



Florida Department of  
Law Enforcement

Gerald M. Bailey  
*Commissioner*

**Office of Executive Director**  
Post Office Box 1489  
Tallahassee, Florida 32302-1489  
(850) 410-7001  
[www.fdle.state.fl.us](http://www.fdle.state.fl.us)

Charlie Crist, *Governor*  
Bill McCollum, *Attorney General*  
Alex Sink, *Chief Financial Officer*  
Charles H. Bronson, *Commissioner of Agriculture*

2009-2010 LEGISLATIVE BUDGET REQUEST

Florida Department of Law Enforcement

Tallahassee, Florida

October 15, 2008

Mr. Jerry L. McDaniel, Director  
Office of Policy and Budget  
Executive Office of the Governor  
1701 Capitol  
Tallahassee, Florida 32399-0001

Mr. Michael Hansen, Budget Director  
House Policy and Budget Council  
418 Capitol  
Tallahassee, Florida 32399-1100

Ms. Cynthia Kelly, Staff Director  
Senate Fiscal Policy and Calendar Committee  
201 Capitol  
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, *Florida Statutes*, the Legislative Budget Request for the Florida Department of Law Enforcement is submitted as prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our needs for the 2009-2010 Fiscal Year.

Sincerely,



Gerald M. Bailey  
Commissioner

GMB/slb

# **FLORIDA DEPARTMENT OF LAW ENFORCEMENT**



## **2009-10 DEPARTMENT LEVEL EXHIBITS AND SCHEDULES**

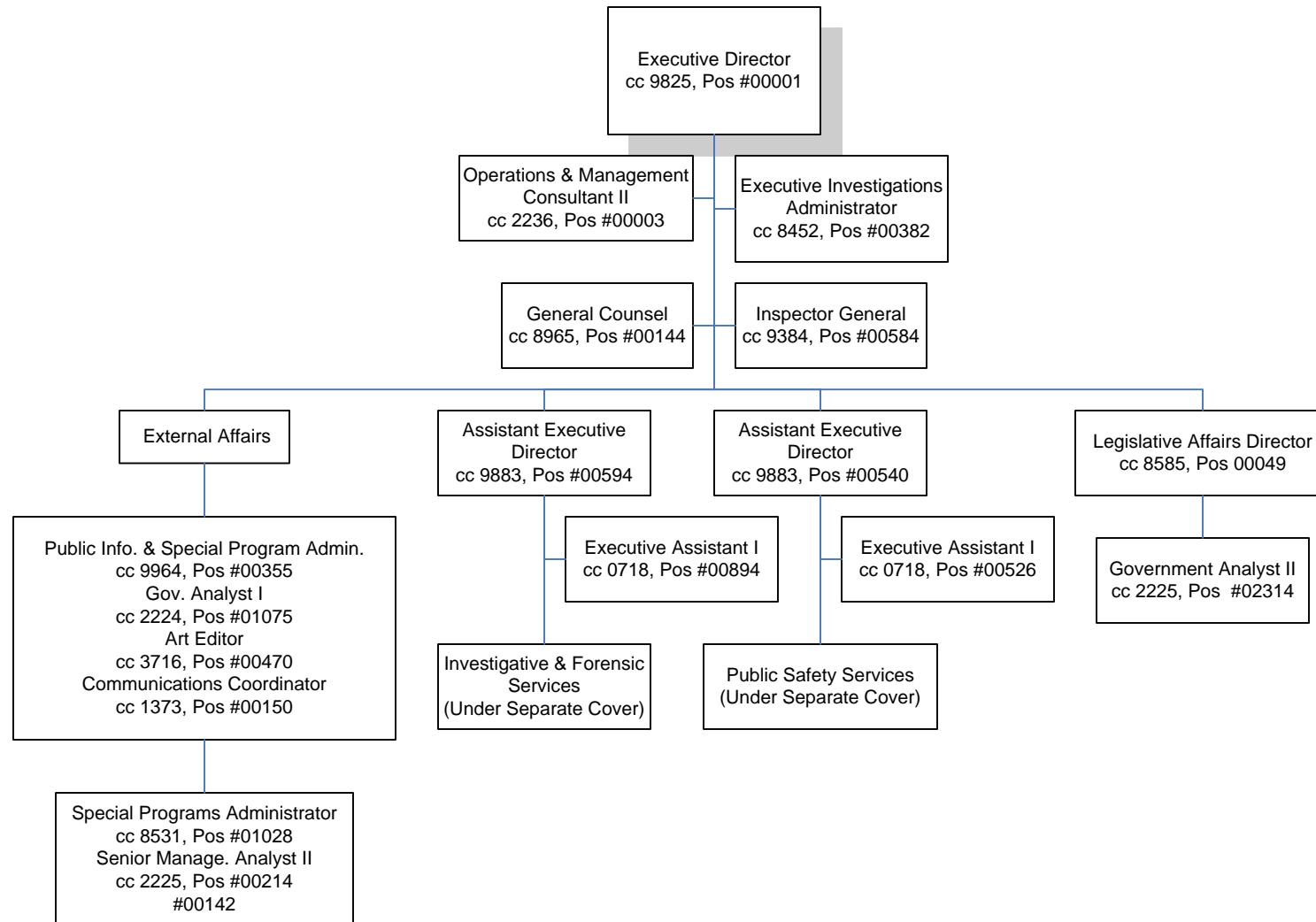
**October 2008**

## Schedule VII: Agency Litigation Inventory

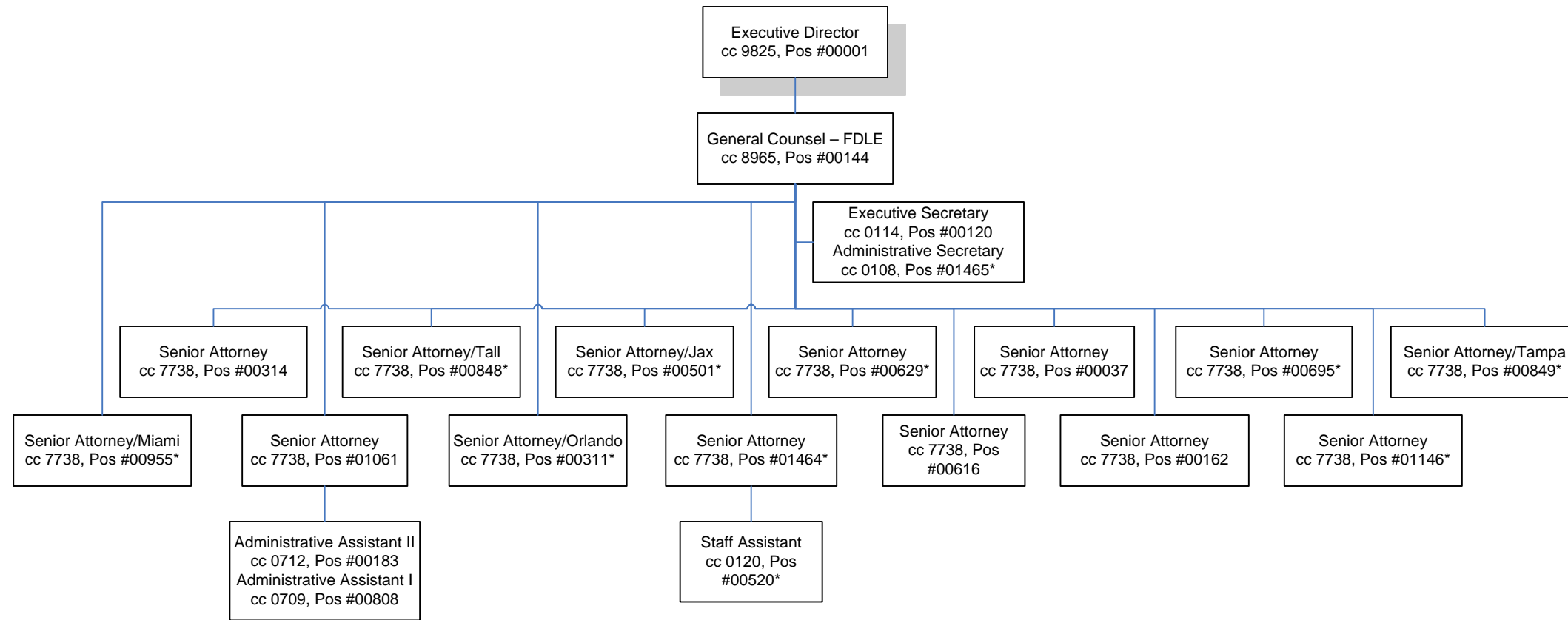
*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.*

<b>Agency:</b>	<b>Florida Department of Law Enforcement</b>		
<b>Contact Person:</b>	James Martin	<b>Phone Number:</b>	850-410-7679
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	<b>No Cases</b>		
<b>Court with Jurisdiction:</b>			
<b>Case Number:</b>			
<b>Summary of the Complaint:</b>			
<b>Amount of the Claim:</b>	\$		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>			
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>		Agency Counsel	
		Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>			

Florida Department of Law Enforcement  
Office of the Executive Director

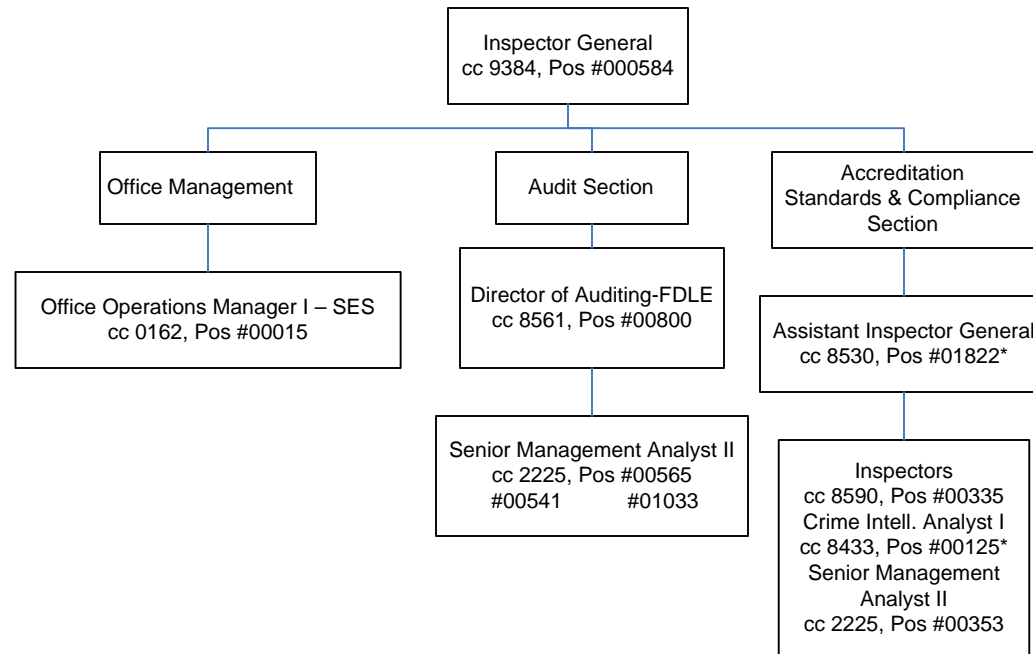


Florida Department of Law Enforcement  
Office of the General Counsel



\*Positions #00955, #00848, #00311,  
#00849 and #00501 assigned to ROC's  
\*Positions #01146, #01464, #00629,  
#00695, #01465, #00520 funded by CJP

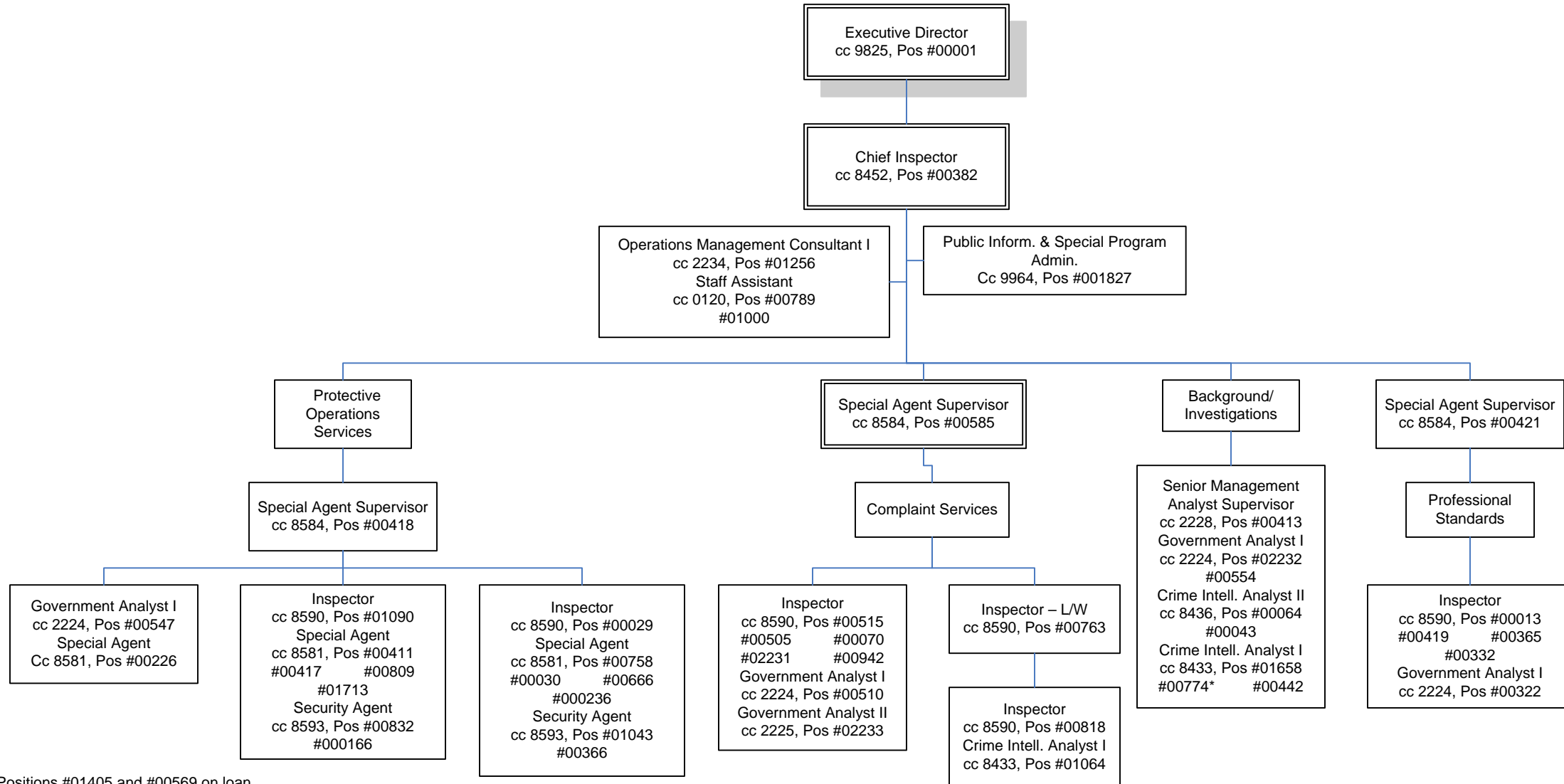
Florida Department of Law Enforcement  
Office of the Inspector General



\*Position #00125 on loan from EI

\*Position #001822 on loan from CJP (DARE)

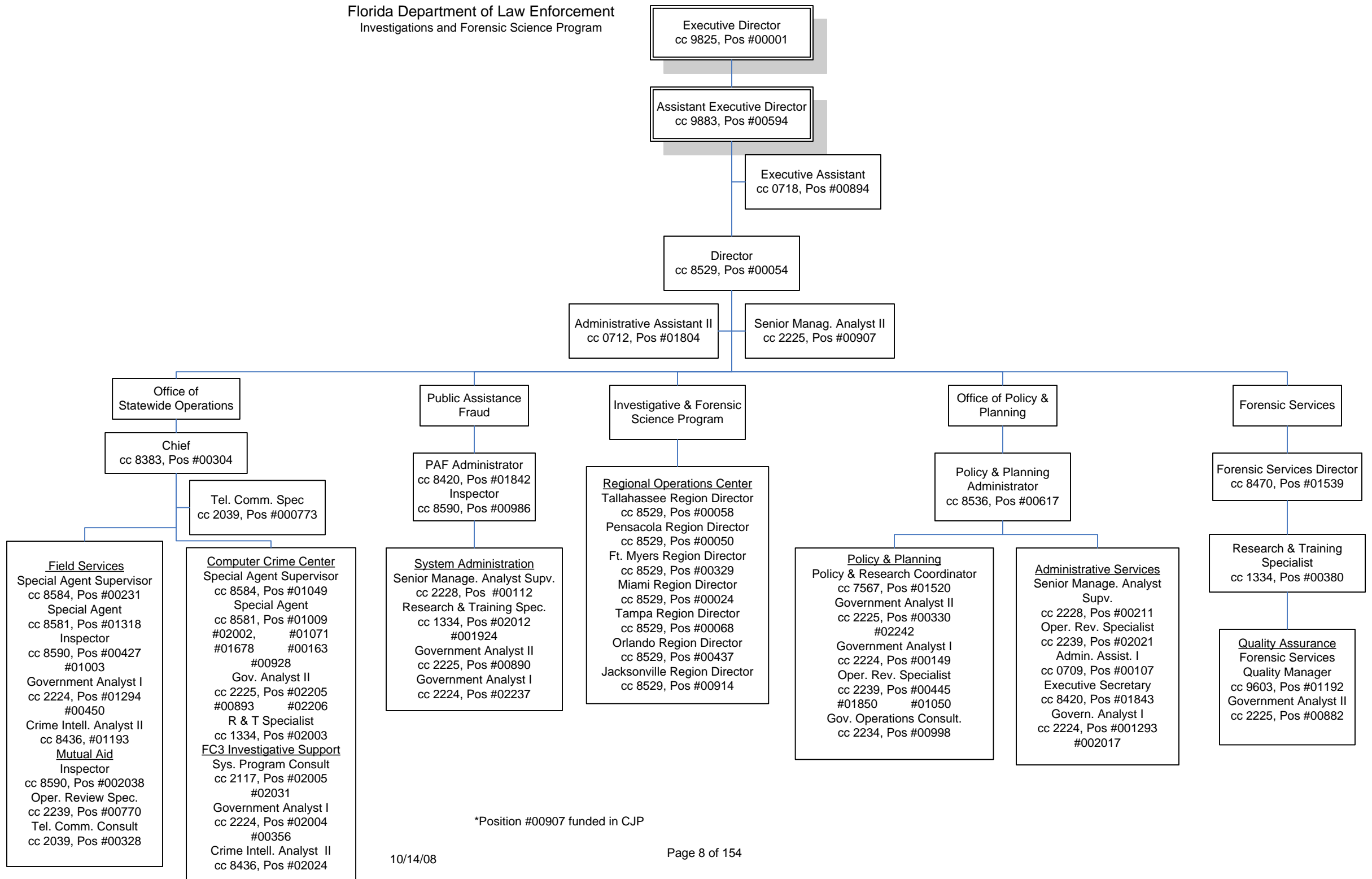
Florida Department of Law Enforcement  
 Office of Executive Director  
 Office of Executive Investigations



\*Positions #01405 and #00569 on loan to CP

\*Position #00774 on loan from CJIS

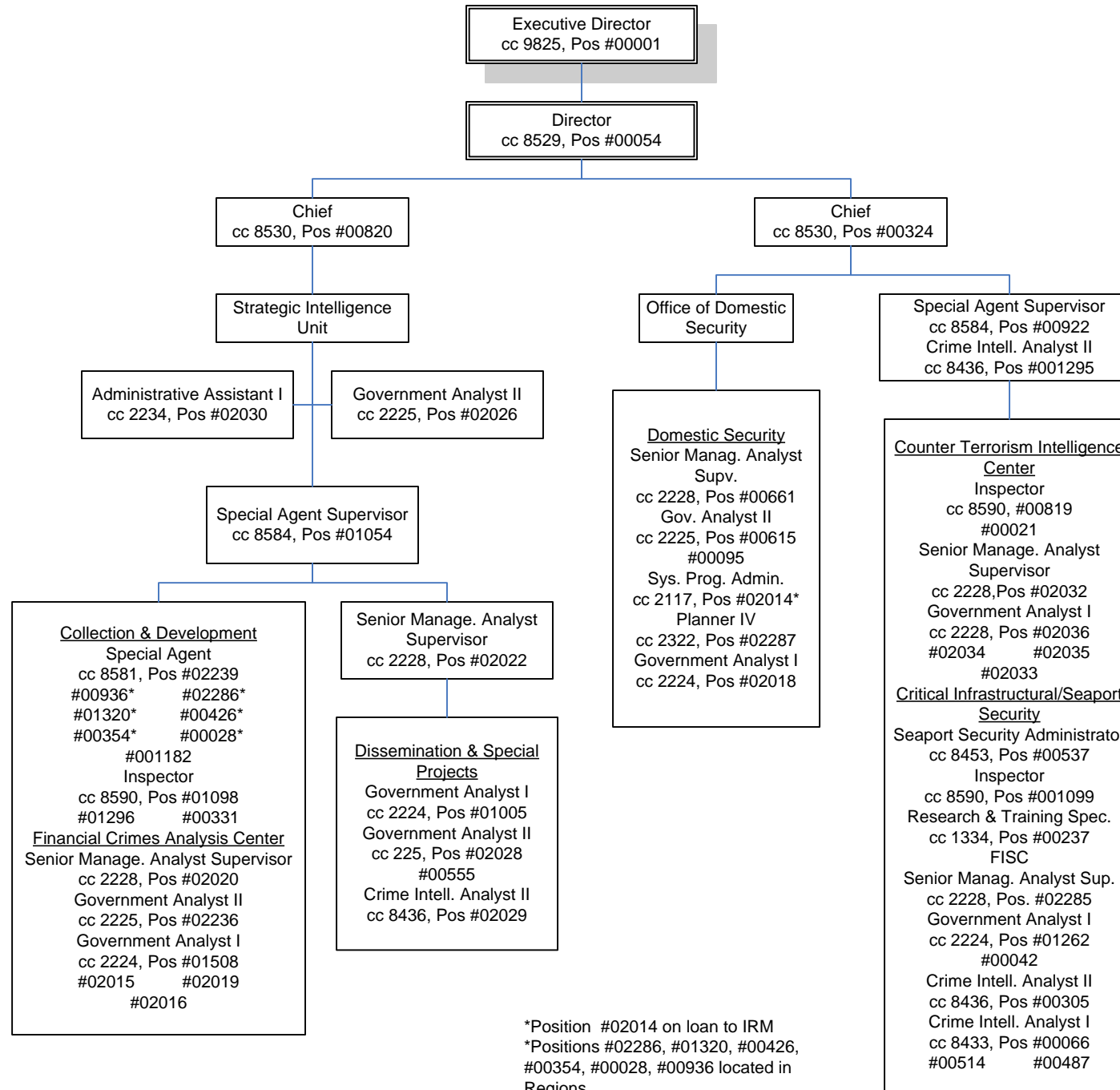
Florida Department of Law Enforcement  
Investigations and Forensic Science Program



