series of questions to guide an applicant through the application process (e.g., online wizard to assist with application completion and submission). | Maintains |
| FEES AND PAYMENTS | | |
| Administrative Tool | Ability to calculate all relevant fees and maintain deposit history. | Maintains |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|-------------------------------|--|---|
| Administrative Tool | Allow authorized staff to add additional entries to financial history table to modify total account balance according to business rules (e.g. Modification to any fee code). | Maintains |
| Administrative Tool | Ability for a fee(s) to be waived according to business rules and user permissions. | Maintains |
| Administrative Tool | Protect data and information in accordance with FGCC policies and procedures. | Maintains |
| Administrative Tool | Built-in audit capability. | Enhancement |
| Administrative Tool | Track payment methods separately (Cash, Check, Credit card etc.) and track payment to individual beneficiary. | Maintains |
| Administrative Tool | Ability to collect payment manually by staff (e.g., checks, money-mail). | Maintains |
| Administrative Tool | Ability to record unassigned payments and move or cancel an assigned payment. | Maintains |
| Administrative Tool | Ability for staff to search for payments using associated fees, address, payment type, date, amount and customer name. | Maintains |
| Administrative Tool | Ability to assign unique identifier for each receipt. | Maintains |
| Administrative Tool | Ability to flag a dishonored cash item (Cash meaning cash, check, or credit card). | Maintains |
| Administrative Tool | Ability to do an 'administrative add' Includes payments credited in other FGCC sections that should be applied to FGCC licensing system. | Maintains |
| Administrative Tool | Refund of miscellaneous sales as a credit back to the licensee. | Maintains |
| Administrative Tool | Ability to flag refunds in system so that the money cannot be used for other purposes until money is physically refunded. | Maintains |
| Administrative Tool | Ability to search for receipts and track movement of receipt and account codes. | Maintains |
| Administrative Tool | Ability to set a miscellaneous payment for fees that should have been calculated on the application, but was not because various factors. | Maintains |
| Administrative Tool | Ability to link to Florida state agencies' third-party payment system. | Enhancement |
| Self-Service | Allow user to pay for transactions across multiple licenses associated with their account, rather than have to conduct multiple separate transactions. | Maintains |
| INSPECTIONS AND AUDITS | | |
| Device | Provide automated reminders to follow-up on inspections and other outstanding items. | Enhancement |
| Device | Ability to update real-time from the mobile devices from the field. | Maintains |
| Device | Provide basic data validation input filters on the mobile device to provide for greater data integrity and reduced data entry errors. | Enhancement |
| Device | Ability to take pictures with mobile device and save them to the inspection record in real time. | Enhancement |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|-----------------------------------|---|---|
| Device | Allow multiple inspectors or auditors to work on the same case at the same time in a team environment. | Enhancement |
| Administrative Tool | Ability to track all activities and record inspection or audit findings. | Maintains |
| Administrative Tool | Ability to sort the workload on demand through mobile devices connected to the system in real-time. | Enhancement |
| Administrative Tool | Ability to track scheduled or assigned inspections that do not have an associated inspection outcome (e.g., inspections that were scheduled or assigned but never resulted). | Enhancement |
| Administrative Tool | Ability for all inspections and audits to be performed electronically through a mobile device, including the ability to sync all data if performed offline. | Enhancement |
| Self-Service | Ability for licensee to view inspections online through secure Self-Service account. | Enhancement |
| ENFORCEMENT AND COMPLIANCE | | |
| Administrative Tool | Provide reports identifying costs associated with enforcement. | New |
| Administrative Tool | Ability to record complaints to assist with conducting investigations. | Maintains |
| Administrative Tool | Monitor compliance and voluntary/disciplinary actions. | Maintains |
| Administrative Tool | Ability to record complaint information, monitor enforcement and disciplinary cases, and initiate disciplinary action. | Maintains |
| Administrative Tool | Provide the ability to process appeals. | Enhancement |
| Administrative Tool | Provide ability to enforce Final Order penalty / probations. | Enhancement |
| Administrative Tool | Maintain investigation information for reporting and post-investigation actions. | Enhancement |
| Administrative Tool | Generate and display a unique consumer report ID number upon submittal for reference purposes. | Maintains |
| Administrative Tool | Ability to automatically update consumer report disposition with workflow tasks (e.g., assigned for investigation). | Maintains |
| Administrative Tool | Provide ability to review enforcement information, ability to create enforcement letters and provide enforcement reports. | Maintains |
| Administrative Tool | Update enforcement complaints with data including discipline, activities, status, and FGCC filing information, 'in mass' using a list (format allows the data entry staff to update a defined set of data fields without having to go into each case enter the data). | Maintains |
| Administrative Tool | Provide letter/document template capability of using current technology. | Maintains |
| Administrative Tool | Provide the ability to trend complaints. | New |
| Administrative Tool | Detailed timekeeping functionality to record internal and external effort applied to specific licensing and enforcement activity. | Maintains |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|---------------------|---|---|
| Administrative Tool | Ability to display the actual value of the case summary in a format that is readable and not full of codes. | Maintains |
| Administrative Tool | Ability to integrate with a case management system for investigations that require legal action. | Enhancement |
| Administrative Tool | Ability to seamlessly relate multiple cases without accessing each individual complaint. | Enhancement |
| Administrative Tool | Ability to improve complaint visibility and functionality, to reduce multiple screens for a complete case history. | Enhancement |
| Administrative Tool | Ability to navigate to a payment history screen (from the enforcement screen) to allocate payment to specific disciplinary action(s). | Enhancement |
| Public | Ability to receive complaints online with supporting document upload capability. | Enhancement |
| Self-Service | Provide ability for licensee to view compliance status. | Enhancement |
| REPORTING | | |
| Report Development | Ability to include sub-reports as part of the report. | Enhancement |
| Report Development | Ability to maintain a replicated environment for reporting. | Enhancement |
| Report Development | Ability to communicate with multiple database types. | Enhancement |
| Report Development | Ability to have real-time database access. | Enhancement |
| Report Development | Ability to build on demand and batch reports as some reports are for a moment in time. | Enhancement |
| Report Development | Ability to pull back more than one data source or query for each report. | Enhancement |
| Report Development | Ability to include image and/or signature object into the report for the viewer. | Enhancement |
| Report Development | Ability for the report to display data inputs. | Maintains |
| Report Development | Ability to use APIs to complete data validation (dates, addresses). | Enhancement |
| Report Development | Ability to use data analytics. | Enhancement |
| Report Development | Ability to build reports with data visualization. | Enhancement |
| Report Development | Ability to have report audit functions/capabilities to fully document any changes in the system. | Enhancement |
| Report Use | Ability to assign security roles to reports (functional authorization for both updating the database and accessing the report). | Enhancement |
| Report Use | Reporting within the licensing tool. | Maintains |
| Report Use | Ability to import and export data. | Maintains |
| Report Use | Ability to export report in all data types (csv, pipe-delimited, text, etc.) from the report viewer. | Maintains |
| Report Use | Ability to track report analytics (e.g. usage statistics). | Enhancement |
| Public | Ability for public users to build reports on demand. | Enhancement |
| Report Use | Reporting queue visible to all users and set-up queue for a class of reports. | Enhancement |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|--|---|---|
| Report Use | Ability for staff to schedule report at a particular time and delivered to the user. | Enhancement |
| Report Use | Built in progress bar for the user to know the report is running. | Enhancement |
| Public | Voice access capabilities to provide data. | Enhancement |
| Report Development | Ability for a report to update the contact history that the report was run. | Maintains |
| APPLICATION AND SYSTEM MANAGEMENT | | |
| Application Management | Ability to sign into Self-Service system securely. | Maintains |
| Application Management | Allows staff to quickly make modifications to system. | Enhancement |
| Application Management | Application structure and flow needs to be configurable, modular, and easily modified to address changes in statutes and rules during and post initial implementation. | Enhancement |
| Application Management | Ability to configure workflows that include activities, notifications and users from multiple offices, divisions, and departments/agencies. | Enhancement |
| Application Management | Ability to control versions of configuration. | Enhancement |
| Application Management | Ability to propagate changes across environments. | Enhancement |
| Application Management | Self-service transactions – Ability to configure a pathway prompting the user to answer questions to select appropriate application type (the user answers questions developed to narrow down available license applications based on their responses). | Enhancement |
| Application Management | Allow for configuration data cloning/promotion process to move changes between environments safely, consistently with options to rollback changes if necessary. | Enhancement |
| Application Management | Provides Role Based Access Control for all system security. | Enhancement |
| Application Management | Allow access to applications using single sign-on for internal users. | Enhancement |
| Application Management | Ability to use Azure Active Directory integration for single sign-On. | Enhancement |
| Application Management | Realtime up-time monitors and notifications to system maintenance staff and users. | Enhancement |
| System Management | System Management maintained by the FGCC. | Maintains |
| System Management | The system must support centralized applicant/licensee records. | Maintains |
| System Management | Ability to provide a permanent test environment that is separate from the production environment (comparable to the production environment to ensure realistic testing). | Maintains |

