



FLORIDA DEPARTMENT OF CORRECTIONS

GOVERNOR
RON DESANTIS

SECRETARY
RICKY DIXON

LEGISLATIVE BUDGET REQUEST

October 15, 2024

Brandi Gunder, Deputy Director
Office of Policy and Budget
Executive Office of the Governor
1701 The Capitol
Tallahassee, FL 32399-0001

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Corrections is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2025-26 Fiscal Year.

Sincerely,

Ricky D. Dixon
Secretary

**DEPARTMENT OF CORRECTIONS
PAY ADDITIVE REQUEST
TEMPORARY SPECIAL DUTY – GENERAL
FOR FISCAL YEAR 2025-2026**

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

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

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

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

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

The table below reflects the amount that was paid in Fiscal Year 2023-2024 for the TSD additive, which includes position classifications and the number of positions that were paid.

Temporary Special Duties (TSD) Pay, FY23-24, by Class Title

Prepared 07-24-2024

Class Title	Total Paid in FY 23-24	Number of Positions
ASSISTANT WARDEN-DC	\$ 13,997.54	3
BUREAU CHIEF OF BUSINESS SUPPORT SYSTEMS	\$ 420.52	1
CLASSIFICATION SUPERVISOR - SES	\$ 1,975.01	2
CORRECTIONAL OFFICER	\$ 21,964.89	10
CORRECTIONAL OFFICER CAPTAIN	\$ 18,551.13	9
CORRECTIONAL OFFICER COLONEL - SES	\$ 4,338.37	3
CORRECTIONAL OFFICER LIEUTENANT	\$ 35,506.35	41
CORRECTIONAL OFFICER MAJOR - SES	\$ 5,832.98	6
CORRECTIONAL OFFICER SERGEANT	\$ 93,703.59	77
CORRECTIONAL PROBATION SUPERVISOR	\$ 3,078.31	1
CORRECTIONAL PROGRAM ADMINISTRATOR - SES	\$ 4,615.05	1
CORRECTIONAL SENTENCE TECHNICIAN - F/C	\$ 2,860.64	1
CORRECTIONAL SERVICES MANAGER	\$ 5,628.10	1
DETECTIVE AND CRIMINAL INVESTIGATOR V	\$ 2,666.44	1
ELECTRONIC TECHNICIAN II	\$ 407.16	2
MASTER ELECTRICIAN	\$ 461.71	1
PLACEMENT & TRANSITION SPECIALIST	\$ 41.92	1
PLUMBER	\$ 742.41	1
SAFETY PROGRAM CONSULTANT	\$ 7,070.50	1
SENIOR CLASSIFICATION OFFICER	\$ 45,065.27	5
TRAINING AND RESEARCH MANAGER - SES	\$ 222.10	1
Grand Total	\$ 269,149.99	169

The following collective bargaining agreements contain language regarding the TSD:

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

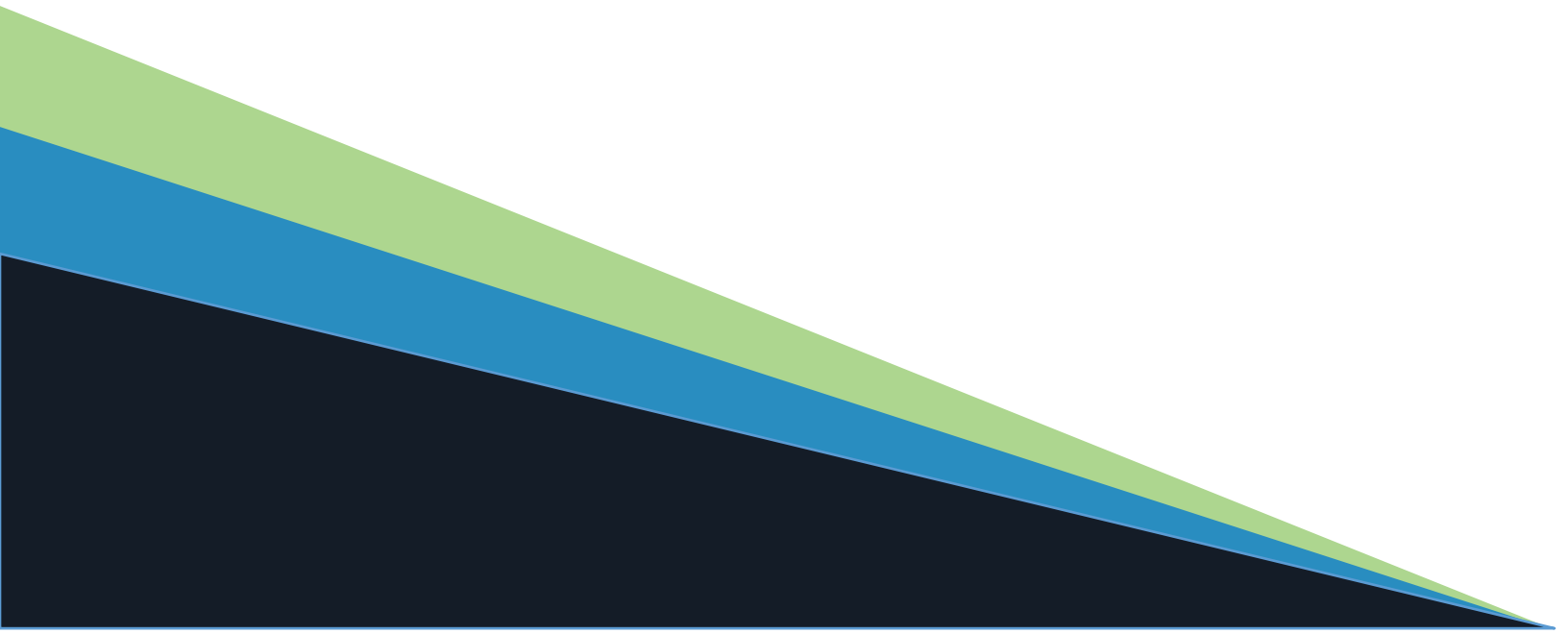
Each of the above agreements contains language that states, “Each time an employee is designated in writing by the employee’s immediate supervisor to act in a vacant established position in a higher broadband level than the employee’s current broadband level, and performs a major portion of the duties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

Please note that all of the contract articles for the fiscal year 2023-2024 have been ratified and signed by the Governor.

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



Department Level Exhibits and Schedules



Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Disability Rights Florida, Inc. On behalf of its Clients and Constituents v. Julie Jones, Secretary, Florida Department of Corrections in her Official Capacity and Florida Department of Corrections, An Agency of the State of Florida		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Jacksonville Division		
Case Number:	3:18cv179-J-25-JRK		
Summary of the Complaint:	Plaintiff claims that the Department by their actions and inactions have deliberately and chronically denied mental health care to individuals with mental illness who were and are confined in inpatient mental health units operated and managed by the Department and due to the patients' confinement in segregated, harsh conditions, their illnesses are exacerbated and due to the segregation and isolation, the patients are denied benefits of many of the Department programs, services and activities.		
Amount of the Claim:	The complaint seeks declaratory and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The complaint claims a violation of the Americans with Disabilities Act, and Federal Rehabilitation Act, and the Eighth Amendment of the US Constitution.		
Status of the Case:	On April 2, 2024, the Court's jurisdiction to ensure compliance with the settlement agreement was terminated. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This is not a class action case.		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Human Rights Defense Center v. Mark Inch, et al.		
Court with Jurisdiction:	United States District Court, Southern District of Florida, West Palm Beach Division		
Case Number:	21cv81391		
Summary of the Complaint:	Plaintiff claims that the Department has arbitrarily censored three publications produced by Plaintiff and has done so largely with little explanation.		
Amount of the Claim:	The complaint seeks damages and declaratory and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state law has been challenged. The complaint seeks damages and declaratory and injunctive relief.		
Status of the Case:	On March 31, 2023, the final judgment was issued. On January 5, 2024, the Department's Motion for Bill of Costs was granted in part and denied in part. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This is not a class action lawsuit.		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Mark Davis, Mark Gerald, Jesse Guardado, Joseph Jordan, Khalid Pasha, Robert Rimmer, John Tory, Steven Stein, and Gary Whitton, on behalf of themselves and others similarly situated v. Julie Jones, et al.		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Jacksonville Division		
Case Number:	3:17cv820-J-34PDB		
Summary of the Complaint:	The lawsuit is regarding the conditions of confinement and due process rights of inmates who are on death row.		
Amount of the Claim:	The complaint seeks declaratory and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The Plaintiffs allege a violation of the Eighth and Fourteenth Amendments of the US Constitution.		
Status of the Case:	The court has approved the settlement agreement. The department is working towards complying with the terms of the settlement agreement. In September 2022, the court issued an order extending jurisdiction until six months after the National Guard has completed service at Union CI. The court also ordered the Department to file monthly status reports addressing dayroom time provided to the class members, staffing levels at Union CI, number of death row inmates who have requested and received job assignments, and status of the implementation plan.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	The class was certified. Venable, LLP. is the lead law firm representing the Plaintiffs.		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	William R. Davis v. Barry Reddish and Julie Jones		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Jacksonville Division		
Case Number:	3:18cv353		
Summary of the Complaint:	Plaintiff challenges the State of Florida's lethal injection protocol that was adopted which uses the drug etomidate as the first drug in a three-drug protocol.		
Amount of the Claim:	The complaint seeks declaratory and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The complaint claims a violation of the Eighth and Fourteenth Amendments of the United States Constitution.		
Status of the Case:	Plaintiff filed an amended complaint; the Department is drafting a response and continuing to answer discovery.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This is not a class action suit.		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850) 717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Craig Wall v. Ricky Dixon, et al.		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Ocala Division		
Case Number:	8:22cv664		
Summary of the Complaint:	Plaintiff claims to have submitted his request for death by electrocution timely in accordance with s. 922.105(2), F.S., but institutional staff mishandled the request, as the then-Warden claimed to have never received it.		
Amount of the Claim:	The Complaint seeks to enjoin execution by any means other than electrocution, enjoin execution using a three-drug etomidate execution protocol, procure a declaration that Fourteenth Amendment rights have been violated, and procure declarations that § 922.105(2), F.S., and § 922.105(7) violate the United States Constitution. Plaintiff also seeks any other equitable relief the Court deems proper.		
Specific Statutes or Laws (including GAA) Challenged:	Plaintiff is seeking a declaration that the three-drug etomidate protocol, § 922.105(2), F.S., and § 922.105(7) violate the United States Constitution		
Status of the Case:	Settled on 8/15/23. Stipulation of dismissal with prejudice filed 9/7/23. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850)717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Campbell, Ercelia (PR for Deshawn McQueen) v. FDC et al.		
Court with Jurisdiction:	First Judicial Circuit, Santa Rosa County		
Case Number:	2024-ca-90		
Summary of the Complaint:	Plaintiff claims / alleges that on or around 02-11-20, McQueen had an altercation / interaction with Defendants. At some point in or around this time, Plaintiff was found on the ground covered in blood bleeding from his mouth and his nose while convulsing and screaming in Wing 2 of M-dorm. While being carried, suddenly stopped moving and breathing. Staff performed CPR on McQueen was transported to the medical office. EMS personnel arrived and continued life saving measures for approximately 20 minutes before pronouncing McQueen dead at 7:48 p.m. The autopsy revealed that McQueen had the following in his system. Amphetamine, Methamphetamine, and 5-fluoro-MDM-PICA (synthetic cannabis).		
Amount of the Claim:	No money was listed for seeking monetary damages, declaratory judgment, and legal equitable, and injunctive relief against Defendants.		
Specific Statutes or Laws (including GAA) Challenged:	No specific law challenged.		
Status of the Case:	Motion to dismiss pending		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850) 717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Belinda Chambliss and Lisa M. Jordan Holmes as Co-Personal Representatives of the Estate of De'Metris Jordan v. Florida Department of Corrections, as agency of the State of Florida, et al.		
Court with Jurisdiction:	Nineteenth Judicial Circuit, Martin County, Florida		
Case Number:	13-1126-CA		
Summary of the Complaint:	The Plaintiff alleges that despite the attempt of self-harm by inmate Jordan by placing a noose around his neck, the Department failed to use care for inmate Jordan by providing adequate and proper mental health/medical services to inmate Jordan, a minor.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The complaint claims a violation of 42 U.S.C. §1983, Fourteenth Amendment of the US Constitution, and the Wrongful Death Act.		
Status of the Case:	Settled on 9/8/23. Voluntary Dismissal filed 10/5/24. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Theresa Cineus as Personal Representative of the Estate of Gamaliel Cineus v. State of Florida, Department of Corrections, Centurion of Florida, LLC.		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Tampa Division		
Case Number:	8:21cv1659		
Summary of the Complaint:	This is a death case stemming from allegations, that staff failed to provide appropriate medical care for decedent who died due to having a pulmonary embolism.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The complaint claims violations of 42 U.S.C. §1983 and Eighth Amendment to US Constitution.		
Status of the Case:	Motion for Summary Judgment is pending. Case indemnified by Centurion		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Edwards, Yvonne as Personal Representative for the Estate of Terrance Williams v. Dixon, et al.		
Court with Jurisdiction:	Eighth Judicial Circuit, Union County, Florida		
Case Number:	2022-CA-9		
Summary of the Complaint:	Plaintiff claims deliberate indifference to the medical needs that resulted in the death of Terrence Williams. Plaintiff alleges that staff failed to treat the decedent for diabetes.		
Amount of the Claim:	Plaintiff seeks actual, compensatory and punitive damages.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The complaint claims a violation of 42 U.S.C. §1983, Fourteenth Amendment of the US Constitution, and the Wrongful Death Act.		
Status of the Case:	Motion to Dismiss is pending.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Leroy Ferrell as Executor of the Estate of Larian Ferrell v. FDC, et al.		
Court with Jurisdiction:	United States District Court, Northern District of Florida, Tallahassee Division		
Case Number:	4:21-cv-397		
Summary of the Complaint:	Complaint alleges violations of section 1983 for failure to intervene and protect.		
Amount of the Claim:	The complaint seeks compensatory damages.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. This case is a wrongful death action.		
Status of the Case:	Motion for Summary Judgment granted. Judgment entered 9/29/23 dismissing all claims against defendants with prejudice. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Tracey Ford PR for Estate of Timothy Ford v. Florida Department of Corrections.		
Court with Jurisdiction:	Nineteenth Judicial Circuit, Martin County		
Case Number:	2023-CA-16		
Summary of the Complaint:	This is a wrongful death case stemming from allegations staff failed to provide the appropriate medical care and supervision of the decedent who died while in the department custody.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No specific state law is challenged. This is a wrongful death action.		
Status of the Case:	Discovery ongoing. Trial set for April 2025.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850)717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Gordon, Cortez as PR for Dwayne Weedon, Jr v. FDOC () Hardee County		
Court with Jurisdiction:	Tenth Judicial Circuit, Hardee County		
Case Number:	2024-ca-34		
Summary of the Complaint:	Plaintiff alleges that inmate Weedon stabbed by another inmate and died due to a lack of supervision and monitoring of inmates.		
Amount of the Claim:	The complaint seeks damages		
Specific Statutes or Laws (including GAA) Challenged:	No specific law is challenged.		
Status of the Case:	Discovery is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Levarity, Martha as PR for Josepheus Lafleur v. FDOC, et al.		
Court with Jurisdiction:	Second Judicial Circuit, Leon County		
Case Number:	2023-ca-002417		
Summary of the Complaint:	Plaintiff alleges that inmate Lafleur suffered a psychological emergency. Staff responded by deploying chemical spray to subdue Lafleur which caused him to asphyxiate and pass away.		
Amount of the Claim:	The complaint seeks damages		
Specific Statutes or Laws (including GAA) Challenged:	No specific law is challenged.		
Status of the Case:	Motion to Dismiss is pending.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Olivia Lee, as surviving spouse and Personal Representative of the Estate of Martavias Watkins v. Florida Department of Corrections, et al.		
Court with Jurisdiction:	Eleventh Judicial Circuit, Miami-Dade County, Florida		
Case Number:	2021-CA-27256		
Summary of the Complaint:	This is a wrongful death case stemming from allegations that staff failed to properly diagnose and treat the decedent who had a tracheotomy.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No specific state law is challenged. The complaint claims a violation of 42 U.S.C. §1983.		
Status of the Case:	Settled. Order of dismissal rendered 2/21/24. Case indemnified by Centurion. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Murphy, Cynthia as PR for Tristin Murphy v. FDOC, et al.		
Court with Jurisdiction:	United States District Court, Southern District of Florida, Miami Division		
Case Number:	1:23-cv-23421		
Summary of the Complaint:	Plaintiff claims that inmate Murphy did not receive adequate mental health care and committed suicide by cutting his neck with a chainsaw while working on a grounds crew at South Florida Reception Center.		
Amount of the Claim:	The complaint seeks damages		
Specific Statutes or Laws (including GAA) Challenged:	No specific law is challenged.		
Status of the Case:	Case settled 9/3/24. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Jatoon Moss as the Personal Representative of the Estate of Craig Ridley v. Ricky Dixon, et al.		
Court with Jurisdiction:	United States District Court, Middle District, Jacksonville Division		
Case Number:	3:21-cv-1026		
Summary of the Complaint:	Complaint alleges violations of section 1983 for failure to intervene and wrongful death.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No specific state law is challenged.		
Status of the Case:	Settled at mediation on 4/4/24. Stipulation of Dismissal filed 6/10/24. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Kenna Myles, as Executor de son Tort of The Estate of Anthony Spencer, Jr., and on behalf of survivors, Kenna Myles, and Anthony Spencer, Sr. v. Florida Department of Corrections, et al		
Court with Jurisdiction:	Second Judicial Circuit, Leon County, Florida		
Case Number:	2020-CA-1695		
Summary of the Complaint:	This is a wrongful death case stemming from allegations staff failed to protect decedent and failed to provide proper medical care of the decedent who died as a result of an assault.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No specific state law is challenged. The complaint claims a violation of 42 U.S.C. §1983.		
Status of the Case:	Discovery ongoing		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case:	Tara Norman, as PR of Joshua Norman v. DOC, et al.		
Court with Jurisdiction:	Eighth Judicial Circuit, Union County, Florida		
Case Number:	2023-CA-008		
Summary of the Complaint:	Plaintiff claims that FL Dept. of Corrections through GEO Group at Graceville CF was negligent and failed to properly classify, house, come to decedent's aid, and failed to protect decedent in total disregard for his life.		
Amount of the Claim:	Plaintiff seeks actual, compensatory, and punitive damages.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The complaint alleges a violation of the wrongful death act.		
Status of the Case:	Motion to Dismiss pending. Case indemnified by Centurion.		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	x	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Potter, Wilton PR for Taylor Potter v. McNeil and FDOC		
Court with Jurisdiction:	Second Judicial Circuit, Leon County		
Case Number:	2023-ca-2179 (Appeal 1D24-1287)		
Summary of the Complaint:	Plaintiff alleges that inmate Potter Petitioner requested a Covid-19 test while in the Leon County jail and received the test a day prior to transfer. Following his commitment to the Department of Corrections he developed symptoms of Covid-19 and was found deceased in his cell.		
Amount of the Claim:	The complaint seeks damages		
Specific Statutes or Laws (including GAA) Challenged:	No specific law is challenged.		
Status of the Case:	Complaint was dismissed with prejudice. The appeal is still pending.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Sanders-Smith, Sarretta as PR for Dale Smith v. FDOC, John Melillo, et al.		
Court with Jurisdiction:	Ninth Judicial Circuit, Orange County, Florida		
Case Number:	2022-CA-645; Transferred to 6.23cv1786 MDL Orlando Division		
Summary of the Complaint:	Plaintiff was wrongfully arrested, unlawfully confined, and subsequently died in Department custody.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No specific state law is challenged.		
Status of the Case:	Discovery is ongoing		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Douglas B. Stalley as the Personal Representative of the Estate of Jose Gregory Villegas v. Cumbie, et. al		
Court with Jurisdiction:	United States District Court, Middle District, Ocala Division		
Case Number:	5:19-cv-00280 (Appeal 11 th Circuit: 22-10881)		
Summary of the Complaint:	This is a wrongful death case stemming from allegations that the Department failed to provide proper medical care for the decedent when he was found unresponsive in his cell due to the ingestion of the K-2 drug.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged.		
Status of the Case:	Defendants' motion for summary judgment was granted. The case is currently on appeal.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Monica Stone as Personal Representative of the Estate of Christopher Cox v. Robert Hendry, et al.		
Court with Jurisdiction:	Nineteenth Judicial Circuit, Martin County, Florida		
Case Number:	2017 CA 291		
Summary of the Complaint:	This is a wrongful death case stemming from allegations by the Plaintiff that former inmate Christopher Cox was murdered by a fellow inmate and the correctional officers and personnel at the prison were negligent when they failed to timely respond to the other inmates in Cox's dormitory, calls and signals for help. The Plaintiff also alleges that staff were negligent in rendering aid in a timely manner to Cox who should have never been placed in a cell with his attacker.		
Amount of the Claim:	The complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged.		
Status of the Case:	Settled 9/21/23. Dismissed with prejudice 11/30/23. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	850-717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Thomas, Carol as PR for Timothy Thomas v. Inch, et al.		
Court with Jurisdiction:	Fourth Judicial Circuit, Duval County, Florida		
Case Number:	2020-CA-1960		
Summary of the Complaint:	Complaint alleges decedent was attacked by guards and died of respiratory failure due to use of chemical spray.		
Amount of the Claim:	The Complaint seeks damages.		
Specific Statutes or Laws (including GAA) Challenged:	No specific statute is challenged.		
Status of the Case:	Motion to Dismiss pending.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850)717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Williams, Kaytrina PR for Dennis Williams v. FDOC, et al.,		
Court with Jurisdiction:	Second Judicial Circuit, Leon County		
Case Number:	2024-ca-630		
Summary of the Complaint:	Plaintiff claims that Williams was murdered by another inmate and suffered bites all over his body. Plaintiff further alleges that FDC knew that the other inmate was dangerous put him with Williams intentionally.		
Amount of the Claim:	The complaint seeks damages		
Specific Statutes or Laws (including GAA) Challenged:	No specific law is challenged.		
Status of the Case:	Motion to Dismiss for the Department is pending. Individual defendants have filed an answer.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Declan R. Duffy	Phone Number:	850-354-3337
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Crawford, Kelly v. FDC and Probation Officer Marrero		
Court with Jurisdiction:	5th Judicial Circuit, Hernando County, Florida		
Case Number:	2023-CA-1502		
Summary of the Complaint:	Claimant alleges that she received injuries in connection with multiple sexual assaults she was subjected to by her assigned community control/probation officer which began in June 2021, and continued into December of 2021, estimated at 100 incidents including while Claimant was in hospital for congenital heart failure.		
Amount of the Claim:	Monetary damages in excess of \$50,000 //No dollar value demand made		
Specific Statutes or Laws (including GAA) Challenged:	§794.011, §394.4593, and § 440.11, Fla. Stat.		
Status of the Case:	Claimant has filed for Summary Judgment, which is unlikely to be granted as there is an issue of fact as to whether FDC knew or should have known Marrero would sexually assault Crawford.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Declan R. Duffy	Phone Number:	850-354-3337
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Dibiase, Holly v. Florida Department of Corrections, Stephen Rossiter, and Officer Roberts		
Court with Jurisdiction:	5th Judicial Circuit, Marion County, Florida		
Case Number:	2022 CA 1829		
Summary of the Complaint:	Plaintiff alleges she was sexually assaulted while incarcerated at Lowell CI.		
Amount of the Claim:	Monetary damages in excess of \$75,000		
Specific Statutes or Laws (including GAA) Challenged:	Prison Rape Elimination Act (PREA) 34 USC 30309		
Status of the Case:	Parties filed a dismissal with Prejudice on 7/30/2024.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Shirtrina Niquita Roberts, Senior Attorney	Phone Number:	(904) 622-9705
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Sheila Jenkins, DC# P14313 v. Florida Department of Corrections, Nan Jeffcoat, Sonya Gilbert Jensen as Representative of the Estate of David Jensen		
Court with Jurisdiction:	Fifth Judicial Circuit, Marion County, Florida		
Case Number:	2023 CA 2861		
Summary of the Complaint:	Plaintiff alleges that she was sexually assaulted with force by Correctional Officer Jensen; and the Department failed to protect her and was negligent. Plaintiff also alleges that Warden Nan Jeffcoat violated her 42 U.S.C.1983 Civil Rights. Plaintiff alleges, against the estate of David Jensen, that her 42 U.S.C. 1983 Civil Rights were violated.		
Amount of the Claim:	The complaint seeks damages in excess of \$50,000.00		
Specific Statutes or Laws (including GAA) Challenged:	No state statute specifically challenged.		
Status of the Case:	Discovery is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850)717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	L.H.R., D.V., AND T.T.R v. FDC, et al.		
Court with Jurisdiction:	Second Judicial Circuit, Leon County		
Case Number:	2024-CA-1077		
Summary of the Complaint:	Plaintiffs allege that a probation officer sexually assaulted them. The plaintiff's claim negligent supervision and negligent retention of the probation officer.		
Amount of the Claim:	The complaint seeks damages		
Specific Statutes or Laws (including GAA) Challenged:	No specific law is challenged.		
Status of the Case:	Motion to Dismiss is pending.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850) 717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Sachs, Danielle v. Rossiter, et al.		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Ocala Division		
Case Number:	5:22cv314		
Summary of the Complaint:	Plaintiff alleges that on June 16, 2021, she was subjected to physical abuse, intimidation, and restrictive confinement as part of a widespread and continuing pattern of forced sexual submission imposed by Department employees upon her and other numerous female inmates. This misconduct was supported and permitted by the Department directly and through third party contractors because the Department and its administrators knew or should have known of its existence but failed to take appropriate measures to protect Ms. Sachs from the abuse.		
Amount of the Claim:	The Complaint seeks all damages recoverable under Florida Law and all other relief deemed just and proper.		
Specific Statutes or Laws (including GAA) Challenged:	No law is specifically challenged.		
Status of the Case:	Settled. 9/11/24. Stipulation of Dismissal filed 10/18/23. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850) 717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Sachs, Danielle v. Rossiter, et al.		
Court with Jurisdiction:	Fifth Judicial Circuit, Marion County		
Case Number:	2023ca2179		
Summary of the Complaint:	Plaintiff alleges that on June 16, 2021, she was subjected to physical abuse, intimidation, and restrictive confinement as part of a widespread and continuing pattern of forced sexual submission imposed by Department employees upon her and other numerous female inmates. This misconduct was supported and permitted by the Department directly and through third party contractors because the Department and its administrators knew or should have known of its existence but failed to take appropriate measures to protect Ms. Sachs from the abuse.		
Amount of the Claim:	The Complaint seeks all damages recoverable under Florida Law and all other relief deemed just and proper.		
Specific Statutes or Laws (including GAA) Challenged:	No law is specifically challenged.		
Status of the Case:	Stipulation of dismissal filed 11/8/23 pursuant to settlement in federal case 5:22cv314, MDFL, Ocala Division		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850)717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Webb, Melissa v. Rossiter, et al., Middle District		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Ocala Division		
Case Number:	5:24cv159		
Summary of the Complaint:	Plaintiff alleges that a corrections officer sexually assaulted her at Lowell Correctional Institution.		
Amount of the Claim:	The complaint seeks damages		
Specific Statutes or Laws (including GAA) Challenged:	No specific law is challenged.		
Status of the Case:	Case settled. Stipulation of Dismissal filed 8/21/24. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	William Melendez, Ricky Dixon, et al.		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Jacksonville		
Case Number:	3:20-cv-1023 (11 th Circuit Appeals cases 21-13455, 22-10306)		
Summary of the Complaint:	Plaintiff alleges that the conditions of confinement in Florida's Close Management housing status constitutes an 8th Amendment violation, a due process claim regarding Plaintiff's assignment to Close Management, and Excessive Force, Retaliation, and ADA violations.		
Amount of the Claim:	The complaint seeks injunctive relief and compensatory damages.		
Specific Statutes or Laws (including GAA) Challenged:	8 th Amendment, 14 th Amendment, section 1983, ADA		
Status of the Case:	Case is stayed pending outcome of Interlocutory Appeal. Until the mandate is issued by the 11th Circuit, the trial court matter will remain stayed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Jabbaar Abdul A/K/A Mujaahid Abdul Jabaar, v. Mark Inch and Jerrod Hunter		
Court with Jurisdiction:	United States District Court, Northern District of Florida, Tallahassee Division		
Case Number:	4:21-cv-153-MW/MJF		
Summary of the Complaint:	Plaintiff claims that staff forced him to shave his beard, which is maintained as part of his faith.		
Amount of the Claim:	Plaintiff seeks nominal, compensatory, punitive damages, and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No specific state law is challenged. The Plaintiff alleges a violation of 42 U.S.C. §2000 (RLUIPA), and the First Amendment of the US Constitution.		
Status of the Case:	Discovery is ongoing in this case.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Walker Davis v. Mark Inch		
Court with Jurisdiction:	United States District Court, Southern District of Florida, Fort Pierce Division		
Case Number:	2:21-cv-14106		
Summary of the Complaint:	Inmate claims that the grooming policy violated his 1st Amendment right to freely practice his religion under the Religious Land Use Institutionalized Persons Act (RLUIPA), prohibiting him from growing a fist length beard (about 3 1/2 - 4 inches).		
Amount of the Claim:	Plaintiff seeks injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No specific state law is challenged. The Plaintiff alleges a violation of 42 U.S.C. §2000 (RLUIPA), and the First Amendment of the US Constitution.		
Status of the Case:	Department's Motion to Dismiss was denied August 14, 2024. Discovery ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Abdul Hakeem Jahmal Naseer Shabazz a.k.a. Owen Denson, Jr. v. Mark S. Inch, Sec'y, Fla. D.O.C.		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Fort Myers Division		
Case Number:	2:17-cv-00648-JES-UAM		
Summary of the Complaint:	Plaintiff, a Sunni Muslim, claims that enforcement of the grooming policy limiting his beard to no longer than 1/2" violates his rights under RLUIPA.		
Amount of the Claim:	Plaintiff seeks declaratory and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state laws are specifically challenged. The Plaintiff alleges a violation of 42 U.S.C. §2000 (RLUIPA)		
Status of the Case:	Plaintiff was awarded fees January 4, 2024, after prevailing at trial. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Durrell Sims v. Mark Inch		
Court with Jurisdiction:	Nineteenth Judicial Circuit Court, Martin County, Florida		
Case Number:	2020CA181		
Summary of the Complaint:	Plaintiff alleges that the Department is violating his rights to practice his religion by shaving his beard.		
Amount of the Claim:	The complaint seeks damages and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged		
Status of the Case:	Motion to Dismiss granted February 12, 2024. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Durrell Sims v. Mark Inch		
Court with Jurisdiction:	Eleventh Circuit Court of Appeals, Atlanta, Georgia		
Case Number:	19-13745(Eleventh Circuit); 4:16cv49(Northern District)		
Summary of the Complaint:	Plaintiff alleges that the Department's grooming policy violates his rights under the First Amendment and RLUIPA to practice his religion freely by prohibiting him from wearing a fist length beard.		
Amount of the Claim:	The complaint seeks declaratory and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The Complaint claims a violation of the First Amendment of the United States Constitution and RLUIPA.		
Status of the Case:	On August 1, 2024 the 11 th Circuit filed its opinion. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Jamal Sultan v. Ricky Dixon, et al.		
Court with Jurisdiction:	United States District Court, Middle District of Florida, Ocala Division		
Case Number:	5:21cv590		
Summary of the Complaint:	Plaintiff alleges that the Department's grooming policy violates his rights under the First and Fourteenth Amendments and RLUIPA to practice his religion freely by prohibiting him from wearing a fist length beard.		
Amount of the Claim:	The complaint seeks declaratory and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The Complaint claims a violation of the First and Fourteenth Amendments of the United States Constitution and RLUIPA.		
Status of the Case:	On August 7, 2024, the Plaintiff voluntarily dismissed the case. This case is considered closed and will be removed from the report for the next fiscal year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Sean J Anderson	Phone Number:	850-717-3597
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Lester Watson v. Mark Inch, et al.		
Court with Jurisdiction:	United States District Court, Southern District of Florida, Miami Division		
Case Number:	21-21945		
Summary of the Complaint:	Plaintiff alleges that the Department's grooming policy violates his rights under the First and Fourteenth Amendments and RLUIPA to practice his religion freely by prohibiting him from wearing a fist length beard.		
Amount of the Claim:	The complaint seeks damages and declaratory and injunctive relief.		
Specific Statutes or Laws (including GAA) Challenged:	No state law is specifically challenged. The Complaint claims a violation of the First and Fourteenth Amendments of the United States Constitution and RLUIPA.		
Status of the Case:	On August 13, 2021, the court issued an order staying the case pending a resolution in <i>Smith v. Dozier</i> , No. 19-3520 and <i>Sims v. Inch</i> , No. 19-13745.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850)717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Demontalvo, Hector v. Dixon, et al.		
Court with Jurisdiction:	United States District Court, Northern District of Florida, Tallahassee Division		
Case Number:	4:23cv475		
Summary of the Complaint:	Plaintiff is an inmate in the FL Dept. of Corrections (FLDOC) who identifies as a female, Plaintiff was diagnosed with gender dysphoria while at Columbia Annex. Plaintiff was then transferred to Wakulla Annex for assessment of her GD. Plaintiff alleges GDRT entered an unfavorable disposition contrary to their authority.		
Amount of the Claim:	Nominal damages and injunctive relief requested		
Specific Statutes or Laws (including GAA) Challenged:	No law is specifically challenged.		
Status of the Case:	Motion to dismiss pending.		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Corrections		
Contact Person:	Charles Martin	Phone Number:	(850)717-3611
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Toledo, Ruben Z. v. FDC		
Court with Jurisdiction:	Second Judicial Circuit, Leon County		
Case Number:	2024-CA-1121		
Summary of the Complaint:	Plaintiff claims Toledo, a transgender inmate, died of fentanyl poisoning while in close management.		
Amount of the Claim:	The complaint seeks damages		
Specific Statutes or Laws (including GAA) Challenged:	No specific law is challenged.		
Status of the Case:	Response to the complaint to be filed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Florida Department of Corrections		
Contact Person:	Maria Hossain	Phone Number:	(850)717-3976
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Samuel E. Velez Ortiz v. Department of Corrections		
Court with Jurisdiction:	Florida First District Court of Appeal		
Case Number:	1D22-375		
Summary of the Complaint:	Mr. Velez Ortiz was a correctional officer who tested positive for marijuana following a random drug test. Marijuana use is prohibited by Florida Department of Corrections (FDC) employees, pursuant to Florida Statutes and internal procedures and directives. Mr. Velez Ortiz presented a medical marijuana card and argues that he has a constitutional right to use it.		
Amount of the Claim:	\$ N/A (Mr. Velez Ortiz seeks reinstatement with back pay)		
Specific Statutes or Laws (including GAA) Challenged:	§§ 381.986 and 112.0455, Fla. Stat. (primarily); Art. X § 29, Fla. Const.		
Status of the Case:	On June 21, 2023, the First District Court of Appeal affirmed the decision of the Public Employees Relations Commission, in favor of FDC. (This case is considered closed and will be removed from the report for the next fiscal year.)		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory			
Agency:	Florida Department of Corrections		
Contact Person:	Maria Hossain Lindsay Fryer	Phone Number:	(850)717-3976 (850)294-9083
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Asia Thomas v. MHM Health Professionals, LLC. d/b/a Centurion Professionals and Florida Department of Corrections		
Court with Jurisdiction:	Circuit Court of the 2 nd Judicial Circuit, in and for, Leon County, Florida.		
Case Number:	2022 CA 1042		
Summary of the Complaint:	Private Whistleblower Retaliation (def Centurion) Public Whistleblower Retaliation (def FDC)		
Amount of the Claim:	This action involves claims which are, individually, in excess of Thirty Thousand Dollars (\$30,000.00), exclusive of costs and interest.		
Specific Statutes or Laws (including GAA) Challenged:	This is an action brought under §448.102 et seq, Florida Statutes and § 112.3187 et seq., Florida Statutes.		
Status of the Case:	FDC's Motion to Dismiss was granted and Plaintiff filed amended complaint. FDC filed Answer and Affirmative Defenses. Plaintiff to file another amended complaint. Motion for Summary Judgment has been filed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

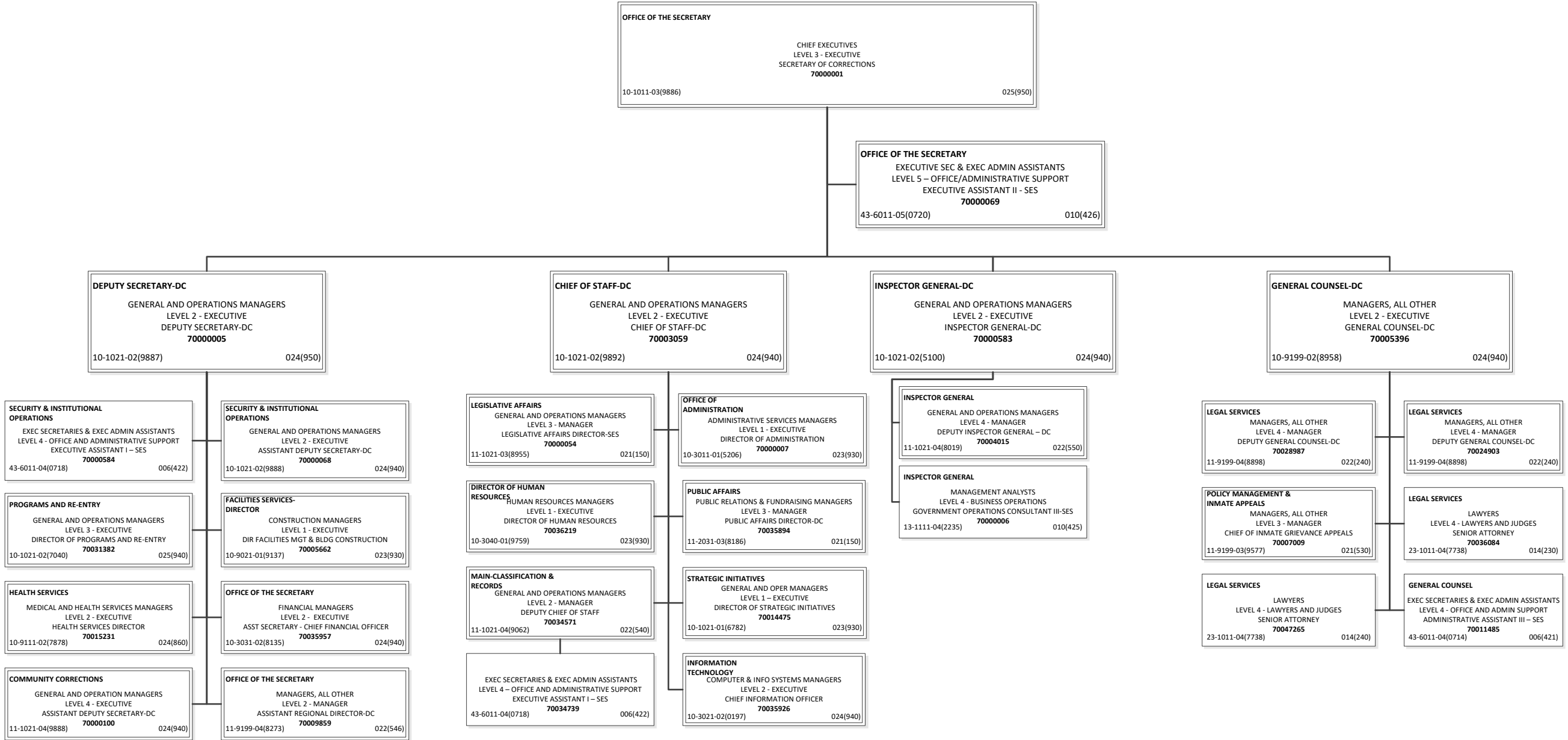
Schedule VII: Agency Litigation Inventory			
Agency:	Florida Department of Corrections		
Contact Person:	Kristen Lonergan	Phone Number:	(850) 717-3624
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	T.H. v. Florida Department of Corrections		
Court with Jurisdiction:	Leon County Circuit Court and Northern District of Florida (NDFL)		
Case Number:	NDFL – 4:23-CV-00314-AW-MJF (removed from Leon County – 2023-CA-1755) – FDC Challenge to Final Order NDFL – 4:23-cv-00274-AW-MAF – T.H. Enforcement Action		
Summary of the Complaint:	Petitioner claims the Department is failing to provide a free appropriate public education (FAPE) because Petitioner’s Individualized Education Program (IEP) does not include a <i>traditional</i> high school diploma track option. Petitioner claims that the <i>GED-based</i> high school diploma track offered to all qualified inmates denies the Petitioner an individualized plan and fails to consider Petitioner’s individual needs based on his disability in violation of IDEA.		
Amount of the Claim:	\$ Unknown; attorneys fees and compensatory education		
Specific Statutes or Laws (including GAA) Challenged:	Section 944.801, F.S.; 20 U.S.C. § 1400 et. seq.; Section 504 of the Rehabilitation Act of 1973; 42 U.S.C. § 1983; and Title II of the ADA 42 U.S.C. § 12131 – 12134.		
Status of the Case:	Awaiting ruling on cross motions for judgment on the record before Judge Windsor in NDFL. Oral Argument was held. Enforcement action filed by T.H. is stayed pending outcome of the case on the merits.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	No current class action. However, the implications of a mandatory change in FDC’s approach to delivering instruction toward a high school equivalency diploma could impact about 300 current inmates.		

Schedule VII: Agency Litigation Inventory			
Agency:	Board of Trustees of the Internal Improvement Trust Fund with DEP's Division of State Lands acting as agent involving a land lease for use by Florida Department of Corrections.		
Contact Person:	Gretchen Kelley Brantley	Phone Number:	(850) 717-9789
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Holmes County Development Commission (HCDC) v. Board of Trustees of the Internal Improvement Trust Fund (TIITF)		
Court with Jurisdiction:	Holmes County Circuit Court		
Case Number:	2022-CA-334		
Summary of the Complaint:	FDC has a 50-year lease with TIITF for the work camp property adjacent to Holmes Correctional Institution. HCDC conveyed the land to TIITF with a reverter clause. HCDC's complaint is an action for quiet title and alleges the reverter clause was triggered automatically when FDC temporarily suspended some operations at the work camp due to emergency conditions.		
Amount of the Claim:	\$		
Specific Statutes or Laws (including GAA) Challenged:	Section 65.061, F.S.		
Status of the Case:	Holmes County Circuit Court case number 2022-CA-334 was dismissed with prejudice on November 3, 2023. The parties reached an out of court settlement, which FDC was not a party to. (This case is considered closed and will be removed from the report for the next fiscal year.)		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel (Div. of State Lands is acting agent for TIITF)	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

AGENCY OVERVIEW

CURRENT

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



OVERVIEW

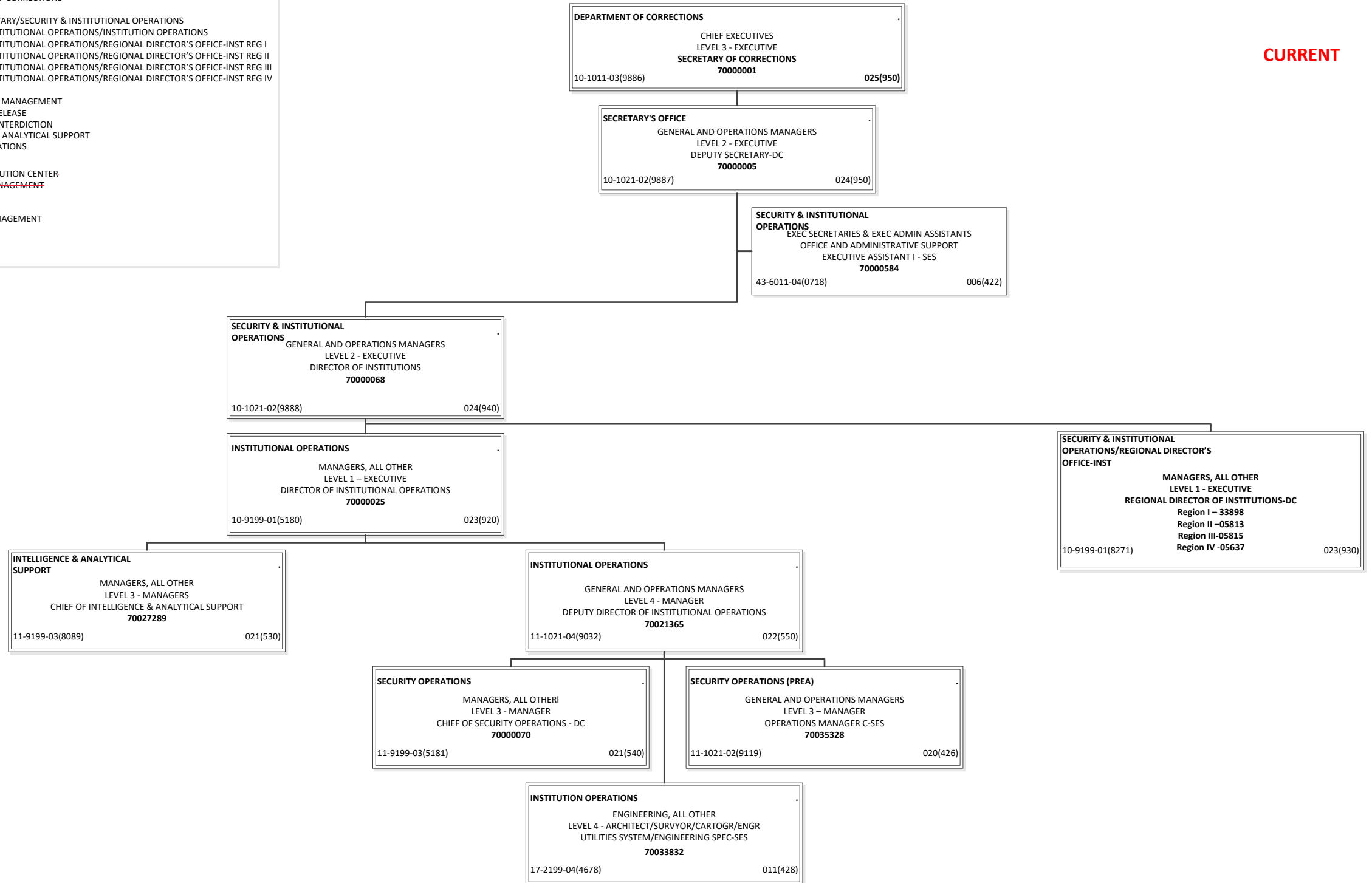
CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS

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

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

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



DIR. OF INSTITUTIONS

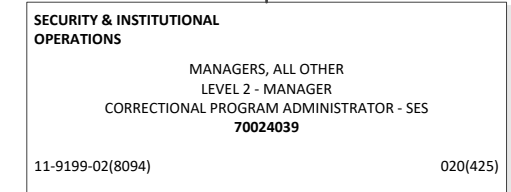
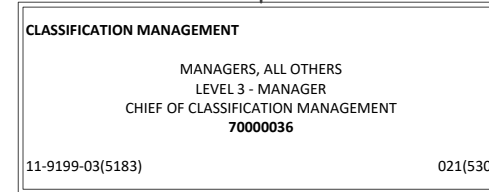
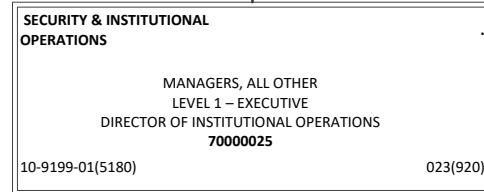
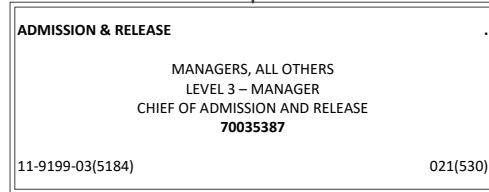
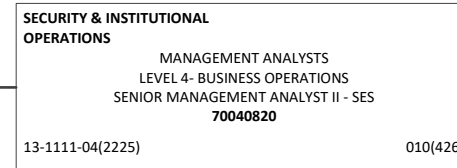
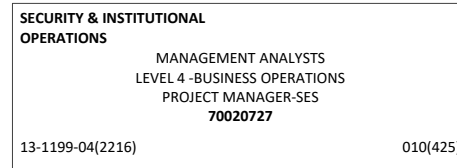
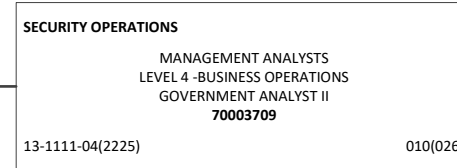
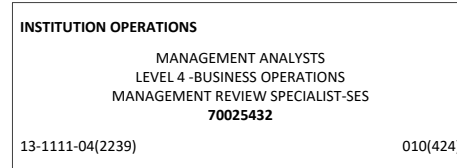
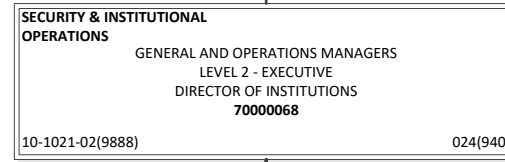
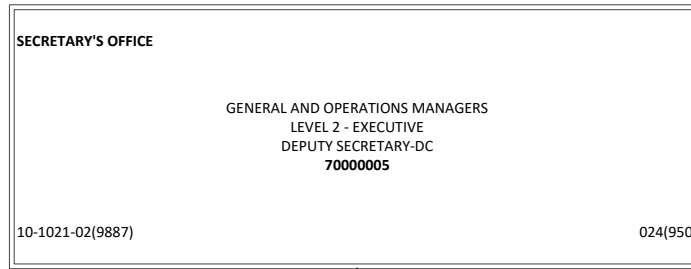
Name of Agency: DEPARTMENT OF CORRECTIONS

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

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

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

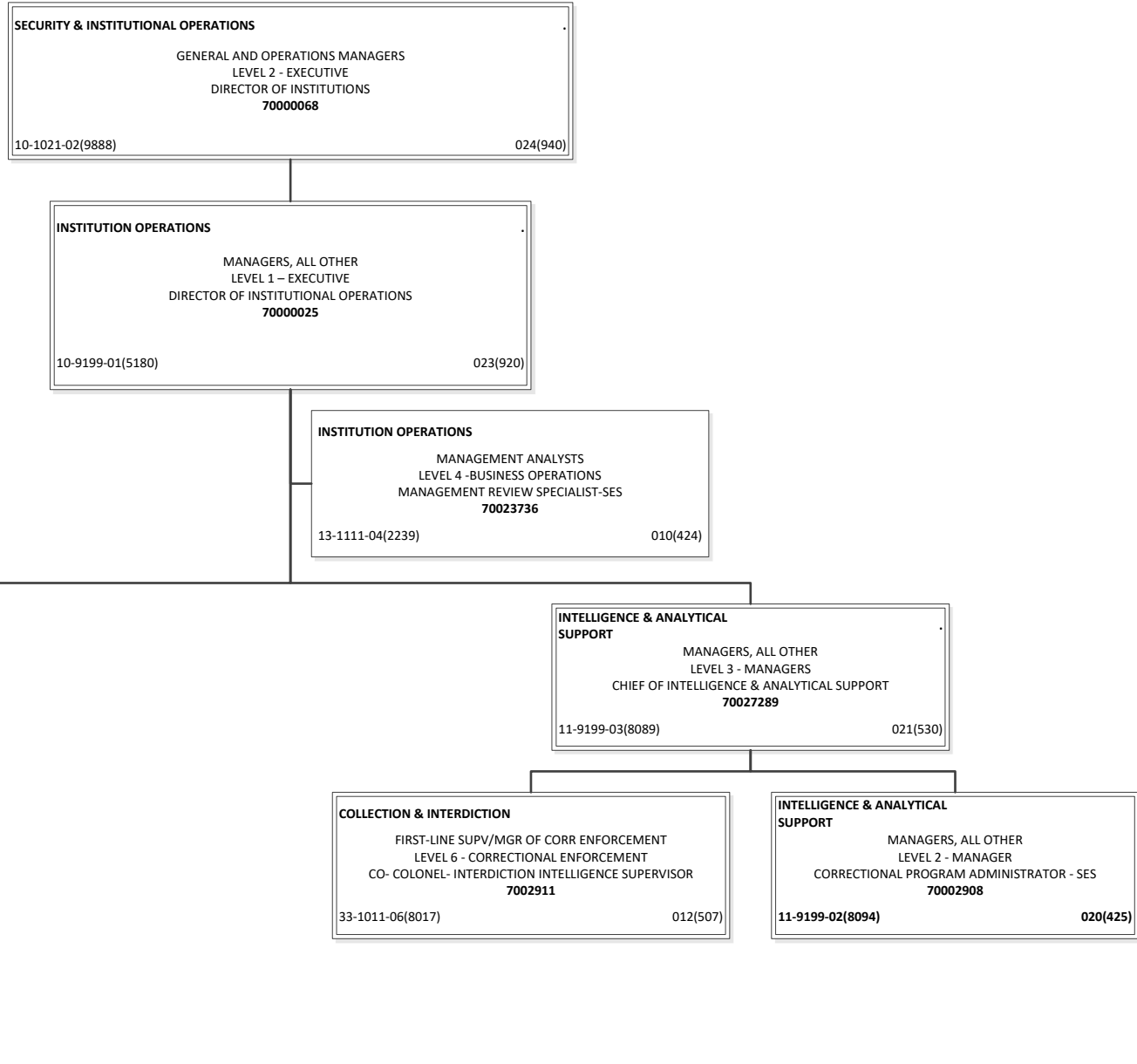
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DIR. INSITUTIONAL OPERATIONS - DIRECTOR

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: DEPUTY SECRETARY/SECURITY & INSTITUTIONAL OPERATIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
 Bureau/Comparable: COLLECTION & INTERDICTION
 Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT
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 Section/Subsection: EAC

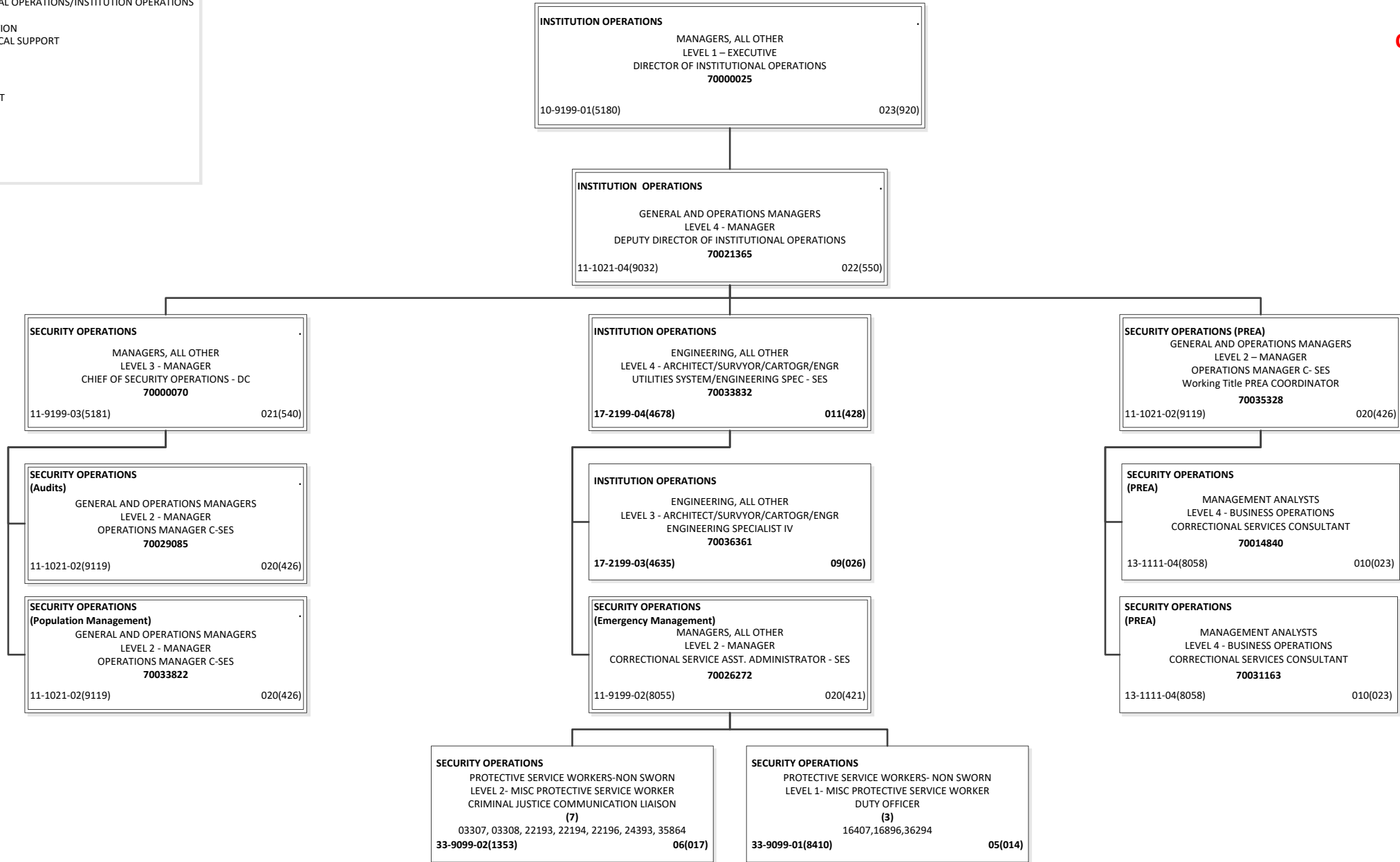


DEPUTY DIR. INSTITUTIONAL OPERATIONS

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
 Bureau/Comparable: COLLECTION & INTERDICTION
 Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT
 Bureau/Comparable: SECURITY OPERATIONS

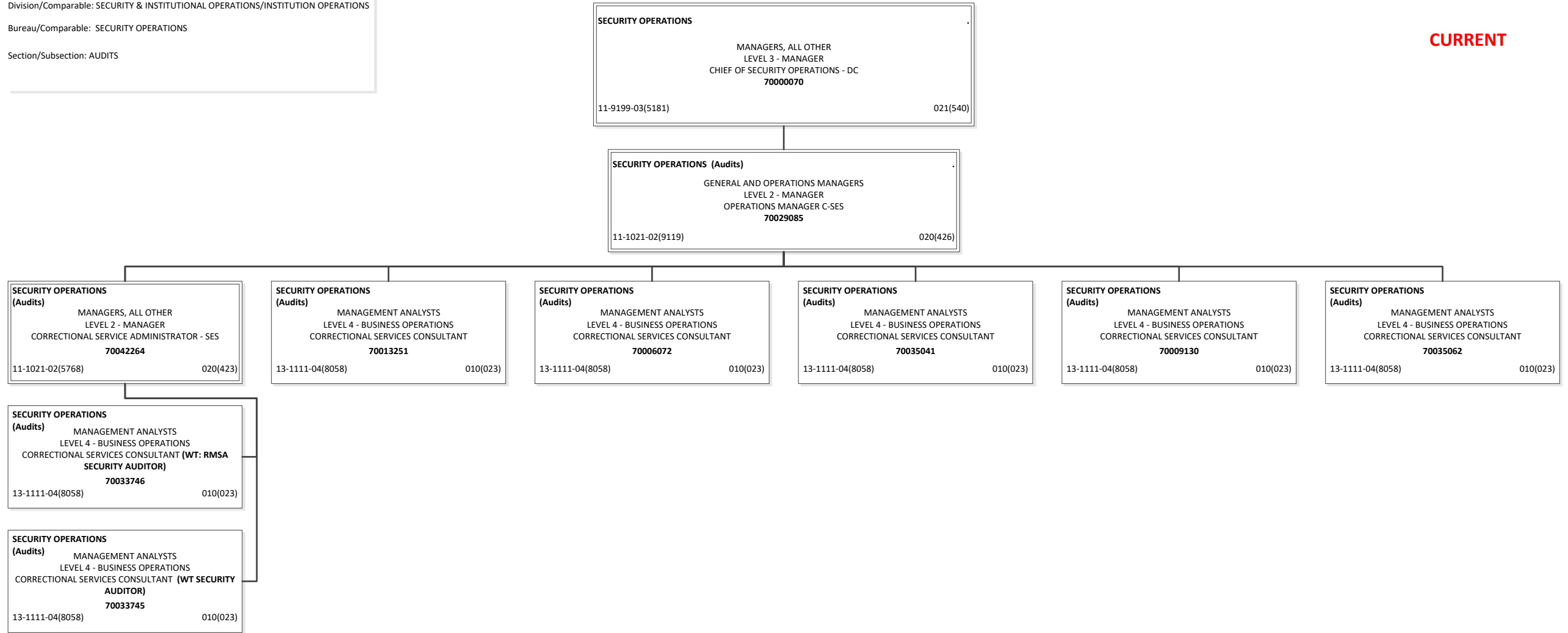
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 Section/Subsection PREA
 Section/Subsection AUDITS



CHIEF SECURITY OPERATIONS (29085)

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
Bureau/Comparable: SECURITY OPERATIONS
Section/Subsection: AUDITS

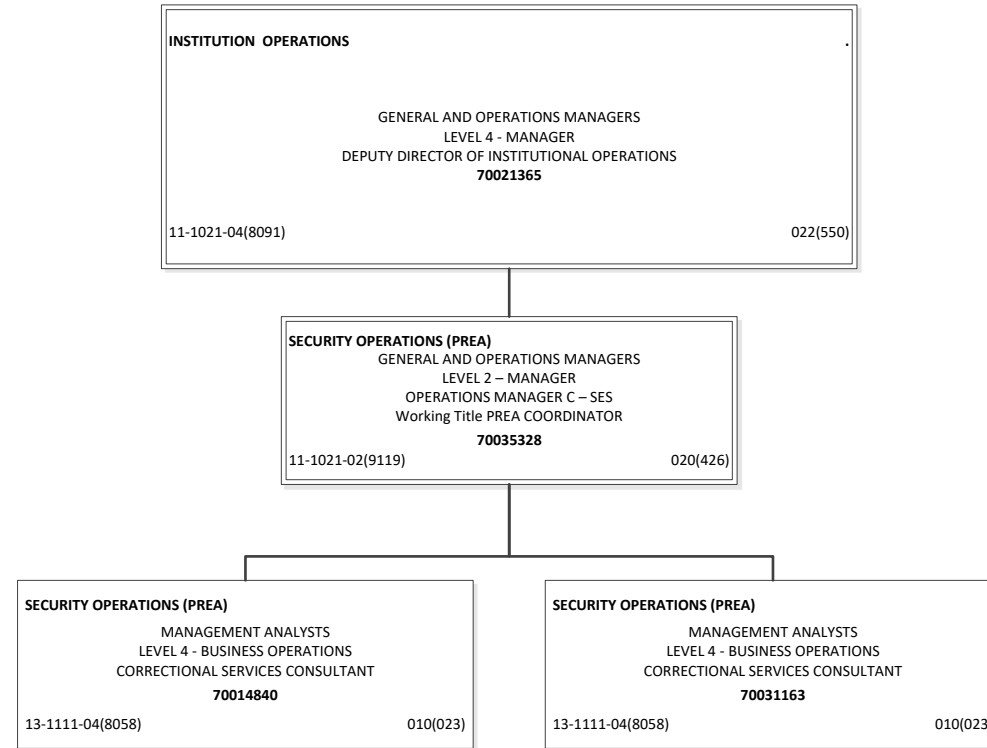
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SECURITY OPERATIONS - PREA (35328)

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
Bureau/Comparable: SECURITY OPERATIONS
Section/Subsection: PREA

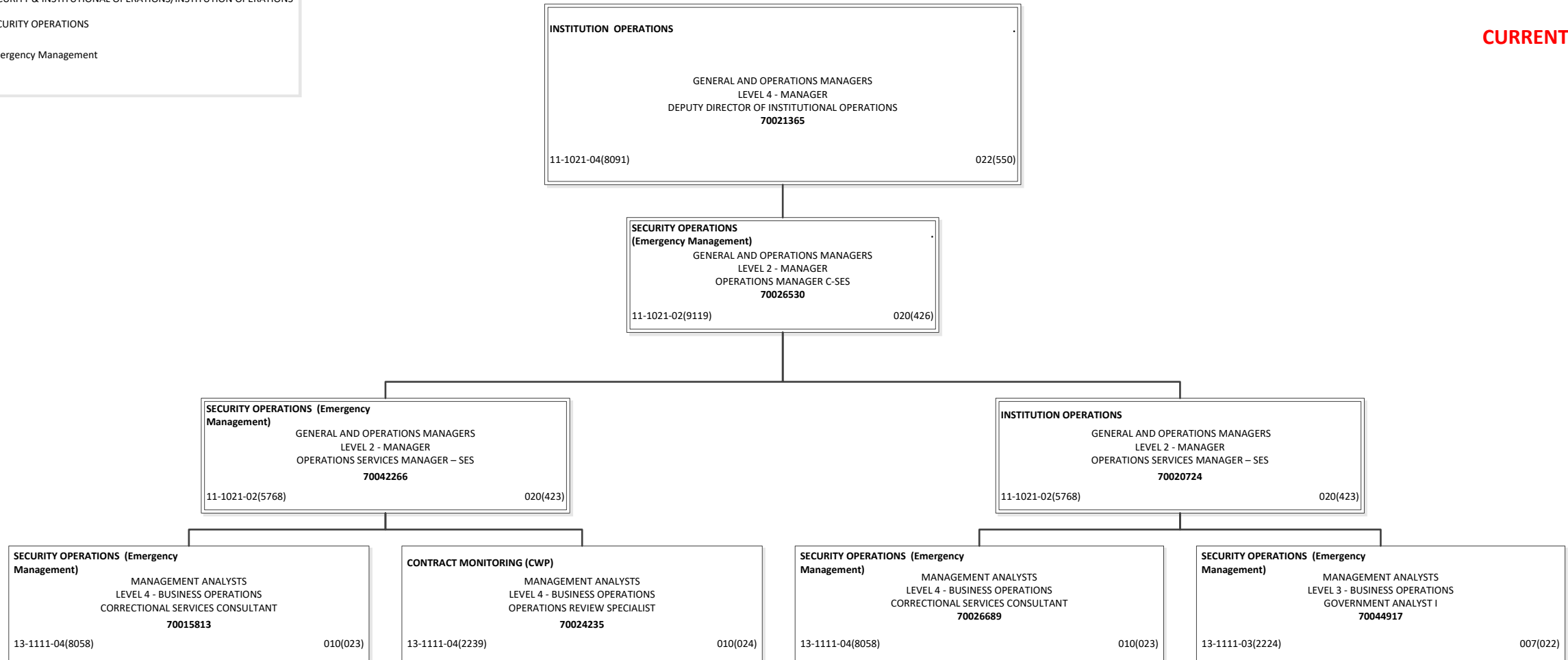
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SECURITY OPERATIONS - Emergency (Operations Manager 26530)

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
 Bureau/Comparable: SECURITY OPERATIONS
 Section/Subsection: Emergency Management

CURRENT



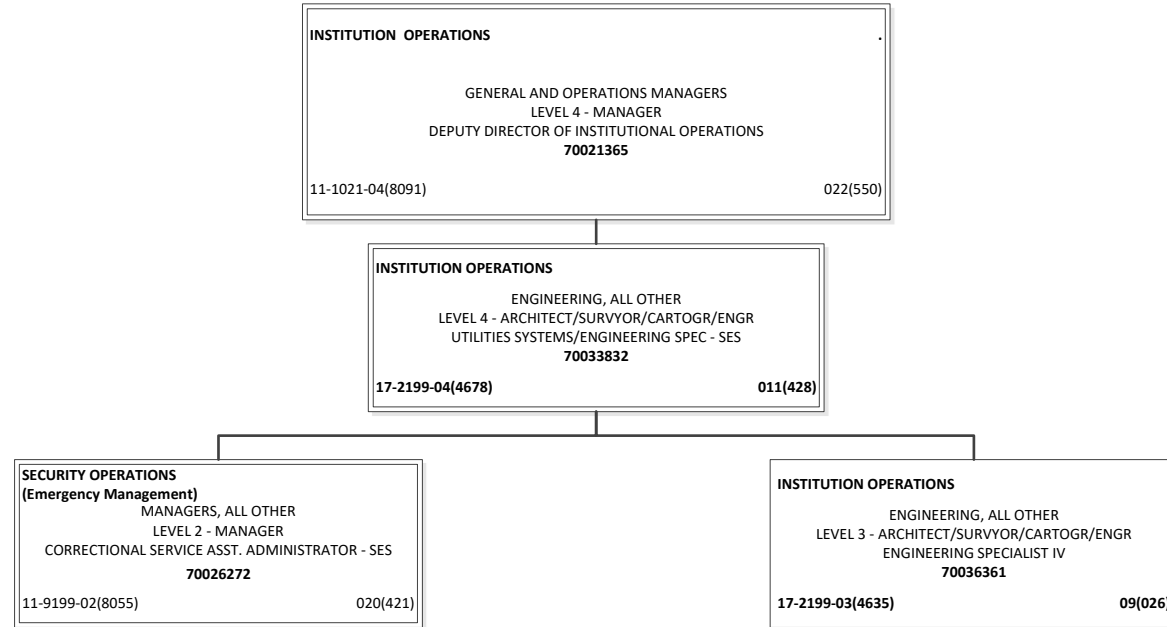
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Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

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

Section/Subsection EMERGENCY MANAGEMENT

CURRENT



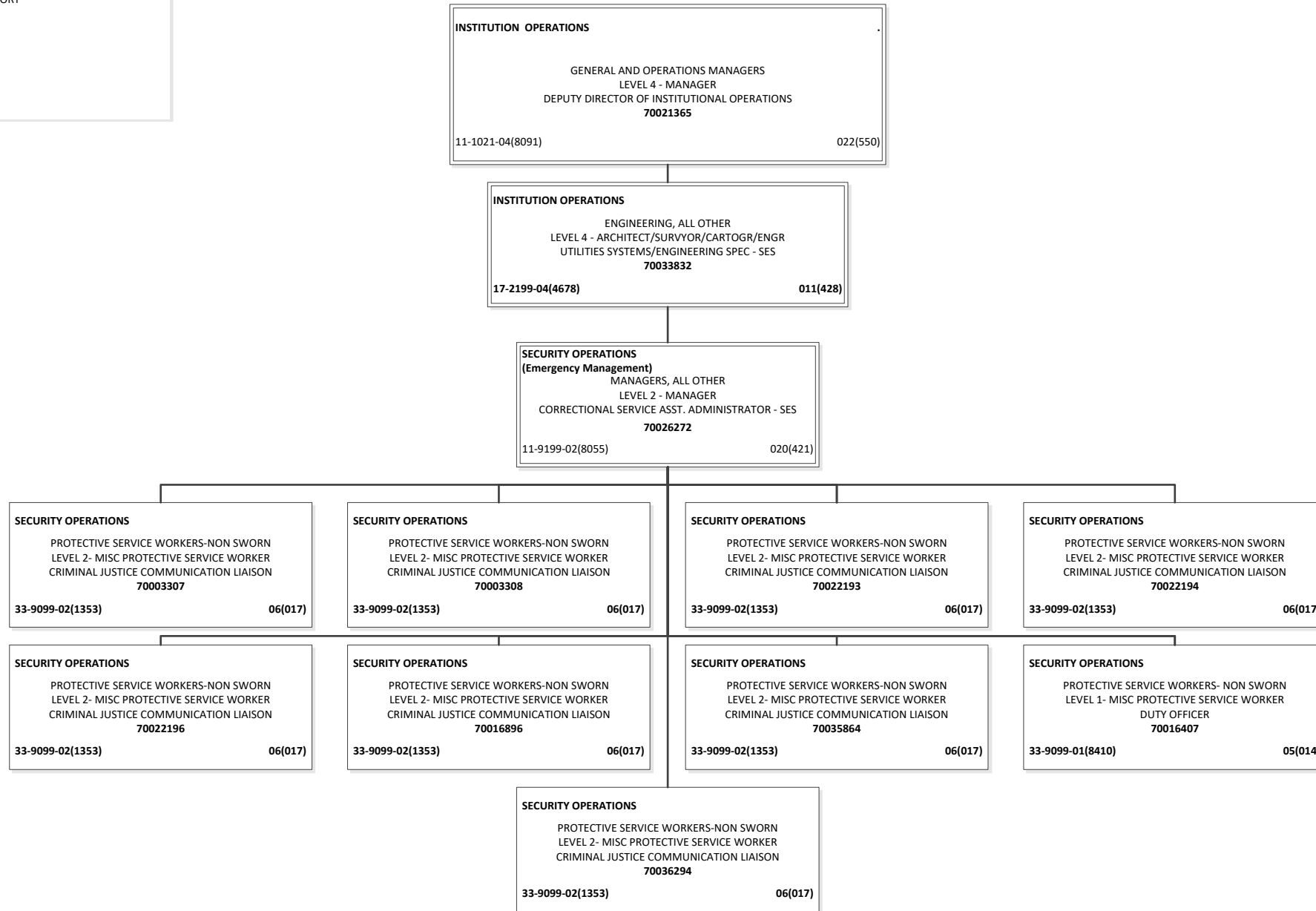
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 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

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Section/Subsection EMERGENCY MANAGEMENT

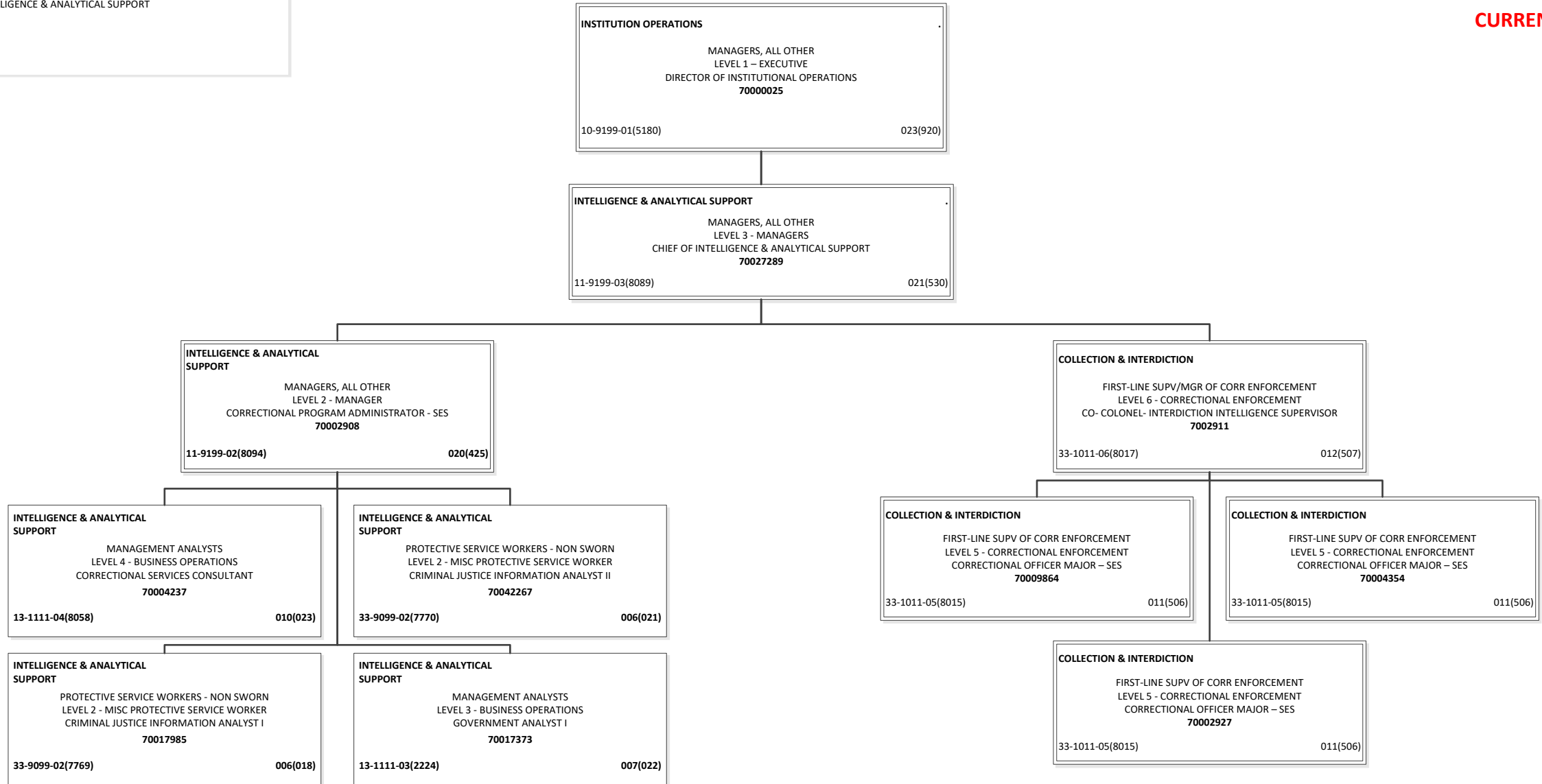
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INTELLIGENCE & ANALYTICAL SUPPORT

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
 Bureau/Comparable: INTELLIGENCE & ANALYTICAL SUPPORT

CURRENT



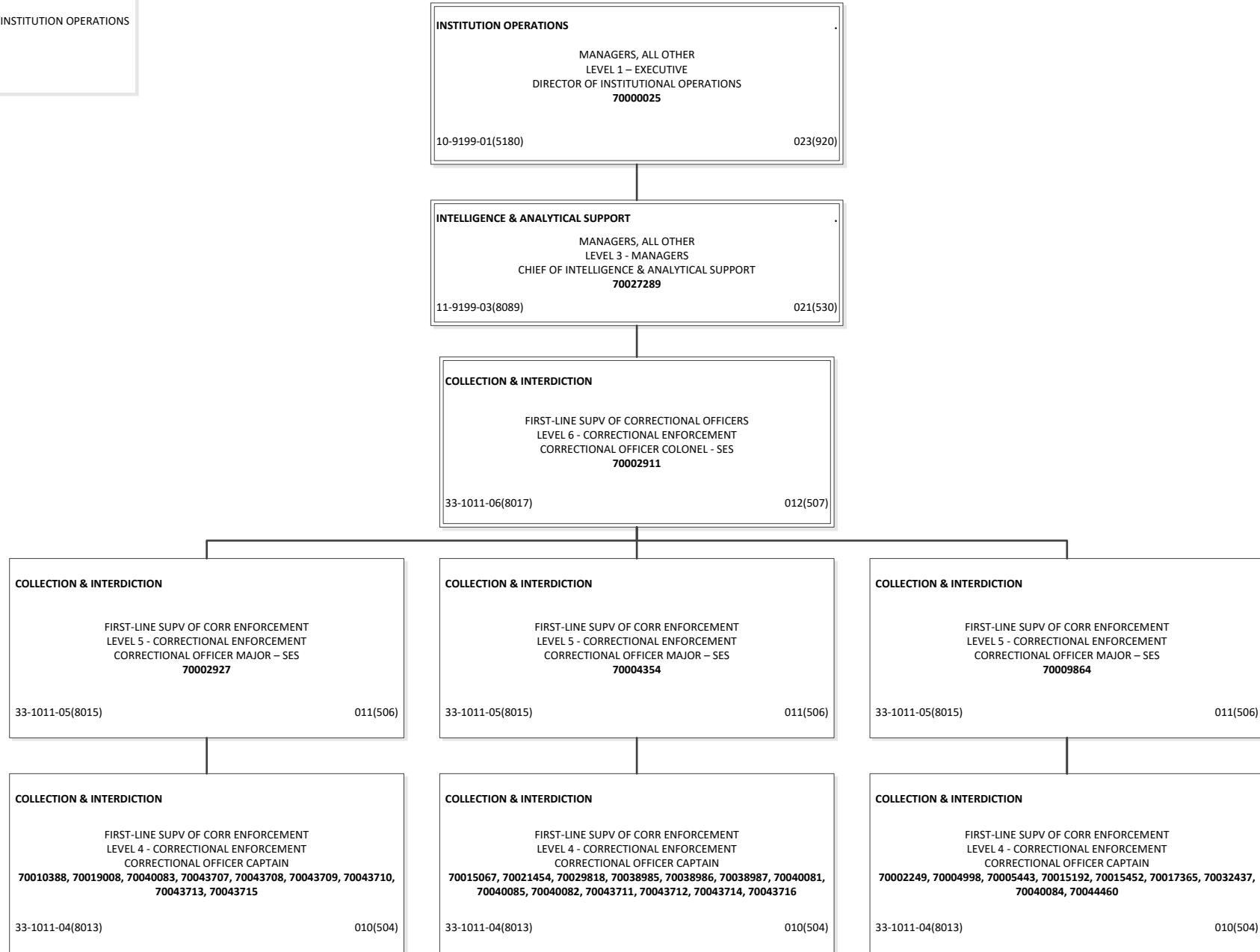
COLLECTION & INTERDICTION

Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

Bureau/Comparable: COLLECTION & INTERDICTION

CURRENT



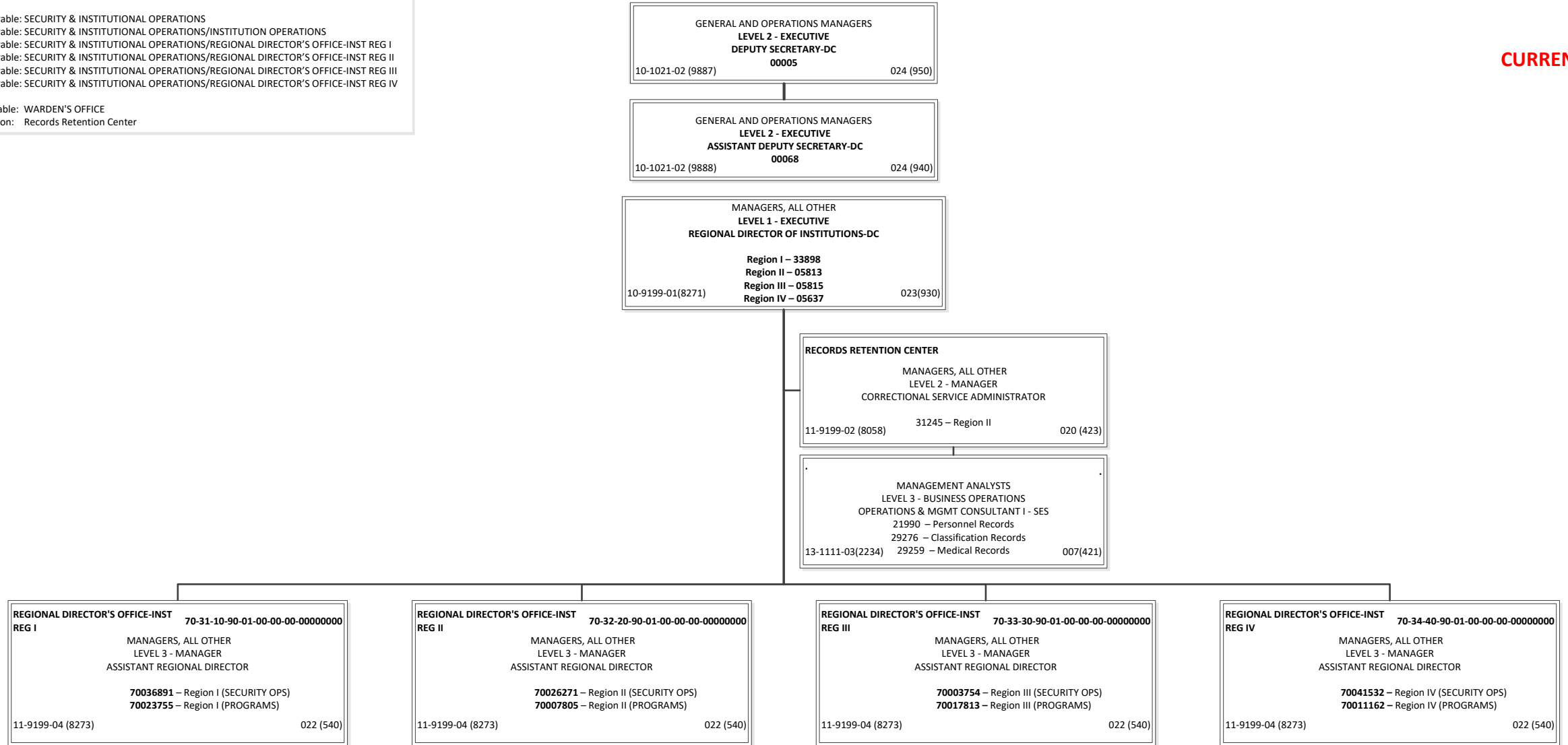
REGIONAL DIRECTOR'S OFFICE (OVERVIEW)

Name of Agency: DEPARTMENT OF CORRECTIONS

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

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

CURRENT



REGIONAL DIRECTOR'S OFFICE (WITH INST.)

Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
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Bureau/Comparable: WARDEN'S OFFICE
 Section/Subsection: Records Retention Center

CURRENT



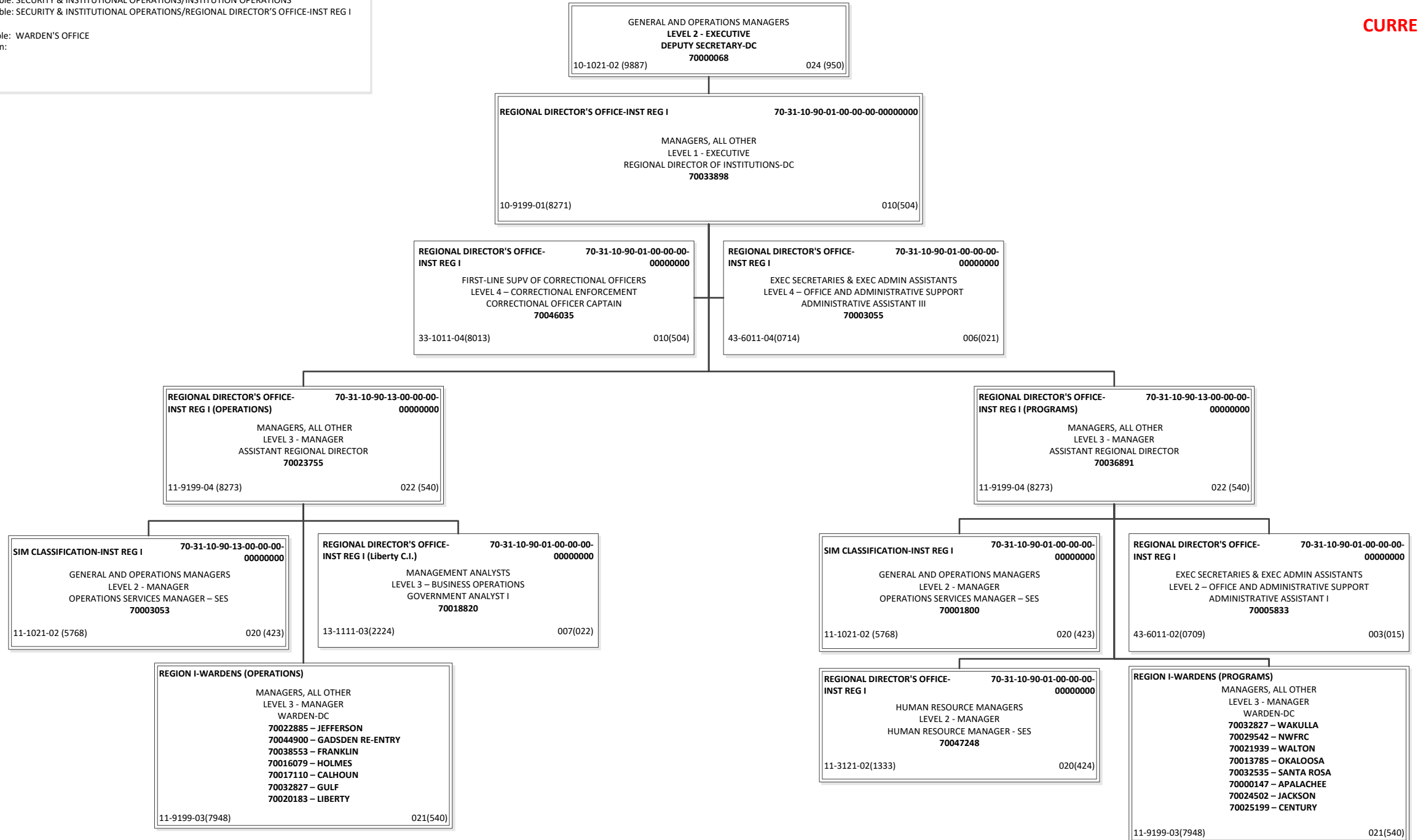
REG I DIRECTOR'S OFFICE

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
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Bureau/Comparable: WARDEN'S OFFICE
 Section/Subsection:



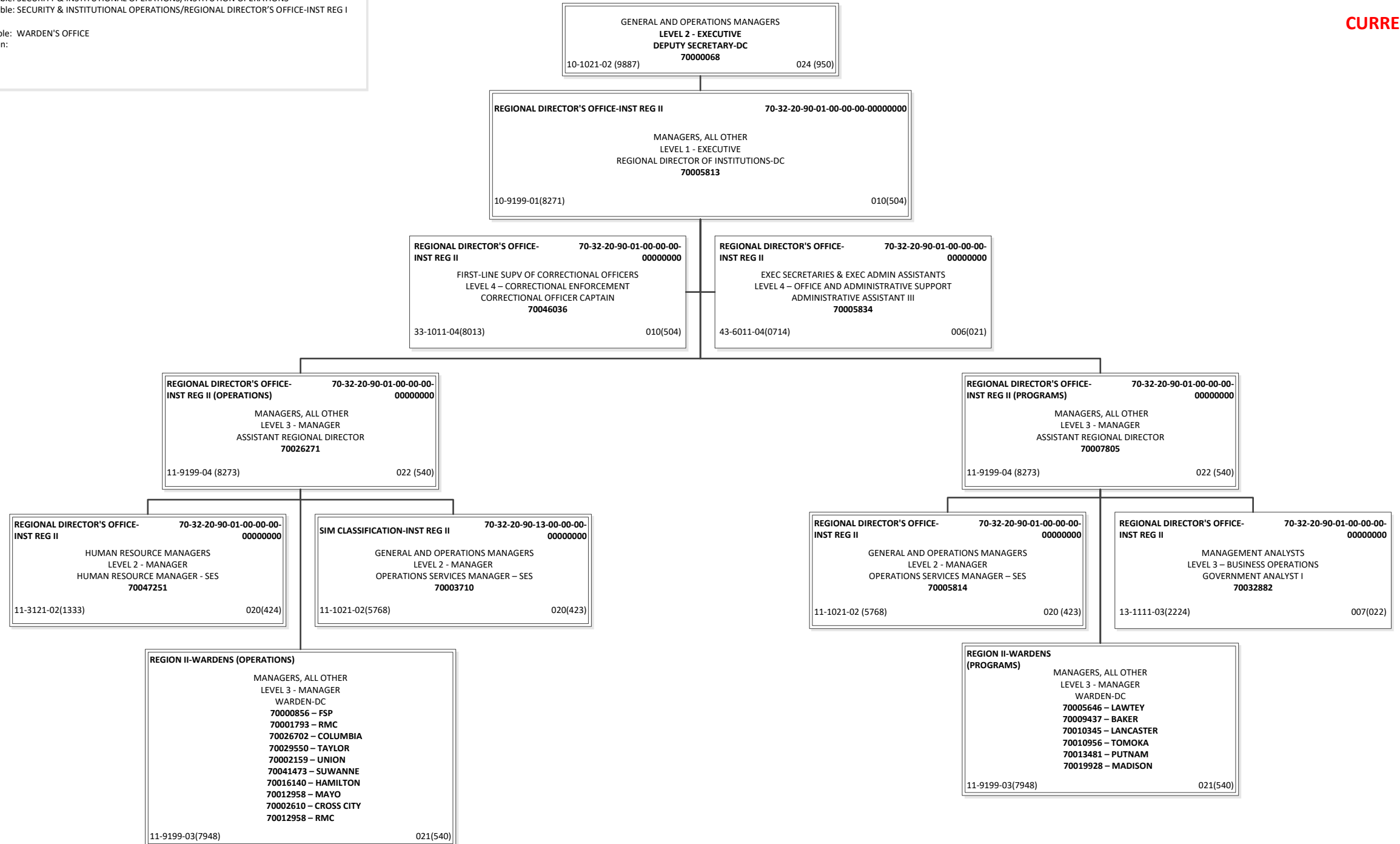
REG II DIRECTOR'S OFFICE

Name of Agency: DEPARTMENT OF CORRECTIONS

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

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

CURRENT



REG III DIRECTOR'S OFFICE

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS

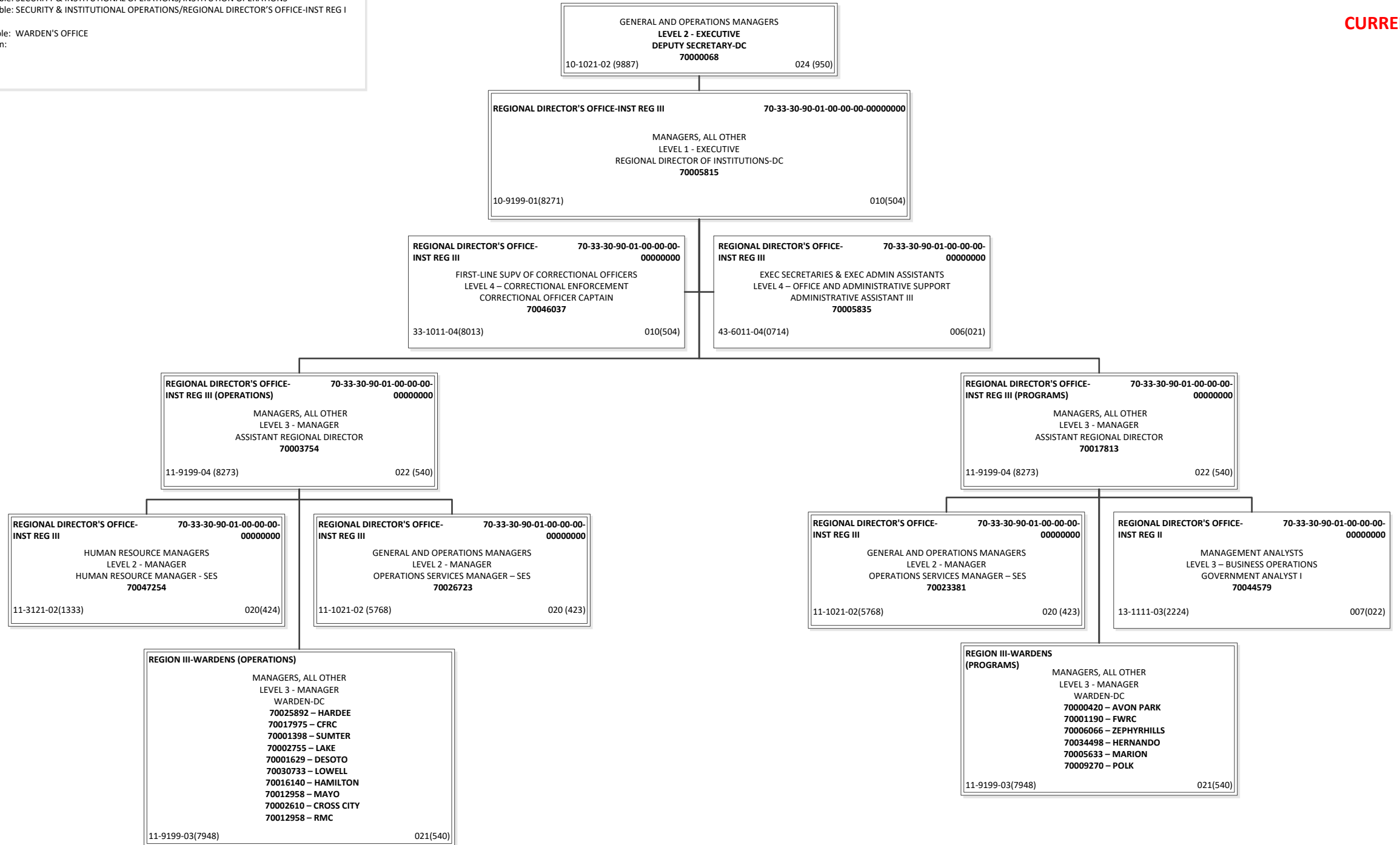
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Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS

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

Bureau/Comparable: WARDEN'S OFFICE

Section/Subsection:



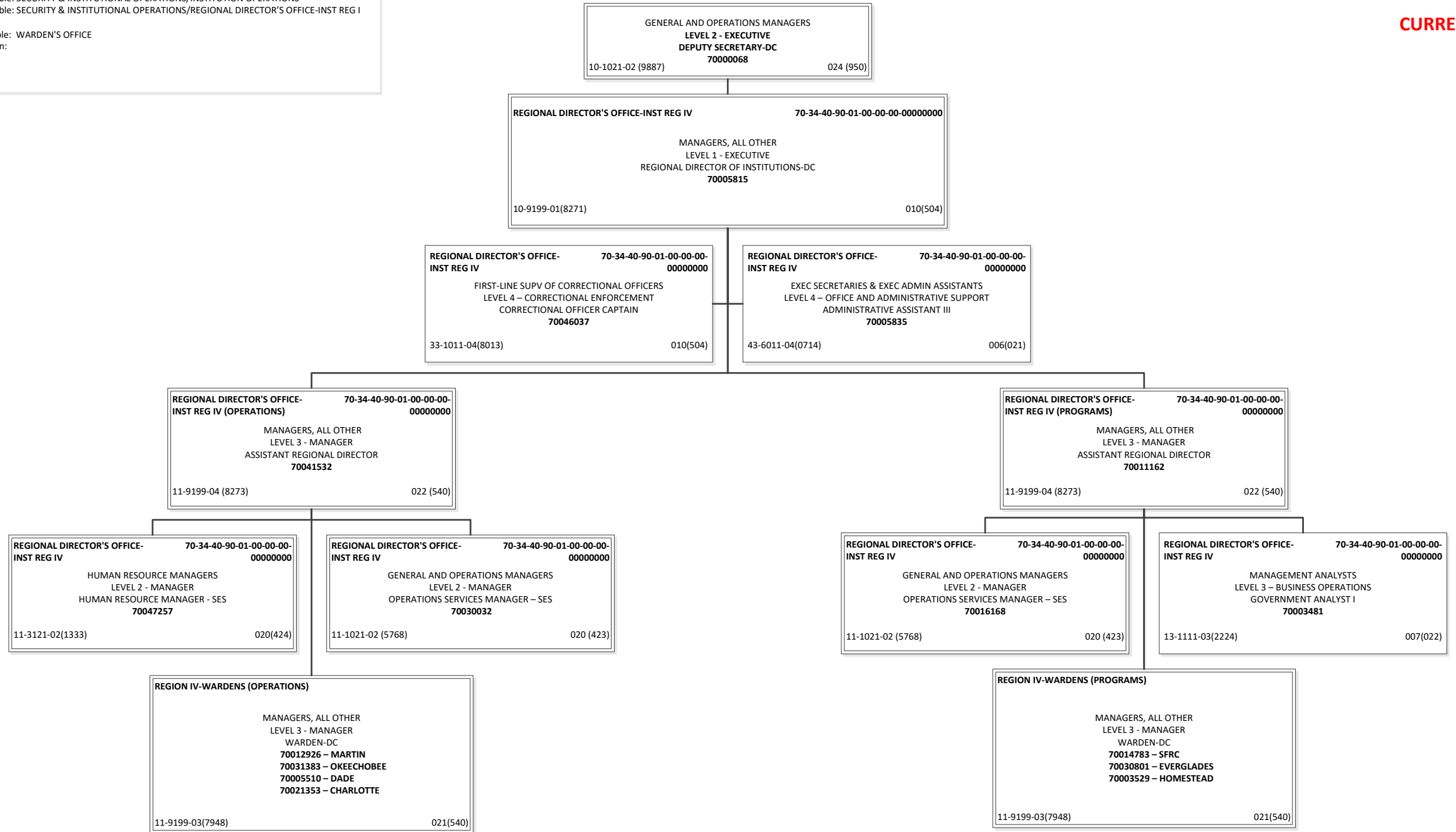
REG IV DIRECTOR'S OFFICE

CURRENT

Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
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Bureau/Comparable: WARDEN'S OFFICE
 Section/Subsection:

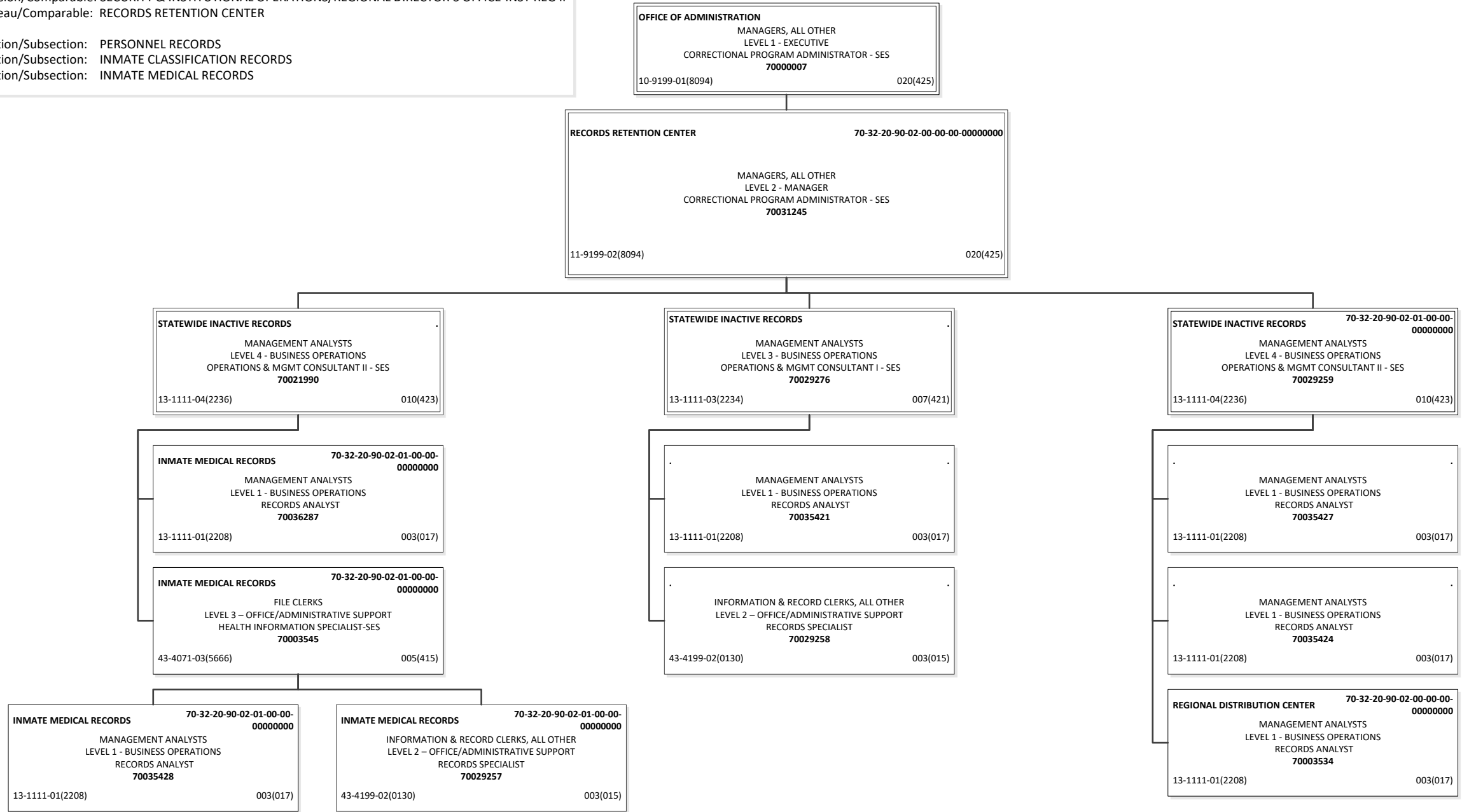


REGIONAL DISTRIBUTION CENTER

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

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

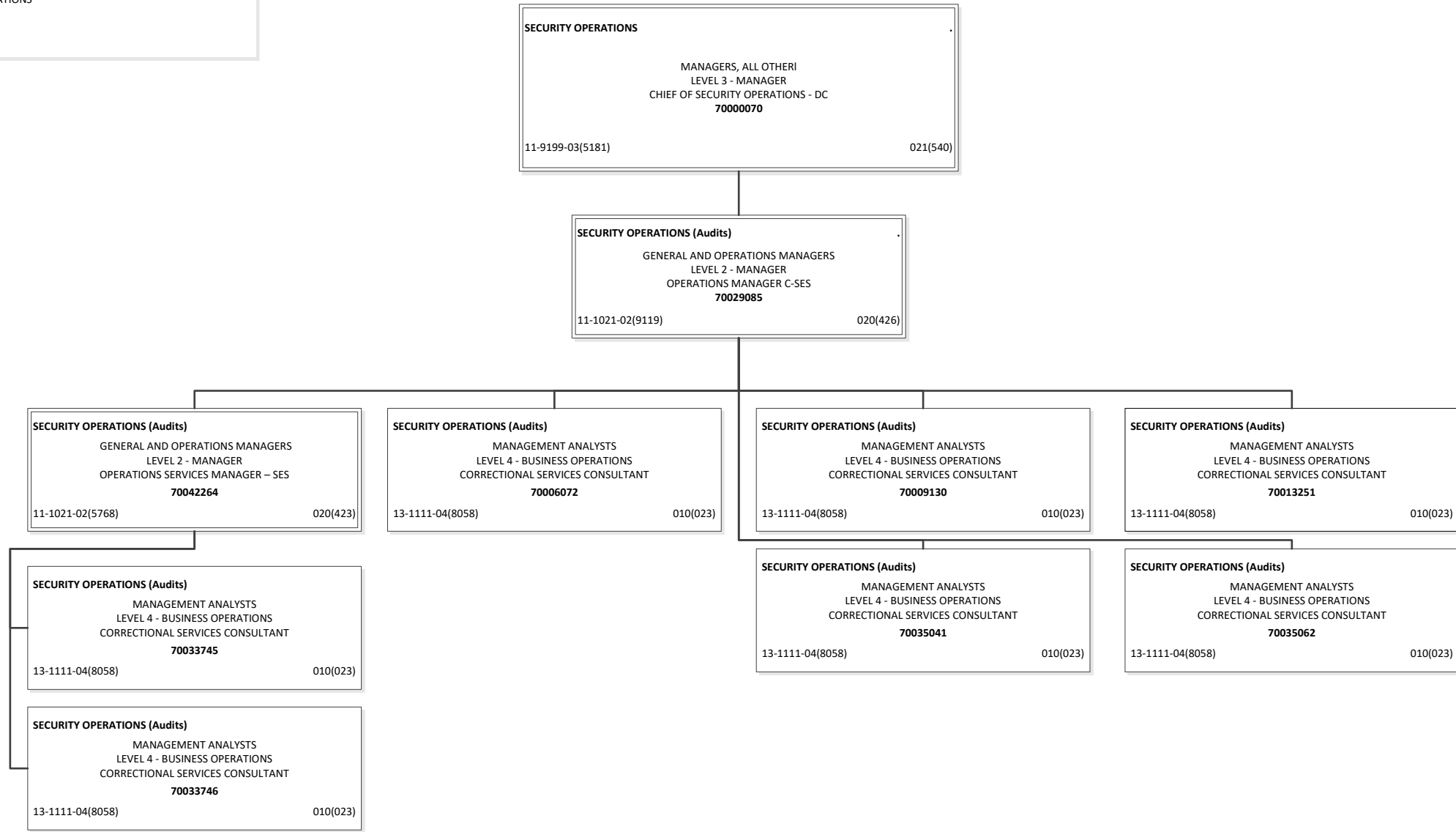
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SECURITY OPERATIONS Audits (Operations Manager 29085)

CURRENT

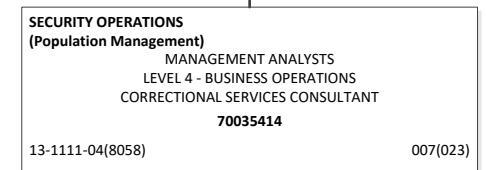
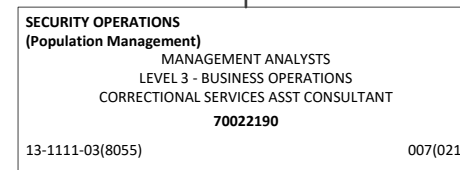
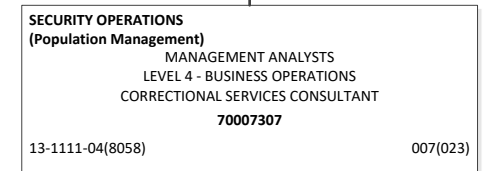
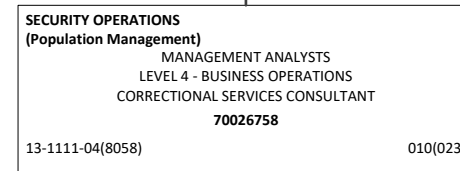
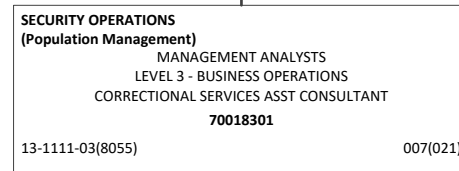
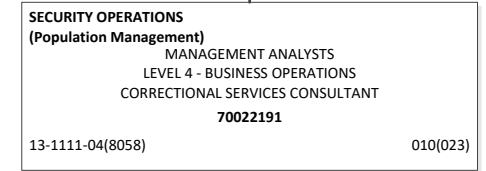
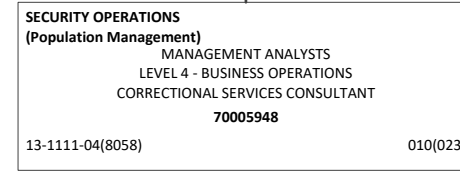
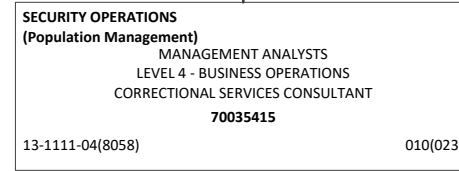
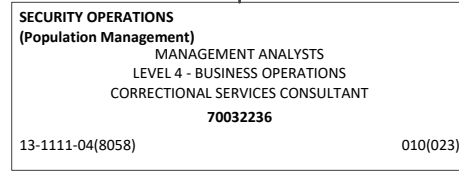
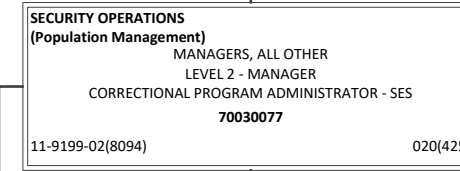
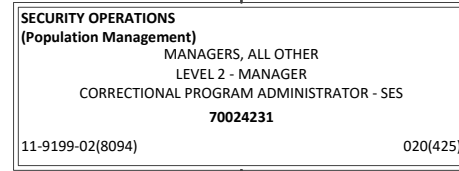
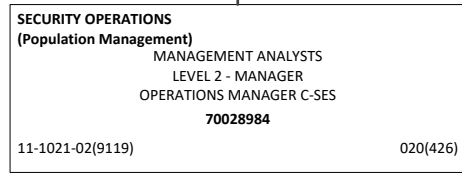
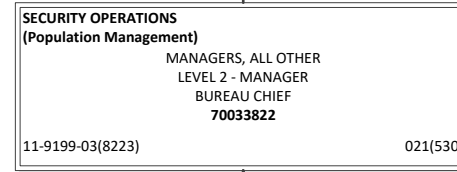
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 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
 Bureau/Comparable: SECURITY OPERATIONS
 Section/Subsection: AUDITS



SECURITY OPERATIONS Population Management (Operations Manager 33822)

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
 Bureau/Comparable: SECURITY OPERATIONS
 Section/Subsection: POPULATION MANAGEMENT

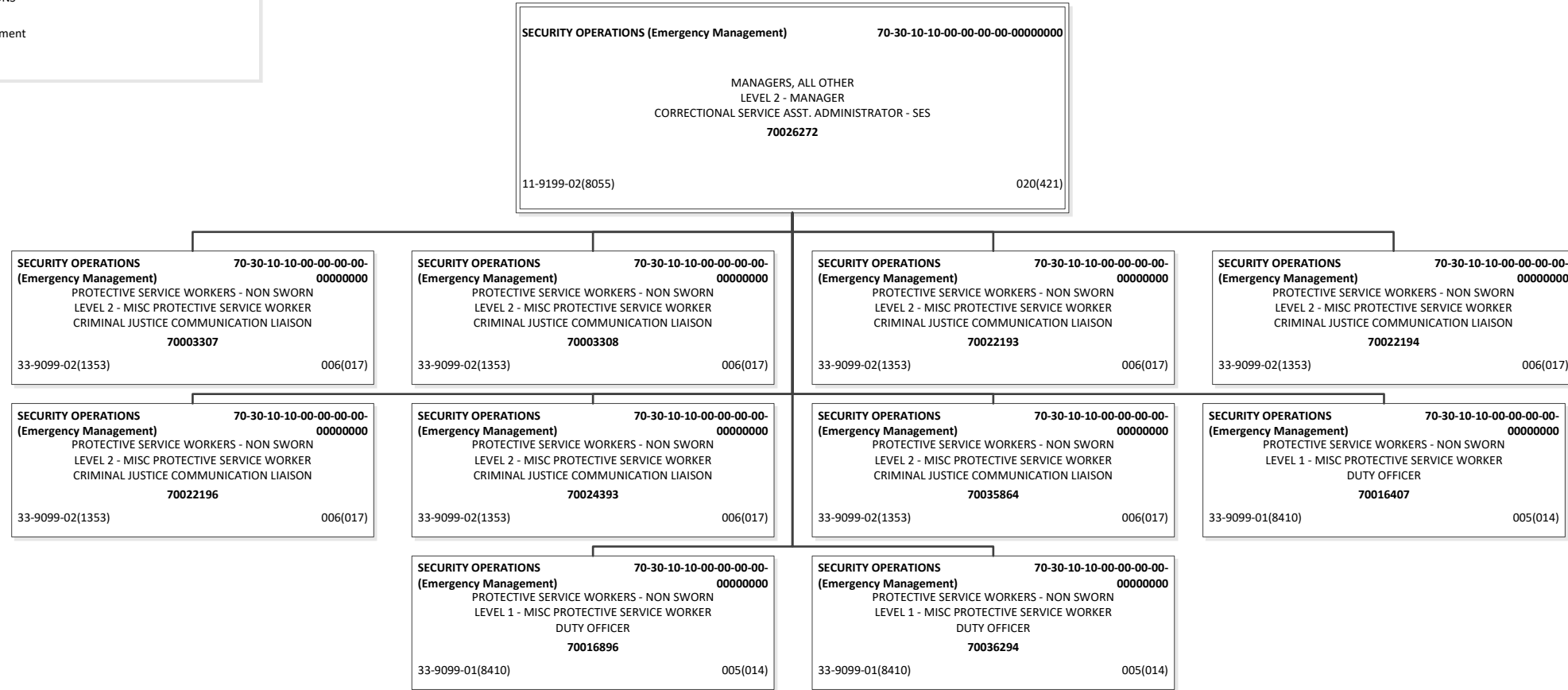
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SECURITY OPERATIONS - EAC (Correctional Svc. Asst. Administrator - SES 26272)

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS/INSTITUTION OPERATIONS
 Bureau/Comparable: SECURITY OPERATIONS
 Section/Subsection: Emergency Management

CURRENT



REGIONAL DIRECTOR'S OFFICE (OVERVIEW)

Name of Agency: DEPARTMENT OF CORRECTIONS

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

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

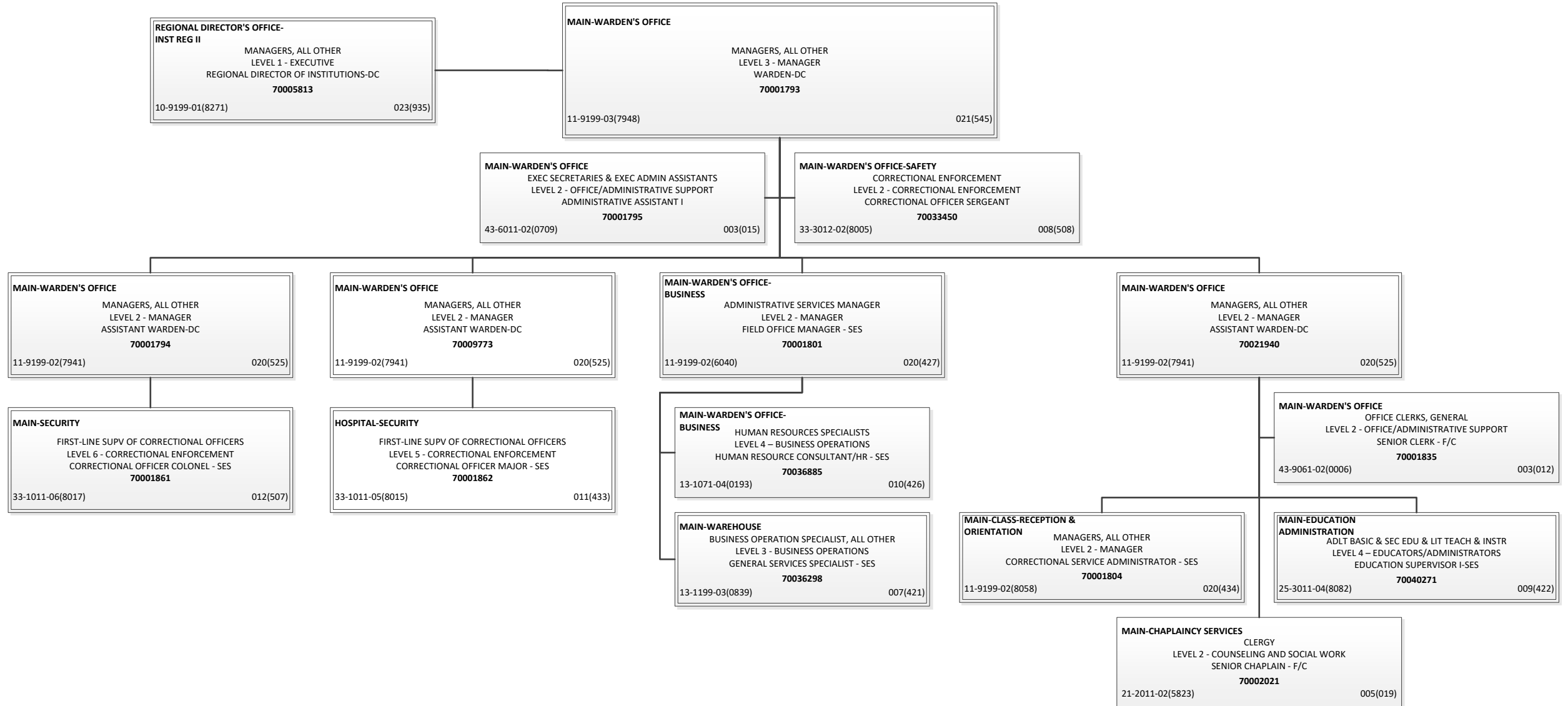
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RECEPTION & MEDICAL CENTER - WARDEN'S OFFICE

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

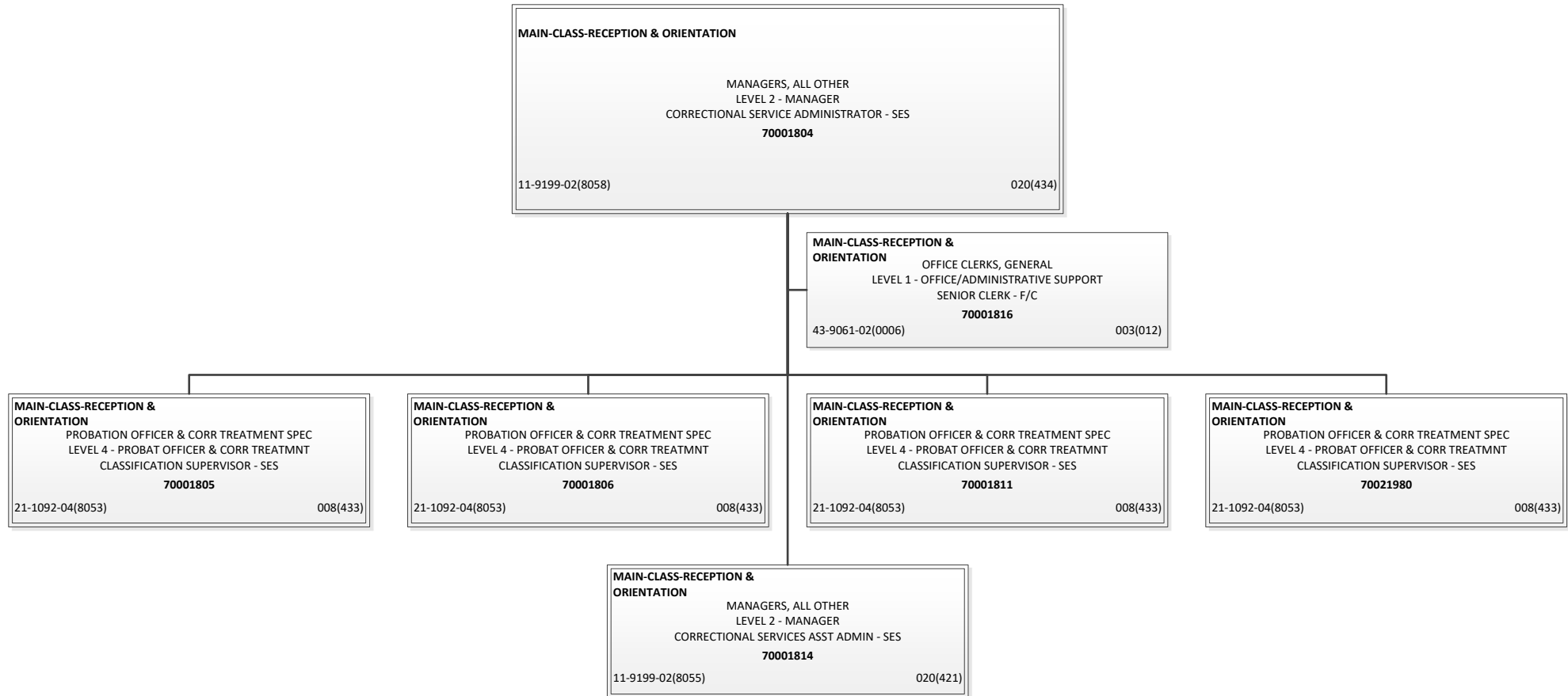
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RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (ADMINISTRATOR)

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

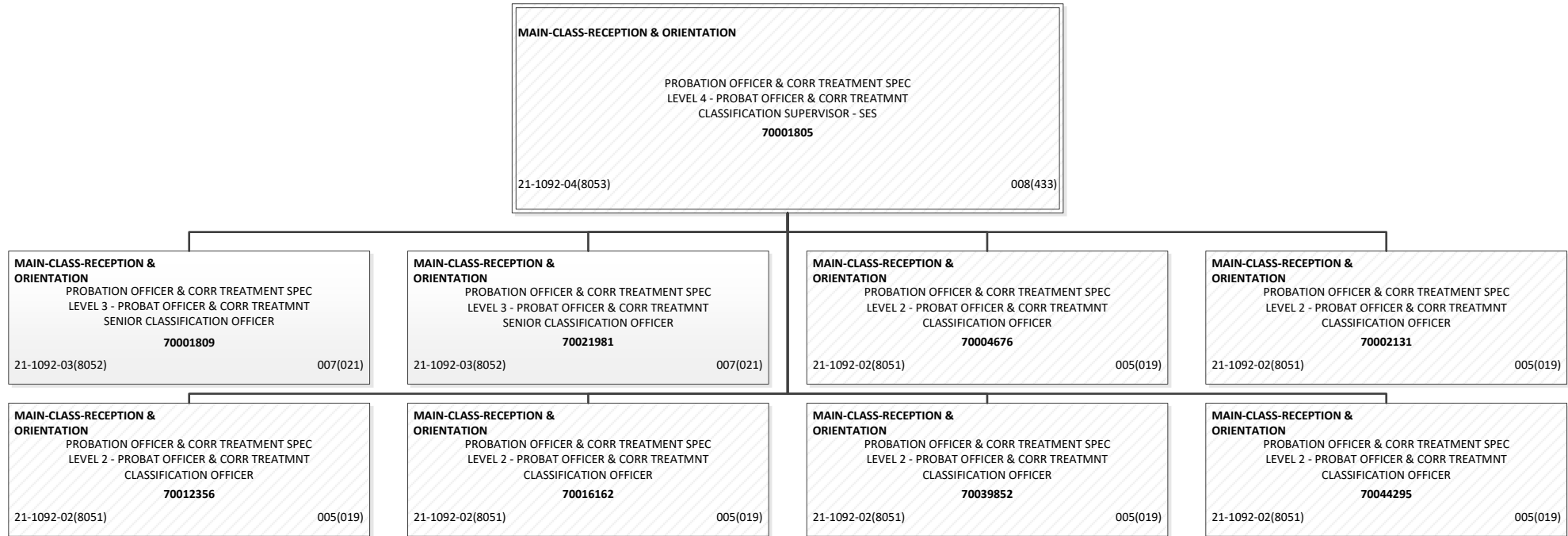
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RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (01805)

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

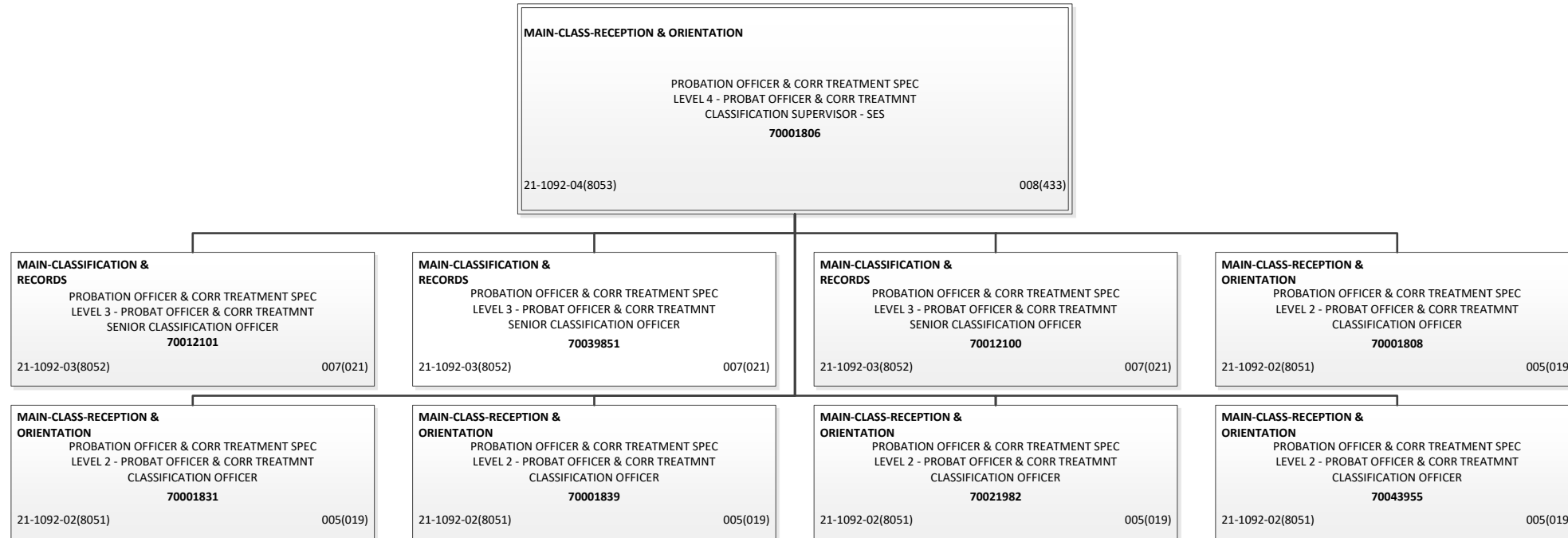
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RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (01806)

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

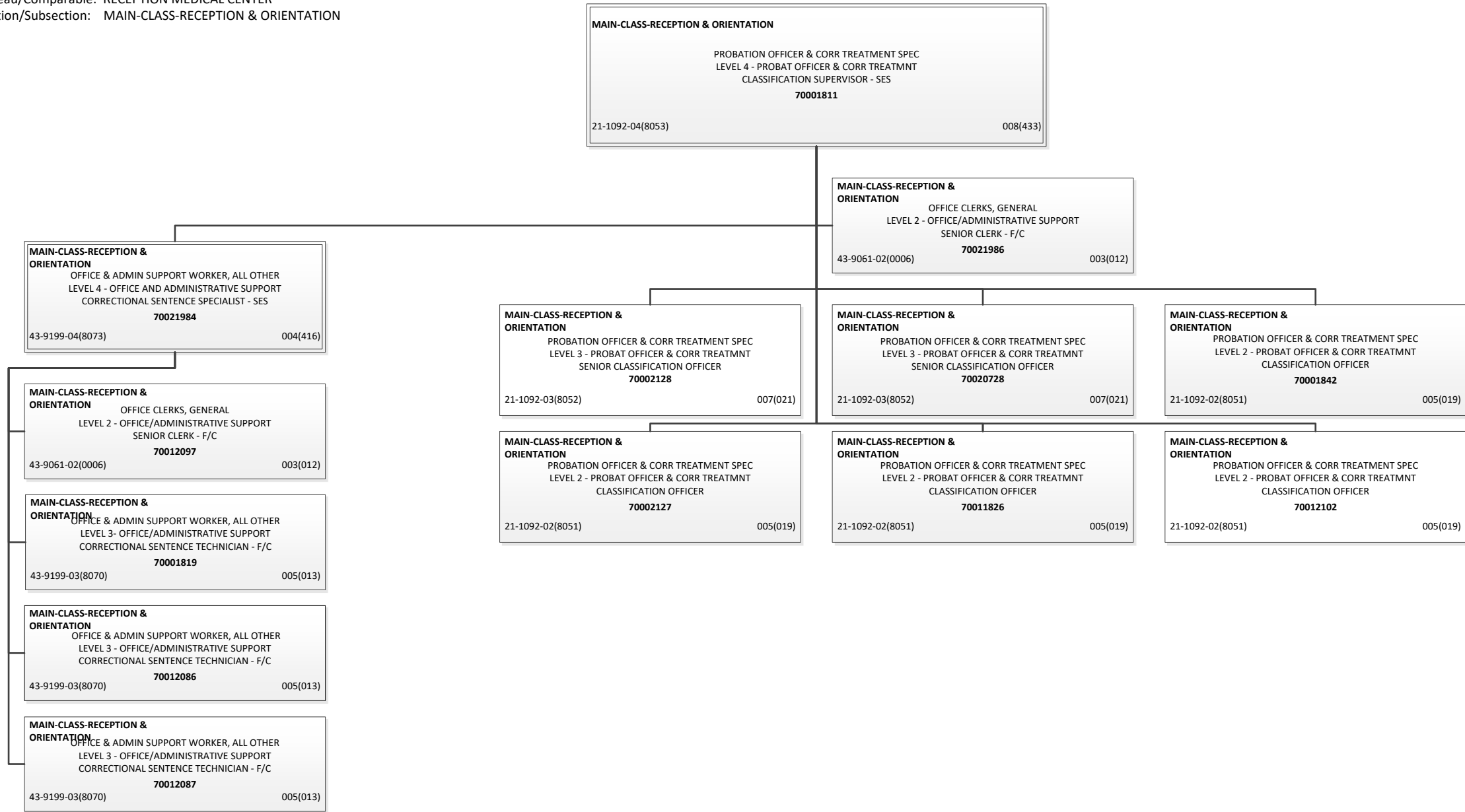
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RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (01811)

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

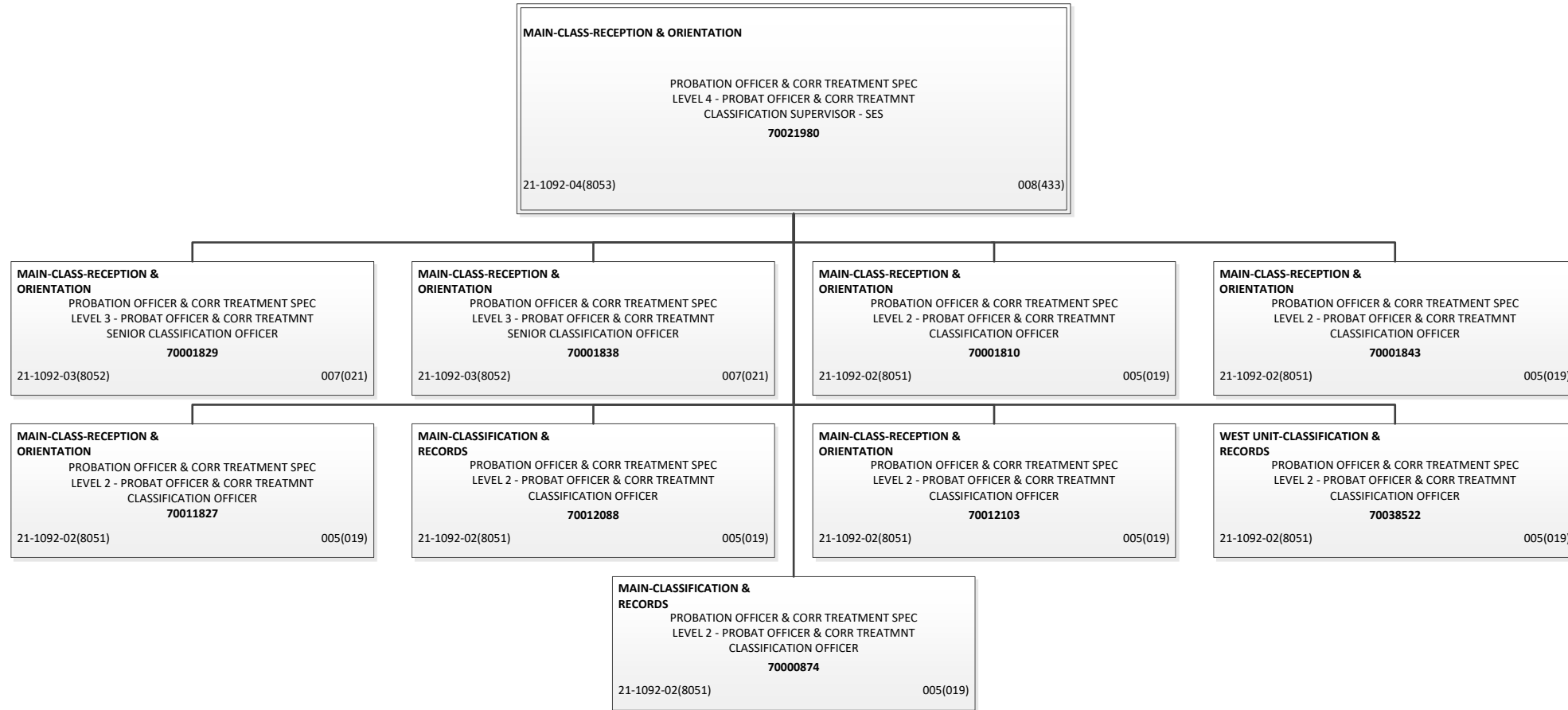
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RECEPTION & MEDICAL CENTER - CLASSIFICATION - RECEPTION & ORIENTATION (21980)

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

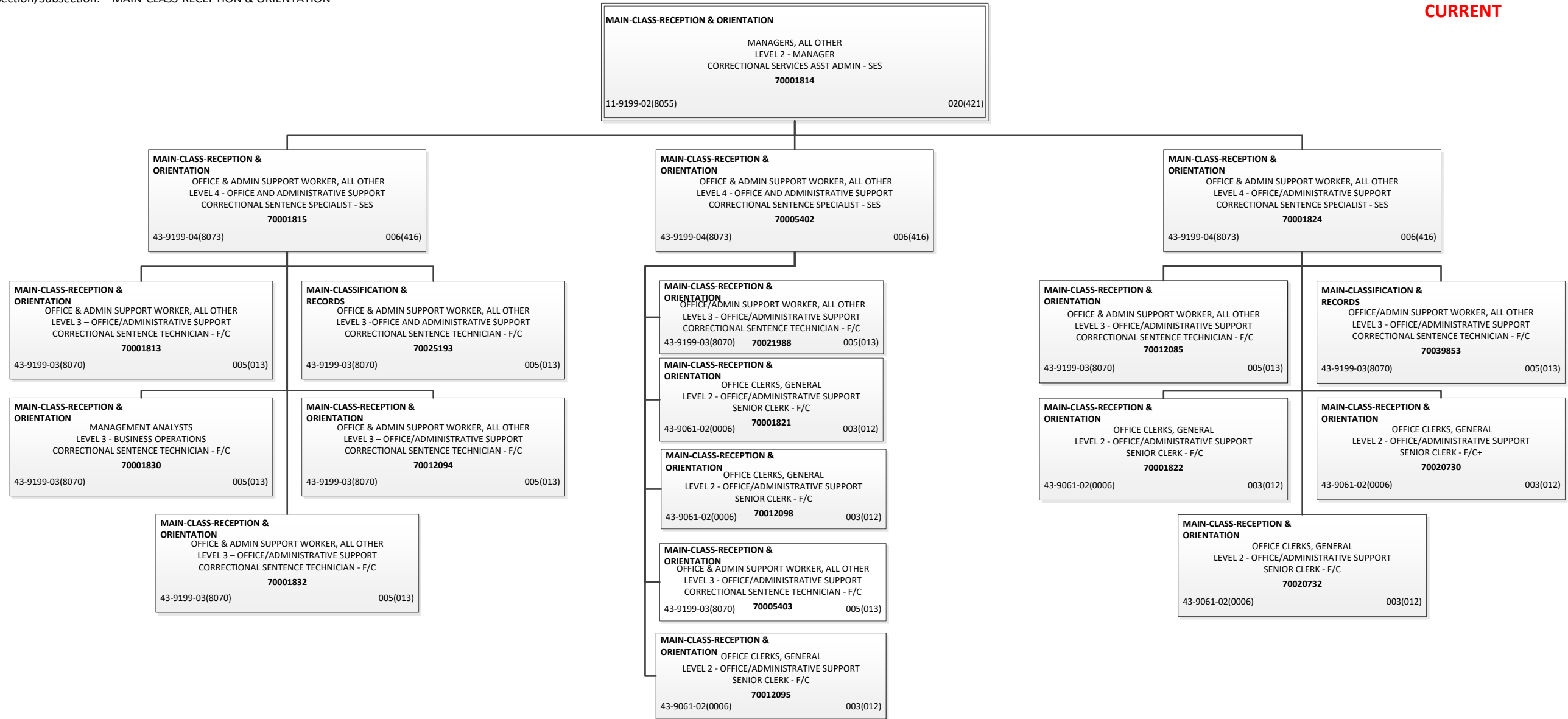
CURRENT



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

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

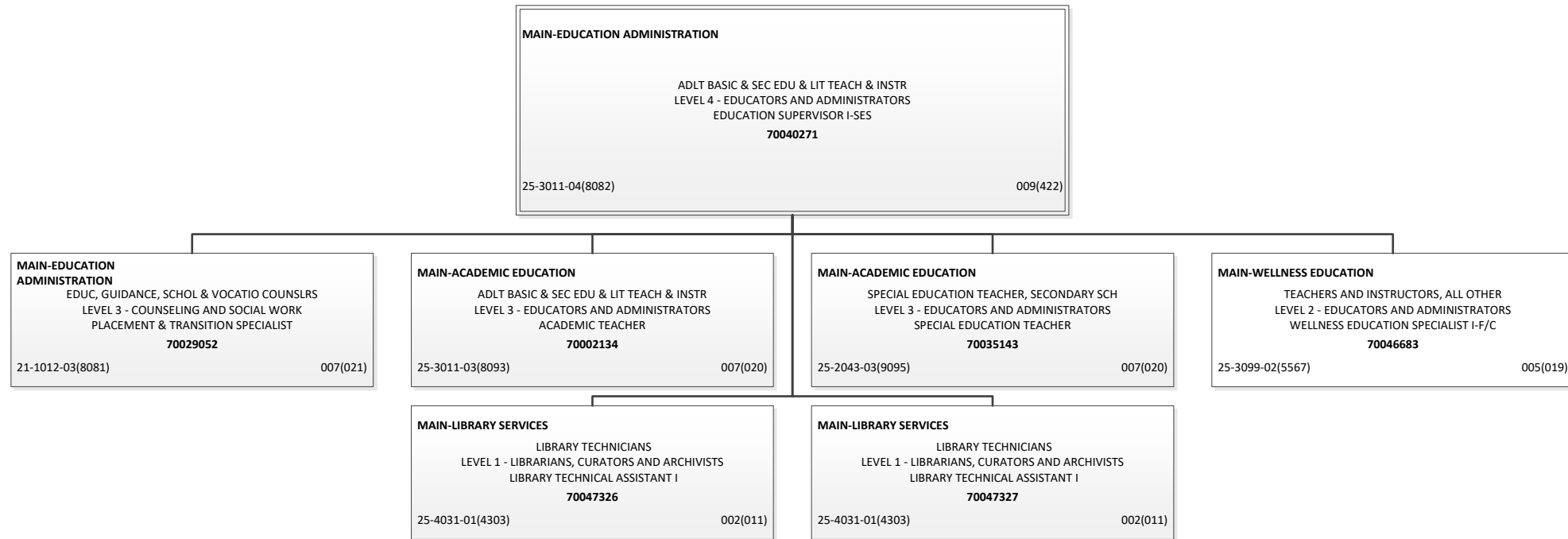
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RECEPTION & MEDICAL CENTER - ADADEMIC EDUCATION

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

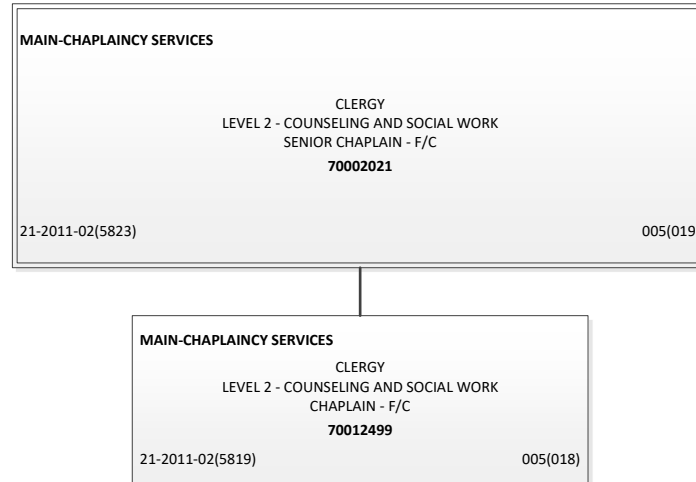
CURRENT



RECEPTION & MEDICAL CENTER - CHAPLAINCY SERVICES

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

CURRENT



RECEPTION & MEDICAL CENTER - FOOD SERVICE

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

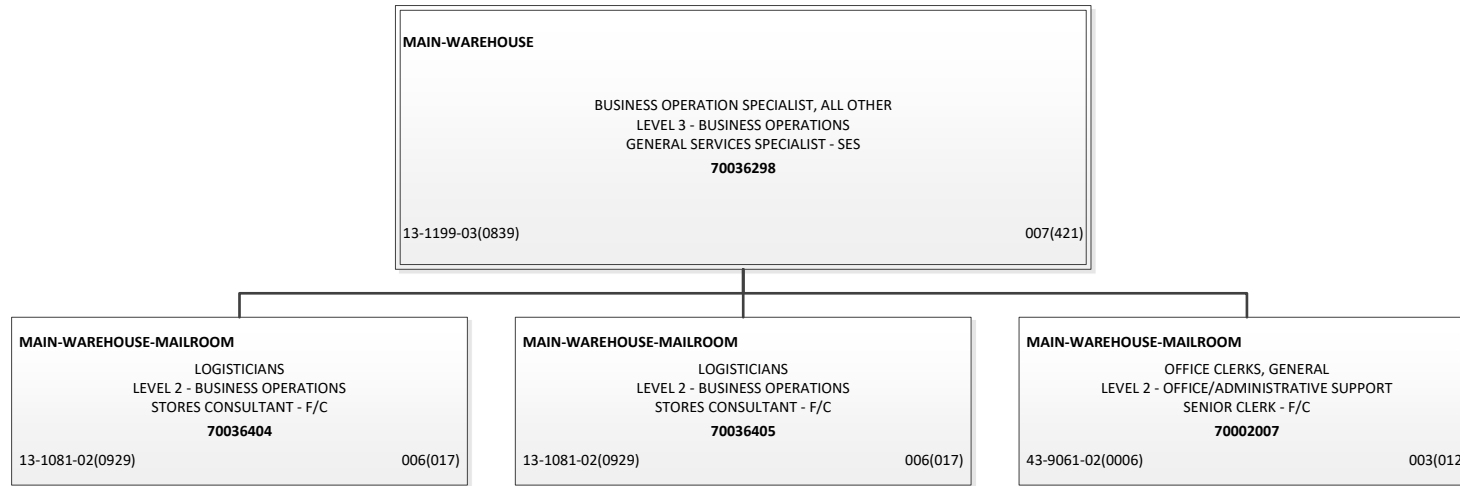
CURRENT

All (9) Food Services positions abolished due to privatization, effective 07/07/2022.

RECEPTION & MEDICAL CENTER - WAREHOUSE

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

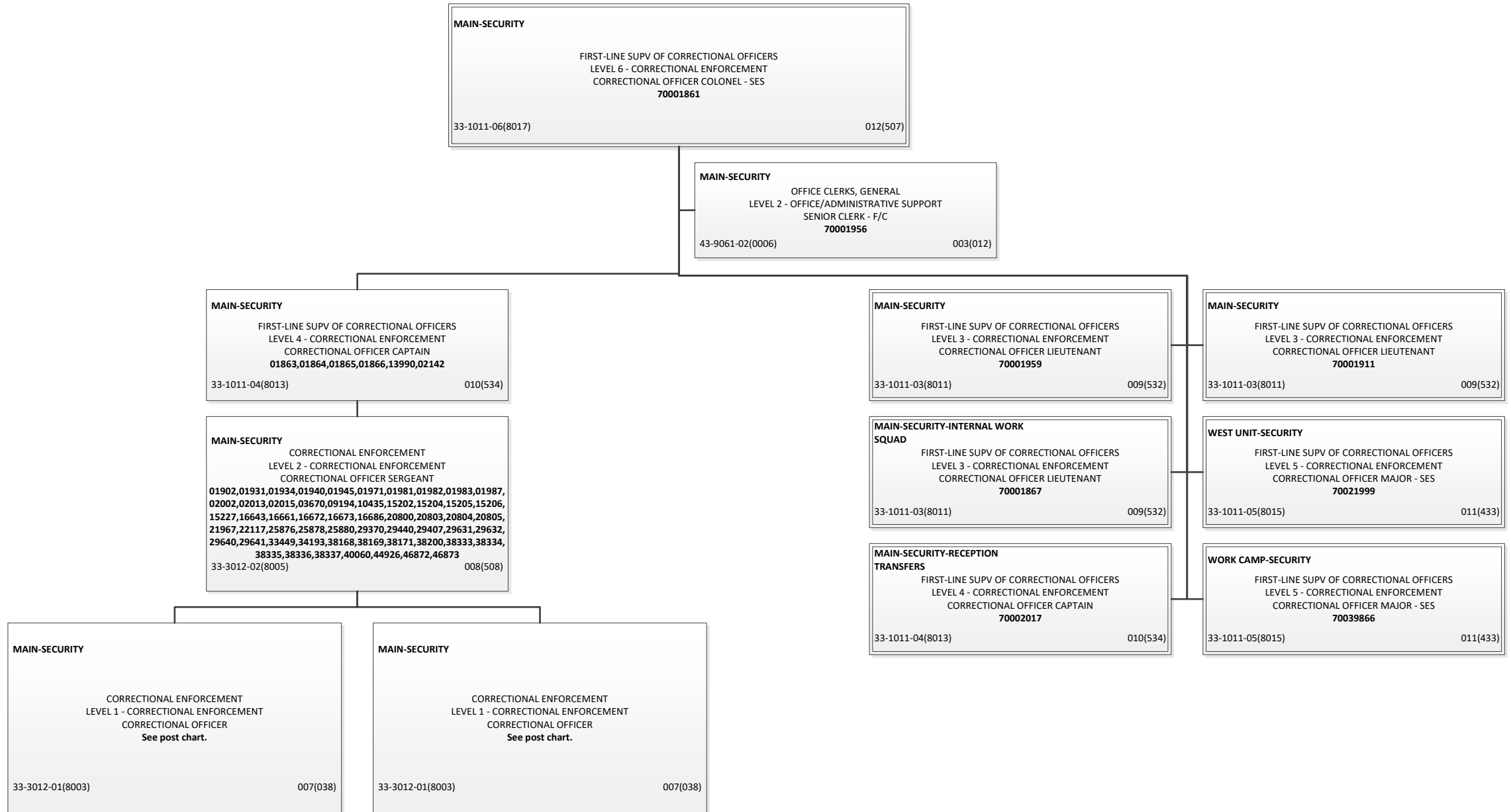
CURRENT



RECEPTION & MEDICAL CENTER - SECURITY MAIN

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

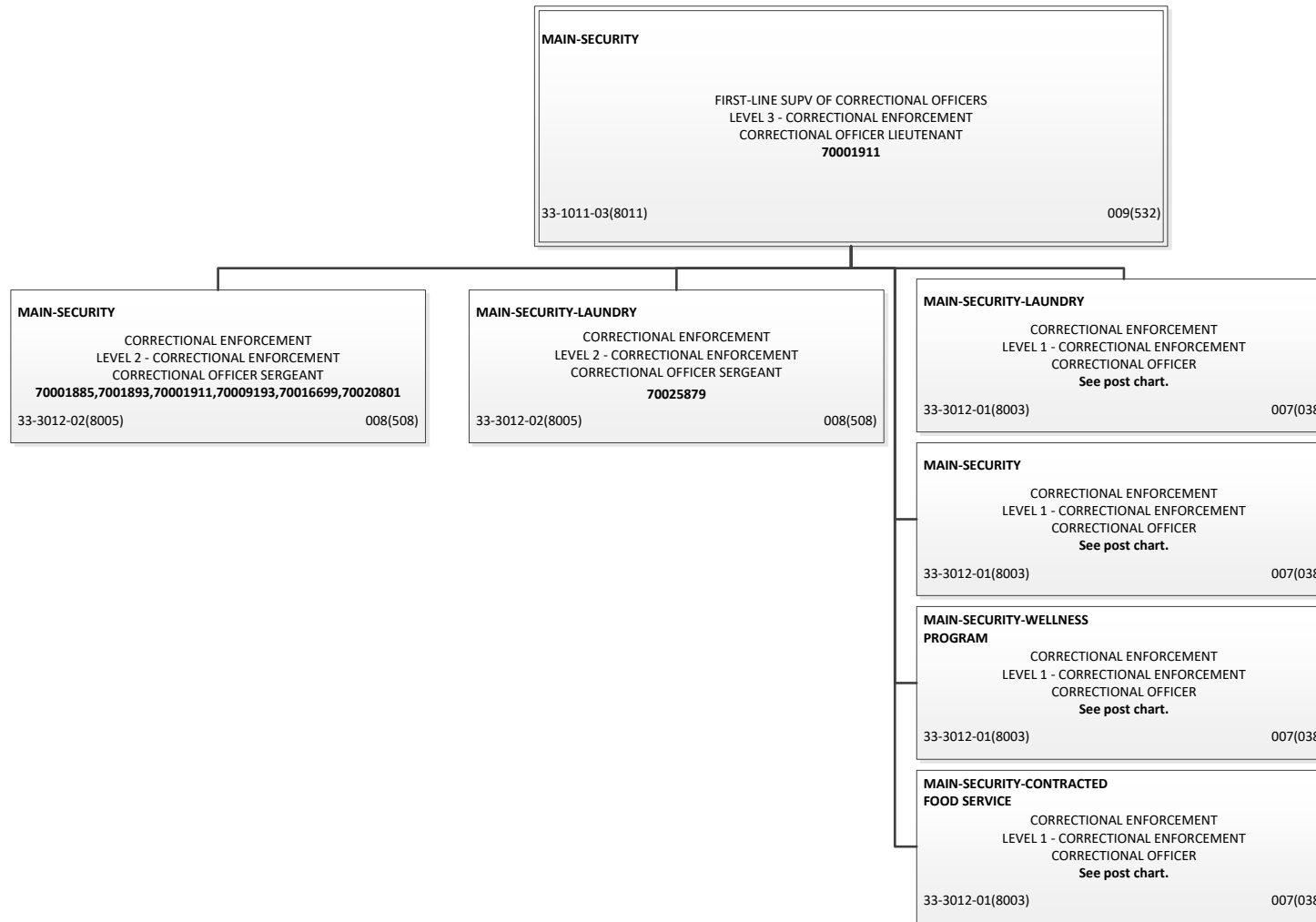
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RECEPTION & MEDICAL CENTER - SECURITY MAIN - ADMIN

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

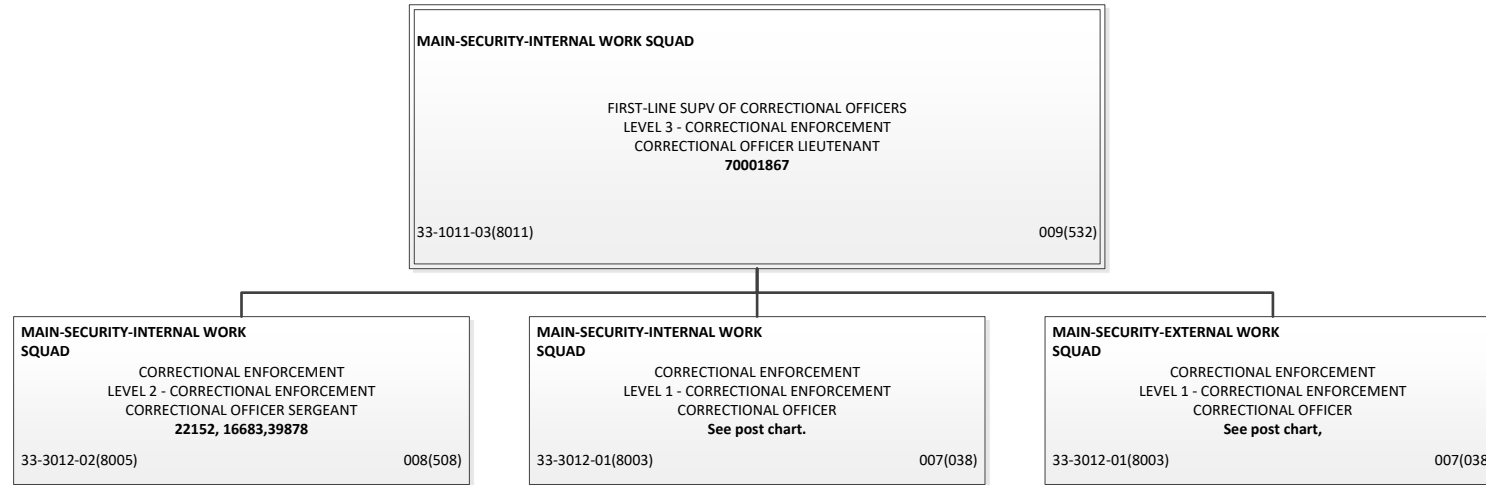
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RECEPTION & MEDICAL CENTER - SECURITY MAIN - WORK SQUAD

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

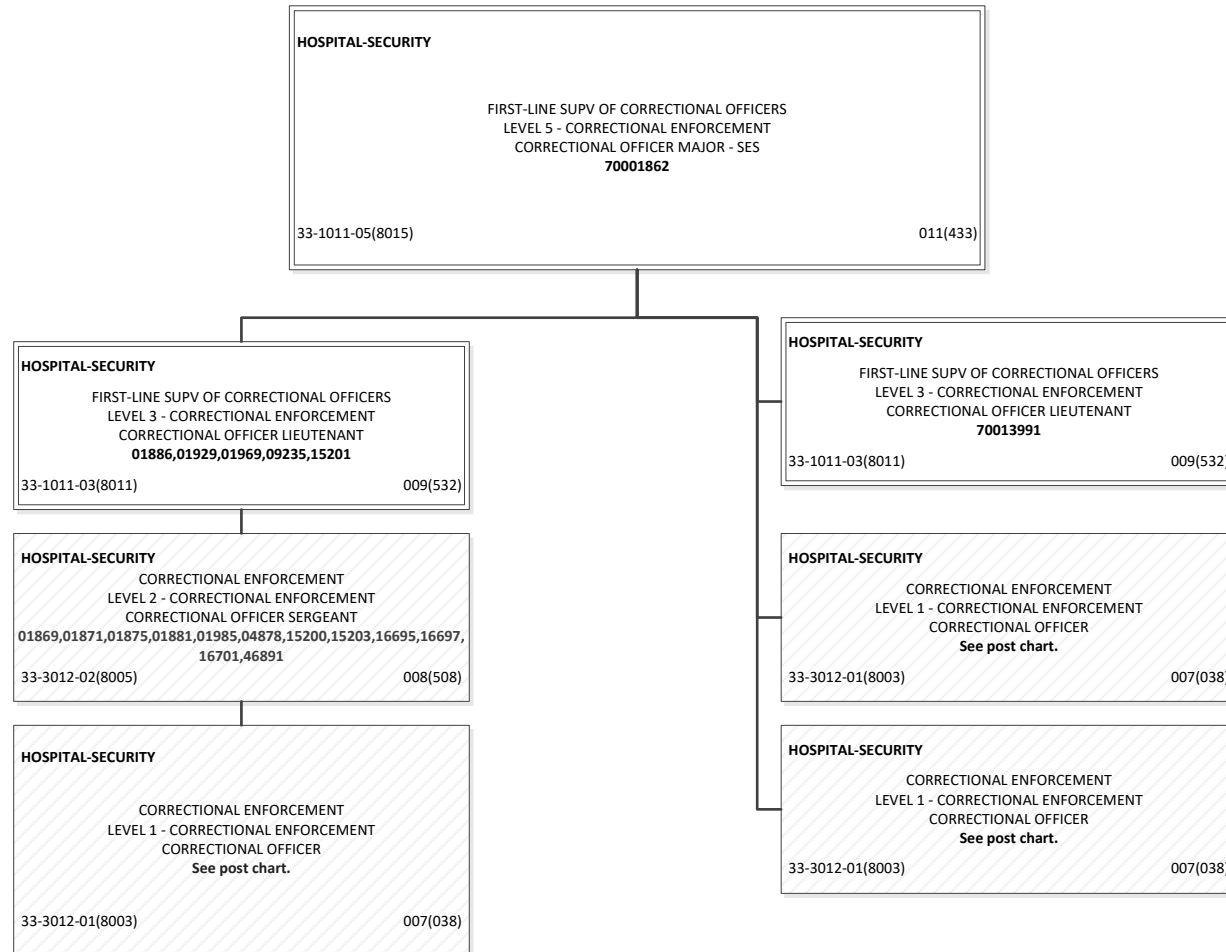
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RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL

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

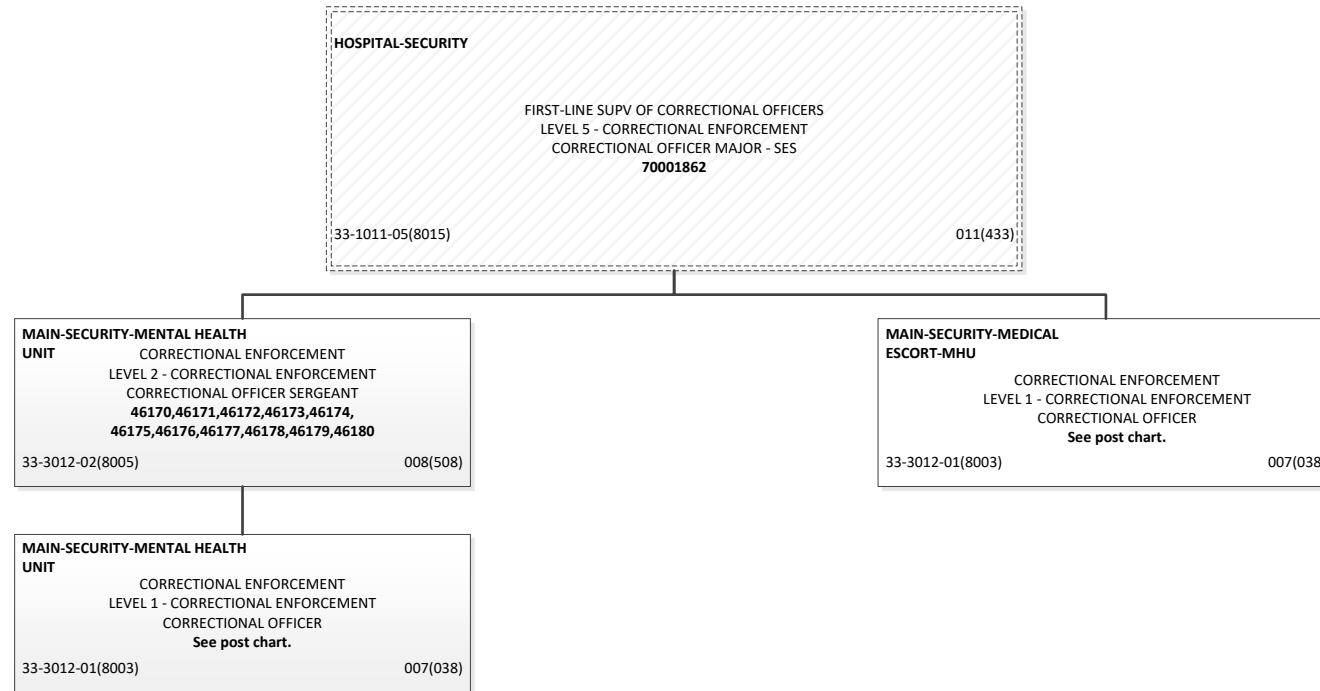
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RECEPTION & MEDICAL CENTER - MENTAL HEALTH UNIT

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

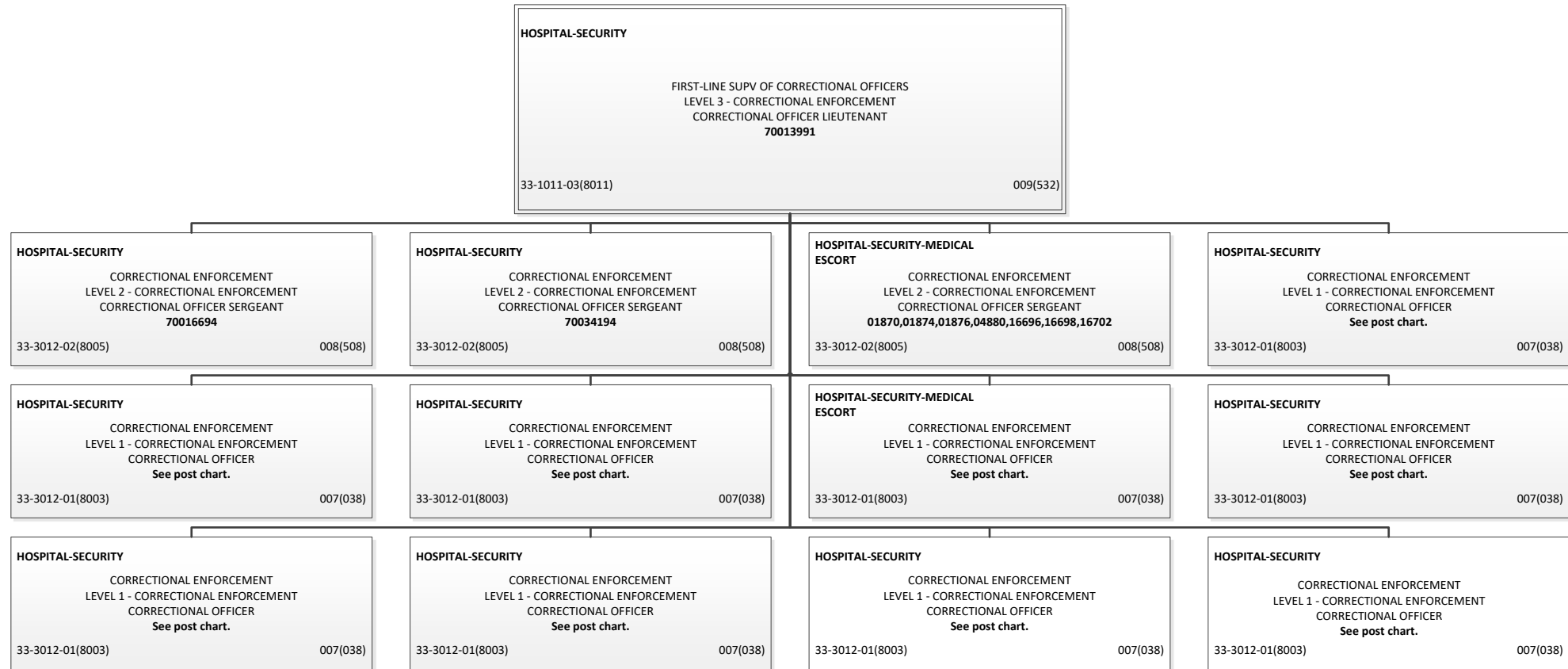
CURRENT



RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL - ADMIN

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

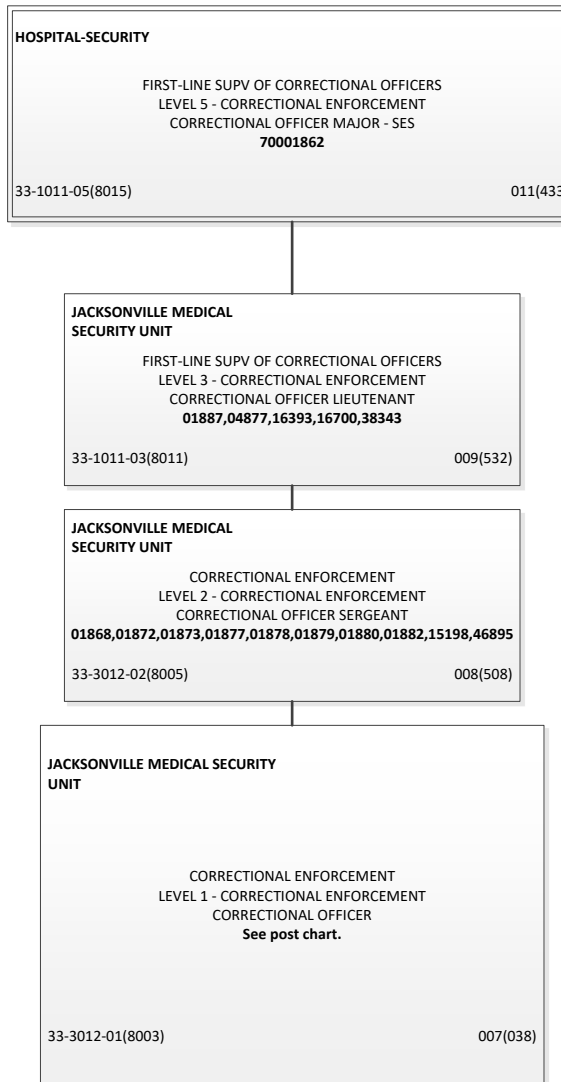
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RECEPTION & MEDICAL CENTER - SECURITY HOSPITAL - JACKSONVILLE MEDICAL SECURITY UNIT

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

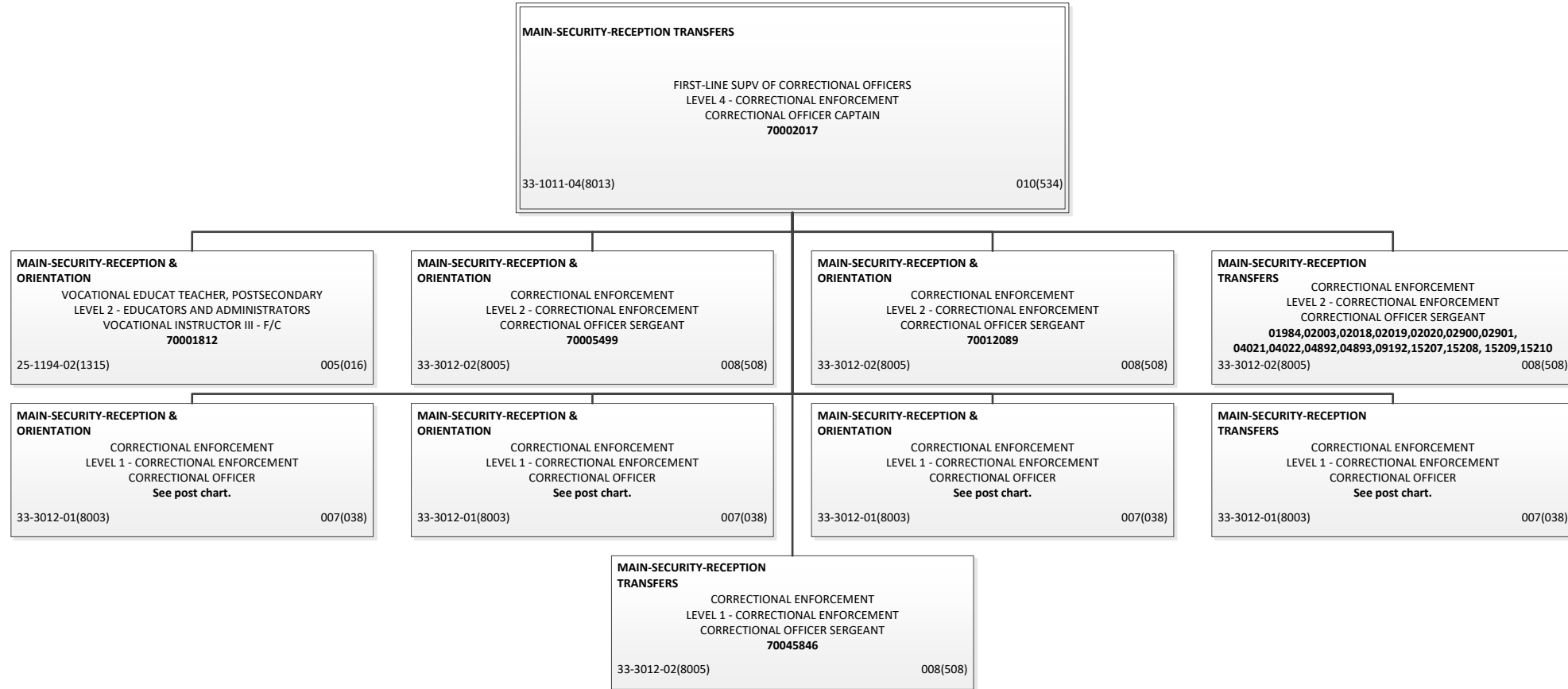
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RECEPTION & MEDICAL CENTER - SECURITY MAIN - RECEPTION TRANSFERS

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

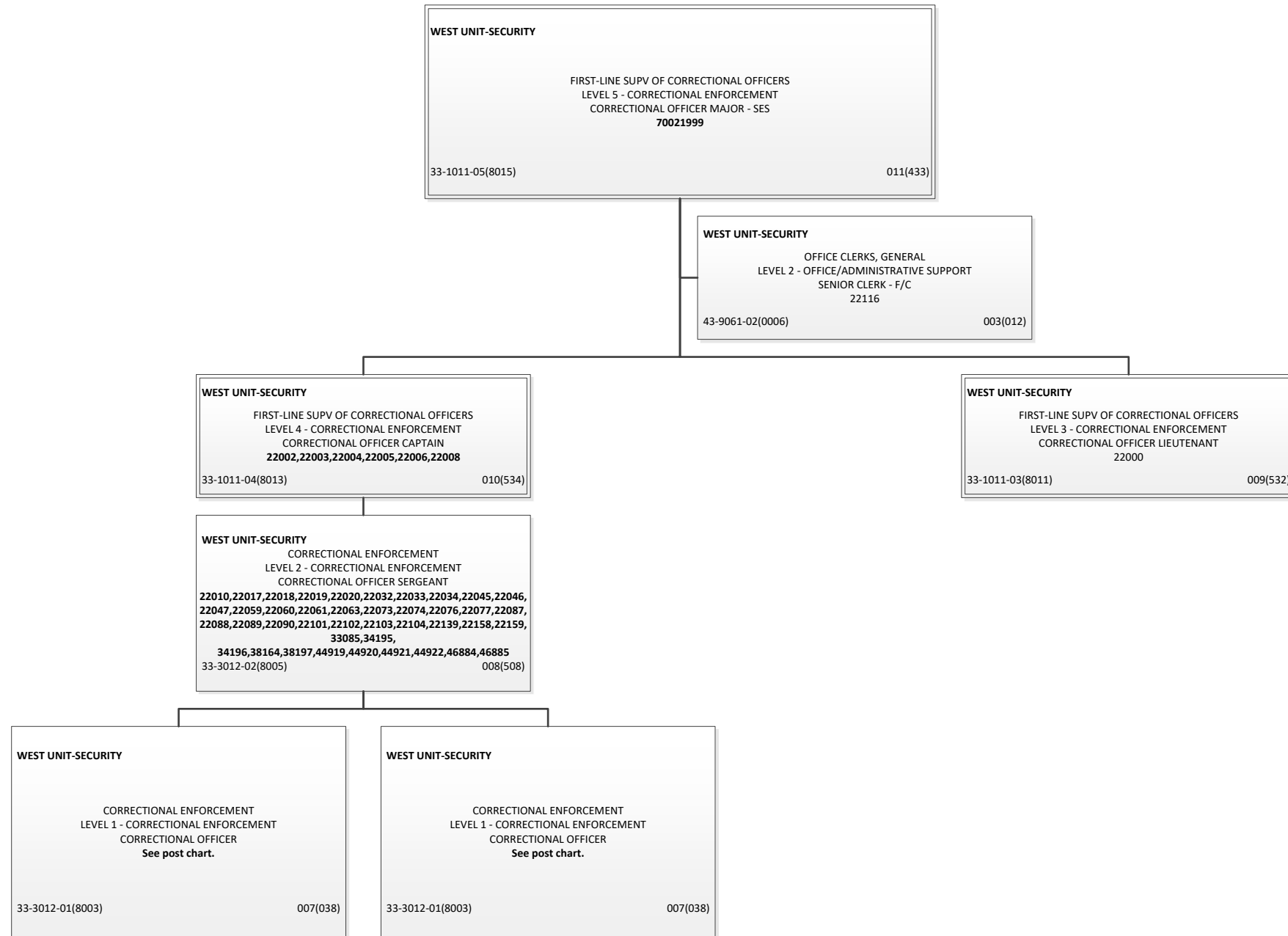
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RECEPTION & MEDICAL CENTER - SECURITY - WEST UNIT

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

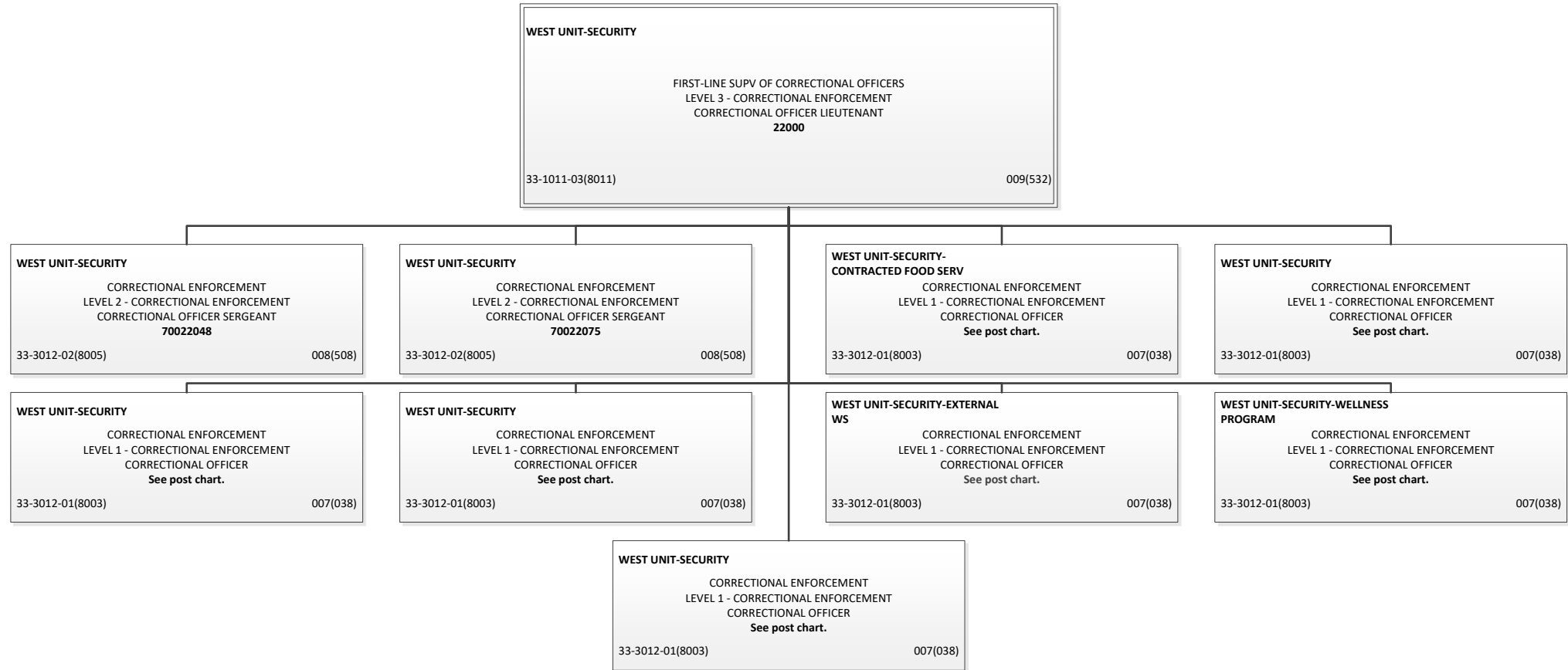
CURRENT



RECEPTION & MEDICAL CENTER - SECURITY - WEST UNIT - ADMIN

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

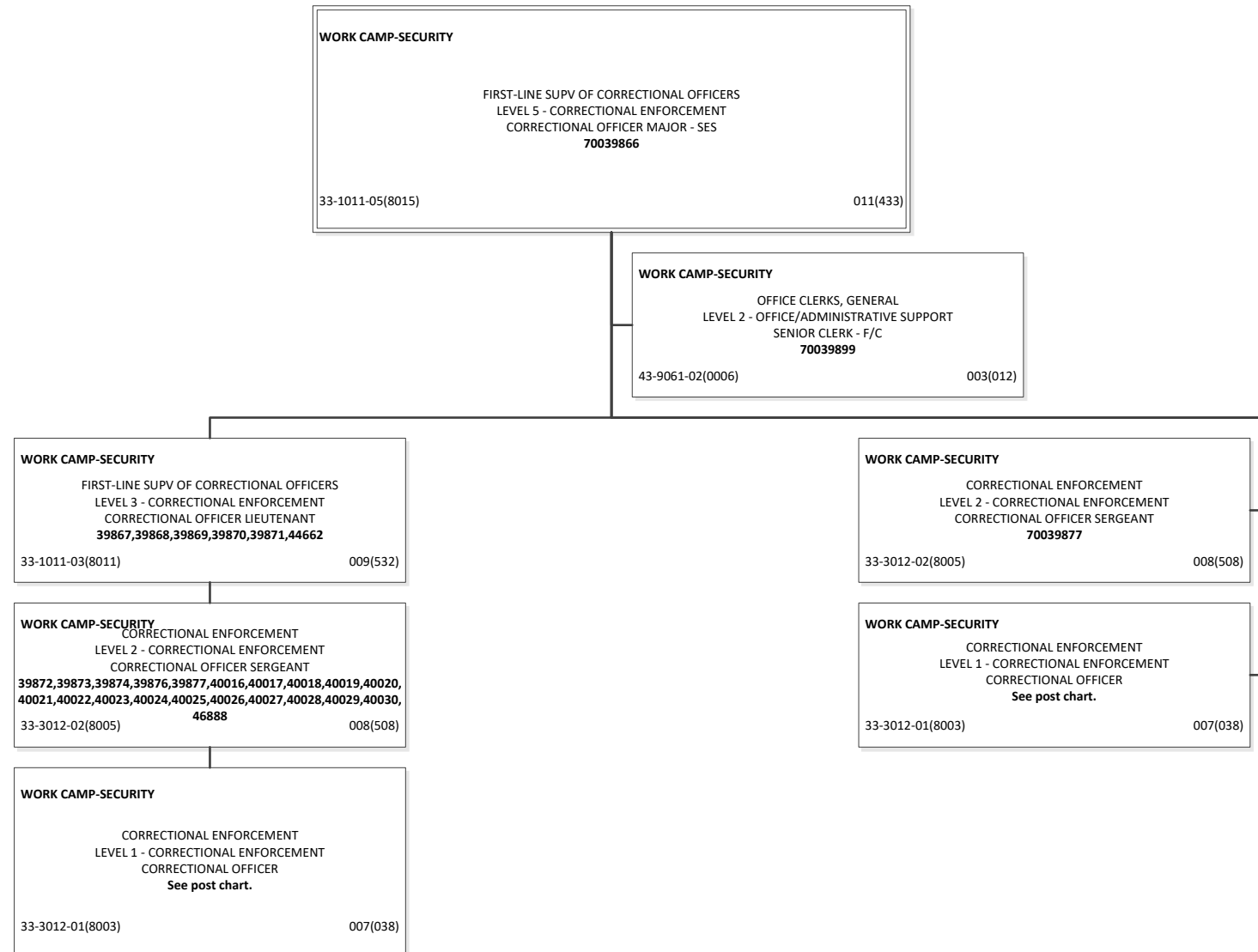
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RECEPTION & MEDICAL CENTER - SECURITY - WORK CAMP

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

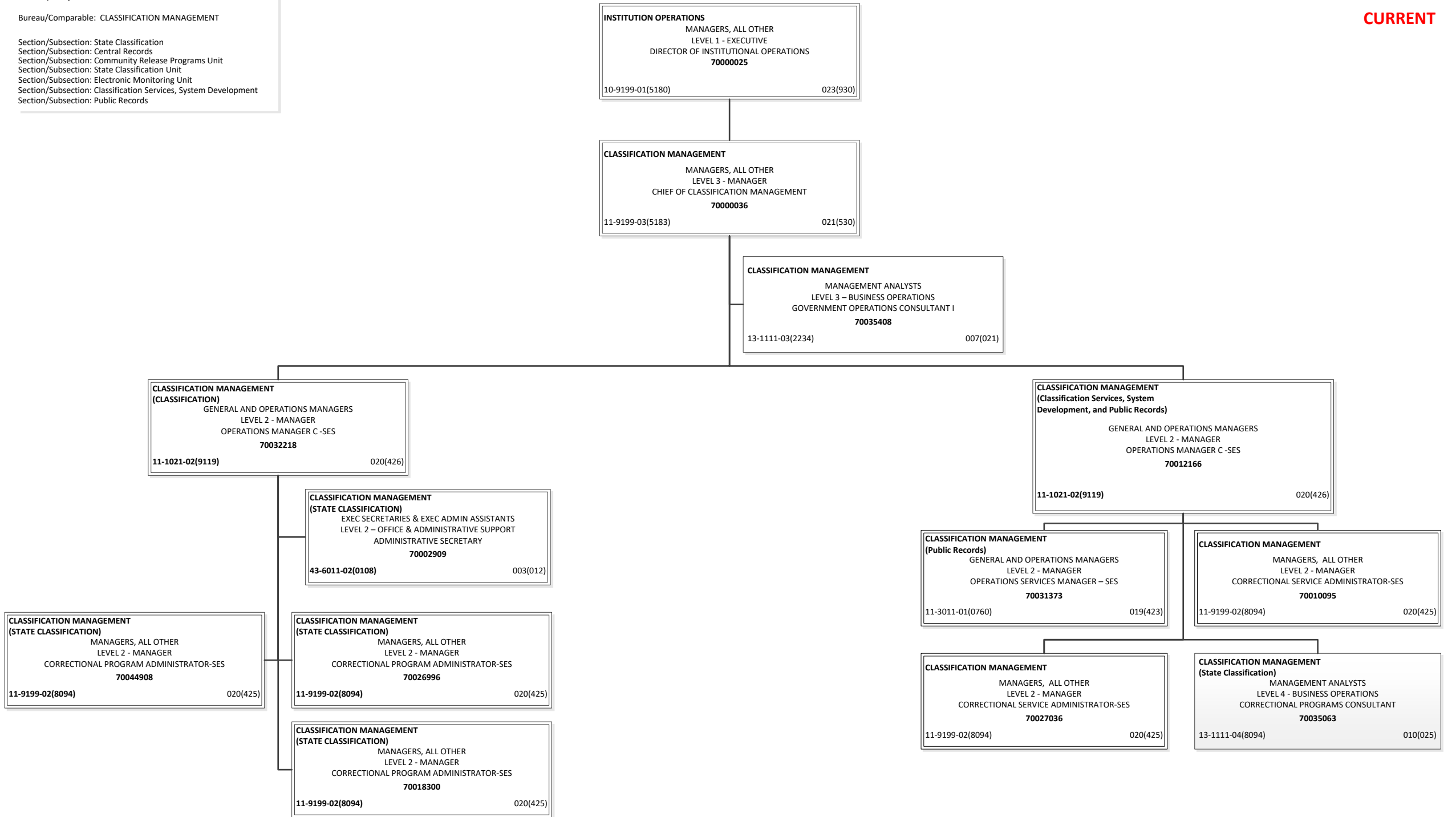
CURRENT



CLASSIFICATION MANAGEMENT OVERVIEW

CURRENT

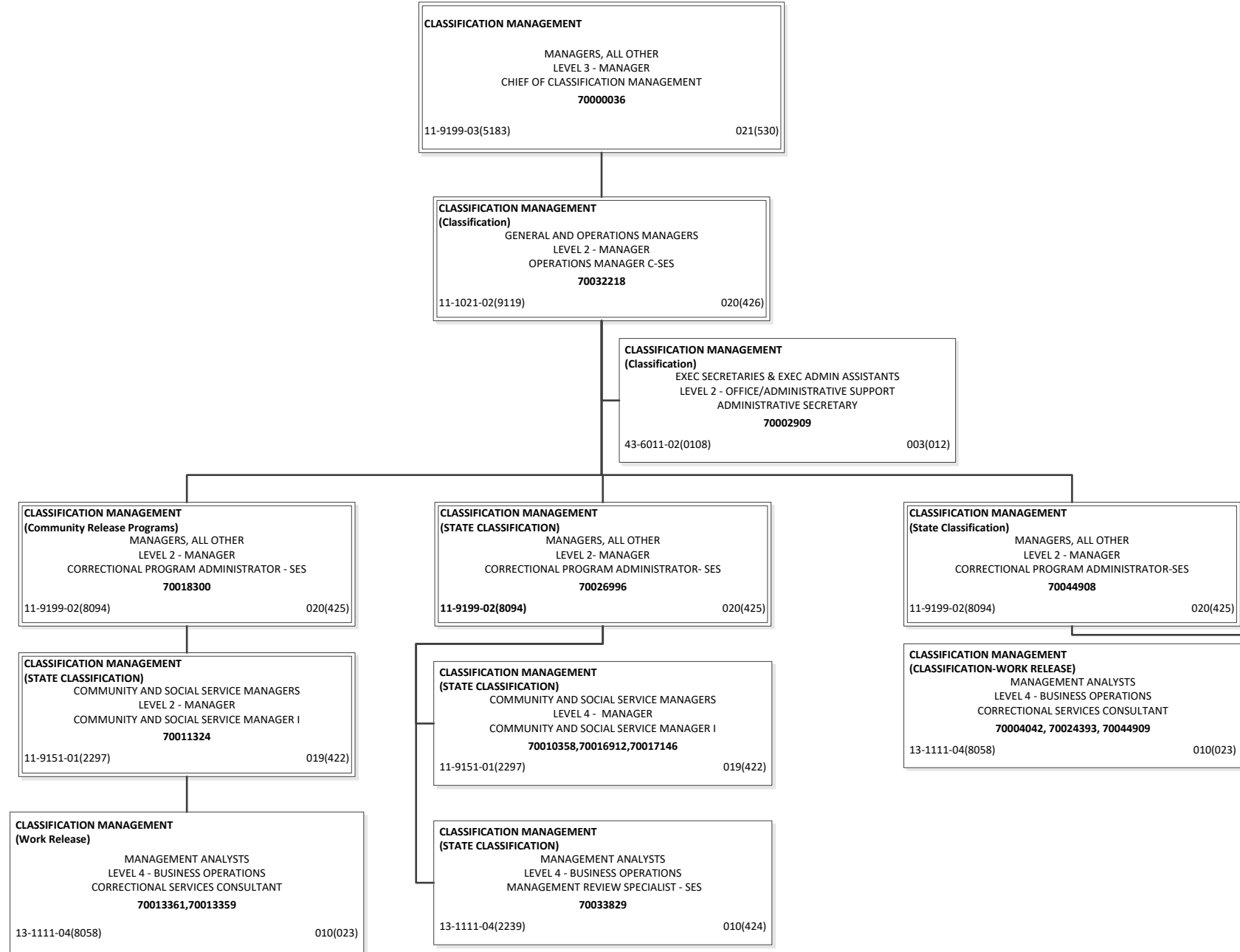
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Section/Subsection: State Classification
 Section/Subsection: Central Records
 Section/Subsection: Community Release Programs Unit
 Section/Subsection: State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



OPERATIONS MANAGER C- SES (32218)

CURRENT

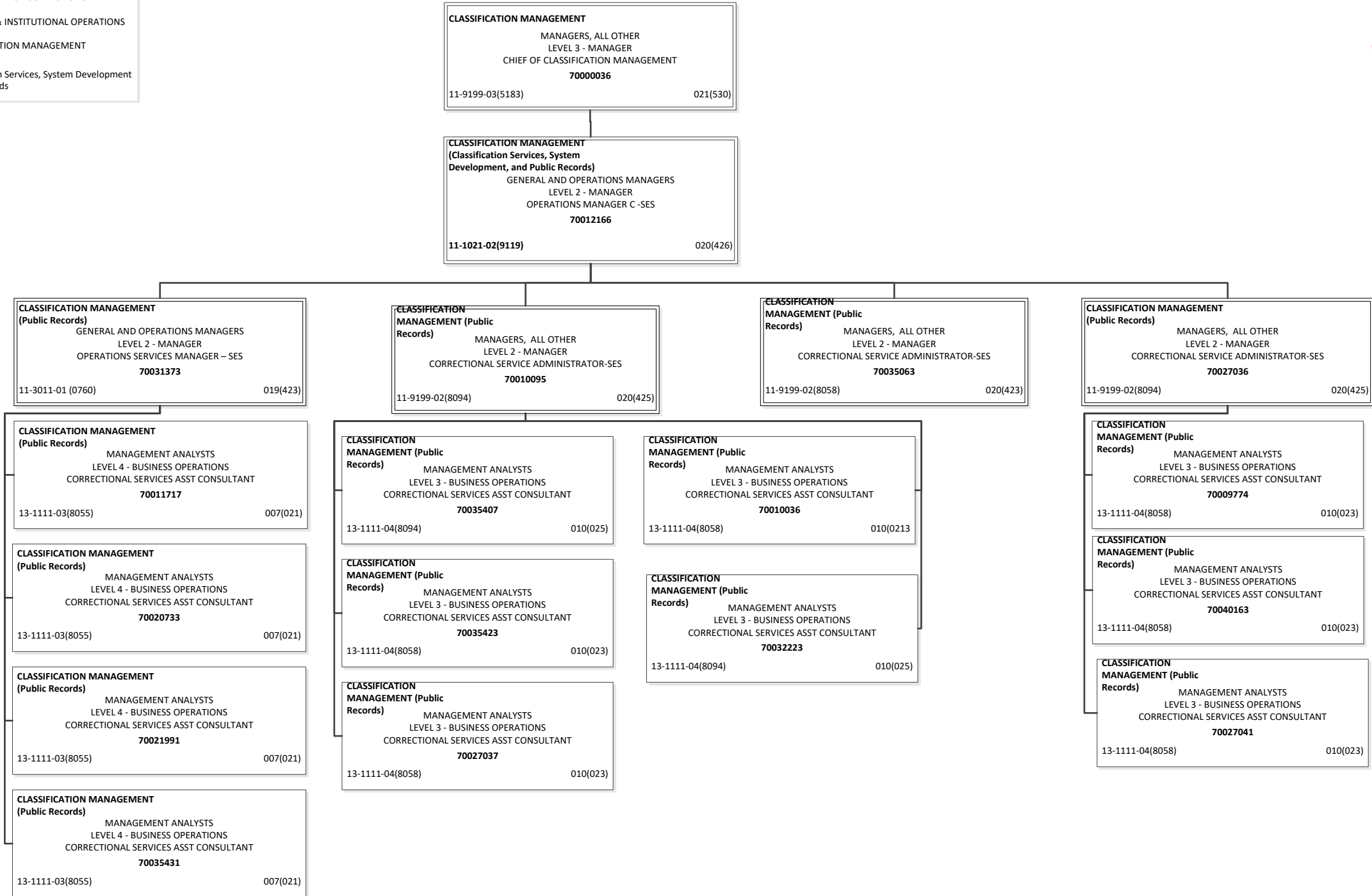
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Section/Subsection: Community Release Programs
 Section/Subsection: State Classification
 Section/Subsection: Electronic Monitoring



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

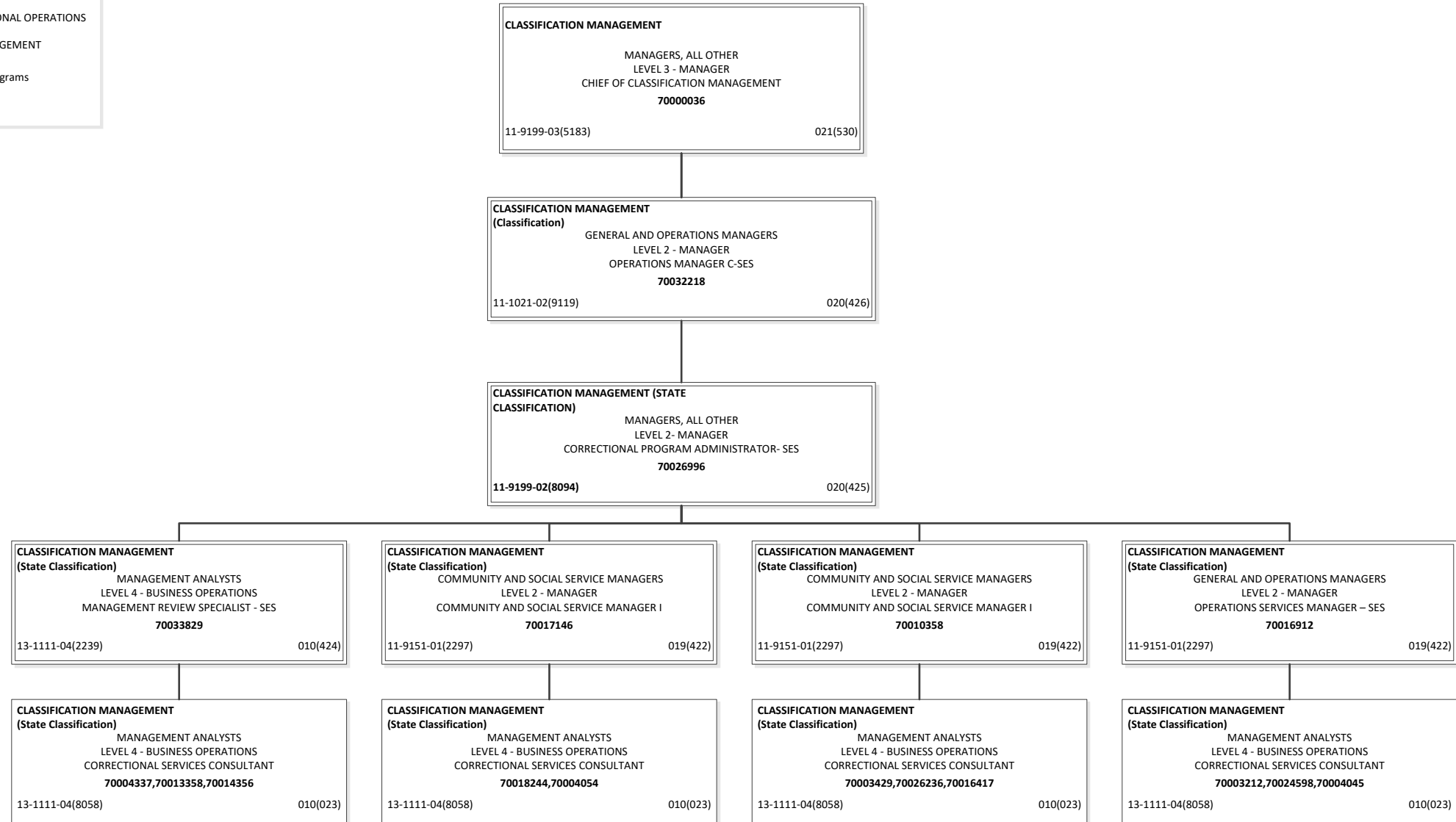
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS
 Bureau/Comparable: CLASSIFICATION MANAGEMENT
 Section/Subsection: Classification Services, System Development
 Section/Subsection: Public Records

CURRENT



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

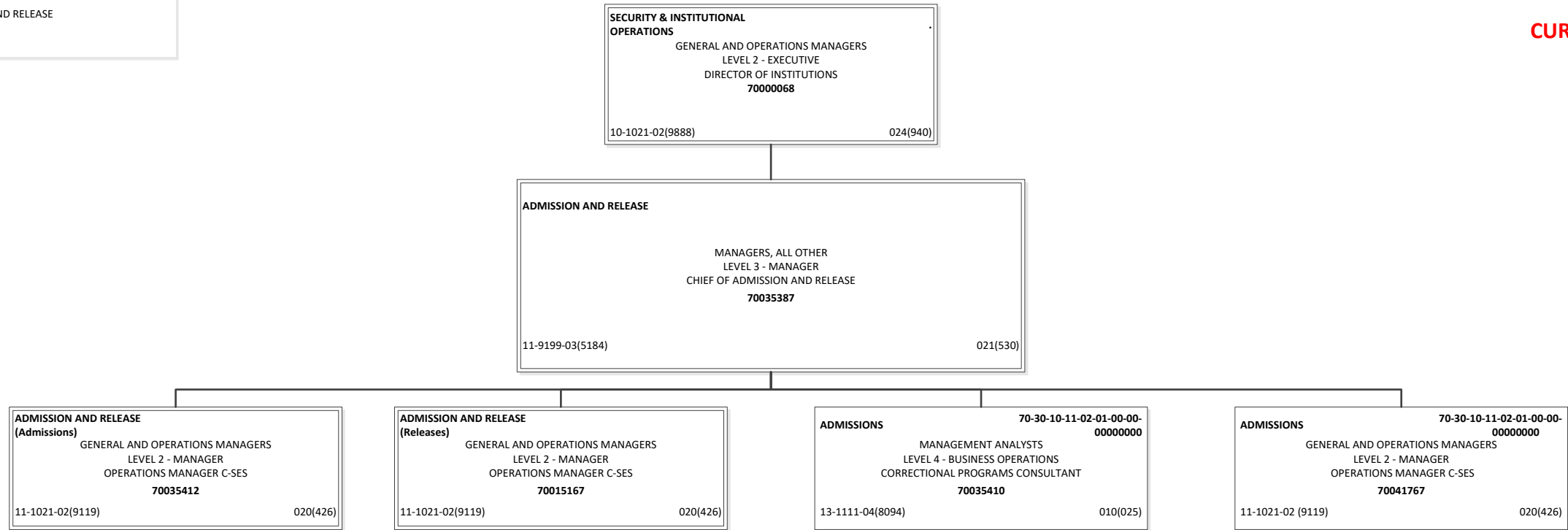
CURRENT



ADMISSIONS AND RELEASES

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

CURRENT



ADMISSIONS (Operations Manager 35412)

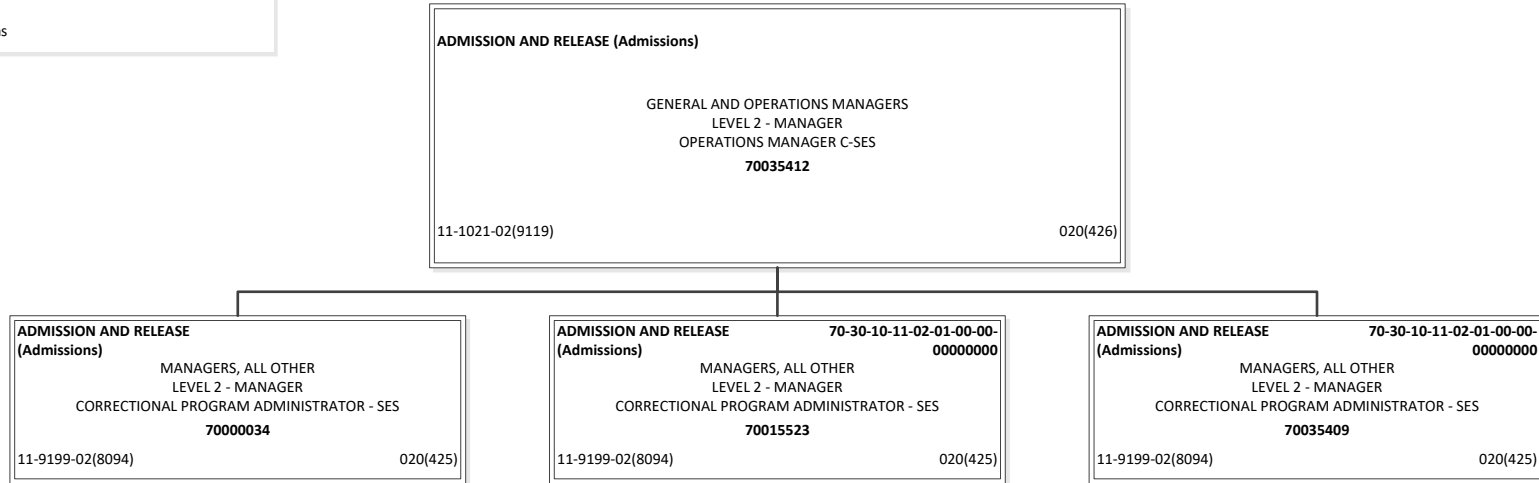
Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: SECURITY & INSTITUTIONAL OPERATIONS

Bureau/Comparable: ADMISSION AND RELEASE

Section/Subsection: Admissions

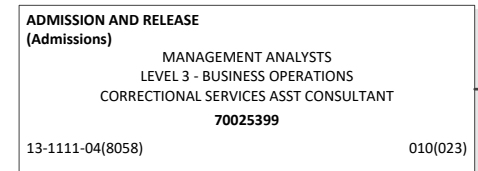
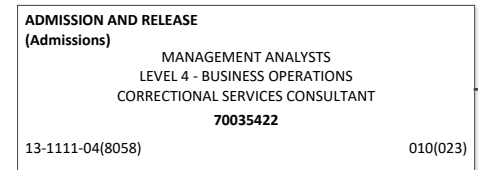
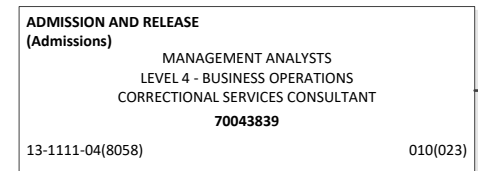
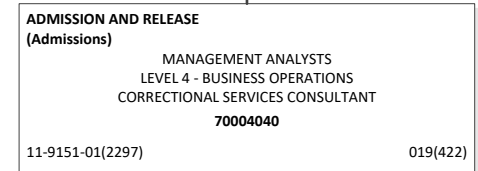
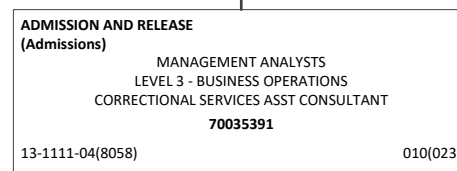
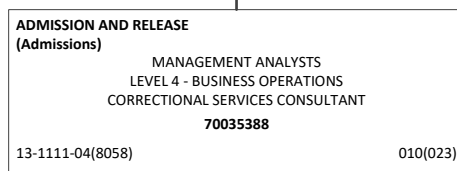
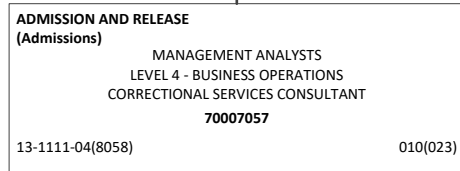
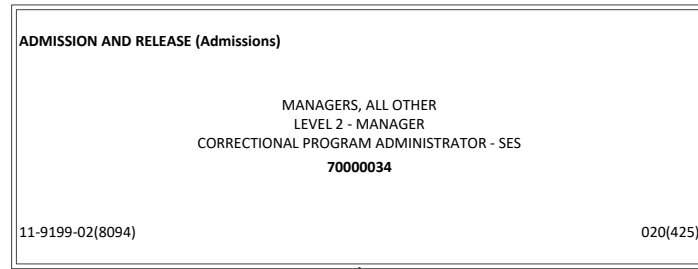
CURRENT



ADMISSIONS (Correctional Program Administrator 00034)