\*Position #00907 funded in CJP

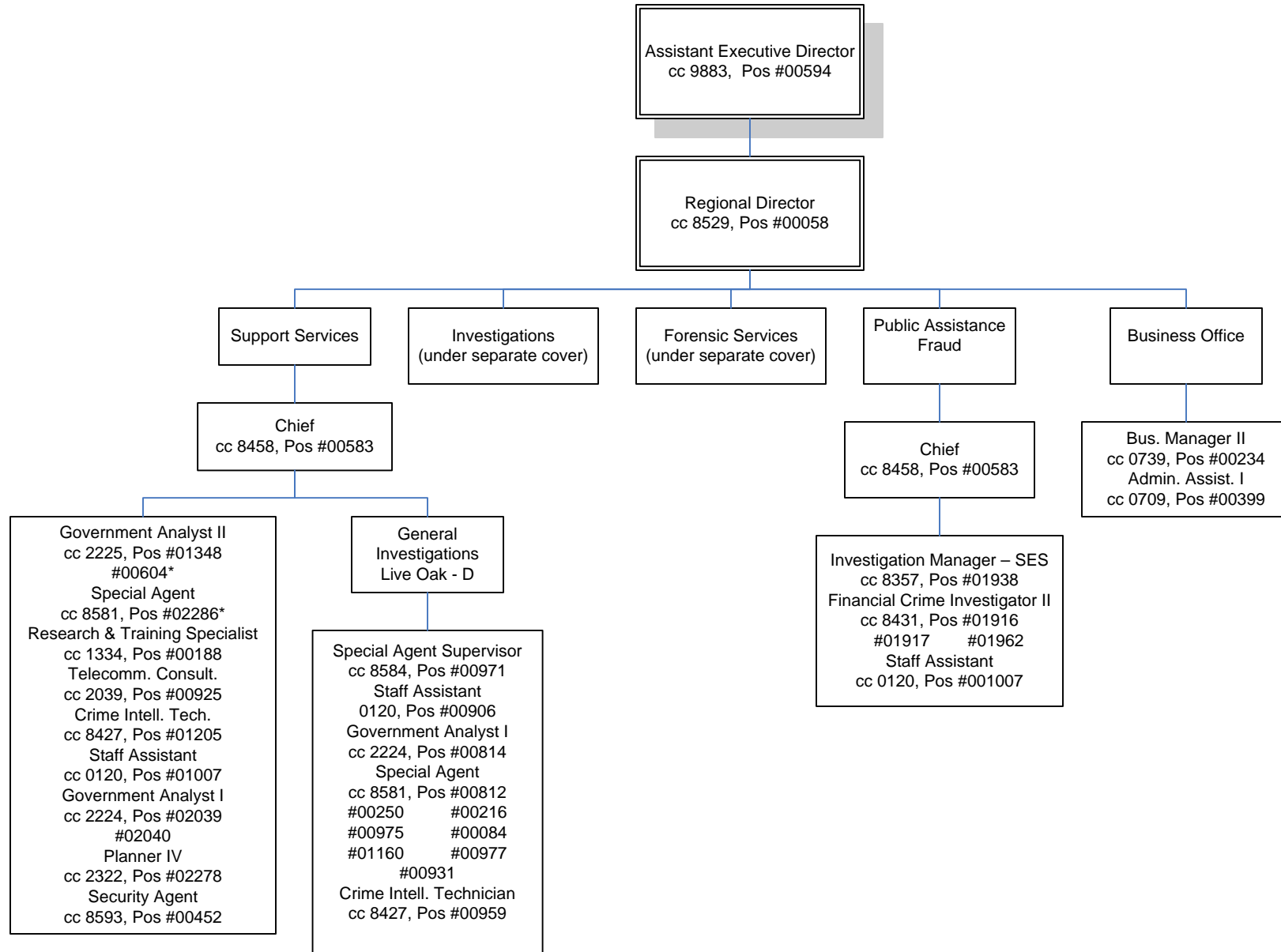


Florida Department of Law Enforcement  
Investigations and Forensic Science Program  
Office of Statewide Intelligence



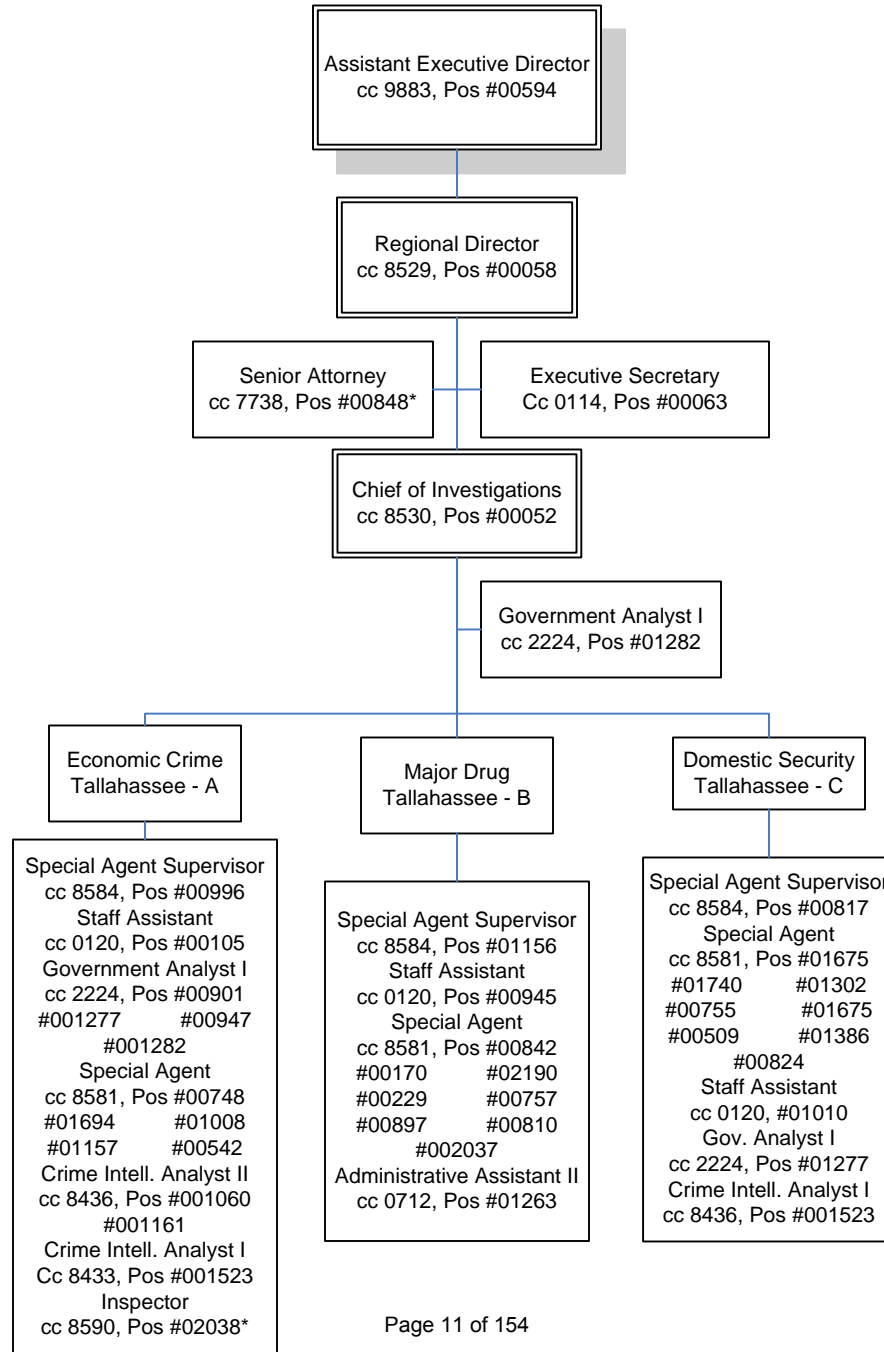
\*Position #02014 on loan to IRM  
\*Positions #02286, #01320, #00426, #00354, #00028, #00936 located in Regions.

Florida Department of Law Enforcement  
Tallahassee Regional Operations Center



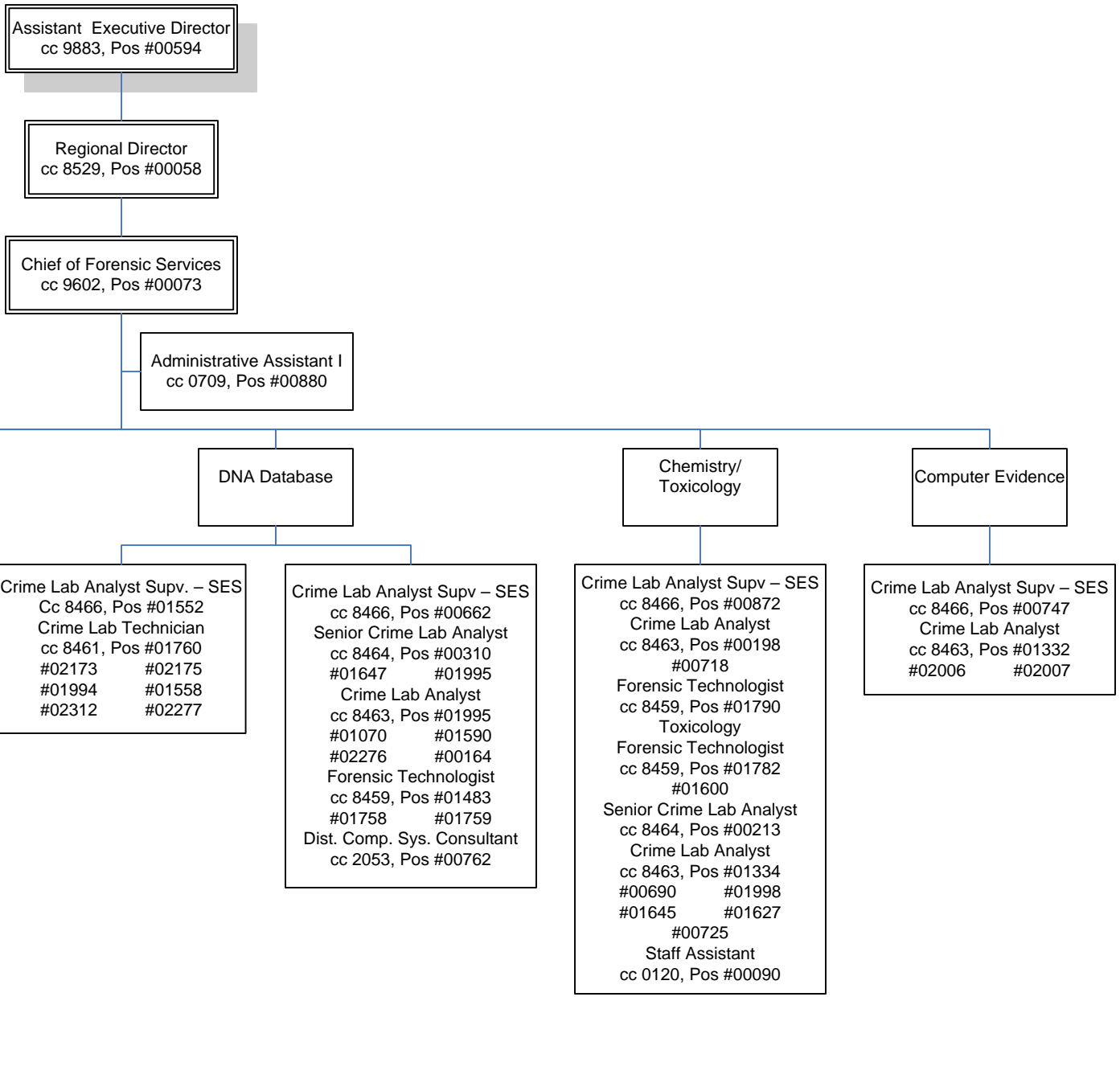
\*Position #00604 funded by CJP  
\*Position #02286 reports to K.  
Wilmer-OSI/Tall.

Florida Department of Law Enforcement  
Tallahassee Regional Operations Center  
Investigations

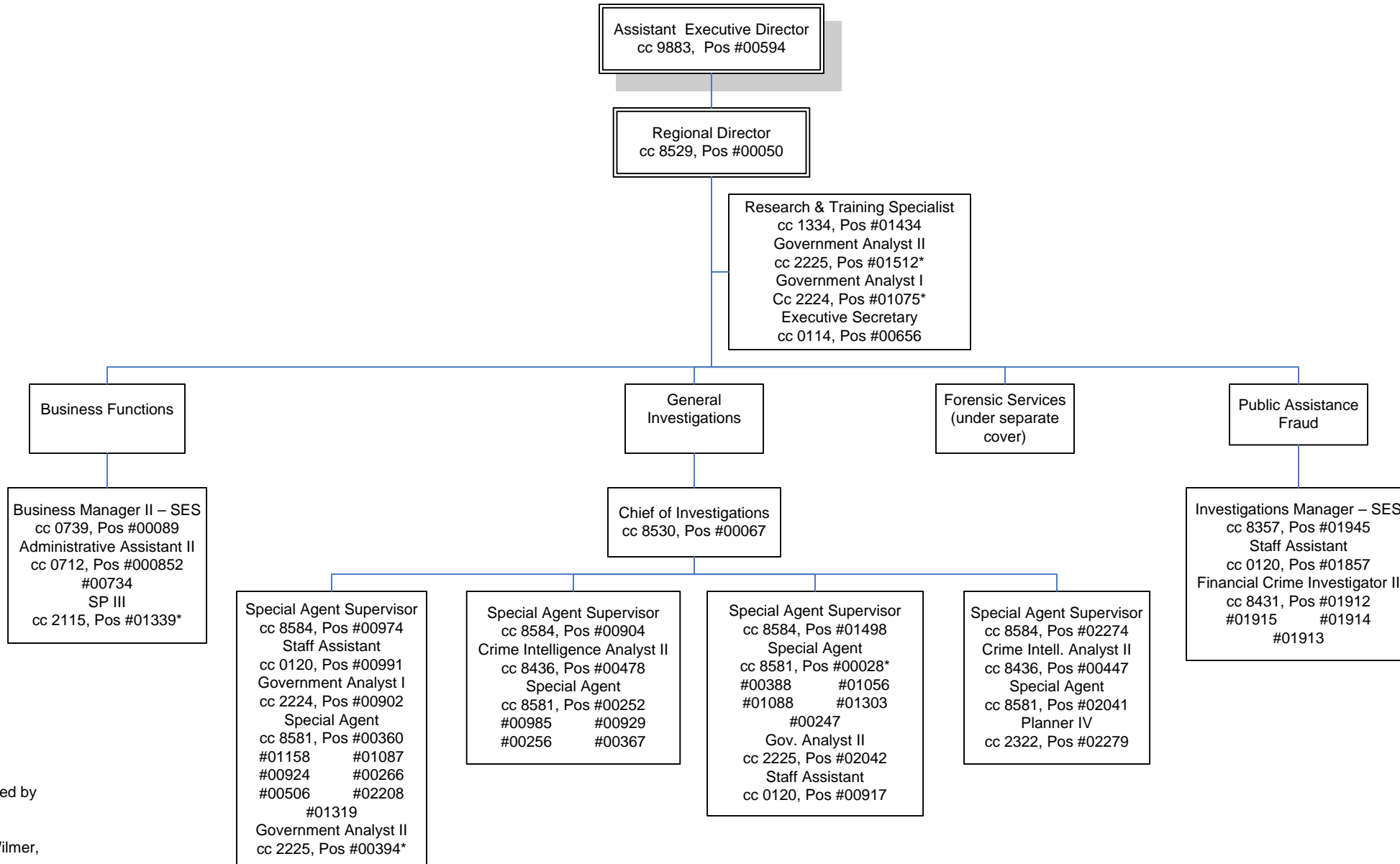


\*Position #00848 funded by OGC  
\*Position #02038 on loan to IFS

Florida Department of Law Enforcement  
Tallahassee Regional Operations Center  
Forensic Services



Florida Department of Law Enforcement  
Pensacola Regional Operations Center



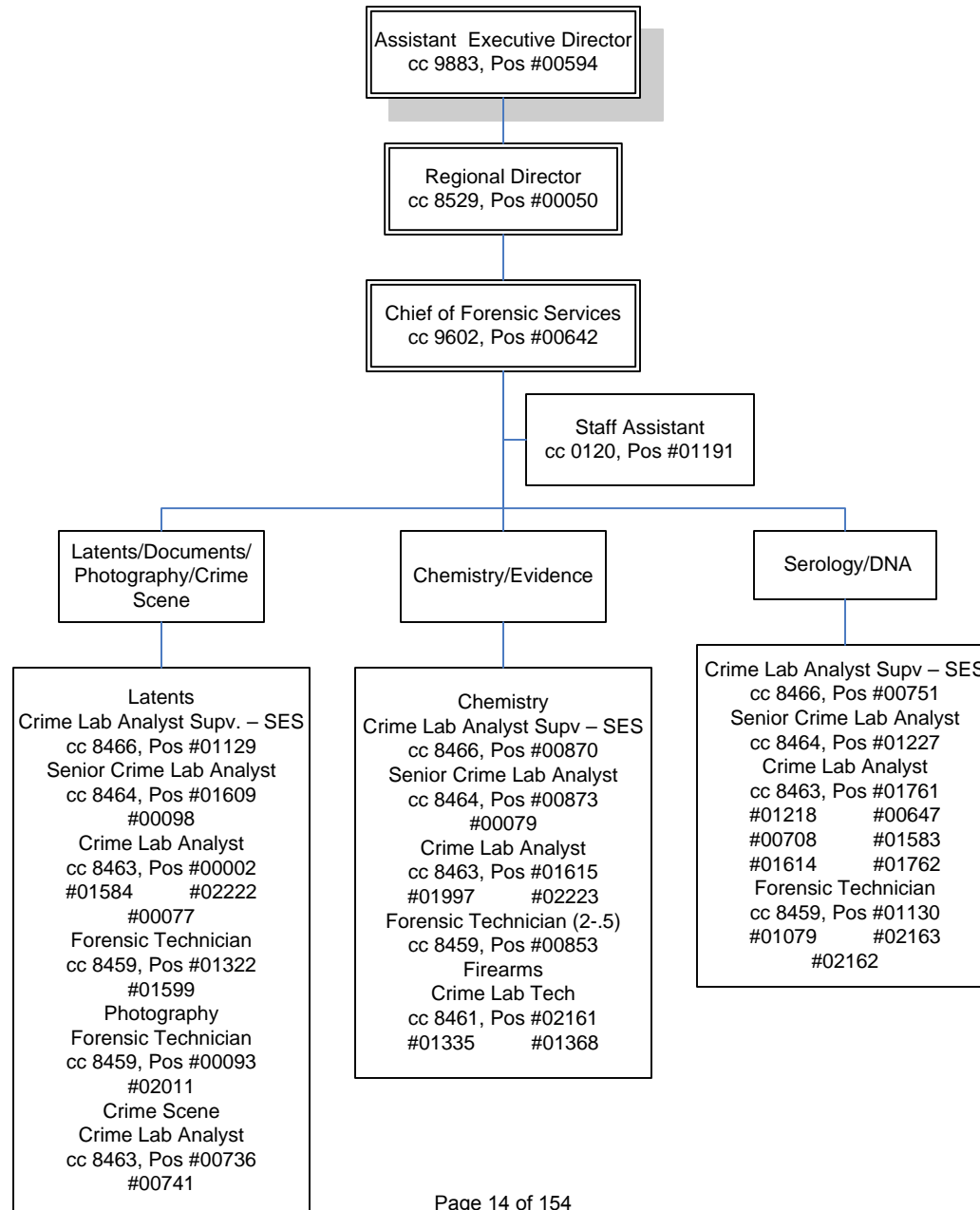
\*Position #00394 & #01512 funded by CJP

\*Position #01339 funded by IRM

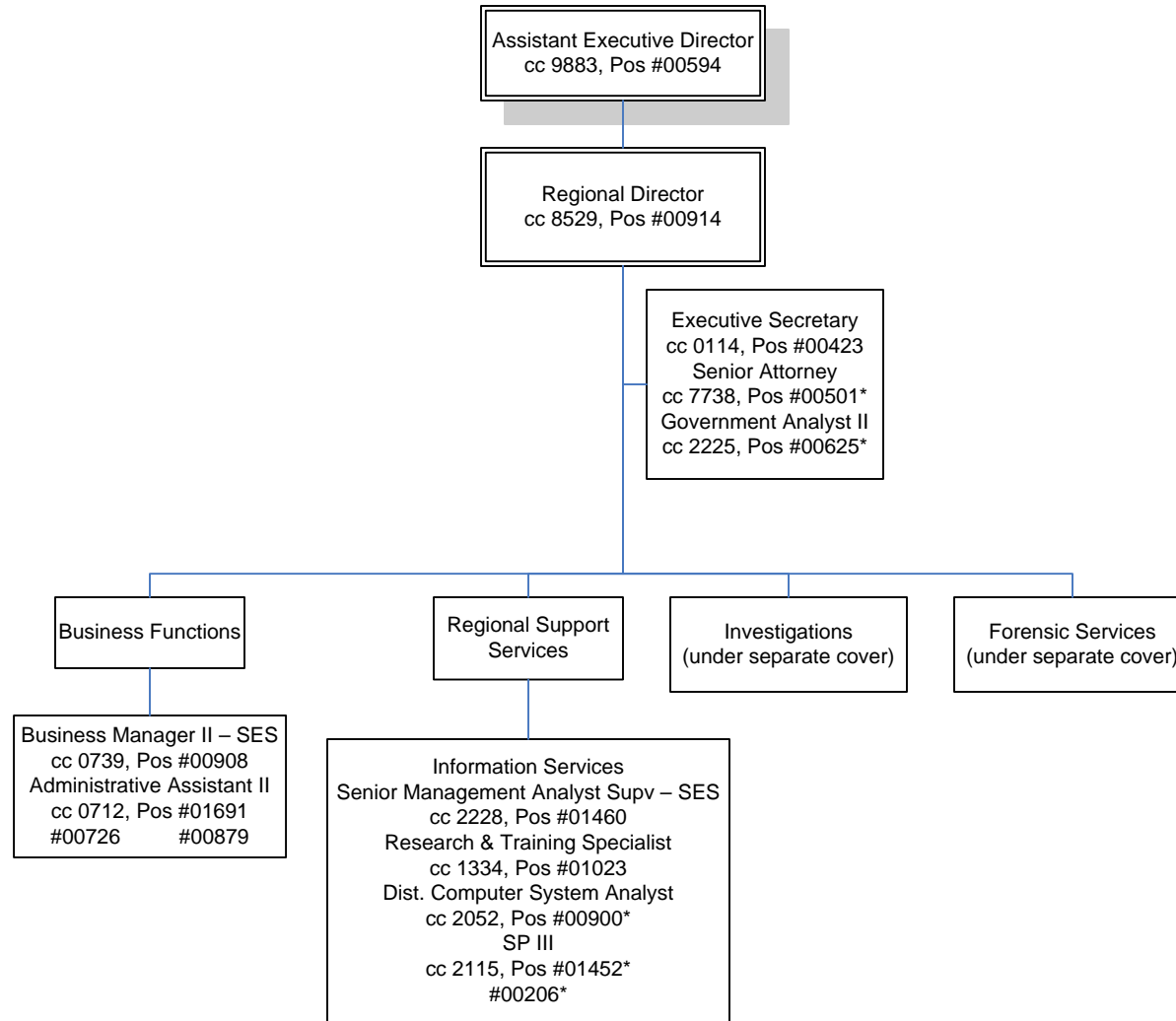
\*Position #00028 reports to K. Wilmer, OSI/Tall.