APPENDIX D - Business Requirements

| Type | High-level Requirement | Status Maintains/ Enhancement/New |
|------------------------|---|---|
| System Management | 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 (frules.org) | Maintain |
| System Management | Ability to dynamically apply changes while maintaining high availability. | Enhancement |
| System Management | Provides audit capability and functions - tracebacks, point in time and reporting. | Enhancement |
| System Management | Self-service transactions - provide either a mobile solution OR a responsive design so that the online website is user friendly on a mobile device. | Enhancement |
| System Management | The system should be cloud agnostic. | Enhancement |
| Application Management | Allow for integrations to third-party solutions using industry standard APIs to send and receive data from other systems. | Enhancement |
| Application Management | Provides a modern, robust, and secure web-api service layer providing the same business rules and functions of the Licensing and Enforcement System. | Enhancement |
| Application Management | Provides for session management layer that prevents user session interruption when doing system maintenance | Enhancement |
| Application Management | User Interface should be developed in a format that can be modified for FGCC branding | Enhancement |
| Application Management | Ability to handle error messaging and instrumentation on all systems | Enhancement |
| Application Management | Ability to apply configuration management: 1. Software updates 2. System configuration updates done (real-time or batch) Application version updates | Enhancement |
| Application Management | The system must support multiple names for an individual or business entity (e.g., full legal name and notary name, DBAs) based on FGCC business rules. | Maintain |
| System Management | Solution has the ability to allow different entities to create and manage its own licenses | Enhancement |