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

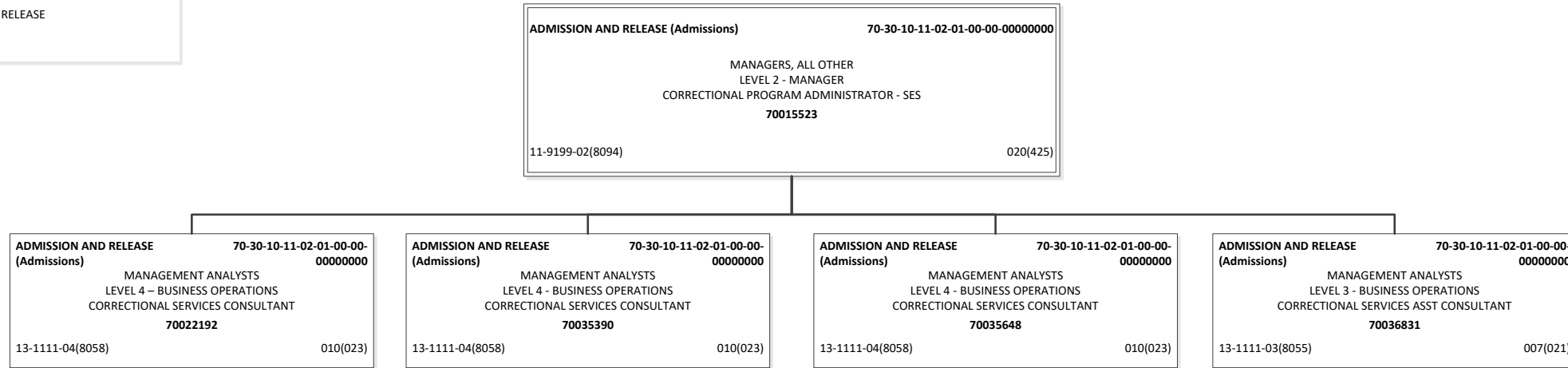
CURRENT



ADMISSIONS (Correctional Program Administrator 15523)

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

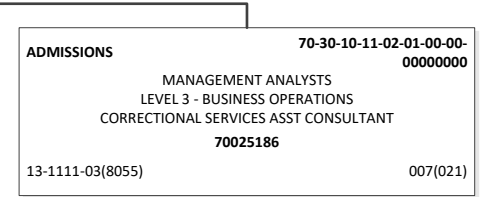
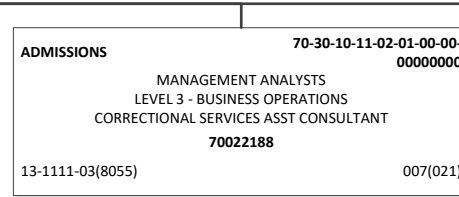
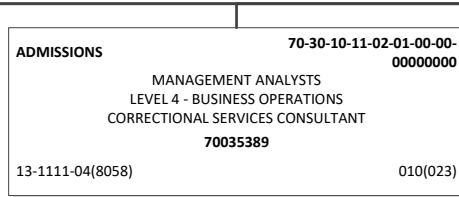
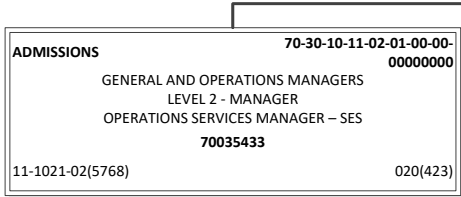
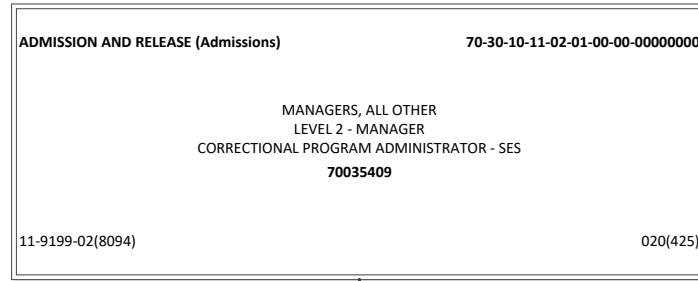
CURRENT



ADMISSIONS (Correctional Program Administrator 35409)

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

CURRENT



ADMISSIONS (Correctional Service Administrator 35433)

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

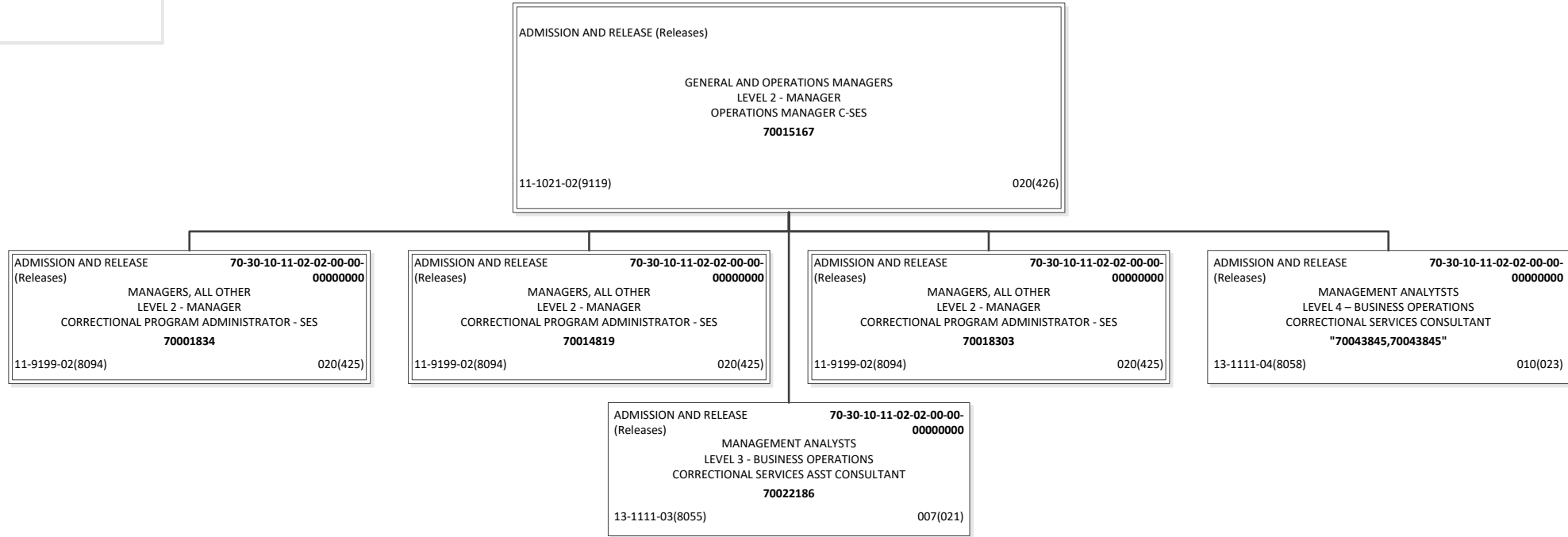
CURRENT



RELEASES (Operations Manager 15167)

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

CURRENT



RELEASES (Correctional Program Administrator 01834)

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

CURRENT

ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
MANAGERS, ALL OTHER LEVEL 2 - MANAGER CORRECTIONAL PROGRAM ADMINISTRATOR - SES 70001834	
11-9199-02(8094)	020(425)

ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
MANAGEMENT ANALYSTS LEVEL 4 - BUSINESS OPERATIONS CORRECTIONAL SERVICES CONSULTANT 70007974	
13-1111-04(8058)	010(023)

ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
MANAGEMENT ANALYSTS LEVEL 4 - BUSINESS OPERATIONS CORRECTIONAL SERVICES CONSULTANT 70032224	
13-1111-04(8058)	010(023)

ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
MANAGEMENT ANALYSTS LEVEL 4 - BUSINESS OPERATIONS CORRECTIONAL SERVICES CONSULTANT 70035972	
13-1111-04(8058)	010(023)

ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
MANAGEMENT ANALYSTS LEVEL 3 - BUSINESS OPERATIONS CORRECTIONAL SERVICES ASST CONSULTANT 70031094	
13-1111-03(8055)	007(021)

ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
MANAGEMENT ANALYSTS LEVEL 3 - BUSINESS OPERATIONS GOVERNMENT OPERATIONS CONSULTANT I 70035404	
13-1111-03(2234)	007(021)

ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
MANAGEMENT ANALYSTS LEVEL 3 - BUSINESS OPERATIONS CORRECTIONAL SERVICES ASST CONSULTANT 70035406	
13-1111-03(8055)	007(021)

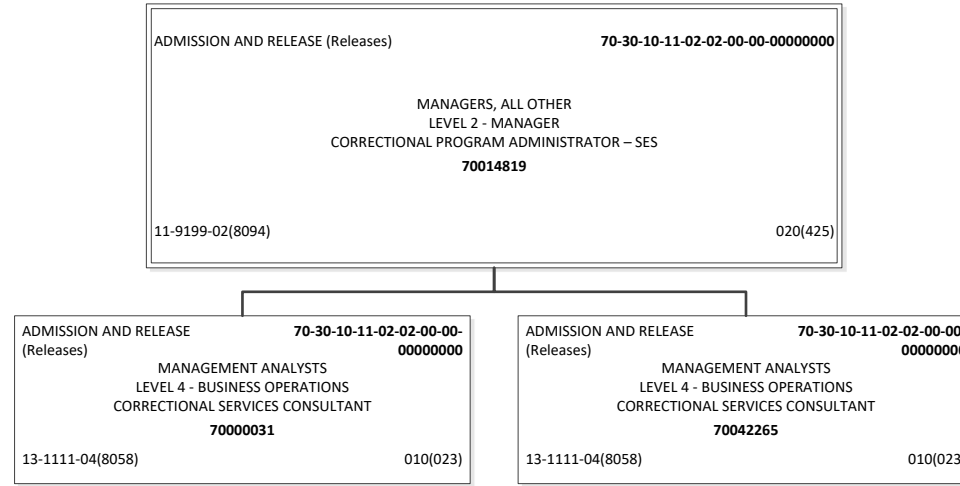
ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
MANAGEMENT ANALYSTS LEVEL 3 - BUSINESS OPERATIONS CORRECTIONAL SERVICES ASST CONSULTANT 70035974	
13-1111-03(8055)	007(021)

ADMISSION AND RELEASE (Releases)	70-30-10-11-02-02-00-00-0000000
FINANCIAL MANAGERS LEVEL 1 - MANAGER FINANCIAL MANAGER I 70047228	
11-3031-01(8058)	010(023)

RELEASES (Correctional Service Administrator 14819)

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

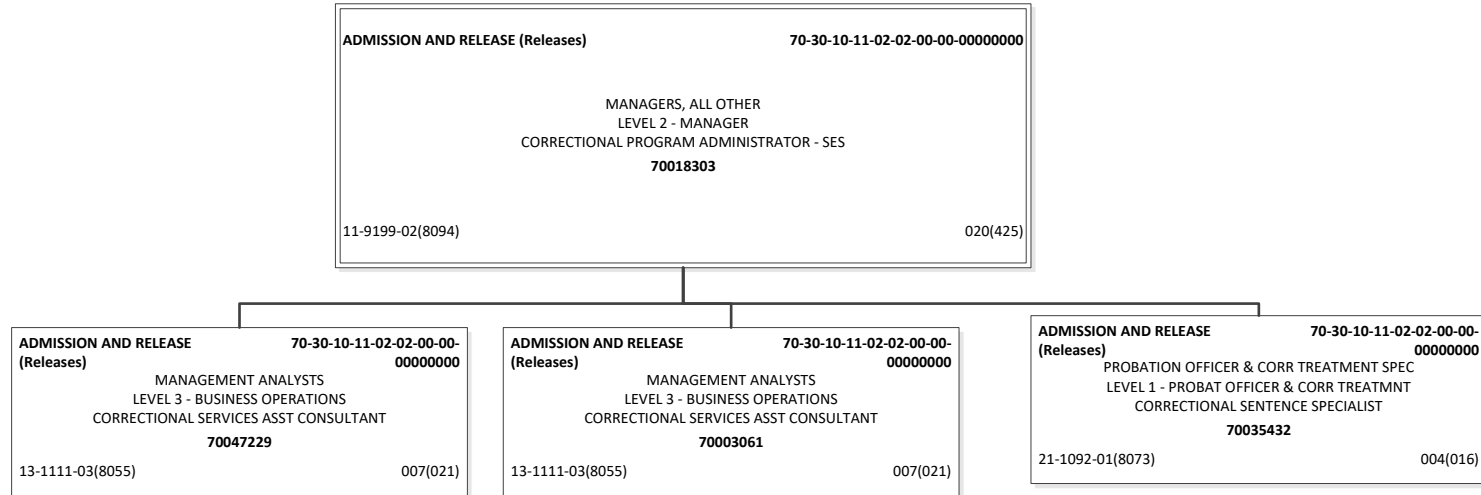
CURRENT



RELEASES (Correctional Service Administrator 18303)

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

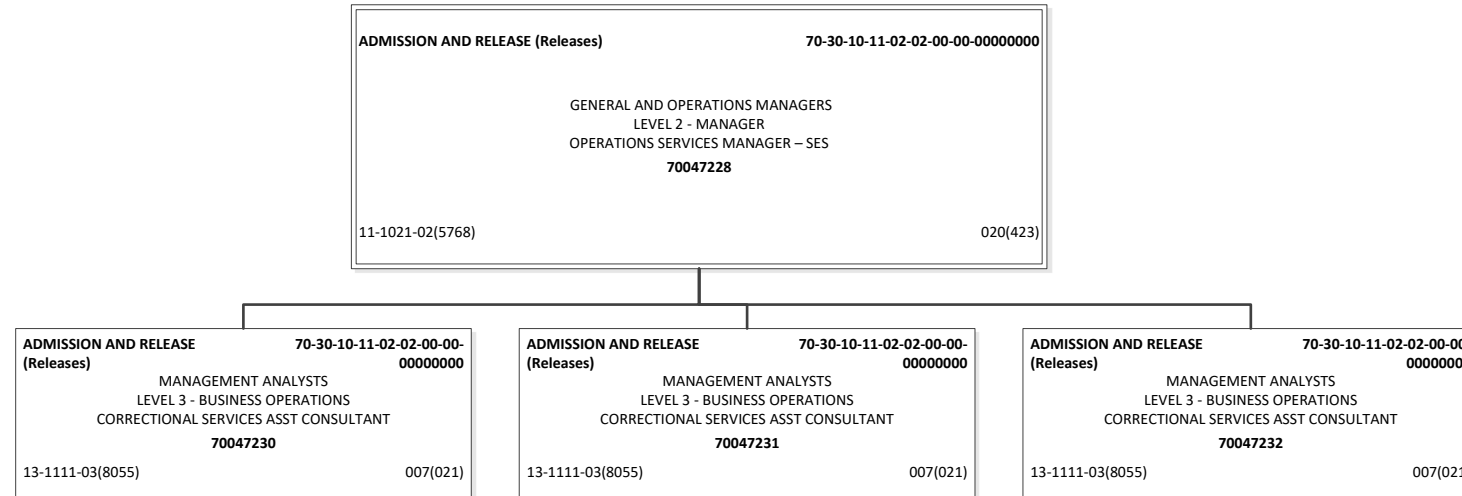
CURRENT



RELEASES (Correctional Services Administrator 47228)

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

CURRENT



COMMUNITY CORRECTIONS

CURRENT

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

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

COMMUNITY CORRECTIONS	70-40-00-00-00-00-00-00000000
EXECUTIVE SEC & EXEC ADMIN ASSISTANTS LEVEL 4 – OFFICE/ADMINISTRATIVE SUPPORT ADMINISTRATIVE ASSISTANT III - SES 70021073	
43-6011-04(0714)	006(421)

COMMUNITY CORRECTIONS	70-40-00-00-00-00-00-00000000
COMMUNITY AND SOCIAL SERVICE MANAGERS LEVEL 1 - EXECUTIVE LEAD REGIONAL DIR OF COMMUNITY CORRECTIONS-DC 70023981	
10-9151-01(8272)	023(935)

REGIONAL DIRECTOR'S OFF-COMM CORR REG III	70-09-31-21-00-00-00-00000000
COMMUNITY AND SOCIAL SERVICE MANAGERS LEVEL 1 - EXECUTIVE REGIONAL DIR OF COMMUNITY CORRECTIONS-DC 70033890	
10-9151-01(8272)	023(935)

BUSINESS OPERATIONS	70-40-00-00-00-00-00-00000000
MANAGERS, ALL OTHER LEVEL 2 - MANAGER OPERATIONS & MGMT CONSULTANT MGR - SES 70035145	
11-1021-02(8094)	020(425)

REGIONAL DIRECTORS OFF-COMM CORR REG IV	70-09-41-21-00-00-00-00000000
COMMUNITY AND SOCIAL SERVICE MANAGERS LEVEL 1 - EXECUTIVE REGIONAL DIR OF COMMUNITY CORRECTIONS-DC 70033892	
10-9151-01(8272)	023(935)

REGIONAL DIRECTOR'S OFF-COMM CORR REG II	70-09-21-21-00-00-00-00000000
COMMUNITY AND SOCIAL SERVICE MANAGERS LEVEL 1 - EXECUTIVE REGIONAL DIR OF COMMUNITY CORRECTIONS-DC 70023578	
10-9151-01(8272)	023(935)

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

REGIONAL DIRECTOR'S OFF-COMM CORR REG III	70-09-31-21-00-00-00-00000000
COMMUNITY AND SOCIAL SERVICE MANAGERS LEVEL 3 - MANAGER ASSISTANT REGIONAL DIR COMMUN CORR 70023741	
11-9151-03(5259)	021(546)

COMMUNITY CORRECTIONS LEASING	70-09-15-22-30-00-00-00000000
MANAGEMENT ANALYSTS LEVEL 4 – BUSINESS OPERATIONS GOVERNMENT OPERATIONS CONSULTANT II 70012924	
13-1111-04(2236)	010(023)

REGIONAL DIRECTORS OFF-COMM CORR REG IV	70-09-41-21-00-00-00-00000000
COMMUNITY AND SOCIAL SERVICE MANAGERS LEVEL 3 - MANAGER ASSISTANT REGIONAL DIR COMMUN CORR 70015724	
11-9151-03(5259)	021(546)

REGIONAL DIRECTOR'S OFF-COMM CORR REG I	70-09-11-21-00-00-00-00000000
COMMUNITY AND SOCIAL SERVICE MANAGERS LEVEL 1 - EXECUTIVE REGIONAL DIR OF COMMUNITY CORRECTIONS-DC 70015665	
10-9151-01(8272)	023(935)

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

COMMUNITY CORRECTIONS LEASING	70-09-15-22-30-00-00-00000000
MANAGEMENT ANALYSTS LEVEL 4 – BUSINESS OPERATIONS GOVERNMENT OPERATIONS CONSULTANT II 70002174	
13-1111-04(2236)	010(023)

COMMUNITY CORRECTIONS	70-09-15-22-30-00-00-00000000
MANAGEMENT ANALYSTS LEVEL 4 – BUSINESS OPERATIONS GOVERNMENT OPERATIONS CONSULTANT II 70024190	
13-1111-04(2236)	010(023)

OFFICE OF COMMUNITY CORRECTIONS	70-40-00-00-00-00-00-00000000
MANAGEMENT ANALYSTS LEVEL 4 – BUSINESS OPERATIONS GOVERNMENT OPERATIONS CONSULTANT II 70032544	
13-1111-04(2236)	010(023)

COMMUNITY CORRECTIONS	70-40-00-00-00-00-00-00000000
MANAGEMENT ANALYSTS LEVEL 4 – BUSINESS OPERATIONS SENIOR MANAGEMENT ANALYST II - SES 70024020	
13-1111-04(2225)	010(023)

COMMUNITY CORRECTIONS LEASING	70-09-15-22-30-00-00-00000000
MANAGEMENT ANALYSTS LEVEL 4 – BUSINESS OPERATIONS GOVERNMENT OPERATIONS CONSULTANT III 70014248	
13-1111-04(2238)	010(025)

COMMUNITY CORRECTIONS	70-40-00-00-00-00-00-00000000
MANAGEMENT ANALYSTS LEVEL 4 – BUSINESS OPERATIONS CORRECTIONAL PROGRAMS CONSULTANT 70027038	
13-1111-04(8094)	010(025)

COMMUNITY CORRECTIONS (PROGRAMS)

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

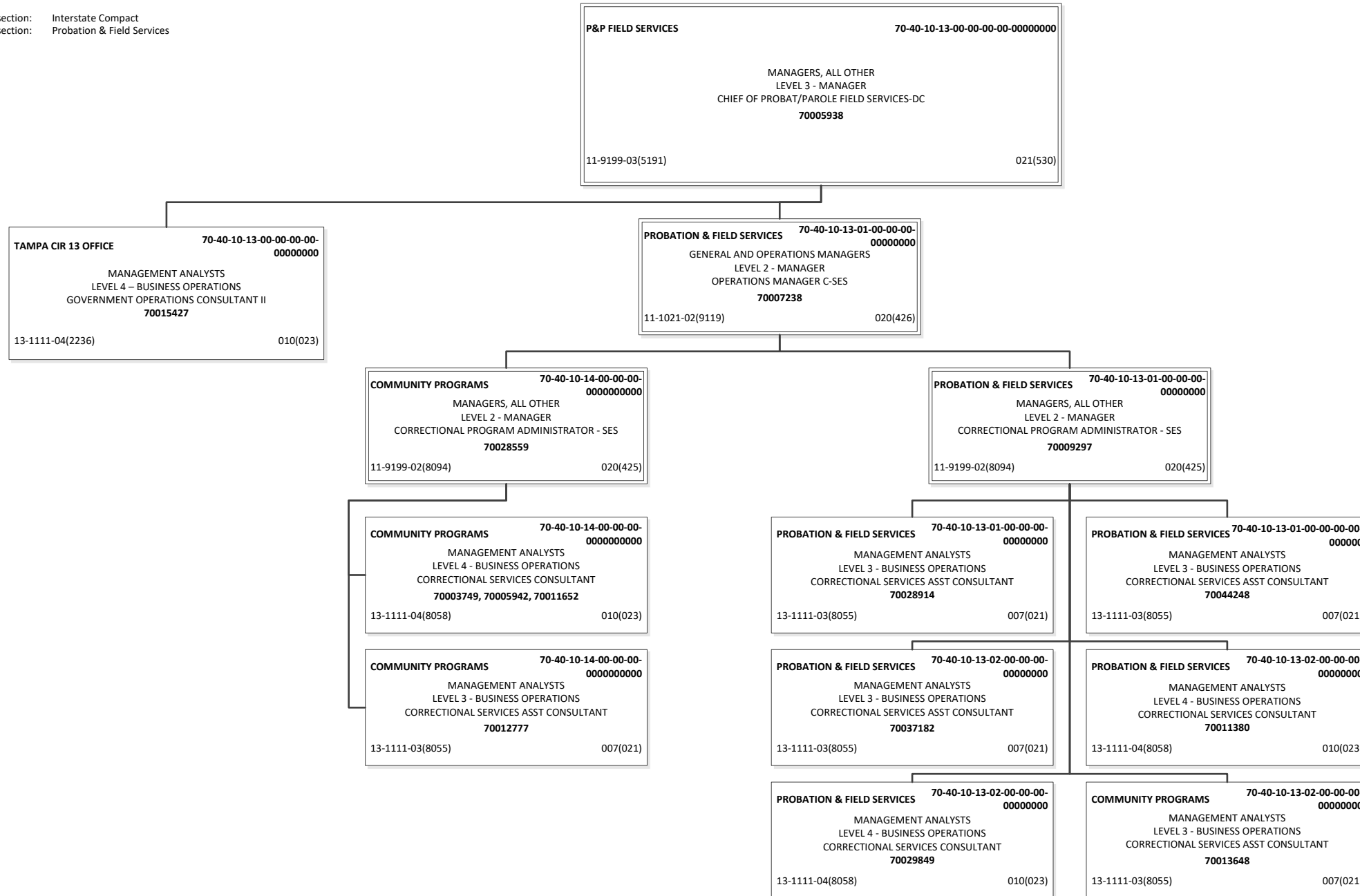
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P&P FIELD SERVICES & INTERSTATE COMPACT

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

CURRENT



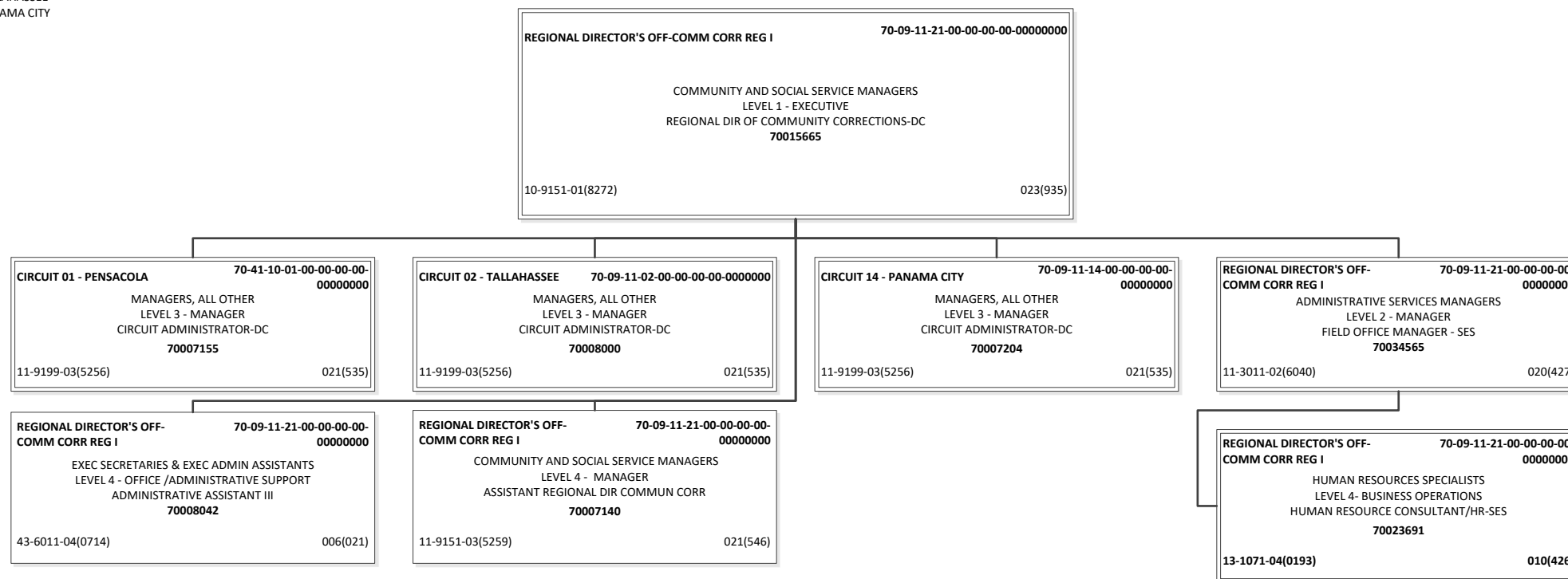
REGION I

CURRENT

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

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

Section/Subsection:



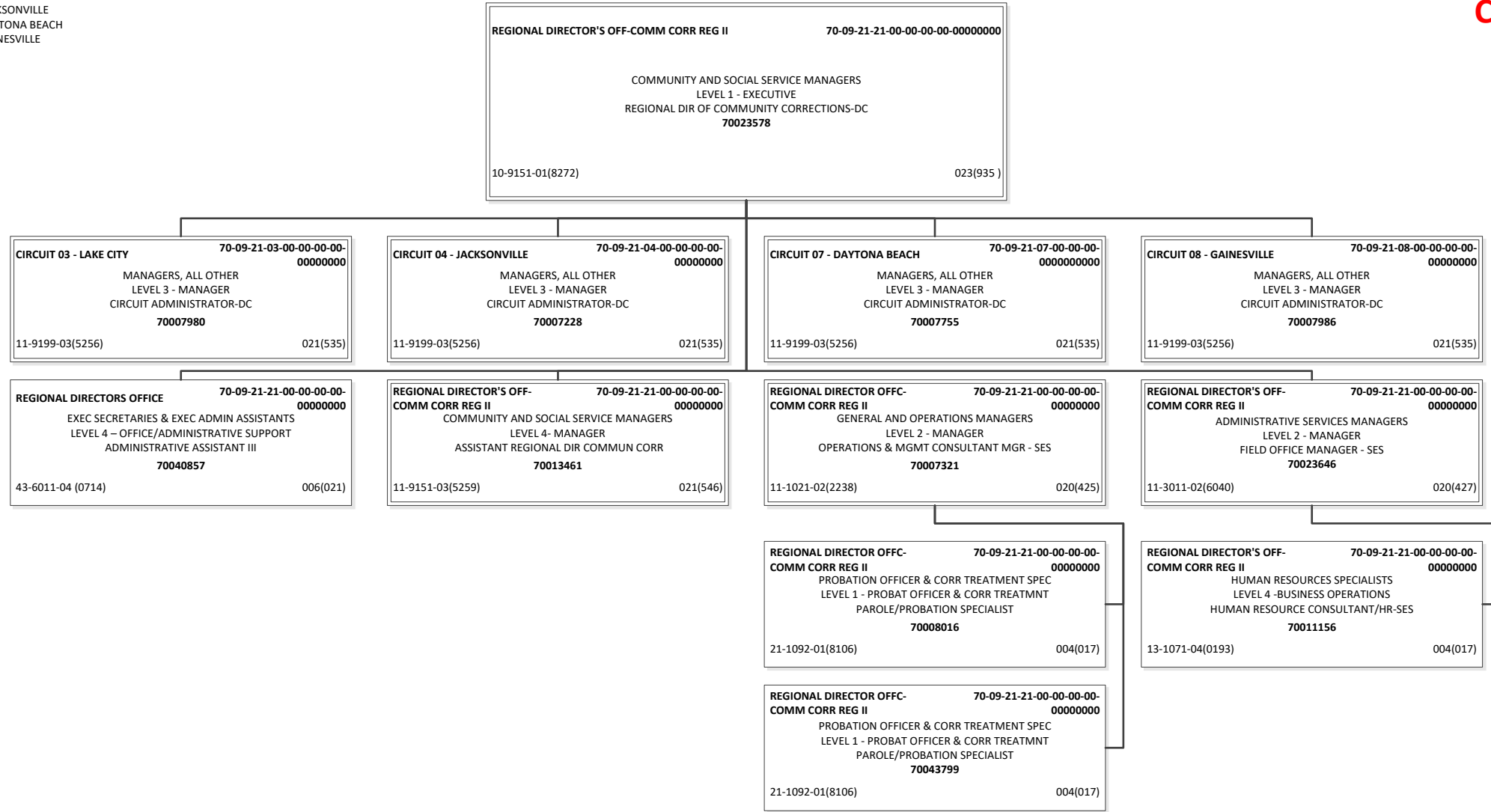
REGION II

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

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

Section/Subsection:

CURRENT



REGION III

CURRENT

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

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

Section/Subsection:



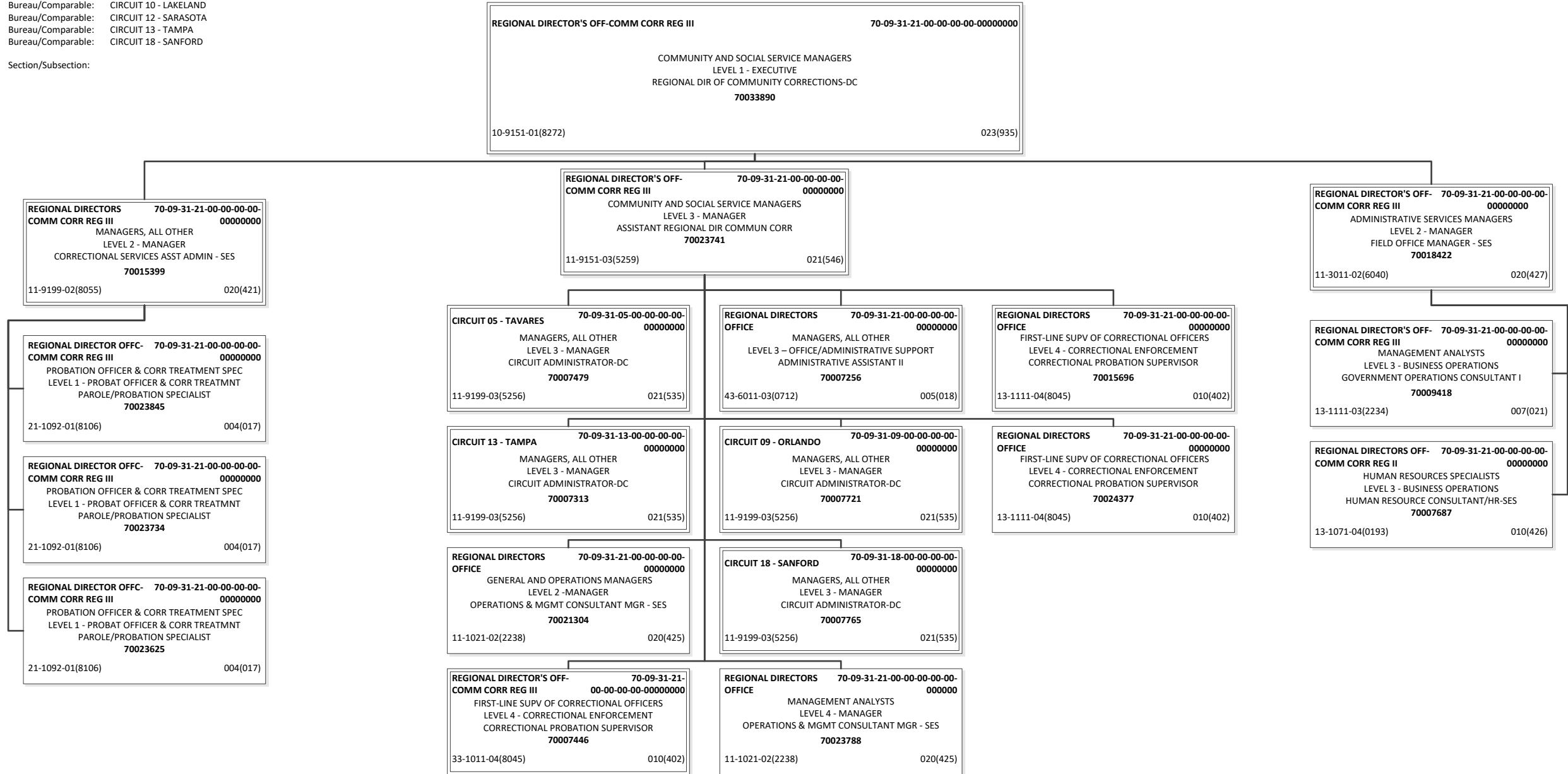
REGION III (cont.)

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

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

Section/Subsection:

CURRENT



REGION IV

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

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

Section/Subsection:

CURRENT



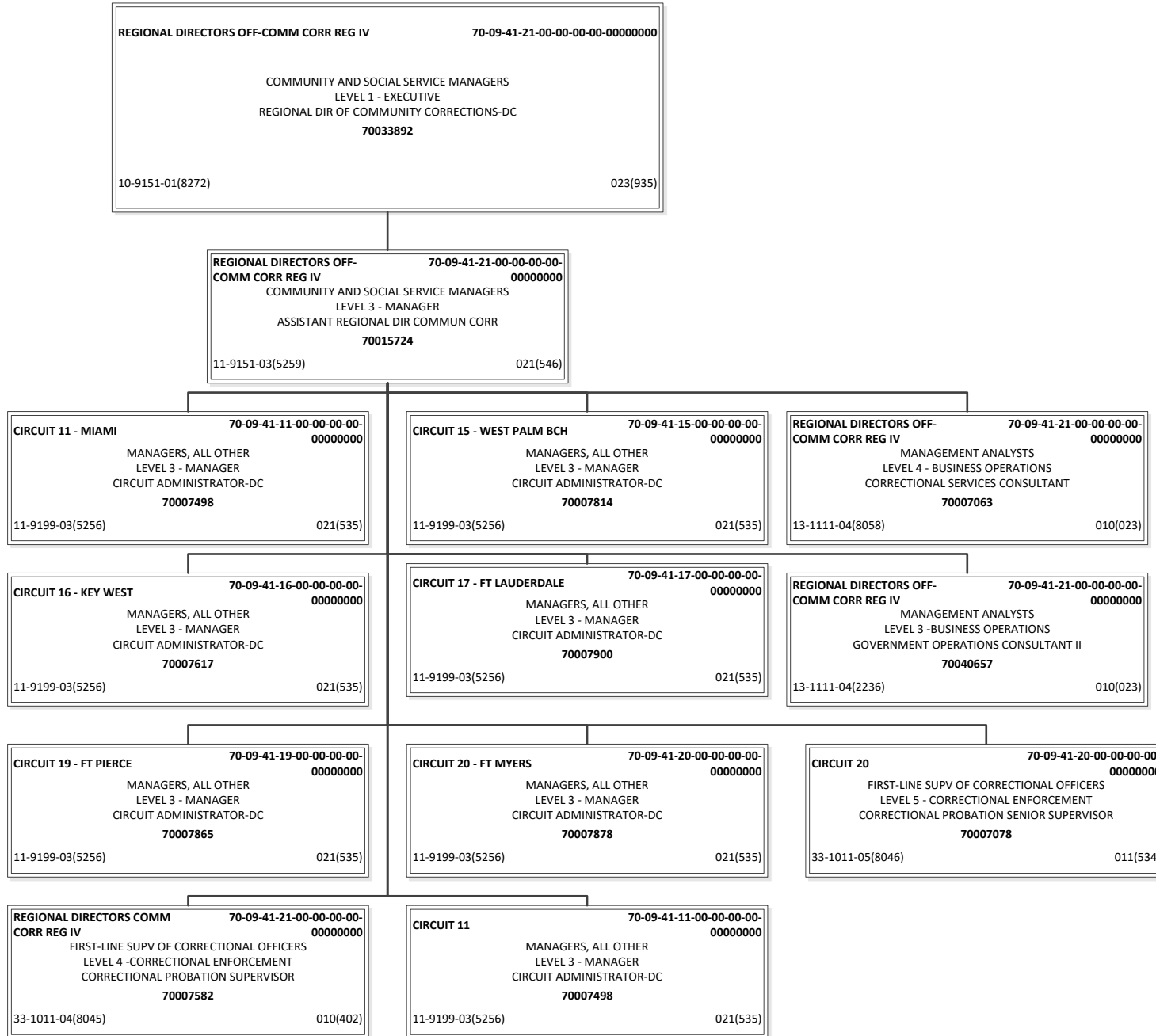
REGION IV (cont.)

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

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

Section/Subsection:

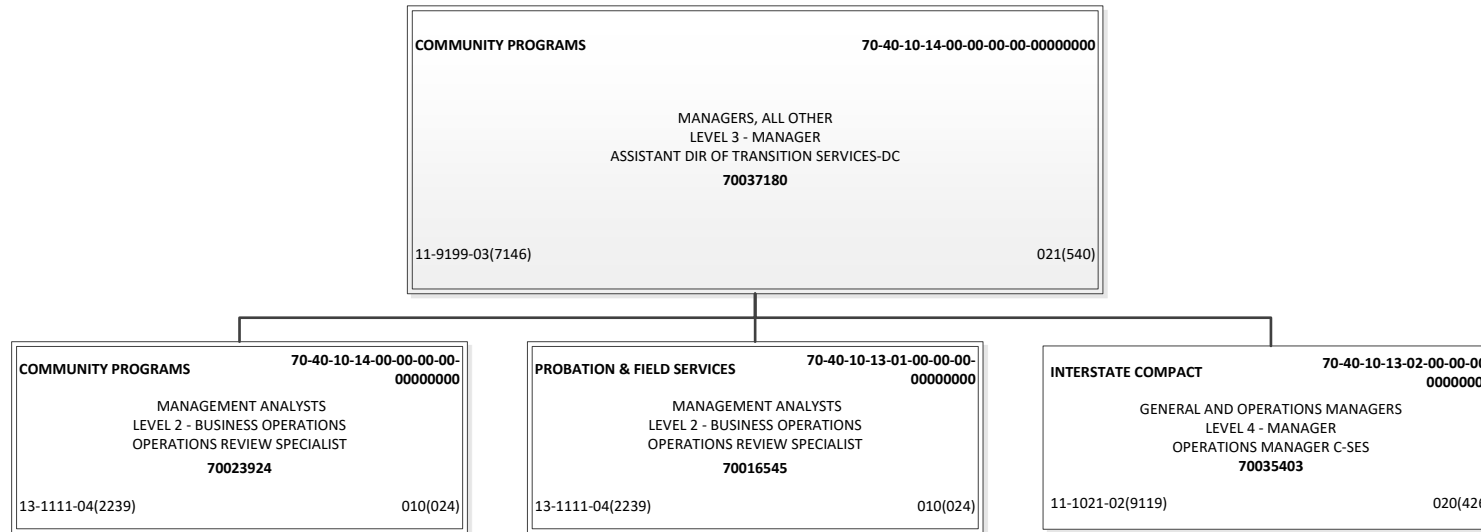
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COMMUNITY PROGRAMS

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

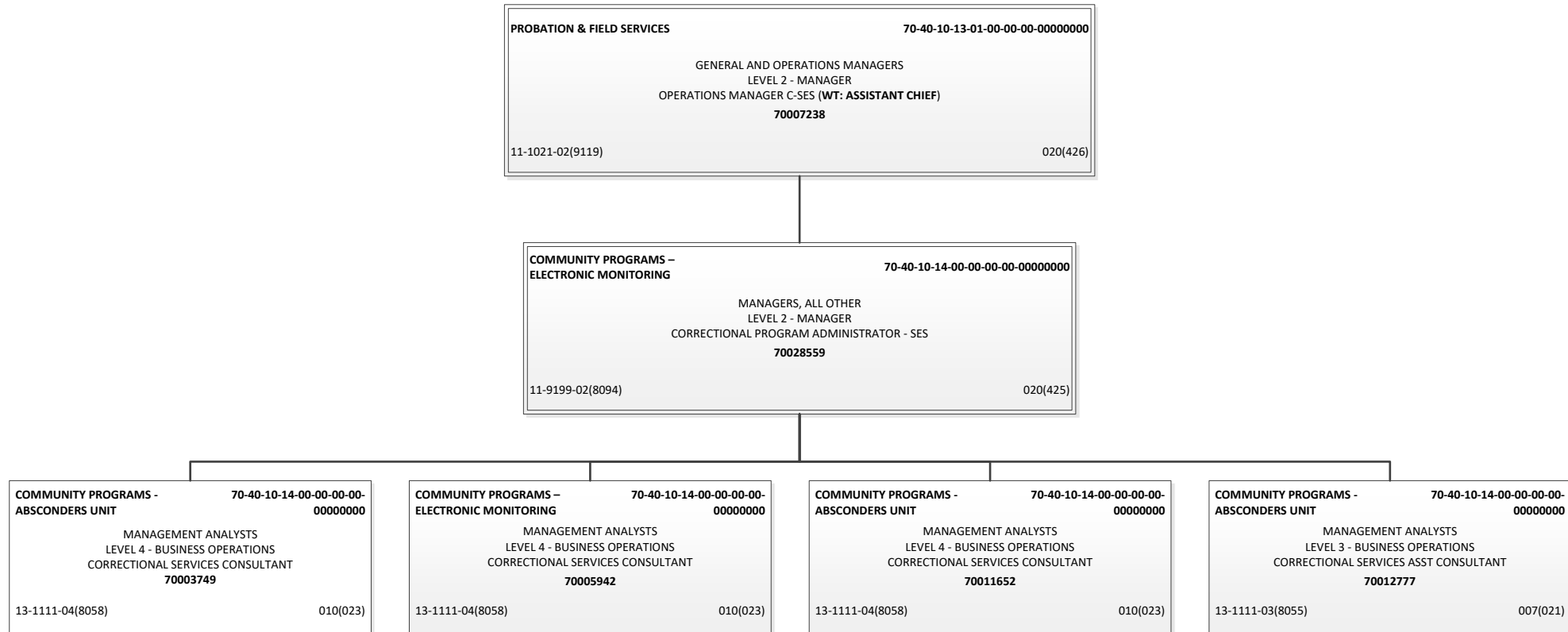
CURRENT



ELECTRONIC MONITORING

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

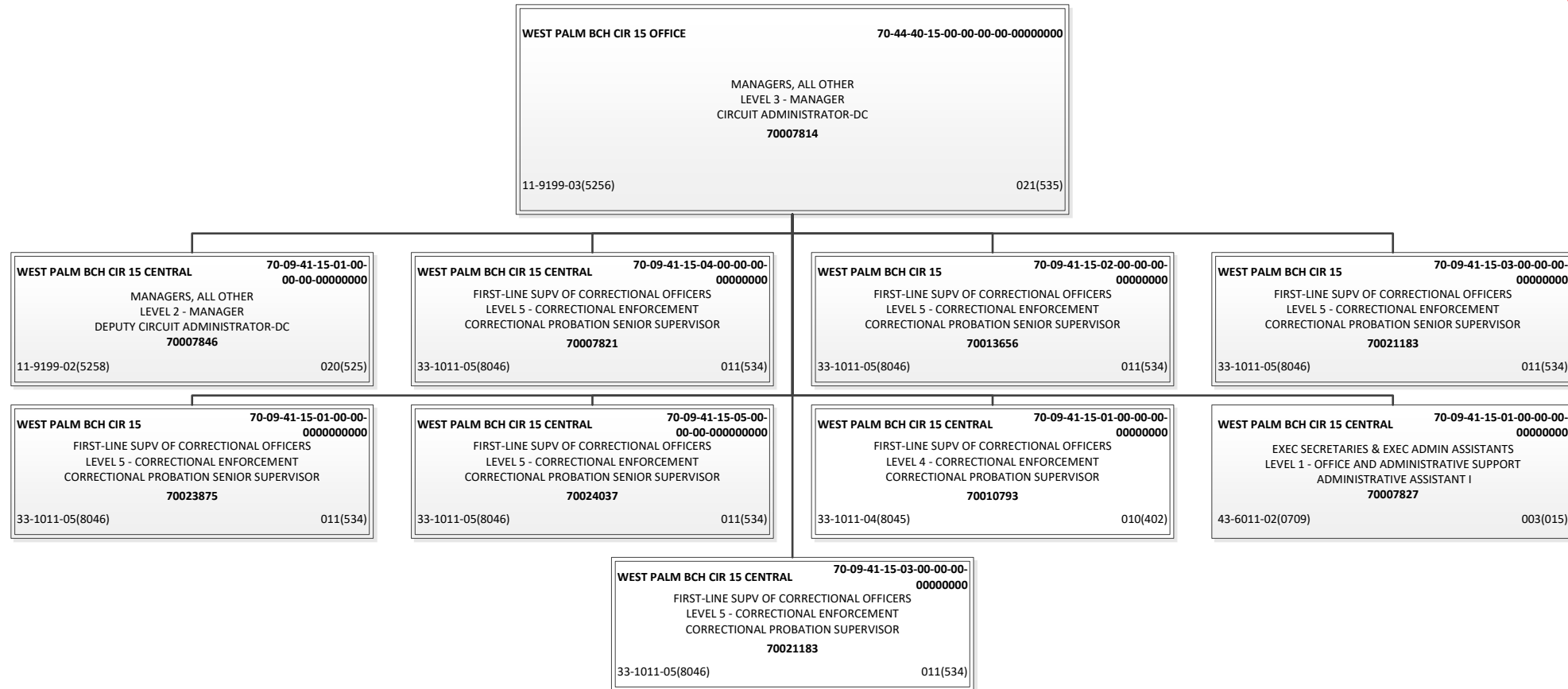
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CA 07814)

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

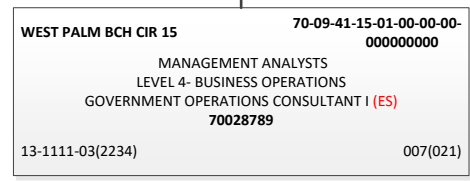
CURRENT



WEST PALM BEACH - CIRCUIT 15 (DCA 07846)

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

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSupv 07856)

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

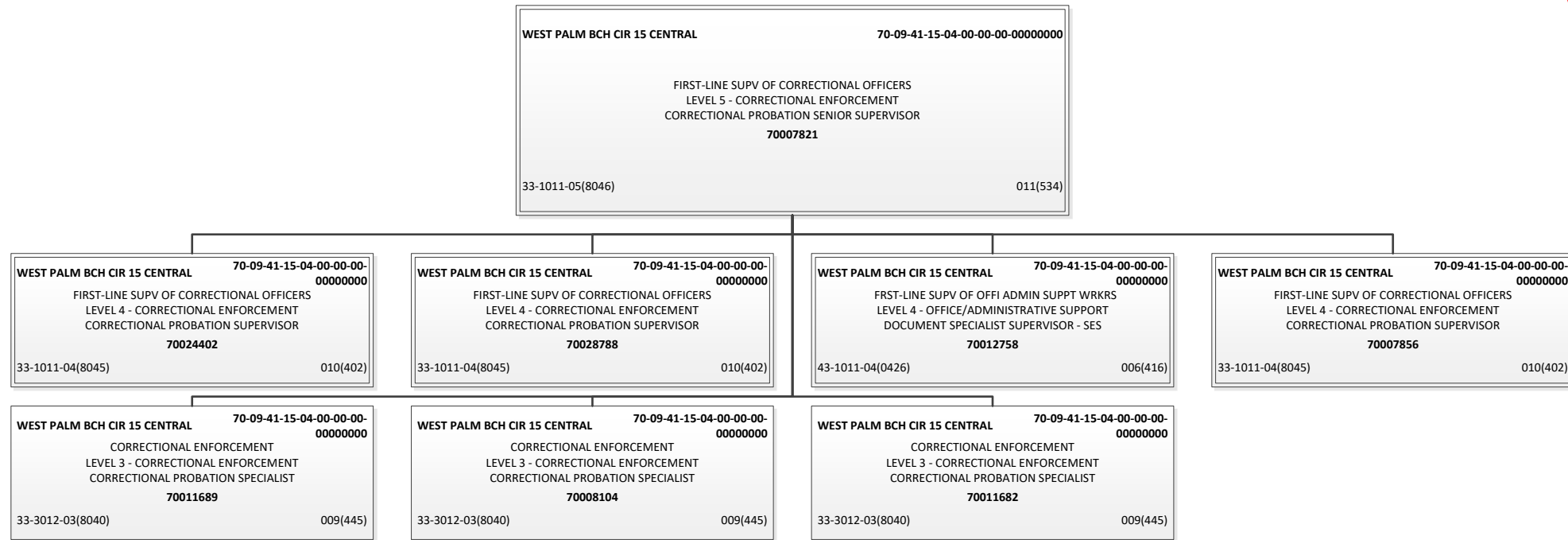
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 07821)

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

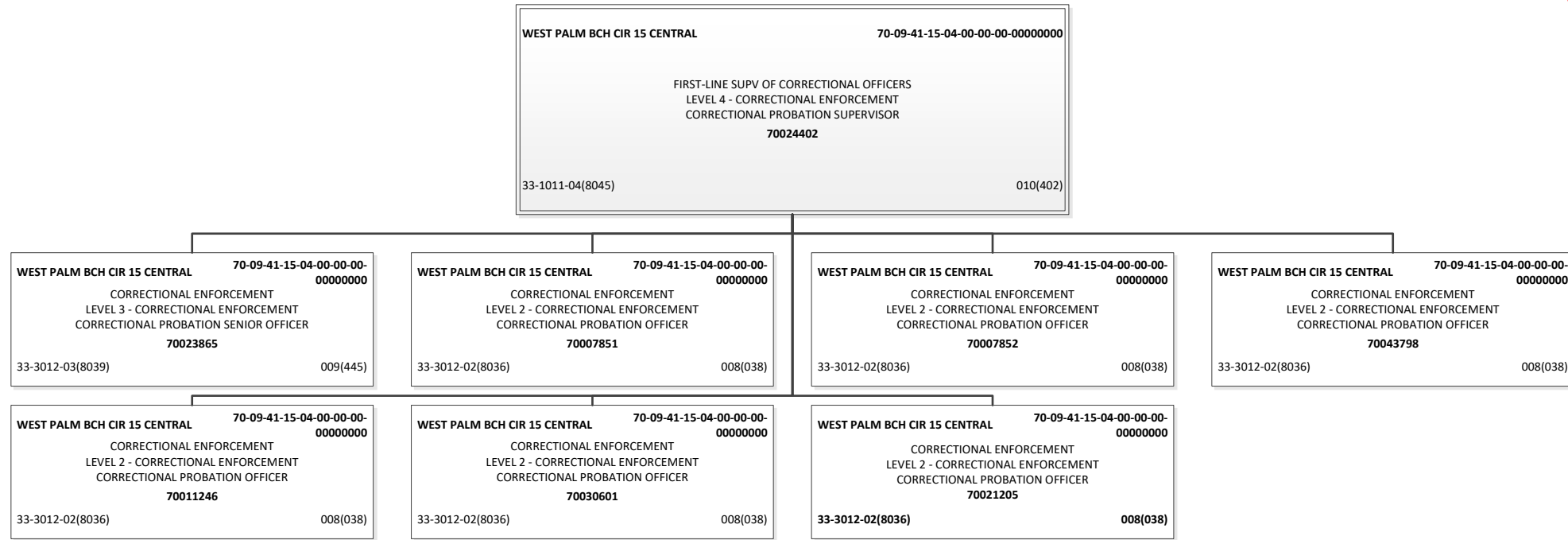
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSupv 24402)

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

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSupv 28788)

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

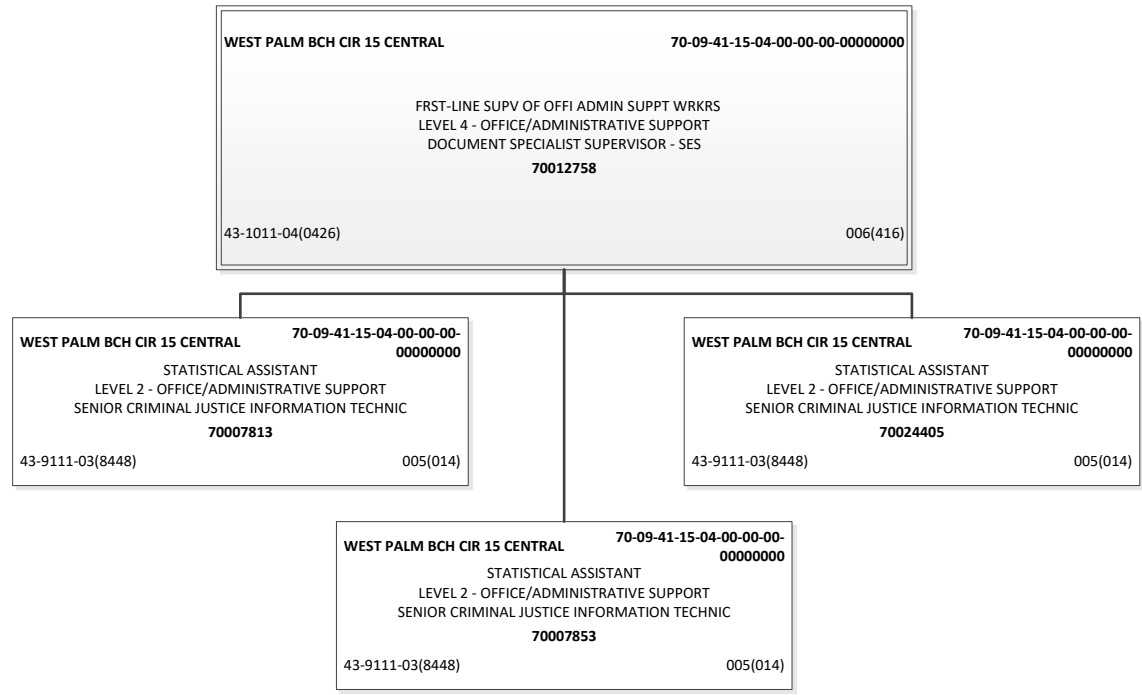
CURRENT



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

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

CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 13656)

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

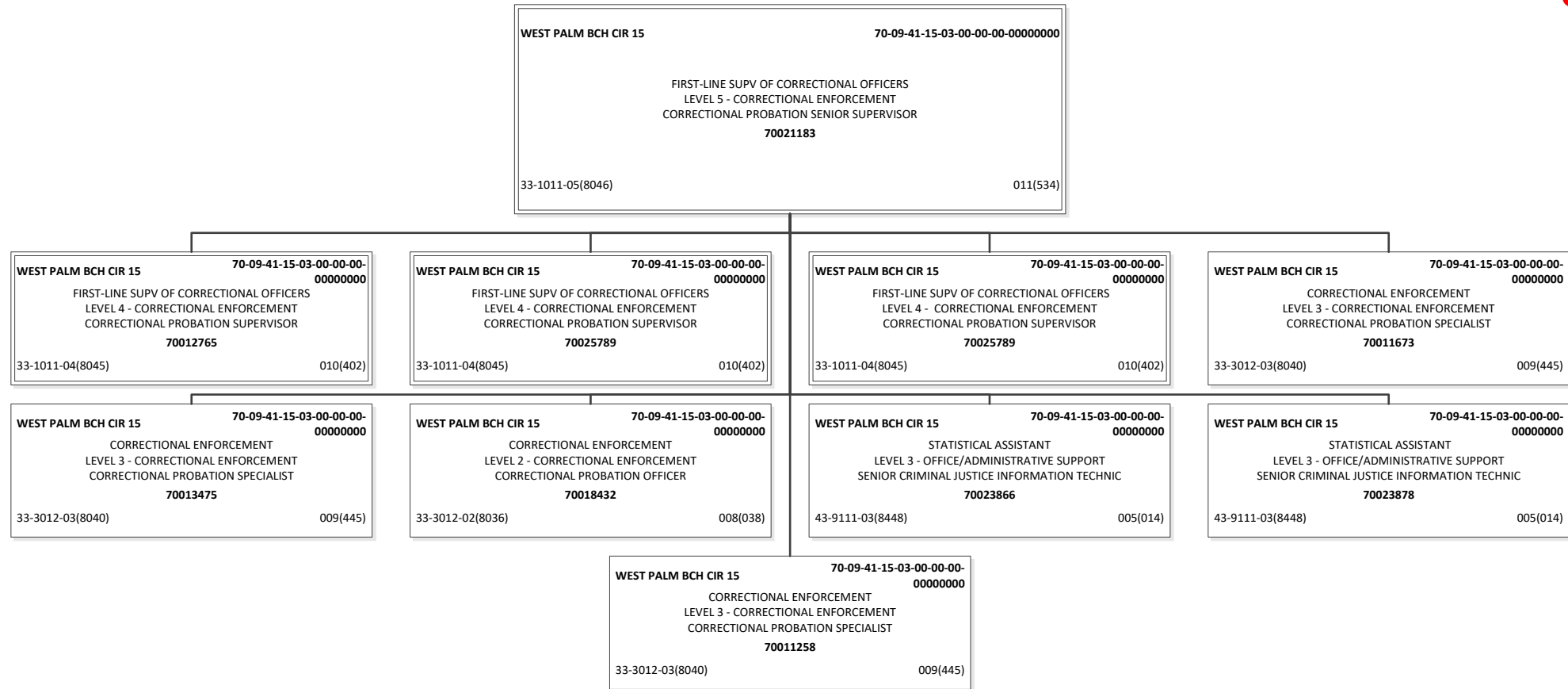
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 21183)

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

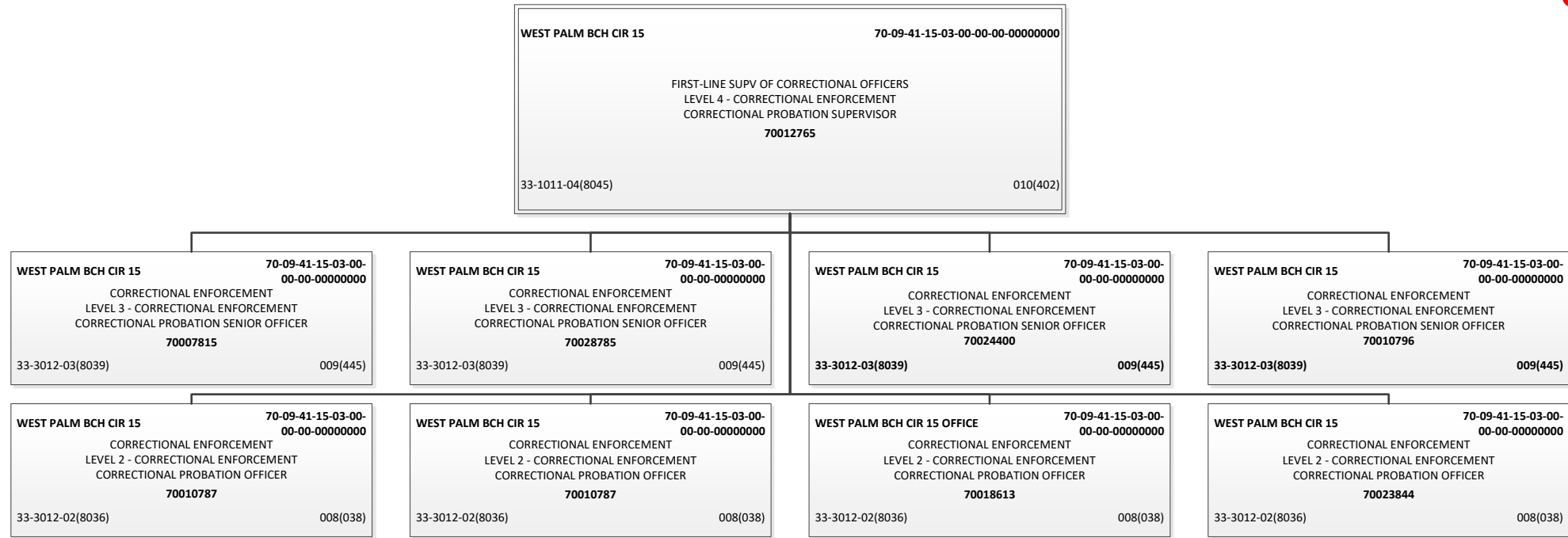
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSupv 12765)

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

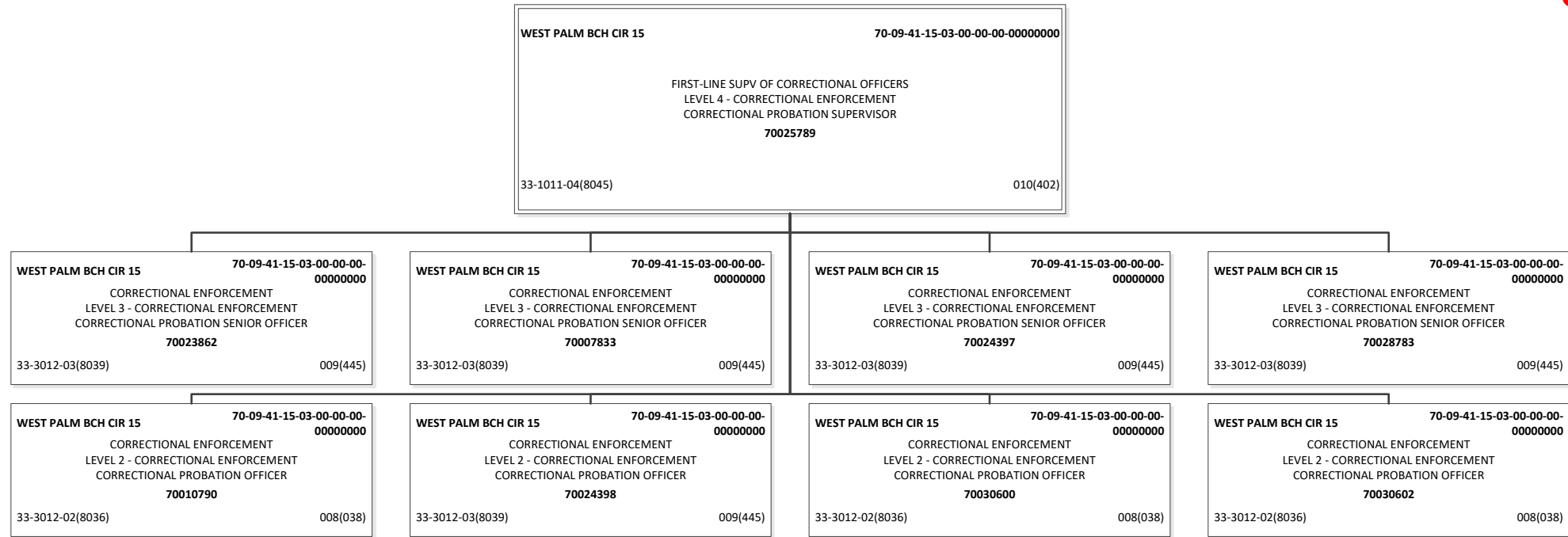
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSupv 25789)

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

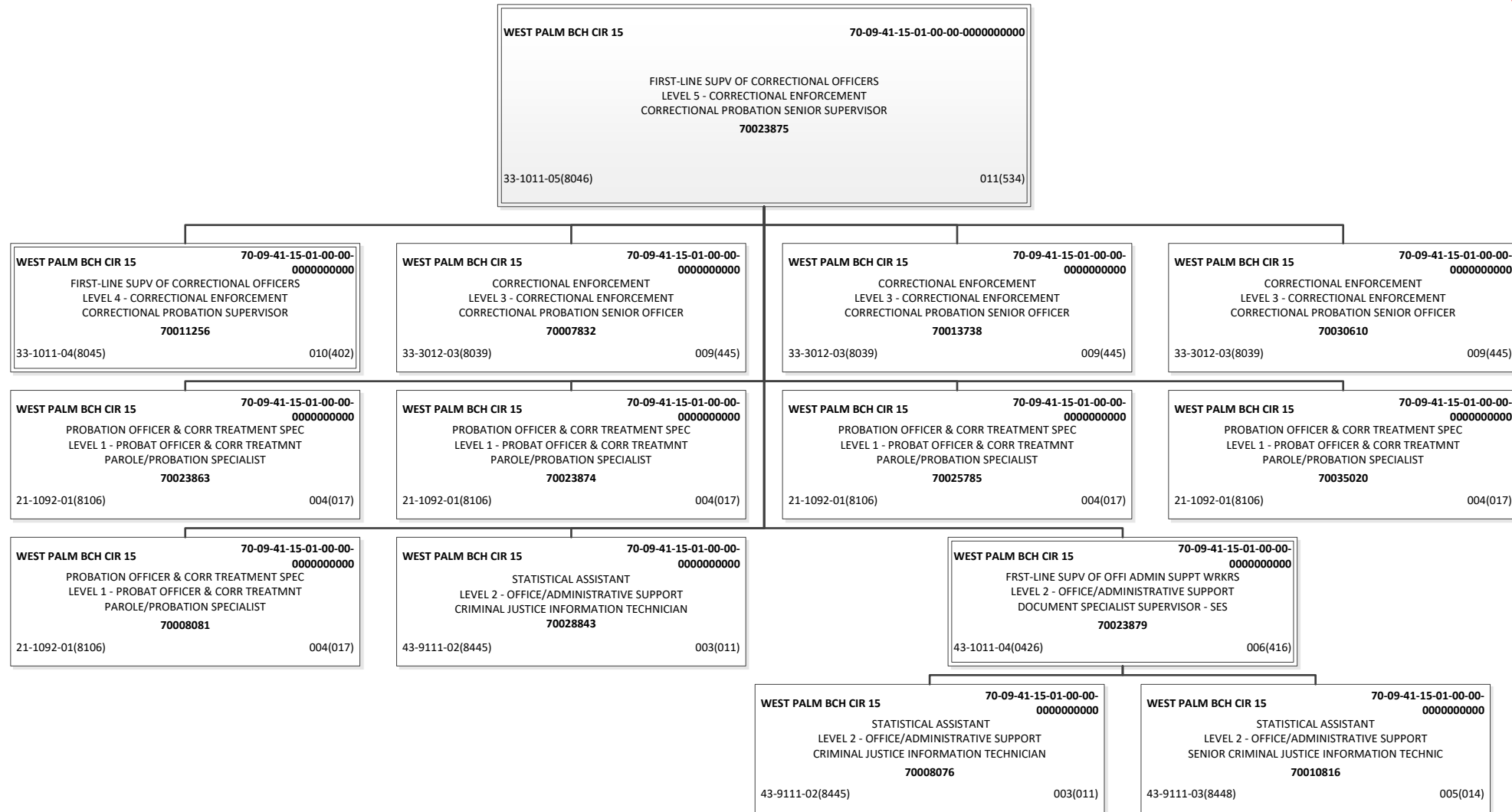
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 23875)

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

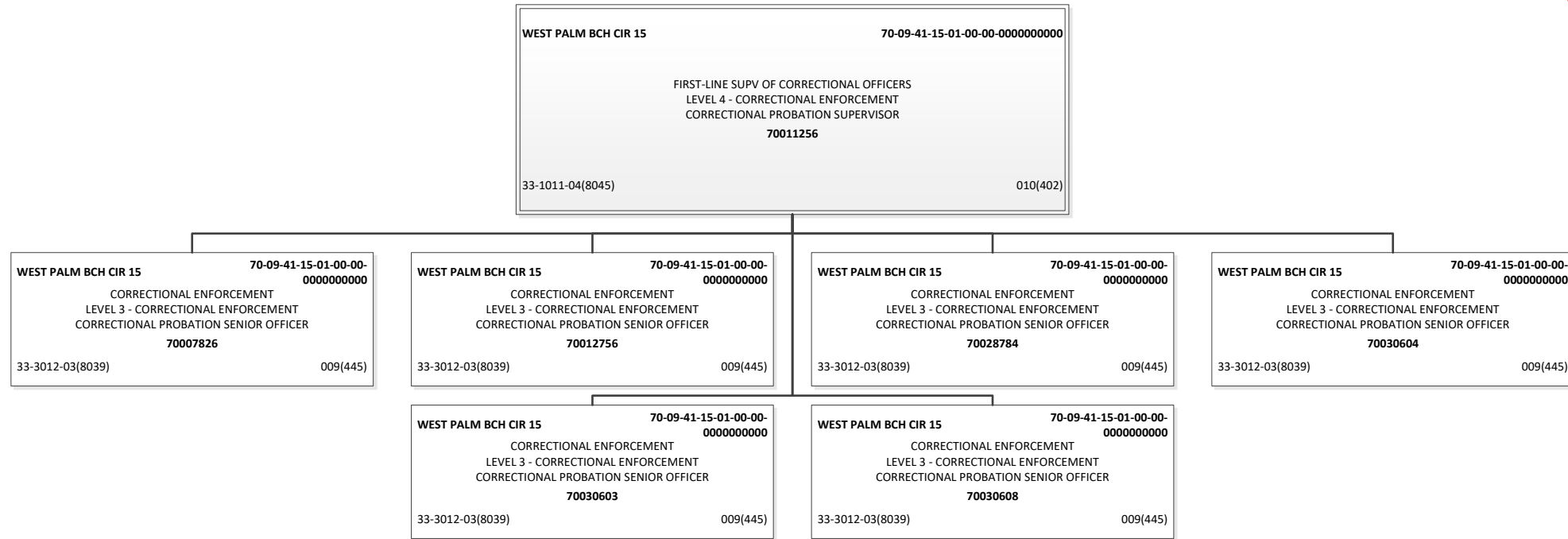
CURRENT



WEST PALM BEACH - CIRCUIT 15 CPSupv 11256)

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

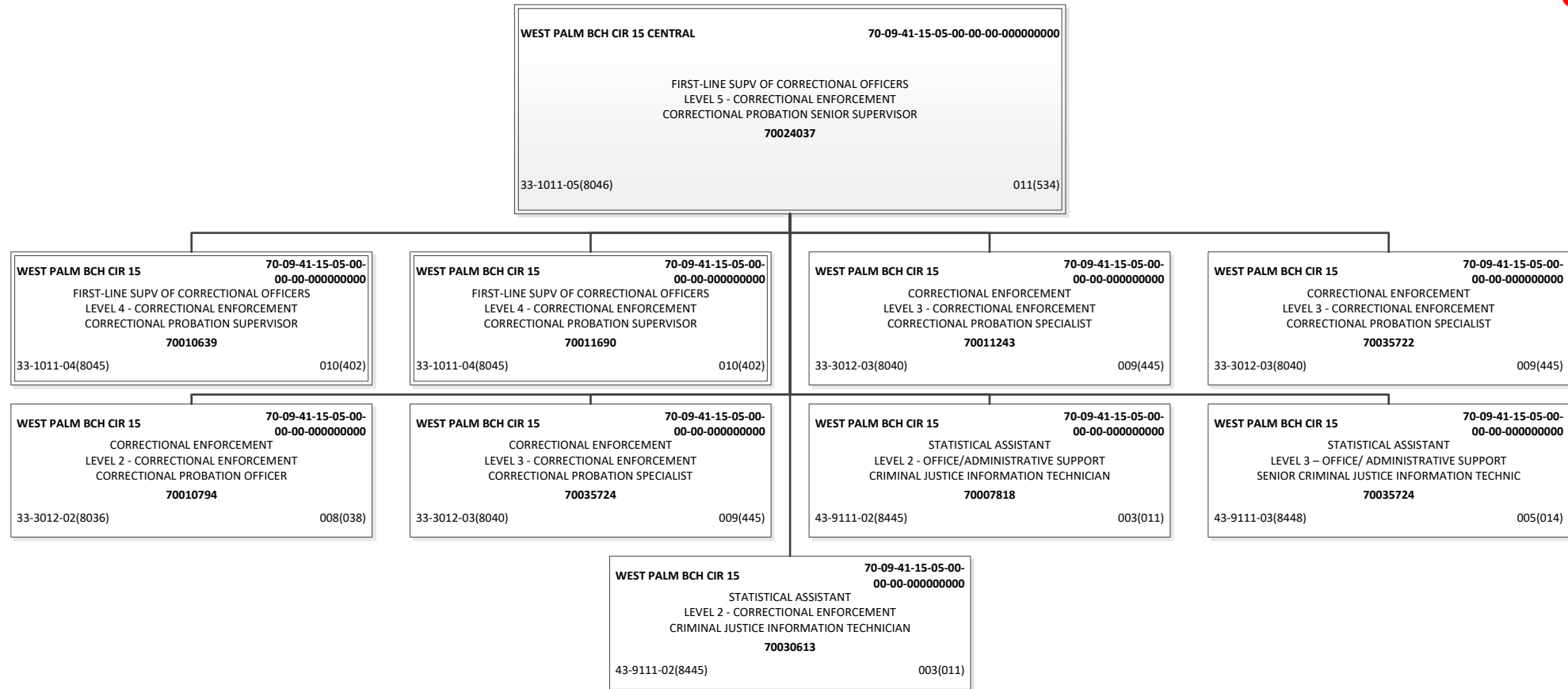
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSS 24037)

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

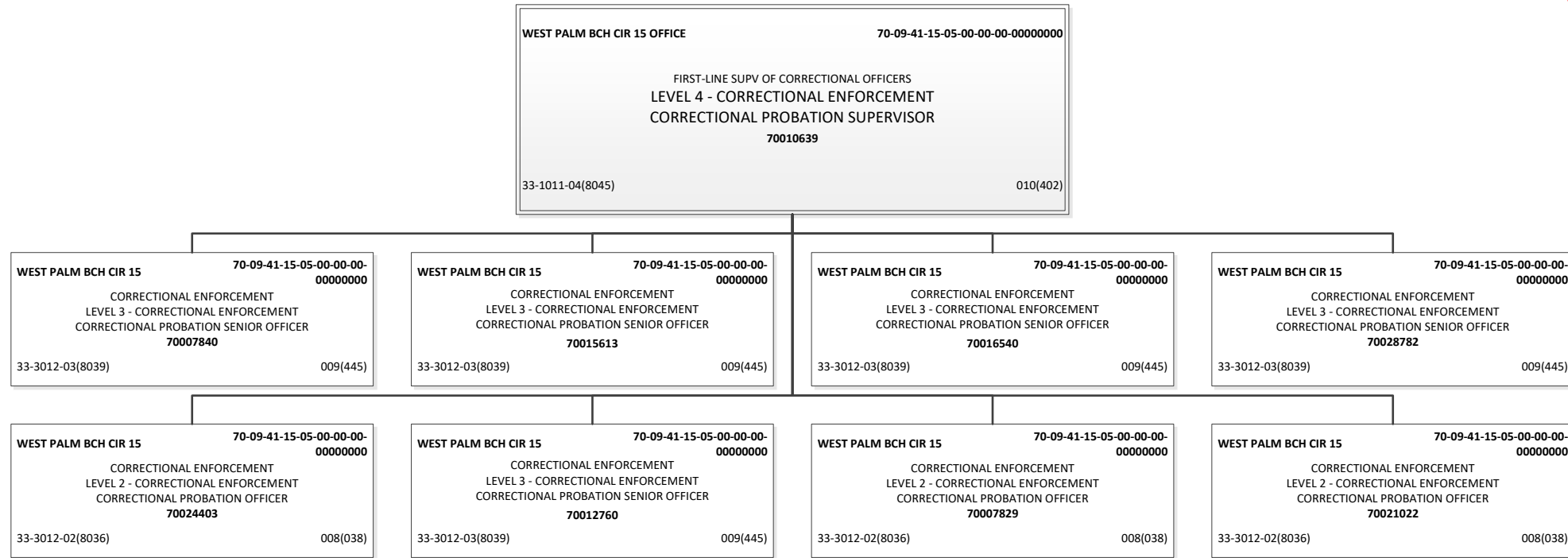
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPSupv 10639)

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

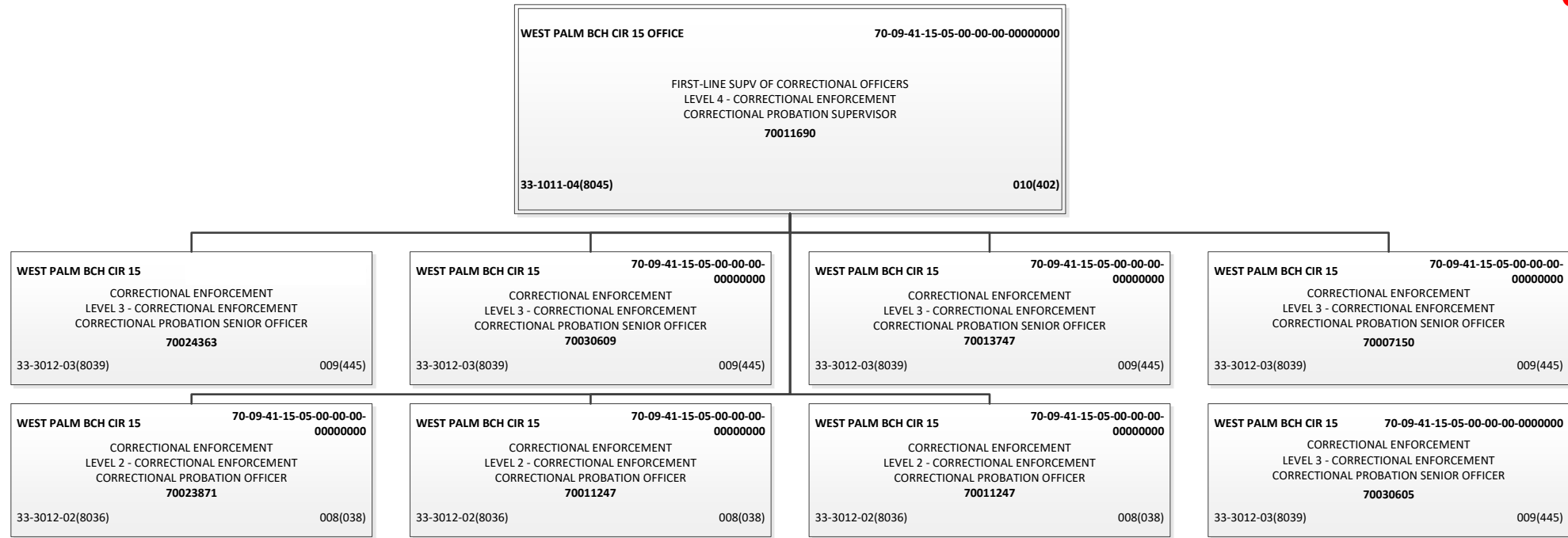
CURRENT



WEST PALM BEACH - CIRCUIT 15 (CPS 11690)

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

CURRENT



CHIEF OF STAFF Overview

Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: CHIEF OF STAFF

Bureau/Comparable:

CURRENT

DEPARTMENT OF CORRECTIONS
CHIEF EXECUTIVES
LEVEL 3 - EXECUTIVE
SECRETARY OF CORRECTIONS
70000001
10-1011-03(9886) 025(950)

CHIEF OF STAFF
GENERAL AND OPERATIONS MANAGERS
LEVEL 2 - EXECUTIVE
CHIEF OF STAFF-DC
70003059
10-1021-02(9892) 024(940)

BIT
COMPUTER & INFORMATION MANAGERS
LEVEL 2 – EXECUTIVE
CHIEF INFORMATION OFFICER
70035926
10-3021-02(0197) 024(940)

PUBLIC AFFAIRS
PUBLIC RELATIONS & FUNDRAISING MANAGERS
LEVEL 3 - MANAGER
PUBLIC AFFAIRS DIRECTOR-DC
70035894
11-2031-03(8186) 021(150)

LEGISLATIVE AFFAIRS
MANAGERS, ALL OTHER
LEVEL 3 - MANAGER
CHIEF OF LEGISLATIVE AFFAIRS-SMS
70000054
11-9199-03(8572) 021(930)

HUMAN RESOURCES
HUMAN RESOURCES MANAGERS
LEVEL 1 - EXECUTIVE
DIRECTOR OF HUMAN RESOURCES
70036219
10-3040-01(9759) 023(930)

STRATEGIC INITIATIVES
GENERAL AND OPERATIONS MANAGERS
LEVEL 1 – EXECUTIVE
DIRECTOR OF STRATEGIC INITIATIVES
70014475
10-1021-01(6782) 023(930)

OFFICE OF ADMINISTRATION
ADMINISTRATIVE SERVICES MANAGERS
LEVEL 1 - EXECUTIVE
DIRECTOR OF ADMINISTRATION - DC
70000007
10-3011-01(5206) 023(930)

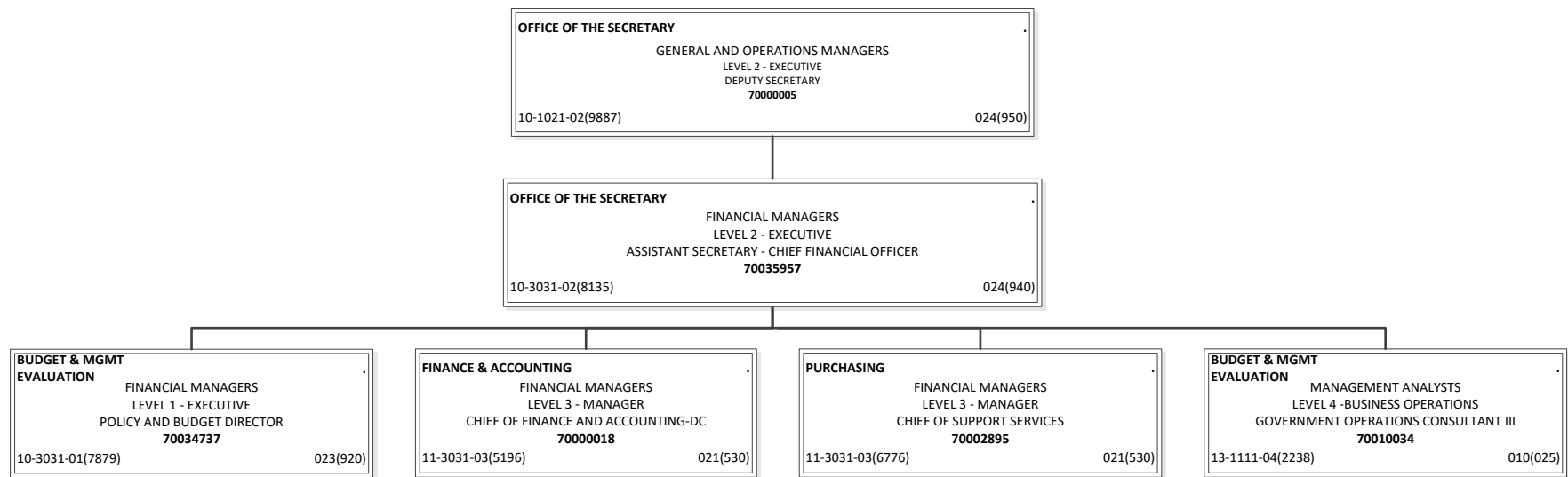
CHIEF OF STAFF
GENERAL AND OPERATIONS MANAGERS
LEVEL2 – MANAGER
DEPUTY CHIEF OF STAFF
70034571
11-1021-04(9062) 022(540)

CHIEF FINANCIAL OFFICER

CURRENT

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

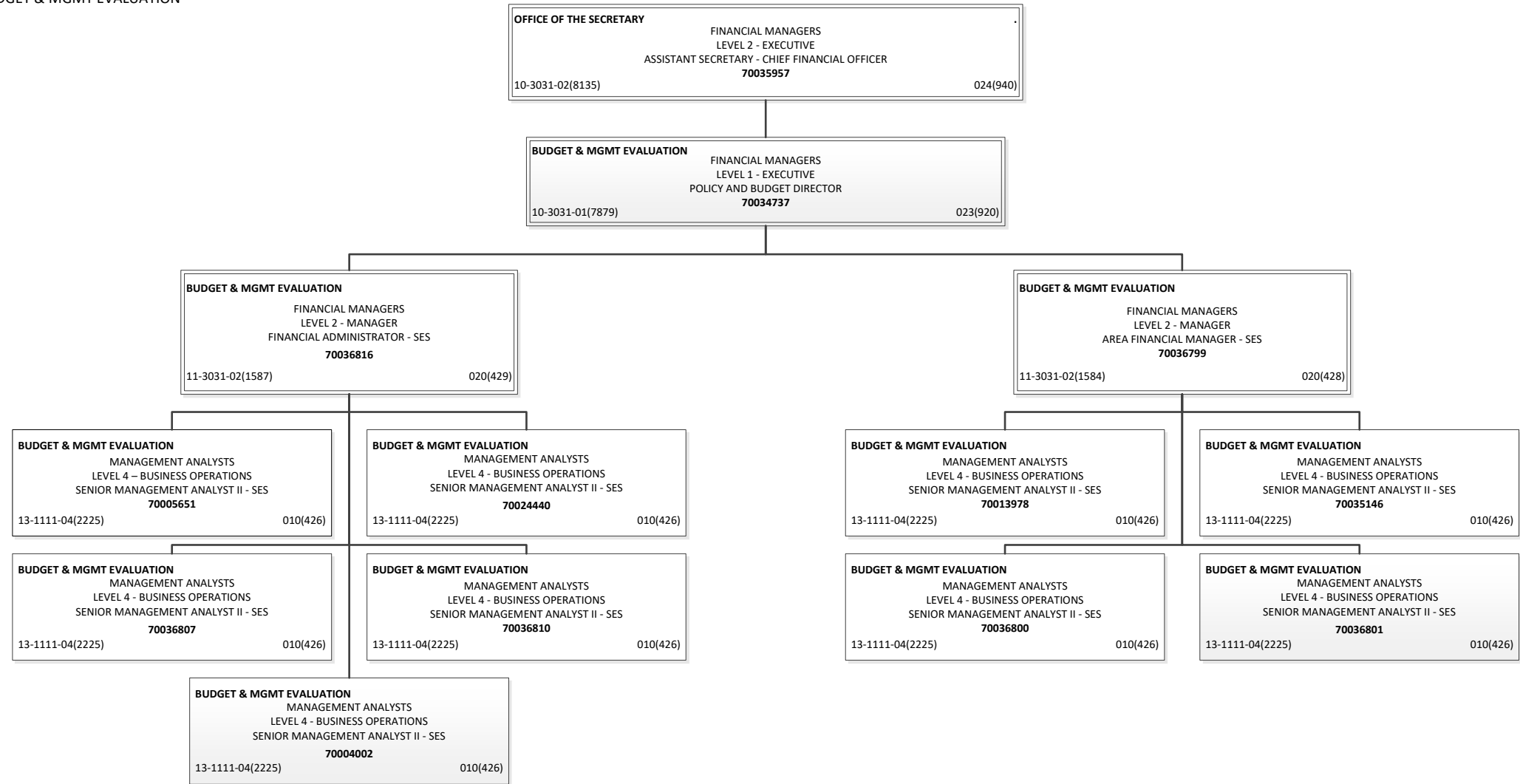
Division/Comparable: CHIEF FINANCIAL OFFICER/PROCUREMENT
Bureau/Comparable: PURCHASING
Bureau/Comparable: CONTRACT ADMINISTRATION



BUDGET

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

CURRENT

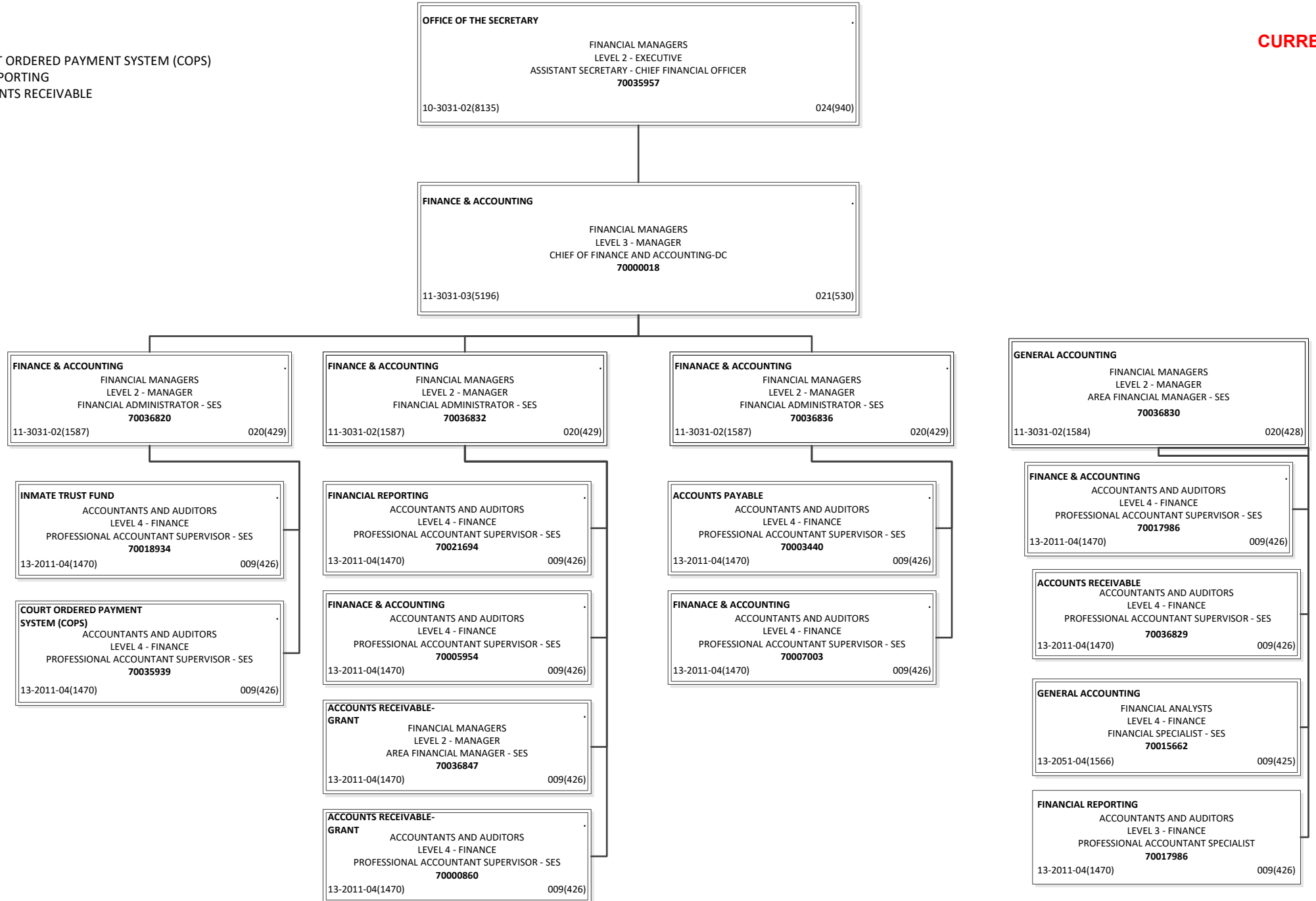


F&A Overview

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

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

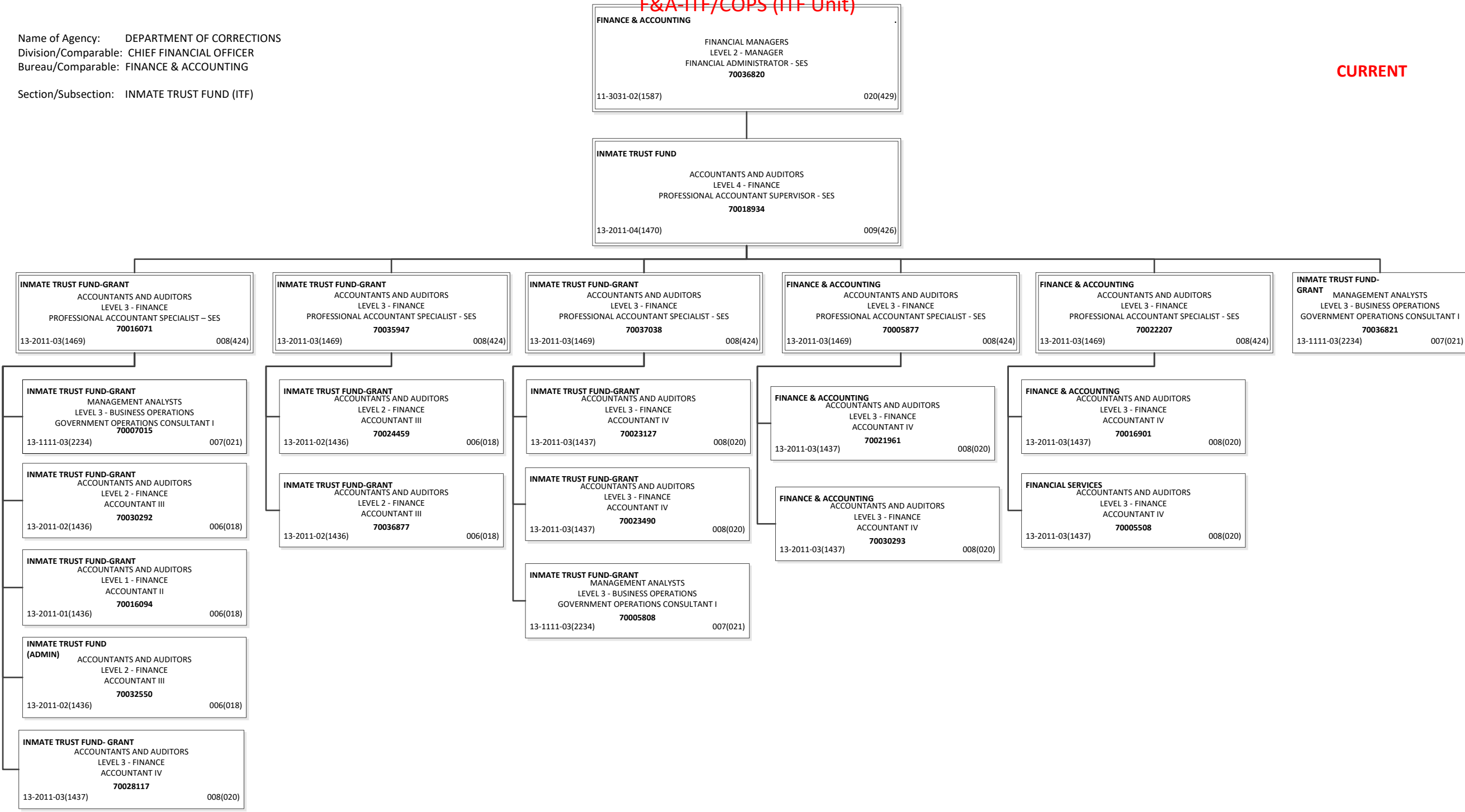
CURRENT



F&A-ITF/COPS (ITF Unit)

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING
 Section/Subsection: INMATE TRUST FUND (ITF)

CURRENT

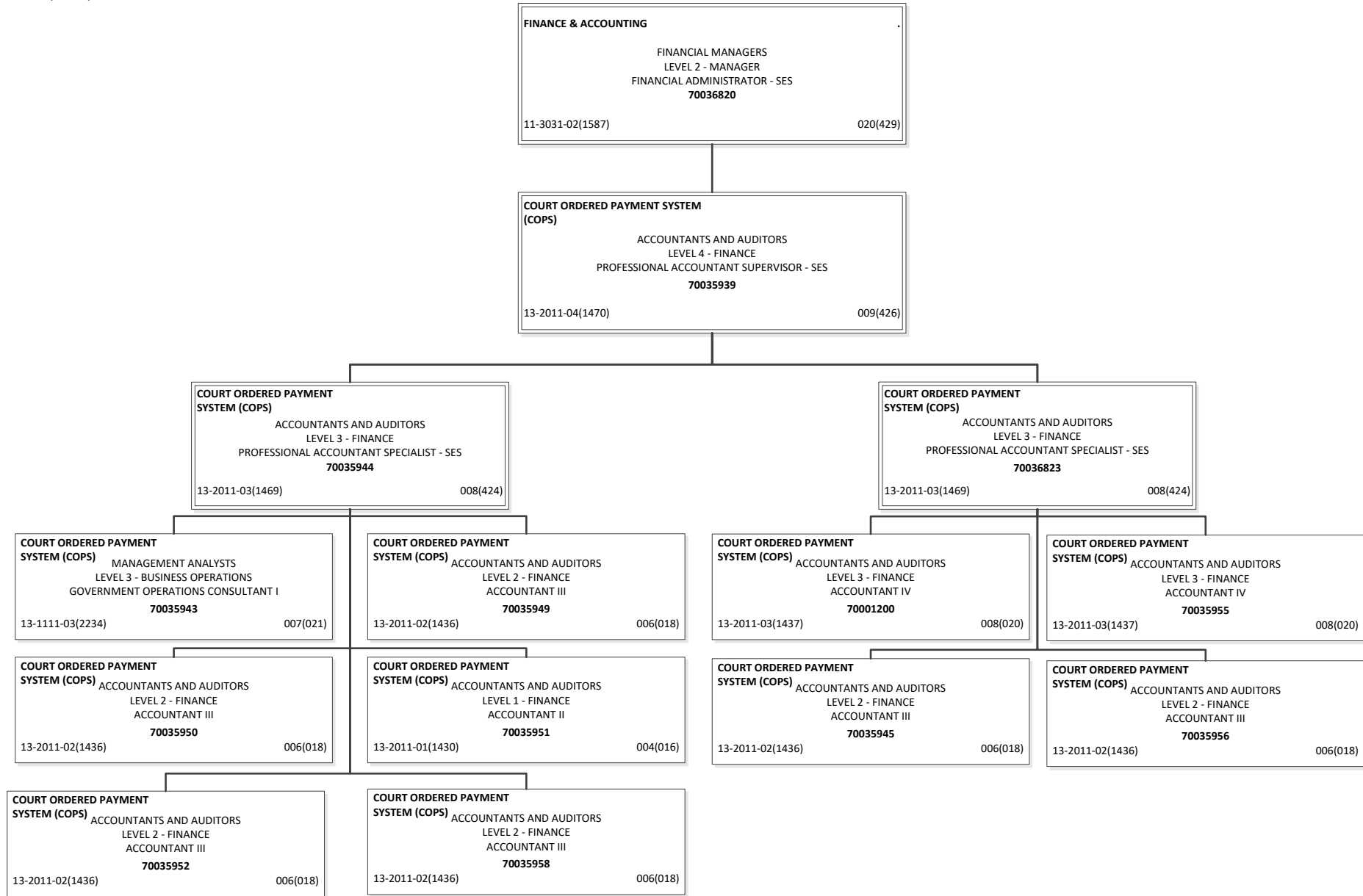


F&A-ITF/COPS (COPS Unit)

CURRENT

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

Section/Subsection: COURT ORDERED PAYMENT SYSTEM (COPS)

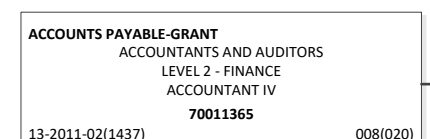
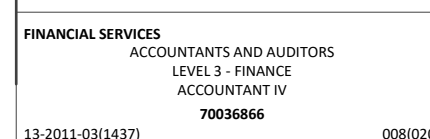
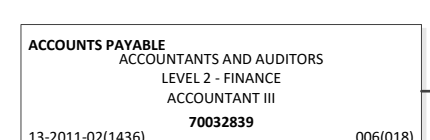
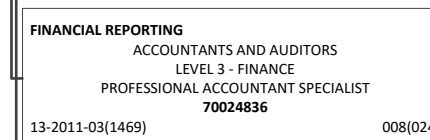
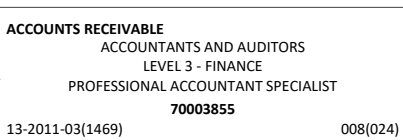
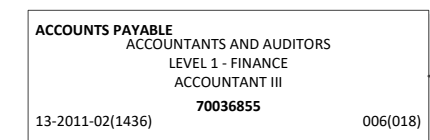
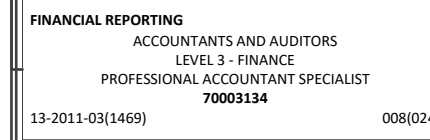
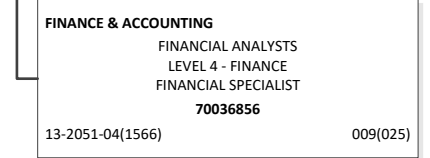
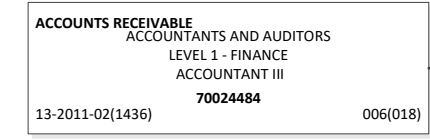
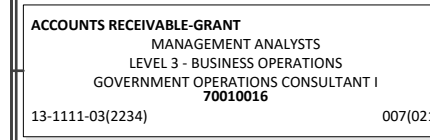
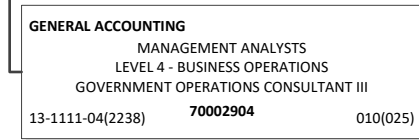
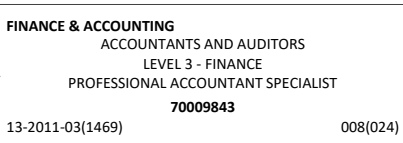
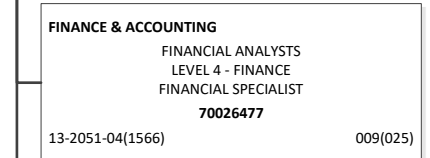
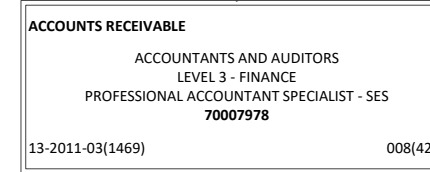
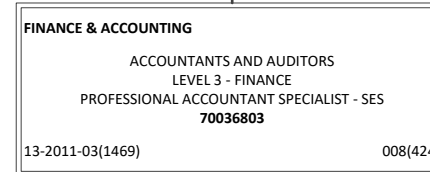
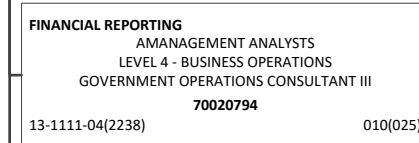
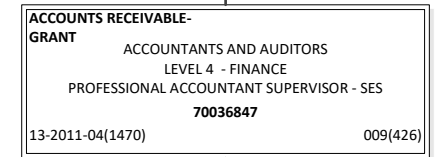
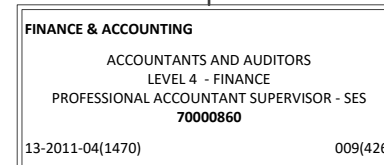
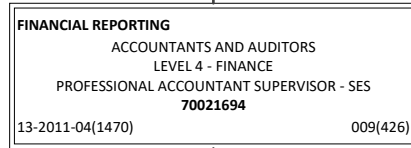
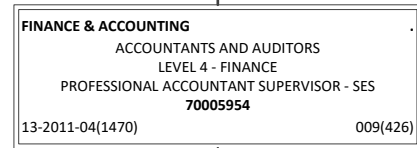


F&A-Financial & Systems Reporting 1/2

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

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

CURRENT

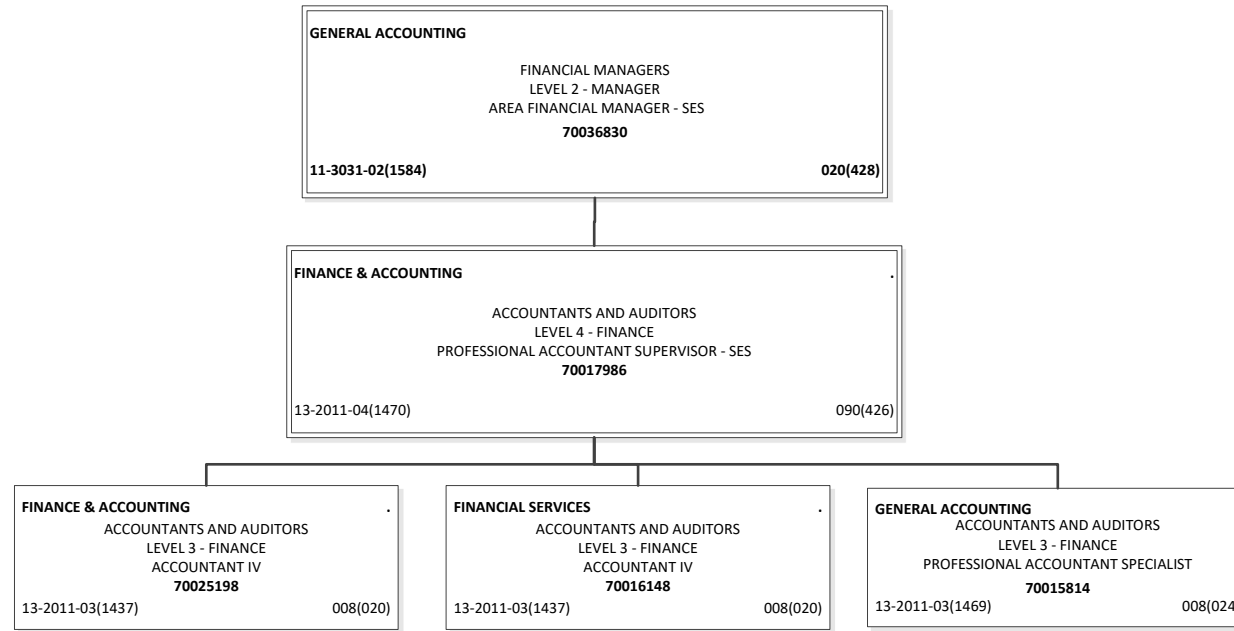


F&A-Property Inv/Field Audit

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

Section/Subsection: PROP INV/FIELD AUDIT

CURRENT

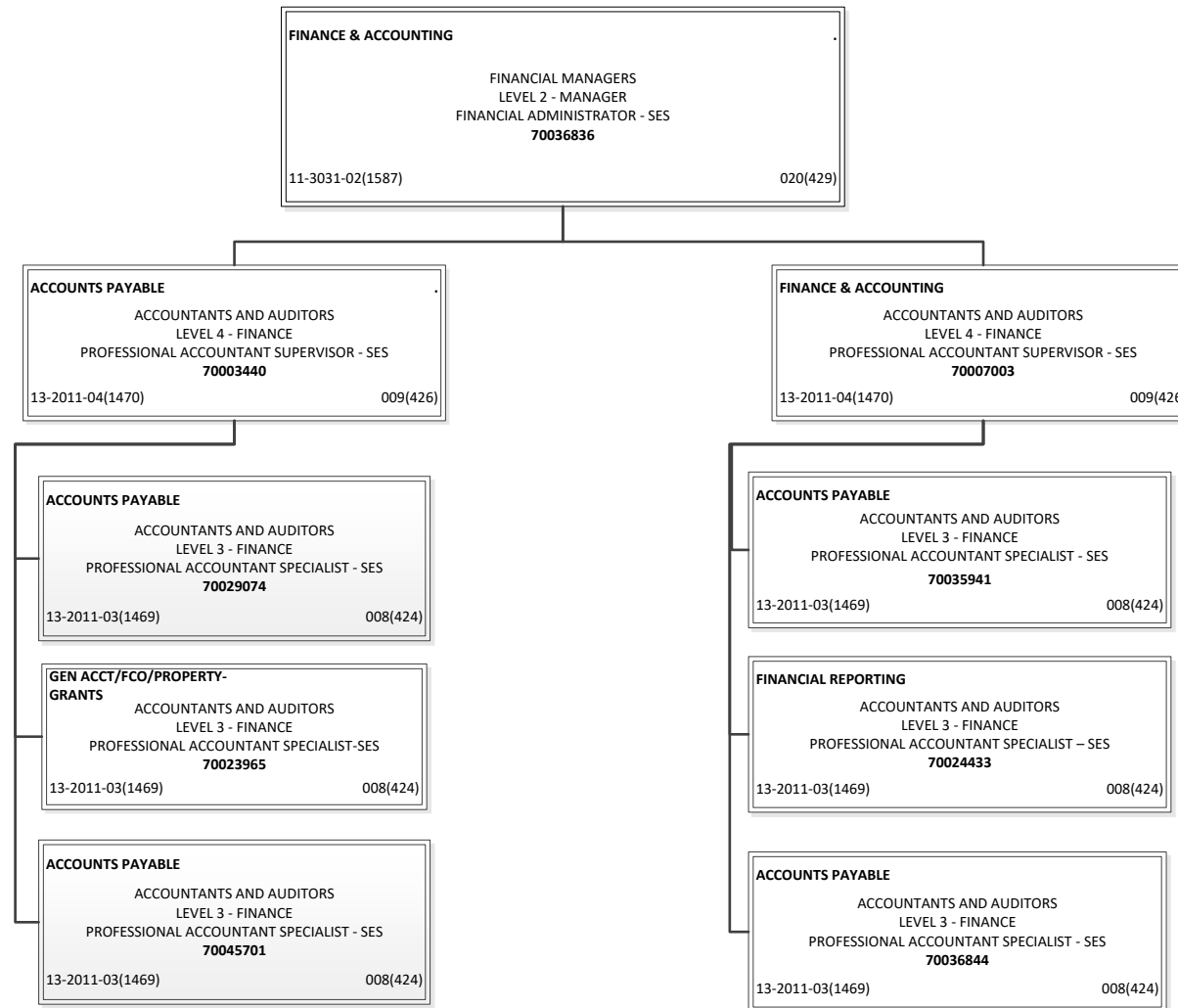


F&A-AP/AR Overview

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

Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE

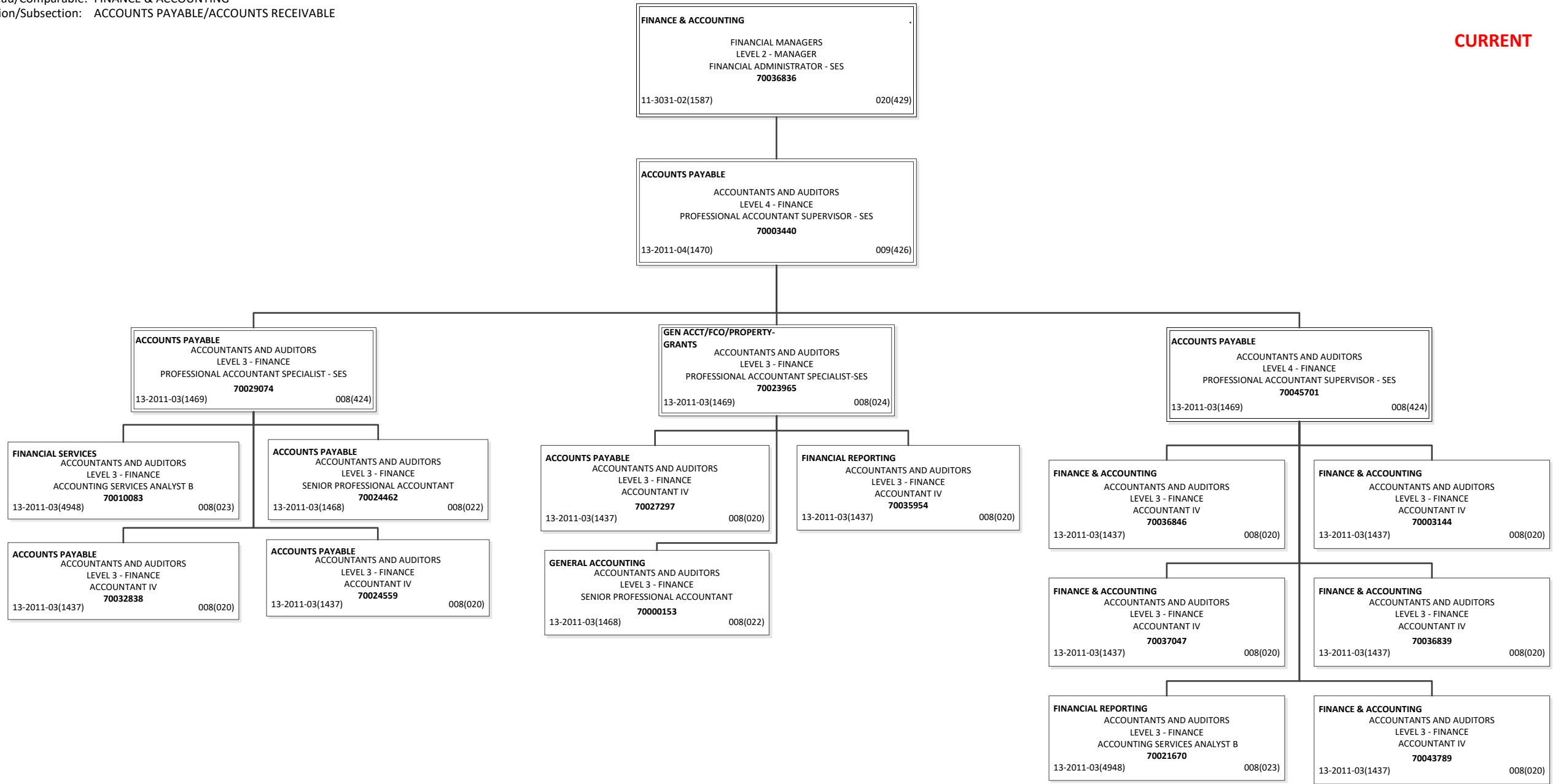
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Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF FINANCIAL OFFICER
 Bureau/Comparable: FINANCE & ACCOUNTING
 Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE

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

CURRENT



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

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

CURRENT

Section/Subsection: ACCOUNTS PAYABLE/ACCOUNTS RECEIVABLE

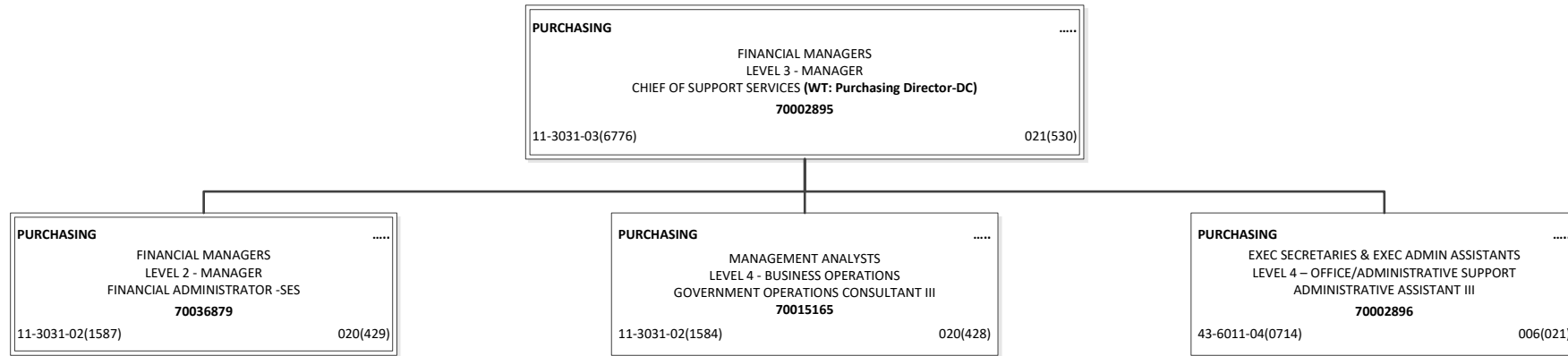


PROCUREMENT

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

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

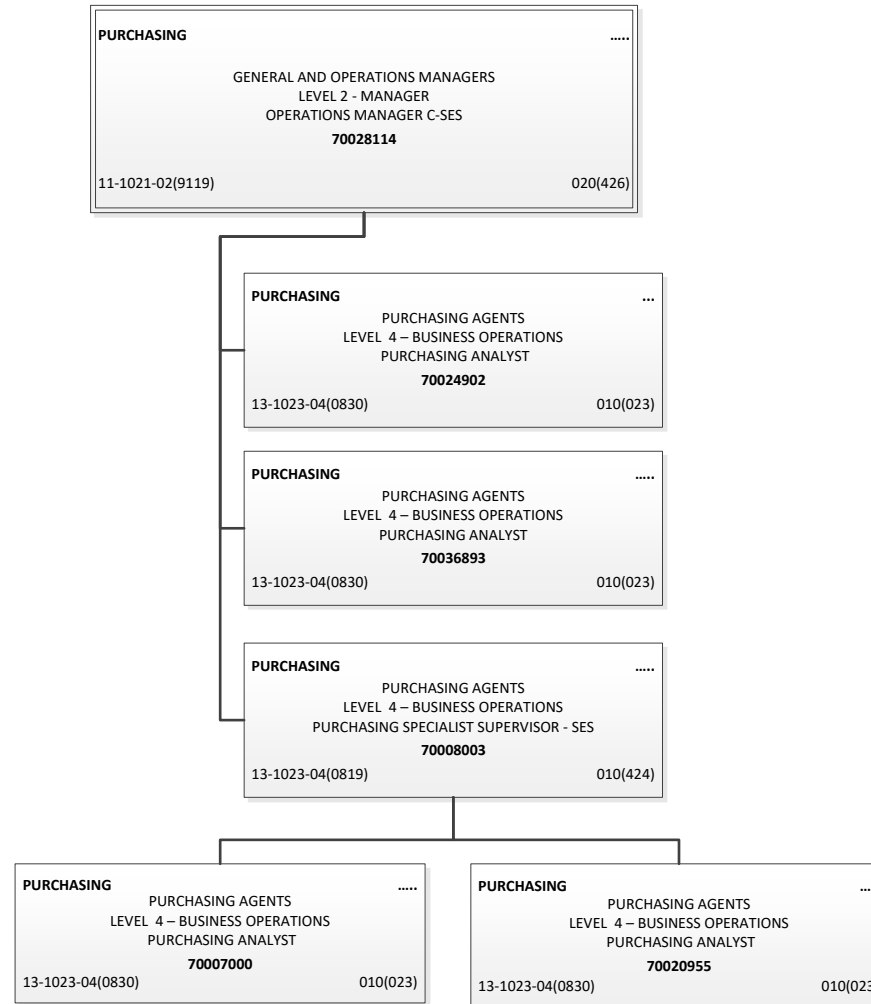
CURRENT



CONTRACT ADMINISTRATION

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

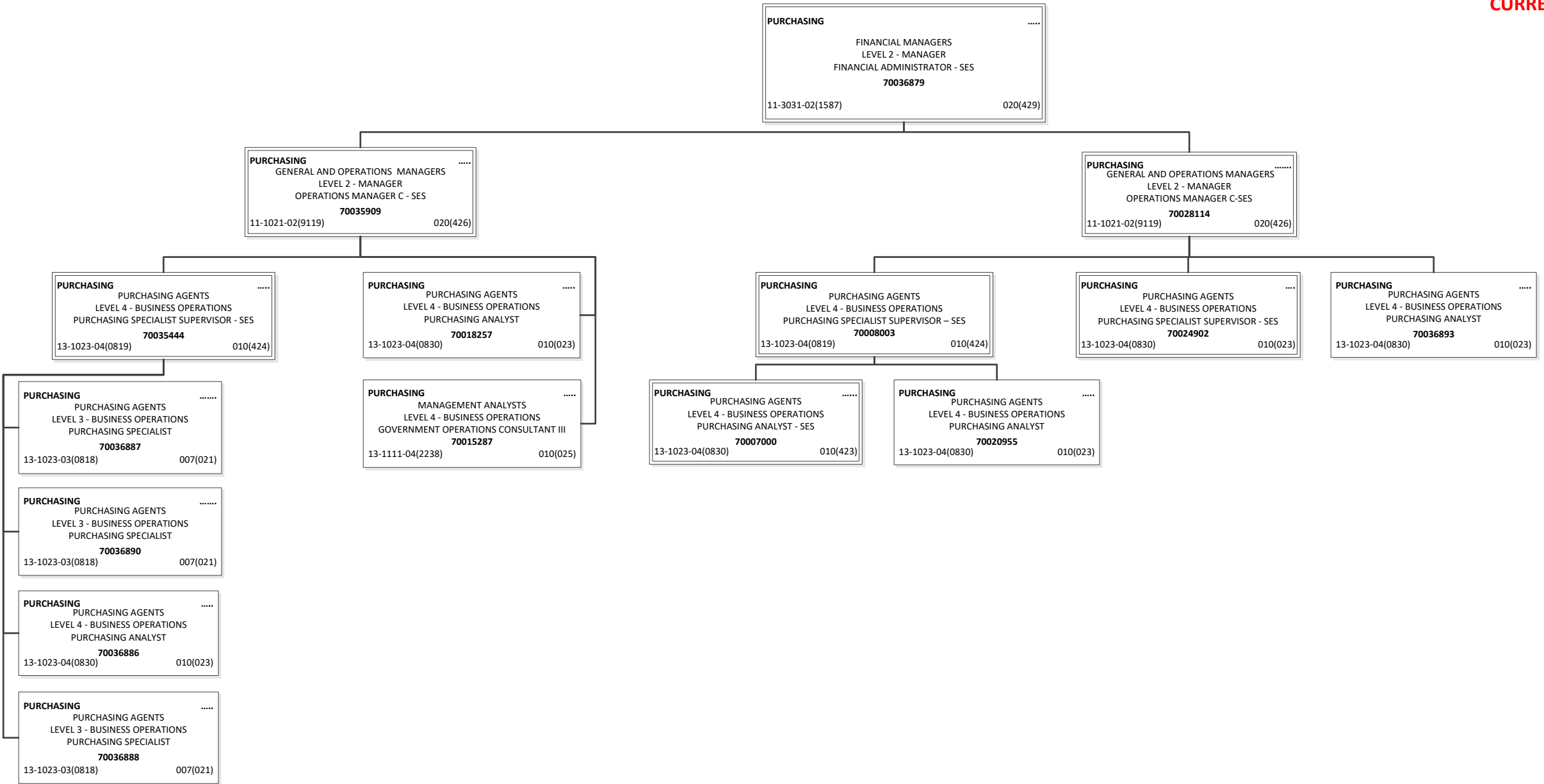
CURRENT



Purchasing (36879)

CURRENT

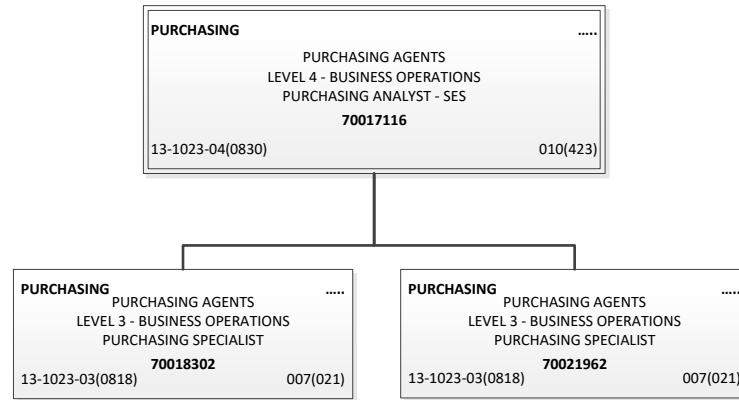
Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/BUREAU OF PROCUREMENT
Bureau/Comparable: **PROCUREMENT**
Section/Subsection: **PURCHASING**



Purchasing (17116)

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

CURRENT



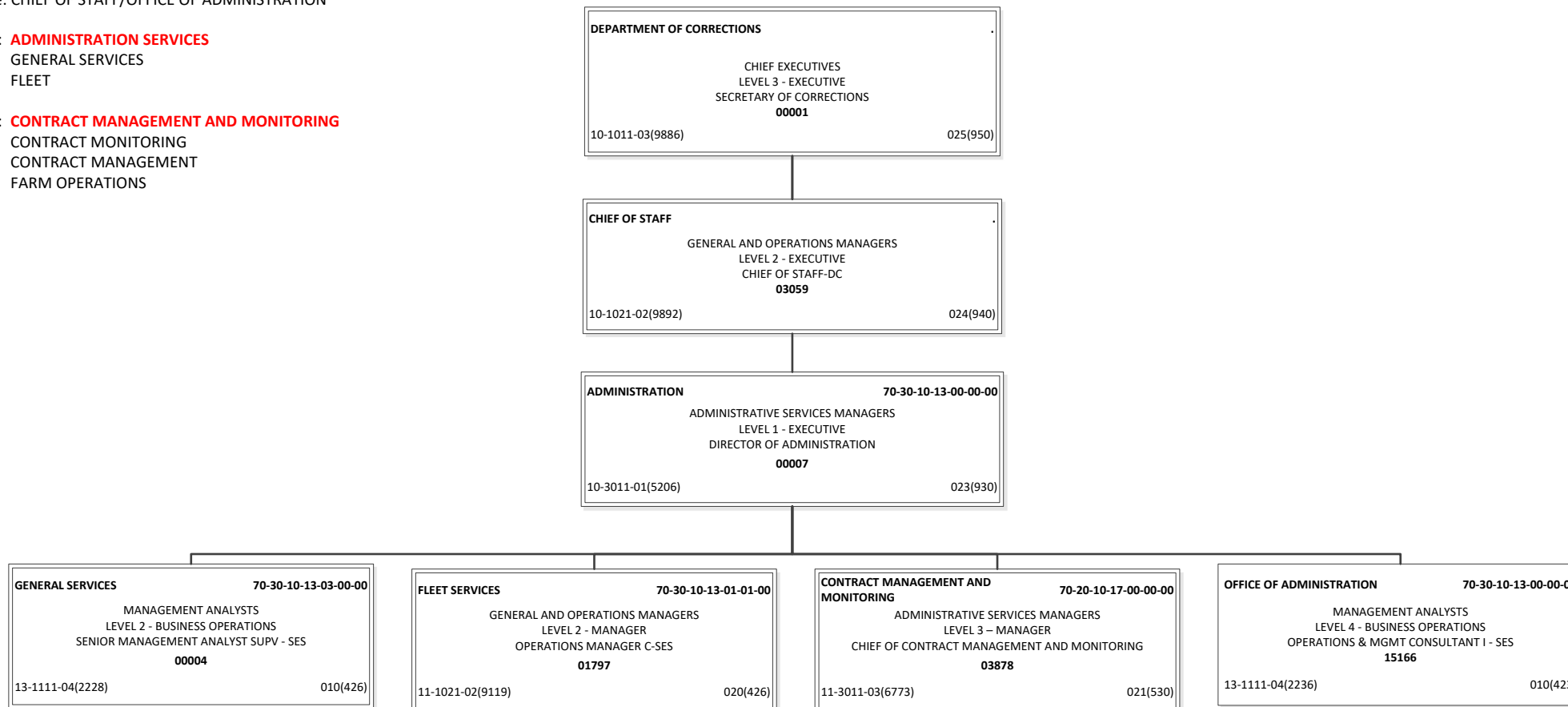
OFFICE OF ADMINISTRATION (OVERVIEW)

CURRENT

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

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

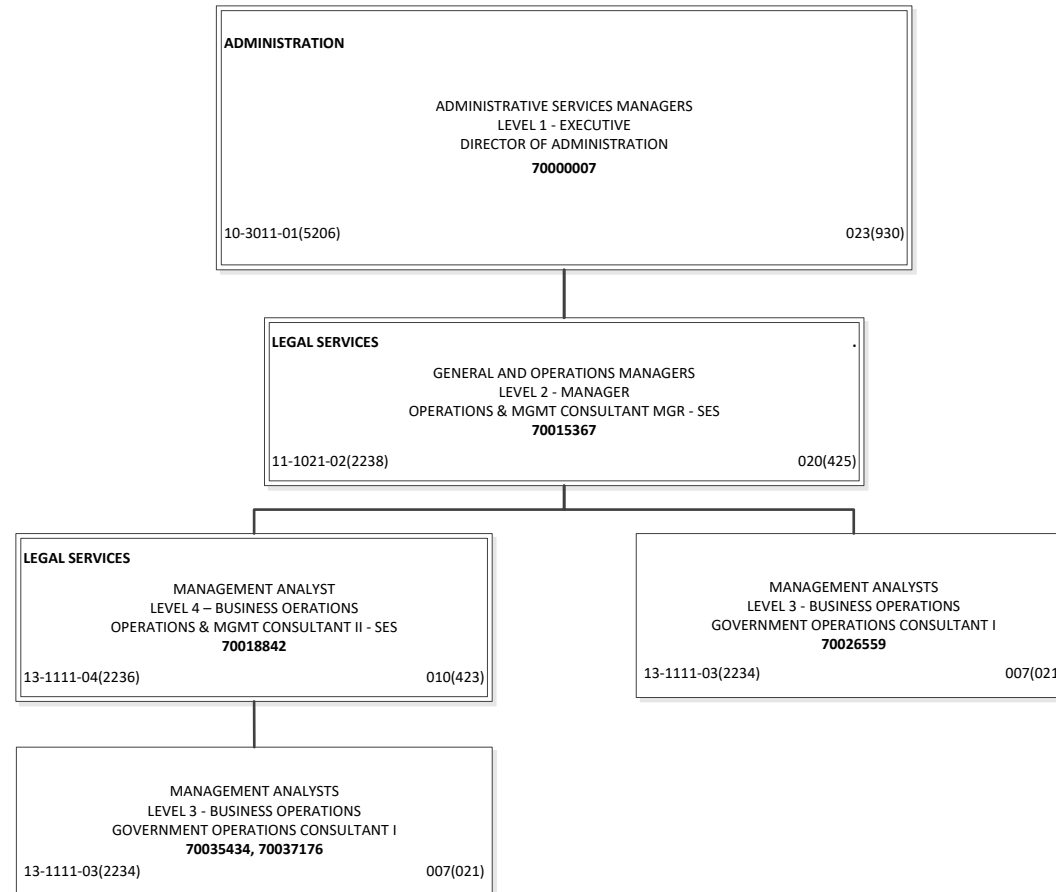
Bureau/Comparable: **CONTRACT MANAGEMENT AND MONITORING**
 Section/Subsection: CONTRACT MONITORING
 Section/Subsection: CONTRACT MANAGEMENT
 Subsection: FARM OPERATIONS



LEGAL SERVICES

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

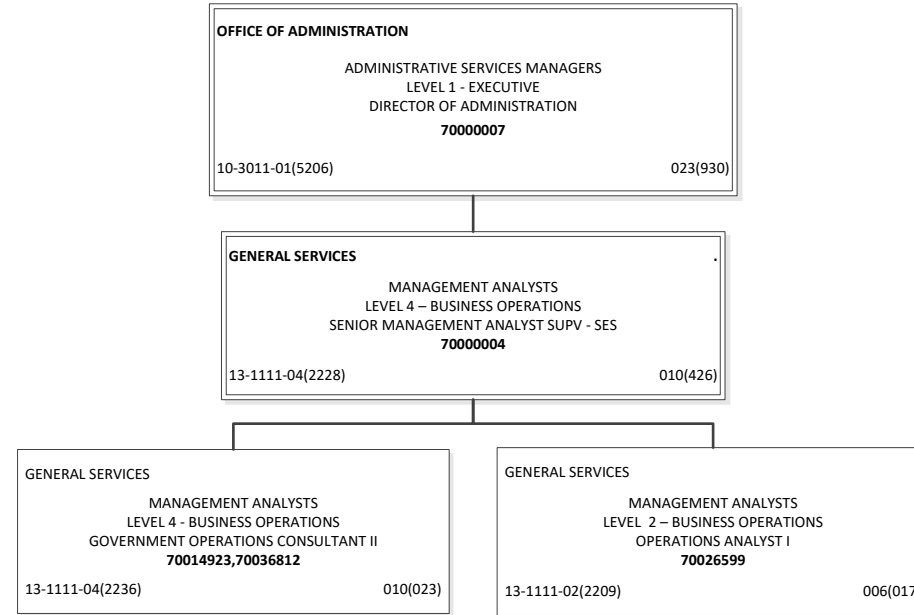
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GENERAL SERVICES

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

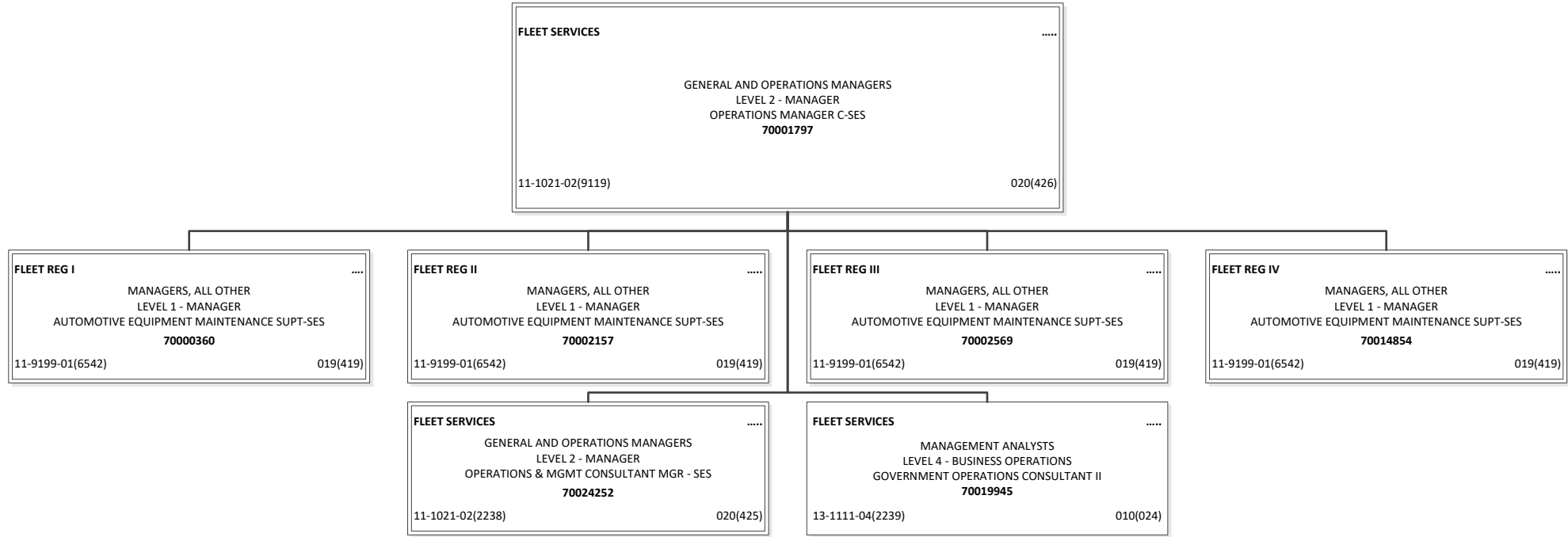
CURRENT



FLEET SERVICES OVERVIEW

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

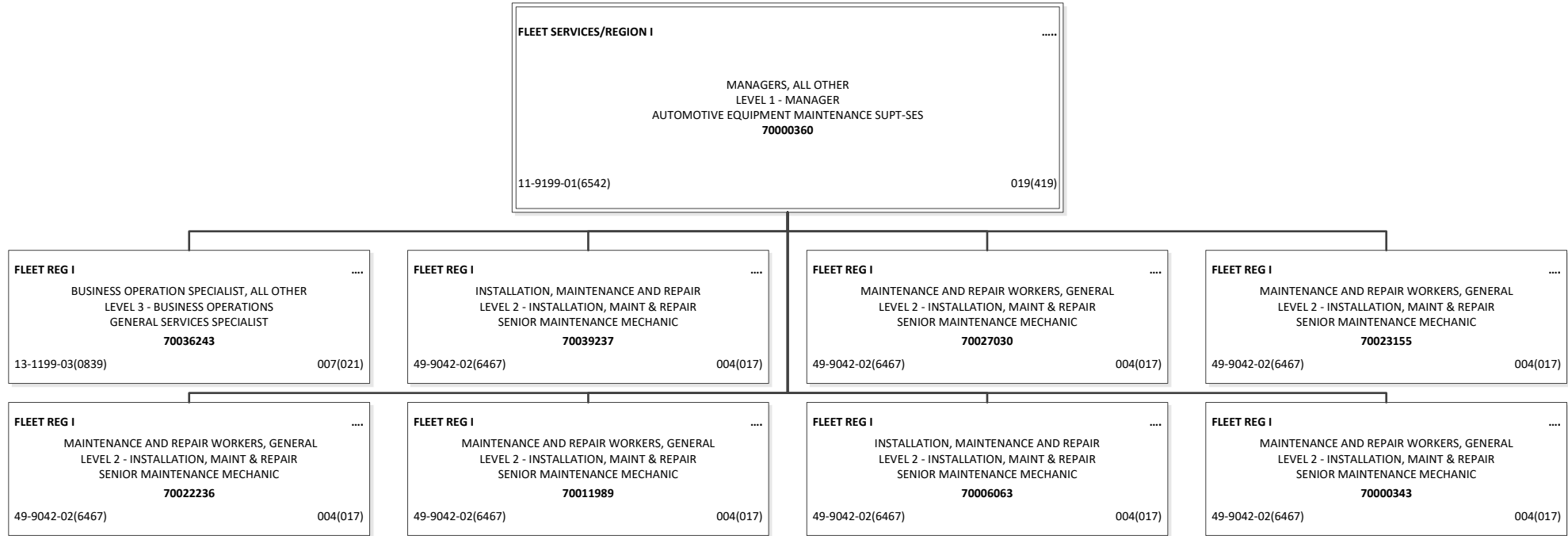
CURRENT



FLEET REG I

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

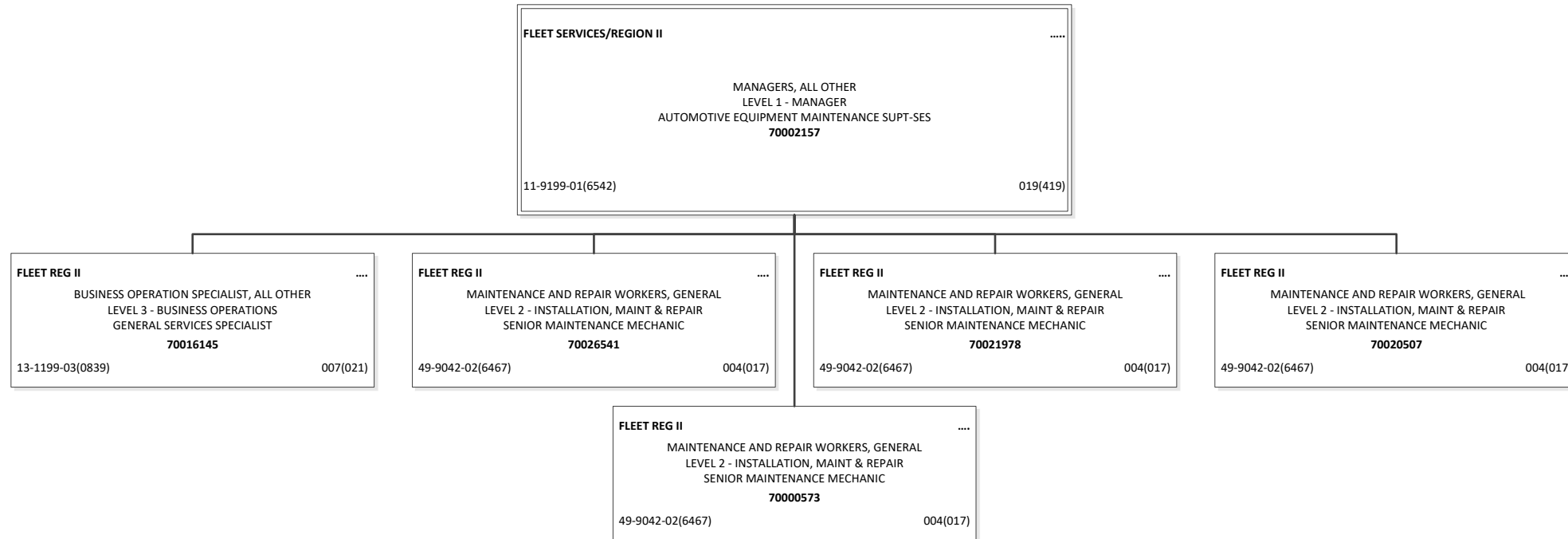
CURRENT



FLET REG II

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

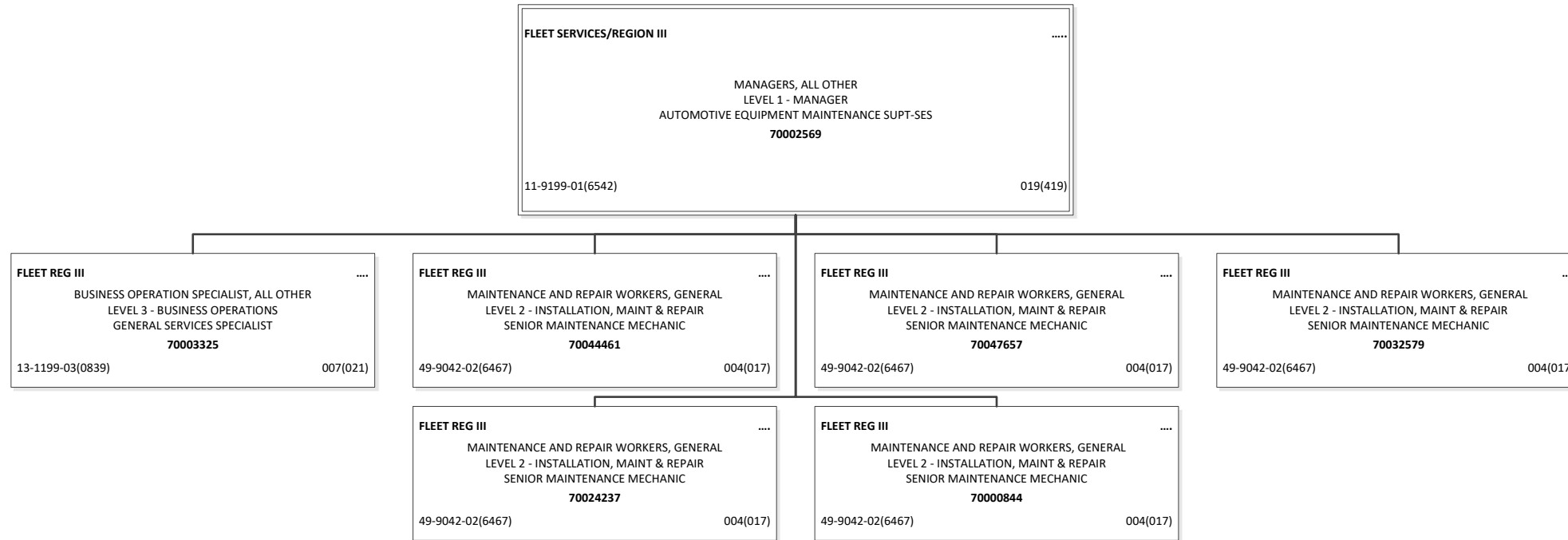
CURRENT



FLEET REG III

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

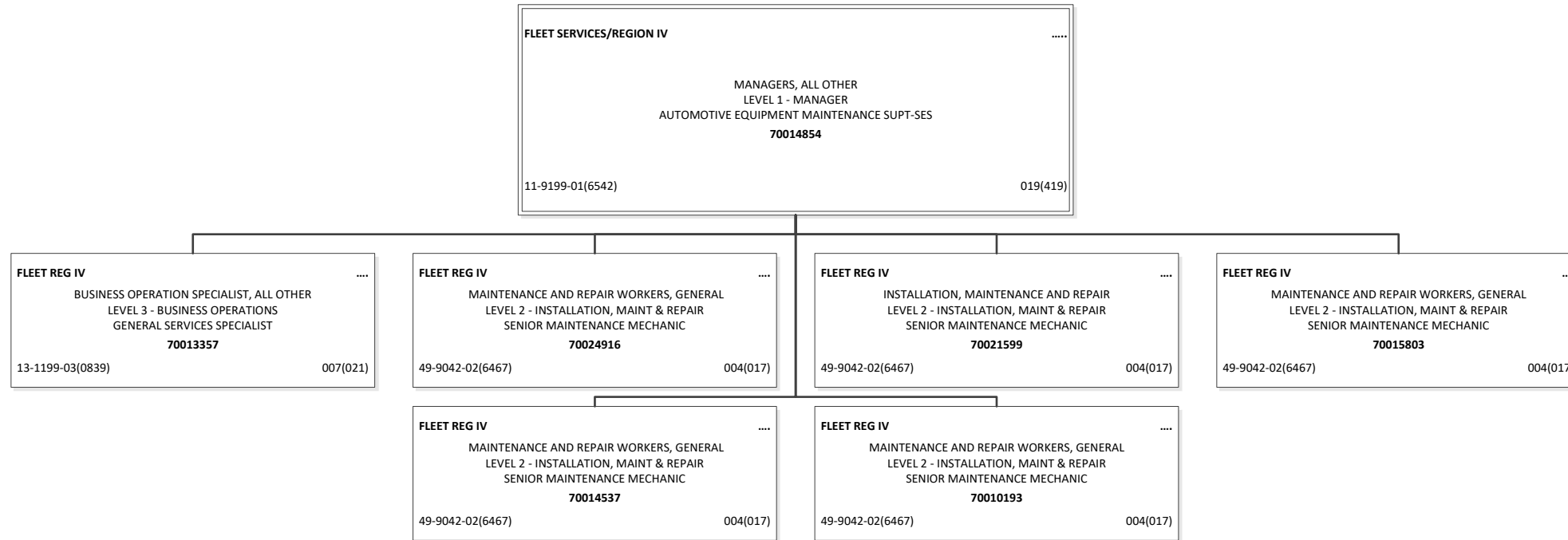
CURRENT



FLEET REG IV

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

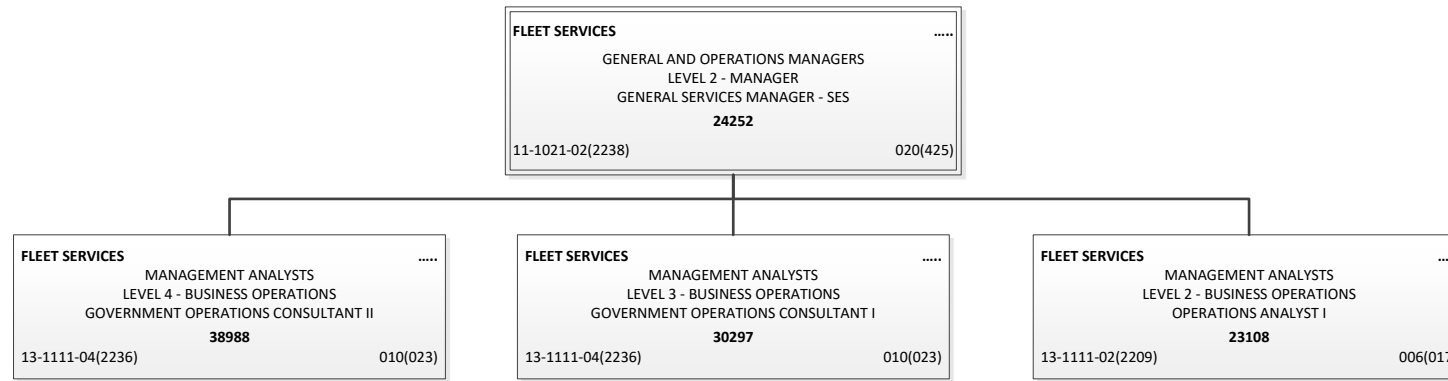
CURRENT



FLEET SERVICES

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

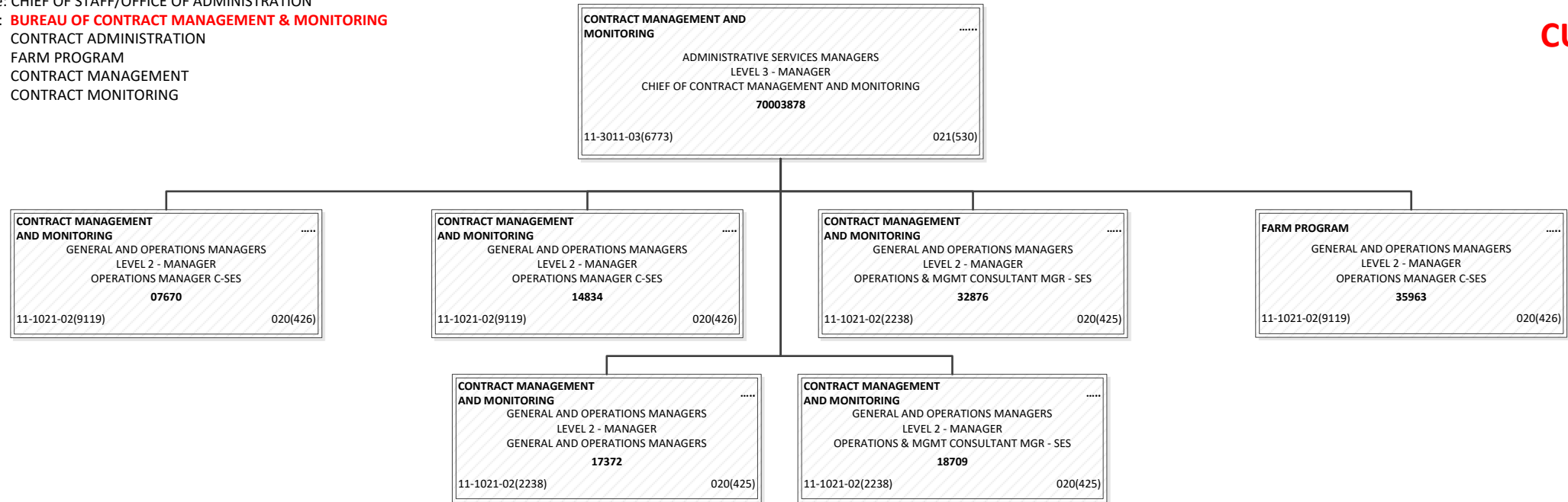
CURRENT



CONTRACT MANAGEMENT & MONITORING OVERVIEW

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

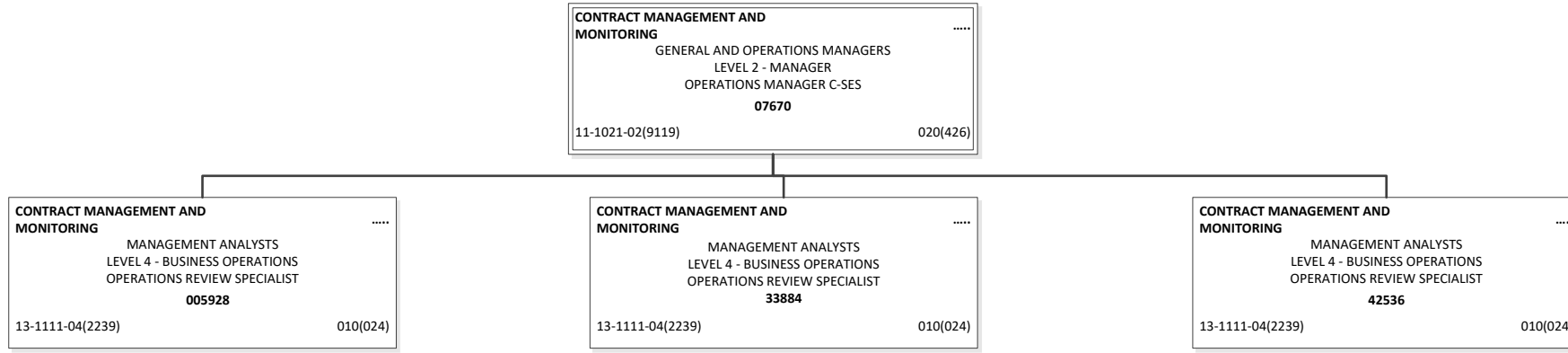
CURRENT



CONTRACT MANAGEMENT

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

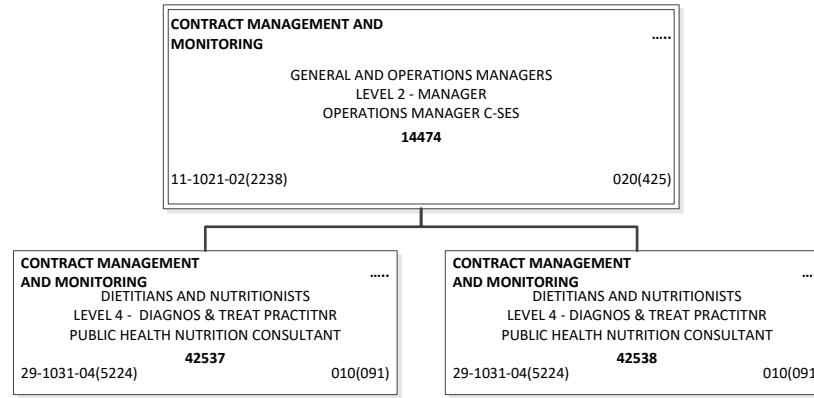
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CONTRACT MANAGEMENT (14474)

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

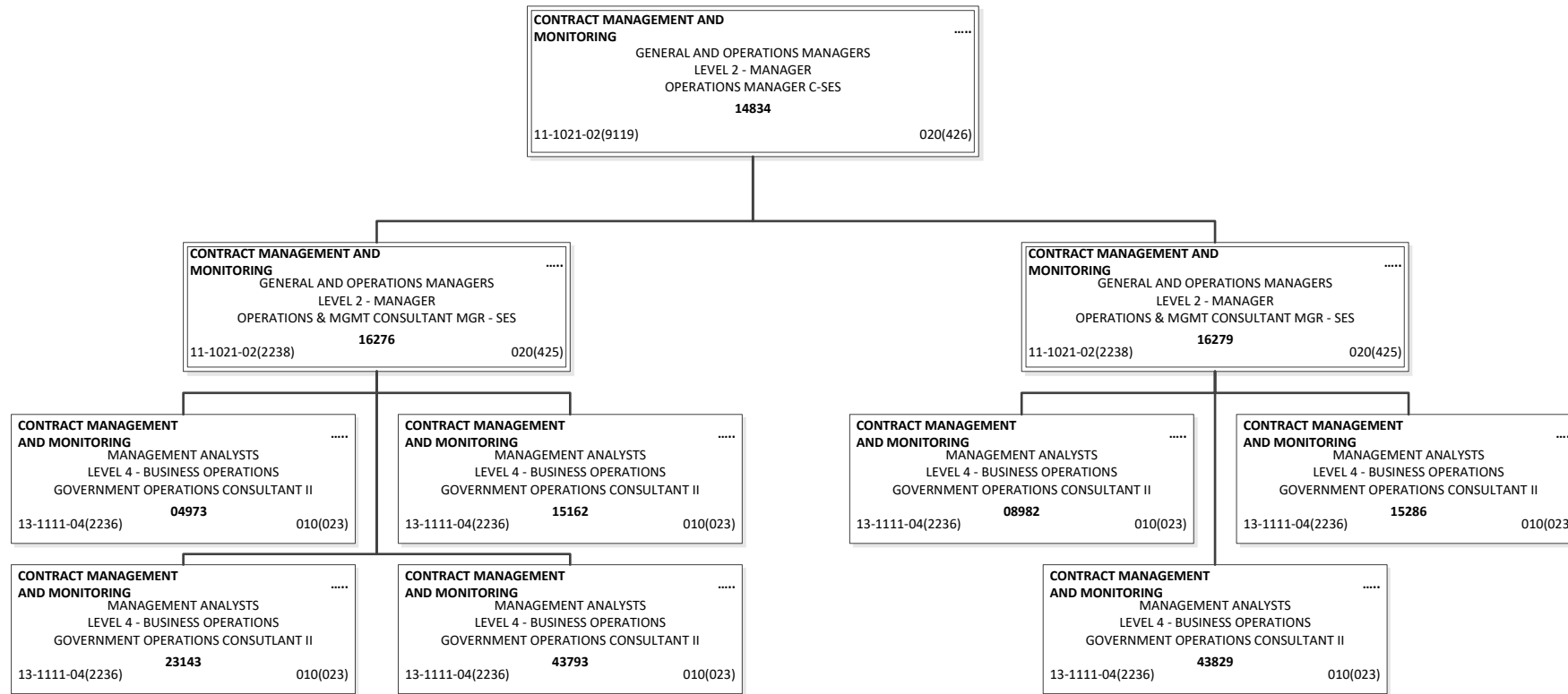
CURRENT



CONTRACT FIELD MONITORING

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

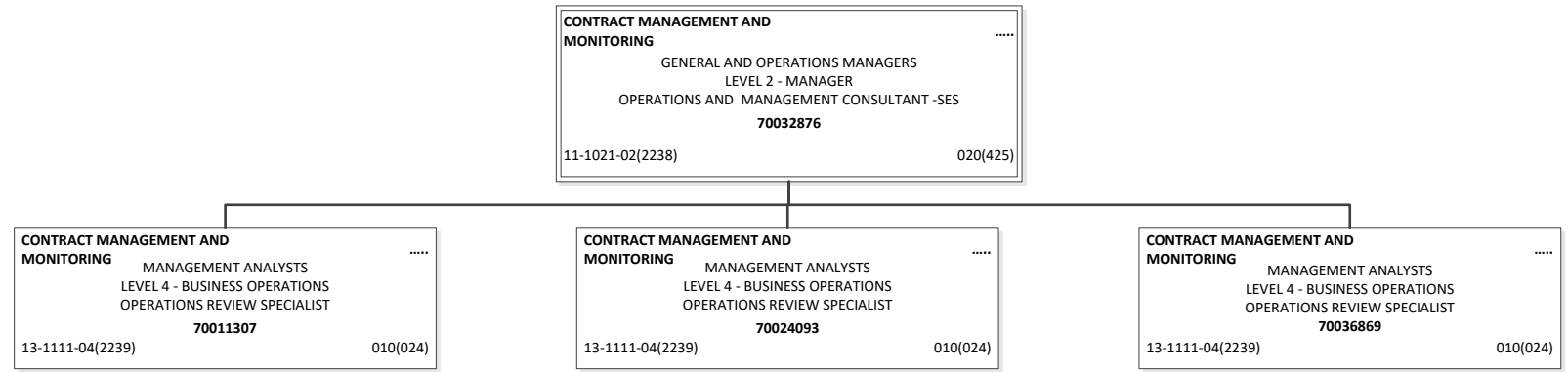
CURRENT



CONTRACT MANAGEMENT (32876)

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

CURRENT



FARM PROGRAMS

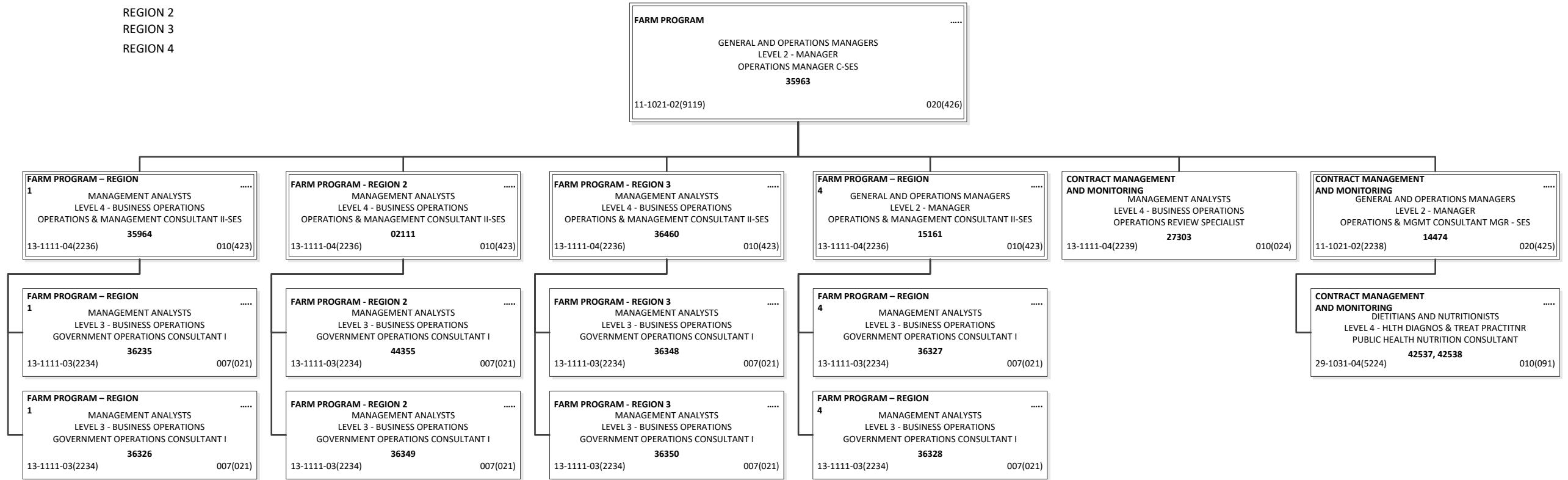
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/OFFICE OF ADMINISTRATION

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

CURRENT

Section/Subsection: FARM PROGRAM

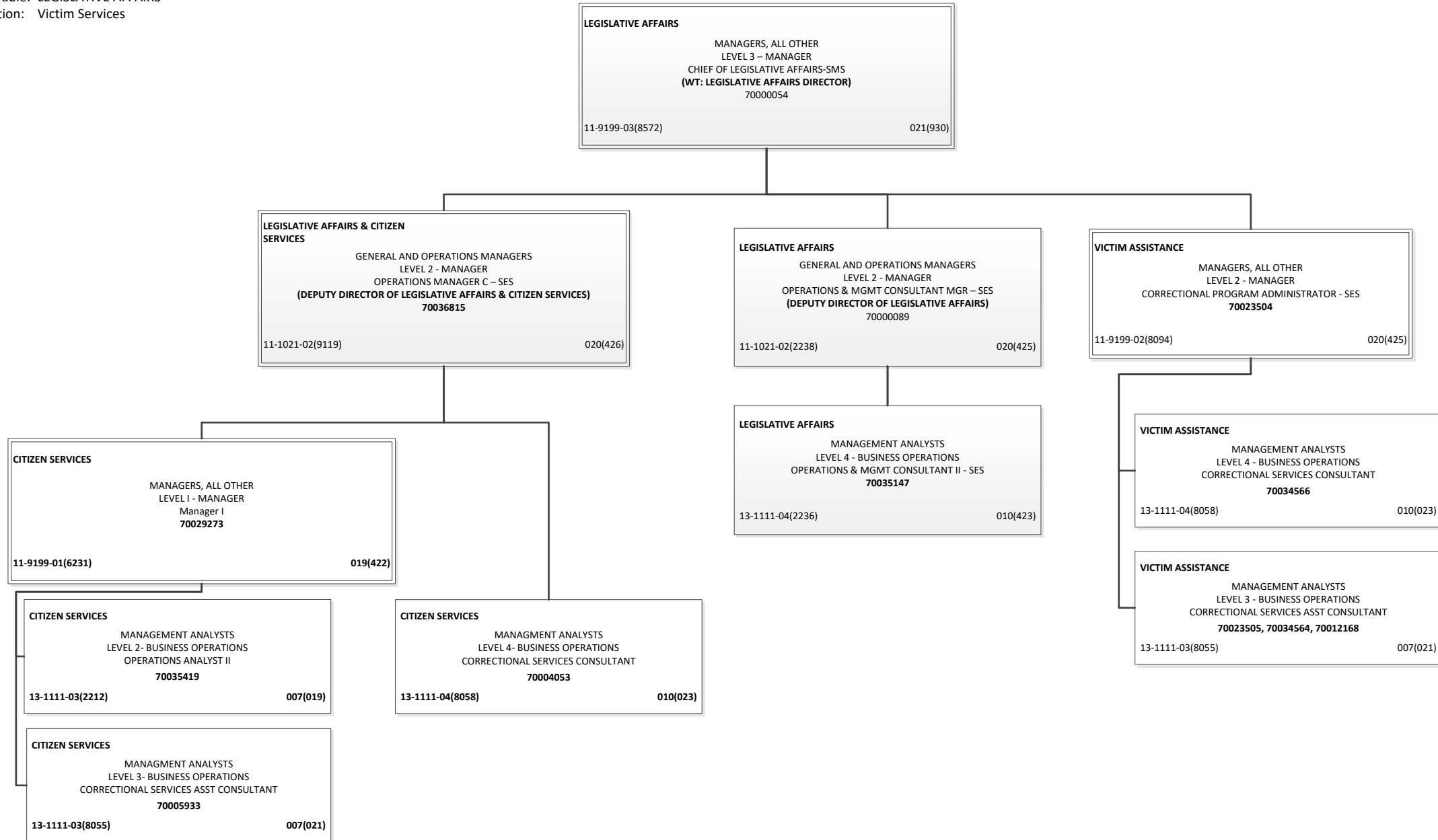
- REGION 1
- REGION 2
- REGION 3
- REGION 4



LEGISLATIVE AFFAIRS

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

CURRENT

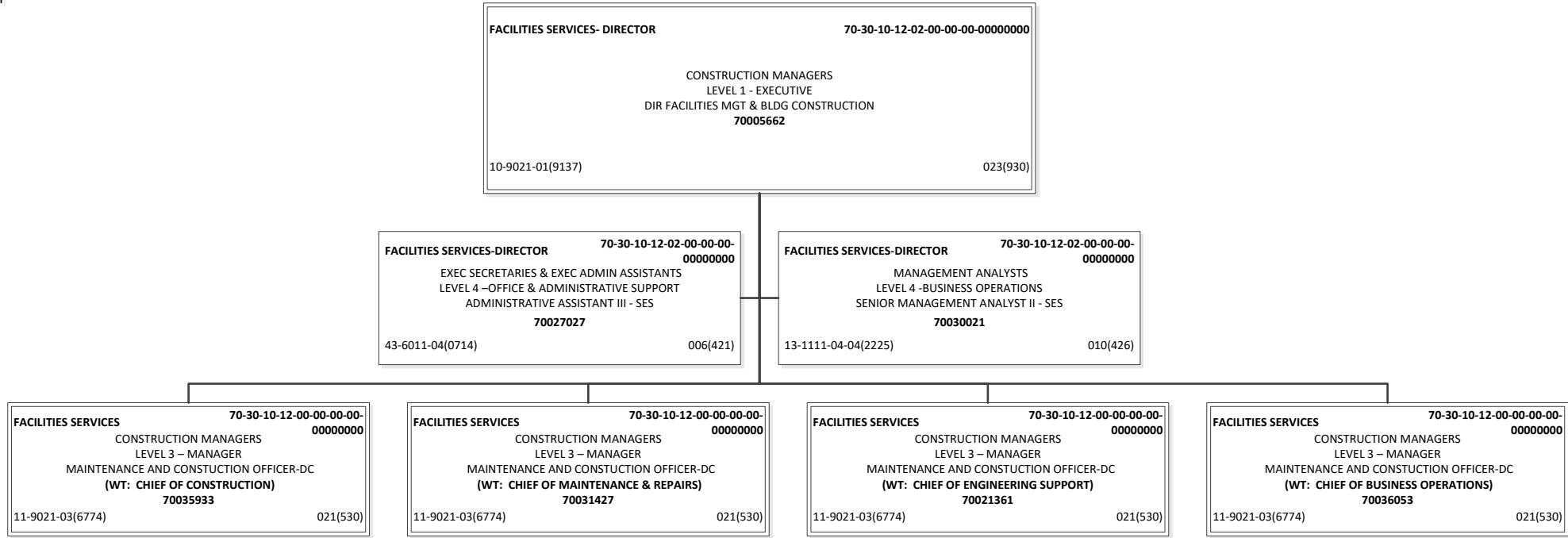


FACILITIES - Overview

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

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

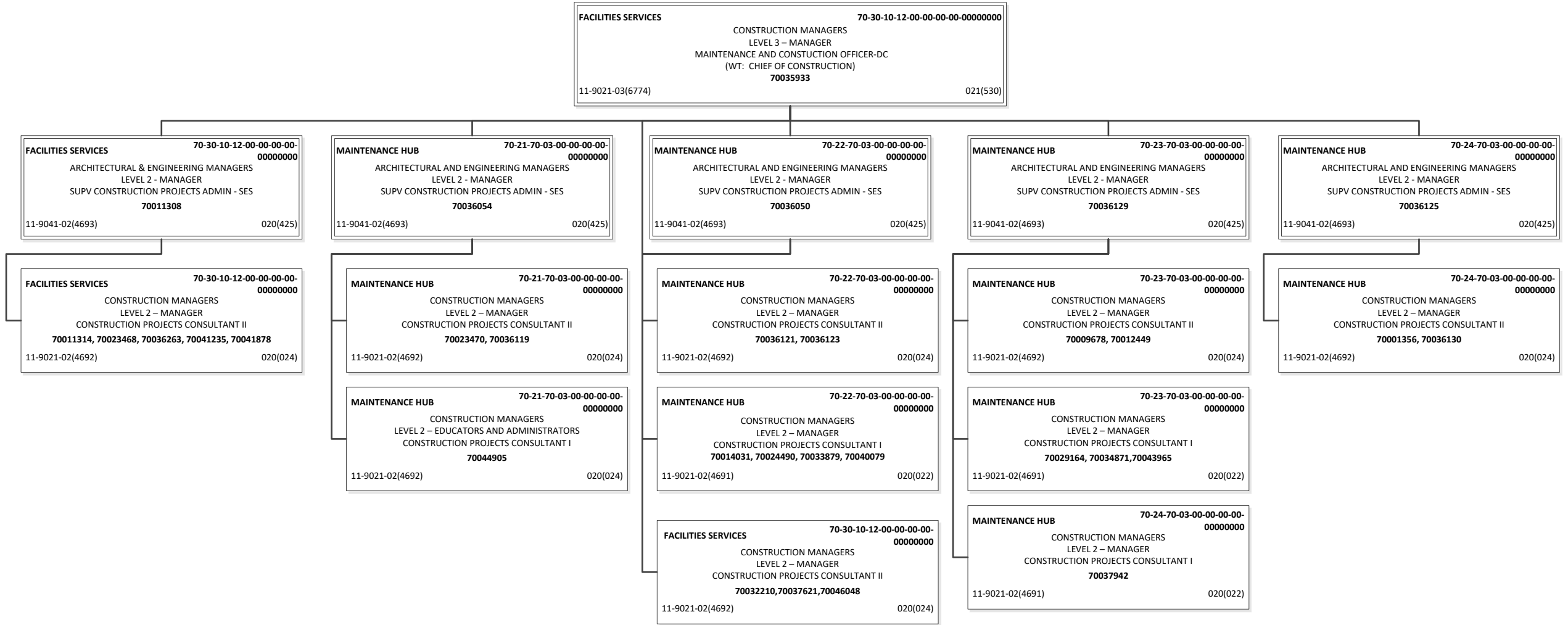
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CONSTRUCTION

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

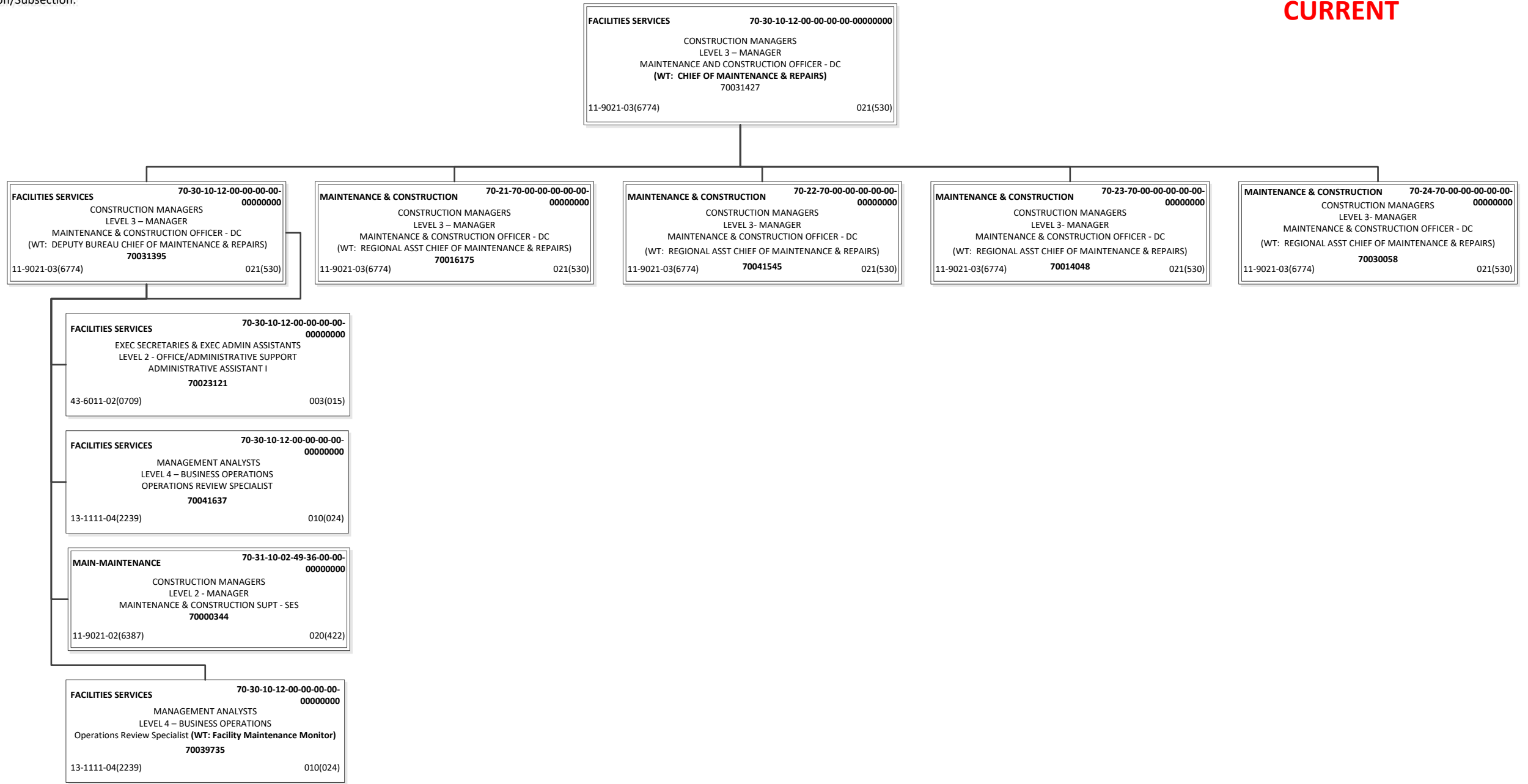
CURRENT



MAINT & REPAIRS - Overview

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

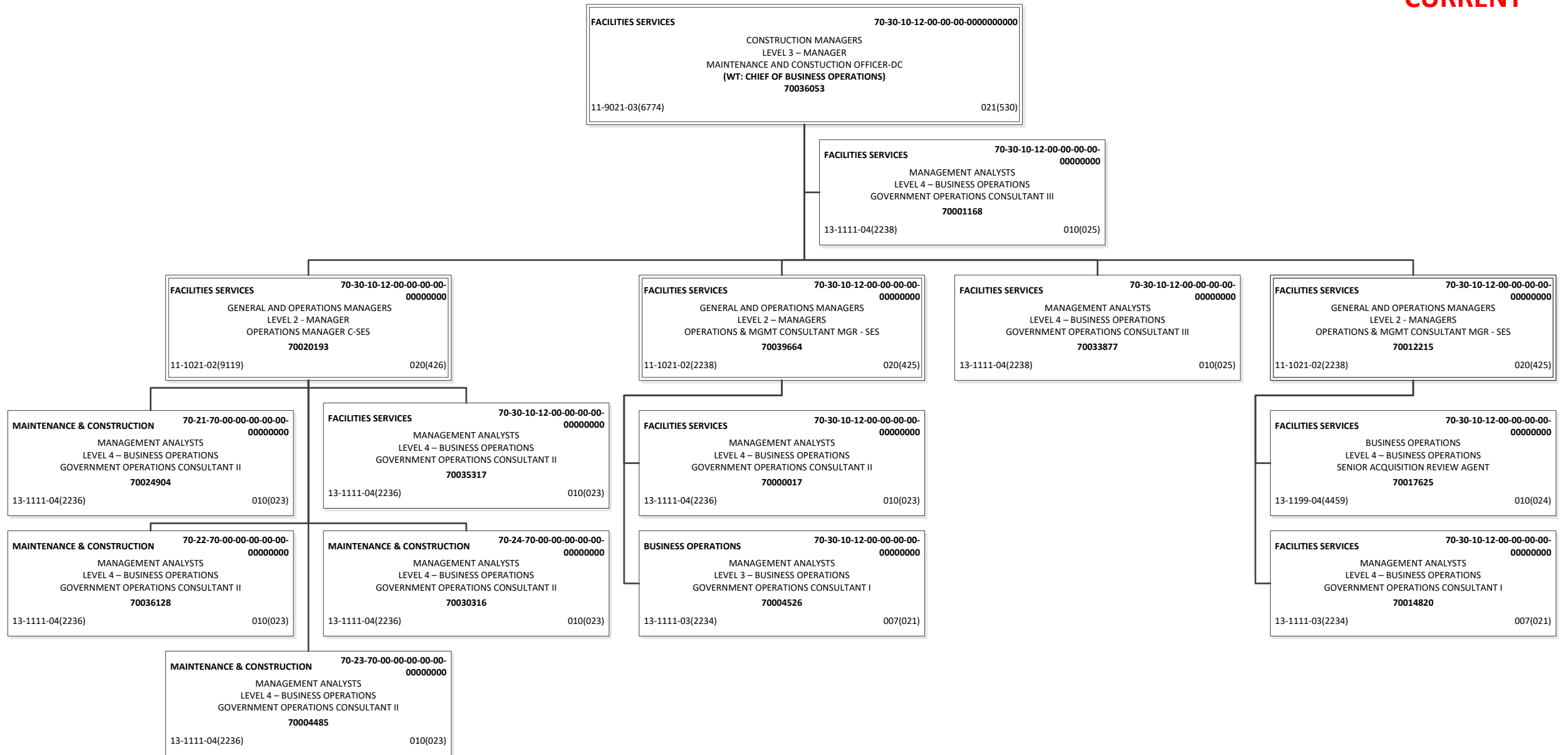
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BUSINESS OPERATIONS

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

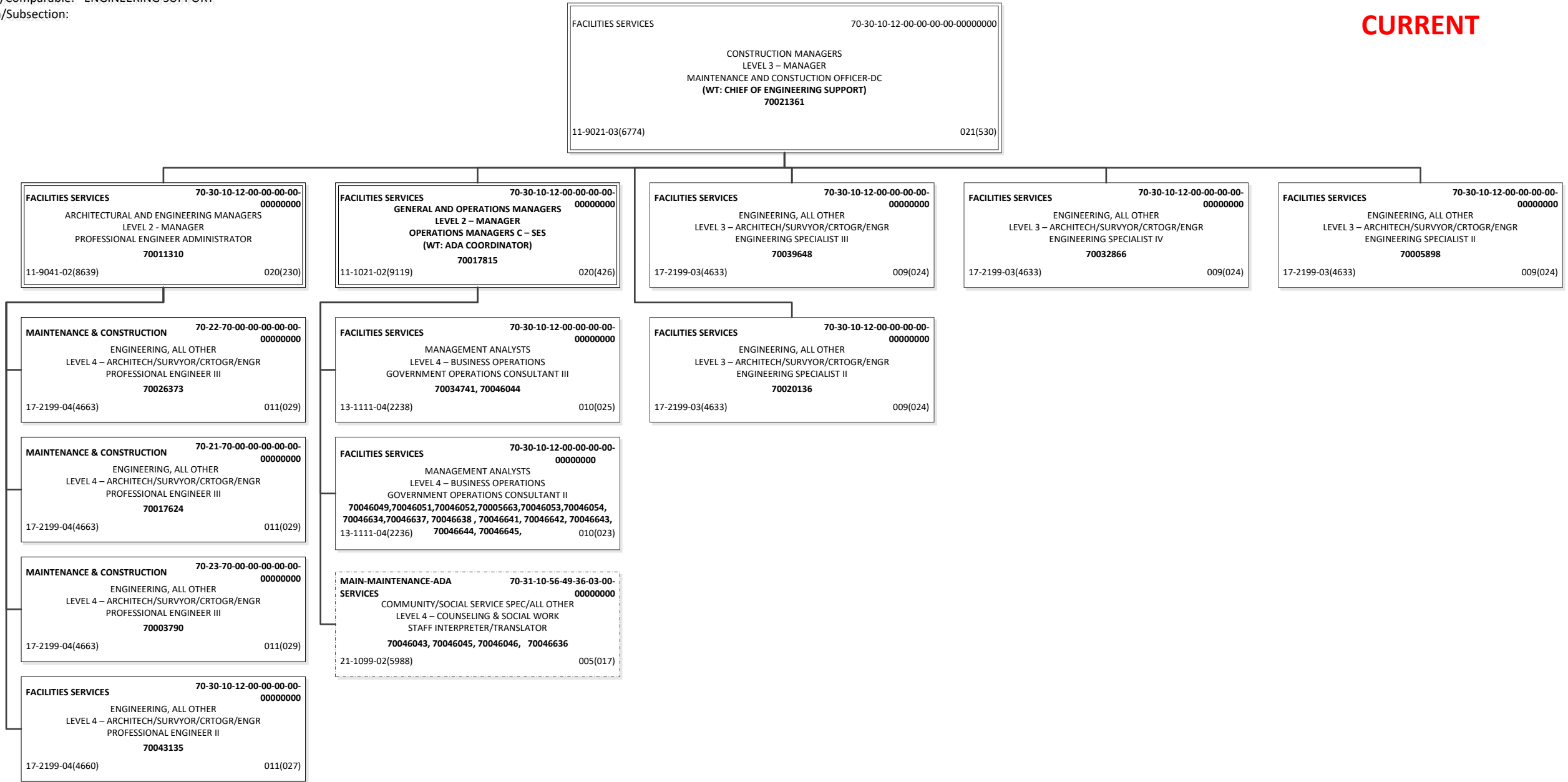
CURRENT



ENGINEERING SUPPORT

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

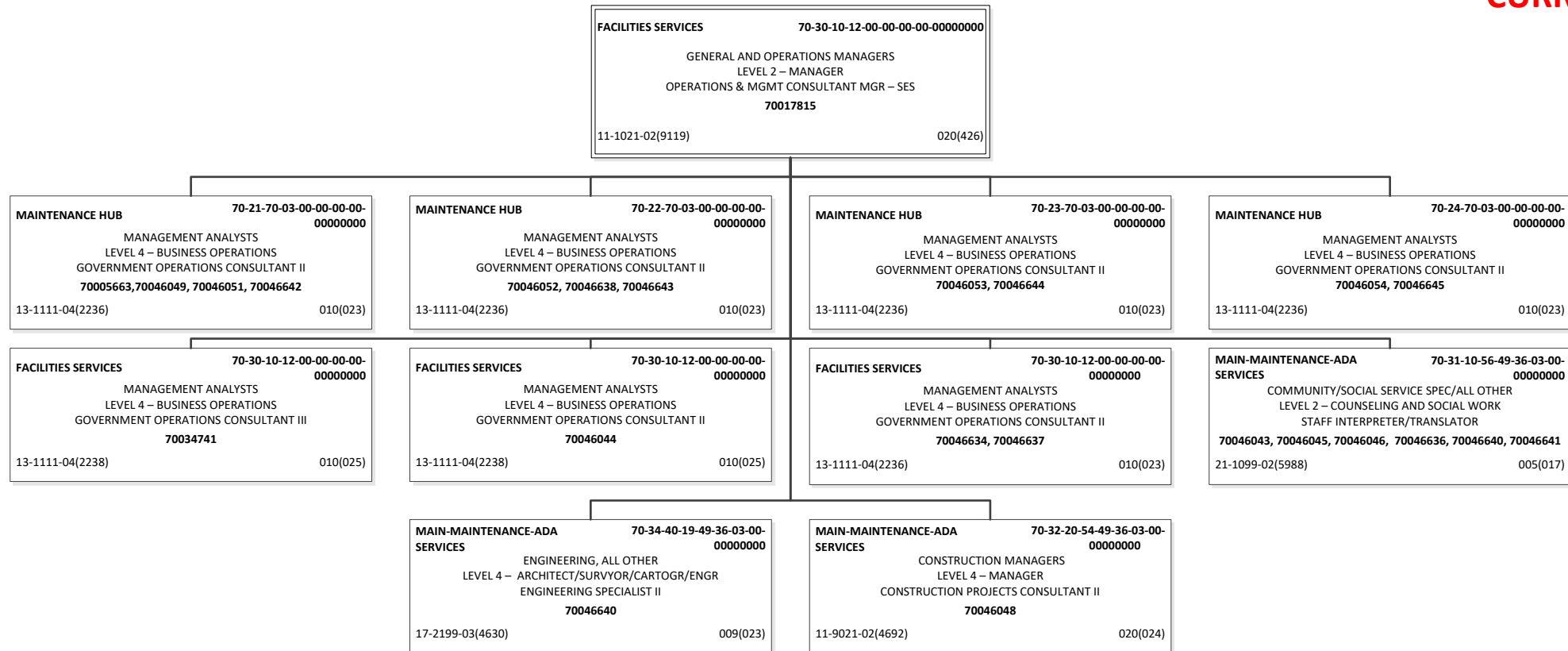
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ENGINEERING SUPPORT - ADA COMPLIANCE

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

CURRENT



PUBLIC AFFAIRS

Name of Agency: DEPARTMENT OF CORRECTIONS

Division/Comparable: CHIEF OF STAFF/STRATEGIC INITIATIVES

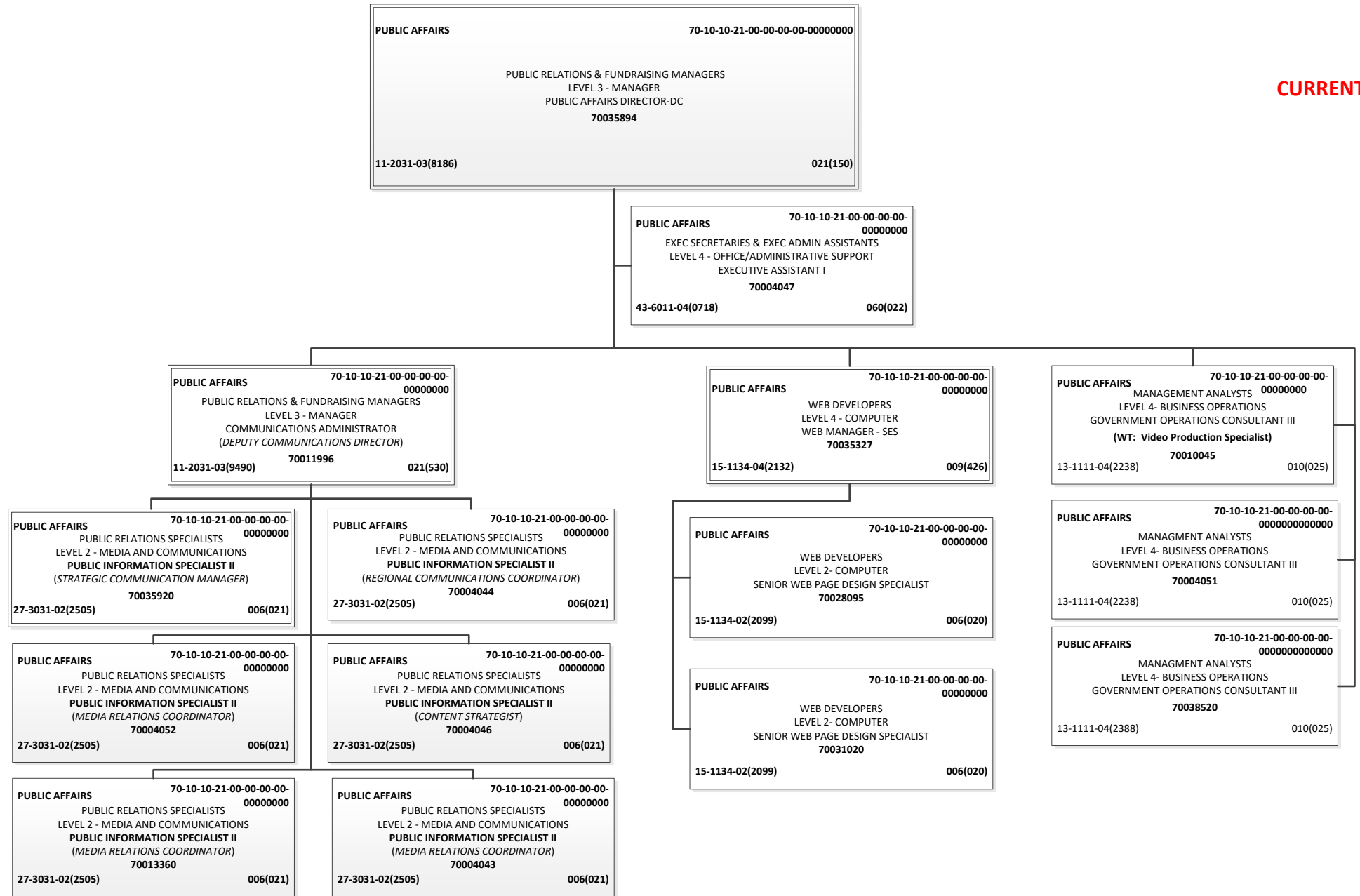
Division/Comparable: CHIEF OF STAFF/POLICY MANAGEMENT AND INMATE APPEALS

Division/Comparable: CHIEF OF STAFF

Bureau/Comparable: PUBLIC AFFAIRS

Section/Subsection:

CURRENT



HR - Overview

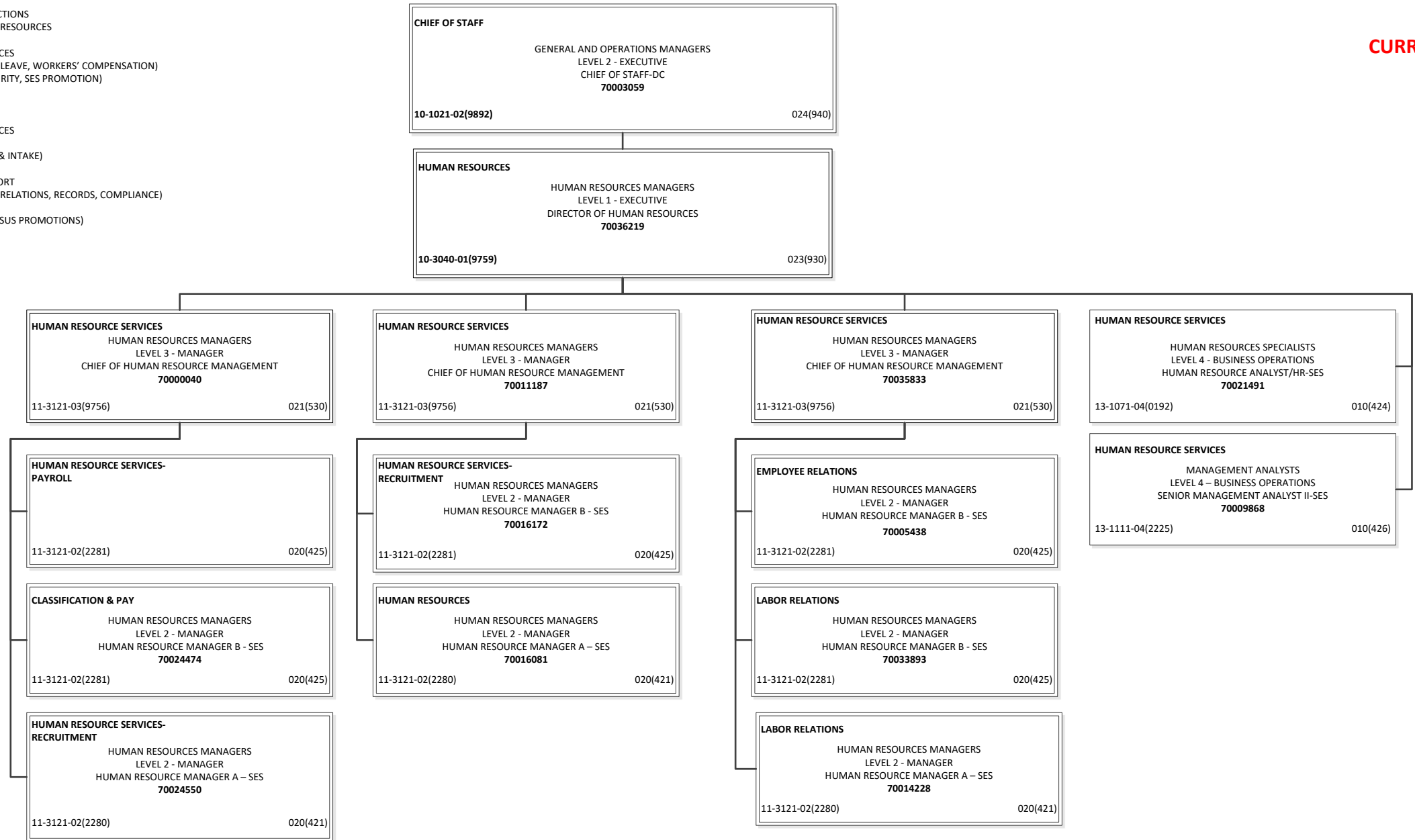
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES

Bureau/Comparable: HUMAN RESOURCE SERVICES
 Section/Subsection: PAYROLL (ATTENDANCE & LEAVE, WORKERS' COMPENSATION)
 Section/Subsection: RECRUITMENT (NON-SECURITY, SES PROMOTION)
 Section/Subsection: CLASSIFICATION & PAY

Bureau/Comparable: HUMAN RESOURCE SERVICES
 Section/Subsection: HR SYSTEMS
 Section/Subsection: RECRUITMENT (SECURITY & INTAKE)

Bureau/Comparable: HUMAN RESOURCE SUPPORT
 Section/Subsection: ADMINISTRATION (LABOR RELATIONS, RECORDS, COMPLIANCE)
 Section/Subsection: EMPLOYEE RELATIONS
 Section/Subsection: RETIREMENT & BENEFITS (SUS PROMOTIONS)

CURRENT



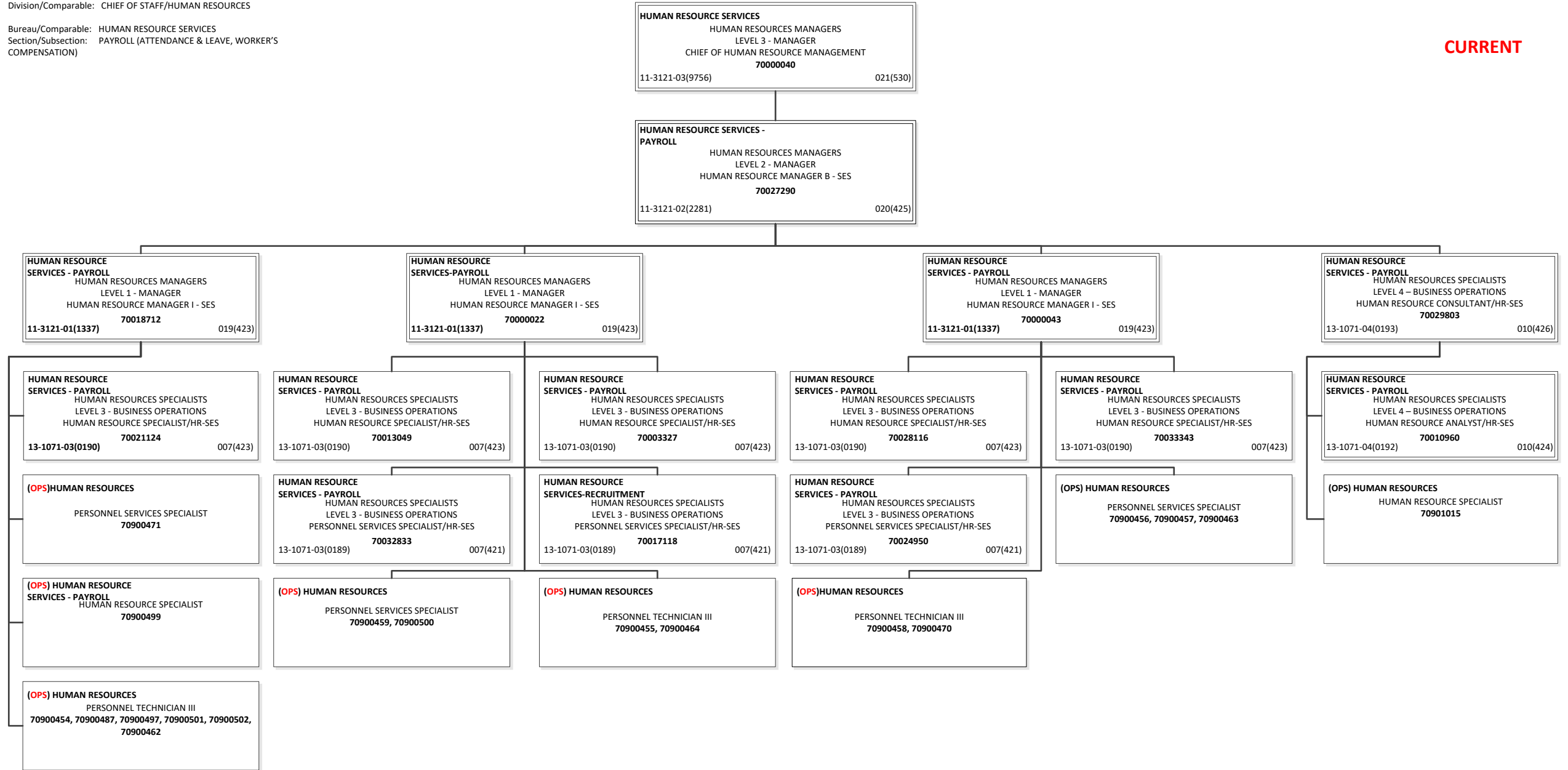
OPS identified for Office of Human Resources's information purposes only. Reorganization approved by D.M.S and O.P.B, effective 03/03/2023. Office of Staff Development was reallocated and reassigned from Office of Human Resources to Office of Strategic Initiatives.