\*Position #01075 assigned to OED

Florida Department of Law Enforcement  
Pensacola Regional Operations Center  
Forensic Services

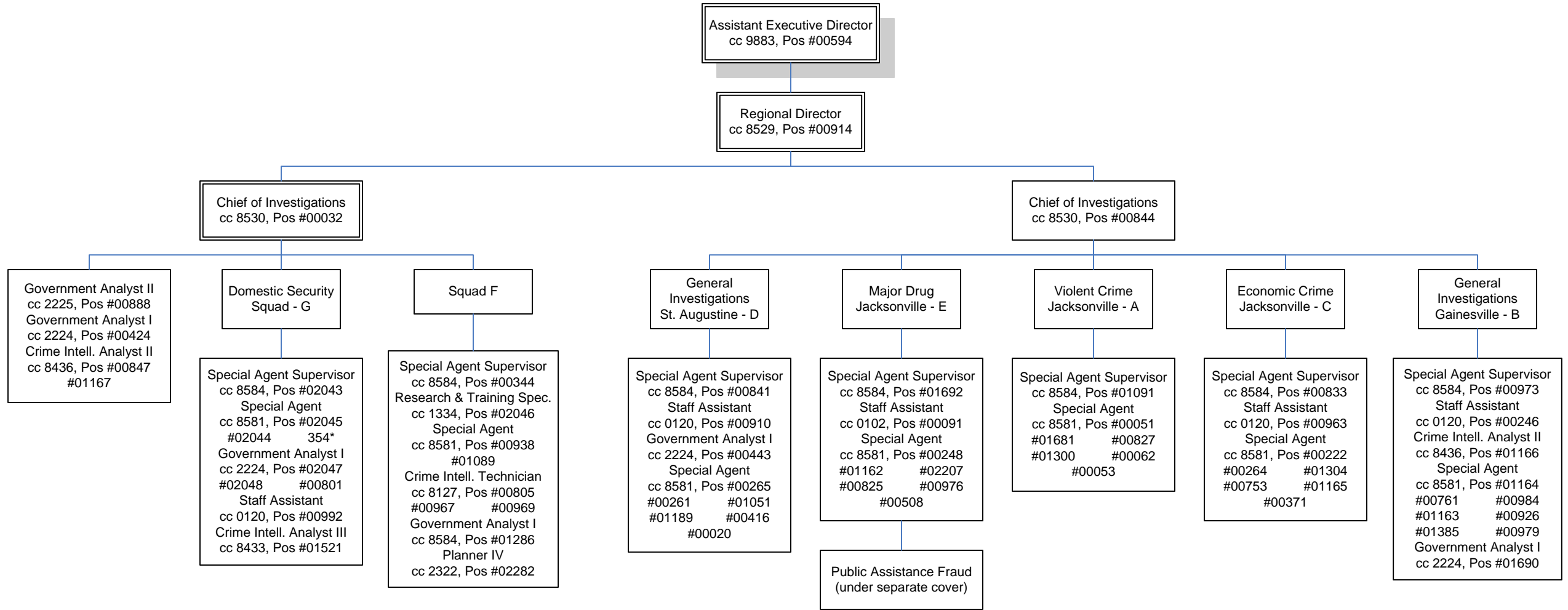


Florida Department of Law Enforcement  
 Jacksonville Regional Operations Center



\*Position #00625 funded by CJP  
 \*Position #00501 funded by OGC  
 \*Position #00900, #01452 & #00206  
 funded by IRM

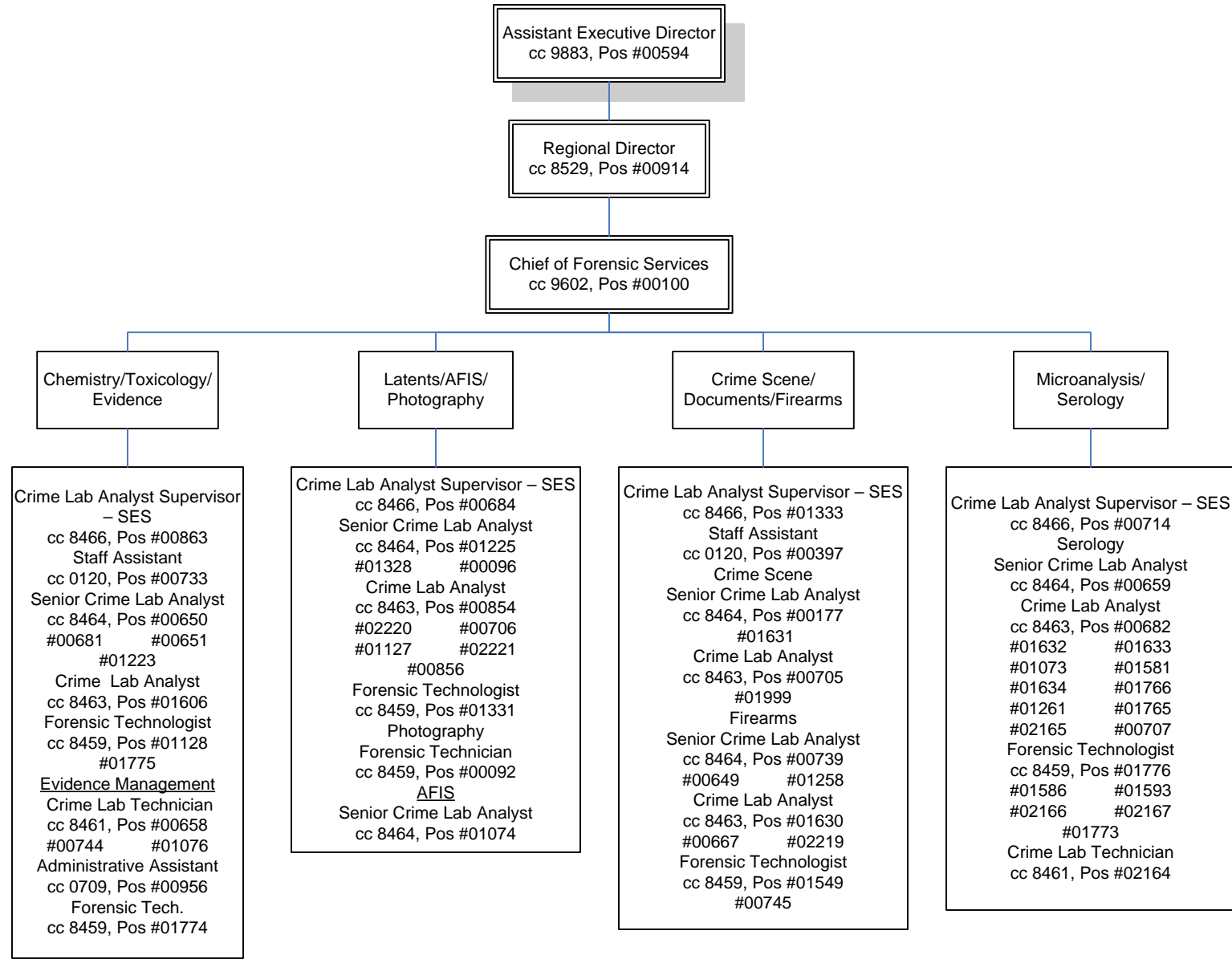
Florida Department of Law Enforcement  
 Jacksonville Regional Operations Center  
 Investigations



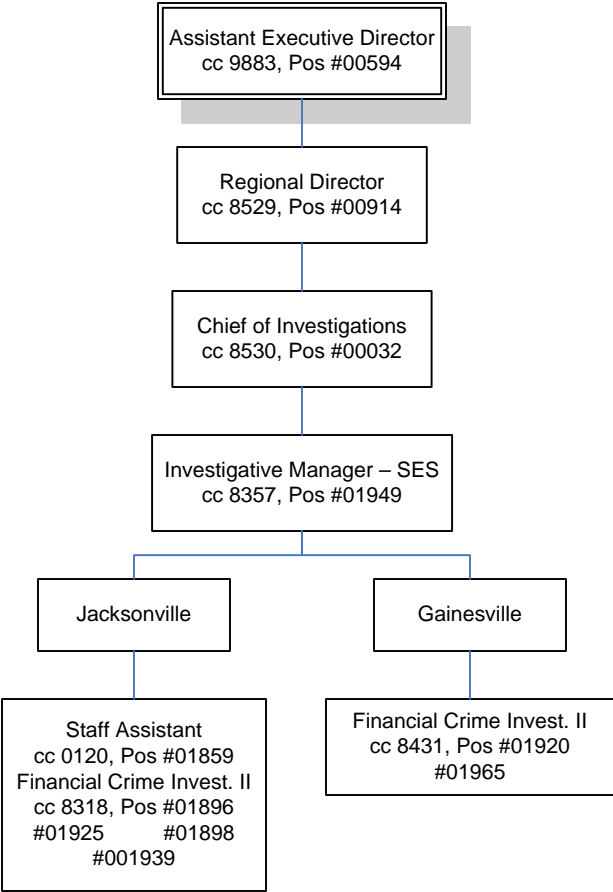
\*Position #00354 reports to K. Wilmer, OSI/Tall



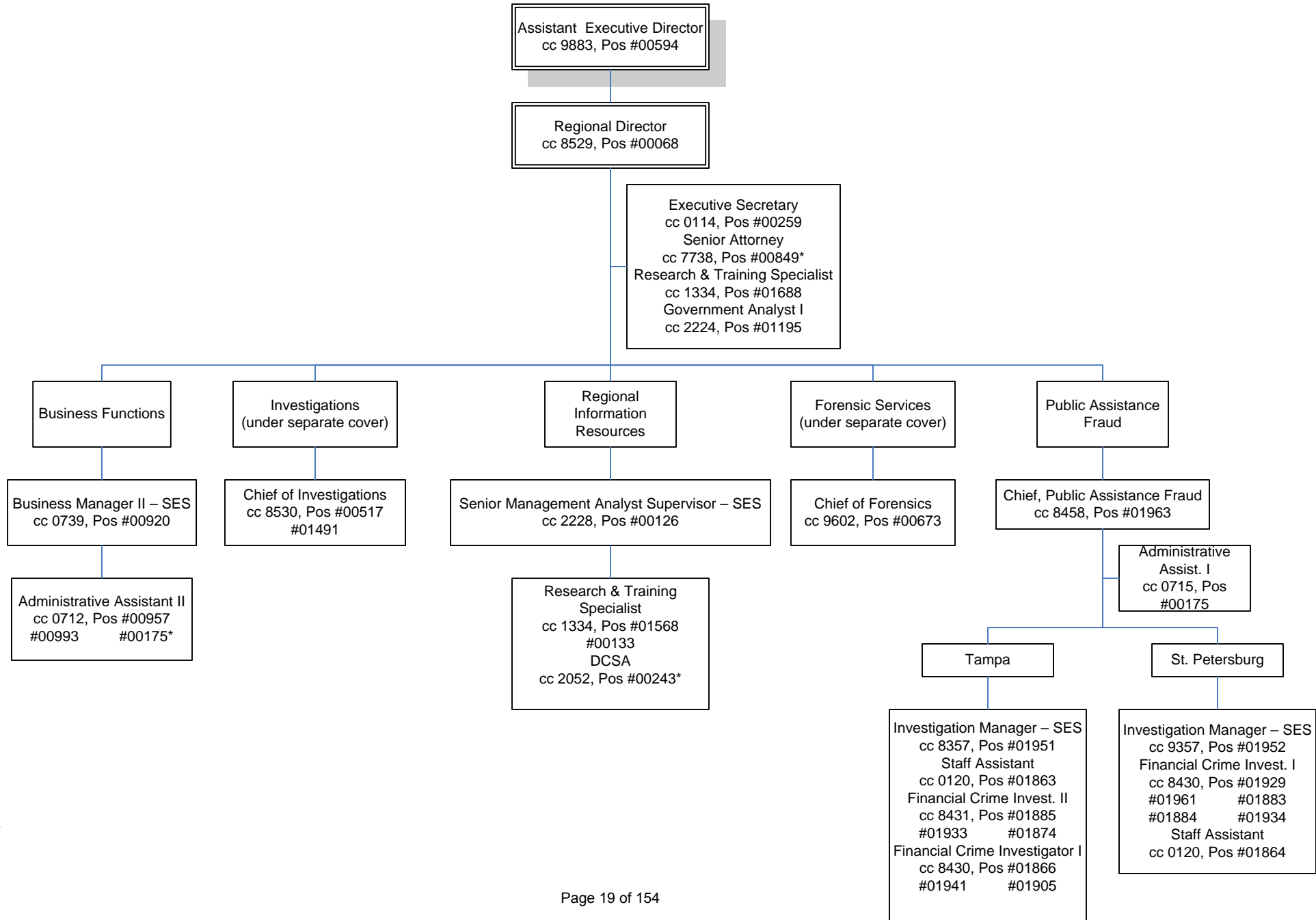
Florida Department of Law Enforcement  
 Jacksonville Regional Operations Center  
 Forensic Services



Florida Department of Law Enforcement  
Jacksonville Regional Operations Center  
Public Assistance Fraud



Florida Department of Law Enforcement  
Tampa Regional Operations Center



\*Positions #00243 funded by IRM  
\*Position #00849 funded by OGC  
\*Position #00175 reports to OHR/Tall.

Florida Department of Law Enforcement  
Tampa Regional Operations Center  
Investigations

Deputy Executive Director  
cc 9883, Pos #00594

Regional Director  
cc 8529, Pos #00068

Chief of Investigations  
cc 8530, Pos #00517

Chief of Investigations  
cc 8580, Pos #01491

Technological  
Support-Tampa - D

Gen'l Investigations  
Lakeland - F

Gen'l Investigations  
Brooksville - K

Major Drug  
Tampa - A

Violent Crime  
Tampa - C

Domestic Security  
Tampa - J

Gen'l Investigations  
G

Finance/Economic  
Crime-Tampa - B

Special Agent Supervisor  
cc 8584, Pos #00404  
Staff Assistant  
cc 0120, Pos #00047  
Special Agent  
cc 8581, Pos #02210  
#00829 #00930  
#00194  
Research & Training Spec.  
cc 1334, Pos #00428  
Crime Intell. Technician  
cc 8427, Pos #000412

Special Agent Supervisor  
cc 8584, Pos #00253  
Staff Assistant  
cc 0120, Pos #01283  
Government Analyst I  
cc 2224, Pos #00845  
Special Agent  
cc 8581, Pos #01486  
#01093 #01493  
#01092 #00843  
Government Analyst II  
cc 2225, Pos #01141\*

Special Agent Supervisor  
cc 8584, Pos #01047  
Staff Assistant  
cc 0120, Pos #00916  
Government Analyst I  
cc 2224, Pos #00430  
Special Agent  
cc 8581, Pos #00244  
#01309 #01094  
#00108 #00201

Special Agent Supervisor  
cc 8584, Pos #00425  
Crime Intel. Analyst II  
cc 8436, Pos #01524  
#00173 #00965  
Special Agent  
cc 8581, Pos #00982  
#01674 #01241  
#01673 #00620  
Staff Assistant  
cc 0120, Pos #01388  
Government Analyst I  
cc 2224, Pos #00441  
#01497

Special Agent Supervisor  
cc 8584, Pos #01485  
Special Agent  
cc 8581, Pos #00504  
#01381 #01393  
#00254 #01004  
#01489 #00364  
#01494 #01672  
#01673 #01280  
#01058 #00306  
Government Analyst I  
Cc 2224, Pos #00912

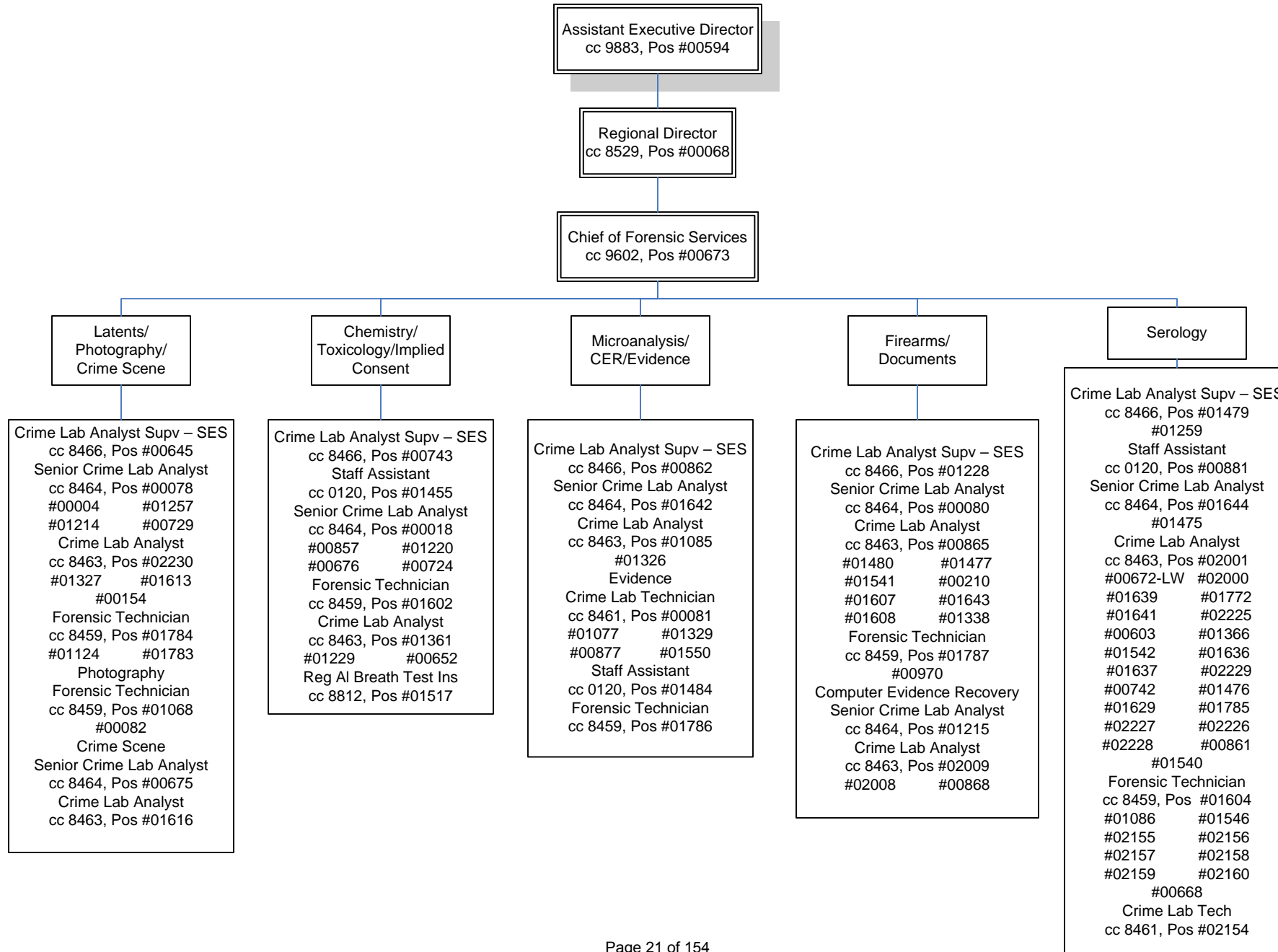
Special Agent Supervisor  
cc 8584, Pos #01168  
Special Agent  
cc 8581, Pos #01170  
#02056 #02055  
Government Analyst I  
cc 2224, Pos #02058  
Government Analyst II  
cc 2225, Pos #00446  
#02057

Special Agent Supervisor  
cc 8584, Pos #00516  
Special Agent  
cc 8581, Pos #00978  
#00326 #01241  
#01171 #00767  
#00420 #01394  
#01487

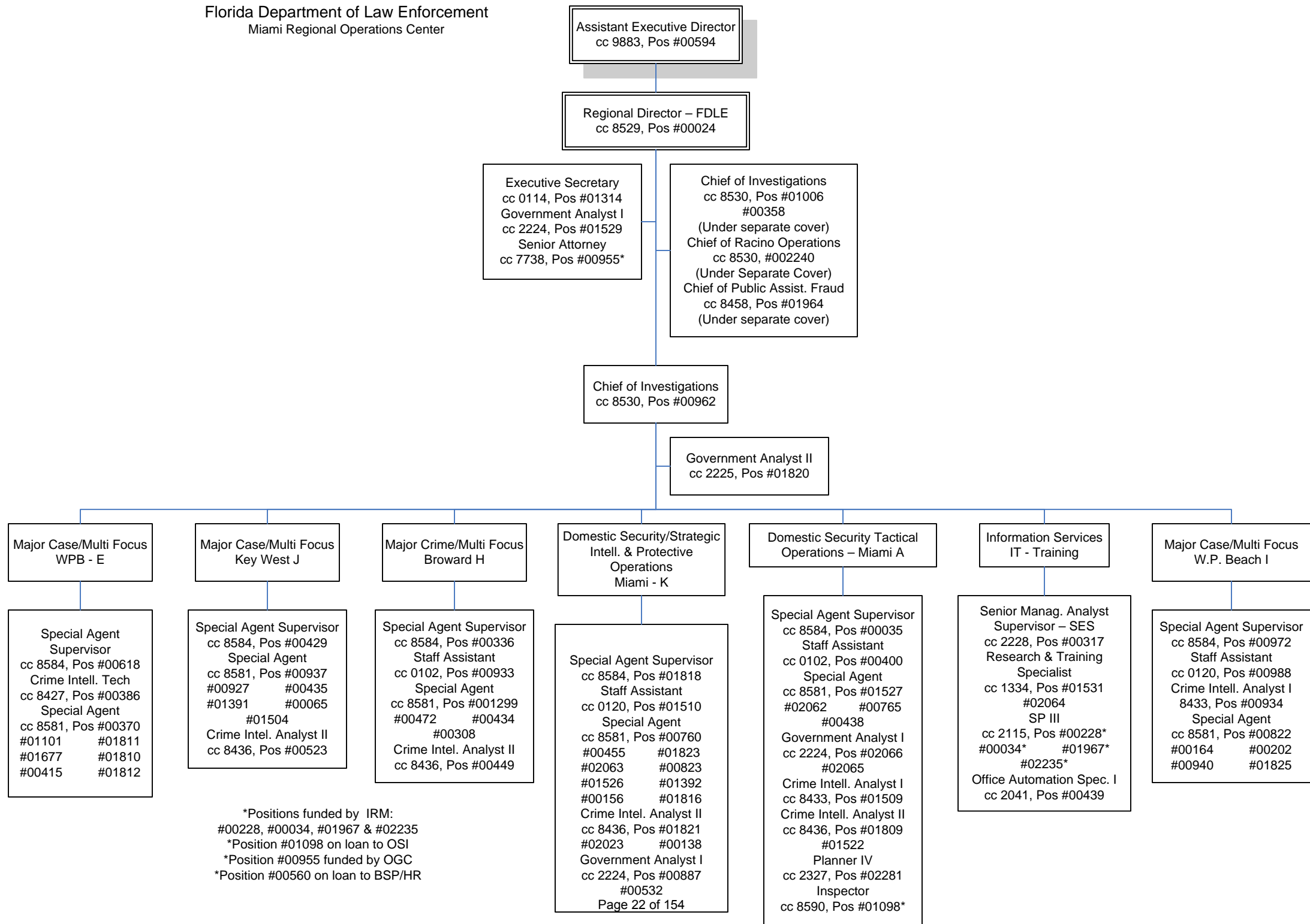
Special Agent Supervisor  
cc 8584, Pos #01311  
Staff Assistant  
cc 0120, Pos #01397  
Special Agent  
cc 8581, Pos #01169  
#00453 #00980  
#00223 #00327  
#01310 #00480  
#01395 #01139  
Government Analyst I  
cc 2224, Pos #00172