SCHEDULE VI: DETAIL OF DEBT SERVICE

THIS FORM IS NOT APPLICABLE

Department: Florida Gaming Control Commission
Budget Entity: 415000000

Budget Period 2025 - 2026

| (1) | (2) | (3) | (4) |
|--------------------------------|----------------------|----------------------|----------------------|
| SECTION I | ACTUAL | ESTIMATED | REQUEST |
| | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt (A) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Principal (B) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Repayment of Loans (C) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Fiscal Agent or Other Fees (D) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Other Debt Service (E) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Total Debt Service (F) | <input type="text"/> | <input type="text"/> | <input type="text"/> |

Explanation: _____

SECTION II

ISSUE: _____

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

ISSUE: _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
|--------------------------------|----------------------|----------------------|----------------------|----------------------|
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt (G) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Principal (H) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Fiscal Agent or Other Fees (I) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Other (J) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Total Debt Service (K) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2025 - 2026

Department: Florida Gaming Control Commission

Chief Internal Auditor: _____

Budget Entity: N/A

Phone Number: _____

| (1) | (2) | (3) | (4) | (5) | (6) |
|------------------|------------------|-----------|--|---------------------------------------|---------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| | | | The Florida Gaming Control Commission(FGCC) was established beginning July 1, 2022, no audits were conducted related to performance measures or the LBR. | | |

Fiscal Year 2025-26 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.

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

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

2. EXHIBIT A (EADR, EXA)

| | | | | | | |
|-----|---|-----|-----|-----|-----|--|
| 2.1 | Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions? | 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 <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue? | Yes | Yes | Yes | NA | |

| 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 59 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 2023-24 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 14 through 27 of the LBR Instructions.) | Yes | Yes | Yes | NA | |
| 7.2 | Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 64 through 69 of the LBR Instructions.) | Yes | Yes | Yes | NA | |
| 7.3 | Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions? | 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.7 of the LBR Instructions.) | Yes | Yes | Yes | NA | |
| 7.6 | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. | Yes | Yes | Yes | NA | |

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|---------------|---|-----|-----|-----|----|--|
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (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 94 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 #24-040? | NA | YES | NA | NA | |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO) | NA | NA | NA | NA | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | NA | NA | NA | NA | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | NA | NA | NA | NA | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Yes | Yes | Yes | NA | |
| 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 <i>Salaries and Benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 27 of the LBR Instructions.) | Yes | Yes | NA | NA | |
| 7.17 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) 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 <i>Major Audit Findings and Recommendations</i> 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 | NA | |
| 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) | NA | Yes | Yes | NA | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | NA | NA | NA | NA | |

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|--|---|-----|-----|-----|-----|--|
| 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 | NA | |
| 7.25 | Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2024-25? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2024-25. 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 64 through 69 of the LBR Instructions. | | | | | |
| TIP | Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds. | | | | | |
| TIP | If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds). | | | | | |
| TIP | If an appropriation made in the FY 2024-25 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 | | | | | | |
| 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 | |

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|------|--|-----|-----|-----|-----|
| 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 page 124 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund. | | | | | |
| TIP | Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status. | | | | | |
| TIP | Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | | |
| AUDIT: | | | | | | |

| | | | | | | |
|---|---|-----|-----|-----|-----|--|
| 9.1 | Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 155 of the LBR Instructions.) | Yes | Yes | Yes | Yes | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.) | NA | NA | NA | NA | |
| 10.2 | Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 and 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested. | NA | NA | NA | NA | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | Yes | Yes | Yes | Yes | |
| 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 99 through 102 of the LBR Instructions regarding a 10% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.) | Yes | Yes | 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 104-108 of the LBR Instructions for detailed | | | | | | |
| 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 (if submitting) and LBR match? | NA | NA | NA | NA | |

| AUDITS INCLUDED IN THE SCHEDULE XI REPORT: | | | | | | |
|---|--|-----|-----|-----|-----|--|
| 16.3 | Does the FY 2023-24 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") | Yes | Yes | Yes | Yes | |
| 16.6 | Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in 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 52 through 152 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 128 and 129 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 <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions. | | | | | |
| TIP | Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error. | | | | | |
| 18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal) | | | | | | |
| 18.1 | Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | Yes | Yes | Yes | Yes | |
| 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)? | Yes | Yes | Yes | Yes | |

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| 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 | |