HR-PAYROLL

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

Bureau/Comparable: HUMAN RESOURCE SERVICES
 Section/Subsection: PAYROLL (ATTENDANCE & LEAVE, WORKER'S COMPENSATION)

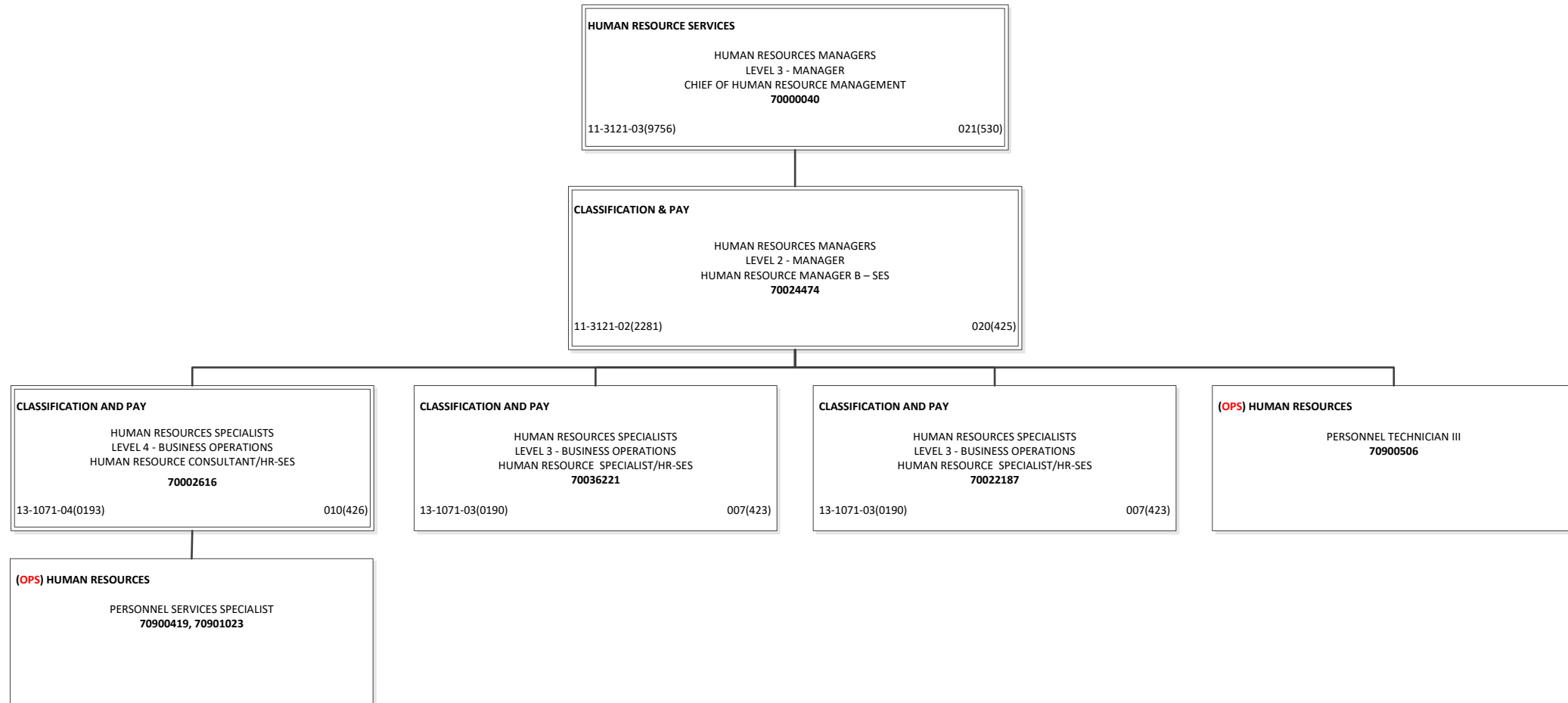
CURRENT



CLASSIFICATION & PAY

Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
Bureau/Comparable: HUMAN RESOURCE SERVICES
Section/Subsection: CLASSIFICATION AND PAY

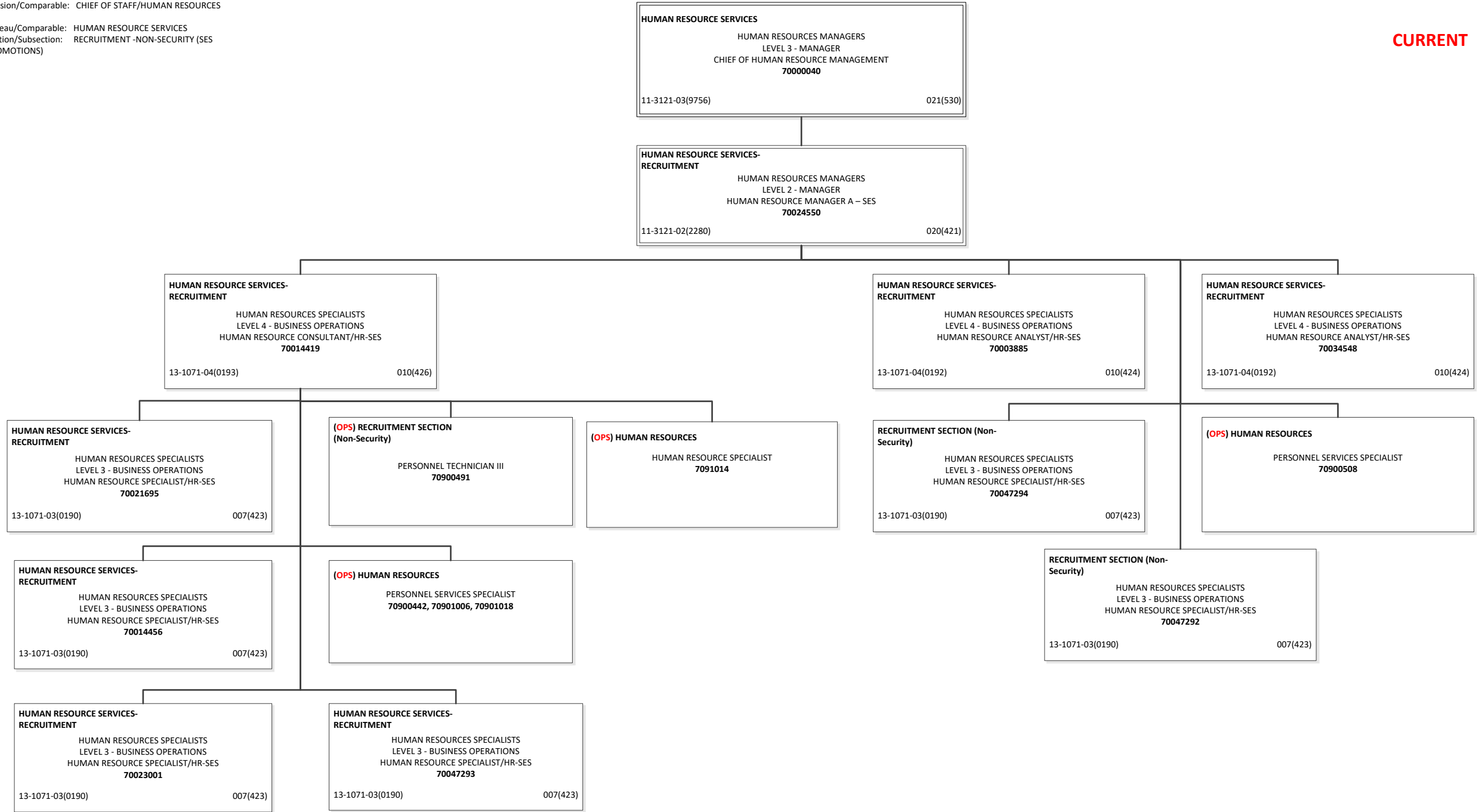
CURRENT



HR - Recruitment (NS)

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
 Bureau/Comparable: HUMAN RESOURCE SERVICES
 Section/Subsection: RECRUITMENT -NON-SECURITY (SES PROMOTIONS)

CURRENT

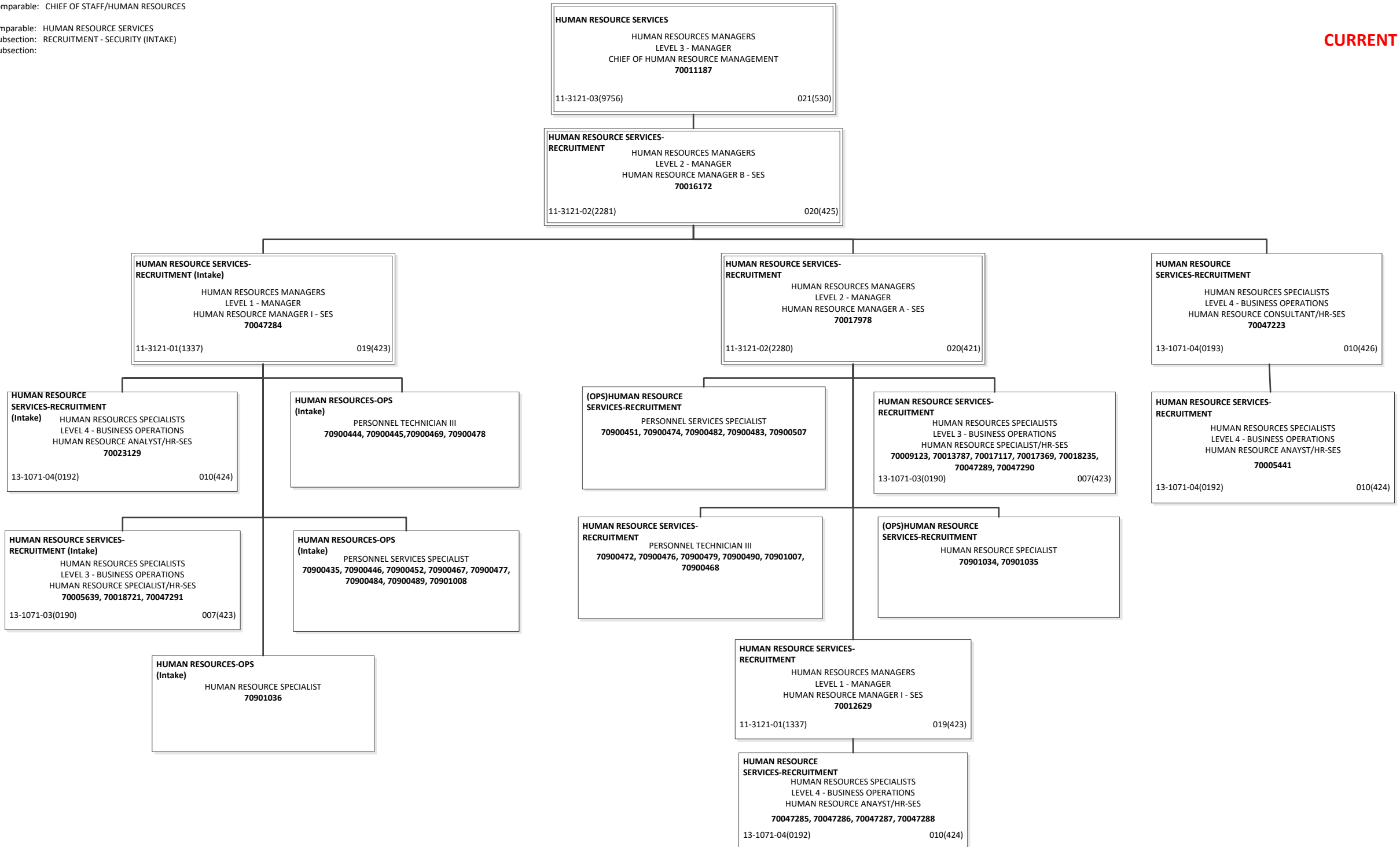


HR - Recruitment

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

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

CURRENT

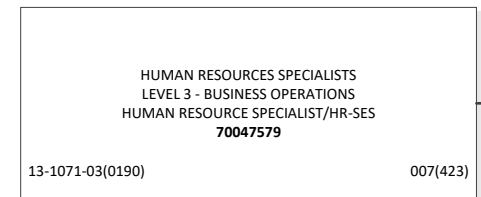
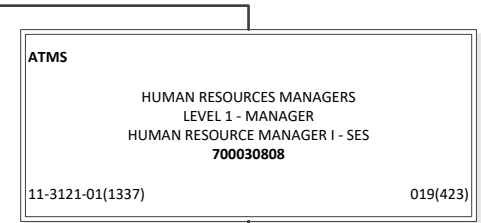
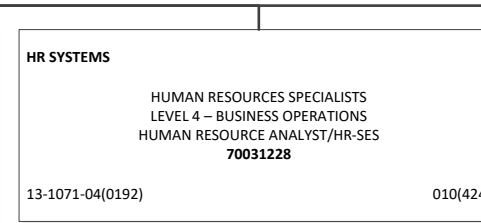
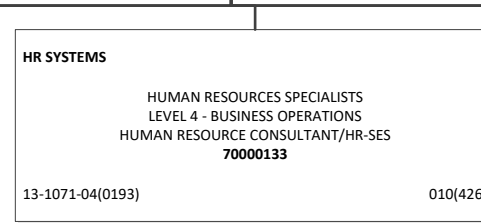
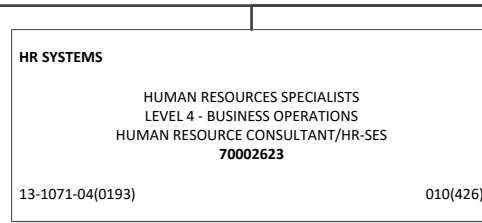
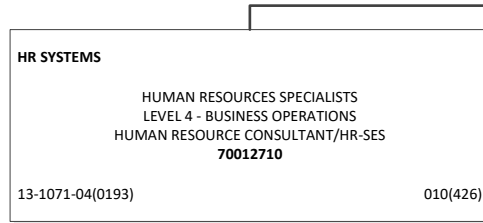
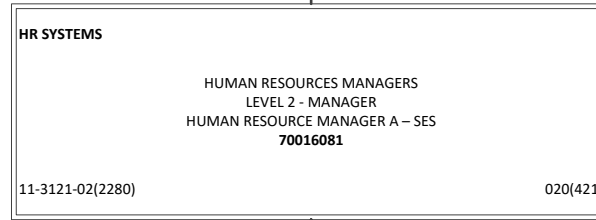
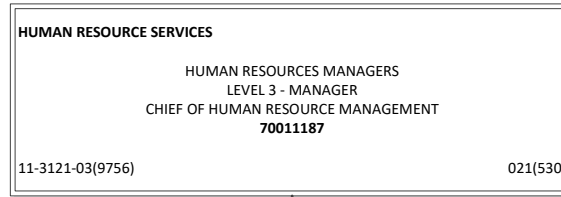


HR SYSTEMS

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

Bureau/Comparable: HUMAN RESOURCE SERVICES
Section/Subsection: HR SYSTEMS
Section/Subsection: ATMS
Section/Subsection:

CURRENT

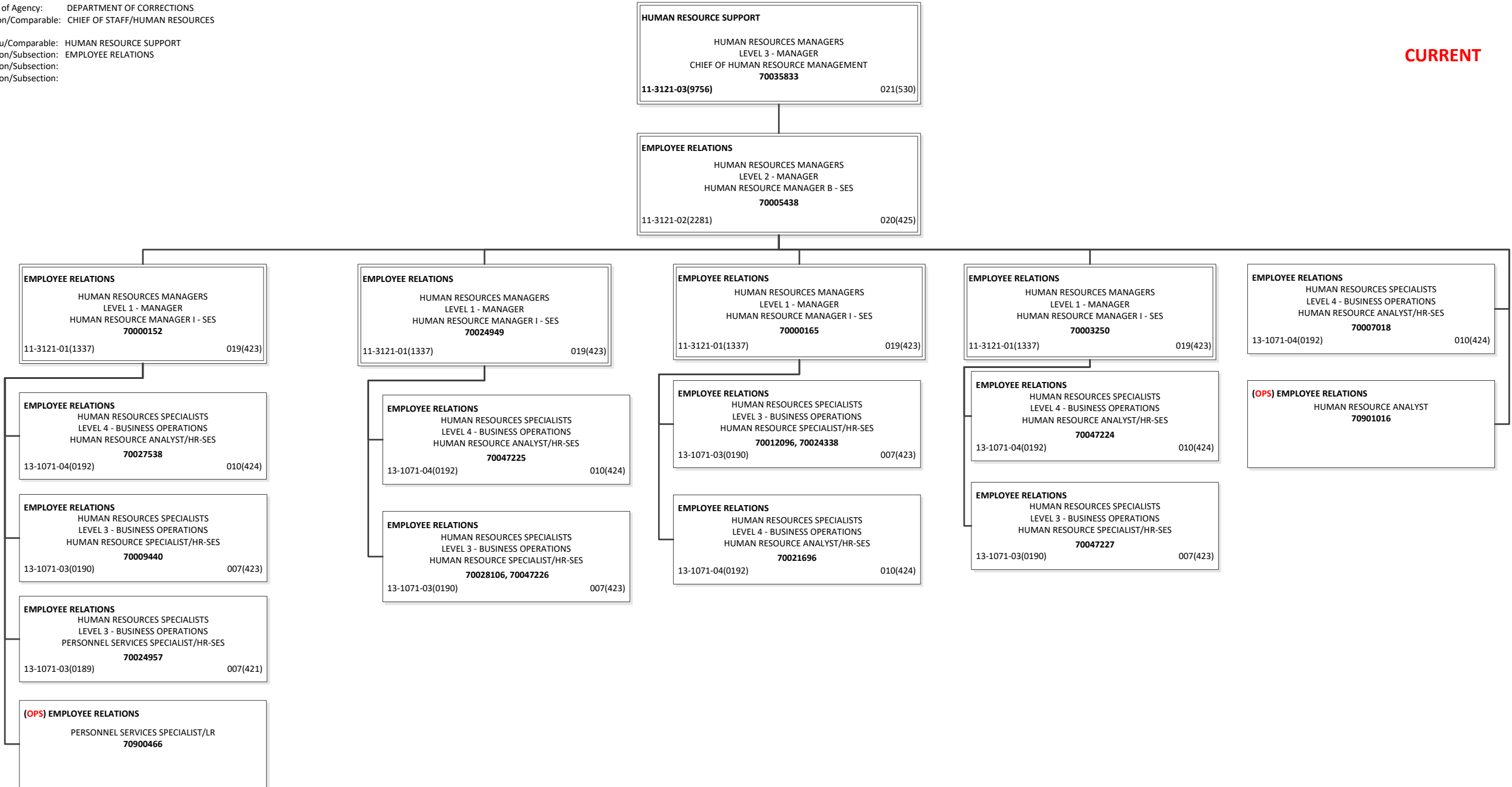


HR - Employee Relations (Cont,)

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

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

CURRENT



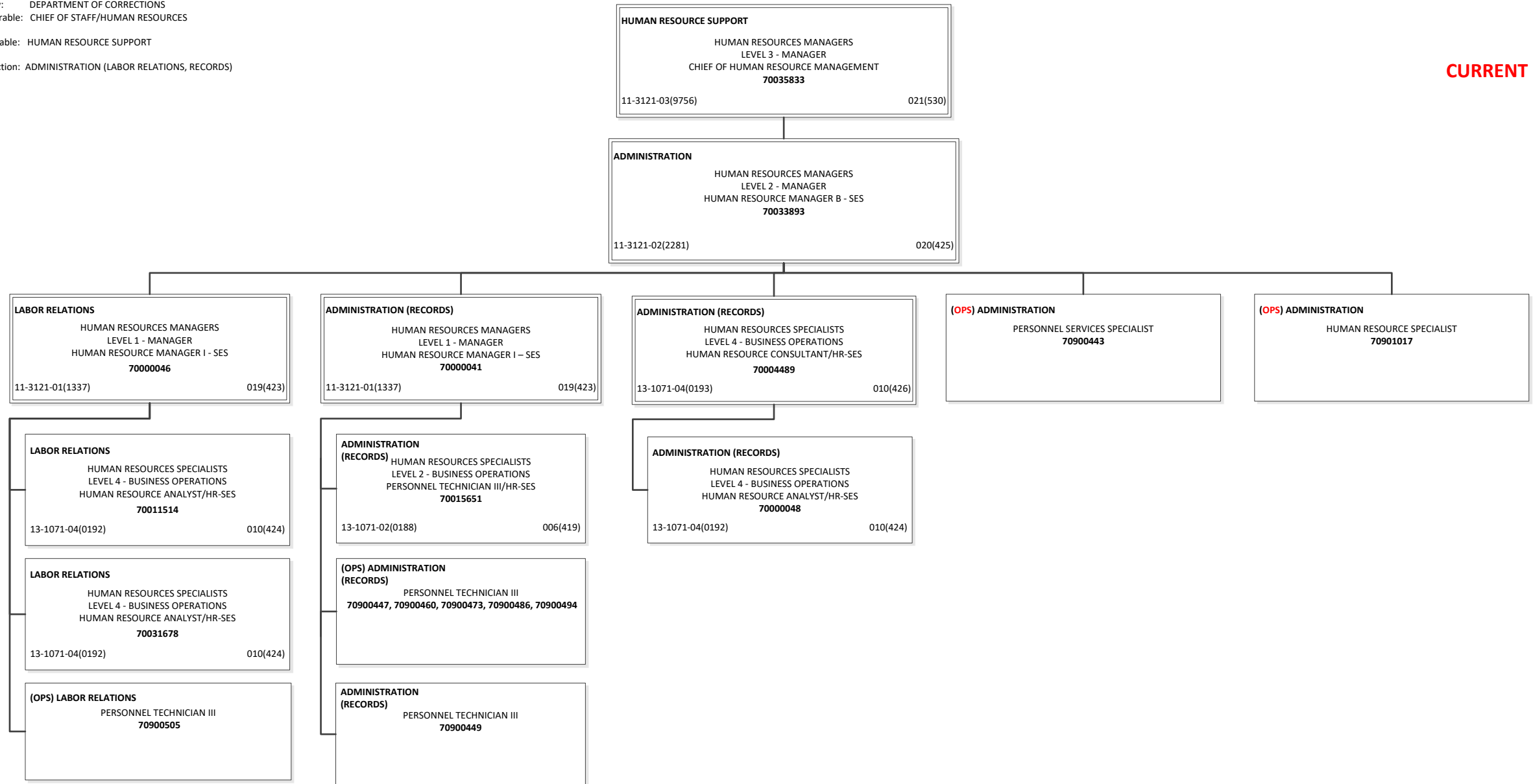
HR-ADMIN

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

Bureau/Comparable: HUMAN RESOURCE SUPPORT

Section/Subsection: ADMINISTRATION (LABOR RELATIONS, RECORDS)

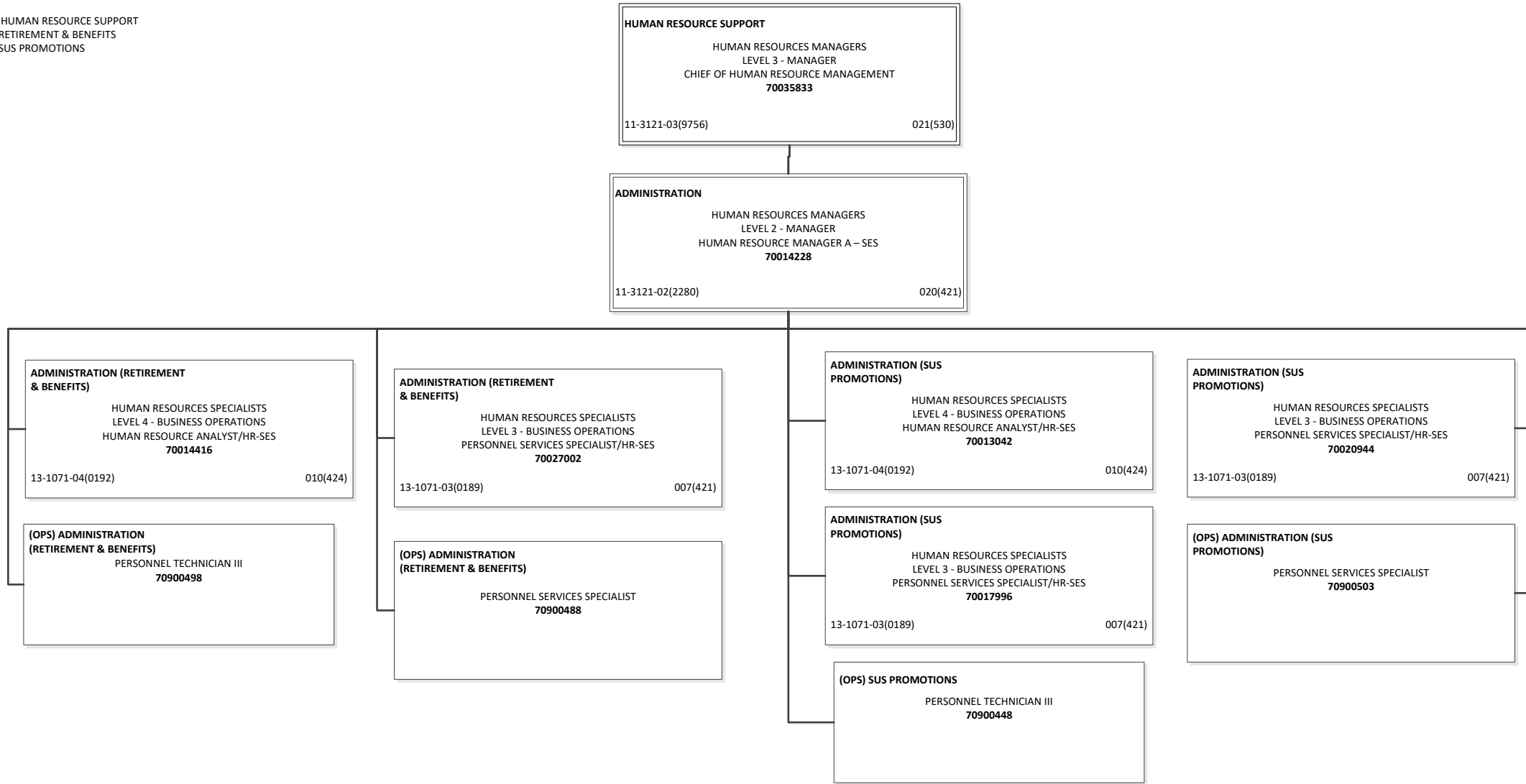
CURRENT



RETIREMENT & BENEFITS/SUS

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/HUMAN RESOURCES
 Bureau/Comparable: HUMAN RESOURCE SUPPORT
 Section/Subsection: RETIREMENT & BENEFITS
 Section/Subsection: SUS PROMOTIONS

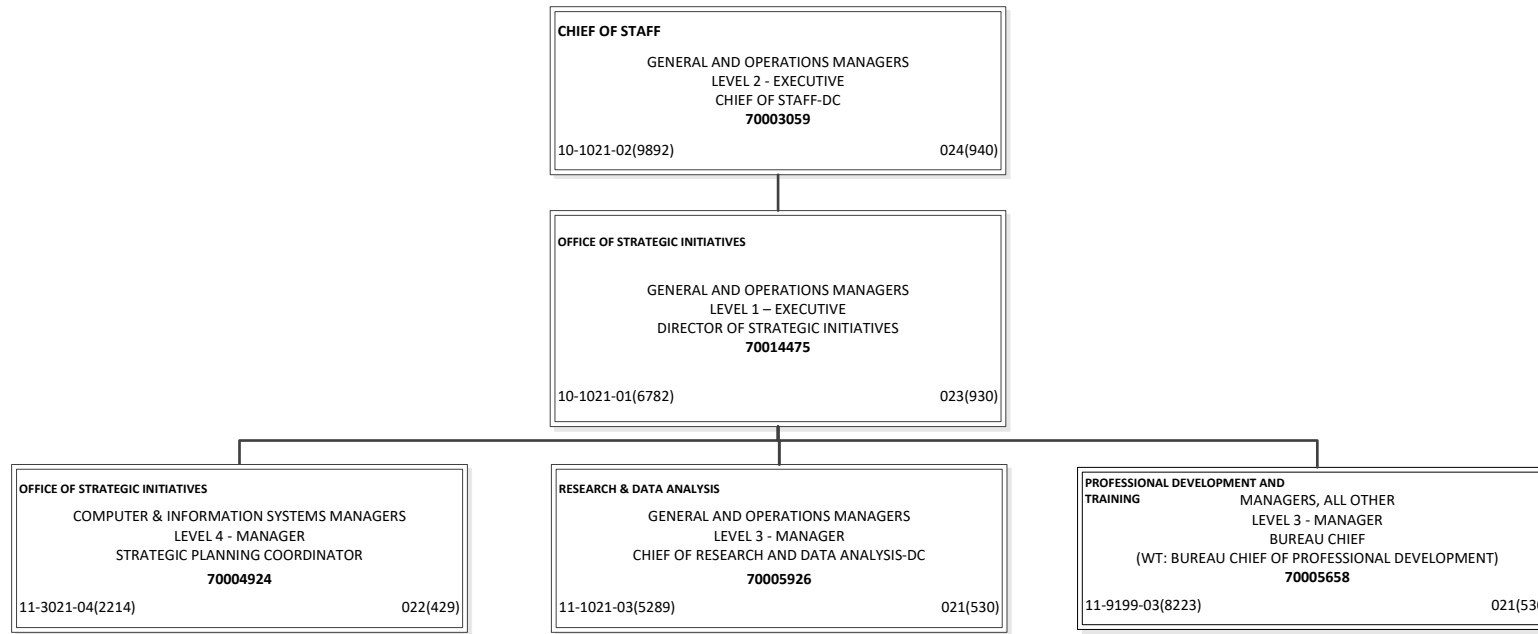
CURRENT



STRATEGIC INITIATIVES PROPOSED

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/STRATEGIC INITIATIVES
 Bureau/Comparable: PROFESSIONAL DEVELOPMENT & TRAINING
 Bureau/Comparable: RESEARCH & DATA ANALYSIS
 Section/Subsection:

CURRENT

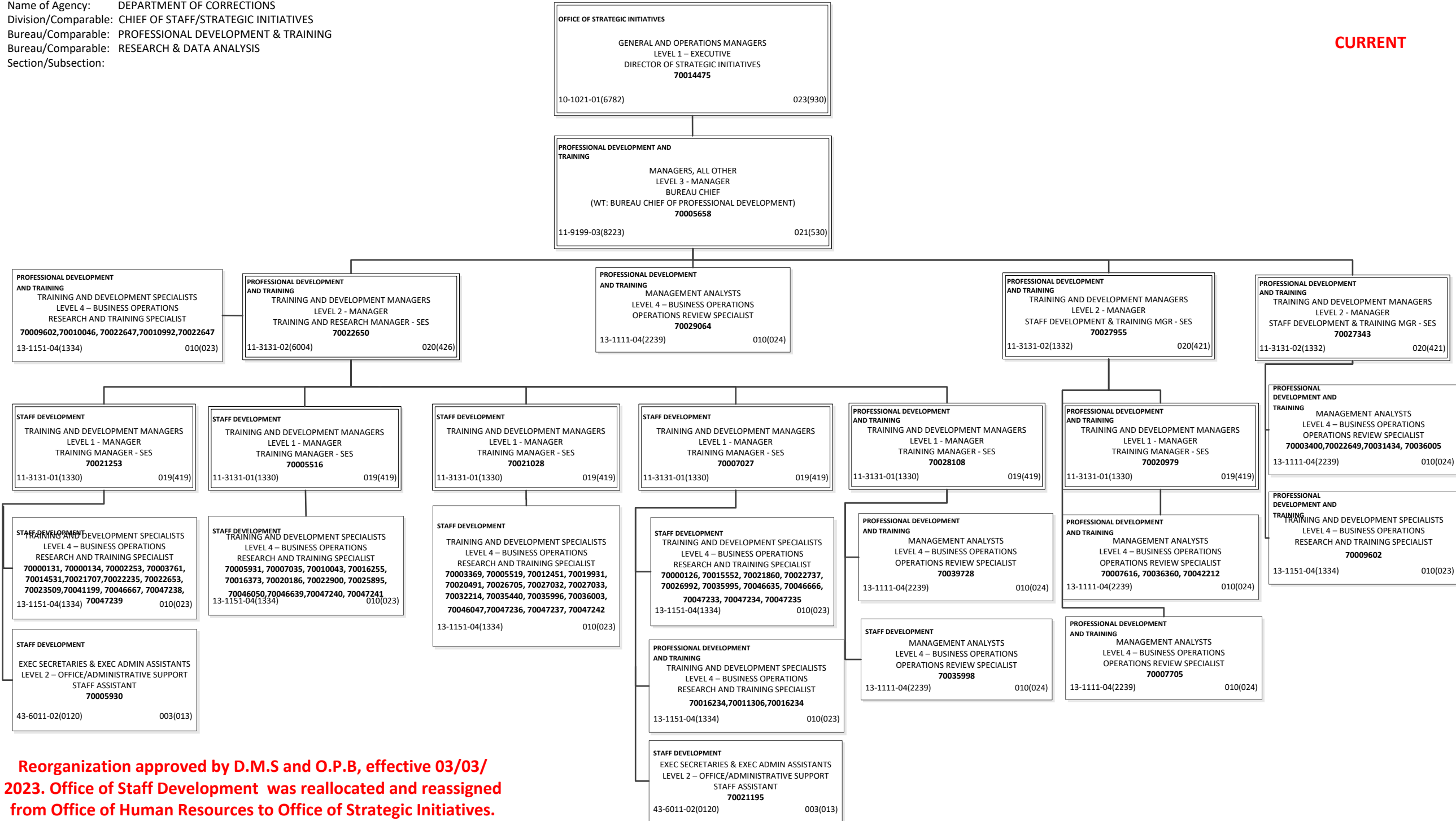


Reorganization approved by D.M.S and O.P.B, effective 03/03/2023. Office of Staff Development was reallocated and reassigned from Office of Human Resources to Office of Strategic Initiatives.

PROFESSIONAL DEVELOPMENT

Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: CHIEF OF STAFF/STRATEGIC INITIATIVES
 Bureau/Comparable: PROFESSIONAL DEVELOPMENT & TRAINING
 Bureau/Comparable: RESEARCH & DATA ANALYSIS
 Section/Subsection:

CURRENT



Reorganization approved by D.M.S and O.P.B, effective 03/03/2023. Office of Staff Development was reallocated and reassigned from Office of Human Resources to Office of Strategic Initiatives.

OVERVIEW

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

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

Section/Subsection:

CURRENT

OFFICE OF THE SECRETARY	70-10-00-00-00-00-00-00000000
CHIEF EXECUTIVES LEVEL 3 - EXECUTIVE SECRETARY OF CORRECTIONS 70000001	
10-1011-03(9886)	025(950)

OFFICE OF THE SECRETARY	70-10-00-00-00-00-00-00000000
GENERAL AND OPERATIONS MANAGERS LEVEL 2 - EXECUTIVE DEPUTY SECRETARY-DC 70000005	
10-1021-02(9887)	024(950)

HEALTH SERVICES	70-50-00-00-00-00-00-00000000
MEDICAL AND HEALTH SERVICES MANAGERS LEVEL 2 - EXECUTIVE HEALTH SERVICES DIRECTOR 70015231	
10-9111-02(7878)	024(860)

MEDICAL SERVICES	70-50-10-00-00-00-00-00000000
MEDICAL AND HEALTH SERVICES MANAGERS LEVEL 1 - EXECUTIVE CHIEF OF MEDICAL SERVICES 70039765	
10-9111-01 (7947)	023(860)

HEALTH SERVICES ADMINISTRATION	70-50-20-00-00-00-00-00000000
MEDICAL AND HEALTH SERVICES MANAGERS LEVEL 1 - EXECUTIVE CLINICAL ADVISOR 70015234	
10-9111-01(7940)	023(860)

HEALTH SERVICES	70-50-00-00-00-00-00-00000000
MANAGEMENT ANALYSTS LEVEL 2 - BUSINESS OPERATIONS OPERATIONS ANALYST II 70002477	
13-1111-04(2225)	010(026)

MENTAL HEALTH SERVICES	70-50-10-22-00-00-00-00000000
MEDICAL AND HEALTH SERVICES MANAGERS LEVEL 3 - MANAGER CHIEF OF MENTAL HEALTH SERVICES 70000085	
11-9111-03(5241)	021(230)

PHARMACEUTICAL SERVICES	70-50-10-22-00-00-00-00000000
MEDICAL AND HEALTH SERVICES MANAGERS LEVEL 3 - MANAGER CHIEF OF PHARMACEUTICAL SERVICES 70002040	
11-9111-03(8077)	021(230)

DENTAL SERVICES	70-50-10-21-00-00-00-00000000
MEDICAL AND HEALTH SERVICES MANAGERS LEVEL 3 - MANAGER CHIEF OF DENTAL SERVICES 70014804	
11-9111-03(5271)	021(230)

MENTAL HEALTH SERVICES	70-50-10-22-00-00-00-00000000
MEDICAL AND HEALTH SERVICES MANAGERS LEVEL 3 - MANAGER CHIEF OF MENTAL HEALTH SERVICES 70000085	
11-9111-03(5241)	021(230)

PHARMACEUTICAL SERVICES	70-50-10-20-00-00-00-00000000
MEDICAL AND HEALTH SERVICES MANAGERS LEVEL 3 - MANAGER CHIEF OF PHARMACEUTICAL SERVICES 70002040	
11-9111-03(8077)	021(230)

NURSING SERVICES	70-50-10-23-00-00-00-00000000
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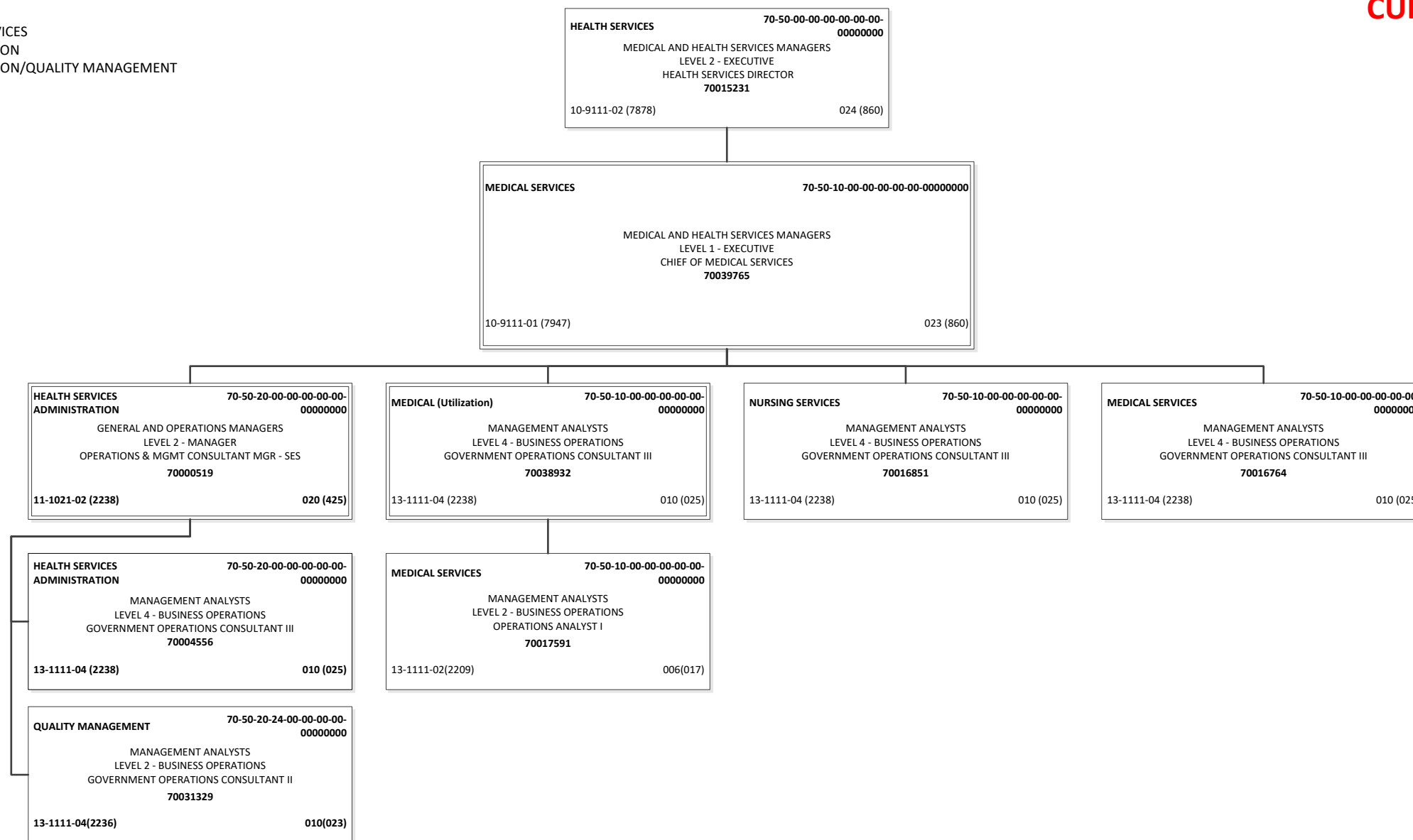
HEALTH SERVICES ADMINISTRATION	70-50-20-00-00-00-00-00000000
MANAGERS, ALL OTHER LEVEL 3 - MANAGER DEPUTY DIRECTOR 70012619	
11-9199-04(7355)	022(540)

MEDICAL SERVICES (39765)

CURRENT

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

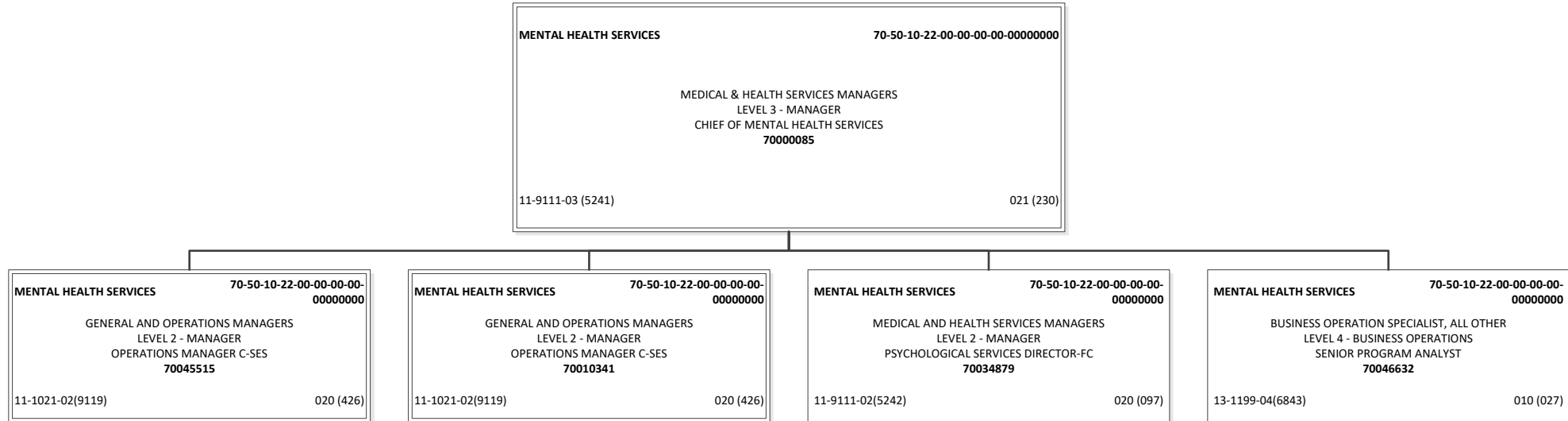
Section/Subsection: MEDICAL
 Section/Subsection: NURSING SERVICES
 Section/Subsection: ADMINISTRATION
 Section/Subsection: ADMINISTRATION/QUALITY MANAGEMENT



MENTAL HEALTH SERVICES (00085)

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

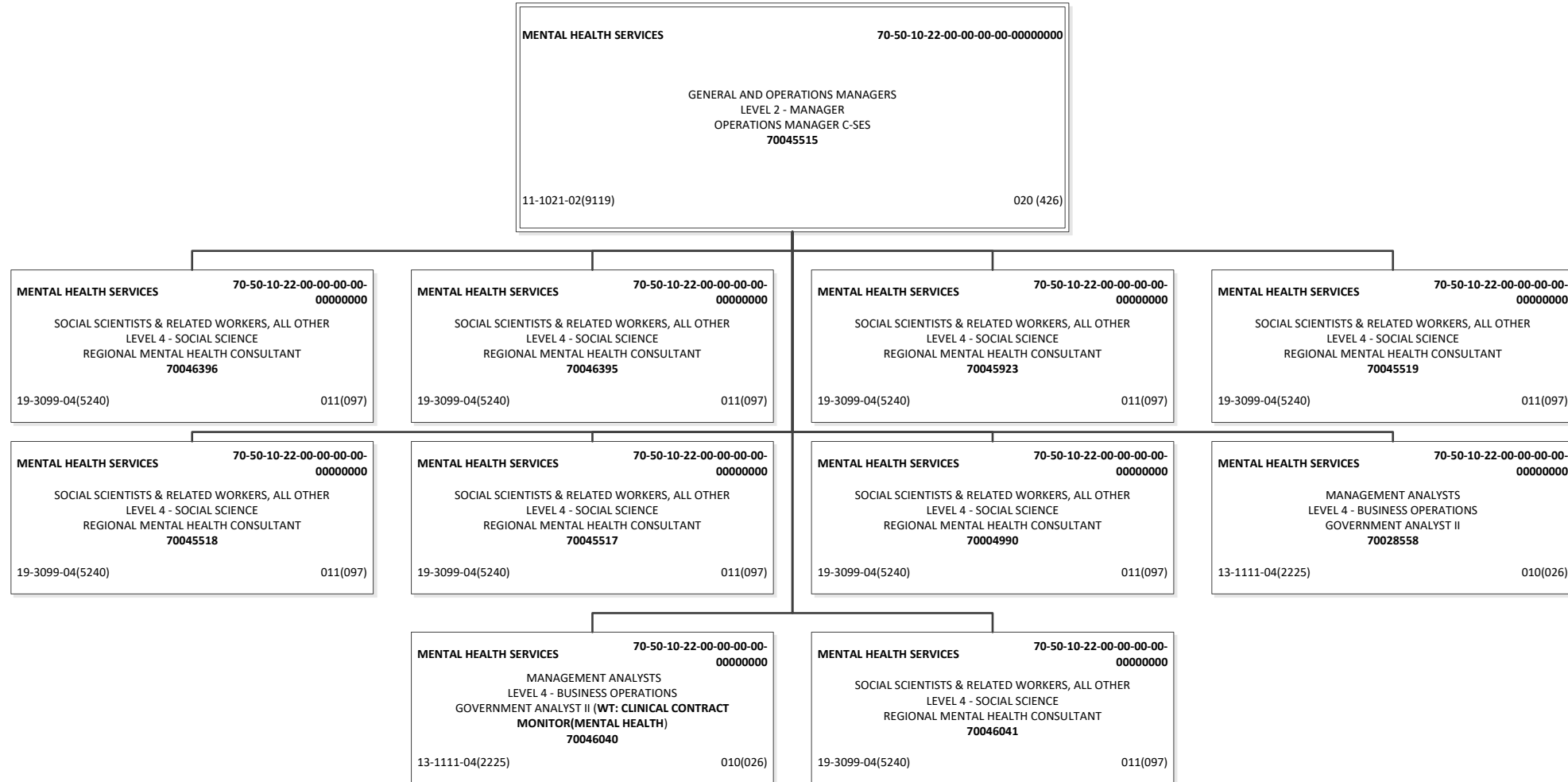
CURRENT



MENTAL HEALTH SERVICES (45515)

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

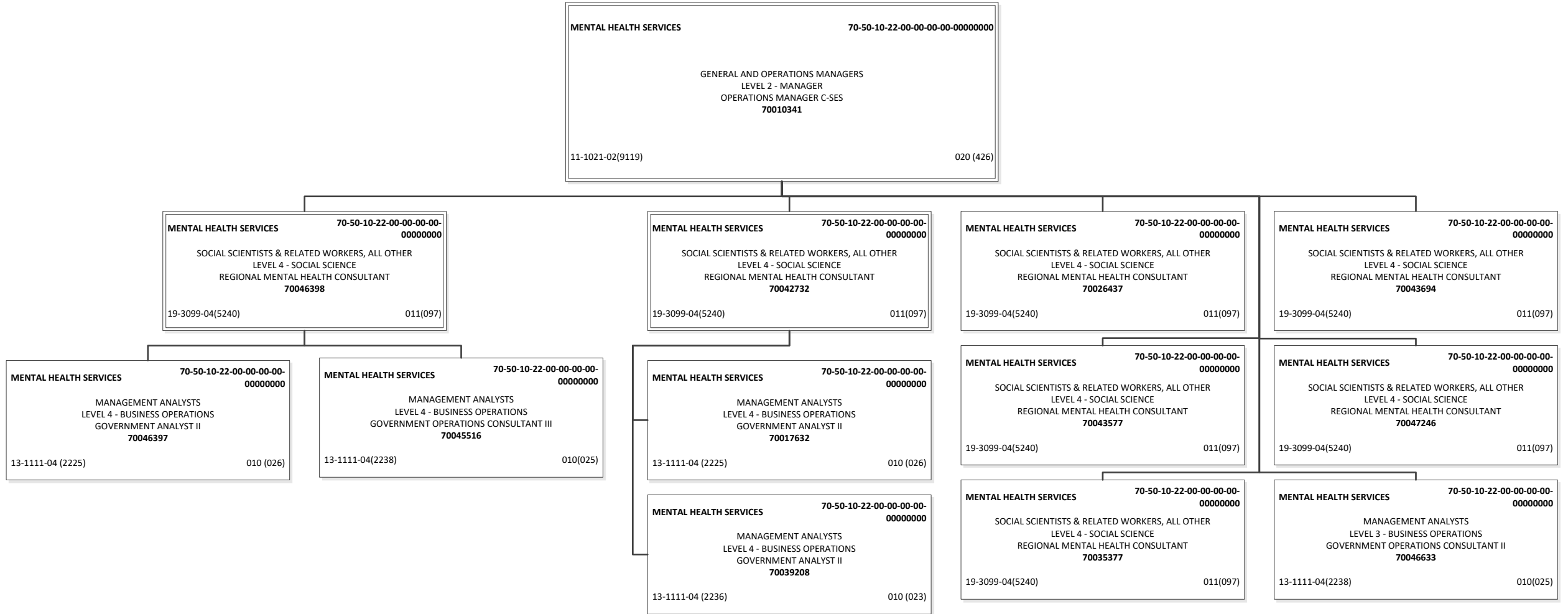
CURRENT



MENTAL HEALTH SERVICES (10341)

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

CURRENT

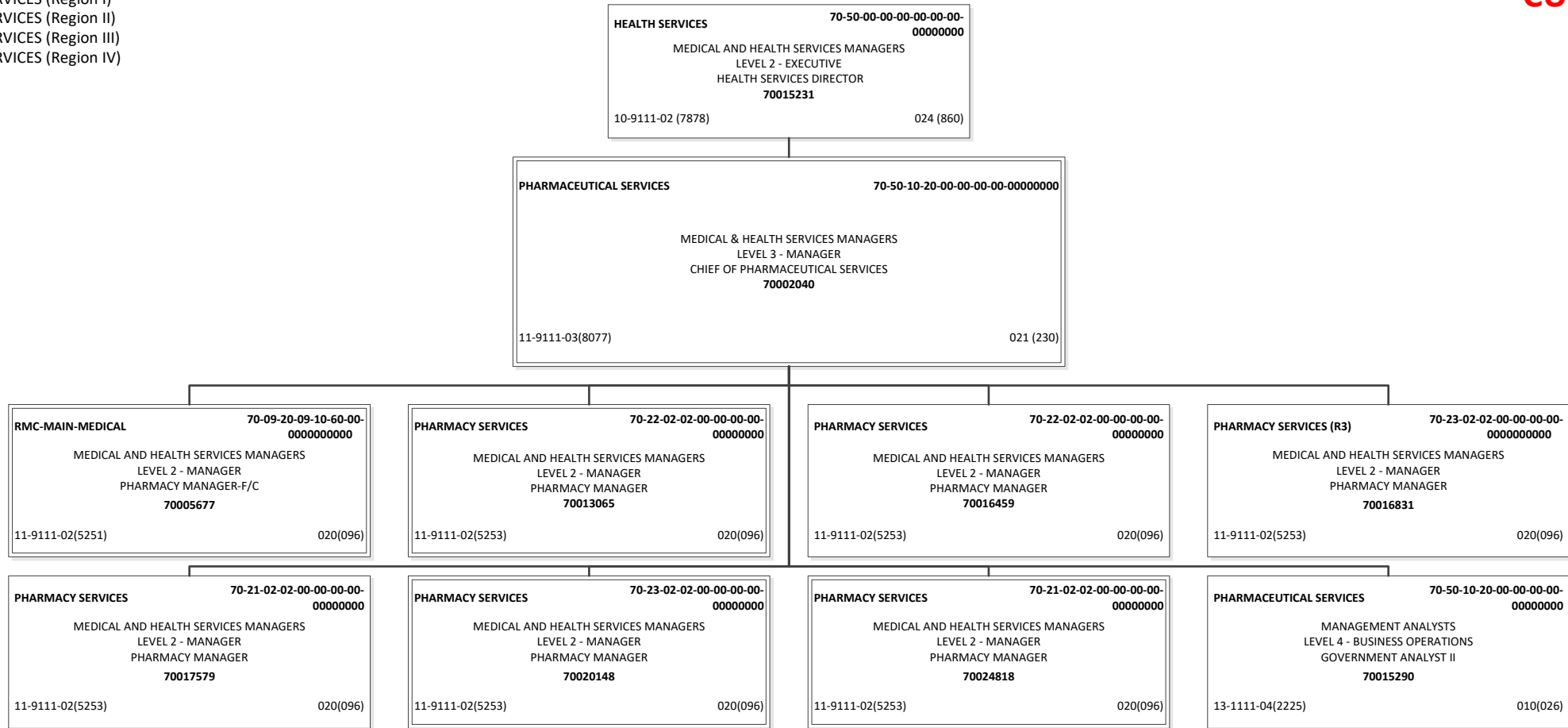


PHARMACEUTICAL SERVICES (02040)

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

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

CURRENT

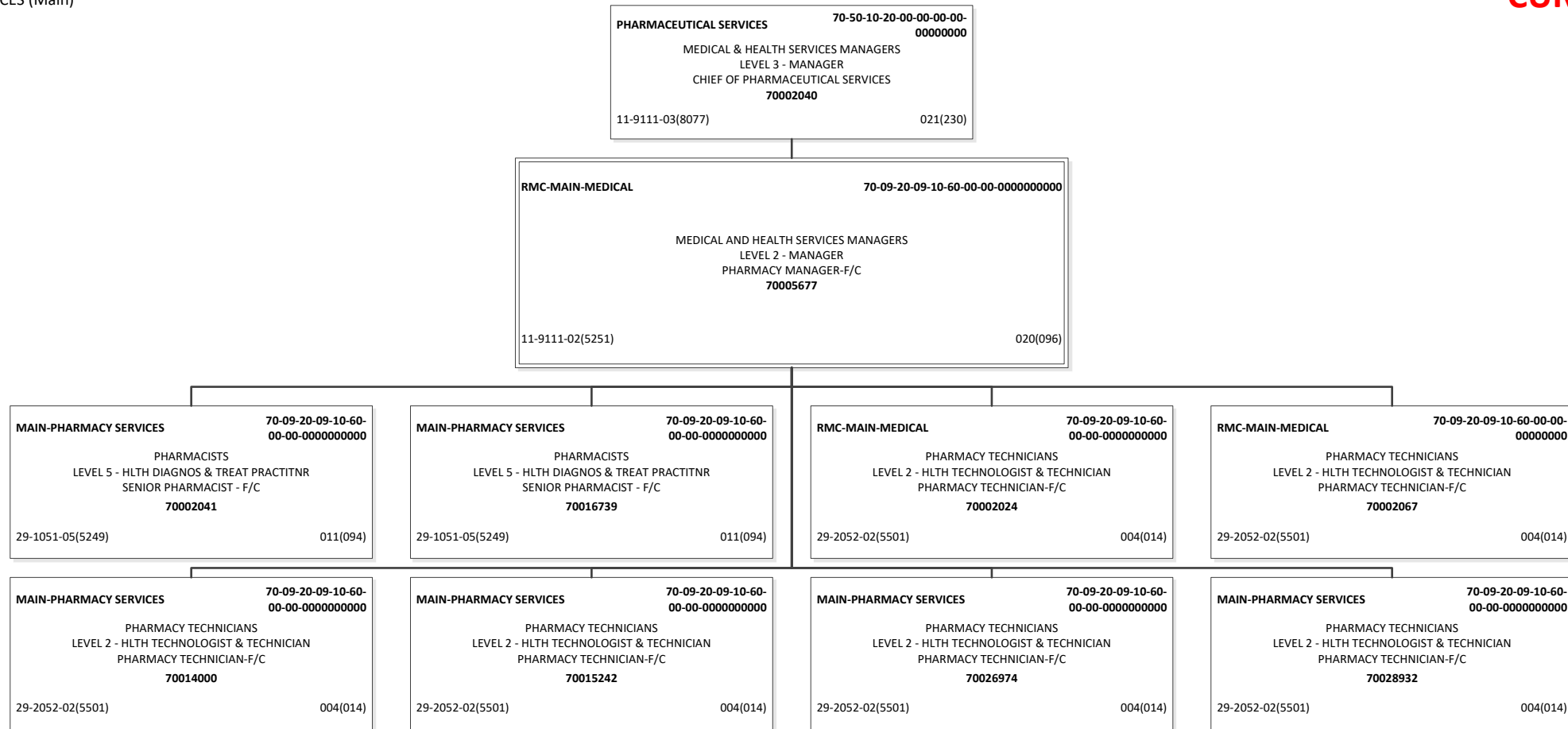


PHARMACY SERVICES (Main - 05677)

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

Section/Subsection: PHARMACY SERVICES (Main)

CURRENT

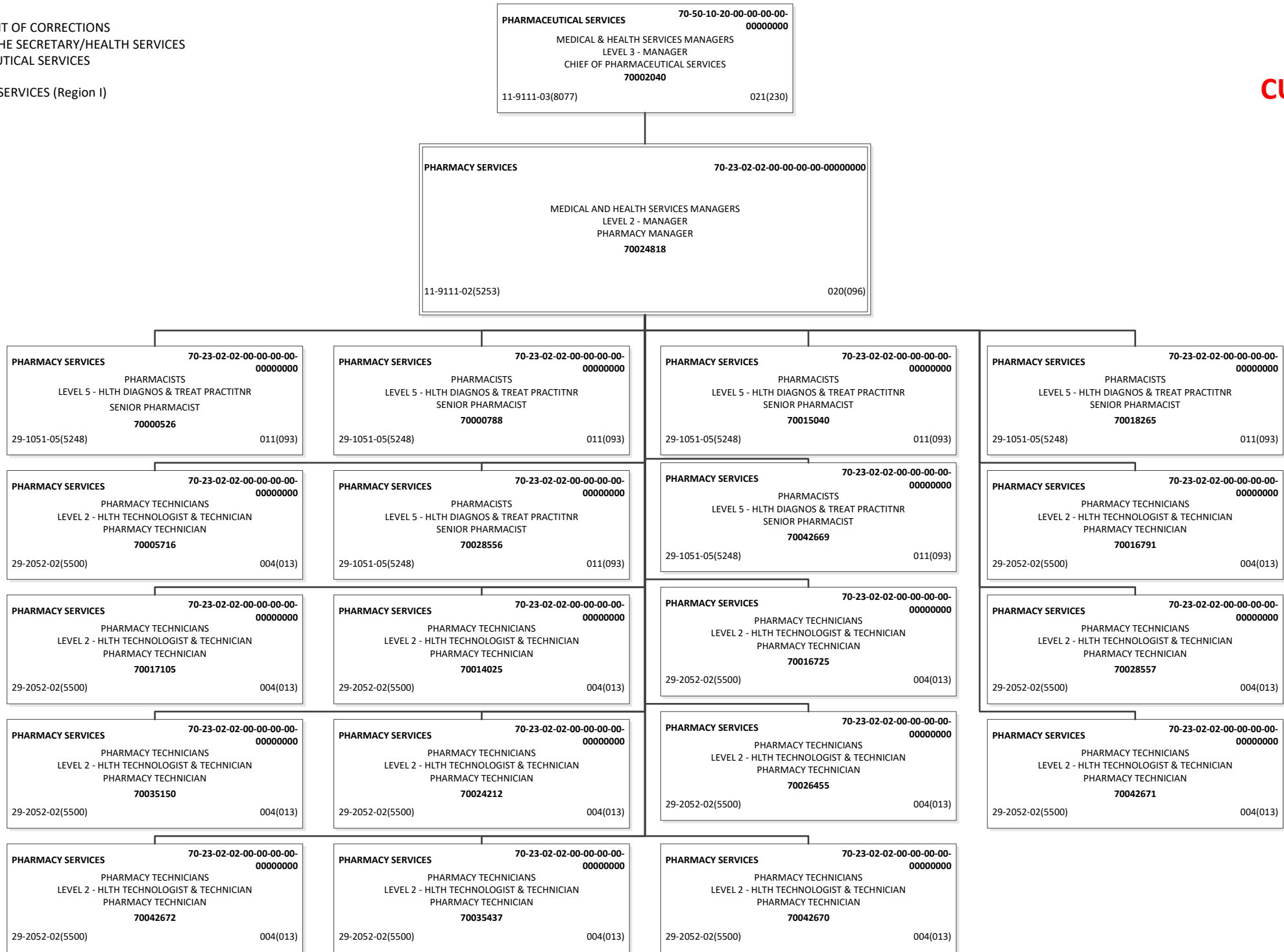


PHARMACY SERVICES (R1 - 24818)

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

Section/Subsection: PHARMACY SERVICES (Region I)

CURRENT

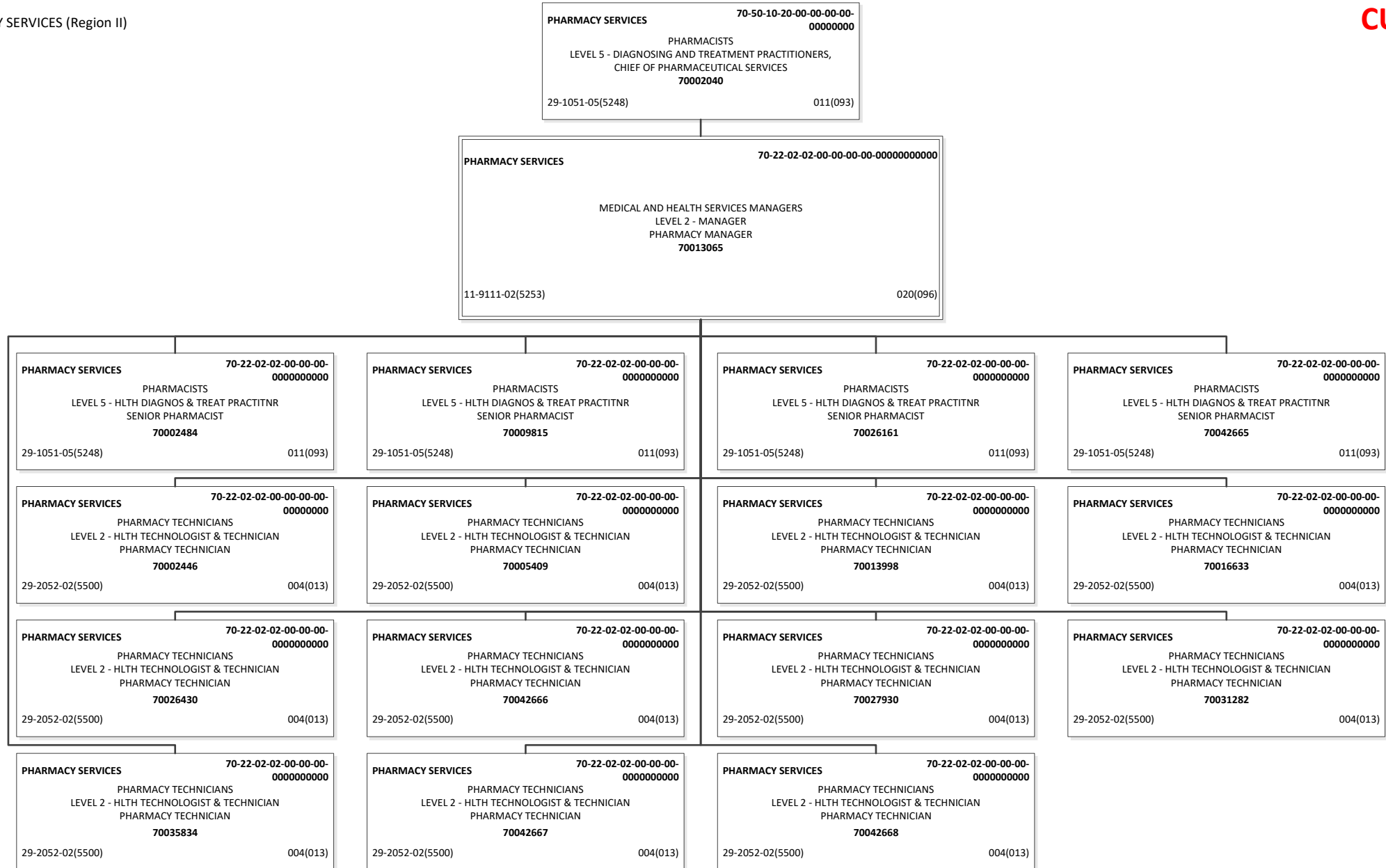


PHARMACY SERVICES (R2 - 13065)

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

Section/Subsection: PHARMACY SERVICES (Region II)

CURRENT

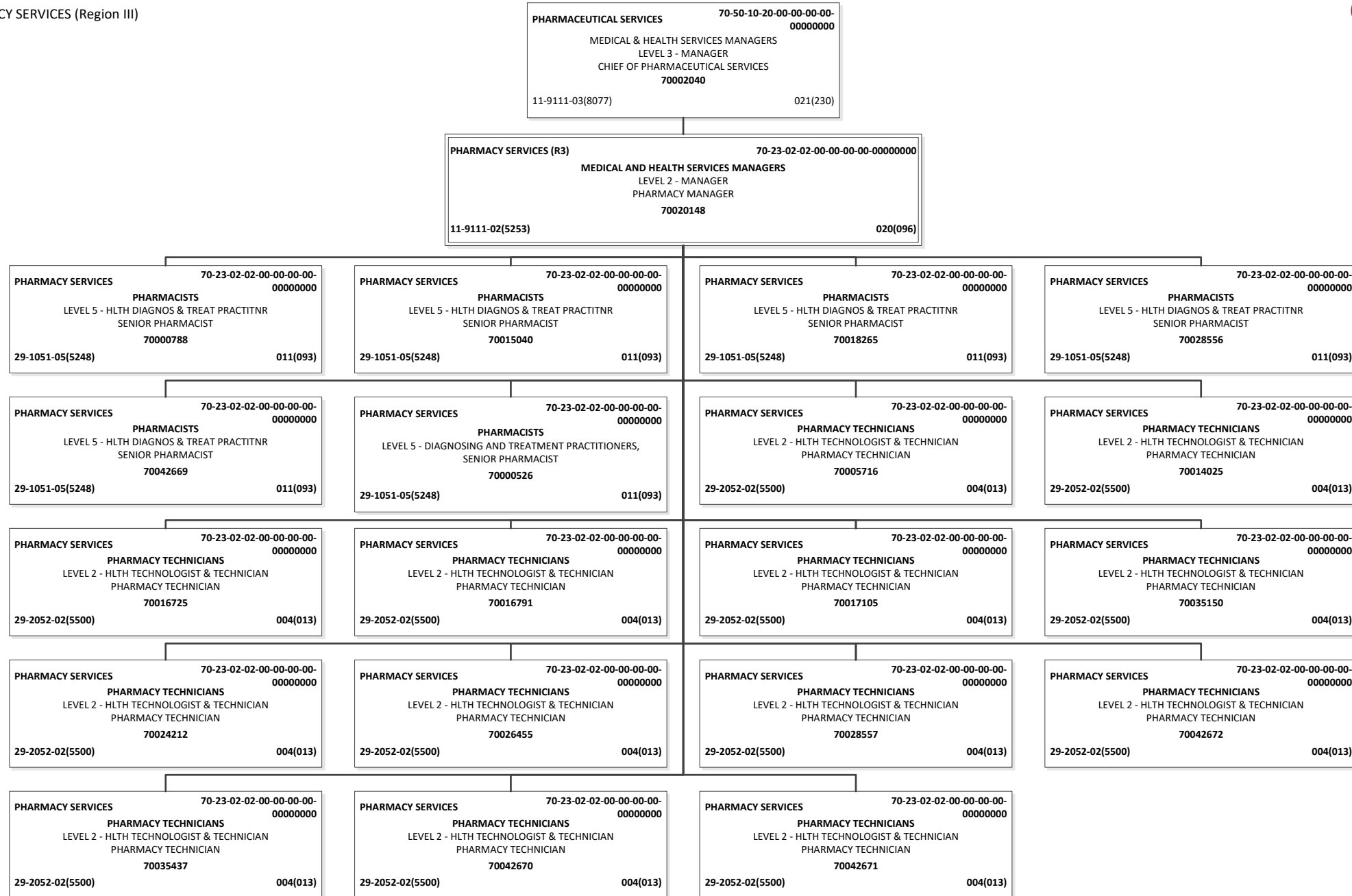


PHARMACY SERVICES (R3 - 20148)

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

Section/Subsection: PHARMACY SERVICES (Region III)

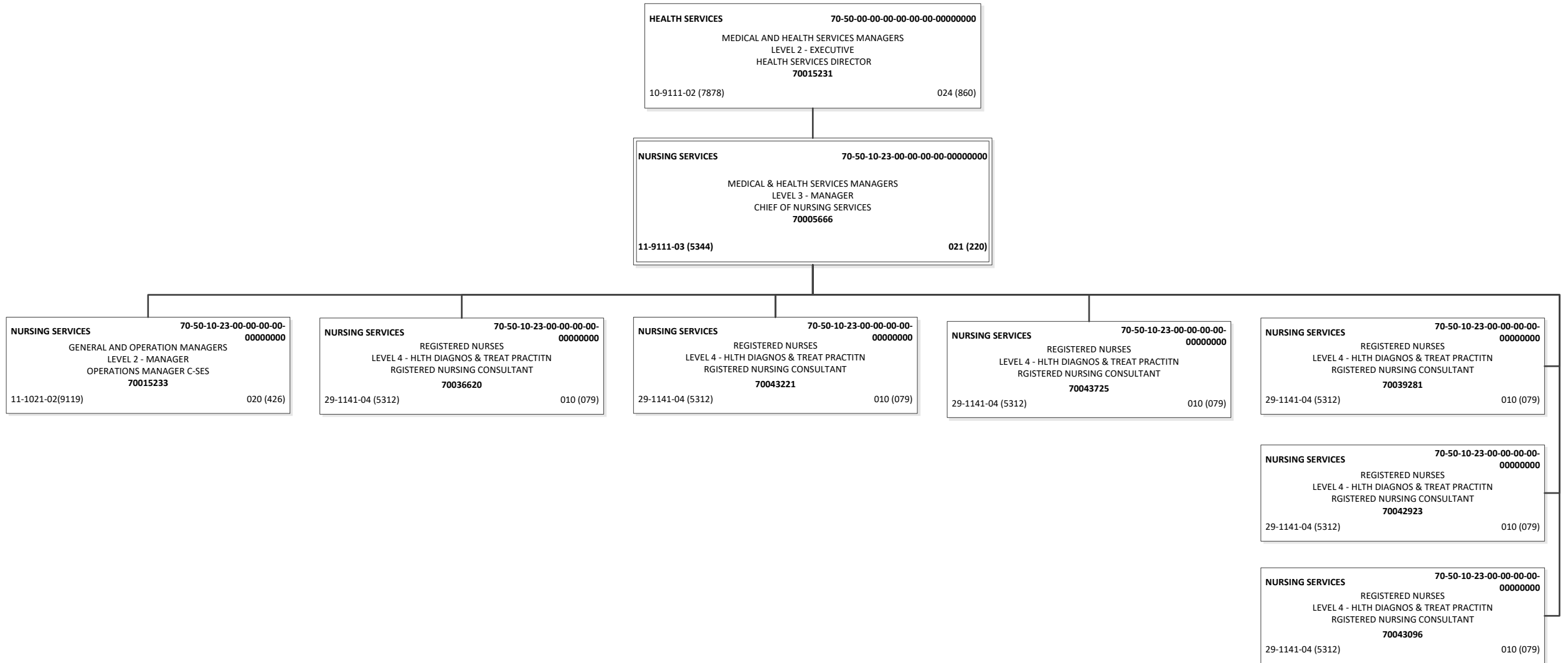
CURRENT



NURSING SERVICES (05666)

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

CURRENT

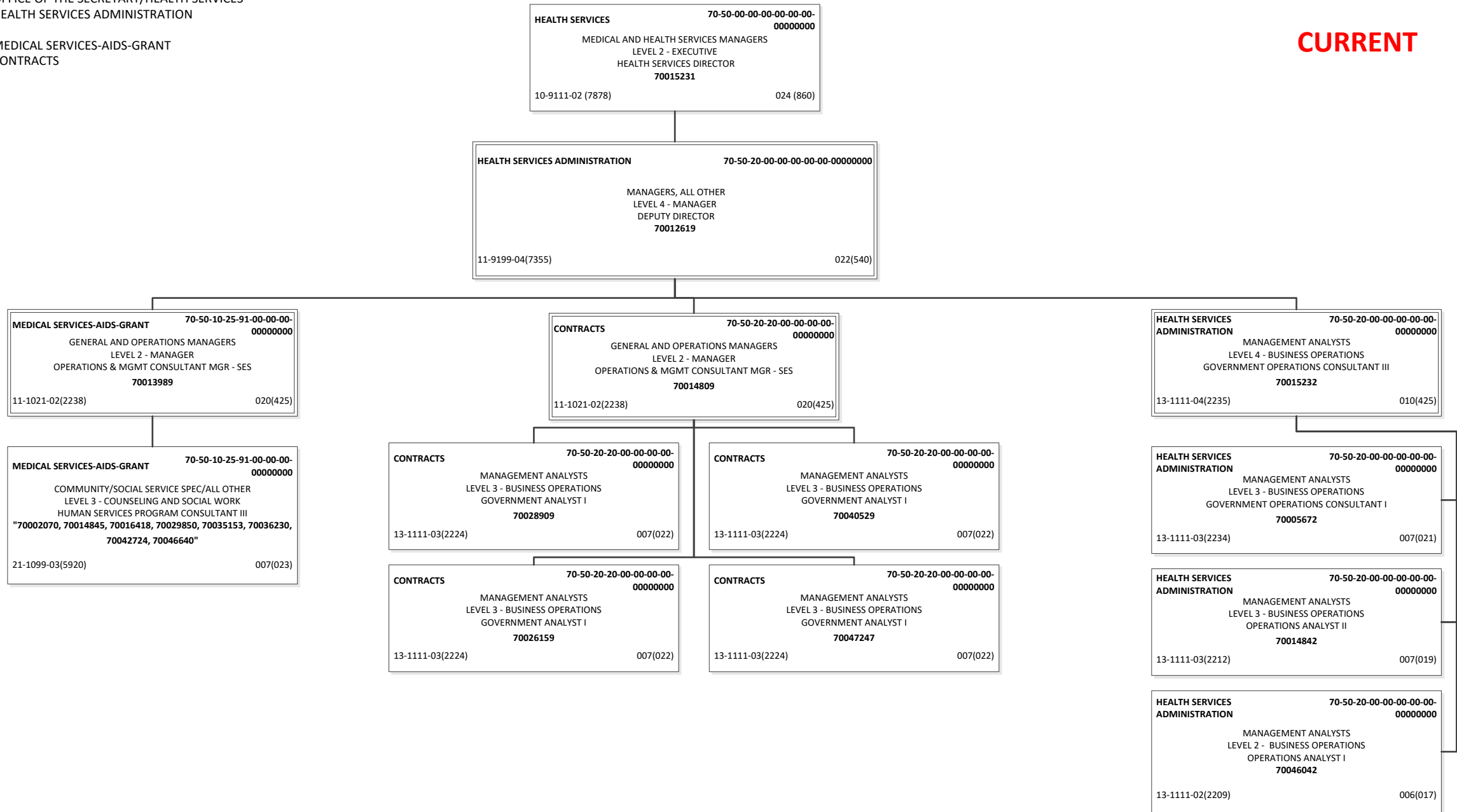


HEALTH SERVICE ADMINISTRATION (12619)

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

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

CURRENT

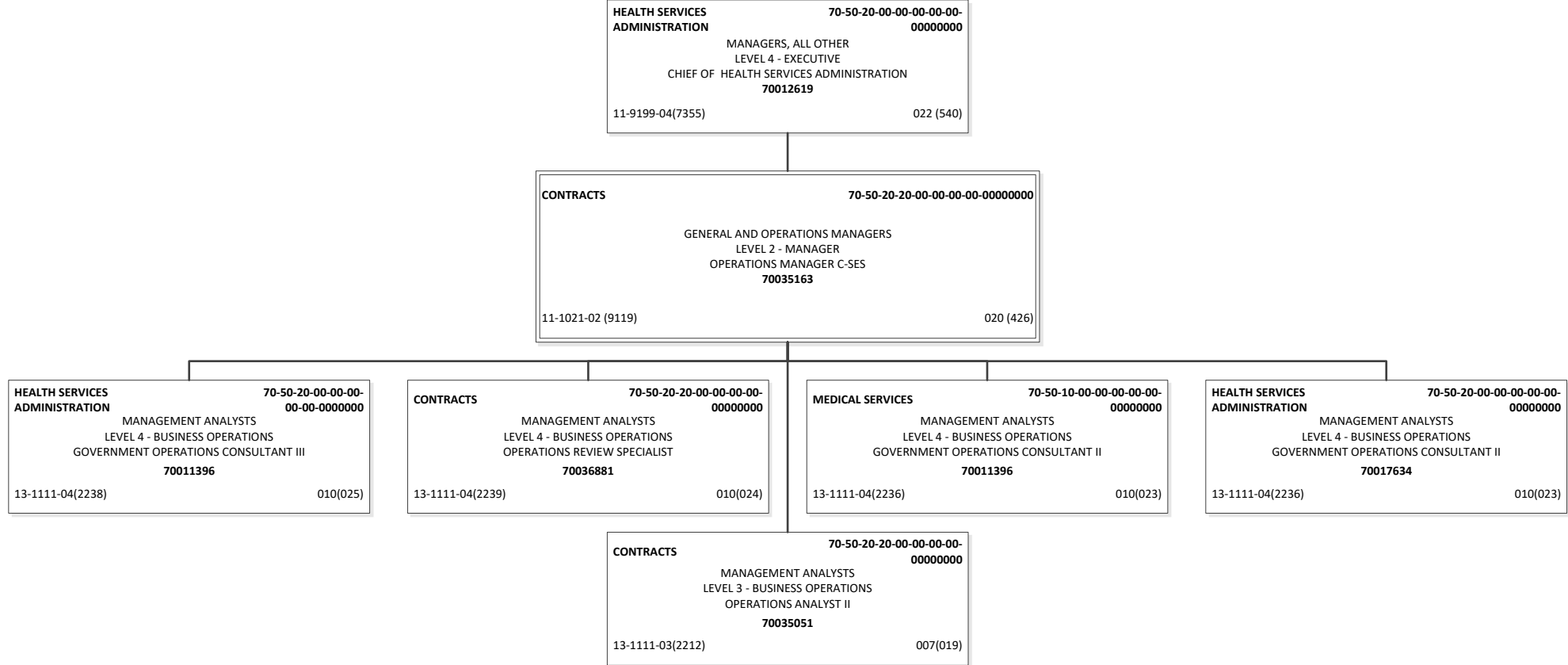


HEALTH SERVICE ADMINISTRATION CONTRACTS (35163)

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

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

CURRENT

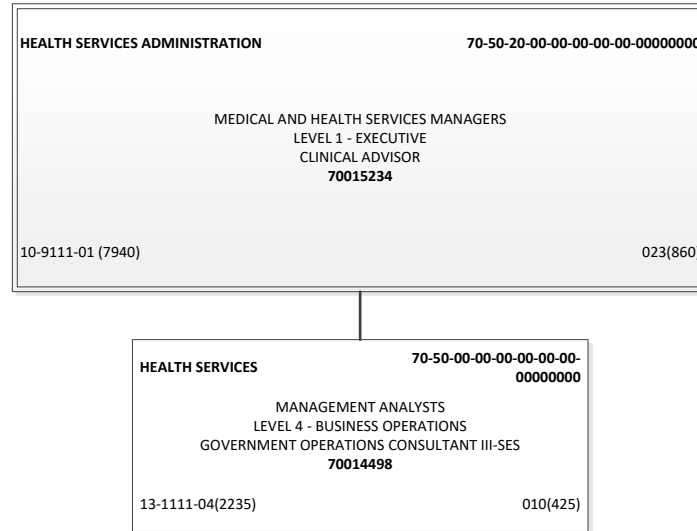


HEALTH SERVICE ADMINISTRATION (15234)

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

Section/Subsection: HEALTH SERVICES
Section/Subsection:

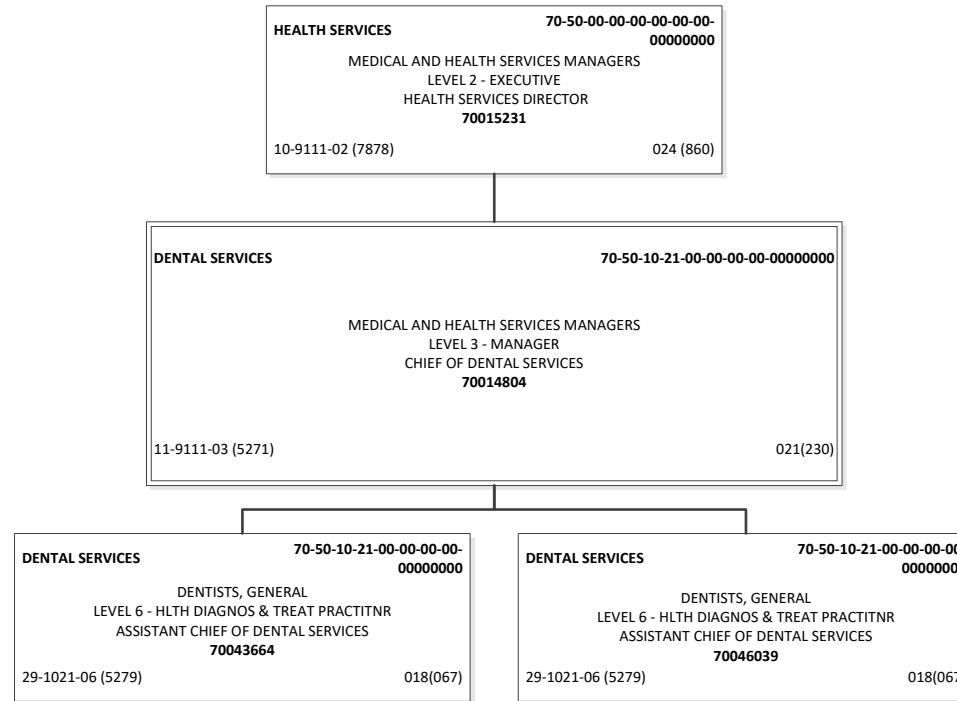
CURRENT



DENTAL SERVICES (14804)

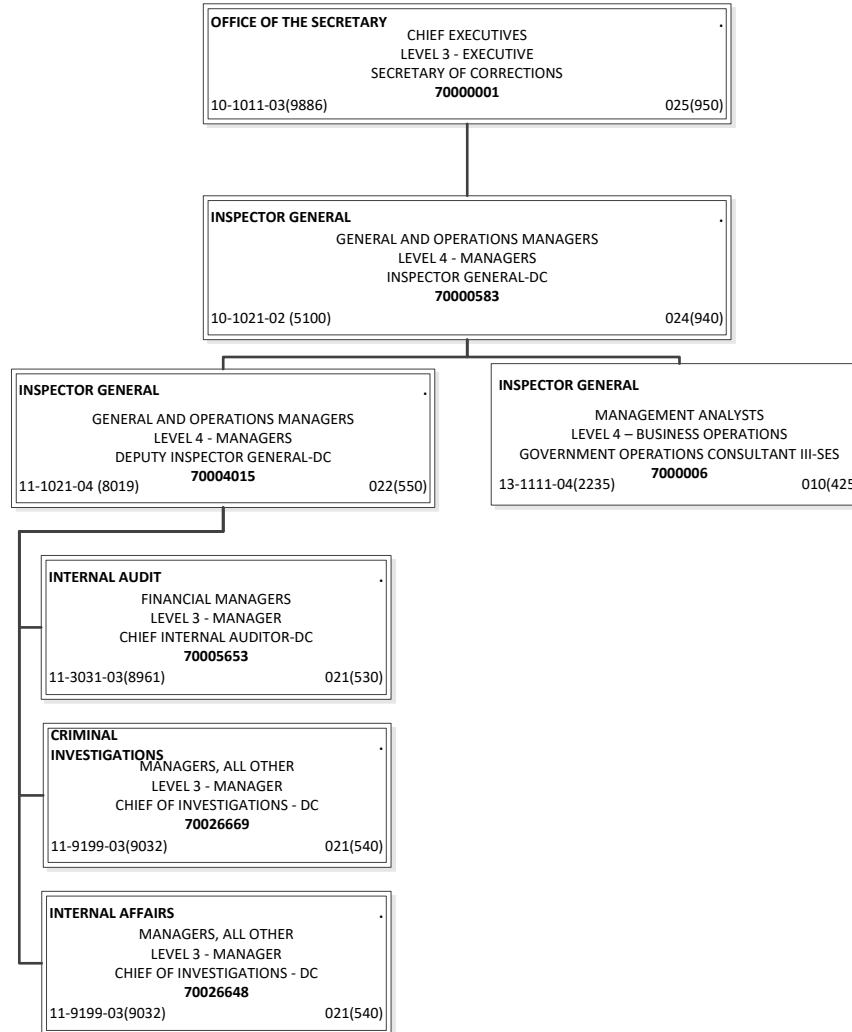
Name of Agency: DEPARTMENT OF CORRECTIONS
Division/Comparable: OFFICE OF THE SECRETARY/HEALTH SERVICES
Bureau/Comparable: DENTAL SERVICES
Section/Subsection:

CURRENT



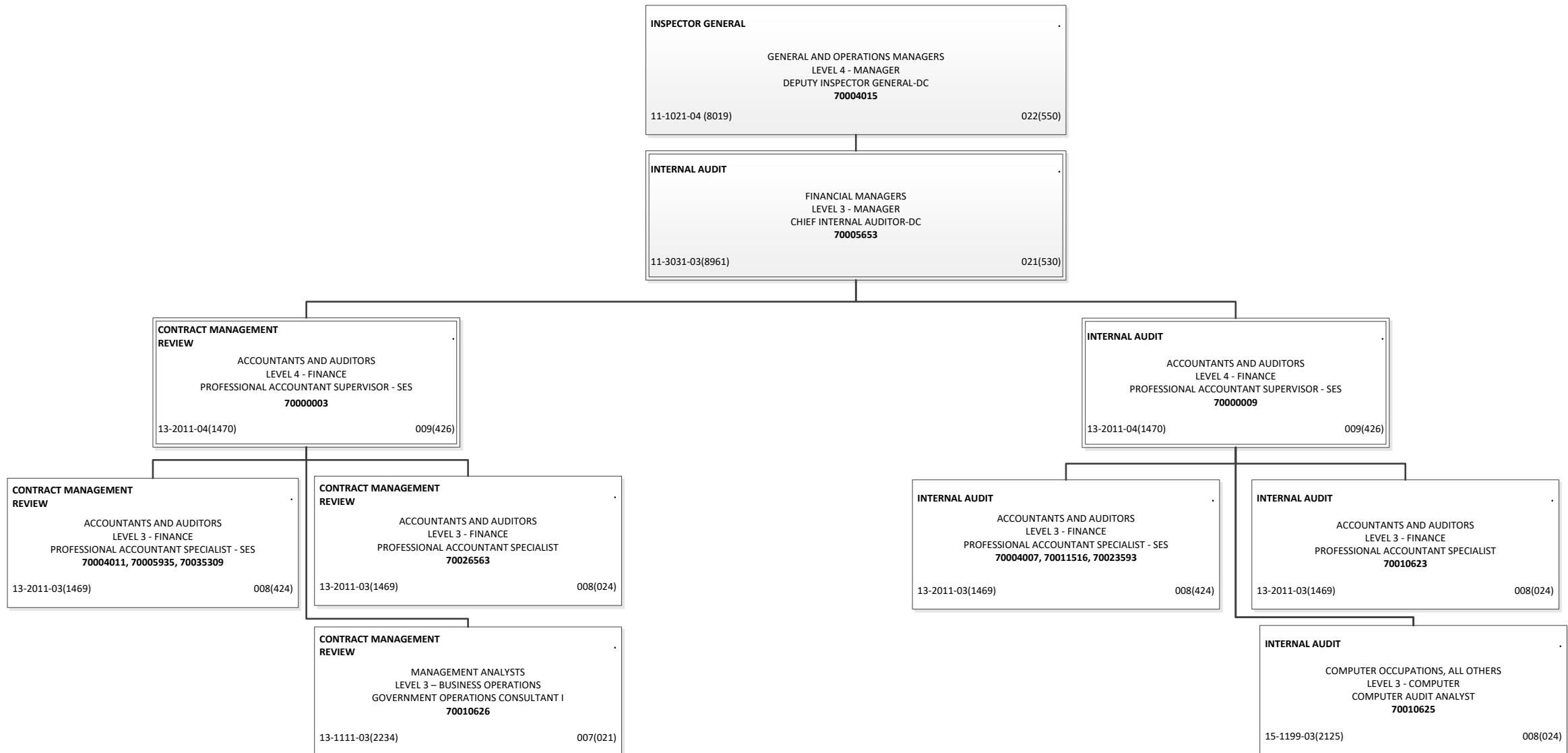
DEPARTMENT OF CORRECTIONS
INSPECTOR GENERAL
OVERVIEW

CURRENT



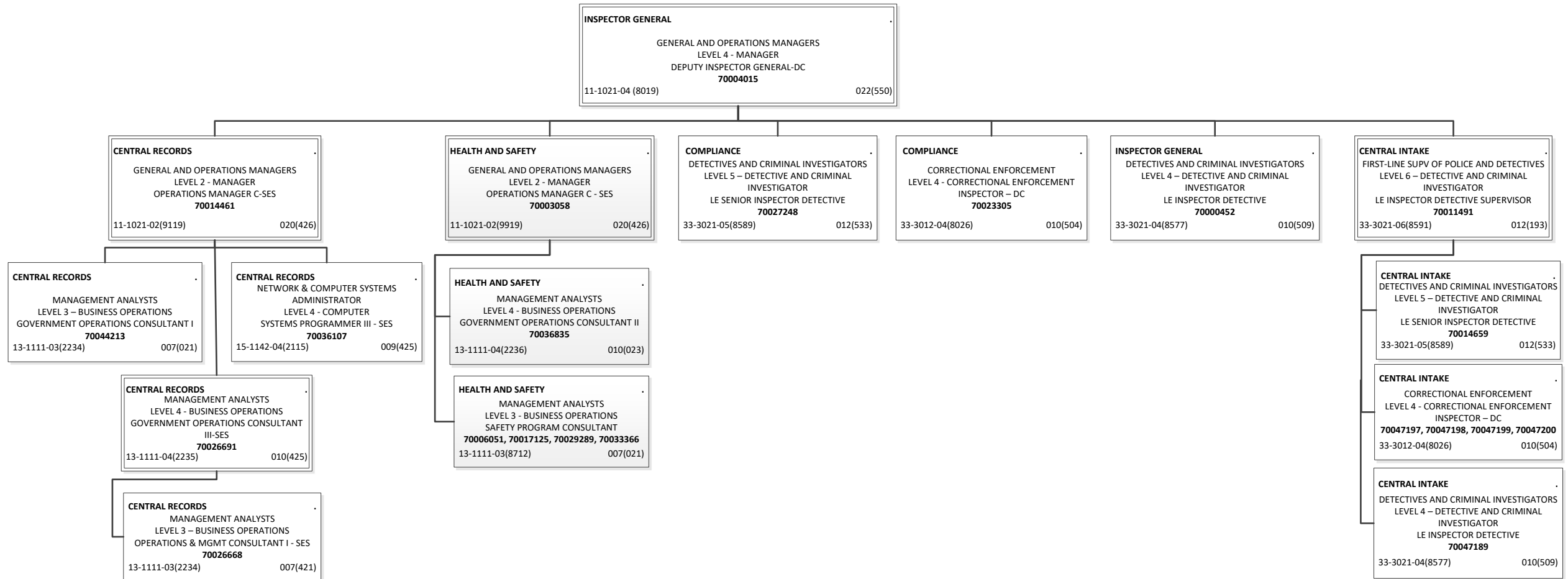
DEPARTMENT OF CORRECTIONS
OFFICE OF INSPECTOR GENERAL
BUREAU OF INTERNAL AUDIT

CURRENT



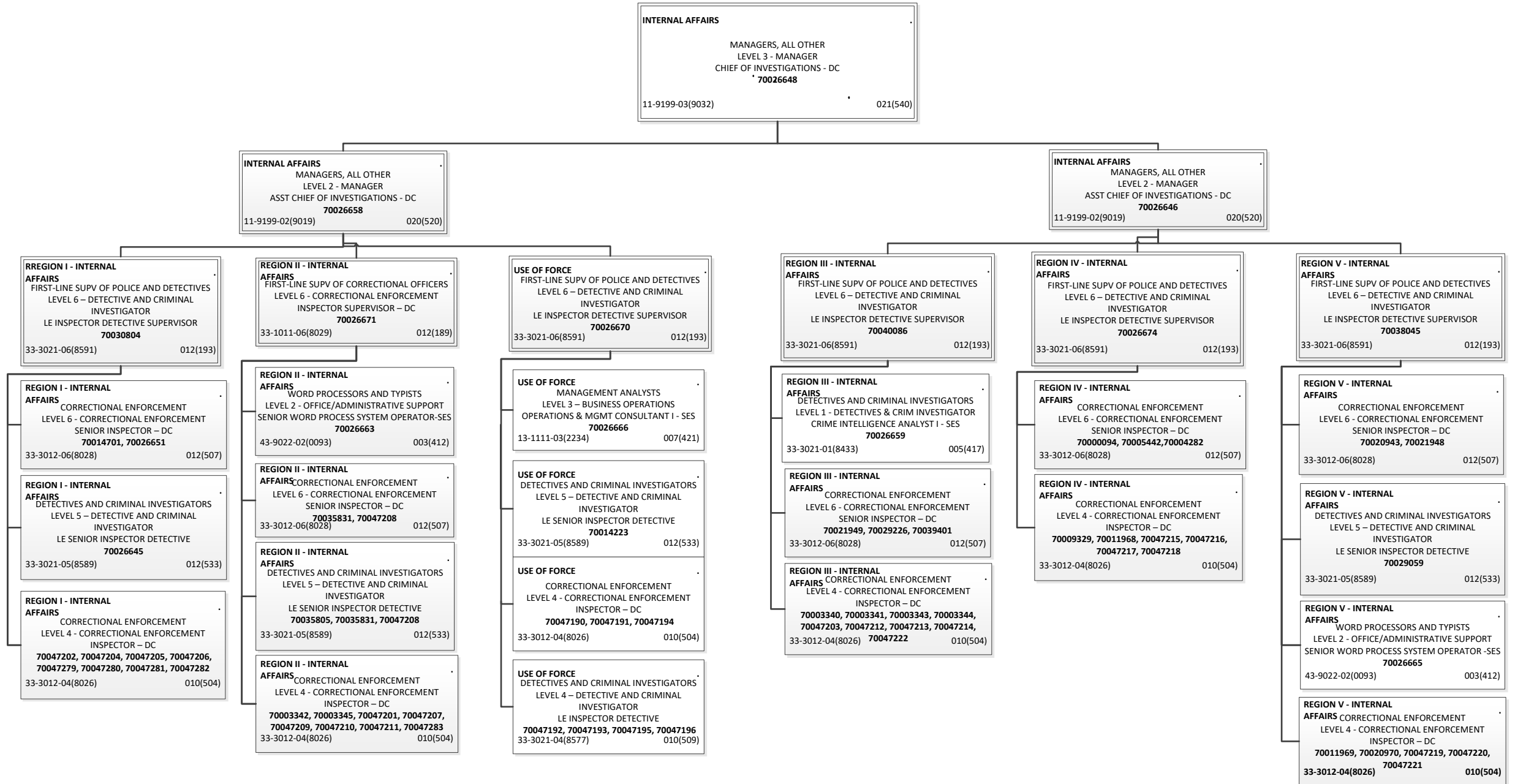
DEPARTMENT OF CORRECTIONS
OFFICE OF INSPECTOR GENERAL

CURRENT



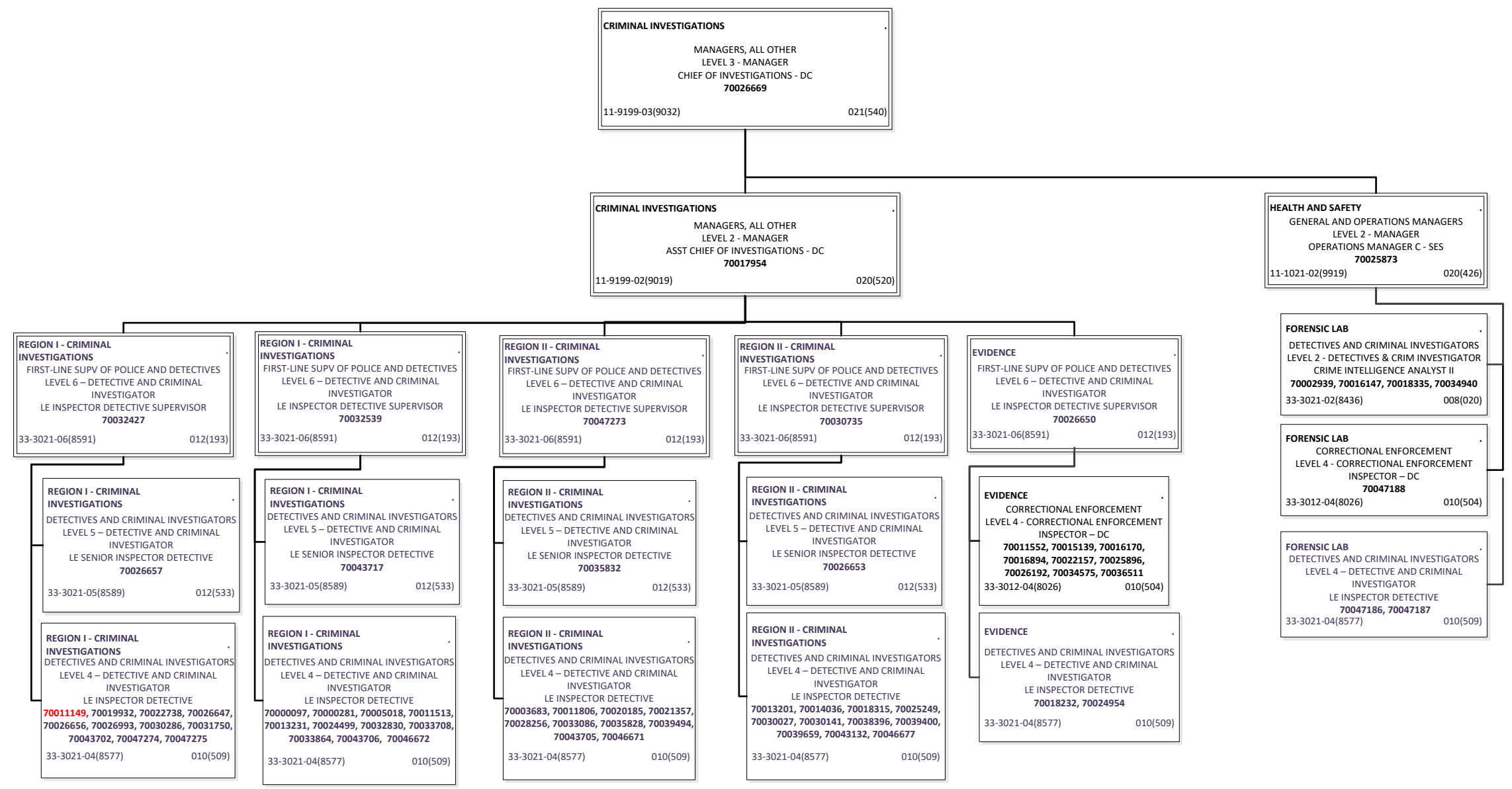
DEPARTMENT OF CORRECTIONS
INSPECTOR GENERAL
BUREAU OF INTERNAL AFFAIRS

CURRENT



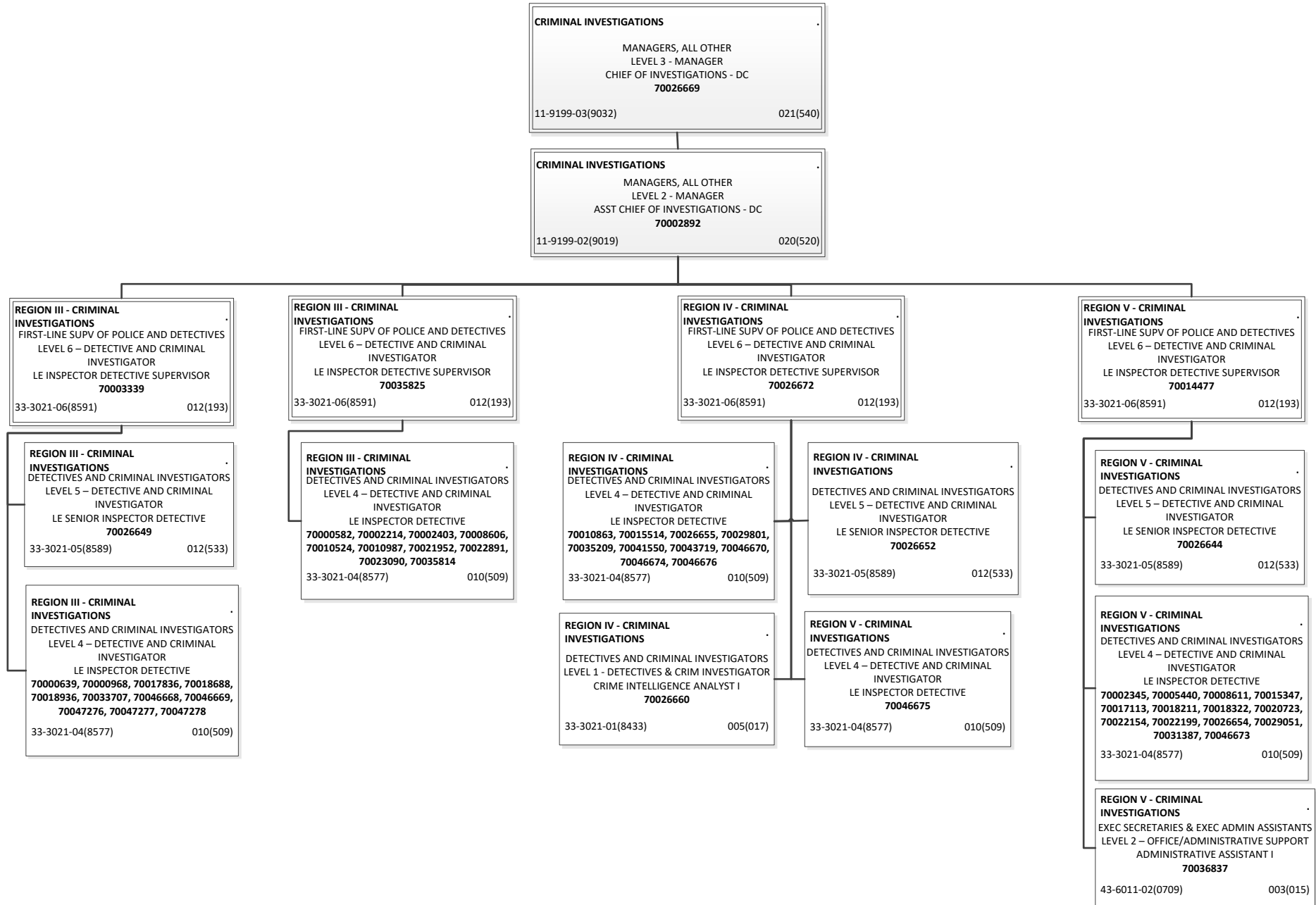
DEPARTMENT OF CORRECTIONS
INSPECTOR GENERAL
BUREAU OF CRIMINAL INVESTIGATIONS

CURRENT



DEPARTMENT OF CORRECTIONS
INSPECTOR GENERAL
BUREAU OF CRIMINAL INVESTIGATIONS

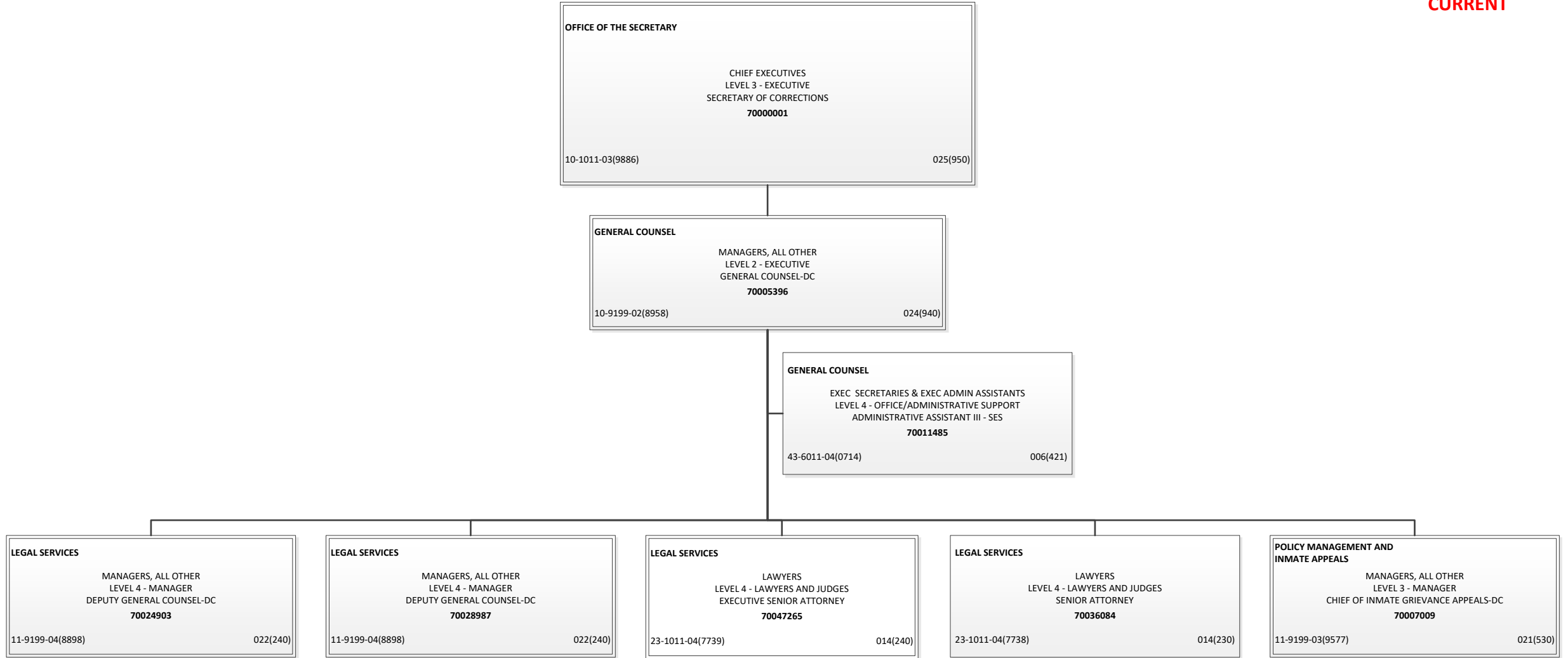
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GC OVERVIEW

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

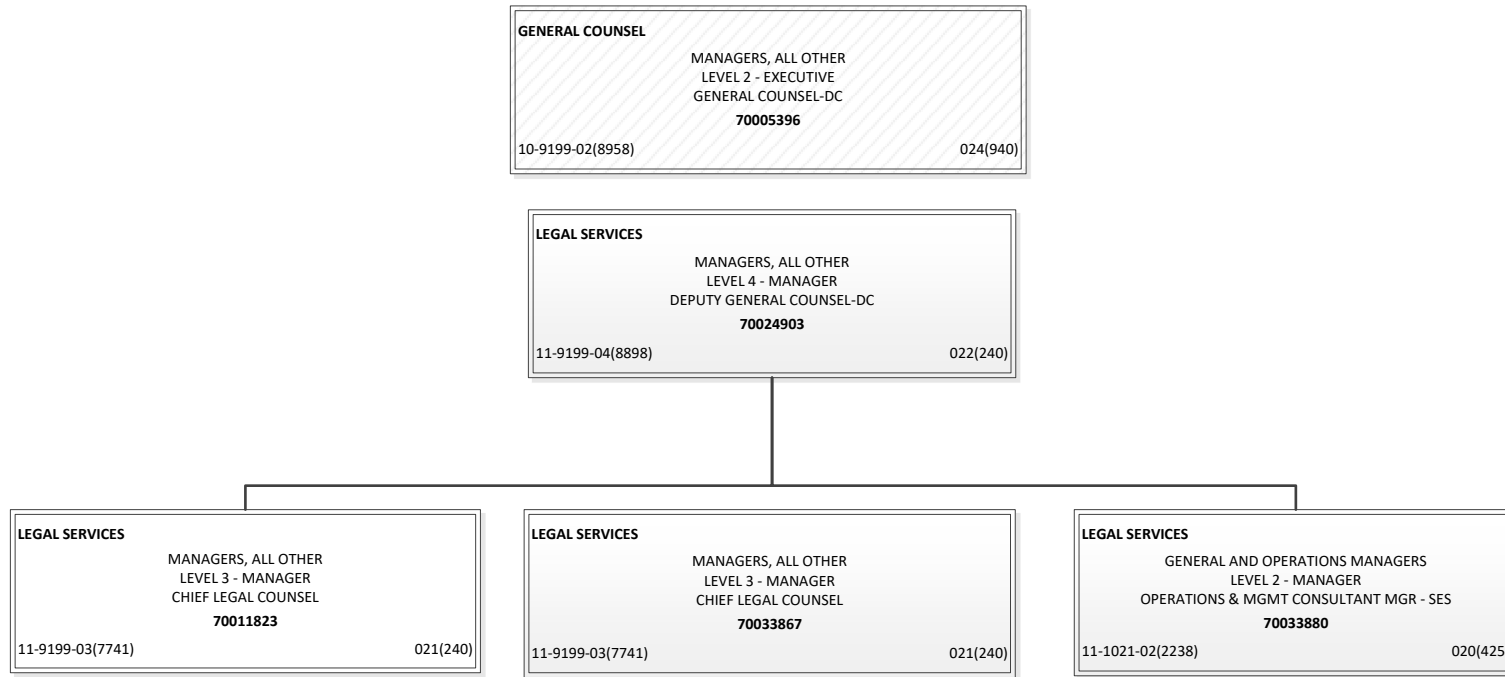
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LEGAL SERVICES (Deputy General Counsel-DC) 70024903

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

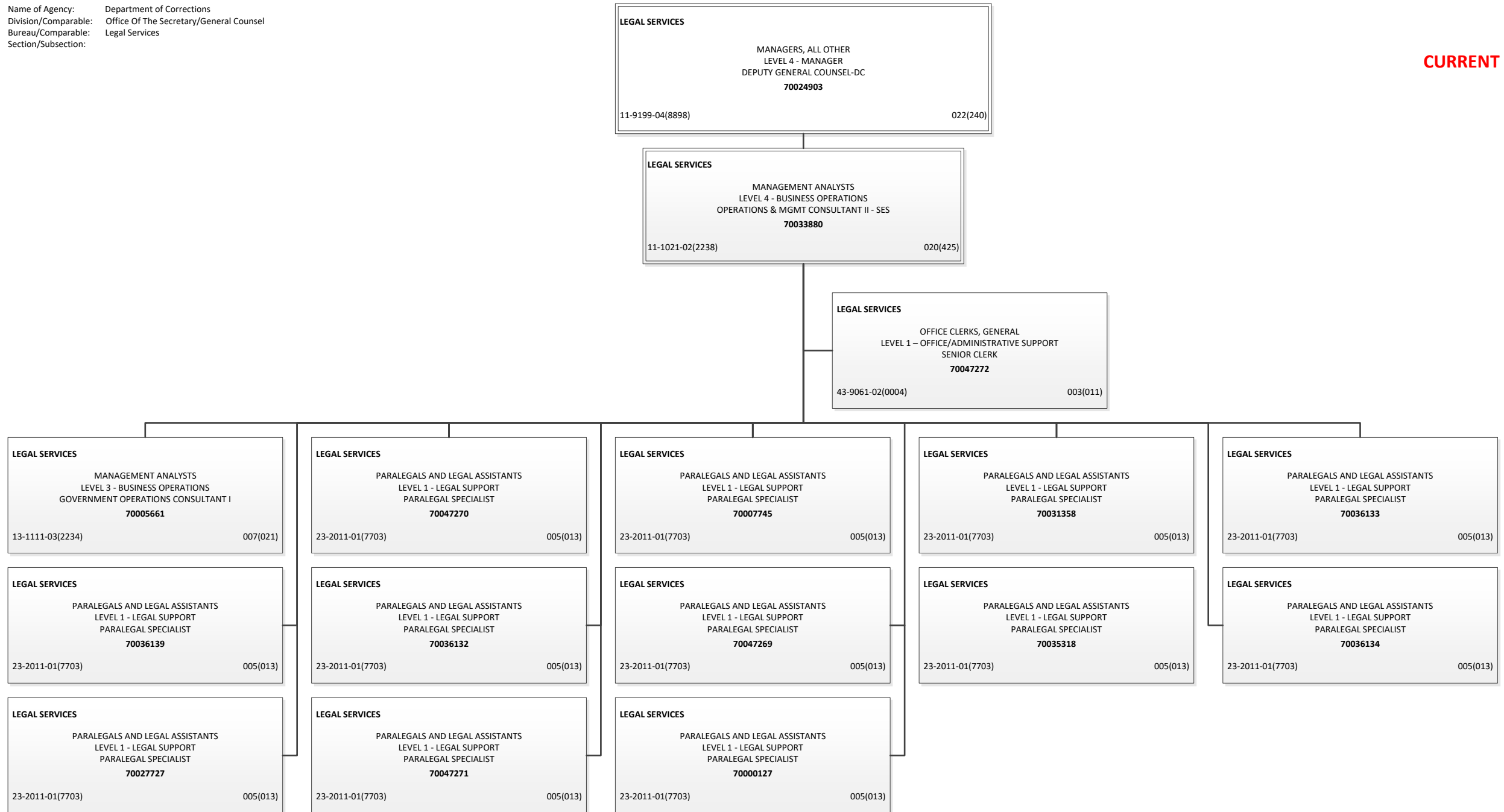
CURRENT



LEGAL SERVICES (OMC II 70033880)

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

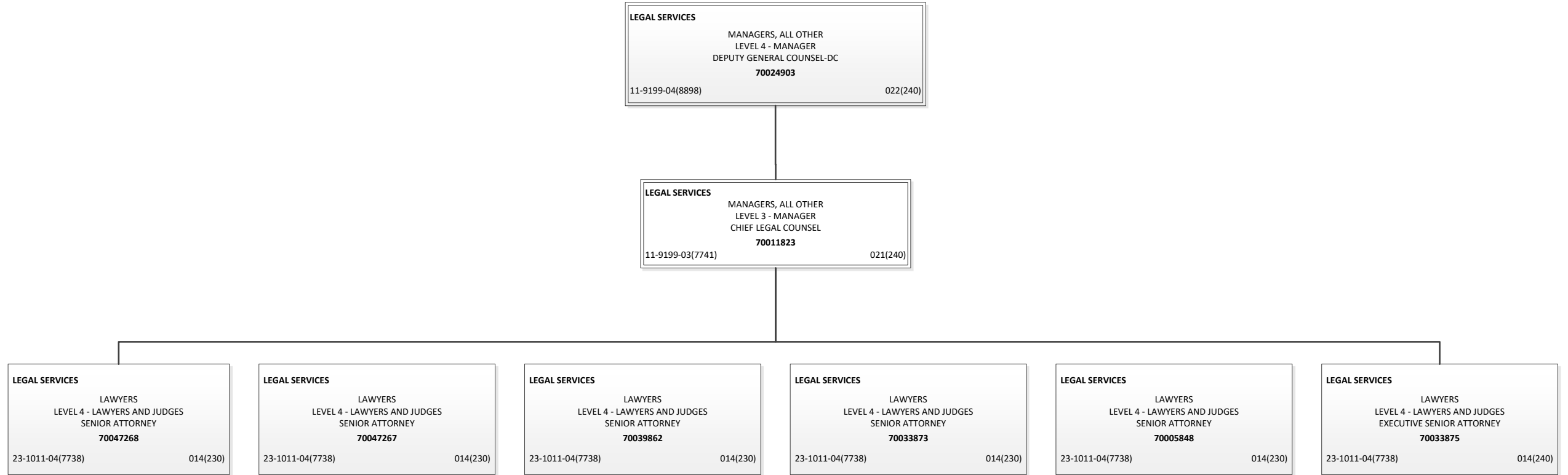
CURRENT



LEGAL SERVICES (CHIEF LEGAL COUNSEL) 70011823

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

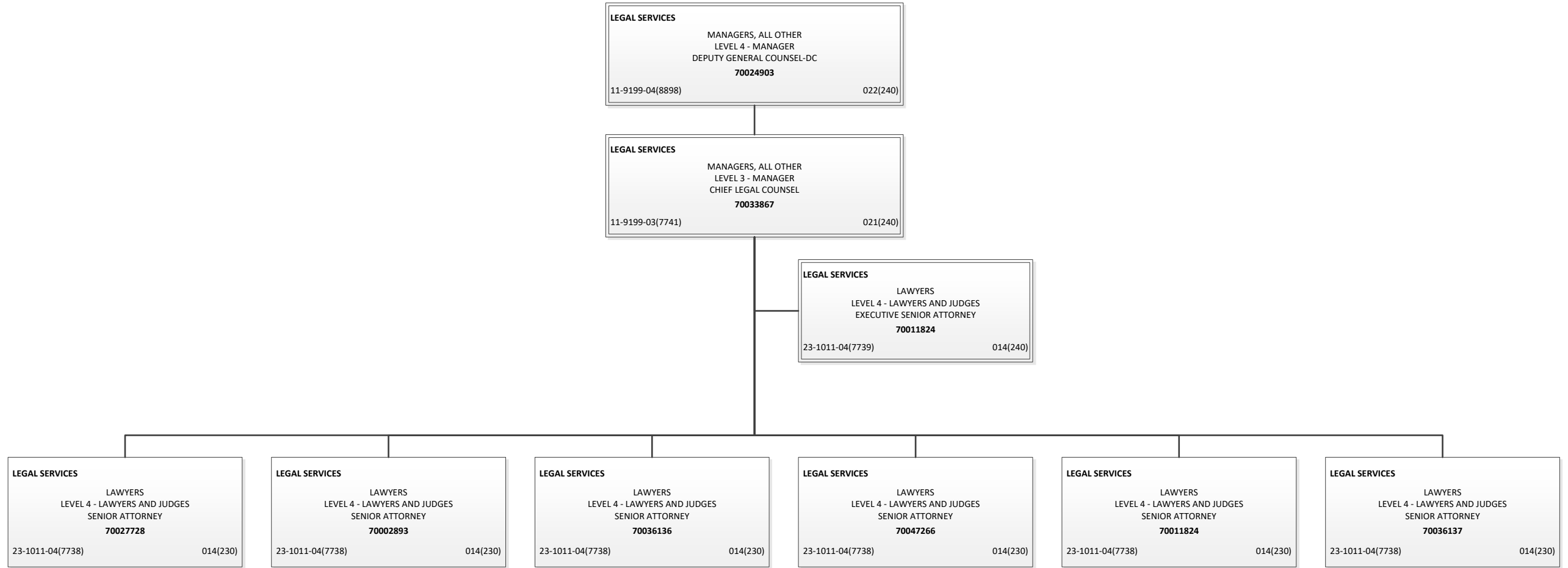
CURRENT



LEGAL SERVICES (CHIEF LEGAL COUNSEL) 70033867

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

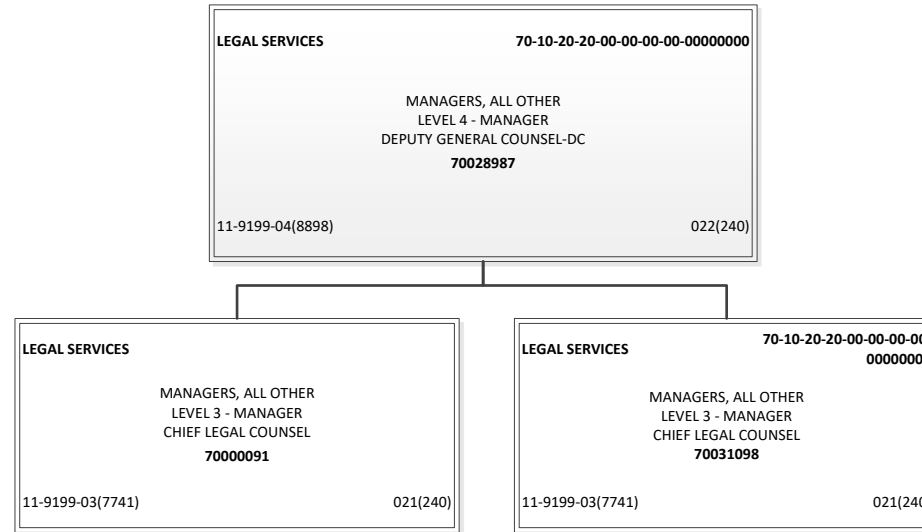
CURRENT



LEGAL SERVICES (Attorney 70028987)

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

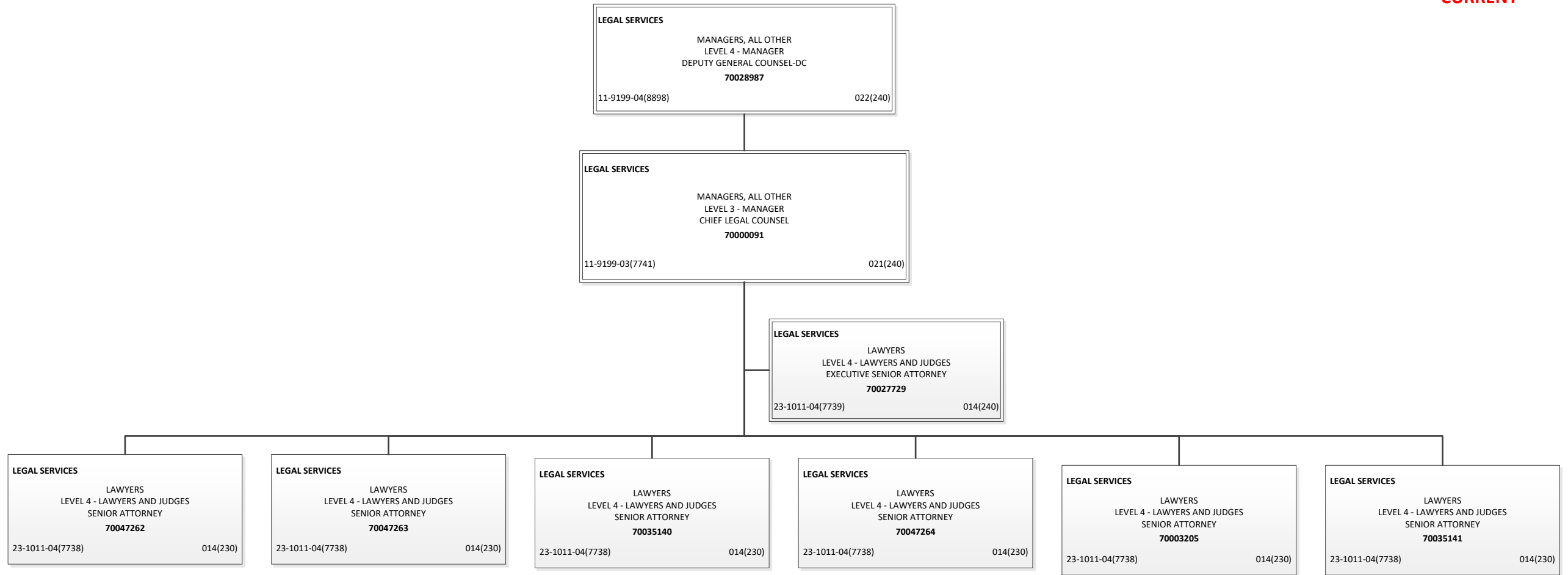
CURRENT



LEGAL SERVICES (Attorney 7000091)

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

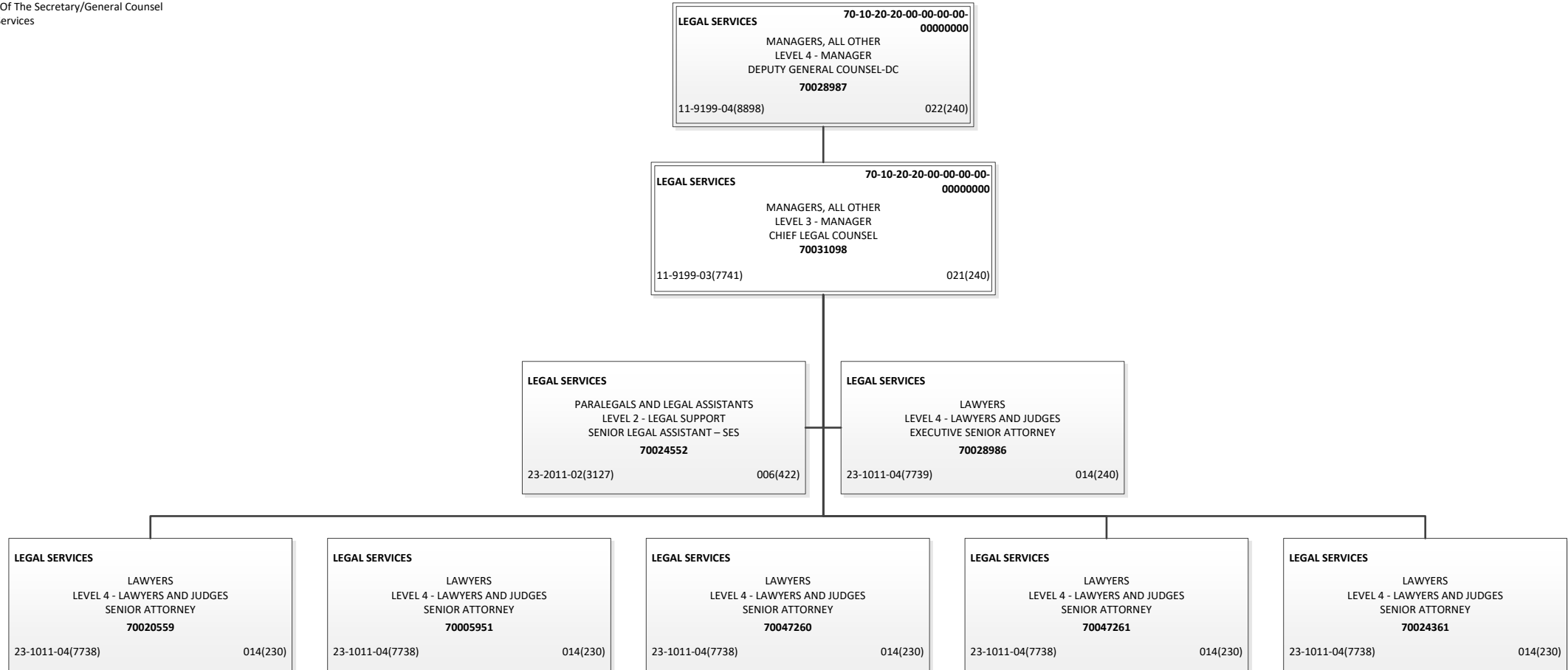
CURRENT



LEGAL SERVICES (Attorney Supervisor 70031098)

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

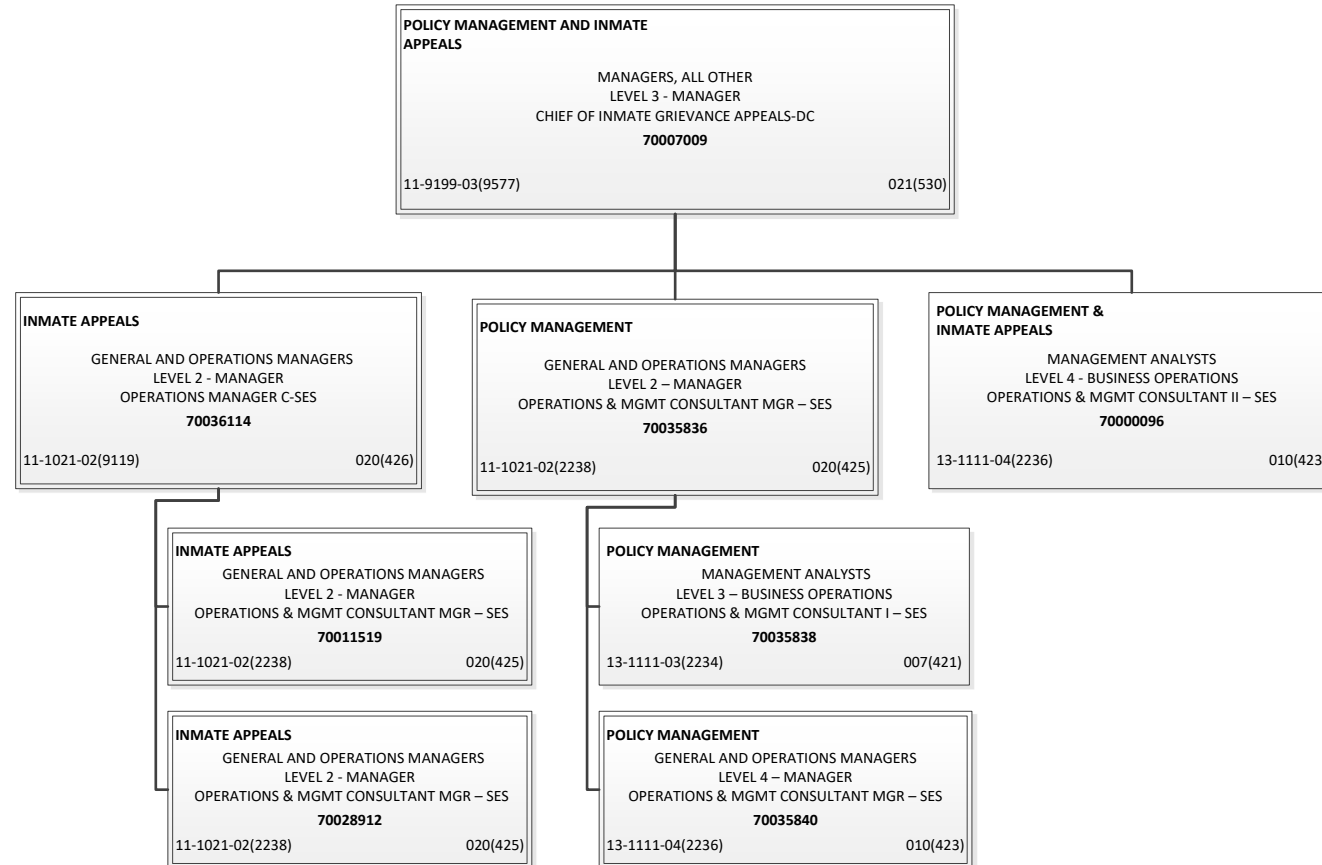
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LEGAL SERVICES (Attorney Supervisor 70007009)

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

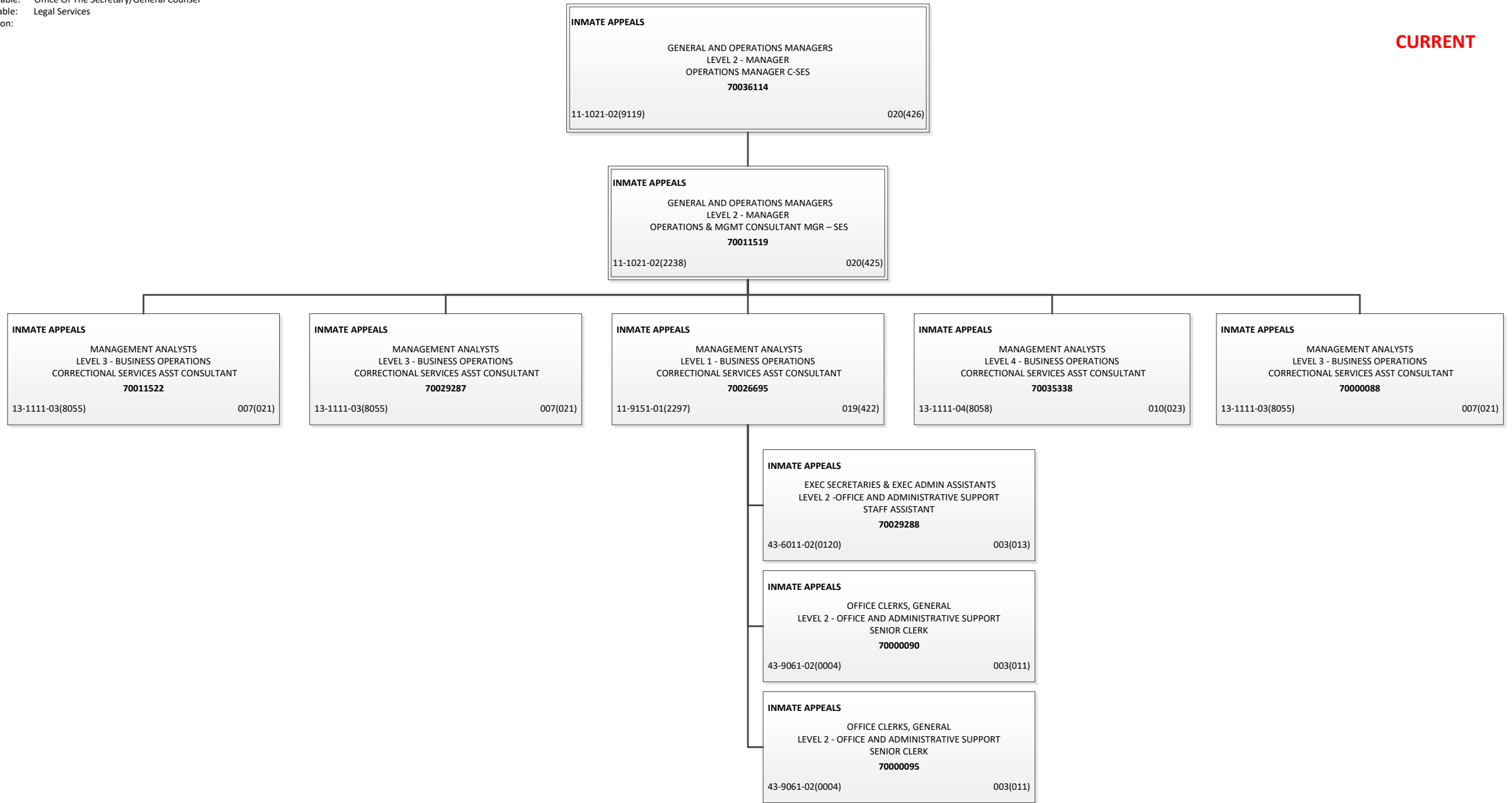
CURRENT



LEGAL SERVICES (Attorney Supervisor 70011519)

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

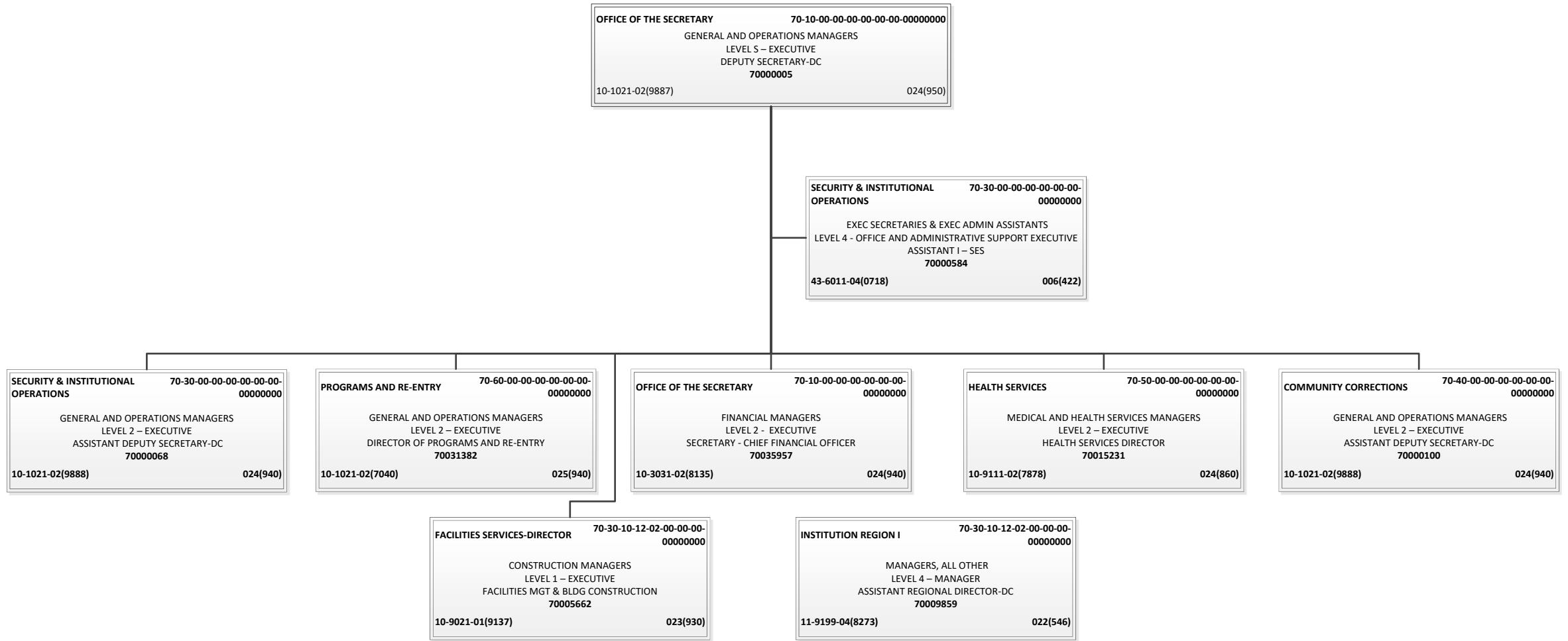
CURRENT



OFFICE OF SECRETARY

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

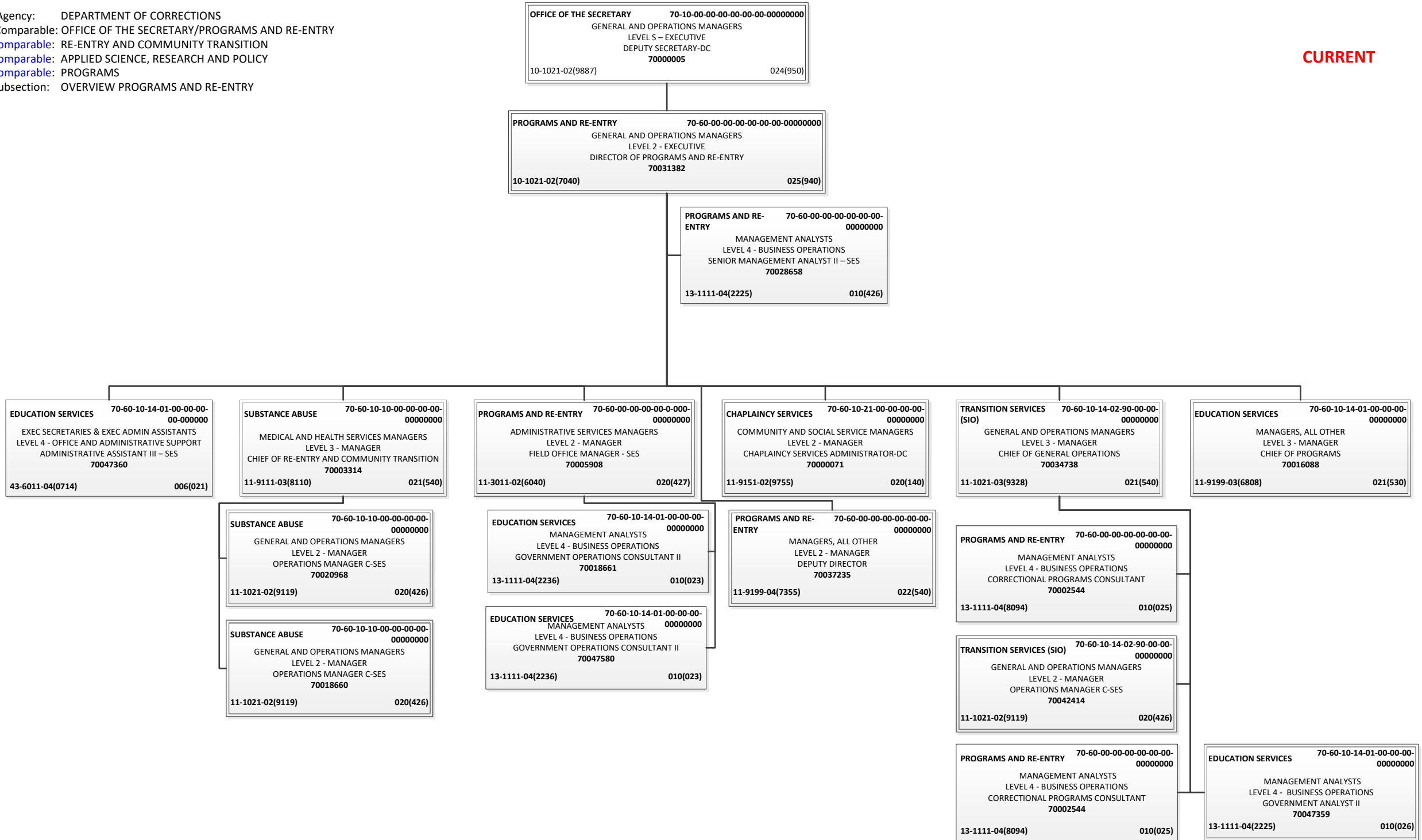
CURRENT



#31382 PROGRAMS AND RE-ENTRY OVERVIEW

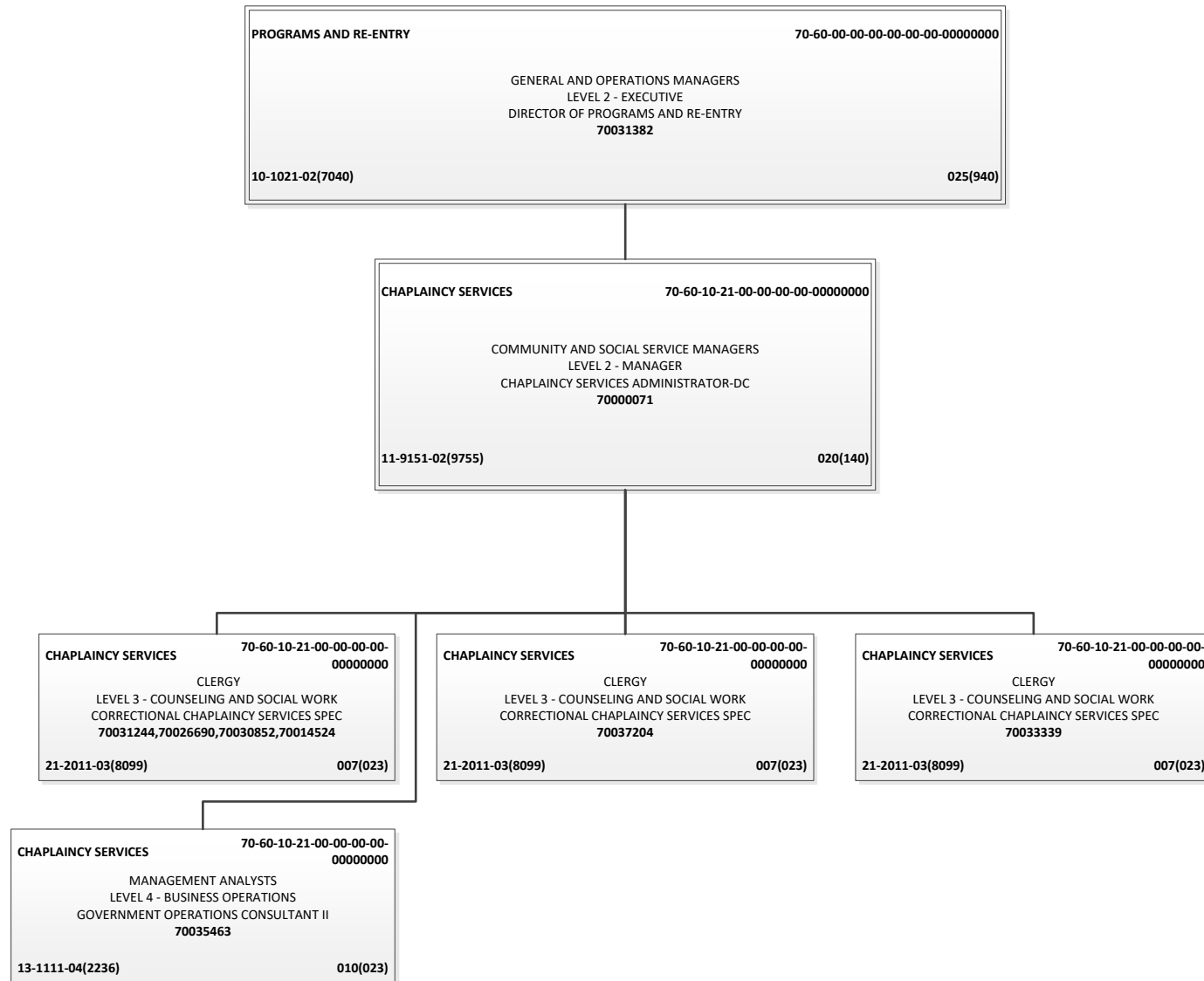
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: RE-ENTRY AND COMMUNITY TRANSITION
 Bureau/Comparable: APPLIED SCIENCE, RESEARCH AND POLICY
 Bureau/Comparable: PROGRAMS
 Section/Subsection: OVERVIEW PROGRAMS AND RE-ENTRY

CURRENT



#00071 CHAPLAINCY SERVICES

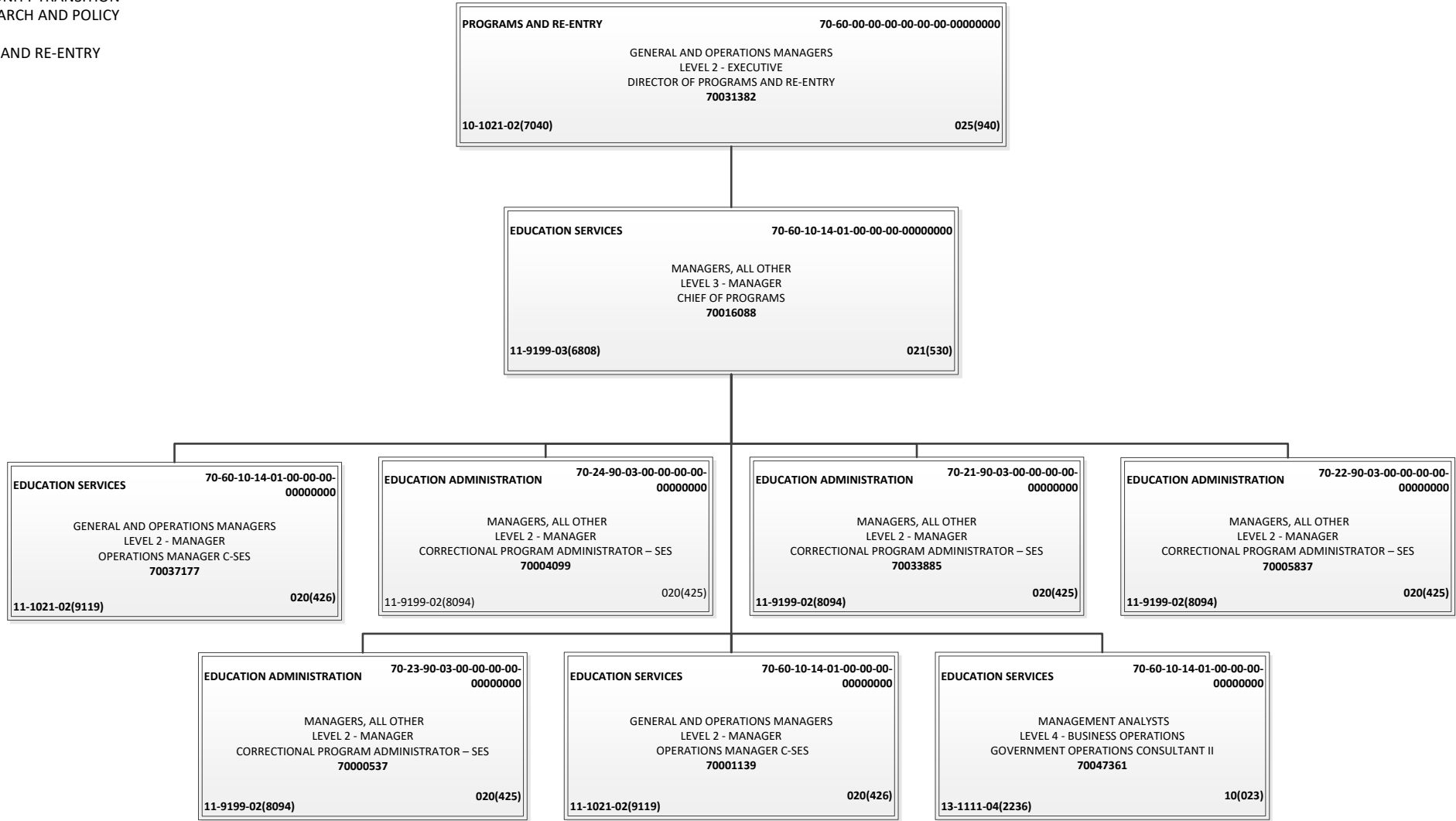
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: RE-ENTRY AND COMMUNITY TRANSITION
 Bureau/Comparable: APPLIED SCIENCE, RESEARCH AND POLICY
 Bureau/Comparable: PROGRAMS
 Section/Subsection: OVERVIEW PROGRAMS AND RE-ENTRY



#16088 CHEIF OF PROGRAMS

CURRENT

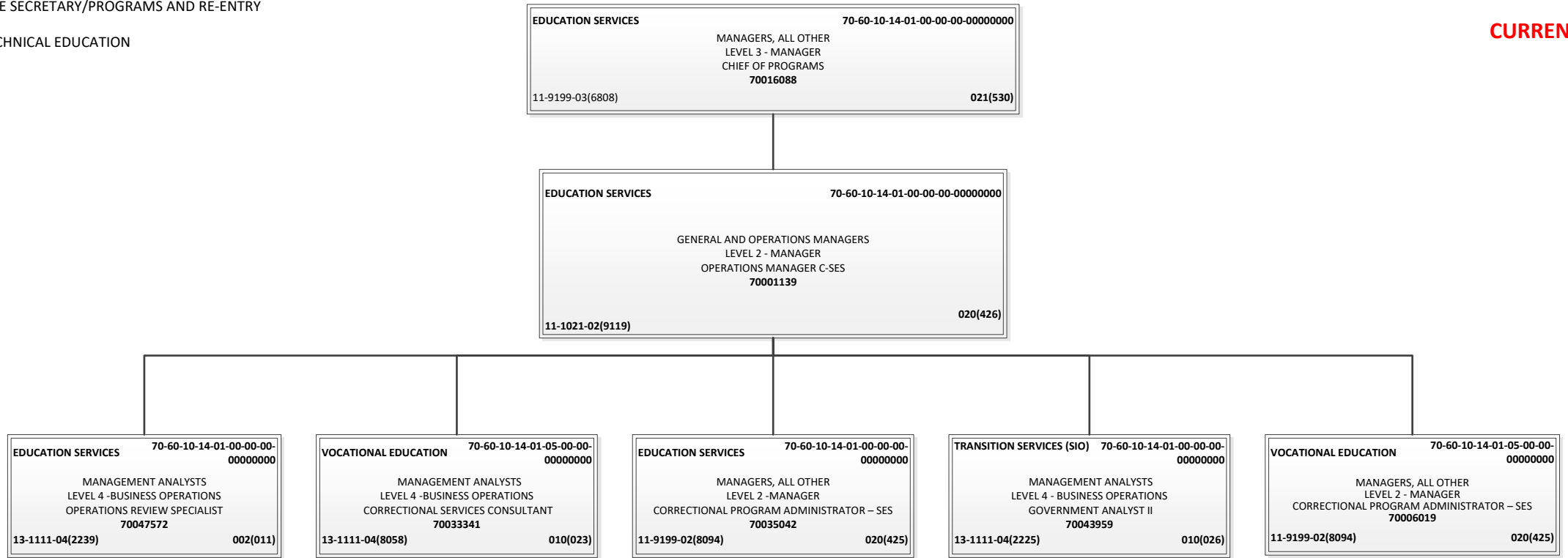
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: RE-ENTRY AND COMMUNITY TRANSITION
 Bureau/Comparable: APPLIED SCIENCE, RESEARCH AND POLICY
 Bureau/Comparable: PROGRAMS
 Section/Subsection: OVERVIEW PROGRAMS AND RE-ENTRY



CAREER & TECHNICAL EDUCATION

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

CURRENT



#34738 TRANSITION SERVICES

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

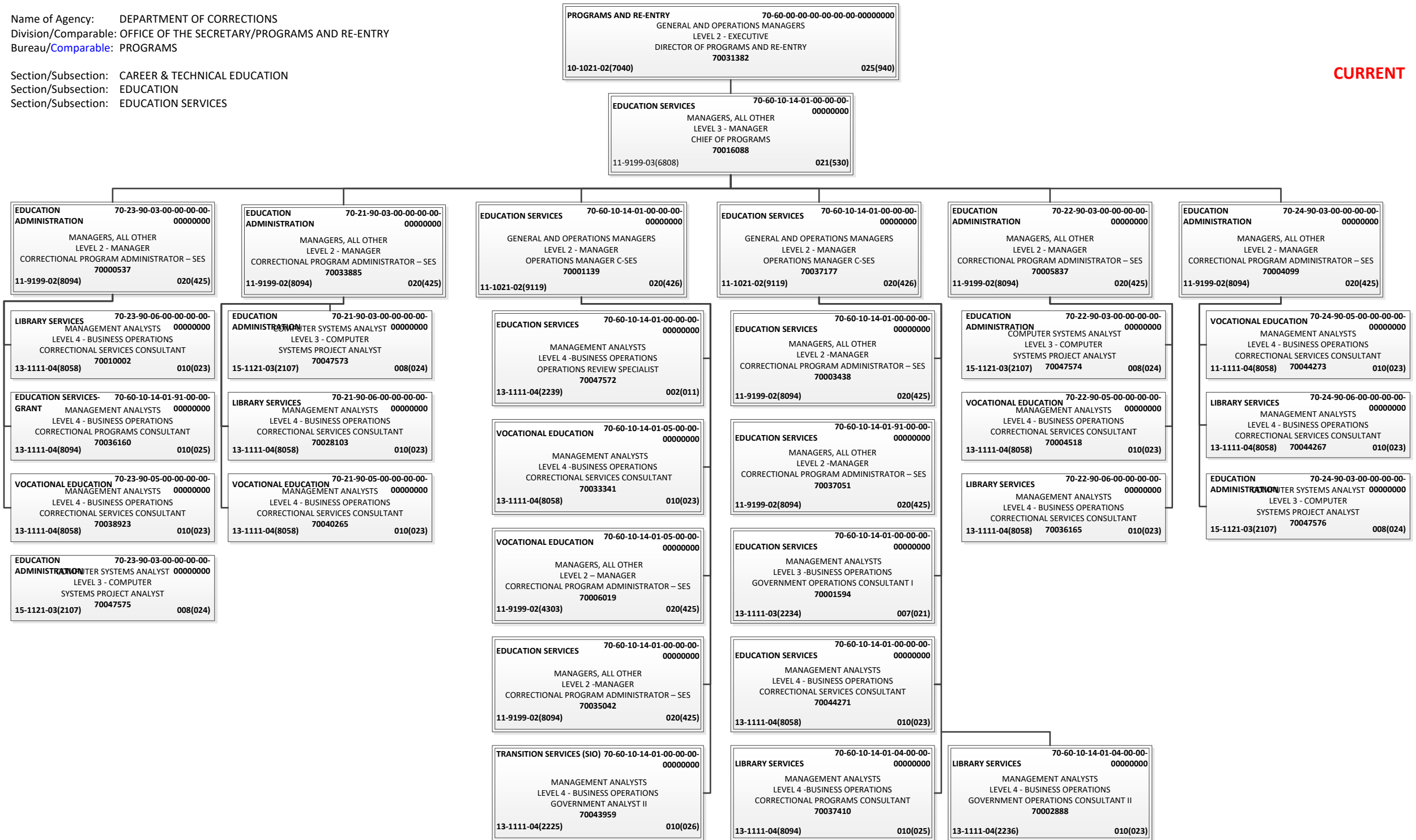


EDUCATION SERVICES

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

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

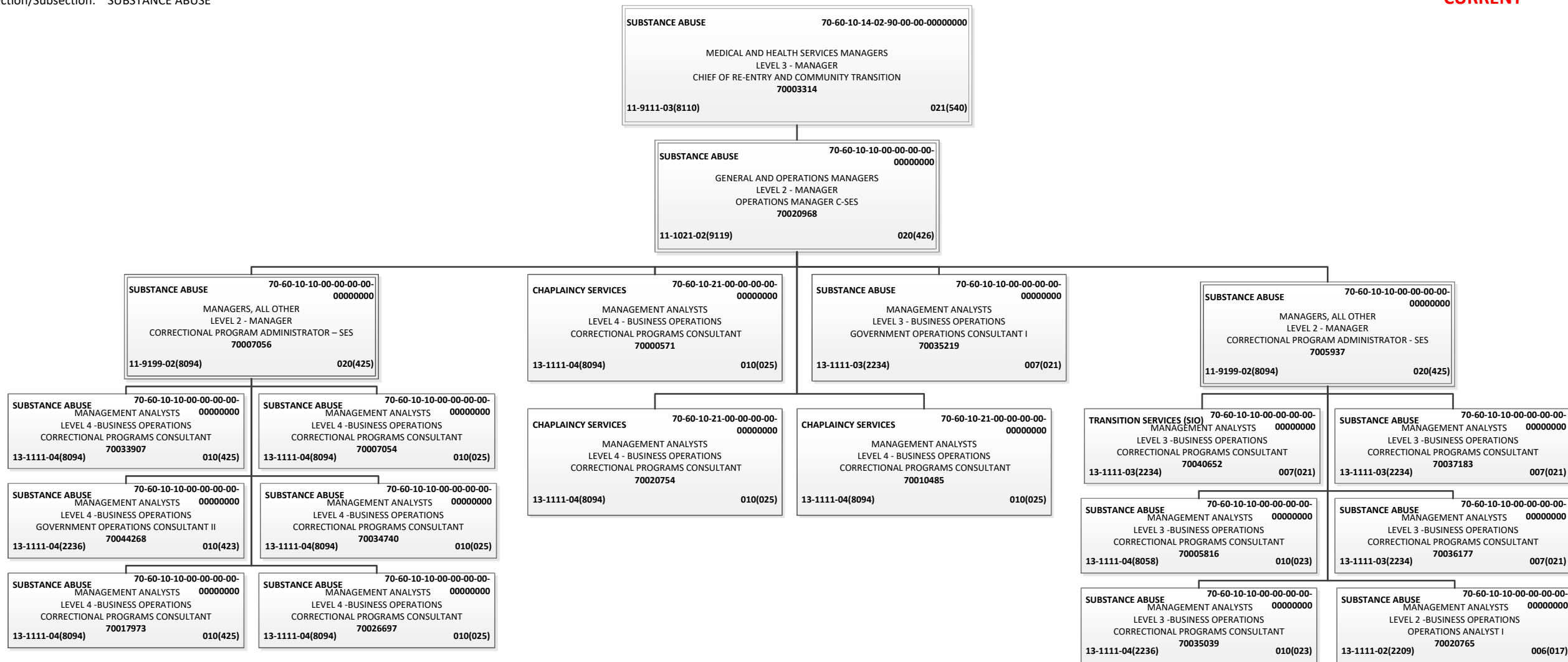
CURRENT



#20968 SUBSTANCE ABUSE

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

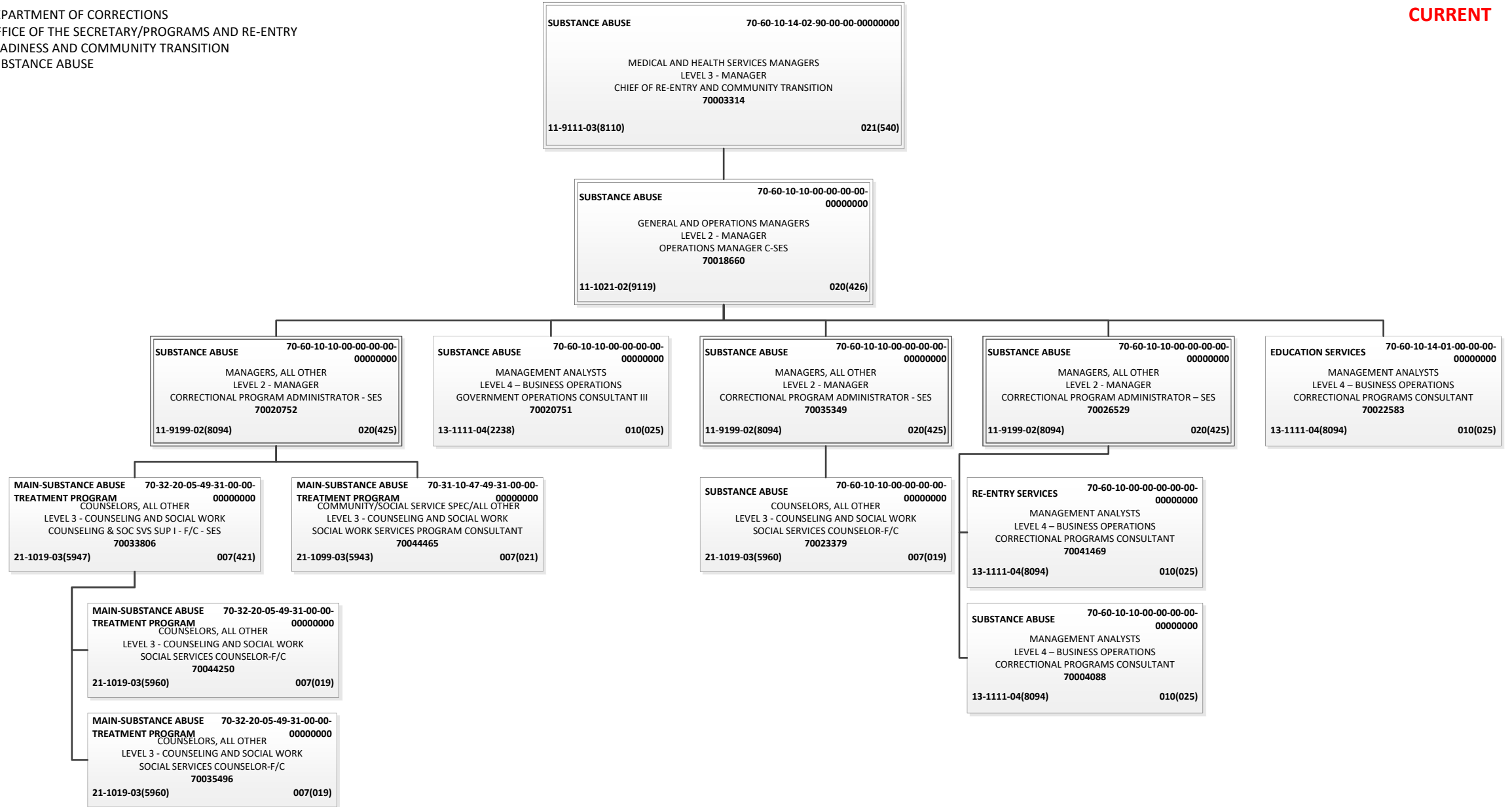
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#18660 SUBSTANCE-ABUSE

CURRENT

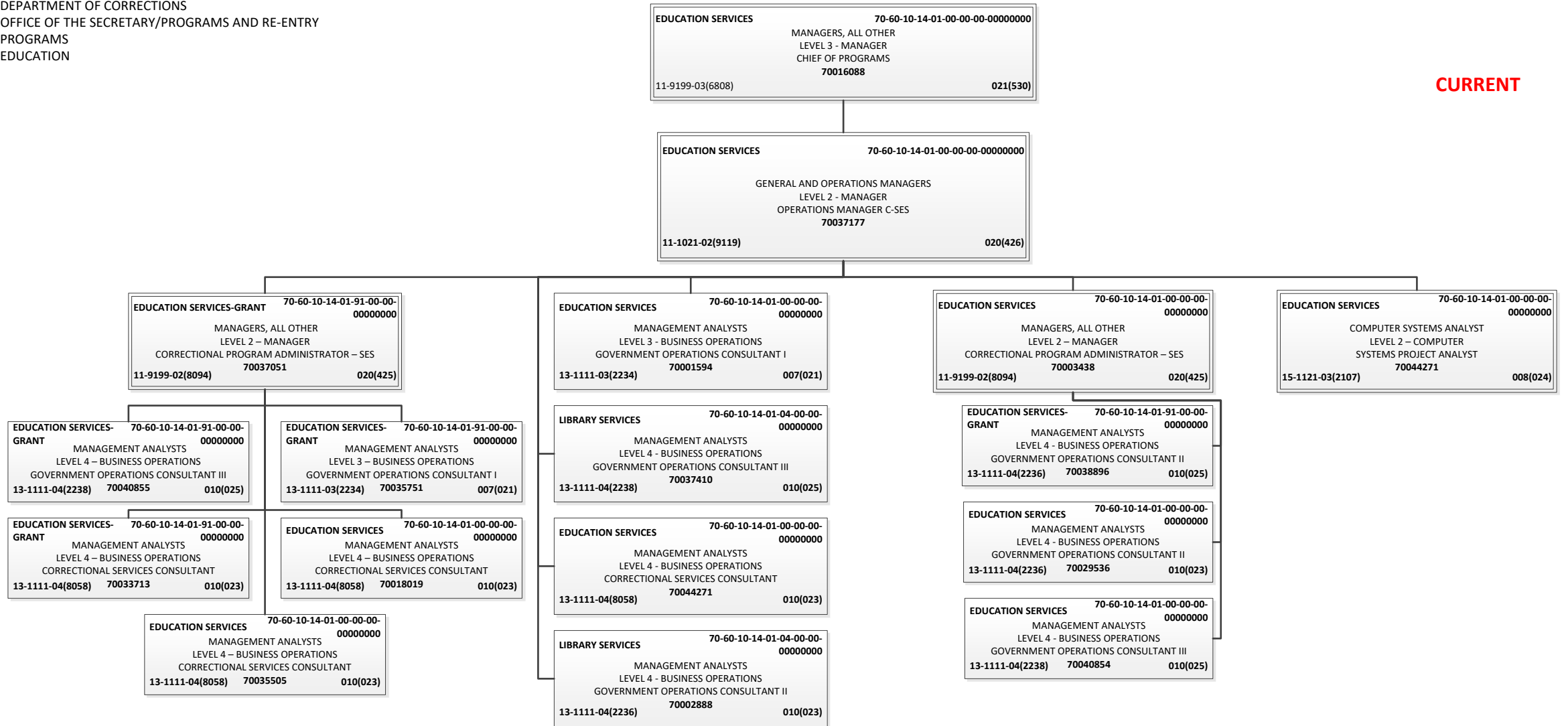
Name of Agency: DEPARTMENT OF CORRECTIONS
 Division/Comparable: OFFICE OF THE SECRETARY/PROGRAMS AND RE-ENTRY
 Bureau/Comparable: READINESS AND COMMUNITY TRANSITION
 Section/Subsection: SUBSTANCE ABUSE



EDUCATION

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

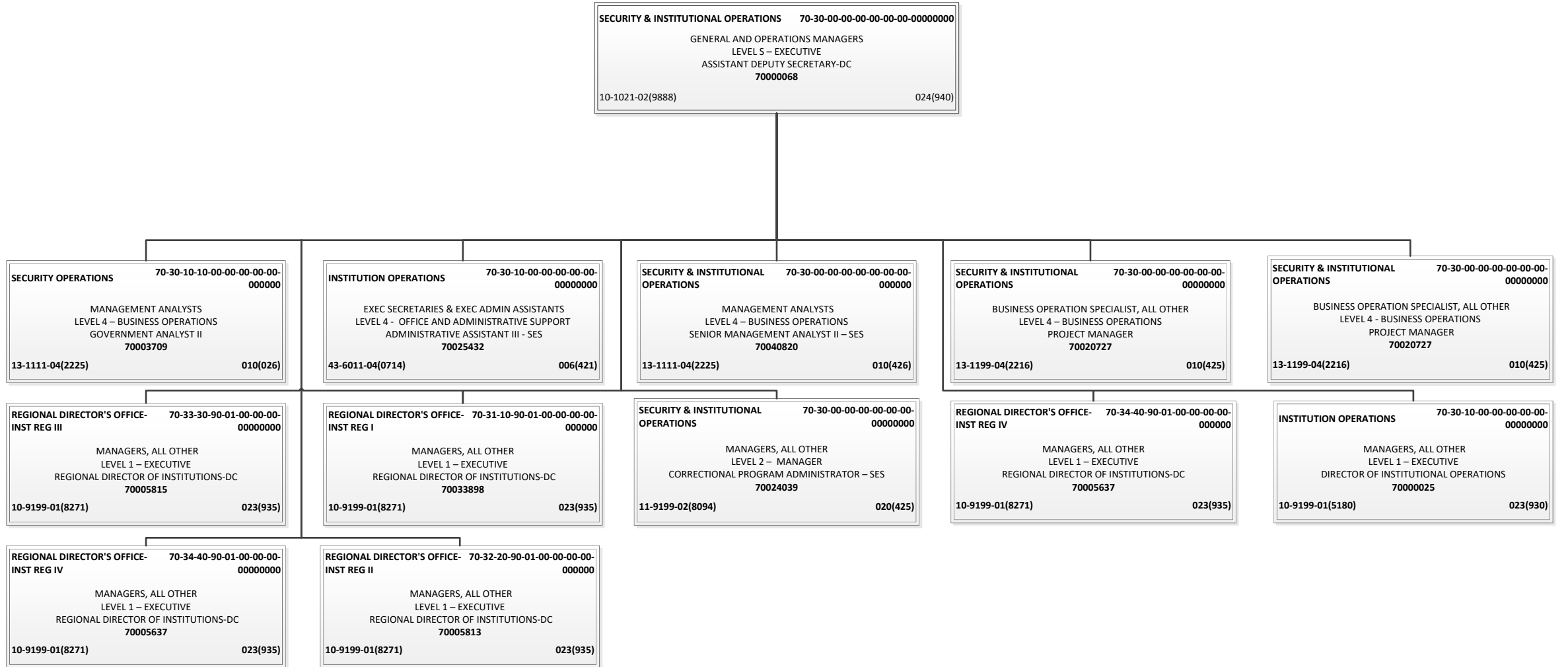
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#00068 SECURITY OPERATIONS

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

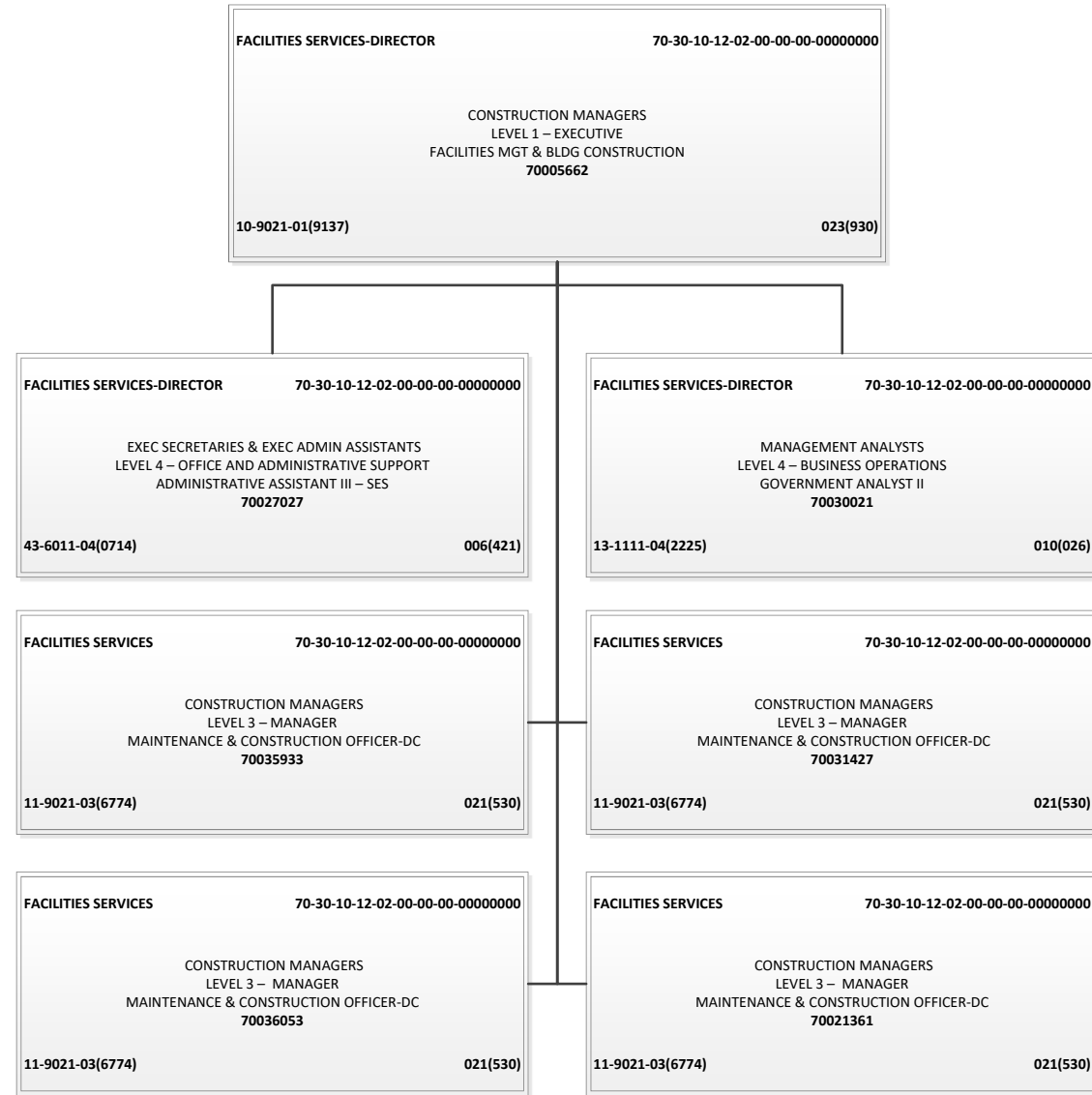
CURRENT



#05662 CONSTRUCTION MANAGERS

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

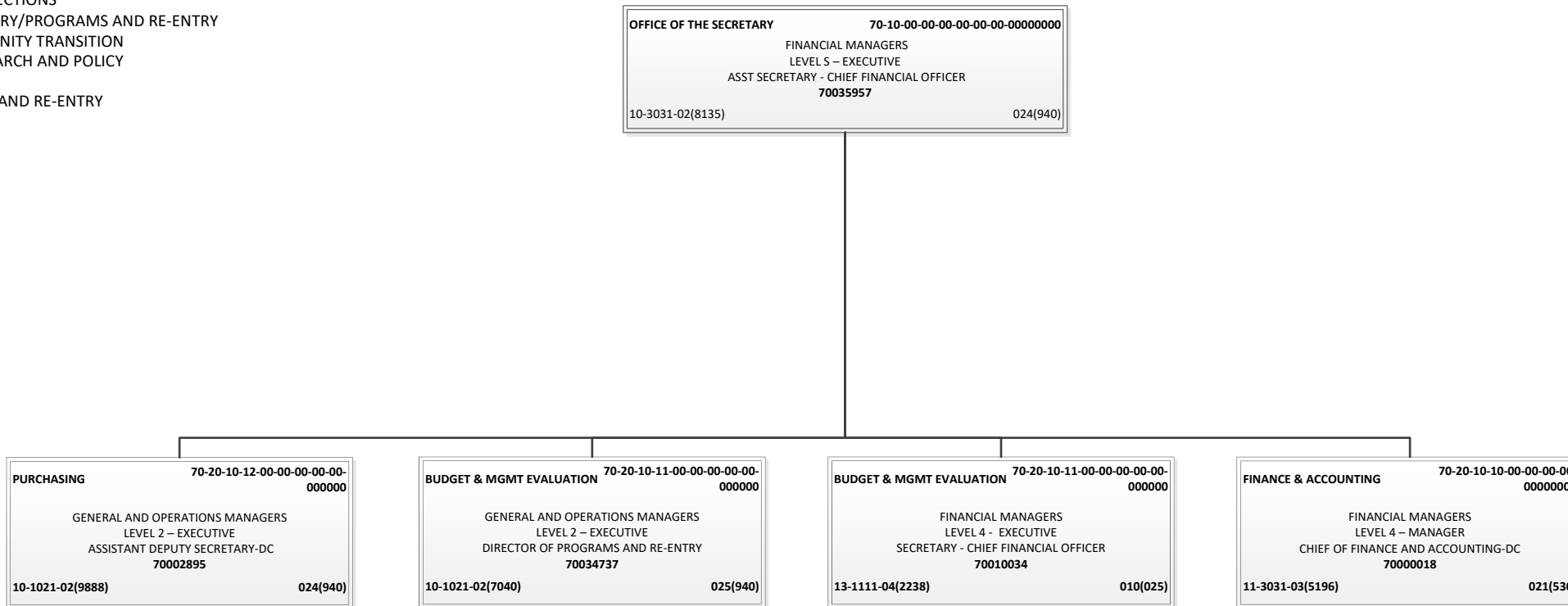
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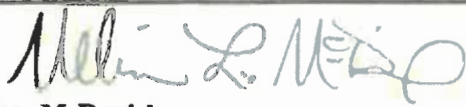
OVERVIEW PROGRAMS AND RE-ENTRY

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

CURRENT



**SCHEDULE XIIB: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS**

Schedule XII-B Cover Sheet and Agency Project Approval	
Agency: Department of Correction	Schedule XII-B Submission Date:
Project Name: Food Service Delivery	Is this project included in the Agency's LRPP? X Yes ___ No
FY 2025-2026 LBR Issue Code: 2300020 2300120	FY 2025-2026 LBR Issue Title: Food Service Contract – Population Increase Food Service Contract – Price Level Increase
Agency Contact for Schedule XII-B (Name, Phone #, and E-mail address): Mark Tallent, 850-717-3019, Mark.Tallent.fdc.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII-B in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII-B.	
Agency Head:  Printed Name: Ricky D. Dixon	Date: 10/15/24
Agency Chief Information Officer: (If applicable)  Printed Name: TIMOTHY FITZGERALD	Date: 10/15/24
Budget Officer:  Printed Name:	Date: 10/15/24
Planning Officer:  Printed Name: Melissa McDaniel	Date: 10/15/24
Project Sponsor:  Printed Name: Melissa McDaniel	Date: 10/15/24

**SCHEDULE XIIB-1: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS
– BACKGROUND INFORMATION**

Background Information
<p>1. Provide a narrative summary describing the agency’s decision to outsource or privatize the service or activity.</p> <p>Attach to Schedule XII-B copies of the original business case and cost benefit analysis. If these documents are unavailable, attach any documents which state the original intention of the outsourcing or privatization initiative that will detail its goals, objectives, and expected outcomes. Such documents may include (a) original legislative budget requests, (b) original budget amendments, (c) legislative presentations, or (d) agency planning documents.</p>
<p>Pursuant to Chapter 945, Florida Statutes (F.S.), the Florida Department of Corrections (Department) is responsible for the supervision and protective care, custody, and control of all Inmates. Pursuant to Rule 33-204.003 Food Services – Standards of Operation. (1) General, part of that care includes that Inmates shall receive three meals per day. This schedule describes the Department’s intention to expand the outsourced food service operations to additional institutions.</p> <p>Previously, the Food Service and Farms programs within the Bureau of Contract Management and Monitoring, within the Office of Administration, provided support to the food service personnel within Institutions. The support included the following:</p> <ul style="list-style-type: none"> • Menu development and recipes, overseen by our Nutrition support team; • Contract management for the food and supplies vendor; • Contract management for the outsourced full-service food service vendor; • Oversight for our Farm and Edible Crop Program (FECF) which provides fresh produce grown on State owned land using Inmate labor—as an additional training program—supervised by FECF personnel and security staff; • Monitoring performance standards by our Field Staff Monitors throughout the State, as well as staff training; and logistical and technical support through our Food Accounting Workbook and our Food Production Workbook, internally-built applications using Microsoft Excel—and the Food Delivery Tracking System—a web-based application built by the Department’s Office of Information Technology (OIT). <p>In FY 2021-2021 the Department outsourced the food service operations. To date \$4,445,849.85 in savings have been realized based on the planned costs and actual/revised costs.</p>

2. Have the anticipated cost savings and benefits of the initiative been realized? Explain.

The Department did not expect outsourcing food services to provide direct cost savings, though some costs are averted or transferred to the Contractor.

- Since food service staff members work for the Institution, the cost of time spent by Institutional staff recruiting and hiring new staff has been averted.
- Since the Contractor would be responsible to train their own staff, the cost of time spent by our regional monitoring staff conducting training and the cost of materials currently to train food service staff has been transferred.
- Since the Contractor is responsible to fill temporary vacancies or no-shows affecting timely food service, the cost of time spent by security staff doing so has been averted.

3. Provide a narrative description of the competitive solicitation used to outsource or privatize the service or activity.

Attach a copy of any competitive solicitation documents, requests for quote(s), service level agreements, or similar documents issued by the agency for this competitive solicitation, which are deemed by the agency not to be confidential or exempt from public records requirements if available.

The Department currently receives state-wide service food operations from Aramark Correctional Services. The food services operations include:

1. Management and oversight of food preparation, food storage, and food service;
2. Supply of food and non-food products required to complete food service;
3. Labor, licenses, equipment, and supplies necessary to provide food for Inmates, staff, and official visitors as authorized under Florida law, except as otherwise described herein; and
4. Food waste removal and grease trap services.

The Department issued a competitive solicitation expanding full-service food operations to 25 locations statewide. The expanded services sought include maintenance, repair, and replacement of food service and kitchen equipment, and payment of the Department's dishwasher leasing costs. Two (2) vendors participated in the competitive solicitation process; however, only one (1) vendor's reply was responsive. With less than two (2) responsive replies received, the Department determined it to be in the best interest of the State to negotiate the best terms and conditions of a contract in lieu of resoliciting competitive replies (Section 287.057(6), Florida Statutes (F.S.)).

The Department negotiated terms and conditions of the prospective contract with both Trinity and Aramark Corporation (Aramark) from April 2021 through November 2021. The Department's Negotiation Team now recommended awarding a contract to Aramark to provide full-service food operations.

See attached Award Memo.

<p>4. Section 287.057(13), <i>Florida Statutes</i>, allows for the renewal of contracts for commodities and contractual services for a period that may not exceed 5 years or the term of the original contract, whichever period is longer. Such renewals are contingent upon satisfactory performance evaluations by the agency and subject to the availability of funds.</p> <p>For the outsourced or privatized service or activity, identify the number of times the contract has been renewed and specify the renewal period of each. Attach a copy of the documentation verifying the contractor’s satisfactory performance compliance required prior to each renewal.</p>
<p>No renewal has occurred to date. However, an amendment was executed on June 29, 2023. Original Contract Term: April 7, 2022, through April 6, 2027.</p>
<p>5. For the outsourced or privatized service or activity, has the contractor satisfactorily complied with all service level requirements? Provide a narrative summary describing service level requirements compliance or noncompliance and the method used by the agency for monitoring progress in achieving the specified performance standards within the contract.</p>
<p>The Department has developed Performance Measure categories which are used to measure the Contractor’s performance and delivery of services. The specific outcomes, measures, standards, and respective financial consequences for below-standard performance are outlined in an attachment entitled ‘Performance Measures for C3021 Full-Service Food Service.’</p> <p>Regional contract monitoring staff monitor each contract site each month to evaluate performance measures and provide details to the Contract Manager for any application of a financial consequence. Any items found non-compliant require a Corrective Action Plan (CAP) be submitted by the Contractor within 10 days of receipt of the Formal Communication of the need for a CAP. All corrections must be made within 30 days to avoid financial consequences for non-compliance. Further details regarding the methodology can be found in an attachment entitled ‘Monitoring Methodology for C3021 Full-Service Food Service.’</p>
<p>6. Describe any unexpected benefits from outsourcing or privatization of the service or activity.</p>
<p>There have not been any unexpected benefits from the contract.</p>
<p>7. Describe any unexpected problems or issues with the outsourcing or privatization of the service or activity.</p>
<p>As with any large operation, there are day-to-day issues that arise, however these issues are typical for any institution-run food service. However, the number of product substitutions that have taken place was not expected. The Department will continue to monitor this area.</p>

8. Briefly describe your agency's overall level of satisfaction with the results of outsourcing or privatization of the service or activity.

Overall, the Department is satisfied with the results of outsourcing of full-service food service. Our Department's Bureau of Contract Management and Monitoring has resources and procedures in place to manage the current contract, and to ensure compliance with all the contract requirements through regular monitoring and communication with the Contractor's representatives.

9. What lessons learned should be shared with other agencies considering the outsourcing or privatization of a similar service or activity?

The Department of Corrections has learned a great deal through the process of outsourcing. The following points may be helpful to other agencies considering the outsourcing or privatization of a similar service or activity:

- Request a professional project manager be assigned to assist with the implementation phase of the contract;
- The importance of announced and unannounced site visits;
- The importance of an inmate grievance process;
- The importance of inmate focus group and food service surveys;
- Conduct an orientation with the Contractor and their key staff to go over the Department's organizational structure and to discuss the contract expectations; also establish regular meetings to ensure contractual and operational issues are discussed frequently;
- Ensure that the contract implementation plan is reasonable and attainable;
- Ensure that the contract includes completion due dates for all value-added services or equipment;
- Streamline the invoicing process so as not to create a staffing burden;
- Automate all reports and forms where possible;
- Monitor the Contractor frequently to ensure satisfactory performance;
- Have appropriately substantial financial consequences for non-compliance and apply consistently;
- Monitor the Contract Manager through internal administrative reviews;
- Communicate with the Contractor regularly, especially informally through phone calls, emails and media platforms (Teams) to discuss operational issues; this is advantageous for a variety of reasons, but especially since the Food Service Director will dually report to the Warden through the Assistant Warden of Operations (AWO) and the Contractor; and
- Communicate with Institutional leadership (Warden and AWO), especially the AWO, since their working relationship with the Contractor's lead food service worker and central office staff can make the difference in smooth operations or a potential catastrophe.

SCHEDULE XIIB-2: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS - COST AND DELIVERABLES DATA

Section I: Cost Data

For each outsourced or privatized service or activity, complete the cost analysis below:

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2021 - 2022	\$ 18,288,861.00	\$ 14,172,238.02	\$ -	\$ 4,116,622.98
FY 2022 - 2023	\$ 86,983,293.00	\$ 87,950,437.60	\$ -	\$ (967,144.60)
FY 2023 - 2024	\$ 95,649,745.00	\$ 94,468,278.49		\$ 1,181,466.51
FY 2024 - 2025*	\$ 98,749,745.00			\$
FY 2025 - 2026**	\$ 117,538,574.25			\$
FY 2026 - 2027***	\$ 123,415,502.96			\$

Variance	Reasons			
\$ 4,330,944.89	Actual costs lower than planned costs due to assessment of financial consequences, cost aversion from farm products.			
Savings				

Section II: Deliverables and Milestones Schedule

For each outsourced or privatized service or activity, complete the deliverables and milestones schedule below:

Deliverables and Milestones	Original	Actual Date/ Revised Date
1 Successfully opened 47 service locations that were listed on Attachment A of the contract by July 1, 2022	4/7/2022	4/7/2022
2 Successfully opened the remaining 34 service locations that were on Attachment B of the contract by September 15, 2022. A revised timeline was agree to due to the delay in the Governor signing the budget.	7/1/2022	7/1/2022
3 Successfully launched IN2WORK program at 50 locations - original deadline was moved to 6/30/24	12/31/2022	10/31/2023
4 Successfully implemented the FreshFavorites Program at 59 locations - original deadline was moved to 6/30/24	12/31/2022	6/21/2024
5 Successfully implemented the ICare Fresh Program at 59 locations - original deadline was moved to 6/30/24	12/31/2022	6/13/2024

Variance	Reasons			
Schedule				

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

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

Deferred-payment commodity contracts are approved by the Department of Financial Services (department). The rules governing these contracts are in Chapter 69I-3, Florida Administrative Code and may be accessed via the following website <https://www.flrules.org/gateway/ChapterHome.asp?Chapter=69I-3> . Information on the program and other associated information on the Consolidated Equipment Financing Program and Guaranteed Energy Savings Contracts may be accessed via the following website <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.
N/A
2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.
N/A
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).
N/A
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.
N/A

Schedule XIV Variance from Long Range Financial Outlook

Agency: Department of Corrections

Contact: Mark Tallent

Article III, section 19(a)3 of the Florida Constitution, requires each agency Legislative Budget Request to be based upon and reflect the long range financial outlook adopted by the Joint Legislative Budget Commission or to explain any variance from the outlook.

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 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	Education and Training Programs	B	\$6.8M	\$7.9M
b	Maintenance, Repairs and Capital Improvements	B	\$25.1M	\$128.5M
c				
d				
e				
f				

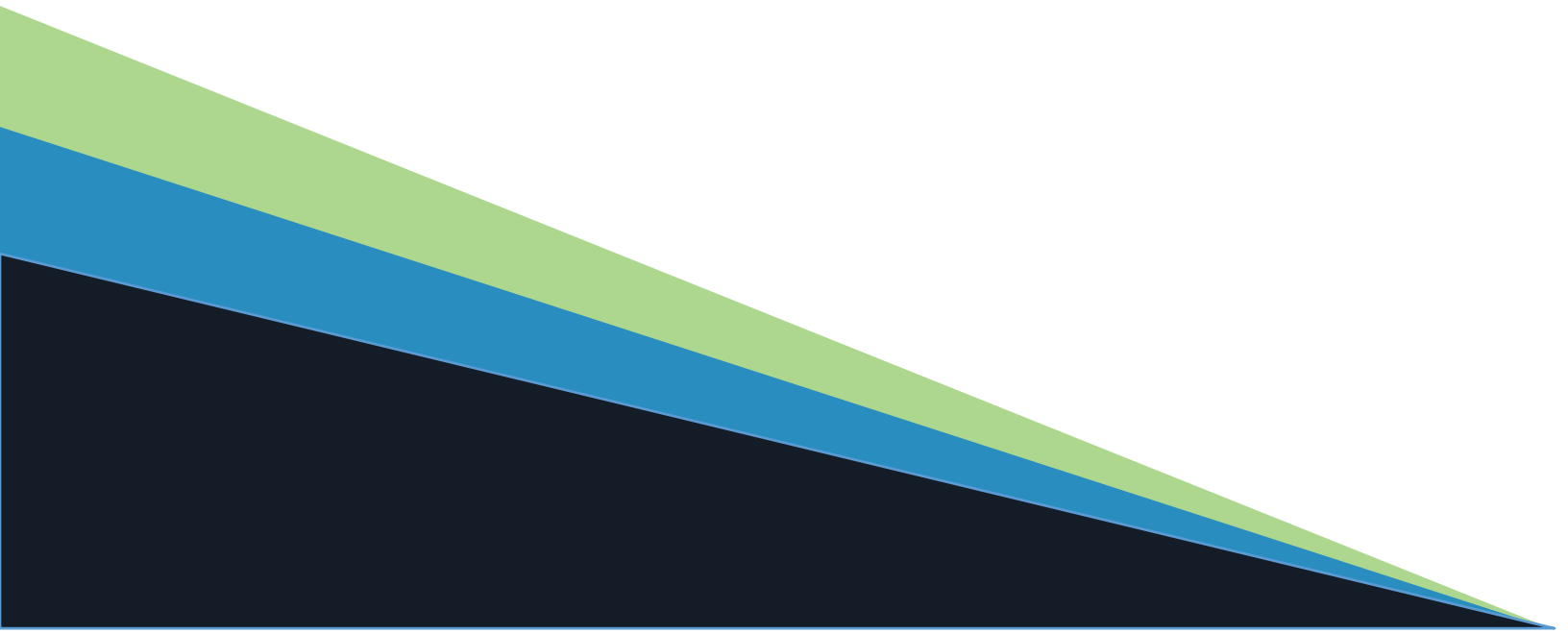
- 3) If your agency's Legislative Budget Request does not conform to the long range financial outlook with respect to the revenue estimates (from your Schedule I) or budget drivers, please explain the variance(s) below.

A: The Outlook is based on a three-year funding average. The Department's request includes expansion of career, technical, academic and wellness programming to meet criminogenic needs. B. The Outlook is based on average funding over the last three years. The Department's request is based on critical need and anticipated ability to complete capital improvements within the fiscal year and includes \$100M in recurring Fixed Capital Outlay funding.

* R/B = Revenue or Budget Driver



Exhibits or Schedules





Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2025 - 2026
Trust Fund Title:	Department of Corrections
Budget Entity:	Administrative Trust Fund
LAS/PBS Fund Number:	Department Level
	2021

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,909,392	(A)	-	1,909,392
ADD: Other Cash (See Instructions)	6,781	(B)	-	6,781
ADD: Investments		(C)	-	-
ADD: Outstanding Accounts Receivable	222,002	(D)	-	222,002
ADD: _____		(E)	-	-
Total Cash plus Accounts Receivable	2,138,176	(F)	-	2,138,176
LESS Allowances for Uncollectibles		(G)	-	-
LESS Approved "A" Certified Forwards	118,672	(H)	-	118,672
Approved "B" Certified Forwards	260,067	(H)	-	260,067
Approved "FCO" Certified Forwards		(H)	-	-
LESS: Other Accounts Payable (Nonoperating)	54,149	(I)	-	54,149
LESS: _____		(J)	-	-
Unreserved Fund Balance, 07/01/24	1,705,287	(K)	-	1,705,287 **

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24
Total all GLC's 5XXXX for governmental funds; 1,956,924 (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 (260,067) (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P Compensated Absences Adjustment 8,430 (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 1,705,287 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 1,705,287 (F)

DIFFERENCE: - (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2025 - 2026
Trust Fund Title:	Department of Corrections
Budget Entity:	Criminal Justice Standards and Training Trust Fund
LAS/PBS Fund Number:	Department Level
	2148

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	332,071	(A)		332,071
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable		(D)		-
ADD: _____		(E)		-
Total Cash plus Accounts Receivable	332,071	(F)	-	332,071
LESS Allowances for Uncollectibles		(G)		-
LESS Approved "A" Certified Forwards	1,539	(H)		1,539
Approved "B" Certified Forwards	6,093	(H)		6,093
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)		(I)		-
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/24	324,439.30	(K)	-	324,439 **

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24	
Total all GLC's 5XXXX for governmental funds;	330,532 (A)
GLC 539XX for proprietary and fiduciary funds	
Subtract Nonspendable Fund Balance (GLC 56XXX)	
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # and Description	
SWFS Adjustment # and Description	
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(6,093) (D)
Approved FCO Certified Forward per LAS/PBS	
A/P not C/F-Operating Categories	
ADJUSTED BEGINNING TRIAL BALANCE:	324,439 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	324,439 (F)
DIFFERENCE:	0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2025 - 2026
Trust Fund Title:	Department of Corrections
Budget Entity:	Correctional Work Program Trust Fund
LAS/PBS Fund Number:	Department Level
	2151

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	246,775	(A)		246,775
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable	30,917	(D)		30,917
ADD: _____		(E)		-
Total Cash plus Accounts Receivable	277,692	(F)	-	277,692
LESS Allowances for Uncollectibles		(G)		-
LESS Approved "A" Certified Forwards	6,555	(H)		6,555
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)		(I)		-
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/24	271,136	(K)	-	271,136 **

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24	
Total all GLC's 5XXXX for governmental funds;	271,676 (A)
GLC 539XX for proprietary and fiduciary funds	
Subtract Nonspendable Fund Balance (GLC 56XXX)	
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # and Description	
SWFS Adjustment # and Description	
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	
Approved FCO Certified Forward per LAS/PBS	
A/P not C/F-Operating Categories	
Capital Assets	(540) (D)
ADJUSTED BEGINNING TRIAL BALANCE:	271,136 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	271,136 (F)
DIFFERENCE:	- (G)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2025 - 2026

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24	
Total all GLC's 5XXXX for governmental funds;	10,332,948 (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	(133,554) (D)
Approved FCO Certified Forward per LAS/PBS	[] (D)
A/P not C/F-Operating Categories	5,987 (D)
Anticipated Receivables	460,831 (D)
Comps Absences	11,983 (D)
	[] (D)
ADJUSTED BEGINNING TRIAL BALANCE:	10,678,195 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	10,678,195 (F)
DIFFERENCE:	- (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2025 - 2026
Trust Fund Title:	Department of Corrections
Budget Entity:	Federal Grants Trust Fund
LAS/PBS Fund Number:	Department Level
	2261

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	10,387,517	(A)	-	10,387,517
ADD: Other Cash (See Instructions)		(B)	-	-
ADD: Investments		(C)	-	-
ADD: Outstanding Accounts Receivable	924,147	(D)	-	924,147
ADD: Anticipated Receivables	460,831	(E)	-	460,831
Total Cash plus Accounts Receivable	11,772,494	(F)	-	11,772,494
LESS Allowances for Uncollectibles		(G)	-	-
LESS Approved "A" Certified Forwards	436,495	(H)	-	436,495
Approved "B" Certified Forwards	133,554	(H)	-	133,554
Approved "FCO" Certified Forwards		(H)	-	-
LESS: Other Accounts Payable (Nonoperating)	524,251	(I)	-	524,251
LESS: _____		(J)	-	-
Unreserved Fund Balance, 07/01/24	10,678,195	(K)	-	10,678,195 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2025 - 2026
Trust Fund Title:	Department of Corrections
Budget Entity:	Grants and Donations Trust Fund
LAS/PBS Fund Number:	Department Level
	2339

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	25,424,508	(A)		25,424,508
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable		(D)		-
ADD: SWFS Adjustment B7000014, Receivables		(E)	78,695	78,695
Total Cash plus Accounts Receivable	25,424,508	(F)	78,695	25,503,204
LESS Allowances for Uncollectibles		(G)		-
LESS Approved "A" Certified Forwards	148,420	(H)		148,420
Approved "B" Certified Forwards	737,728	(H)		737,728
Approved "FCO" Certified Forwards	5,203,324	(H)		5,203,324
LESS: Other Accounts Payable (Nonoperating)	20,079	(I)		20,079
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/24	19,314,958	(K)	78,695	19,393,653 **

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	25,256,010 (A)
Subtract Nonspendable Fund Balance (GLC 56XXX)	
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment B7000014, Receivables	78,695 (C)
SWFS Adjustment # and Description	
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(737,728) (D)
Approved FCO Certified Forward per LAS/PBS	(5,203,324) (D)
A/P not C/F-Operating Categories	
ADJUSTED BEGINNING TRIAL BALANCE:	19,393,653 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	19,393,653 (F)
DIFFERENCE:	0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2025 - 2026
Trust Fund Title:	Department of Corrections
Budget Entity:	State-Operated Inmate Welfare Trust Fund
LAS/PBS Fund Number:	Department Level
	2523

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	16,034,063	(A)	-	16,034,063
ADD: Other Cash (See Instructions)	20,175	(B)	-	20,175
ADD: Investments		(C)	-	-
ADD: Outstanding Accounts Receivable	416,667	(D)	-	416,667
ADD: _____		(E)	-	-
Total Cash plus Accounts Receivable	16,470,905	(F)	-	16,470,905
LESS Allowances for Uncollectibles		(G)	-	-
LESS Approved "A" Certified Forwards	7,600,155	(H)	-	7,600,155
Approved "B" Certified Forwards	3,757,625	(H)	-	3,757,625
Approved "FCO" Certified Forwards	1,077,352	(H)	-	1,077,352
LESS: Other Accounts Payable (Nonoperating)	125,567	(I)	-	125,567
LESS: _____		(J)	-	-
Unreserved Fund Balance, 07/01/24	3,910,207	(K)	-	3,910,207 **

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24	
Total all GLC's 5XXXX for governmental funds;	<input type="text" value="8,510,552"/> (A)
GLC 539XX for proprietary and fiduciary funds	
Subtract Nonspendable Fund Balance (GLC 56XXX)	<input type="text"/> (B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # and Description	<input type="text"/> (C)
SWFS Adjustment # and Description	<input type="text"/> (C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	<input type="text" value="(3,757,625)"/> (D)
Approved FCO Certified Forward per LAS/PBS	<input type="text" value="(1,077,352)"/> (D)
A/P not C/F-Operating Categories	<input type="text" value="234,631"/> (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
	<input type="text"/> (D)
ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="3,910,207"/> (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	<input type="text" value="3,910,207"/> (F)
DIFFERENCE:	<input type="text" value="0"/> (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2025 - 2026
Trust Fund Title:	Department of Corrections
Budget Entity:	Sales of Goods and Services Trust Fund
LAS/PBS Fund Number:	Department Level
	2606

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,034,948	(A)		2,034,948
ADD: Other Cash (See Instructions)		(B)		-
ADD: Investments		(C)		-
ADD: Outstanding Accounts Receivable		(D)		-
ADD: _____		(E)		-
Total Cash plus Accounts Receivable	2,034,948	(F)	-	2,034,948
LESS Allowances for Uncollectibles		(G)		-
LESS Approved "A" Certified Forwards		(H)		-
Approved "B" Certified Forwards		(H)		-
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)	33,318	(I)		33,318
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/24	2,001,629	(K)	-	2,001,629 **

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24
Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Approved FCO Certified Forward per LAS/PBS (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2025 - 2026
Trust Fund Title:	Department of Corrections
Budget Entity:	Private Inmate Welfare Trust Fund
LAS/PBS Fund Number:	Department Level
	2623

	Balance as of 6/30/2024		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,653,662	(A)		2,653,662
ADD: Other Cash (See Instructions)	166,892	(B)		166,892
ADD: Investments	13,226,426	(C)		13,226,426
ADD: Outstanding Accounts Receivable	472,968	(D)		472,968
ADD: SWFS Adjustment B7000015		(E)	288,763	288,763
Total Cash plus Accounts Receivable	16,519,947	(F)	288,763	16,808,711
LESS Allowances for Uncollectibles		(G)		-
LESS Approved "A" Certified Forwards	3,083,546	(H)		3,083,546
Approved "B" Certified Forwards	1,167,103	(H)		1,167,103
Approved "FCO" Certified Forwards		(H)		-
LESS: Other Accounts Payable (Nonoperating)	96,537	(I)		96,537
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/24	12,172,762	(K)	288,763	12,461,525 **

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/24
Total all GLC's 5XXXX for governmental funds; 13,280,145 (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 288,763 (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (1,167,103) (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories 59,720 (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 12,461,525 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 12,461,525 (F)

DIFFERENCE: - (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR Continuation of OBIS Modernization

For Fiscal Year 2025-26



JULY 2024

FLORIDA DEPARTMENT OF CORRECTIONS

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

Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Corrections	Schedule IV-B Submission Date: 9.30.2024
Project Name: OBIS Modernization	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2025-26 LBR Issue Code: 36260CO	FY 2025-26 LBR Issue Title: OBIS Modernization
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: _____	Date: _____
Printed Name: Ricky Dixon	
Agency Chief Information Officer (or equivalent): _____	Date: _____
Printed Name: Timothy Fitzgerald	
Budget Officer: _____	Date: _____
Printed Name: Mark Tallent	
Planning Officer: _____	Date: _____
Printed Name: Eric Henderson	
Project Sponsor: _____	Date: _____
Printed Name: Richard Comerford	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com
Cost Benefit Analysis:	Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com
Risk Analysis:	Jim Primrose, 850-717-3727, jim.primrose@fdc.myflorida.com
Technology Planning:	Coleman Ayers, 850-717-3283, coleman.ayers@fdc.myflorida.com
Project Planning:	Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com

General Guidelines

The Schedule IV-B contains more detailed information on information technology (IT) projects than is included in the D-3A issue narrative submitted with an agency's Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the agency during the initiation and planning phases of the proposed IT project. A Schedule IV-B must be completed for all IT projects when the total cost (all years) of the project is \$1 million or more.

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements that are similar to the service level agreements currently in use, or
- Replace desktop units ("refresh") with new technology that is similar to the technology currently in use.
- Contract only for the completion of a business case or feasibility study for the replacement or remediation of an existing IT system or the development of a new IT system.

Documentation Requirements

The type and complexity of an IT project determines the level of detail an agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Technical Solution
- Proposed Solution Description
- Project Management Planning

Compliance with section 216.023(4)(a)10, Florida Statutes, is also required if the total cost for all years of the project is \$10 million or more.

A description of each IV-B component is provided within this general template for the benefit of the Schedule IV-B authors. These descriptions and this guidelines section should be removed prior to the submission of the document.

Sections of the Schedule IV-B may be authored in software applications other than MS Word, such as MS Project and Visio. Submission of these documents in their native file formats is encouraged for proper analysis.

The Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

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

Submit all component files of the agency's Schedule IV-B in their native file formats to the Office of Policy and Budget and the Legislature at IT@LASPBS.STATE.FL.US. Reference the D-3A issue code and title in the subject line.

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

Executive Summary

Pursuant to Chapter 945, Florida Statutes (F.S.), the Florida Department of Corrections (“Department”) is entrusted with the care and custody of inmates in Florida prisons. The Department is the third largest state prison system in the country with an annual budget of \$2.9 billion, approximately 88,000 inmates incarcerated, and nearly 146,000 offenders under community supervision. As such, the Department’s operations are critical to the safety and security of the public as well as our staff.

Currently, the Department relies primarily on manual, paper-based processes that are later entered into a home-grown mainframe application known as the Offender Based Information System, or OBIS. Advancements in technology long surpassed the original technologies of OBIS, which no longer align with the agility and needs of an already complex core business. As a result, the Department struggles to adapt to challenges such as:

- Fluctuations in inmate/offender populations – limits accuracy of Criminal Justice Estimating Conference (CJEC) projections, intake and release, and corresponding staffing needs.
- Changing business process needs for operational efficiencies – dependency on manual paper-based processes, redundant data entry, and unnecessary shipping of paper forms/files.
- Data transparency for data-driven operational decision-making and legislative mandates – lack of real-time access to data and analytics, and Criminal Justice Data Transparency Initiative
- Technical support staff and subject matter expert retirement / attrition

The Department has taken initial steps to address questions and next steps on how best to mitigate the risk of a rigid, 40-year-old, costly mainframe system that continues to grow complexity with each year that passes. In 2008 and 2016, the Department engaged an outside vendor to conduct analysis and produce a business case for replacing OBIS. In addition, the Department has been in regular consultation with expertise from Gartner Research Engagement Services, Inc. regarding our revised technical approach, while also researching other states and issuing a Request for Information (RFI) to obtain relevant market information.

With all these considerations, the Department intends to re-engineer all offender management business processes with particular emphasis on automating workflows and data interoperability to better support the overall mission and increase public safety. The Department proposes a multi-year, staggered workstream approach for OBIS Modernization, with priority given to core functionality. Breaking down and prioritizing the core functional areas allows the Department to ensure proper support, distribute the dependence on subject matter experts, and lowers overall project risk with a phased implementation focused on the following:

1. Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes.
2. Provide a system that can leverage and integrate external and internal data sources in real-time.
3. Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.
4. Provide a system with a workload management component to manage agency business processes effectively and efficiently.
5. Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.
6. Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.
7. Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.
8. Provide a solution utilizing modern cybersecurity frameworks to ensure data protection against unauthorized access, transfer, modification, or destruction.

9. Move to a Cloud-based solution based on the Governor's Cloud First Initiative.
10. Re-Engineer Business Process to enhance efficiency to do more with less and increase officer safety.
11. Provide a Help Desk that includes Service Levels 1, 2, and 3.

A. Background and Strategic Needs Assessment

The Department's mission is to provide a continuum of services to meet the needs of those entrusted to their care, creating a safe and professional environment with the outcome of reduced victimization, safer communities, and an emphasis on the premium of life. To that end, the Department relies on a collection of legacy mainframe applications referred to as the Offender Based Information System (OBIS) to carry out its mission.

In FY 2016-17, the Department engaged a vendor to provide an updated feasibility study and technical recommendation to inform the Department's next steps. Since then, the Department has continued to research other states and developed a more current technical approach with guidance from Gartner Research Engagement Services, Inc.

The Department has taken proactive steps by submitting Legislative Budget Requests (LBRs) outlining comprehensive solution-based objectives. The **Corrections Information Management System (CIMS) OBIS Modernization Project**, a five-year project, has been initiated and is scheduled for completion over the next three-year period, with its aim to revitalize the Department's mission critical system with state-of-the-art, supportable technology.

The next steps of the CIMS (OBIS Modernization) Project involve collaborating with the proposed vendor ("Vendor"). The proposed Vendor will act as the system integrator (SI) for the development of a modernized OBIS system. This includes re-engineering the business processes and leveraging technologies with the scalability and flexibility to integrate applications within a modular, service-oriented architecture, all within a five-year period.

All services or products provided by the chosen Systems Integrator (SI) will meet or exceed the minimum requirements outlined in the ITN. The contracted services will include, but not be limited to, project management, business requirements analysis, process re-engineering, data analysis, system design and architecture, quality assurance, implementation, deployment, and ongoing technical support. The result will be a modernized OBIS system, incorporating principles that include consideration of the State's Cloud-First Initiative, in accordance with Section 282.206, F.S.

The Organization

The Department is comprised of two major functional components, Institutions and Community Corrections, along with support entities and staff for Administration, Health Services, and Programs and Re-Entry. The Office of Institutions is responsible for the supervision of all four institutional regions and operational management of all correctional facilities; auditing security at facilities; maintaining accreditation standards; special operations; membership on the State Emergency Response Team (SERT); tracking incident reports; maintaining records on all inmates incarcerated; assisting law enforcement in their investigations; monitoring and interpreting court orders; establishing security standards for all facilities; maintaining the inmate transportation system; conducting training programs on security issues, classification, records, sentence structure, and court orders, as well as other related areas; and establishing policy and direction for all classification and records functions from reception to release.

The Office of Community Corrections in Central Office assists the administration in carrying out its mission for public safety by providing support, technical assistance, and policy for approximately 2,785 Community Corrections staff in the state.

1. Business Need

Since 1978, the Department has used OBIS to record data, generate reports, and support its critical decision-making process. OBIS is used in institutions for inmate management, classification, work assignments, health grades, disciplinary information, and custody status. Due to its extensive use, OBIS is indispensable to the mission and operational performance of the Department. The major areas of functional support within OBIS include:

- Office of Institutions (SIO)
- Office of Community Corrections (OCC)
- Office of Programs and Re-Entry (OPR)
- Office of Financial Management (OFM)
- Florida Commission on Offender Review (FCOR)
- Office of Information Technology (OIT)

Also included in the project scope:

- Establishment of the Project Management Team
- Organizational Change Management
- Independent Verification and Validation (IV&V)
- Data conversion and migration
- Data warehouse design and development
- Statewide system implementation
- Content development for training materials and system help screens
- End-user training
- Operations and maintenance planning
- Reporting functions
- Help Desk Replacement

The Offender Based Information System (OBIS) has been in use for over 40 years, undergoing continual updates and revisions throughout its lifespan. As a mainframe-based application, it is maintained by the Department's full-time employees and contracted staff. However, the system's enhancement options are becoming increasingly limited, and the availability of skilled resources to support it is diminishing. As a result, modernization is necessary to better address the expanding informational needs of both internal and external stakeholders.

To support the execution of the CIMS (OBIS Modernization) project, the Department will implement the project life cycle that will include planning for organizational change management to include business process re-engineering, evaluating the desired future state of CIMS (OBIS Modernization), and a detailed project plan to achieve the desired outcomes.

The Department's existing staff does not have the capacity to absorb these additional efforts. Therefore, this request includes funding of contracted services from the vendor community to acquire business process assessments, functional requirements, solutions architecture, data warehouse architecture, systems development life cycle deliverables, and project management services. These resources will be dedicated solely to the CIMS (OBIS Modernization) project. The inclusion of these supplemental resources is critical to ensuring that the Department meets all objectives for restoring the application to a supportable state.

2. Business Objectives

To realize the objectives of the CIMS (OBIS Modernization) project, it is imperative to execute targeted transitional actions across both the project and system development life cycles. Critical phases such as planning, remediation assessment, user retraining, Organizational Change Management (OCM) execution, and overall transition management are essential for success. Given the complexity of these tasks, the existing departmental staff lacks the bandwidth and specialized skills to concurrently manage these activities with daily user support and system administration responsibilities.