\*Position #01141 on loan from CJP

Florida Department of Law Enforcement  
Tampa Regional Operations Center  
Forensic Services

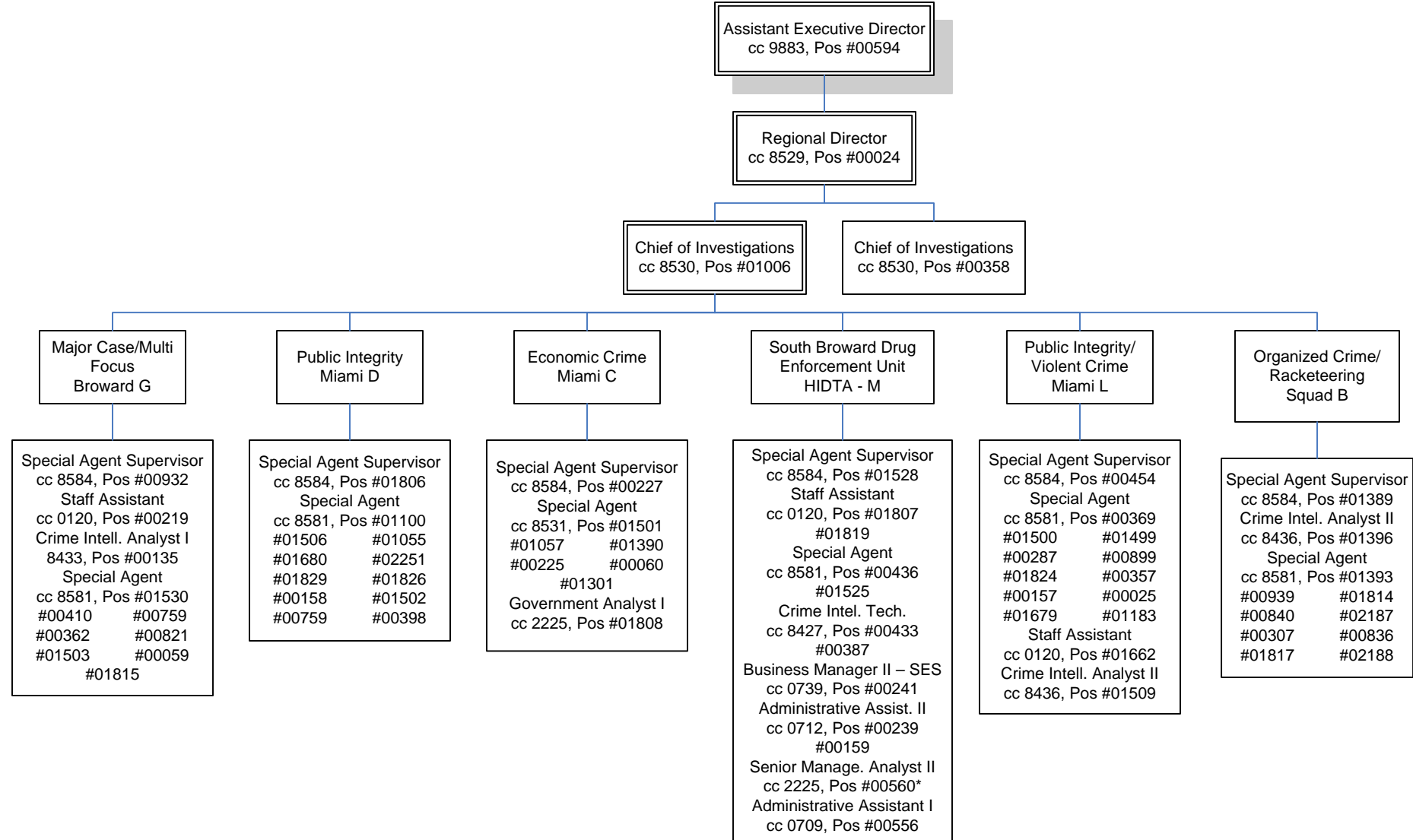


Florida Department of Law Enforcement  
Miami Regional Operations Center



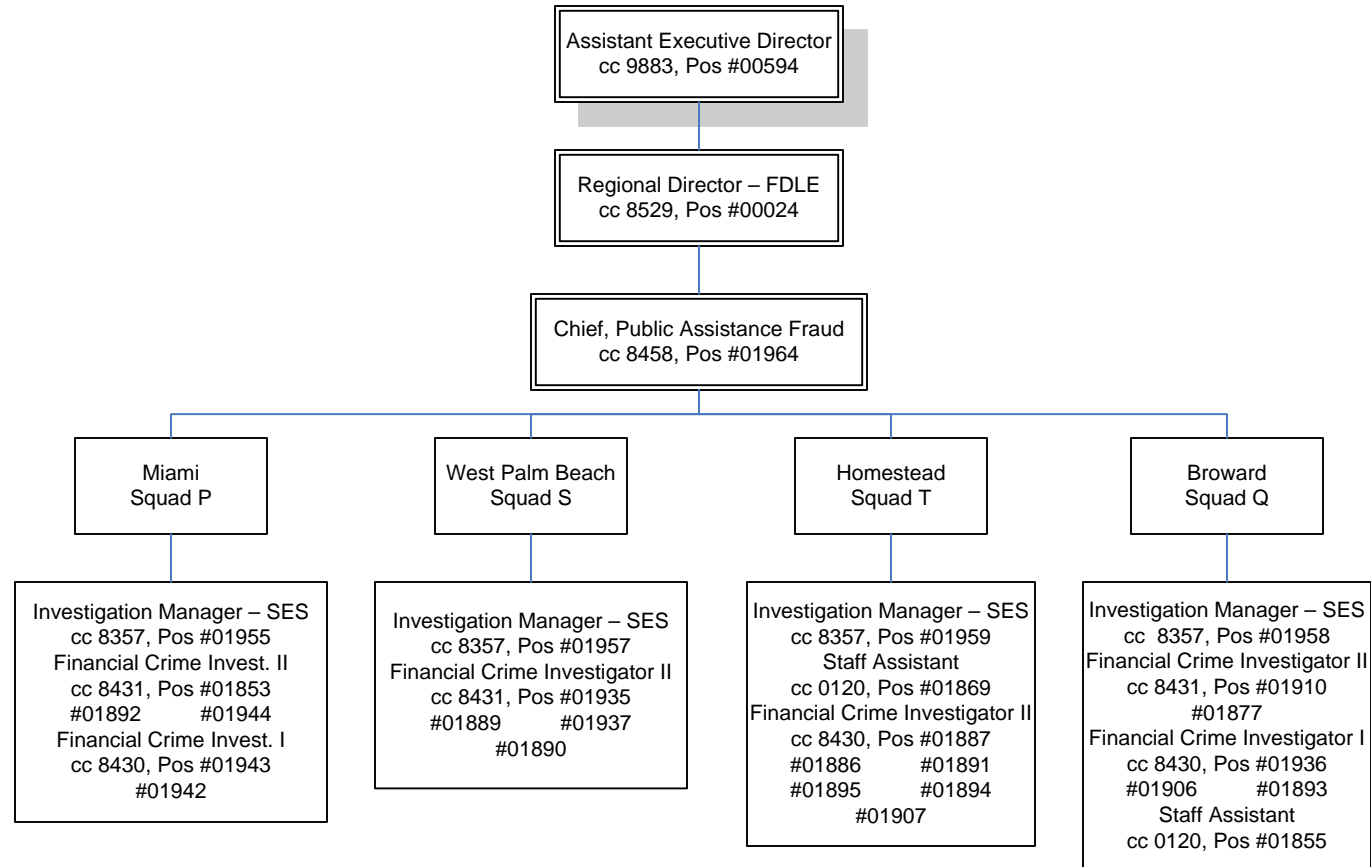
\*Positions funded by IRM:  
#00228, #00034, #01967 & #02235  
\*Position #01098 on loan to OSI  
\*Position #00955 funded by OGC  
\*Position #00560 on loan to BSP/HR

Florida Department of Law Enforcement  
Miami Regional Operations Center  
Investigations



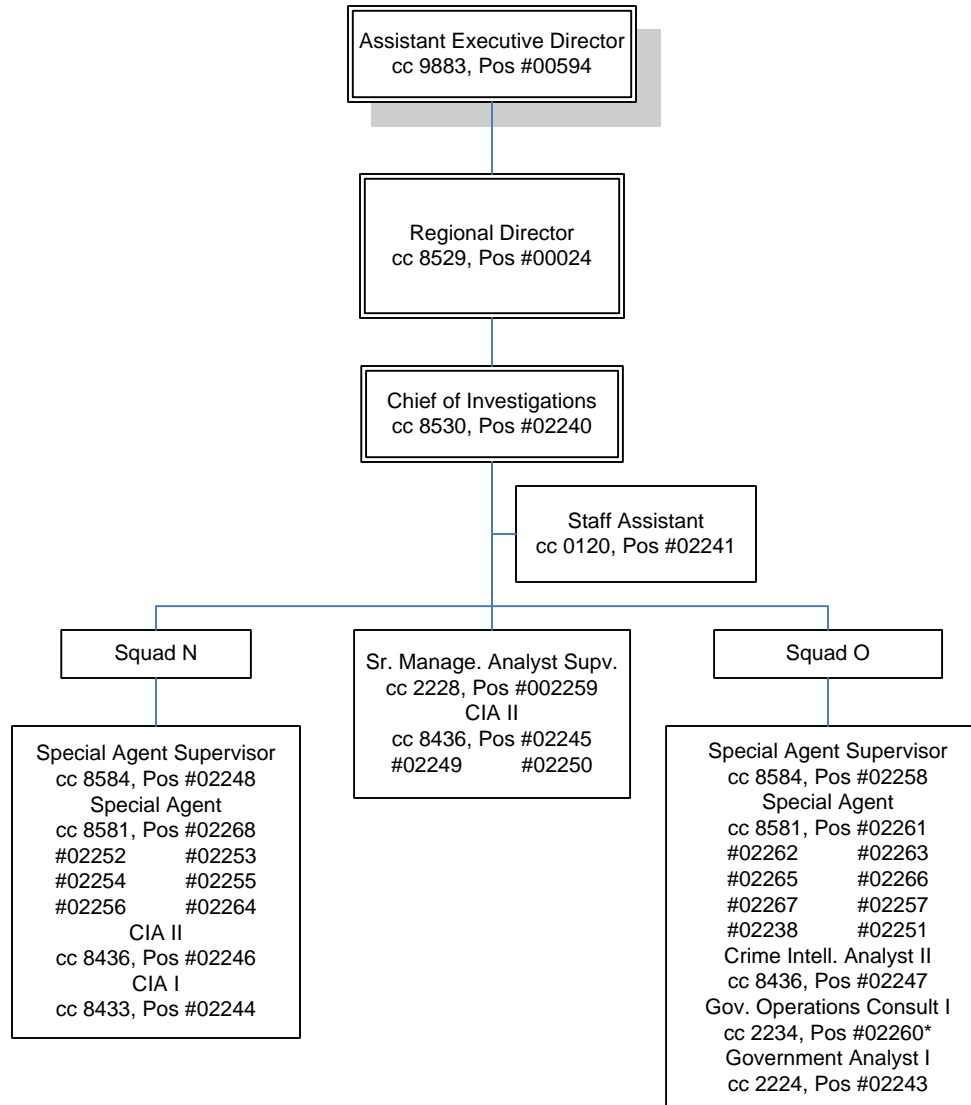
\*Position #00560 on loan to BSP/HR

Florida Department of Law Enforcement  
 Miami Regional Operations Center  
 Public Assistance Fraud



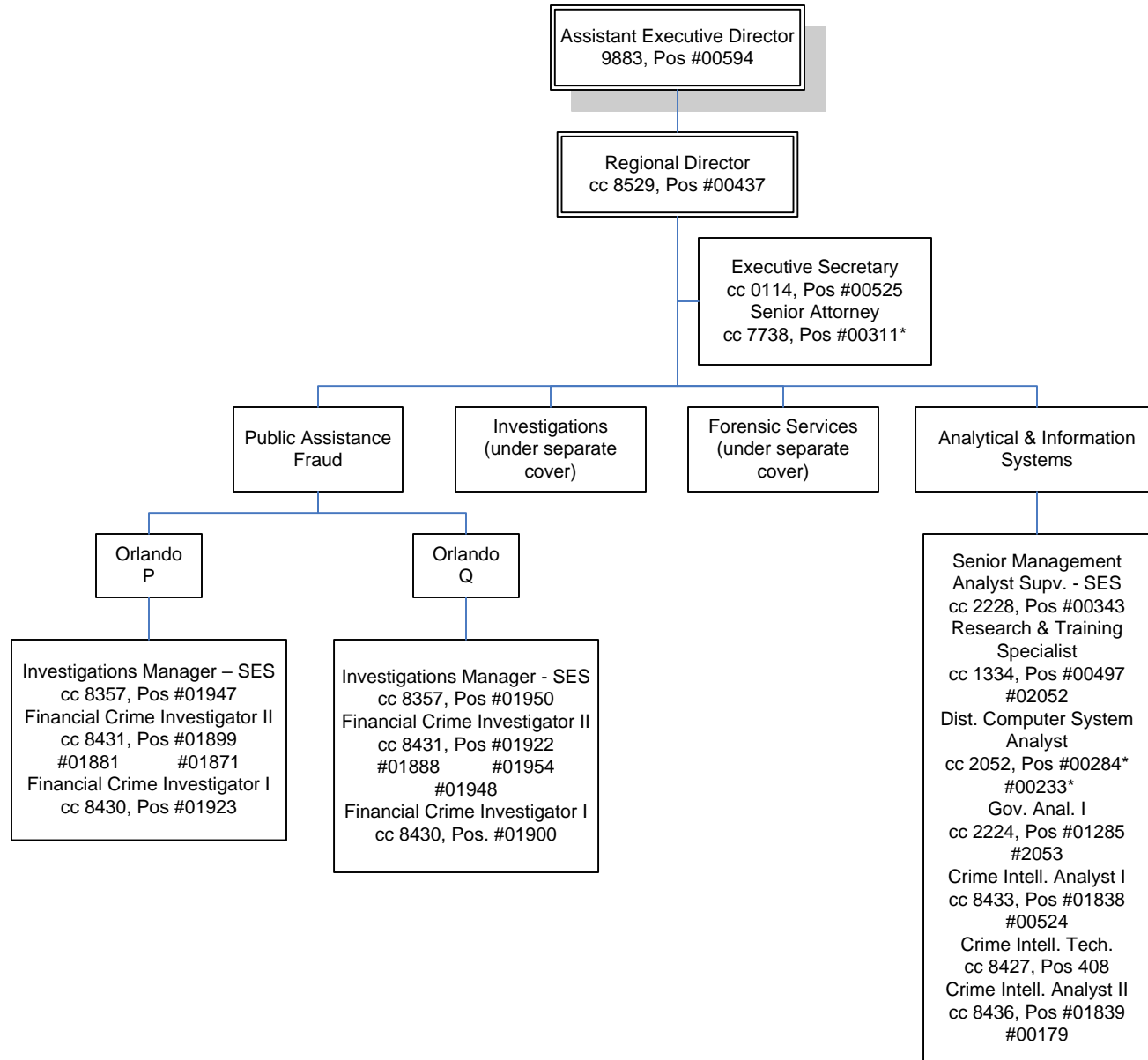


Florida Department of Law Enforcement  
Miami Regional Operations Center  
Gaming Enforcement Unit



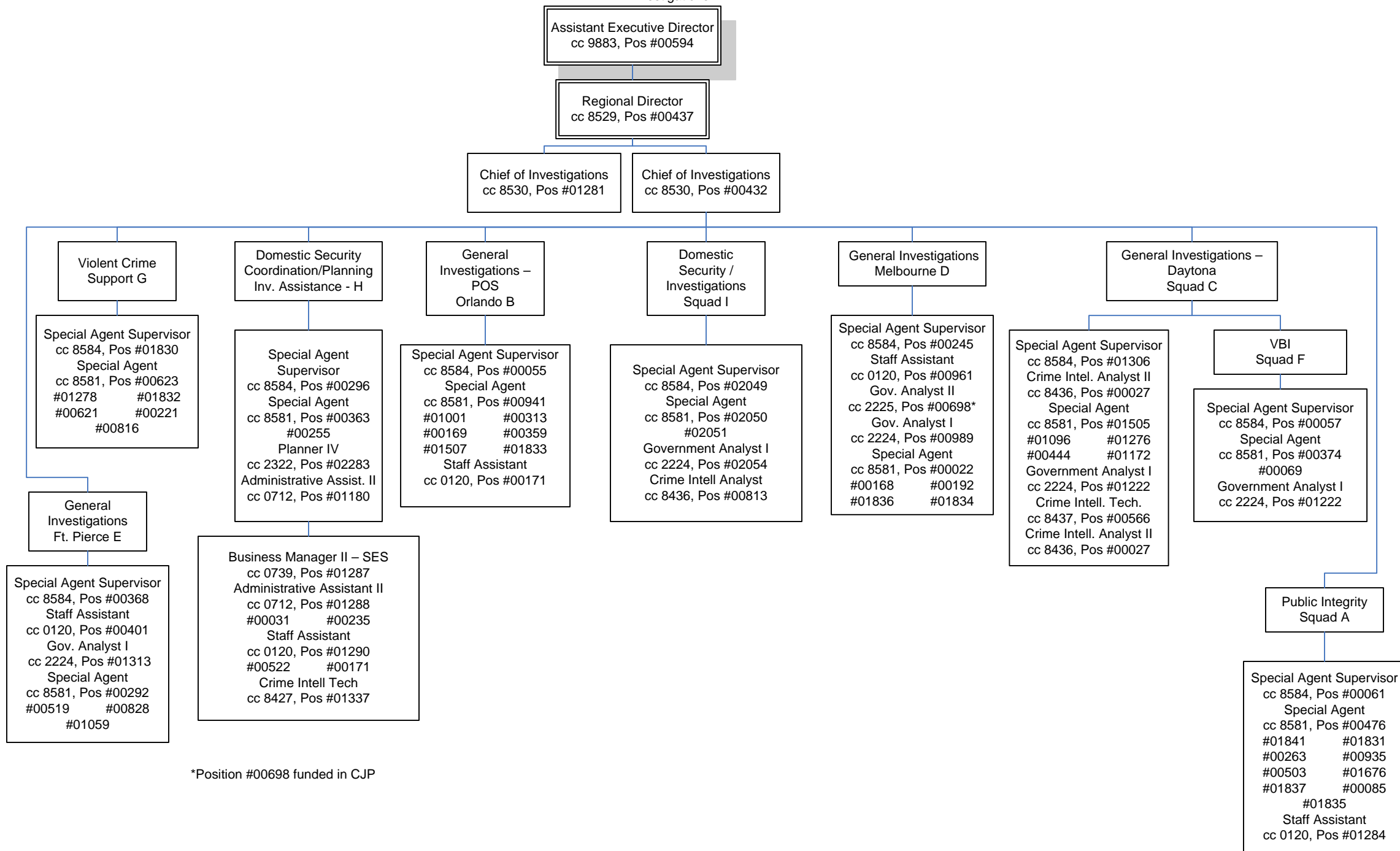
\*Position #02260 on loan to OGS

Florida Department of Law Enforcement  
Orlando Regional Operations Center



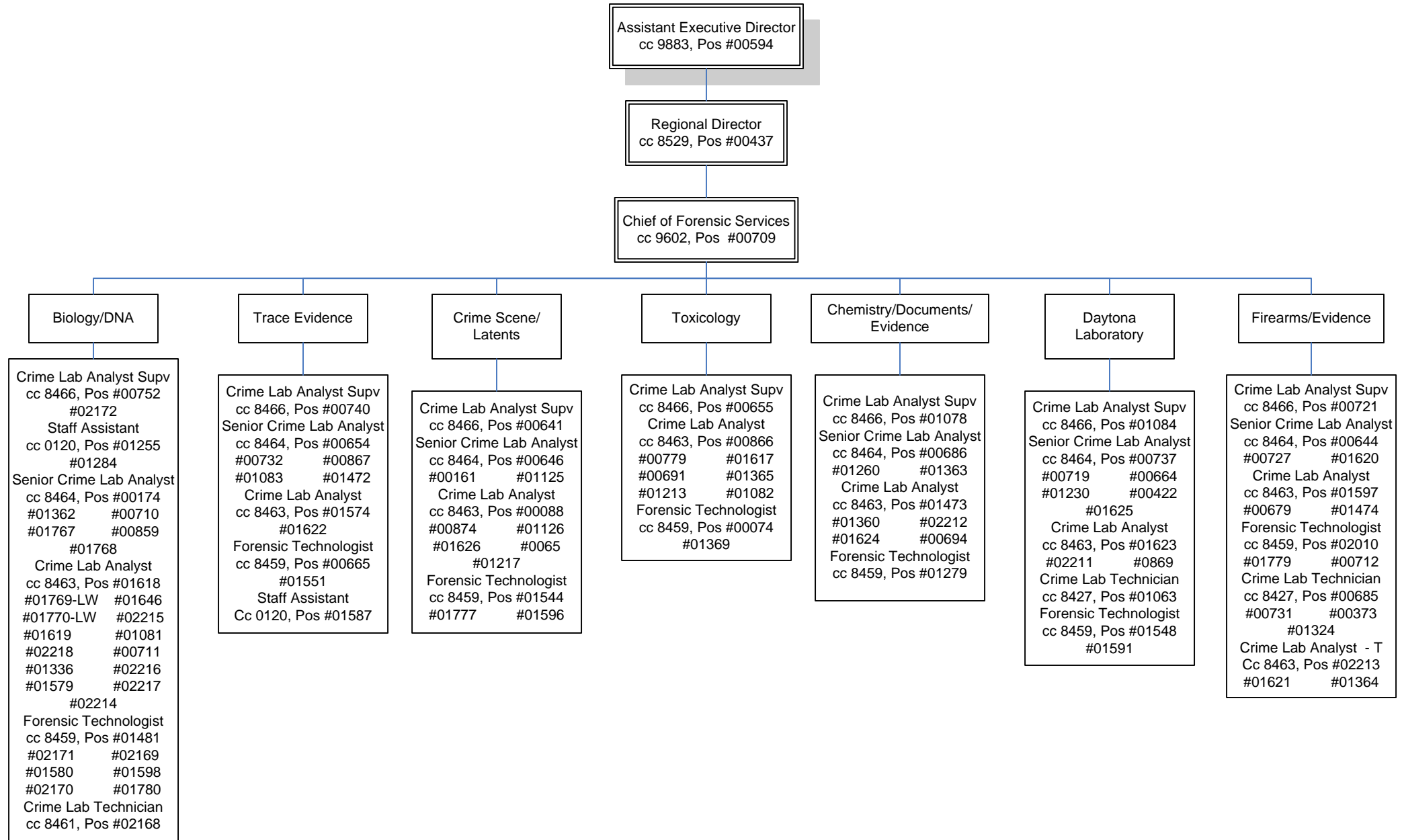
\*Positions #00284 & 233 funded by IRM  
\*Position #00311 funded by OGC

Florida Department of Law Enforcement  
Orlando Regional Operations Center  
Investigations

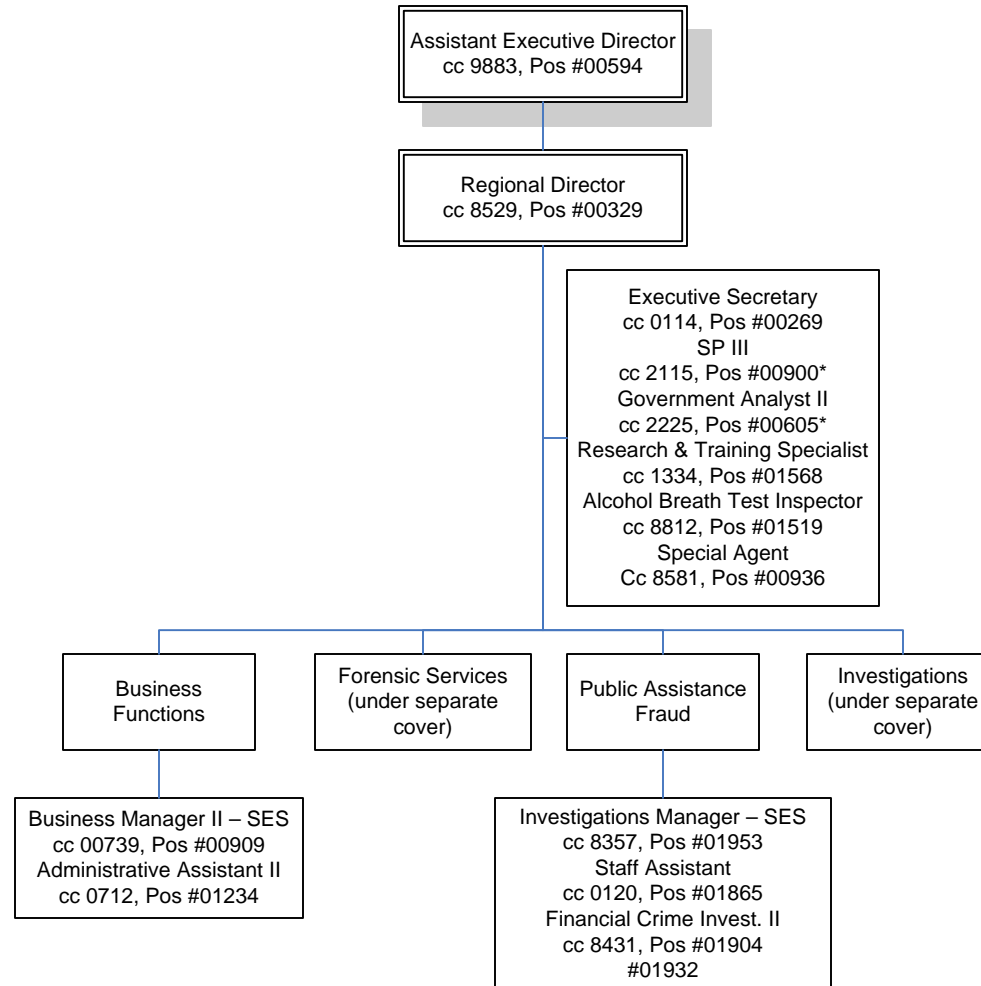


\*Position #00698 funded in CJP

Florida Department of Law Enforcement  
 Orlando Regional Operations Center  
 Forensic Services

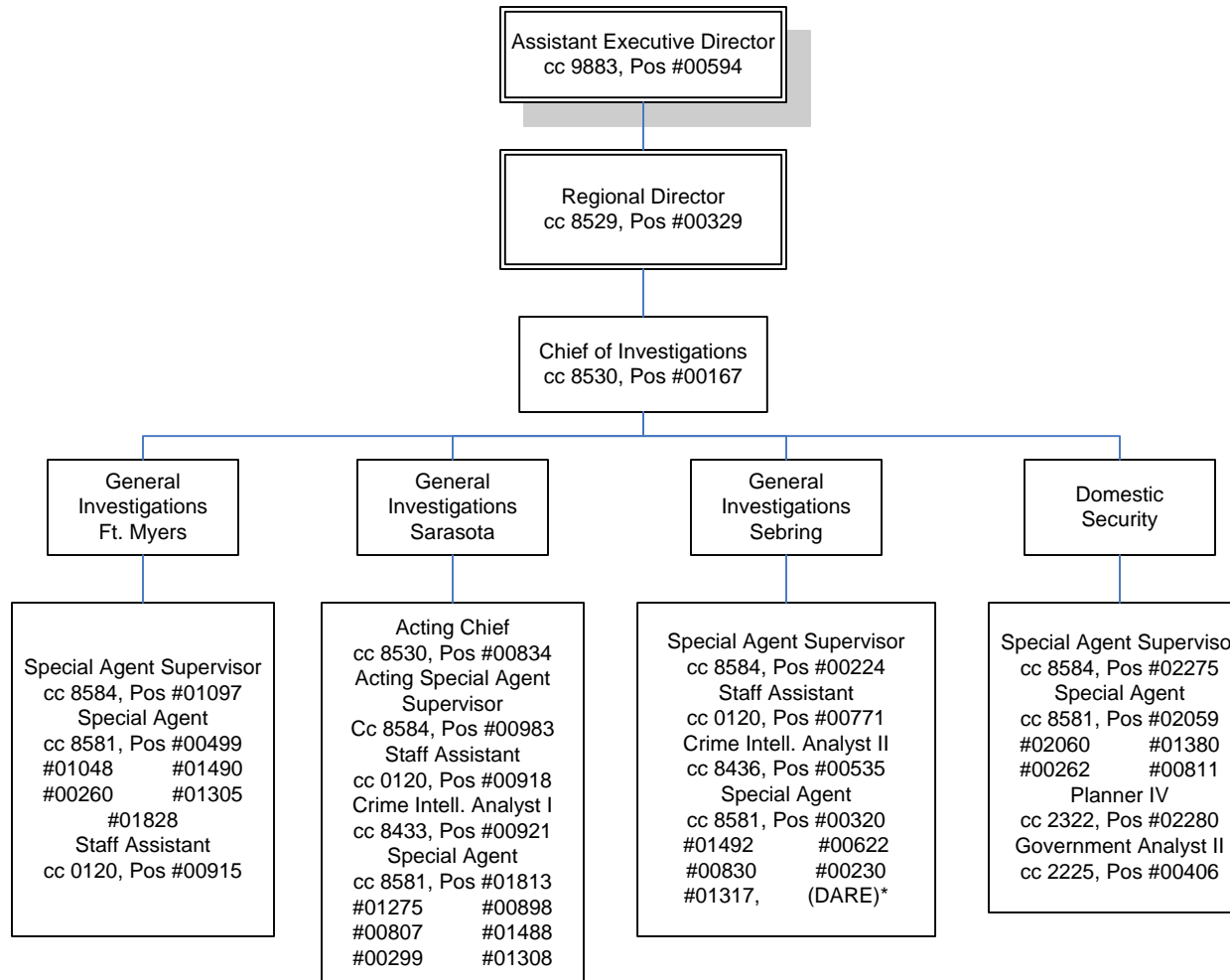


Florida Department of Law Enforcement  
 Ft. Myers Regional Operations Center



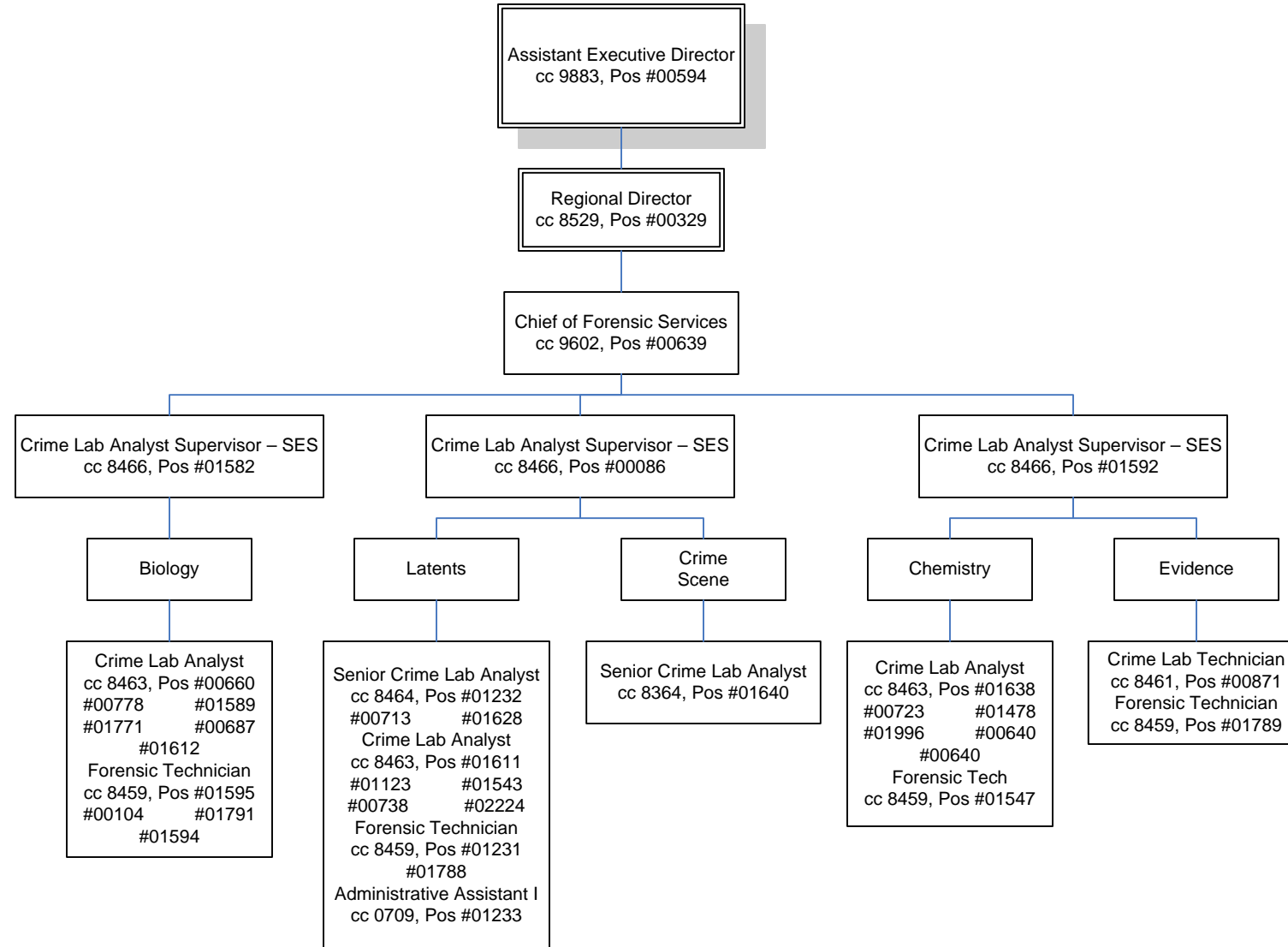
\*Position #00900 on loan from IRM  
 \*Position #00605 on loan from CJP

Florida Department of Law Enforcement  
 Ft. Myers Regional Operations Center  
 Investigations

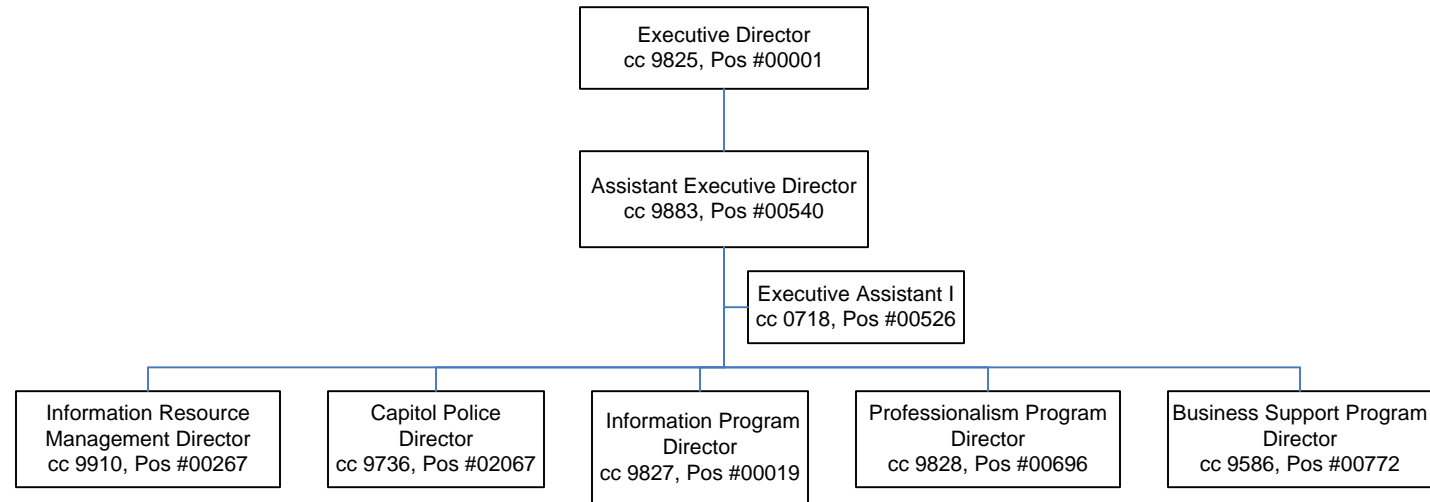


\*Position #01317 funded by CJP  
 (DARE)

Florida Department of Law Enforcement  
 Ft. Myers Regional Operations Center  
 Forensic Services

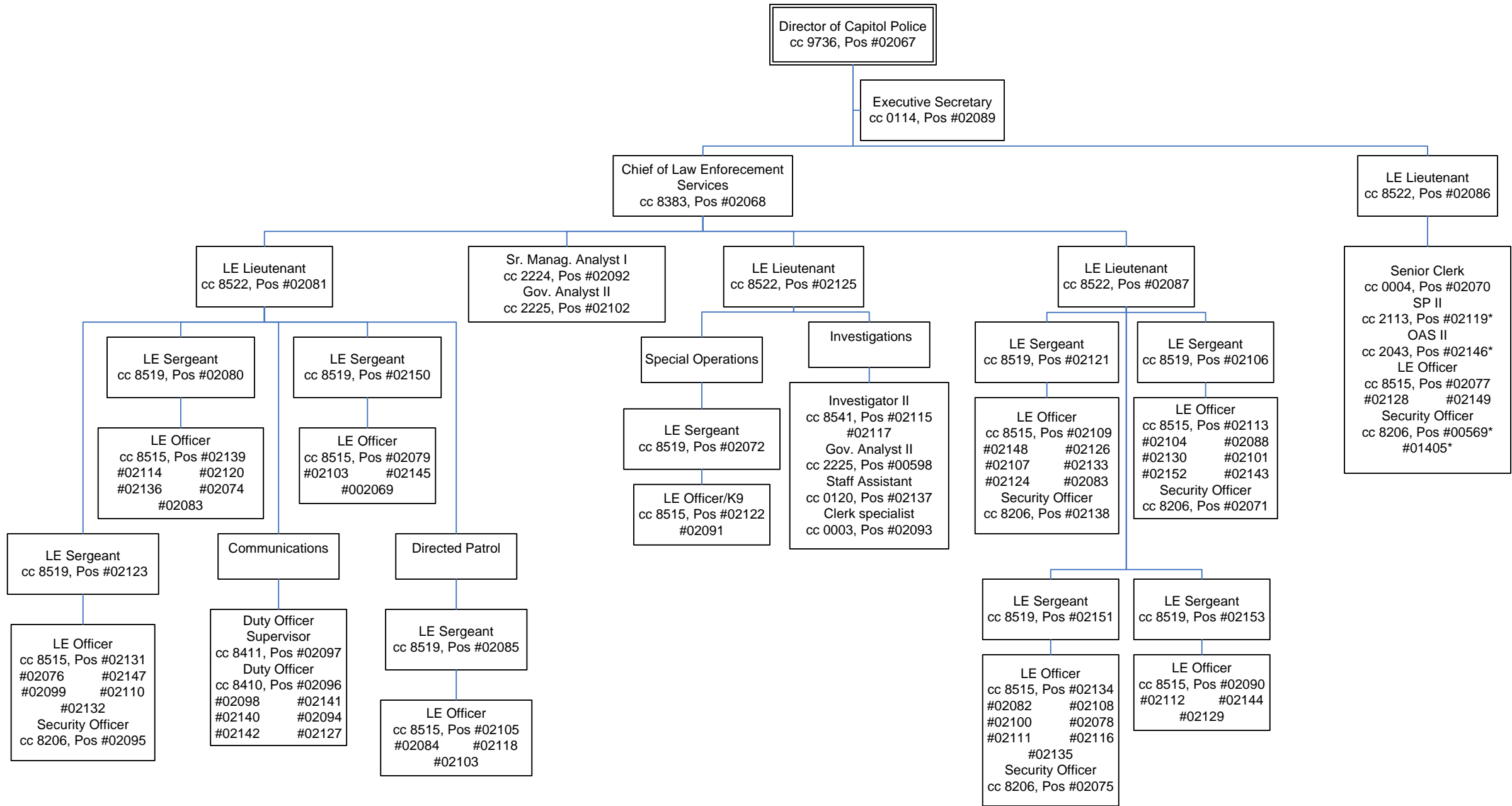


Florida Department of Law Enforcement  
Office of Executive Director  
Public Safety Services





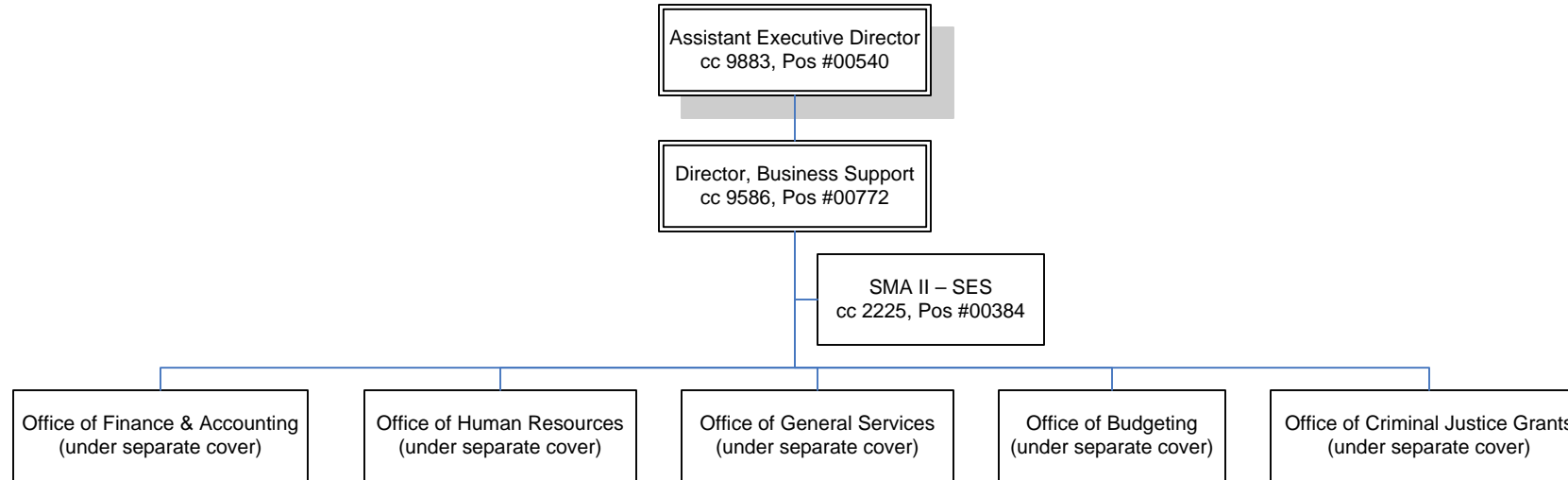
Florida Department of Law Enforcement  
 Capitol Police



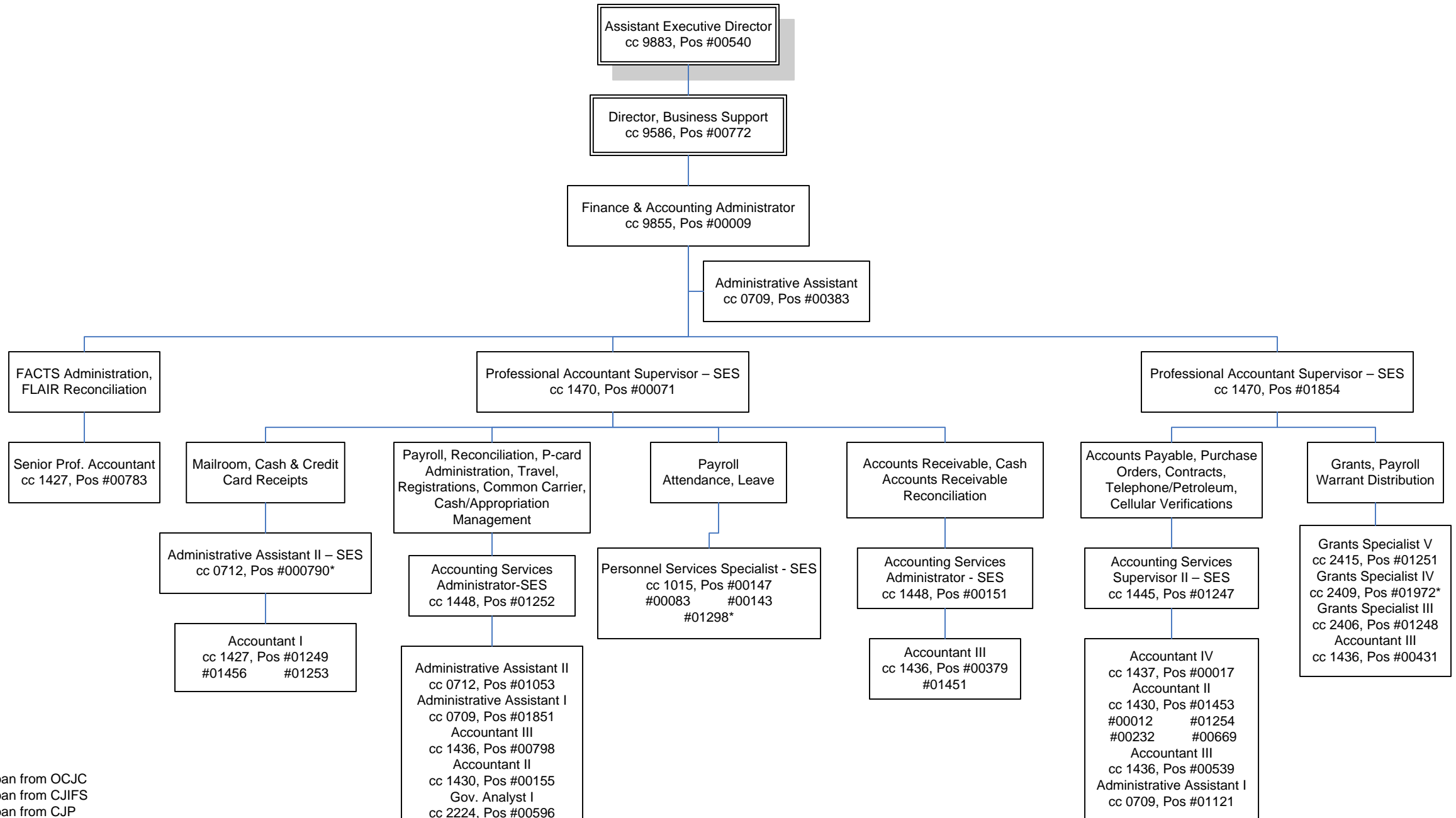
\*Position #02119 & #02146 on loan to IRM