Through internal analysis and self-assessment, the Department established and prioritized the following objectives for the solution:

Table 1: Proposed Objectives

Objectives	Priority
Provide a mobile enabled web-based system that comports with current technology platforms, improving usability for the Department.	1
Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes.	2
Provide a system with scalable architecture that can leverage and integrate external and internal data sources in real-time. Provide customized data views for interfaces supporting the “ <i>Source of Truth</i> ” and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.	3
Provide a system with a workload management component to manage the Department’s business processes effectively and efficiently.	4
Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.	5
Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.	6
Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.	7
Provide a solution utilizing modern cybersecurity frameworks to ensure data protection against unauthorized access, transfer, modification, or destruction.	8
Move to a Cloud-based solution based on the Governor’s Cloud First Initiative.	9
Re-Engineer Business Processes to enhance efficiency to do more with less and increase officer safety.	10
Provide a Help Desk (Level 1, 2, and 3).	11

After the Department derived and validated its overarching objectives, a gap analysis was performed to determine differences; the “gaps,” are represented by the difference between the current OBIS environment (the “As-Is” state) and the desired future state as defined by the Department’s objectives (the “To-Be” state). For example, the current OBIS user interface is a collection of text-based mainframe “green screens” while the Department objective states, “Provide a web-based system that comports with current technology platforms, improving usability for the Department.” There is an inherent “gap” between a green screen user interface and a modern web-based, graphical user interface (GUI). Therefore, this misalignment must be addressed to achieve the desired solution outcome.

The Gap Analysis highlights aspects of the OBIS environment that must be modernized to meet the Department's objectives, but it does not attempt to determine whether the changes are achievable or how to resolve the gap. The Gap Analysis merely paints a picture of what OBIS is today and how that compares to what the Department has articulated as its collective needs in a To-Be state.

The following discussion addresses each of the Department's identified objectives.

Objective 1: Provide a mobile enabled web-based system that comports with current technology platforms, improving usability for the Department.

While the Department has, over time, web-enabled discrete functionality in the current OBIS, e.g., Corrections Integrated Needs Assessment System (CINAS) and Inmate Risk Management System (IRMS), the vast majority of the core OBIS application operates in a green screen environment lacking what is considered today to be a standard presentation layer: a responsive browser-based graphical user interface (GUI) with the look and feel of today's modern characteristics, e.g., mouse-enabled pull down menus and checkboxes, that a standard GUI provides, which promotes ease of use and dynamically adapts to the screen size of the device being used. If OBIS is modernized with a web-based GUI the collection of multiple green screens can be optimized for data entry functions with logic to integrate workflows, minimize data entry errors, and perform error correction checks before data is submitted. Additionally, a web-enabled system allows authorized users to access the system using a wide-range of supported browsers.

The few web-enabled applications that are currently part of OBIS rely upon the same underlying legacy architecture (mainframe-based, Db2). Modernizing OBIS includes updating the architectural design to leverage cloud service providers and provide the advantages of maintainability and interoperability.

Objective 2: Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes.

The current OBIS system is built using Common Business-Oriented Language (COBOL) and relies on an IBM Db2 database. While the system remains functional and stable, modifying the code base has become increasingly challenging and often introduces technical risks, especially when implementing changes mandated by executive, legislative, or judicial decisions.

The risks are exacerbated by the code base, which has been modified, repaired, and enhanced over four decades, leading to a critical level of complexity. As this complexity continues to grow, the system's sustainability is threatened. The evolving legislative and business requirements for OBIS, coupled with a shrinking pool of skilled COBOL developers, further heightens this risk. COBOL has not been at the forefront of application development for decades, as most organizations have migrated to modern platforms and languages. Additionally, the number of resources with OBIS-specific knowledge is dwindling due to retirement and normal attrition.

The Department's commitment to OBIS modernization is a crucial step toward transitioning to a more flexible and dynamic technical infrastructure and application architecture. This modernization will enable the system to adapt quickly and accurately to both external and internal policy changes. Refer to **Table 13** for a comparison of the current legacy system's characteristics with those of the proposed modern system.

Objective 3: Provide a system with scalable architecture that can leverage and integrate external and internal data sources in real-time. Provide customized data views for interfaces supporting the "Source of Truth" and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.

The Department receives and shares tremendous amounts of data with other state and local agencies. However, in many cases, data sharing is accomplished in a paper-intensive environment. An enormous amount of data is captured and generated using hundreds of paper forms that are manually entered into OBIS using green screens that are time-intensive and error-prone processes. The Department is currently piloting new processes that include a method to receive electronic images of commitment paperwork from the courts and developing an automated workflow to receive court sentences as data through automated interfaces to OBIS rather than manual data entry.

The Department uses automated fingerprint scanning technology which supports biometric identification for inmates and offenders. However, the information which is received from Florida Department of Law Enforcement (FDLE) is not readily entered or updated in OBIS without human intervention; criminal history data is still entered manually by staff. There are tremendous benefits associated with moving to a more automated data sharing solution, including accuracy, timeliness, and more appropriate allocation of staffing resources. Under the current architecture, electronic data sharing with external agencies involves extracting the same data multiple times with slight variations for each unique data interface, which is accomplished by resource-intensive batch jobs.

For many years, the Department has recognized the importance of creating a secure data-sharing environment to meet the needs of its employees, inmates, offenders, victims, and the public. In response, the Department developed specialized tools like CINAS for inmate needs assessment and IRMS to manage the Security Threat Group (STG) processes, initially focused on controlling gang activity within institutions. Today, the STG mandate has expanded to include identifying and managing threats related to terrorism.

In today's information-driven management environment, real-time views of an organization's operations and performance are essential. For an operation as large and complex as the Department, the ability to assess the organization from an enterprise perspective and drill down to specific data and performance elements is essential.

Common techniques for gathering and reporting metrics include dashboards and flexible reporting tools, which allow users to monitor operational aspects without relying heavily on technical support from programmers or IT resources. These tools empower users to identify, track, and report on key elements they deem essential for their needs and for managing the overall correctional environment.

Additionally, data analytics will offer insights into a broad range of the Department's operational activities and effectiveness—evaluated by factors such as time, cost, and safety, which are not easily visible in the current OBIS system. Integrated data analytics will enable Department staff to perform "what if?" analyses using standardized tools, reducing dependence on highly technical and costly IT resources.

To achieve the Department's goal of capturing and managing its operational profile through defined metrics and data-driven decision-making, the OBIS Modernization will be organized into distinct workstreams. Each workstream addresses specific aspects of the modernization process:

- **Workstream 1: Modernize Interfaces & User Experience** (*see Figure 5*) focuses on updating user interfaces to enhance accessibility and usability.
- **Workstream 2: Reduce the Mainframe Footprint** (*see Figure 6*) targets the migration of functions from legacy systems to more scalable platforms.
- **Workstream 3: Refracture/Rewrite Functionality** (*see Figure 7*) aims to restructure and rewrite key functionalities to improve system performance and flexibility.

CIMS (OBIS Modernization) supports the Department's goal of capturing and managing its operational profile through defined metrics and data-driven decision-making.

Objective 4: Provide a system with a workload management component to manage the Department's business processes effectively and efficiently.

The Department currently uses basic workflow systems, such as the Classification Appointments Overview & Scheduling System (CAOSS), to manage certain operations. While these systems are functional, they lack the advanced capabilities needed to optimize workload management across the Department. The CIMS (OBIS Modernization) project aims to address this need by implementing a comprehensive workload management system that streamlines operations and maximizes resource utilization.

This objective focuses on improving the management of staff and equipment resources. For example, questions like "How many classification officers are needed to manage the current and projected inmate population?" or "How many offenders can a Probation and Parole Officer supervise?" can be answered more effectively with a modernized OBIS system. Additionally, logistical challenges such as determining the number of buses required for inmate transport can be addressed with greater precision, leading to more informed and efficient operational decisions.

A modern workload management system will dynamically allocate resources based on real-time factors, such as staffing availability (e.g., accounting for sick leave or vacation) and specific qualifications or restrictions (e.g., limits on the number of cases a Probation Officer can handle). This system will also enhance the management of equipment resources, such as rerouting transport buses in case of breakdowns or efficiently scheduling alternatives.

Moreover, workload management will support the Department's mission by accurately identifying, tracking, and allocating beds that match each inmate's Risk and Needs profile. Automating these processes will eliminate manual, error-prone tasks, allowing staff to focus on more productive activities and improving overall operational efficiency.

Objective 5: Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.

This objective represents a relatively small gap between the current and future states. Modernizing OBIS with interoperable technologies and re-shaping existing business processes will reduce manual workflows, improve data accuracy, and significantly enhance operational efficiency and user experience.

This effort underscores the importance of the skills and knowledge of Department staff in achieving the Department's mission. A modernized OBIS will leverage business rules, workflow processes, workload management controls, and interoperable data sharing to better support the Department in fulfilling its mission.

Objective 6: Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.

This objective addresses the growing challenge of hiring and retaining technical professionals who are knowledgeable in COBOL or interested in supporting a system built on outdated technologies. As educational institutions focus on preparing the IT workforce to tackle modern challenges like cybersecurity, cloud computing, and development using contemporary programming languages and platforms, the Department faces increasing difficulty in sustaining its operations with the current technology stack. Modernizing OBIS is essential to ensure that the Department can attract and retain the skilled resources necessary to maintain and support its systems, aligning with current industry standards and workforce expectations.

This transition is illustrated in **Figure 18**, which highlights the shift to a new platform from the current state depicted in **Figure 13**. Additionally, **Figure 14** shows the current OBIS data exchange processes that will be upgraded to more efficient and secure methods as part of the modernization effort.

Objective 7: Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.

Rather than addressing a gap, this strategy is designed to optimize the allocation of funding and resources while accounting for procurement requirements and desired outcomes. The project will be divided into manageable workstreams, phased over a 5-year period, to ensure a structured and efficient implementation. As illustrated in **Figure 3**, *Functional Area System Release Groups*, and **Figure 4**, *Five-Phase Implementation Methodology*, this approach allows for careful planning and execution, maximizing cost-effectiveness and aligning with the Department's long-term goals for modernization.

Objective 8: Provide a solution utilizing modern cybersecurity frameworks to ensure data protection against unauthorized access, transfer, modification, or destruction.

This objective will integrate the Department's data governance program, which is associated with the newly established Department's data warehouse and its advanced service providers. By leveraging cutting-edge technologies and best practices, the solution will enhance data accuracy, usability, and security. The implementation will include access controls, encryption protocols, and continuous monitoring to safeguard the integrity and confidentiality of sensitive data.

The data governance policy supporting this objective is aligned with key legal and regulatory frameworks, including:

- **Public Records** (Chapter 119, Florida Statutes)
- **Public Libraries and State Archives** (Chapter 257, Florida Statutes)
- **Department of Management Services; Florida Digital Service** (Section 282.0051, Florida Statutes)
- **Security of Data and Information Technology** (Section 282.318, Florida Statutes)
- **State of Florida Cybersecurity Standards** (Rule Chapter 60GG-2, Florida Administrative Code)

Additionally, regular audits and compliance checks will be conducted to ensure adherence to these data governance policies, mitigating risks and strengthening the overall cybersecurity posture of the organization. Further details on the proposed data governance policy can be found in **Appendix G**.

Objective 9: Move to a Cloud-based solution based on the Governor’s Cloud First Initiative

This objective focuses on leveraging cloud computing to enhance the scalability, reliability, and accessibility of the Department's OBIS system. By migrating to a cloud-based platform, the Department will reduce its dependence on on-premises hardware, improve data security, and ensure continuous availability of critical systems. As illustrated in **Figure 17**, this transition is part of the Department's broader technical journey, evolving from the IBM Mainframe in the 1970s, through ad hoc reporting in the 1990s, to a modernized, cloud-based, AI-integrated system in the 2020s and beyond. Additionally, the cloud environment will facilitate real-time data access and collaboration, simplify maintenance and updates, and support the integration of advanced technologies such as artificial intelligence and machine learning for enhanced data analytics and predictive modeling.

Objective 10: Re-Engineer Business Processes to enhance efficiency to do more with less and increase officer safety.

This objective focuses on evaluating and redesigning existing workflows to eliminate redundancies, automate manual tasks, and optimize resource utilization. By modernizing processes and leveraging advanced technology solutions, as outlined in proposed **Workstreams 1, 2, and 3 (Figures 5, 6, 7)**, the Department aims to significantly improve operational efficiency. Key outcomes will include reduced administrative burden, faster response times, and enhanced decision-making capabilities. Additionally, this objective will incorporate measures to increase officer safety, such as improved incident reporting, real-time communication tools, and better data integration for situational awareness. **Figures 15 and 16** illustrate the transition from current processes to the modernized approach.

Objective 11: Provide a Help Desk (Level 1, 2, and 3)

This objective is structured to provide initial Help Desk support handling basic troubleshooting and user assistance. More complex issues will be escalated to Level 2, where specialized technical support personnel will address intermediate problems and perform in-depth diagnostics. Level 3 will handle the most advanced and critical issues, involving subject matter experts and system developers to resolve high-impact problems. This tier support system aims to enhance user satisfaction, minimize downtime, and ensure the smooth operation of the Department's new solution.

B. Baseline Analysis

The Department’s staff from the offices of Institutions, Community Corrections, Administration, Health Services, Programs and Re-Entry, and Information Technology met to identify business process differences between the 2006 and 2016 Feasibility Study and the 2008 Business Process Analysis. The As-Is documents created in 2008 were used to assess what had changed.

The project team, including Department staff and vendor staff, conducted working sessions with subject matter experts (SMEs) from various functional teams within the Department. As a result of the meetings and follow up discussions, the As-Is process documents from 2008 were updated to reflect business practices current as of 2016. In particular, the following documentation was reviewed and refreshed to reflect current business practices:

- Institutions: Receive Inmate
- Institutions: Institutionalize Inmate
- Institutions: Release Inmate
- Community Corrections: Intake Offender
- Community Corrections: Supervise Offender
- Community Corrections: Release Offender

1. Current Business Process(es)

Within its two major functional areas, Institutions and Community Corrections, the Department performs a wide variety of processes comprised of three major components which fall into each respective functional area. The Department is also responsible for oversight of its outsourced Health Services processing, which provides care for inmates throughout their incarceration. Institution staff are responsible for inmates during incarceration while Community Corrections staff supervise offenders on probation as they return to the community. **Figure 1** below provides an overview of the core Department functions.

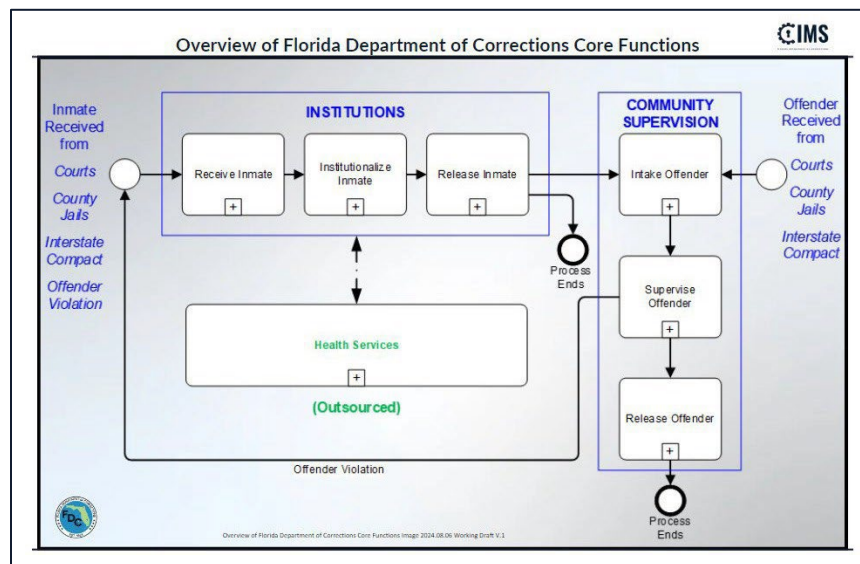


Figure 1: Overview of Florida Department of Corrections Core Functions

Institutions: Receive Inmate

The purpose of the Receive Inmate core process is to physically receive an inmate from the County Sheriff’s Office or designated transporting agent and place the inmate in the custody of the Florida Department of Corrections. The State of Florida receives approximately 30,000 inmates per year in six reception centers, five for male inmates and one for female inmates.

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Offenders are transported from county jails or other authorized locations and are entered into one of five Reception Centers located throughout the state. Each inmate is accompanied by official commitment papers and other official documents mandated by section 944.17, Florida Statutes. At intake, the inmate is identified as a new receipt, recidivist, or violator. An inmate is processed, tested, evaluated by Health Services, assessed for program needs, and his/her custody (security risks) is determined. Custody is determined by reviewing the seriousness of the offense, length of sentence, time remaining to serve, prior criminal history, escape history, prison adjustment, and other factors. Based on key assessment results gathered during the reception process, the inmate is then transferred to a permanent facility.

The objectives of this process are:

- Review and validate inmate commitment papers for custody acceptance.
- Search and seizure of personal property
- Gather demographic, security threat group, PREA information.
- Inmate orientation
- Testing and assessment of mental, physical, educational, vocational, substance abuse treatment, and medical needs
- Classification interview and gathering of personal background, criminal background, etc.
- Assessment of security risk level
- Assignment to permanent institution
- Transfer of inmate to permanent institution

Institutions: Institutionalize Inmate

The purpose of the Institutionalize Inmate core process is to receive an inmate after he or she has been assigned to an institution following the Inmate Reception process and to manage the inmate throughout incarceration in a Department facility.

The objectives of this process are:

- Review and validate inmate reception papers for custody acceptance.
- Assign a bed meeting custody and risk provisions.
- Search, seizure of personal property, and orientation
- Complete a risk/needs assessment.
- Assign institutional programs (education, vocational, substance abuse)
- Manage inmate.
- Manage the institution (visitors, transportation, phones)

Institutions: Release Inmate

The purpose of the core process, Release Inmate, is to ensure completion of all tasks required by statute, rule, procedure, or best practices prior to the lawful end of a commitment to state custody. The inmate may be released without legal constraint, placed under post-release supervision (executive or judicial), or turned over to another legal authority for criminal process (law enforcement) or civil process (Immigration and Customs Enforcement or Department of Children and Families civil commitment for sexually violent predators).

The objectives of this process are:

- Determine if an inmate has reached the lawful end of a court commitment to state custody.
- Determine the type of release.
- Review all inmates prior to release for transition services programs, residential housing, employment, and other special services as needed or required by law.
- Conduct a full medical and mental health assessment on the inmate and determine if special placement is clinically indicated at end of sentence (EOS) (hospital, inpatient mental health care, assisted-living facility/nursing home, etc.)
- Determine the entity to whom the inmate will be released, if applicable
- Notify all appropriate organizations and individuals of the pending release.
- Ensure the inmate is not subject to warrants or detainer notices by other jurisdictions either in Florida or elsewhere (courts, law enforcement, corrections)
- Fully inform the inmate about his or her obligations following release (e.g., supervision by Community Corrections)
- Ensure all Department of Corrections information about the inmate is current and validated (numerous reviews)

Community Corrections: Intake Offender

The purpose of the core process, Intake Offender, is to conduct identification and assignment of offenders placed on supervision.

The objectives of this process are to:

- Receive/gain offenders coming directly from court or being released from an institution into conditional release or court ordered supervision.
- Manage the various referral sources including deferred prosecutions, sentencing by the court or the releasing authority, interstate compact and other State entities, as well as institutions, prosecutors, and the Florida Commission on Offender Review (FCOR). Offenders may be sentenced to supervision types as described in Florida Statutes 944, 947, 948, 949.
- Initiate the completion of the various forms included with the case file.
- Input appropriate data in OBIS screens and case notes across all supervision activities.

Community Corrections: Supervise Offender

The purpose of the core process, Supervise Offender, is to supervise offenders commensurate with their court ordered conditions, and to address the needs of the offender, thereby protecting the community.

The objectives of this process are:

- Monitor and supervise offenders on a schedule that adheres strictly to the terms and conditions of the Probation Order
- Identify needs/resources.
- Motivate and assist.
- Perform field work on a regular basis.
- Manage violations of supervision
- Manage offender transfer requests.
- Manage the various investigations that are requested (e.g., presentence investigation, pretrial investigation, inmate release investigation, absconder investigation, etc.)
- Document appropriate OBIS screens and case notes across all supervision activities

Community Corrections: Release Offender

The purpose of the core process, Release Offender, core process is to perform activities associated with the end of supervision for an offender who has successfully completed the conditions of supervision and is ready to transition back into the community. The community supervision release population consists of all offenders permanently removed from the Florida Department of Corrections from a specific term of supervision due to satisfaction of the sentence, a pardon, return to another State, death, revocation, or other court termination action.

The objectives of this process are:

- Prepare offenders for a smooth transition back into the community.
- Provide termination of supervision instructions to offenders
- Create release documentation to the various agencies and/or individuals.
- Document offender release in OBIS and in hardcopy file

Stakeholders

Each process affects individuals and entities inside and outside the Department in unique ways. It is important to identify these stakeholders to determine a baseline impact on the organization and connected entities. The Project Management Institute (PMI) defines a stakeholder as “anyone who may be positively or negatively impacted by the project.” The table below lists the project’s stakeholders which have been identified to-date, as well as a summarization of how each will be affected by, or will participate in, OBIS Modernization.

Table 2: Business Process Stakeholder Groups

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Florida Department of Corrections	<p>Replacing the current OBIS affects all facets of support and operational areas within the Department as it represents a significant shift in technology, functionality, staff skills and knowledge, and an ongoing need to readdress budgetary support. Internal stakeholders include:</p> <ul style="list-style-type: none"> • Executive Leadership • Institutions • Community Corrections • Administration • Budget and Financial Management • Communications • Facilities Management • Finance and Accounting • General Counsel • Health Services Human Resources • Information Technology • Inspector General • Intelligence • Legislative Affairs • Procurement • Programs and Re-Entry
General Public	A general body of people within the Florida community. The general public is directly affected by the Department’s ability to meet its security and safety mandates.
Victims	Victims of crime have an interest in the new system to ensure it meets their notification needs and to ensure appropriate restitution is made.
Law Enforcement Agencies	A wide variety of law enforcement agencies provide data to support the Department mission. The Florida Department of Law Enforcement (FDLE) provides positive, biometric-based identification services (state and federal) and supplies criminal history records to the Department. By running an identification check, the Department notifies FDLE that an inmate is in custody.
Local Law Enforcement Agencies	A wide variety of law enforcement agencies provide data to support the Department mission. State law enforcement agencies (Police, Sheriffs) interact with the Department and may be actively involved with transfers, escapes, absconders, and investigatory processes.

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Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Court Partners	Court systems are intimately involved with the Department. The Courts impose the sentences which the Department is mandated to carry out for inmates and offenders and often requires information and/or investigations to assist them in their constitutional duties.
Other States	The Department, through the Interstate Compact, houses inmates from and provides supervision of offenders on behalf of other states. Concurrently, other states perform similar services on behalf of the Department.
Florida Department of Children and Families (DCF)	The Department collaborates with DCF to terminate government benefits, such as the Supplemental Nutrition Assistance Program (SNAP) and Temporary Assistance for Needy Families (TANF), when an individual enters the Department’s custody, ensuring that benefits are not distributed to incarcerated persons. Additionally, the data provided helps prevent the fraudulent use of incarcerated individuals' identities in assistance applications.
Other State Agencies	Other agencies within the State of Florida that interact and/or are affected by OBIS Modernization include: <ul style="list-style-type: none"> • Florida Department of Revenue (DOR) • Florida Department of Juvenile Justice (DJJ) • Florida Department of Elder Affairs (DOEA) • Florida Agency for Persons with Disabilities (APD) • Florida Commission on Offender Review (FCOR) • Florida Department of Law Enforcement (FDLE) • Florida Office of the Attorney General (OAG) • Florida Public Service Commission (PSC) • Florida Department of Agriculture and Consumer Services (DACCS) • Florida Department of Education (DOE) • Florida Lottery • Florida Department of Highway Safety and Motor Vehicles (DHSMV) • Clerk of Courts • Auditor General
State Data Center (SDC)	The SDC provides utility computing services to the Department. The center maintains a 24x7x365, Tier III data center operation with redundant power, back-up generators, redundant network connections, and managed services for OBIS. As of FY 2020-21, the SDC outsourced mainframe services to the Northwest Regional Data Center (NWRDC) who has contracted with a vendor to supply services.

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Contracted Services	<p>Third party vendors contract with the Department. Examples of service contractors include:</p> <ul style="list-style-type: none"> • Health Services • Canteen • Electronic Monitoring • JPAY payment processing
Florida Legislature	<p>The governing body responsible for enacting laws. The Legislature has exclusive authority to determine statute and adopt the budget for state government activities.</p>
Executive Office of the Governor (EOG)	<p>As a part of the overall governance team, the EOG communicates with the House and the Senate as well as creates a recommended budget and signs the budget voted on by the legislature.</p>
Other Federal Agencies	<p>Other Federal Agencies interact with the Department. They include:</p> <ul style="list-style-type: none"> • Social Security Administration (SSA) • Internal Revenue Service (IRS) • Department of Defense (DOD) • Department of Treasury • Department of Justice (DOJ) • Department of Homeland Security (DHS)

2. Assumptions and Constraints

OBIS Modernization is dependent upon a wide range of assumptions and constraints. Assumptions refer to things which are, based on functional, technical, statutory, and/or best practices, believed to have potential impact on the overall goals of the project. Constraints are defined as things that are known to prevail today or will be required in the future, which limit or influence subsequent functionality, the technical environment, budgets, implementation planning, project execution, and operations and maintenance activities.

From a fundamental perspective, the most important aspect of OBIS Modernization is an understanding that the functions of the Department to meet its mission cannot be interrupted.

Assumptions

- The original Schedule IV-B was written in fiscal year 2023-2024 and may not contain all evidence of current data governance, processes, or structures, that will be developed as a result of this project.
- Total project costs will increase with longer project timelines due to the need to maintain and operate the current OBIS solution over a longer period.
- Funding to maintain and operate the current OBIS will continue until the new system is implemented.

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- The vendor solution will be a Commercial off the Shelf (COTS) product, Cloud-based Software as a Service (SaaS) solution, or Cloud-based Customer Relationship Management and Enterprise Resource Management (CRM/ERP) Platform as a Service (PaaS) with correctional verticals. Vendors can propose a combination of one or more of the above and integrate them all to provide least Total Cost of Ownership (TCO) over 10 years.
- The Vendor will utilize service-oriented architecture, a range of appropriate technologies and tools like data integration, business rule-engines, with low-code/no-code frameworks with real-time interoperability and interfaces using application program interfaces API services.
- The Vendor solution will be hosted in a cloud environment that complies at a minimum with the FBI Criminal Justice Information Services (CJIS) Security Policy.
- The Vendor solution will be compliant with the National Institute of Standards and Technology (NIST), the FBI CJIS Security Policy, the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and standards for protecting Personally Identifiable Information (PII).
- The Vendor solution will be compliant with Chapter 60GG-2, F.A.C., Florida Cybersecurity Standards, and Chapter 60GG-3, F.A.C., Data Center Operations.
- The Vendor will implement the solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The Vendor solution will increase operational efficiencies and effectiveness and eliminate manual processes which rely upon the use of ad-hoc tools.
- The cost avoidance from operational efficiencies and resource gains resulting from OBIS Modernization will be allocated to activities which directly support the Department's mission.
- The Vendor solution will use an architecture model that facilitates rapid and scalable deployment of the technical and functional requirements.
- The Vendor solution includes building interfaces and a data bridge with the current OBIS applications that will run in parallel as functionality is modernized in phases.
- The current OBIS applications will remain the system of record for agency data until all functionality is tested and migrated to the modernized OBIS.
- The Department will employ the Organizational Change Management (OCM) activities required to successfully implement the recommended solution.
- The Project Implementation Team (PIT), the Department, and the vendor will be staffed appropriately to complete the deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and ensure proper testing.
- The Vendor solution will include automated data interfaces with other external agencies to preclude the storage of duplicate data.
- As a part of the business process re-engineering, the current interfaces will be analyzed if providing real-time access to data to reduce batch load and data exchange traffic.
- The Department's executive leadership and key project stakeholders will remain invested in the success of the project throughout the multi-year phased implementation.
- The end user computer workstations and network connectivity are sufficient to support the use of a web-based user interface.
- The computers and mobile devices used to enter data without using paper will not negatively affect the safety of officers, staff, or inmates.
- The Vendor solution will provide offline data capture workflows with connected synchronization for data collection when connectivity is unavailable, which will be critical to reduce the need for paper-based data collection and manual workflows.

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- The Vendor solution will be implemented using a five-phase implementation approach with three modular system releases over a 3-year period. Implementation of the Vendor solution will comply with Chapter 60GG-1, F.A.C., Florida Information Technology Project Management and Oversight Standards.
- The Vendor solution will consider public safety as an overarching goal of the Department.
- CIMS (OBIS Modernization) will not negatively affect operational continuity.

Constraints

- The Vendor may prefer to implement CIMS (OBIS Modernization) in fewer phases over a shorter period, which may not match the approved funding model.
- Project activities, schedules, and milestones depend on the appropriate funding.
- State statutory changes, changes in administrative rules, and Department policy changes could affect the project.
- Specific software tools supporting desired capabilities will be determined based on the solution options identified by the Vendor.
- There is a limit to the workload that Department staff can dedicate to CIMS (OBIS Modernization) each year which will require contractual staff augmentation to effectively support the program.
- The current OBIS applications contain cross dependencies that will require ongoing operation of the legacy system during OBIS Modernization.
- During CIMS (OBIS Modernization) a temporary bridging interface is needed to maintain operational continuity and data integrity.
- The selected Vendor must use the Department's Data Warehouse. The Department's Data Warehouse shall be the "Source of Truth" for all reporting, data integration, and decision-making processes within the agency, and all data entries and updates must be centralized in the Data Warehouse. External data sources shall not be used for official reporting or decision-making.
- There is a high level of risk associated with a phased implementation, which necessitates an emphasis on modernization strategies.
- The availability of business users to support phases of the SDLC such as requirements elicitation, user testing and acceptance will impact the project schedule.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

Functional Requirements

Functional requirements are defined as those items which must be met to address the business processes of the Department; and must be supported to perform the actual business of the Department. Within the functional requirements are items common across all functions, such as scheduling and workflow management. **Figure 2** below illustrates the inter-relationship of common functional elements.

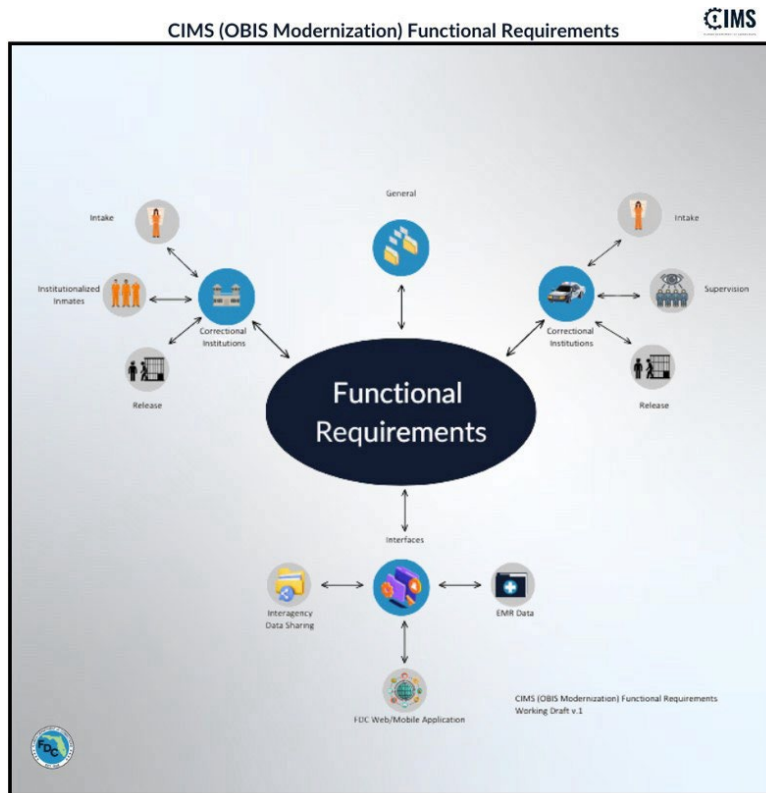


Figure 2: Functional Requirements for OBIS Modernization

The requirements fall into general groupings as summarized in the following table.

Table 3: Major Functional Area and Descriptions

Major Functional Area	Process Sub-Categories	Description
Institutions - Intake	Inmate Reception	Processes required to receive an inmate.
Institutions - Intake	Risk and Needs Assessments	Processes required to determine the internal and external risks posed by an inmate, define custody levels, and assess an inmate’s specific needs (e.g., health, education, and vocational training).
Institutions - Intake	Security Threat Group	Processes required to determine gang or terrorist memberships and threats.

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Major Functional Area	Process Sub-Categories	Description
Institutions - Institutionalize	Inmate Education	Processes required to determine and meet the educational needs specific to a particular inmate.
Institutions - Institutionalize	PREA	Processes required to determine the threats posed by sexual predators or to assess the propensity for victimization.
Institutions - Institutionalize	Property Management	Processes required to remove, store, track, and return inmate property.
Institutions - Institutionalize	Disciplinary Report (DR) Management	Processes required to track inmate disciplinary actions.
Institutions - Institutionalize	Inmate Trust Fund	Processes required to manage inmate funds (e.g., transferring funds to an inmate’s ID for use in the canteen).
Institutions - Institutionalize	Sentence Structure	Processes required to validate and manage an inmate’s incarceration, sentence modifications, and to calculate a release date.
Institutions - Institutionalize	Visitation/Phone Lists	Processes required to manage inmate visitors and authorized recipients of inmate phone calls.
Institutions - Institutionalize	Transportation	Processes required to move inmates between Department institutions.
Institutions - Institutionalize	Vocational Training	Processes required to determine and manage inmate vocational program assignments and training.
Institutions - Institutionalize	Housing	Processes required to manage bed space throughout Department and to determine appropriate bed assignments based on inmate custody levels.
Institutions - Institutionalize	Interstate Compact	Processes required to manage and coordinate inmates serving time in other states or inmates from other states serving time in Florida.
Institutions - Institutionalize	Drug Testing	Processes required to manage the inmate drug testing program.
Institutions - Institutionalize	Emergency Operations	Processes required to support Emergency Operations (e.g., managing escapes or mass moves during natural disasters).
Institutions - Release	Inmate Release	Processes required to prepare and release an inmate from incarceration.
Community Corrections - Intake	Offender Receipt	Processes required to receive an offender.
Community Corrections - Supervision	Offender Supervision	Process of making referrals, tracking public service, monitoring treatment attendance and various other activities.
Community Corrections - Supervision	Risk and Needs Assessment	Processes required to assess an offender’s specific needs during supervision.
Community Corrections - Supervision	Investigations	Processes required to complete offender investigations.
Community Corrections - Supervision	Absconder Management	Processes required to manage offenders who have absconded (potential probation/parole violators).

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Major Functional Area	Process Sub-Categories	Description
Community Corrections - Supervision	Court Ordered Payments (COPS)	Processes required to manage payments ordered by a Court as restitution to victims or payments for services rendered by Department as part of an offender's supervision.
Community Corrections - Supervision	Offender Transfer	Processes required to transfer an offender's supervision from one office to another.
Community Corrections - Release	Offender Release	Processes required to release an offender from supervision.
Interfaces – Inter agency Data Sharing	Inter-Agency Data Sharing	Processes required to support outbound and inbound data exchange with external agencies. Currently most of these are batch.
Interfaces – Department Web/Mobile	Department Web/Mobile Applications	Processes required to support data requirements of Department web / mobile applications in real-time or batch.
Interfaces – Health Services	EMR Interface	Processes required to support EMR system providing inmate data and receiving medical/mental health data for internal processing.
General	Document Management	Processes required to maintain Department document templates, image/store documents, and to address archival requirements levied by the Department and/or the State.
General	Scheduling	Processes required to schedule appointments.
General	Workflow Management	Processes required to move work items between staff members for completion and or authorization.
General	Identification (Photos, Badges, LiveScan, RapidID)	Processes required to positively identify inmates and offenders and to create acceptable identification badges.
General	Integration with External Agencies (e.g., Courts, State/Local/Federal law enforcement agencies)	Processes required to share data/access with a wide variety of external entities that supply or use Corrections data while incarcerated or under supervision.
General	Case Management	Processes required to manage inmates and offender records and caseloads.
General	Audit (inmate records, sentence structure)	Processes required to validate the accuracy of Department processing and records.

Categorizing Current OBIS Functions and Implementation Methodology for Solution Delivery

The current OBIS functional areas have been divided into three modular groups, each aligning with a specific phase of release in the proposed modernized solution. These groups are referred to as "System Release Groups," comprising System Release Group 1, System Release Group 2, and System Release Group 3. **Figure 3** illustrates how each functional area is grouped within these releases. The groups are based on factors such as the priority for modernization, functional relationships, sequencing of migration, and the benefits of migrating functions as a cohesive block to minimize interactions. Each system release will follow the *Five-Phase Implementation*

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

Methodology, which includes the phases: **Vision, Align, Configure, Deploy, and Sustain**. Figure 4 provides details of the activities associated with each phase.

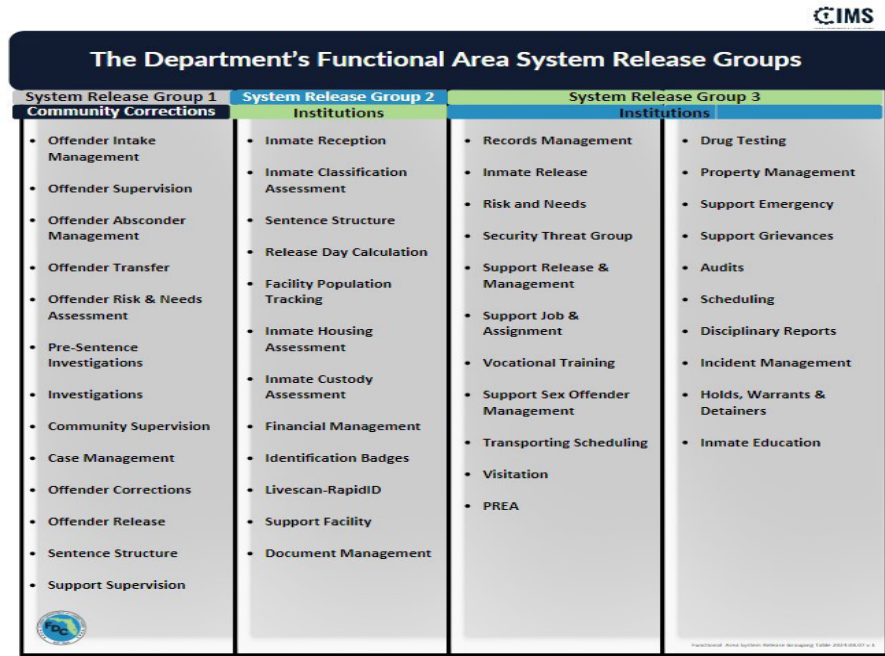


Figure 3: Functional Area System Release Groups

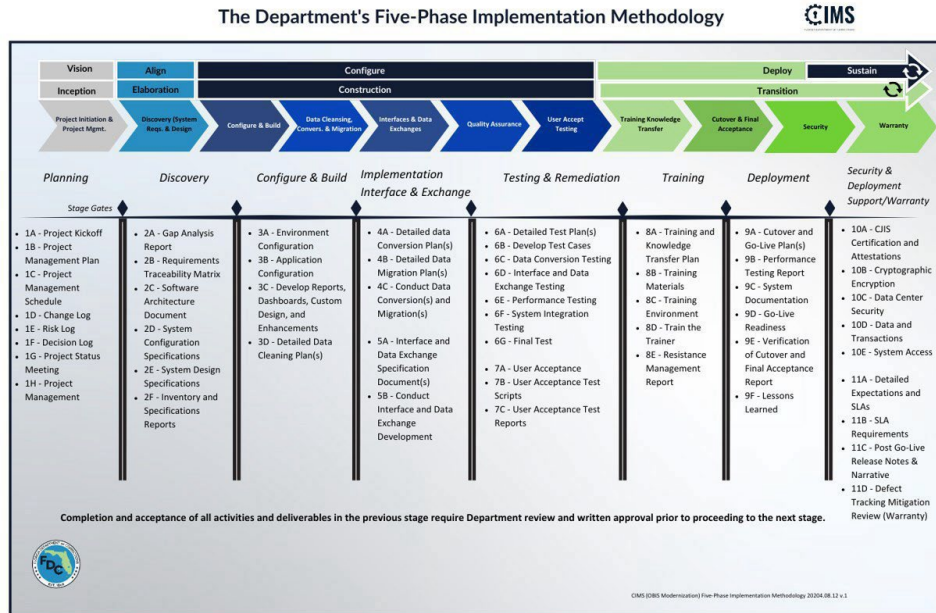


Figure 4: Five-Phase Implementation Methodology

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With the major functional areas grouped as listed above, the migration task is divided into three workstreams, applicable to any chosen solution options. These are shown in the following figures: **Figure 5: Workstream 1 - Modernize Interfaces & User Experience**, **Figure 6: Workstream 2 - Reduce the Mainframe Footprint**, and **Figure 7: Workstream 3 - Refactor/Rewrite Functionality**.

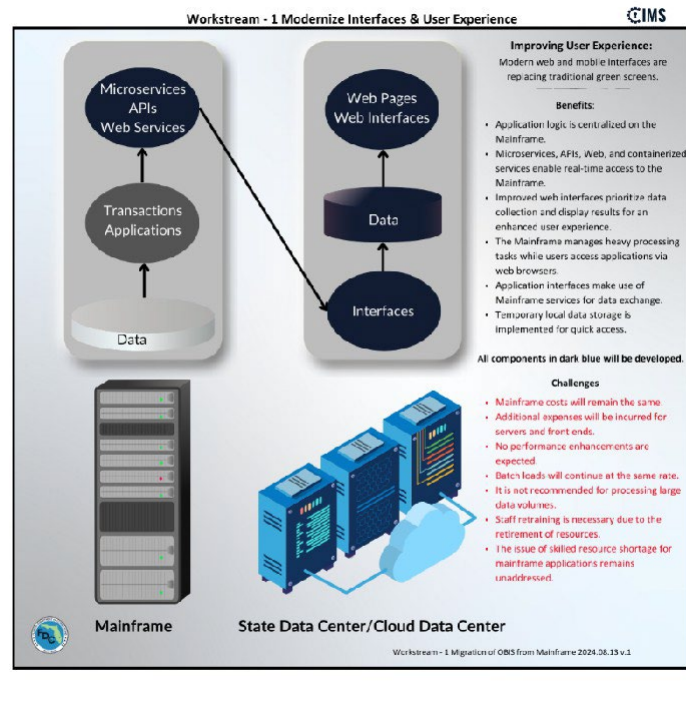


Figure 5: Workstream 1 - Modernize Interfaces & User Experience

The focus of this **Workstream 1** is to replace the green screen interfaces of OBIS with web-based and mobile-enabled interfaces. Development of these interfaces provides the functionality of multiple OBIS green screens can be combined into a single screen for an improved user experience and error trapping can be done at the time of data entry to improve the accuracy of collecting data. These advantages will significantly reduce the traffic to the mainframe once functionality is shifted to a newer interface.

Workstream-2: Reduce the Mainframe Footprint

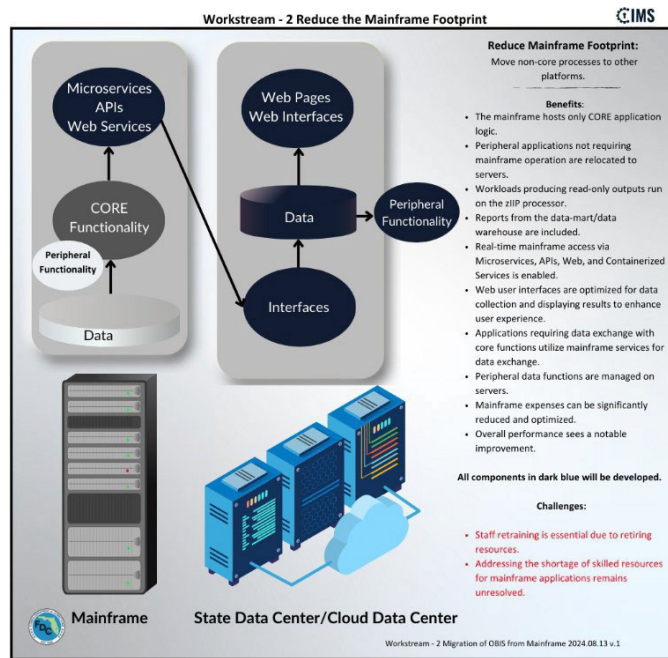


Figure 6: Workstream 2 - Reduce the Mainframe Footprint

During research, OIT discovered several processes that can be eliminated or do not require the processing power provided by the mainframe. The focus of this workstream is to reduce the footprint on the mainframe by moving non-core functionality to a cost-effective modern platform and sunsetting the processes that are not required.

Workstream-3: Refactor/Rewrite Functionality

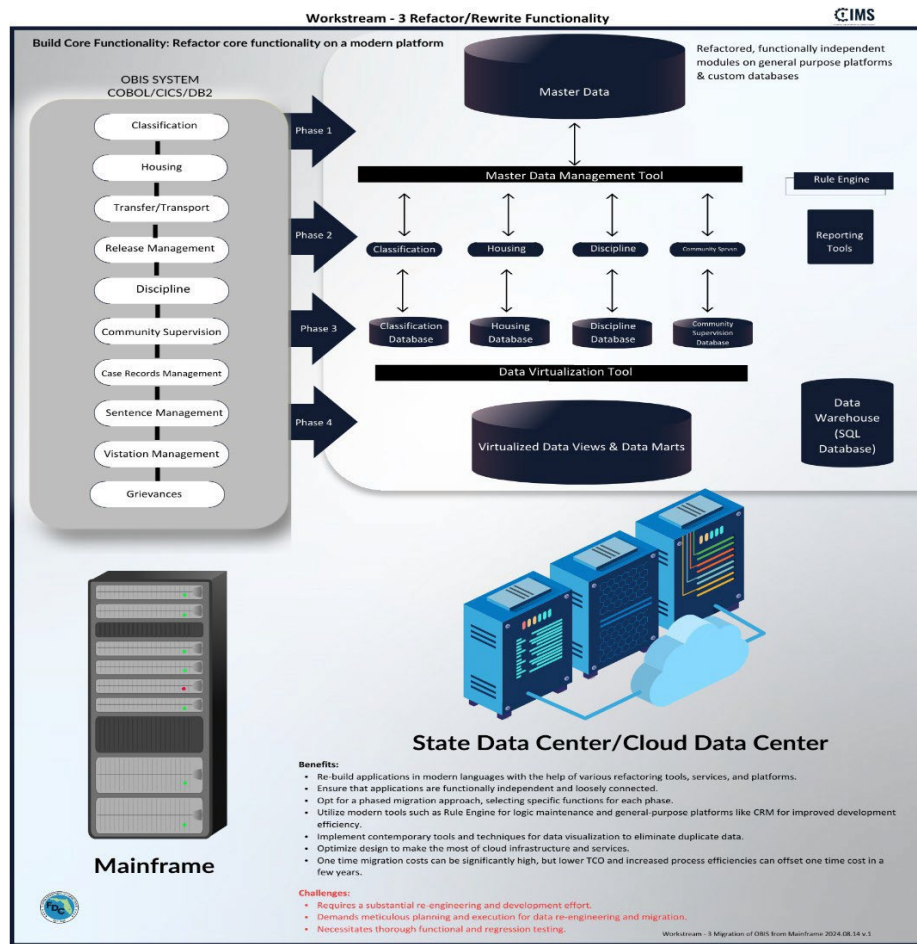


Figure 7: Workstream 3 - Refactor/Rewrite Functionality

The focus of this workstream is migrating core functionality to a modern platform. The approach for modernization could be a combination of one or more options considered under Business Solution Options. The end goal of this workstream is to provide a modern system that meets the Department’s business objectives.

Technical Requirements

Technical Requirements are defined as those items which must be met to address the information technology processes of the Department; and must be supported to meet Department technical environment needs and compliance with Chapter 60GG-2, F.A.C., Florida Cybersecurity Standards and Chapter 60GG-3, F.A.C., Data Center Operations. As with the functional requirements, many technical requirements are common across the solution, such as database architecture, network infrastructure, and data integrity/security. The requirements fall into general groupings summarized and illustrated in the following diagram, **Figure 8**. For a complete listing of requirements, refer to **Appendix H**.

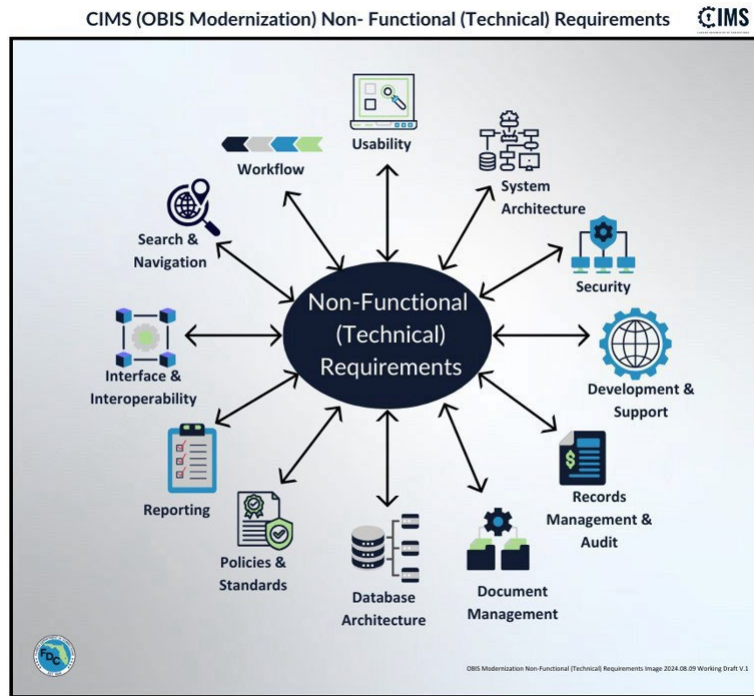


Figure 8: Non-Functional (Technical) Requirements

2. Business Solution Alternatives

The initial research from the 2016 Feasibility Study focused on gathering data about the correctional environment at the national level, followed by looking at individual states and identifying those which are similar to Florida, based on inmate and offender populations. Particular attention was placed on states which have recently implemented a new Offender Management System (OMS) and states considering the replacement of their existing system.

A review of individual states was performed to determine which systems were currently in production or planned, functionality, underlying technology suites, and overall implementation strategies. States with large inmate and offender populations were most relevant, given the inherent similarities to Florida with particular attention given to California, Texas, Pennsylvania, New York, Illinois, Virginia, and North Carolina.

A comparison of systems and technology included research and analysis of vendors, products, third-party integrators, and application options provided as part of recent, within the last five years, or planned system implementations. For states that recently implemented a new system, implementation information helped provide insight into key factors the Department must consider for OBIS Modernization. For states using a mainframe platform and considering implementing a new system, research focused on determining key drivers for change.

State Comparisons

For frame of reference purposes, the following table shows totals for inmates and supervised offenders from the National Institute of Corrections (NICIC) reports. There may be slight variances between data reported and actual state data, but the table below is representative for each state as of December 31, 2019. Florida ranks third nationally for total inmate population. The Department has evaluated the proposed vendor accomplishments against states of comparable size to validate their ability to deliver.

Table 4: State Inmate Population Comparisons

State	Inmate Population (Per 100,000)	Community Corrections Population	Total Population
Texas	158,429	474,100	632,529
California	122,687	306,500	429,187
Florida*	96,009	208,500	304,509
Georgia	54,816	427,600	482,416
Pennsylvania	45,702	278,000	323,702
New York	43,500	133,800	177,300
Illinois	38,259	119,600	157,859
Virginia	36,091	67,400	103,491
North Carolina	34,079	90,900	124,979

Sources: <https://bjs.ojp.gov/content/pub/pdf/p19.pdf>

<https://bjs.ojp.gov/library/publications/probation-and-parole-united-states-2019>

*Includes non-state probation. The Department’s Community Corrections Active and Active Suspense = 131,300; All categories = 163,000.

Comparison of State Offender Management Systems (OMS): State Profiles & Activities

The California Department of Corrections and Rehabilitation (CDCR) invested seven years and approximately \$250 million to fully implement the Strategic Offender Management System (SOMS), which replaced its previous corrections application. At the time, this was the largest state system of its kind in the nation. CDCR selected eOMIS, a Commercial Off-The-Shelf (COTS) package developed by Marquis Software, as the core offender management system; notably, Florida’s OBIS application was a precursor to eOMIS. Hewlett-Packard (HP) was chosen as the systems integrator for the project.

The SOMS project was not solely focused on technology; it also involved significant efforts in business process optimization, aiming to standardize and enhance data management. By integrating advanced technology with streamlined processes, SOMS improved offender management across the system. All components of SOMS were successfully implemented over a five-year period.

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In comparison, Texas, which has the largest state corrections department in the nation, sought to replace its Offender Management System (OMS) with a custom-built solution, initially estimated to cost \$31 million in the early 2000s. However, in 2004, Texas terminated the contract with the solution integrator after only one of the three functional modules had been implemented. Texas is now considering a shift to Platform as a Service (PaaS) for its needs.

The following table compiles data from various sources to provide an overview of the status of offender management systems across different states, including updates in progress or planned modernization efforts. While the information may not reflect the most recent developments for all states, it is accurate as of 2018.

Table 5: Comparison of State Offender Management Systems

State	System Name	Notes
Alabama	Inmate Management System (IMS)	N/A
Arizona ¹	Offender 360	Starting Mid 2019
Arkansas ²	eOMIS by Marquis	Since 2001
California ^{Error!} Bookmark not defined.	eOMIS by Marquis	COTS + External tools (Hybrid)
Colorado ^{Error!} Bookmark not defined.	DeCoRum (Powered by eOMIS by Marquis)	Since 2018
Connecticut ^{Error!} Bookmark not defined.	Syscon JMS	Since 1999
District of Columbia	OMS Global Tel* Link/Digital Solutions Incorporated (DSI)	N/A
Florida	Offender Based Information System (OBIS)	Developed internally
Georgia	Scribe-Inhouse Software Development (IBM infrastructure)	N/A
Hawaii	Motorola - Offendertrak	N/A
Idaho	Global Tel*Link proprietary system	N/A
Illinois ^{Error!} Bookmark not defined.	Tribridge Offender-360	Since 2019 Built on the Microsoft Dynamic 365 CRM
Indiana	OIS (Offender Information System) Mi-Case OMS (In process)	N/A

¹ Source – Corrections Technology Association listserv.

² Source – Request for Information (RFI) responses received by the Department.

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State	System Name	Notes
Iowa	Iowa Corrections Offender Network - ICON Vendor is Advanced Technology Group -- ATG	N/A
Kansas ^{Error!} Bookmark not defined.	Offender 360	Since 2020 Built on the Microsoft Dynamic 365 CRM
Kentucky ^{Error!} Bookmark not defined.	KIMS (Powered by eOMIS)	Since 2006
Louisiana	Currently have a 20-year-old legacy system written in Unisys Mapper	State is currently writing a new Offender Manager System. This process started in 2012.
Maryland	Mi-Case OMS	N/A
Massachusetts	Inmate Management System	N/A
Michigan ^{Error!} Bookmark not defined.	Offender 360	Since 2019 Built on the Microsoft Dynamic 365 CRM
Minnesota ^{Error!} Bookmark not defined.	Syscon JMS	Since 1999
Mississippi	Offendertrak by Printrak, a Motorola company. Caseload Explorer by Automon	N/A
Missouri	Currently using legacy offender management system called OPIL.	State will eventually retire it and is currently developing a new web-based system called MOCIS (Missouri Corrections Integrated System). Base code for MOCIS was received from NCOMS (National Consortium of Offender Management Systems).
Montana	NCOMS, which is the MT version of the system OMIS, Offender Management Information System.	State uses a shared source system that is shared by six other states. The version uses an Oracle database and a web based front end. The consortium is called NCOMS; more details and a demo can be provided if desired.
Nevada ^{Error!} Bookmark not defined.	Syscon JMS	Since 2007
New Hampshire	CORIS (Corrections Information System), Vendor-Abilis New England	N/A
New Jersey ^{Error!} Bookmark not defined.	Syscon JMS	Since 1999

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State	System Name	Notes
New Mexico	Criminal Management Information System (In-house development, Part of the NCOMS consortium)	N/A
New York	Home grown Case Management System (Custom)	N/A
North Carolina	OPUS (OBIS by Marquis)	N/A
North Dakota ^{Error!} Bookmark not defined.	Syscon JMS	Since 1999
Ohio	Departmental Offender Tracking System Portal	Supported by internal staff
Oklahoma	Currently using Syscon iTag	Old system and has not been upgraded in many years. Actively seeking a replacement system.
Oregon ^{Error!} Bookmark not defined.	Syscon JMS	*** Since 1999
Rhode Island	INFACTS - Inmate Facility Tracking System	Built in house using PowerBuilder with Oracle back-end
South Carolina	The South Carolina Department of Corrections' Offender Management System (OMS)	Developed and is maintained by in-house Information Technology staff.
South Dakota ^{Error!} Bookmark not defined.	Syscon JMS	Since 2007
Tennessee ^{Error!} Bookmark not defined.	OMSE (By GTL)	Originally by DSI implemented by GTL
Texas	Offender Information Management System (OIMS) - Custom	N/A Currently considering Microsoft Dynamic 365 CRM based system.
Utah	TBD	N/A
Vermont ^{Error!} Bookmark not defined.	JailTracker	COTS
Virginia ^{Error!} Bookmark not defined.	Virginia CORIS	Partial COTS
Washington ^{Error!} Bookmark not defined.	Syscon JMS	Since 1997

State	System Name	Notes
West Virginia	Offender-360, built on the Microsoft Dynamic CRM	N/A
Wisconsin ^{Error!} Bookmark not defined.	WICS (Powered by eOMIS by Marquis)	Since 2004

Rationale for Selection

The rationale for selection considered two major strategic decisions that define the Department’s OBIS Modernization strategy:

- 1. Enterprise System Platform Strategy (Platform Strategy)**
- 2. Migration Strategy to a new Enterprise System Platform (Migration Strategy)**

The Enterprise System Platform Strategy decision defines core functionality and system capabilities, software buy/build direction, software provider type, and hosting platform direction for OBIS Modernization. The Platform Strategy resulting from evaluation of RFI responses is a decision that considered the state of the market, desired business capabilities, the use of Department resources, risk, and speed to benefits and projected future system capabilities that will benefit the Department. The Platform Strategy decision is important because it sets direction to align correctional business processes in Florida with industry standards and practices used in other states, determines the timing to introduce system components which were not custom developed specifically for Florida, and influences Department’s decision about whether to establish and grow a custom system development organization within the Department.

The Migration Strategy to the modernized OBIS Enterprise System Platform defines the overall approach, sequencing of new capability implementation, and the timing to implement and migrate to the modernized OBIS Enterprise System Platform. The migration strategy establishes a flexible framework for modular implementation and provides a foundation to manage the ongoing modernization of OBIS. The Migration Strategy seeks to balance multiple constraints and risks to achieve the most improvement in business outcomes for the Department. Constraints considered in the development of the Migration Strategy included:

- Business usage and net benefit
- Availability of funding
- Requirements to establish temporary bridging solutions between the old and new system.
- Technical foundational components
- Resource availability and capacity
- Impact on ongoing operations and workforce

The Migration Strategy reflects a series of manageable initiatives to migrate to and implement the modernized OBIS Enterprise System platform in a logical manner. The Migration Strategy will likely be updated multiple times during the modernization program to reflect prevailing program constraints and to take advantage of additional opportunities to create value. For example, following procurement and contracting for a specific modernized OBIS platform solution, the sequencing of modules may change.

Platform Strategy Rationale

Each alternative was evaluated and scored against the following (“Goals” below reflect the Department’s Objectives outlined in Section A3 of this document):

Table 6: Platform Strategy Rationale - Evaluation Criteria and Factors

Evaluation Criteria	Factors
<p>Alignment with Goals</p>	<p>Responsive Web-Based System - The solution provides a responsive, mobile-enabled and web-based system that comports with current technology platforms, improving usability for the Department.</p>
	<p>Scalable and Sustainable Technology Architecture - The solution provides a modern technology architecture that supports dynamic process modification and offers long-term sustainability.</p>
	<p>External/Internal Data Sources and Data Analytics - The solution provides a system that can leverage and integrate external and internal data sources and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.</p>
	<p>Workload Management - The solution provides a system with a workload management component to manage institution and community corrections business processes effectively and efficiently.</p>
	<p>Interoperable - The solution provides an interoperable and fully functional inmate/offender management system to access accurate and complete information to ensure public safety and to meet the demands of a dynamic and data intensive corrections environment.</p>
	<p>Technologies to Attract and Retain Skilled Staff - The solution provides a system that leverages modern technologies to attract and retain skilled technologists and support staff.</p>
	<p>Phased Implementation Plan - The solution provides a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost-effective and realistic acquisition process.</p>
<p>Stakeholder Value</p>	<p>Supports Evolving Needs - The solution supports evolving stakeholder needs, including multiple self-service options and communication channels, including mobile.</p>
	<p>Stakeholder Experience - The solution offers an improved stakeholder experience that should result in increased stakeholder satisfaction and an improved relationship with the Department.</p>
	<p>Enables Relationships - The solution will enable the Department to foster a stronger relationship between the agency and its stakeholders.</p>
	<p>Protects Privacy - The solution will support strong privacy and confidentiality controls of stakeholder information to protect their identities.</p>
<p>Risk Mitigation</p>	<p>Data Risk - The solution will mitigate the Department’s risk related to data migration.</p>

Evaluation Criteria	Factors
	<p>Resource Risk - The solution will mitigate the Department’s risk related to the limited availability of IT resources with the skill set required to maintain the system.</p> <p>Implementation Risk - The solution will mitigate the Department’s risk related to the success of project implementation (along key project constraints - scope, schedule, budget, quality, and resources).</p> <p>Expected Benefit Risk - The solution will mitigate the Department’s risk related to the realization of expected benefits.</p> <p>Litigation Risk - The solution will mitigate the Department’s exposure to risk of litigation.</p> <p>Technology Obsolescence Risk – The solution will mitigate the risk of selected technologies becoming obsolete and unsupported.</p>
<p>Technical Architecture</p>	<p>Flexibility - The solution offers the flexibility for the Department to be responsive to future state and federal mandates in a cost-effective manner; and respond to a continually changing fraud environment.</p> <p>Future Needs - The solution offers the stability and scalability necessary to support future needs.</p> <p>Integration - The solution will enable the Department to integrate with other internal and external systems in a cost-effective manner.</p> <p>Value to Partners - The solution offers the scalability and flexibility necessary to leverage and extend it to support or add value for other internal and external partners.</p> <p>Meets Standards - The solution is aligned with industry standards.</p>
<p>Business Alignment</p>	<p>Future Business Process - The solution supports business process reengineering and streamlining to enable the Department to run its operations more effectively and efficiently now and in the future.</p> <p>Current Business Process - The solution supports the Department’s current business processes and would eliminate current workarounds or extensive staff training.</p> <p>Positive Impact - The solution will positively impact the user experience/staff satisfaction and will result in enhanced fiscal responsibility through efficient operations.</p> <p>Resource Capacity - The solution will free-up manual and wasteful resource capacity so that it can be applied to more value-add activities.</p>

Evaluation Criteria	Factors
Data Architecture	Data Governance - The solution offers an underlying data governance solution that is manageable and scalable to meet future growth, reinforces data integrity, and supports data governance and analytics.
	Data Integrity – The solution offers data architecture which enables all the business functions access the same data in real-time amenable to single version of truth without unduly loading the transactional databases.
	Data Security - The solution allows the state to fully protect sensitive information per State and national standards.
	Data Sharing - The solution provides industry standard interface methodologies. The solution also provides industry standard tools to provide custom virtual views for various use cases.
	Data Analytics - The solution enables robust trend and analysis of data.
Financial	One-time Project Costs - The solution has a manageable project cost for implementation and other one-time components.
	Ongoing Operational Costs - The solution’s ongoing operational costs are within acceptable ranges and feasible for the Department.
	Tangible Benefits - The solution realizes tangible benefits for stakeholders.
	Intangible Benefits - The solution realizes intangible benefits for stakeholders.
	Financial Metrics - The solution has acceptable ROI, NPV, and adequate payback period.
Total Cost of Ownership	Costs to Procure, Develop/Customize, Implement, and Maintain - The solution costs include costs to procure, develop, implement, and maintain the new system over time.
	Direct and Indirect Costs - The solution costs include both direct and indirect costs.
	Cost of Maintaining Separate Systems - The solution cost includes the cost of maintaining the existing system until it can be removed from service.

Migration Strategy Rationale

The migration strategy rationale reflects multiple constraints and seeks to maximize the value of OBIS Modernization. Grouping functionality to allow specific components to be implemented and migrated to a newer platform incrementally is preferable to deployment using a “Big Bang” approach which is widely considered risky. The grouping accounts for the relative functional priority to modernize, including functional relationships, sequencing of migration, and migration to a newer solution as a block for minimizing interactions. The migration sequence accounts for the planned realization of benefits with the incremental approach allowing for an earlier realization of benefits that will progressively increase throughout the project.

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The controlling factors of a multi-year migration strategy are scheduling, funding, and availability of Department resources, which make a longer implementation period more feasible. The table below lists constraints that were used in developing migration strategy options.

Table 7: Migration Strategy Rationale - Constraint and Discussions

Constraint	Discussion
Business usage and net benefits	The sequencing of modernization initiatives and the implementation of modular components attempts to optimize business benefits to the Department. For example, where there are opportunities for significant cost reductions (e.g., mainframe CPU charges) or where there are productivity improvements that impact many workers or a high volume of transactions, the modules that support modernized processing were sequenced earlier to maximize the cumulative savings and/or to achieve productivity improvements.
Availability of funding	Funding to support the migration to a modernized OBIS platform is needed beyond currently budgeted resources. The amount of funding allocated per year is likely to be a major constraint on implementation speed. The Department anticipates the need for funding above \$10M per year will be a constraint regardless of net benefits.
Requirements to establish temporary bridging solutions between the old and new system	The sequence of migration to the modernized OBIS platform recognizes that concurrent operation of the old OBIS platform and the modernized OBIS platform will be necessary until all components of the current OBIS solution are retired. In developing the plan, the options considered the amount of bridging and interim integration work required to operate both systems concurrently.
Technical foundational components	There are some technical foundational components that are prerequisites to implementation of specific modules or components on the modernized OBIS platform. The prerequisites were considered in defining each of the migration options.
Resource availability and capacity	The current OBIS solution is a mature system in maintenance mode with a limited number of resources who provide support. The number of resources available to support integration, bridging, and legacy system changes can be a constraint which limits the schedule. Likewise, availability of business resources to support configuration and customization of the modernized OBIS may limit overall program implementation speed.
Impact on ongoing operations and workforce	There are many staff who use the current OBIS and follow business processes which support it. The proposed strategy considers the amount of change that can be absorbed by the organization and the risk to ongoing operations from changing too many processes in too short a period.

The Department’s estimated 5-year migration strategy is in line with the sequence of modernization initiatives using a hybrid approach with consideration of the following key features:

- OBIS mainframe infrastructure re-platform – Reduction in ongoing mainframe costs to the Department during the period of migration to the modernized OBIS platform.
- Integration, data sharing, and data analysis/reporting improvements – Modernizations that can be used quickly with the existing OBIS and the modernized OBIS without significant throw away effort or rework.
- Core OBIS capabilities – Establishment of modernized OBIS infrastructure and the use of common capabilities which benefit multiple stakeholders.
- Institutions Capabilities and Processes – Modernization of business processes affecting Institutions are generally prioritized before other business areas.
- Community Corrections Capabilities and Processes – Community Corrections capabilities are generally implemented following core Institutions capabilities.
- Integration with Health Services – Integration with Health Services processing (currently, Health Services is nearing implementation of an electronic health/medical record solution).

3. Recommended Business Solution

After multiple discussions with other states, guidance and confirmation from Gartner, the Department recommends a hybrid solution approach that migrates the current OBIS platform to a combination of best-of-breed COTS/PaaS/SaaS solutions with the scalability and flexibility of integrating applications in a modular, service-oriented architecture.

Platform Strategy Recommendation

OBIS Modernization using a hybrid solution is recommended for the following reasons:

- There is a lot of peripheral Department-specific functionality running on the mainframe which will not be available through any COTS package. Hence, COTS-only solution is not workable leaving some other strategy to be chosen for the other functions. A hybrid approach combines the benefits provided by the other two (SaaS/PaaS) which can be leveraged in building an integrated system. Integrations can be achieved via a service-oriented architecture (SOA) using flexible APIs and API services. Implementation will be more flexible than a COTS-only solution and quicker than a fully custom-developed solution.
- A consistent user interface can be configured for use across all business functions and applications to provide a seamless end user experience.

Migration Strategy Timeline Recommendation

The Department recommends that OBIS Modernization be implemented over an estimated 3-year timeframe with an iterative workstream and functional area approach for the following reasons:

- The Department can begin realizing benefits incrementally and more immediately, increasing the cumulative return on investment.
- Despite engaging a solution integrator, a significant amount of work must be performed by Department staff to define and validate requirements, test functionality, train staff etc. It is impractical to assume that all the subject matter experts will be available full time for OBIS modernization. With a multi-year implementation strategy, the demands on Department technical and business resources are distributed and can be managed more appropriately without significantly impacting the primary business.
- The introduction of change and resulting affect to business processes is more manageable over time.

D. Functional and Technical Requirements

The requirements reflect base requirements gathered in the previous 2008 Business Process Project and will require updating and validation by the selected system integrator. The total requirements are summarized below:

Table 8: Functional and Non-Functional Requirements

Type	Area	Number of Requirements	
Functional	General	58	
	Community Corrections	Intake Offender	348
		Supervise Offender	51
		Release Offender	38
	Health Services ³	Inmate Health	233
		Clinical and Admin Health Services	408
		Services Transition	31
	Institutions	Institutionalize Inmate	201
		Receive Inmate	295
		Release Inmate	128
	Interfaces	Community Corrections	66
		Institutions	18
		General	3
	Grand Total		1878

³ Health Services requirements may be reduced and/or eliminated, as these functions are in the process of moving to a new electronic health/medical record solution.

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Type	Area	Number of Requirements
Non-Functional	Database Architecture	9
	Development and Support Services	35
	Events and Scheduling	16
	Interfaces and Interoperability	15
	Notes	9
	Policies and Standards	6
	Record Management and Audit	6
	Reporting	40
	Search and Navigation	26
	Security	72
	System Architecture	31
	Usability	16
	Workflow	42
	Other	7
		Grand Total

The table below highlights and summarizes additional requirements identified with the current process updates.

Table 9: Additional Requirements and Current Process Updates

Requirement Area	Initiative	Description
Business Functionality	Mobile Application & Upload	The solution will support functionality to allow staff mobile platform-optimized versions of functionality.
Business Functionality	Real-time Web Services	The solution shall use secure API services to provide real-time access of information.
Business Functionality	Dashboard and Data View	The solution shall display information on a configurable dashboard with drill-down capabilities; provides a holistic view of data gathered relevant to the inmate/offenders.
Business Functionality	Housing Management and Balancing	The solution shall have the ability to manage inmate housing needs within Institutions across regions and to manage inmate allocations during emergencies such as hurricanes.

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Requirement Area	Initiative	Description
Information and Data	Data Analysis Tools	The solution shall provide data analytic capabilities for current, future, and historical data contained in a Data Warehouse.
Information and Data	Data Analysis Tools	The solution shall provide tools to identify trends and forecast opportunities related to process improvement and training.
Information and Data	Data Analysis Tools	The system shall establish and produce a range of scores to categorize work items by level of risk and priority.
Information and Data	Data Warehouse	The solution shall use a Data Warehouse to integrate data from different sources and to create a central data repository for current and historical data.
Information and Data	Integrated Imaging	The solution shall provide integrated access to imaged documents.
Information and Data	Integrated Imaging	The solution shall provide integrated access to previously submitted and indexed documents to staff.
Information and Data	Integrated Imaging	The solution shall use a Services-Oriented Approach (SOA).
Information and Data	Integrated Imaging	The solution shall track forms and events using state-of-the-art encoding technology and smart forms to automatically route documents based on document metadata and other predefined conditions.
Information and Data	Reports Migration	The solution shall migrate legacy reports from OBIS.
Information and Data	Quality/Performance Dashboard	The solution shall provide views of organizational performance based on both qualitative and quantitative metrics in a dashboard format that can be configured based on roles (i.e., executive, supervisor, and staff).
Information and Data	Advanced Workforce Analysis Tools	The solution shall use workforce analysis and trend tools to identify potential opportunities to optimize staff costs.
Architecture	Single Sign-On	The solution shall require users to sign on only once to access multiple systems.
Architecture	SOA/Standards	The solution architecture shall be modular with open interfaces and business rules which are separate from application-related programming.

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Requirement Area	Initiative	Description
Architecture	SOA/Standards	The solution shall be deployed as a web-based, graphical user interface, accessed via a web browser or mobile platform.
Architecture	SOA/Standards	The solution shall comply with accessibility standards and regulations under Sections 504 and 508 of the Rehabilitation Act of 1973, as well as with the Americans with Disabilities Act of 1990 (ADA).
Architecture	Implementation Approach	The solution shall have the capability to interact with the current OBIS solution to provide existing business services while the legacy OBIS is undergoing reengineering/replacement in a phased implementation.
Architecture	System Performance	The solution shall provide the capability for capacity monitoring via server volume/capacity and network volume/capacity monitoring.
Architecture	System Performance	The solution shall provide the capability for application monitoring for all OBIS functionalities.
Architecture	System Performance	The solution shall include infrastructure to support processing of existing volume.
Architecture	Disaster Recovery	The solution shall provide the ability to back up and recover all system data and components.
Architecture	Data Migration	The solution shall re-platform functionality and processes written in COBOL and other third-party supporting software on OBIS Florida mainframe to operate on an open systems server platform.
Architecture	Data Migration	The solution shall migrate existing OBIS data to the modernized OBIS solution.
Architecture	Data Migration	The solution shall provide the capability to convert active, inactive, and archived records.
Architecture	Data Migration	The solution shall provide a mechanism to perform data cleansing and to remove duplicate records.
Architecture	Interface Migration	The solution shall provide the ability to maintain external system information for interfaces (i.e., connection strings, file paths).
Architecture	Interface Migration	The solution shall provide the ability to transmit and receive imported and exported data through multiple secure methods compliant with NIST standards (i.e., file output, web service, single and batch transactions).

Requirement Area	Initiative	Description
Architecture	Security	The solution shall meet the minimum-security requirements as defined by FIPS using security controls per NIST, CJIS, PII and HIPAA standards.
Architecture	Security	The solution shall enable multi-factor authentication for secure access to data.

II. Success Criteria

The success of OBIS Modernization depends on quantitative and qualitative factors listed below. Each of these factors are in alignment with the business objectives and proposed business process requirements outlined in the Strategic Needs Assessment section of this document, as well as the overall vision and mission of the Department.

The success criteria shall form the basis of any contracts pursued to implement the project. The Department anticipates the project management team responsible for the implementation of the solution will develop a benefit realization strategy and plan. The benefit realization plan will be designed to include baseline measurement and several interim measurements before the final benefit realization report finishes. Realization date is dependent upon procurement contract finalization and vendor onboarding. ***The project start date will be set after contract signature.***

Table 10: Success Criteria Table

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date
1	The project will be completed on-schedule, following an approved project plan.	Interim project milestones Independent Verification and Validation (IV&V) reports.	The Department	Year 6
2	The project will be completed within the prescribed budget constraints defined in advance of project initiation.	Project financial data	The Department	Year 6
3	The solution will positively impact the user experience and increase employee satisfaction.	Employee satisfaction survey results Attrition/Turnover rates New Hire latency Help Desk calls Reduced training time	The Department	Years 5 and 6

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

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date
4	The solution will enable the Department to adapt to new sentencing guidelines more quickly.	Time to implement mandated changes	Admissions & Release	Year 6
5	The solution will support the Department in its on-going practice of sound fiscal stewardship of its assets.	Operating costs for Security and Institutional Operations Operating costs for Community Corrections Overhead costs for Department Administration Collections of restitution, fines, court costs, subsistence, and other Court Ordered payments. Operating costs for Health Services	All those who are currently using paper processes to capture data in the field and re-entering the data into OBIS	Year 6
6	The solution will facilitate data exchange with external stakeholders.	Automated data exchange volume/accuracy with Law Enforcement, Courts, and Victim access/notifications	External Agencies & the General Public	Year 6
7	The solution will enable the Department to adapt to new sentencing guidelines more quickly.	Time to implement mandated changes	Department Divisions of Admissions & Release	Year 6
8	The solution will present program data in an integrated view.	Staff efficiencies/performance	Executive Leadership and Decision Makers	Year 6
9	The solution will provide value to the Department through additional portable options.	Percent of supervision case notes completed by use of automation or mobile devices. Efficiencies/performance increases	Supervisors and Department Field Staff	Year 6

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date
10	The solution will allow the Department to fully protect sensitive criminal justice information.	Data security incidents Audits and review results	The Department	Year 6
11	The solution will provide an underlying data structure that is scalable to meet future growth.	Cost to implement new capabilities/requirements	All current OBIS users	Year 6
12	The project will achieve anticipated Cost Benefits.	Cost Benefit Analysis and Benefit Realization outcomes	The Department	Year 6
13	The solution will mitigate the potential risk associated with on-going support and maintenance of the system.	On-going support and maintenance costs	The Department	Year 6

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

A. Benefits Realization Table

Table 11: Benefits Realization Table

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
1	Eliminate paper processes and reduce data entry with a friendly UI for reception processing	The Department	Decreased staff time spent on data entry by 20%. Decrease use of paper by 50% or more.	During the OBIS Modernization implementation, compare the data entry time between the legacy and the modernized user interfaces. Establish a baseline of paper usage on the legacy system and compare that to the paper usage once OBIS Modernization implementation is complete.	Year 6
2	Provide a friendly UI to simplify the use of OBIS by attorneys and reduce training	The Department	The time spent referencing code books for attorneys to access data is reduced by 80%.	During the OBIS Modernization implementation, compare the data access time between the legacy and the modernized user interfaces.	Year 6
3	Provide a friendly web-based UI for access from mobile devices	The Department	Not having to be at a computer to enter case notes will save 15 minutes for each offender case and make data immediately available for supervisors to review.	During the OBIS Modernization implementation, compare the case note data entry time between the legacy and the modernized user interfaces.	Years 5 and 6

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

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
4	Provide a friendly web-based UI for quick access to information	The Department	Quick access to information from a friendly UI result in a 50%-time savings for each occurrence.	Establish a baseline of time spent on information retrieval and compare that to the time spent once OBIS Modernization implementation is complete.	Years 5 and 6
5	Provide web-based GIS mapping for matching inmates to services in preparation for release	The Department	Real time mapping of data using Google Earth or ArcMap creates a 20% efficiency in placement of inmates into community programs when searching for sites with CTE programs, ESE, bed space, employment opportunities in the community, and halfway houses.	Establish a baseline of time spent on placement searches and compare that to the time spent once OBIS Modernization implementation is complete.	Year 6
6	Simplify the steps to access data and provide field validation to eliminate data entry errors	The Department	The time to retrieve accurate data is reduced by 50%.	Establish a baseline of time spent on information retrieval and validation and compare that to the time spent once OBIS Modernization implementation is complete.	Year 6
7	Provide a friendly UI for collecting daily information on inmates and providing a reporting tool to review the information efficiently	The Department	Decreased staff time spent on collecting data for daily and weekly reports by approximately 30%, due to the new functionality.	Establish a baseline of time to compare data collection time between the legacy and the modernized user interfaces.	Year 6

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
8	Improve data entry and reporting for Classification tasks including, monthly gain time evaluation, DRs, program attendance, inmate notices, visitation, and Classification Team Dockets	The Department, Inmates, and General Public	Decreased data entry time spent on monthly gain time evaluations, disciplinary reports, program attendance/hours, inmate notices/acknowledgements, Institutional Classification Team dockets, and visitation by 20%.	Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces.	Year 6
9	Simplify the steps to access data and provide field validation to eliminate data entry errors	The Department	The time to retrieve accurate data is reduced by 50%.	Establish a baseline of time spent on information retrieval and validation and compare that to the time spent once OBIS Modernization implementation is complete.	Year 6
10	Provide a centralized shared database so that information gather during reception can be utilized without duplicate data entry	The Department, Inmates	Decrease duplicate data entry of personal history and other information collected during the reception process by 20% through the implementation of tablets.	Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces.	Year 6

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
11	Utilize a central database with field validation to avoid data entry errors and duplication of data	All Community Corrections staff	Eliminate duplicate data entry and correction of errors.	Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces.	Year 6
12	Creating a web-based Community Supervision Program Referral Form will assist Staff, Offenders, and Treatment Providers	The Department, Offenders, Treatment Providers.	Decreased staff time spent on forms to place Offenders into treatment programs by 30%.	Establish a baseline of time spent on the existing Community Supervision Program Referral Form including the manually updating treatment data in the legacy OBIS. Compare that to the digital form provided by OBIS Modernization.	Year 6
13	Simplify the use of OBIS to reduce the learning curve for new employees	The Department	Training time for using OBIS green screens and codes is reduced by 50%.	Establish a baseline of training time for legacy OBIS and compare that to the time spent once the OBIS Modernization implementation is complete.	Year 6
14	Replace the batch run green screens for easy navigation of reporting results	The Department	The time spent interpreting report results is eliminated.	Establish a baseline of time to interpret batch run green screens and compare that to the time spent once the OBIS Modernization implementation is complete.	Year 6

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
15	Increased capability for generating and reviewing statewide transfers in a centralized location to allow for shared transports	The Department	Decreased staff time spent on making direct transports to the same facilities as a neighboring institution by approximately 35% due to the new functionality.	Establish a baseline of time on direct transports and compare that to the time spent once OBIS Modernization implementation is complete.	Year 6
16	Data entry for inmate movement with real-time reporting of gains and losses externally	The Department	Update the movement of an inmate as soon as the movement occurs ensuring count is accurate	Establish a baseline of time to compare the time tracking inmate movement between the legacy and the modernized user interfaces.	Year 6
17	Provide a shared database for inmate attendance in programs	Programs and Re-Entry, Security, and Inmates	Eliminate duplicate data entry and provide a single view of inmate attendance and facilitate the proper calculation of program completion.	Establish a baseline of time to compare the time tracking inmate program attendance and completion between the legacy and the modernized user interfaces.	Year 6
18	Reduce the platform cost of OBIS by replacing the mainframe platform and applications with modern architecture	The Department	The total platform cost of OBIS will be reduced by 75%.	Upon completion of OBIS Modernization, compute the platform costs of the legacy OBIS to the platform cost of the modernized OBIS.	Year 6

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date
19	Creation of or integration into a holistic Department information system environment rather than a catalogue of individualized and archaic application silos. A modernized architecture should be able to better communicate back to users (reminders, etc.) with information from itself or other Department resources (e-mail, etc.) using at least Boolean searches across the Department data systems	The Department	Reference to data from multiple sources is eliminated.	Establish a baseline of time to extract and confirm information from multiple sources and compare that to the time spent once OBIS Modernization implementation is complete.	Year 6

B. Cost Benefit Analysis (CBA)

See Appendix C, Cost Benefit Analysis, for the required CBA forms.

IV. Schedule IV-B Major Project Risk Assessment

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency’s Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

Risk Assessment Summary

The overall risk assessment of the project is rated as “High” based on the risk assessment tool. This rating reflects assessment ratings of “Medium” in two of the eight assessment areas and “High” in six areas of eight areas. As would be expected at this early stage, the project carries some risk. It is expected that overall project risk will diminish significantly by the conclusion of the first year when the project structure is fully in place and the foundational process and technology elements have been implemented.

The categories assessed as high risk and the primary causes for that assessment level include:

- **Technology Exposure Assessment** – because the technology approach has been conceptually identified and the resources needed will be external to the Department throughout implementation. There will be a learning curve for current staff for future sustainability and support.
- **Organizational Change Management** – because the new system will enable cross organization integration capabilities, the change related to the system is considered extensive. Extensive change can be a significant risk because staff is not adept at dealing with changes of this size.
- **Communication Assessment** – because the new system has so many external stakeholders the communication required is extensive.
- **Fiscal Assessment** – the size and duration of the project are significant drivers in the overall risk classification for this category. Likewise, uncertainty around benefit amounts and timing are also contributors.

- **Project Organization** – the duration of the project and less than full time commitment of some of the project team members are a significant risk.
- **Project Complexity** - because the proposed project is larger than any other project performed by the Department and involves more than 3 stakeholders, this assessment area was also rated as High. For a project of this type of this risk level is expected.

The overall risk assessment rating aligns with expectations for a project of this scope and type regardless of solution or approach. The areas where risks classified as “High” do exist, the risks are manageable and unlikely to undermine expected success or benefits of the program. Many of the areas with high classification risks will see reduction within months of project start when a formal project management program, stakeholder sign-off, and requirements validation exercise by awarded vendor is completed. Until project scope and funding are approved, additional effort to reduce identified risks would be speculative at best.

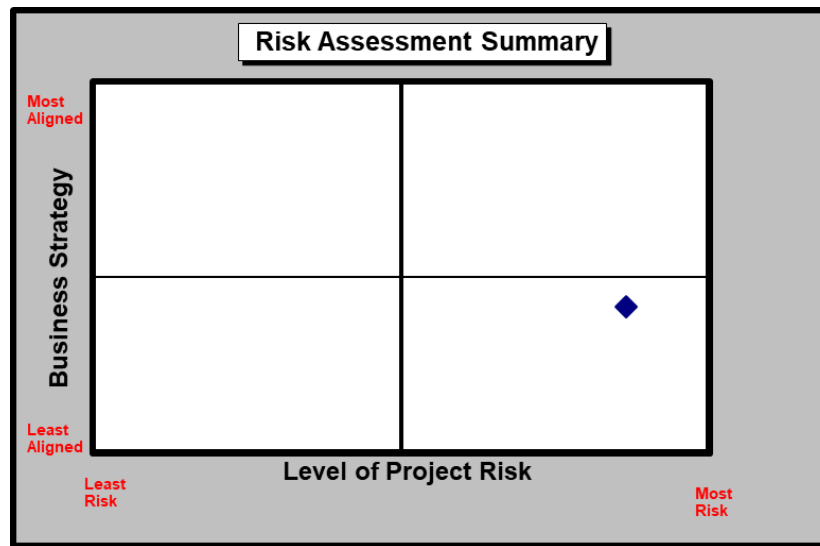


Figure 9: Project Risk Assessment Summary

CIMS


Project Risk Area Breakdown	
Risk Assessment Areas	Risk Exposure
Strategic Assessment	Medium
Technology Exposure Assessment	High
Organizational Change Management Assessment	High
Communication Assessment	High
Fiscal Assessment	High
Project Organization Assessment	High
Project Management Assessment	Medium
Project Complexity Assessment	High
 Overall Project Risk	High

Figure 10: Project Risk Area Breakdown

V. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of Current System

OBIS is a mainframe-based computer application currently installed at the State Data Center with applications developed and maintained by Department staff and contractor staff augmentation since 1978. The major areas of functional support within OBIS include:

- Inmate Custody Tracking
- Inmate Classification Tracking
- Inmate Trust Fund with Interface to Canteen
- Inmate Housing Assignment Tracking
- Facility Population Tracking
- Transportation Scheduling
- Inmate Movement Tracking
- Release Date Computation Probation and Parole Supervision
- Court Ordered Payments
- Field Investigation Tracking
- Collection and Reporting of Health Services Statistics
- Inmate Reception Process
- Inmate Search
- Offender Search
- Re-Entry

- Resource Directory
- Management Incident Notes
- Florida Commission on Offender Review
- Inmate Visitation
- Personnel Human Resources
- Outside Agency/Vendor Data Exchanges

Note: This is not an exhaustive list but representative of the total scope.

The technical scope of OBIS is characterized by:

- 6.2 million lines of COBOL code
- Approximately three hundred and seventy-seven (377) character-based screens about one hundred and fifty (150) lacking graphical user interface features even though they are viewed on Windows-based computers.
- Approximately one thousand, one hundred and fifty (1,150) green screen reports without any graphical support.
- Approximately 469 database tables containing over 244, 000 codes requiring clean up and redesign.
- The last Information Management System (IMS) database was eliminated in February 2013. All OBIS data is now stored in Db2 relational databases. Many of the older COBOL programs use the DL/2 middleware product to allow old IMS code to access the Db2 database. The Department currently has 363 Db2 tables that contain production OBIS data. The Department's mainframe has two logical partitions (LPARs). Each LPAR has 3 regions (Development, Test, and Production). Each region within each LPAR have the same Db2 database structures.

Building upon this functional foundation, the technical infrastructure of OBIS is defined by several critical components that highlight the system's complexity and the challenges associated with its maintenance and modernization.

Web-Enabled Applications

There are several web-enabled client server applications that are used to support the offender information needs of the Department. These applications interface with the mainframe via API services. The Department is currently evaluating applications affected by the interaction with OBIS to determine which have functionality that may be consumed by the new system. Additionally, a list of applications is being maintained that will continue interactions via API services. The list of those applications is below:

- **AIRS** – (Automated Inmate Ranking System) is designed to work with CINAS in identifying inmates for replacement in substance abuse, academic and vocational programs.
- **CAOSS** – (Classification Appointments Overview & Scheduling System). This system will assist in viewing all appointments and serve as a catalyst to CINAS and IRMS assessments and reviews in the web environment.
- **CINAS** – (Corrections Integrated Needs Assessment System) integrates information, needs and the Community Corrections Recidivism Index Score collected during an offender's term of supervision into a collective system that measures an inmate's Institutional Inmate Recidivism Index Score by way of static and dynamic factors and assists the classification team in determining inmate needs.
- **Community Probation Officer Caseload** – provides probation officers with the ability to manage offenders' visits in a web interface.
- **EAC** – (Emergency Action Center) tracking system for post incident reporting of a Use of Force event conducted within an institution.
- **Emergency Management** – Web-based application to track and log post-event damage assessments from the field.
- **Gain Time** – Gain time data from the OBIS DC45 green screen is displayed with no update capability.

- **Health Services Reporting** - captures reports coming from the field covering areas such as HIPAA, Tuberculosis, Risk Management, QM for Central Office to analyze.
- **Health Services Utilization** – Tracking system used at Regional Medical Centers to log outpatient and emergency hospital visits for inmates along with reasons.
- **Inmate at a Glance** – an application that provides users with a comprehensive listing of information about a specific inmate.
- **IRMS** – (Inmate Risk Management System), in conjunction with CINAS, will replace the Department's Risk & Needs Assessment system. IRMS will be devoted strictly to inmate risk while CINAS will handle inmate needs.
- **MHIT** – (Mental Health Inmate Transfer) processes all mental health inpatient requests from the point of request through the actual admission into the inpatient bed.
- **ONAS** – (Offender Needs Assessments System) identifies both the offender's needs which must be addressed in order for the offender to succeed and reduce the likelihood of the offender from recidivating.
- **RANA** – (Risk and Needs Archive) serves as a web environment to view past risk & needs assessments while conducting new CINAS and IRMS assessments and reviews.
- **Spectrum** – Spectrum 1.0 targets two types of programs: criminogenic domains and core programs. Criminogenic domain programs will be targeted for each inmate through Spectrum 1.0 at reception (for the reception pilot) based on the needs identified through the domain question sets.
- **STORMS** – (Security Threat Group) Tracking and assessment application for identifying gang affiliation and other threat group associations for inmates.
- **SVPPU** - (Sexual Violent Predator Program) allows staff to track the status of inmates that are possibly eligible under the Jimmy Ryce Act.

Ancillary Applications

- **Sentence Structure** – Inmate correspondence tracking system.
- **RMS** – (Roster Management System) manages the security staff rosters at all institutions including the creation of the daily roster, scheduling leave and training.
- **Records Trac** – provides the ability to track and monitor the completion of all requests for inmate records and/or information contained in the inmate's record. It includes public records requests, billing and payment tracking.
- **SORR/SOAR** – manages sex offender residence review to assure offender residence is not located in prohibited location.

These client-server applications operate on multiple Windows-based servers housed within the State Data Center, with Microsoft SQL Server as the underlying database platform. Notably, the Prison Rape Elimination Act (PREA) application is the only one that transmits and receives data in real-time. All other client-server applications rely on day-old data, which is loaded nightly from an OBIS extract. These applications do not have direct access to the entire OBIS database; instead, they utilize a subset of the data available in OBIS. Maintenance and administration of these applications are handled by Department personnel and contractors located at the Department’s Central Office. Additionally, a separate initiative is currently underway to assess and potentially reduce the need for this extraction and loading processes, which could result in significant cost savings.

The following section will delve into the foundational components and design principles that support the overall functionality of OBIS.

Technical Architecture

Figure 13 illustrates the technical architecture used to support the offender information needs at the Department. The diagram includes the applications, the hardware they run on, and the communication protocols used to transmit data to and from the applications.

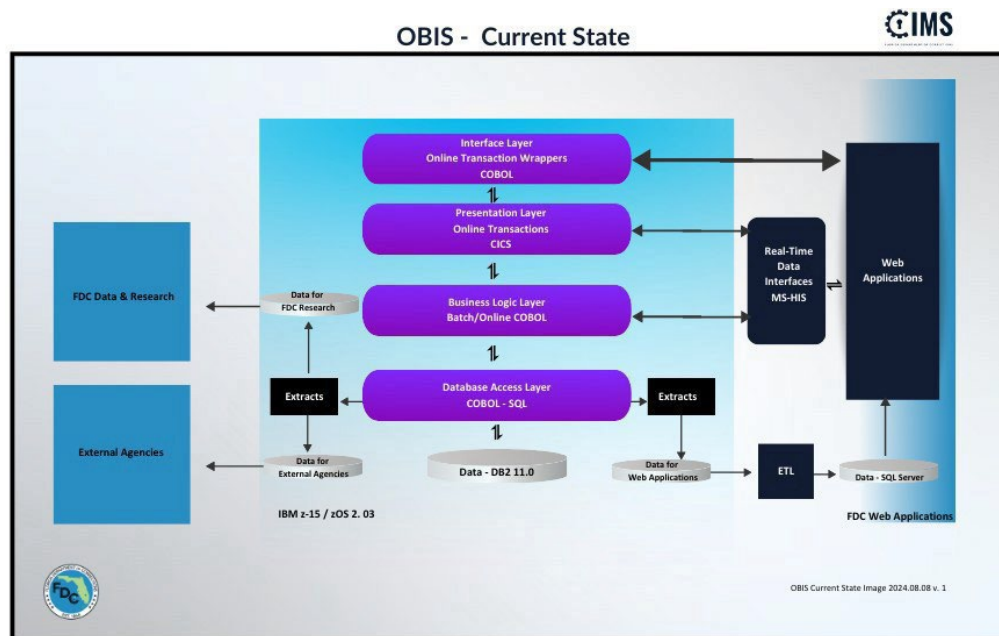


Figure 11: OBIS Current State

There are multiple agencies that depend on the Department for offender information. Many of those information requirements are met by OBIS using File Transfer Protocol (FTP) extracts. Figure 14 illustrates the technical architecture used to support external offender information needs.

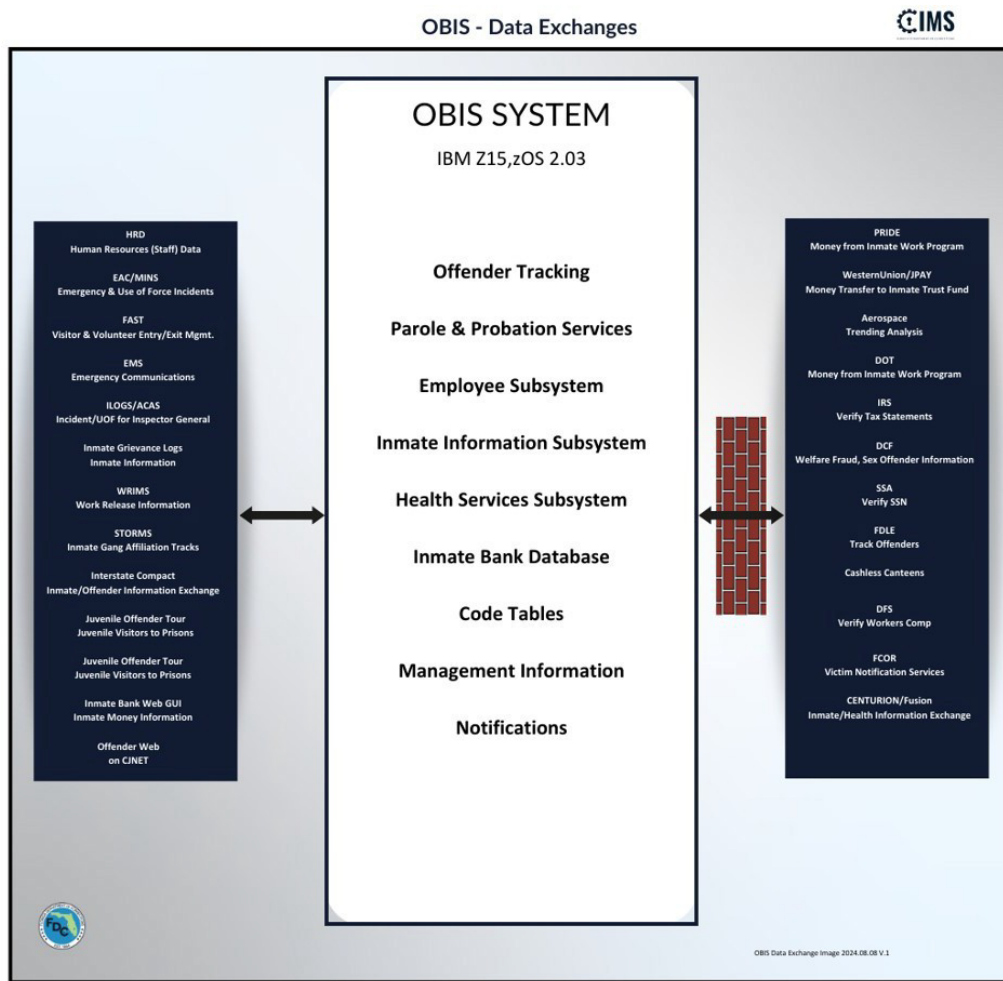


Figure 12: OBIS Current Data Exchanges

Please review the Suppliers, Inputs, Process, Outputs, and Customers (SIPOC) model, in the appendices, identifying the comprehensive OBIS Modernization framework required to provide a clear understanding of each component’s role in data flow and data exchange. This model demonstrates the boundaries and elements of a data process ensuring all expected inputs and outputs align with the Department’s expectations this model will assist the department in streamlining workflows making processes more efficient and reducing redundancies. The objective is to enhance quality control by ensuring all necessary inputs are identified and the process is well-defined, leading to more consistent and reliable outputs. This customer-focused method for gathering high level requirements for data exchange ensures a more thorough review of data exchanges.

b. Current System Resource Requirements

The Department uses mainframe processing services overseen by the State Data Center (SDC) via NWRDC and their outsourced vendor. The vendor (via SDC/NWRDC) manages mainframe services and resources used by OBIS and balances and directs mainframe processing to vendor resources to manage load, capacity, availability, and performance. The table below describes the technology used by the vendor to deliver mainframe services for OBIS.

Table 12: Current OBIS Vendor Resource Requirements

Resource	Requirement
Platform	The State of Florida Shared Resource mainframe is a Z15 8562-O05 with a total of 5 processors running at 4.5 Ghz each. It is rated at 2,369 MIPS and 294 MSUs. The CDC has 5 processors assigned to the production LPAR and 191 MSUs of processing usage. The 5 processors have processor speed cycles per microsecs of 1,496 and a zip processor with the speed of 4,500. The have effective gigahertz cycles per nano of 1.5 and 4.5 respectively. Now on z/OS 2.3. COBOL and JAVA applications are the same level of performance speed.
Performance	This system is rated at 191 million Service Units per second of processing power for Department use only.
I/O Capacity	There are 11 OSAD channels and 1 OSAE communication channels on the CEC that are shared by the customers on the shared mainframe. DASD is accessed through FICON Express version 16 channels.
Direct Access Storage Device (DASD) Storage	There is 7.5TB of space for Department use on a Hitachi GS1500. HyperPAV is implemented and the DASD environment is replicated to the disaster recovery site except for the ASG third party product volumes until an ASG licensing issue is resolved. Tape backup is on a DLm8500 and is replicated to the Lithia Springs, GA recovery facility.

c. Current System Performance

OBIS on mainframe supports the current and projected workloads with excess capacity to handle volume and seasonal processing spikes. OBIS is mature, stable, and available with few unplanned outages. However, for new employees who are more familiar with GUI interfaces, the OBIS green screens are not intuitive and mainframe-based workflow involves navigating through multiple screens with no front-end edits which causes transaction density to be very large. The system only meets objectives and functional requirements with significant augmentation of paper-based processing and manual workflow management. By current standards, the requirements and objectives for which OBIS was originally built are outdated. Advancements in technology have bypassed the capabilities of the current OBIS architecture.

As a legacy platform, outdated application development languages and technologies are used to maintain the system. Because development languages like COBOL used by OBIS have not been taught in schools in Florida for over 20 years there is concern about the ability to replace experienced legacy developers who retire or leave the Department.

2. Information Technology Standards

State of Florida Standards

As part of the work done during the requirements analysis phase of the 2008 analysis project, a complete list of technical requirements and standards were documented for the proposed new system. This document lists the high-level requirements and standards that OBIS Modernization should satisfy. It is broken down into the following categories:

- Architecture
- Security
- Usability
- Development & Support Services

Additional to those requirements and standards the proposed solution will comply with standards established by the Florida Digital Service (FLDS) and the Cloud-First statutory directives:

FBI Criminal Justice Information Services (CJIS) Security Policy

The Criminal Justice Information Services (CJIS) Division of the U.S. Federal Bureau of Investigation (FBI) gives state, local, and federal law enforcement, and criminal justice agencies access to criminal justice information (CJI)—for example, fingerprint records and criminal histories. U.S. law enforcement and other government agencies must ensure that cloud services used for the transmission, storage, and processing of CJI complies with the CJIS Security Policy, which establishes minimum security requirements and controls to safeguard CJI. As such, CJIS data safeguarding and compliance is a key requirement for OBIS Modernization.

The CJIS Security Policy integrates presidential and FBI directives, federal laws, and the criminal justice community’s Advisory Policy Board decisions, along with guidance from the National Institute of Standards and Technology (NIST). The policy is periodically updated to reflect evolving security requirements.

HIPAA Privacy Rule and HIPAA Security Rules

OBIS also must comply with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) regulations protecting the privacy and security of certain health information. Specific regulations include the HIPAA Privacy Rule and the HIPAA Security Rule. The Privacy Rule, or Standards for Privacy of Individually Identifiable Health Information, defines national standards for the protection of certain health information. The Security Standards for the Protection of Electronic Protected Health Information (the Security Rule) defines the national set of security standards for protecting certain health information that is held or transferred in electronic form.

B. Current Hardware and/or Software Inventory

The Department currently relies on mainframe processing services provided by the State Data Center (SDC), which operates on a shared mainframe platform. This infrastructure is essential for managing the Offender Based Information System (OBIS), as the SDC balances the mainframe services and resources required for OBIS operations. To optimize load management, capacity, availability, and performance, the SDC directs mainframe processing to third-party resources as needed.

Proposed Technical Solution

1. Proposed Application Architecture (Hybrid Approach)

Given the evolving needs of the Department and the limitations of the existing mainframe-dependent architecture, the proposed application architecture adopts a Hybrid Approach. This approach integrates the reliability of the mainframe with modern, scalable cloud-based solutions. The Hybrid Approach, as illustrated in **Figure 15**, aims to enhance system flexibility, improve performance, and ensure continued support for the Department's critical applications as it transitions to a more modernized IT infrastructure.

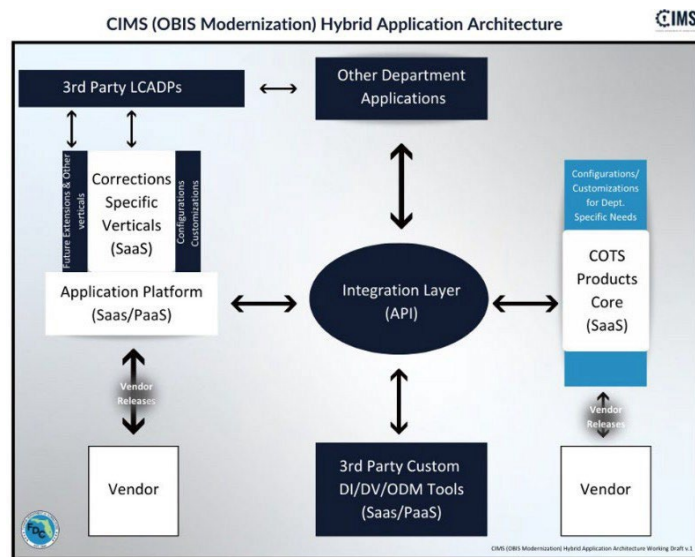


Figure 13: Proposed Application Architecture (Hybrid Approach)

2. Proposed Data Architecture (Hybrid Approach)

The Proposed Data Architecture adopts a Hybrid Approach, combining the strengths of existing mainframe systems with the versatility and scalability of cloud-based solutions. This hybrid model enables the Department to maintain the stability of its legacy systems while incorporating modern data management practices that support better integration, improved data availability, and more efficient resource utilization. By leveraging both on-premises and cloud environments, the Hybrid Approach ensures that the Department's data architecture is well-equipped to handle current and future needs, providing a more agile, secure, and resilient foundation for data operations. **Figure 16** illustrates this proposed hybrid approach to the data architecture.

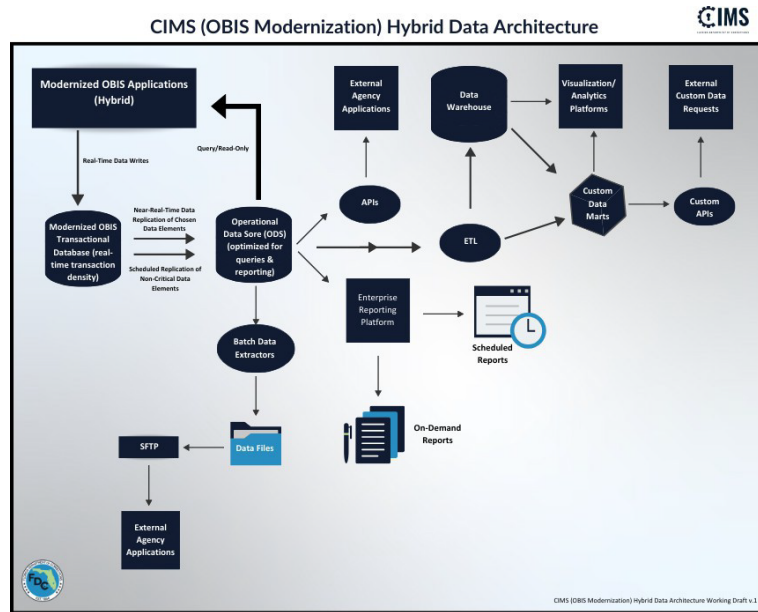


Figure 14: Proposed Data Architecture (Hybrid Approach)

C. Proposed Technical Solution

1. Technical Solution Alternatives

The proposed technical solution for the CIMS (OBIS Modernization) project is designed to transition the Florida Department of Corrections from its current legacy systems to a modern, scalable, and secure platform that aligns with the Department's operational goals and future needs. This solution will leverage cloud-based technologies, integrate with existing systems, and provide enhanced data analytics capabilities to support informed decision-making across the Department.

As illustrated in **Figure 17**, this transition is part of the Department's broader technical journey, evolving from the IBM Mainframe in the 1970s, through ad hoc reporting in the 1990s, to a modernized, cloud-based, AI-integrated system in the 2020s and beyond.

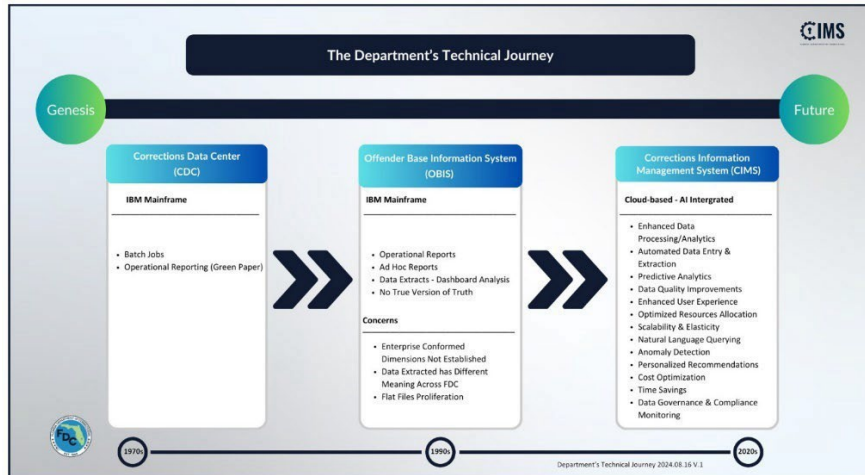


Figure 15: The Department's Technical Journey

The transition to a cloud-based platform will be executed through a phased approach, ensuring that core functionalities remain operational throughout the modernization process. Key goals of this transition include boosting system performance, strengthening data security, and ensuring compliance with state and federal regulations. The modernized platform will also enable interoperability with other state and federal agencies, facilitating seamless data exchange and enhancing overall operational efficiency. Below, **Figure 18** illustrates the transition from the current state to the future technical state, highlighting the major components and architecture of the new platform.

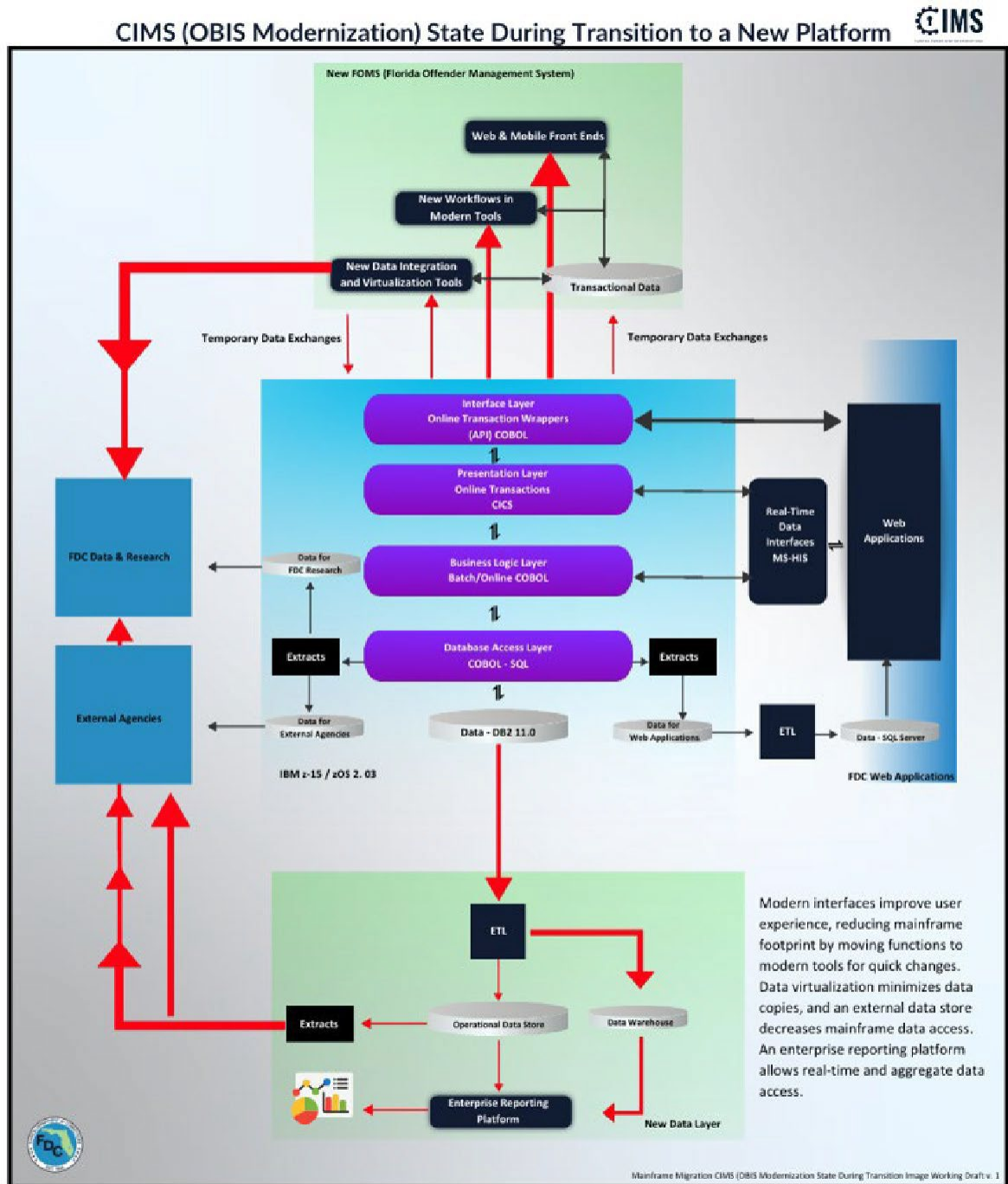


Figure 16: OBIS Modernization State During Transition to a New Platform

The current technology of OBIS was designed to support computing needs prior to the widespread usage of personal computers or mobile devices, when paper processes were used to manage complex workflows. In that era batch reports were the only timely source of information other than talking to the right people that might have knowledge of activities, events, or people that a divisional worker would interact with. The current OBIS worked well given the constraints for that period in history. Yet now, for the Department, the current OBIS is a constraint that limits improvements to workflow management and expansion of services to operate more effectively. Without additional

funding the Department is anchored to paper-based processes and green screen applications that do not provide access to real-time information.

Therefore, the Department engaged in process validation and considered budgetary constraints, technical capabilities, functional needs, staffing issues, and Department objectives for OBIS Modernization. Three approaches were identified which had the potential to meet the Department’s needs:

1. **Commercial Off-The-Shelf (COTS)**
2. **Best of Breed: Component-Based/Software as a Service (SaaS)**
3. **Hybrid on Common Platform as a Service (PaaS)**

It is important to note that each of the potential options could at some point, with varying levels of complexity, cost, and risk, meet the needs of the Department. **Figure 19** below illustrates the available options and their primary characteristics.

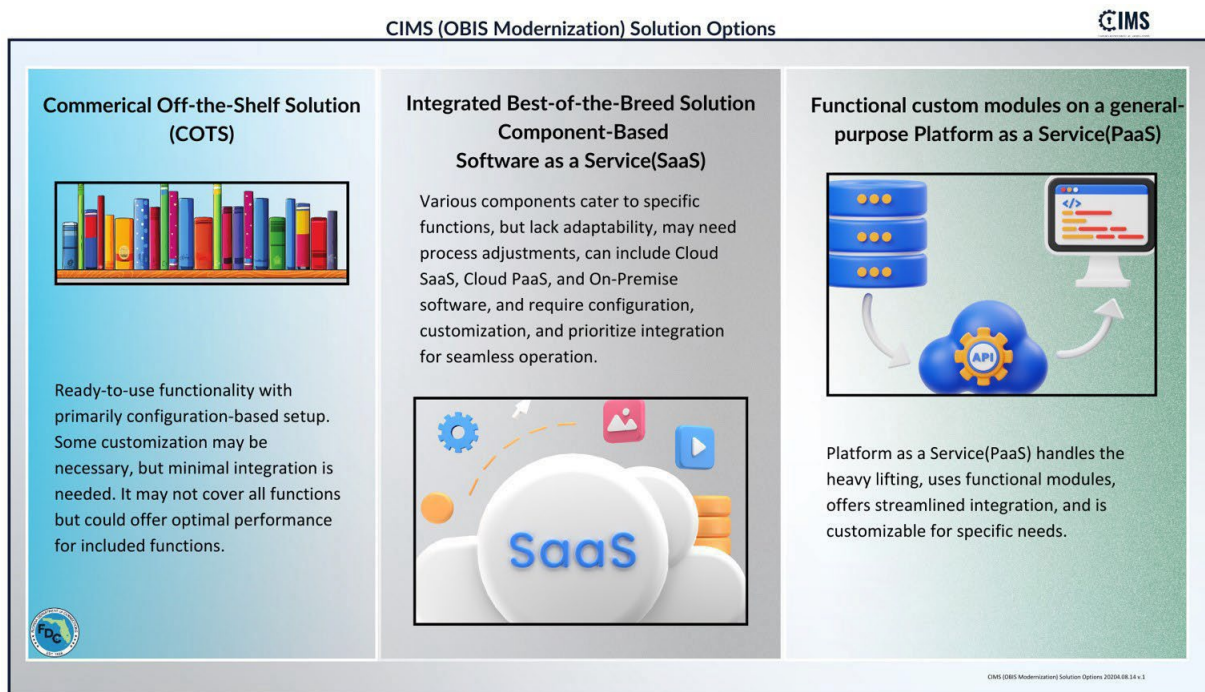


Figure 17: CIMS (OBIS Modernization) Solution Options

Findings

The market was assessed from a technical perspective (which products, services, and vendors address various migration or replacement strategies) and with a view toward identifying the current (and planned) installations for Departments of Corrections across the 50 states.

In general terms, there are three major implementation strategies prevalent in the market for Corrections:

- Commercial Off-The-Shelf
- Best of Breed: Component-Based/Software as a Service (SaaS)
- Re-Platform to Platform as a Service (PaaS): Modular/Custom Development

Commercial Off-The-Shelf (COTS)

COTS solutions are most understand to be “packages” or “shrink-wrapped” software, which is fully functional, requiring only basic configuration services to place it in a production environment. Most commonly, COTS products which address a particular functional need (e.g., an offender management system) come from a single vendor, have some sort of internal production “engine” underlying/supporting the entire solution, and various “modules” which perform discrete tasks related to a particular function (e.g., bed management or transportation fleet management). Customers are usually required, at a minimum, to purchase or license the “engine” or “core” and are then free to decide which of the functional modules they wish to use to support their specific needs.

Technical risk is usually reduced with this strategy as a vendor is ultimately responsible for the integration of their own product offerings. As an added benefit, the various modules within the system generally operate in the same fashion (menus and options are common across the different functional system components); the look and feel are decidedly similar which may reduce user training time and costs and increase staff productivity.

As part of the transition to a COTS platform, the Department would use out-of-the-box functionality with minimal customization and extensions to the core product. In some cases, current business processes may require modification to align with the COTS capabilities.

Benefits:

- Functionality may be more mature and stable for use by multiple customers.
- Tool provides a modern platform and user interface.
- Vendor maintains product to support state and federal requirements.

Challenges:

- Limited market for corrections-specific COTS
- Extensive customization may be needed to address Florida-specific needs.
- Upgrades to newer versions of COTS product could require extensive rework to include original customization.
- Current business processes may require change to align with COTS product.
- Dependency on specialized resources for system updates or legislative changes

Best of Breed: Component-Based/Software as a Service (SaaS)

Component-Based strategies allow the customer to select the best option for a given functional need, from different vendors, and then integrate the chosen components to form their overall system or solution. For example, Vendor A’s Inmate Management module may excel in the market, while Vendor B’s Probation and Parole module may be considered the “best of breed” (best solution in the market for a particular functional business need).

A Component-Based strategy allows the system to be built from market leading parts and pieces which then form the enterprise solution. Potentially, custom modules could be developed by a vendor to meet a highly specific functional need (SaaS: Software as a Service). However, there are potentially significant risks associated with this approach as it requires the tight integration of disparate vendor offerings which may be technically challenging, and which may present a different look and feel to users as they move from one area of the solution to another.

A Best of Breed modernization strategy transitions current OBIS to improved functional capabilities as discrete modules/ solution components. For each module/solution component, analysis would determine the best solution for the specific functionality. Module/solution components could be provided by one or more COTS or SaaS vendors,

as custom developed modules or re-platformed functionality from OBIS. To enable module/component-based processing, the core OBIS architecture would need to use a flexible Service Oriented Architecture and provide a solid integration framework.

Benefits:

- Modernization can be done in a phased program as budget allows.
- Solution provides access to best of breed solution components from functionality and cost perspective.
- Vendors maintain COTS and SaaS modules/components.

Challenges:

- Possibly more integration effort than a single COTS vendor solution
- Changes to current business processes may be required to align with new module/components.
- Use of offsite vendor-hosted system (“cloud”, or out-of-state locations) may add complexities for CJIS compliance.

Re-Platform to Platform as a Service (PaaS): Modular/Custom Development

A third approach to OBIS Modernization is to use standard application hosting platform, offered as a service (PaaS), and buy/build corrections-specific application modules using the rapid application tools supported by the platform which can serve the necessary business functions. This involves integrating modular components that are either pre-built or custom-developed for the core functional areas.

The primary areas of expected savings result from reduced mainframe hardware and software licensing costs. Organizations which project mainframe costs savings should be careful to understand the fixed costs (costs which remain even when mainframe utilization is reduced or eliminated). For example, there may be costs associated with support staff and facilities, regardless of where the new platform operates.

A re-platform modernization strategy transitions current OBIS to a modern application platform and development technologies. Transition may use a platform migration tool to reduce cost and elapsed time to move to the new platform. Ongoing capabilities would be custom developed on the new technology platform.

Benefits:

- Functionality customized to Department requirements and preferences, built to specifications, or bought if readily available.
- Faster migration to relatively lower cost hosting and infrastructure since the platform is service provider managed.
- Department retains control over system direction, features, and speed to implement change.

Challenges:

- Longer elapsed time to implement system changes that modernize business processes.
- Cost, staffing, and management challenges of custom application maintenance

The Department has engaged in a competitive bidding process and is currently in the final stages of contract review with a proposed solution that is a combination of COTS, business process re-engineering, customized functionality, and best of breed services. The selection of a proposed vendor was based on intensive research meeting stringent criteria to ensure the highest possibility of success.

Technology – Implementation Summary

There are other nuances associated with each option which may influence a final implementation strategy decision. A COTS or Component-Based/SaaS solution, for instance, may provide an opportunity to engage a vendor’s staff for configuration and production support. In theory, vendors are more familiar with the nuances surrounding their own products which will serve to reduce the risks associated with technical and functional complexities in a production environment. Another option may be to purchase or license a COTS product suite and rely upon a third-party integrator or internal staff resources to provide the services required for implementation. Regardless of which solution and implementation strategy is selected, each approach has its own inherent benefits and challenges.

1. Rationale for Selection

The necessity for a real-time, "Source of Truth" for business data has become essential to meet both current and future business processing needs. The expectations and demands of modern systems have evolved significantly from those that originally shaped the development of OBIS. The table below compares the technology characteristics of OBIS with those of the future-state modernized system, highlighting how the requirements have shifted towards continuous availability, enhanced connectivity, and strengthened security.

Table 13: Comparison of OBIS and Future-State Modernized System Requirements

Item	Legacy System Characteristics	Modern System Characteristics
Hours of Operation	<ul style="list-style-type: none"> Online primarily business hours. Online worker usage 24x7, batch cycle evenings, some scheduled system wide maintenance outages 	<ul style="list-style-type: none"> 24x7
Users	<ul style="list-style-type: none"> Internal workers 	<ul style="list-style-type: none"> Internal, external, and public
User Authentication and Access	<ul style="list-style-type: none"> Internal system 	<ul style="list-style-type: none"> Single sign-on Federated authentication extending to external organizations
User Interface	<ul style="list-style-type: none"> Fixed character screens 	<ul style="list-style-type: none"> Graphical, browser, mobile device
Integration	<ul style="list-style-type: none"> Data replication; Data extract, transformation, and load (ETL) Fixed format file interfaces File transfer 	<ul style="list-style-type: none"> Real-time data access API services REST, JSON, XML data
Data Sharing	<ul style="list-style-type: none"> External within state enterprise (other state systems) 	<ul style="list-style-type: none"> Public sector, private sector, academic organizations
Security	<ul style="list-style-type: none"> Emphasis on mainframe, firewall and perimeter security; Trusted internal staff and infrastructure 	<ul style="list-style-type: none"> Security hardening in every system component. Encryption of data at rest and in motion. Highly restricted data access

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

Item	Legacy System Characteristics	Modern System Characteristics
Reporting	<ul style="list-style-type: none"> • Batch jobs extract data and format reports • Extract to data repository 	<ul style="list-style-type: none"> • Real-time operational reporting • Dashboards • Predicative analytics
Business Rules	<ul style="list-style-type: none"> • Embedded in custom application system logic 	<ul style="list-style-type: none"> • Use of rules engine • Configurable rules
Processing Triggers	<ul style="list-style-type: none"> • Batch file records • Online user-entered data 	<ul style="list-style-type: none"> • Messages and event-based from asynchronous and real-time messages
Batch Processing	<ul style="list-style-type: none"> • Processing nightly driven by mainframe processing capacity / cost and database locking issues. • Reports produced via batch jobs 	<ul style="list-style-type: none"> • Processing can be run any time via cloud-based triggers or API processing. • Asynchronous updates
Workflow	<ul style="list-style-type: none"> • Workflow managed manually or via reports. • Low visibility to status of specific process or overall backlogs and slack resource utilization • Complex to change 	<ul style="list-style-type: none"> • Manages human and machine tasks performed internally and external to the traditional organization. • Processing status transparency with internal and external stakeholders • Dynamic workflow definition and updating
Architecture Services	<ul style="list-style-type: none"> • Custom-developed 	<ul style="list-style-type: none"> • Flexibility to use of “Best-of-Breed” COTS components or software services • API/Microservice Architecture
Application Ownership	<ul style="list-style-type: none"> • Internally owned asset 	<ul style="list-style-type: none"> • COTS, Software as a Service (SaaS)
Application Development Strategy	<ul style="list-style-type: none"> • Custom development 	<ul style="list-style-type: none"> • COTS or Matrix Framework • Highly configured Software as a Service (SaaS)
Application Customization	<ul style="list-style-type: none"> • Business rules defined and applications customized in response 	<ul style="list-style-type: none"> • Adjust Business Rules to Match Application Capabilities
Application Maintenance	<ul style="list-style-type: none"> • In-house on-site • Contracted hourly resources 	<ul style="list-style-type: none"> • Application maintenance provider task-based contracting • Must be US based resources
Infrastructure	<ul style="list-style-type: none"> • Mainframe • Dedicated servers 	<ul style="list-style-type: none"> • Cloud-based

Item	Legacy System Characteristics	Modern System Characteristics
	<ul style="list-style-type: none"> Using internal hosting services 	<ul style="list-style-type: none"> Software as a Services (SaaS) or Infrastructure as a Service (IaaS)

The following sections provide a detailed explanation of the key technology considerations and the rationale behind each of the characteristics outlined in the preceding table.

Hours of Operation / System Availability

Department facilities operate 24x7 and thus any significant system modernization initiative should require 24x7 application availability and continuous processing. Today, high availability systems with no single points of failure and automated failover of clustered components are a basic expectation. Minimum uptime shall be defined as 99.99999% per year.

Users

The expected number of Department system users is expected to remain relatively constant unless there is a significant increase or decrease in the number of inmates or number of facilities. It is possible that there would be an increase in external users by other agencies who have not historically used the system directly, and that they might begin to use the system either directly or via real-time API service access. To support an undetermined number of users, the application and hosting infrastructure must be automatically horizontally and vertically scalable. Additionally, licensing terms should avoid per user licensing arrangements and restrictions.

User Authentication and Access

User authentications and access controls are important considerations in differentiating technology solution alternatives. The existing OBIS and related systems have mainframe authentication, distributed network ID authentication, and custom internal access controls. For workers, this means they must keep multiple IDs with multiple passwords. Architecturally, there are advantages of externalizing access controls from custom application logic. Single sign-on across applications with coordinated timeout is a base expectation related to access. The need to support federated access controls (e.g., allowing access by other agencies or county units of government) is increasingly a priority. If single sign on (SSO) cannot be achieved, Multi-Factor Authentication (MFA) is a requirement. *Note: Federated access control is used when an external organization is granted access to use the system with user authentication and role-based management done by the external organization.*

User Interface

A standard requirement for almost every modern system is to use responsive graphical design techniques. Responsive design means that the application will be optimized for any device. Because system usage is performed by workers that move throughout the facility, the consensus is that being able to access data or enter data using a mobile device would be a significant convenience factor that enables more accurate and timely information.

Integration

The expectation of real-time or near real-time integration should be the *de facto* expectation for interface processing in the modernized system. Legacy integration strategies of database replication, cross system data synchronization, file extracts, and other bulk data transfer strategies are being replaced for many reasons, primarily due to the challenges of data privacy and the complexities and overhead of duplicated data. For the modernized system, the use of API services is a default expectation for transactional data sharing. Architecture requirements should use secure API services. Often an Enterprise Service Bus (ESB) is a component of the modernized system that provides a single point of access, common architecture services, and common processing controls for integration.

Representational State Transfer (REST) based services are currently the standard for efficient data integration especially supporting mobile device interfaces.

Data Sharing

While there are a relatively small number of interfaces in the current system, the Department should expect data sharing to increase. The amount of data sharing could increase as there is increased emphasis on establishing a 360-degree view of people from an overall health and human services perspective to analyze and provide relevant and timely services.

Data sharing can be complex, especially when dealing with sensitive information or personal information. For this reason, there have been some delays and barriers to sharing data across system and organization boundaries. The benefits of data exchange are too significant to be a long-term deterrent to data sharing.

The system should secure technical support for data sharing. COTS solutions generally have dealt with this issue, and continue to stay current with industry trends, standard data sharing formats, and data sharing regulations.

Security

Security is an important consideration in system completion. The security threats and challenges that all systems, and government systems in particular, face can consume significant resources. Regardless of platform alternative, the recommended solution is expected to comply with Florida Cybersecurity Standards Rule 60GG-2, F.A.C. and CJIS Security Policy. This factor alone may be significant enough to influence the recommended system platform approach.

COTS products will generally have a significant advantage in this area because they invest in security architecture and perform ongoing vulnerability scans and analysis of application and infrastructure. In addition, because their solutions are in use in more locations, the products benefit from the cumulative experience of all customers, which is incorporated in security and data loss prevention techniques.

It is common for systems that run on mainframes to run in state hosting data centers to emphasize keeping bad actors outside the environment. In the legacy system environment, most emphasis goes to firewalls, identity, and access controls. There is little emphasis on encryption and controls for information that is moving around within what is considered a safe space. The modernized solution should require encryption for both external connections to the system and internal connections within the system. Likewise, a requirement for storage encryption and encryption of transmission should be base requirements. Further, most, if not all, system administrators should not be able to access system data. Data in flight and data at rest must be always encrypted.

Reporting

From a technology perspective, the primary reporting considerations include:

- Reducing report generation costs of using mainframe architecture
- Remove use of batch architecture
- Reducing need for reports by enabling real-time dashboards and data access
- Data Model Updates
- Data Marts
- Tools

The Department's Data Warehouse will serve as the "Source of Truth" for all reporting, data integration, and decision-making processes within the agency. All reports will be executed using the Department's Data Warehouse as this authoritative source.

If the modernized systems use a COTS product, the COTS data model will be different from the current OBIS data model. Current system data will be migrated to data marts and the Department's data warehouse for reporting. All incoming vendors will be required to adhere to the Data Governance and Data Warehouse usage policies. A new COTS data model will have additional data and data types that may require incorporation into the Department's Data Warehouse. It is important to specify expectations related to reports, because COTS vendors provide limited out-of-the-box reports and often expect customers to customize or develop their own specific reports.

The current systems use reports as a tool to manage and assign work or to communicate outside the organization. Most COTS products solutions will have increased online capabilities and real-time integration capabilities that can eliminate the need to use current reports to manage and communicate. Therefore, the number of reports needed in the new system may be significantly less than the number of reports used in the existing systems (currently exceeding 3,200).

Most users will use an external reporting tool even if COTS products provide some base report development, customization, or delivery capability.

Business Rules

The general approach for a modernized system is to externalize business rules from custom application logic. Vendors that provide dedicated rules engines, use rules engines, or have products that use rules engines often communicate that businesspeople will be able to maintain business rules in real-time, as needed. In practice, this is not usually practical, because changes in business rules can have ripple impacts to other system components. Additionally, from a configuration management perspective, most organizations strictly control and automate deployment of changes to production environments. Regardless, the expanded use of a rule's engine can create improved processing consistency and reduce maintenance effort.

Processing Triggers

In the legacy system, processing triggers primarily originate from user-entered information and batch processing. The modernized system will primarily support real-time event-based processing triggers. These real-time events cause workflow updates and system data updates. Requirements to accept real-time updates via API service message will provide the processing capability to support business needs into the future.

Batch Processing

The legacy system has significant batch processing that is mature and efficient for the legacy platform. This processing relies on operations services (provided by the hosting service) to perform job scheduling, restart processing, and processing notifications. Historically, the use of batch processing is usually a legacy strategy driven to encourage use of unused mainframe capacity when users are not online and because legacy application systems did not have data access controls to allow concurrent online and batch processing.

System modernization efforts will scrutinize current batch requirements for potential elimination and allow processing to be performed in real-time or asynchronously where possible. The system will encourage external interfaces to move from batch to real time or asynchronous processing.

Even where batch processing must continue because of external interfaces, system completion work will use techniques that will allow the migration to real-time without significant rework.

Workflow

Work management is one of the most important capabilities of the system. It is important to evaluate the usability of the system interfaces that user's access to view work items and manage work requests of tasks in the business process. In the legacy system environment, a worker may have to evaluate work item task lists on paper or using multiple systems.

One important feature in the modernized system is automatic updates to the workflow based on system actions or data changes. For example, if a workflow step is complete after a user enters a set of information, the system will be much more effective if the task detects the change in the data and automatically marks the task complete, as opposed to the worker having to go to a work assignment screen and mark the specific task closed. This feature for specific task types greatly increases user satisfaction and reduces delays in overall processing throughput, while at the same time provides improved program and administration integrity ensuring eligibility staff receives proper credits for completed transactions without the risk of erroneous manual entries.

An additional consideration is how tasks performed by external users can be managed and tracked in the system. This allows external users to perform their steps in a workflow. The ability for external users to integrate their systems with the workflow engine may be a valuable feature. Alternatively, external users may use interactive work management screens to manage work.

Architecture Services

There are many application architectures services that can be performed by COTS, open-source solutions, SaaS services, or custom processing. COTS products balance the use of COTS architecture services to make their products cost effective. The use of architecture services reduces risk related to the specific component but increases the integration complexity. For COTS products, the vendor is typically responsible for integration of the COTS products used by their solution. If a customer requires customer-specific architecture components, those need to be specified and responsibility for performing this work should be explicit.

A recommended system modernization requirement is to identify the specific architecture services to be used and the process to update or replace architecture services in the future.

Determining the right balance of custom-coded architecture services versus other types of architecture services is a matter of discretion. The types of architecture services that are candidates to use external architecture services include services that:

- require specialized development skills,
- must comply with external standards or compliance criteria,
- are widely used, or
- are available at low-cost.

Architecture services such as security authentication and access, Enterprise Service Bus (ESB) and infrastructure monitoring are rarely custom developed.

Application Ownership

The thinking on application ownership for modern systems has changed for most organizations. When systems had unique business processes or requirements, organizations wanted to retain ownership and control of the application. As organizations recognized that system processing techniques were common to many organizations, there has been a shift to COTS-based solutions.

The other consideration is that the system lifecycle has shortened significantly. When systems were expected to operate largely unchanged, other than normal maintenance for a period of decades, it made sense to own the solution. With the pace of major technology change, most organizations recognize that the expected life of a system is not if it has been in the past. For this reason, most organizations are now favoring a rent instead of buy strategy.

From a department budgeting perspective, renting reduces discretion on maintenance expenditures and reduces the effort to secure capital funds needed for major system updates. This can be an advantage to ensure the system receives a base set of maintenance to keep it operational.

Application Development Strategy

Custom development of replacement enterprise applications is generally not considered a viable option because of the large capital expenditure, record of accomplishment of budget overruns, and delayed implementations. Transfers of custom solutions followed by customization of the system was a popular strategy 10-15 years ago. It was perceived that a transfer strategy was lower risk because the transferred application:

- May have some maturity from iterations of use.
- May have eliminated of defects from production use.
- Allowed the customer to end up with a custom solution that they owned.

The transfer approach is now out of favor because in practice there are not significant savings, especially if there are a significant number of customer specific customizations. The application architecture of the transfer system will also influence ongoing maintenance costs and can limit ongoing system evolution.

Enterprise application development must now primarily be completed in vendor development centers that concentrate thousands of workers, within the US and low-cost resources. Vendors have hiring, management, professional development, and quality management synergies in these centers and prefer to do application development and maintenance work in these locations.

Application Customization

There has been a change in thinking on how to implement modernized systems. The traditional approach that derived from when there were few automated systems was to define requirements and then build or customize the new system to meet the specified business requirements. With the introduction of COTS products, organizations are looking at total cost to implement and operate and are finding that instead of business requirements driving the system, it is often faster and more cost effective to change the business processes and requirements to match the capabilities of the COTS product or SaaS solution. These approaches are quite different. If procuring and considering a COTS product or SaaS solution, it is important to align the procurement and negotiation strategy with the approach.

Any application customization will be required to utilize the Matrix framework specified by the Department.

Application Maintenance

Application maintenance strategies have evolved and are continuing to change. The traditional application maintenance approach for enterprise custom systems owned by an organization is to have an onsite team of application developers. For government systems, these resources are often contracted resources that perform services for a long period. Organizations focus on minimizing rate per hour paid and work on a capacity basis providing maintenance and enhancement within the contracted capacity.

For organizations that purchase COTS products for enterprise use, it is common to use an application service provider that manages all maintenance of the COTS product. Work includes product customizations and integration work to support COTS product upgrades. The Application Service Provider works closely with the COTS vendor and often supports multiple customers with a shared pool of resources.

For organizations that use SaaS solutions, the service provider handles all application support and maintenance. These services are provided directly by the SaaS provider.

Infrastructure

A major part of modernizing the system is enabling and modernizing the system infrastructure. The system infrastructure includes the network, servers, system software, hosting, and systems operations capabilities. Improvements in technology have standardized and virtualized infrastructure, allowing organizations to optimize

and leverage support resources across a much larger number of systems and system infrastructure components. Cloud providers use this standardization to support many customers at a fraction of the cost of traditional on-premises infrastructure.

For OBIS, the move from State hosted infrastructure has the expected benefits of cost savings and improved service level. From an overall state level, migration and decommissioning of the current mainframe, state, and department data centers is a potential option. If any system completion option retains existing system components, work will be required to make the current applications cloud-ready.

2. Recommended Technical Solution

The technical solution approach that the Department has selected is the hybrid approach. This approach reduces module integration effort and complexity, procurement complexity, and overall implementation effort and risk. The hybrid approach offers the flexibility to incorporate the new electronic health record solution currently being implemented into a common platform that integrates all other core functions. With a hybrid solution, technical components could be implemented more quickly and give greater speed to achieve value and return on investment.

Also, refer to Section C4 Rationale for Selection (Platform Strategy) for a table highlighting both business and technical factors for the recommended solution.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed solution to replace existing mainframe-based OBIS processing must be able to support a large number of users (>24,000) during highly available (24x7) operations in a secure environment. The expected components of the new system include:

Integration Platform and New Interfaces - The implementation of the modernized OBIS solution would leverage or use an Enterprise Service Bus (ESB) to interface with external systems. The transition from batch interface processing to real time or near real-time processing would be enabled by the new system and associated architecture capabilities. The timing of migration would be driven by the external organization's ability to provide or receive information in real time.

Reporting Platform - Reporting Platform to facilitate Department staff standard reporting, ad-hoc reporting, and drill down reporting and descriptive reporting capabilities using a non-mainframe platform.

Analytics Platform – Analytics Platform including data warehouse, data marts, or data lakes to facilitate Department analysis, data visualization and predicative analytics and predictive modeling capabilities.

Modernized System Engine – Core application system engine, architecture, and common services that support all corrections processing functionality and core functional system modules.

Modernized System Modules – Specific modules or groupings of modules that provide discrete functionality built to use the system engine.

Cloud-Ready Infrastructure – Servers, storage, hosting, and system management architecture is expected to be cloud ready allowing use of a private cloud or CJIS compliant cloud-based solution provider using an infrastructure-as-a-service (IaaS) or software-as-a-service (SaaS) model. OBIS requirements to comply with CJIS Security Policy present additional considerations and challenges that can make it more difficult to use of a cloud-based solution compared to other systems that are not subject to CJIS Security Policy.

Modernizing OBIS will fulfill several critical needs for the Department:

- Upgrading the system to use sustainable technology for which continued resource availability is not at risk and which provides the least total cost of ownership. The State's "Cloud First" approach will be a primary factor in the solutions chosen to modernize OBIS.
- Supporting additional needs of the Department business units with new or enhanced applications. Modern web-based and mobile enabled interfaces will expand the opportunity for process efficiencies.

- Providing self-service capability for users to develop trends and reports using ad-hoc analysis. Following the split data model, Synchronized Transactional and Operational Data Stores, direct access to the data is provided to the users by reporting and analytics tools.
- Automating the sentence calculation process to reduce errors. Modern tools like rule-engines that facilitate methods of selecting and testing logic as a set of rules will be part of the OBIS Modernization.
- Providing enhanced user interfaces to reduce training and increase the efficiency of data collection while reducing errors and improving access to relevant data.
- Providing an interoperable framework to connect disparate applications in one OBIS implementation.

2. Resource and Summary Level Funding Requirements for Proposed Solution

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

This section provides utilization reports for OBIS for a 12-month period of operation. OBIS processes an average of 260,000 batch program executions and 65,000,000 CICS transactions a month. The number of transactions per month will typically be plus or minus 25% from the average. Average mainframe usage is 700 MIPS of 1600 MIPS capacity. The following pages contain tables and charts of OBIS resource usage.

1. User Counts

Total number of users (named and concurrent), user types (e.g., power, casual, data entry)

The current system supports approximately 14,000 total users with an average of 4,500 concurrent users during peak periods from 12,000 PC workstations running Windows 10. The following table details the organizational breakdown of the users:

Table 14: OBIS Total Number of Users

Organization	# of Users
Business	114
Central Office	972
Education	443
Parole Board	184
Health	2,225
Institutions	1,175
Personnel	79
P&P (Community Corrections)	3,505
Security	4,923
Institutions	673
Total	14,293

At a minimum, the proposed system must support the same number of users as the current system. Over time the number of users may increase due to the increasing number of offenders. There is no way to accurately project the number of future users due to the complexity of factors involved in the staffing of the Department.

The number of users will fluctuate over time however the proposed system must be able to support a maximum of 24,000 users. Below is the current day breakout by region of identified internal Department users:

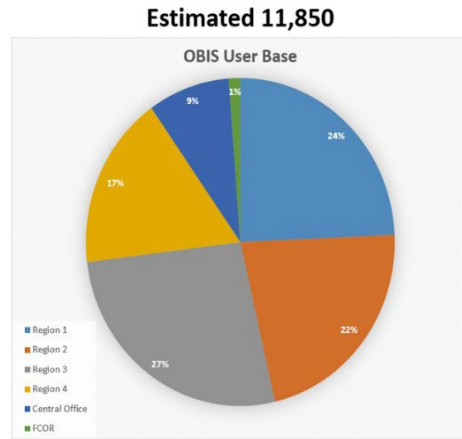


Figure 18: Regional Breakdown of OBIS Users

2. Mainframe Processing Details

The table below provides additional details specific to mainframe processing:

Table 15: Additional Mainframe Processing Details

Component	Description
CPU Usage	Average mainframe usage is 700 MIPS with the highest monthly peak of 1200 MIPS of 1600 MIPS capacity
CICS Transactions	OBIS processes an average of 65,000,000 CICS transactions per month
CICS Average Response Time	OBIS average response time has remained less than .074 seconds per transaction and trended faster
Batch Job Execution	OBIS processes an average of 260,000 batch program executions per month
DASD Usage	OBIS uses and reserves 4 TB of 18 TB of available storage of which slightly over 2 TB is used with the remaining reserved for database usage

VI. Schedule IV-B Project Management Planning

Project Management Methodology

The primary project management methodology used by Department is based on the PMI’s Project Management Framework and complies with Rule 60GG-1, F.A.C., Project Management and Oversight standards. The Department Project Management Office and the implementation vendor will coordinate any adjustments in the project management approach and methodology.

The following control mechanisms will be applied to all phases of this project, including:

- Project Charter that conveys what will be accomplished by the project, signed, and authorized by the Project Executive Sponsor
- Project contract(s)
- Project Management Plan
- Baseline project schedule
- Independent Verification and Validation (IV&V)
- Project Change Management

- Organizational Change Management
- Quality Management
- Project Issues Log
- Project Risk Log
- Financial Management
- Reporting

The use of the project control framework indicated above, together with application of the Project Management Plan, will assist both the Department and vendor project managers in planning, executing, managing, administering, and controlling all phases of the project. Control activities will include, but may not be limited to:

- Monitoring project progress; identifying, documenting, evaluating, and resolving project related problems that may arise.
- Reviewing, evaluating, and making decisions regarding proposed changes; Changes to project scope will be tightly controlled according to a documented change request, review and approval process agreed to by all stakeholders.
- Monitoring and taking appropriate actions regarding risks as required by the risk management plan.
- Monitoring and tracking issues as required by a documented issue reporting and management process.
- Monitoring and mitigation project risks. A full-scale Risk, Action, Issue, Decision (RAID) Log will be utilized to ensure detailed monitoring and control of items with the potential to affect project outcome.
- Monitoring the quality of project deliverables and taking appropriate actions regarding any project deliverables that are deficient in quality.

The original signed Project Charter will be updated at project start pending the on-boarding of the selected vendor. A comprehensive Project Management Plan has been scheduled for completion to include input from the selected vendor to maximize collaboration and extend program oversight.

VII. Appendices

Appendix A: Risk Assessment Tool

The risk assessment tool used in the OBIS Modernization project is designed to identify, evaluate, and prioritize risks that could impact the project's success. This tool includes a comprehensive risk matrix that categorizes risks based on their likelihood and impact. It also outlines mitigation strategies for each risk to minimize potential disruptions and ensure project continuity.

Key components of the risk assessment tool include:

- **Risk Identification:** Detailed identification of potential risks related to project timelines, budget, technology implementation, and stakeholder engagement.
- **Risk Evaluation:** Assessment of each risk's probability and potential impact on the project, using qualitative and quantitative measures.
- **Risk Mitigation:** Strategies to address and mitigate identified risks, ensuring that the project remains on track and achieves its objectives.

See Attachments.

Department of Management Services, Division of State Technology

PROJECT RISK & COMPLEXITY ASSESSMENT TOOL



Risk & Complexity Assessment Model for State Information Technology Projects

Purpose: In order to determine the level of risk associated with the undertaking of a project effort, this worksheet presents a series of risk and complexity questions. Each question has a weighted value. Once the assessment is complete, the project is classified into one of four project categories from low risk/low complexity to high risk/high complexity. Based on the project's risk and complexity categorization, project management best practice risk mitigation strategies become required. Mitigation strategies include the mandatory creation of certain project management artifacts, status reporting, governance oversight, scope/schedule/budget accuracy thresholds, and independent verification and validation (IV&V) support.

Form Title: DMS Project Risk & Complexity Assessment Tool

Form Number: DMS-F-0505A

Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)

Scope: All state government information technology work efforts (projects) conducted for the State of Florida.

"Project" as defined in Florida Statutes means an endeavor that has a defined start and end point; is undertaken to create or modify a unique product, service, or result; and has specific objectives that, when attained, signify completion.

Authority: Section 282.0051, Florida Statutes

INDEX

Tab	Description
Summary & Instructions	Instructions for completing assessments. Activates and summarizes assessment scoring.
Risk - Pre-Select	Questions and scoring criteria to determine Risk score for the Pre-Select Phase.
Complexity - Pre-Select	Questions and scoring criteria to determine Complexity score for the Pre-Select Phase.
Risk - Initiation	Questions and scoring criteria to determine Risk score for the Initiation Phase.
Complexity - Initiation	Questions and scoring criteria to determine Complexity score for the Initiation Phase.
Risk - Planning	Questions and scoring criteria to determine Risk score for the Planning Phase.
Complexity - Planning	Questions and scoring criteria to determine Complexity score for the Planning Phase.
Risk - Execution	Questions and scoring criteria to determine Risk score for the Execution Phase.
Project Category Lookup	Project Risk & Complexity Category Lookup table, based on Risk & Complexity scores.

REVISION HISTORY

Version	Date	Initials & Comments
1	2/21/2021	Initial version of CIMS Risk and Complexity Assessment

DMS Risk Complexity Assessment Summary

PROJECT RISK & COMPLEXITY ASSESSMENT SUMMARY			
AGENCY:	FL Department of Corrections		
PROJECT:	Correctional Information Management Systems (CIMS)		

Activate Assessment?			PROJECT CATEGORY
Yes	1) PRE-CHARTER PHASE		
No ▲	Pre-Charter Risk Score	465.38	High Risk
	Pre-Charter Complexity Score	359.46	Medium Complexity
PROJECT CATEGORY			3
			1 2 3 4

Activate Assessment?			PROJECT CATEGORY
Yes	2) INITIATION PHASE		
Select Yes / No ▲	Initiation Risk Score	374.24	High Risk
	Initiation Complexity Score	345.65	Medium Complexity
PROJECT CATEGORY			3
			1 2 3 4

Activate Assessment?			PROJECT CATEGORY
No	3) PLANNING PHASE		
Select Yes / No ▲	Planning Risk Score	Not Scored	
	Planning Complexity Score	Not Scored	
	<i>Used for Event-Driven Complexity score also.</i>		
PROJECT CATEGORY			3
			1 2 3 4

Activate Assessment?			PROJECT CATEGORY
No	4) EVENT-DRIVEN ASSESSMENT		
Select Yes / No ▲	Event-Driven Risk Score	Not Scored	
	Event-Driven Complexity Score	Not Scored	
	<i>Carried forward from Planning Complexity score.</i>		
PROJECT CATEGORY			3
			1 2 3 4

OVERALL PROJECT RISK & COMPLEXITY ASSESSMENT			OVERALL PROJECT CATEGORY
	Overall Risk Score	419.81	High Risk
	Overall Complexity Score	352.56	Medium Complexity
PROJECT CATEGORY			3
			1 2 3 4

Form Title: DMS Project Risk & Complexity Assessment Tool
 Form Number: DMS-F-0505A
 Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)

INSTRUCTIONS

1) Activate an Assessment:

- Select "Yes" or "No" from the "Activate Assessment" drop-down list.
 - "Yes" activates the assessment.
 - "No" deactivates the assessment.

NOTES:

- Make sure that the current assessment is activated and assessments for all previous project phases are activated. Start with the Pre-Charter Assessment and proceed toward the current project phase. **Do not activate assessments for future project phases.**
- Questions in activated assessments that are left blank will default to their highest possible score, which will count toward the overall (cumulative) score and corresponding project category.
- Questions in deactivated assessments will not be scored and will not count toward the overall (cumulative) score and corresponding project category.

2) Once an assessment is activated, answer its questions by selecting one response for each question from the drop-down list in the box located directly to the right of each question.

NOTES:

- Do not leave any questions blank. Questions left blank will default to their highest possible score.
- If a question is not applicable, select "NA" from the drop-down list. The "NA" response option is available for all questions.

DMS Risk Complexity Assessment Summary

SCORING EXPLANATION

These assessments align projects by risk and complexity levels into one (1) of four (4) Risk and Complexity (R&C) Categories, which determine the amount of project management control required. The diagram below indicates the distribution of risk and complexity levels into the R&C Category:

RISK & COMPLEXITY ASSESSMENT - PROJECT CATEGORY LOOKUP TABLE			
Risk	Low Complexity	Medium Complexity	High Complexity
Low Risk	1	1	2
Medium Risk	2	2	3
High Risk	3	3	4

- **Category 4** represents High Risk and High Complexity projects.
- **Category 3** represents High Risk and Medium Complexity projects, High Risk and Low Complexity projects, or Medium Risk and High Complexity projects.
- **Category 2** represents Medium Risk and Medium Complexity projects, Medium Risk and Low Complexity projects, or Low Risk and High Complexity projects.
- **Category 1** represents Low Risk and Medium Complexity projects or Low Risk and Low Complexity projects.

Each assessment is scored in range from 100 to 500, with 100 being the lowest possible score (corresponding to the lowest possible risk or complexity score, and 500 being the highest possible score (corresponding to the highest possible risk or complexity score). Scores for each assessment are rolled up cumulatively into an overall Risk & Complexity score, which in turn corresponds to the Project Risk & Complexity Category as indicated in the table above.

3) Assessment scores and their corresponding Project Risk & Complexity Category are automatically calculated and tabulated in the "Summary" tab.

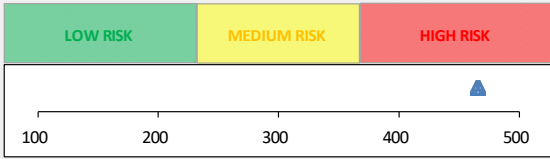
NOTES:

- Upon proceeding to the next project phase, or when performing an Event-Driven Risk & Complexity Assessment, make sure that the assessments from all previous project phases are activated.

IT Risk Questions - Pre-Charter Phase	Comments	Risk Rank	SELECT ANSWER
<p>The Pre-Charter Risk Assessment is performed at the beginning of the Initiation Phase of the project. During this assessment, the Agency will review priorities and business need, assess the project and analyze factors that can impact project success. The resulting project category will establish the project management control requirements to be applied during the project Initiation phase. Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.</p>		<p>Form Title: DMS Project Risk & Complexity Assessment Tool Form Number: DMS-F-0505A Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)</p>	
<p>1) What is the estimated total project cost?</p> <ul style="list-style-type: none"> a. > \$5,000,000 b. \$1,000,001 to \$5,000,000 c. \$500,001 to \$1,000,000 d. \$250,000 to \$500,000 e. < \$250,000 		<p>3.85 3.08 2.31 1.54 0.77</p>	<p>A</p>
<p>2) How was the basis of estimate determined?</p> <ul style="list-style-type: none"> a. Other methodology b. Consulting professional or agency judgment c. Comparative (analogous) project evaluation d. Based on the sum of estimates of each WBS element (top down or bottom up) 		<p>3.85 3.08 1.54 0.77</p>	<p>D</p>
<p>3) How important is the project to meeting the agency's Strategic Goals and Objectives as set forth in the agency's Long Range Program Plan (LRPP)?</p> <ul style="list-style-type: none"> a. The project is critical to meeting Agency's Strategic Goals and Objectives. b. The project is important to meeting Agency's Strategic Goals and Objectives. c. The project has little or no direct impact on Agency's Strategic Goals and Objectives. 		<p>3.85 2.31 0.77</p>	<p>A</p>
<p>4) Has the agency successfully <u>executed</u> projects with similar scope, schedule, and/or cost within the past two years?</p> <ul style="list-style-type: none"> a. No b. Yes 		<p>3.85 0.77</p>	<p>A</p>
<p>5) What is the level of project management maturity within your organization?</p> <ul style="list-style-type: none"> a. Not mature--mostly ad hoc project management processes b. Somewhat mature--an even mix of ad hoc and established, best-practice project management processes c. Moderately mature--using established, best-practice project management processes, but not always consistently d. Mature--using established, best-practice project management processes consistently 		<p>3.85 3.08 1.54 0.77</p>	<p>B</p>
<p>6) Does the project impact mission-critical supporting business processes?</p> <ul style="list-style-type: none"> a. Yes b. No 		<p>3.85 0.77</p>	<p>A</p>
<p>7) What is the potential organizational impact to State agencies with proceeding with this project?</p> <ul style="list-style-type: none"> a. Requires re-engineering of organizations and processes affecting multiple agencies b. Requires re-engineering of organizations and processes within our agency only c. Requires no re-engineering of organizations and processes 		<p>3.85 2.31 0.77</p>	<p>A</p>
<p>8) How critical is the project to meeting <u>externally generated mandates</u> (Executive, Legislative, or Judicial)?</p> <ul style="list-style-type: none"> a. The project is mandatory for accomplishment of external mandates. b. The project has little or no direct impact on accomplishment of external mandates. 		<p>3.85 0.77</p>	<p>A</p>
<p>9) What is the level of certainty in the estimated scope of the project?</p> <ul style="list-style-type: none"> a. Low – Scope could change (increase or decrease). b. High – Scope is clearly fixed and will not change. 		<p>3.85 0.77</p>	<p>A</p>
<p>10) What is the level of certainty in the estimated cost of the project?</p> <ul style="list-style-type: none"> a. Low – Cost estimate is not supported by experience or comparative analysis. b. Medium – Cost estimate is based on a comparative analysis of multiple similar projects. c. High – Cost estimate based on hands-on experience and similar projects under similar conditions. 		<p>3.85 2.31 0.77</p>	<p>B</p>
<p>11) What is the level of certainty in the estimated duration of the project?</p> <ul style="list-style-type: none"> a. Low – Duration estimate is not supported by experience or comparative analysis. b. Medium – Duration estimate is based on a comparative analysis of multiple similar projects. c. High – Duration estimate based on hands-on experience and similar projects under similar conditions. 		<p>3.85 2.31 0.77</p>	<p>A</p>
<p>12) If the project plans to use GAA funding, do project funds cross fiscal year budgets?</p>			

IT Risk Questions - Pre-Charter Phase	Comments	Risk Rank	SELECT ANSWER
a. Yes		3.85	A
b. No		2.31	
c. This project does not plan to use GAA funding		0.77	


465.3846



High Risk: 368 - 500
 Medium Risk: 234 - 367
 Low Risk: 100 - 233

High_Risk

RED FLAG SETTING

IT Complexity Questions - Pre-Charter Phase	Comments	Complexity Rank	SELECT ANSWER
<p>The Pre-Charter Complexity Assessment is performed at the beginning of the Initiation Phase of the project. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. The resulting project category will establish the project management control requirements to be applied during the project Initiation phase. Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.</p>		<p>Form Title: DMS Project Risk & Complexity Assessment Tool Form Number: DMS-F-0505A Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)</p>	
<p>1) Are agency business processes directly impacted by the project? Business processes that are "directly impacted" by the project are specific business processes that are measurably effected by the project. Some projects, such as upgrading personal computers, may not have any business processes directly impacted by the project, only those that are indirectly impacted.</p> <p>a. Yes b. No</p>		<p>2.70 0.54</p>	<p>A</p>
<p>2) Are there interrelated projects that are dependent upon this project, or upon which this project depends (either for inputs, outputs, or resources)?</p> <p>a. This project is dependent on one or more other projects, AND one or more other projects are dependent on this project. b. This project is dependent on one or more other projects. c. One or more other projects are dependent on this project. d. This project has no interdependencies.</p>		<p>2.70 2.16 1.08 0.54</p>	<p>A</p>
<p>3) Are the organizational structure and functional responsibilities clearly defined for this project?</p> <p>a. Organizational structure and functional responsibilities are not defined. b. Organizational structure and functional responsibilities are defined.</p>		<p>2.70 0.54</p>	<p>B</p>
<p>4) What role does the agency's IT department play in this project?</p> <ul style="list-style-type: none"> • Participates in project governance • Provides project management • Ensures clear scope and requirements definition • Provides subject matter expertise in technical areas <p>a. None of the above, or only one of the above b. Two of the above c. Three of the above d. All of the above</p>		<p>2.70 2.16 1.08 0.54</p>	<p>D</p>
<p>5) Will this project drive a need for organizational change management?</p> <p>a. Yes b. No</p>		<p>2.70 0.54</p>	<p>A</p>
<p>6) Who are the primary customers for the potential solution?</p> <p>a. The public b. Employees at multiple agencies c. Employees at our agency only</p>		<p>2.70 1.62 0.54</p>	<p>C</p>
<p>7) Are multiple project procurements required?</p> <p>a. Yes b. No</p>		<p>2.70 0.54</p>	<p>A</p>
<p>8) How much of the Agency's business is being reengineered as part of the project?</p> <p>a. > 75% of Agency business processes are being reengineered. b. 51 - 75% of Agency business processes are being reengineered. c. 26 - 50% of Agency business processes are being reengineered. d. 0 - 25% of Agency business processes are being reengineered. e. No business process reengineering</p>		<p>2.70 2.16 1.62 1.08 0.54</p>	<p>A</p>
<p>9) Are Subject Matter Experts available to participate in the definition of project requirements and scope?</p> <p>a. No b. Yes</p>		<p>2.70 0.54</p>	<p>B</p>
<p>10) Are the operating procedures and business process diagrams that define and illustrate the work currently accomplished (by the effort under consideration) accurate and up-to-date?</p> <p>a. Procedures and process flow diagrams do not exist. b. Procedures and process flow diagrams are partially documented. c. All procedures and process flow diagrams are up to date and validated.</p>		<p>2.70 1.62 0.54</p>	<p>A</p>
<p>11) Is documentation for the existing system (as it relates to this project) kept up-to-date with system design documents, specifications, and Operations & Maintenance guides?</p> <p>a. No</p>		<p>2.70</p>	<p>A</p>

IT Complexity Questions - Pre-Charter Phase	Comments	Complexity Rank	SELECT ANSWER
b. Yes		0.54	

12) For the existing system (as it relates to this project), is trained staff available to interpret system behavior?

- a. No
- b. Yes

2.70
0.54

B

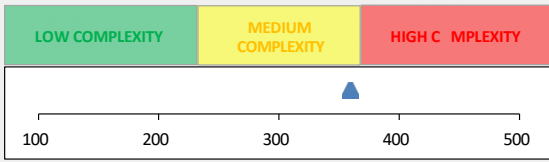
13) Will the project involve protected data (Employee, Recipient, etc.)?

- a. Yes
- b. No

2.70
0.54

A

359.4595



High Complexity: 368 - 500
 Medium Complexity: 234 - 367
 Low Complexity: 100 - 233

Medium_Complexity

PRE-CHARTER PHASE CATEGORY

3

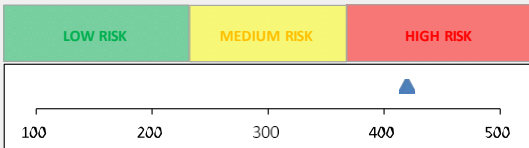
NOTIFY GOVERNANCE?

NOTIFY

IT Risk Questions - Project Initiation	Comments	Risk Rank	SELECT ANSWER
<p>The Initiation Phase Gate Risk Assessment is performed at the end of the Initiation Phase following completion of initial project documentation. During this assessment, the Agency will review Initiation documents and the Pre-Charter R&C Assessment. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, examine the effectiveness of Initiation phase activities, and establish requirements for the project Planning Phase. Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.</p>		<p>Form Title: DMS Project Risk & Complexity Assessment Tool Form Number: DMS-F-0505A Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)</p>	
<p>1) What level of confidence does the Project Management Team have in the estimated cost of the project?</p> <ul style="list-style-type: none"> a. Confidence in estimated project expenditures is less than or equal to 85%. b. Confidence in estimated project expenditures is greater than 85% and less than or equal to 95%. c. Confidence in estimated project expenditures is greater than 95% and less than or equal to 100%. 		<p>1.52 0.91 0.30</p>	<p>A</p>
<p>2) Is this project critical to support the primary functions for which the requesting agency is responsible?</p> <ul style="list-style-type: none"> a. Directly involves the effectiveness and efficiency of the agency's primary functions. b. Contributes to enabling the agency's primary functions. c. Indirectly impacts, or has minimal impact, to the agency's primary functions. 		<p>1.52 0.91 0.30</p>	<p>A</p>
<p>3) Is this project dependent on the deliverable(s) from another project, organization, or agency?</p> <ul style="list-style-type: none"> a. A project deliverable from another project, organization, or Agency is required. b. The project will utilize other project deliverables. c. Other deliverables will enhance the project. d. No other deliverables are required. 		<p>1.52 1.21 0.61 0.30</p>	<p>B</p>
<p>4) Is the project dependent on limited resources controlled by an external entity?</p> <ul style="list-style-type: none"> a. Project requires external resources. b. Project requires no external resources. 		<p>1.52 0.30</p>	<p>A</p>
<p>5) Does the project sponsor have direct authority over all the resources needed for the project (including funding, equipment, facilities, and human resources)?</p> <ul style="list-style-type: none"> a. The project sponsor has authority over none of the resources needed for the project. b. The project sponsor has authority over some of the resources needed for the project. c. The project sponsor has authority over most of the resources needed for the project. d. The project sponsor has authority over all of the resources needed for the project. 		<p>1.52 1.21 0.61 0.30</p>	<p>D</p>
<p>6) How will failure of the project impact the stakeholders?</p> <ul style="list-style-type: none"> a. Impact of project failure on stakeholders is high. b. Impact of project failure on stakeholders is between high and moderate. c. Impact of project failure on stakeholders is between moderate and minimal. 		<p>1.52 0.91 0.30</p>	<p>A</p>
<p>7) Does the project impact the state at an enterprise level?</p> <ul style="list-style-type: none"> a. Yes b. No 		<p>1.52 0.30</p>	<p>A</p>
<p>8) What is the level of assurance that stakeholders will deliver resources as promised?</p> <ul style="list-style-type: none"> a. Minimal - there is no history that stakeholders have delivered promised resources in the past. b. High - stakeholders have a proven history of delivering all promised resources on time. 		<p>1.52 0.30</p>	<p>B</p>
<p>9) Are there any projected changes of critical or key stakeholders over the life of the project?</p> <p><i>"Critical Stakeholders" are those essential stakeholders that must be involved with the project in order to achieve success, e.g., the project sponsor. "Key Stakeholders" are those vital stakeholders that need to be involved with the project, but their turnover is not directly tied to project success, e.g., a member of an executive steering committee.</i></p> <ul style="list-style-type: none"> a. Yes, change of critical stakeholders is anticipated. b. Yes, change of key stakeholders is anticipated. c. No 		<p>1.52 0.91 0.30</p>	<p>B</p>
<p>10) Is the agency project manager assigned to this project certified by PMI® (PgMP®, PMP®, CAPM®, Agile Certified Practitioner®, etc.)?</p> <ul style="list-style-type: none"> a. No b. Yes 		<p>1.52 0.30</p>	<p>B</p>
<p>11) Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?</p> <ul style="list-style-type: none"> a. No b. Some, but not all [reword] c. Yes 		<p>1.52 0.91 0.30</p>	<p>C</p>
<p>12) Do business users and subject matter experts have sufficient skills and experience given the size and complexity of the project?</p> <ul style="list-style-type: none"> a. Business users and subject matter experts have never attempted a project of this size and complexity. 		<p>1.52</p>	<p>B</p>

IT Risk Questions - Project Initiation	Comments	Risk Rank	SELECT ANSWER
b. Business users and subject matter experts have skills and experience from previous projects, but not from projects of similar size and complexity.		0.91	
c. Business users and subject matter experts have extensive skills and experience from a previous project of similar size and complexity.		0.30	
13) Does the assigned project manager have the specific experience (proven ability) to successfully execute a project of this scope and complexity?			
a. PM has never participated in a project of this scope and complexity.		1.52	C
b. PM managed a similar project but with smaller scope and complexity.		0.91	
c. PM has managed a project of this scope and complexity.		0.30	
14) What percent of the project team has experience with the selected development methodology or selected implementation approach for the project?			
a. < 50 %		1.52	C
b. 50 – 75 %		0.91	
c. 76 – 100 %		0.30	
15) What percent of the agency's IT leadership has experience with the development methodology or selected implementation approach for the project?			
a. < 50 %		1.52	A
b. 50 – 75 %		0.91	
c. 76 – 100 %		0.30	
16) How clearly defined and understood are the goals and objectives of this project by a majority of the project team and stakeholders?			
a. The goals and objectives of this project are vague and open to interpretation.		1.52	A
b. The goals and objectives of this project are well defined and understood.		0.30	
17) Is the boundary between what is in the project scope and what is not in the project scope clearly documented?			
a. No		1.52	A
b. Yes		0.30	
18) Has the project charter been reviewed and approved by all key stakeholders, including the project sponsor?			
a. No		1.52	B
b. Yes		0.30	
19) How was the estimated completion date for this project determined?			
a. Completion date has not yet been determined or estimated.		1.52	B
b. Completion date is driven by the need to meet a defined time constraint.		0.91	
c. There is no mandated time constraint. The schedule will be developed based on scope of work and resource availability.		0.30	
20) What is the estimated budget for this project?			
a. Greater than \$1 million		1.52	A
b. Between \$250,000 and \$1 million		0.91	
c. Less than \$250,000		0.30	
21) Are there multiple agencies engaged as participants in this project?			
a. Yes		1.52	A
b. No		0.30	

374.2424



Risk Pre-Charter Score 465.3846
 Plus: Risk Initiation Score 374.2424
 Cumulative Risk Score 839.6270
 Average Risk Score 419.8135

High Risk: 368 - 500
 Medium Risk: 234 - 367
 Low Risk: 100 - 233

High_Complexity

RED FLAG SETTING

IT Complexity Questions - Project Initiation	Comments	Complexity Rank	SELECT ANSWER
<p>The Initiation Phase Gate Complexity Assessment is performed at the end of the Initiation Phase following completion of initial project documentation. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, examine the effectiveness of Initiation phase activities, and establish requirements for the project Planning Phase. Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.</p>		<p>Form Title: DMS Project Risk & Complexity Assessment Tool Form Number: DMS-F-0505A Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)</p>	
<p>1) What is the level of new technology or infrastructure impact required by the project?</p> <ul style="list-style-type: none"> a. Requires significant level of new technologies or changes to critical systems. b. Requires moderate level of new technologies or changes to critical systems. c. Requires minimal-to-no new technologies or changes to critical systems. 		<p>2.17 1.30 0.43</p>	<p>A</p>
<p>2) What is the expected duration of the time period between the acceptance of the Project Charter to the end of Execution Phase?</p> <ul style="list-style-type: none"> a. > 24 months b. 13-24 months c. 6-12 months d. < 6 months 		<p>2.17 1.74 0.87 0.43</p>	<p>A</p>
<p>3) Amount of resources being managed:</p> <p>a) How many physical project team locations have to be managed?</p> <ul style="list-style-type: none"> a. > 4 b. 1 - 4 c. 1 <p>b) How many physical locations are associated with the solution implementation?</p> <ul style="list-style-type: none"> a. > 25 b. 6 - 25 c. 2 - 5 d. 1 		<p>2.17 1.30 0.43 2.17 1.74 0.87 0.43</p>	<p>A A</p>
<p>4) How many end users are going to be using the delivered product(s)?</p> <ul style="list-style-type: none"> a. > 200 b. 100 - 200 c. 25 - 99 d. < 25 		<p>2.17 1.74 0.87 0.43</p>	<p>A</p>
<p>5) How clearly defined are the project's major milestones and deliverables?</p> <ul style="list-style-type: none"> a. Major milestones and deliverables are not defined and scheduled. b. Major milestones and deliverables are defined in detail with logical sequence and included in the schedule. 		<p>2.17 0.43</p>	<p>B</p>
<p>6) How many vendors are involved with this project (for applications, infrastructure, network, etc.)?</p> <ul style="list-style-type: none"> a. More than one vendor b. One vendor c. No vendors 		<p>2.17 1.30 0.43</p>	<p>A</p>
<p>7) How many constraints have been identified that influence the selection of a specific solution to resolve the business problem? <i>Constraints can include but are not limited to time, funding, personnel, facilities, and management limitations.</i></p> <ul style="list-style-type: none"> a. 1 or more b. None 		<p>2.17 0.43</p>	<p>A</p>
<p>8) Are there any open issues relating to the integration with other projects that could impact the completion of key milestones?</p> <ul style="list-style-type: none"> a. Integration issues have been identified that will impact the project schedule, and there is no contingency plan in place to avoid adverse impact. b. Integration issues have been defined in Issue tracking that could impact the project milestones, but contingency plans have been implemented to keep the project on schedule. c. All dependencies and integration requirements are on-schedule, and there are no anticipated impacts. This information is verified on a regular basis via status and project communications. 		<p>2.17 1.30 0.43</p>	<p>B</p>
<p>9) Does this project require data conversion?</p> <ul style="list-style-type: none"> a. Yes b. No 		<p>2.17 0.43</p>	<p>A</p>
<p>10) What percentage of human resources (business and IT) assigned to the project are also shared resources with other agency operations and/or projects or from other agencies? <i>Percentage of human resources = (# project team members shared) / (total project team).</i></p>			

IT Complexity Questions - Project Initiation	Comments	Complexity Rank	SELECT ANSWER
a. 81 - 100%		2.17	C
b. 51 - 80%		1.74	
c. 21 - 50%		0.87	
d. 0 - 20%		0.43	

11) How many primary stakeholders are there?		2.17	A
a. > 5			
b. 1 - 5		0.43	

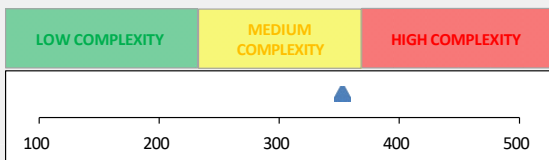
12) Does the Project Sponsor:		2.17	A
a) Have an understanding of IT project management?		0.43	
a. No			
b. Yes			
b) Have experience in the business or functional domain?		2.17	B
a. No			
b. Yes		0.43	

13) What is the Project Manager's authority over the project?		2.17	C
<i>Authority is defined as the formal and legitimate control specified in a charter that gives a project manager power to act in the name of the sponsor or on behalf of the organization on matters pertaining to project integration, cost, schedule, scope, risk, human resources, procurements, quality, and communications.</i>		1.30	
a. Little authority			
b. Some authority			
c. Complete authority		0.43	


14) Is the schedule end date fixed (by legislative mandate, contract end date, vendor support expiration, etc.)?		2.17	B
a. Yes			
b. No		0.43	

15) Is there more than one funding source for this project?		2.17	B
a. Yes			
b. No		0.43	

345.6522

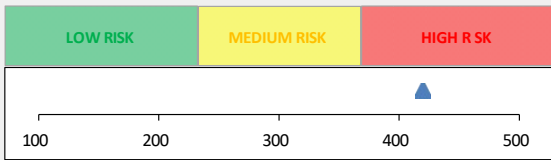


Complexity Pre-Charter Score	359.4595
Plus: Complexity Initiation Score	345.6522
Cumulative Complexity Score	705.1116
Average Complexity Score	352.5558
High Complexity: 368 - 500	
Medium Complexity: 234 - 367	Medium_Complexity
Low Complexity: 100 - 233	
INITIATION PHASE CATEGORY	3

IT Risk Questions - Project Planning	Comments	Risk Rank	SELECT ANSWER
<p>The Planning Phase Gate Risk Assessment is performed at the end of the Planning Phase. During this assessment, the Agency will review planning documents and previous R&C Assessments. This assessment will confirm or adjust the risk & complexity level and the resulting project category, examine the effectiveness of Planning phase activities, and establish requirements for the project Execution and Monitoring and Control phases. Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.</p>		<p>Form Title: DMS Project Risk & Complexity Assessment Tool Form Number: DMS-F-0505A Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)</p>	
<p>1) Data Dependency: a) Is the project dependent on data from other sources? a. Yes b. No b) Is the project dependent on data that is currently not available? a. Yes b. No</p>		<p>2.63 0.53 2.63 0.53</p>	<p>A B</p>
<p>2) Is the project going to be reliant on a sole vendor? a. Yes b. No</p>		<p>2.63 0.53</p>	<p>B</p>
<p>3) Will the primary solutions vendor support the technical solution after project completion? a. No b. Yes</p>		<p>2.63 0.53</p>	<p>B</p>
<p>4) End user anticipated involvement: a) What is the anticipated involvement of End Users with System Requirements and Design? a. Minimal or no user involvement in System Requirements and Design. b. Play minor roles in System Requirements and Design. c. Highly involved in System Requirements and Design. d. End user involvement is not required for System Requirements and Design. b) What is the anticipated involvement of End Users with User Acceptance Testing? a. Minimal or no end user involvement with user acceptance testing. b. Play minor roles with testing. c. Highly involved with testing. d. End user does not interact with the system.</p>		<p>2.63 2.11 1.05 0.53 2.63 2.11 1.05 0.53</p>	<p>C C</p>
<p>5) Are exit criteria established for each project phase? a. No b. Yes</p>		<p>2.63 0.53</p>	<p>A</p>
<p>6) Does the project schedule incorporate incremental and comprehensive stakeholder reviews of project deliverables? a. No b. Yes</p>		<p>2.63 0.53</p>	<p>B</p>
<p>7) Are acceptance criteria identified for all deliverables? a. No b. Yes</p>		<p>2.63 0.53</p>	<p>B</p>
<p>8) If a vendor implementation is required, has the vendor successfully implemented the selected solution in another organization? a. Vendor has never implemented the selected solution. b. Vendor has provided more than one reference indicating that they have <u>successfully</u> implemented the selected solution. c. A vendor is not required for implementation.</p>		<p>2.63 1.58 0.53</p>	<p>B</p>
<p>9) Is there contingency built into the project schedule to accommodate the mitigation of schedule risks? a. No b. Yes</p>		<p>2.63 0.53</p>	<p>B</p>
<p>10) Are appropriate sourcing lead times built into the schedule? <i>Examples of sourcing lead times include the lead times for procurements and Requests for Service.</i> a. Sourcing lead times are not built into the schedule. b. Sourcing lead times are estimated and scheduled.</p>		<p>2.63 0.53</p>	<p>A</p>
<p>11) Change management process:</p>			

IT Risk Questions - Project Planning	Comments	Risk Rank	SELECT ANSWER
a) Does the project's governance process include a defined change management process to handle changing requirements?			
a. No		2.63	B
b. Yes		0.53	
b) Does the project have routine change management meetings?			
a. No		2.63	B
b. Yes		0.53	
12) Are quality assurance methods defined?			
a. No		2.63	B
b. Yes		0.53	
13) Have appropriate SMEs been engaged to support the project (legal, procurement, security, budget, technology, business, etc)?			
a. No		2.63	C
b. Some input is still needed		1.58	
c. Yes		0.53	
14) Is there a documented timeline for the next phase of the project?			
a. Project schedule is not yet developed		2.63	D
b. Project schedule has been completed at the milestone level		2.11	
c. Detailed project schedule is complete, but not yet baselined		1.05	
d. Detailed project schedule is complete and baselined		0.53	
15) Are all necessary resources (equipment, software, office space, etc.) for the next phase of the project readily available?			
a. No		2.63	B
b. Yes		0.53	
16) Does the Organizational Change Management Plan address impacts to the business?			
a. No		2.63	B
b. Yes		0.53	
17) Have the costs associated with the organizational changes been identified and budgeted?			
a. No		2.63	C
b. Yes		1.58	
c. Not applicable		0.53	
18) Does the Project Plan clearly identify Integration requirements with other systems or dependencies on other projects that are outside the direct control of the project team?			
a. No		2.63	B
b. Yes		0.53	

Not Scored

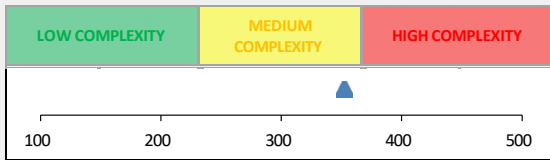


Risk Pre-Charter Score	465.3846
Plus: Risk Initiation Score	374.2424
Plus: Risk Planning Score	Not Scored
Cumulative Risk Score	839.6270
Average Risk Score	419.8135
High Risk: 368 - 500	High_Risk
Medium Risk: 234 - 367	
Low Risk: 100 - 233	
RED FLAG SETTING	

IT Complexity Questions - Project Planning	Comments	Complexity Rank	SELECT ANSWER
<p>The Planning Phase Gate Complexity Assessment is performed at the end of the Planning Phase. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. This assessment will confirm or adjust the risk & complexity level and the resulting project category, examine the effectiveness of Planning phase activities, and establish requirements for the project Execution and Monitoring and Control phases. Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.</p>		<p>Form Title: DMS Project Risk & Complexity Assessment Tool Form Number: DMS-F-0505A Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)</p>	
<p>1) In order to meet requirements, will the project solution drive a need for:</p> <p>a) An increased level of testing from original projections?</p> <p>a. Yes b. No</p> <p>b) Less flexibility in the project schedule?</p> <p>a. Yes b. No</p> <p>c) More rigid development and internal project processes?</p> <p>a. Yes b. No</p>		<p>2.76 0.55</p> <p>2.76 0.55</p> <p>2.76 0.55</p>	<p>A</p> <p>A</p> <p>A</p>
<p>2) Has the complexity of the project required additional efforts to monitor scope / schedule / cost or quality parameters?</p> <p>a. Yes b. No</p>		<p>2.76 0.55</p>	<p>A</p>
<p>3) How many stakeholders need separate or unique communications?</p> <p><i>Unique communications refers to any individual or tailored communications with any individual stakeholder or group of stakeholders.</i></p> <p>a. Four or more b. One to three c. None</p>		<p>2.76 1.66 0.55</p>	<p>A</p>
<p>4) Are there clear lines of authority and accountability for tasks and deliverables within the project team?</p> <p><i>Clear lines of authority and accountability are those that are apparent, easily perceived, and free from confusion, doubt, or ambiguity.</i></p> <p>a. No b. Yes</p>		<p>2.76 0.55</p>	<p>B</p>
<p>5) How many work packages are associated with the project?</p> <p><i>The work defined at the lowest level of the Work Breakdown Structure for which cost and duration can be estimated and managed. (PMBOK®, 5th Edition)</i></p> <p>a. > 200 b. 101 - 200 c. 51 - 100 d. 1 - 50</p>		<p>2.76 2.21 1.10 0.55</p>	<p>A</p>
<p>6) Regarding the system development lifecycle methodology selected for the project, does the project staff have experience with the selected methodology?</p> <p><i>A "system development methodology" in software engineering is a framework that is used to develop an information system. Common methodologies include Agile, Waterfall, Spiral Development, Prototyping, Incremental, Rapid Application Development, etc.</i></p> <p>a. The project staff requires training for the selected methodology. b. The project staff has knowledge of, but limited experience with, the selected methodology. c. The project staff has extensive experience with the selected methodology.</p>		<p>2.76 1.66 0.55</p>	<p>C</p>
<p>7) Are there any new requirements determined after Project Planning that will drive a need for additional funding?</p> <p>a. Yes b. No</p>		<p>2.76 0.55</p>	<p>A</p>
<p>8) Does the project team require any additional training in order to be effective on the project (for technical, functional, or business skills)?</p> <p>a. All require training b. Most require training c. Some require training d. None require training</p>		<p>2.76 2.21 1.10 0.55</p>	<p>C</p>
<p>9) Do the project team members have experience with an IT project of this magnitude and scope?</p> <p>a. None have experience b. Some have experience</p>		<p>2.76 2.21</p>	<p>B</p>

IT Complexity Questions - Project Planning	Comments	Complexity Rank	SELECT ANSWER
c. Most have experience d. All have experience		1.10 0.55	
10) Do the project team members have experience working together as a project team?			
a. No team members have experience working together as a project team.		2.76	B
b. Some team members have experience working together as a project team.		1.66	
c. All team members have experience working together as a project team.		0.55	
11) Is the size of the project team appropriate for the size and complexity of the project effort?			
a. No		2.76	A
b. Yes		0.55	
12) What is the size of the project team?			
a. > 20 project team members		2.76	B
b. Between 5 and 20 project team members		1.66	
c. < 5 project team members		0.55	
13) Are appropriately skilled resources available for the next phase of the project?			
a. Resources are not available for all roles. Significant preemption for other support activities is anticipated, and/or a high turnover is anticipated.		2.76	A
b. Resources are available. Minimal turnover or preemption for other support activities is expected.		0.55	
14) What percentage of the project team members are co-located?			
a. < 25% of team is in the same location.		2.76	D
b. 25 - 49% of team is in the same location.		2.21	
c. 50 - 90% of team is in the same location.		1.10	
d. > 90% of team is in the same location.		0.55	
15) How would you evaluate the complexity of the business processes impacted by the project? <i>Consider the number of inputs that the business processes require, the number of steps within those processes, the number of people involved in those processes, and the number of outputs that the processes are expected to produce.</i>			
a. High complexity		2.76	A
b. Moderate complexity		1.66	
c. Minimal complexity		0.55	

Not Scored




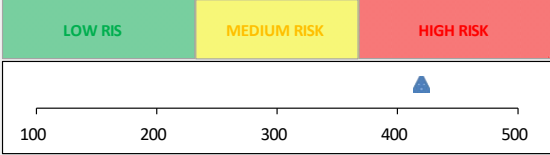
Complexity Pre-Charter Score	359.4595
Plus: Complexity Initiation Score	345.6522
Plus: Complexity Planning Score	Not Scored
Cumulative Complexity Score	705.1116
Average Complexity Score	352.5558

High Complexity: 368 - 500
Medium Complexity: 234 - 367
Low Complexity: 100 - 233

Medium_Complexity

PLANNING PHASE CATEGORY 3

IT Risk Questions - Event-Driven Assessment	Comments	Risk Rank	SELECT ANSWER
<p>The Event-Driven Risk Assessment is performed if the project experiences a significant change, or cumulative changes (in cost, schedule, or scope), from the project baseline. During this assessment, the Agency will review project change control request(s), Initiation and Planning documents, and previous R&C assessments. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, and determine if review and amendment to project management baselines are needed. Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.</p>		<p>Form Title: DMSProject Risk & Complexity Assessment Tool Form Number: DMS-F-0505A Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)</p>	
<p>1) To what degree are stakeholders impacting the schedule by not providing timely decisions?</p> <p>a. Time required for critical decisions exceeds available schedule. b. Critical decisions are resolved within available schedule.</p>		<p>3.13 0.63</p>	<p>A</p>
<p>2) Has an assumption used for planning and management of the project been proven invalid?</p> <p>a. Yes, and there is an impact to the project. b. Yes, but there minimal-to-no impact to the project. c. No</p>		<p>3.13 1.88 0.63</p>	<p>A</p>
<p>3) Is the project making progress in its current phase?</p> <p>a. Progress is behind schedule by 10% or more. b. Progress is on or ahead of schedule.</p>		<p>3.13 0.63</p>	<p>B</p>
<p>4) Is the project being managed in compliance with the project management plan?</p> <p>a. No, or the project management plan was inadequate. b. Yes</p>		<p>3.13 0.63</p>	<p>B</p>
<p>5) Has requirements elaboration resulted in a requirements variance sufficient to force changes to project schedule, scope, or cost?</p> <p>a. Yes b. No</p>		<p>3.13 0.63</p>	<p>A</p>
<p>6) Has project testing criteria and methodology been verified and validated?</p> <p>a. No b. Yes</p>		<p>3.13 0.63</p>	<p>A</p>
<p>7) Is the project team effectively executing the project through well defined, repeatable processes?</p> <p>a. No b. Yes</p>		<p>3.13 0.63</p>	<p>B</p>
<p>8) Will the project require:</p> <p>a) An increased level of testing from projections?</p> <p>a. Yes b. No</p> <p>b) An increase in the duration of the project schedule?</p> <p>a. Yes b. No</p> <p>c) An increase in the project's baselined cost?</p> <p>a. Yes b. No</p>		<p>3.13 0.63 3.13 0.63 3.13 0.63</p>	<p>A A A</p>
			<p>Not Scored</p>
		<p>Risk Pre-Charter Score 465.3846 Plus: Risk Initiation Score 374.2424 Plus: Risk Planning Score Not Scored Plus: Risk Event-Driven Score Not Scored</p>	
		<p>Score from Complexity_Planning 0.0000</p>	
		<p>Event Driven Risk Score 839.6270 Cumulative Risk Score 419.8135</p>	
<p>High Risk: 368 - 500</p>			<p>High_Risk</p>

IT Risk Questions - Event-Driven Assessment	Comments	Risk Rank	SELECT ANSWER
	Medium Risk: 234 - 367 Low Risk: 100 - 233		
	RED FLAG SETTING		
	Planning Complexity Completed? Planning Complexity Rating		NO Low_Complexity
	<i>Defaults to High_Complexity if Planning Complexity is not completed for the Event-Driven Assessment.</i>	EVENT-DRIVEN CATEGORY	3

Appendix B: Draft Project Management Plan

The draft project management plan outlines the structured approach that will be used to manage the OBIS Modernization project from initiation through closure. This plan details project phases, deliverables, timelines, and roles/responsibilities for team members.

Key elements of the project management plan include:

- **Project Phases:** Definition of project stages, including initiation, planning, execution, monitoring and control, and closure.
- **Key Deliverables:** Description of major deliverables and milestones, along with associated timelines and acceptance criteria.
- **Roles and Responsibilities:** Assignment of roles and responsibilities to project team members, stakeholders, and external partners.
- **Communication Plan:** Framework for communication within the project team and with external stakeholders to ensure transparency and collaboration.

See Attachments.

FLORIDA DEPARTMENT OF CORRECTIONS

Office of Information Technology

Project Management Office



Correctional Information Management System



PROJECT MANAGEMENT PLAN

September 13, 2024



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SIGNATURE AND ACCEPTANCE PAGE

I have reviewed this Project Management Plan (PMP) and agree that the content of the document is accurate and clearly describes the project management methodology for the project.

Signature: _____ Date: _____
Print Name: Mr. Richard Comerford
Title: Deputy Secretary
Agency: Florida Department of Corrections
Role: Project Sponsor

Signature: _____ Date: _____
Print Name: _____
Title: Chief Information Officer
Agency: Florida Department of Corrections
Role: Chief Information Officer

Signature: _____ Date: _____
Print Name: Andrew Branch
Title: Program Director
Agency: Florida Department of Corrections
Role: Program Director



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1. EXECUTIVE SUMMARY

The Florida Department of Corrections (Department or FDC) is the third largest state prison system in the country with an annual budget of \$2.9 billion, approximately 86,000 inmates incarcerated, and over 140,000 offenders under community supervision. As such, the Department's operations are critical to the safety and security of the public, agency staff, and inmates.

Currently, the FDC relies primarily on manual, paper-based processes that are subsequently entered into a legacy mainframe application known as the Offender Based Information System, or OBIS. Advancements in technology long surpassed the original technologies of OBIS, which no longer align with the agility and needs of an already complex core business. As a result, the FDC struggles to adapt to challenges such as:

- Fluctuations in inmate/offender populations, which limits accuracy of Criminal Justice Estimating Conference (CJEC) projections, intake and release, and corresponding staffing needs.
- Changing business process needs for operational efficiencies are limited due to a dependency on manual paper-based processes, redundant data entry, and unnecessary shipping of paper forms/files.
- Data transparency for data-driven operational decision-making and legislative mandates are not met due to a lack of real-time access to data and analytics, and Criminal Justice Data Transparency Initiative.
- Technical support staff and subject matter expert retirement/attrition impedes knowledge transfer employee retention.

With these considerations, the FDC intends to replace the offender based management system and re-engineer the business processes with an emphasis on automating workflows, data exchange and utilization to better support the overall mission and increase public safety. With core functionality as its primary focus, the FDC proposes a multi-year, staggered workstream approach for the OBIS Modernization project.

The Issues

The Department has used OBIS since 1978 to record data, generate reports, and support its critical decision-making process. OBIS is used in institutions for inmate management, classification, work assignments, health grades, disciplinary information, and custody status. Due to its extensive use, OBIS is indispensable to the mission and operational performance of the Department. The major areas of functional support within OBIS include:

- Inmate Custody Tracking
- Inmate Classification Tracking
- Inmate Banking with Interface to Canteen (operated by Contractor)
- Inmate Housing Assignment Tracking
- Facility Population Tracking
- Transportation Scheduling
- Inmate Movement Tracking
- Release Date Computation
- Probation and Parole Supervision
- Court Ordered Payments (COPS)
- Field Investigation Tracking
- Collection and Reporting of Health Services Statistics



Examples of the specific challenges faced by the FDC due to the use of an outdated system include:

- **Supportability of a 45-Year-Old Technology:** OBIS operates in an outdated environment that is end-of-life and no longer supported by the vendors. This means that vendors no longer develop critical patches or product updates to allow for continued optimal performance or reliability of the software.
- **Application Maintenance:** OBIS is more than 40 years old and has had continual updates and revisions over the past four decades. The current OBIS system is a mainframe-based application maintained locally by FDC full-time employees (FTEs) and contracted staff. The options for enhancement are limited and the pool of skilled resources and staff needed to continue supporting the system are shrinking. This reduces the FDC's ability to make system updates to comply with new or changing requirements to laws and Legislative rulings.

As a result, OBIS requires modernization to better serve the increasing informational needs of internal and external stakeholders.

The Solution

The FDC has taken proactive steps by submitting Legislative Budget Requests (LBRs) outlining comprehensive solution-based objectives. The OBIS Modernization Project (Correctional Information Management System (CIMS)) has been initiated and is scheduled for completion over a six-year period, with its aim to revitalize the FDC's mission critical system with state-of-the-art, supportable technology. This project is being funded through the Florida Legislature.

Next Steps

The next steps of the OBIS Modernization Project (CIMS) involve collaborating with the chosen vendor to act as the system integrator (SI) for the development of a modernized OBIS system. This includes re-engineering the business processes and leveraging technologies with the scalability and flexibility to integrate applications within a modular, service-oriented architecture, all within a six-year period.

All services or products provided by the chosen Systems Integrator (SI) will meet or exceed the minimum requirements outlined in the ITN. The contracted services will include, but not be limited to, project management, business requirements analysis, process re-engineering, data analysis, system design and architecture, quality assurance, implementation, deployment, and ongoing technical support. The result will be a modernized OBIS system, incorporating principles that include consideration of the State's Cloud-First Initiative, in accordance with Section 282.206, Florida Statute (F.S.)

Note: The Project Management Plan is a dynamic document that is updated continuously throughout the project lifecycle to reflect changes, address new challenges, and incorporate lessons learned. Regular updates ensure that the plan remains aligned with the project's evolving needs, objectives, and stakeholder expectations. The PMP will be updated based on scope changes, risk management, resource availability, stakeholder feedback, and project performance.



2. PROJECT OVERVIEW

2.1. Project Summary

The OBIS Modernization Project (CIMS) is being sponsored by Richard Comerford, Deputy Secretary for the FDC. Currently, the FDC relies primarily on manual, paper-based processes that are later entered into a legacy mainframe application known as the Offender Based Information System, or OBIS. Advancements in technology long surpassed the original technologies of OBIS, which no longer align with the agility and needs of an already complex core business. As a result, the FDC struggles to adapt to challenges such as:

- Fluctuations in inmate/offender populations, which limits accuracy of Criminal Justice Estimating Conference (CJEC) projections, intake and release, and corresponding staffing needs.
- Changing business process needs for operational efficiencies are limited due to a dependency on manual paper-based processes, redundant data entry, and unnecessary shipping of paper forms/files.
- Data transparency for data-driven operational decision-making and legislative mandates are not met due to a lack of real-time access to data and analytics, and Criminal Justice Data Transparency Initiative.
- Technical support staff and subject matter experts' retirement/attrition impeded knowledge transfer and employee retention.

The Department has initiated measures to address questions and determine next steps on how to mitigate the risk posed by an outdated, rigid, 45-year-old, mainframe system that has exponentially developed complexity over time, resulting in escalating maintenance costs. In 2008 and 2016, the FDC commissioned an external vendor to conduct analysis and produce a business case for OBIS replacement. In addition, FDC regularly consults with experts from Gartner Research Engagement Services, Inc. to refine our technical strategy and conduct research to approaches implemented by other states. Additionally, a Request for Information (RFI) was issued to gather relevant market insights.

With these considerations, the FDC intends to re-engineer all offender management business processes with specific emphasis on automating workflows and ensuring data exchange and utilization to better serve the overall agency mission and increase public safety. The FDC proposes a multi-year, staggered workstream approach for OBIS modernization, with priority given to core functionality. Breaking down and prioritizing the core functional areas allows the Department to ensure appropriate support, distribute the dependence on subject matter experts, and lowers overall project risk with a phased implementation focused on the following:

- Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legislative mandates and changes.
- Provide a system that can leverage and integrate external and internal data sources in real-time.
- Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full correction's spectrum.
- Provide a system with a workload management component to manage agency business processes effectively and efficiently.



- Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a unified, data intensive correctional environment.
- Provide a system that leverages modern technologies to attract and retain skilled technologists and support staff.
- Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.
- Provide a Help Desk and ServiceNow support

The scope of this project is to work with a system integrator (SI) to manage and lead the re-engineering of all business processes, and design, develop, test, and implement a modernized OBIS solution in an estimated 6-year period, at an estimated total cost of \$138 million. The SI will address the following FDC functional and technical areas in support of the OBIS Modernization Project's (CIMS) priorities:

- Office of Institutions (SIO)
- Office of Community Corrections (OCC)
- Office of Programs and Re-Entry (OPR)
- Office of Financial Management (OFM)
- Florida Commission on Offender Review (FCOR)
- Office of Information Technology (OIT)
- Statewide system implementation
- Content development for training materials and system helps screens
 - ✓ Officer Contact
 - ✓ Incidents
 - ✓ Personnel
 - ✓ Admin
 - ✓ Searchable Help

Also included in the project scope:

- Establishment of the Project Management Team
- Organizational Change Management
- Independent Verification and Validation (IV&V)
- Data conversion and migration
- Interaction with the Data warehouse design and development effort
- End-user training
- Operations and maintenance planning
- Reporting functions
- Help Desk Support

To support the execution of the OBIS Modernization Project (CIMS), the FDC will adopt a project life cycle, incorporating Organizational Change Management (OCM) across all phases of the project to include business process re-engineering. This involves assessing the envisioned future state of the OBIS Modernization Project (CIMS) and devising a comprehensive project plan to achieve the desired project outcomes.

The current FDC's workforce lacks the bandwidth required to complete this project. therefore, this project plan includes the allocation of funds for contracted services from the vendor community to obtain business process assessments, functional requirements, solutions architecture, data warehouse architecture, systems development life cycle deliverables, and project management services. These resources will be dedicated to the OBIS Modernization Project (CIMS). The integration of these supplementary resources is critical in guaranteeing the FDC meets all objectives in revitalizing the OBIS application to a sustainable state.

2.2. Project Objectives

To realize the objectives of the OBIS Modernization Project (CIMS), it is imperative to execute targeted transitional actions across both the project and system development life cycles. Critical phases such as planning,



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remediation assessment, user retraining, Organizational Change Management (OCM) execution, and overall transition management are essential for success. Given the complexity of these tasks, the existing FDC staff lacks the bandwidth and specialized skills to concurrently manage these activities with daily user support and system administration responsibilities.

The main objective of this project is to modernize the backbone of FDC operations with the end goal being a sustainable, modernized system that can be easily supported. Through internal analysis and self-assessment, the FDC has established and prioritized the following objectives for the solution:

Objectives	Priority
Provide a mobile enabled web-based system that comports with current technology platforms, improving usability for long-term sustainability for the FDC.	1
Provide a sustainable and scalable architecture that supports dynamic process modification resulting from legal mandates and changes	2
Provide a system that can leverage and integrate external and internal data sources in real-time. Provide customized data views for interfaces supporting one-version-of-truth and data analytics to inform security and safety mandates and to measure systemic performance across the full corrections spectrum.	3
Provide a system with a workload management component to manage agency business processes effectively and efficiently.	4
Provide an interoperable and fully functional offender management system to access accurate and complete information that ensures public safety and meets the demands of a dynamic, data intensive correctional environment.	5
Provide a phased implementation plan identifying the functional, budget, resource, and procurement requirements to ensure a cost effective and realistic acquisition process.	7
Provide a Help Desk – review Best and Final Offer (BAFO) (Level 1, 2, and 3)	8
Move to a Cloud-based solution based on the Governor’s Cloud First Initiative	9
Re-Engineer Business Process to enhance efficiency to do more with less and increase officer safety.	10
Provide a system that is a cloud solution that is modernized, optimized, and analyzed for business process re-engineering to provide the ability to do more with less and increase officer safety	11
Provide a system that can access a single source of truth data repository.	12

The tangible benefits include reduced operational costs, reduced dependency on data processes, reduced data entry and erroneous data, increased system accessibility, and reduced storage costs for records retention for the FDC, specifically within Institutions and Community Corrections. The intangible benefits of the project include increased quality assurance, increased data sharing within the FDC and program areas outside of the FDC, decreased IT Help Desk Support calls, and workload savings achieved by streamlining redundant processes and implementing system standards.



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The OBIS Modernization Project (CIMS) includes supporting external users, data consumers, public access databases, reporting, as well as engaging significant parts of the 24,000+ person workforce.

To determine the correct approach, there will be four major stages of assessment in the initiation and planning phases, mirroring the systems development processes. These stages are:

1. High Level business process requirements creation - High Level business process requirements will be developed in conjunction with the SI and Suppliers Inputs Processes Outputs Customers (SIPOC) mappings refined to identify all Suppliers, Inputs, Processes, Outputs, Customers of the OBIS Modernization Future State Systems.
2. Data Warehouse incorporation - Data will be analyzed, a single source of truth identified, and a warehouse supporting structure incorporated.
3. SIPOC Model Analysis - Analysis on Inputs and Outputs from the SIPOC model will be completed to further curate the data warehouse design and ensure that the future state of the OBIS Modernization Project (CIMS) will be able to support existing customers.
4. Project schedule finalized and the project management plan approved - The Organizational Change Management (OCM) plan will be updated to reflect the impact on stakeholders across business areas and users.