\*Positions #00569 & #01405

Florida Department of Law Enforcement  
Business Support Program

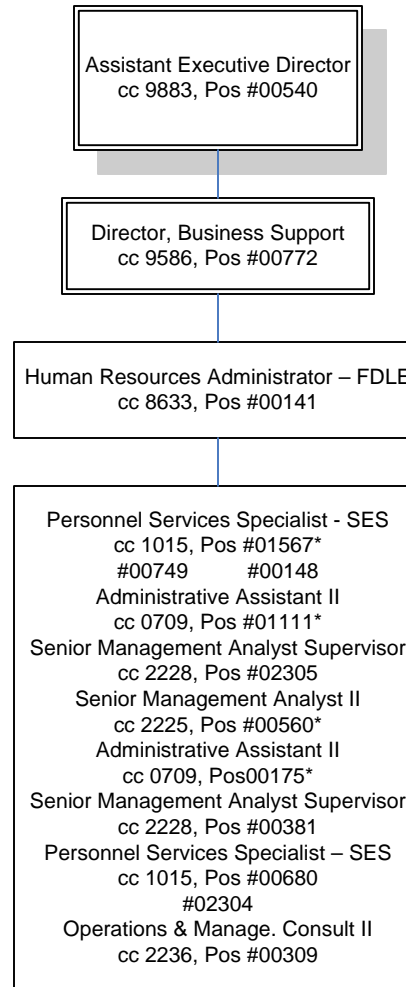


Florida Department of Law Enforcement  
Business Support  
Office of Finance & Accounting



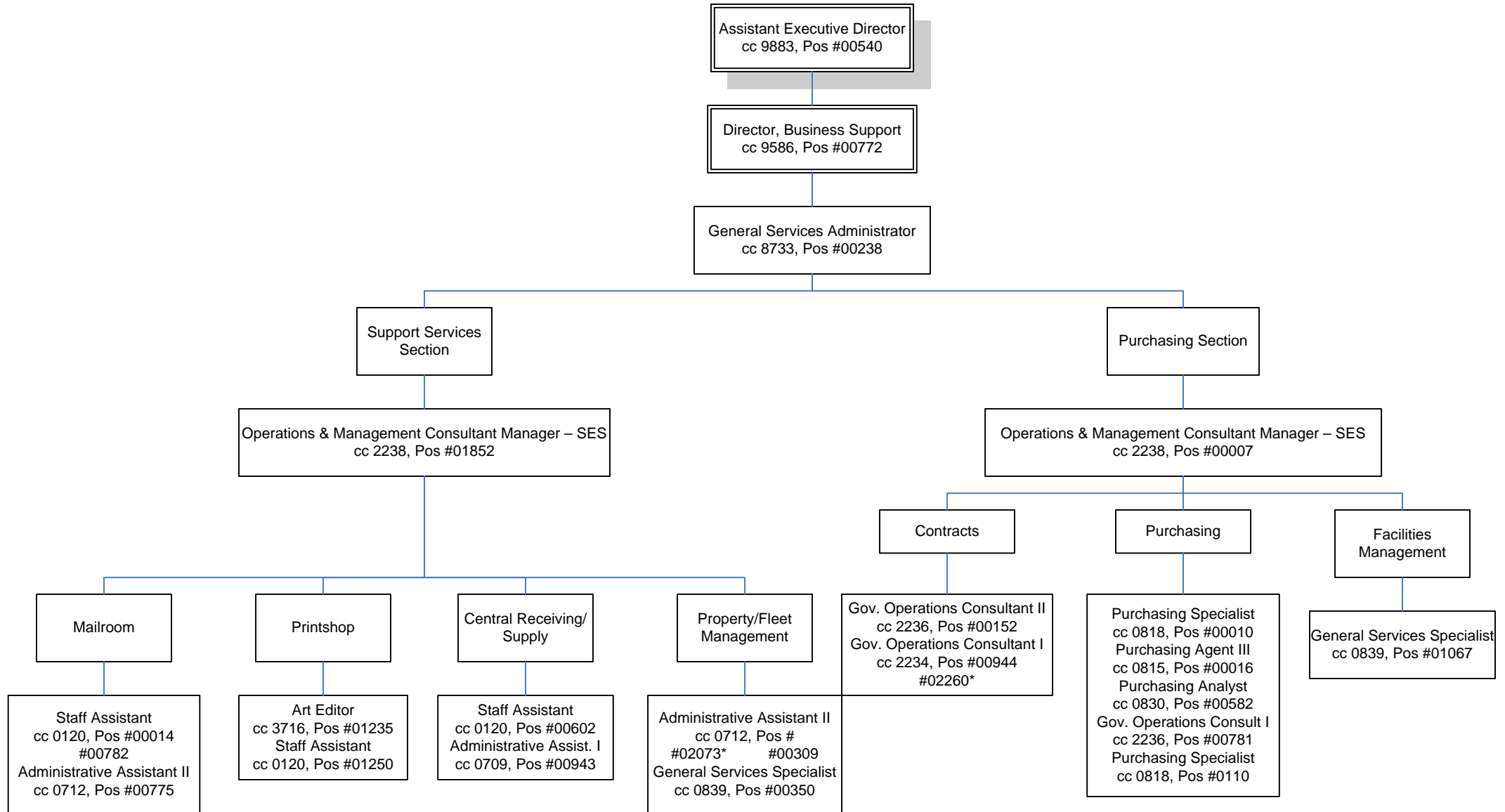
\*Pos. #01972 on loan from OCJC  
\*Pos. #01298 on loan from CJIFS  
\*Pos #00790 on loan from CJP

Florida Department of Law Enforcement  
Business Support  
Human Resources



\*Position #01567 on loan from CJIS  
\*Position #01111 on loan from IRM  
\*Position #00560 on loan from MROC  
\*Position #00175 located in TBROC

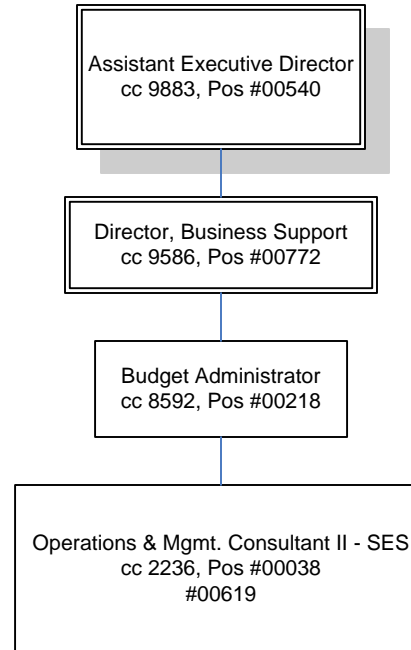
Florida Department of Law Enforcement  
 Business Support  
 Office of General Services



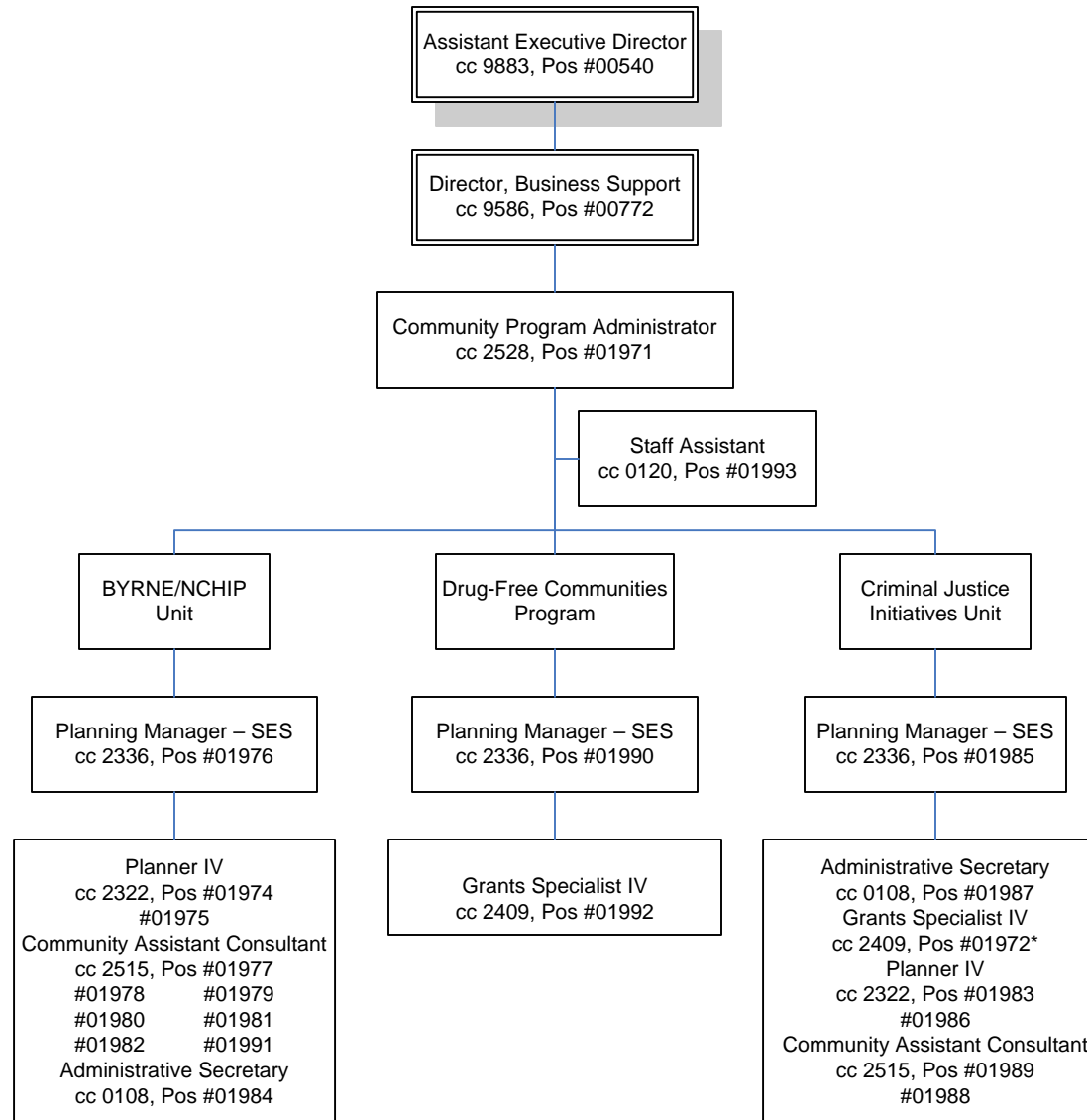
\*Position #02073 on loan from Capitol Police

\* Position #02260 on loan from MROC

Florida Department of Law Enforcement  
Business Support  
Office of Budgeting

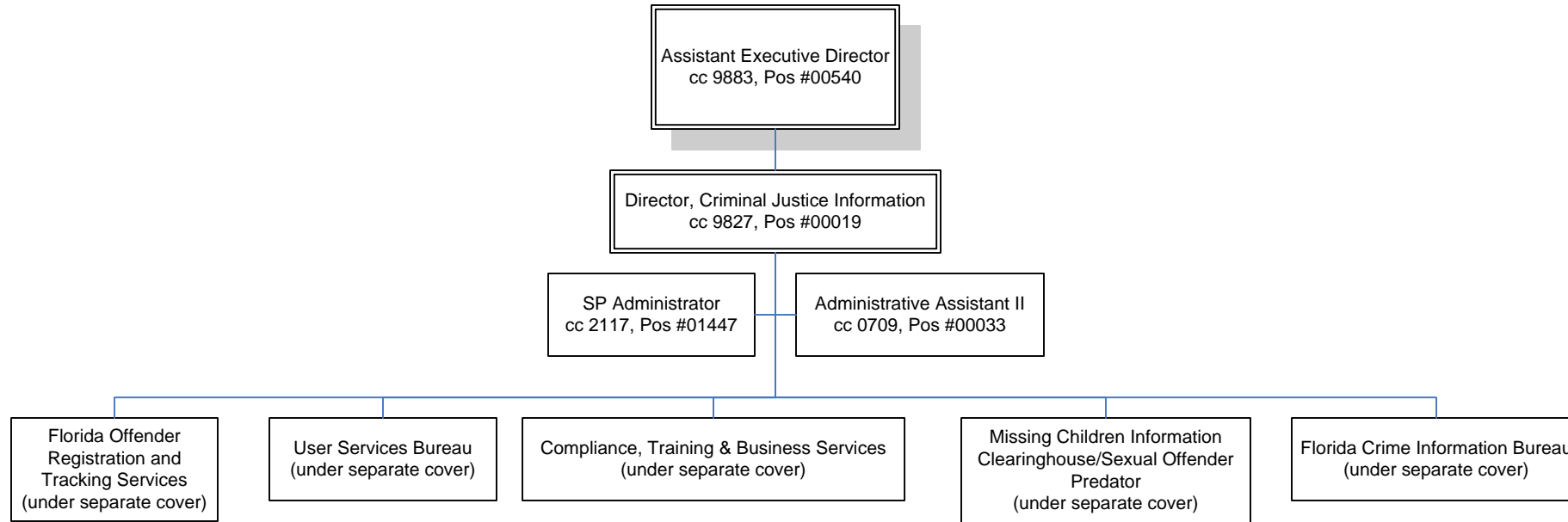


Florida Department of Law Enforcement  
 Business Support  
 Office of Criminal Justice Grants



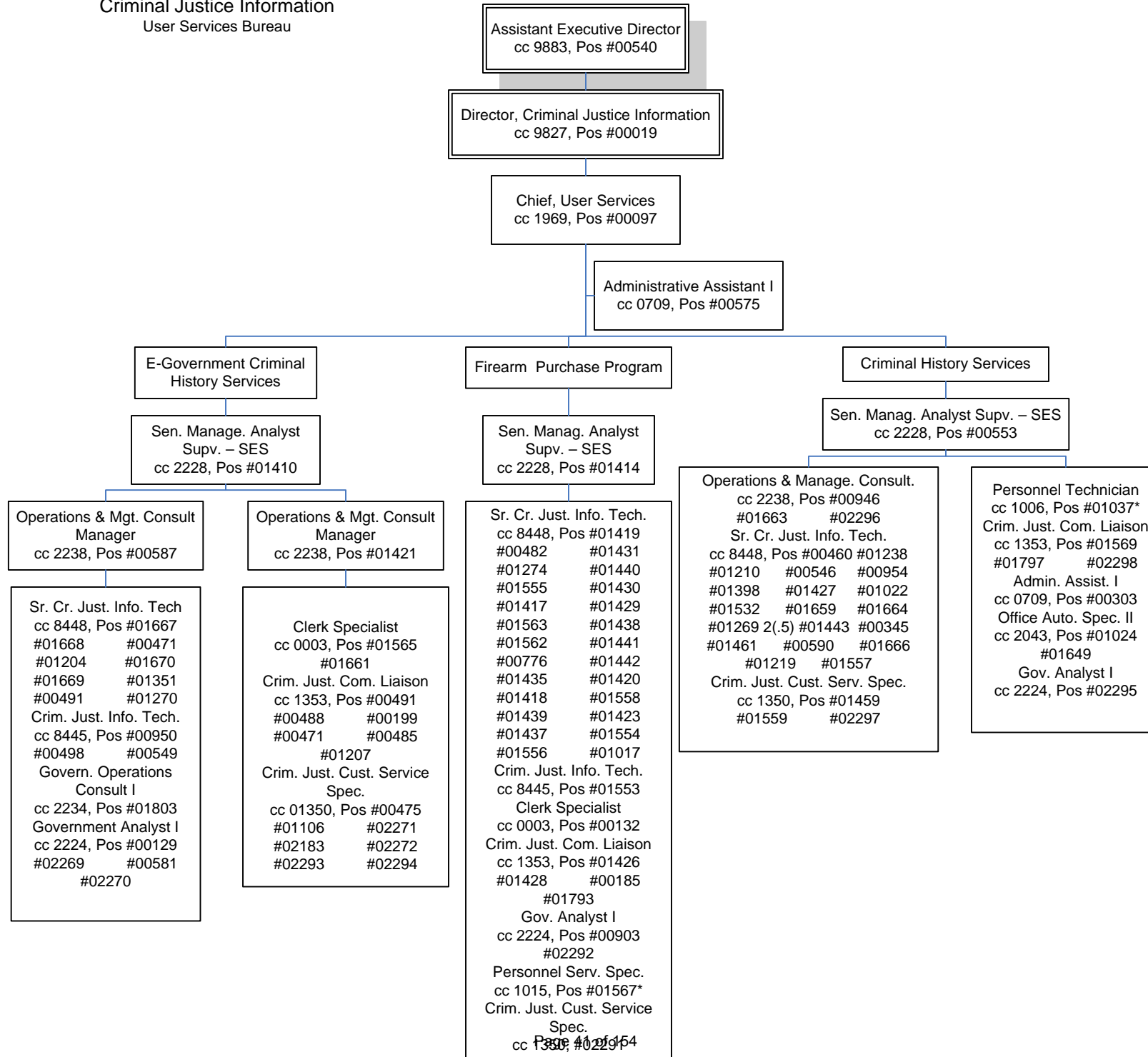
\*Position #01972 on loan to F&A

Florida Department of Law Enforcement  
Criminal Justice Information





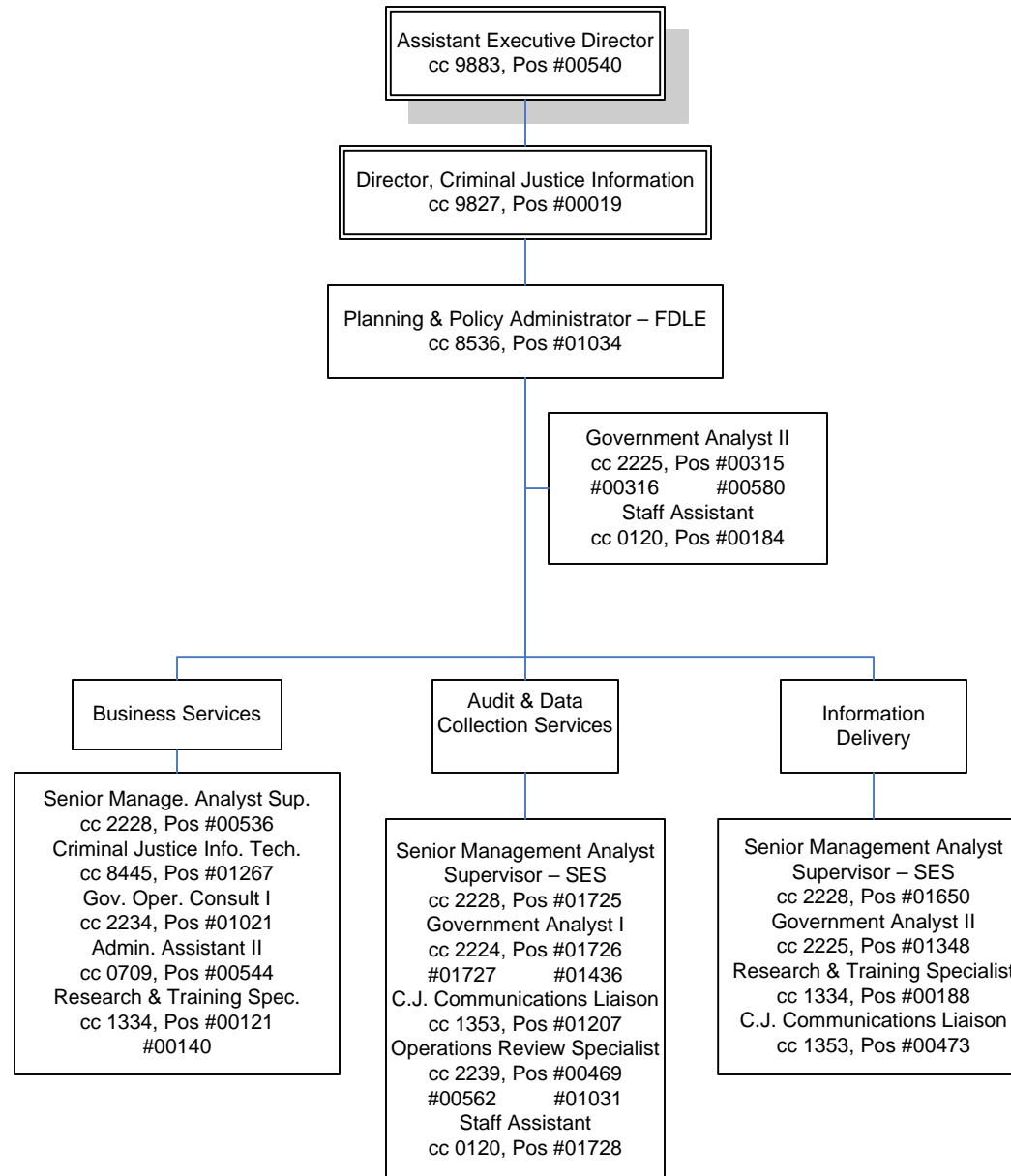
Florida Department of Law Enforcement  
Criminal Justice Information  
User Services Bureau