The systems development life cycle processes will include deliverables consistent with the OBIS Modernization Project (CIMS) and program goals. This project will include deliverables for each phase of application modernization. The FDC's responsibilities require that reliable records be retained for systems. The current Security Policy the State of Florida Public Records Guide for Law Enforcement Agencies (2021 Edition), and General Records Schedule GS1-SL For State and Local Government Agencies (June 2023) requirements will include the following activities and deliverables:

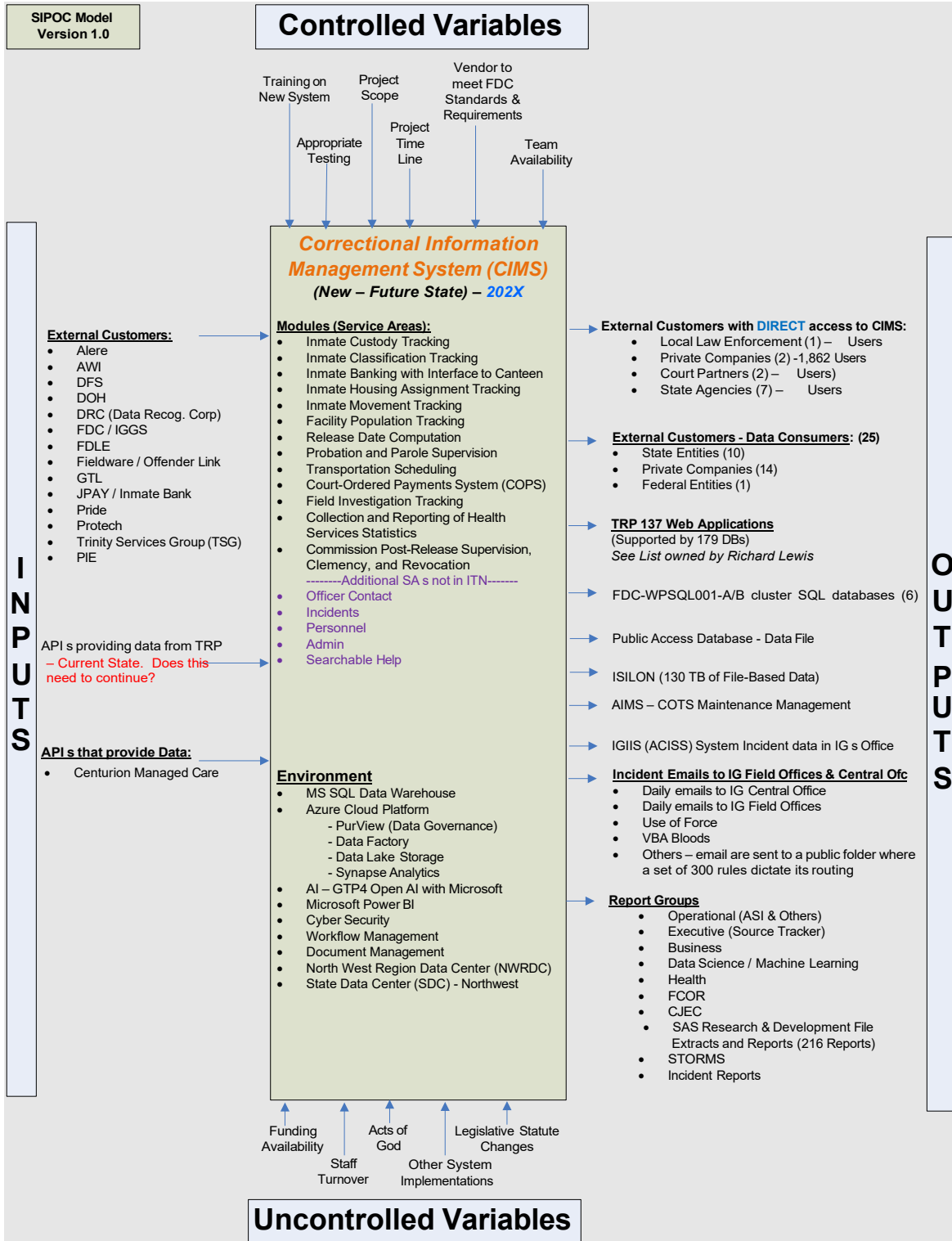
1. Data governance group and processes to oversee orchestrated data life cycle processes in the FDC.
2. A records management entry including the use of appropriate retention storage media.
3. A written records management schedule.
4. A data dictionary and data governance plan to include data classification, retention, and security.
5. A data architecture plan for inmate and offender data that includes both OBIS-related data, eSystems data, data inputs from external sources, and outputs to data consumers.
6. Vendor deliverables for the OBIS Modernization application will include, but not be limited to:
 - a. Planning Stage
 - Initial Assessments
 - Project Budget
 - Input / Output documentation



- b. Requirements
 - Requirements Documents
 - Updated Business Requirements
 - Data dictionary for data involved in the application
 - Dataflow documentation
- c. Design
 - Business process flows documentation
 - Updated Architecture / Process Flows
 - Application design
 - Interface documentation
 - Workflow Management
 - Document Management
 - System Security Plans
 - Data Governance
- d. Development –
 - Configure & Build Stage
 - Interface and Exchange Stage
 - Data Pipeline Development for Data Warehouse
 - BI Reporting Tools Setup
- e. Testing Stage
 - Test Plans & Test Planning Documentation
 - Remediation Plans
 - BI Reporting Tool Testing
- f. Transition Stage
 - Training Stage
 - Training Manuals
 - Data Migration / Pipeline Verification Plans
 - System Integration Plans
- g. Go-Live
 - Implementation & Deployment Plans
 - Security Stage
- h. Post Go-Live
 - Deployment Support
 - Warranty Stage



2.3. SIPOC Model

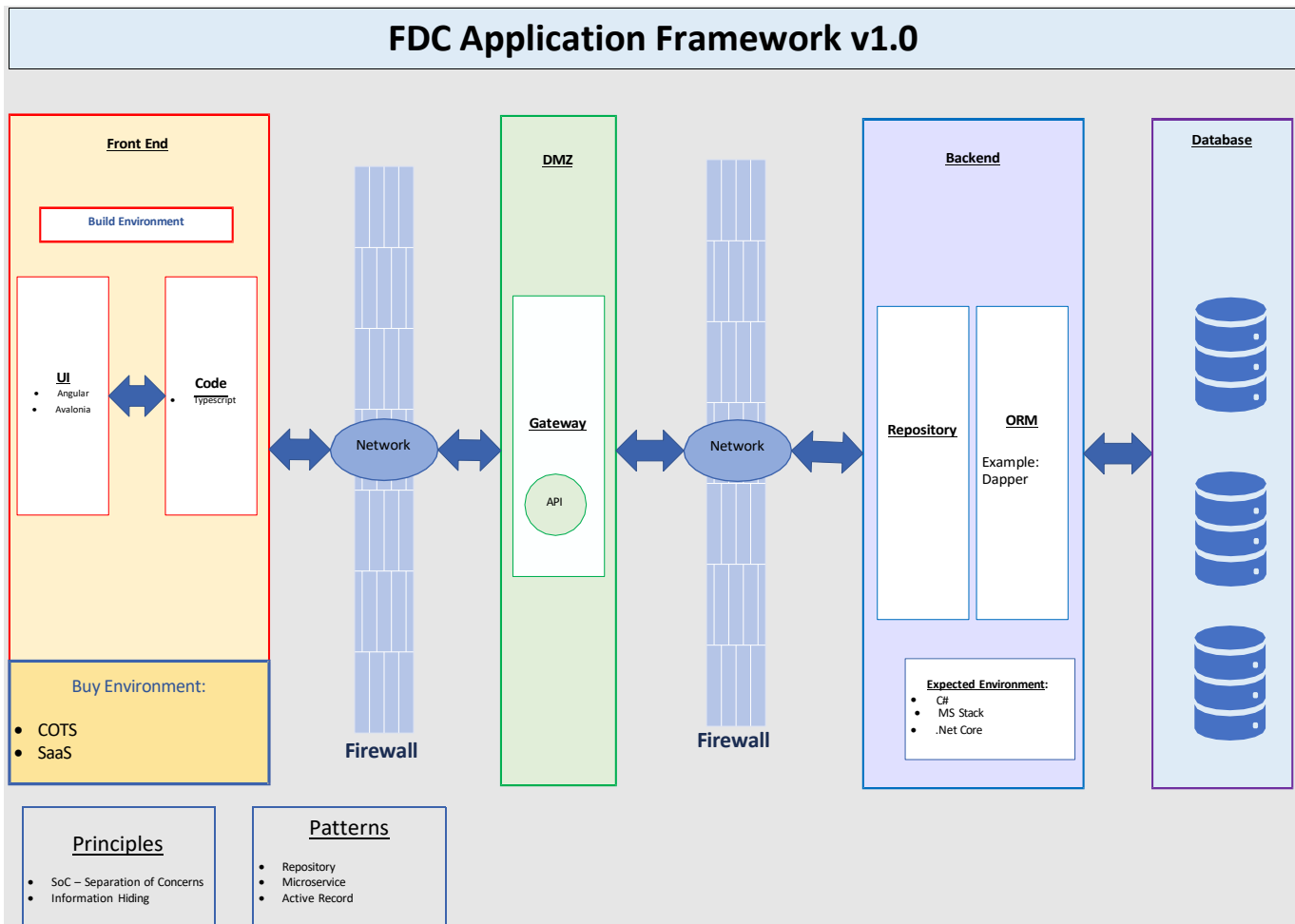




2.4. High Level Process Overview Diagram(s)

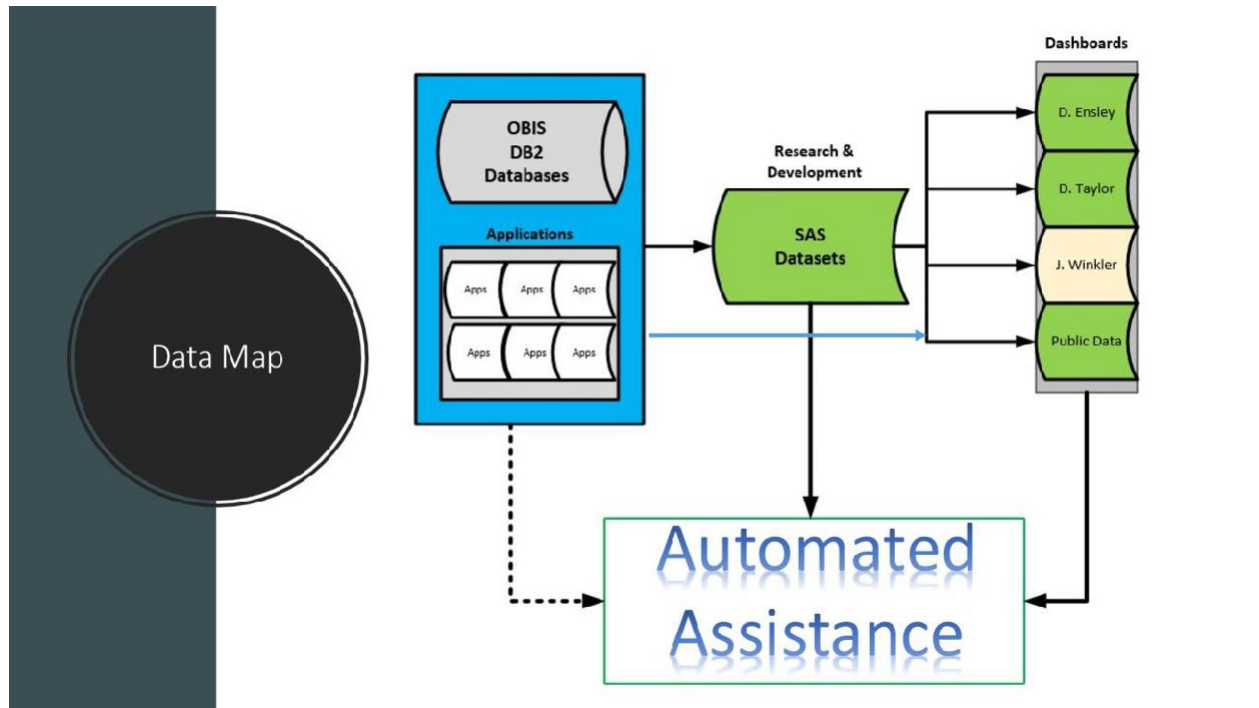
2.4.1. FDC High Level Architecture

The CIMS architecture will comply with the FDC Application Framework specified. Once a systems integrator has been selected, an architecture for the prescribed solution will be created with the below FDC Application Framework as the base:

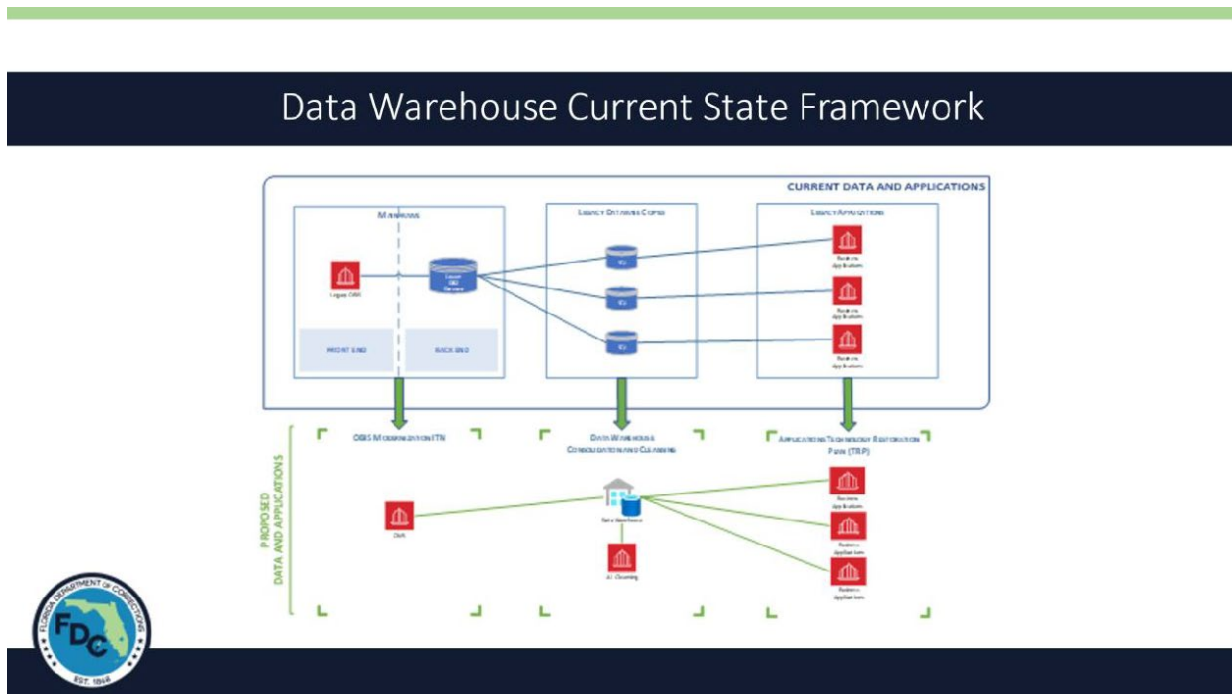




2.4.2. AA Framework Interaction

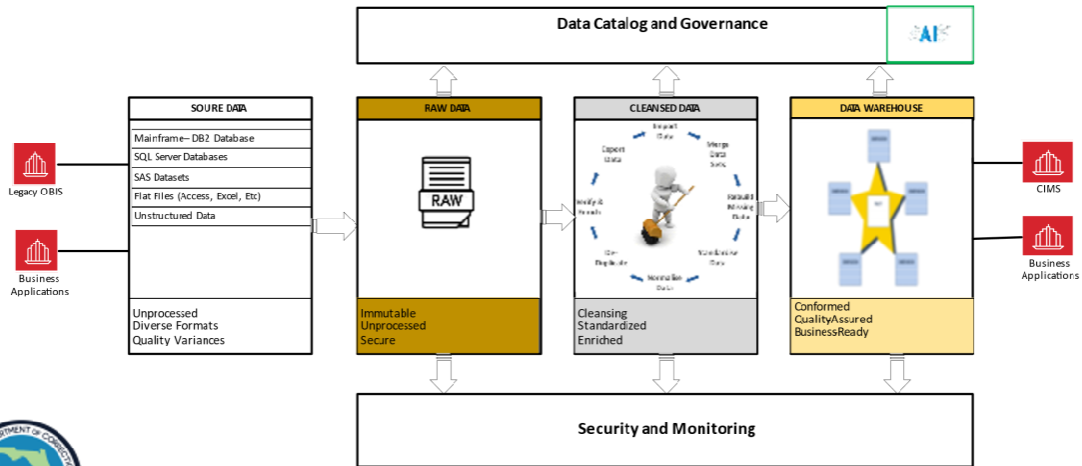


2.4.3. Data Warehouse Framework Interaction



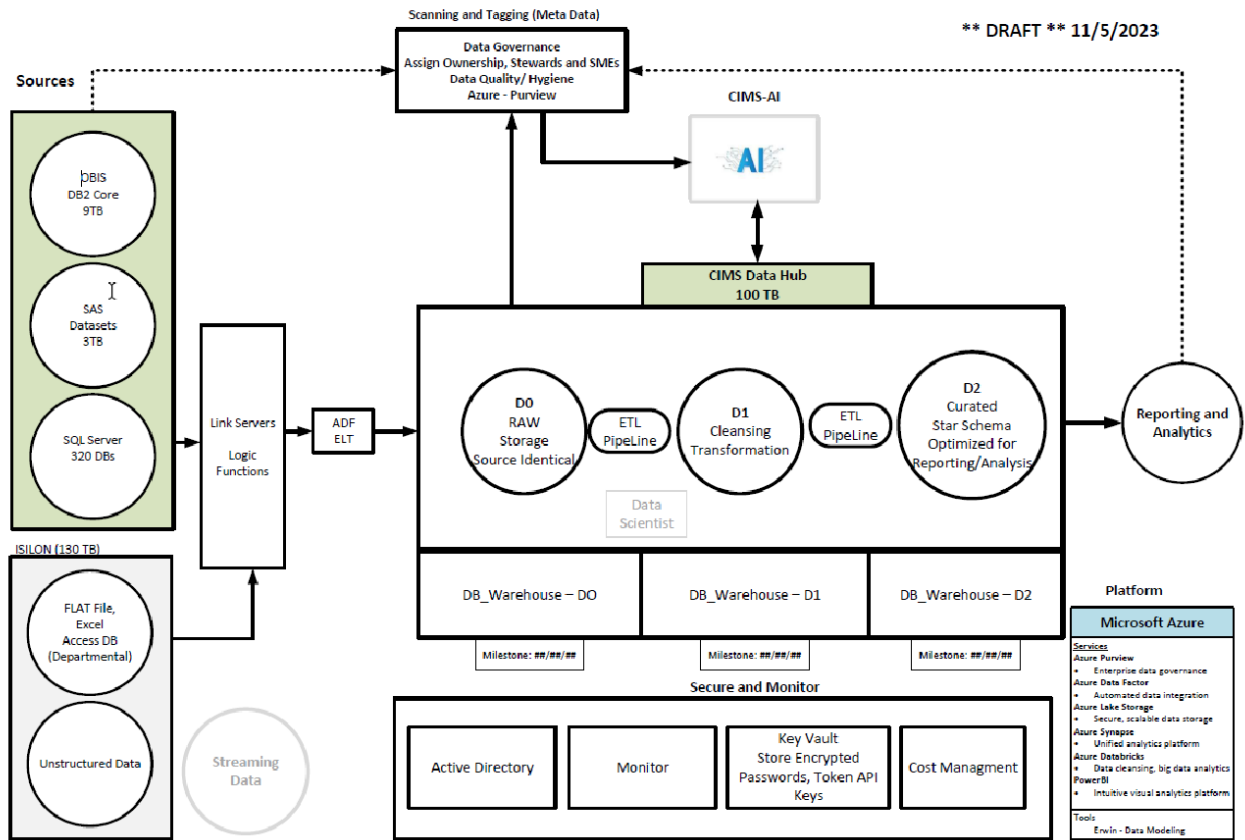


Future State (D0, D1, and D2)





2.4.4. Data Warehouse Reference Architecture Diagram



2.5. Benefits Realization Table



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#	Description of Benefit	Benefit Recipient	Realized Benefit	Benefit Realization Measurement	Realization Date
1.	Eliminate paper processes and reduce data entry with a friendly UI for reception processing	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Decreased staff time spent on data entry by 20%. Decrease use of paper by 50% or more. 	<ul style="list-style-type: none"> During the OBIS Modernization implementation, compare the data entry time between the legacy system and the modernized user interfaces. Establish a baseline of paper usage on the legacy system and compare that to the paper usage once OBIS Modernization (CIMS) implementation is complete. 	Progressive growth starting Year 2 after start of system development
2.	Creating a web-based Community Supervision Program Referral Form will assist Staff, Offenders, and Treatment Providers	<ul style="list-style-type: none"> FDC Offenders Treatment Providers 	<ul style="list-style-type: none"> Decreased staff time spent on forms to place Offenders into treatment programs by 30% 	<ul style="list-style-type: none"> Establish a baseline of time spent on the existing Community Supervision Program Referral Form including the manually updating treatment data in the legacy OBIS. Compare baseline to the digital form provided by OBIS Modernization (CIMS) 	Year 4
3.	Provide a friendly UI to simplify the use of OBIS by attorneys and reduce training	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Time spent referencing code books for attorneys to access data is reduced by 80%. 	<ul style="list-style-type: none"> During OBIS Modernization (CIMS) implementation, compare the data access time between the legacy and the modernized user interfaces. 	Year 2



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4.	Provide a friendly web-based UI for access from mobile devices	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Not having to be at a computer to enter case notes will save 15 minutes for each offender case and make data immediately available for supervisors to review 	<ul style="list-style-type: none"> During the OBIS Modernization (CIMS) implementation, compare the case note data entry time between the legacy and the modernized user interfaces. 	Progressive growth starting Year 2
5.	Provide a friendly web-based UI for quick access to information	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Quick access to information results in a 50% time savings for each occurrence. 	<ul style="list-style-type: none"> Establish a baseline of time spent on information retrieval and compare that to the time spent once OBIS Modernization (CIMS) implementation is complete. 	Progressive growth starting Year 2
6.	Simplify the use of OBIS to reduce the learning curve for new employees	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Training time for using OBIS green screens and codes is reduced by 50% 	<ul style="list-style-type: none"> Establish a baseline of training time for legacy OBIS and compare that to the time spent once the OBIS Modernization (CIMS) implementation is complete. 	Year 4
7.	Reduce the platform cost of OBIS by replacing the mainframe platform and applications with modern architecture	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> The total platform cost of OBIS will be reduced by 75%. Reduction in cost to support existing systems. 	<ul style="list-style-type: none"> Upon completion of OBIS Modernization, compute the platform costs of the legacy OBIS to the platform cost of the modernized OBIS. 	Year 5



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8.	Simplify the steps to access data and provide field validation to eliminate data entry errors	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> The time to retrieve accurate data is reduced by 50% 	<ul style="list-style-type: none"> Establish a baseline of time spent on information retrieval and validation and compare that to the time spent once OBIS Modernization (CIMS) implementation is complete. 	Progressive growth starting Year 3
9.	Replace the batch run green screens for easy navigation of reporting results	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> The time spent interpreting report results is eliminated 	<ul style="list-style-type: none"> Establish a baseline of time to interpret batch run green screens and compare that to the time spent once the OBIS Modernization implementation is complete 	Year 4
10.	Creation of or integration into a holistic FDC information system environment rather than a catalogue of individualized and archaic application silos. A modernized architecture should be able to better communicate back to users (reminders, etc.) with information from itself or other FDC resources (e-mail, etc.) using at least Boolean searches across FDC data systems	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Reference to data from multiple sources is eliminated 	<ul style="list-style-type: none"> Establish a baseline of time to extract and validate information from multiple sources and compare that to the time spent once OBIS Modernization (CIMS) implementation is complete. 	Year 5



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11.	Increased capability for generating and reviewing statewide transfers in a centralized location to allow for shared transports	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Decreased staff time spent on making direct transports to the same facilities as a neighboring institution by approximately 35% due to the new functionality. 	<ul style="list-style-type: none"> Establish a baseline of time on direct transports and compare that to the time spent once OBIS Modernization implementation is complete. 	Year 4
12.	Provide a friendly UI for collecting daily information on inmates and providing a reporting tool to review the information efficiently	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Decreased staff time spent on collecting data for daily and weekly reports by approximately 30%, due to the new functionality. 	<ul style="list-style-type: none"> Establish a baseline of time to compare data collection time between the legacy and the modernized user interfaces. 	Progressive growth starting Year 3
13.	Data entry for inmate movement with real-time reporting of gains and losses externally.	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Update the movement of an inmate as soon as the movement occurs ensuring count is accurate 	<ul style="list-style-type: none"> Establish a baseline of time to compare the time tracking inmate movement between the legacy and the modernized user interfaces. 	Year 4
14.	Provide a shared database for inmate attendance in programs	<ul style="list-style-type: none"> Programs and re-Entry Security Inmate 	<ul style="list-style-type: none"> Eliminate duplicate data entry and provide a single view of inmate attendance and facilitate the proper calculation of program completion. 	<ul style="list-style-type: none"> Establish a baseline of time to compare the time tracking inmate program attendance and completion between the legacy and the modernized user interfaces. 	Year 4



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15.	Improve data entry and reporting for Classification tasks including monthly gain time evaluation, DRs, program attendance, inmate notices, visitation, and Classification Team Dockets	<ul style="list-style-type: none"> FDC Inmates General Public 	<ul style="list-style-type: none"> Decreased data entry time spent on monthly gain time evaluations, disciplinary reports, program attendance/hours, inmate notices/acknowledgements, Institutional Classification Team dockets, and visitation by 20%. 	<ul style="list-style-type: none"> Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces. 	Year 3
16.	Provide a centralized shared database so that information gathering during reception can be utilized without duplicate data entry	<ul style="list-style-type: none"> FDC Inmates 	<ul style="list-style-type: none"> Decreased duplicate data entry of personal history information and other information gathered during reception by 20% through the use of tablets. 	<ul style="list-style-type: none"> Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces. 	Year 3
#	Description of Benefit	Benefit Recipient	Realized Benefit	Benefit Realization Measurement	Realization Date
17.	Utilized a central database with field validation to avoid data entry errors and duplication of data	<ul style="list-style-type: none"> All Community Corrections staff 	<ul style="list-style-type: none"> Decreased duplicate data entry of personal history information and other information gathered during reception by 20% through the use of tablets. 	<ul style="list-style-type: none"> Establish a baseline of time to compare the data entry time between the legacy and the modernized user interfaces. 	Year 3
18.	Improve the capability for supporting the system architecture	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> The increase cost of staff augmentation for COBOL programmers will be avoided. 	<ul style="list-style-type: none"> Sample the annual increase of the market rate for COBOL programmers. 	Year 5



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19.	Provide web-based GIS mapping for matching inmates to services in preparation for release	<ul style="list-style-type: none"> FDC 	<ul style="list-style-type: none"> Real time mapping of data using Google Earth or ArcMap creates a 20% efficiency in placement of inmates into community programs when searching for sites with CTE programs, ESE, bed space, employment opportunities in the community, and halfway houses. 	<ul style="list-style-type: none"> Establish a baseline of time spent on placement searches and compare that to the time spent once OBIS Modernization implementation is complete. 	Year 3
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2.6. Assumption and Constraints

OBIS Modernization Project (CIMS) is dependent upon a wide range of assumptions and constraints. Assumptions refer to things which are, based on functional, technical, statutory, and/or best practices, believed to have potential impact on the overall goals of the project. Constraints are defined as things that are known to prevail today or will be required in the future, which limit or influence subsequent functionality, the technical environment, budgets, implementation planning, project execution, and operations and maintenance activities.

From a fundamental perspective, the most important aspect of OBIS Modernization Project (CIMS) is an understanding of FDC's functions that must continue uninterrupted to fulfill its daily missions and operating goals.

2.6.1. Assumptions

In the context of OBIS Modernization Project (CIMS), assumptions are:

- Total project costs will increase with longer project timelines due to the need to maintain and operate the current OBIS solution over a longer time period.
- Funding to maintain and operate the current OBIS will continue until the new system is implemented.
- The vendor solution will be hosted in a Cloud environment that complies at a minimum with the FBI Criminal Justice Information Services (CJIS) Security Policy (60GG-4 Cloud Computing).
- The vendor solution will be compliant with the National Institute of Standards and Technology (NIST), the FBI CJIS Security Policy, the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and standards for protecting Personally Identifiable Information (PII).
- The vendor solution will be compliant with Chapter 60GG-2, F.A.C., Florida Cybersecurity Standards, and Chapter 60GG-3, F.A.C., Data Center Operations.
- Vendors can implement the proposed solution in the designated timeframe, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
- The vendor solution will increase operational efficiencies and effectiveness and eliminate manual processes which rely upon the use of ad-hoc tools.
- The cost avoidance from operational efficiencies and resource gains resulting from OBIS Modernization Project (CIMS) will be allocated to activities which directly support the FDC's mission.
- The vendor solution will use an architecture model that facilitates rapid and scalable deployment of the technical and functional requirements.
- The vendor solution includes building interfaces with the current OBIS applications as functionality is modernized in phases.
- The current OBIS applications will remain the system of record for agency data until all necessary functionality is tested and migrated to the modernized OBIS.
- The FDC will employ the Organizational Change Management (OCM) activities required to successfully implement the recommended solution.
- The project team, both the FDC and the vendor, will be staffed appropriately to complete the deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and ensure proper testing.
- The vendor solution will include automated data interfaces with other external agencies to preclude the storage of duplicate data.

- As a part of the business process re-engineering, the current interfaces will be analyzed as if providing real-time access to data to reduce batch load and data exchange traffic.
- The FDC's executive leadership and key project stakeholders will remain invested in the success of the project throughout the multi-year phased implementation.
- The end user computers and network connectivity are sufficient to support the use of a web-based user interface.
- The computers and mobile devices used to enter data without using paper will not negatively affect the safety of officers, staff, or inmates.
- The vendor solution will provide offline data capture workflows with connected synchronization for data collection when connectivity is unavailable, which will be critical to reduce the need for paper-based data collection and manual workflows.
- The vendor solution can be implemented in phases over a 6-year period.
- Implementation of the proposed vendor solutions will comply with Chapter 60GG-1, F.A.C., Florida Information Technology Project Management and Oversight Standards.
- The vendor solution will consider public safety as an overarching goal of the FDC.
- OBIS Modernization Project (CIMS) will not affect operational continuity in a negative manner.
- The Legislature will provide continued and adequate funding to complete the full implementation of the entire modernization effort.
- Appropriate training will be provided for all end users and users will adopt the new system
- Program decisions will be made at the lowest level required. Decisions will be made in a timely manner so as not to disrupt work or delay the schedule.
- The vendor solution will be able to keep OBIS and CIMS data synchronized during the phased approach.

2.6.2. Constraints

Project constraints are the general limitations of a project, including time, costs, and risks. Understanding project constraints is important because they affect project performance. The six main project constraints are time, cost, scope, quality, resource and expertise, and risks. The FDC will balance these constraints to ensure successful completion of the application restoration effort.

- Project activities, schedules, and milestones depend on the appropriate funding.
- State statutory changes, changes in administrative rules, and FDC policy changes could affect the project.
- Specific software tools supporting desired capabilities will be determined based on the solution options proposed by the system integration vendor.
- There is a limit to the workload that current FDC staff can dedicate to OBIS Modernization Project (CIMS) each year.
- The current OBIS applications contain cross dependencies that will require ongoing operation of the legacy system during OBIS Modernization Project (CIMS).
- During OBIS Modernization Project (CIMS) a temporary bridging interface is needed to maintain operational continuity and data integrity.
- There is a high level of risk associated with a phased implementation, which necessitates an emphasis on modernization strategies.
- The availability of business users to support phases of the software development life cycle (SDLC) such as requirements elicitation, user testing and acceptance will impact the project schedule.

- Other FDC activities and initiatives (referencing section 2.7) may overlap with and/or impact the project schedule as issues arise.
- Due to the age of OBIS, system documentation may be incomplete, requiring greater effort from the vendor and/or FDC to understand the system or its data.
- Information complexity data will be in different forms, formats and various locations making it difficult to integrate data seamlessly into the new CIMS solution.
- Reporting may be impacted during implementation due to phased implementation approach.

2.7. Interdependencies

Several projects currently identified (but not limited to) by the Office of Information Technology may impact the scope, cost, timeline and/or functionality requirements of the OBIS Modernization Project (CIMS) initiative:

- **Technology Restoration Program (TRP):** The TRP program is upgrading 88 applications, many of which utilize data extracts from the current OBIS DB2 database. Investigation of requirements will determine whether the data extract in the future state will be needed, the frequency of the extract, and what data needs to be included. Buy vs. Build decisions are in progress for the set of applications; however, each decision will impact both the Data Warehouse and OBIS Modernization Project (CIMS). Many of these applications have data supplied on an identified frequency level through extracts from the current-day OBIS. As a result, any newly introduced system from this initiative will need evaluation to determine data extract requirements either from OBIS or to OBIS through an API.
- **Data Warehouse Initiative:** The Data Warehouse (DW) Initiative is broken up into four subprojects that span a variety of functional requirements, code cleanups, and setup of automated assistance wrappers around the data warehouse. The timelines of the DW deliverables impact the integration of CIMS into the “one source of truth” initiative that governs the data warehouse initiative. Code Cleanup resulting from the Data Catalog subproject will impact present-day OBIS through the uploading of all cleaned, named, and described codes into the current system. The information from the current system will then be migrated via the Data Warehouse Initiatives into the future state of the data warehouse which in turn will support the future OBIS Modernization Project (CIMS) program.
- **Data Governance Initiative:** The Data Warehouse Initiative and Code Catalog cleanup effort will be the first step towards a data governance policy, initiative, classification, and security. The governance policy developed will be utilized by the OBIS Modernization Project (CIMS) project and will require in-depth review of all data elements, classification of all elements, and identifying security that surrounds each field’s use.

Detailed project plans will be adapted to identify the interdependencies with other existing projects.

3. PROJECT MANAGEMENT METHODOLOGY (APPROACH)

The CIMS Project’s management methodology is based on the Project Management Institute (PMI) PMBOK 5th edition. The methodology is a framework that provides project managers with a set of processes, tools, and techniques to help plan, execute, and control projects. The methodology is based on the five performance domains of:

- **Initiating:** The process of defining the project and obtaining authorization to start it.
- **Planning:** The process of defining the project scope, deliverables, schedule, budget, and risks.
- **Executing:** The process of carrying out the project plan and completing the project deliverables.
- **Monitoring and Controlling:** The process of tracking the project's progress and adjusting as needed to ensure that it meets its objectives.
- **Closing:** The process of formally ending the project and releasing resources.

The methodology was selected as it is well established within the FDC and aligns with the steps necessary to define business requirements, functional requirements, and non-functional requirements.

The method will be that of Waterfall, but the FDC approach is not disconnected from the Agile methodology that could be utilized, if necessary, to apply to applications development as necessary. As a CJIS-compliant agency, the FDC must conform to strict regulatory standards. Therefore, these are established requirements, which are part of documenting how applications connect with business functions. The solution will be compliant with Chapter 60GG-2, F.A.C., Florida Cybersecurity Standards, and Chapter 60GG-3, F.A.C., Data Center Operations.

3.1. Project Management Methodology Objectives

The methodology will support the following objectives:

- **Increased chances of project success:** The PMI Project Management Body of Knowledge (PMBOK) Guide, 5th edition project management methodology is based on proven project management practices, which can help to increase the chances of project success. *Note: the Florida Digital Service / Rule 60-GG FAC is aligned with version 5.*
- **Improved communication and collaboration:** The methodology provides a common framework for project managers and stakeholders to communicate and collaborate, which can help to improve the overall success of the project.
- **Reduced risk:** The methodology helps to identify and mitigate risks, which can help to reduce the likelihood of project failure.
- **Increased efficiency:** The methodology provides a systematic approach to project management, which can help to improve efficiency and productivity.
- **Improved decision-making:** The methodology provides a framework for making informed decisions, which can help to improve the overall outcome of the project.

3.2. Project Management Principles

The PMBOK® Guide 5th edition is structured around five Process Groups, ten Knowledge Areas, and 47 processes. These principle management structure within these process groups is intended to provide a foundation for the project management practice and to guide project managers in making decisions throughout the project lifecycle. These principles incorporate each of the elements required in the Operational Work Plan, also documented here.

The 10 project management areas in the PMBOK® Guide 5th edition are:

- **Project Integration Management**
 - Ensures that project processes are properly coordinated.
 - Involves the development of a project charter, project management plan, and managing project execution, monitoring, and controlling project work.
 - Focuses on balancing competing objectives and ensuring project alignment with overall organizational goals.
- **2. Project Scope Management**
 - Defines what is and is not included in the project.
 - Involves scope planning, scope definition, creating the work breakdown structure (WBS), scope verification, and scope control.
 - Emphasizes preventing scope creep by keeping a clear definition of project boundaries.
- **3. Project Time Management**
 - Concerned with scheduling and timely completion of the project.
 - Includes defining activities, sequencing them, estimating resources and durations, and developing and controlling the project schedule.
 - Ensures effective planning and control of project timelines to meet deadlines.
- **4. Project Cost Management**
 - Focuses on budgeting and controlling project costs.
 - Includes estimating costs, determining the project budget, and controlling costs to keep the project within the approved budget.
 - Highlights the importance of maintaining financial discipline throughout the project lifecycle.
- **5. Project Quality Management**
 - Ensures that the project will satisfy the needs for which it was undertaken.
 - Involves planning, assuring, and controlling the quality of the project deliverables.
 - Emphasizes the importance of meeting quality standards and continual process improvement.
- **6. Project Human Resource Management**
 - Focuses on acquiring, developing, and managing the project team.
 - Involves identifying roles and responsibilities, creating a staffing management plan, and enhancing team performance.
 - Encourages leadership, communication, and teamwork to achieve project goals.
- **7. Project Communications Management**
 - Ensures timely and appropriate generation, collection, dissemination, and storage of project information.
 - Includes planning communication, managing communications, and controlling communication to ensure stakeholders are properly informed.
 - Emphasizes the importance of effective communication for project success.
- **8. Project Risk Management**
 - Involves identifying, analyzing, and responding to project risks.

- Includes risk management planning, risk identification, qualitative and quantitative risk analysis, risk response planning, and risk control.
- Encourages proactive risk management to minimize negative impacts on the project.
- **9. Project Procurement Management**
 - Covers the processes of acquiring goods and services from external sources.
 - Includes planning procurements, conducting procurements, controlling procurements, and closing procurements.
 - Ensures that project procurement activities align with the project’s needs and requirements.
- **10. Project Stakeholder Management (New in the 5th Edition)**
 - Focuses on identifying all stakeholders, understanding their needs, and managing their expectations.
 - Involves stakeholder identification, stakeholder engagement planning, managing stakeholder engagement, and monitoring stakeholder relationships.
 - Stresses the importance of managing relationships with all stakeholders for the successful delivery of the project.

Application of the 10 project management areas and the focus on performance domains emphasizes the FDC’s shift to project delivery and performance for IT projects. Stakeholders are primary as without stakeholders, projects cannot deliver the envisioned value. Adopting the PMBOK 5th edition as the methodology for OBIS Modernization Project (CIMS) shows the shift to project delivery performance and adherence to 60-GG compliance.

3.3. Critical Success Factors

This OBIS Modernization Project (CIMS) requires extensive business requirements gathering, including value stream mapping and other process assessment methods and analysis to migrate from the legacy interface.

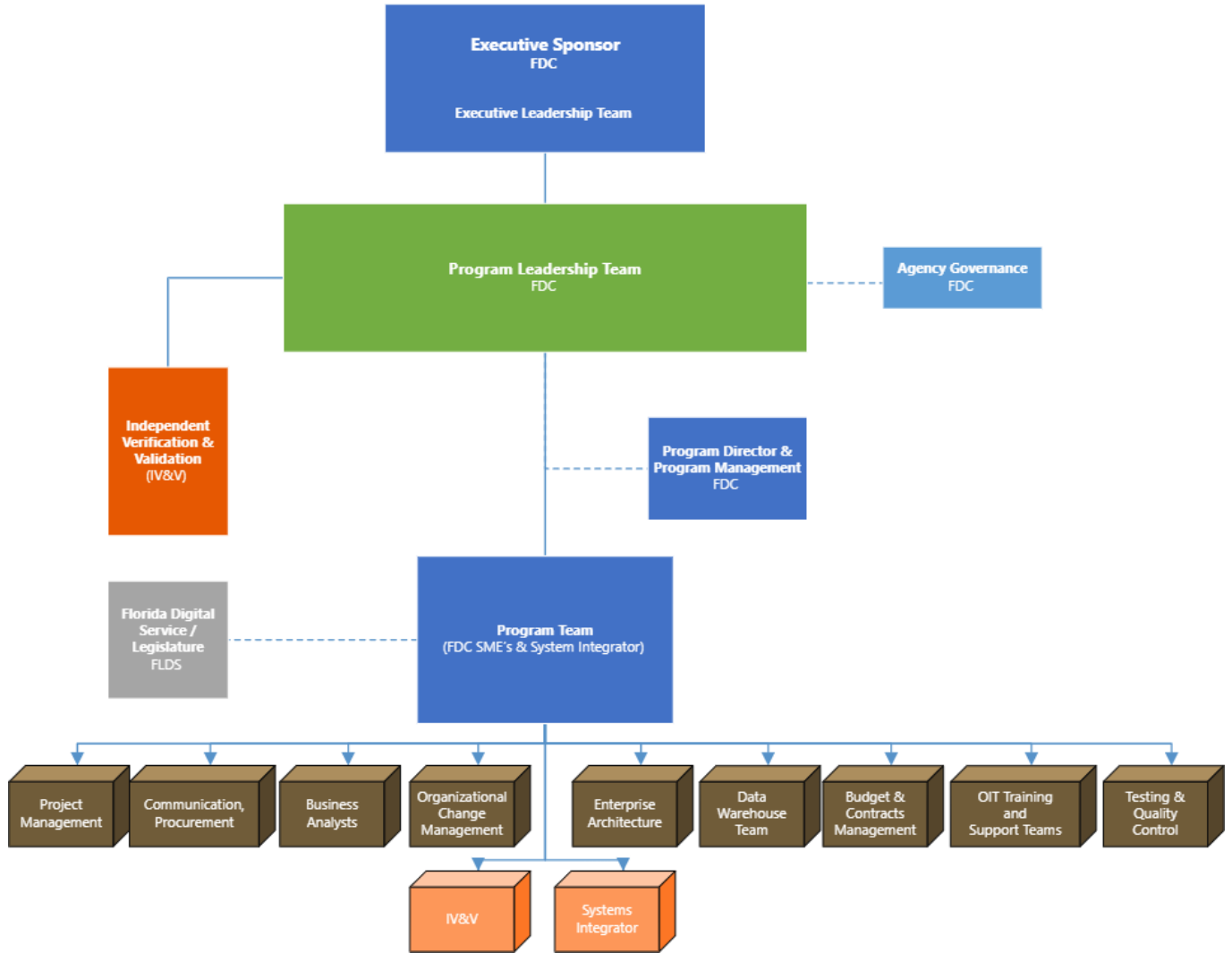
The success of OBIS Modernization Project (CIMS) depends on quantitative and qualitative factors listed below. Each of these factors are in alignment with the business objectives and proposed business process requirements outlined in the mission of the FDC. The success criteria shall form the basis of any contracts pursued to implement the project. The FDC anticipates that the project management team responsible for the implementation of the solution will develop a benefit realization strategy and plan. The benefit realization plan will be designed to include baseline measurement and several interim measurements before the final benefit realization report is complete.

Critical Success Factors for This Project			
#	Realization Year	Success Criteria Description	How Will It Be Measured or Assessed?
1.	Year 1	The project will remain on-schedule, following an approved project plan.	Interim project milestones Independent Verification and Validation (IV&V) reports
2.	Year 1	The project will remain within the prescribed budget constraints defined in advance of project initiation.	<ul style="list-style-type: none"> ● Project Financial Data
3.	Year 2	The solution will positively impact the user experience and increase employee satisfaction.	<ul style="list-style-type: none"> ● Employee satisfaction survey results ● Attrition/Turnover rates ● New Hire latency ● Help Desk calls

Critical Success Factors for This Project			
#	Realization Year	Success Criteria Description	How Will It Be Measured or Assessed?
			<ul style="list-style-type: none"> • Reduced training time
4.	Year 3	The solution will support the FDC in its on-going practice of sound fiscal stewardship of its assets	<ul style="list-style-type: none"> • Operating costs for Institutional Security and Institutional Operations • Operating costs for Community Corrections • Overhead costs for the FDC Administration • Collections of restitution, fines, court costs, subsistence, and other Court Ordered payments. • Operating costs for Health Services
5.	Year 3	The project will facilitate data exchange with external stakeholders.	<ul style="list-style-type: none"> • Automated data exchange volume/accuracy with Law Enforcement, Courts • Victim access/notifications •
6.	Year 3	The solution will enable the FDC to adapt to new sentencing guidelines more quickly.	<ul style="list-style-type: none"> • Time to implement mandated changes
7.	Year 4	The solution will present program data in an integrated view.	<ul style="list-style-type: none"> • Staff efficiencies / performance
8.	Year 4	The solution will provide value to the FDC through additional portable options	<ul style="list-style-type: none"> • Percent of supervision case notes completed by use of automation or mobile devices • Efficiencies/performance increases
9.	Year 5	The solution will enable the FDC to improve its internal operating efficiency.	<ul style="list-style-type: none"> • Days to place an inmate at initial institution • Cost(s) per inmate • Cost(s) per offender
10.	Year 5	The solution will provide an underlying data structure that is scalable to meet future growth.	<ul style="list-style-type: none"> • Cost to implement new capabilities/requirements
11.	Year 5	The solution will allow the FDC to fully protect sensitive criminal justice information.	<ul style="list-style-type: none"> • Data security incidents • Audits and review results
12.	Year 5	The project will achieve anticipated Cost Benefits.	<ul style="list-style-type: none"> • Cost Benefit Analysis and Benefit Realization outcomes
13.	Year 6	The solution will mitigate the potential risk associated with on-going support and maintenance of the system	<ul style="list-style-type: none"> • On-going support and maintenance costs
14.	Year 7	The solution will provide a positive financial Return on Investment (ROI) and Internal Rate of Return (IRR) to the State of Florida.	<ul style="list-style-type: none"> • Project ROI • Project IRR

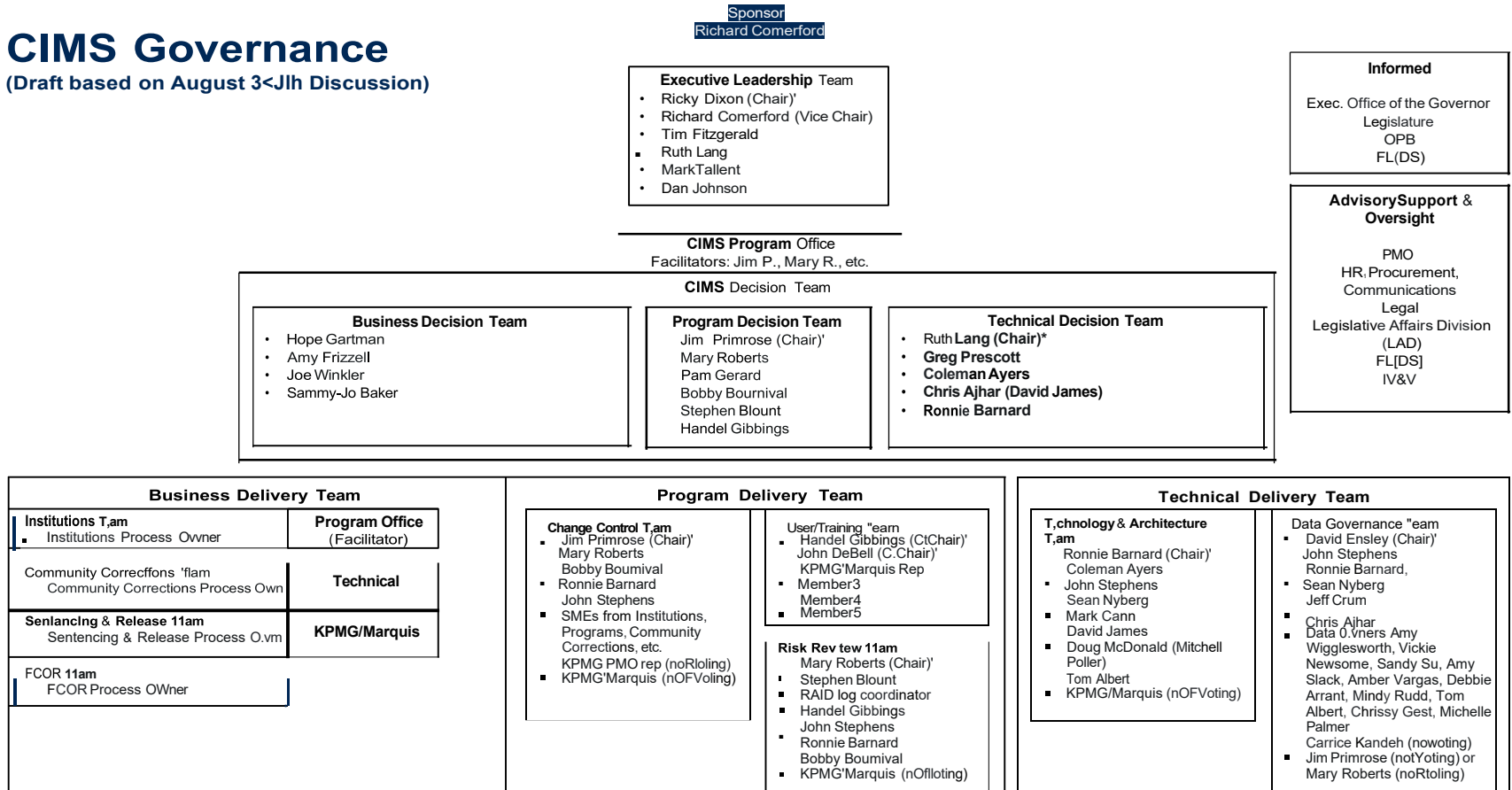
4. PROJECT ORGANIZATION & GOVERNANCE STRUCTURE

4.1. Project Organizational Chart



4.2. Governance Approach Elements

CIMS Governance (Draft based on August 3<Jlh Discussion)



4.3. Project Escalation Matrix

Project Escalation Matrix					
Issue Type	Priority	Tier 1	Tier 2	Tier 3	Tier 4
Schedule Delay	Critical	Program Manager	Program Director	OIT Leadership	Sponsor
Scope Creep	Critical	Program Manager	Program Director	OIT Leadership	Sponsor
Budget Issues	High	Program Manager	Program Director	DCIO	Sponsor
Active Risks	High	Program Manager	Program Director	OIT Leadership	Sponsor
Issues	All	Program Manager	Program Director	OIT Leadership	Sponsor
Resource Issues / Resource Conflict	Medium	Program Manager	Program Director	Business Solutions Chief	OIT Leadership
Communication Issue	High	Program Manager	Program Director	OIT Leadership	Sponsor
Change Management Issue	High	Program Manger	Program Director	PLT	Sponsor
Security Risk	High	Program Director / Program Manger	InfoSec Chief / InfoSec Staff	DCIO, Infrastructure OIT Leadership	Sponsor
Project Objectives	Critical	Program Manager	Program Director	PLT	Sponsor
Project Technical Issues	Critical	Program Manger	Program Director	DCIO	Sponsor OIT Leadership

In a Project Escalation Matrix, the priority levels and tiers define the severity of issues and the chain of responsibility for resolving them. Here are the definitions for Priority and the escalation Tiers (1–4):

Priority Definitions

Priority refers to the level of urgency or impact an issue has on the project. Each priority level dictates how quickly an issue should be addressed and escalated. Typically, priority levels are defined as follows:

1. **Priority 1 (P1) – Critical:** This represents an issue that has a severe impact on project success, such as system downtime or a failure that blocks the project's progress. Immediate action is required.
2. **Priority 2 (P2) – High:** This is a high-impact issue that significantly affects project deliverables but does not completely stop progress. Prompt attention is required to minimize delays.
3. **Priority 3 (P3) – Medium:** A medium-impact issue that is disruptive but not immediately critical to the overall project. It should be resolved in a reasonable timeframe.
4. **Priority 4 (P4) – Low:** A low-impact issue that may cause minor delays or inefficiencies. It should be addressed as part of regular maintenance or within scheduled timelines but does not require urgent action.

Tier Definitions

The **Tiers** in the escalation matrix represent different levels of expertise and responsibility in resolving issues. As the issue escalates through the tiers, the complexity and seriousness increase, requiring more specialized attention.

1. Tier 1 – Frontline Support / Initial Resolution

- **Description:** This is the first level of support where the issue is initially reported. Typically, it consists of a project team member, help desk, or support personnel responsible for troubleshooting basic issues and identifying whether the problem can be solved quickly.
- **Responsibilities:**
 - Logging the issue and attempting an initial resolution.
 - Resolving routine or low-complexity issues (P3 and P4).
 - Escalating unresolved or high-priority issues to Tier 2.
- **Examples:** IT helpdesk, project team assistants, or support analysts.

2. Tier 2 – Specialized Support

- **Description:** This level consists of specialists or more experienced personnel with deeper knowledge of the project, system, or product. Tier 2 handles more complex issues that require specialized technical or domain knowledge.
- **Responsibilities:**
 - Investigating and resolving issues escalated from Tier 1.
 - Handling medium-priority issues (P2) and providing detailed analysis.
 - Escalating unresolved or critical issues to Tier 3.
- **Examples:** Senior developers, engineers, or technical leads.

3. Tier 3 – Advanced Support / Management Involvement

- **Description:** Tier 3 includes subject matter experts or senior personnel with in-depth knowledge of the project, processes, or systems. At this level, issues that are highly complex or critical (P1) are resolved. Management may also be involved to ensure strategic alignment and provide additional resources.
- **Responsibilities:**
 - Resolving advanced technical or business-critical issues.
 - Coordinating with different teams for a holistic solution.
 - Escalating issues to Tier 4 if strategic decisions or executive input are needed.
- **Examples:** Project managers, architects, senior engineers, or department heads.

4. Tier 4 – Executive / Strategic Decision-Making

- **Description:** The final escalation tier involves executive leadership or senior decision-makers. Issues that reach this level typically have a significant business impact or require changes in project direction, budget adjustments, or legal considerations.
- **Responsibilities:**
 - Making strategic decisions to resolve business-critical or unresolved issues.
 - Approving changes in scope, budget, or project direction to address the issue.
 - Engaging external stakeholders or partners if needed.
- **Examples:** Executive leadership, project sponsors, legal counsel, or steering committees.

4.4. Decision Matrix

A decision rights matrix provides a summarized view of the allocation of decision-making authority among a group of roles. This matrix identifies decisions needed of the OBIS Modernization Project (CIMS) Project groups and defines where those decisions will be allocated: to an entire committee, a portion of that body, or individual members. This comprehensive matrix not only assigns decision-making responsibilities across various levels of leadership and expertise, but also emphasizes the role of the Executive Steering Committee in guiding strategic direction, ensuring compliance, and evaluating overall project progress. This structured approach supports informed decision-making, promotes transparency, and facilitates strategic alignment with business objectives.

4.4.1. High-Level Decision Matrix by Phase

SDLC Phase	Decision Type	Decision Maker(s)	Detailed Description
1. Requirements	- Business Strategy Alignment	<ul style="list-style-type: none"> Executive Leadership Team 	High-level strategic decisions ensuring the project aligns with overall business objectives and strategic initiatives.
	- Project Scope and Vision	<ul style="list-style-type: none"> Executive Leadership Team 	Defining the breadth and depth of the project, including long-term vision and immediate goals. High-level decisions on project scope, alignment with business goals, and resource allocation. The Project Leadership Team and the PMO may also contribute to this process.
	- Feature Set and User Needs	<ul style="list-style-type: none"> Product Owner 	Detailed analysis and decisions on specific features, user stories, and acceptance criteria based on user needs and business requirements. Key Stakeholders and Business Analysts are integral contributors to this process.
	- Prioritization	<ul style="list-style-type: none"> Product Owner 	Prioritizing features for development to align with strategic goals and project timelines. Key Stakeholders and Business Analysts are integral contributors to this process.
	- Stakeholder Analysis and Engagement	<ul style="list-style-type: none"> OCM Team 	Identifying key stakeholders, assessing their needs and concerns, and planning engagement strategies to secure buy-in. Product Owners are integral contributors to this process.
	- Impact Assessment	<ul style="list-style-type: none"> OCM Team 	Analyzing the impact of proposed changes on users and processes and identifying mitigation strategies. Product Owners and Business Analysts are integral contributors to this process.
	2. Design	- Architectural Strategy and Compliance	<ul style="list-style-type: none"> CIO
- Design Standards and User Experience		<ul style="list-style-type: none"> Enterprise Architect 	Decisions on design principles, user interface standards, and ensuring a seamless user experience. UI/UX

SDLC Phase	Decision Type	Decision Maker(s)	Detailed Description
			Designers and Product Owners are integral contributors to this process.
	- Design Specifications	<ul style="list-style-type: none"> Enterprise Architect 	Detailed design decisions including system architecture, data models, and user interface designs. UI/UX Designers and Technical Leads are integral contributors to this process.
	- Communication Plan Development	<ul style="list-style-type: none"> OCM Team 	Developing a detailed communication plan to inform stakeholders of changes, benefits, and how they will be supported. The Executive Leadership Team and Program Management Team are integral contributors to this process.
	- Training Needs Assessment	<ul style="list-style-type: none"> OCM Team 	Assessing training needs based on new system functionalities and user roles to ensure smooth transition and adoption. The Technical Leads and HR are integral contributors to this process.
3. Development	- Development Frameworks and Tools	<ul style="list-style-type: none"> Enterprise Architect 	Selection of development frameworks, programming languages, and tools to optimize productivity and quality. The PMO, Technical Leads, and Developers are integral contributors to this process.
	- Coding Standards and Review Processes	<ul style="list-style-type: none"> Technical Lead 	Establishing coding conventions, review processes, and continuous integration/deployment (CI/CD) strategies. Developers are contributors to this process.
	- Change Advocates and Champions Identification	<ul style="list-style-type: none"> OCM Team 	Identifying and empowering change champions within the organization to facilitate and advocate for the change. The PMO is a contributor to this process.
	- Feedback Mechanisms Setup	<ul style="list-style-type: none"> OCM Team 	Establishing channels for continuous feedback from users to inform ongoing development and adjustment of features. The Product Owners and Developers are contributors to this process.
	- Development Methodology	<ul style="list-style-type: none"> PMO 	Decisions on the adoption of development methodologies (e.g., Agile, Waterfall) to guide team workflows. The Technical Lead is a contributor to this process.
	- Implementation Details	<ul style="list-style-type: none"> Technical Lead 	Tactical decisions on coding practices, feature implementation, and integration strategies. The Developers are contributors to this process.
4. Testing	- Test Plan and Quality Benchmarks	<ul style="list-style-type: none"> QA Lead 	Comprehensive planning for testing phases, quality benchmarks, and alignment with industry standards. Ensuring software quality meets defined standards and regulatory requirements.

SDLC Phase	Decision Type	Decision Maker(s)	Detailed Description
	- Testing Frameworks and Tools	<ul style="list-style-type: none"> • QA Lead 	Decisions on selecting appropriate testing tools, frameworks, and environments. Technical Leads and the PMO area contributors to this process.
	- Testing Strategies	<ul style="list-style-type: none"> • QA Lead 	Decisions on testing approaches, automation strategies, and test cases. QA Analysts contribute to this process.
	- Security and Compliance Testing	<ul style="list-style-type: none"> • Security Analysts 	Ensuring rigorous security testing and compliance with legal and industry-specific regulations. QA Leads contribute to this process.
	- User Acceptance Testing (UAT) Planning	<ul style="list-style-type: none"> • End-Users 	Planning and executing UAT to ensure the solution meets user needs and addressing feedback effectively. QA Leads and the OCM Team are contributors to this process.
	- Bug Prioritization and Fixes	<ul style="list-style-type: none"> • Technical Lead 	Decisions on the prioritization and resolution of bugs and issues. QA Leads and Product Owners contribute to this process.
	- Change Readiness Assessments	<ul style="list-style-type: none"> • OCM Team 	Conducting assessments to evaluate organizational readiness for the change, addressing gaps, and reinforcing support.
5. Deployment	- Deployment Strategy	<ul style="list-style-type: none"> • Marketing / OCM 	Strategic planning for release schedules, market readiness, and alignment with business cycles. Contributors to this process include Release Managers, DevOps Teams, PMO, and Executive Leadership Team.
	- Release Planning	<ul style="list-style-type: none"> • Release Manager 	Decisions on when and how to deploy releases to production. Contributors to this process include the DevOps Team and the Product Owners
	- Deployment Automation and Monitoring	<ul style="list-style-type: none"> • DevOps Team 	Decisions on automation tools, monitoring solutions, and strategies for efficient and reliable deployments. Contributors to this process include Technical Leads and the PMO.
	- Go-Live Support Strategies	<ul style="list-style-type: none"> • Technical Support Team 	Planning for go-live support including help desks, FAQs, and on-site support to assist users in the transition.
	- Success Metrics and Evaluation	<ul style="list-style-type: none"> • OCM Team 	Defining and measuring success metrics related to change adoption, system usage, and business impact. The PMO and Executive Leadership Team are contributors to this process.
	- Rollback Strategies	<ul style="list-style-type: none"> • DevOps Team 	Decisions on handling failed deployments and rollback plans to minimize downtime. Technical Leads and the PMO are contributors to this process.
6. Maintenance	- Support and Service Level Agreements	<ul style="list-style-type: none"> • Technical Support Team 	Establishing support protocols, service levels, and ongoing customer engagement strategies. The PMO and Executive Leadership Team are contributors to this process

SDLC Phase	Decision Type	Decision Maker(s)	Detailed Description
	- Post-Deployment Support Plan	<ul style="list-style-type: none"> Technical Support Team 	Planning for ongoing support, issue resolution, and user feedback incorporation. The PMO is a contributor to this process.
	- Technical Debt and Refactoring	<ul style="list-style-type: none"> Enterprise Architect 	Strategic decisions on managing technical debt and prioritizing refactoring efforts to ensure software health. The Technical Teams, Developers, and Project Leadership Teams are contributors to this process.
	- Legacy System Integration and Upgrades	<ul style="list-style-type: none"> Enterprise Architect 	Strategic planning for the integration of new features with legacy systems, and scheduling of system upgrades. The Technical Leads and Project Leadership Team are contributors to this process.
	- Continuous Improvement and Feedback Loop	<ul style="list-style-type: none"> OCM Team 	Implementing a continuous feedback loop to capture user experiences, enhancements, and addressing ongoing change issues. The Technical Teams and Stakeholders are contributors to this process.
	- Post-Implementation Review and Lessons Learned	<ul style="list-style-type: none"> PMO 	Conducting post-implementation reviews to capture lessons learned, celebrate successes, and plan for future changes. The OCM Team and Executive Leadership Team are contributors to this process.
7. Evaluation	- ROI and Performance Metrics	<ul style="list-style-type: none"> PMO 	Evaluation of project ROI, performance against key metrics, and alignment with initial business cases. The Product Owners and Executive Leadership Team are contributors to this process.
	- Performance Evaluation	<ul style="list-style-type: none"> Stakeholders 	Decisions based on software performance and meeting of business goals. The Product Owners and QA Leads are contributors to this process.
	- Strategic Review and Future Planning	<ul style="list-style-type: none"> Executive Leadership Team 	High-level review of project outcomes, lessons learned, and planning for future development cycles or strategic shifts. Strategic decisions on the future direction of the software development. The Product Owner, Project Leadership Team, PMO, and Technical Leads are integral contributors to this process.
	- Long-Term Impact Analysis	<ul style="list-style-type: none"> OCM Team 	Evaluating the long-term impacts of the change on organizational processes, culture, and performance metrics. The Executive Leadership Team has collaborative input into this analysis.
	- Strategic Alignment Check	<ul style="list-style-type: none"> Executive Leadership Team 	Assessing how well the implemented changes align with strategic business goals and identifying areas for strategic adjustment. The OCM Team is an integral contributor to this process.

This expanded matrix places a strong emphasis on the organizational change management aspects of software development, ensuring that technical changes are effectively communicated, adopted, and integrated into the organizational fabric. It highlights the importance of proactive engagement, training, and support to facilitate a smooth transition and maximize the benefits of new systems and processes.

CIMS Project represents a significant technological and operational shift for the Florida Department of Corrections. The Decision Rights Matrix below outlines the framework for decision-making authority, responsibilities, and communication channels by Stakeholder sections involved in the CIMS project. This matrix is designed to streamline decision-making, clarify roles, and ensure that project governance is efficient and effective.

4.4.2. Legislature

Given the context of a large-scale software development initiative like the OBIS Modernization Project (CIMS) for the Florida Department of Corrections, decisions by the Legislature primarily focus on funding, legal compliance, and overarching policy directions. Below is a structured chart outlining the types of decisions made by the Legislature that would impact the CIMS project, organized by relevance rather than SDLC phases, as Legislative decisions tend to influence the broader framework within which the project operates.

Decision Type	Decision Maker	Description
Funding Approval	Legislature	Approval of the necessary funding for the CIMS project, including allocations for technology, personnel, and other resources.
Legislative Compliance	Legislature	Ensuring that the project complies with all relevant laws, regulations, and guidelines, including those related to data security and privacy.
Policy Direction and Oversight	Legislature	Setting overarching policy directions that guide the scope and objectives of the CIMS project, including priorities for modernization.
Accountability and Reporting	Legislature	Establishing requirements for project reporting and accountability to ensure that the project aligns with legislative expectations and public interest.
Stakeholder Engagement Requirements	Legislature	Defining the extent and manner of stakeholder engagement, including public hearings, feedback mechanisms, and transparency initiatives.

4.4.3. Executive Leadership Team (ELT)

This chart serves to clarify the specific responsibilities and decision-making authority of the Executive Leadership Team throughout the various phases of the CIMS project. It ensures that key decisions as identified by the Program Implementation Team are systematically managed, aligning with the overall goals and strategic direction of the Florida Department of Corrections. This structured approach to decision-making facilitates clear communication, accountability, and project governance.

Phase	Decision Type	Decision Maker	Description
Initiation	Project Approval	Executive Leadership Team	Formal approval of the CIMS project initiation, confirming project scope, objectives, and preliminary resource allocation.

Phase	Decision Type	Decision Maker	Description
Planning	Budget Approval	Executive Leadership Team	Approval of the comprehensive project budget, ensuring it aligns with departmental financial guidelines and project scope.
Planning	Strategic Direction and Policy	Executive Leadership Team	Setting strategic direction for the project, including policy decisions that may impact project execution or outcomes.
Execution	Oversight of Project Progress	Executive Leadership Team	Regular review and oversight of project progress against milestones and objectives, making strategic decisions to address variances or issues.
Execution	Major Change Approval	Executive Leadership Team	Decision on major project changes or scope adjustments that have significant implications on budget, timeline, or deliverables.
Execution	Stakeholder Engagement Strategy	Executive Leadership Team	Approval and guidance on strategies for engaging key stakeholders and managing stakeholder expectations throughout the project lifecycle.
Closure	Project Closure and Acceptance	Executive Leadership Team	Formal decision to close the project upon completion, including the acceptance of final deliverables and verification that all project objectives have been satisfactorily met.

4.4.4. Program Leadership Team (PLT)

The PLT Decision chart underlines the multifaceted role of SME Leaders in not only guiding the technical and operational aspects of the CIMS project but also in driving organizational change management to ensure the successful adoption and sustained use of the new system within the Florida Department of Corrections. By integrating OCM tasks with technical decisions, the Project Leadership Team leverages their expertise to address the human and technological dimensions of the modernization effort. For each decision type, there are multiple contributors from the program leadership, project technical team, and OIT leadership team.

SDLC Phase	Decision Type	Decision Maker	Description
Planning	Technology and Tools Selection	SME Leaders	Selection of vendor-based solutions and corresponding technologies and tools based on the project's business needs and compatibility with existing systems.
Planning	Skill Gap and Training Needs Analysis	SME Leaders	Identification of skill gaps within the team and determining necessary training or hiring to meet project needs.
Planning	OCM Strategy Development	SME Leaders	Development of an Organizational Change Management strategy to support the adoption of the new system within the department. OCM Leads and Change Champions contribute to this process
Design	System Architecture and Security Standards	SME Leaders	Designing system architecture and establishing security and compliance standards that align with regulatory requirements.

SDLC Phase	Decision Type	Decision Maker	Description
Design	Stakeholder Analysis and Engagement Plan	SME Leaders	Conducting stakeholder analysis to identify impacts and developing an engagement plan to support change management efforts.
Development	Development Methodology and Workflow	SME Leaders	Selection of a development methodology and workflow optimization to facilitate efficient project progress. This will be determined through the selection of a systems integrator.
Testing	Testing and Quality Assurance Strategies	SME Leaders	Defining comprehensive testing strategies and quality assurance measures to ensure system reliability and performance. Selected SME's will be utilized for UAT testing.
Deployment	Deployment and Transition Plan	SME Leaders	Outlining a detailed deployment plan, including transition strategies for minimizing operational disruptions.
Deployment	Training Program Development and Execution	SME Leaders	Developing and executing a training program for end-users and IT staff to ensure effective use of the new system.
Monitoring	Performance and Feedback Monitoring	SME Leaders	Setting up systems to monitor performance metrics and gather feedback for ongoing improvement.
Closure	Post-Implementation Review and OCM Evaluation	SME Leaders	Reviewing project outcomes and evaluating the effectiveness of OCM initiatives in achieving desired change outcomes.
Ongoing	Continuous Improvement Plan	SME Leaders	Establishing a continuous improvement plan based on feedback and performance data to enhance system utility and adoption.

4.4.5. OIT Leadership

The OIT Leadership chart demonstrates the integral role of the CIO & OIT Leaders in navigating both the technological and organizational change aspects of the OBIS Modernization Project (CIMS). Through strategic decision-making and leadership, the OIT Leadership Team ensures that the project is not only aligned with the Department's IT strategy but also effectively manages the human factors critical to the successful adoption of the new system.

SDLC Phase	Decision Type	Decision Maker	Description
Initiation	Project Vision and IT Strategy Alignment	CIO	Aligning the project vision with the overall IT strategy of the Department, ensuring that CIMS supports long-term objectives.
Planning	IT Infrastructure and Security Framework Approval	CIO	Approving the IT infrastructure plan and security framework, ensuring they meet current and future organizational needs.
Planning	Organizational Change Management (OCM) Strategy	CIO	Endorsing an OCM strategy that facilitates smooth transition to the new system, addressing employee concerns and training needs.
Design	Technology Standardization Policies	CIO	Setting policies for technology standardization to ensure compatibility, interoperability, and reduced complexity.

SDLC Phase	Decision Type	Decision Maker	Description
Execution	Major IT Vendor and Partnership Approvals	CIO	Approving significant IT vendor contracts and partnerships critical for the project's execution and success.
Execution	High-Level Resource Allocation	CIO	Allocating high-level IT resources including budget, personnel, and technologies to support project milestones.
Execution	Oversight of Critical Project Milestones	CIO	Providing oversight and strategic direction for critical project milestones, ensuring alignment with project goals.
Deployment	Final System Go/No-Go Decision	CIO	Making the final decision on whether the system is ready for deployment based on testing and readiness evaluations.
Deployment	OCM Program Implementation	CIO	Leading the implementation of the OCM program, ensuring effective communication, training, and support systems are in place.
Monitoring	Post-Deployment IT and User Feedback Review	CIO	Reviewing IT and user feedback post-deployment to identify areas for improvement and ensure system performance meets standards.
Closure	Project Closure and Post-Implementation Review	CIO	Leading the project closure process, including a post-implementation review to capture lessons learned and success metrics.
Ongoing	Continuous Improvement Initiatives	CIO	Initiating continuous improvement efforts based on operational feedback and evolving IT strategies.

4.4.6. Project Technical Team Leaders (PTTL)

The Project Technical Team Leaders chart underlines the dynamic role of Program and Project Managers in managing both the technical execution and the change management aspects of the OBIS Modernization Project (CIMS). Their decisions span the entire SDLC, ensuring the project meets its technical objectives while also facilitating a smooth transition for all stakeholders affected by the new system.

SDLC Phase	Decision Type	Decision Maker	Description
Initiation	Project Team Formation	PTTL	Selection and assembly of the project team, ensuring a blend of skills and expertise suitable for the project's requirements.
Planning	Detailed Project Planning and Scheduling	PTTL	Developing detailed project plans, including schedules, milestones, and resource allocations for all phases of the project.
Planning	OCM Preliminary Assessment	PTTL	Conducting an initial assessment to identify the impact of change on various stakeholders and planning initial OCM activities.
Design	Coordination of Design Specifications	PTTL	Coordinating the development of design specifications with technical teams to ensure alignment with project goals.
Execution	Daily Operational Decision Making	PTTL	Making daily operational decisions to keep the project on track, including task prioritization and resource adjustments.

SDLC Phase	Decision Type	Decision Maker	Description
Execution	Change Management Approval	PTTL	Approving or rejecting change requests based on their impact on the project scope, budget, and timeline.
Execution	OCM Strategy Refinement and Execution	PTTL	Refining and executing the OCM strategy based on ongoing assessments and stakeholder feedback.
Testing	Test Plan Approval and Coordination	PTTL	Approving test plans and coordinating testing efforts across teams to ensure comprehensive quality assurance.
Deployment	Deployment Strategy Finalization and Execution	PTTL	Finalizing and overseeing the execution of the deployment strategy, including coordination of go-live activities.
Deployment	Training and Support Plan Implementation	PTTL	Implementing training and support plans as part of OCM to ensure smooth transition and system adoption among users.
Monitoring	Monitoring and Reporting System Performance	PTTL	Setting up and overseeing systems for monitoring project performance and reporting to stakeholders.
Monitoring	Feedback Collection and Analysis	PTTL	Collecting and analyzing feedback from users and stakeholders to inform continuous improvement efforts.
Closure	Project Closure and Documentation	PTTL	Leading the project closure process, including documentation of outcomes, lessons learned, and transitioning to maintenance mode.
Ongoing	Continuous Improvement Planning	PTTL	Planning for continuous improvement based on project outcomes, feedback, and evolving organizational needs.

4.4.7. Project Team Members

The Project Team Members Decision chart demonstrates the integral contributions of Project Team Members—comprising both the FDC Technical Team and Development Vendors—to the successful technical execution and organizational change management of the OBIS Modernization Project (CIMS). Their decisions ensure not only the development and deployment of a technically robust system but also facilitate the effective adoption and ongoing improvement of the system within the Florida Department of Corrections.

SDLC Phase	Decision Type	Decision Maker	Description
Planning	Technical Requirements Analysis	Technical Team	Analyzing and defining detailed technical requirements for the CIMS project, ensuring alignment with project objectives.
Planning	OCM Support Needs Identification	Development Vendors	Identifying support needs for organizational change management, including tools and resources necessary for smooth transitions.
Design	System Design and Architecture	Technical Team	Creating the system design and architecture, ensuring it meets specified technical requirements and scalability needs.
Design	User Interface and Experience Design	Development Vendors	Designing user interfaces and experiences that are intuitive and aligned with end-user needs and accessibility standards.

SDLC Phase	Decision Type	Decision Maker	Description
Development	Code Development and Review	Technical Team	Writing and reviewing code, ensuring adherence to project standards and requirements for functionality and security.
Development	Integration Solutions Development	Development Vendors	Developing solutions for integrating the new system with existing infrastructure and third-party services.
Testing	Test Case Development and Execution	Technical Team	Developing and executing test cases to validate system functionality, performance, and security.
Deployment	Deployment Plan Execution	Development Vendors	Executing the deployment plan, including system installation, configuration, and initial troubleshooting.
Deployment	End-User Training Material Development	Technical Team	Developing training materials for end-users as part of the OCM efforts to ensure effective adoption of the new system.
Monitoring	System Performance Monitoring	Technical Team	Monitoring system performance post-deployment, identifying issues for resolution to ensure ongoing stability and efficiency.
Monitoring	User Feedback Collection and Implementation	Development Vendors	Collecting user feedback on the system and implementing necessary adjustments to enhance functionality and user satisfaction.
Closure	Project Documentation Completion	Technical Team	Completing all project documentation, including system architecture, codebases, and user guides.
Ongoing	Continuous Improvement Recommendations	Development Vendors	Recommending continuous improvement strategies based on system performance data and user feedback.

4.4.8. Stakeholders

Stakeholder decisions influence the project's direction, ensure compliance and usability, and drive the success of Organizational Change Management initiatives. By actively participating in the project lifecycle, stakeholders help shape a system that is both technically robust and aligned with the needs and expectations of all users within the Florida Department of Corrections.

SDLC Phase	Stakeholder Group	Decision Type	Description
Initiation	Executive Leadership	Project Endorsement	Formal approval and endorsement of the project, affirming its strategic alignment.
	Department Leadership	Initial Budget Approval	Approval of the initial project budget and resource allocation.
	Regulatory Bodies	Compliance Requirement Confirmation	Confirmation of compliance and regulatory requirements the project must adhere to.
Planning	Executive Leadership	Strategic Direction Confirmation	Confirmation of the project's strategic direction and priorities.
	User Community	Requirements Feedback	Providing feedback on system requirements to ensure they meet operational needs.

SDLC Phase	Stakeholder Group	Decision Type	Description
Design	IT Department Leaders	Technology Framework Approval	Approval of the proposed technology framework and infrastructure plan.
	User Community	Usability Feedback	Providing feedback on design prototypes to ensure usability and user experience standards.
	IT Department Leaders	Security Standards Setting	Setting security standards and protocols for the new system.
Development & Testing	Project Team Members	Development Progress Updates	Providing regular updates on development progress and any challenges encountered.
	User Community	Testing Participation and Feedback	Participating in testing phases and providing feedback on system functionality and performance.
Deployment	Department Leadership	Training Program Approval	Approval of training programs for staff to ensure effective system use and adoption.
	User Community	Early Adoption and Support	Leading early adoption efforts and providing peer support to facilitate broader system adoption.
OCM Tasks Across SDLC	Stakeholders	Change Impact Assessments	Participating in assessments to identify and mitigate potential impacts of the system change.
	All Stakeholders	Communication Plan Feedback	Providing feedback on communication plans to ensure clear and effective change messaging.
	All Stakeholders	Engagement and Feedback Mechanisms	Engaging in feedback mechanisms to continuously improve the change management process.

4.4.9. User Community Subject Matter Experts (SME)

The User Community is integral to the success of the OBIS Modernization Project (CIMS), ensuring that decisions reflect the needs and perspectives of end-users. Their contributions, especially in Organizational Change Management tasks, are vital for ensuring the system's relevance, usability, and adoption, ultimately contributing to the project's overall success.

SDLC Phase	Decision Type	Decision Maker	Description
Planning	Input on Operational Requirements	User Community	Providing insights into operational requirements to ensure the system design aligns with the practical needs of end-users.
Design	Feedback on System Design and Usability	User Community	Offering feedback on system design, focusing on usability, efficiency, and practicality from the end-user perspective.
Design	Recommendations for Accessibility Features	User Community	Suggesting accessibility features to ensure the system is inclusive and usable by all intended users.

SDLC Phase	Decision Type	Decision Maker	Description
Development	Participation in Prototyping Sessions	User Community	Engaging in prototyping sessions to offer real-time feedback on system features and functionality.
Testing	User Acceptance Testing (UAT) Participation	User Community	Actively participating in UAT to validate the system against user requirements and operational scenarios.
Testing	Reporting Bugs and Issues	User Community	Identifying and reporting bugs, issues, and usability challenges encountered during testing phases.
Deployment	Support in Training Material Development	User Community	Assisting in the development of training materials, ensuring they are comprehensive and tailored to user needs.
Deployment	Early Adoption and Peer Support	User Community	Leading by example as early adopters of the new system and providing peer support to encourage widespread adoption.
Monitoring	Ongoing Feedback and Improvement Suggestions	User Community	Offering ongoing feedback and suggestions for system improvements based on post-deployment experiences.
OCM Tasks	Feedback on Change Management Communications	User Community	Providing feedback on the effectiveness of change management communications and suggesting improvements.
OCM Tasks	Identification of Change Impact Areas	User Community	Identifying areas within daily operations that will be impacted by the system change, aiding in targeted OCM strategies.
OCM Tasks	Recommendations for User Engagement Strategies	User Community	Recommending strategies to engage users effectively throughout the change process, enhancing buy-in and minimizing resistance.

4.4.10. External Vendors

The External Vendor chart delineates the pivotal roles external vendors play across different stages of the OBIS Modernization Project (CIMS), from initial planning and design to development, testing, deployment, and organizational change management. Their expertise and decisions significantly contribute to the project's success, ensuring that both technical and change management objectives are effectively met. It is unknown at this time which, if any, vendor types will be involved.

SDLC Phase	Vendor Group	Decision Type	Description
Initiation	Consulting Firms	Feasibility Study and Initial Assessment	Conducting initial assessments to determine the project's feasibility and outline strategic recommendations.
Planning	Technology Vendors	Technology Selection and Proposal	Proposing technologies and tools that align with the project's technical requirements and goals.
	Consulting Firms	Project Management Framework Proposal	Suggesting project management methodologies and frameworks to guide the project's execution.
Design	Technology Vendors	System Architecture Design Input	Providing input on the system architecture design based on best practices and technological expertise.

SDLC Phase	Vendor Group	Decision Type	Description
	UI/UX Design Firms	User Interface Design Proposals	Proposing user interface designs that enhance usability and user experience.
Development & Testing	Software Development Firms	Custom Solution Development	Developing custom solutions and integrating existing technologies as per project specifications.
	Quality Assurance Vendors	Testing Strategy and Execution	Developing and executing testing strategies to ensure the system meets quality standards.
Deployment	Technology Vendors	Deployment Support and Training	Providing support during system deployment and training for IT staff and end-users.
	Consulting Firms	Change Management Support	Offering support for organizational change management to facilitate smooth system adoption.
OCM Tasks Across SDLC	Consulting Firms	OCM Strategy Development and Implementation	Developing and implementing strategies for managing organizational change throughout the project.
	All Vendors	Feedback and Adjustment Mechanisms	Providing mechanisms for continuous feedback and adjustments based on system performance and user feedback.

5. RESOURCE MANAGEMENT

OBIS Modernization Project will use a projectized organization. While there are different ways to organize the project team, the projectized structure enables dual support for the internal FDC’s project team while also operating alongside and overseeing the schedule, quality, and deliverables of the contracted OBIS Modernization Project team. Functional and matrix project organization structures are not suitable for the size and complexity of the OBIS Modernization Project (CIMS), as it will leverage contracted services through a single vendor

5.1. Project Team Roles and Responsibilities

5.1.1. Project Team Roles

In a projectized organization, the roles, and responsibilities of each of the individuals and groups are clearly defined. This helps to ensure that everyone is working towards the same goals and that the project is completed successfully.

Project Roles and Responsibilities	
Resource Role	Responsibility
OBIS Modernization Executive Sponsor	<ul style="list-style-type: none"> • Initiating the project: The project sponsor is responsible for identifying the need for the project and securing the necessary approvals to begin work. • Providing resources: The project sponsor is responsible for providing the project team with the resources they need, such as funding, staff, and equipment. • Overseeing the project: The project sponsor is responsible for monitoring the project's progress and ensuring that it is on track to meet its objectives. • Resolving issues: The project sponsor is responsible for resolving any issues that may arise during the project. • Communicating with stakeholders: The project sponsor is responsible for communicating with stakeholders throughout the project lifecycle to keep them informed of the project's progress and to address any concerns they may have. • Providing support: The project sponsor is responsible for providing support to the project team throughout the project lifecycle. This may include providing guidance, advice, and encouragement.
Executive Leadership Team	<ul style="list-style-type: none"> • Serves as a high-level oversight committee for the project. An Executive Leadership Team is responsible for: • Communication between Divisions or Agencies if the project is a multi-agency / Division project • Providing guidance on overall strategic direction • Champions the project at a senior level • Resolve strategic policy and policy issues • Drives and manages change through the organization • Prioritizes goals with other ongoing projects

Project Roles and Responsibilities	
Resource Role	Responsibility
OBIS Modernization Project Leadership Team	<ul style="list-style-type: none"> • Support a clear vision for the project: The project leadership team works together to define a clear vision for the project that everyone can understand and support. This vision should be aligned with the overall goals of the FDC. • Support the project effectively: The project leadership team must manage the project effectively by monitoring progress, resolving issues, and making necessary changes to the project plan as needed. • Encourage and help facilitate effective communication with stakeholders: The project leadership team must communicate effectively with stakeholders throughout the project lifecycle to keep them informed of the project's progress and to address any concerns they may have. • Help to resolve issues and risks: The project leadership team must help to resolve any issues and risks that may arise during the project. This may involve making changes to the project plan or allocating additional resources. • Provide support to ensure that the project is completed on time, within budget, and to the required quality standards: The project leadership team must ensure that the project is completed on time, within budget, and to the required quality standards. This may involve making changes to the project plan, allocating additional resources, or seeking expert advice.
OIT Leadership Team	<ul style="list-style-type: none"> • Select the right team members: The project leadership team should be composed of individuals who have the skills, experience, and expertise necessary to complete the project successfully. The team should also be diverse and have a variety of perspectives. • Define clear roles and responsibilities: Each member of the OIT leadership team should have a clear understanding of their role and responsibilities. This will help to ensure that everyone is working towards the same goals and that there is no confusion about who is responsible for what. • Communicate Cohesively: The OIT leadership team maintains the order of communications. Communications are aligned with the structure and maintains channels with the Sponsor and Program Manager. • Communicate effectively: The OIT leadership team must communicate effectively with each other and with stakeholders throughout the project lifecycle. This will help to ensure that everyone is on the same page and that any issues are resolved quickly and efficiently. • Be flexible: The OIT leadership team must be flexible and be willing to make changes to the project plan as needed. This is especially important when unexpected events or challenges arise. • Celebrate successes: It is important to celebrate successes along the way to keep the project team motivated and engaged. This will also help to build morale and team spirit. • Project Support: The OIT leadership team supports the Sponsor and Program Manager to achieve project success. The Team is aligned with the project organization and goals. • Technical Direction: Provide overall technical direction, resolving technical issues/conflicts, and other IT leadership roles for the Program.

<p>OIT Program Manager(s)</p>	<ul style="list-style-type: none"> • Defining the program scope, objectives, and deliverables: The program manager must work with stakeholders to define the program's scope, objectives, and deliverables. This will help to ensure that everyone is on the same page and that the program is aligned with the organization's overall goals. • Developing the program plan and schedule: The program manager must develop a plan that outlines the program's timeline, budget, and resources. The plan should be realistic and achievable. • Managing the program budget: The program manager is responsible for managing the program budget and ensuring that it is not exceeded. This may involve making changes to the project plan or requesting additional resources from stakeholders. • Monitoring and controlling the program's progress: The program manager must monitor the program's progress and make sure that it is on track to meet its objectives. This may involve tracking the program's budget, schedule, and deliverables. • Communicating with stakeholders: The program manager must communicate with stakeholders throughout the program lifecycle to keep them informed of the program's progress and to address any concerns they may have. • Resolving issues and risks: The program manager must resolve any issues and risks that may arise during the program. This may involve making changes to the project plan, allocating additional resources, or seeking expert advice. • Ensuring that the program is completed on time, within budget, and to the required quality standards: The program manager must ensure that the program is completed on time, within budget, and to the required quality standards. This may involve making changes to the project plan, allocating additional resources, or seeking expert advice. • The program manager is a critical role in any organization that manages multiple projects. By effectively managing the program, the program manager can help to ensure that the organization achieves its strategic goals. • Overseeing the work of project managers: The program manager oversees the work of project managers to ensure that they are working towards the program's objectives. This may involve providing guidance, advice, and support. • Promoting communication and collaboration: The program manager promotes communication and collaboration between project managers, stakeholders, and other members of the program team. This is essential for ensuring that everyone is on the same page and that the program is successful. • Monitoring and reporting on the program's performance: The program manager monitors and reports on the program's performance to stakeholders. This information can be used to identify any issues or risks and to make necessary changes to the program plan. • Continually improving the program: The program manager continually improves the program by identifying opportunities for improvement and implementing changes. This may involve changing the program's scope, objectives, or deliverables. • Communication: Primary POC for the Program, providing leadership and direction to the project managers and project teams, and managing vendor relationships.
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Project Roles and Responsibilities	
Resource Role	Responsibility
Vendor Project Manager	<ul style="list-style-type: none"> Oversight and overall direction of the Program, working directly with the FDC to ensure objectives are being met consistent with the Statement of Work (SOW). Assists with communications, change management, and training per the SOW. Provided by means of a contract. A vendor project manager provides support to the FDC Project Director in coordinating all activities for which the vendor and vendor staff is responsible. <p>Duties include:</p> <ul style="list-style-type: none"> Coordinate and manage vendor resources Develop the associated tasks and estimated effort hours for vendor resources Update hours in Project Plans Serve as primary POC for the vendor and subcontractors
Vendor Project Management Support	<ul style="list-style-type: none"> Oversight and overall direction of the Program, working directly with the FDC to ensure objectives are being met consistent with the Statement of Work (SOW). Assists with communications, change management, and training per the SOW.
Business Analysts	<ul style="list-style-type: none"> Business Analyst(s) will be provided by the vendor, for both business and technical roles. The Business Analyst analyzes and documents the current state business and technical processes. Develops an understanding of how present and future needs will impact the solution Identifies and documents the business and process requirements Develops acceptance criteria Determines the overall model and framework for the solution including screens and reports Develops use cases for testing. Facilitate Joint Application Design Sessions Maintain current status for the Requirements Traceability Matrix.
Training Manager	<ul style="list-style-type: none"> The Training Manager is responsible for seeing that end users will be ready for the new system as soon as it becomes available. Responsible for: Ensures that each future user of the system has the appropriate level of training Oversees all training Assembles a training plan that coordinates training activities for the new system Oversees development of new training courses and maintenance of existing ones including the creation of all training manuals and materials. Ensures that course objectives address end user responsibilities Reviews course feedback from students and follows up on problems where appropriate Manages the training budget Keeps the Business Manager informed of progress in training end users Identifies opportunities where existing training materials may be required Other training duties as assigned

Project Roles and Responsibilities	
Resource Role	Responsibility
Testing & Quality Control	<ul style="list-style-type: none"> • A Group or Individuals that ensure the quality of the application. This group looks at the quality of the application from the following standpoints: Requirements, integration, performance, functionality, quality of data migrated, interface acceptability. <p>This group is responsible for:</p> <ul style="list-style-type: none"> • Leads Alpha Testing, Beta Testing, and Systems Testing. • Documents all test plans. • Performs stress, configuration, and performance testing. • Creates all test scripts for automated Regression testing. • Creates and monitors load testing outcomes • If manual testing is done, creates/documents all test scenarios, test logs, and test outcomes
Organizational Change Management Manager	<ul style="list-style-type: none"> • An individual who assists with management and the organization in understanding and implementing change. Responsible for: • Works with management to define business objectives and strategies that provide the motivation for change • Determines the details of each change, including its cost, risk, and impact on the organization • Develops a change management plan that sequences and organizes planned changes • Develops a strategy and publicity campaign for selling changes to the organization • Works with business units to help them understand, prepare for, and implement planned changes
Contract Manager	<ul style="list-style-type: none"> • Licensing • Overseeing the planning of projects and ensuring that they are programmed to a certain level of detail • Making sure that the procurement and reconciliation of materials are executed accordingly and accurately • Examining and/or assessing risks and coming up with suggestions and recommendations through which they can be minimized • Crafting, evaluating, negotiating, and executing a wide variety of different contracts covering a range of transactions • Serve as the primary Point of contract for all contract-related items • Monitor activities and ensure receipt of deliverable in accordance with contract terms
Procurement	<ul style="list-style-type: none"> • Developing and executing purchasing strategies that align with project requirements and company goals • Finding and hiring reliable and profitable suppliers and vendors • Negotiating contracts, terms, and deadlines with external parties • Monitoring and updating relevant FDC divisional market trends, price fluctuations, and vendor performance • Processing purchase orders and managing the flow of goods

Project Roles and Responsibilities	
Resource Role	Responsibility
Technical Contract Negotiator	<p>An individual who negotiates the acquisition of hardware and software, including application packages, from computer technology vendors.</p> <p>Responsible for:</p> <ul style="list-style-type: none"> • Coordinates with vendors of computer technology and with the business areas which will use the technology • Understands business requirements • Negotiates initial agreement • Structures the terms and conditions of the deal • Develops the contract • Oversees the final sign-off • Collaborates with the Contract Manager
Subject Matter Experts	<p>An expert that is very knowledgeable in a specific business area.</p> <p>Responsible for:</p> <ul style="list-style-type: none"> • Communicating all business rules to the Business Analyst for documentation and inclusion in the project. • Ensuring that the project addresses the needs and functionality required by the business area. • Guidance during project construction for any areas needing clarification.
Stakeholders	<p>Stakeholders are specific users or groups who are affected by the outcome of the project.</p> <p>Responsible for:</p> <ul style="list-style-type: none"> • Monitoring project progress areas that affect their business. • Adjusting internal business practices to effectively correspond with the changes taking place because of the project.

Project Roles and Responsibilities	
Resource Role	Responsibility
UAT Testers	<ul style="list-style-type: none"> • Thoroughly review project requirements, business specifications, and the corresponding system features to ensure completeness and correctness. • Participate in requirement walkthroughs and clarifications with business analysts and stakeholders. • Review User Acceptance test plans to ensure completeness and correctness for business rule implementation and functionality expectations. • Coordinate with test team to ensure proper data scenarios to ensure complete testing of system functionality. • Identify, document, and report any defects, discrepancies, or issues found during testing in a defect tracking system. • Work closely with the development team to reproduce issues, provide detailed information, and verify fixes. • Re-test the resolved defects to ensure that fixes are properly implemented and do not introduce new issues. • Perform regression testing to validate that recent changes have not adversely affected existing functionalities. • Participate in status meetings as required, providing detailed reports and insights on the current state of UAT. • Assist in developing user training materials and guides based on the system's functionalities and user requirements. • Support end-users during the UAT phase addressing any queries or challenges they encounter.

5.1.2. Technical Team Roles

Technical Team Project Roles and Responsibilities	
Resource Role	Responsibility
Enterprise Architect	<ul style="list-style-type: none"> • Coordinates the development and maintenance of architectures and models resulting from multiple projects or from different persons within one project. Normally an individual is responsible for model management on a corporate or divisional level, and for each project a team member (most often a developer) is assigned this Role. Responsible for: <ul style="list-style-type: none"> • Coordinates and controls business and application model development, maintenance, and support activities • Arbitrates resolutions to inter model conflicts • Develops and maintains business data/process stewardship Role responsibilities and assignments • Audits models to ensure their quality and integrity • Ensures that each project information requirements will provide optimal benefits to the organization • Coordinate information concerning existing systems and projects that may prove beneficial to an individual project • Ensures that the security and privacy of data is properly maintained.
Data Architect Lead	<ul style="list-style-type: none"> • Designing every aspect of the data warehouse (hub).

Technical Team Project Roles and Responsibilities

Resource Role	Responsibility
	<ul style="list-style-type: none"> Identifying installation solutions for new data hub tools. Determining the requirements for the data hub Publishing and/or presenting design reports. Identifying areas for improvement in current systems. Coordinating with other team members to reach project milestones and deadlines. Auditing data warehouse regularly to maintain quality. Creating systems to keep data secure Curating data from a single source of truth to ensure quality reporting
Enterprise Data Architect	<ul style="list-style-type: none"> Responsible for overseeing data architecture alignment Manage Data Flow throughout the data warehouse Mitigation of risks related to data Data Strategy Development: Define and implement the enterprise data architecture strategy, ensuring alignment with business objectives and IT infrastructure. Data Warehouse Design: Lead the design and development of the data warehouse, ensuring it supports the efficient storage, retrieval, and management of large volumes of structured and unstructured data. Data Modeling: Develop and maintain logical and physical data models, ensuring they are optimized for performance, scalability, and reliability. Data Governance: Establish and enforce data governance policies, ensuring data quality, consistency, and security across the organization. Integration and Interoperability: Design and oversee the integration of diverse data sources into the data warehouse, ensuring seamless data flow and interoperability between systems. Performance Optimization: Continuously monitor and optimize the performance of the data warehouse and associated systems to meet the evolving needs of the organization. Collaboration: Work closely with stakeholders, including software developers, business analysts, and IT leadership, to understand data requirements and translate them into effective data architecture solutions. Technology Evaluation: Evaluate and recommend data management tools, technologies, and methodologies to support the data architecture and meet the project's requirements. Compliance and Security: Ensure that all data architecture practices comply with relevant regulations, data privacy laws, and organizational security standards.
Data Warehouse Team	<ul style="list-style-type: none"> Analyze, classify, and maintain the organization's metadata. <p>Responsible for:</p> <ul style="list-style-type: none"> Analyzes current data and determines "hidden" business rules that appear in the data. Assisting in the specification creation for application reports to be generated Creates the data migration mapping from old system to new system Leads Data Conversion effort Leads Data Pipeline Analysis, Design, Creation, and Implementation

Technical Team Project Roles and Responsibilities

Resource Role	Responsibility
IV&V [Gartner Group]	<ul style="list-style-type: none"> • IV&V provides management with an independent perspective on project activities and promotes early detection of project/product variances. This allows the project to implement corrective actions to bring the project back in-line with agreed-upon expectations. Objectives of performing IV&V include: • Facilitate early detection and correction of cost and schedule variances • Enhance management insight into process and product risk • Support project life cycle processes to ensure compliance with regulatory, performance, schedule, and budget requirements • Validate the project's product and processes to ensure compliance with defined requirements • Verification of requirement against defined specifications • Verification of design against defined specifications • Verification of product code against defined standards • Verification of terms, conditions, payment, against contracts
Vendor Technical Team	<p>A technical team provided by the vendor that provides detailed technical / coding services to the project effort.</p> <p>Responsible for:</p> <ul style="list-style-type: none"> • Develops detailed technical specifications; writes computer programs • Develops the logical and physical design of the database diagram • Evaluates software solutions • Develops the Prototype screen shots (if using). • Creates middle tier logic as required. • Develop the conceptual system design, codes business requirements
OBIS Mainframe Team	<ul style="list-style-type: none"> • Maintain current OBIS system and infrastructure to support FDC users until new system is available. • Provide documentation and other technical support to the CIMS technical teams and SMEs.
Security Team(s) FDC / Vendor	<ul style="list-style-type: none"> • The FDC security team holds extensive responsibilities in ensuring compliance with relevant statutes, policies, and procedures. As agreed upon in the contract terms, it is imperative that all vendors fully understand these regulations and adhere to them rigorously, ensuring full compliance with both the agency's and external security standards. • Security and oversight of access administration • Assists with Installing, administering, and troubleshooting network security solutions. • Assists with updating software with the latest security patches and ensuring the proper defenses are present for each network resource. • Future: Performing vulnerability and penetration tests, identifying, and defending against threats, and developing disaster recovery plans. • Ensuring all security contracts and protocols are in place. • Ensuring compliance with all relevant federal, state, and FC policies, requirements. • Monitoring, oversight, and audit of all security-related items. • Identify and document potential threats, attack vectors, and vulnerabilities in the system.

Technical Team Project Roles and Responsibilities	
Resource Role	Responsibility
	<ul style="list-style-type: none"> • Develop and maintain threat models to understand the security posture of the application. • Conduct risk assessments to evaluate the potential impact and likelihood of identified threats. • Prioritize risks based on their potential impact on the organization and the likelihood of occurrence. Develop mitigation strategies and action plans to address these identified risks. • Review and evaluate the system architecture to ensure it meets security requirements and best practices. Provide security recommendations for design patterns, frameworks, and technologies used in the project. • Ensure security requirements are integrated into the software development lifecycle (SDLC). • Ensure that encryption, authentication, authorization, and other security mechanisms are properly implemented. Work with developers as required to integrate security controls into the application code. • Develop and execute security test plans, including static and dynamic analysis. • Develop and maintain incident response plans and procedures.
Networking Administrators	<ul style="list-style-type: none"> • The Network Administrator is responsible for configuration and management of the communications network. The successful Network Administrator will organize the functions of the network so that the user doesn't even know it is there. <p>Responsible for:</p> <ul style="list-style-type: none"> • Network Problem determination • Performance analysis • Problem management • Configuration management such as configuring the network to protocol and bandwidth specs • User support (training and documentation) • Security and access administration • Planning • Maintenance and service • Ensures connectivity and communication among networks, servers, and clients • Evaluates connectivity requirements for applications • Installs and upgrades operating system software • Develops, implements, and maintains backup and recovery plans • Administers network security • Provides access to shared directories for local and remote access
Vendor Technical Lead	<p>Provided from the vendor. Responsible for:</p> <ul style="list-style-type: none"> • Oversees all technical aspects of the project. • Works closely with the project manager to ensure that all business requirements are technologically feasible • Ensures that all environments are appropriately established and configured. • Serves as "resident expert" for all technologies and languages used. • Provides support to the Vendor or OIT Manager

Technical Team Project Roles and Responsibilities	
Resource Role	Responsibility
Help Desk	<p>The Help Desk provides first line of contact between business user and technical staff for technical problems. Responsible for:</p> <ul style="list-style-type: none"> • Logging requests into an electronic tracking media • Initial troubleshooting and diagnosis of problems • Refers to appropriate technical staff to resolve problems • Reset passwords
Technical Writer	<ul style="list-style-type: none"> ▪ Creates and maintains all technical documentation. ▪ Collaborate with business analysts project managers, and developers to understand project requirements and technical specifications. ▪ Review and interpret technical documentation, user requirements, and system architecture to gain a comprehensive understanding of the project. ▪ Write and maintain user manuals, online help, and other technical documentation. ▪ Create API documentation, technical specifications, and system architecture documents. ▪ Develop tutorials, FAQs, and knowledge base articles for end-users and support teams. ▪ Interview subject matter experts (SMEs), developers, and other stakeholders to gather information. ▪ Review project documentation, design documents, and system specifications to ensure accuracy. ▪ Edit and proofread technical content for clarity, consistency, and accuracy. ▪ Ensure that documentation adheres to organizational standards and style guides. ▪ Organize and manage documentation repositories and version control systems. ▪ Ensure that documentation is up-to-date and reflects the latest product changes. ▪ Design and structure documentation to improve user comprehension and usability. ▪ Incorporate feedback from users and stakeholders to continuously improve documentation quality. ▪ Work closely with development, QA, and support teams to ensure comprehensive documentation. ▪ Participate in project meetings and provide updates on documentation progress.

5.2. Project Team RACI Charts

In the comprehensive endeavor to develop the Correctional Inmate Management System (CIMS) for the Florida Department of Corrections, employing a RACI diagram stands as a strategy for ensuring clear communication and efficient project execution among the various stakeholders involved in the development of complex systems across the project lifecycle.

RACI, an acronym for **R**esponsible, **A**ccountable, **C**onsulted, and **I**nformed, delineates the roles and responsibilities of each project participant across various tasks and decision-making processes. This methodology is utilized in

project management to aid in identifying and assigning clear ownership for tasks and deliverables, thereby minimizing confusion and overlapping efforts. Definitions and components are:

- **Responsible (R):** Individuals or groups who do the work to achieve the task. There's at least one Responsible party, but others can be delegated to help with the work.
- **Accountable (A):** The person who is ultimately answerable for the correct and thorough completion of the task. There must be exactly one Accountable specified for each task or deliverable, and this person must have the authority to approve or reject the work.
- **Consulted (C):** Those whose opinions are sought; typically, subject matter experts or stakeholders with a particular interest in the task. This is a two-way communication.
- **Informed (I):** Those who are kept up to date on progress, often only on completion of the task or deliverables. This is a one-way communication.

The utilization of a RACI diagram brings numerous benefits which are vital for the success of large-scale software development projects like CIMS:

- **Improved Efficiency:** By clearly defining roles and responsibilities, projects can move forward more smoothly without the need for constant clarification of who needs to do what.
- **Enhanced Collaboration:** A RACI chart promotes better collaboration among team members and stakeholders by establishing clear communication channels.
- **Reduced Conflicts:** Clarifying roles and responsibilities upfront reduces the potential for conflict over task ownership and decision-making authority.
- **Increased Transparency:** Stakeholders and team members have a clear understanding of their roles and how they contribute to the project, increasing transparency and trust in project management processes.
- **Better Resource Allocation:** The chart helps project managers identify where resources are needed most and assign tasks according to team members' strengths and capacities, optimizing project workflows.

Given the complexity and the breadth of stakeholders involved—ranging from software developers to Departmental officials—a detailed RACI broken down by Project Stakeholder Groups is necessary. This tailored approach not only ensures that all parties are appropriately engaged and informed but also facilitates a structured and systematic progression towards the project's objectives, ultimately contributing to the timely and successful implementation of the CIMS project.

Note: for readability, the Executive Leadership Team (ELT) and Project Leadership Team (PLT) will be grouped together under the heading SMT – Senior Management Team in the following RACI charts.

5.2.1. Detailed RACI Chart for Systems Integrator Procurement

Procuring a Systems Integrator for a significant software development project, such as the one for the FDC, involves a series of critical steps to ensure that the chosen partner can meet the project's needs effectively. This task requires careful coordination among various stakeholders to select a systems integrator capable of delivering the required technology solutions and integrating them seamlessly with existing systems. Below is a detailed RACI chart outlining the roles and responsibilities of different stakeholders in the procurement process.

Activities	SMT	PM	PO	IT	BA	Legal	FD	Sec	EU
1. Define Procurement Criteria		A	R	C	C	C	C	C	C
2. Issue Request for Proposal (RFP)		R	A	C	C	C		C	
3. Evaluate Technical Proposals		R	C	A	C			C	C
4. Assess Compliance and Legal Requirements		C	C			A			
5. Review Financial Proposals		C	R				A		
6. Conduct Security Evaluations		C		C				A	
7. Compile Evaluation Reports and Recommendations	C	A	R	C	C	C	C	C	C
8. Negotiate Terms and Conditions		R	A		C	A	C	C	
9. Finalize and Approve Contract	A	C	R			A	C		
10. Communicate Procurement Decision		A	C	C	C	C	C	C	I

Stakeholders:

- **Senior Management Team (SMT)** : Provides oversight and final approval for the procurement decision.
- **Program Manager (PM)** : Leads the procurement process, ensuring it aligns with project goals and timelines.
- **Procurement Officer (PO)**: Manages the procurement procedures, including tendering, negotiation, and contract signing.
- **IT Department (IT)**: Assesses technical requirements and evaluates the technical capabilities of potential systems integrators.
- **Business Analysts (BA)**: Defines business requirements and assesses how well potential systems integrators understand these requirements.
- **Legal and Compliance Team (Legal)**: Ensures the procurement process and the contracts comply with legal standards and regulations.
- **Finance Department (FD)**: Assesses the financial viability of potential systems integrators and oversees budget implications.
- **Security Team (Sec)**: Evaluates the security protocols and practices of potential systems integrators.
- **End Users (EU)**: Provide input on operational needs and may participate in evaluating the systems integrator's ability to meet these needs.

5.2.2. Detailed RACI Chart for Defining Project Scope & Vision

To focus specifically on the task of "Defining Project Scope & Vision" for the large-scale software development project for the FDC, let's break down this task into more granular activities and assign roles in a detailed RACI chart. This will ensure clarity and accountability at each step of defining the project's scope and vision.

Activities	SMT	PM	EA	BA	Legal	IT	EU	CMS
1. Identify Strategic Objectives	A	R		C			C	C
2. Gather Initial Requirements		R		A		C	A	
3. Review Technical Feasibility		C	A	C		A		
4. Draft Project Vision Document		A	C	R	C	C	C	C
5. Ensure Compliance & Legal Review	C	C		C	A			
6. Finalize and Approve Scope & Vision	A	R		C	C	C	C	C
7. Communicate Scope & Vision to Stakeholders		A	C	C		C	C	A

Stakeholders:

- **Senior Management Team (SMT)** : Provides strategic direction and approves the project scope and vision.
- **Program Manager (PM)** : Coordinates the activity to define scope and vision, ensuring alignment with objectives.
- **Enterprise Architect (EA)** : Advises on technical feasibility and alignment with architectural standards.
- **Business Analyst (BA)** : Gathers business requirements and helps articulate the business aspects of the project vision.
- **Legal and Compliance Team (Legal)**: Ensures that the project scope and vision comply with relevant laws and regulations.
- **IT Department (IT)** : Provides insights on technological capabilities and constraints.
- **End Users (EU)** : Represent the needs and requirements of the system's eventual users, offering practical insights.
- **Change Management Specialist (CMS)**: Considers the implications of scope and vision on organizational change and user adoption.

5.2.3. Detailed RACI Chart for Architectural Framework Setup

For the task of setting up the architectural framework for a large-scale software development project at the FDC it's essential to define detailed activities and assign clear roles and responsibilities to the relevant stakeholders. An architectural framework provides the structure that guides the development of IT systems in terms of software architecture, technologies, and methodologies. This detailed RACI chart focuses on this critical early phase of the project.

Activities	SMT	PM	EA	IT	Sec	BA	DT	Legal	EC
1. Define Architectural Standards		C	A	C	C	C	C	C	R
2. Align Framework with Business Objectives	A	R	C			A			C
3. Review Existing IT Infrastructure		C	R	A			C		C
4. Define Security Requirements		C	A	C	A			C	C
5. Select Core Technologies and Tools		R	A	C	C	C	C	C	R
6. Develop Integration Strategies		C	A	R	C	C	A		C
7. Ensure Regulatory Compliance		C	C					A	C
8. Draft Architectural Framework Document		R	A	C	C	C	C	C	C
9. Review and Approve Framework Document	A	C	R	C	C	C	C	C	
10. Communicate Framework to Project Team		A	C	I	I	I	I		
11. Train Staff on New Technologies and Tools		R	C	A					C
12. Establish Monitoring and Evaluation Plan		R	A	C	C	C	C	C	C

Stakeholders:

- **Senior Management Team (SMT):** Provides strategic direction and ensures alignment with organizational goals.
- **Program Manager (PM):** Coordinates the architectural framework setup and ensures alignment with the project timeline and objectives.
- **Enterprise Architect (EA):** Leads the development and implementation of the architectural framework.
- **IT Department (IT):** Provides technical support and ensures the architectural framework aligns with existing IT infrastructure.
- **Security Team (Sec):** Ensures the architectural framework adheres to security policies and standards.
- **Business Analyst (BA):** Ensures the framework supports business requirements and processes.
- **Data Team (DT):** Ensures the framework supports data management, quality, and integration needs.
- **Compliance and Legal Team (Legal):** Reviews the framework for compliance with legal and regulatory standards.
- **External Consultants (EC):** Provide expert advice on architectural frameworks, best practices, and emerging technologies.

5.2.4. Detailed RACI Chart for AI Model Development

For the task of AI Model Development within a large-scale software development project for the FDC, it's crucial to define specific activities and establish clear roles and responsibilities for each involved stakeholder. AI model development involves various phases, including planning, data preparation, model building, testing, and deployment. This detailed RACI chart aims to outline these phases and the stakeholders' involvement in each.

Activities	SMT	PM	AI Team	DT	IT	Sec	Legal	BA	EU
1. Define AI Model Objectives	A	R	C	C				A	C
2. Data Collection and Preparation		C	R	A		C	C		
3. Select Modeling Techniques		C	A					C	
4. Build and Train Models		C	A	R					
5. Validate Models with End Users		C	R					C	A
6. Review Model for Security Compliance		C	C			A	C		
7. Legal and Regulatory Compliance Check		C	C			C	A		
8. Deploy Models to Production Environment		R	A		A	C	C		C
9. Monitor and Update Models		R	A		C	C	C		C
10. Provide Training to End Users		R	C						A

Stakeholders:

- **Senior Management Team (SMT)** : Sets the overall strategic direction and approves major decisions.
- **Program Manager (PM)** : Oversees the project's progress, ensuring milestones are met and resources are allocated efficiently.
- **AI Team**: Responsible for designing, building, and testing the AI models.
- **Data Team (DT)**: Manages data collection, cleaning, and preparation activities.
- **IT Department (IT)**: Provides the necessary infrastructure and technical support.
- **Security Team (Sec)**: Ensures the AI models and data handling comply with security policies and regulations.
- **Compliance and Legal Team (Legal)**: Reviews the AI development process to ensure compliance with legal and regulatory standards.
- **Business Analyst (BA)**: Gathers and defines the project requirements from a business perspective.
- **End Users (EU)**: Provide feedback and validation to ensure the AI models meet operational needs.

5.2.5. Detailed RACI Chart for Data Warehouse Implementation

For the task of Data Warehouse Implementation within a large-scale software development project for the FDC, a detailed RACI chart is essential to outline the specific roles and responsibilities across different phases such as planning, design, development, testing, and deployment. This clarity ensures all stakeholders are aligned, and each phase progresses smoothly towards the successful implementation of the data warehouse.

Activities	SMT	PM	DT	IT	Sec	Legal	BA	EU
1. Define Business Requirements		R					A	C
2. Plan Data Warehouse Architecture		A	R	C	C	C	C	
3. Design Data Models and Schemas		C	A				R	C
4. Ensure Security Measures and Compliance	C	R	C	C	A	C		
5. Select and Acquire Necessary Technologies	C	A	R	A	C	C		
6. Develop and Integrate Data Warehouse		A	A	R	C	C	C	C
7. Test Data Warehouse Functionality		R	A	C	C	C	C	A
8. Train End Users on Data Warehouse Use		R	C					A
9. Deploy Data Warehouse		A	R	A	C	C		C
10. Monitor and Optimize Performance		A	A	R	C	C		C

Stakeholders:

- **Senior Management Team (SMT):** Sets strategic direction and ensures the project aligns with organizational goals.
- **Program Manager (PM):** Oversees the overall implementation process, ensuring milestones are met within budget and time constraints.
- **Data Team (DT):** Leads the design, development, and management of the data warehouse.
- **IT Department (IT):** Provides technical support and infrastructure setup.
- **Security Team (Sec):** Ensures data warehouse security standards are met.
- **Compliance and Legal Team (Legal):** Ensures the data warehouse meets regulatory compliance standards.
- **Business Analysts (BA):** Define business requirements and ensure the data warehouse meets these needs.
- **End Users (EU):** Provide feedback and requirements from a user perspective.

5.2.6. Detailed RACI Chart for Data Analysis Protocols

Developing Data Analysis Protocols for a large-scale software development project, like the one for the FDC, requires a structured approach to ensure the data analysis aligns with project objectives and delivers actionable insights. The Data Analysis Protocols task involves establishing methodologies, tools, and practices for analyzing the vast amounts of data the project will generate or utilize. This detailed RACI chart will outline the roles and responsibilities of various stakeholders in this process.

Activities	SMT	PM	DT	IT	BA	Legal	Sec	EU
1. Define Data Analysis Objectives	A	R	C		A			C
2. Select Data Analysis Methodologies		C	A		R			
3. Approve Data Analysis Tools	C	A	R	A				
4. Ensure Compliance with Data Policies		C	C			A	A	
5. Develop Data Security Protocols		C	C	A		C	A	
6. Conduct Pilot Data Analysis		R	A		C			C
7. Validate Analysis Results with End Users		C	R		C			A
8. Refine Data Analysis Protocols		A	A		R			C
9. Implement Full-Scale Data Analysis		A	A		C			C
10. Review and Adjust Analysis Based on Feedback	C	R	A		C			A

Stakeholders:

- **Senior Management Team (SMT):** Provides strategic oversight and ensures the analysis supports broader organizational goals.
- **Program Manager (PM):** Manages the overall process, ensuring that data analysis protocols align with project timelines and objectives.
- **Data Team (DT):** Executes the data analysis, including selecting methodologies, tools, and conducting the analysis.
- **IT Department (IT):** Supports with necessary infrastructure and software tools for data analysis.
- **Business Analysts (BA):** Defines business requirements and ensures that data analysis meets these needs.
- **Compliance and Legal Team (Legal):** Ensures data analysis practices comply with legal and regulatory standards.
- **Security Team (Sec):** Ensures data is analyzed and stored securely, protecting sensitive information.
- **End Users (EU):** Provide input on the practicality of data analysis outputs and may use the insights for decision-making.

5.2.7. Detailed RACI Chart for Implementing Change Management

Implementing Change Management in a large-scale software development project, especially for an organization like the FDC, is a critical task. It ensures that all stakeholders are prepared for, and adapt to, the changes introduced by the new system. Effective change management minimizes resistance, maximizes engagement, and ensures a smooth transition to new processes and technologies. Below is a detailed RACI chart outlining the roles and responsibilities of various stakeholders in this process.

Activities	SMT	PM	CMS	HR	IT	BA	Legal	FD	Sec	EU
1. Develop Change Management Plan	C	A	R			C				I
2. Assess Organizational Readiness		R	A	C	C	C				C
3. Design Training Programs		C	A	A	C	C				R
4. Communicate Change to Stakeholders	C	R	A							A
5. Implement Changes in Systems and Processes		A	R		A	R			C	I
6. Monitor and Address Resistance		A	A							R
7. Evaluate Legal and Compliance Impacts		C	C			C	A			
8. Manage Financial Implications		C	C					A		
9. Ensure Security Protocol Alignment		C	C		A				A	
10. Conduct Post-Implementation Review	A	R	A	C	C	C	C	C	C	A

Stakeholders:

- **Senior Management Team (SMT):** Provides overall strategic direction and support for change management initiatives.
- **Program Manager (PM):** Oversees the implementation of change management strategies and ensures alignment with project goals.
- **Change Management Specialist (CMS):** Develops and executes the change management plan, including communication, training, and support activities.
- **HR Department (HR):** Supports organizational and personnel changes, including training and adjustments to roles and responsibilities.
- **IT Department (IT):** Ensures technical support for changes in systems and processes.
- **Business Analysts (BA):** Analyze business processes and recommend changes to improve efficiency and effectiveness.
- **Legal and Compliance Team (Legal):** Ensures all changes comply with legal and regulatory standards.
- **Finance Department (FD):** Assesses the financial impact of changes and manages budget adjustments.
- **Security Team (Sec):** Evaluates and advises on security implications of changes.
- **End Users (EU):** The staff and officers who will directly interact with the new system; their feedback is crucial for adjusting the change management plan.

5.2.8. Detailed RACI Chart for Business Capability Analysis

Conducting a Business Capability Analysis for a significant project like the one at the FDC is essential for understanding the organization's abilities to meet strategic objectives, identifying gaps, and planning improvements. This analysis involves assessing existing capabilities, determining needs based on project goals, and aligning capabilities with the strategic direction of the project. A detailed RACI chart for this process outlines the roles and responsibilities of various stakeholders.

Activities	SMT	PM	IV&V	IT	HR	FD	Ops	Legal	Sec	EU
1. Define Capability Analysis Scope	A	R	C	C	C	C	C	C	C	C
2. Map Existing Capabilities		R	A	C			C		C	C
3. Identify Capability Gaps		R	A	C	C	C	C	C	C	C
4. Assess IT Infrastructure Needs		C	R	A					C	
5. Evaluate Organizational Change Needs		C	A		A					C
6. Analyze Financial Requirements		C	R			A				
7. Ensure Compliance with Regulations		C	C					A	C	
8. Review Security Implications		C	R	C					A	
9. Develop Capability Improvement Plan	C	A	A	R	R	R	R	R	R	C
10. Present Analysis Findings and Recommendations	A	R	A	C	C	C	C	C	C	I

Stakeholders:

- **Senior Management Team (SMT):** Sets the strategic direction and priorities for the organization and the project.
- **Program Manager (PM):** Coordinates the business capability analysis process and integrates its outcomes with the overall project plan.
- **Independent Verification & Validation (IV&V):** Leads the effort in conducting the analysis, including mapping existing capabilities, identifying gaps, and recommending improvements.
- **IT Department (IT):** Provides insights into current IT capabilities and technological constraints.
- **Human Resources (HR):** Assesses and advises on organizational change and development needs.
- **Finance Department (FD):** Evaluates financial implications of current and future capabilities.
- **Operations Team (Ops):** Offers insights into operational capabilities and constraints.
- **Compliance and Legal Team (Legal):** Ensures that capability development aligns with regulatory requirements and standards.
- **Security Team (Sec):** Assesses the security aspects of business capabilities.
- **End Users (EU):** Provide feedback on current capabilities and identify practical needs and challenges.

5.2.9. Detailed RACI Chart for Defining Prison Sentence Structure

Defining the prison sentence structure within the context of a large-scale software development project for the FDC involves a collaborative effort to ensure that the software accurately reflects legal requirements, operational needs, and rehabilitative objectives. This task requires input from various stakeholders to capture all necessary details and to support the effective management of inmate sentences. Below is a detailed RACI chart outlining the roles and responsibilities of various stakeholders in this process.

Activities	SMT	PM	Legal	Ops	IT	CO	RS	IV&V
1. Define Legal Requirements	C	R	A					C
2. Determine Operational Needs		R		A		C	C	C
3. Assess Technological Capabilities		A			A			R
4. Integrate Rehabilitation Objectives	C	R		C			A	C
5. Develop Initial Sentence Structure Model		R	R	R	C	C	R	A
6. Validate Model with Admissions & Release		R		C		C		A
7. Refine Model Based on Feedback		R	C	R	R	C	C	A
8. Finalize and Approve Sentence Structure	A	C	R	C				R
9. Implement Sentence Structure in Software		A			A			R
10. Train Staff on New Sentence Structures		R		A		A	A	C

Stakeholders:

- **Senior Management Team (SMT):** Sets overarching policies and ensures alignment with organizational goals and legal standards.
- **Program Manager (PM):** Coordinates the activities and ensures the project stays on track and meets its objectives.
- **Legal and Compliance Team (Legal):** Provides expert advice on legal requirements related to sentencing guidelines and compliance issues.
- **Operations Team (Ops):** Offers insights into the operational feasibility and practical application of the sentence structure within prison facilities.
- **IT Department (IT):** Ensures the software can technically support the defined sentence structures and integrates them with existing systems.
- **Corrections Officers (CO):** Offer frontline perspectives on how sentence structures affect day-to-day operations and inmate management.
- **Rehabilitation Specialists (RS):** Provide input on how sentence structures can support rehabilitation goals and inmate reintegration.
- **Independent Verification & Validation (IV&V):** Analyze requirements and ensure the software solution meets the operational and legal needs for sentence management.

5.2.10. Detailed RACI Chart for System & Integration Testing

System and Integration Testing is a crucial phase in a large-scale software development project, ensuring that all components of the software work together as intended and meet the project requirements. This phase involves verifying the interactions between different parts of the system, including external dependencies, to identify and address any issues before the system goes live. Below is a detailed RACI chart outlining the roles and

responsibilities of various stakeholders in the process of system and integration testing for a project like the one for the FDC.

Activities	SMT	PM	QA	IT	BA	Dev	Ops	Sec	EU
1. Plan Testing Strategy		A	R	C	C			C	
2. Define Test Cases		R	A		A		C	C	C
3. Setup Test Environment		C	R	A				C	
4. Execute System Tests		R	A	C	C			C	
5. Execute Integration Tests		R	A	C	C	R	C	C	
6. Document and Review Test Results		R	A		R	R		C	C
7. Address Identified Issues		C	C			A			
8. Conduct Security and Compliance Checks		R	C		C	C		A	
9. Perform User Acceptance Testing (UAT)		R	C		A				A
10. Finalize Testing and Sign-off	A	R	R		R			C	R

Stakeholders:

- **Senior Management Team (SMT)** : Provides strategic direction and resources for the testing phase.
- **Program Manager (PM)** : Oversees the planning and execution of the testing phase, ensuring it aligns with the project timeline and objectives.
- **Quality Assurance Team (QA)** : Executes the testing plans, including writing and running tests, and documenting results.
- **IT Department (IT)** : Provides technical support, including environment setup and maintenance for testing purposes.
- **Business Analysts (BA)** : Define test cases based on business requirements to ensure the system meets all operational needs.
- **Development Team (Dev)** : Addresses bugs and issues identified during testing, making necessary code adjustments.
- **Operations Team (Ops)** : Provides insights into the operational environment and assists with creating realistic test scenarios.
- **Security Team (Sec)** : Ensures the testing phase includes security protocols and compliance checks.
- **End Users (EU)** : Participate in user acceptance testing to validate that the system meets their needs and expectations.

5.2.11. Detailed RACI Chart for Training & Documentation

Training and Documentation are pivotal components in a large-scale software development project, especially for complex systems like those developed for the FDC. Effective training ensures that all users are proficient in using the new system, while comprehensive documentation supports ongoing use, troubleshooting, and future training needs. Below is a detailed RACI chart outlining the roles and responsibilities of various stakeholders in the process of training and documentation for such a project.

Activities	SMT	PM	TT	DS	IT	BA	QA	Ops	Sec	EU
1. Define Training Requirements		R	A			C		C	C	C
2. Develop Training Materials		R	A	C	C	C	C	C	C	I

Activities	SMT	PM	TT	DS	IT	BA	QA	Ops	Sec	EU
3. Create Documentation		R	C	A	C	A	C	C	C	I
4. Review Training Materials and Documentation		A	C	R		C	A	C	C	C
5. Conduct Training Sessions		R	A			C		C	C	A
6. Collect Feedback on Training		A	R			C	C	C		A
7. Update Training Materials and Documentation		A	A	R	C	R	C	C	C	I
8. Ensure Accessibility of Documentation		R		A	A					I
9. Train IT Support Staff		R	A		A	C			C	
10. Final Review and Approval	A	C	R	R		C	A	C	C	

Stakeholders:

- **Senior Management Team (SMT):** Ensures training and documentation align with organizational goals and standards.
- **Program Manager (PM):** Oversees the development and execution of training programs and the creation of documentation, ensuring they meet project timelines and objectives.
- **Training Team (TT):** Develops and delivers training sessions to end users and staff, based on the functionalities and workflows of the new system.
- **Documentation Specialist (DS):** Creates and maintains comprehensive user manuals, guides, and online help systems for the new software.
- **IT Department (IT):** Provides technical support for training environments and contributes technical content to documentation.
- **Business Analysts (BA):** Ensure that training and documentation accurately reflect business processes and user requirements.
- **Quality Assurance Team (QA):** Will review training materials and documentation for accuracy, comprehensibility, and completeness.
- **Operations Team (Ops):** Offers insights into operational workflows to be covered in training and documentation.
- **Security Team (Sec):** Ensures that training and documentation include necessary security protocols and compliance information.
- **End Users (EU):** The primary audience for training and documentation, providing feedback to improve effectiveness and comprehensibility.

5.2.12. Detailed RACI Chart for Compliance & Legal Review

Ensuring compliance and conducting a legal review are critical components of any large-scale software development project, especially in sectors with stringent regulations like corrections or finance. For a project at the FDC, this involves verifying that the software meets all legal standards, regulatory requirements, and best practices for security and data privacy. Here’s a detailed RACI chart outlining the roles and responsibilities of various stakeholders in the compliance and legal review process.

Activities	SMT	PM	Legal	IT	QA	Sec	BA	CM	Ops	EC
1. Identify Compliance Requirements		R	A	C	C	C	C	C	C	R
2. Review Legal Documents & Contracts		C	A				C	C		R
3. Assess Technical Compliance Solutions		R	C	A	C	A		C		C
4. Conduct Security & Privacy Assessments		R	C	R	C	A		C		C

Activities	SMT	PM	Legal	IT	QA	Sec	BA	CM	Ops	EC
5. Perform Compliance Testing		A	C	C	A	R	C	C		C
6. Review Business Processes for Compliance		R	A		C	C	A	C	R	C
7. Implement Compliance Corrections		A	R	A	R	A	C	C	C	C
8. Final Compliance & Legal Approval	A	C	A		C	C	C	C		R
9. Update Compliance Documentation		R	A	C	C	C	C	C	C	C
10. Provide Compliance Training		A	R	C	C	C	C	C	A	C

Stakeholders:

- **Senior Management Team (SMT):** Provides overall strategic direction and ensures the project aligns with legal and regulatory requirements.
- **Program Manager (PM):** Oversees the project's compliance and legal review process, coordinating between teams and ensuring adherence to deadlines.
- **Legal and Compliance Team (Legal):** Leads the review of legal requirements, identifies potential legal issues, and ensures the project complies with all relevant laws and regulations.
- **IT Department (IT):** Assesses and implements technical compliance solutions, ensuring the software meets security and data protection standards.
- **Quality Assurance Team (QA):** Verifies that the software functions correctly within the legal and regulatory framework.
- **Security Team (Sec):** Evaluates the software for security compliance, including data protection and privacy.
- **Business Analysts (BA):** Ensure that all business processes modeled in the software are compliant with legal and regulatory requirements.
- **Operations Team (Ops):** Provides operational insight to ensure the software's compliance with industry practices and standards.
- **Contract Managers (CM):** Ensures that all contracts are compliant and legally sound, thereby reducing the risk of disputes and penalties for non-compliance.
- **External Consultants (EC):** Offer expert advice on specialized compliance issues or regulatory standards, as required.

5.2.13. Detailed RACI Chart for Project Closure & Review

Project Closure and Review is a critical phase in wrapping up a large-scale software development project, ensuring all objectives have been met, evaluating the project's success, and identifying lessons learned for future initiatives. This process involves a comprehensive assessment of project performance, documentation of outcomes, and formal project closure. Below is a detailed RACI chart outlining the roles and responsibilities of various stakeholders in the project closure and review process for a project like the one for the FDC.

Activities	SMT	PM	QA	IT	BA	FD	HR	Ops	Sec	EU
1. Verify Completion of Deliverables		A	R	C	C	I		C	C	C
2. Conduct Final Quality Assurance Check		R	A	C	C	I			C	
3. Finalize Financial Reporting	C	R				A				
4. Document Lessons Learned		A	C	C	A	C	C	A	C	A
5. Release Project Resources		A				I	A			

Activities	SMT	PM	QA	IT	BA	FD	HR	Ops	Sec	EU
6. Archive Project Documentation		A		R	R	I				
7. Conduct Post-Project Review	A	A	C	C	A	C	C	A	C	A
8. Approve Project Closure	A	R				I				
9. Communicate Project Closure to Stakeholders	C	A				I				I
10. Recognize and Reward Team Contributions		R				I	A			

Stakeholders:

- **Senior Management Team (SMT)** : Provides strategic oversight and approves final closure of the project.
- **Program Manager (PM)** : Oversees the closure process, ensuring all project components are completed satisfactorily and documented appropriately.
- **Quality Assurance Team (QA)**: Validates that all project deliverables meet the required quality standards.
- **IT Department (IT)**: Confirms that all technical aspects of the project, including software deployment, are finalized and operational.
- **Business Analysts (BA)**: Assess whether the project outcomes align with initial business requirements and objectives.
- **Finance Department (FD)**: Reviews and finalizes all financial aspects related to the project, ensuring all accounts are settled. Includes Contract Managers.
- **Human Resources (HR)**: Manages the transition of project staff, recognizing contributions and reallocating resources as necessary.
- **Operations Team (Ops)**: Provides feedback on operational impact and effectiveness of project outcomes.
- **Security Team (Sec)**: Ensures that all security protocols implemented during the project are effective and compliant with standards.
- **End Users (EU)**: Offer feedback on the usability and effectiveness of the project deliverables in real-world scenarios.

5.3. Business Process Stakeholder Groups

Identifying business process stakeholder groups is a first step in the user analysis phase for CIMS, serving as the cornerstone for a user-centric development approach. This necessity stems from the diverse range of functionalities, requirements, and expectations that CIMS aims to address within the Florida Department of Corrections. Stakeholder groups, such as correctional officers, administrative staff, inmates, and external agencies, each having unique interactions with the system, influencing its design, functionality, and operational priorities.

Understanding the distinct needs and workflows of these groups is needed for several reasons:

- Ensures that the system is accessible and intuitive for all user types, reducing the learning curve and enhancing user adoption rates.
- Allows for the identification of specific security, privacy, and data accessibility requirements that are critical in the corrections environment.
- Engaging with stakeholder groups early in the development process fosters a sense of ownership and validation among users, which is instrumental in the successful deployment and utilization of the system.

- This thorough analysis aids in prioritizing system features and functionalities based on real-world needs and constraints, ensuring that development efforts are allocated efficiently and effectively.
- Highlights potential integration points with existing systems and processes, facilitating a seamless transition and minimizing operational disruptions.

The table below lists the project’s stakeholders which have been identified to-date, as well as a summarization of how each will be affected by, or will participate in, OBIS Modernization Project (CIMS).

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Florida Department of Corrections	<p>Replacing the current OBIS affects all facets of support and operational areas within the FDC as it represents a significant shift in technology, functionality, staff skills and knowledge, and an ongoing need to readdress budgetary support.</p> <p>Internal stakeholders include:</p> <ul style="list-style-type: none"> • Executive Leadership • Institutions • Community Corrections • Administration • Budget and Financial Management • Communications • Facilities Management • Finance and Accounting • General Counsel • Health Services Human Resources • Information Technology • Inspector General • Intelligence • Legislative Affairs • Procurement • Programs and Re-Entry
General Public	A general body of people within the Florida community. The general public is directly affected by the FDC’s ability to meet its security and safety mandates.
Victims	Crime victims have an interest in the new system to ensure their notification needs are met and to ensure appropriate restitution is made.
Law Enforcement Agencies	A wide variety of law enforcement agencies provide data to support the FDC mission. The Florida Department of Law Enforcement (FDLE) provides positive, biometric-based identification services (state and federal) and supplies criminal history records to the FDC. By running an identification check, the FDC notifies FDLE that an inmate is in custody.
Local Law Enforcement Agencies	A wide variety of law enforcement agencies provide data to support the FDC’s mission. State law enforcement agencies (Police, Sheriffs) interact with the FDC and may be actively involved with transfers, escapes, absconders, and investigatory processes.
Courts	Court systems are intimately involved with the FDC. The Courts impose the sentences which the FDC is mandated to carry out for inmates and offenders, and often requires information and/or investigations to assist them in their constitutional duties.

Other States	The FDC, through the Interstate Compact, houses inmates from and provides supervision of offenders on behalf of other states. Concurrently, other states perform similar services on behalf of the FDC.
Florida Department of Children & Families (DCF)	The FDC operates in partnership with DCF to close any government benefits such as the Supplemental Nutrition Assistance Program (SNAP) or Temporary Assistance for Needy Families (TANF) when a person enters FDC to ensure benefits are not distributed to incarcerated persons. The data provided also prevents incarcerated individuals' identities from being fraudulently used to apply for assistance.
Other State Agencies	Other agencies within the State of Florida that interact and/or are affected by OBIS Modernization include: <ul style="list-style-type: none"> • Florida Department of Revenue (DOR) • Florida Department of Juvenile Justice (DJJ) • Florida Department of Elder Affairs (DOEA) • Florida Agency for Persons with Disabilities (APD) • Florida Department of Law Enforcement (FDLE) • Florida Office of the Attorney General (OAG) • Florida Public Service Commission (PSC) • Florida Department of Agriculture and Consumer Services (DACS) • Florida Department of Education (DOE) • Florida Commission on Offender Review (FCOR) • Florida Lottery • Florida Department of Highway Safety and Motor Vehicles (DHSMV) • Clerk of Courts • Auditor General
State Data Center (SDC)	The SDC provides utility computing services to the FDC. The center maintains a 24x7x365, Tier III data center operation with redundant power, back-up generators, redundant network connections, and managed services for OBIS. As of FY 2020-21, the SDC outsourced mainframe services to the Northwest Regional Data Center (NWRDC) who has contracted with a vendor to supply services.
Contracted Services	Third party vendors contract with the FDC. Examples of service contractors include: <ul style="list-style-type: none"> • Health Services • PRIDE • Canteen • Electronic Monitoring • JPAY payment processing
Florida Legislature	The governing body responsible for enacting laws. The Legislature has exclusive authority to determine statute and adopt the budget for state government activities.
Executive Office of the Governor (EOG)	As a part of the overall governance team, the EOG communicates with the House and the Senate as well as creates a recommended budget and signs the budget voted on by the legislature.
Other Federal Agencies	Other Federal Agencies interact with the FDC. They include: <ul style="list-style-type: none"> • Social Security Administration (SSA) • Internal Revenue Service (IRS)

	<ul style="list-style-type: none"> • Department of Defense (DOD) • Department of Treasury • Department of Justice (DOJ) • Department of Homeland Security (DHS)
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5.4. Resource Plan with Estimated Effort Hours

Note: The below is as of 9/10/2024 and is to be updated with new teams of people once a full project schedule from all stakeholders is received.

Please see the Project WBS Located [Here](#) which identifies the estimated work hours across the program. At this time, a comprehensive number of hours cannot be accurately assessed as the procurement process for obtaining a Systems Integrator has not completed. Once a Systems Integrator is on board and the vendor schedule is received and approved, estimated hours of work can be updated. Currently, the total number of estimated hours is 111,517.47.

Below is the Resource Plan broken out by Project as of the date indicated. The resource plan does not include the SI project resource needs, or the utilization of the IV&V vendor (Gartner Group) that will be creating a Business Capability Model, a Sentencing Calculator, assist with Procurement, or their assistance with OCM.

CIMS Program Resource Plan as of 3/25/2024

Data Warehouse Resource Plan					
Project	Resource Name	Work	% Work Complete	Start	Finish
04-DW Project4	Alisha Roberts	1,049.68 hrs	29%	Mon 5/6/24	Wed 1/8/25
04-DW Project4	BA (Vacant)	1,592 hrs	0%	Tue 6/18/24	Wed 8/4/27
04-DW Project4	BA (Vacant)	80 hrs	100%	Mon 2/19/24	Fri 3/1/24
04-DW Project4	BA3	1,704 hrs	0%	Tue 8/27/24	Wed 3/25/26
04-DW Project4	BA5	1,498 hrs	0%	Fri 9/13/24	Tue 7/7/26
04-DW Project4	Bhargava Kamarapu	1,473.6 hrs	11%	Mon 4/29/24	Tue 6/17/25
04-DW Project4	BI Developer	944 hrs	0%	Tue 2/11/25	Fri 1/30/26
04-DW Project4	Carrice Kandeh	2,008.4 hrs	10%	Mon 6/17/24	Fri 7/30/27
04-DW Project4	Chief Data Officer	1.6 hrs	100%	Thu 7/18/24	Fri 7/19/24
04-DW Project4	Chris Ajhar	558.8 hrs	47%	Mon 5/13/24	Fri 4/11/25
04-DW Project4	Coleman Ayers	32 hrs	0%	Mon 10/14/24	Thu 10/17/24
04-DW Project4	Dan Brake	16 hrs	0%	Wed 8/7/24	Fri 8/9/24
04-DW Project4	Data Owners	198.4 hrs	25%	Mon 5/6/24	Mon 8/5/24
04-DW Project4	Data Quality Engineer	728 hrs	0%	Fri 4/18/25	Tue 1/20/26
04-DW Project4	Data Security Compliance	120 hrs	75%	Tue 5/21/24	Tue 11/5/24
04-DW Project4	Data Stewards	456 hrs	6%	Mon 10/21/24	Mon 6/16/25

04-DW Project4	David Ensley	536 hrs	100%	Mon 2/19/24	Tue 5/21/24
04-DW Project4	David James	152 hrs	79%	Mon 5/6/24	Thu 10/17/24
04-DW Project4	Doug McDonald	256 hrs	63%	Mon 3/4/24	Fri 9/27/24
04-DW Project4	ETL Architect 1	2,268 hrs	2%	Wed 6/26/24	Mon 4/26/27
04-DW Project4	ETL Architect 2	3,452 hrs	1%	Thu 5/16/24	Fri 7/30/27
04-DW Project4	ETL Architect 3	2,052 hrs	3%	Mon 3/11/24	Mon 6/14/27
04-DW Project4	Andrew Branch	14.4 hrs	0%	Thu 5/8/25	Tue 8/3/27
04-DW Project4	John Stephens	6,200.15 hrs	53%	Tue 8/8/23	Thu 12/9/27
04-DW Project4	Kiran Bandlamudi	4,514.4 hrs	69%	Mon 2/5/24	Tue 3/23/27
04-DW Project4	Manvith Ravishankar	600 hrs	0%	Tue 3/25/25	Fri 5/15/26
04-DW Project4	Madhumitha Rangarajan	2 hrs	0%	Wed 10/23/24	Fri 5/22/26
04-DW Project4	Microsoft	12 hrs	100%	Thu 1/11/24	Tue 2/20/24
04-DW Project4	Mitchell Potter	860 hrs	77%	Wed 1/3/24	Fri 8/9/24
04-DW Project4	Network Engineer 1	1,029 hrs	6%	Mon 5/6/24	Tue 8/3/27
04-DW Project4	Nikki Darling	1,864 hrs	0%	Thu 2/6/25	Tue 10/19/27
04-DW Project4	Patricia Curtis	1,604.24 hrs	19%	Mon 4/15/24	Tue 7/27/27
04-DW Project4	Ronnie Barnard	629.12 hrs	54%	Mon 12/18/23	Tue 8/3/27
04-DW Project4	Russell Bradbury	584.8 hrs	32%	Mon 2/19/24	Mon 10/6/25
04-DW Project4	Sean Nyberg	32 hrs	0%	Mon 10/21/24	Thu 10/24/24
04-DW Project4	Srinivas Gopi	496 hrs	57%	Fri 6/7/24	Thu 10/3/24
04-DW Project4	Tech Writer 2	180 hrs	0%	Fri 9/27/24	Mon 6/8/26
04-DW Project4	Trainer	624 hrs	0%	Tue 3/16/27	Tue 7/6/27
04-DW Project4	Winston Bedell	2,929.6 hrs	35%	Mon 2/12/24	Fri 8/6/27
04B-DW Reporting Alignment	Bhargava Kamarapu	589.6 hrs	25%	Wed 5/22/24	Thu 12/5/24
04B-DW Reporting Alignment	Andrew Branch	0 hrs	0%	NA	NA
04B-DW Reporting Alignment	John Stephens	13.6 hrs	100%	Wed 5/22/24	Thu 6/13/24
04B-DW Reporting Alignment		0 hrs	0%	NA	NA
04B-DW Reporting Alignment	Patricia Curtis	1,758 hrs	41%	Mon 10/16/23	Mon 6/1/26
04B-DW Reporting Alignment	Ronnie Barnard	0 hrs	0%	NA	NA
04B-DW Reporting Alignment	Russell Bradbury	144 hrs	0%	Mon 9/16/24	Thu 10/10/24
04B-DW Reporting Alignment	Technical BA	0 hrs	0%	NA	NA
Data Catalog Assessments Resource Plan					
04C-Data Catalog Assessments	Catrina Toole	96 hrs	100%	Thu 5/16/24	Wed 6/19/24
04C-Data Catalog Assessments	David Ensley	732 hrs	26%	Mon 2/19/24	Mon 3/10/25
04C-Data Catalog Assessments	Dena French	1,055.2 hrs	98%	Mon 2/19/24	Mon 10/7/24
04C-Data Catalog Assessments	Hari Gomaram	288 hrs	95%	Thu 5/16/24	Wed 8/14/24
04C-Data Catalog Assessments	Jana Friedman	864 hrs	84%	Mon 2/26/24	Thu 8/22/24
04C-Data Catalog Assessments	Jana Friedman - Analyst 1	0 hrs	0%	NA	NA

04C-Data Catalog Assessments	Jeff Crum	248 hrs	14%	Mon 3/4/24	Tue 3/18/25
04C-Data Catalog Assessments	John Stephens	24 hrs	72%	Mon 3/4/24	Tue 2/11/25
04C-Data Catalog Assessments	Lori Nolting	244 hrs	100%	Thu 2/22/24	Fri 7/26/24
04C-Data Catalog Assessments	Lori Nolting - Analyst 1	0 hrs	0%	NA	NA
04C-Data Catalog Assessments	Lori Nolting - Analyst 2	0 hrs	0%	NA	NA
04C-Data Catalog Assessments	Lori Nolting - Analyst 3	0 hrs	0%	NA	NA
04C-Data Catalog Assessments	Mark Miller	328 hrs	35%	Mon 3/4/24	Tue 3/18/25
04C-Data Catalog Assessments	Matt Brock	24 hrs	100%	Tue 5/28/24	Wed 6/5/24
04C-Data Catalog Assessments	Michael Burke	1,852 hrs	31%	Mon 2/19/24	Mon 3/10/25
04C-Data Catalog Assessments	Michael Shakar	674 hrs	77%	Thu 4/4/24	Thu 9/26/24
04C-Data Catalog Assessments	Nick Warner	480 hrs	58%	Thu 5/16/24	Thu 9/26/24
04C-Data Catalog Assessments	Pat Curtis	496 hrs	100%	Mon 2/19/24	Wed 5/29/24
04C-Data Catalog Assessments	Rebecca Reibman	48 hrs	100%	Wed 6/5/24	Thu 6/13/24
04C-Data Catalog Assessments	Robin Richardson-Crockett	761.76 hrs	97%	Mon 2/19/24	Tue 9/17/24
04C-Data Catalog Assessments	Sadhveer Punugoti	37.6 hrs	100%	Fri 7/19/24	Thu 7/25/24
04C-Data Catalog Assessments	Todd Buss	336 hrs	99%	Thu 4/4/24	Fri 5/24/24
04C-Data Catalog Assessments	Tom Albert	926.4 hrs	35%	Mon 3/4/24	Wed 3/26/25

Organizational Change Management Resource Plan

05-OCM Project	Arlisha Roberts	64 hrs	0%	Mon 6/7/27	Mon 6/21/27
05-OCM Project	Business Process Re-engineer	1,120 hrs	0%	Fri 11/8/24	Tue 6/10/25
05-OCM Project	Carrice Kandeh	8 hrs	100%	Fri 4/12/24	Fri 4/12/24
05-OCM Project	Change Specialist 1	160 hrs	0%	Wed 2/28/24	Wed 11/12/25
05-OCM Project	Change Specialist 2	64 hrs	100%	Wed 2/28/24	Wed 3/13/24
05-OCM Project	Change Specialist 3	0 hrs	0%	Wed 2/28/24	Wed 2/28/24
05-OCM Project	Change Specialist 4	0 hrs	0%	NA	NA
05-OCM Project	Communications Team	16 hrs	100%	Thu 3/14/24	Fri 3/15/24
05-OCM Project	FDC	16 hrs	100%	Thu 3/14/24	Fri 3/15/24
05-OCM Project	FDC Webmaster	8 hrs	0%	Tue 9/10/24	Tue 9/10/24
05-OCM Project	Gartner Group	40 hrs	0%	Tue 9/3/24	Mon 9/9/24
05-OCM Project	Handel Gibbings	4,322.8 hrs	13%	Mon 9/25/23	Wed 7/21/27
05-OCM Project	Andrew Branch	542 hrs	92%		Tue 6/15/27
05-OCM Project	Mark Cann	40 hrs	100%	Mon 2/26/24	Fri 3/1/24
05-OCM Project	Madhumitha Rangarajan	254 hrs	43%		Mon 6/21/27

05-OCM Project	OIT Leadership	232 hrs	0%	Mon 8/26/24	Mon 6/14/27
05-OCM Project	Oregon Laws	672 hrs	100%	Mon 7/24/23	Wed 11/29/23
05-OCM Project	Rakesh Chatrathi	40 hrs	100%	Mon 2/26/24	Fri 3/1/24
05-OCM Project		8 hrs	0%	Thu 11/13/25	Thu 11/13/25

5.5. On-Boarding / Off-Boarding Staffing Resources

5.5.1. Vendor Resources

- **On-Boarding**

The standard approach to onboarding vendor resources for a large-scale software development project at the Florida Department of Corrections (FDC) involves a structured process designed to ensure alignment with project goals, compliance with regulatory requirements, and integration with internal teams. The onboarding process typically begins with a comprehensive orientation that familiarizes the vendor with the department’s mission, project scope, and security protocols. Vendors are required to undergo background checks and security clearances due to the sensitive nature of the department's operations. Following this, detailed project documentation, including the project charter, timelines, and deliverables, is shared to ensure a clear understanding of expectations. The vendor resources are then introduced to key stakeholders, including project managers, technical leads, and compliance officers, to establish communication channels and clarify roles and responsibilities. Regular check-ins and onboarding sessions are conducted to integrate vendor resources into the department's project management methodologies, such as agile or waterfall, depending on the project framework. Additionally, vendors are required to adhere to the department’s data privacy and cybersecurity standards, with training provided to ensure compliance. This thorough onboarding process ensures that vendor resources are well-prepared to contribute effectively to the success of the project.

- **Off-Boarding**

The standard approach to off-boarding vendor resources from a large-scale software development project at the Florida Department of Corrections (FDC) is a structured and security-focused process aimed at ensuring a smooth transition and safeguarding sensitive information. The process begins with a formal notification of contract completion or termination, followed by a comprehensive knowledge transfer session to ensure that all project information, documentation, and code are properly handed over to internal teams or replacement vendors. Vendor resources are required to return all department-owned equipment and assets, such as access badges, devices, and software licenses. Additionally, system access for vendor personnel is revoked, including the deactivation of user accounts and removal of any access to internal networks, databases, and other sensitive systems. A security audit may be performed to verify that no unauthorized data has been retained by the vendor. A post-offboarding review is often conducted to ensure that all contractual obligations have been fulfilled, and final payments are made based on deliverables. This off-boarding process ensures the secure and orderly transition of responsibilities, while maintaining the integrity and confidentiality of FDC’s operations.

5.5.2. CIMS Team Resources

- **On-Boarding**

The adopted approach to onboarding the CIMS team project-specific resources is a thorough and coordinated process that ensures new team members are aligned with the project’s objectives, security requirements, and operational protocols. The onboarding process begins with a detailed orientation that introduces new resources to the overall scope, goals, and critical milestones of the CIMS project. This is followed by security and compliance briefings, given the sensitive nature of correctional data, including training on FDC’s data privacy, cybersecurity standards, and access control measures. New team members are also introduced to the project management framework being used and provided with all relevant project documentation, including technical specs, timelines, and team roles. Communication protocols, escalation paths, and collaboration tools are clearly outlined to ensure seamless integration with the existing CIMS team. Regular onboarding sessions are held to ensure that project-specific methodologies and best practices are clearly understood, enabling the new team members to contribute effectively to the success of the CIMS initiative.

- **Off-Boarding**

The standard approach to off-boarding CIMS team project-specific resources for the Florida Department of Corrections (FDC) is a structured and comprehensive process designed to ensure a smooth transition and maintain project continuity. The off-boarding process begins with a formal notification of the resource’s departure, followed by a thorough knowledge transfer session where key project information, documentation, and tasks are handed off to remaining team members or incoming resources. All project-specific access, such as credentials to CIMS systems, databases, and project management tools, is revoked to maintain data security and prevent unauthorized access. Resources are required to return any department-issued equipment and confirm the deletion of any sensitive or proprietary data stored on personal devices. A final review is conducted to verify that all assigned tasks and deliverables have been completed or reassigned, and that documentation is up to date. The process also includes an exit interview or debriefing to gather feedback and ensure that any lessons learned can be integrated into future project phases. This off-boarding ensures minimal disruption to the CIMS project while maintaining the security and integrity of the system.

5.6. Equipment/Materials Resources

Currently, the amount, type, and purpose of resources is unknown. Once a System Integrator is procured, this section can be updated using the following template:

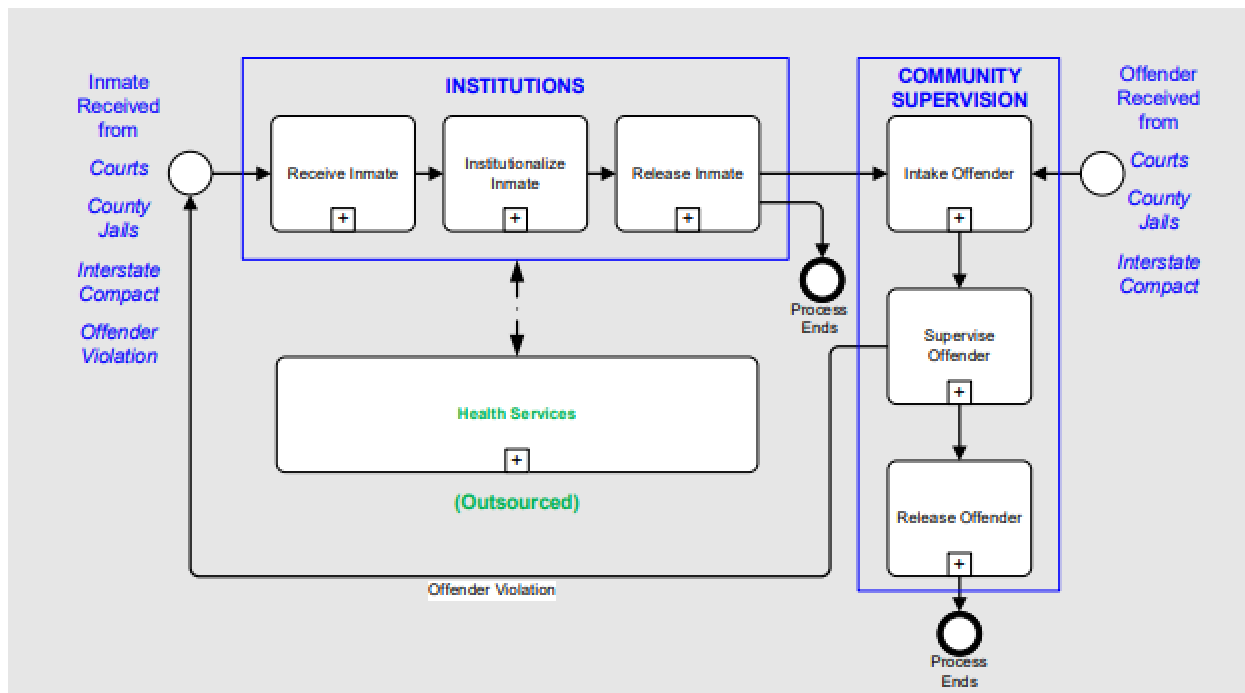
Resource Type	Purpose / Justification	# Needed
Equipment		
· Computers		
· Monitors		
Software		
· Power BI		
· SQL		

· Visio		
· MS Suite 365		
· Access		
· Azure Purview		

6. PROJECT SCOPE

Within its two major functional areas, Institutions and Community Corrections, the FDC performs a wide variety of processes comprised of three major components which fall into each respective functional area. The FDC is also responsible for oversight of its outsourced Health Services processing, which provides care for inmates throughout their incarceration. Institution staff are responsible for inmates during incarceration while Community Corrections staff supervise offenders on probation as they return to the community. The current OBIS system maintains data pertaining to all areas of the functional areas below. The new OBIS Modernization Project (CIMS) system will replace and enhance the existing functionality found in the current OBIS system.

The diagram below provides an overview of the core FDC functions.



6.1. In-Scope Features

6.1.1. Institutions: Receive Inmate

The purpose of the Receive Inmate core process is to physically receive an inmate from the County Sheriff's Office or designated transporting agent and place the inmate in the custody of the FDC. The State of Florida receives approximately 30,000 inmates per year in six reception centers, five for male inmates and one for female inmates.

Offenders are transported from county jails or other authorized locations and are then, entered into one of six Reception Centers located throughout the state. Each inmate is accompanied by official commitment papers and other official documents mandated by section 944.17, F.S. At intake, the inmate is identified as a new receipt, recidivist, or violator. The inmate then undergoes processing, testing, evaluation by Health Services, and assessment for program needs, alongside determining their custody level (security risks). Custody level is determined by reviewing the seriousness of the offense, length of sentence, time remaining to serve, prior

criminal history, escape history, prison adjustment, and other factors. Based on these key assessment results gathered during the reception process, the inmate is then transferred to a permanent facility.

The objectives of this process are:

- Review and validate inmate commitment papers for custody acceptance
- Search and seizure of personal property
- Inmate orientation
- Testing and assessment of mental, physical, educational, vocational, substance abuse treatment, and medical needs
- Assessment of security risk level
- Assignment to permanent institution
- Transfer of inmate to permanent institution

6.1.2. Institutions: Institutionalize Inmate

The purpose of the Institutionalize Inmate core process is to receive an inmate after he or she has been assigned to an institution following the Inmate Reception process and to manage the inmate throughout incarceration in an FDC facility.

The objectives of this process are:

- Review and validate inmate reception papers for custody acceptance
- Assign a bed meeting custody and risk provisions
- Search, seizure of personal property, and orientation
- Complete a risk/needs assessment
- Assign institutional programs (education, vocational, substance abuse)
- Manage inmate
- Manage the institution (visitors, transportation, phones)

6.1.3. Institutions: Release Inmate

The purpose of the core process, Release Inmate, is to ensure completion of all tasks required by statute, rule, procedure, or best practices prior to the lawful end of a commitment to state custody. The inmate may be released without legal constraint, placed under post-release supervision (executive or judicial), or turned over to another legal authority for criminal process (law enforcement) or civil process (Immigration and Customs Enforcement or Department of Children and Families civil commitment for sexually violent predators).

The objectives of this process are:

- Determine if an inmate has reached the lawful end of a court commitment to state custody
- Determine the type of release
- Review all inmates prior to release for transition services programs, residential housing, employment, and other special services as needed or required by law
- Conduct a full medical and mental health assessment on the inmate and determine if special placement is clinically indicated at end of sentence (EOS) (hospital, inpatient mental health care, assisted-living facility/nursing home, etc.)
- Determine the entity to whom the inmate will be released, if applicable
- Notify all appropriate organizations and individuals of the pending release

- Ensure the inmate is not subject to warrants or detainer notices by other jurisdictions either in Florida or elsewhere (courts, law enforcement, corrections)
- Fully inform the inmate about his or her obligations following release (e.g., supervision by Community Corrections) Schedule IV-B for Offender Based Information System (OBIS) Modernization FDC FY 2023-24 Page 12 of 82
- Ensure all FDC information about the inmate is current and validated (numerous reviews)

6.1.4. Community Corrections: Intake Offender

The purpose of the core process, Intake Offender, is to conduct identification and assignment of offenders placed on supervision.

The objectives of this process are to:

- Receive/gain offenders coming directly from court or being released from an institution into conditional release or court ordered supervision.
- Manage the various referral sources including deferred prosecutions, sentencing by the court or the releasing authority, interstate compact and other State entities, as well as institutions, prosecutors, and the Florida Commission on Offender Review (FCOR). Offenders may be sentenced to supervision types as described in Florida Statutes 944, 947, 948, 949.
- Initiate the completion of the various forms included with the case file.
- Input appropriate data in OBIS screens and case notes across all supervision activities.

6.1.5. Community Corrections: Supervise Offender

The purpose of the core process, Supervise Offender, is to supervise offenders commensurate with their court ordered conditions, and to address the needs of the offender, thereby protecting the community. The objectives of this process are:

- Monitor and supervise offenders on a schedule that adheres strictly to the terms and conditions of the Probation Order
- Identify needs/resources
- Motivate and assist
- Perform field work on a regular basis
- Manage violations of supervision
- Manage offender transfer requests
- Manage the various investigations that are requested (e.g., presentence investigation, pretrial investigation, inmate release investigation, absconder investigation, etc.)
- Document appropriate OBIS screens and case notes across all supervision activities

6.1.6. Community Corrections: Release Offender

The purpose of the core process, Release Offender, core process is to perform activities associated with the end of supervision for an offender who has successfully completed the conditions of supervision and is ready to transition back into the community. The community supervision release population consists of all offenders permanently removed from the FDC from a specific term of supervision due to satisfaction of the sentence, a pardon, return to another State, death, revocation, or other court termination action.

The objectives of this process are:

- Prepare offenders for a smooth transition back into the community

- Provide termination of supervision instructions to offenders
- Create release documentation to the various agencies and/or individuals
- Document offender release in OBIS and in hardcopy file

6.2. Out-of-Scope Features

Note: At the time of the writing of this document, a Systems Integrator (SI) has not been procured. As a result, no contract currently exists from which to pull the contracted out-of-scope features. This section will need to be updated upon receipt of a signed contract from the selected SI.



6.3. Milestone Chart

Milestones are built into the CIMS Project WBS [Here](#).

Note: At the time of this writing, a Systems Integrator (SI) has not been procured so the WBS includes only known milestones in supporting projects. A full Milestone and Deliverables list will be created upon on-boarding of the SI.

6.4. Deliverables List

A Deliverable Log will be utilized to track all deliverables by a unique number. Included in this log will be contractual change requests as they also pertain to deliverables through features or physical deliverables that are part of the project. Cost of the deliverables will be tracked as part of any contractual deliverables identified with associated vendors. An example of the template is below and may be altered depending on decisions by contracted vendors if FDC is to hold retainage when paying for identified deliverables.

 CIMS Deliverable and Change Request Log 											
Type	Deliverable #	Status	Deliverable Target	Delivery Set / Phase	Deliverable/Task Description	Original Contract Date Line	New Delivery Date	Deliverable Owner	Actual Completion Date	Cost	Payment Amount
Change Request		●	DED Started	FY 2024-2025: Q1						\$0.00	\$62,216.48
		●	DED Sent	FY 2024-2025: Q2						\$0.00	\$131,802.40
		●	Deliverable Sent	FY 2024-2025: Q3						\$11,000	\$0.00
		●	Deliverable Approved	FY 2024-2025: Q4						\$2.00	\$0.00
		●	Issues Sent							\$11,000	\$0.00
		■	Complete							\$2.00	\$134,802.40
		●	Milestone							\$3.00	\$0.00
TOTALS:										\$0.00	\$331,821.28
<i>Note: a Deliverable # indicates a contractual deliverable. Anything with the prefix of "CP-" stands for "Change Proposal". All are tracked as deliverables.</i>											

7. PROJECT SCHEDULE MANAGEMENT

7.1. Project Schedule Work Breakdown Structure

Below is a high-level copy of the OBIS Modernization Project (CIMS) Program work Breakdown Structure (WBS). The full project plans and subprojects are maintained in Microsoft Project with interdependency linkages.

NOTE: At the time of this publication (9/10/2024) a systems integrator has been selected, however, no vendor project plan for the OBIS Modernization Project (CIMS) project has yet been obtained. Once a vendor has been procured, a detailed project plan will be added to the below plan for a comprehensive WBS capable of tracking all aspects of the OBIS Modernization Project (CIMS) program.

Task Name	Duration
CIMS UMBRELLA PLAN	1658 days
OBIS Modernization Procurement	983 days
OBIS Modernization LBR and Procurement	983 days
LBR Preparation	679 days
Legislative Reporting	489 days
IV&V RFQ	195 days
OBIS Staff Aug eQuotes	558.25 days
OBIS ITN	983 days
OBIS ITN Drafting	607 days
ITN Publish	18 days
Respond to Bidders	106 days
OBIS Negotiations	85 days
OBIS Award	137 days
Onboarding	13 days
Finish Procurement / Start Implementation	0 days
CIMS Organizational Change Management (OCM)	966 days
Change Champion Workshop Kick-Off	45 days
OCM Phase 1: Planning	30 days
Workstreams	914 days
Alignment & Delivery Workstream	64 days
Assessment & Impact Workstream	79 days
Operational Readiness	914 days
Communication Support	111 days
Training Support	242 days
OCM Transition and Closeout	26 days
MILESTONE: OCM CIMS Subproject Complete	0 days
Data Warehouse Umbrella Plan	942.5 days
Data Assessments KPI	491.15 days
SourceTracker Data Set Assessments	491.15 days
Extract Data Sources for Tracker	63 days
Data Catalog Assessments	262 days
Project Setup and Kick-Off	6 days
Meta Data Catalog Analysis	197 days
Phase 1: High Value Table Analysis - SAS Reports	123 days
Set 1: High Value Table Analysis	31.3 days

Set 2: High Value Table Analysis	37 days
Gap Analysis of Missing Codes not existing within CDET103	67 days
MILESTONE: Phase 1 Analysis Complete	0 days
Prepare AI	5 days
MILESTONE: AA Pilot HVT Data Implementation Demo Ready	0 days
DB2 Code & Description Cleanup	56 days
Phase 2: Remaining Tables from 16 Subject Areas - Analysis	182.5 days
MILESTONE: Remaining Subject Area Analysis Completed	0 days
Meta Data Composite Verification & Quality Check	178 days
Prepare AI	5 days
MILESTONE: Code Analysis & Cleanup Complete - AA Usable for Users	0 days
DB2 Code & Description Cleanup - Upload	56 days
MILESTONE: Subproject Complete	0 days
FDC DW Project	880.5 days
Assessment and Planning	581 days
Design (D0, D1, D2)	577.5 days
D0 Layer Design (Raw Data Layer)	239.75 days
D1 Layer Design (Cleansed Data Layer)	326 days
D2 Layer Design (Consumption Layer)	577.5 days
MILESTONE: Data Hub Design Complete	0 days
Development and Testing	354 days
Data Ingestion Development	351.5 days
Data Transformation Development	123 days
MILESTONE: Data Warehouse Development & Testing Complete	0 days
Deployment: Data Pipeline Operationalization	179 days
Deploy data pipelines to production environment	143 days
Implement scheduling and triggering of pipelines	97 days
Validate deployment through operational tests	72 days

MILESTONE: Data Warehouse Go-Live	0 days
Monitoring and Alerts	627.5 days
Configure Azure Monitor and Log Analytics for data operations	77 days
Define and implement alerting policies with Azure Alerts	85 days
Implement Data Retention and Archival Strategy	302 days
Maintenance and Iteration	329.5 days
MILESTONE: DW Deployment Monitoring & Alerts Setup Complete	0 days
Documentation and Training	492.5 days
Document data models, transformations, and pipelines using Azure Purview	221 days
Training	154 days
Identify training needs and skill gaps among team members (OCM)	91 days
Leverage Microsoft Learn and other platforms for training material	78 days
Conduct regular knowledge-sharing sessions among the team	63 days
MILESTONE: Documentation and Training Complete	0 days
Project Closeout	34 days
IV&V	167.19 days
Gartner BCM Tasks for OBIS Mod - CIMS -20231218	176.19 days
Gartner Business Capability Model Development	173 days
Gartner Sentence Calculator Tasks for OBIS Mod - CIMS 20240209	127.75 days
Gartner Sentence Calculator	127.75 days
Sentence Calculator Demo	2 hrs
Gather documentation	0.63 days
Develop draft inputs model	5 days
Workshops	86.75 days
Create Sentence Calculator Model/Documentation	116.19 days

7.2. Schedule Maintenance Cadence

All project schedules are updated weekly with input from all parties assigned tasks within the OBIS Modernization Project (CIMS) strategic plan. At the point of information gathering, actual start dates, actual finish dates, percent complete, and (if necessary) additional durations needed are updated within the project plan. Upon creation and approval of each of these subprojects, a baseline is established, and tracking started.

If a project or subproject changes direction considerably, a new project is drafted and the impacted lines or tasks within the project schedule are re-baselined, but only the impacted lines or tasks. Unless the entire plan is decommissioned or approval to re-baseline entire project is obtained, the entire project plan is only baselined once.

7.2.1. Reporting Cadence

Timing	Task(s)	Team / Process	Responsibility
Weekly – Due 2:00 pm Fridays	Executive QUAD Status Reports	<ul style="list-style-type: none"> Submit to O:\Business Solutions Support\PMO Admin\Quad Reports - Executive Weekly Update. Project Leadership will review. Perform Edits as needed. Review will take place by Pam Gerard. Monday mornings, check to determine if any comments made from Bureau Chief Review. 	PM / Subproject Lead
Weekly	Performance Metrics	Keeps track of each individual team member duties performed on the project, document in Performance Metrics spreadsheet, submitted at end of week to O:\Business Solutions Support\PMO Admin\Metrics in appropriate monthly / weekly folder	Individual Project Team Member
Weekly	CIO Update Presentation	Create power point presentation on program for CIO update deck that is presented to the Chief of Staff	PM / Subproject Lead contributes as applicable
Weekly (should be received by COB Fridays)	IV&V Status Updates	Review of all weekly IV&V work on the project through a submitted Status Report	Gartner Group
Bi-Weekly	ELT Power Point	Create Power Point for ELT Meeting. Obtain approvals as applicable	PM / Subproject Lead contributes as applicable
Monthly	PLT Power Point	Create Power Point for PLT Meeting. Obtain approvals. Present	PM / Subproject Lead contributes as applicable
Monthly	Legislative Report	Create Legislative Report for Submission	PM / Subproject Lead contributes as applicable

Timing	Task(s)	Team / Process	Responsibility
Monthly	OIT All-Hands	Create 1 – 2 slides for Office of Information Technology All-Hands Meeting	PM / Subproject Lead contributes as applicable.
Monthly	Tech Connect	Monthly OIT Newsletter that contains CIMS project information	Program Director
Monthly	IV&V Monthly Report	Review of all monthly IV&V work on the program through a submitted Status Report. Tied to an invoice and provided to the Contracts Manager for payment.	Gartner Group
Immediate	High Risk Issues	Any item considered High risk with an impact to the project should be reported to the project implementation team immediately upon occurrence.	Vendor, Project Implementation Team
Weekly	Change Advisory Board	Weekly Change Advisory Board meeting consisting of representatives that can discuss and coordinate impact assessments prior to presenting to an official CCB Approval board. If impact of change involves cost, schedule, process or contract, the CAB must escalate the change request to the CCB.	<ul style="list-style-type: none"> • Subject Matter Experts • Project Implementation Team • Vendor
Bi-Weekly	Change Control Board (CCB)	Bi-Weekly Change Control Board: meets to review all requested changes and impact assessments to make recommendations on whether to implement change. If impact of change involves cost, schedule, or contract, the CCB must escalate the change request to the Executive CCB for sign-off.	<ul style="list-style-type: none"> • Consists of Project Implementation Team, Vendor, and PLT Members
As Needed	Executive CCB	Sign-off of any approved changes	<ul style="list-style-type: none"> • Executive Team

7.2.2. Meeting Cadence

Timing	Meeting	Attendee Groups
Weekly – Tue @ 1:00 pm zoom link	Weekly Touchbase with Gartner Group	Program Management, OCM Lead, Procurement, and Gartner Group
Weekly – Fri @ 10:00 am 311C or zoom link	Catch-Up with Bureau of Procurement	Program Management, OIT Leadership, Procurement, and Gartner Group
Weekly – or as needed	CIMS Team Catch-Up	Program Director CIMS Team
Weekly – Thursdays 9:30 am	Project Schedule Update Meeting	Program Manager SubProject Leads
Bi-Weekly – Every other Tuesday at 4:00 pm	Exec Sponsor Meeting (ELT)	Richard Comerford (Sponsor) Tim Fitzgerald (Chief of Staff) (CIO) Pam Gerard (Chief, Business Solutions)

		Andrew Branch (Program Director)
Bi-Weekly – Every Other Monday	CIMS OIT Executive Update	OIT Leadership Program Leadership
Monthly – second Wed. of Each Month	Project Leadership Team (PLT) Meeting	Project Group Leadership – See Stakeholder Leadership List: Led by Program Director
Monthly	Change Champion Meetings	Andrew Branch, Sr PM, OCM Lead, Change Champions. Led by OCM Lead
TBD	Contract Deliverable Meeting	Contract Manager, Andrew Branch, Madhumitha Rangarajan
As needed	CIO Updates	Program Director updates CIO and other OIT Leadership members on the status of CIMS Program as needed

8. COST MANAGEMENT

8.1. Project Spending Plan

Due to the size, complexity, and oversight of the CIMS project, the Spending Plan is currently maintained by the Deputy Chief Information Officer and Bureau Chief of Business Solutions. The spend plan as of 9/11/2024 is below:

FY 2024-2025

Project Cost	Month	Total Budget	July Budget	July Actual	Aug Budget	Aug Actual	Sep Budget	Sep Actual	Oct Budget	Oct Actual	Nov Budget	Nov Actual	Dec Budget	Dec Actual
Project Total		\$ 17,000,000	\$ 487,328	\$ 424,564	\$ 487,328	\$ -	\$ 461,976	\$ -	\$ 583,106	\$ -	\$ 2,420,612	\$ -	\$ 1,729,941	\$ -
IV&V Service Deliverables Gartner		\$ 1,908,720	\$ 159,060	\$ 159,060	\$ 159,060	\$ -	\$ 159,060	\$ -	\$ 159,060	\$ -	\$ 159,060	\$ -	\$ 159,060	\$ -
Staff Augmentation		\$ 3,865,716	\$ 278,268	\$ 265,504	\$ 278,268	\$ -	\$ 252,916	\$ -	\$ 374,046	\$ -	\$ 292,364	\$ -	\$ 341,494	\$ -
Service Provider Deliverables KPMG		\$ 10,000,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,919,188	\$ -	\$ 1,179,387	\$ -
Data Warehouse Tools & Utilization		\$ 1,225,564	\$ 50,000	\$ -	\$ 50,000	\$ -	\$ 50,000	\$ -	\$ 50,000	\$ -	\$ 50,000	\$ -	\$ 50,000	\$ -
Total Costs		\$ 17,000,000	\$ 487,328	\$ 424,564	\$ 487,328	\$ -	\$ 461,976	\$ -	\$ 583,106	\$ -	\$ 2,420,612	\$ -	\$ 1,729,941	\$ -

\$ 1,373,868
Prior Releases
\$ -
Release 1
\$ 4,250,000
25%

\$ 4,733,659
Prior Releases
\$ 4,250,000
Release 2
\$ 4,250,000
25%

Jan Budget	Jan Actual	Feb Budget	Feb Actual	Mar Budget	Mar Actual	Apr Budget	Apr Actual	May Budget	May Actual	Jun Budget	Jun Actual
\$ 2,107,454	\$ -	\$ 993,735	\$ -	\$ 1,035,622	\$ -	\$ 2,340,339	\$ -	\$ 1,251,654	\$ -	\$ 3,100,905	\$ -
\$ 159,060	\$ -	\$ 159,060	\$ -	\$ 159,060	\$ -	\$ 159,060	\$ -	\$ 159,060	\$ -	\$ 159,060	\$ -
\$ 341,494	\$ -	\$ 324,916	\$ -	\$ 341,494	\$ -	\$ 357,468	\$ -	\$ 341,494	\$ -	\$ 341,494	\$ -
\$ 1,494,344	\$ -	\$ 397,203	\$ -	\$ 359,955	\$ -	\$ 1,648,698	\$ -	\$ 575,987	\$ -	\$ 2,425,238	\$ -
\$ 112,556	\$ -	\$ 112,556	\$ -	\$ 175,113	\$ -	\$ 175,113	\$ -	\$ 175,113	\$ -	\$ 175,113	\$ -
\$ 2,107,454	\$ -	\$ 993,735	\$ -	\$ 1,035,622	\$ -	\$ 2,340,339	\$ -	\$ 1,251,654	\$ -	\$ 3,100,905	\$ -

\$ 4,136,812
Prior Releases
\$ 8,500,000
Release 3
\$ 4,250,000
25%

\$ 6,692,897
Prior Releases
\$ 12,750,000
Release 4
\$ 4,250,000
25%

8.2 Cost Management

The CIMS Program will implement a comprehensive and dynamic approach to managing costs, ensuring that the project remains within budget while accommodating necessary adjustments and improvements. This cost management strategy involves detailed planning, continuous monitoring, and systematic control of the budget throughout the project lifecycle.

Cost Planning and Estimation: Initially, the program manager in conjunction with the selected Systems Integrator (vendor) will develop a detailed cost baseline, incorporating estimates for all project phases, including design, development, testing, implementation, and maintenance. This baseline will factor in both direct costs, such as labor and materials, and indirect costs, such as overheads and contingencies. The estimation process will leverage historical data, benchmarking, and expert judgment to enhance accuracy.

Continuous Monitoring and Control: The program manager will employ real-time monitoring tools and procedures to track expenditures against the budget. The spend plan can then continue to be updated on a monthly basis for reporting to the Legislature. This ongoing scrutiny allows for the early detection of variances and the implementation of corrective actions to mitigate overruns. Regular financial reports and reviews will be conducted to assess financial performance and forecast future spending.

Change Management and Cost Incorporation: Recognizing that change is inevitable in large-scale software development projects, the program manager will establish a robust change management process (See Change Management Section [Here](#)). This includes a formal procedure for submitting, evaluating, and approving Change Requests. Each Change Request will undergo a thorough impact analysis to assess its effect on project scope, schedule, and costs. For changes that are approved, the spend plan will be updated to incorporate the additional costs. This may involve reallocating budgets from other areas, adjusting the project scope, or seeking additional funding, depending on the nature and extent of the change. The spend plan update will be transparently communicated to all stakeholders, ensuring alignment and understanding of the new financial expectations.

Stakeholder Engagement and Communication: Effective communication with stakeholders is crucial in managing expectations and securing buy-in for budget adjustments. The program manager will engage with stakeholders through regular updates, financial reviews, and discussion forums, providing transparency about cost management practices and the rationale behind budgetary changes as appropriate.

9. PROCUREMENT MANAGEMENT

Below is a list of procurement needs for the program. Below is an example of the template that will be utilized to update and complete this section of the Project Management Plan upon procurement of a Systems Integrator.

Procurement Type	Purpose / Justification	# Needed	Date Required	Contract Vehicle	Procurement Officer
Systems Integrator					
TBD	Serve as point in the development of the CIMS system	1	12/5/2024	ITN / Negotiations	Greg Prescott
IV&V					
Gartner Group		1			Pam Gerard
Staff Augmentation					
System Architects	Advanced Analytics (AA) Development	1			Tiffany Harrell
C# Developers		2			Tiffany Harrell
Data Analysts		1			Tiffany Harrell
Advanced Analytics Vendor Augmentation					
Quisitive	Create AA User Front end due to timeline				Greg Prescott
NTT Data	Create TRP-API due to shortened timeline				Greg Prescott

10.COMMUNICATIONS MANAGEMENT

10.1. Communications Plan Methodology

The goal of the communication plan is to provide honest, well-managed and meaningful communications for the project's entire duration. The entire project is influenced by the communications process; it is fundamental to the creation, management, and implementation of the permanent change being created by the CIMS project.

The communications methodology to be utilized by CIMS involves three directions for effective communication: top-down, bottom-up, and middle-out.

10.1.1. Top-Down

Top-Down is defined as the communication needed from the executives of the Agency/Division to the project team. It is crucial that all participants in this project sense the executive support and guidance for this effort. The executive leadership of the organization (executive project sponsor and project sponsor) must communicate with a unified, enthusiastic voice about the CIMS system and the beneficial potential it holds for everyone involved. Executives are required to engage in direct communication with individuals at all levels of the organization, and they must also actively listen to the input provided by personnel throughout the organization. This will be achieved through periodic Executive Leadership Team meetings, Emails, and targeted communication documents designed to convey support for the CIMS project.

10.1.2. Bottom-Up

Bottom Up is defined as the communication needed from the stakeholders to the Executives, any agency steering committee and Legislature. To ensure the buy-in and confidence of the personnel involved in bringing the proposed changes to a reality, it is important to communicate how the solutions were created. If the perception is the project core team created the proposed changes, resistance is likely to occur. However, if it is understood that all participants were consulted, acceptance is likely.

JAD sessions will be utilized to obtain requirements from all project stakeholders.

10.1.3. Middle-Out

Middle-Out is defined as the communication needed from the Project team outwards to both the project participants/users and the stakeholders. Full support at all levels, where the changes will have to be implemented, is important for sustainable improvement. At this level (as with all levels), there must be an effort to find and communicate the specific benefits of the changes being made. User groups and specific workforce populations have a personal stake in the success of the project management strategies.

10.2. Communication Plan Summary

Target Audience(s) – What groups and/or individuals are important to the success of the project. It is important to identify all project stakeholder groups so that the communication approach can be customized to best meet their unique characteristics and individual requirements. Each project

stakeholder group – management, staff, end-users, elected officials, the public, and the media have different communication requirements based upon their role as it relates to the project.

Deliverable or Description: List either the deliverable or type of communication that will be sent to the targeted audience.

Message Type – Pertains to project related information or messages associated with the targeted audiences or stakeholders. The communication plan accounts for different types of messages. These message types are categorized into three general areas:

- **Mandatory** - Mandatory includes project status reports, legal requirements, financial reporting, etc. All mandatory information is disseminated to the recipients in a proactive manner.
- **Informational** - Informational material is defined as “must know” information users, employees, and staff need to know to effectively perform their jobs and daily work responsibilities. This information is made available for users and employees to read, but requires them to take the initiative, and locate the informational materials for themselves.
- **Marketing** - Marketing information is curated to build buy-in and enthusiasm for the project and its deliverables. This type of information is disseminated to the appropriate users, employees, and staff and may include OCM communications.

Frequency and Delivery Method– This identifies the how, when, and the regular occurrence of project related information or communication messages will be sent. Information will be delivered via many mechanisms or communication channels, ranging from face-to-face communication, such as staff meetings and focus groups, to print or one-way communication such as newsletters, written reports, and project plans. Mediated channels such as video and audio conferences, e-mail, voice mail, and intranet or internet list servers and websites can accommodate more timely feedback than print channels, but less timely feedback than face-to-face channels. Timing and frequency of messages will vary according to the purpose and communication channel. For example, standard required reports may have specific due dates or time frames. Yet, training materials and information are most effective when it is conveyed to users just before they are expected to perform the task or use a new or revised system. Repeating and reinforcing key information and messages using more than one channel will increase the likelihood of effectively communicating pertinent information.

Source – Identifies the origin of the information contained in the communication.

Responsible Person – Identifies who will prepare and deliver the message. The communication plan should identify resources for planning, assigning, funding, executing, and tracking communication activities. The person or entity delivering the message must be perceived as a credible source, particularly in face-to-face communication situations and when persuasion is one of the goals of the message.

Date to be Delivered – If the communication is an identified deliverable (Example, Project Management Plan), identifies the date (from the project plan) that the deliverable is to be communicated to the team.

Expected Result - Identifies the purpose of the communication (i.e., what is expected to occur after the communication is disseminated).

10.3. Communications Plan

Target Audience	Deliverable or Description	Message Type	Frequency	Delivery Method	Source	Responsible Person	Date to be Delivered	Expected Result
Legislative Committee	Legislative Budget Requests (LBRs)	Mandatory	At beginning of program	<ul style="list-style-type: none"> Formal presentation Word Document Excel Spreadsheet 	<ul style="list-style-type: none"> Project Plan Status Reports Expenditure Projections 	Greg Prescott Andrew Branch	Beginning of project	<ul style="list-style-type: none"> Approval to proceed Funding
	Operational Work Plan & Subsequent Updates	Mandatory	Quarterly	<ul style="list-style-type: none"> Formal presentation Word Document Excel Spreadsheet 	<ul style="list-style-type: none"> Project Plan Status Reports Budget Burndown 	Greg Prescott Andrew Branch	Day after Quarter End	<ul style="list-style-type: none"> Approval to proceed Continued funding
	Demo's	Informational	Upon Request	<ul style="list-style-type: none"> Formal Presentation 	<ul style="list-style-type: none"> Project Plan Status Reports Software Development 	Andrew Branch	Upon Request	<ul style="list-style-type: none"> Approval to proceed Continued funding
	Status Reports (Scope, Schedule, Budget, & Issues)	Mandatory	Weekly and/or Major milestones	<ul style="list-style-type: none"> Executive Briefing presentation 	<ul style="list-style-type: none"> Project Plan Status Reports 	Andrew Branch	On-going	<ul style="list-style-type: none"> Approval to proceed Continued funding
Executive Steering Committee (ELT)	Project Sponsor Meeting (to include scope, schedule, budget, issues)	Mandatory	Bi-Weekly and/or Major milestones	<ul style="list-style-type: none"> Executive Briefing presentation 	<ul style="list-style-type: none"> Project Plan Status Reports On-going workflow Meetings/Requirements 	Andrew Branch	Bi-weekly	<ul style="list-style-type: none"> Approval to proceed in specified direction Continued allocation of resources Issue Resolution
	Project Management Plan	Mandatory	Beginning of Project	<ul style="list-style-type: none"> Word Document Formal Presentation 	<ul style="list-style-type: none"> Schedule IV-B OWP RFQ / ITN Project Charter Vendor Proposal(s) 	Andrew Branch	5/30/2024	<ul style="list-style-type: none"> Approval to proceed Approval of PM Approach Vendor coordination
	Emails, Informal presentations, demos of software prototypes	Informational	As needed	<ul style="list-style-type: none"> Informal discussions Ad hoc 	<ul style="list-style-type: none"> Project Status 	Andrew Branch	On-going	<ul style="list-style-type: none"> Informational – NOT to be used to govern project direction
	Demo's	Informational	<ul style="list-style-type: none"> Upon Request Major Milestones 	<ul style="list-style-type: none"> Formal Presentation 	<ul style="list-style-type: none"> Project Plan Status Reports Software Development 	Andrew Branch	Upon Request	<ul style="list-style-type: none"> Approval to proceed Continued funding
	Project / Program Signoff	Mandatory	<ul style="list-style-type: none"> End of Project Milestone Deliverable 	<ul style="list-style-type: none"> Demo Executive Briefing Formal Presentation Word Document 	<ul style="list-style-type: none"> Project Plan Status Reports Software Development Deliverable List 	Andrew Branch	<ul style="list-style-type: none"> End of Project Receipt of major deliverable 	<ul style="list-style-type: none"> Project Closeout Release of unused funds Release of staff augmentation as appropriate.

Target Audience	Deliverable or Description	Message Type	Frequency	Delivery Method	Source	Responsible Person	Date to be Delivered	Expected Result
Executive Staff (PLT)	PLT Monthly Status Meeting	Mandatory	Monthly	<ul style="list-style-type: none"> Executive Briefing presentation 	<ul style="list-style-type: none"> Project Plan Status Reports 	Andrew Branch	On-going	<ul style="list-style-type: none"> Approval to proceed Resolution of issues Continued resource allocation
	Demo's	Informational	As needed	<ul style="list-style-type: none"> Formal presentation 	<ul style="list-style-type: none"> Software Development 	Andrew Branch	On-going	<ul style="list-style-type: none"> Feedback on functionality
	Emails, Informal presentations, and discussions	Informational	As needed	<ul style="list-style-type: none"> Informal discussions Ad hoc 	<ul style="list-style-type: none"> Project Status 	Andrew Branch	On-going	<ul style="list-style-type: none"> Informational – NOT to be used to govern project direction
<ul style="list-style-type: none"> OIT Leadership (OIT) 	Schedule, Budget, and Issue Review QUAD Reports for Leadership review	Informational	Weekly	<ul style="list-style-type: none"> Word Document 	<ul style="list-style-type: none"> Project Status Project Schedule RAID Team Meetings 	Andrew Branch	On-going	<ul style="list-style-type: none"> Resolution of issues Continued resource allocation 60-GG Compliance
<ul style="list-style-type: none"> Project Team Leaders Program Manager(s) Project Manager(s) 	Formal Presentations & Status Reports (Scope, Schedule, Budget, & Issues)	Mandatory	Weekly and/or Major milestones	<ul style="list-style-type: none"> Leadership Briefing presentation 	<ul style="list-style-type: none"> Project Plan Status Reports Spend Plan 	Andrew Branch	On-going	<ul style="list-style-type: none"> Approval to proceed Continued resource allocation
	Project Management Plan & Project Documents	Mandatory	Beginning of Project (Updates as required)	<ul style="list-style-type: none"> Word Document Formal Presentation 	<ul style="list-style-type: none"> Schedule IV-B OWP RFQ / ITN Vendor Proposal(s) Project Schedules 	Andrew Branch	3/30/2024	<ul style="list-style-type: none"> Approval to proceed Continued resource allocation 60-GG Compliance
	Monitoring & Control Documents	Mandatory	Minimum Weekly	<ul style="list-style-type: none"> Formal Discussions Status Meetings Interviews with project team 	<ul style="list-style-type: none"> RAID Log Change Management 	Andrew Branch	On-going	<ul style="list-style-type: none"> Approval to proceed Resolution of Issues 60-GG Compliance
	Architectural Models – High Level & SIPOC	Mandatory	Beginning of Project, then throughout as needed	<ul style="list-style-type: none"> Email Visio Diagram Teams Channel BI Reports 	<ul style="list-style-type: none"> Requirements Documents Tech Stack Vendor Proposal(s) 	Andrew Branch	10/30/2024	<ul style="list-style-type: none"> Approval to proceed Operational Environment ID of high level requirements
	Lessons Learned Report	Informational	Project Closing	<ul style="list-style-type: none"> Word Document Formal Presentation 	<ul style="list-style-type: none"> Project Plan Issues Log RAID Log(s) Change Requests 	Project Team	07/2027	<ul style="list-style-type: none"> Filing of document Usage in new projects
	Deliverable Signoffs	Mandatory	Delivery of a Deliverable	<ul style="list-style-type: none"> PDF Document Formal Presentation Invoice(s) 	<ul style="list-style-type: none"> Project Documents Project Plan Vendor Status / Invoice 	Andrew Branch Pam Gerard	On-going per project plan	<ul style="list-style-type: none"> Approval to proceed Contract payment (if applicable)

Target Audience	Deliverable or Description	Message Type	Frequency	Delivery Method	Source	Responsible Person	Date to be Delivered	Expected Result
	Emails, Informal presentations, demos of software prototypes	Informational	As needed	<ul style="list-style-type: none"> Discussions Ad hoc Team Meetings Word Documents Project Schedule 	<ul style="list-style-type: none"> Project Status 	Project Team	On-going	<ul style="list-style-type: none"> Informational – NOT to be used to govern project direction
Project Team	Business Requirements	Mandatory	Beginning of Project	<ul style="list-style-type: none"> Visio Diagrams Use Case Beginning of Test Cases 	<ul style="list-style-type: none"> JAD Sessions ITN Functional Requirements SIPOC Model 	Business Analysts	On-Going	<ul style="list-style-type: none"> Set Project direction Define Requirements
	Technical Documentation (Architecture Diagrams, Data Dictionaries, Process Flows, ERD's)	Mandatory	On-Going	<ul style="list-style-type: none"> Visio Diagrams Meetings Workshops BI Reports 	<ul style="list-style-type: none"> Project Documents Architectural Designs 	Ronnie Barnard John Stephens SR PM Project Technical Team	On-Going	<ul style="list-style-type: none"> Development of Deliverables Resolution of Issues Tested Software Implemented Software
	Stand-Up / Team Meetings	Mandatory	Weekly	<ul style="list-style-type: none"> Visio Diagrams Meetings Workshops Presentations Team collab. Tools Instant Messaging 	<ul style="list-style-type: none"> Project Documents Architectural Designs Requirements Docs Project Documents Technical Documents Project Schedule 	Project Team	On-Going	<ul style="list-style-type: none"> Set Project pace Resolution of Issues Development of Deliverables
	Status Reports	Mandatory	Weekly	<ul style="list-style-type: none"> Email Team Meetings 	<ul style="list-style-type: none"> Project Plan RAID Log 	Andrew Branch	On-going	<ul style="list-style-type: none"> Updated Status Report Updated Project Schedule Identification of Risks / Mitigation Steps
	RAID Log	Informational	As Needed	<ul style="list-style-type: none"> Word Document 	<ul style="list-style-type: none"> Project Plan RAID Log 	Andrew Branch	On-going	<ul style="list-style-type: none"> Resolution of Risks, issues, actions, decisions
	Hot Topics, Issues, Requirements updates	Mandatory	As Needed	<ul style="list-style-type: none"> Emails, hardcopy, interviews 	<ul style="list-style-type: none"> Project Plan Implementation 	Andrew Branch	On-going	<ul style="list-style-type: none"> Resolution of issues
	Change Orders	Mandatory	As Needed	<ul style="list-style-type: none"> Word Document 	<ul style="list-style-type: none"> Team Meetings / SME input 	Andrew Branch	On-going	<ul style="list-style-type: none"> Changes to requirements
	Lessons Learned Report	Informational	Project Closing	<ul style="list-style-type: none"> Word Document 	<ul style="list-style-type: none"> Project Plan Risks & Issues Log 	Andrew Branch	07/2027	<ul style="list-style-type: none"> Usage in new projects

Target Audience	Deliverable or Description	Message Type	Frequency	Delivery Method	Source	Responsible Person	Date to be Delivered	Expected Result
	Emails, Informal presentations, demos of software prototypes	Informational	As needed	<ul style="list-style-type: none"> Informal discussions Ad hoc 	<ul style="list-style-type: none"> Project Status 	Andrew Branch	On-going	<ul style="list-style-type: none"> Informational – NOT to be used to govern project direction
<ul style="list-style-type: none"> Stakeholders User Community Data Providers SME's Product Owners 	JAD Sessions / Business Requirements	Mandatory	Beginning of Project	<ul style="list-style-type: none"> Visio Diagrams Use Case Beginning of Test Cases 	<ul style="list-style-type: none"> JAD Sessions ITN Functional Req'm SIPOC Model Data Analysis 	<ul style="list-style-type: none"> Business Analysts Data Analysts 	On-Going	<ul style="list-style-type: none"> Set Project direction Define Requirements
	Progress Review Meetings	Mandatory	As needed	<ul style="list-style-type: none"> Visio Diagrams Meetings Workshops Demos 	<ul style="list-style-type: none"> Project Documents Architectural Designs Software demo 	Project Team	On-Going	<ul style="list-style-type: none"> Set Project direction Resolution of Issues
	Project Status Reports	Mandatory	Monthly	<ul style="list-style-type: none"> Email Word Document 	<ul style="list-style-type: none"> Project Plan Issue Log Risk Management Plan Major Project Milestones 	Andrew Branch	On-going	<ul style="list-style-type: none"> Approval of Requirements Approval of deliverables Resolution of issues
	Emails, Informal presentations, demos of software prototypes	Informational	As needed	<ul style="list-style-type: none"> Informal discussions Ad hoc 	<ul style="list-style-type: none"> Project Status 	Andrew Branch	On-going	<ul style="list-style-type: none"> Informational – NOT to be used to govern project direction
	Demo's	Informational	As needed	<ul style="list-style-type: none"> Formal presentation 	<ul style="list-style-type: none"> Software Development 	Andrew Branch	On-going	<ul style="list-style-type: none"> Feedback on functionality
External Partners (Vendors)	Contract Review Meetings	Mandatory	As needed	<ul style="list-style-type: none"> Formal Discussions Formal Presentations 	<ul style="list-style-type: none"> Contractual Documents 	Contracts Management	On-Going as Needed	<ul style="list-style-type: none"> Establish engagement rules with vendor
	Integration Discussions	Mandatory	At beginning of project then As needed	<ul style="list-style-type: none"> Visio Diagrams Meetings Workshops Demos JAD's 	<ul style="list-style-type: none"> Project Documents Architectural Designs Software demo Project Schedule 	Project Team	On-Going	<ul style="list-style-type: none"> Set Project direction Resolution of Issues
	Progress Review Meetings	Mandatory	At beginning of project then As needed	<ul style="list-style-type: none"> Formal Presentation Meetings Demos 	<ul style="list-style-type: none"> Project Documents Architectural Designs Software demo Project Schedule 	Project Team	On-Going	<ul style="list-style-type: none"> Set Project direction Resolution of Issues

11. CHANGE MANAGEMENT

11.1. Change Control Methodology

The FDC Change Management Control Methodology is scalable for a large-scale software development project due to the creation of a comprehensive framework that encompasses structured processes, stakeholder engagement, rigorous assessment, and meticulous implementation. This methodology ensures that all changes are efficiently managed, meticulously documented, and implemented with minimal risk, aligning the project with the strategic goals and compliance mandates of the FDC.

Establishing a Comprehensive Governance Structure

- **Formation of the Change Control Board (CCB):** FDC will establish a Change Control Board composed of key stakeholders from various departments such as IT, business units, legal, compliance, and cybersecurity. This board is pivotal in overseeing the change management process, granting approvals for substantial changes, and ensuring that all changes align with the organizational objectives and policies. It will meet on a bi-weekly basis to review formal [change request forms](#).
- **Defining Roles and Responsibilities:** roles and responsibilities across the change management spectrum will be clarified, including change proposers, analysts, reviewers, approvers, and implementers. This clarity ensures accountability and facilitates a smooth change management process.
- **Systematic Change Identification:** FDC will initiate a protocol for identifying all changes, encompassing software modifications, configuration adjustments, or any changes affecting the project's scope or timeline. Each change must be documented comprehensively inclusive of an impact assessment of the change using the Change Request Form. Once documented, the form must be submitted to the CCB for review.
- **Structured Change Submission:** The standardized form will be used for submitting change requests. This form will capture essential information, including the rationale behind the change, detailed impact analysis, necessary resources, proposed timeline, and a contingency plan for rollback.
- **Thorough Change Assessment:** The CCB will meticulously assess each change request, evaluating its impact on the project's scope, compliance implications, security risks, potential benefits, and associated risks. This step involves a detailed technical feasibility study, resource availability check, strategic alignment assessment, and if appropriate review of the vendor contract.
- **Rigorous Approval Process:** Following the assessment, changes will be classified as approved, denied, placed on hold, or deferred for additional information. FDC will document and communicate all decisions to relevant stakeholders, ensuring transparency and accountability. If approved and a contractual change is necessary, the contracts team will be engaged to make all contractual changes with the vendor. Upon signature, if the change request requires a formal contractual change request, the new work with associated costs will be documented on the Deliverable Log identified [Here](#) and work will begin with the Contracts Management Team to

ensure the contractual requirements are provided as appropriate to the vendor, budget team, and leadership teams.

- **Controlled Implementation and Testing:** Approved changes will be implemented in a controlled environment, adhering to a pre-defined schedule. FDC will conduct exhaustive pre-implementation testing in a staging environment to minimize risks. While emergency changes may have an expedited process, they will still require a thorough post-implementation review.
- **Comprehensive Documentation and Communication:** FDC will maintain detailed records of all changes, including submission, assessment, decision, implementation specifics, and review findings. Effective communication will be utilized to notify all stakeholders affected by the changes of pertinent details.
- **Insightful Post-Implementation Review:** FDC will perform a post-implementation analysis to evaluate the change's effectiveness, identify areas for improvement, and incorporate feedback into the change management protocol for future enhancements.

Enhanced Training and Support Framework

FDC will provide specialized training and resources to stakeholders involved in the change management process, ensuring comprehension of their responsibilities, the significance of adherence to policies, and the operational aspects of tools and systems used in managing changes.

Utilization of Advanced Tools and Technologies

If possible, FDC will engage the use of sophisticated change management software solutions that facilitate efficient tracking, management, and reporting of change requests; if not available, the RAID log will be utilized to track all changes. Analysis will be done to possibly choose software that supports workflow automation, real-time notifications, and seamless integration with the entity's existing project management and IT infrastructure.

Commitment to Continuous Process Improvement

FDC will engage in regular evaluations of the change management procedure to pinpoint improvement opportunities. Stakeholder feedback and insights will be leveraged that have been gained from past changes to refine and enhance the methodology continually.

Stringent Compliance and Audit Mechanisms

FDC will align the change management process with applicable regulations and industry standards. Periodic audits will be conducted to ensure strict adherence to the methodology, identifying non-compliance issues and areas needing improvement.

This enriched Change Management Control Methodology is tailored to meet the specific requirements and scale of the FDC's OBIS Modernization Project (CIMS) development project. It highlights the significance of structured processes, comprehensive stakeholder involvement, effective risk management, and an ongoing commitment to improvement, thereby ensuring the project's alignment with strategic objectives and enhancing the entity's capability to manage changes effectively.

11.2. Change Control Form

11.2.1. Definition:

A Change Control Form (CCF) is a formal document used within project management to propose, describe, and authorize changes to a project. This form serves as a critical component of the change management process, facilitating systematic evaluation and decision-making regarding modifications to project scope, resources, timelines, or processes. It typically includes information such as the details of the change, the rationale behind the request, expected impacts, benefits, and any risks involved. The form is reviewed by a Change Control Board or similar authority, which decides whether to approve, reject, or request further revisions to the proposed change. The use of a Change Control Form helps ensure that all changes are controlled and documented, maintaining project integrity and alignment with its objectives.

11.2.2. Use in Change Control Process:

- **Initiation:** Any stakeholder wishing to propose a change, including developers, project managers, or department representatives, must complete a CCF. This form requires detailed information about the nature of the change, the reason behind it, and the proposed implementation strategy.
- **Submission:** The completed form is submitted to the CCB. The board typically consists of key project stakeholders such as project leads, department heads, IT security officers, and representatives from the Florida Department of Corrections.
- **Preliminary Review:** The CCB conducts an initial review to determine the completeness of the form and the change's relevance to the project's scope and objectives.
- **Detailed Analysis:** If the CCB deems the change significant and relevant, a detailed impact analysis is conducted to assess various aspects of the proposed change. This analysis is often performed by specialized subcommittees or external consultants, depending on the nature of the change.

11.2.3. Types of Impact Assessments:

- **Technical Impact:** Evaluates the change's effect on the system architecture, technology stack, and overall technical integrity. This includes software dependencies, network configurations, and data management systems.
- **Financial Impact:** Determines the financial implications, including cost-benefit analysis, budget adjustments, and resource allocation. This analysis helps in understanding whether the change provides a return on investment or requires additional funding.
- **Operational Impact:** Assesses how the change would affect day-to-day operations. This includes user workflows, system availability, and alignment with operational policies and procedures of the Department of Corrections.
- **Schedule Impact:** Assess how the change would impact the project schedule, resources assigned, and deliverable date(s).
- **Security Impact:** Critical for the corrections environment, this analysis looks at the potential risks and vulnerabilities introduced by the change. It evaluates compliance with relevant security standards and policies, such as data protection regulations and access controls.
- **Legal and Compliance Impact:** Reviews any legal implications due to the change, ensuring compliance with state laws and regulations specific to the operations of correctional facilities. This includes data handling laws, privacy policies, and any contractual obligations.

- **User Impact:** Analyzes how the change will affect the end users, focusing on usability, training needs, and support requirements. This includes assessing the potential disruption to users and planning for adequate training and documentation.
- **Enterprise Impact (Impact to other projects):** Assess how the change would impact other projects in either functionality, performance, or schedule.

Approval Process: After the impact assessments, the CCB reviews all findings and decides whether to approve, reject, or request modifications to the proposed change. This decision is documented in the CCF and the Change Log (see next section), along with any conditions or stipulations. The CCF is then passed to Management approvers for approval, denial, to be placed on hold, or deferred for more information.

Approved changes are documented and integrated into the project plan. The CCF serves as a historical record, helping track the evolution of the project and ensuring that all changes are aligned with the project's goals and regulatory requirements.

11.3. Change Control Log

11.3.1. Definition:

A Change Log is a record of all changes made to the project, including software updates, configuration changes, and any alterations in project scope, requirements, or objectives. It will include details about the change (what was changed, why, and by whom), the date of the change, and the effects of the change on the project timeline and deliverables. Additionally, it will track the change through the various stages of: Identification, Impact Assessment, Management Decision, and Execution. See example of [Change Log](#) in [Appendix C](#).

11.3.2. Use in Software Development Process:

In a large-scale software development project like CIMS, a Change Log serves as a tool for tracking and managing changes throughout the lifecycle of the project. It will be used to:

- Document all requests for changes by stakeholders, including new features, bug fixes, and enhancements.
- Record decisions made regarding these requests, including approvals, rejections, or revisions.
- Track the implementation of approved changes, including who made the change, when, and what specific alterations were made to the codebase or documentation.
- The process will involve regularly updating the Change Log as changes are proposed, reviewed, approved, and implemented by the CAB. This ensures that all team members and stakeholders have a clear, up-to-date understanding of the project's evolution and can adapt their work and expectations accordingly.

12. INTEGRATION MANAGEMENT

The FDC is embarking on a groundbreaking initiative with the Correctional Information Management System (CIMS) project. This ambitious effort seeks to transform a 40-year-old mainframe system into the latest, most supportable technology. The project underscores our commitment to technological advancement, efficiency, and the security of the state's correctional system. This section of the project management plan outlines the approach to integration management, a critical component ensuring the seamless transition from old to new, the integration of various subsystems, and the cohesive operation of the entire CIMS ecosystem.

12.1. Integration Management Objectives

The main objectives of integration management planning include:

- **Seamless Integration:** Ensure that all components of CIMS work together with minimal disruptions to the ongoing operations of the Florida Department of Corrections.
- **Data Integrity and Security:** Maintain the highest standards of data integrity and security during and after the transition.
- **Stakeholder Engagement:** Keep all stakeholders informed and involved throughout the process to ensure that the system meets the operational needs and security requirements of the Department.

12.2. Integration Management Roles and Responsibilities

- **Project Manager:** Oversees the integration management process, ensuring that it aligns with the project's objectives and timelines.
- **Integration Team:** A multidisciplinary team responsible for planning, executing, and monitoring the integration process. This includes IT specialists, system analysts, developers, and testers.
- **Stakeholder Representative Group:** A panel consisting of representatives from various departments and levels within the Florida Department of Corrections. This group will provide input, feedback, and ensure that the system meets operational needs.

Integration management is a cornerstone of the CIMS project, ensuring that we not only upgrade our technological infrastructure but also enhance the efficiency, security, and effectiveness of the Florida Department of Corrections. By following a structured, stakeholder-focused approach, we will navigate the complexities of this large-scale transformation and achieve a successful transition to a modern, integrated correctional information management system.

In order to achieve the objectives, the project team must use the integration strategy and group the effect into phases with clearly identified objectives and activities.

12.3. Integration Management Strategy

The Integration Management Strategy is a detailed plan encompassing the identification, coordination, and execution of all steps necessary to ensure that the various components of CIMS are seamlessly integrated, both technically and functionally, into the Florida Department of Corrections' operational environment. By

executing a thorough and detailed integration planning phase, the CIMS project will lay the groundwork for a successful system overhaul that enhances operational efficiency, data integrity, and security for FDC.

12.3.1. Integration Planning

FDC will develop a detailed integration plan that identifies all necessary subsystems, interfaces, and interactions within the CIMS architecture. This plan will outline the technical and procedural steps required to ensure that these components operate as a unified system. Activities within the planning phase will include:

- **Define Integration Requirements:**
 - **Define Requirements:** Clearly articulate the technical and operational requirements for integrating new and existing systems within the CIMS architecture. This includes compatibility with current hardware, software, and network infrastructures.
 - **Engage Stakeholders:** Stakeholders will be engaged across the Department to gather detailed integration requirements to ensure that the system's design and functionality align with the operational needs and expectations of all users.
- **Map System Interdependencies:**
 - **Map Interdependencies:** Identify and map out all interdependencies among CIMS components and existing systems. Understanding these relationships is crucial for prioritizing integration tasks and anticipating potential challenges.
 - **Architectural Review:** These relationships will be identified through the conducting of a thorough review of the existing system architecture alongside the proposed CIMS architecture. This review will identify necessary changes, adaptations, and opportunities for simplification or improvement in the integration process.
- **Develop Integration Roadmap:**
 - **Roadmap of Activities:** Outline a comprehensive integration roadmap that schedules all integration activities. This roadmap will be aligned with the overall project timeline, ensuring that integration efforts proceed in lockstep with development and deployment phases.
 - **Methodology:** FDC will need to choose the most appropriate integration methodologies, whether it be point-to-point, hub-and-spoke, or a service-oriented architecture (SOA), based on the system requirements presented by the Systems Integrator and the Department's Application Framework as previously identified. The chosen methodology will guide the development of integration points and interfaces.
 - **Tool and Technology Evaluation:** Assess and select tools and technologies that support the integration process. This includes middleware, data transformation tools, and API management platforms, ensuring they are compatible with the Department's IT infrastructure and security protocols.
 - **Risk Assessment and Mitigation Planning:** Perform a detailed risk assessment focusing on integration activities. Identify potential risks related to data integrity, system performance, and security. Develop a mitigation plan to address these risks, incorporating contingency plans for critical integration points.
 - **Integration Testing Strategy:** Develop a comprehensive integration testing strategy that includes unit testing, interface testing, and end-to-end system testing. This strategy will ensure that all components interact correctly and meet performance benchmarks before full-scale deployment.

- Data Migration Strategy: Plan the data migration process, ensuring that data from the legacy system is accurately and securely transferred to the new CIMS platform. This includes mapping data fields, cleansing data, and conducting trial migrations to validate the process.
- Integration Plan Document
 - Produce Document: Produce a detailed integration plan document that encapsulates all aspects of the integration planning phase. This document will serve as a blueprint for the integration team and a communication tool for stakeholders.
 - Ensure Regular Updates: Provide regular updates to all stakeholders on the progress of the integration planning phase. Use these updates to solicit feedback, make adjustments, and ensure alignment with the project's goals and timelines.

12.3.2. Interface Design and Development

The Interface Design and Development phase is pivotal in ensuring the Correctional Information Management System (CIMS) project's seamless integration and interoperability among various system components and with external systems. This phase focuses on designing and developing robust, secure, and user-friendly interfaces that facilitate efficient communication and data exchange between different components of CIMS. This includes ensuring compatibility with existing systems and databases that are crucial for the department's operations. Given the complexity and the critical nature of the Florida Department of Corrections' operations, this phase will be meticulously planned and executed with an emphasis on security, usability, and performance. Activities in this phase will include:

- **Ensure Compatibility**: Design interfaces that ensure compatibility between the new CIMS components and existing departmental systems, allowing for smooth data flow and system integration.
 - Interface Requirements Analysis: Conduct a comprehensive analysis to define the specific requirements for each interface, considering the data to be exchanged, the frequency of interactions, security requirements, and the user experience. This analysis will guide the design and development efforts.
 - Design Specifications: Develop detailed design specifications for each interface, outlining the data structures, communication protocols, security measures, and error handling procedures. These specifications serve as a blueprint for development and ensure consistency across all interfaces.
- **Enhance Security**: Prioritize the security of data exchange through the implementation of industry-standard encryption protocols and authentication methods.
 - Selection of Integration Technologies: Evaluate and select the appropriate technologies and tools for interface development, such as middleware, API gateways, and data format standards (e.g., XML, JSON). The selection will be based on compatibility with existing systems, security features, and scalability.
 - Development and Coding: Undertake the development of interfaces according to the design specifications. This includes coding the data exchange logic, implementing security protocols, and creating user interface elements where necessary.
 - Security Measures Implementation: Incorporate robust security measures, including encryption for data in transit and at rest, secure authentication mechanisms, and access controls. These measures are critical to protecting sensitive information and ensuring compliance with regulatory standards.

- **Optimize Performance:** Develop interfaces that optimize system performance, ensuring timely and reliable access to information for all users.
 - Performance Optimization: Apply best practices for performance optimization, such as efficient data serialization/deserialization, caching strategies, and minimizing the complexity of data transformations. These efforts aim to reduce latency and improve the responsiveness of the system.
 - Testing and Validation: Conduct rigorous testing of each interface, including unit testing, integration testing, and security testing. This phase ensures that the interfaces meet all requirements, function correctly under various scenarios, and are secure from potential vulnerabilities.
 - Documentation and Knowledge Transfer: Create comprehensive documentation for each interface, detailing its functionality, configuration settings, and usage guidelines. This documentation will be crucial for ongoing maintenance, future development, and training purposes.
 - Stakeholder Feedback and Iteration: Engage with stakeholders, including OIT staff and end-users, to gather feedback on the usability and functionality of the interfaces. Use this feedback to make iterative improvements, enhancing user satisfaction and system effectiveness.

12.3.3. System Integration Testing (SIT)

The SIT phase is aimed at ensuring that all newly developed and existing systems work together as a cohesive unit. It involves comprehensive testing of the integrated system to identify and verify that all CIMS components interact correctly with each other and perform as intended. This will involve scenario-based testing to simulate real-world operations and ensure the system can handle the complexities of the department's requirements. The focus will be on verifying data consistency, workflow functionality, and system performance under various conditions. Activities within this phase will include:

- **Verify System Interoperability:** Ensure that all components of CIMS, including software modules, databases, and interfaces, interact correctly with each other and with external systems.
 - Develop SIT Plan: Create a detailed SIT plan that outlines the testing strategy, scope, scenarios, and schedules. The plan should prioritize tests based on risk and impact, ensuring critical integration points are thoroughly validated.
 - Prepare Test Environment: Set up a test environment that closely mirrors the production environment, including all necessary hardware, software, network configurations, and data sets. This environment will be used to conduct the integration tests without impacting live operations.
 - Define Test Cases and Scenarios: Develop comprehensive test cases and scenarios that cover all aspects of system integration, including data exchange, user interactions, system workflows, error handling, and failover processes. These test cases should be designed to simulate real-world operations as closely as possible.
- **Ensure Data Integrity and Consistency:** Validate that data is accurately shared and maintained across different system components without loss or corruption.
 - Automate Testing Processes: Wherever feasible, automate the testing process to increase efficiency and ensure repeatability. Automated testing tools can be used to execute test cases, compare expected and actual results, and report discrepancies.

- Execute Test Cases: Carry out the integration tests according to the SIT plan, meticulously documenting the testing process and any issues encountered. This involves running the test cases, monitoring system behavior, and validating outcomes against expected results.
- **Confirm Workflow Accuracy**: Test the system's ability to execute all defined workflows correctly, ensuring that business processes are supported as intended.
 - Issue Resolution and Re-testing: Identify and document any issues discovered during testing, categorizing them based on severity and impact. Work collaboratively with the development team to resolve these issues and then re-test to confirm that the solutions are effective and do not introduce new problems.
 - Performance Testing: Conduct performance testing as part of SIT to assess the system's behavior under various load conditions. This includes stress testing, load testing, and scalability testing to ensure the system can handle the expected operational load.
- **Assess System Performance**: Evaluate the integrated system's performance, including response times and throughput, under normal and peak load conditions.
 - Security Testing: Integrate security testing within the SIT phase to identify vulnerabilities and assess the system's resilience against potential security threats. This includes testing for common vulnerabilities, encryption protocols, and access control mechanisms.
 - User Acceptance Testing (UAT) Preparation: Prepare for User Acceptance Testing by ensuring that all integration issues are resolved, and the system is stable. Provide comprehensive documentation and training to UAT participants to facilitate effective testing.

12.3.4. Data Migration and Integration:

The Data Migration and Integration Phase includes ensuring data accuracy, consistency, and security during the migration process using a seamless transition plan for OBIS data into the new system. This phase focuses on accurately, securely, and efficiently moving OBIS data (both current and historical) to the CIMS platform, while also establishing continuous data integration processes for ongoing operations. Given the sensitivity and criticality of the data handled by the Florida Department of Corrections, this phase will be meticulously planned and executed to uphold the highest standards of data integrity and security. Activities will include:

- **Ensure Data Accuracy and Integrity**: Guarantee that all data migrated to the CIMS is accurate, complete, and maintains its integrity, without any loss or corruption.
 - Data Assessment and Mapping: Conduct a thorough assessment of the legacy system's data architecture, identifying all data sources, formats, and dependencies. Develop a detailed mapping strategy that outlines how each data element will be translated, transformed, and loaded into the CIMS. A Data Bridge between the vendor solution and the FDC Data Warehouse as a single source of truth must be outlined as to all Extract, Transformation, and Loading (ETL) procedures.
 - Data Cleansing: Before migration, cleanse the data to improve its quality and usability. This step involves correcting errors, removing duplicates, and standardizing formats to ensure the migrated data is clean, consistent, and compliant with the CIMS data standards.
 - Migration Planning: Develop a comprehensive data migration plan that includes timelines, tools, resources, and methodologies. This plan should also detail the migration's phases, such as pilot migration, full-scale migration, and post-migration validation.
- **Secure Data During Migration**: Protect data from unauthorized access, alteration, or breach during the migration process, employing stringent security protocols.

- Security Measures Implementation: Implement robust security measures throughout the migration process. This includes encrypting data in transit and at rest, using secure data transfer protocols, and ensuring that access to data is strictly controlled and monitored.
- **Minimize Downtime**: Execute the migration in a manner that minimizes system downtime, ensuring continued operational capabilities throughout the process.
 - Pilot Migration: Conduct a pilot migration with a subset of the data. This step allows the team to validate the migration process, including the data mapping, transformation logic, and the effectiveness of the security measures. It also helps in identifying any potential issues before the full-scale migration.
 - Full-Scale Migration: Execute the full-scale data migration according to the migration plan. This involves transferring all legacy data to the CIMS, applying the predefined mapping and transformation rules to ensure data is correctly formatted and integrated into the new system.
 - Data Verification and Validation: After migration, conduct a comprehensive verification and validation process to ensure all data has been accurately migrated and integrated. This includes comparing source and target data, conducting integrity checks, and validating with end-users to ensure the data meets operational needs.
 - Integration Testing: Perform integration testing to ensure that the migrated data works seamlessly within the CIMS ecosystem and interacts correctly with other systems and processes.
- **Enable Real-Time Data Integration**: Establish mechanisms for ongoing, real-time data integration between the CIMS and other systems, supporting seamless operational workflows.
 - Real-Time Integration Setup: Establish and configure real-time data integration mechanisms, such as APIs or middleware, to facilitate ongoing data exchanges between CIMS and external systems. This setup should support the automatic updating and synchronization of data across systems. A detailed data bridge plan will be created upon selection of a Systems Integrator to ensure timely integration of data.
 - Training and Documentation: Provide training to relevant staff on the new data architecture, migration tools, and integration processes. Create comprehensive documentation that outlines the data migration strategy, processes, and guidelines for future reference.

12.3.5. Continuous Monitoring and Feedback Loop:

The Continuous Monitoring and Feedback Loop phase focuses on establishing a robust framework for ongoing monitoring of system operations and performance, coupled with a structured approach to collecting and integrating feedback from all stakeholders. This ensures CIMS remains aligned with the evolving needs of the FDC and continues to deliver value effectively and efficiently. By implementing a continuous monitoring mechanism to track the performance of the integrated system, FDC will be able to identify any issues promptly. This will be supported by a feedback loop involving all stakeholders to ensure the system evolves to meet changing requirements and challenges. Activities will include:

- **Establish Monitoring and Feedback Protocols**: Setup monitoring with appropriate tools, protocols, Key Performance Indicators, and establish a method of collecting feedback from stakeholders.
 - Establish Monitoring Tools and Protocols: Implement a suite of monitoring tools and protocols that cover various aspects of the system, including performance metrics, security alerts, and user activity. This setup should provide real-time insights into the health and functionality of

the CIMS. Establish an enterprise-wide monitoring framework that includes key performance indicators (KPIs) relevant to both the CIMS project and the broader organizational goals. Ensure that the feedback loop is robust, enabling continuous improvement based on real-time insights.

- Define Key Performance Indicators (KPIs): Identify and define a set of KPIs relevant to the system's operational goals and stakeholder expectations. These KPIs will serve as benchmarks for ongoing monitoring and evaluation.
- Develop a Feedback Collection Mechanism: Create structured mechanisms for collecting feedback from users and other stakeholders. This could include surveys, focus groups, user forums, and direct feedback channels. Ensure that these mechanisms are accessible and promoted to encourage wide participation.
- **Maintain System Performance and Security**: Continuously monitor the system to ensure optimal performance and uphold stringent security standards, identifying and addressing issues proactively.
 - Regular Reporting and Review Meetings: Schedule regular reporting intervals and review meetings with key stakeholders to discuss system performance, address any issues identified through monitoring, and evaluate feedback received. This ensures ongoing alignment with departmental goals and stakeholder needs.
 - Issue Tracking and Resolution Process: Implement an issue tracking and resolution process that systematically addresses problems identified through monitoring or feedback. Prioritize issues based on their impact on operations and security, and assign clear responsibilities for resolution.
- **Adapt to Changing Operational Needs**: Utilize stakeholder feedback to adapt the system to changing operational needs and enhancements, ensuring the CIMS remains functional and relevant.
 - Feedback Integration and System Adjustment: Develop a process for integrating stakeholder feedback into system development and adjustment plans. This includes assessing feedback for actionable insights, planning enhancements or modifications, and scheduling development cycles for implementation.
 - Security and Compliance Audits: Conduct regular security and compliance audits to ensure the CIMS adheres to legal, regulatory, and departmental standards. These audits help identify potential vulnerabilities and reinforce the system's security posture.
 - Performance Optimization Initiatives: Based on monitoring data and stakeholder feedback, initiate projects aimed at optimizing system performance. This could involve upgrading infrastructure, refining code, or enhancing user interfaces to improve efficiency and user satisfaction.
- **Foster Stakeholder Engagement**: Engage with stakeholders regularly to collect feedback, building trust and ensuring the system meets their needs and expectations.
 - Training and Awareness Programs: Organize ongoing training and awareness programs for users to ensure they are fully informed about system features, updates, and best practices. This engagement helps maximize the system's utility and fosters a positive user experience.
 - Documentation and Knowledge Management: Maintain comprehensive documentation of monitoring results, feedback received, and actions taken. This documentation serves as a knowledge base for future reference and decision-making.

12.3.6. Stakeholder Communication:

Effective communication ensures that all stakeholders are informed, engaged, and aligned with the project's objectives, timelines, and deliverables. This phase is designed to foster transparency, trust, and collaboration between the project team, department personnel, external partners, and any other stakeholders involved in or affected by the CIMS project. By maintaining open and continuous communication with all stakeholders (including department leadership, OIT staff, correctional officers, and other end-users), it is ensured that everyone is informed about the integration process, progress, and any impacts on operations.

Implementing a structured, proactive integration strategy allows the project team to effectively navigate the complexities of this transformative CIMS initiative, fostering a collaborative environment that contributes to the project's ultimate success and the advancement of the Florida Department of Corrections.

Implementing a communication strategy that regularly informs stakeholders of integration progress, challenges, and alignment with broader enterprise goals allows the project team to effectively navigate the complexities of this CIMS initiative, fostering a collaborative environment that contributes to the project's ultimate success and the advancement of the Florida Department of Corrections. This strategy will include executive summaries that focus on strategic alignment and long-term benefits.

13. ORGANIZATIONAL CHANGE MANAGEMENT

A comprehensive Organizational Change Management (OCM) Plan has been created for the OBIS Modernization Project (CIMS) project.

Definition: Change management is the discipline that guides how we prepare, equip and support individuals to successfully adopt change to drive organizational success and outcomes. Helping individuals through their individual change journeys enables organizations to:

- Address different impacts on people and teams
- Deliver people-dependent ROI
- Close the gap between requirements and results
- Increase the likelihood of project success
- Mitigate mission-critical risk
- Limit variability in change

Impact a typical change can have on an individual:



13.1. Change Management Office

The CIMS project, as it is expected to have wide-ranging impact to multiple stakeholder environments, will require Change Management to construct a customized strategic plan to prepare the stakeholder environment. Using the Change Management Office, a center of excellence, we will ensure the impacted stakeholders have a voice, individuals are prepared for the changes to their role/processes and get any/all help needed to transition to the new system state. Change Management will be the bridge from the current

to future state. We will work together with Project Management teams to ensure stakeholders are adequately prepared for the changes to systems and processes.

The key objectives of the change management governing body are as follows:

- Much like the Project Management Office is to Project Management, the Change Management Office provides guidance on all matters related to the process
- Integration with all levels of Project Management
- Standardized tool and methodologies to promote and ensure seamless user adoption
- Strong alignment with sponsors and leaders
- Process execution is administered via a Change Network consisting of roles such as OCM Lead, Champions, Practitioners, and Sponsors
- Routinely maintain and improve organizational readiness
- Constantly promote value proposition through improved project success rates, highly favorable user adoption rates, change saturation and portfolio visibility, optimal organizational capability, and consistency via standardization to achieve predictable outcomes.

13.2. The Roles/Responsibilities

Activities	CMO	OCM Lead	Practitioner	Champion	Communities of Practice (Agents)
Change Management Strategy	A	R	R	I	C
Communication Strategy/Plan	I	A	R	C	C
Stakeholder Analysis	I	A	R	C	C
Leadership / Sponsorship Coaching	A	R	R	C	I
Change Champion Program	A	C	R	R	I
CM Team Effectiveness Plan	R	C	C	C	I
Risk Mitigation Plan	A	R	R	C	C
Support and Reinforcement Plan	A	R	R	C	C
Readiness Plan	A	R	R	C	C
Dashboards	R	C	C	I	I
Change Training	I	A	R	C	I
End User Communication	I	R	R	R	C
Manager/Supervisor Communication	A	R	R	C	I
Recognition & Celebrations	A	R	R	I	I
Lessons Learned	A	R	R	C	C
Post Implementation Review	A	R	C	C	C

- **CMO Manager:** Leadership at the CMO level
 1. Considered Accountable on the RACI chart
 2. Responsible for updating management on the state-of-affairs as they pertain to ECM
 3. Selecting CMO members
 4. Accountable for evaluating competency performance, process adoption, process standardization levels, process maturity
 5. Key strategic decision as it pertains to process growth and expansion
- **OCM Lead(s): Leadership of change direction at the program level**
 1. Works in conjunction with the CMO Manager to set direction for change initiatives
 2. Sets direction for the path of projects based on Tier classification by following CMO guidelines
 3. Functional manager for Change Practitioners of the individual initiatives
 4. Role to have a finite start and end based on the project's lifecycle
 5. Considered Responsible on the RACI chart for individual project's change management involvement
- **Sponsor (per Project): Selected by the business to support the Change Management** approach to the project
 1. Works closely with the CMO Manager and OCM Lead to gauge progress on Change initiative
 2. High level advocate of Change Management
 3. Presents feedback/input to CMO on better managing changes
 4. **Change Champion (designated business representative based on the project):**
 1. Selected by Sponsor (business) and based on the characteristics/competency criteria for a Change Champion
 2. Key liaison to the business
 3. Heavy involvement with Marketing of business sector/department collaboration
 4. Assists the Change Practitioner team with process application as it pertains to the business stakeholder
 5. Is able to attend regular cadences as it pertains to the Change Management phases
 6. Required to attend applicable Change Management training (internal) to become fully competent on the process
- **Change Practitioner (vendor, FTE, PT):** Responsible for executing the methodologies and practices as it pertain to Change Management
 1. Is expected to be versed in the field of Change Management and should have prior experience
 2. Is expected to routinely build and improve business acumen of the targeted stakeholder environment for the project
 3. Expected to take any/all applicable training (internal) to further competency levels
 4. Expected to participate on routine Change Management meetings with OCM Lead, Champions, and/or CMO Manager
 5. Expected to adhere to the general principles as they are outlined by the CMO
- **Communities of Practice**
 1. Extension of the internal Change Network team
 2. Vocal and visible advocates at the stakeholder level

3. Routinely promotes the positives about change initiatives
4. Receives high level Organizational Change Management training
5. Good gauge of resistive behavior

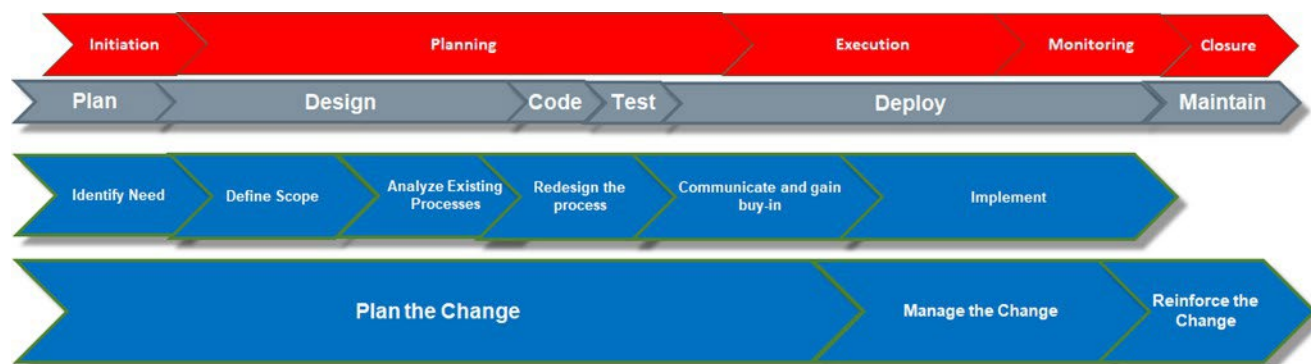
13.3. Integration of Project Management with Change Management

Project management and change management are complementary disciplines because they each provide focus, processes, and tools for moving through the transition toward the future state. The common objective, in times of change, is to improve the performance of the organization with a project or initiative—to reach a desired future state. A successful change is characterized by a solution that is effectively designed, developed, and delivered (project management) and that is embraced, adopted, and used by impacted employees (change management).

Project management and change management each contribute a critical ingredient to successful change. Although they vary in terms of focus and approach, each are essential to navigate the transition state to reach a future state. Successful change ultimately depends on a solution that is effectively designed, developed, and delivered and in turn is also embraced, adopted, and used proficiently by employees impacted by the change.

Integration Diagram:

Project Management, Software Development Lifecycle, Business Process Reengineering, and Change Management



13.4. ADKAR

At the individual level, our Change Network team will focus on the five elements that must be achieved for any change to be successful. The elements are programmatically known as ADKAR within Change Management and the following table explains each focal area and offers a straightforward explanation of each element’s intent:

ADKAR element:	Definition:	What you hear:	Triggers for building:
A Awareness	Of the need for change	"I understand why..."	Why? Why now? What if we don't?
D Desire	To participate and support the change	"I have decided to..."	WIIFM Personal motivators Organizational motivators
K Knowledge	On how to change	"I know how to..."	Within context (after A&D) Need to know <i>during</i> Need to know <i>after</i>
A Ability	To implement required skills and behaviors	"I am able to..."	Size of the K-A Gaps Barriers/Capacity Practice/Coaching
R Reinforcement	To sustain the change	"I will continue to..."	Mechanisms Measurements Sustainment

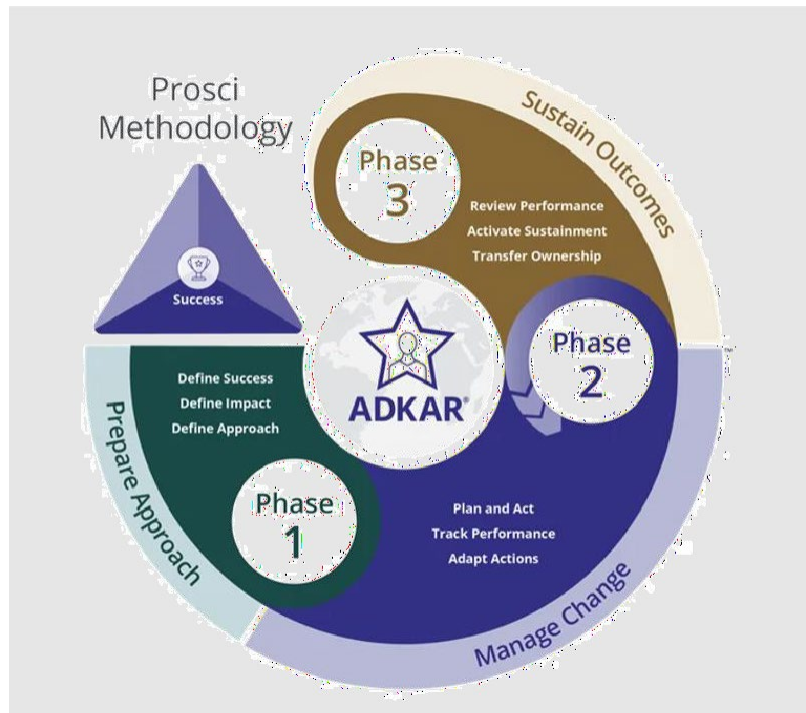
Our Change Management program subscribes to the use of this methodology, and we firmly believe without this individualized approach, one may expect the results as outlined in the table below if specific elements of the applied approach are skipped:

Example Consequences of Missing ADKAR Elements

	Without Awareness and Desire you will see:	<ul style="list-style-type: none"> • Employees asking the same questions over and over • Lower productivity and higher turnover • Hoarding of resources and information • Delays in implementation
	Without Knowledge and Ability you will see:	<ul style="list-style-type: none"> • Lower utilization or incorrect usage of new systems • Employees worry whether they can be successful in the future • Greater impact on customers and partners • Sustained reduction in productivity
	Without Reinforcement you will see:	<ul style="list-style-type: none"> • Employees revert back to old ways of doing work • Ultimate utilization is less than anticipated • The organization creates a history of poorly managed change

13.5. OCM Phases

Together with the individual focus elements, we combine three key Change Management phases, Plan, Manage, and Reinforce as they are outlined by the premier authority body on Change Management, Prosci. This best practice ensures optimal user readiness levels for each transformational initiative.



13.6. Prosci Methodology

The Prosci Methodology of OCM serves as a robust framework for executing the ADKAR method effectively in software development projects. Prosci emphasizes a structured approach to managing change, focusing on three key phases:

- Preparing for change
- Managing change
- Reinforcing change

Within the ADKAR method, Prosci's methodology plays critical role in each phase:

- **Preparation Phase:** Prosci's research-based tools and assessments help identify stakeholders, assess their readiness for change, and develop tailored strategies for communication and engagement.
- **Managing change:** As the change is implemented, Prosci provides guidance on managing resistance, facilitating training and skill development, and ensuring effective communication

channels are established. Additionally, Prosci’s change management plans align with the ADKAR model’s stages, addressing awareness, desire, knowledge, ability, and reinforcement in a structured and systematic manner.

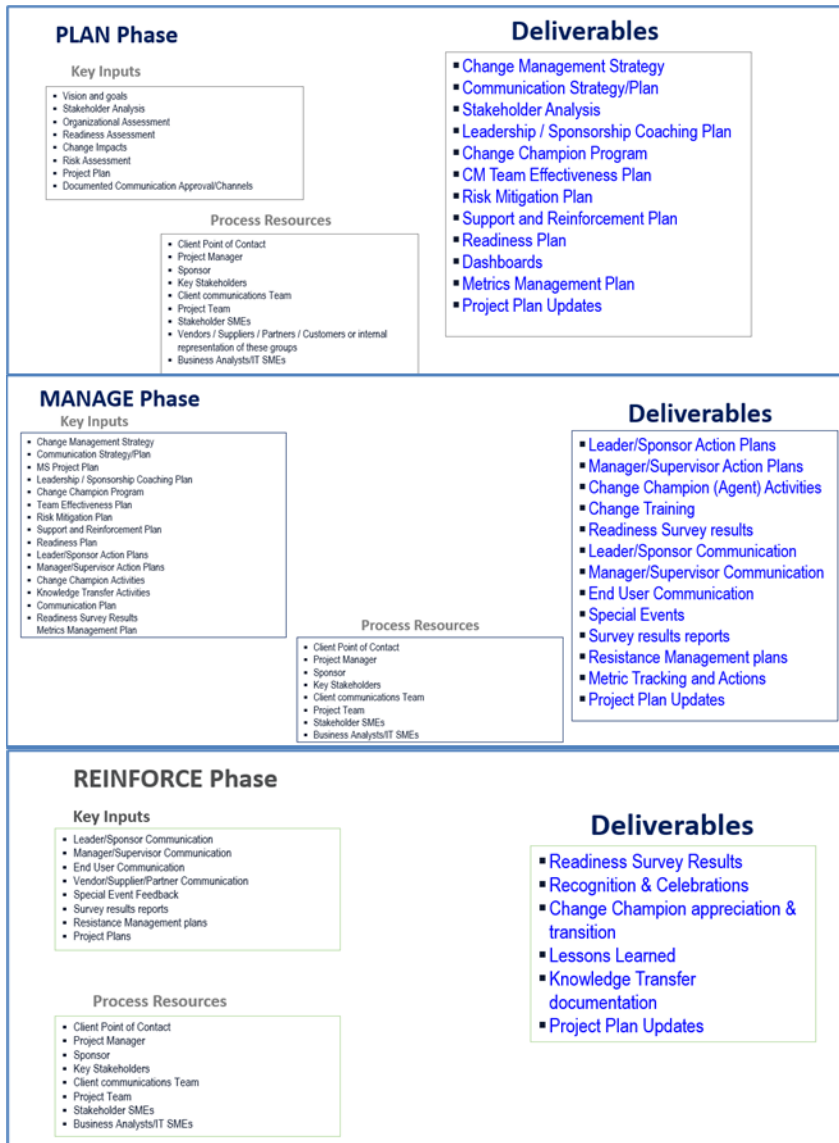
- **Reinforcement Phase:** Prosci’s methodology offers techniques for measuring and sustaining the change, ensuring that new processes and behaviors become ingrained in the organizational culture. By integrating the Prosci Methodology with the ADKAR model, organizations can navigate complex software development projects with confidence, achieving lasting change and maximizing project success.

13.6.1. Key Questions By Phase

To further illustrate, see the following process phases and the questions the Change Network will use to develop executable plans to fully prepare the end-user environments:



13.6.2. Standard deliverables by Phase



13.7. Organizational Impact Analysis

Users both internal to FDC and external agencies, private organizations, and federal agencies will be impacted by the change from OBIS to CIMS. See SIPOC model for complete identification of impacted users who input data into OBIS in present state and consumers / customers of the data on the Outputs from OBIS in present state. Additional indirectly impacted users are all users of TRP applications who utilize web applications and SQL databases that receive data extracts from OBIS.

There are a *total number of 11,847 OBIS users* identified in the current OBIS system, plus an additional 2,196 external users that have a user ID into OBIS. Of the 11,847 the breakout between internal and external is:

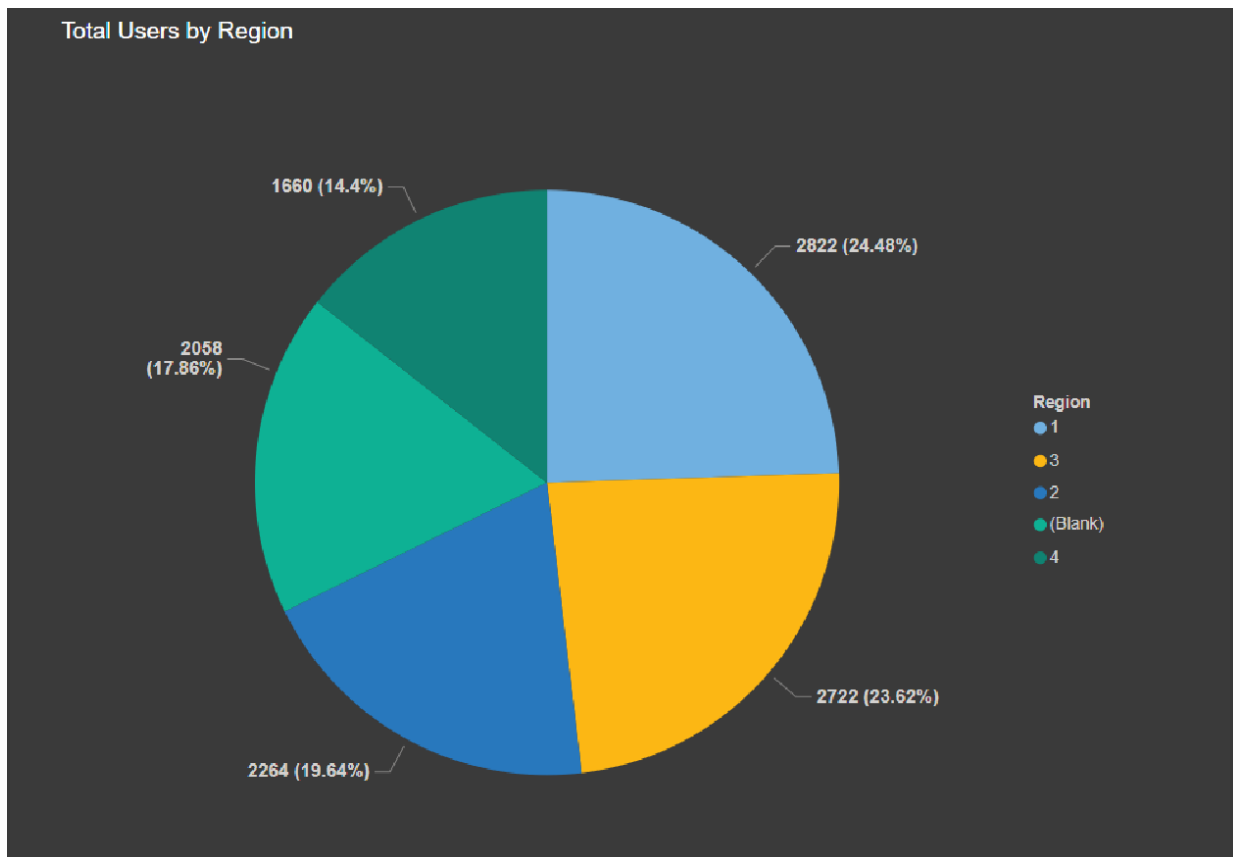
- Internal: 11,905
- External: 204

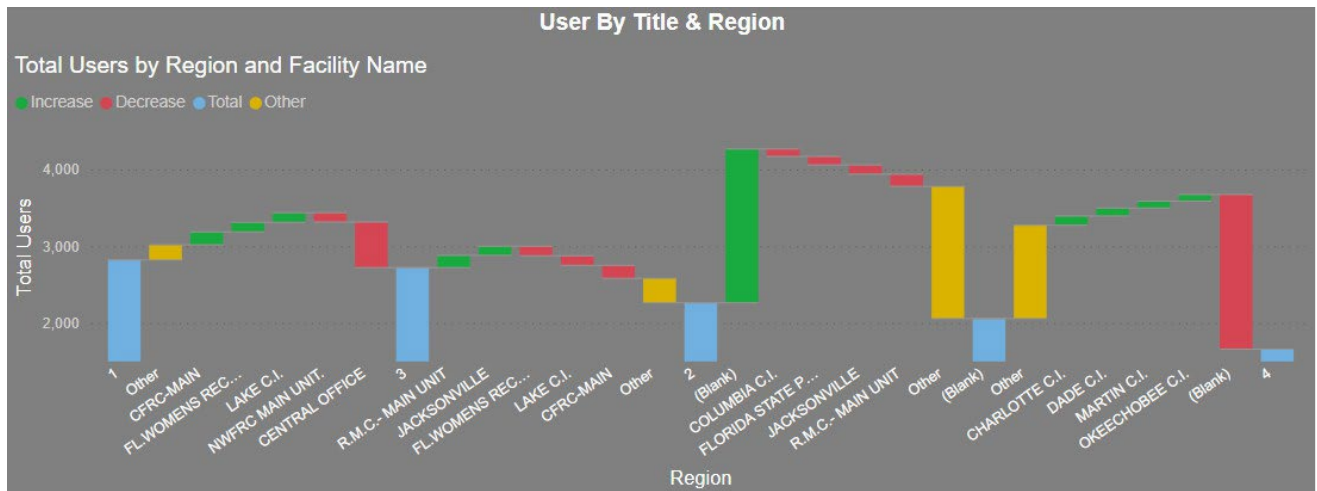
Note: For a graphical representation of Impacted Users, Organizations, and other Customers, please see [SIPOC Model](#).

Note: For a breakdown of Impacted Users, Organizations, and other Customers, please see [Appendix B](#).

13.8. Stakeholder Analysis

13.8.1. User Counts by Region





Internal Users: 11,905

External Users: 204

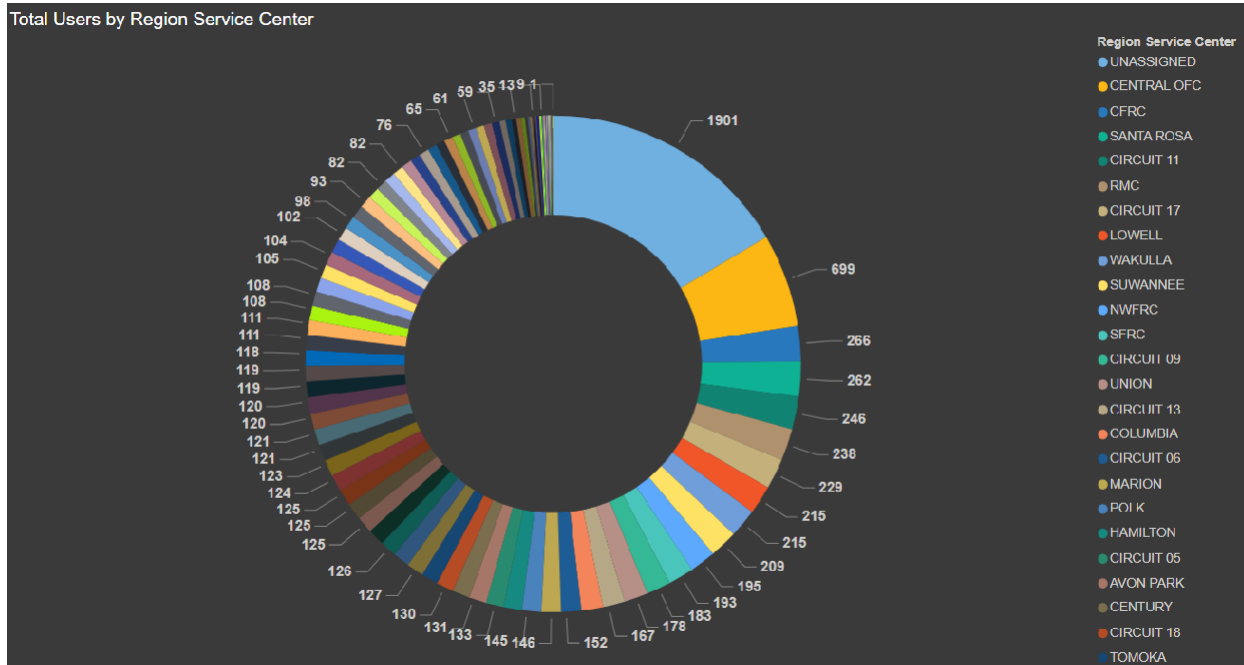
Region	Total Users
APALACHEE	111
AVON PARK	131
BAKER	60
BAKER CI	3
BAY	1
BLACKWATER	1
C.O.	12
CALHOUN	66
CALHOUN CI	2
CENTRAL OFC	699
CENTURY	131
CFRC	268
CHARLOTTE	126
CIRCUIT 01	121
CIRCUIT 02	76
CIRCUIT 03	61
CIRCUIT 04	120
CIRCUIT 05	133
CIRCUIT 06	152
CIRCUIT 07	124
CIRCUIT 08	64
CIRCUIT 09	183
CIRCUIT 10	127
CIRCUIT 11	246
CIRCUIT 12	82

CIRCUIT 13	167
CIRCUIT 14	82
CIRCUIT 15	104
CIRCUIT 16	15
CIRCUIT 17	229
CIRCUIT 18	130
CIRCUIT 19	86
CIRCUIT 20	102
CO	13
COLUMBIA	162
CROSS CITY	125
DADE	98
DADE CI	6
DADE CI	6
DESOTO	125
DESOTO CI	6
EVERGLADES	106
FL WOMENS RC	6
FRANKLIN	70
FRANKLIN CI	5
FSP	118
FWRC	119
GADSDEN CF	11
GADSDEN RC	46
GRACEVILLE	1
GULF	96
GULF CI	2

HAMILTON	138
HARDEE	108
HARDEE CI	6
HERNANDO	63
HOLMES	105
HOLMES CI	3
HOMESTEAD	61
JACKSON	125
JACKSON CI	2
JEFFERSON	78
LAKE	119
LAKE CI	7
LANCASTER	121
LAWTEY	65
LAWTEY CI	2
LIBERTY	104
LIBERTY CI	4
LOWELL	215
LOWELL CI	12
MADISON	77
MADISON CI	1
MARION	146
MARION CI	4
MARTIN	123
MARTIN CI	8
MAYO	82
MAYO CI	9
MOORE HAVEN	1
NEW RIVER	1
NWFRC	195
OKALOOSA	126
OKEECHOBEE	127
POLK	145
POLK CI	9
PUTNAM	59
REGION I	30
REGION II	35
REGION III	45
REGION IV	35

RMC	238
SANTA ROSA	265
SFRC	193
SIRW	20
SOUTH BAY	1
SUMTER	120
SUMTER CI	3
SUWANNEE	209
TAYLOR	108
TAYLOR CI	1
TOMOKA	128
TOMOKA CI	5
UNION	178
UNION CI	9
WAKULLA	215
WAKULLA CI	17
WALTON	111
WALTON CI	1
WASHINGTON	1
ZEPHYRHILLS	95

13.8.2. User Counts by Region Service Center



13.8.3. External Users Affected or Impacted

Organization	# Users Affected
Attorney General	38
Corrections Medical Authority	4
Department of Children and Families	5
Department of Agricultural Division of License	6
Department of Health	2
Department of Agricultural Division of License (6)	6
Department of Health (2)	2
Department of Management Services (6)	6
Department of State (3)	3
FL Department of Law Enforcement (FDLE) - (186)	186
Miami Dade Police Department (10)	10
State Attorney - Circuit 1 - 20 (65)	65
Statewide Prosecutor (16)	16
Centurion	1,858

13.9. Organizational Change Readiness Assessment

An Organizational Readiness Assessment is an important component of the project management plan that evaluates the readiness of stakeholders and users to prepare for and undergo significant changes, especially in the context of implementing the Correctional Inmate Management System (CIMS). This assessment provides insights into the adaptability, cultural receptiveness, and existing change dynamics within the organization, laying the groundwork for targeted action plans to address any areas of concern.

13.9.1. Assessment Areas

a) *Adaptable to Change*

- **Evaluation:** The first step involves assessing how adaptable the Florida Department of Corrections is to change. This includes reviewing past project implementations, changes in operational procedures, technology upgrades, and the overall response to these changes.
- **Factors to Consider:**
 - Past project successes and challenges
 - Employee feedback on previous change initiatives
 - Training and development programs in place for embracing new systems

b) *Cultural Receptiveness to Change*

- **Evaluation:** Understanding whether the organizational culture is historically resistant or resilient to change is vital. This involves analyzing the organization's history, leadership styles, and the collective mindset towards innovation and adaptation.
- **Factors to Consider:**
 - Leadership's role in previous change initiatives
 - Communication effectiveness and openness to feedback within the organization
 - Employee engagement and morale in the face of change

c) *Concurrent Changes*

- **Evaluation:** Identifying other ongoing or upcoming changes affecting the same stakeholder groups helps in understanding the cumulative impact of change initiatives. This is crucial for planning the CIMS implementation to minimize overload and resistance.
- **Factors to Consider:**
 - Scheduled policy revisions, system upgrades, or procedural changes
 - Current issues or challenges within the organization that might divert focus
 - Resource availability, considering other initiatives

d) *Decision-making and Leadership*

- **Evaluation:** Determining whether the organization's approach to change is predominantly decision-making, consensus-building, or leadership-driven is essential for tailoring the change management strategy.
- **Factors to Consider:**
 - The existing hierarchy and decision-making processes
 - The role of leadership in guiding and supporting change
 - The extent of stakeholder involvement in planning and implementation phases

13.9.2. Action Plans to Address Lack of Readiness

Based on the findings from the organizational assessment, specific action plans will be developed to enhance readiness and mitigate resistance. These plans may include:

- **Training and Development:** Implementing comprehensive training sessions to build capacity and reduce anxiety about new technologies or processes.
- **Communication Strategy:** Developing a clear, transparent communication plan that keeps all stakeholders informed and engaged throughout the change process.
- **Leadership Engagement:** Ensuring leadership is visibly committed and involved, acting as champions for the change.
- **Feedback Mechanisms:** Establishing channels for feedback and concerns, allowing stakeholders to feel heard and involved in the change process.
- **Change Champions:** Identifying and empowering change champions within various stakeholder groups to advocate for and support their peers.

The organizational assessment for the CIMS project underscores the importance of understanding the current landscape of readiness among stakeholders and users. By identifying the degree of adaptability, cultural receptiveness, concurrent changes, and decision-making dynamics, the project management team can formulate effective strategies to foster a conducive environment for change. Addressing any identified gaps in readiness through targeted action plans will be pivotal in ensuring the successful implementation of CIMS within the Florida Department of Corrections.

13.10. Sponsor Analysis and Action

The CIMS project is not planning on doing a sponsor analysis unless the situation warrants it. Should it be decided to utilize this type of analysis, the method of approach is drafted below.

Sponsor Analysis strategic approach zeroes in on understanding the motivations, expectations, and influence levels of project sponsors – both Executive Sponsors and Business Process Owners, enabling tailored strategies to ensure their active support and engagement throughout the transition to the new system. It has not yet been determined if this type of OCM analysis will be utilized. If utilized, several activities are critical for the success of the project:

13.10.1. *Sponsor Analysis.*

- **Identification and Profiling:** Systematically identify key project sponsors, including top management and influential leaders within the Department. Profile these sponsors based on their authority, influence, investment in the project's success, and their expectations from the CIMS initiative.
- **Understanding Sponsor Motivations:** Delve into the motivations of each sponsor to understand what drives their support for the CIMS project. This includes their strategic objectives, personal goals, and the perceived benefits of the project to their departments or functions.
- **Assessment of Influence and Commitment Levels:** Evaluate the influence levels of each sponsor within the organization and their commitment to the project. This assessment helps in tailoring communication and engagement strategies effectively.

13.10.2. *Action Plan*

- **Tailored Engagement Strategies:** Develop and implement customized engagement strategies for each sponsor based on the analysis. This could involve regular one-on-one meetings, providing them with detailed project updates, and involving them in key decision-making processes.
- **Aligning Project Goals with Sponsor Objectives:** Ensure that the project's objectives are aligned with the sponsors' motivations and strategic goals. Demonstrating how the CIMS project supports their objectives can bolster their ongoing commitment.
- **Leveraging Sponsor Influence:** Utilize the sponsors' influence to advocate for the project across the organization. This can help in garnering broader support, addressing resistance, and ensuring alignment across various levels of the organization.
- **Feedback Mechanism:** Establish a clear and structured feedback mechanism that allows sponsors to voice their concerns, suggestions, and expectations regarding the project. Use this feedback to make necessary adjustments to project plans and strategies.

13.10.3. *Benefits and Expected Outcomes*

- **Enhanced Sponsor Support:** A focused analysis and tailored action plan lead to heightened and sustained support from project sponsors, crucial for navigating challenges and securing

the necessary resources. The project benefits from strong, active sponsorship, ensuring high visibility, authority, and the necessary support for its success.

- **Strategic Alignment:** Ensures the CIMS project is strategically aligned with the broader organizational goals, enhancing its relevance and value proposition to the sponsors and the organization as a whole. A deep analysis and strategic action foster a sense of ownership and alignment among sponsors, leading to cohesive support throughout the organization.
- **Effective Risk Management:** By understanding and actively engaging with sponsors, potential risks related to lack of support or misalignment with organizational objectives can be identified and mitigated early.
- **Successful Implementation:** With committed sponsorship, the CIMS project is more likely to meet its objectives, overcome obstacles, and achieve a successful implementation, transforming the legacy system into a modern, efficient, and secure platform.

Incorporating a detailed Sponsor Analysis and Action section into the project management plan for the CIMS project is optional at this time. If used, it ensures that project sponsors are not only supporters but active advocates and contributors to the project's success. Through strategic engagement and alignment, the Florida Department of Corrections can secure the high-level support necessary to navigate this transformative initiative successfully.

13.11. Change Champion Communication

The Florida Department of Corrections is embarking on an ambitious journey to transform a 45-year-old mainframe system into the forefront of modern technology. An integral part of this transformation is the Change Champion Communication strategy. This strategy recognizes the importance of leveraging key individuals within the organization to facilitate effective communication, foster buy-in, and ensure a smooth transition to the new system.

13.11.1. Method

- **Selection of Change Champions:** Identify and enlist a diverse group of Change Champions from various departments and levels within the organization. These individuals should be respected, influential, and enthusiastic about the CIMS project.
- **Training:** Provide comprehensive training to Change Champions on the project's goals, benefits, timelines, and their specific roles in the change process. This includes effective communication techniques, resistance management, and feedback collection. A series of Awareness Workshops will be setup initially to engage the Change Champions.
- **Regular Updates:** Equip Change Champions with up-to-date information throughout the project lifecycle, enabling them to communicate accurate and timely information to their peers.

13.11.2. Approach

- **Peer-to-Peer Communication:** Utilize Change Champions as the primary conduit for disseminating information and engaging with staff at all levels. This peer-to-peer approach ensures messages are delivered in a manner that is relatable and understandable.

- **Feedback Loop:** Establish a structured feedback loop where Change Champions gather insights, concerns, and suggestions from their peers and relay them back to the project management team. This allows for real-time adjustments to the project strategy and communication plan.
- **Visibility and Accessibility:** Position Change Champions as visible and accessible points of contact for anyone seeking information or needing clarification about the CIMS project. This fosters an environment of openness and transparency.

13.11.3. Benefits and Expected Results

- **Enhanced Engagement:** Leveraging Change Champions leads to higher engagement levels across the organization by making change initiatives more personal and relatable.
- **Reduced Resistance:** Early and ongoing involvement of Change Champions helps in identifying and mitigating resistance to change, ensuring smoother implementation processes. By employing a network of Change Champions, the project is expected to see a higher rate of adoption and a more favorable perception of the change across the organization.
- **Improved Communication Efficiency:** Information disseminated through Change Champions is often more effectively received, as it bypasses hierarchical bottlenecks and reaches staff in a direct and meaningful way.
- **Enhanced Organizational Readiness:** The organization is better prepared for the transition, with staff feeling more informed, supported, and equipped to embrace the new system.
- **Positive Cultural Shift:** The Change Champion strategy fosters a culture of innovation, collaboration, and resilience, contributing to a more agile and adaptable organization.

Incorporating the Change Champion Communication strategy into the project management plan for the CIMS project is crucial for navigating the complex change landscape. By leveraging the influence and reach of Change Champions, the Florida Department of Corrections can enhance communication effectiveness, drive engagement, and secure a successful transition to the new system, ensuring the project's goals are met and sustained over time.

13.12. OCM Training Support

Organizational Change Management (OCM) Training Support is pivotal in ensuring a smooth transition from the legacy mainframe to advanced technological solutions. This subsection focuses on the strategic development, implementation, and evaluation of training programs designed to equip all stakeholders with the knowledge and skills necessary for the successful adoption of the CIMS platform. Successfully supporting all training endeavors requires a systematic approach to needs assessment, development of training programs, and targeted delivery of those program.

13.12.1. Training Needs Assessment

- **Comprehensive Needs Analysis:** Conduct a thorough analysis to identify specific training needs across different user groups within the Department. This involves understanding the functionalities of the new system, the roles of various users, and the gaps in current knowledge and skills.

- Stakeholder Engagement: Engage with stakeholders at all levels to gather insights and expectations, ensuring the training programs are relevant and aligned with operational realities and user requirements.

13.12.2. *Development of Training Programs*

- Tailored Training Material: Develop training materials tailored to the diverse needs of various user groups, including interactive modules, guides, and reference materials. These materials should cater to different learning styles and proficiency levels, ensuring accessibility and comprehension.
- Training Delivery Models: Design a multifaceted training delivery plan that incorporates various methods such as in-person workshops, online courses, and hands-on simulation exercises. This plan should be flexible to accommodate different schedules and learning paces.
- Train-the-Trainer Program: Implement a Train-the-Trainer program to build a cadre of internal trainers. These trainers will be instrumental in delivering consistent training across the organization and providing ongoing support as the system goes live.

13.12.3. *Implementation of Training Programs*

- Phased Rollout: Implement training programs in phases, prioritizing groups based on their interaction with the CIMS and the criticality of their functions. This phased approach allows for adjustments based on early feedback and lessons learned.
- Supportive Learning Environment: Create a supportive learning environment that encourages questions and experimentation. Provide access to resources and support channels where users can seek help and clarification post-training.

13.12.4. *Evaluation and Continuous Improvement*

- Feedback Mechanisms: Incorporate feedback mechanisms into the training sessions to gather immediate responses from participants on the effectiveness of the training, areas for improvement, and additional support needed.
- Skill Assessments: Conduct pre- and post-training assessments to measure the effectiveness of the training programs in enhancing user competency and confidence. Use assessment results to make data-driven adjustments to the training content and delivery methods.
- Continuous Learning Culture: Foster a culture of continuous learning by providing ongoing training and development opportunities. This includes updates on new features, refresher courses, and forums for sharing best practices and challenges.

13.12.5. *Benefits and Expected Outcomes*

- Enhanced User Readiness: Effective OCM Training Support ensures that all users are well-prepared and confident in using the new system, leading to smoother transitions and quicker adoption.

- Reduced Resistance to Change: By addressing concerns and questions through comprehensive training, resistance to the new system can be significantly reduced, facilitating a more positive change experience.
- Increased System Efficacy: Well-trained users are more likely to utilize the CIMS platform to its full potential, leading to increased efficiency, improved data integrity, and enhanced service delivery.
- Successful System Adoption: Through targeted and effective training support, the Department can expect a high level of system adoption and user satisfaction, contributing to the overall success of the CIMS project.
- Empowered Workforce: The training programs will empower the Department's workforce with the knowledge and skills necessary to navigate the new system effectively, promoting innovation and operational excellence.

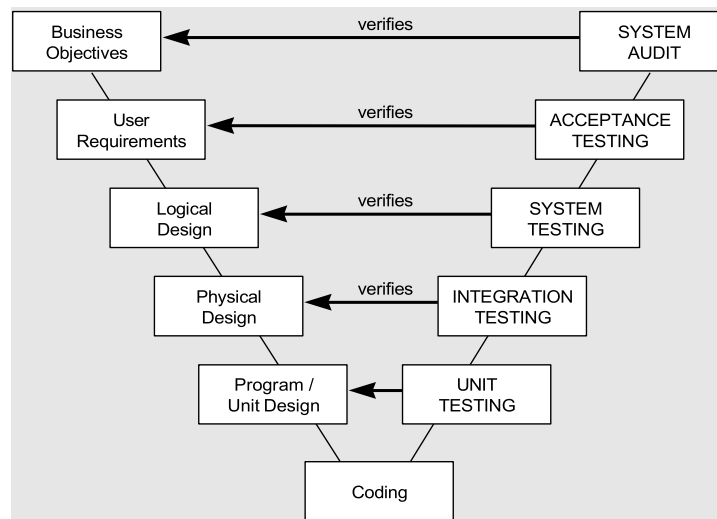
OCM Training Support is a critical component of the project management plan for the CIMS project, ensuring the successful adoption and utilization of the new system across the Florida Department of Corrections. By prioritizing comprehensive training strategies, the project is set to achieve a transformative impact, aligning technology with the Department's mission and operational goals.

14. QUALITY MANAGEMENT

14.1. Overall Testing

Testing is involved in all phases of software development projects from the initial stages of the lifecycle to project completion. The test team reports to the Project Manager and follows Productivity Management principals. Testing processes will be based on system testing industry standard test processes and methodologies.

The methodology to be used will integrate the testing activities at each stage of the development life cycle (as shown in the “V Test” framework).



Where it makes sense, testing will be automated. This enables test scripts to be re-used for regression purposes, re-testing faults and to build up a test pack scenario which can be used for future test phases (for example, system test scripts can be linked together to form end-to-end test scripts which can be used for system integration testing). These are iterative processes that can be re-used for subsequent phases.

Signoffs are required for key testing deliverables. Which deliverables require signoff and the authorized personnel to approve will be defined in the Test Plan.

14.2. Quality Assurance Activities

Quality Assurance (QA) in the context of the Correctional Inmate Management System (CIMS) is a systematic process designed to evaluate and improve the methodologies and processes used throughout the project's lifecycle. The ultimate goal of QA is to ensure that by enhancing the processes, defects are minimized or eliminated in the development phase, leading to a reliable and high-quality final product. This section outlines the activities for monitoring quality, documentation practices, responsibilities, and training protocols for team members involved in the QA process.

14.2.1. Monitoring Quality Activities

- **Process Audits:** Regular audits of the project processes will be conducted to ensure adherence to established standards and best practices. These audits help in identifying any deviations or areas for improvement.
- **Peer Reviews:** Implementing peer reviews at various stages of the project allows for the early detection of potential issues within the deliverables, encouraging knowledge sharing and collaborative improvement among team members.
- **Performance Metrics:** Defining and tracking key performance indicators (KPIs) related to process efficiency, defect rates, and adherence to schedules. These metrics provide a quantitative basis for assessing the quality of processes and identifying trends over time.

14.2.2. Documentation of Quality Activities

- **Quality Assurance Plan:** A detailed QA plan will document all the quality policies, methodologies, standards, and procedures specific to the project. This plan will serve as the central reference for all QA activities.
- **Audit Reports:** Findings from process audits will be comprehensively documented, including observations, non-conformities, recommendations, and follow-up actions.
- **Review Logs:** Peer reviews and other inspection activities will be systematically logged to track issues identified, resolutions proposed, and actions taken.

14.2.3. Responsibilities for Quality Activities

- **QA Team:** A dedicated QA team will be responsible for planning and executing the quality assurance strategy, conducting audits, and facilitating improvement initiatives.
- **Project Manager:** The Project Manager oversees the integration of quality assurance activities with the overall project plan, ensuring that quality objectives are aligned with project goals.
- **Development Team:** Members of the development team are responsible for incorporating QA practices into their daily activities, participating in reviews, and implementing corrective actions based on feedback.
- **Stakeholders:** Key project stakeholders, including representatives from the Florida Department of Corrections, are involved in defining quality expectations and reviewing progress against these benchmarks.

14.2.4. Training of Team Members

- **Quality Standards and Methodologies:** Training sessions will be provided to all project team members on the relevant quality standards, methodologies, and best practices to be adopted in the project.
- **QA Tools and Techniques:** Specialized training on the tools and techniques used for quality assurance, including software for tracking defects, conducting audits, and performing statistical analysis.
- **Continuous Learning:** Encouraging a culture of continuous improvement and learning through workshops, seminars, and feedback sessions, where team members can share experiences, challenges, and solutions related to quality management.

The Quality Assurance section of the project management plan establishes a framework for ensuring that the processes used in developing the CIMS project are of the highest quality. By focusing on continuous process

improvement, the project aims to minimize defects in the development phase, thereby ensuring the delivery of a reliable, efficient, and high-quality system to the FDC. Through diligent monitoring, comprehensive documentation, clear responsibilities, and targeted training, the project team is well-equipped to uphold the stringent quality standards required for the success of this significant initiative.

14.3. Testing Process

Due to limited time and resources, it is not possible, or even practical, to test software to ensure that all functions of an application have been tested in enough depth and variation to prove absolutely that the application is functioning as desired. Therefore, a risk management strategy will be applied to testing on this project. The risk strategy involves identifying individual business functions within the application, and then assessing their complexity and business value.

The result determines the priority and level of testing which will be performed on the business function. Not all functions will receive the same priority or level of testing. High business value and high level of complexity generally indicate high priority. A high priority function receives relatively more testing than a business function with low Business Value and a lower Level of Complexity.

Once the level of testing is determined, specific test cases and test scripts will be developed by the test team and approved by the OBIS Modernization Project (CIMS) Project Management Team. A key element of each test script is the expected result. In each phase of the testing, as the scripts are run, the actual results are compared with the expected results and the tester documents the outcome. At the end of each phase, a test results summary is generated.

14.4. Defect Management and Quality Control

As testing proceeds, defects will be uncovered. Beginning with system testing, all defects are logged and analyzed to determine the appropriate action. Critical defects will be returned to the development team for immediate correction and re-testing. These types of defects may cause system testing to be suspended until they are corrected. Other defects may not be returned to the development team until all testing on a particular function is completed. In either case, current status of all known defects will be tracked.

The test cases and scripts may also require modification as the testing progresses. In this case, the cases and scripts will be updated, and re-testing will be performed.

14.5. Test Plan

An overall project Test Plan will be developed for each work effort during the system design phase which will provide an overview of the test strategy and process. It will define in detail the roles and responsibilities of all participants in the testing process, for both the project contractors and the FL-SOLARIS Test Team (yet to be defined). The test deliverables to be produced in each phase of the project will be identified as will the required acceptance criteria for each deliverable.

Detailed test plans, application strategies, test cases and test scripts will be developed using black and white box techniques. White box test plans will be developed using detailed requirements documentation and through programmer interviews. The black box tests plans will be developed using requirements documentation and user interviews.

Deliverable	Description
Test Case Scenarios/ Plans	This document describes the scenarios required to validate that system supports the originally envisaged functionality. A scenario incorporates a set of test inputs, execution conditions, and expected results developed for a particular objective, to exercise a particular program path or to verify compliance with a specific system requirement. The focus of these scenarios is directly related to the Use Cases and Scenarios rather than the testing of specific software components. Test Case Scenarios become the basis for the User Acceptance Test (UAT) Plan.
UAT Plan	This document describes the schedule, scenarios, cases for GIS Inventory Layer, System, and reports and Geodata
RTM	The Requirements Traceability Matrix will be updated to tie in the testing components to the requirements

14.6. Independent Verification and Validation (IV&V)

14.6.1. Role and Authority of IV&V in CIMS

In the project management plan for the Correctional Inmate Management System (CIMS) for the Florida Department of Corrections, the Independent Verification & Validation (IV&V) vendor plays a role in ensuring the quality and integrity of the project deliverables throughout its lifecycle. The IV&V vendor operates with a distinct authority, independent from the development organization, to provide an unbiased assessment of the project's software products and processes. This independence is essential to objectively evaluate the project's compliance with specified requirements and its efficacy in meeting user needs without the influence of project biases or conflicts of interest.

14.6.2. Description of IV&V Usage

The IV&V vendor is engaged to conduct thorough evaluations of project deliverables at various stages of the development lifecycle. This includes:

- **Verification:** The IV&V team assesses whether the project's deliverables meet the specified requirements set forth at the beginning of the project. This involves reviewing technical documents, code, design plans, and other deliverables to ensure they adhere to agreed-upon specifications, standards, and methodologies.
- **Validation:** Beyond verifying adherence to specifications, the IV&V team validates that the final product meets the needs of its intended users— in this case, the staff, management, and other stakeholders within the Florida Department of Corrections. This process involves testing the usability, performance, and reliability of the system under real-world conditions to ensure it fulfills its intended purposes.

14.6.3. Benefits of Using IV&V

Utilizing an IV&V vendor offers several key benefits for the Florida Department of Corrections, ensuring the success and reliability of the CIMS project:

- **Objective Quality Assurance:** The independence of the IV&V vendor guarantees that evaluations and assessments are conducted without bias, providing a clear picture of the project's quality and progress.
- **Risk Mitigation:** Early and ongoing identification of issues or non-compliance with requirements allows for timely corrections, significantly reducing the risk of project delays, budget overruns, and failure to meet user needs.
- **Increased Stakeholder Confidence:** Demonstrating a commitment to quality and due diligence through the use of an IV&V vendor can increase confidence among stakeholders, including departmental leadership, correctional facility staff, and oversight bodies.
- **Enhanced Compliance and Security:** For a department handling sensitive information and requiring high levels of security, the IV&V process ensures that the system meets stringent compliance standards and security protocols.
- **Efficiency and Cost Savings:** By identifying and addressing potential issues early in the project lifecycle, the department can avoid costly reworks and ensure that the project stays on track and within budget.

Incorporating an Independent Verification & Validation vendor into the CIMS project management plan underscores the Florida Department of Corrections' commitment to quality, efficiency, and stakeholder satisfaction. The IV&V vendor's role and authority are instrumental in providing an unbiased evaluation of the project's adherence to its requirements and its alignment with user needs, ultimately contributing to the success and reliability of CIMS.

14.7. Requirements Traceability Matrix Usage

The following table will be used to track a requirement through the software development lifecycle. A requirement may be designed and constructed in multiple elements, components, and test cases. On the other hand, one test case may cover more than one requirement. The Verification Type and Where Satisfied columns on the matrix will indicate whether the requirement has been validated in final testing (See key for specifics). The RTM may also be divided into category sections that correspond to the Software Requirements Specification (SRS) sections. If the SRS is used, the numbers in front of each section correspond to the matching module number in the SRS.

- **Requirements Number:** Corresponds to the Unique Requirements Number found in the Business Requirements Report, SRS, or Use Case.
- **Requirements Title:** Contains the name of the module where the requirement is to be implemented.
- **Description:** Contains the specific requirement that is to be tested.
- **Ver:** Identifies the version of the module that contains the testable requirement. (This column may not be needed if the system is a new system and not an upgrade).
- **Source:** Identifies who or which area requested the requirement.
- **Business Objective:** Contains the specific reason that the requirement was requested (i.e., identifies the business need that the requirement fills).

- **Verification Type:** Contains the code for the verification type that is found in the key at the bottom of each page. Verification Types are: CI – Contractual Implementation, CD-Conceptual Design, LD-Logical Design, PD-Physical Design, C-Construction, I-Installation, M-Maintenance, D-Documentation
- **Where Satisfied:** Identifies the test suite where the requirement is tested.
- **Test Status:** Identifies the status of the test for the requirement. The codes for the test status are found in the key at the bottom of each page. The test status codes are: FC-Full Compliance, PC-Partial Compliance, TBD-To be determined
- **Test Scenario ID:** Uniquely identifies the Test Scenario where the requirement is being tested. If the format for the Test Scenario ID is: [Module Code] – [Submodule Code] – Sequential Number. Example: HR-HH-001 which stands for Holder Reporting – Holder History – 001.

The Requirements Traceability Matrix will divide requirements into the following sections:

- System Administration Requirements
- User Interfaces
- External Interfaces
- Functional Requirements
- Error Resolution and Quality Control
- Archiving of Records
- Performance Requirements
- Security Requirements
- Reporting Requirements

Following is a sample from the template that will be used to track the requirements:

14.8. Requirement Traceability Matrix Template

REQUIREMENT TRACEABILITY MATRIX			
Project Name:	Correctional Information Management System (CIMS)	Initial Create Date:	02/27/2024
Last Revision Date:	02/27/2024	Doc ID:	RTM_001
Completed By:			
Traceability Type:			

System Administration Requirements

SRS Sec #	Req #	Req. Title	Description	Source	Detailed Design Req. #	Where Satisfied	Test Scenario ID	Test Status

Test Status: FC-Full Compliance, PC-Partial Compliance, TBD-To be determined.
 RequirementsTraceabilityMatrixInstructions.doc

Rev. Aug-04

14.9. Project Metrics

In the management of a large-scale software development project, such as the Correctional Inmate Management System (CIMS) the utilization of precise project metrics is necessary. These metrics enable the project management team to measure progress, assess efficiency, manage quality, and ensure the alignment of the project outcomes with its objectives. Below are key metrics that will be considered for integration into the project management plan. Upon contracting with a Systems Integrator, a baseline can be established as well as a project outcome. At this time, the metrics will be identified as TBD.

14.9.1. Metric Chart

Metric Type	Current Baseline	Projected Outcome
1. Schedule Adherence	TBD	TBD
2. Budget Variance	TBD	TBD
3. Scope Stability	TBD	TBD
4. Quality Metrics	TBD	TBD
5. User Engagement 6. Satisfaction	TBD	TBD
6. Risk Management Effectiveness	TBD	TBD
7. Team Productivity	TBD	TBD
8. Stakeholder Satisfaction	TBD	TBD

14.9.2. Description & Purpose of the Identified Metrics:

- Schedule Adherence
 - Metric Description:** Measures the degree to which project milestones and deliverables are completed on or ahead of schedule.
 - Purpose:** Identifies delays early, allowing for timely interventions to keep the project on track.
- Budget Variance
 - Metric Description:** Compares the actual spending against the budgeted amounts at various stages of the project.
 - Purpose:** Provides insight into financial management effectiveness and highlights areas where cost control measures are needed.
- Scope Stability
 - Metric Description:** Tracks changes in project scope, including additions, modifications, and removals of features or functionalities.
 - Purpose:** Ensures that scope creep is managed and that any changes are necessary, justified, and aligned with project goals.
- Quality Metrics
 - Metric Description:** Includes defect density, defect resolution times, and code quality metrics.
 - Purpose:** Monitors the quality of the software being developed, aiming to minimize bugs and ensure a high standard of product quality.
- User Engagement and Satisfaction

- **Metric Description:** Measures user involvement in testing and feedback sessions, as well as satisfaction levels through surveys and usage metrics.
- **Purpose:** Ensures the product meets user needs and expectations, promoting a user-centered design approach.

6. Risk Management Effectiveness

- **Metric Description:** Evaluates the identification, assessment, and mitigation of project risks.
- **Purpose:** Ensures that risks are proactively managed and that mitigation strategies are effective, minimizing impacts on the project.

7. Team Productivity

- **Metric Description:** Assesses the output of the development team over time, considering factors like feature completion rates and velocity.
- **Purpose:** Identifies productivity trends and helps in allocating resources effectively, ensuring that the team is working efficiently.

8. Stakeholder Satisfaction

- **Metric Description:** Surveys and feedback mechanisms to gauge the satisfaction of various stakeholders with the project's progress and outcomes.
- **Purpose:** Maintains alignment with stakeholder expectations and requirements, ensuring their continued support and investment in the project.

15. DELIVERABLE ACCEPTANCE PROCESS

The Deliverable Acceptance Processes section of the project management plan will outline the structured approach for receiving, reviewing, and either accepting or denying project deliverables. This process is critical to ensure that all deliverables meet the established standards and requirements, thus facilitating the successful completion of the CIMS project. The following steps detail the procedure from the initial submission of deliverables to their final acceptance or denial, with references to templates for the Deliverable Expectation Document (DED), Deliverable Acceptance Document (DAD), and the Deliverable Tracking Log located in [Appendix C](#) of the project management plan.

15.1. Process Overview

- Prior to Receiving the Deliverables:
 - Complete and obtain signatures from the business owners to set the expectations for criteria necessary for the Deliverable to be accepted.
 - Document the DED and the deliverable in the Deliverable Tracking Log.
 - Complete the deliverable.
- Receiving and Routing Deliverables:
 - Upon completion, deliverables are submitted to the project management office (PMO) along with the signed DED, which outlines the expected standards and criteria for acceptance.
 - Create a Deliverable Acceptance Document to include in the Deliverable acceptance documentation packet.
 - The PMO updates the specific reference to the deliverable in the Deliverable Tracking Log with the appropriate status and routes it to the designated review team for evaluation.
- Communicating Deliverable Acceptance Criteria:
 - Acceptance criteria, as specified in the DED, are communicated to both the development team and the review team at the project outset and again with each deliverable submission to ensure clarity and alignment.
- Documenting, Aggregating, and Reviewing Comments:
 - Reviewers document their feedback, comments, and evaluations in the DAD, which is then aggregated by a designated member of the PMO to identify common issues or themes in the feedback.
 - A review meeting is scheduled with stakeholders to discuss the feedback and determine necessary revisions or acceptance.
- Review by Appropriate Approval Authorities:
 - The aggregated feedback and recommendations for acceptance or revisions are presented to the appropriate approval authorities, which may include project sponsors, the Program Director, and key stakeholders from the Florida Department of Corrections.
 - At each stage of the review process, the Deliverable Tracking Log is updated.

15.2. Approval or Denial of Deliverables

Approval Process:

- If a deliverable meets all the specified acceptance criteria and receives positive feedback, the approval authority will sign off on the DAD, officially accepting the deliverable.

- The PMO updates the Deliverable Tracking Log to reflect the acceptance status.
- If appropriate, the contracts office will then work through formal process for payment of the deliverable associated costs to the vendor.

Denial/Revisions Process:

- If a deliverable does not meet the acceptance criteria or requires significant revisions, the DAD will detail the specific areas needing improvement.
- The deliverable is returned to the development team with instructions for revision, and a revised submission date is set.
- The process is repeated until the deliverable meets the necessary standards for acceptance.

15.3. Additional Activities and Outcomes

- **Continuous Improvement:** Lessons learned from the review and acceptance process will be documented and reviewed periodically using the Lessons Learned tab in the RAID log to improve future deliverable submissions and evaluations.
- **Stakeholder Communication:** Regular updates will be provided to stakeholders on the status of deliverables, including any delays or issues encountered, to maintain transparency and manage expectations.
- **Quality Assurance:** In parallel with the acceptance process, a QA review may be conducted to ensure that the deliverable not only meets the specified criteria but also adheres to the highest quality standards.

15.4. Templates and Documentation

15.4.1. Document Definitions

- **Deliverable Expectation Document (DED):** Outlines the specific requirements and standards that each deliverable must meet to be accepted.
- **Deliverable Acceptance Document (DAD):** Used by reviewers to document their evaluations, comments, and the final acceptance or denial decision.
- **Deliverable Tracking Log:** Maintains a record of all deliverables submitted, including their submission date, review status, and final acceptance or denial. The Deliverables Log will be a comprehensive list of all contractual items that the project must produce to meet its objectives, including (if applicable) software modules, documentation, training materials, and deployment packages. It will detail the status, delivery dates, responsible parties, and acceptance criteria for each deliverable. Additionally, the Log will maintain formal contractual change requests that have a cost associated.

These processes and documentation ensure that all deliverables produced in the CIMS project meet the required standards and contribute effectively to the project's overall success. The templates can be found in [Appendix C](#).

15.4.2. Use in the Software Development Process

For the development of CIMS, the DED, DAD, and Deliverables Log are essential for planning, tracking, and ensuring the completion of all components of the system. They will be used to:

- Outline all expected deliverables prior to creation of the deliverable, their specifications, deadlines, and criteria for acceptance of the deliverable (to set expectations) thereby providing a roadmap for the development team.
- Monitor the progress of each deliverable, updating its status as it moves from planning to development, testing, and finally, delivery.
- Facilitate communication between the development team and stakeholders, enabling them to track the progress of deliverables and prepare for their integration and deployment.
- The process involves regularly reviewing and updating the Deliverables Log to reflect the current status of each item, any changes in deadlines or specifications, and the completion and acceptance of deliverables.

Please note the differences and interrelation of how FDC will use the Deliverable Log vs. Change Control Log in the FDC process:

- While both logs are crucial for project management, the key difference lies in their focus. The Change Log is dynamic, documenting the evolving nature of the project and the decision-making process regarding alterations to the project's scope or execution. In contrast, the Deliverables Log is more static, focusing on the contractual outcomes of the project—the specific products or results that must be delivered for the associated cost of the deliverable to be paid.
- Despite their differences, both logs are interrelated. Changes documented in the Change Log can directly impact the Deliverables Log, necessitating updates to the deliverables' specifications, deadlines, or acceptance criteria. Together, these logs help manage the project's complexity, ensuring that it remains on track, adaptable, and transparent to all stakeholders.

16. RISK MANAGEMENT

16.1. Risk & Complexity Assessment

16.1.1. Feasibility Risk Assessment

Project	Correctional Information Management System (CIMS)	
Agency	Florida Department of Corrections	
FY 2023-2024 LBR Issue Code:	FY 2023-2024 LBR Issue Title:	
Issue Code	Issue Title	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Mary Roberts, (850) 717-9743, mary.roberts@fdc.myflorida.com		
Executive Sponsor	Richard Comerford	
Project Director	Jim Primrose	
Prepared By	Mary Roberts	4/15/2024

Risk Assessment Summary		
Business Strategy	Most Aligned	Least Aligned
	Least Risk	Most Risk

PROJECT RISK AREA BREAKDOWN	
RISK ASSESSMENT AREAS	Risk Exposure
Strategic Assessment	HIGH
Technology Exposure Assessment	HIGH
Change Management Assessment	HIGH
Communication Assessment	HIGH
Fiscal Assessment	MEDIUM
Project Organization Assessment	MEDIUM
Project Management Assessment	MEDIUM
Project Complexity Assessment	HIGH
OVERALL PROJECT RISK	HIGH

16.1.2. Definition:

SCORING EXPLANATION

These assessments align projects by risk and complexity levels into one (1) of four (4) Risk and Complexity (R&C) Categories, which determine the amount of project management control required. The diagram below indicates the distribution of risk and complexity levels into the R&C Category:

RISK & COMPLEXITY ASSESSMENT - PROJECT CATEGORY LOOKUP TABLE

Risk	Low Complexity	Medium Complexity	High Complexity
Low Risk	1	1	2
Medium Risk	2	2	3
High Risk	3	3	4

- **Category 4** represents High Risk and High Complexity projects.
- **Category 3** represents High Risk and Medium Complexity projects, High Risk and Low Complexity projects, or Medium Risk and High Complexity projects.
- **Category 2** represents Medium Risk and Medium Complexity projects, Medium Risk and Low Complexity projects, or Low Risk and High Complexity projects.
- **Category 1** represents Low Risk and Medium Complexity projects or Low Risk and Low Complexity projects.

Each assessment is scored in range from 100 to 500, with 100 being the lowest possible score (corresponding to the lowest possible risk or complexity score, and 500 being the highest possible score (corresponding to the highest possible risk or complexity score). Scores for each assessment are rolled up cumulatively into an overall Risk & Complexity score, which in turn corresponds to the Project Risk & Complexity Category as indicated in the table above.

The Risk & Complexity Assessment has 4 sections:

- Pre-Charter Phase
- Initiation Phase
- Planning Phase
- Event Driven

16.1.1. CIMS RCA Assessment:

Risk & Complexity Assessments	Category
Pre-Charter Risk & Complexity Category	3
Initiation Gate Risk & Complexity Category	4
Planning Gate Risk & Complexity Category	TBD
Event Driven Risk & Complexity Category	TBD

PROJECT RISK & COMPLEXITY ASSESSMENT SUMMARY					
AGENCY:		FL Department of Corrections			
PROJECT:		Correctional Information Management Systems (CIMS)			
Activate Assessment?					PROJECT CATEGORY
Yes	1) PRE-CHARTER PHASE				
Select Yes/No	Pre-Charter Risk Score	465.38	High Risk		
	Pre-Charter Complexity Score	359.46	Medium Complexity		
PROJECT CATEGORY			3		
Activate Assessment?					PROJECT CATEGORY
Yes	2) INITIATION PHASE				
Select Yes/No	Initiation Risk Score	374.24	High Risk		
	Initiation Complexity Score	445.65	High Complexity		
PROJECT CATEGORY			4		

16.2. Project Risk Management

The risk and issue management plans are critical procedures for the Applications Modernization project. A risk can be defined as an uncertain event or condition that, if it occurs, has a positive or negative impact on project objectives. Risks and issues will be managed at the project level as detailed in this plan. The Risk Manager will monitor all project risks on an ongoing basis and maintain the risk register in the Project Control Book which includes but is not limited to the following information:

OBIS Modernization Project Risk Reporting

Risk Details	Description
Subproject	Name of specific project to which the identified risk applies. This column is typically utilized
Type	Indicates Risk or Opportunity. Utilized in calculating the R&O Heat map
Risk ID	The numeric ID assigned upon entry into the Project Control Book
Risk Name	The short risk name.

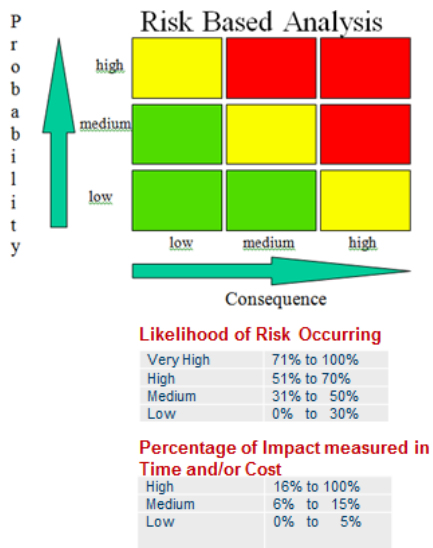
Risk Details	Description
Risk Status	<p>Field noting the status of the mitigation plan:</p> <p>New: Default value. Leave until initial risk review has occurred.</p> <p>Mitigation Plan Defined: Status of all risks actively accepted or being mitigated.</p> <p>Risk Became Issue: Status of risks escalated as an issue. Record the associated Issue Number in the Resolution field.</p> <p>Closed: Status of resolved risks that were not escalated to issues.</p>
Assigned To	The person assigned for overall risk responsibility.
Risk Description	<p>A detailed description of the risk.</p> <p>Risks should be documented using an “If...then...” framework to clearly capture the potential risk and impact in the statement.</p>
Affected Areas	Areas the risk could impact – check all that apply – budget, hardware, management, physical, schedule, scope, staffing.
Date Logged	The date and time stamp the risk is entered into the Project Control Book.
Probability of Occurrence	<p>Ranking the potential for risk occurrence:</p> <p>Low: <10% chance of risk realization.</p> <p>Medium: 10%-60% chance of realization</p> <p>High: >60% chance of risk realization</p>

Risk Details	Description
Risk Response	<p>Accept: This approach reflects a risk that is acknowledged as valid but cannot be avoided or mitigated.</p> <p>Avoid: This approach reflects a risk where steps are taken to disengage any activities associated with the inherent risk.</p> <p>Transfer: This approach reflects a risk that is transferred to another entity not associated with the Applications Modernization project.</p> <p>Mitigate: This approach reflects a risk that has one to many identified actions that can be taken to reduce the probability and/or impact should the risk be realized.</p>
Impact	<p>The probable impact on the project the risk would have if it were realized. Some risks could have a high probability, but the impact could be low and vice versa.</p> <p>Low: Variance to impacted area is anticipated to be < 10%.</p> <p>Medium: Variance to impacted area between 10% - 25%.</p> <p>High: Variance to impacted area is anticipated to be > 25%.</p>
Mitigation Description	Detailed risk response.
Anticipated Resolution Date	The latest date in the mitigation plan's anticipated action completion. If there is no mitigation plan yet documented OR the risk is "accepted", record the date two weeks out from the current date.
Actual Resolution Date	The actual resolution date when the risk is either closed, transferred, or escalated to an issue.
Resolution	A chronological history of the activities taken to manage this risk. Latest entry should be listed at the top. Each entry should begin with the date (MM-DD-YYYY) and the name (first initial, last name) of the author of the update
Logged By	The name of the person entering the risk into the Project Control Book.

16.3. Risk Identification Process

Risks for the project may be identified by any stakeholder, end user, management personnel or external source. A newly identified risk must be documented in written format (via e-mail, memo, or documented in meeting minutes) and provided to the Risk Manager, who will then add the item to the risk register in the Project Control Book. All risks (new and existing) are reviewed weekly and presented at the weekly Project Management Team meeting. The Risk Manager will review the risk register and discuss identified risks with the Project Sponsor as needed. All risks will be managed according to the Decision Escalation Matrix referenced in Governance Escalation.

16.4. Risk Evaluation and Scoring



Risk probability is a measure of the likelihood that a certain risk will occur. The probability of occurrence for the risk can be defined on a level from 1-5. Risk impact is a measure of the expected degree of impact that the risk, if it occurs, will have on the program. The degree of impact for the risk can be defined on a level from 1-5. The Risk Manager will calculate the risk score as the product of the risk probability score and impact score when both are multiplied. Each risk shall be scored and included in the weekly review and presentation at the weekly status meeting for progress monitoring and tracking. The illustration below depicts the priority matrix once the probability and impact for each individual risk has been assessed.

Risk scoring for large complex projects is a critical process that must get the right risk before the right persons. A risk that is not identified can linger and delayed action may derail projects. Therefore, the OBIS Modernization Project will use the 3 x 3 Risk Matrix.

The 3 x 3 Risk Matrix allows the **project manager** and **risk management team** to assess and categorize more granularly. Reporting, managing, tracking, and action are more effective as insignificant rare risks will not cloud the Risk Dashboard.

See [Appendix A](#) for Initial Project Risk & Opportunity Matrix

16.5. Risk & Opportunity Matrix and Heat Map

R&O Rating Matrix

Risks and opportunities are assessed a rating level based on the probability of occurring and the impact to the program should they occur.

		Impact						
		Opportunities			Risks			
		-5	-3	-1	1	3	5	
		High	Moderate	Low	Low	Moderate	High	
Probability	5	High				0	3	7
	3	Moderate				2	8	2
	1	Low				1	5	2

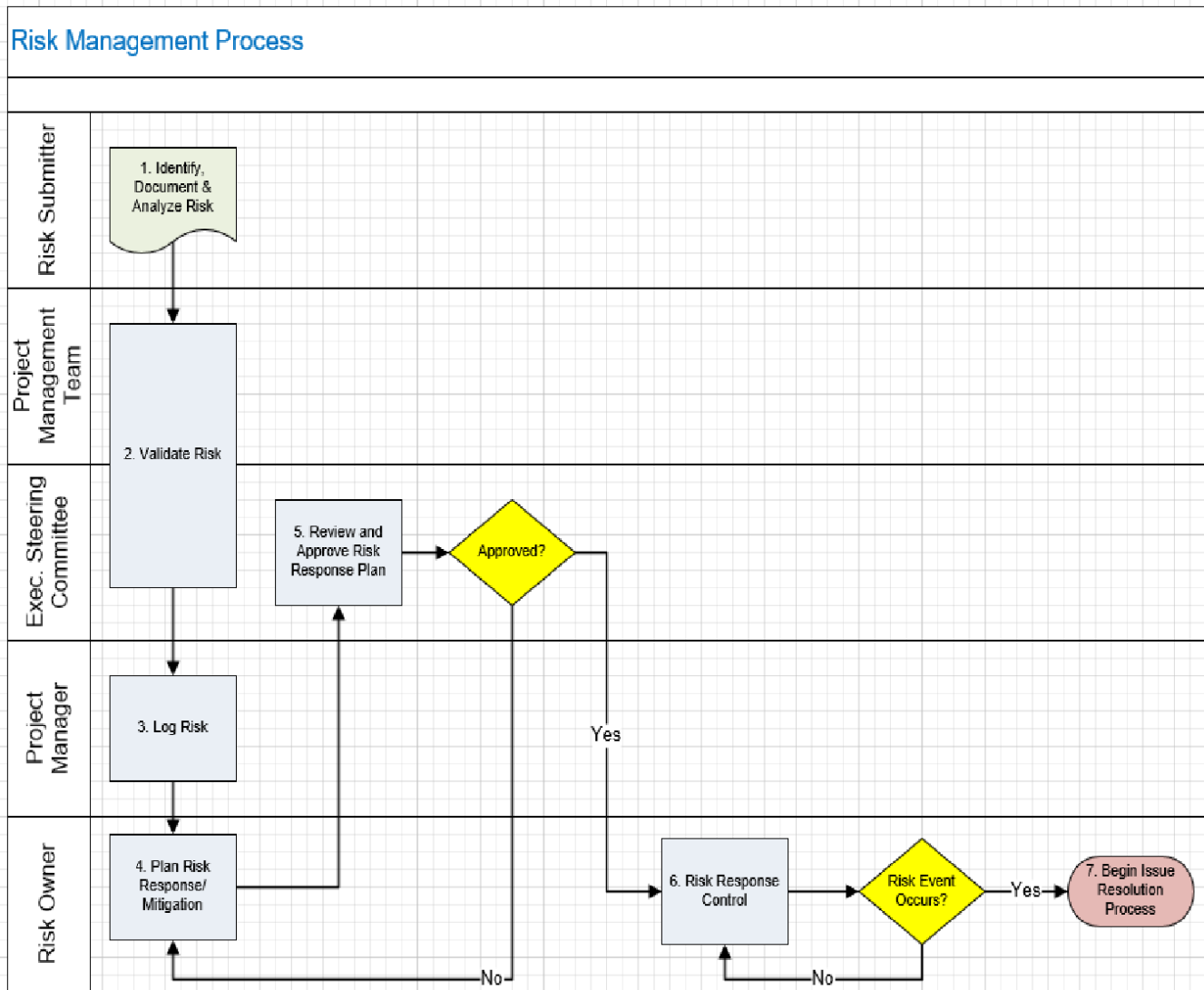
Risk: Impact Count	
R	12
Y	10
G	8
Total:	30

Current Status is based on Risks and opportunities assessed on the *priority of the risk and the current status of the risk.*

		Current Status					
		Opportunities			Risks		
		-5	-3	-1	1	3	5
		High	Moderate	Low	Low	Moderate	High
Probability	5	High			3	6	1
	3	Moderate			9	2	1
	1	Low			7	1	0

Risk: Current Status Count	
R	8
Y	5
G	17
Total:	30

16.6. Risk Management Process Flow

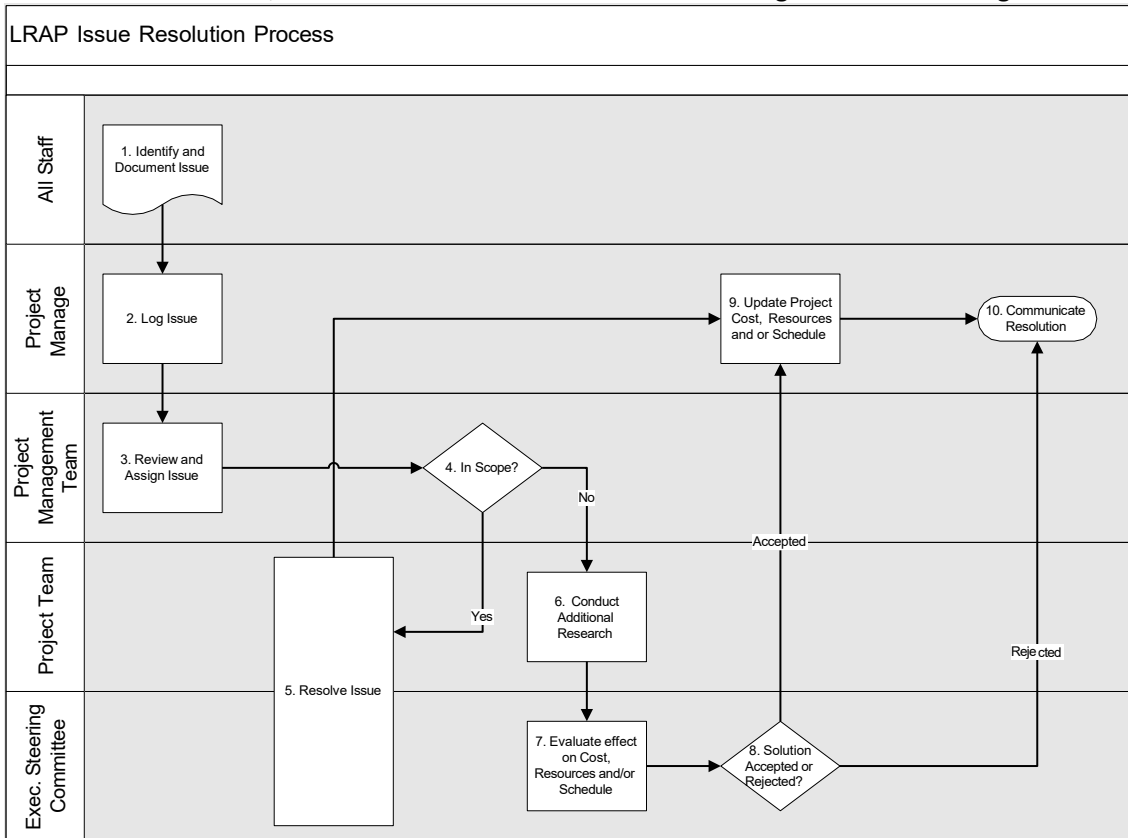


17. ISSUE MANAGEMENT

An issue is an immediate problem that needs resolution. Acknowledging and addressing issues quickly ensures that they do not impact the scope of the project.

17.1. Issue Tracking Process

1. Issues should be reported by section to the CIMS PM Team representative for the Bureau that has the issue.
2. If the CIMS PM Team representative agrees that the reported situation is an issue, the representative should make the CIMS Project Manager aware through the Project Team Meetings. If the situation needs quicker resolution, the representative should notify the CIMS PM through email.
3. Once received, the issue will be entered into the Issue Log below for tracking and resolution.



17.2. Issue Log Definition

All issues will have a plan to manage and resolve. Issues must be resolved within an accelerated timeline to eliminate potential impacts to the project. Issue resolution will follow the [Project Escalation Matrix](#) and the [Decision Matrix](#) outlined in this plan. The Project Manager will monitor all program issues on an ongoing basis and maintain the issue log in the Project Control Book which includes the following information:

Issue Details	Description
Issue Number	A four-digit number which uniquely identifies the issue within a specific project. The number is assigned to the issue either at the time the Project Manager receives it or upon completion of the Issue Description Report if the Project Manager has identified the issue. The number should follow in sequence the number of the last entry in the Issue Report Log.
Issue Description	The description of the issue on the Issue Description Report
Status/Comments	<p>Enter the current status code of the issue from the guidelines outlined below and add any other necessary comments:</p> <ul style="list-style-type: none"> • N - New: Issue has been accepted by the Project Manager and is ready to be assigned to an investigator. Enter a status code of N and the date. • P - Pending: Issue is dependent on another outstanding issue or change request. Activity has been deferred, but item is open. Enter a status code of P, the date deferred and the date due of related issue. • O - Open: Issue is active, assigned, and actions in progress to close. Enter a status code of O, the date. • C - Closed: Issue is closed if it will not impede the progress or success of the project or if the Project Manager does not feel the issue is relevant. Enter a status code of C, the date and reason for rejection. • E - Escalated: Issue is escalated using procedures outlined in the Plan (typically Project Impact Reports). Enter a status code of E, the individual to whom the issue has been assigned, the date escalated and the date due back.
Update / Resolution	The description of how the issue was resolved.
Date Due	The date agreed upon by the Project Manager and the Team Member, that the issue would be resolved. NOTE: If DEP does not meet specified deadlines for assistance in issue resolution, impacts to schedule will be calculated and communicated to the Project Management Team.
Priority (Impact)	High / Medium / Low based on impact to the project and/or organization
Named Owner	The name of the business owner impacted
Assigned To	The person to whom the issue has been assigned for resolution (point person)
Updates / Comments	Comments surrounding the issue and its resolution
Date Identified	The date the issue was identified
Date Assigned	The date the issue was assigned to a Team Member for resolution
Date Closed	The date the issue was resolved.
Date Category	The Category of the Issue (Same is Risk Categories)

17.3. Issue Resolution Process

Table 1 - Issue Management Process Steps

Step	Description	Owner
1. Identify and Document Issue	When an issue is identified, it is documented using the LRAP Issue Resolution Form (See Attachment 1) and submitted along with supporting documentation.	Individual submitting the issue
2. Log Issue	The issue is logged into the LRAP Issue Log.	Project Manager
3. Review and Assign Issue	The issue is reviewed and assigned to an individual for resolution.	Project Management Team
4. In Scope?	The Project Management Team determines if the issue is in or out of scope of the project.	Project Management Team
5. Resolve Issue	If the issue is in scope, the issue is assigned to a Project Team member and/or Executive Steering Committee member to be resolved.	Project Team and/or Executive Steering Committee
6. Conduct Additional Research	If the issue is out of scope, additional research will be conducted to gather information on the affect an issue will have on cost, schedule, and resources.	Assigned Project Team Member
7. Evaluate effect of solution on Cost, Schedule, and/or Resources	The proposed issue solution is evaluated by the Steering committee.	Executive Steering Committee
8. Solution Accepted or Rejected?	The Executive Steering Committee determines if the proposed solution is accepted or rejected.	Executive Steering Committee
9. Update Project Cost, Resources and/or Schedule	Changes to cost, resources and/or schedule will be updated in appropriate documentation.	Project Manager
10. Communicate Resolution	The results of a submitted issue are communicated through appropriate reports	Project Manager

18. SYSTEM SECURITY

FDC adheres to State of Florida Administrative Code 60GG-2, which outlines security controls that should be implemented within each agency. Rule 60GG-2 provides a crosswalk to federal national Institute of Standards and Technology (NIST) security guidelines (i.e. NIST 800-53). Likewise, the State’s primary datacenter has security policy specific to their environment and must adhere to 60GG-2, Florida Administrative Code. FDC’s standard operating procedure number 206.007, USER SECURITY FOR INFORMATION SYSTEMS outlines the processes for Department employees, contractors and subcontractors to follow to ensure the security of Departmental data and other information resources and the measures to follow in the event of a security incident. This project will follow procedure 206.007.

Note: The System Security Plan (SSP) requirements will adhere to 60-GG-2

Creating a comprehensive System Security Plan (SSP) for the Correctional Inmate Management System (CIMS) that adheres to the Florida Administrative Code 60GG-2 requires a detailed approach to addressing all aspects of information security, risk management, and compliance. While a comprehensive plan can be provided at a future date after a full-scale design of the system architecture is completed, an outline can be provided based on general practices and the need for compliance with regulatory frameworks. Legal will need to be engaged as well as compliance experts to tailor the plan to meet all legal requirements. Below is a foundational structure for the SSP:

1. Introduction

- System Overview: Provide a comprehensive overview of CIMS, including its purpose, scope, and the type of information it processes and stores.
- System Environment: Describe the technical environment of CIMS, including hardware, software, networks, and connections to external systems.

2. Regulatory Compliance Framework

- Adherence to Florida Administrative Code 60GG-2: Outline how CIMS adheres to the specified standards and regulations for information security within the Florida Department of Corrections, emphasizing data protection, access control, and incident response.

3. System Security Policies

- Access Control: Detail policies for user identification, authentication, authorization, and management of access privileges to ensure that only authorized individuals can access sensitive information.
- Data Protection: Describe encryption, data masking, and other protective measures for safeguarding sensitive data, both in transit and at rest.
- Incident Response and Recovery: Outline procedures for detecting, reporting, and responding to security incidents, as well as plans for system recovery in the aftermath of an incident to comply with FLDS reporting rules <https://ir.digital.fl.gov/>

4. Roles and Responsibilities

Role	Responsibility
System Owner	Ensures the system operates securely and meets compliance requirements.
Security Officer	Oversees system security, implements controls, and monitors risks.
IT Operations	Manages system operations, backups, and regular maintenance.
Disaster Recovery Team	Coordinates recovery efforts and ensures readiness in case of a disruption.

5. Risk Assessment and Management

- Risk Identification: Describe the process for regularly identifying and assessing risks to the system and the information it processes.
- Risk Mitigation Strategies: Detail the measures in place to mitigate identified risks, including technological solutions, training, and process improvements.

6. Personnel Security

- Employee Screening and Training: Outline the screening processes for employees with access to CIMS and the ongoing security awareness and training programs at <https://www.cjisonline.com/>.
- Roles and Responsibilities: Define the security roles and responsibilities of CIMS personnel, ensuring clear accountability for maintaining system security.

7. Physical and Environmental Security

- Facility Access Control: Describe measures to prevent unauthorized physical access to systems and data storage areas.
- Protection from Environmental Hazards: Detail protections against environmental hazards, including power failures, floods, and fires.

8. System and Information Integrity

- Malware Protection: Describe defenses against malware and other malicious software, including antivirus software and intrusion detection systems.
- Patch Management: Outline the process for regularly applying security patches and updates to software and systems.

9. Communication and Operational Security

- Network Security: Detail measures to protect the integrity and confidentiality of data in networks, including firewalls and secure VPNs.
- Data Backup and Restoration: Describe procedures for regularly backing up data and restoring it in the event of data loss or system failure.

10. Continuity of Operations Plan (COOP)

- The Continuity of Operations Plan (COOP) ensures that essential functions of the system continue during and after a disruption. This includes the identification of key personnel, alternative site arrangements, and operational procedures.
- Key Elements
 - **Critical Functions:** List of critical system functions that must be maintained, such as data access, reporting, communication systems.
 - **Recovery Priorities:** Definition of the priority order of restoring system components, services, or data.
 - **Alternate Site:** Definition of the location where critical operations can continue in case the primary site becomes unavailable.
 - **Personnel Designation:** Identification of personnel responsible for essential functions during an outage or disruption.
- COOP Procedures
 - **Activation of COOP:** The COOP is activated when the system experiences downtime, damage, or other major disruptions.
 - **Alternate Communications:** In the event of a communications outage, [Specify alternate communication systems such as satellite phones or secure mobile devices] will be utilized to maintain contact.
 - **COOP Testing:** The COOP plan is tested annually to ensure its viability and the readiness of the personnel involved.

11. Disaster Recovery Plan

- The **Disaster Recovery Plan (DRP)** outlines the procedures for recovering the system in the event of a disaster, such as a fire, flood, cyberattack, or other catastrophic events. The goal is to restore normal operations as quickly and efficiently as possible.
 - Disaster Recovery Objectives
 - **Recovery Time Objective (RTO):** [Define the maximum acceptable downtime, e.g., 24 hours.]
 - **Recovery Point Objective (RPO):** [Define the maximum acceptable data loss, e.g., no more than 4 hours of data.]
 - Backup and Restoration Procedures
 - Data Backup Frequency: **[Define the frequency, e.g., daily incremental backups and weekly full backups.]**
 - Backup Storage Locations: **[Specify the primary and off-site locations where backups are stored.]**
 - Restoration Procedures: **In case of disaster, data will be restored from [primary/offsite] backups using [restore procedure or tool name].**
 - Data Validation: **After restoration, data integrity will be verified by the IT team to ensure no loss or corruption occurred.**
 - Disaster Recovery Procedures
 - Disaster Identification: **The DRP is activated when a system failure, cyberattack, or physical disaster is identified and classified as requiring recovery.**
 - Disaster Declaration: **[Name/Role] is authorized to declare a disaster and initiate recovery operations.**
 - Failover Procedures: **Critical services will be moved to [alternate site/cloud services] to maintain essential functions.**
 - Post-Recovery Review: **After recovery, a post-mortem analysis will be conducted to evaluate the effectiveness of the response and make improvements to the DRP.**
 - Testing and Training
 - DRP Testing: **The disaster recovery plan is tested semi-annually through simulated exercises to validate its effectiveness and identify any gaps.**
 - Personnel Training: **Staff involved in disaster recovery operations receive regular training to ensure familiarity with the procedures.**

12. Compliance and Audit

- Regular Audits: Outline plans for regular security audits to assess compliance with this SSP and the Florida Administrative Code 60GG-2.
- Remediation Plans: Detail the process for addressing any compliance gaps or vulnerabilities identified during audits.

13. Appendices

- Appendix A: Definitions and Acronyms
- Appendix B: References to Florida Administrative Code 60GG-2
- Appendix C: Contact Information for Security Personnel

The SSP is a living document that must be regularly reviewed and updated by vendor to reflect changes in the system environment, emerging threats, and regulatory updates. Adherence to this plan ensures that CIMS remains secure and compliant with the Florida Administrative Code 60GG-2, protecting sensitive information and supporting the mission of FDC.

19. IMPLEMENTATION CONSIDERATIONS

19.1. Operations

The Operations section of the Project Management Plan delineates the project's commitment to adhering to FDC standards at every stage, from modeling and coding to implementation and production operation. These standards are necessary for ensuring the system's reliability, security, and effectiveness in meeting the department's needs. This section outlines the specific FDC standards that will guide the CIMS project operations and the strategies for compliance. The CIMS project will adhere to the following FDC standards for modeling, coding, implementation, and subsequent production operation(s):

19.1.1. Modeling Standards

- **Compliance with FDC Data Architecture:** All system modeling efforts will align with the FDC's established data architecture standards, ensuring compatibility and integration with existing systems.
- **Use of Standardized Modeling Languages:** The project will utilize standardized modeling languages (e.g., UML for system design and ER diagrams for database design) to maintain clarity and consistency in documentation and design processes.

19.1.2. Coding Standards

- **Adherence to Coding Conventions:** The development team will follow the FDC's coding conventions, including naming conventions, commenting guidelines, and code structure, to enhance code readability and maintainability.
- **Security Best Practices:** Coding will incorporate security best practices, such as input validation, output encoding, and the use of prepared statements in database access, to protect against vulnerabilities.

19.1.3. Implementation Standards

- **System Deployment Procedures:** CIMS will be deployed in accordance with the FDC's standard operating procedures for new systems, ensuring minimal disruption and maximum compatibility with the existing IT infrastructure.
- **Data Migration and Integrity:** The project will follow FDC standards for data migration, including data cleaning, mapping, and validation processes, to ensure the integrity and confidentiality of data during the transition to CIMS.

19.1.4. Production Operation Standards

- **Operational Monitoring and Maintenance:** CIMS operations will adhere to FDC standards for system monitoring, including performance tracking, anomaly detection, and regular maintenance schedules to ensure ongoing reliability and efficiency.
- **Disaster Recovery and Business Continuity:** The project will implement FDC's disaster recovery and business continuity plans, ensuring that CIMS can quickly recover from disruptions and maintain critical operations under all circumstances.

19.1.5. Strategies for Compliance

- **Regular Training and Updates:** The project team will undergo regular training sessions to stay updated on the FDC standards and best practices. This includes onboarding new team members and providing refresher courses for existing staff.
- **Quality Assurance Processes:** QA processes will be instituted to routinely check compliance with FDC standards throughout the development lifecycle. This includes code reviews, system audits, and compliance checks before major milestones.
- **Stakeholder Engagement:** Engaging with the FDC stakeholders throughout the project will ensure that all operations align with departmental standards and expectations. Regular meetings and feedback sessions will facilitate this alignment.
- **Documentation and Reporting:** Comprehensive documentation of all operations, including detailed reports on adherence to FDC standards, will be maintained. This ensures transparency and facilitates audits and reviews by FDC officials.

The operations of the CIMS project will be rigorously aligned with the FDC standards, from the initial modeling and coding phases through to implementation and ongoing production operation. By committing to these standards and instituting robust strategies for compliance, the CIMS project aims to deliver a secure, efficient, and reliable system that supports the critical work of the FDC. Through continuous training, quality assurance, stakeholder engagement, and meticulous documentation, the project will uphold the highest standards of operational excellence.

Upon entering the maintenance Phase of this project, support of the CIMS system will be turned over to the FDC Service Desk for 24 X 7 support.

19.2. Site Adaptations

Site adaptations may be necessary to accommodate the CIMS project architecture. Specific requirements for network structure, project architecture, and hardware requirements will be identified and reviewed as part of the JAD sessions on Overall Process and Workflow.

19.3. Federal Regulations

19.3.1. ADA Compliance

ADA Compliance will be applicable if any documents are submitted to the web. Should this become necessary, an FDC-appointed representative will be responsible to implement the document for ADA compliance.

19.3.2. 23 CFR Compliance

23CFR does not apply at this time since no Federal monies will be utilized in the funding of the CIMS project.

19.4. Apportioning of Requirements

The CIMS system will be implemented in several phases:

Vendor Proposed Timeline

Timeline

We will implement modules in three releases over three years to mitigate the impact to FDC, allow for an early win, and provide FDC staff with time to adapt to the changes

OBIS Release Timeline			
Release 1: Month 13	Release 2: Month 24	Release 3	Release 3 (continued): Month 36
Community Corrections	Institutions – Phase I	Institutions – Phase II	Institutions – Phase II
Offender Intake Management	Inmate Reception	Records Management	Management
Offender Supervision	Inmate Classification	Inmate Release	Support Grievances
Offender Absconder Management	Assessment	Risk & Needs	Audits
Offender Transfer	Sentence Structure	Security Threat Group	Scheduling
Offender Risk & Needs	Release Day Calculation	Support Release & Management	Disciplinary Reports
Assessment	Facility Population Tracking	Support Job & Assignment	Incident Management
Pre-sentence Investigations	Inmate Movement Tracking	Vocational Training	Holds, Warrants & Detainers
Investigations	Inmate Housing Assessment	Support Sex Offender	Inmate Education
Community Supervision	Inmate Custody Assessment	Management	
Case Management	Inmate Trust Fund	Transporting Scheduling	
Offender Corrections	Financial Management	Visitation	
Offender Release	Identification Badges	PREA	
Court Ordered Payments	Livescan-Rapid ID	Drug Testing	
Sentence Structure	Support Facility	Property Management	
Support Supervision	Document Management	Support Emergency	

Timeline at a Glance



6

2

Additionally, the separate Data Warehouse project will have interdependencies within the phased timeline that will be carefully monitored and managed.

19.5. FDC Service Level Expectations

19.5.1. SLA Definitions

Term	Definition
Severity	Severity is a measurement of impact. How much impact does an incident have on users? Does it take down their whole system? Keep them from completing a vital task? Or perhaps just irritate them and make tasks harder?
Priority	Priority is a measurement of urgency. How quickly do we need to fix this issue? Which issue needs to be fixed first?

19.5.2. FDC Severity Levels for Software In Production

The below responses are standard timeframes. Please refer to the Systems Integrator contract for negotiated times and potential financial consequences for non-compliance.

Severity Level	Description	Initial Response Standard Support	Initial Response 24 x 7 Support	Initial Response Premier Support
Level 1	<p>Critical business impact:</p> <p>Customer's production use of our products on a primary business service, major application or mission-critical system is stopped or so severely impacted that the customer cannot reasonably continue work. Severity Level 1 problems could have the following characteristics:</p> <ul style="list-style-type: none"> • System hangs or crash situations • Data loss or data corruption • Critical functionality not available 	Within 1 hour	Within 1 hour	Within 1/2 hour
Level 2	<p>Significant Business Impact:</p> <p>Important product features are unavailable with no acceptable workaround. Customer's implementation or production use of Quest's products in a primary business service, major applications or mission critical systems are functioning with limited capabilities or are unstable with periodic interruptions. The software may be operating but is</p>	Within 2 hours	Within 2 hours	Within 1 hour

	<p>severely restricted.</p> <p>Severity Level 2 problems could have the following characteristics:</p> <ul style="list-style-type: none"> • Product error or failure forcing a restart or recovery • Severely degraded performance • Functionality unavailable but the system is able to operate in a restricted fashion. 			
Level 3	<p>Minimal Business Impact:</p> <p>Product features are unavailable but a workaround exists and the majority of software functions are still useable. Minor function/feature failure that the customer can easily circumvent or avoid. Customer's work has minor loss of operational functionality.</p> <p>Severity Level 3 problems could have the following characteristics:</p> <ul style="list-style-type: none"> • Error message with workaround • Minimal performance degradation • Incorrect product behavior with minor impact • Questions on product functionality or configuration during implementation 	Within 4 hours	Within 4 hours	Within 2 hours
Level 4	<p>Nominal Business Impact:</p> <p>Minor problem or question that does not affect the software function such as How To's, documentation, general questions, or enhancement requests. There is no impact to product usage or customer's operations.</p> <p>Severity Level 4 problems could have the following characteristics:</p> <ul style="list-style-type: none"> • General requests for advice on product usage • Clarification on product documentation or release notes • Product enhancement request 	Within 1 Business Day	Within 1 Business Day	Within 4 hours

19.6. SLA Performance Metrics

19.6.1. Metric Category Definitions

Term	Definition
Response Time	The maximum time taken from the receipt of a service request to when a service desk representative begins to address the issue.
Resolution Time	The maximum time taken to resolve a reported issue from the moment it is logged.
Availability	The percentage of time the IT services are available for use during agreed service hours.
First Call Resolution (FCR)	The percentage of service requests or incidents resolved during the first interaction with the help desk.
Customer Satisfaction	A measure of how products and services supplied by the IT department meet or surpass customer expectation.

19.6.2. SLA Metrics – Main Categories

Metric	Detailed Objective	Detailed Means of Measuring
Response Time	Respond to 95% of all critical service requests within 15 minutes, high priority within 30 minutes, and medium to low priority within 1 hour.	Utilize an advanced ITSM tool for immediate ticket prioritization and allocation. Automated alerts and escalation policies ensure that no critical ticket goes unnoticed. Daily dashboards are reviewed to monitor adherence to response time objectives, with AI-based forecasting to improve staffing during peak times.
Resolution Time	Resolve 95% of critical issues within 4 hours, high priority issues within 8 hours, and medium to low priority issues within 72 hours.	Implement a tiered resolution process in Service Now, with real-time tracking and escalation for tickets not resolved within the expected timeframe. Weekly resolution time reports by priority level, with a deep dive into any outliers or breaches of SLA, facilitating root cause analysis and preventive measures.
Availability	Maintain 99.95% availability for critical systems and 99.7% for all other IT services during business hours.	Deploy comprehensive monitoring solutions across all hardware and software, with real-time alerts and automated incident reporting. Monthly system performance and availability reports, including trend analysis and predictive maintenance scheduling to minimize downtime.

Metric	Detailed Objective	Detailed Means of Measuring
First Call Resolution (FCR)	Aim for an FCR rate of 80% for Level 1 support inquiries and 60% for Level 2 support inquiries.	Analyze help desk calls and resolutions through Service Now, marking tickets that were resolved on the first interaction. Weekly and monthly reports identify training opportunities, knowledge base improvements, and adjustments needed in support protocols.
Customer Satisfaction	Target a customer satisfaction score of 4.5 out of 5 across all support interactions, with a response rate of at least 70% on surveys.	Automated satisfaction surveys post-ticket resolution, with questions tailored to the service received. Quarterly analysis of feedback, segmented by service area, to drive continuous improvement efforts. High-priority action items are identified for any scores falling below target, with follow-up surveys to gauge the effectiveness of implemented changes.
System Access Request (SAR) Response Time	Process 90% of SARs within 1 business day for standard access, and within 3 business days for access requiring additional approvals or security checks.	Track SARs through a dedicated workflow in Service Now, with automatic notifications to approvers and real-time status updates for requestors. Monthly reports on SAR processing times, highlighting any delays in the approval chain or security verification steps.
Software Deployment and Updates	Achieve a 95% success rate in scheduled software deployments and updates within the agreed maintenance windows, with minimal disruption to users.	Use centralized software management tools to schedule, deploy, and monitor software updates. Post-deployment reports verify the success rate and capture any issues or user impacts. Quarterly reviews of deployment strategies and user feedback to ensure effectiveness and minimal disruption.
Security Incident Response Time	Respond to 100% of security incidents within 15 minutes of detection. Immediate containment actions to be initiated within 1 hour.	Implement a Security Information and Event Management (SIEM) system for real-time alerts on potential security incidents. A dedicated security operations center (SOC) monitors alerts 24/7, with documented procedures for incident assessment, response, and escalation. Monthly security incident reports, including response times, effectiveness of containment, and lessons learned for future incident prevention strategies.

19.6.3. Detailed SLA Metrics Surrounding Response Time

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
Initial Response	Immediate Acknowledgment	Acknowledge 100% of high-priority service requests within 15 minutes of receipt.	Implement an automated ticketing system that sends immediate acknowledgment notifications to users upon receipt of service requests. Measure acknowledgment times using system logs and generate daily and weekly performance reports.
	First Response Time	Respond with a preliminary assessment or request for further information within 1 hour for high-priority incidents, within 4 hours for medium priority, and within 8 hours for low priority.	Use Service Now to track the time from ticket submission to the first response by a support agent. Automated tagging and prioritization help in identifying the urgency of incidents. Monthly analysis of response time by priority, identifying areas for process improvement.
Communication	Update Frequency	Provide updates on ongoing issues at least every 2 hours for high-priority tickets, every 4 hours for medium priority, and every 8 hours for low priority.	Configure Service Now to send automated updates based on ticket status changes. Monitor compliance with update frequency standards through ITSM system reports. Evaluate feedback from service users regarding the adequacy and timeliness of communication in quarterly customer satisfaction surveys.
	Escalation Timeliness	Escalate unresolved issues within 4 hours for high priority, within 8 hours for medium priority, and within 24 hours for low priority.	Utilize escalation workflows in Service Now that automatically escalate tickets based on the predefined time limits and priority levels. Regular audits of escalation actions and timings to ensure adherence to SLA metrics. Monthly reporting on escalation patterns to identify bottlenecks and training needs.
Resolution Planning	Initial Resolution Estimate	Provide an estimated resolution time within 2 hours for high-priority issues, within 6 hours for medium priority, and	Capture initial assessment and resolution estimate times in Service Now. Use historical data to refine accuracy of estimates over time. Monthly review of estimate accuracy and adjustment of

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
		within 24 hours for low priority after initial assessment.	guidelines for estimation based on real-world data and outcomes.
User Satisfaction	Satisfaction with Response	Achieve an average user satisfaction rating of 4.5 out of 5 for the timeliness and effectiveness of initial responses.	Include questions specific to response time satisfaction in post-resolution user surveys. Analyze survey results to identify trends, areas for improvement, and training opportunities. Quarterly review of satisfaction metrics related to response times and implementation of targeted improvement plans.
Continuous Improvement	Response Time Reduction	Achieve a 5% reduction in average response time for all priority levels annually.	Analyze historical response time data to identify trends, inefficiencies, and opportunities for process optimization. Implement targeted improvement projects aimed at reducing response times. Year-over-year analysis of response time metrics to measure improvement against this objective.

19.6.4. Detailed SLA Metrics Surrounding Resolution Time

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
Overall Resolution	Time to Resolution	Resolve 90% of high-priority issues within 4 hours, 85% of medium priority within 24 hours, and 80% of low priority within 72 hours.	Track the time from acknowledgment to resolution in Service Now. Break down resolution times by priority in daily and weekly reports to ensure targets are being met. Regularly review process efficiency and bottleneck sources to improve resolution times.
Priority Level Analysis	Critical Issue Resolution	Resolve critical system outages affecting major operations within 2 hours.	Use incident management systems to categorize and prioritize critical issues. Implement a rapid response team for such high-impact problems. Monthly performance analysis to assess if the critical response team meets the two-hour resolution target.
	Software Bug Fixes	Address critical software bugs within 24 hours and	Utilize software tracking tools to log, prioritize, and track bug fixes. Establish clear communication channels between IT

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
		less critical bugs within a week.	support and software development teams for efficient resolution. Quarterly reviews of bug resolution times, focusing on prioritization efficiency and developer response times.
User-Requested Changes	Standard Request Fulfillment	Complete 95% of standard user requests, such as password resets or access changes, within 1 hour of request acknowledgment.	Monitor request fulfillment through Service Now, categorizing requests by type and tracking resolution. Implement automation where possible for standard requests to improve efficiency. Weekly and monthly performance analysis to ensure compliance with the one-hour target and identify opportunities for further process optimization.
	Complex Request Fulfillment	Fulfill complex user requests, such as new software installations or configurations, within 72 hours.	Track complex requests separately in the ITSM system, with detailed follow-up on progress and obstacles. Monthly reviews to analyze fulfillment times for complex requests and identify any systemic issues or delays.
Performance Improvement	Resolution Time Reduction	Achieve a year-over-year reduction of 5% in average resolution time across all categories.	Analyze historical resolution time data to identify patterns, inefficiencies, and improvement opportunities. Implement targeted initiatives to streamline resolution processes, such as automation, training, or resource allocation adjustments. Yearly analysis of resolution time metrics to assess improvement progress and adjust strategies accordingly.
Post-Resolution Analysis	Resolution Quality	Maintain a resolution quality rate of 95%, measured by the lack of recurrence of the same issue within 30 days.	Implement a follow-up survey or check-in process to confirm the resolution's effectiveness and detect any recurrence of issues. Track the quality of resolutions in Service Now, with monthly reporting on recurrence rates and analysis of any trends or patterns. Periodic review meetings to discuss resolution quality and plan improvements based on feedback.

19.6.5. Detailed SLA Metrics Surrounding Availability

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
System Availability	Overall System Uptime	Achieve 99.95% uptime annually for critical systems and 99.7% for secondary systems.	Utilize network monitoring tools to continuously track the operational status of all systems. Automated reporting on uptime, with breakdowns for critical vs. secondary systems. Monthly and annual reports to compare against SLA objectives.
	Critical Application Availability	Ensure critical applications are available 99.95% of the time during business hours.	Implement application performance monitoring (APM) solutions to monitor critical applications' availability in real-time. Set up alerts for any downtime or performance issues. Daily and monthly availability reports focused on critical applications.
Reliability	Mean Time Between Failures (MTBF)	Increase the MTBF for critical systems to 5,000 hours.	Analyze system logs and incident reports to calculate MTBF. Regular reviews to identify recurring issues and implement preventive measures. Quarterly reporting on MTBF trends and improvement actions.
	Mean Time to Recover (MTTR)	Reduce the MTTR for critical systems to less than 1 hour.	Track incident resolution times using Service Now software. Analyze data to calculate average MTTR for critical system incidents. Monthly performance reviews to identify improvement opportunities in incident management processes.
Performance	Load Handling	Ensure systems can handle peak loads with no more than a 10% reduction in performance.	Conduct regular stress testing and performance monitoring to assess system behavior under peak loads. Use performance monitoring tools to report on system responsiveness during peak usage periods. Quarterly analysis to plan for capacity upgrades or optimizations.
	Response Times	Maintain average response times of less than 2 seconds for critical applications during business hours.	Use APM and network monitoring tools to measure the response times of critical applications. Real-time alerts for any deviations beyond the target threshold. Daily performance dashboards and monthly detailed analysis reports.

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
Data Integrity and Backup	Backup Success Rate	Achieve a 99.9% success rate for scheduled backups of critical data.	Implement backup monitoring tools to track the success rate of all scheduled backups. Immediate alerts for any failed backups, with a follow-up investigation and rectification process. Monthly backup success reports.
	Recovery Point Objective (RPO)	Ensure RPO of less than 1 hour for critical systems.	Regularly test backup systems to ensure that data can be restored to a point in time no more than 1 hour prior to any incident. Use backup and recovery reporting tools to monitor and report on RPO adherence. Semi-annual testing and reporting.
	Recovery Time Objective (RTO)	Aim for an RTO of less than 2 hours for critical systems.	Conduct disaster recovery drills to ensure critical systems can be fully operational within 2 hours after any incident. Document and analyze each drill for RTO compliance. Adjust recovery strategies based on drill outcomes to meet or exceed the RTO target. Semi-annual drills and improvement plan updates.

19.6.6. Detailed SLA Metrics Surrounding First Call Resolution

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
Overall FCR	FCR Rate	Achieve an FCR rate of 80% for inquiries that can be resolved without escalation or follow-up.	Utilize Service Now to track whether an issue is resolved during the first call or contact. Analyze call logs and ticket resolutions monthly to calculate the FCR rate. Implement categorization for tickets to distinguish between those that are eligible for FCR and those that inherently require follow-up or escalation.
Category-Specific FCR	Technical Issue FCR Rate	Maintain an FCR rate of at least 75% for technical support calls related to common issues, such as password resets or connectivity problems.	Categorize incoming calls by issue type using Service Now. Use data analytics to identify patterns in resolution success rates by category, focusing on continuous improvement for categories with lower FCR rates. Monthly review of technical support calls to assess FCR rate by issue type, with

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
			targeted training or knowledge base updates to address gaps.
	Account Management FCR Rate	Achieve an FCR rate of 90% for account management inquiries, including billing questions, account updates, or service changes.	Track resolution rates for account management calls specifically, using CRM and ITSM integration to provide support staff with comprehensive account visibility. Implement policies and training to empower front-line staff to make account changes or updates within defined parameters. Monthly performance analysis focused on account management inquiries.
Impact Analysis	Customer Satisfaction Impact	Ensure that improvements in FCR rate positively correlate with customer satisfaction scores.	Conduct customer satisfaction surveys post-interaction, including specific questions about resolution satisfaction and whether the issue was resolved on the first call. Use analytics to correlate FCR rates with satisfaction scores, identifying opportunities to enhance both. Quarterly review of correlation data to inform training, process changes, or technology enhancements aimed at improving both FCR and customer satisfaction.
Operational Efficiency	Average Handle Time (AHT) for FCR	Optimize Average Handle Time to ensure efficient resolutions without compromising quality, aiming for a reduction in AHT by 5% annually for FCR-eligible calls.	Analyze call durations and resolutions using Service Now, focusing on identifying inefficiencies or areas where additional training could reduce handle time without affecting resolution quality. Implement process improvements or automation where possible to aid in reducing AHT for FCR interactions. Yearly analysis of AHT trends for FCR-eligible calls, with goals set for gradual improvement.
Training and Knowledge Management	Training Effectiveness on FCR	Link staff training programs directly to improvements in FCR rates, aiming for a 10% increase in FCR rates post-training initiatives.	Before and after analysis of FCR rates following targeted training programs. Monitor the effectiveness of training by evaluating changes in FCR rates for specific issue types or overall. Implement regular training needs assessments to identify knowledge gaps or areas where FCR could be improved with better training or access to information. Quarterly review of training

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
			program impact on FCR rates, with adjustments made based on outcomes.

19.6.7. Detailed SLA Metrics Surrounding Customer Satisfaction

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
Overall Customer Satisfaction	CSAT Score	Achieve a CSAT score of at least 4.5 out of 5 across all service interactions.	Conduct a short survey after each service interaction, asking customers to rate their satisfaction on a scale from 1 to 5. Use an automated tool integrated with the ITSM system to send surveys via email or SMS. Aggregate scores monthly to monitor overall satisfaction and identify trends.
Service Quality	Quality of Resolution	Ensure that 90% of customers rate the quality of resolution as 4 or higher on a 5-point scale.	Include specific questions in the post-service survey about the effectiveness and completeness of the resolution. Analyze responses to identify areas where resolution quality can be improved, such as additional training for support staff or enhancements to the knowledge base.
	Professionalism of Staff	Maintain a 95% positive feedback rate on the professionalism and courtesy of the support staff.	Ask customers to rate the professionalism and courtesy of the support staff in post-interaction surveys. Review comments and scores regularly to identify training opportunities or recognize outstanding service.
Timeliness	Satisfaction with Response Times	Achieve that 85% of customers are satisfied (rating 4 or higher) with the timeliness of responses and resolutions.	Include questions in surveys that specifically address satisfaction with response and resolution times. Use data analytics to correlate satisfaction scores with actual response and resolution times, identifying thresholds for satisfaction based on timeliness.
Information and Communication	Clarity of Communication	Ensure that 90% of customers rate the clarity of information and instructions provided during support as 4 or higher.	Ask customers to evaluate the clarity and usefulness of the information provided during the support process in the satisfaction survey. Use feedback to refine communication templates, training programs, and the knowledge base.

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
	Follow-up Satisfaction	Ensure that 85% of customers express satisfaction with the follow-up process to ensure issue resolution.	In cases where follow-up action is required to resolve an issue, include survey questions about the satisfaction with the follow-up process, timeliness, and effectiveness. Analyze feedback to optimize follow-up procedures and communication.
Resolution Feedback	First Contact Resolution Satisfaction	Ensure that 90% of customers experiencing first contact resolution report satisfaction levels of 4 or higher.	Segment survey responses to specifically analyze satisfaction among customers whose issues were resolved on the first contact. Use this data to evaluate the effectiveness of the first contact resolution strategy and identify areas for improvement.
Continuous Improvement	Improvement Over Time	Show a year-over-year improvement in CSAT scores, aiming for at least a 5% increase.	Compare CSAT scores annually to assess trends and effectiveness of service improvements. Utilize feedback for targeted service enhancements, staff training, and process optimization. Establish a continuous feedback loop where customer survey responses directly inform service improvement initiatives.

19.6.8. Detailed SLA Metrics Surrounding System Access Request Response Time

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
Initial Response	Acknowledgment Time	Acknowledge 100% of SARs within 1 hour of submission during business hours.	Use automated ticketing systems to send immediate acknowledgments upon SAR submission. Track acknowledgment times using system logs. Generate daily reports to ensure all requests are acknowledged within the target timeframe.
Processing Efficiency	Average Processing Time	Process standard SARs within 4 business hours and complex SARs (requiring additional approvals) within 24 business hours.	Categorize SARs as standard or complex based on predefined criteria. Monitor and record the time taken to process each request from acknowledgment to completion. Use ITSM tool analytics to calculate average processing times weekly, aiming for continuous improvement and identifying bottlenecks.
	Approval Time	Ensure that 95% of SARs receive initial approval or escalation within 2	Implement workflow automation within Service Now to route SARs to the appropriate approvers. Monitor the time from submission to approval or escalation

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
		business hours of submission.	decision. Weekly reviews of approval times to ensure compliance with SLA targets and to address any delays in the approval process.
Access Provisioning	Completion Rate	Achieve a 98% completion rate for SARs within the targeted processing times.	Track the percentage of SARs completed within the targeted processing times using Service Now's reporting features. Analyze and report on completion rates monthly, identifying reasons for any requests that exceed the target times and implementing corrective actions.
User Communication	Update Frequency	Provide status updates to requestors at key milestones: upon acknowledgment, approval, any delays, and completion.	Configure Service Now to automatically send updates to requestors at each milestone. Monitor compliance with this metric through system audit logs and requestor feedback. Monthly analysis of communication effectiveness and adjustments based on requestor feedback.
Security Compliance	Compliance Rate	Ensure 100% of SARs are processed in compliance with organizational security policies, including necessary approvals and audits.	Implement automated compliance checks within the SAR processing workflow to verify adherence to security policies. Regular audits of SAR processing records and approval chains to ensure full compliance. Quarterly reporting on compliance rate, with any instances of non-compliance addressed through process adjustments or additional training.
Feedback and Improvement	Requestor Satisfaction	Achieve an average satisfaction score of 4.5 out of 5 from requestors regarding the SAR process.	Conduct short satisfaction surveys with requestors upon completion of their SAR. Analyze feedback to assess satisfaction with processing times, communication, and overall experience. Use feedback for continuous process improvement, focusing on areas with lower satisfaction scores. Quarterly reviews of satisfaction trends and implementation of targeted actions to address any areas of concern.
	Time to Productivity	Minimize the time to productivity for new employees by ensuring access is	Track the percentage of SARs for new hires that are completed by the start date or within the requested timeframe. Monitor and analyze instances where access was

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
		provided by their start date or within the requested timeframe.	not provided in time, to identify and address systemic issues in the SAR process. Regular feedback sessions with hiring managers to improve the coordination and timing of access provisioning for new hires.

19.6.9. Detailed SLA Metrics Surrounding System Access, Deployment, & Updates

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
Deployment Efficiency	Deployment Lead Time	Complete standard deployments within 2 business days from the request. Complex deployments within 5 business days.	Track the time from deployment request receipt to deployment completion. Categorize deployments as standard or complex based on predefined criteria. Monthly reporting on average lead times for each category, with analysis to identify and address delays.
	Deployment Success Rate	Achieve a 98% success rate for all system deployments and updates.	Monitor and record the outcome of each deployment attempt, marking it as successful or failed. Analyze reasons for failure and implement corrective actions. Monthly performance analysis to ensure the success rate meets or exceeds the target.
Update Management	Update Compliance Rate	Maintain 100% compliance with required security patches and software updates within agreed timelines.	Use patch management software to track the application of security patches and updates. Regular compliance reports to verify that all systems are up-to-date. Quarterly reviews of update processes to identify and resolve compliance issues.
	Critical Update Deployment Time	Deploy critical security updates within 24 hours of release.	Track the deployment of critical updates from the time of release to completion. Set up alerts for the release of critical updates and monitor deployment progress. Weekly analysis of deployment times for critical updates: focus on meeting the 24-hour target.
User Impact Management	User Downtime During Updates	Limit user downtime to a maximum of 2 hours for any update or deployment, preferably during off-peak hours.	Monitor system availability and user access logs to assess downtime caused by updates or deployments. Implement update schedules minimizing user impact, focusing on off-peak times. Analyze user downtime monthly, with adjustments to planning and execution processes, minimizing future impact.

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
	User Notification Lead Time	Notify users of planned downtime at least 48 hours in advance for standard updates and immediately for critical updates.	Use email, system notifications, or other communication tools to inform users of upcoming updates and expected downtime. Track the timing and method of notifications for each update. Monthly audits of notification processes to ensure compliance with lead time requirements and effectiveness in reaching all affected users.
Security and Compliance	Security Review Completion Rate	Conduct security reviews for 100% of new system deployments and major updates before going live.	Implement a checklist or automated tool for security reviews as part of the deployment process. Track the completion of security reviews for each deployment or major update. Quarterly reports on review completion rates, with analysis of any instances where reviews were skipped or incomplete.
Feedback and Continuous Improvement	Stakeholder Satisfaction	Achieve an average satisfaction score of at least 4 out of 5 from users and stakeholders regarding deployment processes.	Conduct surveys / interviews with users and stakeholders after major deployments or update cycles. Gather feedback on effectiveness of communication, impact on work, and overall satisfaction with the process. Use feedback to identify areas for improvement and implement targeted actions. Quarterly review of satisfaction trends and adjustments to deployment and update processes based on stakeholder feedback.
	Post-Deployment Review Rate	Conduct post-deployment reviews for 100% of major system deployments and updates.	Establish a routine for conducting post-deployment reviews that include IT staff, stakeholders, and users as appropriate. Track the scheduling and completion of reviews, focusing on lessons learned and opportunities for process improvement. Bi-annual analysis of the review process effectiveness, making adjustments as necessary to ensure continuous learning and improvement.

19.6.10. Detailed SLA Metrics Surrounding Security Incident Response Time

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
Initial Response	Incident Acknowledgment Time	Acknowledge 100% of reported security	Implement automated alerting mechanisms within security tools to immediately notify the security incident response team. Track

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
		incidents within 15 minutes of detection.	acknowledgment times for each incident to ensure compliance with the 15-minute target. Monthly audits of incident logs and notification timelines to assess adherence to SLA metrics.
Assessment and Escalation	Incident Assessment Time	Complete the initial assessment for 90% of security incidents within 1 hour of acknowledgment to determine the severity and impact.	Utilize incident management systems to log assessment times. Monitor the process to ensure that assessments are completed within the target timeframe. Regular review sessions to discuss any delays in the assessment phase and implement process improvements.
	Incident Escalation Time	Escalate critical incidents to the appropriate response teams within 30 minutes of assessment completion.	Track the time from the completion of the initial assessment to the escalation of the incident. Implement automated workflows in incident management systems to facilitate rapid escalation. Analyze escalation times monthly to identify and rectify any bottlenecks in the process.
Containment and Eradication	Incident Containment Time	Contain 90% of critical security incidents within 2 hours of escalation.	Monitor containment efforts to ensure rapid response, utilizing automated tools where possible. Record and report on the time taken to contain incidents after escalation. Conduct post-incident reviews to evaluate containment efficiency and identify improvements.
	Incident Eradication Time	Eradicate 90% of critical security incidents within 24 hours of containment.	Document the eradication measures and timelines for each incident. Utilize incident tracking systems to ensure eradication efforts are within the SLA targets. Periodic review of eradication strategies and effectiveness, adjusting tactics as needed based on incident trends and outcomes.
Recovery and Communication	Incident Recovery Time	Restore operations to normal for 90% of incidents within 48 hours of eradication.	Track recovery actions and timelines using incident management and business continuity planning tools. Measure the time from eradication to full operational recovery. Regularly review recovery processes and timelines, focusing on minimizing operational downtime.

Metric Category	Metric	Detailed Objective	Detailed Means of Measuring
	Stakeholder Communication Frequency	Communicate incident status updates to stakeholders at predefined intervals: immediately upon detection, and at least every 2 hours for critical incidents.	Implement a communication plan that outlines the frequency and method of updates for different incident severities. Use incident management tools to automate stakeholder notifications where possible. Audit communication logs to ensure compliance with the communication SLA, adjusting processes as necessary to improve stakeholder satisfaction.
Post-Incident Analysis	Post-Incident Review Completion	Conduct a post-incident review for 100% of critical incidents within 5 business days of recovery.	Schedule and document post-incident reviews, ensuring all key stakeholders participate. Use a standardized template for review to capture lessons learned, improvement opportunities, and actions taken. Monitor the completion rate of post-incident reviews and effectiveness in implementing improvements.
Continuous Improvement	Incident Response Improvement Actions Implemented	Implement at least 90% of identified improvement actions from post-incident reviews within 30 days of the review.	Track the implementation of improvement actions identified in post-incident reviews. Monitor the percentage of actions completed within the target timeframe. Regular status updates and accountability checks to ensure timely action on critical improvements.

APPENDICES

APPENDIX A – Risk & Opportunity Matrix

ITEM NO.	RISK ANALYSIS (PRIORITY)	RISK FACTOR	Occurrence Probability			IMPACT LEVEL			IMPACT DESCRIPTION	MITIGATION STRATEGY	COST	ASSIGNED TO	EST. EXPIRATION DATE	Current Status
			H	M	L	H	M	L						
CATEGORY: SCOPE AND SCHEDULE														
1-S	Y	Unable to access needed technical staff in appropriate timeframes		Y		R			1) Delay in project	1) Prioritize project with internal FDC staff to ensure availability 2) Prioritize project with external staff to ensure availability		FDC		G
2-S	G	Regulatory Compliance (ex. ADA)		Y			Y		1) May generate additional requirements to the system that could result in scope and schedule delays	1) Determine level of compliance early in project 2) Have software in-house that can score the software for level of compliance 3) Update requirements to include ADA Compliance		CIMS Project Team		G
3-S	R	Business resources (Ex: FDC Personnel, Testers, users for training, configuration resources etc.) not identified or available when needed	R			R			1) Delay of project 2) Incomplete requirements 3) Currently, the same business resources have been identified for both product and program work.	1) Clearly identify a business owner 2) Prioritize project activities with business owner to ensure compliance with project schedule. 3) Split the resources between product and program and supplement with another resource as necessary. 4) Prioritize activities with CIMS Project		CIMS Project Team		Y

							Manager and CIMS staff to ensure availability.				
4-S	R	Technical Resources not onboarded in a timeline consistent with project schedule needs.	R		R		<ul style="list-style-type: none"> 1) Delay of project 2) Incomplete requirements 3) Currently, the same business resources have been identified for many subprojects of the program work. 	<ul style="list-style-type: none"> 1) Clearly identify a business owner 2) Prioritize project activities with business owner to ensure compliance with project schedule. 3) Split the resources between subprojects and supplement with another resource as necessary. 4) Prioritize activities with CIMS Program Manager and CIMS staff to ensure availability. 	CIMS Project Team		Y
5-S	G	<p>Change requests that impact priorities and/or scope.</p> <p>Would be realized as a risk if additional outside projects identified /raised by PLT or Legislature.</p>			G	Y	<ul style="list-style-type: none"> 1) Schedule delay 2) Resource availability contention 3) Requirements could be too division specific, i.e., requirements not found in the baseline product. 	<ul style="list-style-type: none"> 1) Clearly identify all business requirements to be created in CIMS software 2) Prioritize availability of personnel to handle workload. 	CIMS Project Team		G
6-S	R	Timely response of Stakeholders to issues.	R		R		<ul style="list-style-type: none"> 1) Delay of project 	<ul style="list-style-type: none"> 1) Escalation up the chain of command to ensure prioritization of requests / decisions 2) Continued follow-up to ensure decision accountability 	SME		Y
7-S	R	Enhancement Requests outside scope of contracted scope		Y		Y	<ul style="list-style-type: none"> 1) Delay of project 2) Missed requirements 3) Expansion of schedule and scope 4) Possible expansion of contract and cost 	<ul style="list-style-type: none"> 1) Divide scope into achievable phases 2) Maintain list of features not included in Phase 1 for modified contract scope in Post-Go live implementation. 	CIMS Project Team		G

8-S	Y	Contractual deliverable approvals not delivered on time	R			Y		1) Delay of project 2) Missed requirements 3) Expansion of schedule.	1) Divide deliverables into achievable phases 2) Escalate approvals to higher chain of command	CIMS Project Team	R
9-S	R	Miscommunication and articulation of requirements between Vendor and FDC	R			R		1) Delay of project 2) Missed requirements 3) Expansion of schedule.	1) Establish and execute robust communication plan 2) Maintain up-to-date project schedule 3) Establish regular workgroup meetings with users to cover project status and requirements 4) Establish regular meetings between project managers from vendor and CIMS Project Team	CIMS Project Team	Y
10-S	R	Time estimates currently based on high-level requirements.	R			R		1) Schedule delay 2) Increase in risk to project success factors 3) Increase in scope	1) Setup a focused team to clearly define requirements 2) Decide the nexus between the Project and Product development efforts / division of responsibilities of identified staff. 3) Send change requests impacting scope or schedule through a strict approval process.	CIMS Project Team	Y
CATEGORY: TECHNICAL											
1-T	G	Simultaneous building of Data Warehouse			G	R		1) May prohibit form submissions or access to CIMS Systems	1) Establish reliable data flow process 2) Ensure proper system security 3) Ensure standard	CIMS Project Team	G

								encryption is setup and functioning properly.			
2-T	G	CIMS System Outage			G	R		1) Loss of Service to customers 2) Delay in notification of potential correctional officers needing help	1) Establish connections, data flow processes 2) Ensure CIMS SLAs are in place	CIMS Project Team	G
3-T	Y	Size and complexity of the system may cause unforeseen performance issues		Y		R		1) Unforeseen performance issues 2) More hardware could be required than expected 3) Performance of system constrains system to a specific size / frequency of data transfer. 4) Possible reduction in technological features. 5) Increased costs of hardware expenditures for production environment.	1) Performance requirements should be well articulated and measurable. 2) CIMS performance analysis should occur regularly.	CIMS Project Team	G
4-T	Y	SLA not effectively established			G		Y	1) Critical incident causing service loss / outage not responded to in a timely manner	1) Establish effective SLA with FDC 2) Set FDC expectations on response times	CIMS Project Team	G
5-T	Y	Disaster Recovery			G		Y	1) Loss of Service to customers 2) Delay in notification of potential correctional officers needing help	1) Establish connections, data flow processes 2) Ensure CIMS SLAs are in place	CIMS Project Team	G
CATEGORY: COST / BUDGET											

1-C	R	Contract is a fixed price with a limited amount of customization to meet FDC needs		Y			Y		1) Requirement's process subverted by working on a continuously evolving pilot 2) Project delays 3) Convert critical resources to provide support for this effort 4) Setting of unrealistic expectations regarding the nature of the final product. 5) Requirements by FDC could extend beyond what has been contractually approved by Legislature resulting in needs not being met.	1) Clear expectations must be set that the pilot and the full system implementation are two different efforts. 2) When product reaches a certain state, a formal pilot will be released that is based on the anticipated final product.		CIMS Project Team		Y
2-C	R	Full set of business requirements not completed prior to vendor start date.	R			R			1) Schedule delay 2) Increase project cost due to change orders 3) Expansion of project requirements beyond politically needed completion date 4) If CIMS is to replace multiple TRP systems, further analysis / time will be required to identify impact to existing systems.	1) Set FDC expectations as to deliverables 2) Identify requirements within scope of contract. 3) Perform gap analysis between needed functionality and what is to be delivered for future change requests. 4) Document current-state TRP systems for possible replacement (Incorporation into) by CIMS		CIMS Project Team		R
3-C	G	Extracting data from multiple sources for Data Warehouse causes question on source of truth for data elements.		Y				G	1) Research of data elements to source of truth may result in Schedule delay 2) Current data sharing agreements for any system involving CJIS data may not support providing data to third parties.	1) Obtain expanded data sharing agreements and MDC from data stakeholders. 2) Create new MCA with FDLE to allow extraction of CJIS data into data warehouse as needed. 3) Staggered implementation		CIMS Project Team		Y

4-C	G	Scope Creep surrounding System Module Development and Data Extract		Y		Y	<ul style="list-style-type: none"> 1) Increased scope puts greater pressure on project deadlines, hours required for delivery and the # of staff needed 2) Increased project cost 3) Schedule Delay 4) Expansion of project requirements beyond politically needed completion date 	<ul style="list-style-type: none"> 1) Strictly manage scope. 2) Implement a change control process that fully communicates project budget implications because of change. 	CIMS Project Team	G
5-C	Y	Size and complexity of this program exceeds the ability of the existing development physical infrastructure to support it (data extracts impact availability of limited technical resources)			G	Y	<ul style="list-style-type: none"> 1) Schedule delay 2) Increase material cost 3) Delays could cause loss of resources due to priority change 4) Could negatively impact other projects due to the breaking of the infrastructure. 5) Need for additional technical resources 	<ul style="list-style-type: none"> 1) Assumption is if infrastructure ability is exceeded, FDC will initiate a change request to evaluate best path forward to correct infrastructure deficiencies as quickly as possible to minimize impact level. 2) Prioritize project with internal FDC staff to ensure availability 3) Prioritize project with internal CIMS staff to ensure availability 4) Hiring additional technical contractors as needed. 	CIMS Project Team	G
CATEGORY: BUSINESS										
1-B	Y	Consolidation of additional systems into CIMS creates a large need for organizational change management			G	Y	<ul style="list-style-type: none"> 1) Additional training will be needed for users 2) Extensive organizational change management program will be needed. 3) Health data security may be impacted against HIPAA rules / regulations. 	<ul style="list-style-type: none"> 1) Agree upon definition of CIMS role in reporting statistics to all levels of users. 2) Clearly define and document requirements. 3) Communicate that CIMS is a software product unto itself 	CIMS Project Team	G

2-B	Y	Anticipated scope and technology stack may be outside abilities of current vendors	R			Y		1) Schedule delay 2) Increase in material cost 3) Delays in approval of requirements list	1) Agree upon definition of functional requirements for system 2) Clearly define and document requirements. 3) Determine features / forms that are needed to build this system. 4) Ensure all vendor contracts have NDAs in place.		CIMS Project Team		Y			
3-B	Y	Expectations generated by prototype may not be realistic. Current prototype developed using a technology stack not yet approved for widespread use by FDC Leadership		Y		Y		1) Rework of prototype and system design 2) Increased scope 3) Possible performance issues 4) Technical development issues	1) Level setting of the expectations surrounding the technology stack. 2) Ensure that we are not promoting features as hallmarks of the system that will be a performance detriment. 3) Scope changes will be documented for future phased releases.		CIMS Project Team		G			
4-B	R	Changing priorities using the same internal technical team	R			R		1) Schedule Delay 2) Possibly funding impact from Legislature if identified deliverables not completed timely.	1) Ensure design of CIMS takes into consideration available resources - adjust project schedule accordingly.		CIMS Project Team		G			

CATEGORY: MANAGEMENT														
1-M	R	Project Manager Turnover	R				Y		1) Organizational knowledge can be missed with the turnover of new PM's. 2) Schedule delay due to continually bringing new managers up to speed 3) Additional cost to FDC due to staff turnover	1) Identify a dedicated Program Manager for this project 2) Ensure project documentation is organized and available to project team. 3) Cross-train existing staff to ensure project continuation with minimal lag time should staff change.		OIT		G
2-M	G	Project Plan provided by CIMS too high level to be effectively tracked.			G			G	1) Delay of project 2) Inability to identify when the project starts to be delayed until it is too late to stop impact to schedule. 3) Changing priorities without proper notice for business personnel.	1) Create Project Plan with detailed tasks with durations no greater than 3-5 days each. 2) Provide weekly reports as to project status 3) Maintain detailed project plan.		CIMS Project Team		G
CATEGORY: ORGANIZATIONAL / CULTURAL														
1-O	Y	Team attrition.		Y			Y		1) Loss of organizational knowledge 2) Direct impact to short-term deliverables 3) Schedule delay	1) Bench strength and cross-training of existing team.		CIMS Project Team		Y
2-O	Y	The need for new hire training for project resources.		Y			Y		1) Loss of productivity due to lack of knowledge. 2) Schedule delay to the project 3) Increase cost of resources due to training.	1) Train team on organization, culture, and tools		CIMS Project Team		G

3-O	G	Change in updated software approach may not appeal to customers that are used to manual mainframe approach		Y		G	1) If feature implications of an updated product not understood, may reduce FDC adoption of product to regain "control" of their own area.	1) Train users on proper usage of workflow and its capabilities. 2) Ensure user roles clearly identified and tied to appropriate workflow and reporting capabilities 3) Initiate Organizational Change Management practices to engage client base and ensure timely adoption.	CIMS Project Team	G
4-O	Y	Organization slows to adopt new software		Y		Y	1) Divisions unwilling to share existing requirements - continue to attempt to use old unsupported systems outside OBIS 2) Schedule delays due to unshared requirements.	1) Executive Leadership buy-in 2) Communication by Leadership to divisions of expectation for cooperation. 3) Workarounds to obtain necessary requirements.	SME	G
Totals:			10	12	8	11	16	3		

Current Status:	
R	2
Y	9
G	19

Risk Priority Totals by Category	Status					
Scope and Schedule	6	2	2	1	5	4
Technical	0	2	2	0	0	4
Cost / Budget	2	1	1	1	2	2
Business	1	3	0	0	1	3
Management	1	0	1	0	0	2
Organizational / Cultural	0	3	1	0	1	3
TOTALS:	10	11	7	2	9	18

Total Risks: 30

APPENDIX B: Internal User Analysis Breakdown

Table 1: Unique Facility Internal Users Affected or Impacted

The following internal user tables are organized in two ways:

- Table 1: Unique Facility – with total number of OBIS users within the facility
- Table 2: Grouped by Unique Facility, then in order by Section / Division within that Facility and the number of users in that section/ Division.

Table 1: Facility with Total # Users

Region Service Center	Total Users
APALACHEE	111
AVON PARK	131
BAKER	60
BAKER CI	3
BAY	1
BLACKWATER	1
C.O.	12
CALHOUN	66
CALHOUN CI	2
CENTRAL OFC	699
CENTURY	131
CFRC	266
CHARLOTTE	125
CIRCUIT 01	121
CIRCUIT 02	76
CIRCUIT 03	61
CIRCUIT 04	120
CIRCUIT 05	133
CIRCUIT 06	152
CIRCUIT 07	124
CIRCUIT 08	64
CIRCUIT 09	183
CIRCUIT 10	127
CIRCUIT 11	246
CIRCUIT 12	82
CIRCUIT 13	167
CIRCUIT 14	82
CIRCUIT 15	104
CIRCUIT 16	15
CIRCUIT 17	229
CIRCUIT 18	130
CIRCUIT 19	85
CIRCUIT 20	102
CO	13
COLUMBIA	162
CROSS CITY	125
DADE	98
DADE CI	5
DESOTO	125
DESOTO CI	6
EVERGLADES	106
FL WOMENS RC	6

FRANKLIN	70
FRANKLIN CI	5
FSP	118
FWRC	119
GADSDEN CF	11
GADSDEN RC	46
GRACEVILLE	1
GULF	96
GULF CI	2
HAMILTON	138
HARDEE	108
HARDEE CI	6
HERNANDO	63
HOLMES	105
HOLMES CI	3
HOMESTEAD	61
JACKSON	125
JACKSON CI	2
JEFFERSON	78
LAKE	119
LAKE CI	7
LANCASTER	121
LAWTEY	65
LAWTEY CI	2
LIBERTY	104
LIBERTY CI	4
LOWELL	215
LOWELL CI	12
MADISON	77
MADISON CI	1
MARION	146
MARION CI	4
MARTIN	123
MARTIN CI	8
MAYO	82
MAYO CI	9
MOORE HAVEN	1
NEW RIVER	1
NWFRC	195
OKALOOSA	126
OKALOOSA CI	1
OKEECHOBEE	126
POLK	145

POLK CI	9
PUTNAM	59
REGION I	30
REGION II	35
REGION III	45
REGION IV	35
RMC	238
SANTA ROSA	262
SFRC	193
SIRW	20
SOUTH BAY	1
SUMTER	120
SUMTER CI	3
SUWANNEE	209
TAYLOR	108
TAYLOR CI	1
TOMOKA	128
TOMOKA CI	5
UNION	178
UNION CI	9
WAKULLA	215
WAKULLA CI	17
WALTON	111
WALTON CI	1
WASHINGTON	1
ZEPHYRHILLS	93

Table 2: Facility Breakdown of Users

Region	Unique Org / Division / Section Name	Total Users
APALACHEE	APALACHEE-MAIN-PROGRAMS-ACADEMIC EDU	5
APALACHEE	APALACHEE-MAIN-PROGRAMS-CHAPLAINCY	2
APALACHEE	APALACHEE-MAIN-PROGRAMS-LIBRARY	2
APALACHEE	APALACHEE-MAIN-PROGRAMS-WELLNESS EDU	1
APALACHEE	APALACHEE-MAIN-SECURITY	51
APALACHEE	APALACHEE-MAIN-SECURITY-WS	2
APALACHEE	APALACHEE-MAIN-WARDEN'S OFFICE	6
APALACHEE	APALACHEE-MAIN-WAREHOUSE	4
APALACHEE	APALACHEE-WEST-SECURITY	32
APALACHEE	APALACHEE-WEST-SECURITY-WS	2
APALACHEE	MAIN-SECURITY	2
APALACHEE	WEST UNIT-SECURITY	2
AVON PARK	AVON PARK-MAIN-CLASSIFICATION	15
AVON PARK	AVON PARK-MAIN-PROGRAMS-ACADEMIC EDU	10
AVON PARK	AVON PARK-MAIN-PROGRAMS-ACADEMIC EDU-G	1
AVON PARK	AVON PARK-MAIN-PROGRAMS-CHAPLAINCY	1
AVON PARK	AVON PARK-MAIN-PROGRAMS-LIBRARY	2
AVON PARK	AVON PARK-MAIN-PROGRAMS-WELLNESS EDU	1
AVON PARK	AVON PARK-MAIN-SECURITY	53
AVON PARK	AVON PARK-MAIN-SECURITY-WS	1
AVON PARK	AVON PARK-MAIN-WARDEN'S OFFICE	5
AVON PARK	AVON PARK-MAIN-WARDEN'S OFFICE-SAFETY	1
AVON PARK	AVON PARK-MAIN-WAREHOUSE	3
AVON PARK	AVON PARK-WORK CAMP-SECURITY	33
AVON PARK	MAIN-ACADEMIC EDUCATION	1
AVON PARK	MAIN-CLASSIFICATION & RECORDS	1
AVON PARK	MAIN-EDUCATION ADMINISTRATION	1
AVON PARK	MAIN-SECURITY	1
AVON PARK	WC-SECURITY	1
BAKER	BAKER-REENTRY-CLASSIFICATION	13
BAKER	BAKER-REENTRY-PROGRAMS-ACADEMIC EDU	5
BAKER	BAKER-REENTRY-SECURITY	27
BAKER	BAKER-REENTRY-SECURITY-WS	1
BAKER	BAKER-REENTRY-WARDEN'S OFFICE	4
BAKER	BAKER-REENTRY-WAREHOUSE	3
BAKER	BAKER-WORK CAMP-SECURITY	7
BAKER CI	REENTRY CENTER-SECURITY	1
BAKER CI	REENTRY CENTER-WARDEN'S OFFICE	1

Region	Unique Org / Division / Section Name	Total Users
BAKER CI	REENTRY-ACADEMIC EDUCATION	1
BAY	BAY CF-CLASSIFICATION	1
BLACKWATER	BLACKWATER CF-CLASSIFICATION	1
C.O.	CLASSIFICATION-CLASSIFICATION SVCS	1
C.O.	FACILITIES SUPPORT-MARIANNA FIELD OFFICE	1
C.O.	HEALTH SERVICES ADMINISTRATION	1
C.O.	LEGAL SERVICES	1
C.O.	POLICY DEVELOPMENT	1
C.O.	PRGM, TRANSITION & POST-RELEASE SVCS	1
C.O.	PROBATION & FIELD SERVICES	1
C.O.	RE-ENTRY SERVICES	1
C.O.	RELEASES	1
C.O.	RESEARCH & DATA ANALYSIS	1
C.O.	SENTENCE STRUCTURE	1
C.O.	STATE INVESTIGATIONS	1
CALHOUN	CALHOUN-MAIN-CLASSIFICATION	11
CALHOUN	CALHOUN-MAIN-PROGRAMS-ACADEMIC EDU	8
CALHOUN	CALHOUN-MAIN-PROGRAMS-ACADEMIC EDU-G	1
CALHOUN	CALHOUN-MAIN-PROGRAMS-CHAPLAINCY	2
CALHOUN	CALHOUN-MAIN-PROGRAMS-LIBRARY	1
CALHOUN	CALHOUN-MAIN-SECURITY	34
CALHOUN	CALHOUN-MAIN-SECURITY-WS	1
CALHOUN	CALHOUN-MAIN-WARDEN'S OFFICE	4
CALHOUN	CALHOUN-MAIN-WARDEN'S OFFICE-SAFETY	1
CALHOUN	CALHOUN-MAIN-WAREHOUSE	3
CALHOUN CI	MAIN-CLASSIFICATION & RECORDS	1
CALHOUN CI	MAIN-EDUCATION ADMINISTRATION-OPS	1
CENTRAL OFC		1
CENTRAL OFC	ADMISSIONS	29
CENTRAL OFC	BUSINESS SOLUTIONS	1
CENTRAL OFC	CENTRAL INTAKE	7
CENTRAL OFC	CENTRAL RECORDS	6
CENTRAL OFC	CHAPLAINCY SERVICES	8
CENTRAL OFC	CLASSIFICATION MANAGEMENT	4
CENTRAL OFC	CLASSIFICATION-CENTRAL RECORDS	9
CENTRAL OFC	CLASSIFICATION-CLASSIFICATION SVCS	10
CENTRAL OFC	CLASSIFICATION-STATE CLASSIFICATION	19
CENTRAL OFC	CLASSIFICATION-WORK RELEASE	7
CENTRAL OFC	COLLECTION & INTERDICTION	31
CENTRAL OFC	COMMUNITY CORRECTIONS	4

Region	Unique Org / Division / Section Name	Total Users
CENTRAL OFC	COMMUNITY PROGRAMS	8
CENTRAL OFC	CONTRACT MANAGEMENT AND MONITORING	9
CENTRAL OFC	CONTRACT MONITORING (CWP)	1
CENTRAL OFC	CONTRACTS	7
CENTRAL OFC	COURT ORDERED PAYMENT SYSTEM (COPS)	13
CENTRAL OFC	CRIMINAL INVESTIGATIONS	2
CENTRAL OFC	EDUCATION SERVICES	19
CENTRAL OFC	EDUCATION SERVICES-GRANT	7
CENTRAL OFC	EVIDENCE	11
CENTRAL OFC	FACILITIES SERVICES	5
CENTRAL OFC	FACILITIES SUPPORT	1
CENTRAL OFC	FACILITIES SUPPORT-LAKECITY FIELD OFFICE	7
CENTRAL OFC	FACILITIES SUPPORT-MARIANNA FIELD OFFICE	3
CENTRAL OFC	FACILITIES SUPPORT-ORLANDO FIELD OFFICE	2
CENTRAL OFC	FINANCE & ACCOUNTING	1
CENTRAL OFC	FORENSIC LAB	6
CENTRAL OFC	GENERAL COUNSEL	2
CENTRAL OFC	GENERAL SERVICES	5
CENTRAL OFC	HEALTH SERVICES	1
CENTRAL OFC	HEALTH SERVICES ADMINISTRATION	6
CENTRAL OFC	HUMAN RESOURCE SERVICES-RECRUITMENT	13
CENTRAL OFC	HUMAN RESOURCES-OPS	20
CENTRAL OFC	INFRASTRUCTURE & OPERATIONS	10
CENTRAL OFC	INMATE APPEALS	15
CENTRAL OFC	INMATE TRUST FUND	1
CENTRAL OFC	INMATE TRUST FUND (ADMIN)	1
CENTRAL OFC	INMATE TRUST FUND-GRANT	10
CENTRAL OFC	INSPECTOR GENERAL	4
CENTRAL OFC	INSTITUTION OPERATIONS	4
CENTRAL OFC	INTELLIGENCE & ANALYTICAL SUPPORT	5
CENTRAL OFC	INTERNAL AFFAIRS	2
CENTRAL OFC	INTERNAL AUDIT	2
CENTRAL OFC	INTERSTATE COMPACT	8
CENTRAL OFC	LEGAL SERVICES	30
CENTRAL OFC	LEGISLATIVE AFFAIRS	6
CENTRAL OFC	LIBRARY SERVICES	1
CENTRAL OFC	MEDICAL SERVICES	4
CENTRAL OFC	MEDICAL SERVICES-AIDS-GRANT	7
CENTRAL OFC	MENTAL HEALTH SERVICES	8
CENTRAL OFC	NURSING SERVICES	5

Region	Unique Org / Division / Section Name	Total Users
CENTRAL OFC	OFFICE OF THE SECRETARY	1
CENTRAL OFC	P&P FIELD SERVICES & INTERSTATE COMPACT	2
CENTRAL OFC	PHARMACEUTICAL SERVICES	1
CENTRAL OFC	POLICY MANAGEMENT & INMATE APPEALS	1
CENTRAL OFC	POPULATION MANAGEMENT	11
CENTRAL OFC	PRIVATE PRISON MONITORING	8
CENTRAL OFC	PROBATION & FIELD SERVICES	7
CENTRAL OFC	PROGRAMS AND RE-ENTRY	5
CENTRAL OFC	PUBLIC AFFAIRS	2
CENTRAL OFC	RE-ENTRY SERVICES	1
CENTRAL OFC	REGION I - CRIMINAL INVESTIGATIONS	22
CENTRAL OFC	REGION I - INTERNAL AFFAIRS	13
CENTRAL OFC	REGION II - CRIMINAL INVESTIGATIONS	24
CENTRAL OFC	REGION II - INTERNAL AFFAIRS	12
CENTRAL OFC	REGION III - CRIMINAL INVESTIGATIONS	17
CENTRAL OFC	REGION III - INTERNAL AFFAIRS	13
CENTRAL OFC	REGION IV - CRIMINAL INVESTIGATIONS	10
CENTRAL OFC	REGION IV - INTERNAL AFFAIRS	8
CENTRAL OFC	REGION V - CRIMINAL INVESTIGATIONS	14
CENTRAL OFC	REGION V - INTERNAL AFFAIRS	11
CENTRAL OFC	RELEASES	24
CENTRAL OFC	RESEARCH & DATA ANALYSIS	11
CENTRAL OFC	SECURITY & INSTITUTIONAL OPERATIONS	3
CENTRAL OFC	SECURITY OPERATIONS	26
CENTRAL OFC	SUBSTANCE ABUSE	20
CENTRAL OFC	SYSTEMS DEVELOPMENT	10
CENTRAL OFC	TRANSITION SERVICES (SIO)	4
CENTRAL OFC	USE OF FORCE	5
CENTRAL OFC	VICTIM ASSISTANCE	4
CENTRAL OFC	VICTIM ASSISTANCE-GRANT	1
CENTRAL OFC	VOCATIONAL EDUCATION - GRANT	1
CENTURY	CENTURY-MAIN-CLASSIFICATION	14
CENTURY	CENTURY-MAIN-PROGRAMS-ACADEMIC EDU	2
CENTURY	CENTURY-MAIN-PROGRAMS-CHAPLAINCY	2
CENTURY	CENTURY-MAIN-PROGRAMS-LIBRARY	1
CENTURY	CENTURY-MAIN-SECURITY	65
CENTURY	CENTURY-MAIN-SECURITY-WS	5
CENTURY	CENTURY-MAIN-WARDEN'S OFFICE	4
CENTURY	CENTURY-MAIN-WAREHOUSE	3
CENTURY	CENTURY-PENSCOLA-SECURITY	12

Region	Unique Org / Division / Section Name	Total Users
CENTURY	CENTURY-WORK CAMP-SECURITY	21
CENTURY	CENTURY-WORK CAMP-SECURITY-WS	2
CFRC	CFRC-EAST-SECURITY	44
CFRC	CFRC-EAST-SECURITY-WS	5
CFRC	CFRC-KISSIMMEE-SECURITY	11
CFRC	CFRC-MAIN-CLASSIFICATION	53
CFRC	CFRC-MAIN-PROGRAMS-ACADEMIC EDU	6
CFRC	CFRC-MAIN-PROGRAMS-ACADEMIC EDU-G	1
CFRC	CFRC-MAIN-PROGRAMS-CHAPLAINCY	3
CFRC	CFRC-MAIN-PROGRAMS-LIBRARY	2
CFRC	CFRC-MAIN-SECURITY	82
CFRC	CFRC-MAIN-WARDEN'S OFFICE	5
CFRC	CFRC-MAIN-WARDEN'S OFFICE-SAFETY	1
CFRC	CFRC-MAIN-WAREHOUSE	4
CFRC	CFRC-ORLANDO-SECURITY	15
CFRC	CFRC-SOUTH-SECURITY	21
CFRC	EAST UNIT-SECURITY	4
CFRC	EAST UNIT-SECURITY-INTERNAL WS	1
CFRC	MAIN-CLASSIFICATION & RECORDS	3
CFRC	MAIN-CLASS-RECEPTION & ORIENTATION	1
CFRC	MAIN-MEDICAL SERVICES	1
CFRC	MAIN-SECURITY	4
CFRC	SOUTH UNIT-SECURITY	1
CHARLOTTE	CHARLOTTE-MAIN-CLASSIFICATION	17
CHARLOTTE	CHARLOTTE-MAIN-PROGRAMS-ACADEMIC EDU	9
CHARLOTTE	CHARLOTTE-MAIN-PROGRAMS-ACADEMIC EDU-G	2
CHARLOTTE	CHARLOTTE-MAIN-PROGRAMS-CHAPLAINCY	2
CHARLOTTE	CHARLOTTE-MAIN-PROGRAMS-LIBRARY	1
CHARLOTTE	CHARLOTTE-MAIN-SECURITY	76
CHARLOTTE	CHARLOTTE-MAIN-SECURITY-WS	2
CHARLOTTE	CHARLOTTE-MAIN-WARDEN'S OFFICE	4
CHARLOTTE	CHARLOTTE-MAIN-WAREHOUSE	2
CHARLOTTE	CHARLOTTE-WORK CAMP-SECURITY	5
CHARLOTTE	MAIN-ACADEMIC EDUCATION	1
CHARLOTTE	MAIN-CLASSIFICATION & RECORDS	1
CHARLOTTE	MAIN-DENTAL SERVICES	1
CHARLOTTE	MAIN-SECURITY	3
CIRCUIT 01	01-0 PENSACOLA CIRCUIT	4
CIRCUIT 01	01-1 MILTON	18
CIRCUIT 01	01-2 CRESTVIEW	12

Region	Unique Org / Division / Section Name	Total Users
CIRCUIT 01	01-3 FT. WALTON BEACH	23
CIRCUIT 01	01-4 DEFUNIAK	9
CIRCUIT 01	01-5 PENSACOLA WEST/INTAKE	27
CIRCUIT 01	01-6 PENSACOLA NORTH	13
CIRCUIT 01	01-8 PENSACOLA CENTRAL	12
CIRCUIT 01	CIRCUIT 01	1
CIRCUIT 01	CIRCUIT 01 - CIRCUIT OFFICE	2
CIRCUIT 02	02-0 TALLAHASSEE INTAKE	18
CIRCUIT 02	02-1 CRAWFORDVILLE	6
CIRCUIT 02	02-2 QUINCY	13
CIRCUIT 02	02-3 MONTICELLO	2
CIRCUIT 02	02-4 TALLAHASSEE MAIN	27
CIRCUIT 02	02-6 TALLAHASSEE CIRCUIT	3
CIRCUIT 02	CIRCUIT 02	1
CIRCUIT 02	CIRCUIT 02 - CIRCUIT OFFICE	5
CIRCUIT 02	CIRCUIT 02 - SENTENCING GUIDELINES	1
CIRCUIT 03	03-0 LAKE CITY MAIN	21
CIRCUIT 03	03-1 LIVE OAK	16
CIRCUIT 03	03-2 MADISON	6
CIRCUIT 03	03-3 PERRY	9
CIRCUIT 03	03-4 OLD TOWN	7
CIRCUIT 03	CIRCUIT 03	2
CIRCUIT 04	04-0 JACKSONVILLE MAIN	18
CIRCUIT 04	04-1 JACKSONVILLE METRO	52
CIRCUIT 04	04-2 JACKSONVILLE SOUTH	24
CIRCUIT 04	04-3 JACKSONVILLE CIRCUIT	3
CIRCUIT 04	04-4 YULEE	6
CIRCUIT 04	04-5 GREEN COVE SPRINGS	15
CIRCUIT 04	CIRCUIT 04	1
CIRCUIT 04	CIRCUIT 04 - CIRCUIT OFFICE	1
CIRCUIT 05	05-0 OCALA EAST	19
CIRCUIT 05	05-1 TAVARES MAIN/CIRCUIT	23
CIRCUIT 05	05-2 BUSHNELL	12
CIRCUIT 05	05-3 INVERNESS	11
CIRCUIT 05	05-4 BROOKSVILLE	22
CIRCUIT 05	05-6 OCALA WEST	31
CIRCUIT 05	05-7 LEESBURG	10
CIRCUIT 05	CIRCUIT 05	5
CIRCUIT 06	06-0 PINELLAS CENTRAL	11
CIRCUIT 06	06-1 CLEARWATER	16

Region	Unique Org / Division / Section Name	Total Users
CIRCUIT 06	06-2 NEW PORT RICHEY	22
CIRCUIT 06	06-3 DADE CITY	20
CIRCUIT 06	06-4 LARGO	11
CIRCUIT 06	06-6 TARPON SPRINGS	15
CIRCUIT 06	06-7 PINELLAS SOUTH	13
CIRCUIT 06	06-A PINELLAS PARK	11
CIRCUIT 06	06-C PINELLAS/PASCO INTAKE	9
CIRCUIT 06	06-E HUDSON	9
CIRCUIT 06	06-F CLEARWATER CIRCUIT	5
CIRCUIT 06	06-G PINELLAS CO. COURT UNIT	7
CIRCUIT 06	CIRCUIT 06	1
CIRCUIT 06	CIRCUIT 06 - CIRCUIT OFFICE	2
CIRCUIT 07	07-0 DAYTONA BEACH MAIN	15
CIRCUIT 07	07-1 DELAND	25
CIRCUIT 07	07-2 DAYTONA BEACH CIRCUIT	5
CIRCUIT 07	07-3 PALATKA	15
CIRCUIT 07	07-4 ST. AUGUSTINE	18
CIRCUIT 07	07-5 BUNNELL	11
CIRCUIT 07	07-6 DAYTONA WEST	6
CIRCUIT 07	07-7 DAYTONA CENTRAL	25
CIRCUIT 07	CIRCUIT 07	1
CIRCUIT 07	CIRCUIT 07 - CIRCUIT OFFICE	3
CIRCUIT 08	08-0 GAINESVILLE MAIN/INTAKE	30
CIRCUIT 08	08-1 CHIEFLAND	11
CIRCUIT 08	08-2 STARKE	16
CIRCUIT 08	08-5 GAINESVILLE CIRCUIT	4
CIRCUIT 08	CIRCUIT 08	3
CIRCUIT 09	09-0 ORLANDO CIRCUIT	7
CIRCUIT 09	09-1 ORLANDO NORTH	24
CIRCUIT 09	09-2 ORLANDO WEST	18
CIRCUIT 09	09-3 ORLANDO MAIN	17
CIRCUIT 09	09-4 KISSIMMEE/OSCEOLA INTAKE	36
CIRCUIT 09	09-6 ORLANDO CENTRAL	25
CIRCUIT 09	09-A ORLANDO INTAKE	17
CIRCUIT 09	09-B ORLANDO EAST	29
CIRCUIT 09	CIRCUIT 09	10
CIRCUIT 10	10-0 BARTOW INTAKE	22
CIRCUIT 10	10-1 LAKELAND NORTH	27
CIRCUIT 10	10-2 WINTER HAVEN	19
CIRCUIT 10	10-3 LAKE WALES	10

Region	Unique Org / Division / Section Name	Total Users
CIRCUIT 10	10-4 SEBRING	17
CIRCUIT 10	10-5 WAUCHULA	5
CIRCUIT 10	10-6 LAKELAND SOUTH	8
CIRCUIT 10	10-A LAKELAND CIRCUIT	18
CIRCUIT 10	CIRCUIT 10	1
CIRCUIT 11	11-0 MIAMI CIRCUIT	7
CIRCUIT 11	11-1 MIAMI NORTHWEST	28
CIRCUIT 11	11-3 MIAMI SOUTH	27
CIRCUIT 11	11-4 MIAMI NORTH	19
CIRCUIT 11	11-5 HOMESTEAD	22
CIRCUIT 11	11-6 BISCAYNE	27
CIRCUIT 11	11-7 MIAMI HIALEAH	22
CIRCUIT 11	11-8 MIAMI LAKES	26
CIRCUIT 11	11-B MIAMI INTAKE	38
CIRCUIT 11	11-C COCONUT GROVE	25
CIRCUIT 11	CIRCUIT 11	1
CIRCUIT 11	CIRCUIT 11 - CIRCUIT OFFICE	4
CIRCUIT 12	12-0 SARASOTA INTAKE	9
CIRCUIT 12	12-1 BRADENTON	25
CIRCUIT 12	12-2 ARCADIA	5
CIRCUIT 12	12-3 HOLIDAY HARBOR	14
CIRCUIT 12	12-4 BAYSHORE GARDENS	18
CIRCUIT 12	12-A SARASOTA CIRCUIT	4
CIRCUIT 12	CIRCUIT 12	1
CIRCUIT 12	CIRCUIT 12 - CIRCUIT OFFICE	6
CIRCUIT 13	13-0 TAMPA CIRCUIT	3
CIRCUIT 13	13-1 PLANT CITY	14
CIRCUIT 13	13-2 RIVERVIEW	17
CIRCUIT 13	13-3 TAMPA NORTHEAST	16
CIRCUIT 13	13-4 TAMPA NORTH	15
CIRCUIT 13	13-5 TAMPA CENTRAL	21
CIRCUIT 13	13-8 TAMPA PRE-TRIAL INTERVENTION	13
CIRCUIT 13	13-C TAMPA INTAKE	27
CIRCUIT 13	13-D TAMPA HILDALE	16
CIRCUIT 13	13-F TAMPA EASTLAKE	23
CIRCUIT 13	CIRCUIT 13	1
CIRCUIT 13	CIRCUIT 13 - CIRCUIT OFFICE	1
CIRCUIT 14	14-0 PANAMA CITY WEST/INTAKE	25
CIRCUIT 14	14-1 MARIANNA	16
CIRCUIT 14	14-3 CHIPLEY	13

Region	Unique Org / Division / Section Name	Total Users
CIRCUIT 14	14-4 PANAMA CITY EAST	22
CIRCUIT 14	14-5 PANAMA CITY CIRCUIT	3
CIRCUIT 14	CIRCUIT 14	1
CIRCUIT 14	CIRCUIT 14 - CIRCUIT OFFICE	2
CIRCUIT 15	15-0 WEST PALM BEACH CIRCUIT	19
CIRCUIT 15	15-1 BELLE GLADE	10
CIRCUIT 15	15-2 BOYNTON BEACH	18
CIRCUIT 15	15-3 WEST PALM BEACH CENTRAL	23
CIRCUIT 15	15-4 LAKE WORTH	21
CIRCUIT 15	15-5 MILITARY TRAIL	10
CIRCUIT 15	CIRCUIT 15	1
CIRCUIT 15	CIRCUIT 15 - CIRCUIT OFFICE	2
CIRCUIT 16	16-0 KEY WEST	6
CIRCUIT 16	16-1 MARATHON CIRCUIT	4
CIRCUIT 16	16-2 TAVERNIER	4
CIRCUIT 16	CIRCUIT 16	1
CIRCUIT 17	17-0 BROWARD CIRCUIT	6
CIRCUIT 17	17-1 BROWARD NORTH	22
CIRCUIT 17	17-2 BROWARD SOUTH	24
CIRCUIT 17	17-4 CYPRESS	34
CIRCUIT 17	17-5 BROWARD WEST	26
CIRCUIT 17	17-7 BROWARD EAST	29
CIRCUIT 17	17-8 HOLLYWOOD	21
CIRCUIT 17	17-A BROWARD CENTRAL	27
CIRCUIT 17	17-B BROWARD INTAKE	33
CIRCUIT 17	CIRCUIT 17	1
CIRCUIT 17	CIRCUIT 17 - CIRCUIT OFFICE	6
CIRCUIT 18	18-0 TITUSVILLE	19
CIRCUIT 18	18-1 MELBOURNE	35
CIRCUIT 18	18-2 COCOA INTAKE	34
CIRCUIT 18	18-3 SEMINOLE METRO	39
CIRCUIT 18	CIRCUIT 18	3
CIRCUIT 19	19-0 FT. PIERCE CIRCUIT	24
CIRCUIT 19	19-1 STUART	13
CIRCUIT 19	19-2 VERO BEACH	17
CIRCUIT 19	19-3 OKEECHOBEE	9
CIRCUIT 19	19-4 FT. PIERCE EAST	21
CIRCUIT 19	CIRCUIT 19	1
CIRCUIT 19	CIRCUIT 19 - CIRCUIT OFFICE	1
CIRCUIT 20		1

Region	Unique Org / Division / Section Name	Total Users
CIRCUIT 20	20-0 FT. MYERS CIRCUIT	2
CIRCUIT 20	20-1 NAPLES SOUTH	17
CIRCUIT 20	20-2 LABELLE	7
CIRCUIT 20	20-3 PUNTA GORDA	15
CIRCUIT 20	20-4 FT. MYERS SOUTH	25
CIRCUIT 20	20-5 INTAKE UNIT	14
CIRCUIT 20	20-7 FT. MYERS CENTRAL	19
CIRCUIT 20	CIRCUIT 20	1
CIRCUIT 20	CIRCUIT 20 - CIRCUIT OFFICE	1
CO	PAROLE COMM - RESTORATION OF CR	13
COLUMBIA	ANNEX-CLASSIFICATION & RECORDS	1
COLUMBIA	ANNEX-SECURITY	3
COLUMBIA	COLUMBIA-ANNEX-CLASSIFICATION	11
COLUMBIA	COLUMBIA-ANNEX-SECURITY	47
COLUMBIA	COLUMBIA-ANNEX-SECURITY-WS	1
COLUMBIA	COLUMBIA-MAIN-CLASSIFICATION	13
COLUMBIA	COLUMBIA-MAIN-PROGRAMS-ACADEMIC EDU	11
COLUMBIA	COLUMBIA-MAIN-PROGRAMS-CHAPLAINCY	2
COLUMBIA	COLUMBIA-MAIN-PROGRAMS-LIBRARY	2
COLUMBIA	COLUMBIA-MAIN-PROGRAMS-WELLNESS EDU	1
COLUMBIA	COLUMBIA-MAIN-SECURITY	46
COLUMBIA	COLUMBIA-MAIN-SECURITY-WS	11
COLUMBIA	COLUMBIA-MAIN-WARDEN'S OFFICE	3
COLUMBIA	COLUMBIA-MAIN-WAREHOUSE	5
COLUMBIA	COLUMBIA-WORK CAMP-CLASSIFICATION	2
COLUMBIA	MAIN-ACADEMIC EDUCATION	1
COLUMBIA	MAIN-MAINTENANCE-ADA SERVICES	2
CROSS CITY	CROSS CITY-EAST-SECURITY	23
CROSS CITY	CROSS CITY-EAST-SECURITY-WS	2
CROSS CITY	CROSS CITY-MAIN-CLASSIFICATION	14
CROSS CITY	CROSS CITY-MAIN-PROGRAMS-ACADEMIC EDU	6
CROSS CITY	CROSS CITY-MAIN-PROGRAMS-CHAPLAINCY	1
CROSS CITY	CROSS CITY-MAIN-PROGRAMS-LIBRARY	1
CROSS CITY	CROSS CITY-MAIN-PROGRAMS-WELLNESS EDU	1
CROSS CITY	CROSS CITY-MAIN-SECURITY	54
CROSS CITY	CROSS CITY-MAIN-SECURITY-WS	1
CROSS CITY	CROSS CITY-MAIN-WARDEN'S OFFICE	4
CROSS CITY	CROSS CITY-MAIN-WAREHOUSE	2
CROSS CITY	CROSS CITY-WORK CAMP-SECURITY	13
CROSS CITY	CROSS CITY-WORK CAMP-SECURITY-WS	2

Region	Unique Org / Division / Section Name	Total Users
CROSS CITY	MAIN-WAREHOUSE-MAILROOM	1
DADE	DADE-MAIN-CLASSIFICATION	14
DADE	DADE-MAIN-PROGRAMS-ACADEMIC EDU	4
DADE	DADE-MAIN-PROGRAMS-CHAPLAINCY	1
DADE	DADE-MAIN-PROGRAMS-LIBRARY	1
DADE	DADE-MAIN-PROGRAMS-WELLNESS EDU	1
DADE	DADE-MAIN-SECURITY	48
DADE	DADE-MAIN-SECURITY-MENTAL HEALTH	20
DADE	DADE-MAIN-SECURITY-WS	2
DADE	DADE-MAIN-WARDEN'S OFFICE	5
DADE	DADE-MAIN-WAREHOUSE	2
DADE CI	MAIN-EDUCATION ADMINISTRATION	1
DADE CI	MAIN-SECURITY	4
DADE CI	TCU-SECURITY	1
DESOTO	DESOTO-ANNEX-CLASSIFICATION	14
DESOTO	DESOTO-ANNEX-PROGRAMS	2
DESOTO	DESOTO-ANNEX-PROGRAMS-ACADEMIC EDU	8
DESOTO	DESOTO-ANNEX-PROGRAMS-ACADEMIC EDU-G	3
DESOTO	DESOTO-ANNEX-PROGRAMS-CHAPLAINCY	1
DESOTO	DESOTO-ANNEX-PROGRAMS-LIBRARY	1
DESOTO	DESOTO-ANNEX-PROGRAMS-WELLNESS EDU	1
DESOTO	DESOTO-ANNEX-SECURITY	60
DESOTO	DESOTO-ANNEX-SECURITY-WS	4
DESOTO	DESOTO-ANNEX-WARDEN'S OFFICE	2
DESOTO	DESOTO-ANNEX-WAREHOUSE	2
DESOTO	DESOTO-WORK CAMP-SECURITY	24
DESOTO	DESOTO-WORK CAMP-SECURITY-WS	3
DESOTO CI	ANNEX-MEDICAL SERVICES	1
DESOTO CI	ANNEX-SECURITY	4
DESOTO CI	ANNEX-WARDEN'S OFFICE	1
EVERGLADES	EVERGLADES-MAIN-CLASSIFICATION	10
EVERGLADES	EVERGLADES-MAIN-PROGRAMS-ACADEMIC EDU	3
EVERGLADES	EVERGLADES-MAIN-PROGRAMS-CHAPLAINCY	3
EVERGLADES	EVERGLADES-MAIN-PROGRAMS-WELLNESS EDU	1
EVERGLADES	EVERGLADES-MAIN-SECURITY	39
EVERGLADES	EVERGLADES-MAIN-SECURITY-WS	2
EVERGLADES	EVERGLADES-MAIN-SECURITY-WS-C	1
EVERGLADES	EVERGLADES-MAIN-WARDEN'S OFFICE	5
EVERGLADES	EVERGLADES-MAIN-WAREHOUSE	3
EVERGLADES	EVERGLADES-REENTRY-CLASSIFICATION	3

Region	Unique Org / Division / Section Name	Total Users
EVERGLADES	EVERGLADES-REENTRY-PROGRAMS	1
EVERGLADES	EVERGLADES-REENTRY-SECURITY	28
EVERGLADES	EVERGLADES-REENTRY-WARDEN'S OFFICE	1
EVERGLADES	MAIN-ACADEMIC EDUCATION	1
EVERGLADES	MAIN-CLASSIFICATION & RECORDS	1
EVERGLADES	MAIN-SECURITY	1
EVERGLADES	REENTRY CENTER-CLASSIFICATION	1
EVERGLADES	REENTRY CENTER-SECURITY	2
FL WOMENS RC	MAIN-ACADEMIC EDUCATION	1
FL WOMENS RC	MAIN-EDUCATION ADMINISTRATION	1
FL WOMENS RC	MAIN-SECURITY	3
FL WOMENS RC	MAIN-SECURITY-MENTAL HEALTH UNIT	1
FRANKLIN	FRANKLIN-MAIN-CLASSIFICATION	13
FRANKLIN	FRANKLIN-MAIN-PROGRAMS	2
FRANKLIN	FRANKLIN-MAIN-PROGRAMS-ACADEMIC EDU	1
FRANKLIN	FRANKLIN-MAIN-PROGRAMS-CHAPLAINCY	1
FRANKLIN	FRANKLIN-MAIN-PROGRAMS-LIBRARY	1
FRANKLIN	FRANKLIN-MAIN-SECURITY	39
FRANKLIN	FRANKLIN-MAIN-SECURITY-WS	5
FRANKLIN	FRANKLIN-MAIN-WARDEN'S OFFICE	6
FRANKLIN	FRANKLIN-MAIN-WAREHOUSE	2
FRANKLIN CI	MAIN UNIT-SECURITY-EXTERNAL WS	1
FRANKLIN CI	MAIN-CLASSIFICATION & RECORDS	1
FRANKLIN CI	MAIN-SECURITY	2
FRANKLIN CI	MAIN-WAREHOUSE-MAILROOM	1
FSP	FSP-MAIN-CLASSIFICATION	13
FSP	FSP-MAIN-PROGRAMS-ACADEMIC EDU	7
FSP	FSP-MAIN-PROGRAMS-CHAPLAINCY	3
FSP	FSP-MAIN-PROGRAMS-LIBRARY	2
FSP	FSP-MAIN-PROGRAMS-SUBSTANCE ABUSE	3
FSP	FSP-MAIN-PROGRAMS-WELLNESS EDU	1
FSP	FSP-MAIN-SECURITY	65
FSP	FSP-MAIN-SECURITY-WS	2
FSP	FSP-MAIN-WARDEN'S OFFICE	6
FSP	FSP-MAIN-WAREHOUSE	6
FSP	FSP-WEST-CLASSIFICATION	6
FSP	MAIN-EDUCATION ADMINISTRATION	1
FSP	MAIN-SECURITY	2
FSP	WEST UNIT-CLASSIFICATION & RECORDS	1
FWRC	FWRC-MAIN-CLASSIFICATION	30

Region	Unique Org / Division / Section Name	Total Users
FWRC	FWRC-MAIN-PROGRAMS-ACADEMIC EDU	4
FWRC	FWRC-MAIN-PROGRAMS-CHAPLAINCY	1
FWRC	FWRC-MAIN-PROGRAMS-LIBRARY	1
FWRC	FWRC-MAIN-SECURITY	62
FWRC	FWRC-MAIN-SECURITY-MENTAL HEALTH	13
FWRC	FWRC-MAIN-SECURITY-WS	1
FWRC	FWRC-MAIN-WARDEN'S OFFICE	4
FWRC	FWRC-MAIN-WAREHOUSE	3
GADSDEN CF	GADSDEN CF-CLASSIFICATION	11
GADSDEN RC		1
GADSDEN RC	GADSDEN RC-MAIN-CLASSIFICATION	4
GADSDEN RC	GADSDEN RC-MAIN-PROGRAMS	1
GADSDEN RC	GADSDEN RC-MAIN-PROGRAMS-CHAPLAINCY	1
GADSDEN RC	GADSDEN RC-MAIN-SECURITY	32
GADSDEN RC	GADSDEN RC-MAIN-WARDEN'S OFFICE	3
GADSDEN RC	GADSDEN RC-MAIN-WAREHOUSE	1
GADSDEN RC	MAIN-ACADEMIC EDUCATION	1
GADSDEN RC	MAIN-CLASSIFICATION & RECORDS	1
GADSDEN RC	MAIN-SECURITY	1
GRACEVILLE	GRACEVILLE CF-CLASSIFICATION	1
GULF	GULF-ANNEX-SECURITY	1
GULF	GULF-MAIN-CLASSIFICATION	14
GULF	GULF-MAIN-PROGRAMS-ACADEMIC EDU	4
GULF	GULF-MAIN-PROGRAMS-CHAPLAINCY	1
GULF	GULF-MAIN-PROGRAMS-LIBRARY	1
GULF	GULF-MAIN-SECURITY	68
GULF	GULF-MAIN-SECURITY-WS	2
GULF	GULF-MAIN-WARDEN'S OFFICE	3
GULF	GULF-MAIN-WAREHOUSE	2
GULF CI	MAIN-ACADEMIC EDUCATION	1
GULF CI	MAIN-WAREHOUSE	1
HAMILTON	ANNEX-SECURITY	1
HAMILTON	HAMILTON-ANNEX-CLASSIFICATION	9
HAMILTON	HAMILTON-ANNEX-SECURITY	49
HAMILTON	HAMILTON-ANNEX-SECURITY-WS	3
HAMILTON	HAMILTON-MAIN-CLASSIFICATION	18
HAMILTON	HAMILTON-MAIN-PROGRAMS-ACADEMIC EDU	8
HAMILTON	HAMILTON-MAIN-PROGRAMS-CHAPLAINCY	1
HAMILTON	HAMILTON-MAIN-PROGRAMS-LIBRARY	2
HAMILTON	HAMILTON-MAIN-SECURITY	32

Region	Unique Org / Division / Section Name	Total Users
HAMILTON	HAMILTON-MAIN-SECURITY-WS	1
HAMILTON	HAMILTON-MAIN-WARDEN'S OFFICE	6
HAMILTON	HAMILTON-MAIN-WARDEN'S OFFICE-SAFETY	1
HAMILTON	HAMILTON-MAIN-WAREHOUSE	5
HAMILTON	HAMILTON-WORK CAMP-SECURITY	1
HAMILTON	MAIN-ACADEMIC EDUCATION	1
HARDEE	HARDEE-MAIN-CLASSIFICATION	13
HARDEE	HARDEE-MAIN-PROGRAMS	2
HARDEE	HARDEE-MAIN-PROGRAMS-ACADEMIC EDU	3
HARDEE	HARDEE-MAIN-PROGRAMS-CHAPLAINCY	2
HARDEE	HARDEE-MAIN-PROGRAMS-LIBRARY	1
HARDEE	HARDEE-MAIN-SECURITY	61
HARDEE	HARDEE-MAIN-SECURITY-WS	1
HARDEE	HARDEE-MAIN-WARDEN'S OFFICE	3
HARDEE	HARDEE-MAIN-WARDEN'S OFFICE-SAFETY	1
HARDEE	HARDEE-MAIN-WAREHOUSE	2
HARDEE	HARDEE-WORK CAMP-SECURITY	18
HARDEE	HARDEE-WORK CAMP-SECURITY-WS	1
HARDEE CI	MAIN-SECURITY	6
HERNANDO	HERNANDO-MAIN-CLASSIFICATION	10
HERNANDO	HERNANDO-MAIN-PROGRAMS-ACADEMIC EDU	6
HERNANDO	HERNANDO-MAIN-PROGRAMS-CHAPLAINCY	1
HERNANDO	HERNANDO-MAIN-PROGRAMS-LIBRARY	1
HERNANDO	HERNANDO-MAIN-PROGRAMS-WELLNESS EDU	1
HERNANDO	HERNANDO-MAIN-SECURITY	36
HERNANDO	HERNANDO-MAIN-SECURITY-WS	2
HERNANDO	HERNANDO-MAIN-WARDEN'S OFFICE	3
HERNANDO	HERNANDO-MAIN-WAREHOUSE	2
HERNANDO	MAIN-SECURITY	1
HOLMES	HOLMES-MAIN-CLASSIFICATION	10
HOLMES	HOLMES-MAIN-PROGRAMS-ACADEMIC EDU	8
HOLMES	HOLMES-MAIN-PROGRAMS-ACADEMIC EDU-G	1
HOLMES	HOLMES-MAIN-PROGRAMS-CHAPLAINCY	1
HOLMES	HOLMES-MAIN-PROGRAMS-WELLNESS EDU	1
HOLMES	HOLMES-MAIN-SECURITY	56
HOLMES	HOLMES-MAIN-SECURITY-WS	2
HOLMES	HOLMES-MAIN-WARDEN'S OFFICE	6
HOLMES	HOLMES-MAIN-WAREHOUSE	3
HOLMES	HOLMES-WORK CAMP-SECURITY	16
HOLMES	HOLMES-WORK CAMP-SECURITY-WS	1

Region	Unique Org / Division / Section Name	Total Users
HOLMES CI	MAIN-CLASSIFICATION & RECORDS	1
HOLMES CI	MAIN-LIBRARY SERVICES	1
HOLMES CI	WC-SECURITY	1
HOMESTEAD	HOMESTEAD-MAIN-CLASSIFICATION	7
HOMESTEAD	HOMESTEAD-MAIN-PROGRAMS-ACADEMIC EDU	4
HOMESTEAD	HOMESTEAD-MAIN-PROGRAMS-CHAPLAINCY	1
HOMESTEAD	HOMESTEAD-MAIN-SECURITY	40
HOMESTEAD	HOMESTEAD-MAIN-SECURITY-WS	1
HOMESTEAD	HOMESTEAD-MAIN-WARDEN'S OFFICE	4
HOMESTEAD	HOMESTEAD-MAIN-WARDEN'S OFFICE-SAFETY	1
HOMESTEAD	MAIN-SECURITY	1
HOMESTEAD	MAIN-SECURITY-INTERNAL WS	1
HOMESTEAD	MAIN-WARDEN'S OFFICE	1
JACKSON	JACKSON-GRACEVILLE WC-CLASSIFICATION	1
JACKSON	JACKSON-MAIN-CLASSIFICATION	11
JACKSON	JACKSON-MAIN-PROGRAMS-ACADEMIC EDU	5
JACKSON	JACKSON-MAIN-PROGRAMS-CHAPLAINCY	2
JACKSON	JACKSON-MAIN-PROGRAMS-LIBRARY	1
JACKSON	JACKSON-MAIN-SECURITY	77
JACKSON	JACKSON-MAIN-SECURITY-WS	5
JACKSON	JACKSON-MAIN-WARDEN'S OFFICE	6
JACKSON	JACKSON-MAIN-WARDEN'S OFFICE-SAFETY	1
JACKSON	JACKSON-MAIN-WAREHOUSE	2
JACKSON	JACKSON-WORK CAMP-SECURITY	14
JACKSON CI	MAIN-SECURITY	1
JACKSON CI	WC-SECURITY	1
JEFFERSON	JEFFERSON-MAIN-PROGRAMS-ACADEMIC EDU	4
JEFFERSON	JEFFERSON-MAIN-PROGRAMS-ACADEMIC EDU-G	1
JEFFERSON	JEFFERSON-MAIN-PROGRAMS-CHAPLAINCY	2
JEFFERSON	JEFFERSON-MAIN-SECURITY	45
JEFFERSON	JEFFERSON-MAIN-SECURITY-WS	1
JEFFERSON	JEFFERSON-MAIN-WARDEN'S OFFICE	4
JEFFERSON	JEFFERSON-MAIN-WAREHOUSE	3
JEFFERSON	JEFFERSON-TALLAHASSEE-SECURITY	14
JEFFERSON	MAIN-SECURITY	1
JEFFERSON	TALLAHASSEE CRC - SECURITY	3
LAKE	LAKE-MAIN-CLASSIFICATION	9
LAKE	LAKE-MAIN-PROGRAMS-ACADEMIC EDU	2
LAKE	LAKE-MAIN-PROGRAMS-CHAPLAINCY	1
LAKE	LAKE-MAIN-PROGRAMS-LIBRARY	1

Region	Unique Org / Division / Section Name	Total Users
LAKE	LAKE-MAIN-PROGRAMS-WELLNESS EDU	1
LAKE	LAKE-MAIN-SECURITY	50
LAKE	LAKE-MAIN-SECURITY-MENTAL HEALTH	44
LAKE	LAKE-MAIN-SECURITY-WS	3
LAKE	LAKE-MAIN-WARDEN'S OFFICE	5
LAKE	LAKE-MAIN-WARDEN'S OFFICE-SAFETY	1
LAKE	LAKE-MAIN-WAREHOUSE	2
LAKE CI	MAIN-MEDICAL SERVICES	1
LAKE CI	MAIN-SECURITY	3
LAKE CI	MAIN-SECURITY-MENTAL HEALTH UNIT	3
LANCASTER	LANCASTER-MAIN-CLASSIFICATION	10
LANCASTER	LANCASTER-MAIN-PROGRAMS-ACADEMIC EDU	11
LANCASTER	LANCASTER-MAIN-PROGRAMS-ACADEMIC EDU-G	1
LANCASTER	LANCASTER-MAIN-PROGRAMS-CHAPLAINCY-G	2
LANCASTER	LANCASTER-MAIN-PROGRAMS-LIBRARY	1
LANCASTER	LANCASTER-MAIN-PROGRAMS-SUBSTANCE ABUSE	2
LANCASTER	LANCASTER-MAIN-PROGRAMS-WELLNESS EDU	1
LANCASTER	LANCASTER-MAIN-SECURITY	55
LANCASTER	LANCASTER-MAIN-SECURITY-WS	2
LANCASTER	LANCASTER-MAIN-WARDEN'S OFFICE	4
LANCASTER	LANCASTER-MAIN-WAREHOUSE	3
LANCASTER	LANCASTER-WORK CAMP-SECURITY	24
LANCASTER	LANCASTER-WORK CAMP-SECURITY-WS	3
LANCASTER	MAIN-SECURITY	1
LANCASTER	WC-SECURITY	1
LAWTEY	LAWTEY-MAIN-CLASSIFICATION	11
LAWTEY	LAWTEY-MAIN-PROGRAMS	1
LAWTEY	LAWTEY-MAIN-PROGRAMS-ACADEMIC EDU	8
LAWTEY	LAWTEY-MAIN-PROGRAMS-CHAPLAINCY	1
LAWTEY	LAWTEY-MAIN-PROGRAMS-LIBRARY	1
LAWTEY	LAWTEY-MAIN-SECURITY	36
LAWTEY	LAWTEY-MAIN-SECURITY-WS	1
LAWTEY	LAWTEY-MAIN-WARDEN'S OFFICE	4
LAWTEY	LAWTEY-MAIN-WAREHOUSE	2
LAWTEY CI	MAIN-CHAPLAINCY SERVICES	1
LAWTEY CI	MAIN-SECURITY	1
LIBERTY	LIBERTY-ANNEX-CLASSIFICATION	6
LIBERTY	LIBERTY-ANNEX-PROGRAMS-ACADEMIC EDU	1
LIBERTY	LIBERTY-ANNEX-SECURITY	20
LIBERTY	LIBERTY-ANNEX-SECURITY-WS	2

Region	Unique Org / Division / Section Name	Total Users
LIBERTY	LIBERTY-ANNEX-WAREHOUSE	1
LIBERTY	LIBERTY-MAIN-CLASSIFICATION	13
LIBERTY	LIBERTY-MAIN-PROGRAMS-ACADEMIC EDU	3
LIBERTY	LIBERTY-MAIN-PROGRAMS-CHAPLAINCY	2
LIBERTY	LIBERTY-MAIN-PROGRAMS-LIBRARY	1
LIBERTY	LIBERTY-MAIN-SECURITY	40
LIBERTY	LIBERTY-MAIN-SECURITY-WS	2
LIBERTY	LIBERTY-MAIN-WARDEN'S OFFICE	3
LIBERTY	LIBERTY-MAIN-WAREHOUSE	1
LIBERTY	LIBERTY-SOUTH-SECURITY	8
LIBERTY	LIBERTY-SOUTH-SECURITY-WS	1
LIBERTY CI	MAIN-ACADEMIC EDUCATION	1
LIBERTY CI	MAIN-CLASSIFICATION & RECORDS	1
LIBERTY CI	MAIN-SECURITY	1
LIBERTY CI	QUINCY ANNEX-CLASSIFICATION & RECORDS	1
LOWELL	LOWELL-ANNEX-SECURITY	74
LOWELL	LOWELL-ANNEX-SECURITY-WS	2
LOWELL	LOWELL-MAIN-CLASSIFICATION	21
LOWELL	LOWELL-MAIN-PROGRAMS-ACADEMIC EDU	11
LOWELL	LOWELL-MAIN-PROGRAMS-ACADEMIC EDU-G	2
LOWELL	LOWELL-MAIN-PROGRAMS-CHAPLAINCY	1
LOWELL	LOWELL-MAIN-PROGRAMS-CHAPLAINCY-G	1
LOWELL	LOWELL-MAIN-PROGRAMS-LIBRARY	1
LOWELL	LOWELL-MAIN-PROGRAMS-SUBSTANCE ABUSE-G	1
LOWELL	LOWELL-MAIN-SECURITY	52
LOWELL	LOWELL-MAIN-SECURITY-WS	1
LOWELL	LOWELL-MAIN-WARDEN'S OFFICE	5
LOWELL	LOWELL-MAIN-WAREHOUSE	3
LOWELL	LOWELL-WORK CAMP-SECURITY	38
LOWELL	LOWELL-WORK CAMP-SECURITY-WS	2
LOWELL CI	ANNEX-SECURITY	4
LOWELL CI	MAIN-ACADEMIC EDUCATION	1
LOWELL CI	MAIN-CHAPLAINCY SERVICES	2
LOWELL CI	MAIN-SECURITY	4
LOWELL CI	WORK CAMP - SECURITY	1
MADISON	MADISON-MAIN-CLASSIFICATION	13
MADISON	MADISON-MAIN-PROGRAMS-ACADEMIC EDU	4
MADISON	MADISON-MAIN-PROGRAMS-CHAPLAINCY	2
MADISON	MADISON-MAIN-PROGRAMS-LIBRARY	1
MADISON	MADISON-MAIN-SECURITY	31

Region	Unique Org / Division / Section Name	Total Users
MADISON	MADISON-MAIN-SECURITY-WS	4
MADISON	MADISON-MAIN-WARDEN'S OFFICE	6
MADISON	MADISON-MAIN-WARDEN'S OFFICE-SAFETY	1
MADISON	MADISON-MAIN-WAREHOUSE	2
MADISON	MADISON-WORK CAMP-SECURITY	11
MADISON	MADISON-WORK CAMP-SECURITY-WS	2
MADISON CI	WC-SECURITY	1
MARION	MARION-MAIN-CLASSIFICATION	13
MARION	MARION-MAIN-PROGRAMS-ACADEMIC EDU	6
MARION	MARION-MAIN-PROGRAMS-ACADEMIC EDU-G	1
MARION	MARION-MAIN-PROGRAMS-CHAPLAINCY	2
MARION	MARION-MAIN-PROGRAMS-LIBRARY	1
MARION	MARION-MAIN-SECURITY	80
MARION	MARION-MAIN-WARDEN'S OFFICE	4
MARION	MARION-MAIN-WARDEN'S OFFICE-SAFETY	1
MARION	MARION-MAIN-WAREHOUSE	3
MARION	MARION-WORK CAMP-SECURITY	31
MARION	MARION-WORK CAMP-SECURITY-WS	4
MARION CI		0
MARION CI	MAIN-CLASSIFICATION & RECORDS	1
MARION CI	MAIN-SECURITY	3
MARTIN	MARTIN-ATLANTIC-SECURITY	3
MARTIN	MARTIN-LOXAHATCHEE-SECURITY-WS-CONTRACT	7
MARTIN	MARTIN-MAIN-CLASSIFICATION	16
MARTIN	MARTIN-MAIN-PROGRAMS-ACADEMIC EDU	4
MARTIN	MARTIN-MAIN-PROGRAMS-CHAPLAINCY	1
MARTIN	MARTIN-MAIN-PROGRAMS-WELLNESS EDU	1
MARTIN	MARTIN-MAIN-SECURITY	55
MARTIN	MARTIN-MAIN-SECURITY-WS	2
MARTIN	MARTIN-MAIN-WARDEN'S OFFICE	4
MARTIN	MARTIN-MAIN-WARDEN'S OFFICE-SAFETY	1
MARTIN	MARTIN-MAIN-WAREHOUSE	2
MARTIN	MARTIN-WEST PALM-SECURITY	8
MARTIN	MARTIN-WORK CAMP-SECURITY	17
MARTIN	MARTIN-WORK CAMP-SECURITY-WS	2
MARTIN CI	MAIN-ACADEMIC EDUCATION	1
MARTIN CI	MAIN-SECURITY	4
MARTIN CI	MAIN-WAREHOUSE-MAILROOM	1
MARTIN CI	WC-SECURITY	1
MARTIN CI	WEST PALM BCH CRC-SECURITY	1

Region	Unique Org / Division / Section Name	Total Users
MAYO	MAYO-ANNEX-CLASSIFICATION	10
MAYO	MAYO-ANNEX-PROGRAMS-ACADEMIC EDU	3
MAYO	MAYO-ANNEX-PROGRAMS-CHAPLAINCY	2
MAYO	MAYO-ANNEX-PROGRAMS-LIBRARY	1
MAYO	MAYO-ANNEX-SECURITY	57
MAYO	MAYO-ANNEX-SECURITY-WS	2
MAYO	MAYO-ANNEX-WARDEN'S OFFICE	3
MAYO	MAYO-ANNEX-WARDEN'S OFFICE-SAFETY	1
MAYO	MAYO-ANNEX-WAREHOUSE	3
MAYO CI	ANNEX-ACADEMIC EDUCATION	1
MAYO CI	ANNEX-CLASSIFICATION & RECORDS	1
MAYO CI	ANNEX-MEDICAL SERVICES	1
MAYO CI	ANNEX-SECURITY	5
MAYO CI	WC-SECURITY	1
MOORE HAVEN	MOORE HAVEN CF-CLASSIFICATION	1
NEW RIVER	NEW RIVER-MAIN-CLASSIFICATION	1
NWFRC	ANNEX-SECURITY	2
NWFRC	MAIN-CLASSIFICATION & RECORDS	1
NWFRC	MAIN-LIBRARY SERVICES	1
NWFRC	MAIN-SECURITY	6
NWFRC	NWFRC-ANNEX-SECURITY	72
NWFRC	NWFRC-ANNEX-SECURITY-WS	4
NWFRC	NWFRC-MAIN-CLASSIFICATION	43
NWFRC	NWFRC-MAIN-PROGRAMS-ACADEMIC EDU	4
NWFRC	NWFRC-MAIN-PROGRAMS-ACADEMIC EDU-G	1
NWFRC	NWFRC-MAIN-PROGRAMS-CHAPLAINCY	4
NWFRC	NWFRC-MAIN-PROGRAMS-LIBRARY	1
NWFRC	NWFRC-MAIN-SECURITY	44
NWFRC	NWFRC-MAIN-SECURITY-WS	2
NWFRC	NWFRC-MAIN-WARDEN'S OFFICE	5
NWFRC	NWFRC-MAIN-WARDEN'S OFFICE-SAFETY	1
NWFRC	NWFRC-MAIN-WAREHOUSE	4
OKALOOSA	MAIN-CLASSIFICATION & RECORDS	2
OKALOOSA	MAIN-SECURITY	5
OKALOOSA	MAIN-WARDEN'S OFFICE	1
OKALOOSA	OKALOOSA-MAIN-CLASSIFICATION	9
OKALOOSA	OKALOOSA-MAIN-PROGRAMS	1
OKALOOSA	OKALOOSA-MAIN-PROGRAMS-ACADEMIC EDU	1
OKALOOSA	OKALOOSA-MAIN-PROGRAMS-CHAPLAINCY	2
OKALOOSA	OKALOOSA-MAIN-PROGRAMS-LIBRARY	1

Region	Unique Org / Division / Section Name	Total Users
OKALOOSA	OKALOOSA-MAIN-SECURITY	67
OKALOOSA	OKALOOSA-MAIN-SECURITY-WS	4
OKALOOSA	OKALOOSA-MAIN-WARDEN'S OFFICE	5
OKALOOSA	OKALOOSA-MAIN-WAREHOUSE	2
OKALOOSA	OKALOOSA-WORK CAMP-SECURITY	21
OKALOOSA	OKALOOSA-WORK CAMP-SECURITY-WS	3
OKALOOSA	WC-SECURITY	2
OKALOOSA CI	MAIN-EDUCATION ADMINISTRATION	1
OKEECHOBEE	MAIN-CLASSIFICATION & RECORDS	1
OKEECHOBEE	MAIN-MAINTENANCE	1
OKEECHOBEE	MAIN-SECURITY	2
OKEECHOBEE	OKEECHOBEE-MAIN-CLASSIFICATION	14
OKEECHOBEE	OKEECHOBEE-MAIN-PROGRAMS-ACADEMIC EDU	1
OKEECHOBEE	OKEECHOBEE-MAIN-PROGRAMS-CHAPLAINCY	1
OKEECHOBEE	OKEECHOBEE-MAIN-SECURITY	58
OKEECHOBEE	OKEECHOBEE-MAIN-SECURITY-WS	2
OKEECHOBEE	OKEECHOBEE-MAIN-WARDEN'S OFFICE	3
OKEECHOBEE	OKEECHOBEE-MAIN-WAREHOUSE	3
OKEECHOBEE	OKEECHOBEE-REENTRY-CLASSIFICATION	7
OKEECHOBEE	OKEECHOBEE-REENTRY-PROGRAMS	2
OKEECHOBEE	OKEECHOBEE-REENTRY-SECURITY	19
OKEECHOBEE	OKEECHOBEE-REENTRY-SECURITY-WS	4
OKEECHOBEE	OKEECHOBEE-REENTRY-WARDEN'S OFFICE	2
OKEECHOBEE	OKEECHOBEE-WORK CAMP-SECURITY	3
OKEECHOBEE	SAGO PALM-EDUCATION ADMINISTRATION	1
OKEECHOBEE	SAGO PALM-SECURITY	1
OKEECHOBEE	WORK CAMP-SECURITY	2
POLK	POLK-LARGO-SECURITY-WS-CONTRACT	13
POLK	POLK-MAIN-CLASSIFICATION	17
POLK	POLK-MAIN-PROGRAMS-ACADEMIC EDU	6
POLK	POLK-MAIN-PROGRAMS-ACADEMIC EDU-G	1
POLK	POLK-MAIN-PROGRAMS-CHAPLAINCY	3
POLK	POLK-MAIN-PROGRAMS-LIBRARY	1
POLK	POLK-MAIN-SECURITY	60
POLK	POLK-MAIN-SECURITY-WS	1
POLK	POLK-MAIN-WARDEN'S OFFICE	4
POLK	POLK-MAIN-WARDEN'S OFFICE-SAFETY	1
POLK	POLK-MAIN-WAREHOUSE	3
POLK	POLK-ST PETE-SECURITY	10
POLK	POLK-ST PETE-SECURITY-WS	1

Region	Unique Org / Division / Section Name	Total Users
POLK	POLK-WORK CAMP-SECURITY	22
POLK	POLK-WORK CAMP-SECURITY-WS	2
POLK CI	MAIN-CLASSIFICATION & RECORDS	1
POLK CI	MAIN-FOOD SERVICE	1
POLK CI	MAIN-SECURITY	3
POLK CI	MAIN-WELLNESS EDUCATION	1
POLK CI	WC-SECURITY	2
POLK CI	WC-SECURITY-INTERNAL WS	1
PUTNAM	PUTNAM-MAIN-CLASSIFICATION	6
PUTNAM	PUTNAM-MAIN-PROGRAMS-ACADEMIC EDU	3
PUTNAM	PUTNAM-MAIN-PROGRAMS-CHAPLAINCY	1
PUTNAM	PUTNAM-MAIN-PROGRAMS-LIBRARY	1
PUTNAM	PUTNAM-MAIN-SECURITY	37
PUTNAM	PUTNAM-MAIN-SECURITY-WS	3
PUTNAM	PUTNAM-MAIN-WARDEN'S OFFICE	6
PUTNAM	PUTNAM-MAIN-WAREHOUSE	2
REGION I		7
REGION I	EDUCATION ADMINISTRATION	1
REGION I	INSTITUTIONS REGION I	6
REGION I	MAINTENANCE HUB	3
REGION I	PHARMACY SERVICES	2
REGION I	REGIONAL DIRECTORS OFFICE	9
REGION I	REGIONAL DIRECTOR'S OFFICE-INST REG I	1
REGION I	TALLAHASSEE CIR 2 OFFICE	1
REGION II		5
REGION II	EDUCATION ADMINISTRATION	1
REGION II	INSTITUTIONS REGION II	10
REGION II	LIBRARY SERVICES	1
REGION II	MAINTENANCE HUB	3
REGION II	ORLANDO CIR 9-PRETRIAL INT	1
REGION II	PHARMACY SERVICES	2
REGION II	REGIONAL DIRECTORS OFFICE	9
REGION II	REGIONAL DISTRIBUTION CENTER	1
REGION II	SANFORD CIR 18-CLOSE RISK SUPERVISION	1
REGION II	VOCATIONAL EDUCATION	1
REGION III		6
REGION III	CIRCUIT 09 - CIRCUIT OFFICE	1
REGION III	CIRCUIT 13 - CIRCUIT OFFICE	1
REGION III	CLEARWATER CIR 6-YOUTHFUL OFFENDER	1
REGION III	EDUCATION ADMINISTRATION	1

Region	Unique Org / Division / Section Name	Total Users
REGION III	FT MYERS CIR 20-DRUG OFFENDER PROBATION	1
REGION III	INSTITUTIONS REGION III	6
REGION III	LIBRARY SERVICES	1
REGION III	MAINTENANCE HUB	2
REGION III	PHARMACY SERVICES	8
REGION III	REGIONAL DIRECTOR OFFC-COMM CORR REG III	2
REGION III	REGIONAL DIRECTORS OFFICE	10
REGION III	TAMPA CIR 13-CLOSE RISK SUPERVISION	1
REGION III	TAVARES CIR 5 OFFICE	2
REGION III	VOCATIONAL EDUCATION	2
REGION IV		6
REGION IV	CIRCUIT 17 - CIRCUIT OFFICE	1
REGION IV	EDUCATION ADMINISTRATION	1
REGION IV	INSTITUTIONS REGION IV	8
REGION IV	LIBRARY SERVICES	1
REGION IV	MAINTENANCE HUB	2
REGION IV	REGIONAL DIRECTORS OFF-COMM CORR REG IV	2
REGION IV	REGIONAL DIRECTORS OFFICE	13
REGION IV	VOCATIONAL EDUCATION	1
RMC		1
RMC	MAIN-CLASS-RECEPTION & ORIENTATION	3
RMC	MAIN-SECURITY	1
RMC	MAIN-SECURITY-MENTAL HEALTH UNIT	1
RMC	RMC-HOSPITAL-SECURITY	17
RMC	RMC-JAX HOSPITAL-SECURITY	22
RMC	RMC-MAIN-CLASSIFICATION	56
RMC	RMC-MAIN-MEDICAL	3
RMC	RMC-MAIN-PROGRAMS-ACADEMIC EDU	4
RMC	RMC-MAIN-PROGRAMS-CHAPLAINCY	3
RMC	RMC-MAIN-PROGRAMS-LIBRARY	2
RMC	RMC-MAIN-PROGRAMS-WELLNESS EDU	1
RMC	RMC-MAIN-SECURITY	66
RMC	RMC-MAIN-SECURITY-MENTAL HEALTH	5
RMC	RMC-MAIN-SECURITY-WS	2
RMC	RMC-MAIN-WARDEN'S OFFICE	6
RMC	RMC-MAIN-WAREHOUSE	3
RMC	RMC-WEST-CLASSIFICATION	1
RMC	RMC-WEST-SECURITY	27
RMC	RMC-WORK CAMP-SECURITY	14
SANTA ROSA	ANNEX-SECURITY	1

Region	Unique Org / Division / Section Name	Total Users
SANTA ROSA	ANNEX-SECURITY-MENTAL HEALTH UNIT	2
SANTA ROSA	ANNEX-SECURITY-WELLNESS PROGRAM	1
SANTA ROSA	MAIN-SECURITY	8
SANTA ROSA	MAIN-WARDEN'S OFFICE	1
SANTA ROSA	SANTA ROSA-ANNEX-SECURITY	50
SANTA ROSA	SANTA ROSA-ANNEX-SECURITY-MENTAL HEALTH	27
SANTA ROSA	SANTA ROSA-ANNEX-SECURITY-WS	1
SANTA ROSA	SANTA ROSA-MAIN-CLASSIFICATION	31
SANTA ROSA	SANTA ROSA-MAIN-PROGRAMS-ACADEMIC EDU	11
SANTA ROSA	SANTA ROSA-MAIN-PROGRAMS-CHAPLAINCY	3
SANTA ROSA	SANTA ROSA-MAIN-PROGRAMS-LIBRARY	2
SANTA ROSA	SANTA ROSA-MAIN-PROGRAMS-WELLNESS EDU	1
SANTA ROSA	SANTA ROSA-MAIN-SECURITY	100
SANTA ROSA	SANTA ROSA-MAIN-SECURITY-WS	1
SANTA ROSA	SANTA ROSA-MAIN-WARDEN'S OFFICE	6
SANTA ROSA	SANTA ROSA-MAIN-WARDEN'S OFFICE-SAFETY	1
SANTA ROSA	SANTA ROSA-MAIN-WAREHOUSE	4
SANTA ROSA	SANTA ROSA-WORK CAMP-SECURITY	13
SANTA ROSA	WORK CAMP-SECURITY	1
SFRC	HOLLYWOOD CRC-SECURITY	1
SFRC	MAIN-CLASS-RECEPTION & ORIENTATION	1
SFRC	MAIN-LIBRARY SERVICES	1
SFRC	MAIN-SECURITY	2
SFRC	MAIN-SECURITY-RECEPTION & ORIENTATION	1
SFRC	OPA LOCKA CRC-SECURITY	1
SFRC	SFRC-HOLLYWOOD-SECURITY	12
SFRC	SFRC-MAIN-CLASSIFICATION	35
SFRC	SFRC-MAIN-PROGRAMS-ACADEMIC EDU	3
SFRC	SFRC-MAIN-PROGRAMS-ACADEMIC EDU-G	1
SFRC	SFRC-MAIN-PROGRAMS-CHAPLAINCY	3
SFRC	SFRC-MAIN-PROGRAMS-LIBRARY	1
SFRC	SFRC-MAIN-SECURITY	64
SFRC	SFRC-MAIN-SECURITY-WS	2
SFRC	SFRC-MAIN-WARDEN'S OFFICE	5
SFRC	SFRC-MAIN-WARDEN'S OFFICE-SAFETY	1
SFRC	SFRC-MAIN-WAREHOUSE	2
SFRC	SFRC-OPA LOCKA-SECURITY	14
SFRC	SFRC-SOUTH-CLASSIFICATION	13
SFRC	SFRC-SOUTH-SECURITY	30
SIRW	STATEWIDE INACTIVE RECORDS	20

Region	Unique Org / Division / Section Name	Total Users
SOUTH BAY	SOUTH BAY CF-CLASSIFICATION	1
SUMTER	SUMTER-BTU-SECURITY	5
SUMTER	SUMTER-BTU-SECURITY-WS	1
SUMTER	SUMTER-MAIN-CLASSIFICATION	14
SUMTER	SUMTER-MAIN-PROGRAMS-ACADEMIC EDU	11
SUMTER	SUMTER-MAIN-PROGRAMS-CHAPLAINCY	1
SUMTER	SUMTER-MAIN-PROGRAMS-LIBRARY	1
SUMTER	SUMTER-MAIN-PROGRAMS-WELLNESS EDU	1
SUMTER	SUMTER-MAIN-SECURITY	61
SUMTER	SUMTER-MAIN-WARDEN'S OFFICE	5
SUMTER	SUMTER-MAIN-WAREHOUSE	2
SUMTER	SUMTER-WORK CAMP-SECURITY	17
SUMTER	SUMTER-WORK CAMP-SECURITY-WS	1
SUMTER CI	MAIN-CHAPLAINCY SERVICES	1
SUMTER CI	MAIN-CLASSIFICATION & RECORDS	1
SUMTER CI	MAIN-SECURITY	1
SUWANNEE	ANNEX - SECURITY	1
SUWANNEE	ANNEX-CLASSIFICATION & RECORDS	2
SUWANNEE	MAIN-MAINTENANCE-ADA SERVICES	1
SUWANNEE	MAIN-SECURITY-MENTAL HEALTH UNIT	1
SUWANNEE	SUWANNEE-ANNEX-CLASSIFICATION	13
SUWANNEE	SUWANNEE-ANNEX-SECURITY	51
SUWANNEE	SUWANNEE-ANNEX-SECURITY-WS	7
SUWANNEE	SUWANNEE-MAIN-CLASSIFICATION	15
SUWANNEE	SUWANNEE-MAIN-PROGRAMS-ACADEMIC EDU	14
SUWANNEE	SUWANNEE-MAIN-PROGRAMS-ACADEMIC EDU-G	1
SUWANNEE	SUWANNEE-MAIN-PROGRAMS-CHAPLAINCY	2
SUWANNEE	SUWANNEE-MAIN-PROGRAMS-LIBRARY	2
SUWANNEE	SUWANNEE-MAIN-PROGRAMS-WELLNESS EDU	1
SUWANNEE	SUWANNEE-MAIN-SECURITY	71
SUWANNEE	SUWANNEE-MAIN-SECURITY-MENTAL HEALTH	12
SUWANNEE	SUWANNEE-MAIN-SECURITY-WS	4
SUWANNEE	SUWANNEE-MAIN-WARDEN'S OFFICE	7
SUWANNEE	SUWANNEE-MAIN-WARDEN'S OFFICE-SAFETY	1
SUWANNEE	SUWANNEE-MAIN-WAREHOUSE	3
TAYLOR	TAYLOR-ANNEX-SECURITY	2
TAYLOR	TAYLOR-MAIN-CLASSIFICATION	14
TAYLOR	TAYLOR-MAIN-PROGRAMS-ACADEMIC EDU	3
TAYLOR	TAYLOR-MAIN-PROGRAMS-CHAPLAINCY	2
TAYLOR	TAYLOR-MAIN-PROGRAMS-LIBRARY	1

Region	Unique Org / Division / Section Name	Total Users
TAYLOR	TAYLOR-MAIN-PROGRAMS-WELLNESS EDU	1
TAYLOR	TAYLOR-MAIN-SECURITY	66
TAYLOR	TAYLOR-MAIN-SECURITY-WS	7
TAYLOR	TAYLOR-MAIN-WARDEN'S OFFICE	5
TAYLOR	TAYLOR-MAIN-WAREHOUSE	5
TAYLOR	TAYLOR-WORK CAMP-SECURITY	2
TAYLOR CI	MAIN-CLASSIFICATION & RECORDS	1
TOMOKA	TOMOKA-MAIN-CLASSIFICATION	15
TOMOKA	TOMOKA-MAIN-PROGRAMS	2
TOMOKA	TOMOKA-MAIN-PROGRAMS-ACADEMIC EDU	5
TOMOKA	TOMOKA-MAIN-PROGRAMS-CHAPLAINCY-G	2
TOMOKA	TOMOKA-MAIN-PROGRAMS-LIBRARY	1
TOMOKA	TOMOKA-MAIN-SECURITY	71
TOMOKA	TOMOKA-MAIN-WARDEN'S OFFICE	6
TOMOKA	TOMOKA-MAIN-WAREHOUSE	2
TOMOKA	TOMOKA-WORK CAMP-SECURITY	21
TOMOKA	TOMOKA-WORK CAMP-SECURITY-WS	3
TOMOKA CI		1
TOMOKA CI	MAIN-ACADEMIC EDUCATION	1
TOMOKA CI	MAIN-LIBRARY SERVICES	1
TOMOKA CI	MAIN-SECURITY	2
UNASSIGNED		1901
UNION	UNION-DEATH ROW-SECURITY	26
UNION	UNION-MAIN-CLASSIFICATION	22
UNION	UNION-MAIN-PROGRAMS	1
UNION	UNION-MAIN-PROGRAMS-ACADEMIC EDU	3
UNION	UNION-MAIN-PROGRAMS-ACADEMIC EDU-G	1
UNION	UNION-MAIN-PROGRAMS-CHAPLAINCY	3
UNION	UNION-MAIN-PROGRAMS-LIBRARY	2
UNION	UNION-MAIN-PROGRAMS-WELLNESS EDU	1
UNION	UNION-MAIN-SECURITY	77
UNION	UNION-MAIN-WARDEN'S OFFICE	4
UNION	UNION-MAIN-WAREHOUSE	3
UNION	UNION-MENTAL HEALTH-SECURITY	10
UNION	UNION-WORK CAMP-SECURITY	24
UNION	UNION-WORK CAMP-SECURITY-WS	1
UNION CI	MAIN-CLASSIFICATION & RECORDS	2
UNION CI	MAIN-SECURITY	4
UNION CI	MENTAL HEALTH-SECURITY	2
UNION CI	WORK CAMP-SECURITY	1

Region	Unique Org / Division / Section Name	Total Users
WAKULLA	ANNEX - SECURITY	1
WAKULLA	WAKULLA-ANNEX-SECURITY	49
WAKULLA	WAKULLA-ANNEX-SECURITY-MENTAL HEALTH	48
WAKULLA	WAKULLA-ANNEX-SECURITY-WS	1
WAKULLA	WAKULLA-MAIN-CLASSIFICATION	23
WAKULLA	WAKULLA-MAIN-PROGRAMS-ACADEMIC EDU	5
WAKULLA	WAKULLA-MAIN-PROGRAMS-CHAPLAINCY	1
WAKULLA	WAKULLA-MAIN-PROGRAMS-LIBRARY	2
WAKULLA	WAKULLA-MAIN-PROGRAMS-WELLNESS EDU	1
WAKULLA	WAKULLA-MAIN-SECURITY	64
WAKULLA	WAKULLA-MAIN-WARDEN'S OFFICE	5
WAKULLA	WAKULLA-MAIN-WAREHOUSE	5
WAKULLA	WAKULLA-WORK CAMP-SECURITY	7
WAKULLA	WAKULLA-WORK CAMP-SECURITY-WS	3
WAKULLA CI	ANNEX - SECURITY	1
WAKULLA CI	ANNEX-SECURITY-MENTAL HEALTH UNIT	2
WAKULLA CI	MAIN-ACADEMIC EDUCATION	2
WAKULLA CI	MAIN-CLASSIFICATION & RECORDS	4
WAKULLA CI	MAIN-MAINTENANCE-ADA SERVICES	1
WAKULLA CI	MAIN-MENTAL HEALTH SERVICES	1
WAKULLA CI	MAIN-SECURITY	4
WAKULLA CI	MAIN-WARDEN'S OFFICE-SAFETY	1
WAKULLA CI	MAIN-WELLNESS EDUCATION	1
WALTON	WALTON-MAIN-CLASSIFICATION	12
WALTON	WALTON-MAIN-PROGRAMS-ACADEMIC EDU	3
WALTON	WALTON-MAIN-PROGRAMS-CHAPLAINCY	2
WALTON	WALTON-MAIN-PROGRAMS-LIBRARY	1
WALTON	WALTON-MAIN-SECURITY	65
WALTON	WALTON-MAIN-SECURITY-WS	3
WALTON	WALTON-MAIN-WARDEN'S OFFICE	5
WALTON	WALTON-MAIN-WAREHOUSE	2
WALTON	WALTON-WORK CAMP-SECURITY	16
WALTON	WALTON-WORK CAMP-SECURITY-WS	2
WALTON CI	MAIN-SECURITY	1
WASHINGTON	MAIN-CLASSIFICATION & RECORDS	1
ZEPHYRHILLS	MAIN-SECURITY	2
ZEPHYRHILLS	MAIN-SECURITY-MENTAL HEALTH UNIT	4
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-CLASSIFICATION	8
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-PROGRAMS-ACADEMIC EDU	2
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-PROGRAMS-CHAPLAINCY	1

Region	Unique Org / Division / Section Name	Total Users
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-PROGRAMS-LIBRARY	1
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-SECURITY	45
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-SECURITY-MENTAL HEALTH	19
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-SECURITY-WS	1
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-WARDEN'S OFFICE	3
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-WARDEN'S OFFICE-SAFETY	1
ZEPHYRHILLS	ZEPHYRHILLS-MAIN-WAREHOUSE	1
ZEPHYRHILLS	ZEPHYRHILLS-MENTAL HEALTH-SECURITY	7

Appendix C: Change Control Templates

Change Request Form

The Change Request Form will be utilized to document each change request and obtain approval through appropriate routing and documented in the Change Log:

Change Control Form			
		Service Request #	
Project Name:			
Project Version / Release:	Ex. 2.0 /R18		
Change Type:	<input type="checkbox"/> Defect Fix	<input type="checkbox"/> Enhancement	Change Request Date: <input type="text"/>
Requesting Member:	Client name:	<input type="text"/>	
	Program Area:	<input type="text"/>	
	Phone #:	<input type="text"/>	
Priority:	<input type="checkbox"/> Level 1: Legislative Mandate <input type="checkbox"/> Level 4: Medium <input type="checkbox"/> Level 2: Critical to Business Process <input type="checkbox"/> Level 5: Minor <input type="checkbox"/> Level 3: Important		
Detailed description of change requested (functionality required)	<input type="text"/>		
Justification for Change	<input type="text"/>		
Project Lead (Signature Authority) Decision	<input type="checkbox"/> Forward for review <input type="checkbox"/> Do not implement		
Project Lead Name (Printed)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Project Lead Signature Authority (Signature)	<input type="text"/>	Date Forwarded	
IMPACT ASSESSMENT REVIEW			
Request Received By	<input type="text"/>	Date Received	<input type="text"/>
Respondents	<input type="text"/>	Change Request #	<input type="text"/>
		Response Due Date	<input type="text"/>
IMPACTS Analysis Areas			
Technical Impact	<input type="text"/>		
Financial Impact	<input type="text"/>		

Operational Impact				
Schedule Impact				
Security Impact				
Legal and Compliance Impacts				
User Impacts				
Enterprise Impact (impact to other projects)				
Effect on Deliverables, Schedule, and Project Cost				
No.	Deliverable / Item	Revised End Date	Net Change, Hours Increase or (Decrease)	Net Change, Cost Increase or (Decrease)
Totals				
Revised Project End Date				
Impact	<input type="checkbox"/> Estimated Work Hours to Complete Change			
	<input type="checkbox"/> Estimated Completion Date			
	<input type="checkbox"/> Estimated Cost of Change			
CCB Recommendation	<input type="checkbox"/> Recommended for implementation in current release		New Release Date	
	<input type="checkbox"/> Recommended for implementation in future release		Version #	
	<input type="checkbox"/> Not Recommended			
Comments				

Customer Management Decision			
FDC Project Management Decision:	<input type="checkbox"/> Implement in current release <input type="checkbox"/> Implement in future release <input type="checkbox"/> Do Not Implement		
Vendor Project Manager Approval:		Date Signed	
OIT Leadership Approval:		Date Signed	
FDC Project Sponsor Approval:		Date Signed	
Contract Change Required:	<input type="checkbox"/> Yes <input type="checkbox"/> No		

Change Log Template

The Change Log tab in the RAID Log will be utilized to document each change request and obtain approval through appropriate routing.