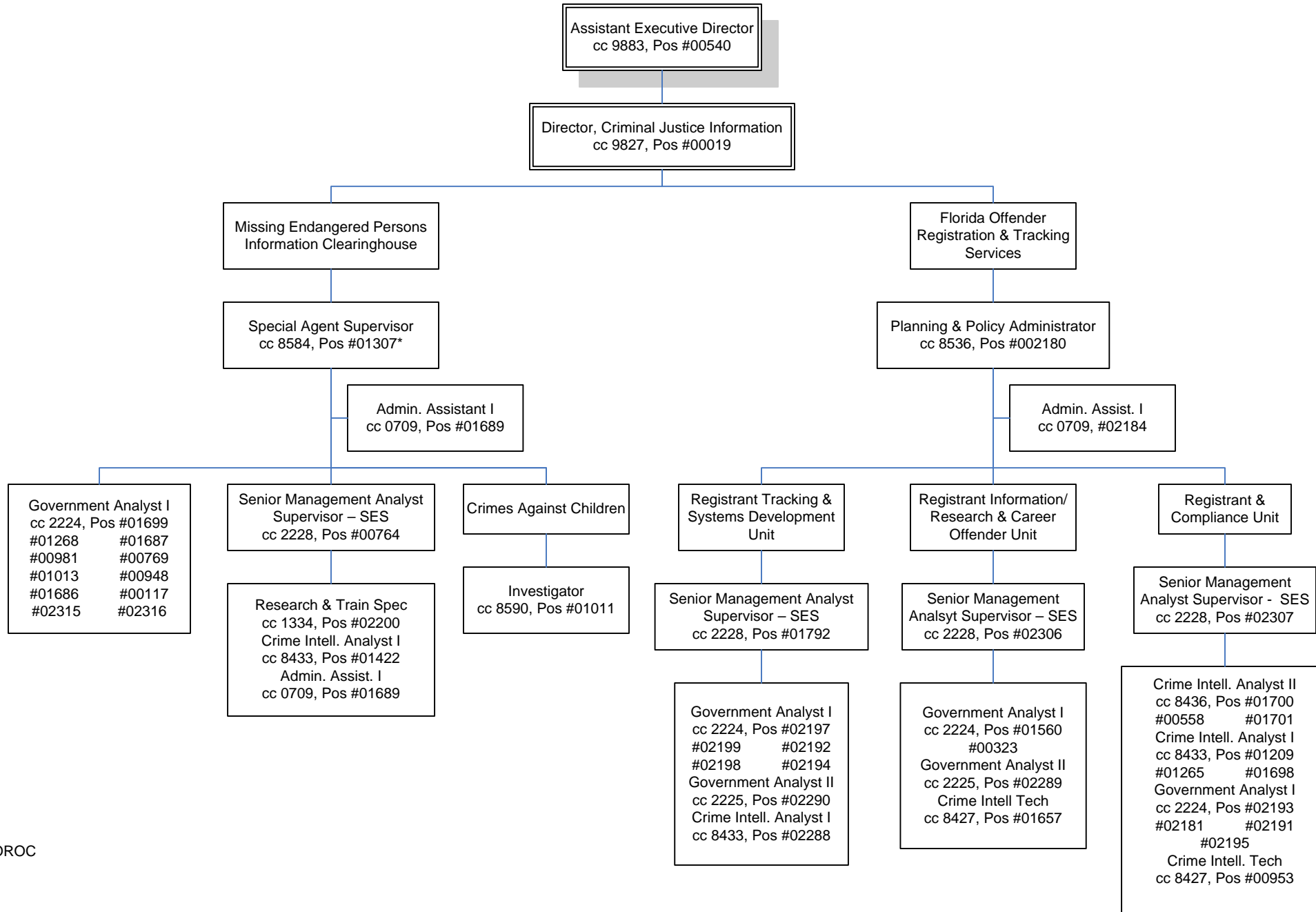
\*Position #01037 on loan to BSP

\*Position #01567 on loan to HR

Florida Department of Law Enforcement  
 Criminal Justice Information  
 Compliance, Training, and Business Services



Florida Department of Law Enforcement  
 Criminal Justice Information Systems  
 Missing Endangered Persons Information Clearinghouse – Florida Offender Registration & Tracking Services



\*Pos #01307 on loan from OROC

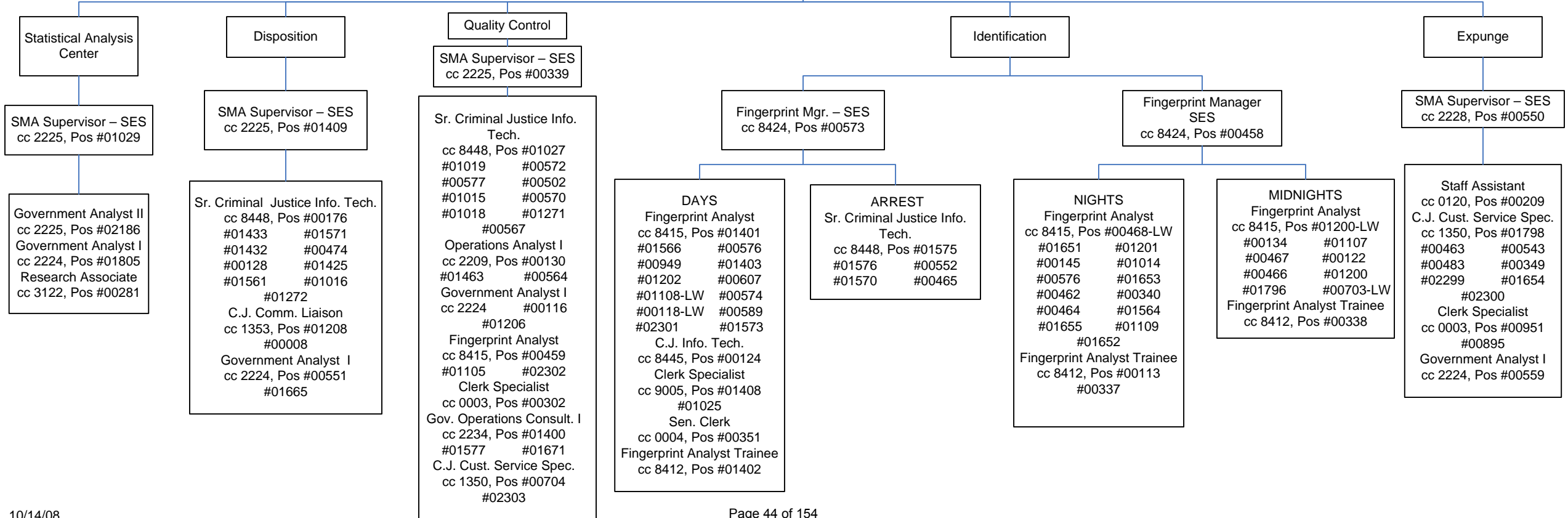
Florida Department of Law Enforcement  
 Criminal Justice Information  
 Florida Crime Information Bureau

Assistant Executive Director  
 cc 9883, Pos #00540

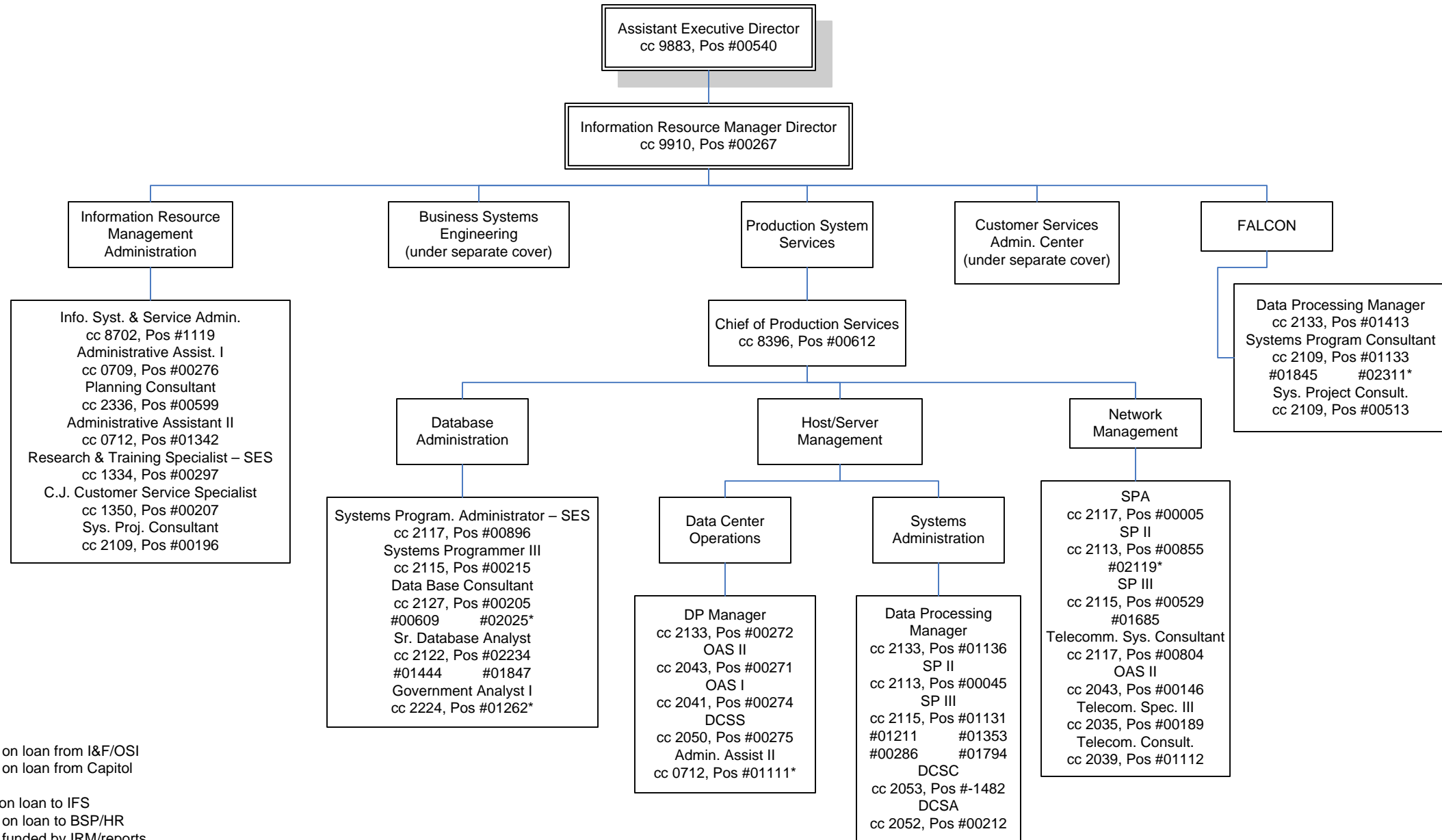
Director, Criminal Justice Information  
 cc 9827, Pos #00019

Chief, Florida Crime Information  
 cc 1962, Pos #00301

Administrative Assistant I  
 cc 0709, Pos #00302  
 Government Analyst II  
 cc 2225, Pos #01032  
 Policy & Research Coord.  
 cc 7567, Pos #00490  
 Government Operations  
 Consultant II  
 cc 2236, Pos #01273

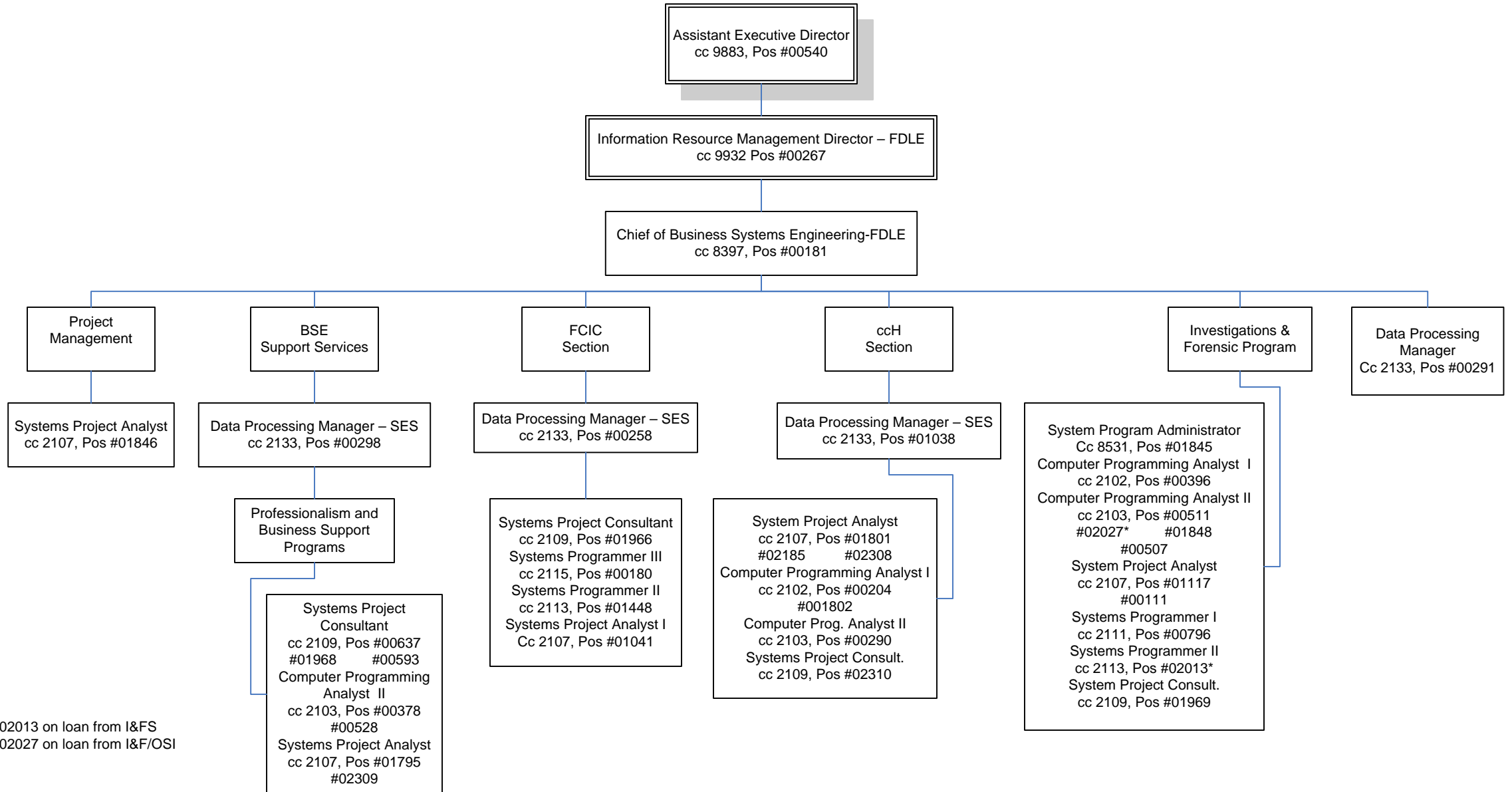


Florida Department of Law Enforcement  
Information Resource Management



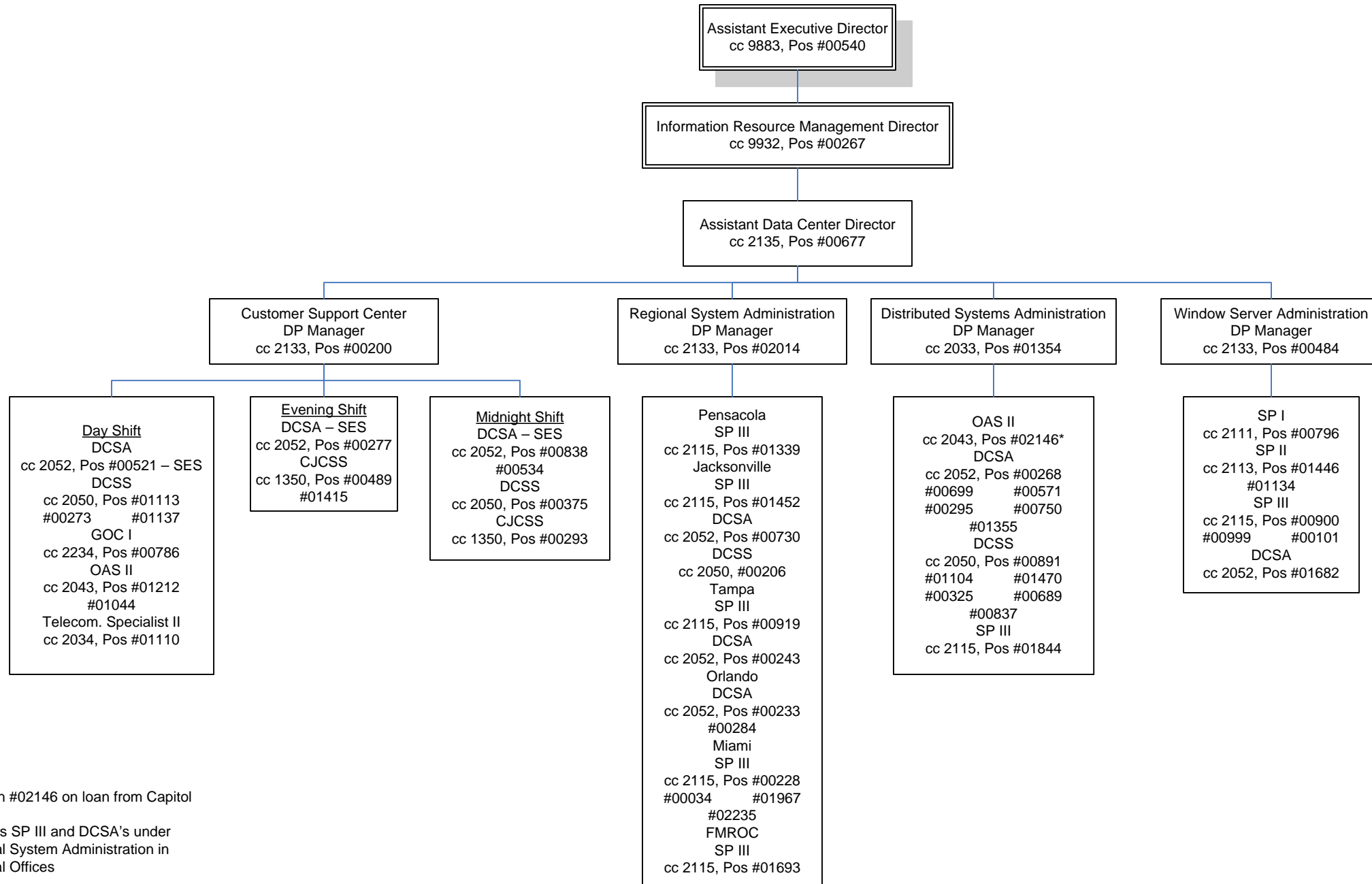
\*Position #02025 on loan from I&F/OSI  
 \*Position #02119 on loan from Capitol Police  
 \*Position #-1262 on loan to IFS  
 \*Position #01111 on loan to BSP/HR  
 \*Position #02311 funded by IRM/reports to CJIS

Florida Department of Law Enforcement  
 Information Resource Management  
 Business Systems Engineering



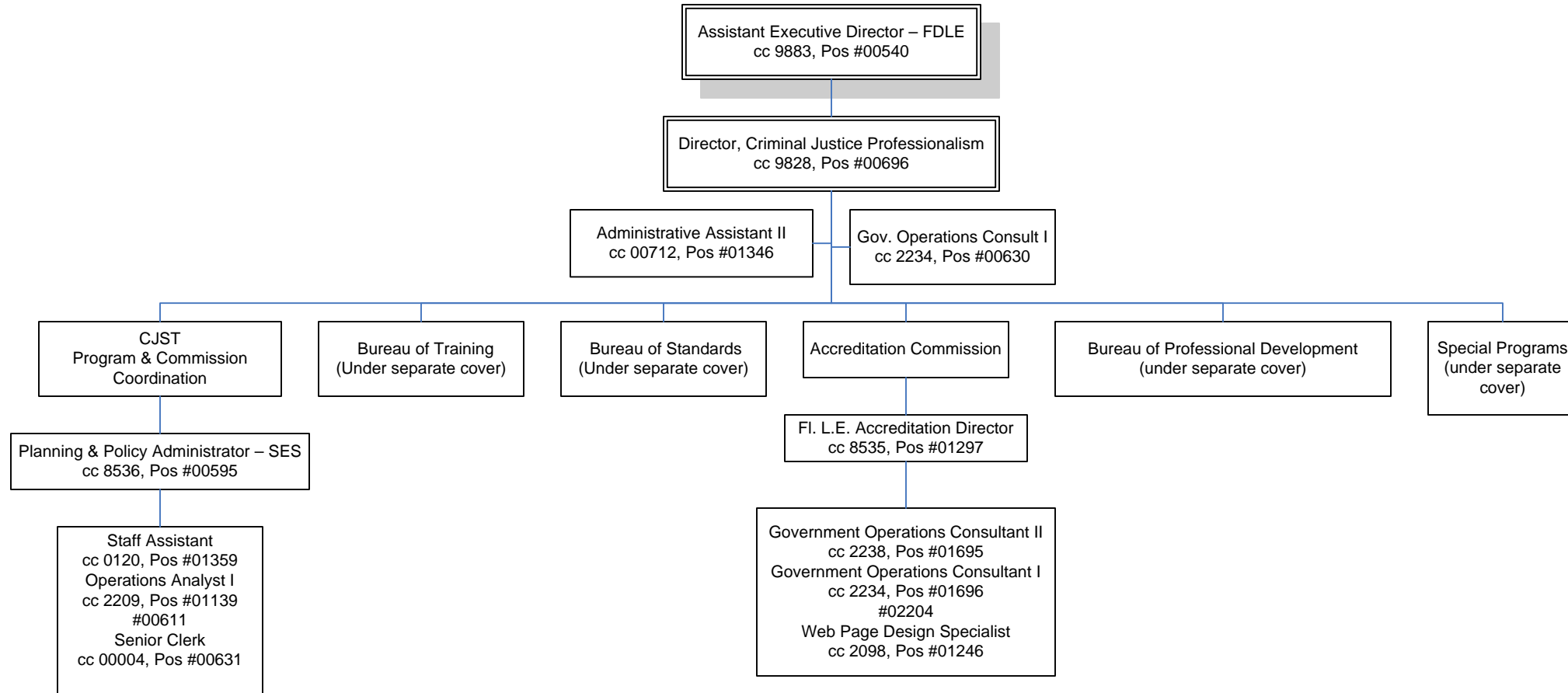
\*Position #02013 on loan from I&FS  
 \*Position #02027 on loan from I&F/OSI

Florida Department of Law Enforcement  
 Information Resource Management  
 Customer Service Administration



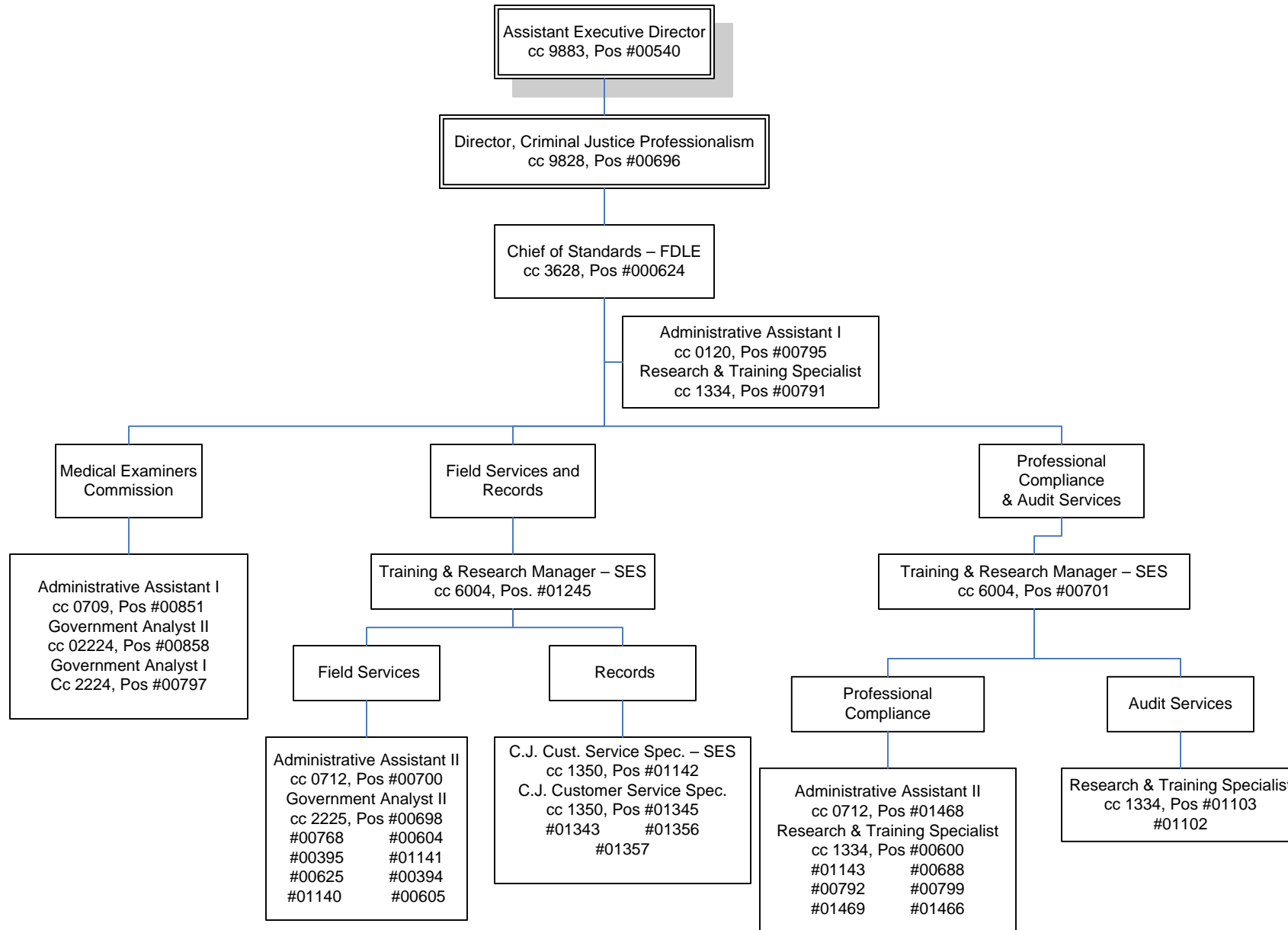
\*Position #02146 on loan from Capitol Police  
 Positions SP III and DCSA's under Regional System Administration in Regional Offices