Appendix D: Project Deliverable Matrix

DELIVERABLES BY PHASE/CATEGORIES		T ✓ TEMP L	FDC PERSONEL / DELIVERABLES MATRIX KEY DELIVERABLES & TEMPLATES Version 4 [4/29/2024]		60-GG OVERSIGHT: REFER TO PMO 60-GG GUIDE*			
					PROJECT CLASSIFICATIONS			
					RCA1 RCA 1, or Duration <24 hours	RCA 2 or Effort 25 - 99 Hrs	Tier II RCA Level 3, Effort 100 - 500 Hrs, or Leadership Mandate	Tier I RCA Level 4, Effort > 500 hrs, or Leadership Mandate
PRE-INITIATION					(R=Required) (A=if applicable) [Blank=Optional]			
Needs Assessment	✓	Preliminary Needs Assessment	✓		R	R	R	R
	✓	Software Review Form	✓			A	A	A
	✓	Demand Request	✓	R	R	R	R	R
		• Authorization	✓	R	R	R	R	R
		• Scope / Objectives	✓	R	R	R	R	R
		• Priority	✓	R	R	R	R	R
Project Funding	✓	Business Case (If Project \$ >\$1 Million, use Schedule IV-B Instead)	✓	R	R			
	✓	Schedule IV-B (Legislative)	✓			A		R
Risk Management	✓	Risk & Complexity Assessment Tool (Pre-Charter)	✓	A	R	R	R	R
Centralized Project Repository	✓	Structured Central Repository for Project Documentation	✓		A	R		R
PROJECT INITIATION								
Project Budget & Reporting (Cost Mgmt)	✓	Budget Plan (FS component)*	✓	A	R	R		R
	✓	Operational Work Plan [Legislative-OWP]*	✓			A		A
	✓	Legislative Spending Plan (OWP component)*	✓			A		A
Project Outsourcing	✓	Statement of Work (ITN)	✓			A		A
Requirements	✓	Functional Requirements (Business Requirements Doc)	✓	A	R	R		R
Project Initiation	✓	Project Charter	✓		R	R		R
		• Benefit Realization Report /Cost Benefit Analysis	✓		R	R		R
		• Business Case / Alternative Analysis	✓		R	R		R
Centralized Project Repository	✓	Structured Central Repository for Project Documentation	✓		R	R		R
IV&V	✓	Independent Verification and Validation (IV&V) SOW	✓		A	R		R
Risk Management	✓	Risk & Complexity Assessment Tool (Initiation Phase)	✓	R	R	R		R
PROJECT PLANNING								
Project Management Planning	✓	Project Management Plan	□		R	R		R
Project Modeling	✓	• SIPOC Model	✓		R	R		R
	✓	• High Level Application Framework	✓		R	R		R
Project Management Methodology	✓	• PM Methodology Objectives	□		A			R
	✓	• PM Management Principles	□		A			R
	✓	• Critical Success Factors	□		A			R
Project Organization & Governance	✓	• Project Org Chart	✓	R	R	R		R
	✓	• Project Escalation Matrix	✓	R		R		R
	✓	• Decision Matrix (Per Stakeholder Group)	✓		A			R
Resource Management	✓	• Team Roster	✓	A	A	R		R
	✓	• Project Team Roles and Responsibilities	✓	A	A	R		R
	✓	• Technical Team List	✓	A	A	R		R
	✓	• Responsibility Matrix (RACI per Focus Area)	✓	A	A	R		R
Scope Management	✓	• Assumptions & Constraints	□		A			R
	✓	• In-Scope / Out-of-Scope Requirements	✓	R	R	R		R
	✓	• Project Interdependencies	✓		A			R
	✓	• Milestone Chart	✓		A			R
Project Schedule Management	✓	• Project Plans (Resource Loaded)	✓	A	A	R		R
	✓	• Schedule Maintenance Cadence Identification	✓	A	A	R		R
Procurement Management	✓	• Resource Plan w/ Estimated Hours	□	R	R	R		R
	✓	• Equipment / Materials Resource Plan	✓	R	R	R		R
	✓	• Resource On-Boarding / Off-Boarding Procedures	✓	A	A	A		A
Project Team Resource Planning	✓	• Team Directory	✓	A	A	R		R
	✓	• Project Team Composition & Evaluation	✓	A	A	R		R
	✓	• Technical Team List	✓	A	A	R		R
	✓	• Stakeholder Registry	✓	A	A	R		R
Budget & Cost Management	✓	• Budget Plan Updates, Spending Plan Updates	✓	A	R	R		R
	✓	• Legislative Budget Amendments	✓	A	A	A		A
	✓	• Operational Work Plan Updates (as required)	✓	A	A	A		A
Communications Management	✓	• Communications Management Plan (methodology, summary, etc.)	□	A	A	R		R
Change Management	✓	• Change Management Plan	✓		A	R		R
Integration Management	✓	• Integration Management Strategy	□		A	R		R
Organizational Change Management	✓	• Organizational Change Management Plan	✓	A	R	R		R
	✓	• Organizational Readiness Assessment	✓	A	R	R		R
	✓	• Sponsor Analysis	✓	A	A	A		A
	✓	• Change Champion Network Establishment	✓			R		R
	✓	• OCM Training Support Plan	✓			R		R
Quality Management Planning	✓	• Quality Plan	✓	R	R	R		R
	✓	• Completeness and Correctness Criteria	✓		A	A		R
	✓	• Independent Verification & Validation (IV&V) Plan	✓		A	A		R
Security Plan	✓	• Cybersecurity Plan	✓	A	A	R		R
Implementation Considerations	✓	• Operational Standards and Site Adaptations	✓		A	R		R
	✓	• Federal Regulations (ADA, CFR 23)	✓		A	R		R
	✓	• SLA Performance Expectations & Metrics	✓		A	R		R
Risk Assessment	✓	Risk & Complexity Assessment Tool (Planning Phase)	✓	R	R	R		R

PROJECT CONTROL							
Risk & Issues Management	✓	RAID Log - Tier 1 & 2 Projects	□		A	R	R
	✓	Risk Assessment and Mitigation Plan	□		A	R	R
	✓	Action Log	□		A	R	R
	✓	Issue Log	□		A	R	R
	✓	Decision Log	□		A	R	R
	✓	Risk Review Board (Establish, Process, Procedure, Touchpoints)			A	R	R
Change Management	✓	Change Request Methodology & Process	2Q	R	R	R	R
	✓	Change Request Log	□	R	R	R	R
	✓	Change Request Form	□	R	R	R	R
	✓	CAB / CCB Configuration, Processes, Procedures, & Touchpoints			R	R	R
Deliverable Acceptance Planning	✓	Deliverables Log with Review & Acceptance Process & Schedule		R	R	R	R
	✓	• Deliverables Expectation Template(s)		R	R	R	R
	✓	• Deliverables Acceptance Template(s)		R	R	R	R
Quality Management	✓	Quality Assurance Checklist			A	A	R
	✓	Quality Assurance Checklist for Outsourced Projects			A	A	R
	✓	Quality Control Checklist			A	A	R
	✓	Project Metrics			A	R	R
Communication Management	✓	Weekly CIO & DCIO Status Report(s)	✓		R	R	R
	✓	Project Executive Status / QUAD Reports	✓	R	R	R	R
	✓	Executive Reports (ELT & PLT)	✓		A	R	R
Budget & Cost Management	✓	Monthly Legislative Report & Cadence	✓		A	R	R
Meeting Documentation	✓	Meeting Agenda	✓		A	R	R
	✓	Project Kick-Off Agenda	✓		A	R	R
	✓	Meeting Attendee List			A	R	R
	✓	Meeting Minutes / Notes			A	R	R
ANALYSIS							
Functional Req. Specifications	✓	Functional Requirements Report			A	R	
	✓	Software Requirements Specifications [SRS] (Includes Use Cases) <i>Dependent on project size: is used in lieu of Functional Reqs Report</i>					R
	✓	Data Model [Logical]	2Q	A	A	R	R
	✓	• Database ERD	2Q	A	A	R	R
	✓	• Data Dictionary	2Q	A	A	R	R
	✓	Conceptual Systems Design		A	A	R	R
Requirements Tracking	✓	Requirements Traceability Matrix Initial Setup			A	R	R
Security Specifications	✓	Security Plan Update			A	R	R
	✓	Security Checklist			A	A	R
DESIGN							
Technical Design Specifications	✓	Data Model [Physical] (Part of the FRS)	2Q		A	R	R
	✓	Technical Systems Design [attach items below]			R	R	R
	✓	Technical Architecture			A	A	R
	✓	Technical Requirements Specs			A	A	R
	✓	Web Design Specifications			A	A	A
Data Conversion Specifications	✓	Data Conversion Plan - Migration Mapping Plan			A	A	A
DEVELOPMENT							
Data Conversion	✓	Data Conversion Scripts, ETL Processing Scripts	2Q		A	A	A
Technical Plans	✓	Disaster Recovery Plan			A	A	R
Architectural	✓	Process Flows, Framework Diagrams, ERDs			A	R	R
Training	✓	Training Plan			A	A	R
	✓	User Documentation			A	A	R
	✓	System Maintenance Documentation			A	A	R
TEST							
Test Planning	✓	Test Plan (Small)		A	A	R	R
	✓	Test Plan (Large-Scale)		A	A	R	R
	✓	Test Suites Scheduling			A	R	R
	✓	Test Scenario			A	R	R
	✓	Test Case Data Sheets			A	A	A
	✓	Automated Test Scripts			A	A	A
	✓	Test Environment Specifications			A	R	R
Test Sign-Off	✓	Test Result Logs			A	R	R
	✓	Test Installation Package			A	A	A
	✓	Tech Transfer Agenda and Demo			R	R	R
	✓	Test Sign-Off	2Q	A	R	R	R
	✓	• Unit / Beta / Integration		A	R	R	R
	✓	• User Acceptance Testing		A	R	R	R
IMPLEMENTATION							
Deliverable Review & Approval	✓	Deliverable Expectation Document(s) (DED) - Signed per deliverable		A	A	A	R
	✓	Deliverable Acceptance Document(s) (DAD) - Signed per deliverable		A	A	A	R
	✓	Deliverable Tracking Log - All Completed		A	A	A	R
Training	✓	Training Plan			A	A	R
	✓	Training Evaluation Form			A	A	R
Deployment	✓	Tech Transfer Agenda & Demo			R	R	R
	✓	Knowledge Transfer Plan (Operational Transition Plan)			A	A	R
	✓	Deployment Authorization (E-mail, Workflow, ASR)		R	R		
	✓	Deployment Authorization Form				R	R
	✓	Implementation Plan			R	R	R
	✓	• DBA Procedures			A	A	A
	✓	• Installation Procedures			R	R	R
	✓	• Rollback Plan			R	R	R
	✓	• Rollout Schedule			R	R	R
	✓	Tested Release of Application			R	R	R
	✓	Application Installation Scripts			A	A	A
Risk Assessment	✓	Risk & Complexity Assessment Tool (Event Driven)		R	R	R	R
MAINTENANCE							
Operations Planning	✓	Operations & Maintenance Plan (O&M)		A	R	R	R
	✓	Service Level Agreement(s)		A	R	R	R
CLOSE OUT							
Project Close Out	✓	All System docs archived with As Built Updates (PCB Archival)		A	A	R	R
	✓	As Built Documentation Complete			A	A	R
	✓	Final Acceptance Sign-Off [Email, etc]		R	R	R	R
	✓	Final Acceptance Report (Post Implementation Review)				R	R
	✓	Transition to Operations and Project Closure				A	R
	✓	Contract Closure / Resolve Financials		A	A	A	R
	✓	Project Close-out Report		A	A	R	R
	✓	• Lessons Learned		A	A	A	R
	✓	• Project Performance Review		A	A	A	R
	✓	Release Plan for Project Resources (Incl. Reallocation)					R
	✓	Celebration and Recognition				A	R

In Progress
 Drafted, Ready for Review
 Not Needed
 Completed (Approved & Signed)

Appendix E: Deliverable Expectation, Acceptance, and Log Document Templates

Deliverable Expectation Documentation

The purpose of this Deliverables Expectation Document (DED) is to provide an outline of the expectations for approval of the identified project deliverable. Please see the DED Template in the Appendices Here.

DMV Contract Number:		DED Number	
Deliverable Title:		Deliverable Number	
Deliverable Start Date:		Deliverable End Date:	
Est. Hours to Complete:	Click here to enter text.	Total Cost of Deliverable:	
		Retainage (if applicable):	
		Amount to be Invoiced:	

Deliverable Team Roles and Responsibilities

The individuals identified below are planned to participate in the production of this deliverable. The individual designated as the “Deliverable Lead” has overall responsibility for the production and submission of the deliverable as well as responding to client review comments within the timeframe specified in this DED.

Name/Title	Deliverable Role	Planned Involvement

Deliverable Review and Approval

The individuals identified below are planned to participate in the review and approval of this deliverable.

Name/Title	Role
	[SME, Signatory, Administrative, etc.]

Deliverable Development and Review Process

	Key Event	Deadline
1	[Submission of Draft Deliverable]	
2	[Initial Review and Comment]	
3	[Submission of Final Deliverable]	
4	[Review of Final Deliverable]	
5	[Final Approval of Deliverable]	

Deliverable Description and Requirements

[Provide a brief overview of the purpose of the deliverable and how it fits within the overall completion of the project (including the deliverable’s objectives and scope). Reference the name, version, and date of any document applicable to this deliverable. List the specific requirements for this deliverable from the procurement, Statement of Work, and/or contract. Provide the specific acceptance criteria for the deliverable. This information may be provided in text format or in the table format as demonstrated below.]

Deliverable:	<Deliverable Name>
Deliverable Description:	
Deliverable Reference:	[This may include a Schedule IV-B, statute, rule, contract, Statement of Work, etc.]
Deliverable Requirements:	
Format:	[If the deliverable is a document, Indicate the format of the document and any associated diagrams, spreadsheets (e.g., MS Word, MS Visio, MS Project, Adobe PDF, etc. Specify any specific format requirements such as text, point size, indentation, line spacing, or layout requirements such as page size, margin size, one/two-sided, binding, etc. Also indicate any specific submission requirements (hard copy, email, certified mail, etc.)]
Description of Deliverable Acceptance Criteria	

Deliverable Expectation Document Acceptance

The purpose of this Deliverables Expectation Document (DED), is to provide an outline of the expectations for approval of the identified project deliverable.

DMV Contract Number:		DED Number	
Deliverable Title:		Deliverable Number	
Deliverable Start Date:		Deliverable End Date:	
Est. Hours to Complete:	Click here to enter text.	Total Cost of Deliverable:	
		Retainage (if applicable):	
		Amount to be Invoiced:	

Deliverable Team Roles and Responsibilities

The individuals identified below are planned to participate in the production of this deliverable. The individual designated as the “Deliverable Lead” has overall responsibility for the production and submission of the deliverable as well as responding to client review comments within the timeframe specified in this DED.

Name/Title	Deliverable Role	Planned Involvement

Deliverable Review and Approval

The individuals identified below are planned to participate in the review and approval of this deliverable.

Name/Title	Role
	<i>[SME, Signatory, Administrative, etc.]</i>

Deliverable Development and Review Process

	Key Event	Deadline
1	<i>[Submission of Draft Deliverable]</i>	
2	<i>[Initial Review and Comment]</i>	
3	<i>[Submission of Final Deliverable]</i>	
4	<i>[Review of Final Deliverable]</i>	
5	<i>[Final Approval of Deliverable]</i>	

Deliverable Description and Requirements

[Provide a brief overview of the purpose of the deliverable and how it fits within the overall completion of the project (including the deliverable’s objectives and scope). Reference the name, version, and date of any document applicable to this deliverable. List the specific requirements for this deliverable from the procurement, Statement of Work, and/or contract. Provide the specific acceptance criteria for the deliverable. This information may be provided in text format or in the table format as demonstrated below.]

Deliverable:	<Deliverable Name>
Deliverable Description:	
Deliverable Reference:	<i>[This may include a Schedule IV-B, statute, rule, contract, Statement of Work, etc.]</i>
Deliverable Requirements:	
Format:	<i>[If the deliverable is a document, Indicate the format of the document and any associated diagrams, spreadsheets (e.g., MS Word, MS Visio, MS Project, Adobe PDF, etc. Specify any specific format requirements such as text, point size, indentation, line spacing, or layout requirements such as page size, margin size, one/two sided, binding, etc. Also indicate any specific submission requirements (hard copy, email, certified mail, etc.)]</i>
Description of Deliverable Acceptance Criteria	

Deliverable Acceptance Documentation Template

General Information

Project Name:	[Company]	Contract Number:	
Program Director:	[Subject]		
Program Manager:		Deliverable Number:	
Vendor:		Submitted Date:	
Deliverable Title:		Approval Date:	
Deliverable Billable \$ Value:		Invoice Amount:	

Deliverable Description and Acceptance Criteria

Deliverable Owner:	
Deliverable Description	
Deliverable Acceptance Criteria	

Deliverable Review and Approval Process

Process Event	Responsible Name(s)/Role(s)	Planned Date	Actual Date
Approval of acceptance criteria			
Submission of the deliverable for acceptance			
Deliverable review			
Deliverable acceptance and approval			

Additional Information

Deliverable Acceptance Criteria Approval – Customer Signature


I certify, by evidence of my signature below, that the above information is true and correct and accurately reflects the terms and conditions of the executed document on file.




Signature: _____ Date: _____
 Print Name: _____
 Title/Role: Chief Information Officer
 Agency: Florida Department of Corrections

Deliverable Log

All deliverables and change orders will be tracked utilizing the log template below:



CIMS Deliverable Log



Deliverable #	Status	Delivery Set	Deliverable/Task	Original Contract Date Due	New Delivery Date	Deliverable Owner	Actual Completion Date	Cost	10% Retainage 1st Year	10.5% Retainage 2nd and 3rd year	Payment Amount
	●	DED Started						\$0.00	\$0.00	\$11,072.00	\$02,210.48
	●	DED Sent						\$0.00	\$0.00	\$52,656.00	\$134,802.40
	●	Deliverable Sent						\$0.00	\$0.00	\$0.00	\$0.00
	●	Deliverable Approved						\$0.00	\$0.00	\$0.00	\$0.00
	●	Invoice Sent						\$0.00	\$0.00	\$0.00	\$0.00
	■	Completed						\$0.00	\$0.00	\$52,656.00	\$134,802.40
	●	Milestone						\$0.00	\$0.00	\$0.00	\$0.00
TOTALS:								\$0.00	\$0.00	\$80,384.00	\$331,821.28

Note: a Deliverable # indicates a contractual deliverable. Anything with the preface of "CP-" stands for "Change Proposal". All are tracked as deliverables.

Appendix C: Cost Benefit Analysis

The cost-benefit analysis (CBA) provides a detailed financial evaluation of the OBIS Modernization project, outlining the expected costs and benefits over the project lifecycle. This analysis includes cost projections, anticipated savings, return on investment (ROI), and payback periods.

Components of the CBA include:

- **Cost Projections:** Detailed estimates of project costs, including hardware, software, personnel, training, and operational expenses.
- **Anticipated Savings:** Quantification of expected savings resulting from improved efficiency, reduced maintenance costs, and enhanced productivity.
- **Return on Investment (ROI):** Calculation of the ROI to demonstrate the financial viability and long-term value of the project.
- **Payback Period:** Estimation of the time required to recoup the initial investment through cost savings and operational improvements.

See Attachments.

CBAForm 1 - Net Tangible Benefits

Agency Corrections Project Continuation of OBIS Modernization

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	\$1,863,885	-\$496,400	\$1,367,485	\$1,863,885	-\$496,400	\$1,367,485	\$1,863,885	-\$496,400	\$1,367,485	\$1,863,885	-\$1,360,600	\$503,285	\$1,863,885	-\$1,360,600	\$503,285
A.b Total Staff	13.00	-4.00	9.00	13.00	-4.00	9.00	13.00	-8.00	5.00	13.00	-8.00	5.00	13.00	-8.00	5.00
A-1.a. State FTEs (Salaries & Benefits)	\$503,285	\$0	\$503,285	\$503,285	\$0	\$503,285	\$503,285	\$0	\$503,285	\$503,285	\$0	\$503,285	\$503,285	\$0	\$503,285
A-1.b. State FTEs (#)	5.00	0.00	5.00	5.00	0.00	5.00	5.00	0.00	5.00	5.00	0.00	5.00	5.00	0.00	5.00
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)	\$1,360,600	-\$496,400	\$864,200	\$1,360,600	-\$496,400	\$864,200	\$1,360,600	-\$496,400	\$864,200	\$1,360,600	-\$1,360,600	\$0	\$1,360,600	-\$1,360,600	\$0
A-3.b. Staff Augmentation (# of Contractors)	8.00	-4.00	4.00	8.00	-4.00	4.00	8.00	-8.00	0.00	8.00	-8.00	0.00	8.00	-8.00	0.00
B. Application Maintenance Costs	\$0	\$13,733,528	\$13,733,528	\$0	\$15,174,472	\$15,174,472	\$0	\$23,098,798	\$23,098,798	\$0	\$23,098,798	\$23,098,798	\$0	\$23,098,798	\$23,098,798
B-1. Managed Services (Staffing)	\$0	\$13,733,528	\$13,733,528	\$0	\$15,174,472	\$15,174,472	\$0	\$15,174,472	\$15,174,472	\$0	\$15,174,472	\$15,174,472	\$0	\$15,174,472	\$15,174,472
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-4. Other <i>Operations & Maintenance Deliverable</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$7,924,326	\$7,924,326	\$0	\$7,924,326	\$7,924,326	\$0	\$7,924,326	\$7,924,326
C. Data Center Provider Costs	\$6,150,543	\$1,266,472	\$7,417,015	\$6,150,543	\$1,456,443	\$6,150,543	\$6,150,543	\$1,674,909	\$6,150,543	\$6,150,543	-\$4,224,398	\$1,926,145	\$0	\$2,215,067	\$2,215,067
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>Mainframe Hosting</i>	\$6,150,543	\$0	\$6,150,543	\$6,150,543	\$0	\$6,150,543	\$6,150,543	\$0	\$6,150,543	\$6,150,543	-\$6,150,543	\$0	\$0	\$0	\$0
C-6. Other <i>Cloud Hosting</i>	\$0	\$1,266,472	\$1,266,472	\$0	\$1,456,443	\$1,456,443	\$0	\$1,674,909	\$1,674,909	\$0	\$1,926,145	\$1,926,145	\$0	\$2,215,067	\$2,215,067
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$8,014,428	\$14,503,600	\$22,518,028	\$8,014,428	\$16,134,515	\$22,692,500	\$8,014,428	\$24,277,307	\$30,616,826	\$8,014,428	\$17,513,800	\$25,528,228	\$1,863,885	\$23,953,265	\$25,817,150
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$94,729,185			\$0	
F-1 <i>1 - Mobile and Web-based System</i>											\$16,404,399				
F-2 <i>2 - Modern Architecture</i>											\$8,313,754				
F-3 <i>3 - Data Analytics</i>											\$21,378,311				
F-4 <i>4 - Workload Management</i>											\$43,249,001				
F-5 <i>5 - Interoperable System</i>											\$4,084,315				
F-6 <i>6 - Retain Skilled Support Staff</i>											\$1,299,404				
Total Net Tangible Benefits:		(\$14,503,600)			(\$16,134,515)			(\$24,277,307)			\$77,215,384			(\$23,953,265)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level	
Order of Magnitude	<input checked="" type="checkbox"/>	Confidence Level	50%
Placeholder	<input type="checkbox"/>	Confidence Level	

A	B		C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	
1	Corrections		Continuation of OBIS Modernization																		
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.					CBA Form 2A Baseline Project Budget																
2					FY2025-26			FY2026-27			FY2027-28			FY2028-29			FY2029-30			TOTAL	
3					\$ 2,000,000			\$ 65,224,202			\$ 1,908,720			\$ -			\$ -			\$ 90,419,922	
4	Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL	
5	Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ 6,148,560	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 6,148,560
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ 5,138,440	0.00	\$ 1,908,720	\$ -	0.00	\$ 1,908,720	\$ -	0.00	\$ 1,908,720	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 10,864,600
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
12	Hardware purchases not included in data center services.	Hardware	OCO	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ 9,060,000		\$ 91,280	\$ -		\$ 56,986,884	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ 66,138,164
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
17	Other contracted services not included in other categories.	Other Services	Contracted Services	\$ 940,000		\$ -	\$ -		\$ 6,328,598	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ 7,268,598
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
20	Other project expenses not included in other categories.	Other Expenses	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
21	Total				\$ 21,287,000	0.00	\$ 2,000,000	\$ -	0.00	\$ 65,224,202	\$ -	0.00	\$ 1,908,720	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 90,419,922

CBAForm 2 - Project Cost Analysis

Agency	<u>Corrections</u>	Project	<u>Continuation of OBIS Modernization</u>
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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 (*)	\$2,000,000	\$65,224,202	\$1,908,720	\$0	\$0	\$90,419,922
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$23,287,000	\$88,511,202	\$90,419,922	\$90,419,922	\$90,419,922	
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	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$0	\$0	\$0	\$0	\$0	\$0
CUMULATIVE INVESTMENT	\$0	\$0	\$0	\$0	\$0	\$0

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

CBAForm 3 - Project Investment Summary

Agency	<u>Corrections</u>	Project	<u>Continuation of OBIS Mod</u>
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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	\$2,000,000	\$65,224,202	\$1,908,720	\$0	\$0	\$90,419,922
Net Tangible Benefits	(\$14,503,600)	(\$16,134,515)	(\$24,277,307)	\$77,215,384	(\$23,953,265)	(\$1,653,303)
Return on Investment	(\$37,790,600)	(\$81,358,717)	(\$26,186,027)	\$77,215,384	(\$23,953,265)	(\$92,073,225)
Year to Year Change in Program Staffing	(4)	(4)	(8)	(8)	(8)	

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)	(\$89,639,582)	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 D: Business Process Documents

The business process documents provide detailed documentation of the current (As-Is) and proposed (To-Be) business processes. These documents include flowcharts, workflows, and process maps that illustrate the transition from the existing state to the desired future state, highlighting improvements and efficiencies gained through modernization.

Highlights of the business process documents include:

- **Current Processes (As-Is):** Comprehensive mapping of existing business processes, identifying inefficiencies and areas for improvement.
- **Proposed Processes (To-Be):** Design of optimized business processes that leverage new technologies and best practices to enhance efficiency and effectiveness.
- **Process Maps and Flowcharts:** Visual representations of process flows and interactions to facilitate understanding and analysis.

See Attachments.



State of Florida
Department of Corrections
Office of Information Technology

Community Corrections Core Business Process Analysis

Core Process G: Intake Offender Process

Author:	North Highland
Vendor:	The North Highland Company
Version:	4.0
Creation Date:	1/23/2008
Last Accessed:	9/19/2024 12:18 PM
File Name:	Community Corrections - Business Process Analysis - Intake Process w Subprocesses - v4.0



Document Control

Change Record

Date	Author	Version	Change Reference
1/23/2008	North Highland	0.01 (Draft)	Created
04/07/2008	North Highland	2.0	Revised based on Jenny Nimer feedback.
10/30/2016	North Highland	3.0 (Draft)	Updated documents reflecting any business process changes from the 2008 study
11/18/2016	North Highland	4.0	Updated documents reflecting FDC feedback on draft

Review

Name	Role	Date
Chuck Beckett	NH Quality Control Review	10/28/2016
FDC	Client review of draft document	11/10/2016
Tad McDonald	NH Quality Control Review	11/17/2016



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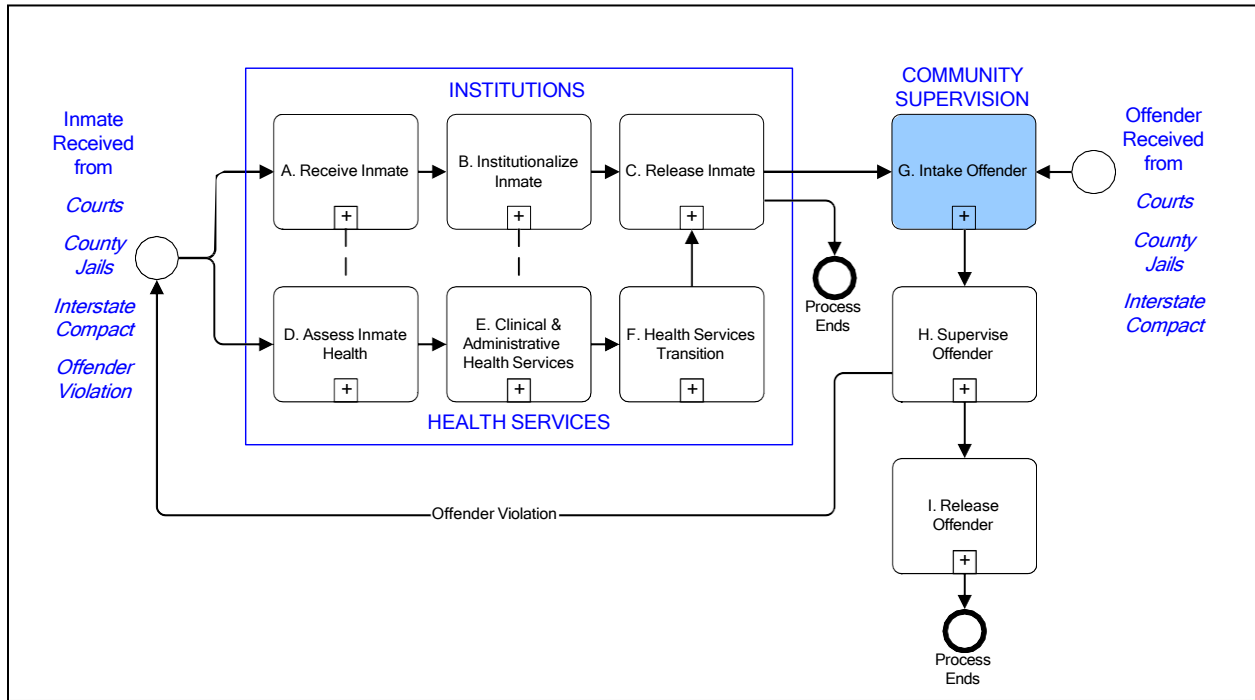
1 DC CORE BUSINESS PROCESSES

1.1 THE PURPOSE AND SUBJECT OF THIS ANALYSIS

The Department of Corrections (Department, DC) is carrying out an analysis of its major business processes. The primary intent of this activity is to establish the foundation for the development of a new business system, which will replace the Offender-Based Information System (OBIS); the Computer Assisted Reception Process (CARP) system was subsumed by OBIS after the completion of the 2008 analysis. This analysis will also result in a set of functional and technical requirements for the new business system.

The figure below shows the entire DC set of nine core business processes examined during this project; identified by the letters A through I, and the general sequence in which they are carried out. The box highlighted in blue indicates the core business process presented in this document.

Figure 1.1-1 Department of Corrections Core Business Processes





Florida Department of Corrections

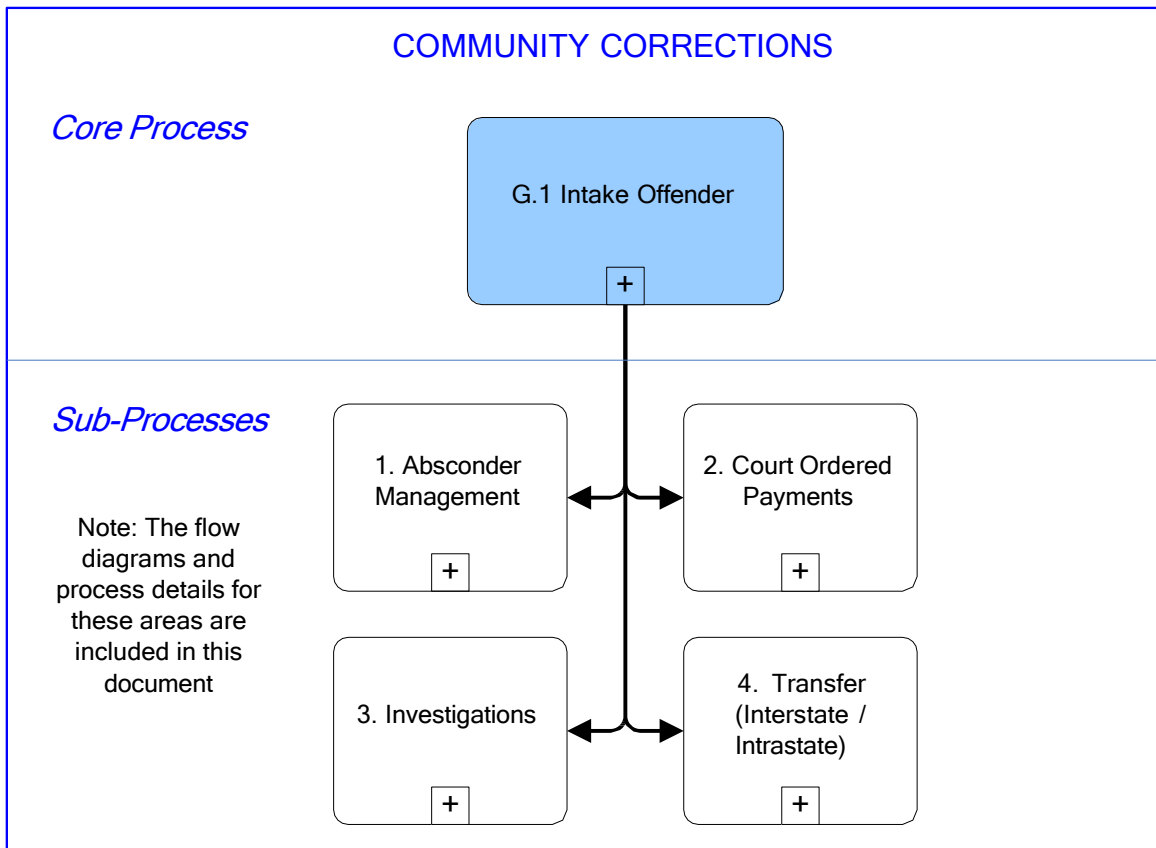
Community Corrections Business Process Analysis



For clarity and convenience, the Community Corrections Intake process has been divided into four numbered sub-processes. Since these sub-processes, Absconder Management, Court Order Payments, Investigations and Transfer could occur in any of the three core processes; Intake, Supervise or Release, each of the numbered sub-processes is described in detail in the Intake process document.

The figure below identifies the Intake Offender core process and four sub-processes name and numbered four sub-processes.

Figure 1.1-2 Intake Offender Core Business Processes





2 INTAKE OFFENDER

This document was first created in 2008 and has been modified in 2016 by members of the Community Corrections staff to ensure it comports with current (2016) business practices. Where changes have been made, they have been accepted to this document and a notation has been entered to indicate a modification has been made. Refer to project artifacts to see the original documents from 2008.

2.1 OVERVIEW

The Community Corrections process of admitting (Intake Offender) offenders into supervision follows a set process order of activities and is conducted in the same manner for each offender. These activities are detailed on a flow diagram and corresponding tables in the following section.

More than Half of those on Community Supervision (60.9%) Admitted for Felony Probation

- Only 8.4% of FY Community Supervision admissions came directly from prison; the rest are serving original sentences.
- The majority of offenders serving an original sentence were admitted to community supervision in FY 2014-15 for probation (50,593 or 60.9%), pretrial intervention (10,169 or 12.2%), or drug offender probation (9,095 or 10.9%), community control (6,221 or 7.5%).
- Conditional release accounted for most (5,043 or 72.2%) of the post release supervision admissions, followed by addiction recovery supervision (1,129 or 16.2%) and parole (793 or 11.4%).

http://www.dc.state.fl.us/pub/annual/1415/stats/csa_month.html

Table 2.1-1 Offenders Admissions by Quarter

Admissions by Quarter						
	1st Quarter (Jul - Sep 14)	2nd Quarter (Oct - Dec 14)	3rd Quarter (Jan - Mar 15)	4th Quarter (Apr - Jun 15)	Total	Percent
Original Sentence						
Probation Total	13,236	12,448	12,580	12,329	50,593	60.9%
Felony Probation	11,814	11,143	11,191	10,976	45,124	54.3%
Misdemeanor Probation	1,034	961	1,029	1,013	4,037	4.9%
Administrative Probation	138	96	97	105	436	0.5%
Sex Offender Probation	250	248	263	235	996	1.2%
Drug Offender Probation Total	2,337	2,229	2,218	2,311	9,095	10.9%
Community Control Total	1,599	1,587	1,571	1,464	6,221	7.5%
Community Control	1,566	1,562	1,551	1,442	6,121	7.4%
Community Control - Sex Offender	33	25	20	22	100	0.1%
Pretrial Intervention Total	2,559	2,383	2,629	2,598	10,169	12.2%
Pretrial Intervention	1,906	1,789	1,979	1,871	7,545	9.1%
Pretrial Intervention - Drug Court	653	594	650	727	2,624	3.2%



Florida Department of Corrections

Community Corrections Business Process Analysis



Original Sentence Total	19,731	18,647	18,998	18,702	76,078	91.6%
Post-Prison Release						
Parole Total	201	220	187	185	793	1.0%
Florida Parole	2	0	6	1	9	0.0%
Other State Parole	199	220	181	179	779	0.9%
Unknown Parole	0	0	0	5	5	0.0%
Conditional Release Total	1,250	1,286	1,294	1,213	5,043	6.1%
Addiction Recovery Total	278	246	297	308	1,129	1.3%
Other Post-Prison Release Total	4	1	8	8	21	0.0%
Post-Prison Release Total	1,733	1,753	1,786	1,714	6,986	8.4%
Grand Total	21,464	20,400	20,784	20,416	83,064	100.0%



Florida Department of Corrections

Community Corrections Business Process Analysis



2.1.1 Purpose and Objectives of this Process

The purpose of the core process Community Corrections – Intake Offender is to conduct identification and assignment of offenders placed on supervision.

The objectives of this process are to:

- Receive/gain offenders coming directly from court or being released from an Institution onto conditional release or court ordered supervision.
- Manage the various referral sources including deferred prosecutions, sentencing by the court or the releasing authority, interstate compact, other State entities as well as institutions, prosecutors, and the Florida Commission on Offender Review. Offenders may be sentenced to supervision types as described in Florida Statutes 944, 947, 948, 949.
- Initiate the completion of the various forms included with the case file.
- Input appropriate data in OBIS screens and case notes across all supervision activities.

2.1.2 Beginning and Ending Points

Beginning Point:

- Inmate Released from Prison or Court Orders Offender to Supervision (Referral Received for Processing)

Ending Point:

- Assign offender to Field Office



2.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 2.2-1 lists the activities that make up the Intake Offender Core Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Diagrams with a plus sign (+) signify a sub-process. A sub-process will have its own activity diagram and contains two numbers separated by a period. The first number corresponds to the original activity number and the second number, after the period, is the sequence order in which that sub-process' activity is performed.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in tables presented in this section.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 2.2-1 Intake Offender Activities



Florida Department of Corrections

Community Corrections Business Process Analysis



Core Process G – Intake Offender Activities			
Index Number	Activity Label	Activity Description	Actors
1.	Inmate Released from Prison	<p>An Inmate is released to supervision by an Institution. Prior to release, for certain inmates/offenders an investigation is conducted to determine where the offender will reside and to which Field Office the inmate will report. At the time of release from incarceration, paperwork will detail the type of supervision the offender is required to complete once released.</p> <p>The Inmate Release Investigation Report is completed prior to the inmates release and contains the reporting location and the sentencing details.</p> <p>Upon release, the inmate (now classified as an offender) reports to the appropriate Field Office or Intake Office for intake processing and is instructed to bring their Record of Inmate Discharge.</p> <p>The Intake Office maintains knowledge of all inmates that are to report to the Field Office for processing by either reviewing OBIS reports or investigations of releases. Any inmate “No Shows” will be investigated.</p>	<p>Institutions</p> <p>Intake Operations Staff</p>
2.	Court Orders Offender to Supervision	<p>The courts can order an offender to undergo supervision in one or two ways. Offenders convicted of a crime can be sentenced to supervision directly from court and ordered to appear at an Intake Office for supervision or supervision can be ordered upon an offender’s release from the local jail.</p> <p>In some courts, a Court Officer (representative of the Field Office for the area) may be present at the time of supervision sentencing in order to expedite and instruct offenders that have been ordered to supervision from court.</p> <p>The Intake Office maintains knowledge of all offenders that are to report to the office for processing by reviewing court data sheets or court calendars. Any offender “No Shows” will be investigated.</p> <p>The “Probation Order” is the official document that must be generated and signed by the offender and judge. However depending on the court procedures, this document may arrive at the Field Office at any time during the three core processes (Intake, Supervision, and Release).</p>	<p>Court / Jail</p> <p style="padding-left: 20px;">(Judge, Clerk or Court Officer)</p> <p>Intake Operations Staff</p> <p>Field Office</p> <p style="padding-left: 20px;">(Field Officer /Supervisor)</p>



Florida Department of Corrections

Community Corrections Business Process Analysis



Core Process G – Intake Offender Activities			
Index Number	Activity Label	Activity Description	Actors
3.	Receive Referral for Processing	<p>The Court Data Sheet and the Court Calendar are tools used by the Court Officer to instruct the offender and to direct the offender to the appropriate office for intake processing.</p> <p>Additionally, some Field Offices across the state have access to the court’s data management system. Once the order is received at the Field Office the offender will sign and then the original document is sent back to the court for filing with the Clerks’ Office and a copy is placed in the offender’s file.</p> <p>If the offender is sentenced to supervision in a court that has an attached Intake Office, steps 3-7 are completed in that Intake Office in the court house and the offender is instructed to report directly to their assigned Field Office.</p> <p>Otherwise, the offender is instructed to report to the appropriate Intake Office or Field Office with a Record of Inmate Discharge form from prison, initial reporting instructions and any court paperwork that was given to the offender by the court or institution.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p> <p>Court / Jail Institutions</p>
4.	Input/Validate Offender Data	<p>Once an offender arrives at an Intake office, an Intake Staff member (or Field Office staff – depending on staffing and size of office) reviews the court documents, and reporting instructions. The offender is provided the Offender Information Sheet and Reporting Instructions to complete.</p> <p>The Intake Staff verifies the identity of the offender, insures the offender is assigned a DC number in OBIS, inputs the sentence structure and verifies the criminal offenses of the offender. Either the Rapid ID or (E-Agent) electronic applications are utilized to verify fingerprints and photo identification. Additionally, OBIS can be accessed to view an offender’s prior criminal history, analyze and interpret sentencing conditions of supervision, and enter new offender information received during the intake process.</p> <p>Sex Offender Residence Review (SORR) is conducted at this time to ensure residence is not located in a prohibited location and the data is updated in GIS/SORR.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p>



Florida Department of Corrections

Community Corrections Business Process Analysis



Core Process G – Intake Offender Activities			
Index Number	Activity Label	Activity Description	Actors
5.	Conduct Warrant Check	<p>The Intake Staff search local and national databases to identify whether the offender has any present warrants utilizing either (E-Agent) or Rapid ID systems.</p> <p>If a warrant does exist, the Field Officer or Supervisor immediately notifies the appropriate law enforcement authorities to apprehend the offender.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Law Enforcement</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p>
6.	Instruct Offender	<p>The Intake Office instructs the offender by reminding them to register at the local law enforcement office and where to report to their assigned Field Officer. The Intake Staff will also review the Offender Information Sheet and Reporting Instructions. Any new information gained in the review or instruction of the offender will be entered into OBIS;</p> <p>The offender is “gained” in OBIS to the appropriate Field Office Supervisor.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p> <p>Law Enforcement</p>
7.	Assign Offender to Field Officer	<p>The Supervisor of the Field Office is alerted of a new offender being assigned to their Field Office requiring assignment to a specific Field Officer.</p> <p>The Supervisor assigns the offender to a specific Field Officer based on caseload ratios for caseload type established by statute and the offender is “gained” in OBIS to that specific Field Officer. Depending on the procedures of the office, the Intake staff, Criminal Justice Information Technician (CJIT), Parole Probation Specialist, or Supervisor (or other support personnel) enter the actual OBIS entry to assign (gain) the offender to a Field Officer.</p> <p>The offender reports to the Field Officer to receive detailed instructions on the supervision terms and conditions.</p>	<p>Intake Operations Staff</p> <p>(Intake or Field Office personnel)</p> <p>Field Office</p> <p>(Field Officer /Supervisor)</p>

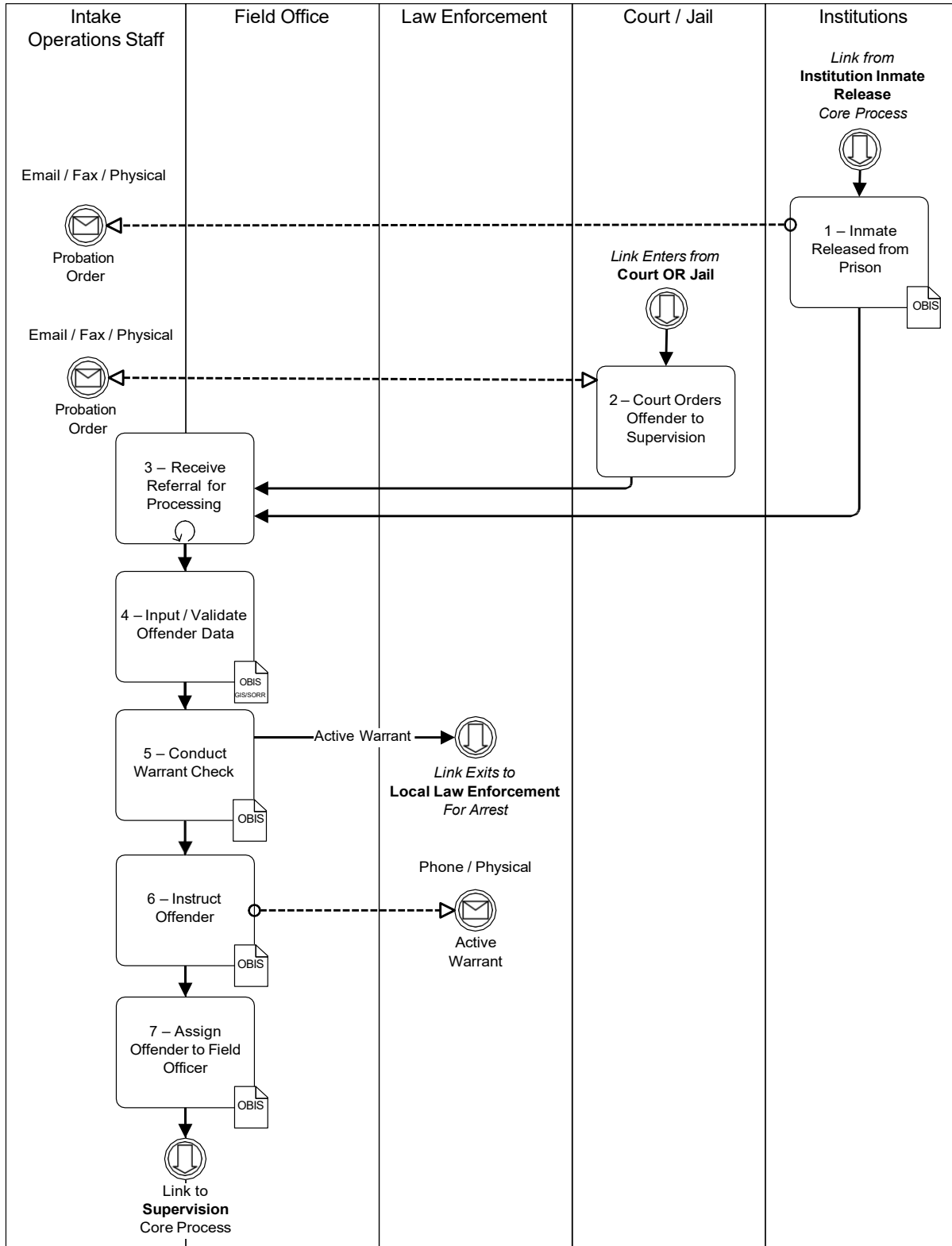


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Figure 2.2-1 Intake Offender Core Process As-Is Workflow





3 ABSCONDER MANAGEMENT SUB-PROCESS

3.1 OVERVIEW

3.1.1 Purpose and Objectives of this Sub-Process

The purpose of the sub-process Community Corrections – Absconder Management Sub-Process is to record, track and locate offenders who have absconded. The term “Absconder” refers to a person who ceases to make himself available for supervision, after attempts to locate and make contact with the offender have been unsuccessful.

The objectives of this Sub-Process are:

- Classify the offender as an absconder
- Identify, investigate, track and coordinate the apprehension of absconders
- Work in conjunction with state and local law enforcement, Field officers in the field, other Absconder Units and Task Forces, throughout the country in locating and apprehending absconders.
- Post absconder information to the Department’s public and internal web sites
- Conduct investigations
- Reduce the number of absconders statewide

3.1.2 Beginning and Ending Points

Beginning Point:

- Offender absconds (Field Officer cannot locate)

Ending Point:

- Absconder located and local authorities notified (if necessary)
- Search for absconder is halted on the basis: No further information or jurisdiction, extradition issues, incarceration or death, etc.



3.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 3.2-1 lists the activities that make up the Absconder Management Sub-Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 3.2-1 Absconder Management Sub-Process Activities

Sub-Process 1 – Absconder Management			
Index Number	Activity Label	Activity Description	Actors
1.1	Offender Absconds	<p>After an investigation to locate the offender by the Field Officer has been completed and the offender cannot be located, the offender is believed to have absconded.</p> <p>If this offender’s risk level is high (type that requires immediate attention e.g., sex or career offenders etc., the Field Officer may issue a “Be On the Look Out” (BOLO) via an FCIC administrative message request submitted to law enforcement.</p>	<p>Field Office</p> <p>Absconder Unit</p>



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Sub-Process 1 – Absconder Management			
Index Number	Activity Label	Activity Description	Actors
1.2	Provide Tips	<p>Tips may be received in the form of a phone call or email sent to the Absconder Unit. Other Field Offices may send investigations and Cold Case investigations.</p> <p>Both the Field Officer and the Absconder Unit receive tips and may investigate the information provided. There are a variety of tip sources and information utilized to gain information about the location of the absconder; such as acquaintances, family members, government agencies, etc.</p>	<p>External Providers of Information</p> <p>Absconder Unit</p> <p>Field Office</p>
1.3	Open Investigation	<p>As a result of a tip received by the Absconder Unit or a Cold Case investigation, the tip is entered on the Absconder Tracking Screen by the Absconder Unit. When the tip is entered in OBIS, an investigation is automatically opened on the Investigations for offender screen. At the same time an entry is automatically inserted in the offender's case notes in OBIS, providing details of the tip and the investigation. The investigation will remain assigned to the Absconder Unit member who entered it into OBIS or may be reassigned by the Absconder Unit Supervisor to another member of the Absconder Unit.</p> <p>Note: The Absconder Unit's investigations are tracked in ITS but are entered on IT05 which is only for the Absconder Unit. The Field Officer may elect to open their own investigation in ITS, however it is not done on IT05 (Absconder Tracking Screens).</p>	<p>Field Office</p> <p>Absconder Unit</p> <p>External Providers of Information</p>



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Sub-Process 1 – Absconder Management			
Index Number	Activity Label	Activity Description	Actors
1.4	Create Violation Documents	<p>The Field Officer creates the Violation documents (e.g., affidavit, warrant, and violation report) that are sent to court for a judge’s signature. If an offender has an existing open violation from another violation, then the documents is amended to include absconding.</p> <p>Not every violation becomes an automatic violation notification; some are at the discretion of the parole officer, etc.</p>	Field Office Courts
1.5	Judge Signs Warrant	The judge signs the warrant to allow immediate arrest of the offender once they are located.	Courts Field Office
1.6	Investigation to Locate Absconder	<p>The Absconder Unit utilizes additional resources for absconder investigations that are not available to the Field Officer. These additional resources may include; data received from other agencies, various research tools, and data exchange relationships. (e.g., JusticeXchange, Department of Children and Families)</p> <p>All research information is entered on the Absconder investigation in OBIS.</p>	Absconder Unit



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Sub-Process 1 – Absconder Management			
Index Number	Activity Label	Activity Description	Actors
1.7	Change Offender Status	<p>Once the warrant is signed by the judge, the offender’s status is changed in OBIS to “Absconder”, which is a loss status. Once the offender has been located, including incarceration or found to be deceased, a gain from absconding is completed and the offender is placed in the appropriate non supervised status (e.g., jail pending court action, deceased, etc.). The Absconder Unit posts information regarding the offender to the Absconder portion of the public website.</p> <p>When changing the offender status from absconder to another status, an automatic email is sent to the Absconder Unit. If an Absconder Investigation is still opened, the Absconder Unit reviews the case notes and indicates whether the offender has been captured or cleared in the Absconder Investigation. Then the Absconder Investigation is closed.</p> <p>In rare cases the Absconder Unit may change the offender status in OBIS instead of the Field Office; e.g., non-extraditable offender.</p>	<p>Field Officer</p> <p>Absconder Unit</p>



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Sub-Process 1 – Absconder Management

Index Number	Activity Label	Activity Description	Actors
1.8	Close / Extend / Suspend Investigation	<p>At this juncture, the Absconder Unit makes the decision to either move forward, close, extend or suspend the investigation. If the investigation has not been closed within 30 days, the absconder's investigation appears on a report for the Absconder Unit to take action to either close, extend, or suspend the investigation.</p> <p>If a tip is still being investigated then the Investigation may remain open.</p> <p>A search for an absconder is halted on the basis that there is no further information or jurisdiction, infeasible due to extradition issues, incarceration or death validated etc. If there is no probability of any further information then the Absconder Investigation is closed.</p>	Absconder Unit

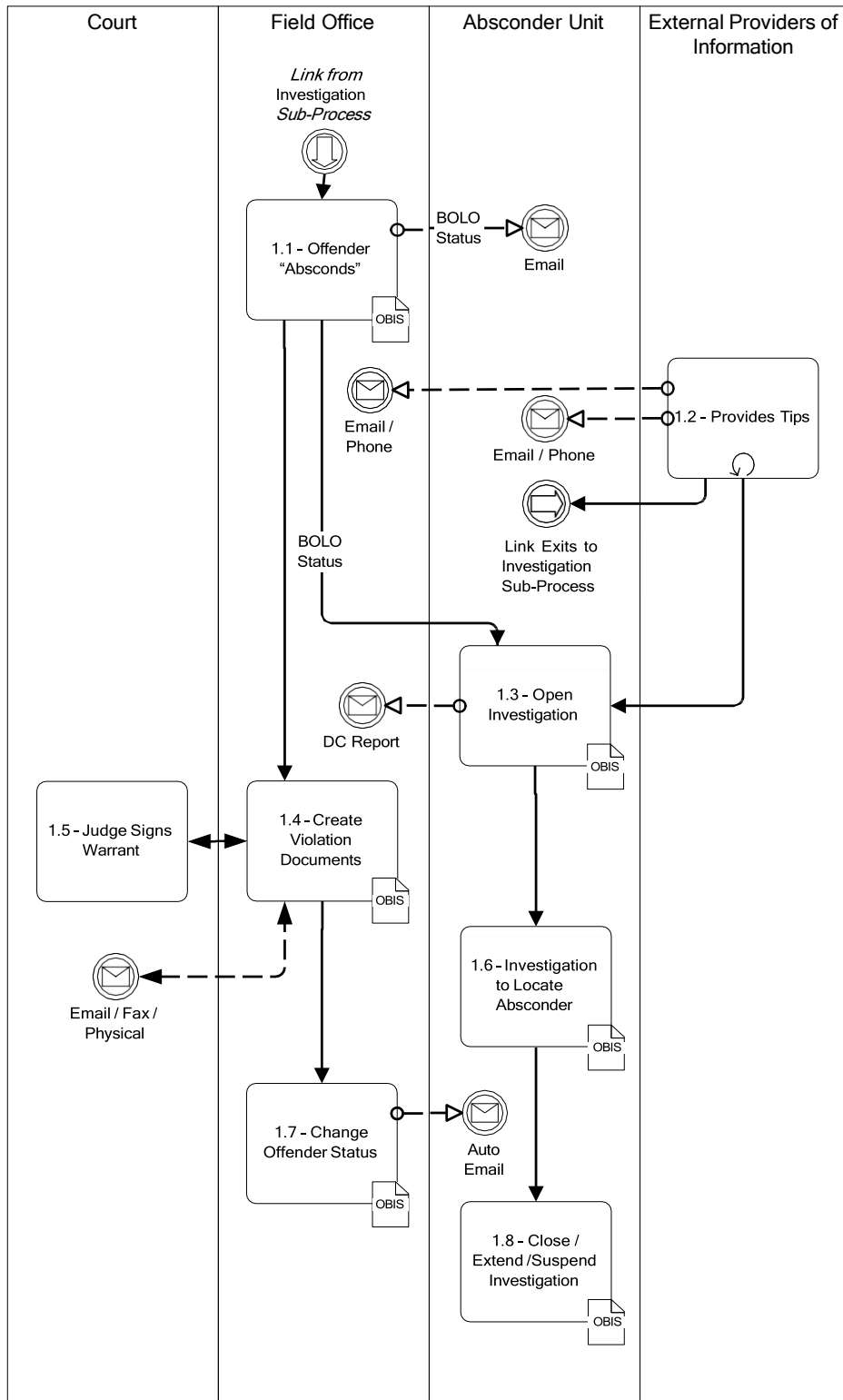


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Figure 3.2-1 Absconder Management Sub-Process As-Is Workflow





4 COURT ORDERED PAYMENTS

4.1 OVERVIEW

4.1.1 Purpose and Objectives of this sub-process

The purpose of the Community Corrections – Court Ordered Payment System or “COPS” sub-process is to manage payments ordered by the courts for victim restitution, court costs, cost of supervision, etc.

The objectives of this process are:

- Process payments for court ordered financial obligations and refunds for offenders
- Process disbursement checks to assigned individuals and/or businesses
- Track offender financial obligations

4.1.2 Beginning and Ending Points

Beginning Point:

- Submit payment

Ending Point:

- Financial obligations cleared



4.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 4.2-1 lists the activities that make up the Court Ordered Payments sub-process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

The dotted line box surrounding the process activities is meant to be inclusive of both activities and organizational elements and indicates these activities may occur in many places and be performed by many different roles.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 4.2-1 Court Ordered Payments Activities

Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.1	Submit Payment	<p>The offender is ordered by a sentencing authority or releasing authority to pay financial obligations for a variety of items; e.g., victim restitution, court costs, fines, cost of supervision, drug testing etc. The offender is discouraged in making any payments directly to the Field Office and is encouraged to submit payment through JPay. Payments can be submitted in four ways through the vendor JPay: electronically, phone, mail order, or pay at a participating money wire facility (i.e. Walmart). Personal checks are accepted only if so ordered by the sentencing authority.</p> <p>COPS can't disburse or handle more than 499 payees in a single transaction.</p>	<p>Offender</p> <p>Field Office</p> <p>COPS Accounting</p> <p>JPAY</p>



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.2	Payment Received	<p>If the payment is received by the Field Office, it is receipted through OBIS by the Field Office.</p> <p>If the Field Office accepts the payment, the payment is recorded in OBIS, an OBIS receipt is given to the offender. For any payments accepted in the Field Office, the Field Office staff deposit those payments directly into the COPS bank account.</p> <p>If a DC number has not been provided or is not correct, manual research is done to match the name to the DC number in OBIS.</p> <p>If anything is wrong with the payment and it cannot be processed, an email is sent to the assigned Field Officer and if possible the payment is sent back to the offender.</p> <p>Payments submitted by the offender through JPAY are received in payment batch files electronically. These payment batch files are loaded electronically into OBIS nightly and processed during an OBIS nightly batch job seven days a week. Each night OBIS provides an updated list of DC numbers and names to the payment vendor so that the payment vendor can verify the accuracy of the DC numbers before accepting the payments.</p> <p>ItemAge files are loaded through the same nightly OBIS batch job however only five days a week.</p>	<p>Field Office</p> <p>COPS Accounting</p> <p>Bank</p>



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.3	Payment Accepted	<p>If the payment is accepted and cannot be matched to a DC number, the unidentified funds are posted to a dummy DC number for that region and not disbursed in OBIS. These funds are held for a year. After this time if the funds still cannot be posted to an offender, the funds are moved to the general revenue account or a Crimes Compensation Account, if ordered by the court.</p> <p>If the payment cannot be accepted for any reason an email is sent to the Field Office by COPS Accounting as notification. Once the Field Office Supervisor receives the email, an investigation is opened and assigned to a Field Officer if appropriate.</p>	COPS Accounting Field Office Offender Bank
2.4	Payment Identified	<p>The offender’s DC number is identified and the payment is processed into OBIS.</p> <p>If there was an issue identified with the payment by COPS Accounting and the issue is resolved by the Field Officer, an email is sent back to COPS Accounting with the details and the payment then can be processed to the offender’s account, etc.</p>	COPS Accounting Field Office
2.5	Payment Deposited	<p>Payments received and receipted in OBIS by the Field Office are not mailed to COPS Accounting. The Field Office deposits those payments into the bank.</p>	COPS Accounting Field Office Offender Bank
2.6	Funds Cleared	<p>COPS Accounting pulls the daily banks statement from the bank’s web site. They verify which deposits were processed, amount of all the deposits and the accuracy of the deposits.</p>	Bank COPS Accounting



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.7	Funds Disbursed	<p>COPS Accounting makes an entry in OBIS to release a payment batch for processing.</p> <p>An OBIS job is processed automatically after hours five days a week that disburses the funds (by offender) to each payee.</p> <p>Payees are previously created with Payee ID's during the Intake process in OBIS. Centralized payee ID's are created by the Community Corrections Central Office when the payee has requested a main account for all payments; e.g., for a private business for restitution or courts for court costs etc.</p> <p>These payee ID's are utilized during COPS entry to link an offender's financial obligation to the payee in OBIS.</p>	<p>COPS Accounting</p> <p>Bank</p> <p>Payee</p>
2.8	Check Received	<p>A batch file is created nightly (5 days a week) by OBIS and is downloaded from OBIS by COPS Accounting for check printing the following morning. This batch file is processed through "EZ PaySuite" third party check printing software.</p> <p>Once the checks are printed an OBIS file is created containing the details of checks issued and voided. The file is electronically submitted to the bank daily five days a week by COPS Accounting.</p> <p>Any refunds due to the offender, greater than \$10.00 are processed daily.</p> <p>Checks are picked up by Novitex Mailing Services as the presorting and mailing services contractor.</p>	<p>COPS Accounting</p> <p>Bank</p> <p>Payee</p>



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
2.9	Financial Obligation Cleared	<p>As part of the on-going supervision of the offender, the assigned Field Officer regularly reviews the payments in OBIS and the status with the offender (OFOA report).</p> <p>The court ordered financial obligation is to be paid in full three months (90 days) before an offender is released from supervision. If an obligation is not paid in full, a judge can convert the restitution or any obligation owed to the court over to a civil lien and then the released offender makes payments directly to the court clerk, thereby reducing the obligation to zero in OBIS for the offender.</p>	Payee Offender
2.10	Returned or Non-cashed Checks	<p>Checks are regularly returned to COPS Accounting for address changes or refusals/refunds from payees. COPS Accounting notifies Community Corrections Field Office so that Community Corrections Field Office can make every effort to deliver the funds to the payee.</p> <ol style="list-style-type: none"> 1. If an address change notification is received from the USPS or the payee, the appropriate staff of Community Corrections Field Office will make the address change in OBIS and open the account so funds can continue to disburse. 2. If the offender is still on active supervision or recently terminated (less than a year) and there is no new address for the payee in OBIS, an email is sent to the Field Office for a new address. The check is voided and the payee account is put in deferred status in OBIS. This will prevent checks from being mailed until the address is corrected in OBIS. After the address is changed, the Field Office will reopen the account so that the funds can re-disburse. 3. If the payee refuses to accept payment, money will continue to be allocated until the obligation is paid in full. Funds will be sent to 	COPS Accounting Field Office Payee



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Sub-Process 2 – Court Ordered Payments Activities			
Index Number	Activity Label	Activity Description	Actors
		<p>general revenue when the offender’s supervision is terminated. If the payee refunds an overpayment the Field Officer is notified and will adjust the obligation balance. The funds will be re-disbursed to other available payees. If the offender has paid all obligations the funds may be refunded to the offender.</p> <p>4. If the offender’s supervision has been terminated for longer than a year and the check is returned or is not cashed, the field officer would establish a Crimes Compensation account if ordered by the court or the check is voided and the funds are posted to the general revenue account. If the payee makes an inquiry and provides a new mailing address the funds are re-disbursed to the payee.</p> <p>5. An OBIS report is run by COPS Accounting for any payees that have not cashed their checks within a year. These checks are voided and processed as in 1 through 3 above.</p>	

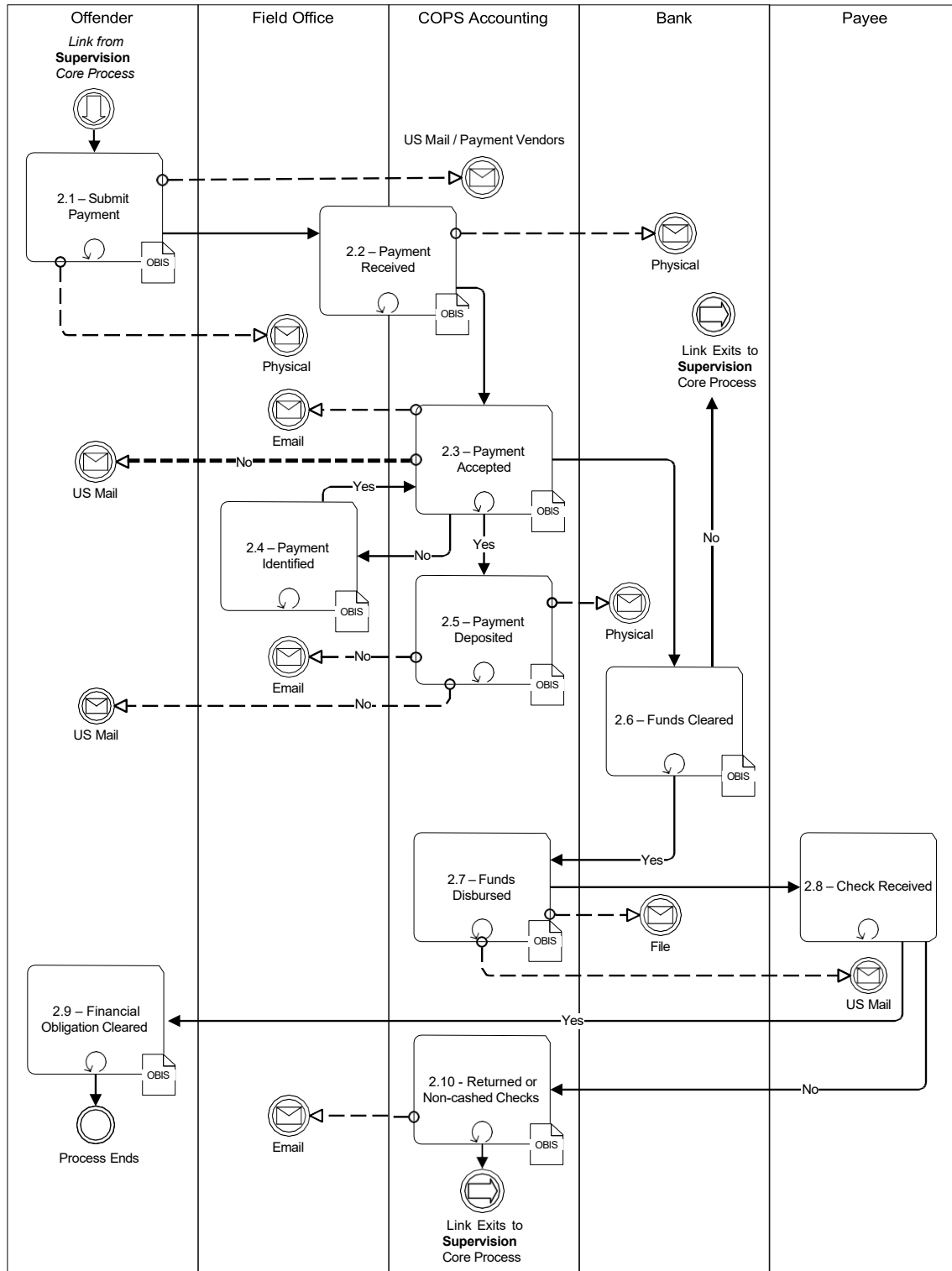


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Figure 4.2-1 Court Ordered Payments Sub-Process As-Is Workflow





5 INVESTIGATIONS SUB-PROCESS

5.1 OVERVIEW

5.1.1 Purpose and Objectives of this process

The purpose of the sub-process Community Corrections – Investigation is to track and complete various types of offender investigations assigned to Field Officers and/or Field Office Supervisors.

The objectives of this process are:

- To provide offender data from requests for information from courts, other agencies, etc. that have been assigned to a Circuit Field Office.
- Respond to investigations in the timeframes outlined in procedures for each type of investigation submitted.

5.1.2 Beginning and Ending Points

Beginning Point:

- An offender investigation is requested

Ending Point:

- Offender investigation is closed



5.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 5.2-1 lists the activities that make up the Investigation sub-process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

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Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 5.2-1 Investigations Activities

Sub-Process 3 – Investigations Activities			
Index Number	Activity Label	Activity Description	Actors
3.1	Request Investigation	An investigation can be requested from a variety of sources such as courts, state attorney, correctional institutions, other states, and other probation offices/officers, as well as from court dockets, memorandums, phone calls, walk-in offenders, etc. There multiple types of investigations e.g., Presentence, Violation of Probation, Court Ordered Payment (COPS); etc. Each type of investigation may require different procedures on how to handle and what information is required, including specific timeframes on the completion of the investigations; however the process remains the same. An investigation can be requested by email, fax, a phone call or offender’s action.	Investigation Requestor Intake Operations Staff (Intake or Field Office personnel)



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Sub-Process 3 – Investigations Activities			
Index Number	Activity Label	Activity Description	Actors
3.2	Input/Validate Offender Data	The Intake Operations staff is responsible for validating the DC number of the offender or assigning one in OBIS if one is not assigned. Depending on the procedures of the office, the Intake staff, CJIT or Supervisor (or other support personnel) may do the actual OBIS entries or gathering of additional data for the investigation.	Intake Operations Staff (Intake or Field Office personnel) Field Office
3.3	Assign Investigation to Field Office	The Intake Operations staff opens an investigation in OBIS and assigns the investigation to the Field Office for completion in Investigative Tracking System (ITS) (set of OBIS screens). Based on the type of investigation, OBIS generates an automatic completion date.	Intake Operations Staff (Intake or Field Office personnel) Field Office
3.4	Assign Investigation	The Supervisor is responsible for either completing the investigation or assigning the investigation to the appropriate Field Officer. The Field Officer can pull a list of assigned investigations from OBIS for review and tracking.	Field Office (Field Officer / Supervisor)
3.5	Conduct Investigation	A Supervisor or an assigned Field Officer completes the investigation as outlined in the procedures, provide the required information and complete the investigation in the required timeframes. If an investigation requires more time than procedures dictate to complete, the Supervisor has the authority to extend the investigation, and to change the required completion date of the investigation in OBIS. All case notes are updated in OBIS with all details of the investigation. The results of the investigation are sent back to the original investigation requestor via email, fax or phone call.	Field Office (Field Officer / Supervisor)



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Sub-Process 3 – Investigations Activities			
Index Number	Activity Label	Activity Description	Actors
3.6	Close Investigation	<p>Once all pertinent investigation information has been gathered and reported back to the requestor, the investigation is closed in OBIS by the Supervisor.</p> <p>The hardcopy document prepared during the investigation is stored in an “Active” offender’s hardcopy file or general pending file.</p>	<p>Field Office (Field Officer / Supervisor)</p> <p>Investigation Requestor</p>

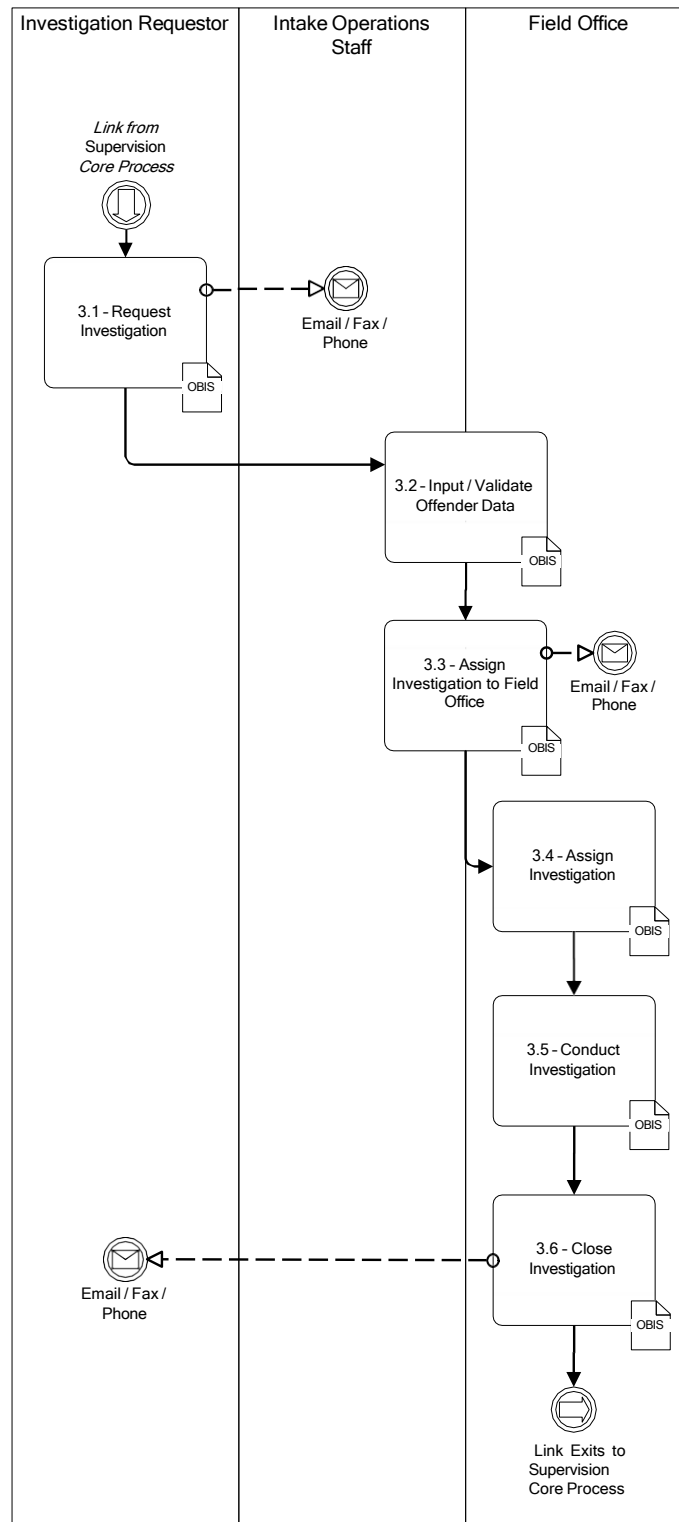


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Figure 5.2-1 Investigation Sub-Process As-Is Workflow





6 TRANSFER (INTERSTATE / INTRASTATE)

6.1 OVERVIEW

6.1.1 Purpose and Objectives of this process

The purpose of the sub-process Community Corrections – Interstate/Intrastate Compact is for the management of the interstate (Offenders transferring out of state or other states offenders transferring into Florida) and intrastate (within Florida) transfers of offenders.

The objectives of this process are:

- Data sharing between agencies both in state and out of state
- Allow for controlled movement and transfer of adult probationers and parolees across state lines, between Field Offices and counties
- Utilize Interstate Compact Offender Tracking System (ICOTS) for Interstate transfer of offenders.
- ICOTS Interstate Compact Offender Tracking System is utilized for up to the date tracking and case management.

6.1.2 Beginning and Ending Points

Beginning Point:

- Offender requests a transfer

Ending Point:

- Offender has been transferred and is under supervision in the new Field Office



6.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 6.2-1 lists the activities that make up the Transfer (Interstate/Intrastate) process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

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Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

Table 6.2-1 Transfer (Interstate/Intrastate) Activities

Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.1	Offender Requests a Transfer	<p>Offender requests to physically transfer to another location either to another state or to another Florida location. An offender can request a transfer for reasons such as: employment, education, reuniting with family members etc. The actual request must be made through the assigned Field Officer. Any new information obtained on an offender as it relates to information gained on the transfer is recorded in OBIS in case notes.</p> <p>Interstate transfers can be either an offender requesting a transfer out of Florida OR other state offenders requesting transfer to Florida.</p> <p>Intrastate transfers are offenders requesting transfer to another location (e.g., county, circuit) within the state of Florida.</p>	<p>Offender</p> <p>“Sending” Field Office</p> <p>(Field Officer / Supervisor)</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.2	Evaluate Request / Make Recommendation	<p>The “Sending” Field Officer and Field Officer’s Supervisor evaluates the offender’s transfer request and makes a recommendation (approved or denied) based on the offender’s proposed plan, compliance to the terms and conditions of supervision, residence locations and occupants; etc.</p> <p>The transfer request could be either approved or denied. If the transfer is approved, the process moves to the next activity. If the transfer request is denied, the offender is informed of the reason for the denial and all the denial details are entered into OBIS case notes.</p>	“Sending” Field Office (Field Officer / Supervisor)



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.3	Prepare Transfer Documents	<p>On approval, the “Sending” Field Officer prepares the transfer document(s).</p> <p>Interstate: All communication and documentation must be routed through both the “Sending” and “Receiving” Interstate Compact offices and transfer documents/packet will be sent to the “Sending” Interstate Compact Office using the Interstate Compact Offender Tracking System (ICOTS).</p> <p>Intrastate: Communication and documents are sent to the Florida “Receiving” Field Office after a phone call is made for offender reporting instructions. The reporting instructions will be included on the intrastate transfer request. Along with the electronic transfer of the intrastate transfer request, a travel permit will be provided to the offender. A transfer investigation is opened in OBIS (ITS) and case notes are updated in OBIS.</p> <p>Note: If the transfer request is between Field Offices within the same circuit, the offenders file is sent to the “Receiving” Field Office and no other paperwork.</p>	<p>“Sending” Field Office</p> <p style="padding-left: 20px;">(Field Officer / Supervisor)</p> <p>“Sending” Interstate Compact Office</p> <p>“Receiving” Field Office</p> <p style="padding-left: 20px;">(Field Officer / Supervisor)</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.4	“Sending” Interstate Compact Evaluates Request / Make Recommendation	<p>The “Sending” state’s Interstate Compact Office validates the request and makes a recommendation. Denial notifications are sent directly back to the Field Officer for them to notify the offender. Approvals and a completed transfer packet are forwarded to the “Receiving” state’s Interstate Compact Office through ICOTS.</p> <p>It is important to note that for both Interstate and Intrastate transfers, the “Sending” state Field Office maintains jurisdiction over that offender even after a transfer has been completed.</p> <p>The “Receiving” Field Office communicates with, and generates annual supervision reports back to the “Receiving” state Interstate Compact Office (Interstate) or “Sending” Field Office (Intrastate).</p> <p>Florida’s Department of Corrections Interstate Compact Office tracks all communications through the Interstate Compact Offender Tracking System (ICOTS) such as; violations, responses to violations, warrants and annual progress reports for all offenders transferred out of Florida and into Florida.</p>	<p>“Sending” Interstate Compact Office</p> <p>“Receiving” Interstate Compact Office</p>
4.5	“Receiving” Interstate Compact Evaluates Request / Make Recommendation	<p>The “Receiving” state’s Interstate Compact Office validates the request and makes a recommendation. Denial notifications are sent back to the “Sending” state’s Interstate Compact Office and then back to the Field Officer for them to notify the offender. For an approved request the transfer packet is sent to the “Receiving” state’s Field Office for investigation.</p>	<p>“Receiving” Interstate Compact Office</p> <p>“Sending” Interstate Compact Office</p> <p>“Sending” Field Office</p> <p>(Field Officer / Supervisor)</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.6	Investigate Request / Make Recommendation	<p>Interstate: The “Receiving” Field Officer and Field Officer’s Supervisor evaluate the offender’s transfer request and make a recommendation (approved or denied) based on the offender’s proposed plan, compliance to the terms and conditions of supervision, residence locations and occupants; etc.</p> <p>If the request is approved by the “Receiving” state Field Office, supporting documentation (e.g., reply to transfer with reporting instructions) is returned back through the Interstate Compact Offices using ICOTS.</p> <p>Sometimes an offender is given reporting instructions from another state and arrives at intake or a Field Office before the investigation has been completed and the “Receiving” Field Office has accepted the offender. The offender is gained in OBIS as pending interstate compact. An investigation will be opened and assigned to a Field Officer once the “transfer request” is received from the “Sending” state.</p> <p>The offender is informed that they are allowed to remain in Florida but an investigation still needs to be completed and the offender will be informed of the results of the investigation as soon as it has been completed.</p> <p>Transfer denials are documented and returned back through the “Sending” Interstate Compact Office and then sent to the “Sending” Field Office through ICOTS.</p> <p>The final approved documents are approved in ICOTS by the Interstate</p>	<p>“Receiving” Field Office</p> <p style="padding-left: 20px;">(Field Officer / Supervisor)</p> <p>“Sending” Field Office</p> <p style="padding-left: 20px;">(Field Officer / Supervisor)</p> <p>“Receiving” Interstate Compact Office</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
		<p>Compact Office to the Florida Field Officer assigned the case in ICOTS.</p> <p>Intrastate: The “Receiving” state Field Office completes the investigation by validating the offenders transfer plan, e.g., address etc. A phone call is made to the “Sending” state Field Office with the approval or denial.</p>	
4.7	Notice Received for Approval or Denial	The “Sending” Field Officer receives notification of the approval or denial of the transfer request through ICOTS.	<p>“Receiving” Field Office (Field Officer / Supervisor)</p> <p>“Sending” Field Office (Field Officer / Supervisor)</p> <p>Offender</p>



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.8	Generate Offender Travel Documents	<p>Once a transfer request is approved for either an Interstate or Intrastate transfer, the “Sending” Field Officer will generate offender travel documentation that will include a travel permit, any pertinent communication between the sending and receiving Field Offices, and reporting instructions for the offender.</p> <p>Interstate: The travel permit and Notice of Departure documents are prepared by the “Sending” Interstate Compact Office. The offender being transferred will receive a copy of these documents to provide to the “Receiving” Field Office on arrival for Intake processing. These documents are also transmitted to the “Receiving” Field Office through ICOTS.</p> <p>Intrastate: The travel permit is prepared by the “Sending” Field Office, and a copy given to the offender to provide to the “Receiving” Field Office.</p>	<p>“Receiving” Field Office (Field Officer / Supervisor)</p> <p>“Sending” Field Office (Field Officer / Supervisor)</p> <p>“Receiving” Interstate Compact Office</p>
4.9	Offender Notified of Transfer Decision	The offender is notified of the approval or denial of the transfer request by the “Sending” Field Officer.	Offender “Sending” Field Office



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Sub-Process 4 – Transfer Activities			
Index Number	Activity Label	Activity Description	Actors
4.10	Offender Transfer Complete	<p>Interstate: The Notice of Arrival form will be prepared by the “Receiving” Field Office and they send the form to the “Receiving” state through ICOTS. This same form (Notice of Arrival) is also utilized if the offender does not arrive as well.</p> <p>Intrastate: Once the “Sending” Field Office validates that the offender has arrived at the “Receiving” Field Office, the transfer is completed by, gaining the offender in OBIS to the assigned Field Office and Field Officer and the transfer investigation will be closed in OBIS.</p> <p>If the offender does not arrive for intake at the “Receiving” Field Office, the “Receiving” Field Office will notify the “Sending” Field Office and will work as a team to locate the offender.</p>	<p>“Receiving” Field Office (Field Officer / Supervisor)</p> <p>“Sending” Field Office (Field Officer / Supervisor)</p> <p>“Receiving” Interstate Compact Office</p>

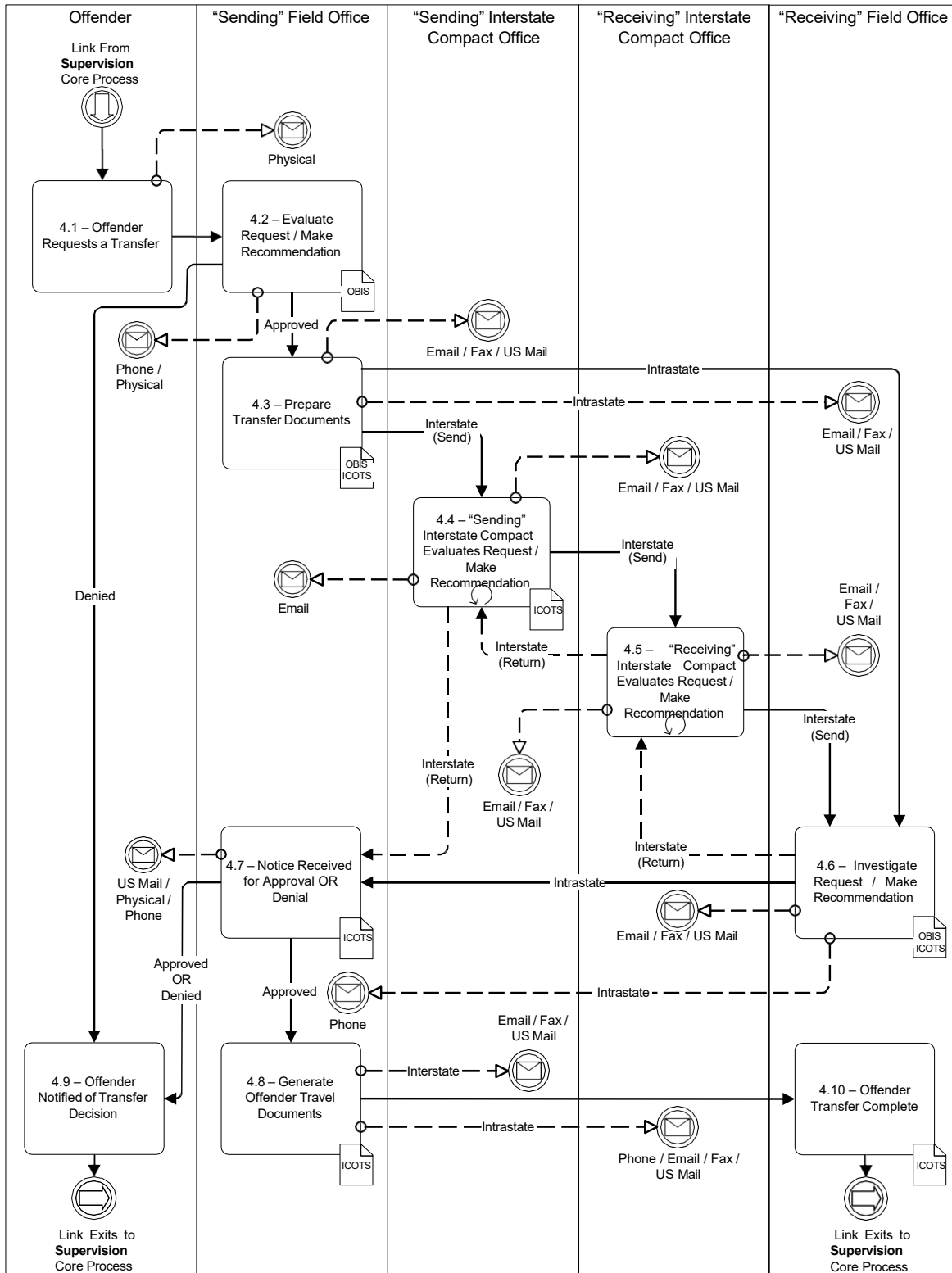


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Figure 6.2-1 Transfer Sub-Process As-Is Workflow





7 COMBINED TABLES:

The following section, using the same activities described and diagrammed in the previous sections, provides further detail into the Intake Offender core process, as well as the four sub-process areas. The details of these process areas discussed below include; Elapsed Time, Paper Documentation, Business System Data Entry & Data Transfer, Message, and Process Issues & Recommendations.

7.1 ELAPSED TIME

This section describes the time limits or goals required to complete the activities that make up the core and sub-processes.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, DC policy, etc.)
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Table 7.1-1 Elapsed Time

Core Process G – Intake Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Inmate Release from Prison	Immediately Upon Release from Prison	Procedure 302.120	The Intake Office does not always know inmates are being released to supervision or inmates with immigration issues are released and should be routed to immigration instead of to supervision



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Inmate Release from Prison	Before Release of Inmate	Technical Instructions 15.05.18 Outpatient Mental Health Services	<p>Currently the completed DC4-661 Summary of Outpatient Mental Health Care form is mailed to the inmate's assigned Field Office. Field Officers interviewed during the site visits advise they do not currently receive the inmate mental health information.</p> <p>Inmate mental health forms are no longer completed in Community Corrections.</p>
1.	Inmate Release from Prison	Before Release of Inmate	Technical Instructions 15.05.18 Outpatient Mental Health Services	<p>Currently the completed DC4-657 Discharge Summary for Inpatient Mental Health Care form is mailed to the inmate's assigned Field Office. Field Officers interviewed during the site visits advise they do not currently receive the inmate mental health information.</p> <p>Inmate mental health forms are no longer completed in Community Corrections.</p>
2.	Court Orders Offender to Supervision	Immediately Upon Sentencing	Procedure 302.120	Processing Delays – Courts processing of Probation Order timely
3.	Receive Referral for Processing	Within 72 hours (post prison release offenders)	Procedure 302.120	Labor Intensive - Manual Verification for No Shows (e.g., inmate release, arrest logs via law enforcement website, court documents)
3.	Receive Referral for Processing	Within 48 hours (other supervised offenders)	Procedure 302.120	Labor Intensive - Manual Verification for No Shows (e.g., inmate release, arrest logs via law enforcement website, court documents)
4.	Input / Validate Offender Data	Upon offender's Arrival to Field Office	Procedure 302.120	Inconsistent operation of Rapid ID Hardware / Software



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Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
4.	Input / Validate Offender Data	Upon offender's Arrival to Field Office	Procedure 302.120	JFI – CDC search has to be printed to review information
5.	Conduct Warrant Check	Upon offender's Arrival to Field Office	Procedure 302.120	Warrant posting delays depending on law enforcement agency and/or NCIC
6.	Instruct Offender	Upon offender's Arrival to Field Office and Validation of Data	Procedure 302.120	Labor intensive – Manual instruction documentation
7.	Assign Offender to Field Officer	Upon intake processing or direction from a court representative	Procedure 302.120	Manual Process – assignment of offender to a Field Officer is manual (instead of system generated by zip code of the residence or work location of the offender). The Supervisor must review manually the Field Officer's current workload, geographical area, work schedule as well. .

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.1	Offender Absconds	5 days from discovery (low risk offenders)	Procedure 302.103	N/A
1.1	Offender Absconds	Immediate (high risk offenders)	Procedure 302.103	N/A



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.1	Offender Absconds	BOLO (FCIC) issued for high risk offenders		N/A
1.4	Create Violation documents	5 days from discovery (low risk offenders)	Procedure 302.103	N/A
1.4	Create Violation documents	Immediate (high risk offenders)	Procedure 302.103	N/A
1.7	Change Offender Status	As soon as warrant is signed	Procedure 302.103	Delays in getting warrant signed
1.7	Change Offender Status	Within 24 hours of signed warrant information is posted to web	Procedure 302.103	Currently a manual process
1.8	Close / Extend / Suspend Investigation	Within 30 days	Absconder Unit Procedures	N/A

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
2.1	Submit Payment	Varies – Based on individual offender payment schedule and court order	COPS Technical Manual	Offenders have four ways to pay through the vendor JPAY. Some Field Offices are taking payments directly and errors can occur in deposits to the banks, etc.



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
2.2	Payment Received	Varies based on use of payment processing vendor	N/A	Payment instruments which do not meet Department of Corrections requirements must be returned to the offender
2.3	Payment Accepted	< 2 working days after receipt	COPS Accounting	If the offender does not provide the correct DC number, the process will be delayed
2.4	Payment Identified	< 5 days	COPS Technical Manual	If an offender has not been set up with a COPS obligation in OBIS, then the payment can not be posted automatically during the OBIS payment upload job. The payment has to be posted manually by COPS Accounting.
2.5	Payment Deposited	5 Business days (COPS Accounting) Next business day before 2:00 PM (Field Office)	COPS Technical Manual	The offender can not always be identified if the offender did not include their DC number and full name
2.6	Funds Cleared	N/A	N/A	Batch total may not balance. Payment instrument may be counterfeit or stolen. Stop payment order may have been processed by issuer.
2.7	Funds Disbursed	N/A	N/A	Payee address may not be valid. Payment amount may be too small to disburse or allocate and may need to be over ridden manually. Payee obligation may be deferred. Offender may not have any open obligations.



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
2.8	Check Received	N/A	N/A	Check may not be received if an incorrect address is in OBIS
2.9	Financial Obligation Cleared	Three months (90 days) before release from supervision	COPS Technical Manual	Offender absconds, has supervision revoked or cannot pay
2.10	Returned or Non-cashed Checks	1 year after termination of supervision	COPS Accounting	Unable to locate payee, or payee does not cash check

Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.1	Input / Validate Offender Data	2 days	Procedure 302.105 OBIS Manual	N/A
3.3	Assign Investigation to Field Office	2 days	Procedure 302.105	N/A
3.4	Assign Investigation	1 day	Procedure 302.105	N/A
3.5	Conduct Investigation Bond	7 days	Procedure 302.105 OBIS Manual	N/A



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Conditional Release Supervision (CRSI)	2 days (or prior to inmate's release, whichever is sooner)	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Consecutive Sentence (CSEN)	30 days	OBIS Manual Procedure 302.105	Updates to the EOS/TRD
3.5	Conduct Investigation Court Ordered Payment (COPS)	60days	OBIS Manual COPS manual Procedure 302.105	N/A
3.5	Conduct Investigation Other State (OS)	30days	Procedure 302.105 OBIS Manual Procedure 301.001	Other state providing information
3.5	Conduct Investigation Other (OTH)	30 days	Procedure 302.105 OBIS Manual	Multiple variables



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Placement (PLC)	10 days	Procedure 302.105	N/A
3.5	Conduct Investigation Pre-Sentence – not in custody (PSI)	28 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Pre-Sentence – in custody (PSIJ)	21 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Pre-Plea Pre- Sentence (PRP)	28 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation TIPS	Immediate/1 day	OBIS Manual	N/A
3.5	Conduct Investigation Pretrial Intervention Background (PTIB)	21 days	Procedures 302.105, 302.801 OBIS Manual	N/A



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Pretrial Intervention Preliminary (PTIP)	5 days	OBIS Manual Procedures 302.105, 302.801	N/A
3.5	Conduct Investigation Supervision Review (SUPR)	25 days	OBIS Manual Procedure 302.205	N/A
3.5	Conduct Investigation Transfer (TRNR)	30 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Transfer (TRNS)	10 days	Procedure 302.105 OBIS Manual	N/A
3.5	Conduct Investigation Violations Investigation Alleged (VIOA)	5 days	Procedure 302.103 OBIS Manual	N/A
3.5	Conduct Investigation Violations Investigation Technical (VIOT)	5 days	OBIS Manual Procedure 302.103	N/A



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Sex Offender Residence Review (SORR)	10 days	Community Corrections Central Office OBIS Manual Procedures 302.105, 302.701, 302.303	N/A
3.5	Conduct Investigation (IT30 – 30 day review)	45 days	OBIS Manual Procedure 302.003	N/A
3.5	Conduct Investigation Re-Review (REVV)	30 days	OBIS Manual Procedure 302.003	N/A
3.5	Conduct Investigation 30-Day Pre-termination Review (TRM3)	30 days	OBIS Manual Procedure 302.003	N/A
3.5	Conduct Investigation 90-Day Pre-termination Review (TRM9)	30 days	OBIS Manual Procedure 302.003	N/A



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.5	Conduct Investigation Career Offender Residence Review (CORR)	10 days	OBIS Manual Procedures 302.105, 302.701, 302.303	NEW N/A
3.5	Electronic Monitoring Enrolled (EMEN)	10 days	Procedure 302.105 Electronic Monitoring Manual	NEW Changes in EOS/TRD
3.5	Electronic Monitoring Hook-Up EMHU	20 days	Procedure 302.105 Electronic Monitoring Manual	NEW Changes in EOS/TRD
3.6	Close Investigation	See Conduct Investigation elapsed times in this table above	Procedure 302.105	N/A

Sub-Process 4 - Transfer				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
4.3	Prepare Transfer Documents	Interstate from court out of state	Procedure 301.001	Incomplete or late submission of transfer packets



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
		offender – 7 days from request *see note		
4.4	“Sending” Interstate Compact Evaluates Request / Recommendation	5 days	Interstate Compact Internal Guidelines	N/A
4.5	“Receiving” Interstate Compact Evaluates Request / Recommendation	45 days from receipt of request, complete investigation and respond	Procedure 301.001 Interstate Compact Rules	N/A
4.6	Investigate Request / Make Recommendation	Interstate: 20 Calendar days Intrastate: 10 Calendar days (these days are included in the 45 days in Index 5.5)	Procedure 301.001	N/A
4.8	Generate Offender Travel Documents	At time of offender’s departure	N/A	N/A
4.10	Offender Transfer Completed	Interstate: Acceptance valid for 120 days	Procedure 301.001	N/A



7.2 PAPER DOCUMENTATION

This section describes the paper documents required to complete the activities that make up the core and sub-processes. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document, if any. More than one document may be required to carry out a single activity, so each is listed. The following is a description and definition of each of the columns in this table.

Sub-process activities are referenced by index number. The first number (before the period) indicates the sub-process number and the second number (after the period) indicates the sequence number of the activity.



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The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator or title of the source instruction or policy.

Table 7.2-1 Paper Documentation

Core Process G – Intake Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Inmate Release from Prison	Record of Inmate Discharge (DC6-618A)	The release document provided to the inmate at time of release (not consistently looked for, Rapid ID is more important).	Procedure 601.509
1.	Inmate Release from Prison	OBIS Report	A report is pulled to provide a list of all pending institution releases. This allows the offenders to be tracked and the Intake Office to have paperwork prepared for their arrival.	Field Visit
1.	Inmate Release from Prison	Summary of Outpatient Mental Health Care (DC4-661)	A summary of outpatient mental health care which was provided to the inmate while incarcerated, distributed to FDC staff or other treatment providers as needed and upon HIPAA consent.	Health Services Work Shop
1.	Inmate Release from Prison	Discharge Summary of Inpatient Mental Health Care (DC4-657)	A summary of outpatient mental health care which was provided to the inmate while incarcerated, distributed to FDC staff or other treatment providers as needed and upon HIPAA consent.	Health Services Work Shop



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.	Court Orders Offender to Supervision	Initial Reporting Instructions (DC3-298)	This form includes the instructions for the offender on where to physically report.	Procedure 302.120
2.	Court Orders Offender to Supervision	Court Data Sheet	Information gathered at the court of offender sentencing etc.	Procedure 302.120 Court
2.	Court Orders Offender to Supervision	Probation Order	Court generated document that details final sentence data	Procedure 302.120 Court
2.	Court Orders Offender to Supervision	Court Calendar	Clerk's docket of the cases before the court that day	Procedure 302.120 Court
2.	Court Orders Offender to Supervision	Commitment Sheet	Detailed sheet contains clerk's memo of sentencing and case data	Procedure 302.120 Court
2.	Court Orders Offender to Supervision	Clerk's File Jacket	File jacket with overview of significant court events	Procedure 302.120 Court
3.	Receive Referral for Processing	Offender Information sheet and Reporting Instructions (DC3-297)	Offenders demographic information and office details on where to report	Procedure 302.120
4.	Input / Validate Offender Data	Intake Investigation Entry Transaction Register (DC3-212)	Direct OBIS data entry if some other person does OBIS input (very few individuals use this form any longer)	Procedure 302.120



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Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.	Input / Validate Offender Data	Felony Disposition and Sentence Data Entry Form (DC3-236)	Direct OBIS data entry for offender sentence structure (very few individuals use this form any longer)	Procedure 302.120
4.	Input / Validate Offender Data	Court-Ordered payment System Data Entry Input Form (DC3-221)	COPS details for Direct OBIS data entry (very few individuals use this form any longer)	Procedure 302.120
6.	Instruct Offender	Order Placing Defendant on Administrative Probation (DC3-277)	Court order placing an offender on Administrative Probation (not full supervision requirements)	Procedure 302.120
6.	Instruct Offender	Instructions to the Offender (DC-246)	Additional Conditions of Supervision to review with offender	Procedure 302.120

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.1	Provide Tips	Processing Tips	Help Document on DC Web	DC Web – Absconder-Unit
1.3	Open Investigation	OBIS Report (IT01/03)	Field Office Supervisor report of new absconder investigations	OIT (OBIS)
1.4	Create Violation documents	Affidavit (DC3-216)	Affidavit Request	Procedure 302.103



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.4	Create Violation documents	Warrant (DC3-217)	Warrant Request	Procedure 302.103
1.4	Create Violation documents	Violation Report (DC3-202)	Documents the violation of supervision	Procedure 302.103
1.4	Create Violation documents	Intake Investigation Entry/ Transaction Register (DC3-212)	Document that initiates input of loss of absconder	Procedure 302.103
1.6	Investigation to Locate Absconder	Absconder Tracking Checklist	Checklist for investigation	Absconder Unit Procedures
1.7	Change Offender Status	Absconder Related Status Codes Quick Reference Chart	Help Document on DC Web	DC Web – Absconder-Unit

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.1	Submit Payment	There are four ways to pay through JPAY.	Offenders utilizes JPAY and on occasion pay in the Field Officer.	COPS Technical Manual 203.010 Procedure
2.1	Submit Payment	COPS Receipt	A printed receipt is generated by OBIS when a payment is entered in OBIS by the Field Office	COPS Technical Manual



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.1	Submit Payment	Court-Ordered Payment Manual Receipt Books	This is a manual payment receipt book given to the Field Office. This can be utilized to give the offenders a manual receipt for a payment received at the Field Office if access to OBIS is not available.	DC Web Form
2.2	Payment Received	JPAY	JPAY or in Field Office.	COPS Technical Manual
2.7	Funds Disbursed	Court Ordered Payment System Overpayment or Erroneous Payment OCC	If money was disbursed in error this letter is sent to the payee for reimbursement.	Community Corrections COPS Form Packets
2.8	Check Received	Check	Disbursement from offenders obligations to payees	COPS Technical Manual

Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.4	Input/Validate Offender Data	Intake/ Investigation Data Entry Form (DC3-212)- not typically used any longer, entered directly into OBIS	Investigation request form that is completed for another person to do the entry into OBIS	Procedure 302.105



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
3.5	Conduct Investigation	Request investigation worksheet no longer used	General Investigative worksheet for all types of investigations, need to have space to enter notes or related comments	DC Web Forms
3.5	Conduct Investigation Bond	Bond Reduction Investigation (DC3-276)	Investigation to research if an offender can be released on own their own recognizance	Procedure 302.105
3.5	Conduct Investigation Conditional Release Supervision (CRSI)	Conditional Release Interview (FCOR-CRSI-033)	Request that a county jail or federal prison requires of an investigation on an offender being released from jail or federal prison that is required to complete conditional release supervision.	Procedure 302.105
3.5	Conduct Investigation Court Ordered Payment (COPS)	COPS Investigation Request	Document used to research various tasks related to Court Ordered Payments	Procedure 302.105 COPS & OBIS Manuals
3.5	Conduct Investigation Other State (OS)	Interstate Transfer Request ICOTS	Request that is received from the Interstate Compact Office to investigate an out of state offenders plan/request to relocate to Florida.	Procedures 302.105, 301.001
3.5	Conduct Investigation Placement (PLC)	Pre-Release Placement Notification OBIS Report	Report to insure that an offender's release plan adheres to the guidelines of court ordered supervision. It includes various offender and reporting instructions for an offender being released to supervision.	Procedure 302.105



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.5	Conduct Investigation Pre-Sentence (PSI)	Pre-Sentence Investigation (DC3-215) Authorization and Release of Information (DC3-214) Consent and Authorization for Use and Disclosure Inspection and Release of Confidential Information (DC4-711B)	Information requested to be gathered before an offender (not in custody) is sentenced by a sentencing authority	Procedure 302.105
3.5	Conduct Investigation Pre-Sentence (PSIJ)	Pre-Sentence Investigation (DC3-215) Authorization and Release of Information (DC3-214) Consent and Authorization for Use and Disclosure Inspection and Release of Confidential Information (DC4-711B)	Information requested to be gathered before an offender (in custody) is sentenced by a sentencing authority	Procedure 302.105



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.5	Conduct Investigation Pre-Plea Pre-Sentence (PRP)	Pre-plea Release (DC3-232) Pre-Sentence Investigation (DC3-215)	Information requested to be gathered before an offender enters a plea	Procedure 302.105
3.5	Conduct Investigation TIPS	OBIS Generated	FACT received on an absconder tip	OBIS Manual
3.5	Conduct Investigation Pretrial Intervention Background (PTIB)	Pretrial Intervention Background (DC3-288)	Used for a background check first-time offenders charged with certain crimes designated in section 948.08, Florida Statutes, before or after an Information has been filed by a state attorney or an indictment has been returned in a circuit court. Pretrial Intervention programs provide appropriate counseling, education, supervision, medical and psychological treatment as available and when appropriate.	Procedures 302.105, 302.801
3.5	Conduct Investigation Pretrial Intervention Preliminary (PTIP)	Pretrial Intervention Background (DC3-288)	Used for a background check first-time offenders charged with certain crimes designated in section 948.08, Florida Statutes, before or after an Information has been filed by a state attorney or an indictment has been returned in a circuit court. Pretrial Intervention programs provide appropriate counseling, education, supervision, medical and psychological treatment as available and when appropriate.	Procedures 302.105, 302.801



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
3.5	Conduct Investigation Supervision Review (SUPR)	Supervision Review (FS-SUPRV) ITS 42	Assigned to a Regional Director or designee when a supervision review is scheduled for an offender on parole, control release, or conditional release.	Procedures 302.105, 302.205
3.5	Conduct Investigation Transfer (TRNR)	Travel Permit (DC3-220)	Assigned when an offender is transferring from one circuit or county to another The TRNR is assigned to the "Receiving" Field Office/Officer	Procedures 302.105, 302.306
3.5	Conduct Investigation Transfer (TRNS)	Travel Permit (DC3-220)	Assigned when an offender is transferring from one circuit or county to another The TRNS is assigned to the "Sending" Field Office/Officer	Procedures 302.105, 302.306
3.5	Conduct Investigation Violations Investigation Alleged (VIOA)	Violation Report (DC3-202) Warrant (DC3-217) Affidavit (DC3-216)	Assigned and used to outline the circumstances of a violation of the offender's supervision Note: not always are all three documents required, depending on the type of violation and findings during the investigation	Procedures 302.105, 302.103



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
3.5	Conduct Investigation Violations Investigation Technical (VIOT)	Violation Report (DC3-202) Warrant (DC3-217) Affidavit (DC3-216)	Assigned and used to outline the circumstances of a violation of the offender's supervision Note: not always are all three documents required, depending on the type of violation and findings during the investigation	Procedures 302.105, 302.103
3.5	Conduct Investigation (IT30 – 30 day review)	Initial 30-Day Review (DC3-242 or DC3-2018)	An IT30 investigation is automatically generated in ITS when an offender is initially assigned/gained to an officer or Supervisor position number.	OBIS Manual Procedure 302.003
3.5	Conduct Investigation Re-Review (REVW)	Initial 60-Day Review (DC3-242 or DC3-2018)	If there are areas not complete or in non-compliance during a IT30 investigation, a 'REVW' investigation is entered into ITS	OBIS Manual Procedure 302.003
3.5	Conduct Investigation 30-Day Pre-termination Review (TRM3)	OBIS Report Pre-Termination Review (DC3-243)	Offender supervision that is scheduled to terminate within 30 days (the termination date may be for a single component or for the overall sentence), a 'TRM3' (30-Day Pre-Termination Review) investigation is entered in ITS.	OBIS Manual Procedure 302.003
3.5	Conduct Investigation 90-Day Pre-termination Review (TRM9)	OBIS Report Pre-Termination Review (DC3-243)	Offender supervision that is scheduled to terminate within 90 days (the termination date may be for a single component or for the overall sentence investigation is entered in ITS.	OBIS Manual Procedure 302.003



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Document Title	Document Description	Reference Source or
3.5	Conduct Investigation Sex Offender Residence Review (SORR)	OBIS Generated Review	System generated in OBIS once a residence address is changed for a Sex Offender	Procedure 302.105
3.5	Conduct Investigation Career Offender Residence Review (CORR)	OBIS Generated Review	System generated in OBIS once a residence address is changed for a Career Offender	Procedure 302.105
3.5	Electronic Monitoring Enrolled (EMEN)	OBIS Generated Review	Used to ensure that the electronic device hookup is completed on all applicable inmates before release. Assigned to the residence county who will enter the 3M profile, request hookup assistance, enter EM profile, and forward all electronic monitoring contact information to the hook-up county.	NEW Procedure 302.105
3.5	Electronic Monitoring Hook-Up EMHU	OBIS Generated Review	Used to ensure that the EM device hookup is completed on all applicable inmates before release. Investigation is complete upon installation and activation of the EM device on the offender and notification is made to the residence county contact staff.	NEW Procedure 302.105



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.1	Offender Requests a Transfer	Offender Application for Interstate Compact Transfer	Interstate: Interstate Commission for Adult Offender Supervision (ICAOS) standard form to apply for transfer to another state – must be signed by the offender	Procedure 301.001 (ICAOS) Required
4.1	Offender Requests a Transfer	Transfer Request	Interstate: All details of the offender’s transfer plan e.g., offender information, reason for transfer, justification, residence location and employment	Procedure 301.001 (ICAOS) Required
4.3	Prepare Transfer Documents	Offender’s criminal history	Interstate: All details of the offender’s criminal history	Procedure 301.001 Court Required
4.3	Prepare Transfer Documents	Offense/Arrest Report	Interstate: The arresting agency’s detailed circumstances of the offense	Procedure 301.001 Court Required
4.3	Prepare Transfer Documents	Photo of offender	Interstate: Offender photo for identification purposes	Procedure 301.001 Required
4.3	Prepare Transfer Documents	Conditions of Supervision	Interstate: All conditions of the offenders supervision	Procedure 301.001 Court Required



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.3	Prepare Transfer Documents	Any offender restriction or protection orders	Interstate: Any court orders restricting or protecting victims or any other persons	Procedure 301.001 Court If applicable
4.3	Prepare Transfer Documents	Sexual offender Registry requirements	Interstate: If the offender is required by the sentencing authority to register as a sexual offender/sexual predator per statute	Procedure 301.001 (OCC) If applicable
4.3	Prepare Transfer Documents	Judgment & Commitment Documents	Interstate: Courts documents pertaining to the sentencing, judgment and/or commitment of the offender	Procedure 301.001 Court Institutions If applicable
4.3	Prepare Transfer Documents	COPS details Offender Financial Obligation Agreement (OFOA)	Interstate: Any court ordered payments still owed by the offender	Procedure 301.001 (OBIS report) If applicable
4.3	Prepare Transfer Documents	Pre-Sentence Investigation report (DC3-215)	Interstate: If a pre-sentence investigation (a comprehensive background investigation ordered by the court) was completed on the offender	Procedure 301.001 If available



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.3	Prepare Transfer Documents	Medical Info	Interstate: All offender medical history available. Release DC4-711B to be signed.	Procedure 301.001 If available
4.3	Prepare Transfer Documents	Psychological Evaluation	Interstate: Any offender psychological evaluations. Release DC4-711B to be signed.	Procedure 301.001 If available
4.3	Prepare Transfer Documents	Classification and Admission Summary	Interstate: Inmate classification based on social history, etc. Prepared by the institution	Interstate Compact if applicable
4.3	Prepare Transfer Documents	Travel Permit Interstate (DC3-220)	Interstate & Intrastate: Approval document with travel instructions regarding timeframes to report to “Receiving” Field Office	Procedure 301.001 302.306 Required
4.3	Prepare Transfer Documents	Request for Reporting Instructions	Interstate: Orders given to an offender by a “Sending” or “Receiving” state directing the offender to report to a designated person or place and at a specified date and time.	Procedure 301.001 (ICAOS)
4.3	Prepare Transfer Documents	Intrastate Transfer Request (DC3-237)	Intrastate – out of district: Communication to “Receiving” Field Office for an investigation for approval of offenders transfer	Procedure 302.306



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.4	“Sending” Interstate Compact Evaluates Request / Recommendation	Reply to Transfer Request	Interstate: Document with approval or denial of the offender’s interstate transfer request	Procedure 301.001 (ICAOS) Required
4.5	“Receiving” Interstate Compact Evaluates Request / Recommendation	Reply to Transfer Request	Interstate: Document with approval or denial of the offender’s interstate transfer request	Procedure 301.001 (ICAOS) Required
4.7	Notice Received for Approval OR Denial	Reply to Transfer Request	Interstate: Formal written reply to a request for an Interstate transfer	Procedures 301.001 (ICAOS) Required
4.8	Generate Offender Travel Documents	Travel Permit Interstate (DC3-220)	Interstate and Intrastate: Approval document with travel instructions regarding timeframes to report to “Receiving” Field Office	Procedure 301.001 302.306 Required
4.8	Generate Offender Travel Documents	Notice of Departure	Interstate: Notice to the “Receiving” state that the offender has departed (includes offender time of departure and reporting timeframes)	Procedures 301.001 (ICAOS) Required
4.10	Offender Transfer Complete	Notice of Arrival	Interstate: Notice to the “Sending” state the offender has arrived	Procedures 301.001 (ICAOS) Required



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Sub-Process 4 – Transfer				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
4.10	Offender Transfer Complete	Public Service Hours (DC3-205)	If applicable the “Receiving” Field Officer will prepare for an offender	Procedures 302.306
4.10	Offender Transfer Complete	Job Search Log (DC3-2004)	If the offender does not have a job, the “Receiving” Field Officer will provide job search instructions including this form	Procedures 302.306
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Compact Action Request	Interstate: An official form of communication for Interstate transfers for any question or status of an offender such as clarification of an end date of supervision, or follow up on a transfer request that has had no activity for 60 days, etc.	2016 ICAOS Rules (ICAOS)
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Case Closure Notice	Interstate: A “Receiving” state may close its supervision (close interest and cease supervision) of an offender and cease supervision for reasons of absconding, death, end of supervision date, incarceration, return to “Sending” state	Procedure 301.001 2016 ICAOS Rules (ICAOS)
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Offender Violation Report	Interstate: A report of an offender’s violation of their conditions of supervision while in a “Receiving” state	2016 ICAOS Rules (ICAOS)



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Sub-Process 4 – Transfer

Index Number	Activity Label	Document Title	Document Description	Reference or Source
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Progress Report	Interstate: A report of the offender's status provided annually from the "Receiving" state to the "Sending" state	2016 ICAOS Rules (ICAOS)
N/A	Interstate Compact Form, and may be utilized during Supervision Process	Response to Violation Report	Interstate: A response on actions to take on a "Sending" state's report of an offender's violation of their conditions of supervision while in a "Receiving" state	2016 ICAOS Rules (ICAOS)



7.3 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

This section describes the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the core and sub-processes.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one: "Input" for data entry by the user, "Query" for data retrieved by the user, and "TXFR" for electronic data transfer from one system to another.

Table 7.3-1 Business System Data Entry & Data Transfer

Core Process G – Intake Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
4.	Input / Validate Offender Data	OBIS	A new DC number is assigned to the offender during Intake, if the offender is not currently in OBIS. Otherwise the current DC number is utilized for all new entries for the offender.	Input
4.	Input / Validate Offender Data	OBIS	Enter or update (validate with Rapid ID or offender official photo ID), official name, race, sex, date of birth and social security number	Input/ Query
4.	Input / Validate Offender Data	OBIS	Personal history characteristic information is either updated (for previous offenders) or entered for new offenders in OBIS such as scars/marks, alias, height, weight, complexion, body build, birth location, driver license number and hair and eye color.	Input/ Query
4.	Input / Validate Offender Data	OBIS	Update or enter resident information in OBIS	Input/ Query
4.	Input / Validate Offender Data	OBIS	Update or enter employment information in OBIS	Input/ Query



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Index Number	Activity Label	Business System	Purpose or Intent	Mode
4.	Input / Validate Offender Data	OBIS	If the information comes directly from the court after sentencing, the entries for the sentence structure are made in OBIS. There are sometime delays in receiving the sentencing order from the court. In this instance, entries are required to be made within two days of receiving the information from the court.	Input
4.	Input / Validate Offender Data	OBIS	Entries are made for any court order financial obligations in the Court Ordered Payment System (COPS)	Input
4.	Input / Validate Offender Data	OBIS	Entries are made in OBIS case notes indicating instructions given to the offender, photograph taken, or other special notes that assist in assigning the offender to the appropriate Field Officer for supervision	Input
4.	Input / Validate Offender Data	OBIS	After completion of the Rapid ID process or review, the FDLE number is entered in OBIS	Input
7.	Assign Offender to Field Officer	OBIS	An OBIS entry is made to 'gain' an offender to the assigned Field Officer	Input

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
1.1	Offender Absconds	OBIS	Field Officer enters case notes in OBIS	Input
1.2	Provide Tips	OBIS	Field Officer enters case notes in OBIS	Input
1.3	Open Investigation	OBIS	Absconder Unit enters an open investigation in the OBIS Absconder Tracking Screen	Input
1.3	Open Investigation	OBIS	OBIS system generates an automatic system note on the offender's record that an investigation has been opened by the Absconder Unit	Auto Input



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
1.3	Open Investigation	OBIS	OBIS system generates an open investigation in ITS for the Absconder Unit	Auto Input
1.4	Create Violation documents	OBIS	Field Officer enters case note in OBIS	Input
1.5	Judge Signs Warrant	OBIS	Field Officer enters case notes in OBIS	Input
1.6	Investigation to Locate Absconder	OBIS	Absconder Unit staff enters case notes and on the Absconder Tracking screens in OBIS	Input
1.7	Change Offender Status	OBIS	Field Officer changes offender status in OBIS and enters case notes	Input
1.8	Close / Extend / Suspend Investigation	OBIS	Absconder Unit Staff enters status in the Absconder Tracking Screens and case notes in OBIS	Input

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
2.2	Payment Received	There are four ways to pay COPS obligation administered by Jpay. OBIS	A file is transferred from the vendor (Jpay) to OBIS for posting payments to offender's accounts OBIS system generates a file of DC numbers and names that is transferred to each payment vendor. The vendor validates the DC number prior to accepting any payment from an offender.	TXFR/ Input



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
2.2	Payment Received	OBIS	Payment may be accepted in a Field Office and an entry is made in OBIS on the offender's DC number noting the payment received	Input
2.2	Payment Received	OBIS	Payments accepted by COPS Accounting but can not be identified to a specific offender's DC number are posted to a dummy DC number in OBIS	Input
2.6	Funds Cleared	Bank	COPS Accounting queries the bank website for payments (funds) that have cleared the bank for disbursement	Query
2.7	Funds Disbursed	OBIS EZ Check Bank	<p>A job is processed automatically that disburses payment batches that have been previously released by COPS Accounting.</p> <p>A batch file is downloaded from OBIS to third party software by COPS Accounting, EZ Pay Suite third party check printing software.</p> <p>A file is created from OBIS by COPS Accounting of checks issued or voided and transmitted to the Bank.</p>	Input/ TXFR
2.9	Financial Obligation Cleared	OBIS	Updates are made in the offenders record automatically when their financial obligation has been met	Auto Input
2.10	Returned or Non-cashed Checks	OBIS Bank	Updates will be entered in OBIS by COPS Accounting. COPS Accounting retrieves a file of checks paid from the bank weekly and uploads it into OBIS to update the outstanding check list.	Input/ TXFR



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.2	Input/Validate Offender Data	OBIS	The offender data is updated in OBIS if new information regarding the offender is received	Input/Query
3.3	Assign Investigation to Field Office	OBIS	An investigation is opened in the Investigation Tracking Screens (ITS) in OBIS. Case notes may also be entered in OBIS for any information that may assist the Field Officer/Supervisor assigned to the investigation. The investigation is assigned to an appropriate Field Office	Input
3.4	Assign Investigation	OBIS	The Field Office Supervisor makes an entry in OBIS that assigns the investigation to the appropriate Field Officer	Input
3.5	Conduct Investigation	OBIS	As information is gathered the information is entered in ITS (OBIS) and also case notes are updated appropriately	Entry
3.5	Conduct Investigation Bond	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Conditional Release Supervision (CRSI)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Consecutive Sentence (CSEN)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.5	Conduct Investigation Court Ordered Payment (COPS)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Other State (OS)	OBIS	As information is gathered, entries are made into ITS (OBIS) along with ICOTS, and also case notes are updated	Input
3.5	Conduct Investigation Other (OTH)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Placement (PLC)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pre-Sentence (PSI)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pre-Sentence (PSIJ)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pre-Plea Pre-Sentence (PRP)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.5	Conduct Investigation TIPS	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pretrial Intervention Background (PTIB)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Pretrial Intervention Preliminary (PTIP)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Supervision Review (SUPR)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Transfer (TRNR)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Transfer (TRNS)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.5	Conduct Investigation Violations Investigation Alleged (VIOA)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Violations Investigation Technical (VIOT)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation (IT30 – 30 day review)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Re-Review (REVV)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation 30-Day Pre-termination Review (TRM3)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.5	Conduct Investigation 90-Day Pre-termination Review (TRM9)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Sex Offender Residence Review (SORR)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	Input
3.5	Conduct Investigation Career Offender Residence Review (CORR)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	NEW Input
3.5	Electronic Monitoring Enrolled (EMEN)	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	NEW Input
3.5	Electronic Monitoring Hook-Up EMHU	OBIS	As information is gathered, entries are made into ITS (OBIS) and also case notes are updated	NEW Input
3.6	Close Investigation	OBIS	An OBIS entry is completed in – ITS (OBIS) to update all case notes and close the investigation.	Input



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
4.1	Offender Requests a Transfer	OBIS	OBIS case notes in the offender's record are updated with the details of the offender's request. If the request is for an intrastate transfer (transfer to another county in Florida), an investigation is opened in ITS for the "Receiving" Field Office to research the offender's proposed new residence etc.	Input
4.2	Evaluate Request and Make Recommendation	OBIS	OBIS case notes are updated with the details of the recommendation of the offender's transfer request, whether denied or approved and reason for the recommendation	Input
4.3	Prepare Transfer Documents	OBIS	OBIS case notes are updated with the dates of the documents were prepared and any other details	Input
4.4	"Sending" Interstate Compact Evaluates Request / Recommendation	OBIS ICOTS	The Interstate Compact Office enters in the ICOTS all offender data utilized to track the transfer and any ongoing information exchange regarding the offender	Input
4.5	"Receiving" Interstate Compact Evaluates Request / Recommendation	OBIS ICOTS	The Interstate Compact Office enters in ICOTS all offender data utilized to track the transfer and any ongoing information exchange regarding the offender	Input
4.6	Investigate Request and Make Recommendation	OBIS	The "Receiving" Field Office updates OBIS case notes and also the open investigation in ITS (OBIS Screens)	Input
4.7	Notice Received for Approval or Denial	OBIS	OBIS case notes are updated with the details received from other areas regarding the decision on the transfer request	Input



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
4.8	Generate Offender Travel Documents	OBIS	OBIS case notes are updated regarding details of the travel documents being generated and the investigation is updated and closed in ITS (OBIS Screens)	Input
4.9	Offender Notified of Transfer Decision	OBIS	OBIS case notes are updated to reflect the offender being notified of the decision and the next steps the offender should take, if any	Input
4.10	Offender Transfer Complete	OBIS ICOTS	OBIS case notes are updated to reflect the offender's arrival in the new location and if an investigation remained open in ITS (OBIS Screens); it is updated and closed as well. The Interstate Compact Office will update the offender's records in ICOTS as well.	Input



7.4 MESSAGES

This section the messages, such as the US mail, emails, phone calls and any other correspondence, regularly used in the normal course of the core and sub-processes. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. Trouble calls and other messages associated with recurring abnormal operations are listed in Section 7.5 – Process Issues & Recommendations. There may be more than one message associated with an activity.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization and role of the intended recipient.

Table 7.4-1 Messages

Core Process G – Intake Offender				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.	Inmate Released from Prison	Email / Fax / Physical	Provides necessary paperwork to the Intake Office of released inmates	Intake Operations Staff
2.	Court Orders Offender to Supervision	Email / Fax / Physical	Provides necessary notification and paperwork to the Intake Office of offenders ordered for supervision	Field Office
6.	Instruct Offender	Phone / Physical	Notification of law enforcement for arrest of an offender with an active open warrant	Law Enforcement

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.1	Offender Absconds	Email	Notify Absconder Unit of a Be-On-The-Lookout (BOLO) for any high risk offenders that have absconded.	Absconder Unit



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.2	Provide Tips	Email / Phone	Information provided to locate the absconded offender	Absconder Unit or Field Office
1.3	Open Investigation	DC Report	Field Office Supervisor's report of new absconder investigations when opened in OBIS	Field Office
1.4	Create Violation documents	Electronic Physical	Obtain signature on Warrant for arrest when an offender has absconded.	Courts
1.7	Change Offender Status	Auto Email	Automatic email to notify Absconder Unit of change in offender absconder status in OBIS	Absconder Unit

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
2.1	Submit Payment	Vendors	Offender pays through JPAY.	COPS Accounting
2.1	Submit Payment	Physical	When a payment is scheduled the payment may be brought physically to the Field Office by an offender	Field Office
2.2	Payments Received	Physical	If a payment is received at the Field Office, the Field Office is responsible for depositing the checks in the bank	Bank
2.3	Payment Accepted	Email	An email is sent to the Field Office from COPS Accounting with any issues with the payment. Once resolved an email is sent back to COPS Accounting	Field Office



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
2.3	Payment Accepted	US Mail	If the payment can not be accepted and the offender's address is known, the payment is mailed back to the offender	Offender
2.5	Payment Deposited	Email	An email is sent to the Field Officer identifying any issues with the payment	Field Officer
2.5	Payment Deposited	US Mail	If the payment cannot be identified to an offender and deposited, however the offender's return address is known, the payment is returned to the offender for proper identification (Offender
2.5	Payment Deposited	Physical	A deposit by COPS Accounting is processed through the bank	Bank
2.7	Funds Disbursed	File	A file is created of checks issued or voided and transmitted to the Bank	Bank
2.7	Funds Disbursed	US Mail	A check is mailed to the payee	Payee
2.10	Returned or Non-cashed Checks	Email	An email is sent to the Field Office from COPS on any issues with returned checks and updates required for new addresses.	Field Officer

Sub-Process 3 - Investigations				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
3.1	Request Investigation	Email / Fax / Phone	To request research on an offender. Depending on the size and organization of the Field Office it may be the assigned Field Officer or Supervisor as well	Intake Operations Staff



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Sub-Process 3 - Investigations				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
3.3	Assign Investigation to Field Office	Email /Fax / Phone	Notification to the Field Office Supervisor and/or Field Officer that an investigation has been assigned (for those investigations that are high priority)	Field Office
3.6	Close Investigation	Email /Fax / Phone	Any follow up documents or information requested	Investigation Requestor

Sub-Process 4 - Transfer				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
4.1	Offender Requests a Transfer	Physical	An offender speaks to their assigned Field Officer and physically requests a transfer.	"Sending" Field Officer
4.2	Evaluate Request and Make Recommendation	Physical / Phone	The assigned "Sending" Field Officer informs the offender the transfer request was denied and the reason for the denial.	Offender
4.3	Prepare Transfer Documents	Email / Fax / US Mail	The assigned "Sending" Field Officer sends transfer documents to the "Receiving" Field Office regarding an offender's request to transfer to another in-state Field Office for supervision – Intrastate.	"Receiving" Field Office
4.3	Prepare Transfer Documents	ICOTS	The assigned "Sending" Field Officer sends transfer documents to the "Sending" - Interstate Compact Office regarding an offender's request to transfer out of state.	"Sending" Interstate Compact Office
4.4	"Sending" Interstate	ICOTS	Notification from the "Sending" Interstate Compact Office to the "Receiving"	"Receiving" Interstate



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
	Compact Evaluates Request / Recommendation		Compact Office regarding the offender's Interstate transfer request.	Compact Office
4.4	"Sending" Interstate Compact Evaluates Request / Recommendation	ICOTS	Notification back to the "Sending" Field Office from the "Sending" Interstate Compact Office regarding the decision of the offender's interstate transfer request.	"Sending" Field Office
4.5	"Receiving" Interstate Compact Evaluates Request / Recommendation	ICOTS	Notification back to the "Sending" Interstate Compact Office from the "Receiving" Interstate Compact Office regarding the decision of the offender's interstate transfer request.	"Sending" Interstate Compact Office
4.5	"Receiving" Interstate Compact Evaluates Request / Recommendation	ICOTS	Notification to the "Receiving" Field Office from the "Receiving" Interstate Compact Office regarding the offender's interstate transfer request for investigation.	"Receiving" Interstate Compact Office
4.6	Investigate Request and Make Recommendation	ICOTS	Notification from the "Receiving" Field Office to the "Receiving" Interstate Compact Office of the recommendation of the offender's interstate transfer investigation request.	"Receiving" Interstate Compact Office



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Sub-Process 4 - Transfer				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
4.6	Investigate Request and Make Recommendation	Phone	Notification from the "Receiving" Field Office to the "Sending" Field Office of the recommendation on the offender's intrastate transfer request and reporting instructions (if approved).	"Sending" Field Office
4.7	Notice Received for Approval or Denial	ICOTS	Notification to the offender from the "Sending" Field Office of the decision on the transfer request and reporting instructions (if approved).	Offender
4.8	Generate Offender Travel Documents	Phone / Email / Fax / US Mail	Notification from the "Sending" Field Office to the "Receiving" Field Office. The "Sending" Field Office calls the "Receiving" Field Office for the offender's intrastate reporting instructions and then the final paperwork is send to the "Receiving" Field Office (may be the same phone call as noted in Index 6 above).	"Receiving" Field Office
4.8	Generate Offender Travel Documents	ICOTS	Notification from the "Sending" Interstate Compact Office to the "Sending" Interstate Compact Office with the offender's notice of departure.	"Sending" Interstate Compact Office



7.5 PROCESS ISSUES & RECOMMENDATIONS

This section lists the issues that have arisen while analyzing the core and sub-processes. These are the difficulties that result in an activity losing its effectiveness, degrading its efficiency and hindering its adaptability. Each activity can have more than one issue associated with it.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Issue	Short description for the issue.
Impact	Impacts or consequences of the issue (e.g., confusion, delay, error, incident).
Recommendation	Recommendation for addressing the issue or reducing its impact (if any).

Table 7.5-1 Process Issues & Recommendations

Core Process G – Intake Offender				
Index Number	Activity Label	Issue	Impact	Recommendation
1.	Inmate Release from Prison	The OBIS report that is pulled of institution releases is obsolete the minute it has been printed.	Inaccurate or incomplete data	Intake Office to have live access to prison releases and not rely on a printed report
1.	Inmate Release from Prison	Inmates being released that have immigration issues	Inmates are coming out into the Field instead of being handled by immigration – possible public and Field Officer safety issue and/or flight risk. This has been decreasing. ICE decides whether to detain or not detain – not FDC.	Intake Office to have live access to prison releases and not rely on a printed report.



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Index Number	Activity Label	Issue	Impact	Recommendation
1.	Inmate Release from Prison	<p>Currently the completed DC4-661 Summary of Outpatient Mental Health Care form is mailed to the inmate's assigned Field Office. Field Officers interviewed during the site visits state they do not currently receive the inmate mental health information. Due to the Field Office assignments changing before the inmate is released these forms are being mailed and getting lost.</p> <p>Inmate mental health forms are no longer completed in Community Corrections.</p>	<p>Offenders may only have 30 days of medications. Field Officers do not have all information regarding the released offender and poses a Field Officer or public safety issue.</p>	<p>Suggest locating forms in a secure network location and during the offender's intake process these forms could be located and placed in the offender's file.</p>



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Index Number	Activity Label	Issue	Impact	Recommendation
1.	Inmate Release from Prison	<p>Currently the completed DC4-657 Discharge Summary for Inpatient Mental Health Care form is mailed to the inmate's assigned Field Office. Field Officers interviewed during the site visits state they do not currently receive the inmate mental health information.</p> <p>Due to the Field Office assignments changing before the inmate is released these forms are being mailed and getting lost.</p> <p>Inmate mental health forms are no longer completed in Community Corrections.</p>	Offenders may only have 30 days of medications. Field Officers do not have all information regarding the released offender and poses a Field Officer or public safety issue.	Suggest locating forms in a secure network location and during the offender's intake process these forms could be located and placed in the offender's file.
2.	Court Orders Offender to Supervision	Court processing procedures (e.g., judge's signature, calendar processing, and clerk's schedule) could delay the production and delivery of the Probation Order to the appropriate supervision office.	The court ordered special conditions of the sentence structure may be incorrect and offender may not be supervised appropriately	Investigate the ability to share critical information to improve supervision and treatment of an offender (e.g., access to court systems electronic records).



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Index Number	Activity Label	Issue	Impact	Recommendation
3.	Receive Referral for Processing	The actual process of processing an offender for supervision is a labor intensive process. Activities such as verifying inmate releases, searching arrest logs and sentencing structures, and investigating offenders that do not report to the Intake Office are time consuming and very dependent on a manual a process.	Labor costs, offenders are potentially unsupervised	Utilize a Court Officer to expedite the process from the courts in all locations.
4.	Input / Validate Offender Data	In OBIS, Field Officer's must decipher and/or re-enter inconsistent date formats on the various input/verification screens (e.g., OIT field editing).	Format of dates is not consistent in OBIS	OIT could research the possibility for short term improvement in OBIS to change field edits for system dates to be consistent across all screens (e.g., OIT field editing and one time database update).



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Index Number	Activity Label	Issue	Impact	Recommendation
4.	Input / Validate Offender Data	The use of the Rapid ID electronic identification application is not always fully operational (e.g., application or hardware issues).	Quality of fingerprints impact accuracy of identification with the Rapid ID system.	Review the overall issues reported by the Field Offices to see if there is anything that seems to be the same issue across the board that could be corrected easily with Rapid ID.
7.	Assign Offender to Field Officer	The assignment of an offender to a Field Officer based on caseload type and statutory caseload sizes.	Field Officers are assigned caseloads based on caseload type and statutory requirements.	
7.	Assign Offender to Field Officer	The procedure change to "GAIN" an offender coming from an Institution	Delay in getting the offender into supervision	Allow Field Office to work with the Institution to access inmate information prior to release. This has been improving with training.

Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Issue	Impact	Recommendation
1.3	Open Investigation	The IT05 Absconder Tracking Screen pulls data; however the data is in a difficult to read format and is not user friendly.	There could be a delay in the investigation process for an absconder case	Research the possibility to create a more user friendly screen in order to display tracking data



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Issue	Impact	Recommendation
1.3	Open Investigation	An automated notification email is not relayed to the Field Office Supervisor when an open investigation tip is entered into the Absconder Tracking Screen.	A delay in the assignment of the investigation to the Field Officer thereby prompting an immediate investigation.	Research the ability to prompt an email notification in order to expedite the process of an investigation assignment by the Field Officer's Supervisor when a tip is entered on IT05 Absconder Tracking Screen.
1.4	Create Violation Documents	The generation of the violation documents is a manual process from MSWord documents on DC Web.	This causes delays, errors, eligible handwriting and misfiling in processing the violation	Research the ability to automate the violation documents and auto populate with already existing OBIS data
1.4	Create Violation Documents	OBIS does not allow for capture of images of offender data therefore the documents are kept in hardcopy format.	Having to maintain hardcopies increases costs related to storage of hardcopy files	Research the ability to allow for the capturing of electronic images (e.g., forms, signature, photos)
1.6	Investigation to Locate Absconder	Booking notices are not electronically shared between agencies and states.	The validation and research of this data is untimely and labor intensive	Research the ability to exchange electronic daily booking data with agencies and other states and merged with OBIS data. This would allow reports to be printed real time of offenders being incarcerated and save time of Field Officer staff attempting to locate these offenders.



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Sub-Process 1 - Absconder Management				
Index Number	Activity Label	Issue	Impact	Recommendation
1.7	Change Offender Status	The Field Office Supervisor is not currently copied when the automatic Absconder Unit email is generated in response to an absconder offender's status is changed from absconder.	This causes delays in initiating the violation investigation or when the case has been resolved	Research the ability to prompt an email notification to the Field Officer's Supervisor
1.7	Change Offender Status	An automated email is not relayed to the Absconder Unit and Field Office Supervisor at the time an OBIS status is changed to "Absconder" on a sex offender. This expedited the BOLO notice.	This causes delays in initiating the violation investigation or when the case has been resolved	Research the ability to prompt an email notification to the Field Officer's Supervisor

Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Issue	Impact	Recommendation
2.1	Submit Payment	The offender makes a payment at the Field Office and the Field Office staff do not follow the COPS Accounting procedures for validating and depositing payments.	This can result in an internal investigation, errors in deposits, lost or late deposits	Retrain the Field Office staff that are having these issues
2.3	Payment Accepted	When a payment is received and voided, a MS Outlook message is sent to the supervising probation officer and the supervisor.		



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Sub-Process 2 - Court Ordered Payments (COPS)				
Index Number	Activity Label	Issue	Impact	Recommendation
2.4	Payment Identified	There are four ways to pay using JPAY.		JPAY is in place for payments.

Sub-Process 3 - Investigations

Note: There were no process issues identified for this sub-process.

Sub-Process 4 - Transfer				
Index Number	Activity Label	Issue	Impact	Recommendation
4.3	Prepare Transfer Documents	Incomplete or late submission of transfer packets	Interstate: Interstate Compact rules are being violated	Email reminders are sent and it is noted in OBIS. ICOAS compliance has increased.
4.4	“Sending” Interstate Compact Evaluates Request / Recommendation	Delay in response to request	Interstate: Interstate Compact rules are being violated	ICOTS/email reminders being sent. ICOAS compliance has increased.
4.5	“Receiving” Interstate Compact Evaluates Request / Recommendation	Delay in response to request	Interstate: Interstate Compact rules are being violated	ICOTS/email reminders being sent. ICOAS compliance has increased.



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Sub-Process 4 - Transfer

Index Number	Activity Label	Issue	Impact	Recommendation
4.8	Generate Offender Travel Documents	Delay in response to request	Interstate: Interstate Compact rules are being violated	Email reminders being sent. ICAOS compliance has increased.



7.6 GENERAL OPPORTUNITIES FOR IMPROVEMENT

The purpose of this document is to capture general overall improvement suggestions that can apply as an improvement to multiple areas under the function and responsibility of Community Corrections.

The following is a description and definition of each of the columns in this table.

Origin	The area of the improvement such as: Interstate Compact, Absconder Unit, Central Office etc.
Description	A short descriptive name for the opportunity.
Opportunity	Description of the proposed opportunity, including expected result.

Table 7.6-1 General Opportunities for Improvement

General Opportunities for Improvement		
Origin	Description	Opportunity
COPS Accounting	COPS Summary Screen	OP10 – Summary screen OP03 and OP05 do not add up to the summary screen if you manually add. Summary screen is currently not built user friendly for the Field Officers. You have to know exactly how to execute the report to get the summary to calculate correctly.
COPS Central Office	Email Notification	Once an action is taken in OBIS that requires subsequent action, an email is sent automatically to the assigned/secured/required responder web-based email management application (e.g., Outlook)
Gang Depart	Gang Member Report	Have Gang Member report to automatically run and routed to the individual Field Office printers due to urgent nature of getting this information in the hands of the Field Officers (instead of manually being routed to each Field Office printer).
Observation	Laptop for Court Officers	Laptops have been provided to court officers but paper forms are utilized in some courts.
OCC	CJNET	Allow view only access on CJNET web link for OBIS view only screens. This way anyone who has access to CJNET would automatically be given the view only screens. There would be no need for security, contracts etc. for access for State Attorney's etc.

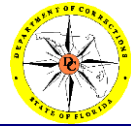


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General Opportunities for Improvement		
Origin	Description	Opportunity
OCC	SAGES web link	<p>Alter the SAGES web link to store scoresheet data in OBIS. Currently, the State Attorney only has access to the SAGES calculator and which does not provide the full offender history.</p> <p>The SAGES web link also needs to upload from the web link into OBIS once the sentencing calculation is completed for the offender. Otherwise this data is lost once the report is printed.</p>
OCC	OT21 Inmate Sentencing Structure Screen	On the OT21 Inmate Sentencing Structure Screen there is only the ability to enter 2 sentence lengths. There needs to be 3 sentence lengths entries/fields.
OCC	DC17 for Florida Commission on Offender Review	<p>Florida Commission on Offender Review currently calculate conditional release on a hardcopy form and put in a note format on the OBIS RA06 screen.</p> <p>The majority of RA06 doesn't load to Community Corrections correctly. If the Commission was given access to a copy of DC17 screen they would be able to calculate the conditional release online.</p>
OCC/Field (Workshop)	Inmate/Offender Full History Screen or Report	Enable the Field Officer to view full or print total offender's history (Inmate at a Glance) Need Offender at a Glance screen-web based.

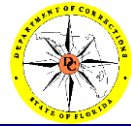


State of Florida
Department of Corrections
Office of Information Technology

Community Corrections Core Business Process Analysis

Core Process I: Release Offender Process

Author:	North Highland
Vendor:	The North Highland Company
Version:	4.0
Creation Date:	January 23, 2008
Last Accessed:	9/19/2024 12:20 PM
File Name:	Community Corrections - Business Process Analysis - Release Process - v4.0



Document Control

Change Record

Date	Author	Version	Change Reference
1/23/2008	North Highland	0.01 (Draft)	Created
4/7/2008	North Highland	2.0	Revised from Jenny Nimer feedback
10/30/2016	North Highland	3.0 (Draft)	Updated documents reflecting any business process changes from the 2008 study
11/18/2016	North Highland	4.0	Updated documents reflecting feedback from FDC on draft document

Review

Name	Role	Date
Chuck Beckett	NH Quality Control Review	10/28/2016
FDC	Client Review	11/10/2016
Tad McDonald	NH Quality Control Review	11/17/2016



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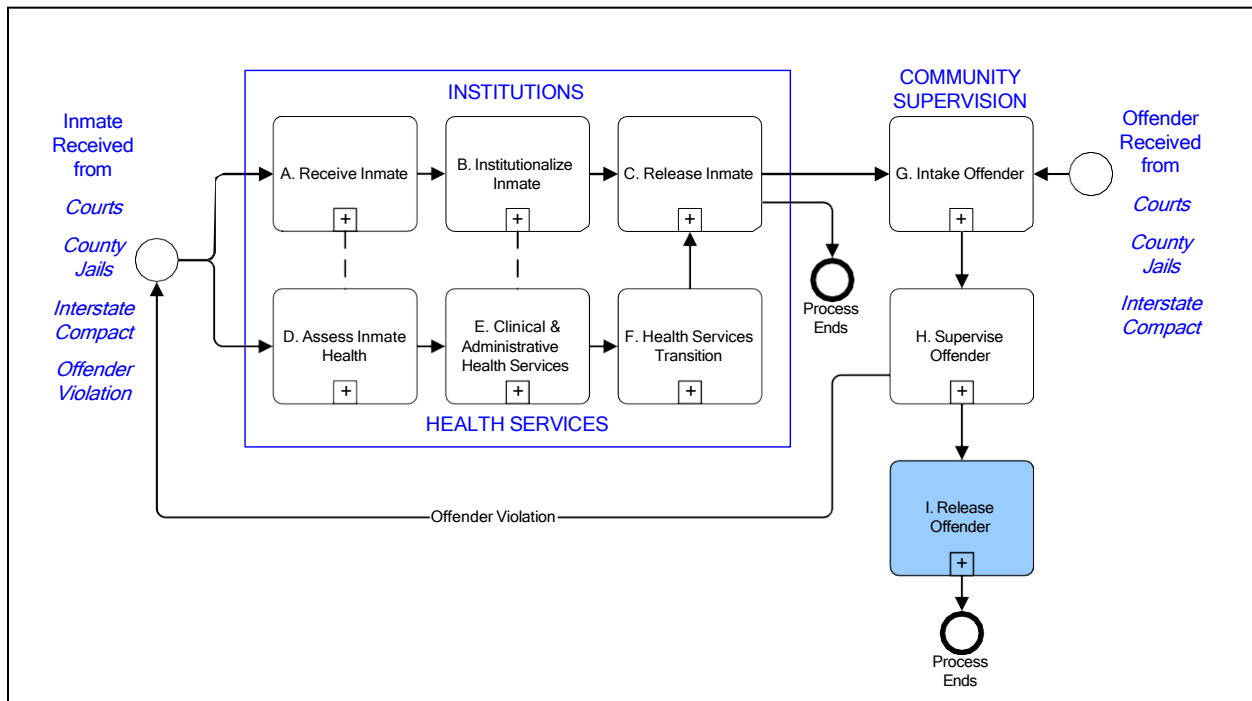
1 DC CORE BUSINESS PROCESSES

1.1 THE PURPOSE AND SUBJECT OF THIS ANALYSIS

The Department of Corrections (Department, DC) is carrying out an analysis of its major business processes. The primary intent of this activity is to establish the foundation for the development of a new business system, which will replace the Offender-Based Information System (OBIS); the Computer Assisted Reception Process (CARP) system was subsumed by OBIS after the completion of the 2008 analysis. This analysis will also result in a set of functional and technical requirements for the new business system.

The figure below shows the entire DC set of nine core business process examined during this project; identified by the letters A through I, and the general sequence in which they are carried out. The box highlighted in blue indicates the core business process presented in this document.

Figure 1.1-1 Department of Corrections Core Business Processes





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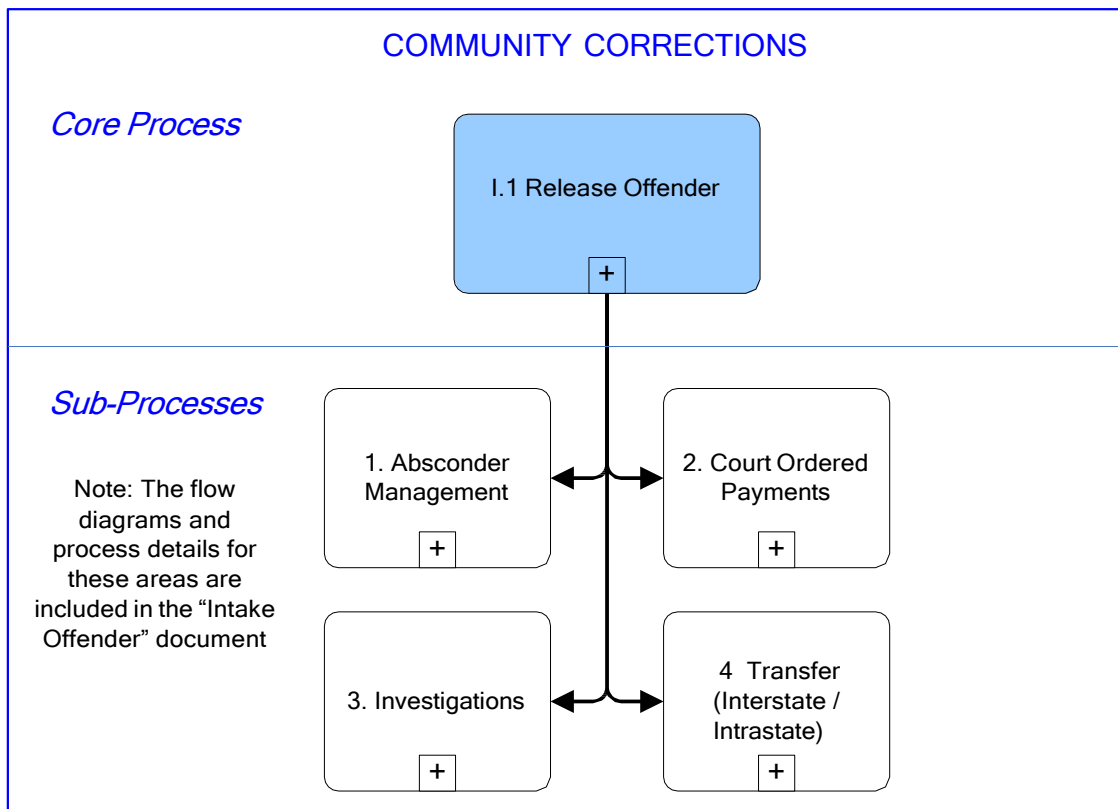
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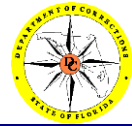


For clarity and convenience, the Community Corrections Release Offender process has been divided into four numbered sub-processes. Since these sub-processes; Absconder Management, Court Order Payments, Investigations and Transfer could occur in any of the three core processes; Intake, Supervise or Release, each of the numbered sub-processes is described in detail in the Intake process document.

The figure below identifies the Release Offender core process and four sub-processes name and numbered four sub-processes.

Figure 1.1-2 Release Offender Core Business Processes





2 RELEASE OFFENDER

2.1 OVERVIEW

This document was first created in 2008 and has been modified in 2016 by members of the Community Corrections staff to ensure it comports with current (2016) business practices.

The Community Corrections process of releasing (Release Offender) offenders into supervision follows a set process order of activities and is conducted in the same manner for each offender. These activities are detailed on a flow diagram and corresponding tables in the following section.

Table 2.1-1 Release Offender Activities

Community Supervision Releases from July 1, 2014 to June 30, 2015											
Supervision Type	Revoked New Felony	Revoked New Misdemeanor	Revoked Technical Violation	Pardon	Death	Normal Term	Early Term	Court Action	Return Other State Case	Total	Percent
Original Sentence											
Probation Total	6,538	2,232	10,151	0	706	14,492	10,644	6,864	1,386	53,013	61.6%
Felony Probation	6,173	2,049	9,004	0	624	12,352	9,610	6,058	1,359	47,229	54.9%
Misdemeanor Probation	238	147	839	0	24	1,351	694	540	17	3,850	4.5%
Administrative Probation	47	14	18	0	17	519	188	189	0	992	1.2%
Sex Offender Probation	80	22	290	0	41	270	152	77	10	942	1.0%
Drug Offender Probation Total	1,679	643	3,736	0	138	1,757	2,381	1,075	10	11,419	13.3%
Community Control Total	778	283	2,924	0	53	362	278	366	2	5,046	5.9%
Community Control	772	280	2,896	0	52	360	276	364	2	5,002	5.8%
Community Control - Sex Offender	6	3	28	0	1	2	2	2	0	44	0.1%
Pretrial Intervention Total	123	114	1,587	0	27	1,261	4,655	2,719	0	10,486	12.2%
Pretrial Intervention (PTI)	90	92	1,153	0	19	1,199	3,617	1,381	0	7,551	8.8%
PTI - Drug Court	33	22	434	0	8	62	1,038	1,338	0	2,935	3.4%
Original Sentence Total	9,118	3,272	18,398	0	924	17,872	17,958	11,024	1,398	79,964	92.9%
Post-Prison Release											
Parole Total	3	7	1	0	25	202	40	26	429	733	0.9%
Florida Parole	3	7	1	0	8	5	8	20	2	54	0.1%



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Other State Parole	0	0	0	0	17	197	32	6	427	679	0.8%
Conditional Release Total	224	152	713	1	27	2,768	1	447	0	4,333	5.0%
Control Release Total	0	1	2	0	2	1	0	2	0	8	0%
Control Release	0	1	2	0	2	1	0	1	0	7	0.0%
Administrative Control Release	0	0	0	0	0	0	0	1	0	1	0.0%
Addiction Recovery Total	11	8	72		3	876	2	68	0	1,040	1.2%
Other Post-Prison Release Total	0	0	4		9	7	0	1	0	21	0.0%
Post-Prison Release Total	238	168	792	1	66	3,854	43	544	429	6,135	7.1%
Grand Total	9,356	3,440	19,190	1	990	21,726	18,001	11,568	1,827		

2.1.1 Purpose and Objectives of this process

The purpose of the Community Corrections – Release Offender core process is to perform activities associated with the end of supervision for an offender that has successfully completing the conditions of supervision and is ready to transition back into the community. The community supervision release population consists of all offenders permanently removed from the Florida Department of Corrections from a specific term of supervision due to satisfaction of the sentence, a pardon, return to another State, death, revocation, or other court termination action.

The objectives of this process are:

- Prepare offenders for a smooth transition back into the community
- Provide termination of supervision instructions to offenders
- Create release documentation to the various agencies and/or individuals
- Document offender release in OBIS and in hardcopy file

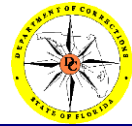
2.1.2 Beginning and Ending Points

Beginning Point:

- Generate offender release documents

Ending Point:

- Update offender data and remove from caseload



2.2 ACTIVITIES & WORKFLOW DIAGRAMS

Table 2.2-1 lists the activities that make up the Release Offender Core Process. The index numbers used in this table correspond to the numbered activity boxes in the workflow diagrams found at the end of this section.

The following is a description and definition of each of the columns in tables presented in this section.

Index Number	A number for use in referencing the activity
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity
Actors	The job or role title of the individuals having a primary role for that activity

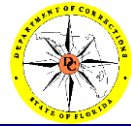
Table 2.2-1 Release Offender Activities

Core Process I – Release Offender Activities			
Index Number	Activity Label	Activity Description	Actors
1.	Generate Offender Release Documents	<p>There are two reviews completed before an offender’s release. A 90 day review and approximately 30 days before an offender is scheduled to be released from supervision the assigned Field Officer performs certain activities to validate the offender is adhering to the terms of supervision. Several items are verified to be current such as COPS – Court Ordered Payments, completion of conditions to include community service, drug treatment completed (verification letter requested), record checks for any new arrests. The offender is notified of any outstanding items that must be completed before they are released from supervision. The Field Officer may not always be able to resolve all issues in COPS before processing an offender’s termination of supervision.</p> <p>The Field Officer provides the Supervisor with release documents for the Supervisor’s final review and approval of the release.</p> <p>An offender may be released from supervision also to prison, jail, sentencing authority action, or death.</p>	<p>Field Office</p> <p>(If required: Interstate Compact personnel)</p> <p>Victim/Victim’s family (if applicable)</p>



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Core Process I – Release Offender Activities

Index Number	Activity Label	Activity Description	Actors
2.	Release Offender from Supervision	<p>The Field Officer runs a records check to insure there are no outstanding warrants or unreported new law offenses. The Field Officer reviews the terms of the release with the offender and includes any other required instructions for special conditions e.g., sex offender, career offender, referrals for treatment programs, support services etc. The termination letter is provided to the offender at a later date. A copy of the termination letter is sent to the Clerk of the Court (if required) or to the Florida Commission on Offender Review's records administrator. Other state cases supervised in Florida under the Interstate Compact are not provided a termination letter from a Florida Field Officer.</p>	<p>Field Office (Officer / Supervisor) Offender</p>



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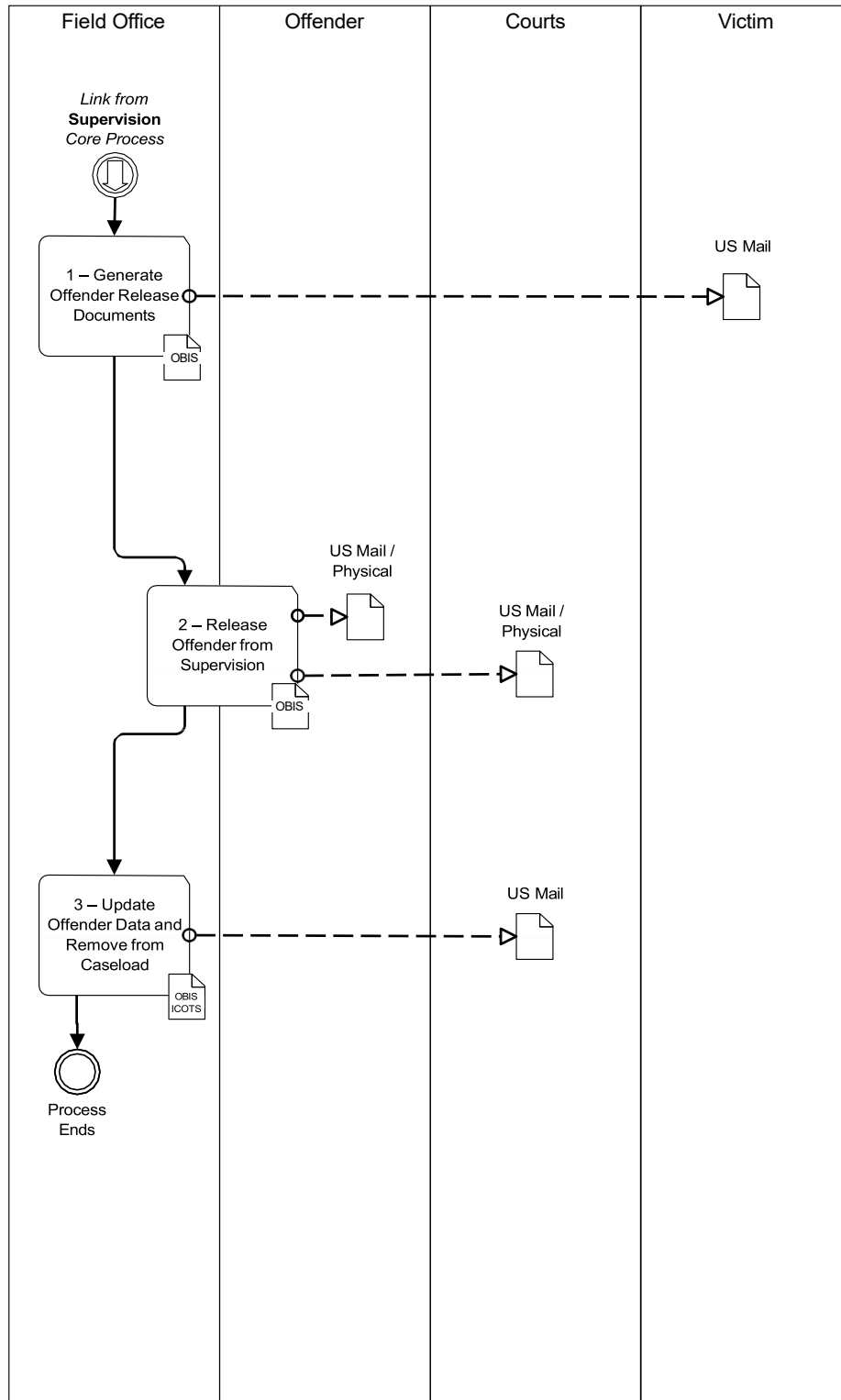
Core Process I – Release Offender Activities			
Index Number	Activity Label	Activity Description	Actors
3.	Update Offender Data and Remove from Caseload	<p>The Field Officer prepares a transaction register entry in order to record the removal (loss) of the offender from the supervision caseload. For other state cases supervised in Florida, the Field Officer will also complete a Case Closure Notice in ICOTS and submit the Case Closure Notice through ICOTS. For Florida cases supervised in another state the Field Officer will complete a Case Closure Notice Reply in ICOTS and submit it through ICOTS to validate the Case Closure Notice received from the other state. Additionally, the Field Officer generates a termination of supervision letter stating such. The victim or the victim's family is notified of the offender's release date from supervision in written form by mailing the "Notification of Offender Status" letter (if VINE letter not previously sent).</p> <p>An OBIS entry is made to document the offender's loss status and to remove the offender from the Field Officer's case load.</p> <p>The Field Officer prepares the offender's file for closure using a "File Closure Check-Off" form insuring that appropriate coding was entered into OBIS, appropriate actions were taken to secure offender health records, and any other required documentation has been included in the file. An OBIS entry is made to a status of 'inactive' in OBIS. The file is imaged in accordance with policy and available for view until removed from the database. If the released offender has had no further offenses after three years the electronic file is destroyed.</p>	<p>Field Office (Officer/ Supervisor/CJIT)</p> <p>Courts (Clerk's Office, Florida Commission on Offender Review)</p>

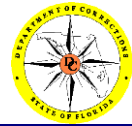
Figure 2.2-1 Release Offender As-Is Workflow



Florida Department of Corrections

Community Corrections Business Process Analysis





2.3 ELAPSED TIME

This section describes the time limits or goals required to complete the activities that make up the Release Offender core process.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, DC policy, etc.)
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Table 2.3-1 Elapsed Time

Core Process I – Release Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
1.	Generate Offender Release Documents	30 days prior to release	Procedures 302.325, 302.003	N/A
1.	Generate Offender Release Documents	Within 30 days after term	Procedures 302.325, 302.004	N/A
2.	Release Offender from Supervision	30 days prior to release	Procedures 302.325, 302.003	N/A
3.	Update Offender Data and Remove from Caseload	Immediate	Procedures 302.325; 302.004	N/A
3.	Update Offender Data and Remove from Caseload	Within 60 days of release	Procedures 302.325; 302.004	N/A

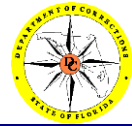


Florida Department of Corrections

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Core Process I – Release Offender				
Index Number	Activity Label	Limit or Goal Time	Limit or Goal Source	Speed Bumps
3.	Update Offender Data and Remove from Caseload	Loss Code is Entered Within 2 days of release Case Closure Notice submitted through ICOTS Case Closure Notice Reply submitted through ICOTS	Procedure 302.325 301.001	N/A
3.	Update Offender Data and Remove from Caseload	Close File and Image Within 90 days of release	Procedures 302.325, 302.004	N/A



2.4 PAPER DOCUMENTATION

This section describes the paper documents required to complete the activities that make up the Release Offender core process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document, if any. More than one document may be required to carry out a single activity, so each is listed. The following is a description and definition of each of the columns in this table.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Title of the source instruction or policy.

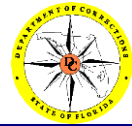
Table 2.4-1 Paper Documentation

Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Generate Offender Release Documents	Pre-Termination Review (DC3-243)	Activities validate the offender is adhering to the terms of supervision	Procedure 302.325, 302.003
1.	Generate Offender Release Documents	Transaction Register (DC3-212)	Transaction register with loss entered	Procedure 302.325
1.	Generate Offender Release Documents	Notice of Privacy Practices (DC3-2006)	Describes how offender medical information may be used and disclosed	Procedure 302.325, 302.004
1.	Generate Offender Release Documents	Termination of Supervision Letter (OCC)	Letter to the offender notifying them of the release from supervision details	Procedure 302.325



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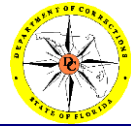


Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
1.	Generate Offender Release Documents	<p>Dependent on the releasing authority, one of the documents may also be used:</p> <p>Order of Revocation of Probation (DC3-259)</p> <p>Order Terminating Probation (DC3-257)</p> <p>Court Order Terminating Probation (DC3-258)</p> <p>Florida Commission on Offender Review Discharge Letter</p>	Forms documenting reason for terminating supervision	Procedure 302.325
1.	Generate Offender Release Documents	Notification of Offender Status (OCC)	Notifies victim (if applicable) of offender being released from supervision	Procedure 302.325
2.	Release Offender from Supervision	Notice of Privacy Practices (DC3-2006)	Describes how offender medical information may be used and disclosed (offender signature required)	Procedures 302.325, 302.004



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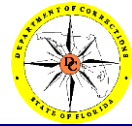


Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.	Release Offender from Supervision	<p>Dependent on the releasing authority, one of the documents may also be used:</p> <p>Order of Revocation of Probation (DC3-259)</p> <p>Order Terminating Probation (DC3-257)</p> <p>Court Order Terminating Probation (DC3-258)</p> <p>Florida Commission on Offender Review Discharge Letter</p>	Forms documenting reason for terminating supervision (copy)	Procedure 302.325
2.	Release Offender from Supervision	<p>Notice of Responsibilities as Required by Statute for Offenders Being Discharged from the Care, Custody and/or Control Without Supervision (DC3-203B)</p>	Provides sex offenders instruction and responsibilities of supervision	Procedure 302.325



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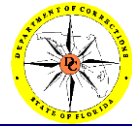


Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
2.	Release Offender from Supervision	Career Offender Notice of Offender Responsibilities as Required by Statute For Offenders Being Discharged From Supervision (DC3-2001B)	Provides career offenders instruction and responsibilities of supervision	Procedure 302.325
3.	Update Offender Data and Remove from Caseload	Pre-Termination Review (DC3-243)	Activities validate the offender is adhering to the terms of supervision	Procedures 302.325, 302.003
3.	Update Offender Data and Remove from Caseload	Transaction Register (DC3-212)	Transaction register with loss entered	Procedure 302.325
3.	Update Offender Data and Remove from Caseload	Notice of Privacy Practices (DC3-2006)	Describes how offender medical information may be used and disclosed	Procedure 302.325
3.	Update Offender Data and Remove from Caseload	Termination of Supervision Letter (OCC)	Formal letter mailed to the offender notifying him/her of release from supervision	Procedure 302.325

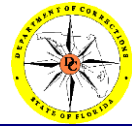


Florida Department of Corrections

Community Corrections Business Process Analysis



Core Process I – Release Offender				
Index Number	Activity Label	Document Title	Document Description	Reference or Source
3.	Update Offender Data and Remove from Caseload	<p>Dependent on the releasing authority, one of the documents may also be used:</p> <p>Order of Revocation of Probation (DC3-259)</p> <p>Order Terminating Probation (DC3-257)</p> <p>Court Order Terminating Probation (DC3-258)</p> <p>Florida Commission on Offender Review Discharge Letter</p>	Forms documenting reason for terminating supervision	Procedure 302.325
3.	Update Offender Data and Remove from Caseload	Notification of Offender Status (OCC)	Notifies victim (if applicable) of offender being released from supervision	Procedure 302.325
N/A	General form that may be utilized throughout the process	Recommendation to Early Terminate Probation (DC3-272)	Requests early termination from supervision	Procedure 302.325



2.5 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

This section describes the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the Release Offender core process.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one: "Input" for data entry by the user, "Query" for data retrieved by the user, and "TXFR" for electronic data transfer from one system to another.

Table 2.5-1 Business System Data Entry & Data Transfer

Core Process I – Release Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
1.	Generate Offender Release Documents	OBIS	The Officer prepares a Transaction Register in OBIS in order to record the offender "loss" under the terms of supervision	Input/Query
1.	Generate Offender Release Documents	OBIS	The Officer conducts a final inquiry to the COPS screens in OBIS to insure all financial obligations have been addressed	Input/Query
1.	Generate Offender Release Documents	OBIS	The Officer conducts a final inquiry to the Investigation screens in OBIS to insure all current investigations have been addressed	Input/Query
2.	Release Offender from Supervision	E-Agent	The Officer conducts a final search of E-Agent (newly instituted application through FDLE) in order to confirm that there are not any open warrants on the offender A E-Agent search queries NCIC, FCIC, and DAVID systems	Input/Query



Florida Department of Corrections

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Core Process I – Release Offender				
Index Number	Activity Label	Business System	Purpose or Intent	Mode
3.	Update Offender Data and Remove from Caseload	OBIS ICOTS	Case notes are updated and the offender is “lost” from both the Field Office and the Field Officer’s case load in OBIS Case Closure Notice is submitted to the Sending state for validation of closure of other state cases supervised in Florida. Case Closure Notice Reply is submitted to the Receiving state to validate closure of Florida cases supervised in another state.	Input/Query



2.6 MESSAGES

This section the messages, such as the US mail, emails, phone calls and any other correspondence, regularly used in the normal course of the Release Offender core process. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. Trouble calls and other messages associated with recurring abnormal operations are listed in Section 2.7 – Process Issues & Recommendations. There may be more than one message associated with an activity.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization and role of the intended recipient.

Table 2.6-1 Messages

Core Process I – Release Offender				
Index Number	Activity Label	Message Type	Message Purpose	Message Recipient
1.	Generate Offender Release Documents	US Mail/Email	If required, a letter (Notification of Offender Status) is mailed to the victim or victim’s family that the offender has completed terms and is being released from supervision.	Victim
2.	Release Offender from Supervision	US Mail / Physical/ Email	The termination letter notifies the offender they have completed the terms and conditions of supervision and options regarding restoration of civil rights.	Offender
2.	Release Offender from Supervision	US Mail / Physical/ Email	A copy of the termination letter is sent to the Clerk of the Court (if required) or to the Florida Commission on Offender Review’s records administrator.	Courts
3.	Update Offender Data and Remove from Caseload	Inter office Mail	Notice of Privacy Practices (Pre-Signed by offender) and any other HIPPA related documents sent to the circuit office.	Circuit office



2.7 PROCESS ISSUES & RECOMMENDATIONS

This section lists the issues that have arisen while analyzing the Release Offender core process. These are the difficulties that result in an activity losing its effectiveness, degrading its efficiency and hindering its adaptability. Each activity can have more than one issue associated with it.

The following is a description and definition of each of the columns in this table.

Index Number	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Issue	Short description of the issue.
Impact	Impacts or consequences of the issue (e.g., confusion, delay, error, incident).
Recommendation	Recommendation for addressing the issue or reducing its impact (if any).

Table 2.7-1 Process Issues & Recommendations

Core Process I – Release Offender				
Index Number	Activity Label	Issue	Impact	Recommendation
1.	Generate Offender Release Documents	The release documents are manually created from MS Word documents that are retrieved from DC Web.	Errors, Eligible, Misfiling	Auto populate release documents with already existing data stored in OBIS
1.	Generate Offender Release Documents	Appropriate individuals are not electronically notified of offender release dates. Manual exceptions reports are researched on OBIS to determine appropriate actions and adherence to supervision.	Errors, Delay	Generate electronic calendar reminders of upcoming offender release dates specific to the Field Officers caseload This concern has improved with time and the use of the ASI4 0 PPS 31 report

Appendix E: Glossary

The glossary provides definitions for technical terms, acronyms, and industry jargon used throughout the Schedule IV-B document. This section ensures clarity and understanding for all stakeholders, including those who may not be familiar with specific terminology.

See below:

Acronym	Description
API	Application Programming Interface
BPR	Business Process Re-Engineering
CAOSS	Classification Appointments Overview and Scheduling System
CICS	Customer Information Control System (specific to IBM)
CINAS	Corrections Integrated Needs Assessment System
CJIS	Criminal Justice Information Systems
COBOL	Common Business-Oriented Language
COPS	Court-Ordered Payment System
COTS	Commercial Off-the-Shelf
CPU	Central Processing Unit
CRM / ERP	Customer Relationship Management
DASD	Direct Access Storage Device
DDI	Design Develop Implement
Department	Florida Department of Corrections
DR	Disciplinary Report
EAC	Emergency Action Center
EMR	Electronic Medical Record
EOS	End of Sentence
ERP	Enterprise Resource Management
ESB	Enterprise Service Bus
FCOR	Florida Commission on Offender Review
FDC	Florida Department of Corrections
FICON	Fiber Connection - IBM proprietary name for the ANSI FC-SB-3 Single-Byte Command Code Sets-3 Mapping Protocol for Fiber Channel (FC) protocol.
FLDS	Florida Digital Service
GUI	Graphical User Interface
HIPAA	Health Insurance Portability and Accountability Act of 1996
IRMS	Inmate Risk Management System
ITN	Invitation to Negotiate
IV&V	Independent Verification and Validation
JMS	Jail Management System
MHIT	Mental Health Inmate Transfer
NIST	National Institute of Standards and Technology

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

Acronym	Description
NWRDC	Northwest Regional Data Center
OBIS	Offender Based Information System
OCM	Organizational Change Management
OIT	Office of Information Technology
ONAS	Offender Needs Assessments System
OSAD	Open Systems Adapter Diagnostic
OSAE	Open Systems Adapter-Express
PaaS	Platform as a Service
PII	Personally Identifiable Information
PMO	Project Management Office
PREA	Prison Rape Elimination Act
RANA	Risk and Needs Archive
RFI	Request for Information
RMS	Roster Management System
SaaS	Software as a Service
SDC	State Data Center
SIPOC	Suppliers, Inputs, Processes, Outputs, Customers
SLA	Support Level Agreement
SOA	Service Oriented Architecture
SORR/SOAR	Sex Offender Residence Review
STG	Security Threat Group
STORMS	Security Threat Group Tracking System
SVPPU	Sexual Violent Predator Program
TCO	Total Cost of Ownership

Appendix F: SIPOC Model for OBIS Modernization

The Suppliers, Inputs, Process, Outputs, and Customers (SIPOC) model serves as a comprehensive framework for the OBIS Modernization project. This model provides a clear understanding of each component's role in data flow and data exchange, highlighting the boundaries and elements of the data processes within the Florida Department of Corrections.

Purpose and Benefits

The SIPOC model is designed to streamline workflows by identifying all necessary inputs and expected outputs, aligning them with the Department's expectations. This alignment ensures that processes are more efficient, reducing redundancies and enhancing quality control. By clearly defining each component, the model facilitates more consistent and reliable outputs, supporting the Department's goal of improving operational efficiency.

Components of the SIPOC Model

1. **Suppliers:**
 - Entities or systems that provide the necessary inputs for the OBIS processes. Suppliers can include internal departments, external partners, and data sources that contribute to the overall functionality of the OBIS.
2. **Inputs:**
 - The resources, data, and information required to execute the OBIS processes. Inputs are critical for initiating and maintaining the data flow, ensuring all necessary components are available for processing.
3. **Process:**
 - The defined sequence of activities that transform inputs into outputs. This process outlines the steps involved in data processing and exchange, providing a clear path from input acquisition to output delivery.
4. **Outputs:**
 - The results or products generated by the OBIS processes. Outputs are the final deliverables that meet the Department's expectations, ensuring that all processes yield the desired outcomes efficiently and effectively.
5. **Customers:**
 - The end-users or stakeholders who receive the outputs of the OBIS processes. Customers can include internal departments, external agencies, and other stakeholders who rely on the accurate and timely delivery of data.

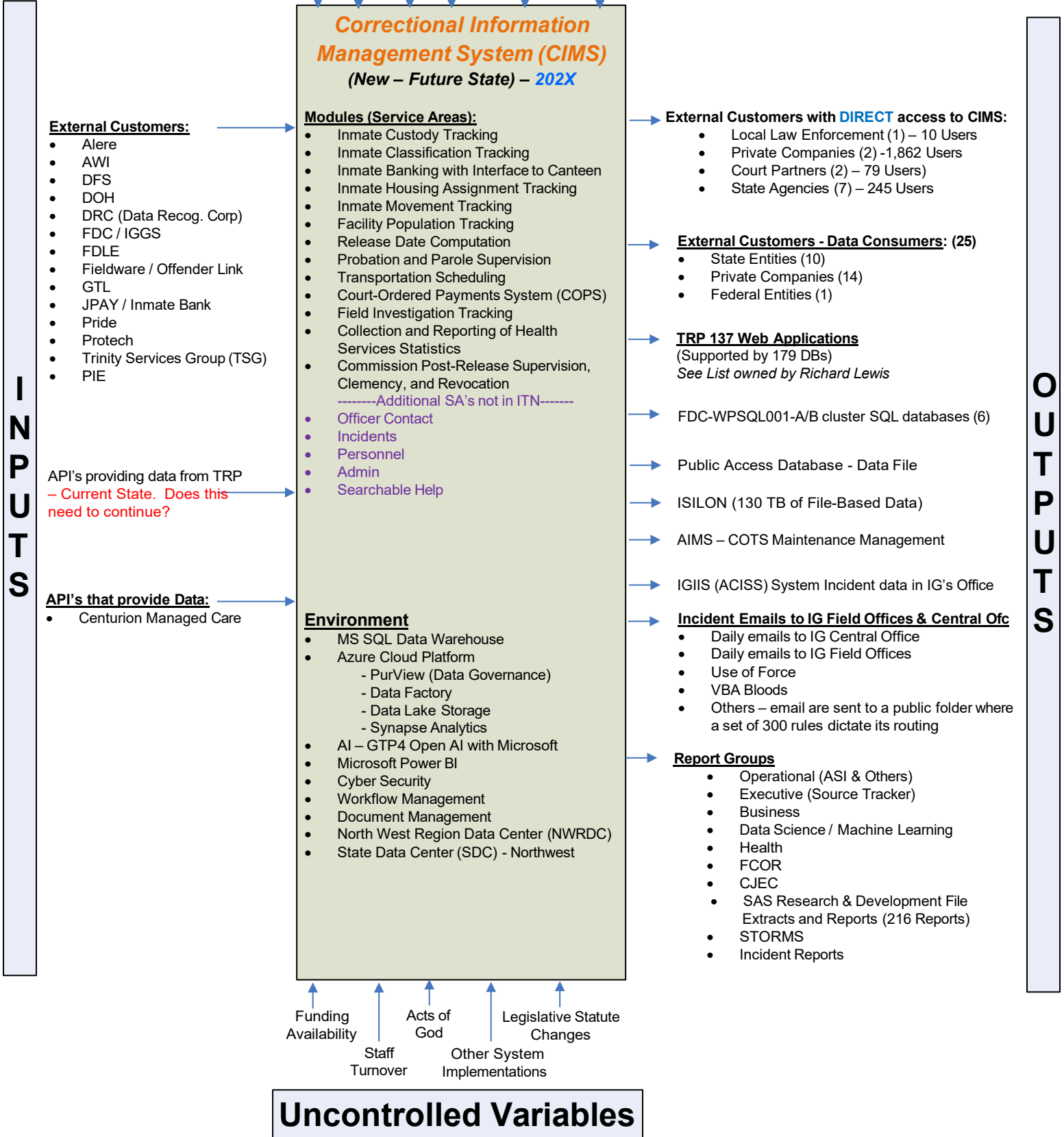
Application of the SIPOC Model: The SIPOC model is applied to ensure a customer-focused approach for gathering high-level requirements for data exchange. By thoroughly reviewing data exchanges and aligning them with customer needs, the model helps the Department achieve more efficient processes and improved service delivery.

- **Streamlined Workflows:** By identifying process boundaries and eliminating redundancies, the SIPOC model enables the Department to optimize workflows.
- **Enhanced Quality Control:** With a well-defined process, the model ensures that all necessary inputs are captured, leading to consistent outputs.
- **Thorough Data Review:** This method promotes a comprehensive examination of data exchanges, enhancing the quality and reliability of information shared across the Department.

The SIPOC model is an essential tool in the OBIS Modernization framework, providing the structure necessary to enhance data processes, improve quality, and support the Department's strategic objectives.

See Attachments.

Controlled Variables



Appendix G: SAFE Data Governance Policy

Overview: The SAFE Data Governance Policy outlines the data management framework for the Florida Department of Corrections (“Department”), focusing on **Secure, Accurate, Fair, and Efficient** data handling practices. This policy is designed to support the Department's mission by ensuring that all data-related activities align with organizational goals and comply with legal and regulatory standards.

Key Components:

- **Data Governance Framework:** The policy establishes a comprehensive governance framework emphasizing the protection, accuracy, and effective use of data within the Department.
- **Compliance with Statutes and Rules:** The policy aligns with relevant Florida statutes and administrative rules, including:
 - Public Records (Chapter 119, Florida Statutes)
 - Public Libraries and State Archives (Chapter 257, Florida Statutes)
 - Department of Management Services; Florida Digital Service (Section 282.0051, Florida Statutes)
 - Security of Data and Information Technology (Section 282.318, Florida Statutes)
 - State of Florida Cybersecurity Standards (Rule Chapter 60GG-2, Florida Administrative Code)

Implementation: The policy integrates the Department's data governance program with the newly established data warehouse and its advanced service providers. It outlines specific roles and responsibilities, data management principles, and best practices to enhance data accuracy, usability, and security.

Security Measures: The SAFE Data Governance Policy includes strict access controls, encryption protocols, and continuous monitoring to safeguard data integrity and confidentiality. Regular audits and compliance checks are mandated to ensure adherence to these policies, mitigating risks and fortifying the Department's overall cybersecurity posture.

Significance: This policy is critical for maintaining the integrity and security of the Department's data assets, ensuring that they are managed in a way that supports the Department's mission and operational objectives.

See Attachments.

FLORIDA DEPARTMENT OF CORRECTIONS

Office of Information Technology

Project Management Office



SAFE DATA GOVERNANCE POLICY

2024



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Version #:	0.5
Original Effective Date:	Reviewed By/Revised Date: Carrice Kandeh/2024.09.03



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1.0 FORWARD

This document outlines the data governance policies and procedures for the Florida Department of Corrections (FDC). Effective data governance is crucial for ensuring the accuracy, security, and usability of our data assets. This policy is designed to support the mission of the FDC by providing clear guidance on the management and use of data.

2.0 PURPOSE

The Data Governance Policy describes the Florida Department of Corrections' (FDC) commitment to managing data as a corporate asset based on established best practices, in adherence to and in support of related policies. This policy reflects management's commitment to establishing responsibility and accountability for the Data Governance function in the agency.

3.0 OBJECTIVES

This Data Governance Policy establishes Data Governance as a formal function within the FDC. It formulates the main principles and best practices applicable across the entire agency to guide the activities of the Data Governance function.

3.1 Implementing a *SAFE Data Governance Framework*

The FDC is committed to implementing the **SAFE Data** governance framework, emphasizing **Secure, Accurate, Fair, and Efficient** data management practices.

- **Secure:** Ensuring all data is protected against unauthorized access, breaches, and threats. Implement robust security measures and protocols to safeguard sensitive information.
- **Accurate:** Maintaining high standards of data quality, ensuring that all data is accurate, complete, and reliable. Regularly validate and clean data to uphold its integrity.
- **Fair:** Implementing equitable data governance practices that ensure transparency, accountability, and compliance with legal and ethical standards. Promote data usage that is just and unbiased.
- **Efficient:** Streamlining data processes and workflows to maximize productivity and minimize redundancy. Leverage technology and best practices to enhance the efficiency of data management and utilization.

Please see the new FDC Data Governance Logo: Secure. Accurate. Fair. Efficient.





SAFE DATA GOVERNANCE PRINCIPLES

SAFE Data Governance is critical for ensuring the effective management and use of data within an organization. It involves establishing principles that guide data-related activities to support business goals, maintain operational transparency, and ensure accountability. The following key principles outline the foundation of an effective SAFE Data Governance framework for the Florida Department of Corrections (FDC):

4.1 Business Alignment & Business Goal Orientation

The SAFE Data Governance activities will support achieving business goals and ensure both short-term and long-term sustainability. This principle underscores the importance of aligning data management strategies with the overarching objectives of the organization. By integrating SAFE Data governance with business goals, the Florida Department of Corrections (FDC) ensures that all data-related initiatives are directly contributing to the agency's mission and operational success.

Effective SAFE Data governance involves identifying key business goals and determining how data can be managed to support these goals. This includes:

- **Enhancing Decision-Making:** Ensuring that accurate, timely, and relevant data is available to decision-makers across the organization. This enables informed decisions that drive the agency toward its strategic objectives.
- **Optimizing Operational Efficiency:** Streamlining data processes to reduce redundancies and improve workflow efficiency. Well-governed data helps in identifying and eliminating inefficiencies, leading to cost savings and better resource allocation.
- **Supporting Compliance and Risk Management:** Ensuring that data practices comply with legal and regulatory requirements. By aligning SAFE Data governance with business goals, FDC can mitigate risks associated with data breaches, non-compliance, and other legal challenges.
- **Facilitating Innovation and Growth:** Enabling the use of data to identify new opportunities for innovation and growth. Well-governed data can reveal insights that drive the development of new programs, services, and strategies that enhance the agency's capabilities.
- **Ensuring Sustainability:** Developing data management practices that not only address current needs but also anticipate future demands. This involves creating scalable and adaptable SAFE Data governance frameworks that can evolve with the agency's goals and external changes.

Aligning SAFE Data governance with business goals ensures that data is treated as a strategic asset. This approach fosters a culture where data management is seen as integral to achieving the agency's mission, thus promoting both immediate operational success and long-term sustainability. By embedding SAFE Data governance into the fabric of its strategic planning and execution, FDC can ensure that it remains agile, responsive, and capable of meeting its objectives in an ever-changing environment.

4.2 Operational Transparency, Auditability, and Accountability

SAFE Data governance must ensure operational transparency and auditability. Decisions and their justifications should be accessible to authorized parties. The SAFE Data governance framework is responsible and accountable for its decisions and their consequences. This principle emphasizes the need for clear, documented, and justifiable data management practices that can be reviewed and evaluated by authorized individuals, fostering a culture of accountability and trust within the Florida Department of Corrections (FDC).



Effective SAFE Data governance involves implementing processes and controls that guarantee:

- **Transparency in Operations:** All data-related activities, policies, and decisions should be transparent and well-documented. This transparency allows stakeholders to understand how data is managed, used, and protected, promoting trust and confidence in the agency's data practices. Clear documentation helps in tracing the origins and transformations of data, providing a comprehensive view of data flows and processes.
- **Auditability of Decisions:** Data Governance must include mechanisms for auditing and reviewing data-related decisions and processes. This ensures that all actions taken can be traced, verified, and validated against established policies and standards. Auditable data governance practices help in identifying discrepancies, inconsistencies, and areas for improvement, thereby enhancing the overall integrity and reliability of the data.
- **Accountability for Actions:** The Data Governance function must be accountable for its decisions and their outcomes. This involves clearly defining roles and responsibilities for data management and ensuring that individuals and teams are held responsible for their actions. Accountability ensures that data governance decisions are made with due diligence and care, and that any negative consequences are addressed promptly and effectively.

By ensuring operational transparency, auditability, and accountability, the FDC can create a robust data governance framework that promotes trust, reliability, and integrity in its data management practices. These principles help to build a culture where data is managed responsibly and ethically, supporting the agency's mission, and enhancing its ability to serve its stakeholders effectively. Clear documentation, regular audits, and a strong accountability framework ensure that data governance practices are not only compliant but also continuously improving, adapting to new challenges, and meeting the evolving needs of the agency.

4.3 Balanced Approach to Standards, Guidelines, & Best Practices

While standards guarantee consistency, they should not stifle business initiatives. A balance between standards, guidelines, and best practices is crucial. This highlights the importance of adopting a flexible yet consistent approach to SAFE Data governance within the Florida Department of Corrections (FDC). It certifies that while data management practices are standardized for reliability and compliance, they also allow for innovation and adaptability to meet the evolving needs of the agency.

Effective SAFE Data governance balance includes:

- **Establishing Standards for Consistency:** Implementing clear and consistent standards for data management ensures that data is handled uniformly across the organization. This consistency is vital for maintaining data quality, reliability, and integrity, which in turn supports accurate reporting and decision-making. Standards provide a foundation for common practices, ensuring that everyone follows the same protocols for data collection, storage, processing, and dissemination.
- **Providing Flexible Guidelines:** While standards set the baseline, guidelines offer flexibility to adapt these standards to specific contexts and needs. Guidelines will be designed to provide direction without being overly prescriptive, allowing departments and teams to tailor their data management practices to their unique requirements while still adhering to the overarching standards. This flexibility encourages creativity and innovation, enabling the agency to respond quickly to new opportunities and challenges.



- **Adopting Best Practices:** Incorporating industry best practices into data governance ensures that the FDC remains at the forefront of effective data management. Best practices are proven methods that have been widely recognized for their efficiency and effectiveness. By benchmarking against these practices, the FDC can continuously improve its data management processes, ensuring they are robust, efficient, and aligned with the latest developments in the field.

By adopting a balanced approach to standards, guidelines, and best practices, the FDC ensures that its SAFE Data governance framework is both sustainable and adaptable. This balance allows the organization to maintain high standards of data quality and compliance while also fostering a culture of innovation and responsiveness. It supports the agency's ability to achieve its strategic goals and objectives, ensuring that data is managed in a way that maximizes its value and impact.

KEY SAFE DATA GOVERNANCE ROLES AND RESPONSIBILITIES

SAFE Data governance requires clearly defined roles and responsibilities to ensure the strategic direction, implementation, and ongoing management of data and analytics initiatives. The following outlines the key roles within the FDC's SAFE Data governance function, highlighting their specific responsibilities.

5.1 Strategic Roles

- **Executive Sponsor (ELT Member):**
Ensures alignment of Data Strategy with agency goals and secures funding.
Responsibilities:
 - Accountable for the strategic direction and funding of data and analytics improvement initiatives.
 - Aligns Data Strategy and Data Governance Roadmap with organizational strategies and goals.
 - Supports a top-down approach to Data Governance, formalizing accountabilities, and responsibilities.
- **Steering Committee:**
Designs the program roadmap, allocates resources, defines authoritative data sources, and ensures compliance with regulations.
Responsibilities:
 - Creates operational plans for Data Strategy implementation.
 - Coordinates the formation, prioritization, and execution of data and analytics initiatives across teams and departments.
 - Assigns Data Owners and defines authoritative data sources.
 - Prioritizes data improvement initiatives based on feasibility evaluations and operational recommendations.
 - Designs the Data Governance Program roadmap and ensures resource allocation.
 - Ensures collaboration among all stakeholders in data initiatives.
 - Identifies and updates necessary policies, procedures, standards, and guidelines for effective Data Management and Governance.
 - Governs organizational data processes, policies, and standards.
 - Defines rules for effective Data Sharing, including publishing FDC data for public use.
 - Ensures compliance with applicable regulations.
 - Protects and secures the FDC's data assets.



- Evaluates project feasibility by comparing business data needs against technological capabilities.
- Monitors and guides data management initiatives, recommending improvements.
- Oversees data management lifecycle.
- Forms and coordinates the activities of working groups.
- Assigns Subject Matter Experts.
- Manages comprehensive data cataloging, including business glossary definitions and metadata.
- Coordinates Information Security enforcement and Data Sharing activities.

5.2 Operational Roles – SAFE Data Governance Working Group

The **SAFE Data Governance Working Group**, composed of Data Stewards, Data Custodians, and Subject Matter Experts, are responsible for delivering specific projects and executing initiatives. Additionally, the group oversees specific topics as a committee, ensuring comprehensive management and governance of data-related activities.

- **Data Owner (Director Level):**

Oversees data assets, ensuring availability, security, quality, and compliance.

Responsibilities:

- Accountable for the availability, security, quality, currency, and efficiency of data assets.
- Oversees Data Quality controls and ensures their enforcement.
- Defines rules for use, protection, and retention of data assets.
- Reviews user group permissions for data assets.
- Recommends authoritative data sources and data authenticity preservation rules to the Steering Committee.
- Assigns Data Stewards.

- **Subject Matter Expert (SME/Bureau Chief):**

Defines core business concepts and rules for data aggregation/computation.

Responsibilities:

- Defines core business concepts, their classifications, and hierarchical organization.
- Establishes core rules for data aggregation and computations.

5.3 Tactical Roles

- **Data Steward (Business SME):**

Implements and enforces data policies, manages data quality, and catalogs datasets.

Responsibilities:

- Implements and enforces data policies, processes, procedures, and standards set by the Steering Committee.
- Catalogs datasets and provides metadata.
- Designs and monitors Data Quality controls, escalating issues as needed.
- Monitors data access rules.
- Addresses adherence to standards and procedures, raising identified issues.
- Coordinates updates on data-related policies, standards, and guidelines.
- Recommends improvements to data asset management to Data Owners.



- **Data Custodian (Technical Implementor):**

Manages the technology for data governance, ensuring data security and quality.

Responsibilities:

- Responsible for the physical custody of data assets in line with security, protection, and accessibility requirements.
- Manages technology for data governance and management.
- Designs and manages data access, quality management, and data cataloging technology implementations.

6.0 POLICY STATEMENTS

Effective SAFE Data governance is built on clearly defined policy statements that guide the management and use of data within the Florida Department of Corrections (FDC). These policies are essential for maintaining data integrity, accessibility, and security, aligning data practices with agency goals, and ensuring compliance with relevant regulations.

Policy Name	Policy Statement
1. Data is an Agency Asset	All agency data is owned by the FDC and must be managed and protected accordingly.
2. Maximized Re-use and Accessibility of Data Assets	Data will be easily accessible to authorized users from authoritative sources.
3. Data Reliability	The FDC data repository serves as the single source of truth for decision-making. Use of unapproved data sources is prohibited.
4. Data Interoperability	Technologies must align with FDC standards and be vetted by the Architectural Review Board and Data Governance Working Group.
5. Verifiable Data Provenance	Data publishers must demonstrate transparency in data provenance.
6. Lean Data Management	Data management processes will minimize redundancy and complexity.
7. Effective Data Management	Automation will be maximized to enhance data quality.
8. Fit for Purpose Data Quality	Data quality will meet specific consumer requirements with established metrics.
9. Data Safeguarding	Data must be protected in accordance with confidentiality and privacy regulations.
10. Data Classification	Data will be classified based on an approved scheme.



Policy Name	Policy Statement
11. Access Based on Business Needs	Access to data will support FDC goals and comply with data sharing policies.
12. Documented Exceptions	Any policy exceptions must be documented and approved by the Data Governance Steering Committee.

These policy statements establish the framework for how data is governed at the FDC, ensuring that data is treated as an asset, accessible and reliable, interoperable, and securely managed. By adhering to these policies, the FDC can achieve effective a SAFE Data governance that supports its mission and operational objectives.

7.0 NON-COMPLIANCE

Violations of the SAFE Data governance policy at the Florida Department of Corrections (FDC) will be addressed with the same seriousness as other forms of misconduct within the agency. Non-compliance undermines the integrity, security, and effectiveness of the agency's data management practices and can have significant repercussions. As such, the following measures will be enforced to ensure adherence to the SAFE Data governance policy:

- Investigation of Violations:** Any suspected violations of the SAFE Data governance policy will be thoroughly investigated. This may involve reviewing data access logs, interviewing involved personnel, and examining the circumstances surrounding the alleged non-compliance.
- Disciplinary Action:** Employees found to be in violation of the SAFE Data governance policy may face disciplinary action. This can range from verbal or written warnings to more severe consequences such as suspension or termination of employment, depending on the nature and severity of the violation.
- Termination of Employment:** In cases where the violation is deemed particularly serious, or if the employee has a history of non-compliance, termination of employment may be considered. This action underscores the critical importance of adhering to data governance standards and protecting the integrity of FDC's data assets.
- Legal Action:** If the violation involves illegal activities, such as unauthorized data access, theft, or breaches of confidentiality, the FDC may pursue legal action. This could include civil or criminal proceedings to address the wrongdoing and prevent future occurrences.
- Remediation Plans:** In addition to punitive measures, remediation plans may be implemented to address the root causes of the non-compliance. This can involve additional training for staff, revisions to data governance processes, and enhancements to data security measures to prevent recurrence.
- Reporting and Documentation:** All instances of non-compliance and the resulting actions will be documented and reported to the appropriate authorities within the FDC. This ensures transparency and accountability in handling violations and provides a record for future reference and analysis.

By enforcing these measures, the FDC emphasizes the critical importance of SAFE Data governance and maintains the integrity, security, and effectiveness of its data management practices. Adherence to these policies is essential for protecting the agency's data assets, supporting its mission, and ensuring compliance with legal and regulatory requirements.

8.0 TERMS OF REFERENCE

The following terms are foundational to understanding and implementing SAFE Data governance within the Florida Department of Corrections (FDC). These definitions provide clarity and consistency, facilitating effective communication and management of data assets across the agency.



- **Authoritative Source:** The designated source for a dataset, identified by the business owner. This source is considered the most accurate and reliable point of reference for that dataset.
- **Business Semantics:** Information concepts that are clearly understandable by both business and IT stakeholders. Business semantics bridge the gap between technical and business languages, ensuring that data-related discussions are coherent and meaningful across different parts of the agency.
- **Data Asset:** A collection of data identified as a logical unit that serves a specific business purpose. Data assets are managed to maximize their value to the agency, ensuring they support business objectives effectively.
- **Data Domain:** A high-level business concept used for the classification of data assets. Data domains help organize data into meaningful categories that align with the agency's business structure and objectives.
- **Data Element:** A unit of data with specified characteristics. Data elements are the fundamental building blocks of datasets and data assets, each defined by attributes such as type, format, and constraints.
- **Data Governance:** The authority and control over the management of data assets. Data governance involves establishing policies, procedures, and standards to ensure data is managed consistently, securely, and in alignment with the agency's goals.
- **Data Management:** The comprehensive set of plans, policies, and practices used to manage data throughout its lifecycle. Data management encompasses all activities related to data creation, storage, maintenance, use, and disposal.
- **Data Provisioning:** The process of making data available to users in an orderly and secure way. Data provisioning ensures that the right data is delivered to the right people at the right time, maintaining data integrity and security.
- **Data Quality:** The degree of accuracy, completeness, and consistency of data. High data quality is essential for reliable decision-making and effective data management. It involves continuous monitoring and improvement efforts.
- **Dataset:** A collection of data elements that serve a specific business purpose. Datasets are organized to facilitate access, analysis, and utilization for various business activities and decision-making processes.
- **Dataset Certificate:** A digital artifact containing key information about a dataset, such as its origin, structure, quality metrics, and governance details. The dataset certificate provides a standardized overview, enhancing transparency and trust in the dataset.
- **Meta-Data:** Data that defines and describes other data. Metadata provides context and information about the characteristics, structure, and management of data, making it easier to understand and use.
- **Source Data:** Data published in its original format by the producer. Source data serves as the raw input for further processing, analysis, and integration within the agency's data systems.
- **Transactional Record:** A record that reflects an event at a specific time and is traceable to the source. Transactional records are critical for tracking and auditing purposes, ensuring that historical data can be verified and validated.

These terms of reference are crucial for establishing a shared understanding and common language for Data Governance at the FDC. They provide the foundation for implementing effective data management practices that support the agency's mission and strategic goals.



9.0 SAFE DATA GOVERNANCE ARTIFACTS

SAFE Data governance artifacts are essential tools and documents that support the implementation and management of Data Governance practices within the Florida Department of Corrections (FDC). These artifacts provide the necessary structure, definitions, and visualizations to manage data effectively and align with agency goals. Below are the key FDC SAFE Data governance artifacts:

- **Policies, Procedures & Guidelines:** *These documents outline the rules and best practices for data management within the FDC. Policies provide high-level directives, procedures offer step-by-step instructions, and guidelines present best practices to be followed. Together, they ensure consistency, compliance, and effective data management across the agency.*
- **Workflows, Working Cycles, and Schedules:** *These artifacts detail the processes and timelines for data-related activities. Workflows describe the sequence of steps in a process, working cycles define the regular intervals at which tasks are performed, and schedules specify when activities should occur. They help coordinate tasks, ensure timely completion, and enhance operational efficiency.*
- **Business Data Glossary:** *A comprehensive dictionary of business terms and definitions used within the FDC. The business data glossary standardizes terminology, ensuring that all stakeholders have a common understanding of key concepts and data elements. This consistency is vital for effective communication and data usage.*
- **Dataset Catalog:** *An organized inventory of datasets available within the FDC. The dataset catalog provides details about each dataset, including its content, structure, origin, and governance information. It facilitates data discovery, access, and usage by authorized users, promoting transparency and efficiency.*
- **Information Domain Inventory:** *A high-level overview of the various information domains within the FDC. Each domain represents a significant area of data, categorized by business function or subject matter. The information domain inventory helps organize data assets, making it easier to manage and govern them according to their specific requirements.*
- **Data Flow Charts:** *Visual representations of how data moves through the FDC's systems and processes. Data flow charts illustrate the pathways and transformations that data undergoes from its source to its destination. They help identify bottlenecks, inefficiencies, and opportunities for improvement in data handling and processing.*
- **High-Level Data Architecture Diagram:** *A schematic representation of the FDC's data architecture. This diagram provides a high-level view of the agency's data systems, their interactions, and how they integrate with each other. It helps stakeholders understand the overall data landscape, supporting strategic planning and decision-making.*

10.0 RELEVANT STATUTES AND RULES

This Data Governance Policy adheres to relevant Florida statutes and administrative rules to ensure compliance with state and federal regulations, including but not limited to:

- Public Records (Chapter 119, Florida Statutes)
- Public Libraries and State Archives (Chapter 257, Florida Statutes)
- Department of Management Services; Florida Digital Service (Section 282.0051, Florida Statutes)
- Security of Data and Information Technology (Section 282.318, Florida Statutes)
- State of Florida Cybersecurity Standards (Rule Chapter 60GG-2, Florida Administrative Code)

For a detailed list of all relevant statutes and rules, please refer to Appendix A.



11.0 APPENDIX A: DETAILED RELEVANT STATUTES AND RULES

Appendix A:

Appendix A: Detailed Relevant Statutes and Rules

- Chapter 119, Florida Statutes, Public Records: [Link to Chapter 119](#)
- Chapter 257, Florida Statutes, Public Libraries and State Archives: [Link to Chapter 257](#)
- Section 282.0051, Florida Statutes, Department of Management Services; Florida Digital Service; powers, duties, and function: [Link to Section 282.0051](#)
- Section 282.318, Florida Statutes, Security of Data and Information Technology: [Link to Section 282.318](#)
- Rule Chapter 1B-24, Florida Administrative Code, Public Records Scheduling and Disposition: [Link to Rule Chapter 1B-24](#)
- Rule Chapter 1B-26, Florida Administrative Code, Records Management – Standards and Requirements: [Link to Rule Chapter 1B-26](#)
- Rule Chapter 60GG-2, State of Florida Cybersecurity Standards: [Link to Rule Chapter 60GG-2](#)
- Rule Chapter 60GG-4, Cloud Computing: [Link to Rule Chapter 60GG-4](#)
- Rule Chapter 60GG-5, State of Florida Enterprise Architecture: [Link to Rule Chapter 60GG-5](#)
- Rule Chapter 74-2, Florida Administrative Code, Information Technology Security: [Link to Rule Chapter 74-2](#)



12.0 SIGNOFFS

This Data Governance Policy has been reviewed and approved by the following authorities:

Role	Name	Title	Date
Approver			
Policy Owner			
Executive Sponsor			
Steering Committee Chair			

Appendix H: 2008 Business Process Project

Overview:

In 2008, a comprehensive Business Process Project was undertaken to gather and document the functional and technical requirements for the development and implementation of Schedule IV-B for the 2023-24 and 2025-26 cycles.

Key Activities:

- Conducted stakeholder interviews to capture business needs and objectives.
- Analyzed existing processes to identify gaps and areas for improvement.
- Collaborated with technical teams to define system requirements and integration points.
- Developed detailed functional and technical specifications to guide the project.

Outcome:

The project successfully delivered the set of requirements that served as the foundation for the future development of Schedule IV-B. These requirements continue to inform system enhancements and process improvements in preparation for the 2025-2026 schedule.

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References

Florida Statutes

- Chapter 945, Florida Statutes - Department of Corrections Responsibilities
- Section 282.206, Florida Statutes - Cloud-First Policy
- Section 216.023(4)(a)10, Florida Statutes - Legislative Budget Requests for IT Projects
- Section 282.318, Florida Statutes - State Cybersecurity Act

Florida Administrative Code

- Chapter 60GG-1, F.A.C. - Florida Information Technology Project Management and Oversight Standards
- Chapter 60GG-2, F.A.C. - Florida Cybersecurity Standards
- Chapter 60GG-3, F.A.C. - Data Center Operations

National Standards

- [NIST Special Publication 800-53 - Security and Privacy Controls for Federal Information Systems and Organizations](#)
- [NIST Special Publication 800-171 - Protecting Controlled Unclassified Information in Non-Federal Systems and Organizations](#)
- FBI Criminal Justice Information Services (CJIS) Security Policy

Research and Consultation

- **Gartner Research Engagement Services Inc.** (*Note: Proprietary content; link not publicly available*)
- **National Institute of Corrections Reports** (*Note: Specific reports; link not publicly available*)
- **Request for Information (RFI) Responses from Vendor Market (August 2021)** (*Note: Internal document; link not publicly available*)

Internal Department of Corrections Documents

- **2008 Business Process Analysis** (*Note: Internal document; link not publicly available*)
- **2016 Feasibility Study** (*Note: Internal document; link not publicly available*)
- **2021 RFI Vendor Responses Analysis** (*Note: Internal document; link not publicly available*)

Schedule IV-B for Schedule IV-B Technology Restoration Plan Officer Connectivity

For Fiscal Year 2025-26



OCTOBER 2024

Florida Department of Corrections

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Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Corrections	Schedule IV-B Submission Date: September 30, 2024
Project Name: Officer Station Connectivity	Is this project included in the Agency's LRPP? <div style="text-align: center;"> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No </div>
FY 2025-26 LBR Issue Code:36265CO	FY 2025-26 LBR Issue Title: Officer Station Connectivity
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Greg Prescott, Deputy Chief Information Officer (850) 717-3895 greg.prescott@fdc.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: _____	Date: _____
Printed Name: Ricky Dixon	
Agency Chief Information Officer (or equivalent): _____	Date: _____
Printed Name: Tim Fitzgerald, Chief of Staff	
Budget Officer: _____	Date: _____
Printed Name: Mark Tallent	
Planning Officer: _____	Date: _____
Printed Name: Eric Henderson	
Project Sponsor: _____	Date: _____
Printed Name: Richard Comerford	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	Greg Prescott, 850-717-3895, greg.prescott@fdc.myflorida.com
Risk Analysis:	Richard Lewis, 850-717-3617, richard.lewis@fdc.myflorida.com
Technology Planning:	Coleman Ayers, 850-717-3283, coleman.ayers@fdc.myflorida.com
Project Planning:	Richard Lewis, 850-717-3617, richard.lewis@fdc.myflorida.com

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

A. Background and Strategic Needs Assessment

The Florida Department of Corrections (FDC or “Department”) is the third-largest state prison system in the United States, overseeing approximately 88,000 incarcerated inmates and more than 146,000 offenders under active supervision. The FDC operates a vast network of 143 facilities across the state, including 50 correctional institutions, seven private partner facilities, 16 annexes, 33 work camps, and three re-entry centers. Additionally, the Department manages 12 work release centers, 18 private work release centers, two road prisons, one forestry camp, and one basic training camp. As the largest state agency in Florida, more than 80% of the Department's workforce comprises certified correctional or probation officers.

Managing such a complex array of correctional functions requires strict adherence to Federal, State, and Local policies, especially the Criminal Justice Information Services (CJIS) Security Policy (currently [version 5.9.4](#)). Compliance with these standards is crucial for maintaining the integrity and security of the technology services that support the Department's operations, including the safety of inmates, officers, and the public.

However, the Department's current technological infrastructure is outdated and insufficient, posing a significant barrier to effective operations. Despite managing 2,206 buildings statewide, only about 1,000 utilize fiber optic technology, leaving approximately 1,200 buildings with suboptimal connectivity. Of these, 800-plus buildings are not currently planned for fiber installation. This gap in connectivity compromises safety, operational efficiency, and compliance with regulatory standards.

To address these challenges, the Department requires funding to modernize and expand its technological infrastructure. Upgrading to a modern, secure, and reliable technology foundation is not merely beneficial—it is essential for aligning with the Department's strategic and legislative objectives. Modernization will enable the Department to:

1. **Enhance Public and Officer Safety:** Improved connectivity will ensure that critical safety systems, including surveillance and communication networks, function optimally to protect officers, inmates, and the public.
2. **Increase Operational Efficiency:** Modern technology infrastructure will streamline processes, reduce delays in information processing, and support the effective delivery of educational, rehabilitation, and reentry programs for offenders.
3. **Ensure Compliance with Security Policies:** Upgraded systems will facilitate adherence to the CJIS Security Policy and other regulatory requirements, safeguarding sensitive criminal justice information.
4. **Support Legislative and Public Safety Partners:** Enhanced technology capabilities will improve coordination and data-sharing with key partners such as the Florida Department of Law Enforcement (FDLE), other law enforcement agencies, and community organizations.

Assessment

In Fiscal Year 2023, the Department conducted a comprehensive assessment of its foundational infrastructures, applications, cybersecurity, and staffing. This evaluation revealed significant deficiencies in several critical areas, including building connectivity, aging applications and platforms, and inadequate contracted services, all of which have adversely impacted service levels and quality.

A key finding of the assessment was the inadequate IT support ratio within the Department. The current IT staff support ratio stands at 128:1, which is significantly higher than the state average of 45:1, as reported by publicly available data. This disparity highlights a critical underinvestment in technology funding and staffing compared to other state agencies, which directly affects the Department's ability to operate efficiently and securely.

The urgency to restore and modernize the Department's infrastructure is paramount. Upgrades to connectivity, applications, cybersecurity, and contracted technology services are not optional; they are essential to protect against cyber threats and to cement the Department's ability to fulfill its mission effectively.

The following areas require immediate attention:

1. **Enhanced Cybersecurity Measures:** Strengthening cybersecurity defenses is vital to protect sensitive data and maintain the integrity of the Department's operations.
2. **Infrastructure Modernization:** Upgrading aging applications and platforms will improve operational efficiency and service delivery, reducing vulnerabilities that could be exploited by malicious actors.
3. **Increased IT Staffing and Support:** Aligning the IT staff support ratio with state averages will ensure that the Department can maintain secure and efficient operations.
4. **Expanded Connectivity:** Improving building connectivity with modern infrastructure will enhance communication and data-sharing capabilities, which are critical for both safety and operational effectiveness.

The issue of technical debt, a consequence of prolonged underfunding, has reached a critical point. In today's landscape of relentless cyber-attacks, including ransomware threats, the Department's outdated and vulnerable connectivity, and network infrastructure present substantial security risks. Government systems are continually targeted, and these attacks are unlikely to diminish in frequency or severity.

The Cycle of Technical Debt

Technical debt refers to the accumulation of deferred costs associated with maintaining outdated technology, which, over time, imposes significant operational and business risks. Within the Department, this cycle of technical debt has increasingly transferred risks to business operations, elevating potential vulnerabilities and impeding the Department's ability to fulfill its mission effectively.

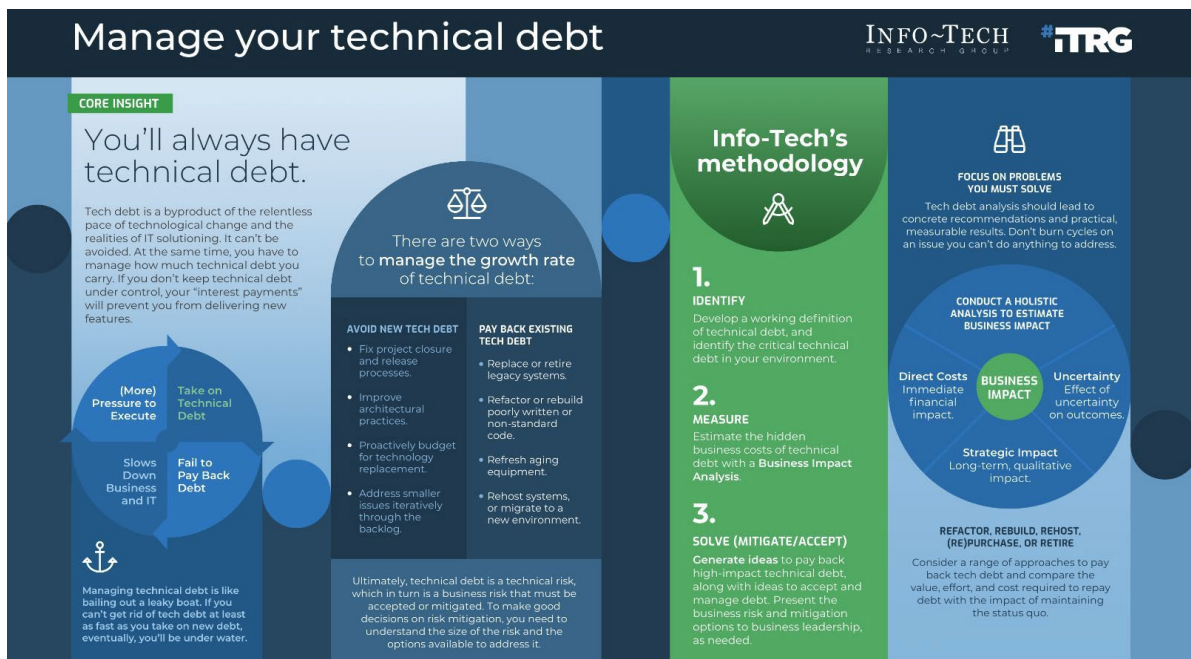


Figure 1 Manage and Avoid Technical Debt

From Info~Tech Research Group: https://cdn-static.infotech.com/infographics/uploads/43961/DESIGN-2000-TH-TechDebt-16x9_1x_original.png?1694485567

The presence of technical debt has led to a range of challenges:

- **Increased Operational Risks:** As technical debt accumulates, it introduces greater risks into business operations, causing frustration and distrust among business and technology teams.
- **Limited Growth and Flexibility:** The Department's ability to grow and adapt to new challenges is constrained by outdated technology, limiting its competitiveness and resilience.
- **Erosion of Business Value:** The persistent cycle of technical debt erodes the value and benefits of the Department's operations, ultimately impacting service delivery and outcomes.

Identified Drivers of Technical Debt:

1. **Avoidance of IT Investment Costs:** Historically, the Department has deferred necessary IT investments, contributing to the accumulation of technical debt.
2. **Impact on Business Units:** As technical debt grows, it increasingly impacts departmental business units and their operations, leading to inefficiencies and challenges in meeting objectives.
3. **Need for Debt Mitigation:** Addressing technical debt is essential to mitigating its impact on business operations and ensuring sustainable growth.

To overcome these challenges, the Department must address the misalignment between statutory and operational responsibilities, program expectations, and the current state of technology. A thorough Gap Analysis conducted by the Department has emphasized the critical disparities between the existing ("As Is") technology environment and the desired ("To Be") state.

By focusing on these gaps, the Department has outlined five strategic objectives that underscore the importance of this funding request and provide a clear roadmap for achieving the desired level of service outcomes:

- **Connectivity**

Comprising: 1) fiber replacement and expansion, 2) security enhancements, 3) closet cleanup, and 4) wireless expansion for Officer mobile Apps.

- **Staffing**

Comprising: 5) contractors.

The following section will explore the specific business needs that drive this request for funding.

1. Business Need

The Department is requesting funding to enhance public safety, officer safety, and inmate safety through the implementation of the request for the **Officer Station Connectivity Plan**.

For years, the Department has faced chronic underfunding in information technology, preventing it from keeping pace with industry standards and vendor improvements for connectivity. This has resulted in significant vulnerabilities and operational inefficiencies. Many of the Department's buildings lack essential fiber-optic connectivity, hindering communication and data processing capabilities.

Expand Network Connectivity

The primary goal of the **Officer Station Connectivity Plan** is to address the Department's current technological deficiencies by expanding fiber-optic network connectivity to all correctional facilities. Improved connectivity is a strategic necessity for public safety; it is not merely a technology upgrade. Enhanced network performance will reduce operational costs and improve monitoring and security across Florida's correctional facilities. Due to the inability of officers to communicate in real time across institution campuses, without these improvements, existing vulnerabilities could be exploited, leading to severe public safety risks.

The Officer Station Connectivity Plan will:

Expand Network Connectivity: The primary goal of the Officer Station Connectivity Plan is to extend fiber-optic connectivity to all Department buildings that currently lack it. This infrastructure upgrade is essential to ensure reliable and secure data transmission, which is foundational for all correctional operations. This will ensure that officers have immediate access to critical data and communication tools necessary for effective facility management and security operations. The plan includes:

1. **Infrastructure Modernization:** Upgrade existing infrastructure by installing fiber-optic connectivity in all buildings that currently lack high-speed internet access. This will improve data transmission speed, reliability, and security across the Department's network.
2. **Enhanced Safety and Security:** By providing officers with seamless access to real-time information and communication tools, the plan aims to enhance overall safety and security within correctional facilities, reducing risks for both staff and inmates.
3. **Operational Efficiency:** Improved connectivity will enable more efficient management of inmate information, streamline admissions and classification processes, and support the delivery of educational and rehabilitation programs.
4. **Support for Technological Innovation:** The plan lays the groundwork for future technological advancements by establishing a robust and scalable network infrastructure capable of supporting new applications and tools.
5. **Alignment with Strategic Goals:** The connectivity enhancements are aligned with the Department's strategic goals and compliance requirements, including those outlined in section 216.023(4)(a)10, Florida Statutes. By modernizing its technology infrastructure, the Department aims to improve operational performance, enhance public safety, and achieve long-term cost savings.

The **Officer Station Connectivity Plan** is critical to the Department's mission of maintaining public safety and rehabilitating offenders. Current technological limitations pose significant risks, including delayed information processing, reduced efficiency, and heightened security vulnerabilities. By implementing this plan, the Department will ensure that its facilities are equipped with the necessary tools to support officers in their roles, safeguard the public, and provide inmates with access to programs that facilitate successful reintegration into society.

This initiative represents a vital investment in the future of Florida's correctional system, ensuring that it remains effective, resilient, and capable of meeting the challenges of a rapidly evolving technological landscape.

Enhance Technical Support Capabilities - Contracted Services/Staffing

Addressing the Department's technical debt necessitates a strategic investment in human resources, particularly within the Office of Information Technology (OIT). The OIT is currently responsible for managing an extensive network of 39,000 devices and providing support to 22,000 employees. This includes handling a substantial volume of monthly helpdesk calls, emails, and support tickets, all of which are essential to maintaining the Department's operational integrity and efficiency. This includes central office operational functions and the complex management of facilities and inmates at Institutions.

The capacity of our contracted services is critically low, which hampers the Department's ability to respond to the growing demands placed on its IT infrastructure. The Department's OIT is overextended, dealing with outdated technology while striving to meet service expectations and maintain system reliability. This situation has resulted in delayed response times, increased system downtimes, and higher operational risks, all of which compromise the Department's ability to deliver critical services effectively.

Technology staff retention is another challenge. The compounding effects of aging infrastructures and outdated support systems, along with the intense volume of service calls, stresses the workforce and affects recruitment.

Investing in human resources and expanding our contracted services directly supports compliance with section 216.023(4)(a)10, Florida Statutes. This statute mandates that state agencies justify budget requests by demonstrating how additional resources will support strategic goals and improve performance outcomes. This investment aligns with these statutory requirements by doing the following:

1. **Enhancing Operational Efficiency:** By increasing the capacity of the Department’s IT staff and contracted services, the Department, along with modernizing its infrastructures, will achieve greater levels of operational efficiency, thereby meeting the statutory requirement to demonstrate improved performance outcomes. Enhanced support capabilities will reduce system downtimes, improve service delivery, and ensure that critical processes such as inmate management and public safety operations are not compromised.
2. **Supporting Strategic Goals:** This investment aligns with the Department’s strategic goals by ensuring that our technology infrastructure supports both current and future operational needs. It facilitates the achievement of performance goals related to safety, security, and rehabilitation, which are central to the Department’s mission and legislative priorities.
3. **Risk Mitigation and Compliance:** Strengthening the Department’s IT capabilities will help mitigate risks associated with technical debt, including cybersecurity threats and operational disruptions. By doing so, the Department will be better equipped to comply with legal and regulatory standards, including those specified in section 216.023(4)(a)10, which requires demonstrating how resource allocation will achieve compliance and operational objectives.
4. **Improving Responsiveness and Service Quality:** Expanding IT support services will improve responsiveness to technological issues and enhance overall service quality. This aligns with the statutory emphasis on demonstrating that resource requests are based on clear evidence of need and the potential for tangible improvements in Department operations.

To address these critical infrastructure challenges and fulfill our strategic mission, the **Officer Station Connectivity Plan** outlines key objectives that are designed to enhance the operational efficiency and safety of our facilities.

2. Business Objectives

To guide the restoration process, the Department identified measurable objectives for technology restoration. Based on internal analysis and self-assessment, the Department has established and prioritized the following five key business objectives:

#	Objectives	Area of Need	Urgency
1.	Provide building connectivity in facilities currently lacking adequate network infrastructure to enhance workforce protection with security device installations and support inmate access to educational resources.	Connectivity	Critical
2.	Provide network redundancy with failover capabilities to ensure continuous operations during network failures, enhancing workforce security and maintaining continuous support during law enforcement and public safety events.	Connectivity	Critical
3.	Provide secure wireless network access for greater infrastructure efficiency and to improve officers’ access to real-time communications and online data.	Connectivity	Critical

#	Objectives	Area of Need	Urgency
4.	Provide baseline contracted services that enhance the Department's ability to support efficient, timely services to thousands of users, resulting in improved responsiveness and better service quality. This will enable the workforce to deliver a higher level of services accurately, securely, and in a timely manner to all constituents and public safety partners including FDLE.	Staffing	Critical
5.	Provide contracted services focused on modernizing the Department's infrastructure to keep pace with technology changes, while allowing the Department to meet its crucial responsibilities.	Staffing	Critical

Objective 1: Provide building connectivity in facilities currently lacking adequate network infrastructure to enhance workforce protection with security device installations and support inmate access to educational resources.

Currently, of the 2,206 buildings within Institutions, there are 800-plus buildings that lack connectivity or are not sufficiently connected to support the five objectives. This lack of infrastructure is critical to address because connectivity is vital to improving and maintaining the safety and security of prisons. It enables the monitoring of inmate movements and activities, helping to prevent threats that could jeopardize public safety and community welfare. Furthermore, inmate education is significantly impacted by this connectivity gap. Access to educational resources, such as online courses and libraries, is crucial for inmates to develop skills, improve literacy and numeracy, and prepare for successful reintegration into society. Programs like Compass 180, which is legislatively mandated, are hindered by inadequate connectivity, affecting their ability to deliver effective rehabilitation and mental health support, including anger management and substance abuse treatment.

For the Department's 22,000 employees, managing over 39,000 devices and 347 servers presents a substantial challenge. Addressing this capacity will require contracted services to fill skill gaps and provide necessary IT support. Upgrading and restoring the connectivity deficit involves implementing secure firewalls for common services, which are fundamental to restoring building connectivity capabilities. This comprehensive approach will ensure that the Department can effectively monitor security and provide essential educational resources, ultimately enhancing the safety and functionality of Florida's correctional facilities.

Objective 2: Provide network redundancy with failover capabilities to ensure continuous operations during network failures, enhancing workforce security and maintaining continuous support during law enforcement and public safety events.

Network redundancy with automatic failover is an imperative requirement, one that can be achieved by the replacement of aging technology, as well as the addition of new technology. This will ensure that network traffic continues to flow at Department locations even if a portion of the network fails.

The Department's responsibilities encompass workforce, inmate, and offender safety. Additionally, there is statewide legislative scope, cybersecurity risks, and law enforcement consequences that merit a robust and redundant network infrastructure.

Over 60 of the Department's locations are affected by this network infrastructure gap, and the absence of the required equipment, services, and support. The improvements needed provide redundancy and failover with cloud services, firewalls, and improved cybersecurity. The benefits to the Department include:

- Increased uptime by reducing downtime due to single-point component failures.
- Improved performance as traffic will be distributed across multiple servers and devices, hence a single point of failure does not stop or overload network functions.
- Increased availability as the network is always available to users.
- Reduced costs due to the expensive costs of downtime and recovery.

Network failures can hinder the flow of information, affecting the ability to respond to public safety emergencies and promptly coordinating with law enforcement partners.

Objective 3: Provide secure wireless network access for greater infrastructure efficiency and improve officers' access to online data.

Deploying untethered wireless network access points for 800-plus buildings will provide our officers access to applications, documents, email, and other resources in areas where wired networks are difficult to implement. Wireless access points allow greater network effectiveness by supporting additional users without the need to run additional cables and wires. This network setup allows officers to be more productive as they move throughout the facilities while performing their duties. Sensitive data will remain secure via the use of a Wireless Intrusion Prevention System (WIPS), which monitors the network's airspace to detect unexpected, unauthorized, or rogue activities and frequencies. If any malicious or misconfigured device attempts to operate on the network, the WIPS can automatically detect it and disable it, preventing potential attacks against the network and its users.

Objective 4: Provide baseline contracted services that enhance the Department's ability to provide support services to thousands of users, resulting in improved responsiveness and better service quality. This will enable the workforce to deliver a higher level of services to all constituents and public safety partners.

The current Department IT personnel support ratio is 128:1, meaning there is only one IT support staff member to every 128 employees across the Department. In comparison, the average IT support ratio for other state agencies is 45:1 (i.e., one IT support staff member for every 45 employees) according to the General Appropriations Act (GAA, 2023). Public safety agencies such as the FDLE have an even more favorable ratio of 16:1, while the Department of Juvenile Justice maintains a 53:1 ratio.

To begin addressing the disparity and restore personnel capacity, the Department requires 80 additional contracted IT personnel. Increasing the number of baseline IT personnel will allow the Department to skillfully launch and support multiple technology and business re-engineering projects. This increase is critical to restoring business operations and maintaining public safety.

Objective 5: Provide contracted services focused on modernizing the Department's infrastructure to keep pace with technology changes, while allowing the Department to meet its crucial responsibilities.

To achieve this objective, contracted services personnel are imperative for supporting the modernization of the Department's operating platforms and policy practices. The Department is required to comply with multiple cybersecurity standards including, CJIS 5.9.4, Chapter 60GG-2 Cyber Security standards, and various NIST guidelines such as NIST 142, NIST 800-53, and NIST 800-171. These standards guarantee the security and integrity of the Department's Information systems and data.

In addition to supporting compliance with IT standards, contracted services personnel will assist with asset inventory management and the Network Closet Cleanup initiative. Network closets are critical rooms where computer networking hardware and voice circuits are housed. This initiative aims to improve several key areas:

- **Physical Access:** Enhance security measures to prevent unauthorized access to network equipment.
- **Securing Equipment:** Implement safeguards to prevent tampering with networking hardware.
- **Environmental Control:** Ensure optimal environmental conditions for network equipment to maximize reliability, reduce costs, and support sustainable IT practices.
- **Power Management:** Optimize power usage to save energy, minimize the risk of outages, and lower maintenance costs.

- **Cable Management:** Organize cabling and connectivity hardware for easy identification of components and streamlined troubleshooting.

By modernizing infrastructure and aligning with these initiatives, the Department will not only improve its technological capabilities but also fulfill its crucial responsibilities more effectively.

Having established the strategic need for modernization, the following Baseline Analysis will assess current business processes, stakeholder groups, and technologies to identify the necessary transformations for successful project implementation.

B. Baseline Analysis

Staff from the Department’s offices of Information Technology, Institutions, Community Corrections, Administration, Programs and Re-Entry, Office of General Counsel, Office of Financial Management, and Health Services convened to identify, confirm, and prioritize infrastructure and connectivity needs and gaps. Assessments of the current states of network infrastructures, connectivity, security devices, redundancies, and inadequate personnel staffing revealed critical deficiencies in supporting a large and complex state agency. The assessments used the As-Is documentation from 2023 as a starting point to determine the current state and to identify gaps.

Analysis Methodology

Building on the 2008 baseline and comparing it against the recent business process and requirements documentation for critical systems, experienced business analysts from the Department’s Project Management Office (PMO) conducted a workflow analysis and held multiple sessions across each of the Department’s organizations. These sessions confirmed that the current state of the technology domain reflects the accumulated technology debt and critical need for technological restoration.

The infrastructure findings were categorized and detailed in following **Officer Connectivity Plan** categories:

- **Connectivity:** Management Tools
- **Connectivity:** Building Connectivity
- **Connectivity:** Redundancy and Failover
- **Connectivity:** Cybersecurity Organization and Operation
- **Connectivity:** Secure Wireless Access
- **Contracted Services/Staffing:** Baseline Personnel Support
- **Contracted Services/Staffing:** Infrastructure Modernization

These findings are covered in the section on proposed business process requirements. Next are findings concerning current business processes.

1. Current Business Process(es)

Information Technology business processes are critical to the smooth operations of the Department’s IT infrastructure and ensure connectivity across all statewide campuses. Within this framework, the three essential security principles, confidentiality, integrity, and availability (CIA), must be maintained. The following table (**Table 1**) outlines the 10 key infrastructure functions and related processes that support the Department’s IT operations across all campuses, emphasizing the importance of confidentiality, integrity, and availability.

Table 1: Infrastructure Business Processes

Connectivity and Infrastructure Business Functions and Processes		
	Business Function	Processes
1.	Network management	<ul style="list-style-type: none"> • Network security • WAN encryption – FDLE and CJIS compliance • VPN management
2.	Service Desk	<ul style="list-style-type: none"> • Call Center • Ticket Intake • Ticket triage • Ticket assignments • Ticket monitoring
3.	WAN management	<ul style="list-style-type: none"> • Router configuration • Switch management
4.	Wireless Network management	<ul style="list-style-type: none"> • Tunneling • Certificate authentication • Intrusion prevention systems
5.	LAN Premise wiring and switches	<ul style="list-style-type: none"> • Maintain cable plant in TLH offices
6.	Microsoft Endpoint Configuration Manager / Mobile Device Management	<ul style="list-style-type: none"> • Workstation management <ul style="list-style-type: none"> ○ Patching ○ Imaging • Deploy business applications. • Software application deployment • Mobile phone and tablet management & policy
7.	Infrastructure Management	<ul style="list-style-type: none"> • Active directory management • Office365 and Exchange management • FTP management • Domain management • Backup and restore • Server management • Active directory federation services (ADFS) and single sign-on (SSO) • SQL cluster management <ul style="list-style-type: none"> ○ Failover ○ Maintenance and troubleshooting ○ Cluster OS upgrades ○ Open database connectivity (ODBC) • Enterprise application support • Certificate management • Azure Cloud management • Provisioning and Deprovisioning <ul style="list-style-type: none"> ○ AD user account management ○ CDC account management ○ Office365 account management

Connectivity and Infrastructure Business Functions and Processes		
	Business Function	Processes
8.	Telecommunications Management	<ul style="list-style-type: none"> • Enterprise telephony services <ul style="list-style-type: none"> ○ Unified communications as a service (UCaaS) management ○ Centrex ○ Business lines • Support services • Billing • Vendor liaison
9.	Field Technology Services	<ul style="list-style-type: none"> • Local server imaging • AD management • Mobile devices • Wi-Fi services • Network cable services • Desktop and laptop imaging • Network switches • Trouble ticket support • Vendor management • Software support

Network Management

The network management business process involves managing the Department’s network infrastructure, including routers, switches, firewalls, and additional assets for connectivity. This process results in provisioning, operating, maintaining, administering, and securing the infrastructure. The administration function requires tools to support administrators monitoring and troubleshooting the network infrastructure. Monitoring includes traffic levels, device status, and performance metrics, which are used to identify problems, track trends, and to optimize the network.

IT Service Desk

Service Desk processes are the set of activities performed by the service or help desk to manage IT incidents, service requests, and various user interactions. The processes are designed to ensure that users receive help for IT-related issues in a timely manner.

Wide Area Network (WAN) Management

WAN management includes a set of processes for monitoring, maintaining, and optimizing a WAN. Several tools and techniques used for WAN management include:

- WAN management software
- Network monitoring tools
- Security tools
- WAN optimization tools

Wireless Network Management

Effective wireless network management is vital for maintaining seamless connectivity and strong security across the Department’s facilities. It is also important in that it provides for efficient monitoring, configuration, and troubleshooting of wireless networks. Some of the key capabilities of the Departmental function includes:

- **Centralized management:** The ability to manage all the Department’s wireless devices from a single console.

- **Real-time monitoring:** The ability to monitor the Department's network in real time and identify problems as soon as they occur.
- **Troubleshooting tools:** The ability to troubleshoot wireless IT incidents efficiently.
- **Reporting capabilities:** The ability to generate reports on network performance, security, and usage.

LAN Wiring and Switch Management

Maintaining a reliable and efficient local area network (LAN) involves two key components: LAN wiring and switch management. LAN wiring refers to the physical cables that connect devices within a network, while switch management involves the configuration and monitoring of network switches. Switches are critical devices that effectively connect LAN segments and route network traffic.

To ensure optimal LAN performance, the Department considers the following best practices:

- **Use a structured cabling system** to organize cables efficiently.
- **Monitor switch performance and traffic logs** to identify potential issues.
- **Update switch firmware regularly** to ensure security and performance improvements.

Endpoint Configuration Management / Mobile Device Management

Endpoint configuration management (ECM) is the process of managing the configuration of endpoints, such as laptops, desktops, and mobile devices. ECM helps the Department to ensure that endpoints are compliant with security policies, up to date with the latest software, and properly configured for optimal performance. Benefits to implementing ECM include:

- **Improved security:** ECM can help to reduce the risk of security breaches by ensuring that endpoints are properly configured and patched.
- **Increased compliance:** ECM helps the Department to comply with regulatory requirements by ensuring that endpoints are configured in accordance with the relevant standards.
- **Enhanced productivity:** ECM helps to improve employee productivity by ensuring that endpoints are properly configured and that employees have access to the applications and data needed.

Infrastructure Management

Infrastructure management is the process of overseeing and maintaining the physical and digital components that support the Department's IT systems. It includes sub-processes such as:

- Planning and implementing new infrastructure
- Provisioning and deprovisioning resources
- Monitoring and troubleshooting performance
- Maintaining security and compliance
- Optimizing costs

Infrastructure management is essential for ensuring that departmental IT systems are reliable, secure, and efficient. Some benefits of infrastructure management are:

- Improved uptime and performance
- Reduced risk of outages and security breaches
- Increased efficiency and productivity
- Lower IT costs
- Improved compliance with regulations

Telecommunications Management

Telecommunications management is the process of overseeing the planning, implementation, and maintenance of telecommunications systems. It includes:

- **Planning:** Developing the Department's telecommunications strategy that aligns with the overall goals.

- **Acquisition:** Selecting and purchasing telecommunications equipment and services.
- **Installation:** Deploying and configuring telecommunications systems.
- **Maintenance:** Keeping telecommunications systems up and running.
- **Troubleshooting:** Identifying and resolving telecommunications problems.
- **Security:** Protecting telecommunications systems from unauthorized access.

Field Technology Services

Field technology services are the distribution of infrastructure and connectivity services across the state for efficiency and reach to all Departmental facilities. Capabilities are structured regionally, and augment support provided through the Department’s Central Office.

Stakeholders

Each business process affects individuals and entities both inside and outside of the Department in unique ways. Identifying stakeholders and their specific needs is critical to delivering the right services and meeting the quality expectations of various communities of users. The Project Management Institute (PMI) defines a stakeholder as “anyone who may be positively or negatively impacted by the project.” The table below lists the project’s stakeholders which have been identified to-date, as well as a summary of how each will be affected by, or will participate in, the Connectivity and Infrastructure domain of the Officer Station Connectivity Plan.

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
Florida Department of Corrections	<p>Replacing the current OBIS affects all facets of support and operational areas within the Department, as it represents a significant shift in technology, functionality, personnel skills and knowledge, and an ongoing need to readdress budgetary support. Internal stakeholders include:</p> <ul style="list-style-type: none"> • Executive Leadership • Institutions • Community Corrections • Administration • Budget and Financial Management • Communications • Facilities Management • Finance and Accounting • General Counsel • Health Services Human Resources • Information Technology • Inspector General • Intelligence • Legislative Affairs • Procurement • Programs and Re-Entry
General Public	A general body of people within the Florida community. The general public is directly affected by the Department’s ability to meet its security and safety mandates.
Victims	Victims of crime have a particular interest in the Department’s ability to meet its security and safety mandates.

Business Process Stakeholder Groups

Stakeholder	How affected and/or how group will participate
Law Enforcement Agencies	A wide variety of law enforcement agencies provide data to support the Department’s mission. The FDLE provides positive, biometric-based identification services (state and federal) and supplies criminal history records to the Department. By running an identification check, the Department notifies FDLE that an inmate is in custody.
Local Law Enforcement Agencies	A wide variety of law enforcement agencies provide data to support the Department’s mission. State law enforcement agencies (Police, Sheriffs) interact with the Department and may be actively involved with transfers, escapes, absconders, and investigatory processes.
Courts	The court systems are closely integrated with the Department, as they impose the sentences that the Department is required to enforce for inmates and offenders. Additionally, the courts frequently request information and conduct investigations to support their constitutional responsibilities.
Other States	The Department, through the Interstate Compact, houses inmates from and provides supervision of offenders on behalf of other states. Concurrently, other states perform similar services on behalf of the Department.
Florida Department of Children and Families (DCF)	The Department operates in partnership with DCF to close any government benefits such as the Supplemental Nutrition Assistance Program (SNAP) or Temporary Assistance for Needy Families (TANF) when a person enters FDC to ensure benefits are not distributed to incarcerated persons. The data provided also prevents incarcerated individuals’ identities from being fraudulently used to apply for assistance.
Other State Agencies	<p>Other agencies within the State of Florida that interact and/or are affected by the Department’s network connectivity consistent with CIA requirements and include:</p> <ul style="list-style-type: none"> • Florida Department of Revenue (DOR) • Florida Department of Juvenile Justice (DJJ) • Florida Department of Elder Affairs (DOEA) • Florida Agency for Persons with Disabilities (APD) • Florida Department of Law Enforcement (FDLE) • Florida Office of the Attorney General (OAG) • Florida Public Service Commission (PSC) • Florida Department of Agriculture and Consumer Services (DACS) • Florida Department of Education (DOE) • Florida Lottery • Florida Department of Highway Safety and Motor Vehicles (DHSMV) • Clerk of Courts • Auditor General

Business Process Stakeholder Groups	
Stakeholder	How affected and/or how group will participate
State Data Center (SDC)	The SDC provides utility computing services to the Department. The center maintains a 24x7x365 Tier III data center operation with redundant power, back-up generators, and redundant network connections. As of FY 2020-21, the SDC outsourced mainframe services to the Northwest Regional Data Center (NWRDC) who has contracted with a vendor to supply services.
Contracted Services	Third party vendors contract with the Department. Examples of service contractors include: <ul style="list-style-type: none"> • Health Services • Canteen • Electronic Monitoring • JPAY payment processing
Florida Legislature	The governing body responsible for enacting laws. The Legislature has exclusive authority to determine statute and adopt the budget for state government activities.
Executive Office of the Governor (EOG)	As a part of the overall governance team, the EOG communicates with the House and the Senate as well as creates a recommended budget and signs the budget voted on by the legislature.
Other Federal Agencies	Other Federal Agencies interact with the Department. They include: <ul style="list-style-type: none"> • Social Security Administration (SSA) • Internal Revenue Service (IRS) • Department of Defense (DOD) • Department of Treasury • Department of Justice (DOJ) • Department of Homeland Security (DHS)

2. Assumptions and Constraints

Assumptions

Assumptions are beliefs or expectations that the Department collectively identified concerning the benefits, risks, and challenges of restoration from the accumulated technical debt in the context of departmental applications. These assumptions will impact the success of the efforts that the Department undertakes.

In the context of the **Officer Station Connectivity Plan**, the assumptions are:

1. **Current Technology Limitations:** The Department's current technologies and infrastructure are inadequate for sustaining legislative responsibilities and ensuring efficient operations across all campuses. Historical data indicates a steady decline in system reliability and performance over the past five years.
2. **Funding Models:** Incremental budget and funding models will impede the necessary transformation to eliminate technical debt. A comprehensive funding approach is needed to address all layers of technology, including contracted services. A [cost-benefit analysis](#) supports this, projecting a positive return on investment (ROI) within three years.
3. **Benefit vs. Cost:** The projected benefits of technology restoration, including enhanced efficiency and reduced operational costs, will exceed the investment required over the project duration.
4. **Operational Continuity:** No disruptions to departmental operations are anticipated during the

restoration process, due to the phased implementation strategy and instituted redundancy measures.

5. **Funding Approval:** Full funding for the project and future refreshes is anticipated, supported by alignment with state legislative goals and stakeholder commitments.
6. **Incremental Restoration Infeasibility:** Incremental restoration is not feasible due to the risk of stalling transformational projects, acquiring skilled resources, and implementing necessary network solutions. An all-encompassing approach is required to meet operational standards.
7. **Cybersecurity and Compliance:** Implementing a Zero-Trust cybersecurity model will provide comprehensive protection across all systems, aligning with CJIS and Florida Statute compliance requirements. Regular audits and benchmarks will track progress.
8. **Public Safety and Security:** Elevating information security standards is integral to maintaining public safety, and the safety of inmates, officers, and support personnel. This assumption is supported by increased threat levels and risk assessments.
9. **Business Process Re-Engineering:** As part of the application restoration effort, business processes and technical architectures will be assessed and updated to support the Department's size, complexity, and role in public safety.
10. **Leadership and Stakeholder Engagement:** The Department's executive leadership and stakeholders are committed to the project's success throughout the multi-year implementation. Regular updates and feedback loops will ensure continued engagement.
11. **Efficiency Gains:** The deployment of mobile devices and applications will significantly reduce manual processes, enhancing productivity and safety for officers and staff.
12. **Network Support for Modern Applications:** The network will support modernized applications with capabilities for offline data capture and synchronization, reducing the need for paper-based workflows and improving operational efficiency.
13. **Centers of Excellence:** Establishment of Centers of Excellence will ensure agility, compliance with standards, and sustainability of the Department's investments, fostering innovation and continuous improvement.
14. **Collaboration with Florida Digital Service (FL[DS]):** Ongoing collaboration with FL[DS] will ensure compliance with State guidelines as outlined in F.A.C. Chapter 60GG-1 through 60GG-5, facilitating alignment and support.

Constraints

The following constraints have been identified as key factors that could impact the progress and outcomes of the infrastructure and connectivity restoration initiatives.

In the context of the **Officer Station Connectivity Plan**, the constraints are:

1. **Phased Implementation vs. Vendor Preferences:** Potential vendors may prefer to implement infrastructure and connectivity restoration in fewer phases over a shorter period, which may conflict with the approved funding model and timeline. This could require negotiation and adjustments to vendor contracts to ensure alignment with the Department's strategic objectives and funding constraints.
2. **Funding Dependencies:** The successful execution of project activities, schedules, and milestones is highly dependent on the availability and timing of appropriate funding. Any delays or changes in funding allocations could significantly impact project timelines and deliverables. Florida Statute 216.023 governs the legislative budget process and funding allocations, emphasizing the importance of aligning projects with approved budget models.
3. **Legislative and Policy Changes:** Changes in state statutes, administrative rules, or Department policies could affect the project scope, timelines, and resource allocations. These changes may necessitate adjustments in project plans to maintain compliance and alignment with new requirements. For instance, Florida Statute 282.318 addresses state cybersecurity policies, which could impact project requirements.
4. **Operational Continuity:** The Department must maintain ongoing operations during the infrastructure and connectivity restoration projects. This constraint requires careful planning to minimize disruptions and ensure that critical services continue to function effectively throughout the implementation phases.
5. **Proposed Business Process Requirements:** The implementation of proposed business process requirements may be constrained by existing systems and technologies, requiring modifications to accommodate new processes. Aligning these requirements with the project's technical capabilities is crucial for successful

execution.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The proposed business process requirement involves a comprehensive upgrade of the Department's network infrastructure to address current deficiencies, reduce technical debt, and support future growth. By implementing state-of-the-art networking technologies and robust security measures, the Department aims to improve service delivery, increase officer productivity, and enhance public safety.

Key Components:

Network Upgrade

- **Implementation of Fiber-Optic Connectivity:**
The Department will deploy fiber-optic cables in all 800-plus facilities currently lacking adequate network infrastructure. This upgrade will provide high-speed internet access, ensuring seamless connectivity for all users and supporting bandwidth-intensive applications necessary for daily operations and strategic initiatives such as the Officer Station Connectivity Plan. Enhanced connectivity is critical for real-time data access, enabling officers to perform their duties efficiently and effectively.
- **Advanced Networking Equipment:**
Modern switches, routers, and wireless access points will be deployed to enhance network performance and provide robust connectivity options for both wired and wireless devices. These upgrades will facilitate improved network management and support increased demands for connectivity as the Department expands its technological capabilities.

Data Security Enhancement

- **Encryption Protocols:**
End-to-end encryption protocols will be implemented to protect sensitive data during transmission and storage, ensuring confidentiality and integrity. These measures are crucial for maintaining compliance with the CJIS Security Policy and relevant sections of the Florida Statute 282.318, which emphasize the protection of sensitive information and cybersecurity for state agencies.
- **Firewall and Intrusion Detection Systems:**
Advanced firewall and intrusion detection systems will be installed to monitor network traffic, detect potential threats, and prevent unauthorized access. These systems will provide continuous protection against cyber threats, aligning with the Department's goal of improving cybersecurity and safeguarding critical assets.

Compliance and Risk Management

- **Alignment with Regulatory Standards:**
The upgraded network infrastructure will comply with all relevant cybersecurity and data protection regulations, including CJIS Security Policy, NIST 800-53, NIST 800-171, and Florida Statute 282.318. Ensuring compliance will minimize legal and financial risks while strengthening trust with regulatory bodies and law enforcement partners.
- **Regular Security Audits:**
Periodic security audits will be conducted to identify vulnerabilities, assess risk levels, and implement necessary mitigations to enhance the Department's security posture. These audits will ensure ongoing compliance with standards and facilitate continuous improvement in security practices.

Operational Efficiency and Support

- **Centralized Network Management:**
Centralized management tools will be utilized to monitor network performance, manage configurations, and troubleshoot issues efficiently. This approach will streamline operations and enable IT staff to respond promptly to emerging challenges, reducing downtime, and enhancing system availability.
- **Training and Support:**
Training sessions will be provided for IT staff and end-users to ensure the proper use of network resources

and adherence to security protocols. This training will support the Department's efforts to modernize its workforce and address skill gaps, aligning with the strategic objective of increasing compliance and reducing technical debt.

Expected Benefits

- **Improved Connectivity and Performance:**
The enhanced network infrastructure will provide faster and more reliable connectivity, supporting critical applications and improving overall operational efficiency. This improvement aligns with the Department's goal of increasing officer productivity and maintaining public safety.
- **Increased Data Security:**
Advanced security measures will protect sensitive information from breaches and unauthorized access, safeguarding the Department's data assets. These measures support compliance with legislative requirements and reduce the risk of cybersecurity incidents.
- **Regulatory Compliance:**
Compliance with relevant standards will reduce legal and financial risks, strengthening trust with stakeholders and supporting the Department's strategic objectives.
- **Operational Resilience:**
Improved network management will reduce downtime, enhance system availability, and ensure business continuity. This resilience will enable the Department to meet its critical responsibilities and respond effectively to public safety needs.

2. Business Solution Alternatives

Considering the scope of technical debt, there were no alternatives, other than the proposed approach to implement connectivity initiatives and acquire contractor staff to provide the skillset to support new technology requirements.

3. Rationale for Selection

The selection of the proposed initiatives is guided by several strategic factors that align with the Department's objectives and address critical operational needs. These initiatives are essential for increasing officer productivity, ensuring compliance with regulatory standards, enhancing cybersecurity, improving customer satisfaction, and reducing the technical debt backlog. The rationale for these initiatives is further strengthened by relevant Florida legislative IT statutes that emphasize the importance of modernizing technology infrastructure within state agencies.

Increased Officer Productivity

Enhancing the Department's IT infrastructure will directly lead to increased officer productivity by providing seamless access to necessary applications, documents, and resources. Reliable network connectivity enables officers to perform their duties more efficiently, whether they are in the office or in the field. With improved access to real-time data and communication tools, officers can make informed decisions more quickly and effectively. This increase in productivity aligns with Florida Statute 282.0051, which mandates state agencies to improve IT resources and services to enhance operational efficiency.

Increased Compliance

The Department must adhere to stringent state and federal regulations, including the CJIS Security Policy and Florida Statute 282.318, which governs cybersecurity for state agencies. The proposed initiatives will ensure that the Department remains compliant with these standards by upgrading its infrastructure and implementing robust compliance measures. These improvements will minimize the risk of non-compliance and ensure the integrity and confidentiality of sensitive information, thereby maintaining trust with regulatory bodies and other law enforcement agencies.

Improved Cybersecurity

In today's digital landscape, cybersecurity is paramount, especially for agencies handling sensitive data and public safety responsibilities. The proposed project includes advanced cybersecurity measures, such as upgrading network infrastructure, deploying secure wireless access points, and implementing comprehensive monitoring and threat

detection systems. These enhancements will protect the Department's systems from unauthorized access and cyber threats, aligning with the requirements of Florida Statute 282.318, which emphasizes safeguarding state information technology resources. Strengthening cybersecurity will ensure the safety of Department personnel and the public while maintaining uninterrupted operations.

Increased Customer Satisfaction

The proposed improvements will lead to increased satisfaction among the Department's stakeholders, including officers, staff, inmates, and the public. By delivering reliable and efficient technology infrastructure, the Department can ensure faster response times, better service delivery, and improved communication channels. This aligns with Florida Statute 282.0051, which encourages state agencies to enhance service quality and customer satisfaction through improved IT services. Meeting the expectations of stakeholders is essential for maintaining public trust and supporting the Department's mission.

Reduction of the Technical Debt Backlog

Addressing the technical debt backlog is crucial for modernizing the Department's IT infrastructure and aligning it with current technological standards. By investing in necessary upgrades and improvements, the Department can eliminate outdated systems and processes that hinder operational efficiency. This effort supports the goals outlined in Florida Statute 282.0051, which promotes the modernization of IT resources to improve state agency performance. Reducing technical debt will not only streamline operations but also position the Department for future technological advancements.

Having identified the key areas for improvement and the rationale behind each initiative, the following section outlines the recommended business solution designed to address these challenges, align with legislative requirements, and achieve the Department's strategic objectives.

4. Recommended Business Solution

Fiber Expansion

Connecting the remaining 800-plus buildings that do not currently have fiber will allow for increased officer productivity through higher network speeds, offer redundancy as a guard against downtime, and will support increased concurrent system users. It also improves the positioning of the Department for the usage of applications currently being modernized or moved to SaaS platforms that will replace legacy mainframe and in-house applications, as well as supporting inmate education programs.

Wireless Expansion

Expanding wireless connectivity enables officers to be more productive by accessing the network, and therefore data, from anywhere in their facility versus having to come to a fixed location. Wireless allows more officers to connect from mobile devices versus having to wait for an unoccupied fixed workstation and resolves the challenges of running wires within a facility. It will increase officer safety. As one example, today security officers must escort inmates from their cells to other areas for classification processing. They must remain with them and then escort the inmates back to their cells. This process ties up several officers and increases security risks. In the future, a classification officer will bring their technology to the safety side of an inmate's cell and perform that processing without the need to remove the inmate from their cell.

Staffing (Contract Services)

Service Tickets

Increased IT staffing levels ensure demands for service are met in a timely manner. Operating at scale allows workforce workloads to be manageable, it serves to increase knowledge and capabilities, and allows for rapid response to service tickets. Using contracted services allows the Department to fluctuate skill sets as needs fluctuate.

Closet Cleanup

Protecting all the Department's data and infrastructure assets through improved physical or non-physical security.

Access Management

The Department plans to implement a multifactor authentication (MFA) solution that reduces the risk of accounts being compromised by blocking unauthorized users as well as credential theft, enhancing protection of sensitive departmental data. It will also enable the blocking of phishing attempts, complying with department-wide cybersecurity policies.

Conclusion

Without the urgent implementation of these requests, performance inefficiencies and vulnerabilities continue to add to the technical debt that can be exploited, producing negative public safety outcomes.

D. In conclusion, the Department's technology infrastructure is a critical investment for public safety and essential for improving public safety. The implementation of these requests will improve performance, reduce costs, improve cybersecurity, IT security, and physical security. Functional and Technical Requirements

Functional requirements for Officer Station connectivity are to provide fiber and access to the FDC network for over half of the buildings managed by the Office of Institutions that are not currently connected. Functional requirements include:

- Provide Correctional Officers with access across all Dorms, to support operational and security capabilities.
- Enable access to CIMS and other new applications, to allow reporting information in real time.
- Enable real-time access to situational information to enhance officer and inmate safety.
- Provide the capabilities for Institutions to communicate and to interact with Central Office.
- To provide Officer Stations with access to new computers and VoIP phones for security and operational efficiency.

Technical requirements to support these objectives include the following fiber and network specifications:

- Install fiber from the Main Distribution Frame (MDF), i.e., the central hub of the network to each Intermediate Distribution Frame (IDF), i.e., which connects each remote building and user devices.
- Install 12 strand single mode fiber cable to each IDF Installed new 10 U Equipment Cabinet.
- Install a minimum of 10 strand fiber between buildings at each location.
- Connect officer stations in each building with 4-7 new CAT5 network drops.
- Install connections for wireless access points and wireless intrusion protection devices.
- Install and configure switches across buildings.
- The fiber is to be installed in buried conduits between buildings.
- The conduits are to be a minimum of three inch inside diameter.
- An available, functioning pull string is to be left in place in each conduit after the installation of the fiber.
- The fiber is to be terminated to the standards defined in the Department of Management Services TIPS contract.
- The fiber will be terminated in a 10U (minimum) wall mounted enclosure. This closure will be lockable and tamper resistant if possible. These enclosures should be installed in a conditioned space when possible.
- Backboards may need to be installed in some locations.
- Electrical outlets may be required in some locations. All electrical work will need to be completed by a licensed electrician. Any new electrical circuits must be installed as a dedicated circuit.
- Network cables are to be a home run from the Officer Station to the nearest MDF or network switch.
- Network cables are to be terminated to the standards defined in the Department of Management Services TIPS contract.
- There shall be no exposed cables. All cabling must be inside walls or in a metal conduit securely fastened to the wall or ceiling with tamper resistant hardware.

These requirements are compliant with DMS standards, FDC physical security requirements, and are driven by operational requirements by the department to be compliant with CJIS.

II. Success Criteria

The success of Officer Station Connectivity will lead to overall performance, reliability, and redundancy of departmental systems. It will also result in increased security and the reduction of workforce risks, such as officers unable to access systems where connectivity is unavailable. Finally, 800-plus unconnected buildings will be connected to the network, benefitting program delivery and workforce productivity. Additional detailed benefits include:

- **Increased agility and flexibility:** The modernized network can be adapted to changing departmental business needs and requirements. Therefore, programs and projects can easily add new devices, applications, and services, and more readily make changes to the network configuration.
- **Improved performance and reliability:** The modernized network will be able to handle more traffic and provide better performance for users. It should also be more reliable and less prone to outages.
- **Enhanced security:** The modernized network will be more secure and resistant to cyberattacks. This will occur with implementing up-to-date security technologies and best practices.
- **Reduced costs:** The modernized network will help to reduce IT costs. This will be achieved by using more efficient technologies and by reducing the need for manual network management tasks, which is the current state.
- **Improved compliance:** The modernized network will help the organization to comply with state and federal regulations. This means that the Department will be able to track and monitor network traffic, and to implement security controls that meet regulatory requirements.

Success Criteria Table				
#	Description of criteria	How will the criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1.	Connectivity to facilities	- Percentage of completion based on number of fiber connections needed and the number of fiber connections completed.	- Inmates/Offenders - Officers	Year 1
2.	The solution will support the Department in its on-going practice of sound fiscal stewardship of its assets	- Operating costs for Security and Institutional Operations - Operating costs for Community Corrections - Overhead costs for Department Administration	- Officers - Citizens - FDC	Year 1
3.	The solution will provide value to the Department through additional portable options	- Percent of supervision case notes completed by use of automation or mobile devices. - Efficiencies/performance increases	Supervisors and Field staff	Year 1

Success Criteria Table

#	Description of criteria	How will the criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
4.	The solution will positively impact the user experience and increase employee satisfaction	<ul style="list-style-type: none"> - Employee satisfaction survey results - Attrition/turnover rates - New Hire latency - Help Desk calls - Reduced training time 	FDC	Year 1
5.	The solution will allow the Department to fully protect sensitive criminal justice information	<ul style="list-style-type: none"> - Security incidents - Audits and review results 	FDC	Year 1
6.	The solution will provide a positive ROI and Internal Rate of Return (IRR) to the State of Florida	<ul style="list-style-type: none"> Project ROI Project IRR 	FDC	Year 1
7.	The project will be completed on-schedule, following an approved project plan	Interim project milestones	FDC	Year 1
8.	The project will be completed within the prescribed budget constraints defined in advance of project initiation	Project financial data	FDC	Year 1
9.	The project will achieve expected Cost Benefits	Cost Benefit Analysis and Benefit Realization outcomes	FDC	Year 1
10.	The project will facilitate data exchange with external stakeholders	<ul style="list-style-type: none"> - Automated data exchange volume/accuracy with Law Enforcement, Courts - Victim access/notifications 	External agencies	Year 1

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

A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is the benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Increased productivity (connectivity-wireless access)	Officers Inmates	<ul style="list-style-type: none"> - Increased system access by staff - Increased flexibility in access to online systems - Increased productivity from reduced escort duties. - Decreased security risks by fewer escort sessions. - Decreased wait time for inmates. 	- Customer satisfaction surveys	Year 1
2	Increased productivity (connectivity-redundancy)	Officers	Reduced downtime	<ul style="list-style-type: none"> - Network uptime - Customer satisfaction surveys 	Year 1
3	Increased customer satisfaction (service ticket turnaround time)	Department wide	<ul style="list-style-type: none"> - Reduced incident closure times - Increased ticket closure rates 	<ul style="list-style-type: none"> - Average service ticket closure rate - Tickets closed vs. tickets opened - Customer satisfaction surveys 	Year 1
5	Increased customer satisfaction (closet cleanup)	Department wide	Reduced downtime	<ul style="list-style-type: none"> - Average service ticket closure rate - Customer satisfaction surveys 	Year 1
6	Increased compliance with standards/policies	Office of Information Technology	Increased compliance through increase knowledge	Positive audit outcomes	Year 1
8.	Refreshed technology	Department wide	Completed asset inventory	Completion of annual physical inventories	Year 1

B. Cost Benefit Analysis (CBA)

The table below summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds (e.g., General Revenue, Trust Fund, Grants).</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

CBAForm 1 - Net Tangible Benefits

Agency Corrections Project Technology Restoration Plan Officer Connectivity

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	\$6,880,000	\$6,880,000	\$0	\$6,880,000	\$6,880,000	\$0	\$6,880,000	\$6,880,000	\$0	\$6,880,000	\$6,880,000	\$0	\$6,880,000	\$6,880,000
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	\$6,880,000	\$6,880,000	\$0	\$6,880,000	\$6,880,000	\$0	\$6,880,000	\$6,880,000	\$0	\$6,880,000	\$6,880,000	\$0	\$6,880,000	\$6,880,000
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	\$2,111,440	\$0	\$2,111,440	\$2,111,440	\$0	\$2,111,440	\$2,111,440	\$0	\$2,111,440	\$2,111,440	\$0	\$2,111,440	\$2,111,440	\$0	\$2,111,440
B-1. Managed Services (Staffing)	\$380,000	\$0	\$380,000	\$380,000	\$0	\$380,000	\$380,000	\$0	\$380,000	\$380,000	\$0	\$380,000	\$380,000	\$0	\$380,000
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$1,731,440	\$0	\$1,731,440	\$1,731,440	\$0	\$1,731,440	\$1,731,440	\$0	\$1,731,440	\$1,731,440	\$0	\$1,731,440	\$1,731,440	\$0	\$1,731,440
B-4. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$0	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$1,000,000
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$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>Wireless Expansion for Officer Mobile Apps</i>	\$0	\$500,000	\$500,000	\$0	\$500,000	\$500,000	\$0	\$500,000	\$500,000	\$0	\$500,000	\$500,000	\$0	\$500,000	\$500,000
C-5. Other <i>Fiber Replacment * Expansion</i>	\$0	\$500,000	\$500,000	\$0	\$500,000	\$500,000	\$0	\$500,000	\$500,000	\$0	\$500,000	\$500,000	\$0	\$500,000	\$500,000
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$2,111,440	\$7,880,000	\$9,991,440	\$2,111,440	\$7,880,000	\$9,991,440	\$2,111,440	\$7,880,000	\$9,991,440	\$2,111,440	\$7,880,000	\$9,991,440	\$2,111,440	\$7,880,000	\$9,991,440
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:		(\$7,880,000)			(\$7,880,000)			(\$7,880,000)			(\$7,880,000)			(\$7,880,000)	

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

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T		
1	Corrections	Technology Restoration Plan Officer Connectivity			CBA Form 2A Baseline Project Budget																
2	Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.			FY2025-26			FY2026-27			FY2027-28			FY2028-29			FY2029-30			TOTAL		
3				\$	9,150,000		\$	-		\$	-		\$	-		\$	9,150,000	\$	18,300,000		
4	Item Description (remove guidelines and annotate entries here)	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL	
5	Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
12	Hardware purchases not included in data center services.	Hardware	OCO	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -	\$ 450,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 450,000	\$ -	\$ -	\$ -	#VALUE!
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
17	Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -	\$ 4,200,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,200,000	\$ -	\$ -	\$ -	#VALUE!
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
20	Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ 4,500,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,500,000	\$ -	\$ -	\$ -	#VALUE!
21	Total			\$ -	0.00	\$ 9,150,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ 9,150,000	\$ -	\$ -	#VALUE!

Cost Benefit Analysis

CBAForm 2 - Project Cost Analysis

Agency	<u>Corrections</u>	Project <u>nology Restoration Plan Officer Connec</u>
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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 (*)	\$9,150,000	\$0	\$0	\$0	\$9,150,000	\$18,300,000
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$9,150,000	\$9,150,000	\$9,150,000	\$9,150,000	\$18,300,000	
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	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$0	\$0	\$0	\$0	\$0	\$0
CUMULATIVE INVESTMENT	\$0	\$0	\$0	\$0	\$0	\$0

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

Agency	Corrections	Project	Restoration Plan Officer C
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	TOTAL FOR ALL YEARS
Project Cost	\$9,150,000	\$0	\$0	\$0	\$9,150,000	\$18,300,000
Net Tangible Benefits	(\$7,880,000)	(\$7,880,000)	(\$7,880,000)	(\$7,880,000)	(\$7,880,000)	(\$39,400,000)
Return on Investment	(\$17,030,000)	(\$7,880,000)	(\$7,880,000)	(\$7,880,000)	(\$17,030,000)	(\$57,700,000)
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
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)	(\$52,344,344)	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.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>					
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%

IV. Schedule IV-B Major Project Risk Assessment

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency's Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

**Department of Management Services, Division of
State Technology**
PROJECT RISK & COMPLEXITY ASSESSMENT TOOL



Risk & Complexity Assessment Model for State Information Technology Projects

Purpose: In order to determine the level of risk associated with the undertaking of a project effort, this worksheet presents a series of risk and complexity questions. Each question has a weighted value. Once the assessment is complete, the project is classified into one of four project categories from low risk/low complexity to high risk/high complexity. Based on the project’s risk and complexity categorization, project management best practice risk mitigation strategies become required. Mitigation strategies include the mandatory creation of certain project management artifacts, status reporting, governance oversight, scope/schedule/budget accuracy thresholds, and independent verification and validation (IV&V) support.

Form Title: DMS Project Risk & Complexity Assessment Tool
Form Number: DMS-F-0505A
Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)

Scope: All state government information technology work efforts (projects) conducted for the State of Florida.
 "Project" as defined in Florida Statutes means an endeavor that has a defined start and end point; is undertaken to create or modify a unique product, service, or result; and has specific objectives that, when attained, signify completion.

Authority: Section 282.0051, Florida Statutes

INDEX

Tab	Description
Summary & Instructions	Instructions for completing assessments. Activates and summarizes assessment scoring.
Risk - Pre-Select	Questions and scoring criteria to determine Risk score for the Pre-Select Phase.
Complexity - Pre-Select	Questions and scoring criteria to determine Complexity score for the Pre-Select Phase.
Risk - Initiation	Questions and scoring criteria to determine Risk score for the Initiation Phase.
Complexity - Initiation	Questions and scoring criteria to determine Complexity score for the Initiation Phase.
Risk - Planning	Questions and scoring criteria to determine Risk score for the Planning Phase.
Complexity - Planning	Questions and scoring criteria to determine Complexity score for the Planning Phase.
Risk - Execution	Questions and scoring criteria to determine Risk score for the Execution Phase.
Project Category Lookup	Project Risk & Complexity Category Lookup table, based on Risk & Complexity scores.

REVISION HISTORY

Version	Date	Initials & Comments
1	7/31/2023	Started Pre Charter

PROJECT RISK & COMPLEXITY ASSESSMENT SUMMARY

AGENCY: *Florida Department of Corrections*
 PROJECT: *OFFICER STATIONS CONNECTIVITY*

Activate Assessment?				PROJECT CATEGORY	
Yes	1) PRE-CHARTER PHASE			1 2 3 4	
Select: Yes / No	Pre-Charter Risk Score	307.69	Medium Risk	1 2 3 4	
	Pre-Charter Complexity Score	148.39	Low Complexity		
PROJECT CATEGORY			2		

Activate Assessment?				PROJECT CATEGORY	
No	2) INITIATION PHASE			1 2 3 4	
Select: Yes / No	Initiation Risk Score	Not Scored		1 2 3 4	
	Initiation Complexity Score	Not Scored			
PROJECT CATEGORY			2		

Activate Assessment?				PROJECT CATEGORY	
No	3) PLANNING PHASE			1 2 3 4	
Select: Yes / No	Planning Risk Score	Not Scored		1 2 3 4	
	Planning Complexity Score	Not Scored			
	<i>Used for Event-Driven Complexity score also.</i>				
PROJECT CATEGORY			2		

Activate Assessment?				PROJECT CATEGORY	
No	4) EVENT-DRIVEN ASSESSMENT			1 2 3 4	
Select: Yes / No	Event-Driven Risk Score	Not Scored		1 2 3 4	
	Event-Driven Complexity Score	Not Scored			
<i>Carried forward from Planning Complexity score.</i>					
PROJECT CATEGORY			2		

OVERALL PROJECT RISK & COMPLEXITY ASSESSMENT				OVERALL PROJECT CATEGORY	
	Overall Risk Score	307.69	Medium Risk	1 2 3 4	
	Overall Complexity Score	148.39	Low Complexity		
PROJECT CATEGORY			2		

Form Title: DMS Project Risk & Complexity Assessment Tool
 Form Number: DMS-F-0505A
 Effective Date: 07/15 (incorporated into Rule 60GG-1, F.A.C.)

INSTRUCTIONS

1) Activate an Assessment:

- Select "Yes" or "No" from the "Activate Assessment" drop-down list.
 - "Yes" activates the assessment.
 - "No" deactivates the assessment.

NOTES:

- Make sure that the current assessment is activated and assessments for all previous project phases are activated. Start with the Pre-Charter Assessment and proceed toward the current project phase. **Do not activate assessments for future project phases.**

- Questions in activated assessments that are left blank will default to their highest possible score, which will count toward the overall (cumulative) score and corresponding project category.

- Questions in deactivated assessments will not be scored and will not count toward the overall (cumulative) score and corresponding project category.

2) Once an assessment is activated, answer its questions by selecting one response for each question from the drop-down list in the box located directly to the right of each question.

NOTES:

- **Do not leave any questions blank.** Questions left blank will default to their highest possible score.
- If a question is not applicable, select "NA" from the drop-down list. The "NA" response option is available for all questions.

SCORING EXPLANATION

These assessments align projects by risk and complexity levels into one (1) of four (4) Risk and Complexity (R&C) Categories, which determine the amount of project management control required. The diagram below indicates the distribution of risk and complexity levels into the R&C Category:

Risk	Low Complexity	Medium Complexity	High Complexity
Low Risk	1	1	2
Medium Risk	2	2	3
High Risk	3	3	4

- **Category 4** represents High Risk and High Complexity projects.
- **Category 3** represents High Risk and Medium Complexity projects, High Risk and Low Complexity projects, or Medium Risk and High Complexity projects.
- **Category 2** represents Medium Risk and Medium Complexity projects, Medium Risk and Low Complexity projects, or Low Risk and High Complexity projects.
- **Category 1** represents Low Risk and Medium Complexity projects or Low Risk and Low Complexity projects.

Each assessment is scored in range from 100 to 500, with 100 being the lowest possible score (corresponding to the lowest possible risk or complexity score, and 500 being the highest possible score (corresponding to the highest possible risk or complexity score). Scores for each assessment are rolled up cumulatively into an overall Risk & Complexity score, which in turn corresponds to the Project Risk & Complexity Category as indicated in the table above.

3) Assessment scores and their corresponding Project Risk & Complexity Category are automatically calculated and tabulated in the "Summary" tab.

NOTES:

- Upon proceeding to the next project phase, or when performing an Event-Driven Risk & Complexity Assessment, make sure that the assessments from all previous project phases are activated.

The Pre-Charter Risk Assessment is performed at the beginning of the Initiation Phase of the project. During this assessment, the Agency will review priorities and business need, assess the project and analyze factors that can impact project success. The resulting project category will establish the project management control requirements to be applied during the project Initiation phase. **Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.**

Form Title: DMS Project Risk & Complexity Assessment Tool
Form Number: DMS-F-0505A
Effective Date: 07/15
 (incorporated into Rule 60GG-1, F.A.C.)

1) What is the estimated total project cost?

- a. > \$5,000,000
- b. \$1,000,001 to \$5,000,000
- c. \$500,001 to \$1,000,000
- d. \$250,000 to \$500,000
- e. < \$250,000

3.85
3.08
2.31
1.54
0.77

A

2) How was the basis of estimate determined?

- a. Other methodology
- b. Consulting professional or agency judgment
- c. Comparative (analogous) project evaluation
- d. Based on the sum of estimates of each WBS element (top down or bottom up)

3.85
3.08
1.54
0.77

C

3) How important is the project to meeting the agency's Strategic Goals and Objectives as set forth in the agency's Long Range Program Plan (LRPP)?

- a. The project is critical to meeting Agency's Strategic Goals and Objectives.
- b. The project is important to meeting Agency's Strategic Goals and Objectives.
- c. The project has little or no direct impact on Agency's Strategic Goals and Objectives.

3.85
2.31
0.77

A

4) Has the agency successfully executed projects with similar scope, schedule, and/or cost within the past two years?

- a. No
- b. Yes

3.85
0.77

B

5) What is the level of project management maturity within your organization?

- a. Not mature--mostly ad hoc project management processes
- b. Somewhat mature--an even mix of ad hoc and established, best-practice project management processes
- c. Moderately mature--using established, best-practice project management processes, but not always consistently
- d. Mature--using established, best-practice project management processes consistently

3.85
3.08
1.54
0.77

C

6) Does the project impact mission-critical supporting business processes?

- a. Yes
- b. No

3.85
0.77

A

7) What is the potential organizational impact to State agencies with proceeding with this project?

- a. Requires re-engineering of organizations and processes affecting multiple agencies
- b. Requires re-engineering of organizations and processes within our agency only
- c. Requires no re-engineering of organizations and processes

3.85
2.31
0.77

C

8) How critical is the project to meeting externally generated mandates (Executive, Legislative, or Judicial)?

- a. The project is mandatory for accomplishment of external mandates.
- b. The project has little or no direct impact on accomplishment of external mandates.

3.85
0.77

B

9) What is the level of certainty in the estimated scope of the project?

- a. Low – Scope could change (increase or decrease).
- b. High – Scope is clearly fixed and will not change.

3.85
0.77

B

10) What is the level of certainty in the estimated cost of the project?

- a. Low – Cost estimate is not supported by experience or comparative analysis.
- b. Medium – Cost estimate is based on a comparative analysis of multiple similar projects.
- c. High – Cost estimate based on hands-on experience and similar projects under similar conditions.

3.85
2.31
0.77

B

11) What is the level of certainty in the estimated duration of the project?

- a. Low – Duration estimate is not supported by experience or comparative analysis.
- b. Medium – Duration estimate is based on a comparative analysis of multiple similar projects.
- c. High – Duration estimate based on hands-on experience and similar projects under similar

3.85
2.31
0.77

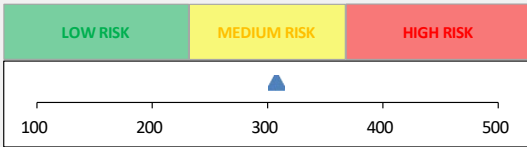
B

12) If the project plans to use GAA funding, do project funds cross fiscal year budgets?

- a. Yes
- b. No
- c. This project does not plan to use GAA funding

3.85
2.31
0.77

B



High Risk: 368 - 500
Medium Risk: 234 - 367
Low Risk: 100 - 233

RED FLAG SETTING

Medium_Risk

--

The Pre-Charter Complexity Assessment is performed at the beginning of the Initiation Phase of the project. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. The resulting project category will establish the project management control requirements to be applied during the project Initiation phase. **Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.**

Form Title: DMS Project Risk & Complexity Assessment Tool

Form Number: DMS-F-0505A

Effective Date: 07/15

(incorporated into Rule 60GG-1, F.A.C.)

1) Are agency business processes directly impacted by the project?

Business processes that are "directly impacted" by the project are specific business processes that are measurably effected by the project. Some projects, such as upgrading personal computers, may not have any business processes directly impacted by the project, only those that are indirectly impacted.

- a. Yes
b. No

3.23
0.65

B

2) Are there interrelated projects that are dependent upon this project, or upon which this project depends (either for inputs, outputs, or resources)?

- a. This project is dependent on one or more other projects, AND one or more other projects are dependent on this project.
b. This project is dependent on one or more other projects.
c. One or more other projects are dependent on this project.
d. This project has no interdependencies.

3.23
2.58
1.29
0.65

C

3) Are the organizational structure and functional responsibilities clearly defined for this project?

- a. Organizational structure and functional responsibilities are not defined.
b. Organizational structure and functional responsibilities are defined.

3.23
0.65

B

4) What role does the agency's IT department play in this project?

- Participates in project governance
 - Provides project management
 - Ensures clear scope and requirements definition
 - Provides subject matter expertise in technical areas
- a. None of the above, or only one of the above
b. Two of the above
c. Three of the above
d. All of the above

3.23
2.58
1.29
0.65

D

5) Will this project drive a need for organizational change management?

- a. Yes
b. No

3.23
0.65

B

6) Who are the primary customers for the potential solution?

- a. The public
b. Employees at multiple agencies
c. Employees at our agency only

3.23
1.94
0.65

C

7) Are multiple project procurements required?

- a. Yes
b. No

3.23
0.65

A

8) How much of the Agency's business is being reengineered as part of the project?

- a. > 75% of Agency business processes are being reengineered.
b. 51 - 75% of Agency business processes are being reengineered.
c. 26 - 50% of Agency business processes are being reengineered.
d. 0 - 25% of Agency business processes are being reengineered.
e. No business process reengineering

3.23
2.58
1.94
1.29
0.65

E

9) Are Subject Matter Experts available to participate in the definition of project requirements and scope?

- a. No
b. Yes

3.23
0.65

B

10) Are the operating procedures and business process diagrams that define and illustrate the work currently accomplished (by the effort under consideration) accurate and up-to-date?

- a. Procedures and process flow diagrams do not exist.
b. Procedures and process flow diagrams are partially documented.
c. All procedures and process flow diagrams are up to date and validated.

3.23
1.94
0.65

C

11) Is documentation for the existing system (as it relates to this project) kept up-to-date with system design documents, specifications, and Operations & Maintenance guides?

- a. No
b. Yes

3.23
0.65

NA

12) For the existing system (as it relates to this project), is trained staff available to interpret system behavior?

a. No
b. Yes

3.23
0.65

NA

IT Complexity Questions - Pre-Charter Phase

Comments

Complexity Rank

SELECT ANSWER

13) Will the project involve protected data (Employee, Recipient, etc.)?

a. Yes
b. No

3.23
0.65

B

High Complexity: 368 - 500
Medium Complexity: 234 - 367
Low Complexity: 100 - 233

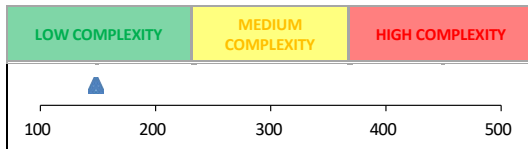
Low_Complexity

PRE-CHARTER PHASE CATEGORY

2

NOTIFY GOVERNANCE?

NOTIFY



The Initiation Phase Gate Risk Assessment is performed at the end of the Initiation Phase following completion of initial project documentation. During this assessment, the Agency will review Initiation documents and the Pre-Charter R&C Assessment. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, examine the effectiveness of Initiation phase activities, and establish requirements for the project Planning Phase. **Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.**

Form Title: DMS Project Risk & Complexity Assessment Tool
Form Number: DMS-F-0505A
Effective Date: 07/15
 (incorporated into Rule 60GG-1, F.A.C.)

1) What level of confidence does the Project Management Team have in the estimated cost of the project?

- a. Confidence in estimated project expenditures is less than or equal to 85%.
 b. Confidence in estimated project expenditures is greater than 85% and less than or equal to 95%.
 c. Confidence in estimated project expenditures is greater than 95% and less than or equal to 100%.

1.52
0.91
0.30

C

2) Is this project critical to support the primary functions for which the requesting agency is responsible?

- a. Directly involves the effectiveness and efficiency of the agency's primary functions.
 b. Contributes to enabling the agency's primary functions.
 c. Indirectly impacts, or has minimal impact, to the agency's primary functions.

1.52
0.91
0.30

A

3) Is this project dependent on the deliverable(s) from another project, organization, or agency?

- a. A project deliverable from another project, organization, or Agency is required.
 b. The project will utilize other project deliverables.
 c. Other deliverables will enhance the project.
 d. No other deliverables are required.

1.52
1.21
0.61
0.30

D

4) Is the project dependent on limited resources controlled by an external entity?

- a. Project requires external resources.
 b. Project requires no external resources.

1.52
0.30

A

5) Does the project sponsor have direct authority over all the resources needed for the project (including funding, equipment, facilities, and human resources)?

- a. The project sponsor has authority over none of the resources needed for the project.
 b. The project sponsor has authority over some of the resources needed for the project.
 c. The project sponsor has authority over most of the resources needed for the project.
 d. The project sponsor has authority over all of the resources needed for the project.

1.52
1.21
0.61
0.30

C

6) How will failure of the project impact the stakeholders?

- a. Impact of project failure on stakeholders is high.
 b. Impact of project failure on stakeholders is between high and moderate.
 c. Impact of project failure on stakeholders is between moderate and minimal.

1.52
0.91
0.30

B

7) Does the project impact the state at an enterprise level?

- a. Yes
 b. No

1.52
0.30

B

8) What is the level of assurance that stakeholders will deliver resources as promised?

- a. Minimal - there is no history that stakeholders have delivered promised resources in the past.
 b. High - stakeholders have a proven history of delivering all promised resources on time.

1.52
0.30

B

9) Are there any projected changes of critical or key stakeholders over the life of the project?

"Critical Stakeholders" are those essential stakeholders that must be involved with the project in order to achieve success, e.g., the project sponsor. "Key Stakeholders" are those vital stakeholders that need to be involved with the project, but their turnover is not directly tied to project success, e.g., a member of an executive steering committee.

- a. Yes, change of critical stakeholders is anticipated.
 b. Yes, change of key stakeholders is anticipated.
 c. No

1.52
0.91
0.30

C

10) Is the agency project manager assigned to this project certified by PMI® (PgMP®, PMP®, CAPM®, Agile Certified Practitioner®, etc.)?

- a. No
 b. Yes

1.52
0.30

B

11) Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?

- a. No
 b. Some, but not all [reword]
 c. Yes

1.52
0.91
0.30

B

12) Do business users and subject matter experts have sufficient skills and experience given the size and complexity of the project?

C

a. Business users and subject matter experts have never attempted a project of this size and	1.52	
b. Business users and subject matter experts have skills and experience from previous projects, but not from projects of similar size and complexity.	0.91	
c. Business users and subject matter experts have extensive skills and experience from a previous project of similar size and complexity.	0.30	

IT Risk Questions - Project Initiation	Comments	Risk Rank	SELECT ANSWER
--	----------	-----------	---------------

13) Does the assigned project manager have the specific experience (proven ability) to successfully execute a project of this scope and complexity?			
a. PM has never participated in a project of this scope and complexity.	1.52		C
b. PM managed a similar project but with smaller scope and complexity.	0.91		
c. PM has managed a project of this scope and complexity.	0.30		

14) What percent of the project team has experience with the selected development methodology or selected implementation approach for the project?			
a. < 50 %	1.52		C
b. 50 – 75 %	0.91		
c. 76 – 100 %	0.30		

15) What percent of the agency's IT leadership has experience with the development methodology or selected implementation approach for the project?			
a. < 50 %	1.52		C
b. 50 – 75 %	0.91		
c. 76 – 100 %	0.30		

16) How clearly defined and understood are the goals and objectives of this project by a majority of the project team and stakeholders?			
a. The goals and objectives of this project are vague and open to interpretation.	1.52		B
b. The goals and objectives of this project are well defined and understood.	0.30		

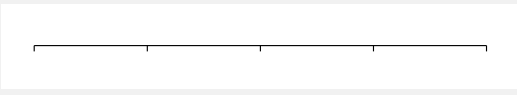
17) Is the boundary between what is in the project scope and what is not in the project scope clearly documented?			
a. No	1.52		B
b. Yes	0.30		

18) Has the project charter been reviewed and approved by all key stakeholders, including the project sponsor?			
a. No	1.52		B
b. Yes	0.30		

19) How was the estimated completion date for this project determined?			
a. Completion date has not yet been determined or estimated.	1.52		B
b. Completion date is driven by the need to meet a defined time constraint.	0.91		
c. There is no mandated time constraint. The schedule will be developed based on scope of work and resource availability.	0.30		Not Scored

20) What is the estimated budget for this project?			
a. Greater than \$1 million	1.52		A
b. Between \$250,000 and \$1 million	0.91		
c. Less than \$250,000	0.30		

21) Are there multiple agencies engaged as participants in this project?			
a. Yes	1.52		B
b. No	0.30		



Risk Pre-Charter Score	307.6923
Plus: Risk Initiation Score	Not Scored
Cumulative Risk Score	307.6923
Average Risk Score	307.6923
High Risk: 368 - 500	
Medium Risk: 234 - 367	Medium Complexity
Low Risk: 100 - 233	
RED FLAG SETTING	

The Initiation Phase Gate Complexity Assessment is performed at the end of the Initiation Phase following completion of initial project documentation. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, examine the effectiveness of Initiation phase activities, and establish requirements for the project Planning Phase. **Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable, select "NA" from the drop-down list.**

Form Title: DMS Project Risk & Complexity Assessment Tool

Form Number: DMS-F-0505A

Effective Date: 07/15

(incorporated into Rule 60GG-1, F.A.C.)

1) What is the level of new technology or infrastructure impact required by the project?

- a. Requires significant level of new technologies or changes to critical systems.
- b. Requires moderate level of new technologies or changes to critical systems.
- c. Requires minimal-to-no new technologies or changes to critical systems.

2.17

1.30

0.43

A

2) What is the expected duration of the time period between the acceptance of the Project Charter to the end of Execution Phase?

- a. > 24 months
- b. 13-24 months
- c. 6-12 months
- d. < 6 months

2.17

1.74

0.87

0.43

C

3) Amount of resources being managed:

a) How many physical project team locations have to be managed?

- a. > 4
- b. 1 - 4
- c. 1

2.17

1.30

0.43

A

b) How many physical locations are associated with the solution implementation?

- a. > 25
- b. 6 - 25
- c. 2 - 5
- d. 1

2.17

1.74

0.87

0.43

A

4) How many end users are going to be using the delivered product(s)?

- a. > 200
- b. 100 - 200
- c. 25 - 99
- d. < 25

2.17

1.74

0.87

0.43

B

5) How clearly defined are the project's major milestones and deliverables?

- a. Major milestones and deliverables are not defined and scheduled.
- b. Major milestones and deliverables are defined in detail with logical sequence and included in the schedule.

2.17

0.43

B

6) How many vendors are involved with this project (for applications, infrastructure, network, etc.)?

- a. More than one vendor
- b. One vendor
- c. No vendors

2.17

1.30

0.43

A

7) How many constraints have been identified that influence the selection of a specific solution to resolve the business problem?

Constraints can include but are not limited to time, funding, personnel, facilities, and management limitations.

- a. 1 or more
- b. None

2.17

0.43

A

8) Are there any open issues relating to the integration with other projects that could impact the completion of key milestones?

- a. Integration issues have been identified that will impact the project schedule, and there is no contingency plan in place to avoid adverse impact.
- b. Integration issues have been defined in Issue tracking that could impact the project milestones, but contingency plans have been implemented to keep the project on schedule.
- c. All dependencies and integration requirements are on-schedule, and there are no anticipated impacts. This information is verified on a regular basis via status and project communications.

2.17

1.30

0.43

C

9) Does this project require data conversion?

- a. Yes
- b. No

2.17

0.43

B

10) What percentage of human resources (business and IT) assigned to the project are also shared resources with other agency operations and/or projects or from other agencies?

Percentage of human resources = (# project team members shared) / (total project team).

- a. 81 - 100%
- b. 51 - 80%
- c. 21 - 50%
- d. 0 - 20%

2.17

1.74

0.87

0.43

B

11) How many primary stakeholders are there?

- a. > 5

2.17

B

IT Complexity Questions - Project Initiation	Comments	Complexity Rank	SELECT ANSWER
b. 1 - 5		0.43	

12) Does the Project Sponsor:

a) Have an understanding of IT project management?

- a. No
- b. Yes

2.17
0.43

B

b) Have experience in the business or functional domain?

- a. No
- b. Yes

2.17
0.43

B

13) What is the Project Manager's authority over the project?

Authority is defined as the formal and legitimate control specified in a charter that gives a project manager power to act in the name of the sponsor or on behalf of the organization on matters pertaining to project integration, cost, schedule, scope, risk, human resources, procurements, quality, and communications.

- a. Little authority
- b. Some authority
- c. Complete authority

2.17
1.30
0.43

B

14) Is the schedule end date fixed (by legislative mandate, contract end date, vendor support expiration, etc.)?

- a. Yes
- b. No

2.17
0.43

A

15) Is there more than one funding source for this project?

- a. Yes
- b. No

2.17
0.43

B

Not Scored

LOW COMPLEXITY	MEDIUM COMPLEXITY	HIGH COMPLEXITY
100	200	300
		400
		500

Complexity Pre-Charter Score	148.3871
Plus: Complexity Initiation Score	Not Scored
Cumulative Complexity Score	148.3871
Average Complexity Score	148.3871
High Complexity: 368 - 500	
Medium Complexity: 234 - 367	
Low Complexity: 100 - 233	
INITIATION PHASE CATEGORY	2

Low_Complexity

The Planning Phase Gate Risk Assessment is performed at the end of the Planning Phase. During this assessment, the Agency will review planning documents and previous R&C Assessments. This assessment will confirm or adjust the risk & complexity level and the resulting project category, examine the effectiveness of Planning phase activities, and establish requirements for the project Execution and Monitoring and Control phases. **Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable select "NA" from the drop-down list.**

Form Title: DMS Project Risk & Complexity Assessment Tool
Form Number: DMS-F-0505A
Effective Date: 07/15
 (incorporated into Rule 60GG-1, F.A.C.)

1) Data Dependency:

a) Is the project dependent on data from other sources?

a. Yes

b. No

3.33

B

b) Is the project dependent on data that is currently not available?

a. Yes

b. No

3.33

B

0.67

2) Is the project going to be reliant on a sole vendor?

a. Yes

b. No

3.33

A

0.67

3) Will the primary solutions vendor support the technical solution after project completion?

a. No

b. Yes

3.33

B

0.67

4) End user anticipated involvement:

a) What is the anticipated involvement of End Users with System Requirements and Design?

a. Minimal or no user involvement in System Requirements and Design.

b. Play minor roles in System Requirements and Design.

c. Highly involved in System Requirements and Design.

d. End user involvement is not required for System Requirements and Design.

3.33

2.67

1.33

0.67

D

b) What is the anticipated involvement of End Users with User Acceptance Testing?

a. Minimal or no end user involvement with user acceptance testing.

b. Play minor roles with testing.

c. Highly involved with testing.

d. End user does not interact with the system.

3.33

2.67

1.33

0.67

NA

5) Are exit criteria established for each project phase?

a. No

b. Yes

3.33

B

0.67

6) Does the project schedule incorporate incremental and comprehensive stakeholder reviews of project deliverables?

a. No

b. Yes

3.33

B

0.67

7) Are acceptance criteria identified for all deliverables?

a. No

b. Yes

3.33

A

0.67

8) If a vendor implementation is required, has the vendor successfully implemented the selected solution in another organization?

a. Vendor has never implemented the selected solution.

b. Vendor has provided more than one reference indicating that they have successfully implemented the selected solution.

c. A vendor is not required for implementation.

3.33

2.00

0.67

C

9) Is there contingency built into the project schedule to accommodate the mitigation of schedule risks?

a. No

b. Yes

3.33

B

0.67

10) Are appropriate sourcing lead times built into the schedule?

Examples of sourcing lead times include the lead times for procurements and Requests for Service.

a. Sourcing lead times are not built into the schedule.

b. Sourcing lead times are estimated and scheduled.

3.33

0.67

B

11) Change management process:

a) Does the project's governance process include a defined change management process to handle changing requirements?

a. No

b. Yes

3.33

0.67

B

b) Does the project have routine change management meetings?

a. No

b. Yes

3.33

0.67

B

12) Are quality assurance methods defined?

- a. No
- b. Yes

3.33
0.67

B

13) Have appropriate SMEs been engaged to support the project (legal, procurement, security, budget, technology, business, etc)?

- a. No
- b. Some input is still needed
- c. Yes

3.33
2.00
0.67

C

14) Is there a documented timeline for the next phase of the project?

- a. Project schedule is not yet developed
- b. Project schedule has been completed at the milestone level
- c. Detailed project schedule is complete, but not yet baselined
- d. Detailed project schedule is complete and baselined

3.33
2.67
1.33
0.67

A

15) Are all necessary resources (equipment, software, office space, etc.) for the next phase of the project readily available?

- a. No
- b. Yes

3.33
0.67

B

16) Does the Organizational Change Management Plan address impacts to the business?

- a. No
- b. Yes

3.33
0.67

NA

17) Have the costs associated with the organizational changes been identified and budgeted?

- a. No
- b. Yes
- c. Not applicable

3.33
2.00
0.67

NA

18) Does the Project Plan clearly identify Integration requirements with other systems or dependencies on other projects that are outside the direct control of the project team?

- a. No
- b. Yes

3.33
0.67

NA

Not Scored



Risk Pre-Charter Score		307.6923
Plus: Risk Initiation Score	Not Scored	
Plus: Risk Planning Score	Not Scored	
Cumulative Risk Score		307.6923
Average Risk Score		307.6923

High Risk: 368 - 500
 Medium Risk: 234 - 367
 Low Risk: 100 - 233

Medium_Risk

RED FLAG SETTING

--

The Planning Phase Gate Complexity Assessment is performed at the end of the Planning Phase. Complexity is a risk modifier in that it can exacerbate or mitigate the impact of Risk on the successful completion of the project. This assessment will confirm or adjust the risk & complexity level and the resulting project category, examine the effectiveness of Planning phase activities, and establish requirements for the project Execution and Monitoring and Control phases. Select one response for each question listed below. Do not leave any questions blank. If a question is not applicable,

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Form Number: DMS-F-0505A
Effective Date: 07/15
(incorporated into Rule 60GG-1, F.A.C.)

1) In order to meet requirements, will the project solution drive a need for:

a) An increased level of testing from original projections?

- a. Yes
b. No

2.76
0.55

B

b) Less flexibility in the project schedule?

- a. Yes
b. No

2.76
0.55

B

c) More rigid development and internal project processes?

- a. Yes
b. No

2.76
0.55

B

2) Has the complexity of the project required additional efforts to monitor scope / schedule / cost or quality parameters?

- a. Yes
b. No

2.76
0.55

B

3) How many stakeholders need separate or unique communications?

Unique communications refers to any individual or tailored communications with any individual stakeholder or group of stakeholders.

- a. Four or more
b. One to three
c. None

2.76
1.66
0.55

C

4) Are there clear lines of authority and accountability for tasks and deliverables within the project team?

Clear lines of authority and accountability are those that are apparent, easily perceived, and free from confusion, doubt, or ambiguity.

- a. No
b. Yes

2.76
0.55

B

5) How many work packages are associated with the project?

The work defined at the lowest level of the Work Breakdown Structure for which cost and duration can be estimated and managed. (PMBOK®, 5th Edition)

- a. > 200
b. 101 - 200
c. 51 - 100
d. 1 - 50

2.76
2.21
1.10
0.55

D

6) Regarding the system development lifecycle methodology selected for the project, does the project staff have experience with the selected methodology?

A "system development methodology" in software engineering is a framework that is used to develop an information system. Common methodologies include Agile, Waterfall, Spiral Development, Prototyping, Incremental, Rapid Application Development, etc.

- a. The project staff requires training for the selected methodology.
b. The project staff has knowledge of, but limited experience with, the selected methodology.
c. The project staff has extensive experience with the selected methodology.

2.76
1.66
0.55

C

7) Are there any new requirements determined after Project Planning that will drive a need for additional funding?

- a. Yes
b. No

2.76
0.55

B

8) Does the project team require any additional training in order to be effective on the project (for technical, functional, or business skills)?

- a. All require training
b. Most require training
c. Some require training
d. None require training

2.76
2.21
1.10
0.55

D

9) Do the project team members have experience with an IT project of this magnitude and scope?

- a. None have experience
b. Some have experience
c. Most have experience
d. All have experience

2.76
2.21
1.10
0.55

D

10) Do the project team members have experience working together as a project team?

- a. No team members have experience working together as a project team.
b. Some team members have experience working together as a project team.
c. All team members have experience working together as a project team.

2.76
1.66
0.55

C

11) Is the size of the project team appropriate for the size and complexity of the project effort?

a. No	2.76	B
b. Yes	0.55	

12) What is the size of the project team?

a. > 20 project team members	2.76	C
b. Between 5 and 20 project team members	1.66	
c. < 5 project team members	0.55	

13) Are appropriately skilled resources available for the next phase of the project?

a. Resources are not available for all roles. Significant preemption for other support activities is anticipated, and/or a high turnover is anticipated.	2.76	B
b. Resources are available. Minimal turnover or preemption for other support activities is expected.	0.55	

14) What percentage of the project team members are co-located?

a. < 25% of team is in the same location.	2.76	D
b. 25 - 49% of team is in the same location.	2.21	
c. 50 - 90% of team is in the same location.	1.10	
d. > 90% of team is in the same location.	0.55	

15) How would you evaluate the complexity of the business processes impacted by the project?
Consider the number of inputs that the business processes require, the number of steps within those processes, the number of people involved in those processes, and the number of outputs that the processes are expected to produce.

a. High complexity	2.76	C
b. Moderate complexity	1.66	
c. Minimal complexity	0.55	

Not Scored

LOW COMPLEXITY	MEDIUM COMPLEXITY	HIGH COMPLEXITY
100	200	300
400	500	

Complexity Pre-Charter Score	148.3871
Plus: Complexity Initiation Score	Not Scored
Plus: Complexity Planning Score	Not Scored
Cumulative Complexity Score	148.3871
Average Complexity Score	148.3871
High Complexity: 368 - 500	
Medium Complexity: 234 - 367	
Low Complexity: 100 - 233	Low_Complexity
PLANNING PHASE CATEGORY	2

IT Risk Questions - Event-Driven Assessment	Comments	Risk Rank	SELECT ANSWER
---	----------	-----------	---------------

The Event-Driven Risk Assessment is performed if the project experiences a significant change, or cumulative changes (in cost, schedule, or scope), from the project baseline. During this assessment, the Agency will review project change control request(s), Initiation and Planning documents, and previous R&C assessments. This assessment will confirm or adjust the project's risk & complexity level and the resulting project category, and determine if review and amendment to project management baselines are needed. **Select one response for each question listed below. Do not leave any questions**

Form Title: DMS Project Risk & Complexity Assessment Tool
Form Number: DMS-F-0505A
Effective Date: 07/15
 (incorporated into Rule 60GG-1, F.A.C.)

1) To what degree are stakeholders impacting the schedule by not providing timely decisions?			B
a. Time required for critical decisions exceeds available schedule.		3.13	
b. Critical decisions are resolved within available schedule.		0.63	
2) Has an assumption used for planning and management of the project been proven invalid?			C
a. Yes, and there is an impact to the project.		3.13	
b. Yes, but there minimal-to-no impact to the project.		1.88	
c. No		0.63	
3) Is the project making progress in its current phase?			B
a. Progress is behind schedule by 10% or more.		3.13	
b. Progress is on or ahead of schedule.		0.63	
4) Is the project being managed in compliance with the project management plan?			B
a. No, or the project management plan was inadequate.		3.13	
b. Yes		0.63	
5) Has requirements elaboration resulted in a requirements variance sufficient to force changes to project schedule, scope, or cost?			B
a. Yes		3.13	
b. No		0.63	
6) Has project testing criteria and methodology been verified and validated?			B
a. No		3.13	
b. Yes		0.63	
7) Is the project team effectively executing the project through well defined, repeatable processes?			B
a. No		3.13	
b. Yes		0.63	
8) Will the project require:			
a) An increased level of testing from projections?			B
a. Yes		3.13	
b. No		0.63	
b) An increase in the duration of the project schedule?			B
a. Yes		3.13	
b. No		0.63	
c) An increase in the project's baselined cost?			B
a. Yes		3.13	
b. No		0.63	

Not Scored

Risk Pre-Charter Score	307.6923
Plus: Risk Initiation Score	Not Scored
Plus: Risk Planning Score	Not Scored
Plus: Risk Event-Driven Score	Not Scored

Score from Complexity_Planning 0.0000

Event Driven Risk Score 307.6923
 Cumulative Risk Score 307.6923

High Risk: 368 - 500
 Medium Risk: 234 - 367
 Low Risk: 100 - 233

RED FLAG SETTING

Planning Complexity Completed? NO
 Planning Complexity Rating Low_Complexity

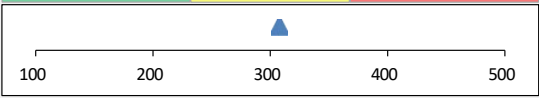
LOW RISK
MEDIUM RISK
HIGH RISK

IT Risk Questions - Event-Driven Assessment

Comments

Risk Rank

SELECT ANSWER



Defaults to High_Complexity if Planning Complexity is not completed for the Event-Driven Assessment.

EVENT-DRIVEN CATEGORY

2

V. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

The Department is utilizing a communications network comprised of both copper and fiber lines to connect our 2,206 buildings to our computer server environments. A “lift and shift” project that is underway has been moving our systems from our older data center equipment to modern servers within Microsoft’s cloud. Lacking in those connections are redundancy and high-capacity bandwidth.

Officer stations are connected to the network with a combination of wired and wireless methods. Lacking is redundancy, distributed traffic, and increased access.

Major applications used by the officers in the performance of their duties include OBIS, Automated Inmate Ranking System (AIRS), Inmate Photo Management, Inmate Management Database (IMDB), Microsoft Office suite (i.e., Outlook, Word, Excel, etc.) and Kronos. Higher capacity networks will be required to support the replacement systems under the TRP and OBIS Modernization.

Description of Current System

Fiber Connectivity

Of the Departments 2,206 buildings, only a portion are connected to the Department computer network via high-capacity fiber.

Problem:

- Over 30% of the buildings are not connected by fiber.
- The Department can no longer use copper connectivity as it impedes communications, slows transmission of data, and decreases employee productivity.
- Increased connectivity requires increased network capacity.

Network Redundancy

The Department’s network connectivity consists of a single leased line, purchased through MFN-2 (My Florida Network) per current contract.

Problem:

- After hurricanes, data circuit recovery often takes five to seven days in remote areas of the state.
- Fiber cuts are a very common occurrence and can take several days to repair.
- We have no ability to failover to a secondary transport if circuit quality becomes degraded.

Wireless Expansion

Department facilities offer little to no wireless connectivity which impacts officer productivity. Where there are wireless access points, cybersecurity is provided toward ensuring data transmission are secure from potential eavesdroppers.

Problem:

- Limited wireless connectivity.
- Tethered connectivity restricts from where officers can access the Departments network.
- Tethered connectivity in Correctional facilities provide unique challenges for wired connectivity.

Technical Support

The average field support personnel member support ratio is 128:1 which much higher than recommended IT support ratios. Most institutions, regardless of size, have one OIT personnel member assigned. Large sites and reception centers should be staffed at two per location.

Contributing Factors:

- Increased level of inmate education programs that require additional hardware, software, infrastructure, vendor, and user support.
- Increased number of phones, cameras, and mobile devices require additional resources to manage and support.
- Geographical separation of locations has increased response times where physical presence is needed.
- Proposed additional infrastructure and missions (i.e., Lake CI Mental Health Hospital, additional incentivized institutions) require additional support positions.

Additional Support

The Department has several initiatives identified to increase customer satisfaction, network access and responsiveness, and reduce potential data security and cybersecurity threats that require contracted services staffing. They include:

- Network Closet Cleanup
- IT and Cybersecurity best practices
- Asset Inventory

Current System Resource Requirements

The Department employs a variety of human technical resources to support its enterprise of technology. The technology staff fall into several specialty areas that support applications, databases, mainframe, endpoints, networks, infrastructure, telecommunications, service desk, information security, desktop support, and governance. Adequate resources are lacking, however, within the specialty areas to address technical debt and the current IT demands of the Department.

Current System Performance

Copper connectivity impedes communications, slows transmission of data, and decreases employee productivity. Such network speeds preclude the use of cloud computing (where the Department has been migrating its systems). It also impacts greater officer station connectivity, the increased emphasis on digitization of records, and the use of certain peripherals such as video cameras.

2. Information Technology Standards

FBI Criminal Justice Information Services (CJIS) Security Policy

The Criminal Justice Information Services (CJIS) Division of the U.S. Federal Bureau of Investigation (FBI) gives state, local, and federal law enforcement, and criminal justice agencies access to criminal justice information (CJI) (e.g., fingerprint records and criminal histories). U.S. law enforcement and other government agencies must ensure that cloud services used for the transmission, storage, and processing of CJI complies with the CJIS Security Policy.

The CJIS Security Policy provides Criminal Justice Agencies (CJA) and Noncriminal Justice Agencies (NCJA) with a minimum set of security requirements for access to the FBI's CJIS Division systems and information and to protect and safeguard CJI. This minimum standard of security requirements ensures continuity of information protection. The essential premise of the CJIS Security Policy is to provide the appropriate controls to protect CJI, from creation through dissemination, whether at rest or in transit. The CJIS Security Policy integrates presidential directives, federal laws, FBI directives, the criminal justice community's Advisory Policy Board (APB) decisions, as well as nationally recognized guidance from the National Institute of Standards and Technology (NIST) and the National Crime Prevention and Privacy Compact Council (Compact Council).

NIST SP800-34 Contingency Planning Guide

This publication assists organizations in understanding the purpose, process, and format of information system contingency planning development through practical, real-world guidelines. This guidance document provides background information on interrelationships between information system contingency planning and other types of security and emergency management-related contingency plans, organizational resiliency, and the system development life cycle. This document provides guidance to help personnel evaluate information systems and operations to determine contingency planning requirements and priorities.

HIPAA Privacy Rule and HIPAA Security Rules

Systems must comply with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) regulations protecting the privacy and security of certain health information. Specific regulations include the HIPAA Privacy Rule and the HIPAA Security Rule. The Privacy Rule, or Standards for Privacy of Individually Identifiable Health Information, defines national standards for the protection of certain health information. The Security Standards for the Protection of Electronic Protected Health Information (the Security Rule) defines the national set of security standards for protecting certain health information that is held or transferred in electronic form. FDC 206.010.

Florida Administrative Code, Chapter 60GG-2

These rules establish cybersecurity standards for information technology (IT) resources. Agencies must comply with these standards in the management and operation of state IT resources. This rule is modeled after the NIST Framework for Improving Critical Infrastructure Cybersecurity, Version 1.1, and the Federal Information Security Management Act of 2002 (44 U.S.C. §3541, et seq.).

Communications Closet Security, FDC Procedure 206.013

This policy is to ensure the security and protection of sensitive CJI and Law Enforcement Sensitive (LES) data housed within network closets. The vulnerability of FDC critical information systems and the data they contain within the network closets make the closets high value assets which requires a high degree of protection. A range of security measures must therefore be in place to protect employees, information, and physical assets, along with the interested third parties with equipment in the network closets. This standard is based on the CJIS Security Policy and is applicable to all network closets within our organization.

Wireless Mobile Devices, FDC Procedure 206.002

This policy provides guidelines for the ordering, use, and care of wireless devices. This applies to all employees using wireless communication devices whether the equipment is for dedicated full-time use, a simple short-term use, or shared for use during a shift.

User Security for Information Systems, FDC Procedure 206.007

This policy ensures the protection of the Department's computer data from unauthorized access, disclosure, duplication, modification, misappropriation, destruction, misuse, and denial of use. This applies to all employees whether the computer is dedicated to an individual or shared for use during a shift.

B. Current Hardware and/or Software Inventory

Networking	
Wi-Fi Access Points – Heath Services	435
Wi-Fi APs – FDC / Inmate	738
Total Access Points	1,173
Network Switches	1,905
Local Wi-Fi controllers	50
Standalone Controller	1
Total Switches and Controllers	1,956

C. Proposed Technical Solution

1. Technical Solution Alternatives

There are no technical alternatives to the Connectivity portion of the plan. The only alternative to the Staffing portion would be funding full-time employees versus contracted services.

2. Rationale for Selection

Connectivity

The Department's network provides the foundation for communication, collaboration, and data sharing, which are essential for Institutions, Corrections, across all facilities. Expanding connectivity is critical to successfully operations of the Department. The Department will implement a reliable and secure network infrastructure that allows officers to communicate and collaborate to ensure public safety is maintained, and programs are reliably delivered across all facilities.

Staffing

Using contracted services, the Department will improve service levels to Department staff, better manage our technology infrastructure, complete Department initiatives that include closet cleanup, cybersecurity operations, connectivity expansion, device management, and addressing technical debt.

3. Recommended Technical Solution

The Department recommends funding for:

- Connecting 800-plus buildings with fiber to support the increased bandwidth needs and network redundancy in support of our officers.
- The installation of wireless access points with wireless intrusion prevention systems at those same locations to provide our officers redundancy and greater network access where those officers provide their duties.
- Requesting contracted services positions to reduce the time it takes to resolve support tickets, reduce technical debt, complete closet cleanup, and update asset inventory.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed system is the expansion of network connectivity at select facilities across the state. Specifically, using fiber to connect the balance of the Department's 2,206 facilities to our network and installing wireless access points within those facilities. As a complex network of facilities across Florida, the interconnecting systems account for the presence of efficient methods that allow the State of Florida to maintain a reliable, secure, and effective capability to handle the responsibilities for Inmates, Offenders, and the workforce of Officers and support staff.

The proposed solution must support 22,000 Department users, over 80% of which are correctional or probation officers. Also, support for programs and other connectivity dependent solutions must, where and when required, support 80,000 inmates and 146,000 offenders. Connectivity must also be available for the aforementioned 2,206 buildings. While there are 800-plus buildings not connected with fiber that are included in this request, connectivity must also be integrated as a cohesive system for the Department to manage as a single ecosystem of networks. The solution then must be available twenty-four seven and operations capabilities need to be intelligent systems that are able to self-adjust and respond to incidents with redundant and failover capabilities.

The expected components of the new system support and provide:

- **Improved performance:** Management tools help the Department to identify and resolve infrastructure issues across Institutions and Correctional facilities. This can lead to improved performance of systems supporting correctional officers and staff workloads, improved incident management, and securing facilities.
- **Reduced costs:** By automating tasks and highlighting how best to spend IT dollars, IMT can help to reduce costs. This can free up resources for other important initiatives, such as improving training or providing more services to inmates.
- **Improved IT Security, Cyber security, and physical security:** IMT can help to improve IT Security, cyber security, and physical security by allowing the Department to identify and remediate numerous vulnerabilities. This can help to protect inmates, staff, and the public from harm.
- **Cloud-Ready:** The Department's technology restoration includes shifting to cloud for applications and support for redundancy in all domains. Statewide, the infrastructures and connectivity must allow for efficient data capacity, speed, security, and redundancies.

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

The total funding requested for the Officer Station Connectivity plan is \$35,350,000. \$15.15 million for connectivity and \$20.2 million for contracted services. The requested funding for contracted services would cover 80 positions.

Table 2 - Funding

Fiber Expansion	\$5,000,000
Security Enhancements	\$5,000,000
Wireless Expansion for Officer Mobile Apps	\$3,500,000
Contract Services: 80 positions	\$20,200,000
Closet Cleanup	\$1,650,000
Total	\$35,350,000

E. Capacity Planning

The current system supports approximately 14,000 total users with an average of 4,500 concurrent users during peak periods from 12,000 PC workstations running Windows 10. The following table details the organizational breakdown of the users:

Organization	# of Users
Business	114
Central Office	972
Education	443
Parole Board	184
Health	2,225
Institutions	1,175
Personnel	79
P&P (Community Corrections)	3,505
Security	4,923
Institutions	673
Total	14,293

The proposed system will support the same numbers. Over time, the number of users may increase due to the increased office station connectivity. There is difficulty accurately predicting the number of future users due to the complexity of a variety of factors.

VI. Schedule IV-B Project Management Planning

FLORIDA DEPARTMENT OF CORRECTIONS

Office of Information Technology



OFFICER STATIONS CONNECTIVITY

PROJECT MANAGEMENT PLAN

VERSION 1.0

CONTACTS

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1 EXECUTIVE SUMMARY

This Project Management Plan (PMP) provides methodology, plans, and processes for effective execution and management of the TRP Connectivity project. This plan identifies the project's:

- Scope
- Approach
- Organizational and Governance Structure
- Resource Plan
- Work Breakdown Structure
- Schedule Management Plan
- Cost Management Plan
- Procurement Management Plan
- Communications Management Plan
- Change Management Plan
- Organizational Change Management Plan
- Quality Management Plan
- Risk and Issue Management Plans
- System Security Plan

The Program Management Plan (PMP) is a “living” document that is initially prepared early in the Planning Phase of the project. The PMP identifies key elements of the project management strategy and the high-level activities and deliverables of the program.

2 PROJECT SCOPE

2.1 Project Summary

The purpose of this project is to establish connectivity for buildings in the Department's 49 Prison complexes that are not currently connected or planned to be connected to the Department's network. Additionally, to acquire contracted services to support the Department's technology restoration efforts. Connectivity and supporting infrastructures are lacking across the 2,000 buildings that the agency manages. Only half of these buildings, approximately 1,000 are currently connected with fiber. Of the buildings not connected, approximately 545 are not included in existing projects for fiber installation. The impacts of not having fiber connected buildings will affect public, officer, and inmate safety. Along with restoring the technology debt within the Department, there is the need to refresh the skillsets required to operate and support new technologies. OIT supports 39,000 devices, 29,000 employees, and respond monthly to 5,000 helpdesk calls, 3,000 e-mail requests, and 9,000 tickets. The Department needs to add 67 additional contracted services personnel. To effectively manage and efficiently respond to the Department's users and stakeholders, improving the ratio of employees to IT support needs to shift from 128:1 to at least 67:1. The average across State Agencies is 45:1.

2.2 In Scope

The scope of this project is to procure vendor services to implement connectivity for the remaining unconnected buildings not currently slated in any plans for connection to the Department's network. This continuing lack of connectivity is a danger to the correctional workforce and public safety. Additionally, the project is intended to procure contracted services to staff the Department's IT services, which is severely lacking and insufficient. The State average ratio for employees to IT support is 45:1, while the Department's ratio is 128:1.

Also Included in the project scope:

- Establishment of a Project Management Team
- Organizational Change Management
- Infrastructure architecture
- End-user training
- Installation of fiber and required networking components
- Testing connectivity
- Procuring contracted services for IT services
- Operations and maintenance planning

The table below summarizes the activities to support the Connectivity Enhancement/Replacement effort:

Activity	Description
Analysis	Validation of the system requirements identified during previous systems improvement and requirements gathering efforts.
Design	Joint Application Design sessions with end users, functional and technical design documentation.
Build	Systems configuration and development, testing, and training.
Test	Creation of test plans and test cases, and the performance of network integration and system testing, user acceptance testing, and regression testing.
Deploy	Implementation planning and the deployment of the new systems to a production environment.
Operations	Begins during the system implementation phase. The emphasis of this phase will be to ensure that the necessary equipment, staff, and procedures are in place to meet the needs of end users and ensure that the system will continue to perform as specified.

2.3 Out of Scope

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

2.4 Project Objectives

This project will meet the following objectives:

#	Objectives	Area of Need	Criticality
1.	Provide infrastructure management tools that protects against cyber-attacks and infrastructure and connectivity performance that result in rapid information flow impacting improved public safety.	Infrastructure & Connectivity	Critical
2.	Provide building connectivity that is critically deficient in several facilities that protects the workforce by allowing installation of security devices and supports inmate access to educational offerings.	Infrastructure & Connectivity	Critical
3.	Provide technology equipment refresh for aging network components including servers in field locations, Officer computers - screens, and desktops that will support current and newer IT security tools to protect against hackers and exploiting other infrastructure vulnerabilities.	Infrastructure & Connectivity	Critical
4.	Provide network redundancy with failover to ensure continuous traffic when portions of the network fail that better secures the workforce during system failures and provision continuous support during law enforcement and public safety events.	Infrastructure & Connectivity	Critical
5.	Provide IT security organizational competencies that is standard for the Department and its high security responsibilities, relative to the FIPS 140-2.	Infrastructure & Connectivity	Critical
6.	Provide baseline contracted services that begins to shift the Department to maintain services to thousands of users resulting in responsiveness and better quality allowing the workforce to deliver the level of services to all constituents and public safety partners.	OIT Contracted Services	Critical
7.	Provide contracted services that focuses on modernizing the Department's infrastructures, demanded by the pace of technology changes, while allowing the Department to meet its crucial responsibilities while ensuring public safety.	OIT Contracted Services	Critical

2.5 Assumptions and Constraints

Officer Stations connectivity is dependent upon a wide range of assumptions and constraints. Assumptions refer to things which are, based on functional, technical, statutory, and/or best practices, believed to have potential impact on the overall goals of the project. Constraints are defined as things that are known to prevail today or will be required in the future, which limit or influence subsequent functionality, the technical environment, budgets, implementation planning, project execution, and operations and maintenance activities.

From a fundamental perspective, the most important aspect of Connectivity and Contracted Services is an understanding that the functions of the Department to meet its mission cannot be interrupted.

2.5.1 Assumptions

- Assumptions are beliefs or expectations that the Department collectively identified based concerning the benefits, risks, and challenges of restoration from the accumulated technical debt in the context of

departmental applications. These assumptions will impact the success of the efforts that the Department undertakes.

- In the context of connectivity and infrastructure restoration, assumptions are:
- Legislative responsibilities of the Department cannot be sustained with the current-state technologies supporting infrastructure and connectivity.
- The budget and funding models will not be incremental as they will negatively impact the required transformation that is required to eliminate technical debt across all layers of technology including contracted services resources.
- The benefits of technology restoration will outweigh the costs over the period of the investment.
- There will be no disruptions to departmental operations during this effort.
- Funding will be approved for the complete restoration effort and ongoing refreshes.
- All remaining buildings will be connected to the network versus incremental connectivity, as partial restoration will impact business processes, transformation of the Department's IT processes, and changes in the culture to results focused.
- The technology roadmap and architectural decisions will incorporate the necessary technology refreshes required by vendors that ensure currency with tested features and capabilities.
- IT Security compliance from a Zero-Trust model will provide the end-to-end restoration approach with the level of protection across all systems versus the incremental piece-meal approach. Departmental policies and standards required for CJIS compliance will be in alignment with the end-to-end restoration approach.
- Elevating the information security standards of the Department is part of maintaining public safety, inmate and offender safety, and officer and support personnel safety.
- The Department's executive leadership and key project stakeholders will remain invested in the success of the project throughout the multi-year phased implementation.
- Funding will also allow upgrades to network infrastructures and connectivity to support the restoration of applications at each of the seven levels of the OSI model.
- The Department will experience a significant improvement in efficiencies as mobile devices and applications are deployed across facilities affording significant reductions in manual, paper-driven, and immobile officer interactions, which will have additional benefits to the safety of officers, support personnel, and inmates.
- The network will support modernized applications that will be rearchitected and include capabilities for offline data capture and synchronization when connectivity is unavailable, which will be critical to reduce the need for paper-based data collection and manual workflows.
- The Department will establish Centers of Excellence around all projects related to technology restoration that implement agility, compliance with project management and systems development standards, and enable the long-term sustainability of the Department's investment.
- Collaboration with the FL[DS] to ensure compliance with State guidelines embodied in F.A.C. Chapter 60GG-1 through 60GG-5.

2.5.2 Constraints

- Potential vendors may prefer to implement infrastructure and connectivity restoration in fewer phases over a shorter period, which may not match the approved funding model.
- Project activities, schedules, and milestones depend on the appropriate funding.
- State statutory changes, changes in administrative rules, and Department policy changes could affect the project.
- Specific infrastructure and network management software supporting desired capabilities will be determined based on the solution options.

- The Department must maintain operations, during the infrastructure and connectivity restoration projects.
- There is a high level of risk associated with a phased implementation, which necessitates an emphasis on project strategies.

2.6 Milestones

Milestone	Deliverable(s) to Complete
Legislative Approval	Updated Schedule IV-B
Procurement (Support resources and connectivity components)	Solicitation Document and Contract
Procurement (Connectivity systems Integrator)	Solicitation Document and Contract
Procurement (Organizational Change Management)	Solicitation Document and Contract
Procurement of vehicle to acquire Contracted Services	Contract Vehicle identified and established
Project Kick-Off	Project Charter
Project Management Documents Completed	Various (See deliverable list)
Business Process Analysis Completed	As-Is Business Process Flows To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	System Requirements Document Offender Management System Requirements Document
Acceptance of Validated Requirements	Validated Functional and Non-Functional Requirements Documents
Acceptance of Technical Design Specifications	Functional and Technical Design Specification documents
User Acceptance Testing Complete	NA
End User Training Complete	On-site training sessions and Training materials
System Integration and Deployment	Functional system released into production network
Project Close-out	Lessons Learned Knowledge Transfer Contract Compliance Checklist Project Close-out Checklist

2.7 Deliverables

Name	Deliverable Description
Project Management Status Reports	Weekly status reports to project management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the project.
Meeting Minutes	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Project Charter	Issued Project Sponsor that formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.
Project Management Plan	<p>Includes the following documents as required by the FDC Project Director and/or the PMO:</p> <ul style="list-style-type: none"> • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan • Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Risk Response Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget
As-Is Business and Operational Process Flows	Represents, graphically, the current state of Connectivity business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
To-Be Business and Operational Process Flows	Represents the future state of the Florida Offender Management System business processes, as reengineered by the vendor in conjunction with FDC subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Technical Design Specification	<p>Detailed technical design for connectivity and information processing in the new configuration to include:</p> <ul style="list-style-type: none"> • Environment/Platform/Tools used • Security monitoring software • Security management tools • Redundancy software and tools • Failover components and tools • Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system integrator's design required before proceeding to configuration. Key stakeholders will confirm the design and then a go/no-go decision will be submitted to the Project Sponsors for action.

Name	Deliverable Description
Organizational Change Management (OCM) Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project. This includes Workforce Transition as roles may change with the implementation of new connectivity solutions.
OCM Status Reports	Weekly status reports to project management team.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.
Training Plan	Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to “go live” with the project and identifies action plans to remedy any lack of readiness.
Test Plans	Detailed test plans for unit testing, system testing, load testing, and user acceptance testing.
Test Cases	Documented set of actions to be performed within the system to determine whether all functional and non-functional requirements have been met.
Implementation Plan	Detailed process steps for implementing the new configuration statewide across all 545 buildings
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for post-implementation support.
Operational Configuration	Final production version of the new connectivity implementation and operational capabilities.
System Operation and Maintenance Plan	Detailed plan for how the finished system will be operated and maintained.
Training Plan	<ul style="list-style-type: none"> • Train the trainer • Train the user • Training manuals
System documentation	All the documentation required to enable FDC OIT staff to trouble shoot, maintain and enhance the newer system.

2.8 Requirements Traceability

Requirements Traceability is the ability to trace from business requirements to the various design, build, and test components throughout all phases of the project. Requirements tracing is a practice that greatly increases the quality and reliability of a project’s final output while minimizing costly rework resulting from requirements errors. The project will use a Requirements Traceability Matrix (RTM) to confirm traceability across phases of the project.

Bidirectional traceability means that requirements can be traced both forwards and backwards ideally through each step of the project. Bidirectional traceability helps determine that the solution addresses the source requirements and that all requirements and deliverables can be traced to a baselined RTM.

The business and technical requirements that are documented as part of the Schedule IV-B shall be further refined and validated. Once the requirements are complete for each workstream they will be baselined. The baseline provides the inventory of confirmed requirements against which changes can be monitored and measured.

Beyond the baseline of these requirements, the following shall apply to support overall system quality:

1. Requirements altered or added as part of the requirements confirmation sessions will be recorded as part of the project's Change Management Plan.
2. During the design phases of the Project, the first portion of the requirements traceability will be initiated whereby the design that supports a particular requirement will be noted.
3. During the User Acceptance testing phases, the second portion of the requirements traceability task would commence. During this task, the test scenario used to validate a particular requirement would be noted.
4. The requirements, at the conclusion of testing, would be evaluated prior to deployment to ensure the business requirements have been addressed.

3 PROJECT APPROACH

The Technology Restoration Plan Connectivity Project will utilize the Software Development Lifecycle (SDLC) to complete program activities. The project utilizes **both waterfall and agile methodologies** for specific activities within the program.

3.1 Waterfall Methodology

A waterfall approach will be taken to manage certain activities and deliverables that have a natural progression and interdependency on each other. Examples include the development and documentation of the project charter, project management plan, resource on-boarding, project kick-off, etc. As the Project progresses, the waterfall methodology will be used to formalize the outcomes of the legacy system as-is reviews, gap analysis work, database design activities and development preparation. These deliverables will be constructed by gathering or creating documents, evaluating the legacy system programs as well as various discussions surrounding the existing database synchronization structure and challenges. These tasks are laid out in a traditional waterfall approach, having a natural order with predecessors and successors clearly defined within the program schedule. The overarching SDLC has a multitude of stage containment activities. There is an evaluation of the Program's progress at various points to ensure work has been completed and stakeholder approval has been achieved in order to proceed to the next stage of activities.

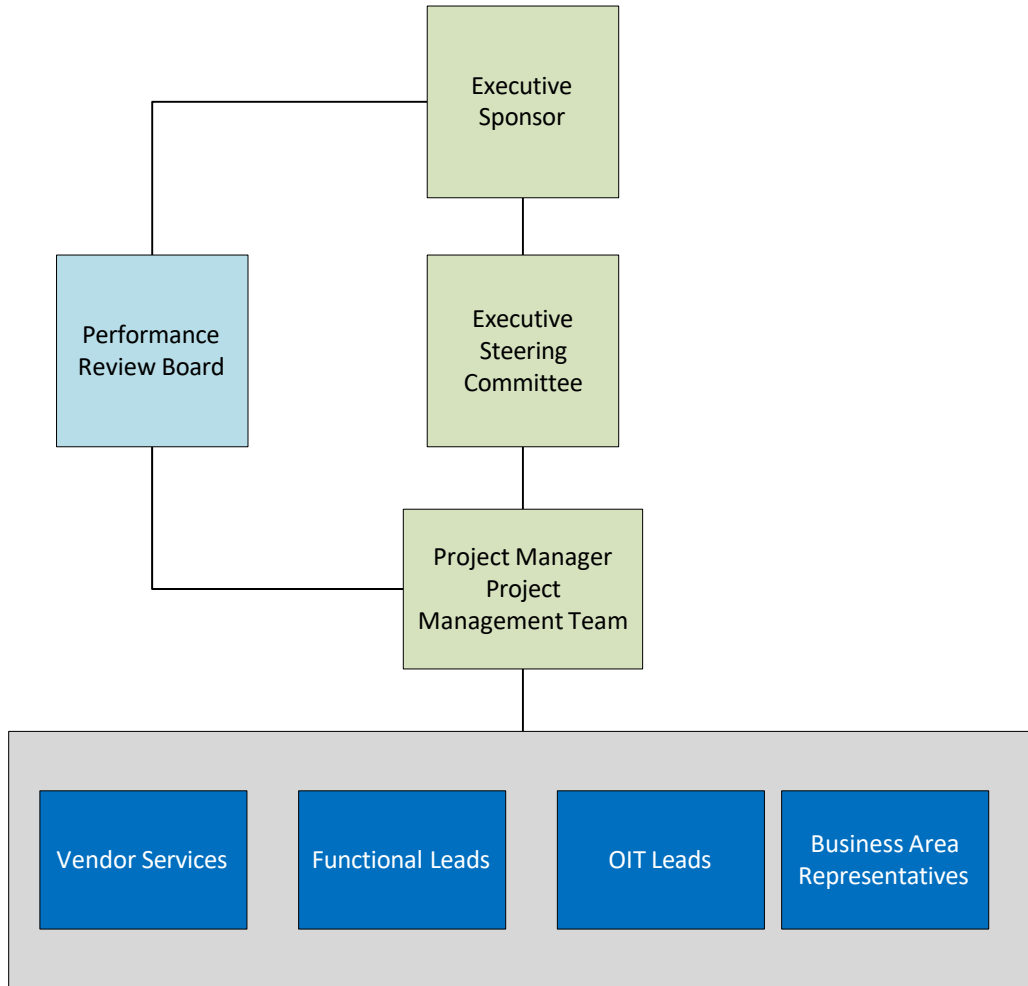
3.2 Agile Methodology

The Connectivity and Contracted Services Project leverages the agile methodology in recognition that the business rules and requirements for all projects will continue to be refined in an iterative manner leading up to development. With a multitude of stakeholder groups, the agile approach allows representatives to prioritize their requirements and business needs, formulate user stories, document epics and do so on a planned, incremental basis. With the agile methodology, a group of project members forms a "Scrum Team". This will be a collection comprised of internal stakeholders, customers (or their representatives), a product owner, the development and testing teams and a Scrum Master. As requests are gathered from the stakeholders, a "Backlog" is formed and inventoried. Sprints are then planned to take focused requests from the backlog and develop a reviewable work product.

4 PROJECT ORGANIZATIONAL AND GOVERNANCE STRUCTURE

Effective Governance provides strategic direction to a project, helps remove barriers for the project team, and authorizes human, financial, or material resources to be allocated based on expected performance and benefits. For issues that are beyond the control of the project manager or team, Executive Sponsor, Executive Steering Committee, and Agency Management serve as an escalation path.

4.1 Project Organizational & Governance Chart



4.2 Identify Stakeholders

Key stakeholders will be confirmed during the planning phase of the project (FY25-26). The stakeholders will be captured in the project stakeholder registry, a table identifying all stakeholders and project participants to include their level of involvement or how they are impacted by this project.

An initial list of key stakeholders is developed and available in the accompanying Schedule IV-B.

4.3 Identify Project Team

The Project Team will be identified and confirmed during the planning phase of the project (FY25-26). Team membership will be updated throughout the lifecycle of the project as additional resources are identified and/or procured. All project team members will be logged and maintained in the project stakeholder registry.

4.4 Project Governance Process

The Project’s Governance Process consists of three levels of governance: the Executive Steering Committee, the Project Management Team, and the Project Team. The roles and responsibilities for each level are defined within the decision escalation matrix in section 4.5. The individuals that make up each governance level will be identified during the planning phase of the project. Governance will take place during reoccurring status meetings, tentatively scheduled monthly. In the result a critical change or decision is needed, emergency meetings of any of the governing bodies may be scheduled at the Project Manager’s discretion.

4.5 Escalation Process

	Schedule	Scope	Budget	Risks / Issues	Resources
Governance Body	<i>Decisions involving the creation and management of the project’s Integrated Master Schedule (IMS). Includes any cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the project’s scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the project’s budget</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfillment of project objectives.</i>	<i>Decisions involving the acquisition and management of project resources.</i>
High Priority Items					

	Schedule	Scope	Budget	Risks / Issues	Resources
Governance Body	<i>Decisions involving the creation and management of the project's Integrated Master Schedule (IMS). Includes any cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the project's scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the project's budget</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfilment of project objectives.</i>	<i>Decisions involving the acquisition and management of project resources.</i>
Executive Steering Committee <i>Ensure the project meets overall objectives and:</i> <ul style="list-style-type: none"> - Provide management direction and support to the Project Management Team; - Assess the project's alignment with the strategic goals of the Department; - Review and approve or disapprove high-priority changes to the project's scope, schedule and costs. - Review, approve or disapprove and determine whether to proceed with any major project deliverables; and - Recommend suspension or termination of the project to the Governor, the President of the Senate, and the Speaker of the House of Representatives if determined that the primary objectives cannot be achieved. 	<ul style="list-style-type: none"> - Missed phase gate. - Schedule variances that will impact the IMS baseline (warranting re-baseline). - Significant schedule slippage that may include missing key deliverables or milestone dates. - Schedule variances that will cause a delay in work along the critical path. - SPI trending < 0.90 (± 10%). 	<ul style="list-style-type: none"> - Changes in scope that impact the overall project definition and direction. - Legislative and/or policy directives. - Unstable project scope. - Deferral of functionality with impact to business objectives. - Go/No-Go decision points. 	<ul style="list-style-type: none"> - Spending over/under budget for an established reporting period (± 10%) - Changes to the overall project budget (allocation, distribution, etc.). - CPI trending < 0.95 variance across three (3) or more months. 	<ul style="list-style-type: none"> - Escalating or new risks that will most likely impact the success of the project. - Escalating or new issues that are impacting the success of the project. 	<ul style="list-style-type: none"> - Enterprise (cross-department) staffing and resource management (allocations).
Medium Priority Items					
Project Management Team (Led by Project Manager) <i>Provide daily planning, management, and oversight of the project.</i>	<ul style="list-style-type: none"> - Isolated schedule slippage. Impact >5 working days to 10 working days and can be managed within the working team (unless on the critical path). - Schedule variances that will not cause a delay in work along the critical path. - Schedule variances that will not significantly impact the IMS baseline (not warranting re-baseline). - Decisions that affect a dependency external to the project 	<ul style="list-style-type: none"> - Minor changes to project scope (or requirement delays) that can be managed within the working team. Workaround exists. 	<ul style="list-style-type: none"> - Spending over/under budget for an established reporting period (± 5%). - Impact can be managed within the project budget. 	<ul style="list-style-type: none"> - New risks and issues that do not pose a significant threat to project success and can be managed within the working team. 	<ul style="list-style-type: none"> - Resource management (allocations) within the project.
Low Priority Items					

	Schedule	Scope	Budget	Risks / Issues	Resources
Governance Body	<i>Decisions involving the creation and management of the project's Integrated Master Schedule (IMS). Includes any cross-project dependency identification and management.</i>	<i>Decisions involving the development and management of the project's scope. Includes management of both product and project scope.</i>	<i>Decisions involving the creation and management of the project's budget</i>	<i>Decisions involving potential impacts (risks) and issues that may jeopardize fulfilment of project objectives.</i>	<i>Decisions involving the acquisition and management of project resources.</i>
<p><u>Project Team Lead(s)</u> In consultation with the Project Manager</p> <p><i>Provide daily planning, management, and oversight of the project's workstreams</i></p>	<ul style="list-style-type: none"> - Impact 5 business days or less and can be managed within the workstream (unless on the critical path). - Schedule variances that will not cause a delay in work along the critical path. - Schedule variances that will not significantly impact the project schedule baseline (not warranting re-baseline). - Decisions that affect a dependency internal to the project. 	<ul style="list-style-type: none"> - Minor changes to workstream scope (or requirement delays) that can be managed within the working team. Workaround exists. 	<ul style="list-style-type: none"> - Impact can be managed within the workstream. 	<ul style="list-style-type: none"> - New risks and issues that do not pose a significant threat to workstream success and can be managed within the working team. 	<ul style="list-style-type: none"> - workstream resource management (allocations).

5 RESOURCE PLAN

5.1 Human Resources

Human resource management is the process developed to effectively identify, acquire, and manage the resources needed to meet the project objectives. This includes defining what resources are needed, assessing appropriate skill sets, and determining when and how long resources are needed for the project. As such, the procedures within the resource management plan focus on assessing resource needs, escalating the need to project leadership, and managing the need through work re-assignment, training or on-boarding of additional personnel. Please refer to the Connectivity and Contracted Services Program Resource Plan that will be developed as part of the project initiation activities. The resource plan includes, for each anticipated person: the role on the project, the anticipated start date, the duration the resource will be needed and their assigned supervisor. The most current version of the resource plan shall be kept as part of the Project Control Book. Project resource planning does not account for resources contracted through the Support Services vendor.

5.2 Equipment/Materials Resources

All equipment, materials, and otherwise non-human resources will be identified and managed as deliverables within the project. Resources will be acquired via state procurement processes.

6 WORK BREAKDOWN STRUCTURE

The project schedule is currently under development as part of the detailed planning occurring for the fiscal year (FY 2025-26). The project management plan is a living document and will be updated throughout the life of the project.

7 PROJECT SCHEDULE MANAGEMENT PLAN

7.1 Project Schedule

The project schedule is currently under development as part of the detailed planning occurring for the remainder of this fiscal year (FY 2025-26). The project management plan is a living document and will be updated throughout the life of the project.

7.2 Schedule Management

Schedule management refers to the processes required to ensure timely completion of the program objectives. The Program Manager is responsible for establishing the baseline and updating the IMS weekly with input from the respective project managers and teams.

- The IMS will be resource leveled. Resource leveling is the project management function of resolving resource over-allocation. Over-allocation means that a resource has been assigned more work than can be accomplished in available time as dictated by the resource's calendar definition.
- Tasks will be completed according to the program schedule and within the established timeframes. In the event of a slipping task, the process described in the section below will be followed.

The IMS will be updated on a routine basis with input from the individual team leads and respective teams. The initial baseline will be set in Microsoft Project as "Baseline 0." The Project Manager will be responsible for tracking and managing individual project tasks and reporting any slippage.

- The Project Manager will co-manage updates to the IMS with the Team Leads on a weekly basis. Information will be collected via weekly team meetings, analyzed, and reviewed collectively prior to incorporation. The updated IMS will be made available to all team members, reported in weekly status reports / meetings, and communicated to all governing bodies.
- The Project Manager will oversee the development of specific project tasks and manage resources to ensure that individual project objectives are met within the established timeframes.
- Weekly updates shall focus on recording the percent complete for tasks in 10% increments.

Schedule changes will be managed according to the Decision Escalation Matrix referenced in Section 4.5. Changes will follow the Change Management Process documented in Section 11. Schedule changes approved by the appropriate governing body will be documented in a separate spreadsheet that tracks the detailed description of the change, the person making the change, the version number of the schedule altered, and the rationale behind the requested change. Changes may not require an entirely new baseline and thus the baseline will also be tracked to document specific line item changes.

In accordance with IV&V and the Florida Digital Services (FLDS) project management expectations, the IMS will be tracked and monitored using the Schedule Performance Index (SPI) noting any standard deviations above or below 10% from the planned and actual start/finish dates, and the Cost Performance Index (CPI) noting changes to the overall program budget (allocation, distribution, etc.).

8 COST MANAMGENT PLAN

8.1 Project Estimated Budget

The Legislative Budget Request (LBR) submitted for FY 2025-26, estimates total project cost of \$10 million over three fiscal years. The budget for this project will be co-managed by the Project Manager and Budget Staff internal to the department. For detailed budget information, please refer to the Schedule of Values and Cost-Benefit Analysis (CBA).

Lewis, Richard
2024-09-25 14:13:00 Budget Staff
@Bournival, Robert LBR Amount??

8.2 Project Spending Plan

The Contract and Budget Staff will develop an overall Project Spend Plan for each fiscal year that estimates the anticipated budget by month. The same budget information will be recorded in the PPM tool each month for monitoring and tracking by stakeholders.

The Contract and Budget Staff will review the budget information for all workstreams within the program once a month with the Program Manager and update the spend plan monthly to reflect actual expenditures to date for reporting to FLDS, and the PRB.

8.3 Cost Management

Once a month, the Contract and Budget Staff and Project Manager will jointly review the planned budget and actual expenditures tracked in the Spend Plan to determine if the program is efficiently spending the resources. As specified in Section 13.4, Quality Assurance Assessments – Internal and External, the Contract and Budget Staff will review the Budget to Date as well as the overall Budget and report any variance.

All Team Leads will notify the Project Manager (and Contract and Budget Staff) in writing as to any anticipated budget revisions, the cause, and the impact to the project. In addition, the notification shall indicate when a decision is needed. This information shall be what is then used to initiate the Issue Management and Resolution process or the Change Control process, as agreed to by the Project Manager. For specific information on how budget issues will be handled, please refer to the Decision Escalation Matrix referenced in Section 4.5.

9 PROCUREMENT MANAGEMENT PLAN

9.1 Procurement Management Procedure

Any procurement of resources or services for the project will be conducted using State and Department policies and procedures. Specific procurement plans and approaches will be defined during the planning phase (FY 2025-26) of this project.

9.2 Contracts Management Procedure

Any contracts initiated for the project will be developed using State and Department policies and procedures. Specific contract management plans and approaches will be defined during the planning phase (FY 2025-26) of this project.

10 COMMUNICATIONS MANAGEMENT PLAN

Effective communication is one of the most important factors contributing to the success of the Connectivity and Contracted Services project.

Three clear communication channels will be established during the project organization and include:

1. Upward channel with senior executives and steering committee to highlight issues, risks and scope exceptions.
2. Lateral channel with sponsor(s), stakeholders, and other Department management involving requirements, resources, budgets and time allocations.
3. Downward channel with the team highlighting processes, activities, dates, status and general team briefings.

The communications plan describes how project communication events will occur across the channels described above. The events themselves may be periodic or one-time in nature.

The Project Manager will meet weekly with the Executive Sponsor and the Project Management Team. Monthly meetings will be held with the Project Review Board (PRB). Any decisions made by the PRB or recommendations made by the Project Management Team will be documented and included in the project artifacts. For clarification of governance roles and escalation practices, please refer to the Decision Escalation Matrix referenced in Section 4.5.

Additionally, the Project's Communication Consultant will be responsible for communications conducted as a part of Organizational Change Management (referenced in Section 12).

The following table details the project communications and meetings used to manage the project at this time. Additional details to the communications plan will be developed during the planning phase of the project.

Project Communications				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
Project Control Book (includes risks, issues, action items, decisions, change control log, etc.)	Project Team, Project Management Team	Microsoft Teams	Weekly	Project Manager
Project Management Plan Document	Project Team, Sponsors, and Governing Bodies	Microsoft Teams	Within 30 days of approval	Project Manager
Status Reports	Project Team, Sponsors, and Governing Bodies	Microsoft Teams, Email	Monthly	Project Manager
Integrated Master Schedule (IMS)	Project Team, Sponsors, and Governing Bodies	Microsoft Teams, Email	Weekly	Project Manager
Support Services Vendor Deliverables	Project Team, Sponsors, and Governing Bodies	Microsoft Teams	Per Contractual Agreement	Vendor Project Manager
Periodic Demos and Presentations	Specific functional areas/groups,	Presentation	As needed	Dependent on material

	Sponsors, Governing Bodies			
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Meetings				
Description	Target Audience	Delivery Method	Delivery Frequency	Owner
Executive Sponsor Meeting	Executive Sponsor	Meeting	Weekly	Project Manager
Project Management Team Meeting	Project Management Team, Project Team	Meeting	Weekly	Project Manager
Performance Review Board	Sponsors, Executive Steering Committee Members	Meeting	Monthly	Project Manager

10.1 Updates to the Communications Plan

The Project’s Communications Plan will be updated by the Communications Consultant quarterly and distributed via e-mail.

10.2 Documentation Standards

The following Document Management Guidelines are in place to support the project:

- Version history is tracked for all documents within the PCB
- Document feedback and approvals are logged in the PCB
- Drafts and Final Submission Deliverables are clearly distinguished
- Approved Documents are stored in a separate folder in the PCB
- Document control information is captured for all official deliverables

10.2.1 Document Naming Conventions

Deliverable Expectation Document (DED)

The Deliverable Expectation Document (DED) naming standard (one DED for every deliverable) is as follows:

DED Del # - <Deliverable Name> v #.

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

Deliverables

The Deliverable naming standard is as follows:

Del # - <Deliverable Name> v #.

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

Deliverable Consolidated Comments

The Deliverable Consolidated Comments naming standard is as follows:

Del # - <Deliverable Name>Consolidated Comments v #.

Versions will be 1.0 for initial submission and increment by whole numbers for each formal submission. Incremental updates will utilize the minor version increments (e.g., 1.1, 1.2, and 1.3). All versions will be recorded in the document control section at the beginning of the document.

10.3 Centralized Document Repository

The Project Manager will establish a Project Control Book for the Connectivity and Contracted Services Project within the Department's Microsoft Teams application. The Project Control Book contains artifacts specific to the project management aspects of the project as well as memorandums and meeting minutes. The Project Manager or their designee shall be responsible for publishing artifacts to this repository. Once available, a link to the specific 'Team' within Microsoft Teams will be added in this section.

11 CHANGE MANAGEMENT PLAN

Changes should be expected during the project. These changes can result from the realization of risks, externally imposed requirements, estimation errors, leadership decisions, or adoption of new approaches to gain efficiency. Regardless the source, it is important that changes be managed to minimize adverse impacts to the project. Any change affecting scope, schedule, or cost initiates the change management process. Change management activities are subject to the governance and escalation processes described in the Organizational and Governance Plan.

11.1 Change Control Process

Below is a brief description of the change control process.

- A change to the project is identified.
- A change request is submitted to the Project Manager.
- The Project Manager will ensure the change is within the project's scope, identify impacts to the project's cost, schedule, and resources, and obtain specific requirements to implement the change.
- Change request is then evaluated for technical feasibility.
- Results of the change request evaluation are provided to the Project Management Team (PMT).
- PMT may approve, reject, or escalate to the Executive Steering Committee.
- If escalated, Governance team members will review the request and vote to either approve or reject the request.

- Requestor is notified of decision.

Please refer to the Change Management Process depicted on the following page:

Decision Matrix

		scope change	increase budget	not increase budget	increase risk	not increase risk	increase schedule	not increase schedule
The impact of the change may be absorbed by [functional owner]	Decision by Project Manager	N	N	Y	N	Y	N	Y
	Vet with Steering Committee	Y	Y	N	Y	N	Y	N
	Decision by Project Sponsor	Y	Y	Y	Y	Y	Y	Y
the change cannot be absorbed by [functional owner]	Vet with [advisor names]	Y	Y	n/a	Y	n/a	Y	n/a
	Decision by Steering Committee	Y	Y	Y	Y	Y	Y	Y

11.2 Track Project Changes

All change requests will be tracked and managed via the change control log. The previously defined governance processes will be used to control changes.

12 ORGANIZATIONAL CHANGE MANAGEMENT PLAN

The goal of change is to improve the organization by altering what and/or how work is done. The re-engineering of the Connectivity technology environment will affect business processes, skill sets, roles, and responsibilities. Change management activities are integral to the success of the project. Organizational change management (OCM) activities are facilitated by the project’s Communications Consultant. OCM outlines the activities necessary to ensure staff participation in process development and improvement, skill set changes, and technology acceptance. Examples of these activities are the communication of project goals and benefits, documentation and communication of solution vendor/Department roles/responsibilities, development and communication of new process maps/roles, development and communication of a skills gap analysis, and the development and communication of a training plan.

Organizational change management (OCM) planning documents will be developed by the Department for Connectivity and Contracted Services. These include the following artifacts:

- **Communications Strategy and Plan:** Helps to manage expectations about the Connectivity and Contracted Services project and provides consistent messages among project team members, eventual end-users of the solution and other impacted stakeholders. Included as a component of this document is a tactical Communication Plan that charts out recurring and one-time communication events. This living document will be updated on a quarterly basis.
- **Organizational Analysis:** Details key aspects of the various end-user groups (internal and external, as applicable) for consideration into the to-be business processes and technology. It is intended to provide a gap-analysis of the end-user groups' current and future work environments, tasks and activities, and knowledge, skills and abilities.
- **Training and Performance Support Strategy:** Details the overarching training needs and objectives for the project, per the Organizational Analysis. It also describes the various training methods (ex: Instructor-led, Web-based, Videos, Online Tip-sheets) that will be used; lays out a general training curriculum per user group; and describes any point-of-deployment and/or ongoing performance support mechanisms that will be used, such as help desks / user support sites.

The Support Services Vendor will have a series of OCM focused deliverables and activities as part of the contracted services. The vendor will work closely with the Communications Consultant as well as other members of the Project Team to conduct the activities and gather information to construct these OCM deliverables as outlined in the contract. The Communications Consultant will facilitate execution of the OCM plans and conduct periodic OCM readiness assessments throughout the project's life cycle to measure progress of closing gaps identified in the Organizational Analysis. Please refer to the program's PCB for additional information on OCM (once established).

13 QUALITY MANAGEMENT PLAN

The Quality Management Plan describes how quality will be managed throughout the lifecycle of the project. As part of the reporting and monitoring performed by Florida Digital Services (FLDS) as well as IV&V, the project will implement quality metrics to support transparency, traceability, and accountability against business objectives and benefits realization. The following tools will be used to manage quality of the project.

Tool	Description
Earned Value Management (EVM)	The Integrated Master Schedule (IMS) will be analyzed for earned value (EV) against the approved baseline.
Budget Variance	The IMS and Spend Plan will be analyzed for cost performance against the approved baseline.
Schedule Performance Index (SPI)	The IMS will be analyzed for schedule performance against the approved baseline.
Cost Performance Index (CPI)	The IMS will be analyzed for schedule performance against the approved baseline.

Tool	Description
Status Reports	<p>The Project Manager will produce a weekly status report to keep stakeholders apprised, monitor the quality of the current project activities, and assess the likelihood of achieving key milestones. These status reports will also help monitor lessons learned and identify improvements for future phases and workstreams of the project.</p> <p>The weekly status report currently includes information to derive the following quality indicators:</p> <ul style="list-style-type: none"> • Progress against the baseline plan’s key milestones • Deliverables Progress – timeliness of submission, reviews, and approvals are key quality aspects for deliverables • Issues – Number of open priority issues and aging of issues • Risks – Total number of open Medium and High Risks • Action Items – Number and aging of open action items <p>Team members accountable for each workstream will provide the project manager with the data to support the Status Reports.</p> <p>Any Support Services vendor will produce:</p> <ul style="list-style-type: none"> • Weekly status reports for stakeholders • Monthly summary status reports for stakeholders
Deliverable Expectations Document (DED)	<p>The Project Team will work with the Vendor to document acceptance criteria for each deliverable, identify appropriate reviewers, and streamline the deliverable review process.</p>

The purpose of the Quality Management Plan is to outline the processes to instill quality in the deliverables produced and services provided. The plan outlines both quality assurance activities as well as quality management metrics.

The objectives of the Quality Management Activities are to:

- Identify and correct defects early in the process
- Evaluate a deliverable against project standards and deliverable expectations
- Reduce the number of errors as the work effort progresses
- Reduce time and costs resulting from rework
- Monitor adherence to agreed-upon project processes

For purposes of this document, quality is defined as the degree to which a system, deliverable, or process meets specified requirements. The Quality Management Plan is made up of quality activities that fit into three main categories:

- Deliverable Quality
- Process Quality
- System Quality

The following subsections outline the key activities within the deliverable quality assurance, process quality management, and system quality categories.

13.1 Deliverable Quality

Deliverable Quality is used to evaluate whether project deliverables comply with the standards and objectives of the stakeholders. A key step in formulating a quality deliverable is to establish a shared set of expectations of what should be contained within the deliverable, who should contribute to the deliverable, and ultimately who will be involved in the review and approval of the work product.

These tenets of the formal Project deliverables will be documented and agreed to as part of the Connectivity and Contracted Services Project's Deliverable Review Process.

13.2 Deliverable Review Process

Prior to starting the work to gather input and construct a deliverable, the Project manager and deliverable author will confirm those individuals that will be responsible for contributing to and/or reviewing a deliverable. The Project Manager or deliverable owner will draft a Deliverable Expectation Document (DED) for the deliverable. The DED provides the author(s) guidance and direction on the deliverable format, level of detail. Identifies individuals that will contribute to the deliverable, confirms the deliverable reviewers, and reiterates the deliverable's deadlines.

The DED is an important project artifact in aligning expectations for the deliverable, defining specific roles for the deliverable, and is used in the quality assurance peer reviews for each submission. For each deliverable (regardless of phase or deliverable review cycle), the peer review step relies on two documents to the quality assurance review: the approved DED and the consolidated comments from all reviewers noted in the approved DED as well as IV&V. Prior to the initial deliverable submission, the peer reviewer will make sure all sections in the DED are represented and address the content and format expectations outlined. For subsequent submissions, the peer reviewer will still evaluate the deliverable against the DED as well as evaluating the work product updates (or comment response) that were made for each comment received from the reviewers.

Outstanding points identified from the peer review are returned to the author(s). When another draft of the deliverable is available, the peer review process repeats. The Deliverable Review Process will be depicted visually and included here for reference upon approval of the Project and Organizational Governance Structures outlined within this document.

13.3 Deliverable Quality Metrics

The metrics for Deliverable quality are outlined in the following table. These metrics will be compiled and provided to the Project Manager and Project Director monthly.

Metric	Description	Target / Measurement
Number of Late Submitted deliverables	Count of deliverables originally planned for first submission in the prior month but whose delivery date was delayed.	Green: 0 Yellow: 1 to 2 Red: 3 or more
Mean duration of Deliverable Review Period	Mean calculation of the number of business days from the first period of the review until the deliverable is approved.	Green: 12 or fewer Yellow: 13 to 18 Red: 19 or more
Percent of planned approved deliverables not yet approved	Percentage of deliverables, since project start, that were planned to be approved but have yet to be approved	Green: ≤ 10% Yellow: 10% < to ≤ 25% Red: 25% >

13.4 Quality Assurance Assessments – Internal and External

The Department will contract with an Independent Verification and Validation (IV&V) vendor for the duration of the project to provide a baseline assessment of the overall quality of the project, monthly progress monitoring, quality checkpoints, recommended improvements, and validation of realized project objectives.

The FLDS will also perform monthly reports on the overall status of the project. The Project Manager will be responsible for providing the appropriate documents such as an updated IMS, Spend Plan, and any other requested documentation to support status updates which will be provided to legislative staff pursuant to Rule 60GG-1 of the Florida Administrative Code.

The project will use existing Department tools to assist in performing internal reviews for EVM, SPI, CPI, and probability of achieving key milestones. Monthly reporting to the Department’s Tier I Governance will include an assessment of the overall health of the project (red-yellow-green status) based on the following metrics for the reporting period:

Metric	Measurement	Target / Measurement	Reporting Period
Scope	Did the project experience a scope change that impacted the project’s costs, schedule or quality?	Green – No change in scope and scope is being managed Yellow – Scope change pending approval and impacts one of the three attributes Red – Scope change pending approval and impacts at least two of the three attributes	Weekly
Schedule	Are the Milestones and Deliverables on schedule?	Green: ≤ 5 business days Yellow: 6 < to ≤ 10 business days Red: 10 > business days	Weekly

Metric	Measurement	Target / Measurement	Reporting Period
Budget (to date)	Is the project within budget for this reporting period? Spend Plan (30-day period) are completed as of the last day of the previous month.	Green: Variance is $\pm 10\%$ Yellow: Variance is $\pm 11\%$ -20% Red: Variance is $\pm 21\%$ or greater	Monthly
Budget (overall)	Is the project within budget overall? Spend Plan (total project budget) are completed as of the last day of the previous month	Green: Variance is $\pm 10\%$ Yellow: Variance is $\pm 11\%$ -20% Red: Variance is $\pm 21\%$ or greater	Monthly
Issue	Is the number and/or severity of issues increasing and/or is the issue overdue for resolution?	Green – No new issue was reported and/or the previously reported issue is being managed and on-target for resolution by the completion date Yellow – A new issue was reported and/or the previously reported issue is not being managed and/or not on-target for resolution by the completion date Red – Two or more new issues were reported and/or the previously reported issue is not being managed and/or on-target for resolution by the completion date * Managed is defined as PM is providing actionable updates to the status report indicating that the issue is being worked	Weekly
Risk	Is the number and/or severity of risks stable or decreasing	Green – Risks are stable or decreasing Yellow – A new risk was added to the project Red – Multiple risks were added and/or a previously reported risk increased in probability	Weekly

13.5 System Quality

System Quality is used to evaluate whether the system development and configuration complies with the requirements and business processes identified in the planning phases of each workstream of the project. System Quality Activities include requirements traceability, testing and defect management, and stage containment activities.

13.5.1 Requirements Traceability

See [section 2.8](#)

13.5.2 Testing and Defect Management

Testing activities are one of the primary mechanisms for confirming system quality. The project will evaluate quality as it pertains to testing and defect management using the following metrics.

- Defect Creation Count by Program Area and Defect Severity (System and Integration Testing, Performance Testing, and User Acceptance Testing phases) – this quality metric will measure the number of defects that were created within distinct phases of the testing process categorized by Program Area (e.g., Security in Operations, Community Corrections, etc.) and severity
- Defect Root Cause Disposition by Program Area and Defect Severity (All testing phases) – this quality metric will provide a count by program area and severity based on the disposition of a defect: disposition groupings and types will be defined during the planning phase.
- Change Requests by Program Area (All testing phases) – this quality metric will provide the number of new requests that are escalated to the Change Management process
- Defect Resolution Aging Report (UAT phase only) – this quality metric will provide the median calculation as to duration of how long a defect takes to resolve and provide back to the user for validation
- Defect by Program Area Closure Report (UAT Phase only) – this quality metric will provide the median calculation, by program area, of how long it takes a business area to test and close defects that have been returned to them for validation

14 RISK AND ISSUE MANAGEMENT

Project risk and issue management focuses on identifying and prioritizing risks based on impact and probability. A risk is not necessarily a problem – it is a recognition that a problem or opportunity may impact the project. Conversely an issue *is* a current problem that unless resolved will negatively impact the project. In accordance with Florida Digital Services oversight and project management rule 60GG-1, the Department will identify a Risk Manager for the project. The Department plans to solicit the vendor community for a Risk Manager Consultant.

14.1 Defining a Risk

The risk and issue management plans are critical procedures for the Connectivity and Contracted Services project. A risk can be defined as an uncertain event or condition that, if it occurs, has a positive or negative impact on project’s objectives. Risks and issues will be managed at the project level as detailed in this plan.

The Risk Manager will monitor all project risks on an ongoing basis and maintain the risk register in the Project Control Book which includes the following information:

Risk Details	Description
Risk ID	The numeric ID assigned upon entry into the Project Control Book
Risk Name	The short risk name.

Risk Details	Description
Risk Status	<p>Field noting the status of the mitigation plan:</p> <p>New: Default value. Leave until initial risk review has occurred.</p> <p>Mitigation Plan Defined: Status of all risks actively accepted or being mitigated.</p> <p>Risk Became Issue: Status of risks escalated as an issue. Record the associated Issue Number in the Resolution field.</p> <p>Closed: Status of resolved risks that were not escalated to issues.</p>
Assigned To	The person assigned for overall risk responsibility.
Risk Description	<p>A detailed description of the risk.</p> <p>Risks should be documented using an “If...then...” framework to clearly capture the potential risk and impact in the statement.</p>
Impacted Areas	Ares the risk could impact – check all that apply – budget, hardware, management, physical, schedule, scope, staffing.
Date Logged	The date and time stamp the risk is entered into the Project Control Book.
Probability of Occurrence	<p>Ranking the potential for risk occurrence:</p> <p>Low: <10% chance of risk realization.</p> <p>Medium: 10%-60% chance of realization</p> <p>High: >60% chance of risk realization</p>
Mitigation Approach	<p>The risk response:</p> <p>Accept: This approach reflects a risk that is acknowledged as valid but cannot be avoided or mitigated.</p> <p>Avoid: This approach reflects a risk where steps are taken to disengage any activities associated with the inherent risk.</p> <p>Transfer: This approach reflects a risk that is transferred to another entity not associated with the Connectivity and Contracted Services project.</p> <p>Mitigate: This approach reflects a risk that has one to many identified actions that can be taken to reduce the probability and/or impact should the risk be realized.</p>

Risk Details	Description
Impact	<p>The probable impact on the project the risk would have if it is realized. Some risks could have a high probability, but the impact could be low and vice versa.</p> <p>Low: Variance to impacted area is anticipated to be < 10%.</p> <p>Medium: Variance to impacted area between 10% - 25%.</p> <p>High: Variance to impacted area is anticipated to be > 25%.</p>
Mitigation Description	Detailed risk response.
Anticipated Resolution Date	The latest date in the mitigation plan's anticipated action completion. If there is no mitigation plan yet documented OR the risk is "accepted", record the date two weeks out from the current date.
Actual Resolution Date	The actual resolution date when the risk is either closed, transferred, or escalated to an issue.
Resolution	A chronological history of the activities taken to manage this risk. Latest entry should be listed at the top. Each entry should begin with the date (MM-DD-YYYY) and the name (first initial, last name) of the author of the update
Logged By	The name of the person entering the risk into the Project Control Book.

14.2 Risk Management Plan

Risk Identification Process

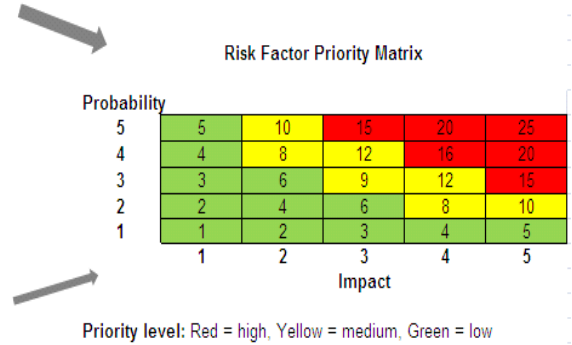
Risks for the project may be identified by any stakeholder, end user, management personnel or external source. A newly identified risk must be documented in written format (via e-mail, memo, or documented in meeting minutes) and provided to the Risk Manager, who will then add the item to the risk register in the Project Control Book. All risks (new and existing) are reviewed weekly and presented at the weekly Project Management Team meeting. The Risk Manager will review the risk register and discuss identified risks with the Executive Steering Committee as needed. All risks will be managed according to the Decision Escalation Matrix referenced in Section 4.5.

Risk Evaluation and Scoring

Risk probability is a measure of the likelihood that a certain risk will occur. The probability of occurrence for the risk can be defined on a level from 1-5. Risk impact is a measure of the expected degree of impact that the risk, if it occurs, will have on the program. The degree of impact for the risk can be defined on a level from 1-5. The Risk Manager will calculate the risk score as the product of the risk probability score and impact score when both are multiplied. Each risk shall be scored and included in the weekly review and presentation at the weekly status meeting for progress monitoring and tracking. The illustration below depicts the priority matrix once the probability and impact for each individual risk has been assessed.

Probability		
What is the probability the Precursor Condition to the Risk will happen?		
Level	Approach and Processes	
1	Not Likely	0-20% Probability of Occurrence
2	Low Likelihood	20-40% Probability of Occurrence
3	Likely	40-60% Probability of Occurrence
4	Highly Likely	60-80% Probability of Occurrence
5	Near Certainty	80-100% Probability of Occurrence

Impact			
Given the Risk realized, what would be the magnitude of the impact?			
Level	Quality/Scope	Schedule/Time	Budget/Cost
1	Minimal or no impact	Minimal or no impact	Minimal: < 5%
2	Minor	Slight delay < 1 month	Minor: > 6% - 10%
3	Moderate	Minor schedule slip (1 to 3 months)	Moderate: 11% -15%
4	Major	Major schedule slip (3 to 6 months)	Major 16% - 20%
5	Unacceptable	Unacceptable schedule delay (> 6 months)	Significant >20%



For high risks, mitigation plans will be developed to eliminate the risk or the potential impacts to the program. All high-level risks will be documented and communicated to the Executive Steering Committee for review and evaluation.

Risk Plan Maintenance

The Risk Manager meets weekly with the Project Management Team to discuss any new risks or issues and review ongoing risk mitigation plans. Subsequent to the meeting, the Risk Manager will update the risk details in the Project Control Book as necessary and include in weekly reporting to Leadership.

14.3 Issue Management and Resolution

All issues will have a plan for management and resolution which will be developed to eliminate potential impacts to the project. In general issue resolution will follow the decision escalation matrix depicted in Section 4.5. The Project Manager will monitor all program issues on an ongoing basis and maintain the issue log in the Project Control Book which includes the following information:

Issue Details	Description
Topic	The short description of the issue. If this issue is a risk that is being escalated, use "Risk Name" in this field.
Description	A detailed description of the issue. If escalated from a risk, please note that and the date it became an issue.
Start Date	Date the issue was escalated from a risk OR date Project Team became aware of the issue.
Deadline	Date by which the issue needs to be resolved or, if applicable, escalated.

Issue Details	Description
Priority	Ranking the issue priority: Low: Minimal impact to the project. Medium: Progress disrupted with manageable extensions to short-term schedule and cost. High: Significant disruption to project schedule (i.e., greater than 2 weeks for key milestones), cost (i.e., greater than 5% increase in baselined costs), or quality. Threatens the success of the project.
Budget Impact	Numeric field to record the proposed budget impact.
% Complete	Numeric field to record the percent complete status for the issue and proposed resolution strategy: 0%: Issue has not been assigned and/or no activity has been initiated to resolve the issue. 50%: Issue resolution is in progress and there is no concern about the resolution being achieved by the deadline date. 100%: Issue has been resolved.
Assignee(s)	The person(s) assigned to the issue.

15 SYSTEM SECURITY PLAN

FDC adheres to State of Florida Administrative Code 60GG-2, which outlines security controls that should be implemented within each agency. Rule 60GG-2 provides a crosswalk to federal national Institute of Standards and Technology (NIST) security guidelines (i.e. NIST 800-53). Likewise, the State’s primary datacenter has security policy specific to their environment and must adhere to 60GG-2, Florida Administrative Code. FDC’s standard operating procedure number 206.007, USER SECURITY FOR INFORMATION SYSTEMS outlines the processes for Department employees, contractors and subcontractors to follow to ensure the security of Departmental data and other information resources and the measures to follow in the event of a security incident. This project will follow procedure 206.007.

VII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 70 Department of Corrections
Budget Entity: 70032000 Correctional Facilities Maintenance and Repair

Budget Period 2025-2026

(1) SECTION I	(2) ACTUAL FY 2023 - 2024	(3) ESTIMATED FY 2024 - 2025	(4) REQUEST FY 2025 - 2026
Interest on Debt (A)	\$14,036,025.00	\$12,145,775.00	\$10,160,900.00
Principal (B)	\$36,885,000.00	\$38,725,000.00	\$40,670,000.00
Repayment of Loans (C)			
Fiscal Agent or Other Fees (D)	\$14,169.13	\$14,169.13	\$14,169.13
Other Debt Service (E)			
Total Debt Service (F)	\$50,935,194.13	\$50,884,944.13	\$50,845,069.13

Explanation: This information reflects bond series 2015A, 2018A (Refinance of 2008A, 2009A, 2009B, 2009C) and 2021A. The tables following Section II below provide detailed breakdowns of the individual series.

SECTION II

ISSUE: Lake City Correctional Facility - Series 2015A

(1) INTEREST RATE	(2) MATURITY DATE	(3) ISSUE AMOUNT	(4) JUNE 30, 2025	(5) JUNE 30, 2026
5.000%	8/1/2025	\$11,725,000.00	\$2,485,000.00	\$1,275,000.00
(6)		(7) ACTUAL FY 2023 - 2024	(8) ESTIMATED FY 2024 - 2025	(9) REQUEST FY 2025 - 2026
Interest on Debt (G)		\$153,000.00	\$94,000.00	\$31,875.00
Principal (H)		\$1,150,000.00	\$1,210,000.00	\$1,275,000.00
Fiscal Agent or Other Fees (I)		\$754.25	\$754.25	\$754.25
Other (J)			-	
Total Debt Service (K)		\$1,303,754.25	\$1,304,754.25	\$1,307,629.25

ISSUE: South Bay Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	8/1/2025	\$15,730,000.00	\$2,920,000.00	\$1,495,000.00
		ACTUAL FY 2023 - 2024	ESTIMATED FY 2024 - 2025	REQUEST FY 2025 - 2026
Interest on Debt (G)		\$179,875.00	\$110,375.00	\$37,375.00
Principal (H)		\$1,355,000.00	\$1,425,000.00	\$1,495,000.00
Fiscal Agent or Other Fees (I)		\$754.25	\$754.25	\$754.25
Other (J)			-	
Total Debt Service (K)		\$1,535,629.25	\$1,536,129.25	\$1,533,129.25

ISSUE: Bay Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	8/1/2025	\$6,800,500.00	\$1,561,500.00	\$800,000.00
		ACTUAL FY 2023 - 2024	ESTIMATED FY 2024 - 2025	REQUEST FY 2025 - 2026
Interest on Debt (G)		\$96,237.50	\$59,037.50	\$20,000.00
Principal (H)		\$726,500.00	\$761,500.00	\$800,000.00
Fiscal Agent or Other Fees (I)		\$754.25	\$754.25	\$754.25
Other (J)				
Total Debt Service (K)		\$823,491.75	\$821,291.75	\$820,754.25

ISSUE: Gadsden Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	8/1/2025	\$10,880,800.00	\$2,498,400.00	\$1,280,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2023 - 2024	FY 2024 - 2025	FY 2025 - 2026
Interest on Debt	(G)	\$153,980.00	\$94,460.00	\$32,000.00
Principal	(H)	\$1,162,400.00	\$1,218,400.00	\$1,280,000.00
Fiscal Agent or Other Fees	(I)	\$754.25	\$754.25	\$754.25
Other	(J)			
Total Debt Service	(K)	\$1,317,134.25	\$1,313,614.25	\$1,312,754.25

ISSUE: Moore Haven Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	8/1/2025	\$8,840,650.00	\$2,029,950.00	\$1,040,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2023 - 2024	FY 2024 - 2025	FY 2025 - 2026
Interest on Debt	(G)	\$125,108.75	\$76,748.75	\$26,000.00
Principal	(H)	\$944,450.00	\$989,950.00	\$1,040,000.00
Fiscal Agent or Other Fees	(I)	\$754.25	\$754.25	\$754.25
Other	(J)			
Total Debt Service	(K)	\$1,070,313.00	\$1,067,453.00	\$1,066,754.25

ISSUE: Graceville Correctional Facility - Series 2015A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	8/1/2025	\$41,483,050.00	\$9,525,150.00	\$4,880,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2023 - 2024	FY 2024 - 2025	FY 2025 - 2026
Interest on Debt	(G)	\$587,048.75	\$360,128.75	\$122,000.00
Principal	(H)	\$4,431,650.00	\$4,645,150.00	\$4,880,000.00
Fiscal Agent or Other Fees	(I)	\$754.25	\$754.25	\$754.25
Other	(J)			
Total Debt Service	(K)	\$5,019,453.00	\$5,006,033.00	\$5,002,754.25

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

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	11/1/2027	\$11,265,000.00	\$5,630,000.00	\$4,325,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2023 - 2024	FY 2024 - 2025	FY 2025 - 2026
Interest on Debt	(G)	\$312,625.00	\$248,875.00	\$182,000.00
Principal	(H)	\$1,245,000.00	\$1,305,000.00	\$1,370,000.00
Fiscal Agent or Other Fees	(I)	\$1,508.50	\$1,508.50	\$1,508.50
Other	(J)			
Total Debt Service	(K)	\$1,559,133.50	\$1,555,383.50	\$1,553,508.50

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

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	11/1/2028	\$67,265,000.00	\$37,815,000.00	\$30,990,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2023 - 2024	FY 2024 - 2025	FY 2025 - 2026
Interest on Debt	(G)	\$2,053,125.00	\$1,720,125.00	\$1,370,125.00
Principal	(H)	\$6,495,000.00	\$6,825,000.00	\$7,175,000.00
Fiscal Agent or Other Fees	(I)	\$1,508.50	\$1,508.50	\$1,508.50
Other	(J)			
Total Debt Service	(K)	\$8,549,633.50	\$8,546,633.50	\$8,546,633.50

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

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	11/1/2029	\$173,415,000.00	\$105,785,000.00	\$90,190,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2023 - 2024	FY 2024 - 2025	FY 2025 - 2026
Interest on Debt	(G)	\$5,660,750.00	\$4,899,375.00	\$4,100,375.00
Principal	(H)	\$14,860,000.00	\$15,595,000.00	\$16,365,000.00
Fiscal Agent or Other Fees	(I)	\$1,508.50	\$1,508.50	\$1,508.50
Other	(J)			
Total Debt Service	(K)	\$20,522,258.50	\$20,495,883.50	\$20,466,883.50

ISSUE: Lake Mental Health - Series 2021A

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2025	JUNE 30, 2026
5.000%	11/1/2040	\$134,145,000.00	\$119,690,000.00	\$114,940,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2023 - 2024	FY 2024 - 2025	FY 2025 - 2026
Interest on Debt	(G)	\$4,714,275.00	\$4,482,650.00	\$4,239,150.00
Principal	(H)	\$4,515,000.00	\$4,750,000.00	\$4,990,000.00
Fiscal Agent or Other Fees	(I)	\$5,118.13	\$5,118.13	\$5,118.13
Other	(J)			
Total Debt Service	(K)	\$9,234,393.13	\$9,237,768.13	\$9,234,268.13

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2025 - 2026

Department: Office of Inspector General

Chief Internal Auditor: Paul Strickland

Budget Entity: Bureau of Internal Audit

Phone Number: 850-717-3408

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A22008	11/1/2023	Office of Human Resources	Audit staff did not identify any deficiencies; therefore, no findings and recommendations are presented.	N/A	Inspector General's Office/Bureau of Internal Audit
A23019	11/2/2023	Office of Institutions	Audit staff did not identify any deficiencies; therefore, no findings and recommendations are presented.	N/A	Inspector General's Office/Bureau of Internal Audit
A23017	12/6/2023	Office of Institutions	<p>Finding 1: Canteen proceeds were not always deposited timely.</p> <p>Recommendation: The Warden ensure all EBTF proceeds are deposited at a minimum of at least once per week as required by procedure.</p> <p>Finding 2: The reviewer did not initial the Daily Sales Reports, DC2-319, and did not consistently initial the validated deposit slips as required by the procedure.</p> <p>Recommendation: The reviewer initial the Daily Sales Reports and consistently initial the validated deposit slips as required by procedure.</p>	Management agreed with and responded to our findings. They are taking or have taken appropriate action to rectify the audit issue.	Inspector General's Office/Bureau of Internal Audit
A24004	6/11/2024	Office of Information Technology	This audit contained ten (10) findings. The results of this audit are deemed confidential based on the provisions of Section 282.318, Florida Statutes.	Management agreed with and responded to our findings. They are taking or have taken appropriate action to rectify the audit issue.	Inspector General's Office/Bureau of Internal Audit

A23020	6/25/2024	Office of Institutions	Audit staff did not identify any deficiencies; therefore, no findings and recommendations are presented.	N/A	Inspector General's Office/Bureau of Internal Audit
A24007	6/27/2024	Office of Health Services	Audit staff did not identify any deficiencies; therefore, no findings and recommendations are presented.	N/A	Inspector General's Office/Bureau of Internal Audit
A24006	6/28/2024	Office of Health Services	<p>Finding 1: Intake documentation was not always available for review in the Electronic Medical Records, and services were not always completed timely.</p> <p>Recommendation: The Office of Health Services take steps to ensure that intake documentation is available for review in the Electronic Medical Records, and services are completed timely.</p> <p>Finding 2: Documentation of mental health services was not always available for review in the Electronic Medical Records, and services were not always completed timely.</p> <p>Recommendation: The Office of Health Services take steps to ensure that documentation of mental health services is available for review in the Electronic Medical Record System, and services are completed timely.</p> <p>Finding 3: Individualized Service Plans (ISP) did not always contain all the required information and were not always available for review.</p> <p>Recommendation: The Office of Health Services take steps to ensure that Individualized Service Plans (ISP) contain all the required information and are available for review.</p> <p>Finding 4: Individualized Service Plans (ISP) were not always reviewed timely.</p> <p>Recommendation: The Office of Health Services take steps to ensure that Individualized Service Plans are reviewed timely.</p>	Management agreed with and responded to our findings. They are taking or have taken appropriate action to rectify the audit issue.	Inspector General's Office/Bureau of Internal Audit



Office of Policy and Budget - June 2024

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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Action	Program or Service (Budget Entity Codes)			
	70010200	70010400		

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

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR	Y	Y		
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y		
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?	Y	Y		

Fiscal Year 2025-26 LBR Technical Review Checklist

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

3. EXHIBIT B (EXBR, EXB)

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

4. EXHIBIT D (EADR, EXD)

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

Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Department Administration				
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Nancy Kosin				
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	Program or Service (Budget Entity Codes)			
Action	70010200	70010400		

5. EXHIBIT D-1 (ED1R, EXD1)				
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y			
AUDITS:				
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y		
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y	Y		
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y	Y		
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				
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)				
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y		
TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)				
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 14 through 27 of the LBR Instructions.)	Y	Y		

Fiscal Year 2025-26 LBR Technical Review Checklist

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

7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 64 through 69 of the LBR Instructions.)	Y	Y		
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR	N/A	Y		
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	Y		
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.7 of the LBR Instructions.)	N/A	N/A		
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A		
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 94 of the LBR	Y	Y		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A		
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-040?	N/A	N/A		
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be	N/A	N/A		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A		
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y		
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A	N/A		

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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	Y	Y			
7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A	Y			
7.18 Are the issues relating to <i>Major Audit Findings and Recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A			
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y			

AUDIT:

7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A			
7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A			
7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y			
7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A			
7.24 Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. (NAAR, BSNR)	Y	Y			
7.25 Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 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.	N/A	N/A			

TIP Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
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Fiscal Year 2025-26 LBR Technical Review Checklist

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

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Action	Program or Service (Budget Entity Codes)				
	70010200	70010400			

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 Level)

8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Submitted at Department Level
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department Level
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department Level
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department Level
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Submitted at Department Level
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Submitted at Department Level
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Submitted at Department Level
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable	Submitted at Department Level

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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Action	Program or Service (Budget Entity Codes)				
	70010200	70010400			

8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001070)?	Submitted at Department Level
8.10	Are the statutory authority references correct?	Submitted at Department Level
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Submitted at Department Level
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Submitted at Department Level
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Submitted at Department Level
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Submitted at Department Level
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Submitted at Department Level
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-	Submitted at Department Level
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Submitted at Department Level
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being	Submitted at Department Level
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements	Submitted at Department Level
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Submitted at Department Level
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Submitted at Department Level
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Submitted at Department Level
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Submitted at Department Level
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Submitted at Department Level
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Submitted at Department Level

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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Action	Program or Service (Budget Entity Codes)			
	70010200	70010400		

8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Submitted at Department Level
8.27	Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?	Submitted at Department Level
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Submitted at Department Level
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level
AUDITS:		
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department Level
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Submitted at Department Level
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Submitted at Department Level
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Submitted at Department Level
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department Level
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!	
TIP	Determine if the agency is scheduled for trust fund review. (See 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:

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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	Program or Service (Budget Entity Codes)				
Action	70010200	70010400			

<p>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.)</p>	N/A	N/A			
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Fiscal Year 2025-26 LBR Technical Review Checklist

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

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Action	Program or Service (Budget Entity Codes)			
	70010200	70010400		

10. SCHEDULE III (PSCR, SC3)				
10.1	Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)	N/A	N/A	
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 and 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts	N/A	N/A	
11. SCHEDULE IV (EADR, SC4)				
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	Y	
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.			
12. SCHEDULE VIIIA (EADR, SC8A)				
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Submitted at Department Level		
13. SCHEDULE VIIIB-1 (EADR, S8B1)				
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A	
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.			
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)				
14.1	Do the reductions comply with the instructions provided on pages 99 through 102 of the LBR Instructions regarding a 10% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Submitted at Department Level		
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.			
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.			
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.)	Submitted at Department Level		
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP (if submitting) and LBR match?	Submitted at Department Level		

Fiscal Year 2025-26 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70010200	70010400		

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)	Y	Y		
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	N/A	N/A		
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A	N/A		
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	N/A	N/A		
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y		
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 52 through 152 of the LBR Instructions), and are they accurate and complete?	Submitted at Department Level			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 and 129 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	Submitted at Department Level			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Submitted at Department Level			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			
	70010200	70010400		

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)				
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO Submitted Separately		
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	FCO Submitted Separately		
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO Submitted Separately		
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO Submitted Separately		
18.5	Are the appropriate counties identified in the narrative?	FCO Submitted Separately		
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	FCO Submitted Separately		
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.			
19. FLORIDA FISCAL PORTAL				
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			
	70050100			

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)	Y			
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y			
AUDITS:					
1.3	Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y			
1.4	Have Column A03 trust fund files been copied to Column A12? Run Schedule I (SC1R, SC1 or SC1R, SC1D adding column A12) to verify.	Y			
1.5	Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	Y			
TIP	The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.				
2. EXHIBIT A (EADR, EXA)					
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR	Y			
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y			
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?	Y			

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			
	70050100			

3. EXHIBIT B (EXBR, EXB)

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

4. EXHIBIT D (EADR, EXD)

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

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			
	70050100			

5. EXHIBIT D-1 (ED1R, EXD1)				
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y			
AUDITS:				
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y			
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y			
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y			
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				
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)				
6.1 Are issues appropriately aligned with appropriation categories?	Y			
TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)				
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 14 through 27 of the LBR Instructions.)	Y			

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Action	Program or Service (Budget Entity Codes)				
70050100					

7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 64 through 69 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.7 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 94 of the LBR	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-040?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A				

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Action	Program or Service (Budget Entity Codes)				
Action	70050100				

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	Y				
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A				
7.18	Are the issues relating to <i>Major Audit Findings and Recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y				

AUDIT:

7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A				
7.24	Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. (NAAR, BSNR)	Y				
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 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 (26AXXX) have already been added to A03.	N/A				

TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
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Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			
	70050100			

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?	Submitted at Department Level
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department Level
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department Level
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department Level
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Submitted at Department Level
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Submitted at Department Level
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Submitted at Department Level
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable	Submitted at Department Level

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Action	Program or Service (Budget Entity Codes)
	70050100

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

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Action	Program or Service (Budget Entity Codes)			
	70050100			

8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Submitted at Department Level
8.27	Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?	Submitted at Department Level
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Submitted at Department Level
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level
AUDITS:		
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department Level
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Submitted at Department Level
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Submitted at Department Level
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Submitted at Department Level
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department Level
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!	
TIP	Determine if the agency is scheduled for trust fund review. (See 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:		

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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	Program or Service (Budget Entity Codes)			
Action	70050100			

<p>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.)</p>	N/A				
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Fiscal Year 2025-26 LBR Technical Review Checklist

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Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Nancy Kosin				
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Action	Program or Service (Budget Entity Codes)	70050100		

10. SCHEDULE III (PSCR, SC3)				
10.1	Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)	N/A		
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 and 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts	Y		
11. SCHEDULE IV (EADR, SC4)				
11.1	Are the correct Information Technology (IT) issue codes used?	N/A		
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.			
12. SCHEDULE VIIIA (EADR, SC8A)				
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.		Submitted at Department Level	
13. SCHEDULE VIIIB-1 (EADR, S8B1)				
13.1	NOT REQUIRED FOR THIS YEAR	N/A		
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.			
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)				
14.1	Do the reductions comply with the instructions provided on pages 99 through 102 of the LBR Instructions regarding a 10% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)		Submitted at Department Level	
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.			
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.			
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.)		Submitted at Department Level	
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP (if submitting) and LBR match?		Submitted at Department Level	

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Action	Program or Service (Budget Entity Codes)			
	70050100			

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)	Y			
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	N/A			
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A			
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 52 through 152 of the LBR Instructions), and are they accurate and complete?	Submitted at Department Level			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 and 129 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	Submitted at Department Level			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Submitted at Department Level			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			
	70050100			

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)				
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO Submitted Separately		
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	FCO Submitted Separately		
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO Submitted Separately		
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO Submitted Separately		
18.5	Are the appropriate counties identified in the narrative?	FCO Submitted Separately		
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	FCO Submitted Separately		
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.			
19. FLORIDA FISCAL PORTAL				
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y		

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)				
	70031900	70032000	70032200		

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

AUDITS:

1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y		
1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I (SC1R, SC1 or SC1R, SC1D adding column A12) to verify.	Y	Y	Y		
1.5 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	Y	Y	Y		
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	Y	Y	Y		
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y		
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?	Y	Y	Y		

Fiscal Year 2025-26 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70031900	70032000	70032200		

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		
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity and program component at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation	Y	Y	Y		
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3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y		
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TIP Generally look for and be able to fully explain significant differences between A02 and A03.					
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TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
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TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
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4. EXHIBIT D (EADR, EXD)

4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR	Y	Y	Y		
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4.2 Is the program component code and title used correct?	Y	Y	Y		
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TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
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Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)				
	70031900	70032000	70032200		

5. EXHIBIT D-1 (ED1R, EXD1)

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

5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y		
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5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y	Y	Y		
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5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y	Y	Y		
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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.					
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TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
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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					
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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.					
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6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)

6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y		
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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.					
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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.)	Y	Y	Y		
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Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)				
	70031900	70032000	70032200		

7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 64 through 69 of the LBR Instructions.)	Y	Y	Y		
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR	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?	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.)	NA	NA	NA		
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y		
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 94 of the LBR	Y	NA	NA		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y		
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-040?	NA	NA	NA		
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be	NA	NA	NA		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	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		
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y		
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	NA	NA	NA		

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)				
	70031900	70032000	70032200		

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

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Action	Program or Service (Budget Entity Codes)			
	70031900	70032000	70032200	

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 Level)

8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Submitted at Department Level
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department Level
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department Level
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department Level
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Submitted at Department Level
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Submitted at Department Level
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Submitted at Department Level
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable	Submitted at Department Level

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Action	Program or Service (Budget Entity Codes)				
	70031900	70032000	70032200		

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, 001870)?	Submitted at Department Level
8.10	Are the statutory authority references correct?	Submitted at Department Level
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Submitted at Department Level
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Submitted at Department Level
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Submitted at Department Level
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Submitted at Department Level
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Submitted at Department Level
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-	Submitted at Department Level
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Submitted at Department Level
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Submitted at Department Level
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Submitted at Department Level
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Submitted at Department Level
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Submitted at Department Level
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Submitted at Department Level
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Submitted at Department Level
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Submitted at Department Level
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Submitted at Department Level

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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Action	Program or Service (Budget Entity Codes)			
	70031900	70032000	70032200	

8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Submitted at Department Level
8.27	Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?	Submitted at Department Level
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Submitted at Department Level
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level
AUDITS:		
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department Level
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Submitted at Department Level
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Submitted at Department Level
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Submitted at Department Level
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department Level
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!	
TIP	Determine if the agency is scheduled for trust fund review. (See 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:

Fiscal Year 2025-26 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70031900	70032000	70032200		

<p>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.)</p>	Y	Y	Y		
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Fiscal Year 2025-26 LBR Technical Review Checklist

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 Agency Budget Officer/OPB Analyst Name: Lavitta Stanford/Nancy Kosin

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	Program or Service (Budget Entity Codes)			
Action	70031900	70032000	70032200	

10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)	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	Y	NA	NA	
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	NA	NA	NA	
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.				
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Submitted at Department Level			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	NOT REQUIRED FOR THIS YEAR	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.)	Submitted at Department Level			
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.				
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.				
15. SCHEDULE VIIIC (EADR, S8C) (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.)	Submitted at Department Level			

Fiscal Year 2025-26 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70031900	70032000	70032200		

16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP (if submitting) and LBR match?	Submitted at Department Level
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Fiscal Year 2025-26 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70031900	70032000	70032200		

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

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

17.1 Do exhibits and schedules comply with LBR Instructions (pages 52 through 152 of the LBR Instructions), and are they accurate and complete?	Submitted at Department Level				
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level				
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level				
17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 and 129 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US ?	Submitted at Department Level				
17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Submitted at Department Level				

AUDITS - GENERAL INFORMATION

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

Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Corrections/Security and Institutional Operations
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Action	Program or Service (Budget Entity Codes)			
	70031900	70032000	70032200	

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)		
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO Submitted Separately
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	FCO Submitted Separately
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO Submitted Separately
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO Submitted Separately
18.5	Are the appropriate counties identified in the narrative?	FCO Submitted Separately
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	FCO Submitted Separately
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.	
19. FLORIDA FISCAL PORTAL		
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y

Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Corrections / Health Services				
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford / Nancy Kosin				
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Action	Program or Service (Budget Entity Codes)			
	70251000			

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)	Y			
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y			
AUDITS:					
1.3	Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y			
1.4	Have Column A03 trust fund files been copied to Column A12? Run Schedule I (SC1R, SC1 or SC1R, SC1D adding column A12) to verify.	Y			
1.5	Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	Y			
TIP	The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.				
2. EXHIBIT A (EADR, EXA)					
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR	Y			
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y			
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?	Y			

Fiscal Year 2025-26 LBR Technical Review Checklist

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

3. EXHIBIT B (EXBR, EXB)				
3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A			
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	Y			
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y			
TIP Generally look for and be able to fully explain significant differences between A02 and A03.				
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.				
4. EXHIBIT D (EADR, EXD)				
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR	Y			
4.2 Is the program component code and title used correct?	Y			
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				

Fiscal Year 2025-26 LBR Technical Review Checklist

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

5. EXHIBIT D-1 (ED1R, EXD1)

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
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					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.					

6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)

6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					

7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)

7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 14 through 27 of the LBR Instructions.)	Y				
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Fiscal Year 2025-26 LBR Technical Review Checklist

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

7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 64 through 69 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.7 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 94 of the LBR	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-040?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A				

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Action	Program or Service (Budget Entity Codes)				
Action	70251000				

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	N/A				
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A				
7.18	Are the issues relating to <i>Major Audit Findings and Recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y				

AUDIT:

7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A				
7.24	Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. (NAAR, BSNR)	Y				
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 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 (26AXXX) have already been added to A03.	N/A				

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

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			
	70251000			

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?	Submitted at Department Level
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Submitted at Department Level
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Submitted at Department Level
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Submitted at Department Level
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Submitted at Department Level
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Submitted at Department Level
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Submitted at Department Level
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable	Submitted at Department Level

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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

Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Corrections / Health Services
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford / Nancy Kosin

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	Program or Service (Budget Entity Codes)
Action	70251000

8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Submitted at Department Level
8.27	Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?	Submitted at Department Level
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Submitted at Department Level
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level
AUDITS:		
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Submitted at Department Level
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Submitted at Department Level
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Submitted at Department Level
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Submitted at Department Level
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Submitted at Department Level
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!	
TIP	Determine if the agency is scheduled for trust fund review. (See 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:		

Fiscal Year 2025-26 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)				
Action	70251000				

9.1	<p>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.)</p>	N/A			
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Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Corrections / Health Services				
Agency Budget Officer/OPB Analyst Name: Lavitta Stanford / Nancy Kosin				
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Action	Program or Service (Budget Entity Codes)			
	70251000			

10. SCHEDULE III (PSCR, SC3)				
10.1	Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)	N/A		
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 and 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts	N/A		
11. SCHEDULE IV (EADR, SC4)				
11.1	Are the correct Information Technology (IT) issue codes used?	N/A		
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.			
12. SCHEDULE VIIIA (EADR, SC8A)				
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.		Submitted at Department Level	
13. SCHEDULE VIIIB-1 (EADR, S8B1)				
13.1	NOT REQUIRED FOR THIS YEAR			
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.			
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)				
14.1	Do the reductions comply with the instructions provided on pages 99 through 102 of the LBR Instructions regarding a 10% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)		Submitted at Department Level	
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.			
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.			
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.)		Submitted at Department Level	
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP (if submitting) and LBR match?		Submitted at Department Level	

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			
	70251000			

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)	Y			
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	N/A			
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A			
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A			
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?	Submitted at Department Level			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 and 129 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	Submitted at Department Level			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Submitted at Department Level			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				

Fiscal Year 2025-26 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)			
Action	70251000			

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)				
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO Submitted Separately		
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	FCO Submitted Separately		
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO Submitted Separately		
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO Submitted Separately		
18.5	Are the appropriate counties identified in the narrative?	FCO Submitted Separately		
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	FCO Submitted Separately		
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.			
19. FLORIDA FISCAL PORTAL				
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y		

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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

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

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y

Fiscal Year 2025-26 LBR Technical Review Checklist

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

3. EXHIBIT B (EXBR, EXB)					
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	N/A	N/A
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	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.				
4. EXHIBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				

Fiscal Year 2025-26 LBR Technical Review Checklist

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

5. EXHIBIT D-1 (ED1R, EXD1)

5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y
AUDITS:				
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y	Y	Y	Y
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				
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.				

6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)

6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y
TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				

7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)

7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 14 through 27 of the LBR Instructions.)	Y	Y	Y	Y
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Fiscal Year 2025-26 LBR Technical Review Checklist

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

7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 64 through 69 of the LBR Instructions.)	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR	N/A	N/A	N/A	N/A
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A	N/A	N/A
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.7 of the LBR Instructions.)	N/A	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A	N/A	N/A
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 94 of the LBR	Y	Y	Y	N/A
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-040?	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A	N/A	N/A	N/A

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

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	N/A	N/A	N/A	N/A
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A	N/A	N/A	N/A
7.18	Are the issues relating to <i>Major Audit Findings and Recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y

AUDIT:

7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A	N/A	N/A
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y	Y
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A	N/A
7.24	Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. (NAAR, BSNR)	Y	Y	Y	Y
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.	N/A	N/A	N/A	N/A

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

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	70450100	70450200	70450300	70450400

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?				Submitted at Department Level
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?				Submitted at Department Level
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?				Submitted at Department Level
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?				Submitted at Department Level
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?				Submitted at Department Level
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?				Submitted at Department Level
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?				Submitted at Department Level
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable				Submitted at Department Level

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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

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

Fiscal Year 2025-26 LBR Technical Review Checklist

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

8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Submitted at Department Level
8.27	Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?	Submitted at Department Level
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Submitted at Department Level
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Submitted at Department Level

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

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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

<p>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.)</p>	N/A	N/A	N/A	N/A
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Fiscal Year 2025-26 LBR Technical Review Checklist

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

10. SCHEDULE III (PSCR, SC3)				
10.1	Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)	N/A	N/A	N/A
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	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)				
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A	N/A
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.			
12. SCHEDULE VIIIA (EADR, SC8A)				
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.			Submitted at Department Level
13. SCHEDULE VIIIB-1 (EADR, S8B1)				
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.			
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)				
14.1	Do the reductions comply with the instructions provided on pages 99 through 102 of the LBR Instructions regarding a 10% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)			Submitted at Department Level
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.			
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.			
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.)			Submitted at Department Level
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP (if submitting) and LBR match?			Submitted at Department Level

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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)	Y	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	N/A	N/A	N/A	N/A
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A	N/A	N/A	N/A
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y	Y
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 52 through 152 of the LBR Instructions), and are they accurate and complete?	Submitted at Department Level			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Submitted at Department Level			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Submitted at Department Level			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 and 129 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	Submitted at Department Level			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Submitted at Department Level			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				

Fiscal Year 2025-26 LBR Technical Review Checklist

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

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)				
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	FCO Submitted Separately		
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	FCO Submitted Separately		
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	FCO Submitted Separately		
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	FCO Submitted Separately		
18.5	Are the appropriate counties identified in the narrative?	FCO Submitted Separately		
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	FCO Submitted Separately		
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.			
19. FLORIDA FISCAL PORTAL				
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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)				
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)				
AUDITS:					
1.3	Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)				
1.4	Have Column A03 trust fund files been copied to Column A12? Run Schedule I (SC1R, SC1 or SC1R, SC1D adding column A12) to verify.				
1.5	Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)				
TIP	The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.				
2. EXHIBIT A (EADR, EXA)					
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?				

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action				

3. EXHIBIT B (EXBR, EXB)				
3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.				
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				
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")				
TIP Generally look for and be able to fully explain significant differences between A02 and A03.				
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.				
4. EXHIBIT D (EADR, EXD)				
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR				
4.2 Is the program component code and title used correct?				
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)			

5. EXHIBIT D-1 (ED1R, EXD1)

5.1	Are all object of expenditures positive amounts? (This is a manual check.)				
AUDITS:					
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)				
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				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.				

6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)

6.1	Are issues appropriately aligned with appropriation categories?				
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				

7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)

7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 14 through 27 of the LBR Instructions.)				
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Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)				

7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 64 through 69 of the LBR Instructions.)					
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR					
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?					
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.7 of the LBR Instructions.)					
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.					
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 94 of the LBR					
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?					
7.9 Does the issue narrative reference the specific county(ies) where applicable?					
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-040?					
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					
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?					
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?					
7.14 Do the amounts reflect appropriate FSI assignments?					
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.					

Fiscal Year 2025-26 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)				

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				
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXC) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?				
7.18	Are the issues relating to <i>Major Audit Findings and Recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?				

AUDIT:

7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)			Y	
7.24	Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. (NAAR, BSNR)				
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.				

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.

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Action	Program or Service (Budget Entity Codes)					
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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?	Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable	N/A

Fiscal Year 2025-26 LBR Technical Review Checklist

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

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, 001070)?	Y
8.10	Are the statutory authority references correct?	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements	Y
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y

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Action	Program or Service (Budget Entity Codes)				

8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y
8.27	Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?	N/A
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y

AUDITS:

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

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	Program or Service (Budget Entity Codes)				
Action					

<p>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.)</p>	
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Fiscal Year 2025-26 LBR Technical Review Checklist

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Action				

10. SCHEDULE III (PSCR, SC3)				
10.1	Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 and 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts			
11. SCHEDULE IV (EADR, SC4)				
11.1	Are the correct Information Technology (IT) issue codes used?			
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.			
12. SCHEDULE VIIIA (EADR, SC8A)				
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.			Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)				
13.1	NOT REQUIRED FOR THIS YEAR			
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.			
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)				
14.1	Do the reductions comply with the instructions provided on pages 99 through 102 of the LBR Instructions regarding a 10% reduction in General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)			N/A
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.)			Y
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP (if submitting) and LBR match?			Y

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Action				

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)
	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")
	Y
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")
	Y
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)
	Y
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")
	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)	
17.1	Do exhibits and schedules comply with LBR Instructions (pages 52 through 152 of the LBR Instructions), and are they accurate and complete?
	Y
17.2	Does manual exhibits tie to LAS/PBS where applicable?
	Y
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?
	Y
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 128 and 129 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?
	Y
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?
	Y
AUDITS - GENERAL INFORMATION	
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.

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	Program or Service (Budget Entity Codes)			
Action				

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)	
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? Y
18.5	Are the appropriate counties identified in the narrative? Y
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? Y
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.
19. FLORIDA FISCAL PORTAL	
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? Y