Florida Department of Law Enforcement  
Criminal Justice Professionalism

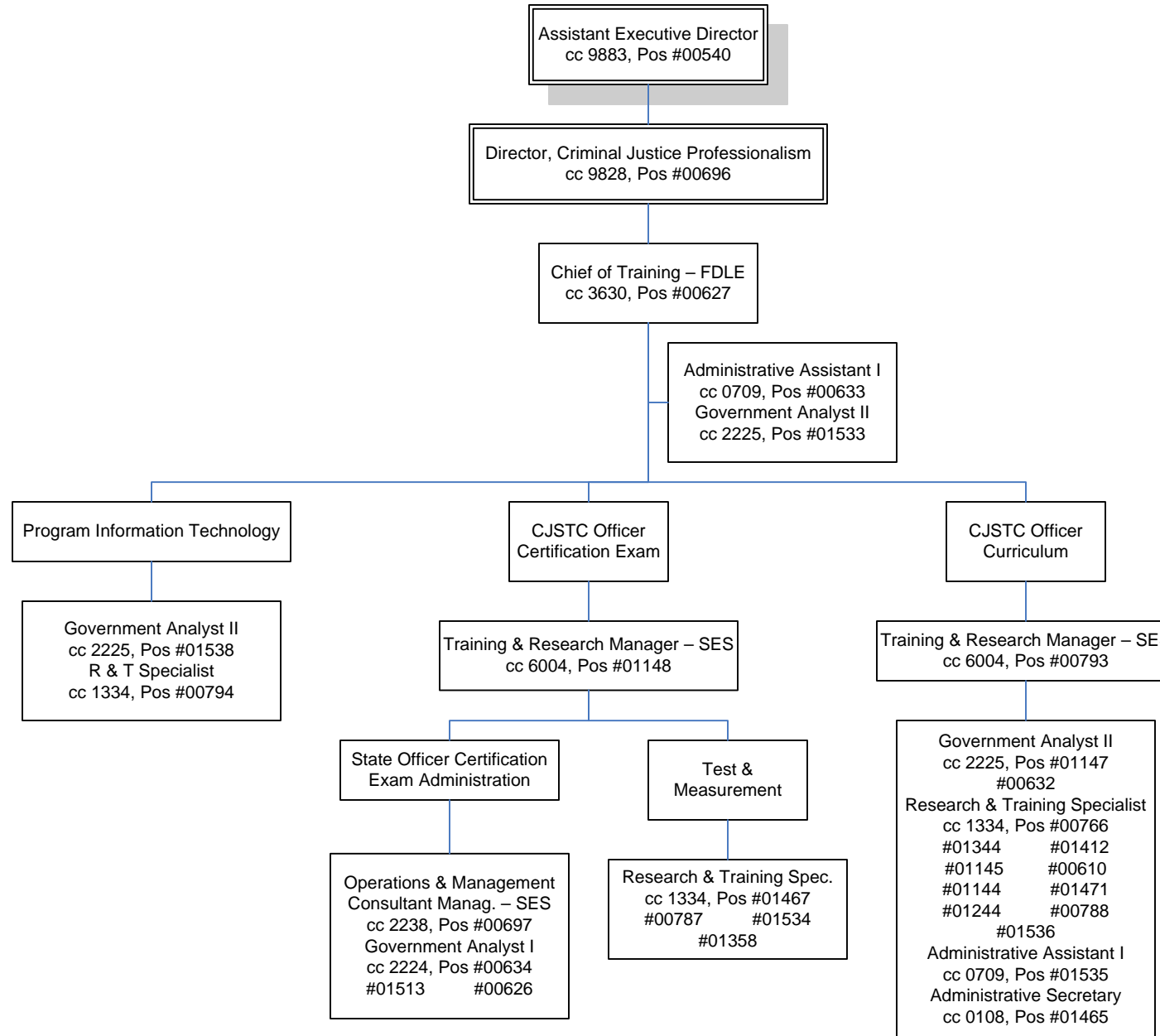




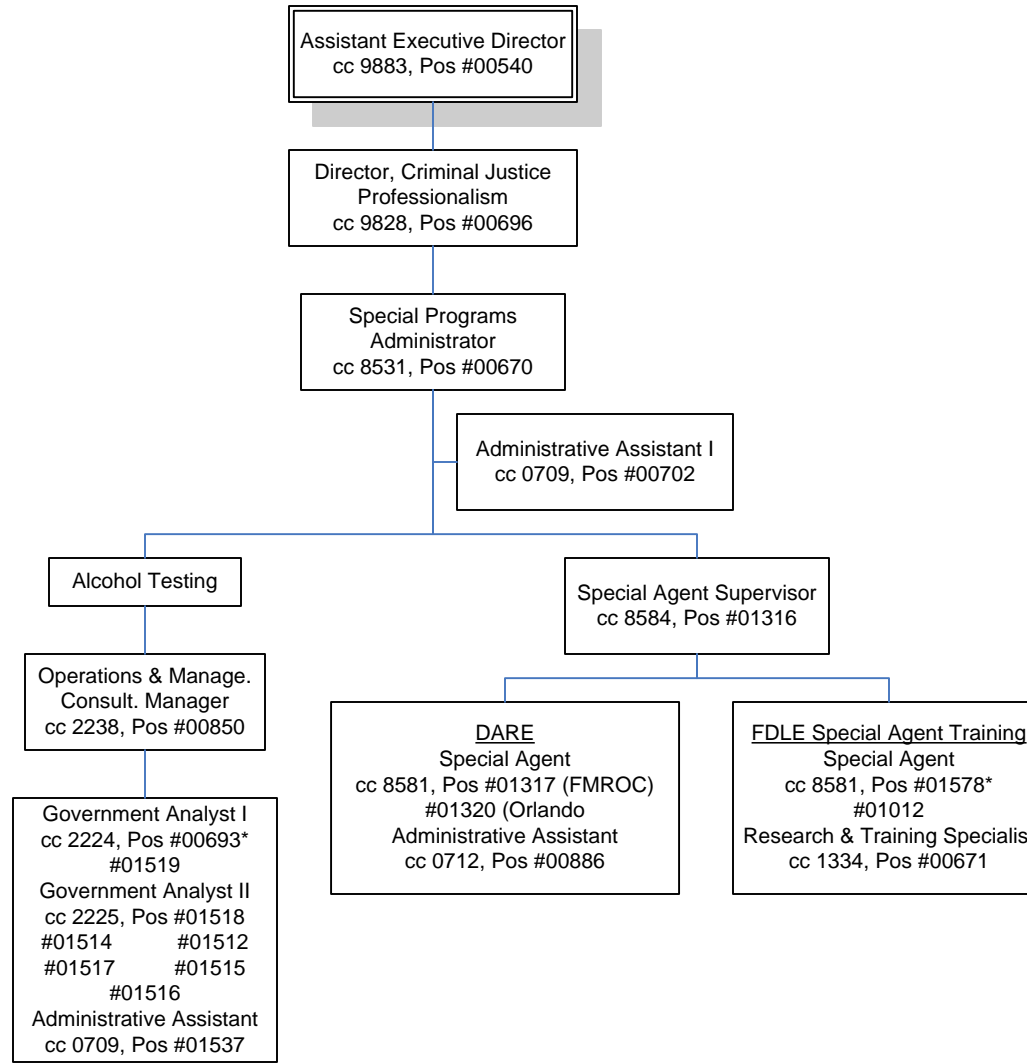
Florida Department of Law Enforcement  
 Criminal Justice Professionalism  
 Bureau of Standards



Florida Department of Law Enforcement  
 Criminal Justice Professionalism  
 Bureau of Training

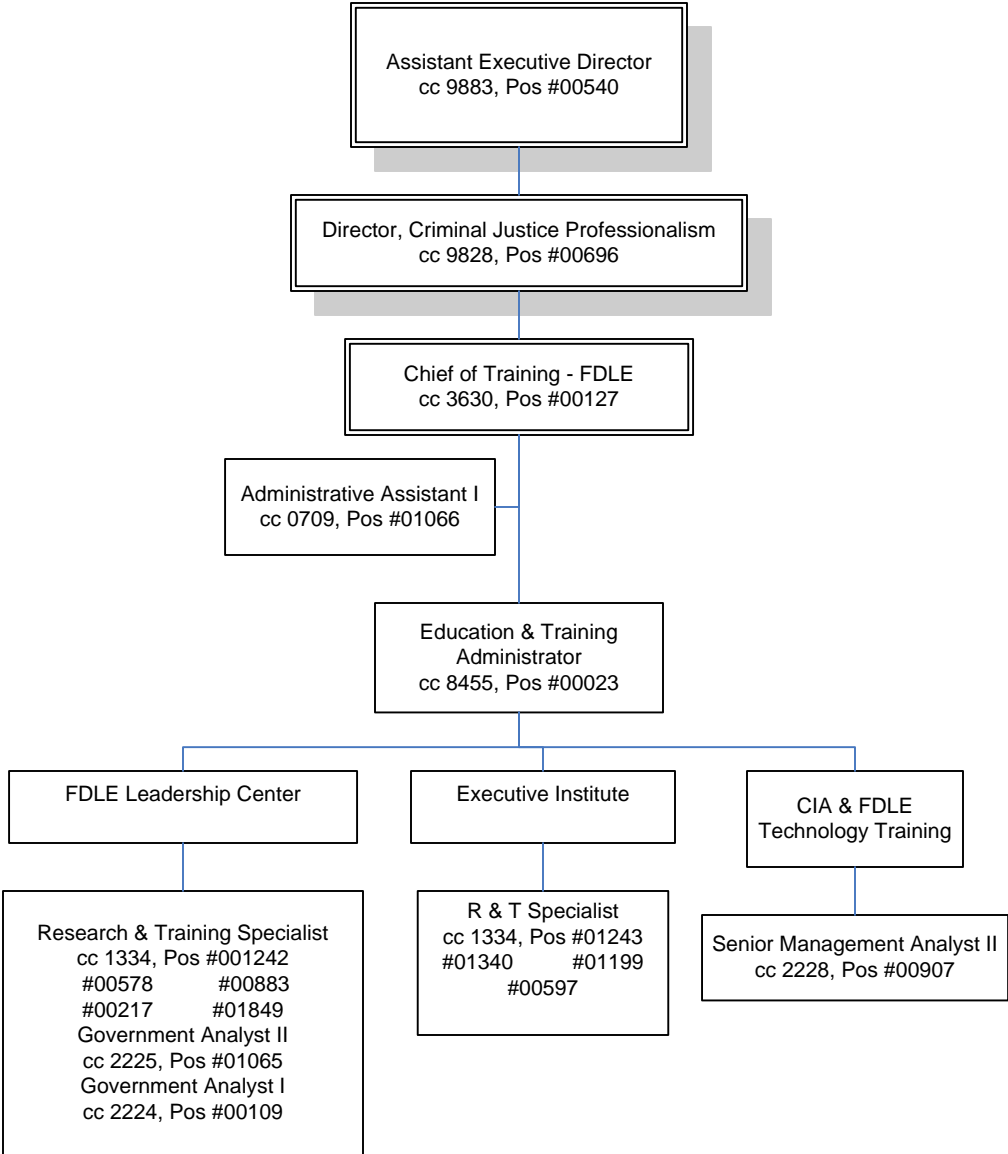


Florida Department of Law Enforcement  
 Criminal Justice Professionalism  
 Special Programs



\*Position #01578 on loan from I&F/Dir.-  
 Prog. Wide  
 \*Position #00693 on loan to CJIS -  
 Director

Florida Department of Law Enforcement  
Bureau of Professionalism Development



LAW ENFORCEMENT, DEPARTMENT OF		FISCAL YEAR 2007-08	
SECTION I: BUDGET		OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		293,815,197	1,000,000
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		49,931,545	0
FINAL BUDGET FOR AGENCY		343,746,742	1,000,000
SECTION II: ACTIVITIES + MEASURES		Number of Units	(1) Unit Cost
<i>Executive Direction, Administrative Support and Information Technology (2)</i>			(2) Expenditures (Allocated)
			(3) FCO
Capitol Complex Security * Number of officer patrol hours		119,304	57.12
Florida Law Enforcement Accreditation * Total number of agencies and jails accredited.		160	4,813.07
Dna Database * Number of DNA samples added to the DNA database.		134,217	31.08
Automated Fingerprint Identification System (afis) * Number of AFIS service requests completed.		5,515	90.23
Computer Evidence Recovery (cer) * Number of CER service requests completed.		469	582.59
Chemistry * Number of chemistry service requests completed.		33,295	251.63
Toxicology * Number of toxicology service requests completed.		8,622	316.88
Microanalysis * Number of microanalysis service requests completed.		627	3,030.14
Firearms * Number of firearms service requests completed.		7,594	583.44
Latents * Number of latents service requests completed.		8,922	993.45
Serology * Number of Serology/DNA service requests completed.		14,607	913.91
Crime Scene Response * Number of crime scene service requests completed.		558	5,374.99
Narcotics/Major Drug Investigations * Number of major drug criminal investigations closed.		238	81,429.39
Investigative And Technical Assistance * Number of short term criminal investigative assists worked.		8,562	882.07
Violent Crime Investigations * Number of Violent Crime criminal investigations closed.		190	51,543.98
Public Integrity Investigations * Number of Public Integrity criminal investigations closed.		130	57,134.02
Economic Fraud Investigations * Number of Economic Crime investigations closed.		127	113,955.00
Domestic Security *		836	37,689.56
Protection Of Dignitaries And Support * Number of dignitaries provided with Florida Department of Law Enforcement protective services.		81	21,033.43
Central Operations * Number of Florida Crime Information Center(FCIC) certified operators.		63,282	24.69
Systems Support * Number of requests for customer support.		58,158	100.69
Production Systems Services * Number of Florida Crime Information Center(FCIC) data transactions.		968,567,283	0.03
Missing Children Information Clearinghouse * Number of missing children cases worked through MCIC.		5,714	140.19
Sexual Predator Tracking And Information * Number of registered sexual predators/offenders identified to the public.		48,840	33.90
Criminal History Information * Number of responses to requests for criminal history record checks		2,822,274	3.24
Criminal History Creation And Maintenance * Number of arrest records created and maintained.		19,947,697	0.47
Criminal Justice Information Policy Compliance * Number of FCIC certified operators.		63,282	15.37
Officer Compliance * Number of criminal justice officer disciplinary actions.		670	2,490.47
Alcohol Testing Program * Number of breath testing instruments tested.		548	1,737.34
Officer Records Management * Records audited to validate the accuracy/completeness of ATMS2 record information		9,872	66.74
Field Service And Technical Assistance/Audits * Number requested technical assists provided.		15,253	87.89
Criminal Justice Training * Number of individuals trained.		25,035	165.78
Curriculum And Exam Development * Number of course curricula and exams developed, revised and administered.		9,623	247.10
Public Assistance Fraud Investigations * Number of public assistance fraud investigations conducted.		3,386	2,738.66
TOTAL			228,145,401
SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS			
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS			
OTHER			35,622,429
REVERSIONS			79,979,028
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)			343,746,858
			1,000,000

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

- (1) Some activity unit costs may be overstated due to the allocation of double budgeted items.
- (2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.
- (3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.
- (4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

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

<b>Contact Information</b>
Agency: Florida Department of Law Enforcement
Name: Joy James
Phone: 410-7234
E-mail address: joyhammerschmidt@fdle.state.fl.us

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

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.

<b>1. Commodities proposed for purchase.</b>
FDLE is not proposing additional contracts only revisions to existing contract for the LIBRA system and continuation of the approved Data Center A/C units.
<b>2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.</b>
<b>3. Summary of one-time payment versus financing analysis including a summary amortization schedule for the financing by fiscal year (amortization schedule and analysis detail may be attached separately).</b>
<b>4. Identify base budget proposed for payment of contract and/or issue code and title of budget request if increased authority is required for payment of the contract.</b>

**FLORIDA DEPARTMENT  
OF  
LAW ENFORCEMENT**

**SCHEDULE IV-B**

**DATA CENTER AC REPLACEMENT  
FOR  
FISCAL YEAR 2009-10**

**OCTOBER 15, 2008**

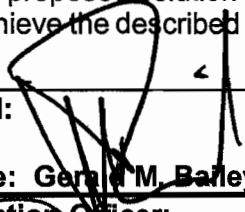


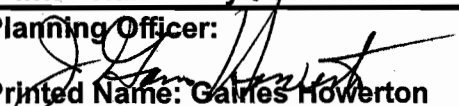

**ORIGINALLY SUBMITTED WITH FY 2008-09 LBR**

## Table of Contents

<b>I.</b>	Schedule IV-B Cover Sheet .....	<b>3</b>
<b>II.</b>	Schedule IV-B Business Case .....	<b>4</b>
	A. Background and Strategic Needs Assessment .....	4
	B. Assumptions .....	5
<b>III.</b>	Major Project Risk Assessment Component .....	<b>7</b>
	A. Risk Assessment Tool .....	7
	B. Risk Assessment Summary .....	8
<b>IV.</b>	Technology Planning Component .....	<b>9</b>
	A. Proposed Solution Description .....	9
	B. Capacity Planning .....	10
	C. Analysis of Alternatives .....	10
<b>V.</b>	Project Management Planning Component .....	<b>12</b>
	A. Project Charter .....	12
	B. Work Breakdown Structure .....	13
	C. Project Schedule .....	14
<b>VI.</b>	Appendices .....	<b>15</b>
	A. Appendix A - Risk Analysis Worksheets .....	16
	B. Appendix B - Budget Worksheet .....	17



**I. Schedule IV-B Cover Sheet**

Schedule IV-B Cover Sheet and Agency Project Approval	
<b>Agency:</b> Florida Department of Law Enforcement	<b>Schedule IV-B Submission Date:</b> October 15, 2007
<b>Project Name:</b> Data Center Air Conditioner Replacement	<b>Is this project included in the Agency's LRPP?</b> ___ Yes <u>X</u> No
<b>FY 2008-2009 LBR Issue Code:</b> 24010C0	<b>FY 2008-2009 LBR Issue Title:</b> Data Center Air Conditioner Replacement
<b>Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):</b> Mark Scharein / 850-410-8410 / markscharein@fdle.state.fl.us	
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.	
<b>Agency Head:</b>  Printed Name: Gerald M. Bailey	<b>Date:</b> 10/11/07
<b>Chief Information Officer:</b>  Printed Name: Penny Kincannon	<b>Date:</b> 10/10/07
<b>Budget Officer:</b>  Printed Name: Joy Hammerschmidt	<b>Date:</b> 10/10/07
<b>Planning Officer:</b>  Printed Name: Gaines Howerton	<b>Date:</b> 10/10/07
<b>Project Sponsor:</b>  Printed Name: Penny Kincannon	<b>Date:</b> 10/10/07
Schedule IV-B Preparers (Name, Phone #, and E-mail address)	
<b>Business Need:</b>	Joey Hornsby / 850-410-8455 / joeyhornsby@fdle.state.fl.us
<b>Cost Benefit Analysis:</b>	NA
<b>Risk Analysis:</b>	Same
<b>Technology Planning:</b>	Same
<b>Project Planning:</b>	NA

## II. Schedule IV-B Business Case

### A. Background and Strategic Needs Assessment

The Florida Department of Law Enforcement (FDLE) is a statewide law enforcement agency that offers a wide range of investigative and technical services to criminal justice agencies, other government agencies, private organizations and citizens. FDLE operates a Data Center in its headquarters complex in Tallahassee. The Data Center consists of approximately 9,000 square feet of raised floor area for computer equipment and approximately 1,000 square feet used for uninterruptible power supplies, battery banks and transformers. The Data Center houses computer hardware, software and information required to provide a number of critical information systems. Among these systems are:

- Florida Crime Information Center - Florida's central law enforcement message switch linked to NCIC and other states
- Computerized Criminal History System - central repository of criminal history records
- Automated Fingerprint Identification System – central repository for criminal and authorized civil fingerprints
- Rapid Identification System – instant biometric identification to support the Jessica Lunsford Act
- Sex Offender / Predator System – central registry for Florida sex offenders and predators
- Automated Investigation Management System - FDLE case management system
- Laboratory Information Management System - FDLE forensic laboratory management system
- The Data Center operates on a 7 x 24 x 365 schedule because many of the information systems must be available to law enforcement around-the-clock.

FDLE relies on twelve (12) air conditioning units to provide temperature control in the Data Center (10 Liebert and 2 Carrier). The two Carrier units were installed in June of 2001. Six Liebert units were moved from FDLE's former Data Center (on Adams Street) to the present headquarters complex in 1990. These units are about 20 years old. Four Liebert units were installed when the new Data Center was constructed. These units are now about 18 years old. FDLE proposes replacing the ten older units.

These units have reached the end of their expected life cycle. For example, the fan bearings were rated for 100,000 hours of service (or about 11.5 years). Electronic controls on the older units are obsolete and the parts are no longer available. This is a major concern. If the control boards fail, the repair cost will be expensive. The cost for this repair is estimated at \$15,000.00 to \$18,000.00 per unit for material and labor to convert the unit to the new, supported control boards. The outside condensing units are the same age as the interior units. They are showing significant signs of deterioration due to age, use, and weather. The large condensing coils are showing significant corrosion.

Specifics of recent requests for remedial service of a/c units –

- 1/12/05 – Unit # 2 had broken drain line fitting. Unit # 4 had a faulty liquid line solenoid valve on circuit # 1.
- 2/4/05 – Unit # 10 had faulty liquid line solenoid on circuit # 1. Unit # 9 had faulty liquid line solenoid valve on circuit # 2
- 5/3/05 – Unit # 9 had faulty liquid line solenoid valve .
- 6/21/05 - Unit # 4 had a bad compressor on circuit # 2.

- 6/24/05 - Unit # 8 had bad fan motor and high pressure switch.
- 7/26/05 – Unit # 1 had bad compressor on circuit # 2.
- 9/23/05 – Unit # 8 had faulty low pressure switch, high pressure switch and pressure relief plug.
- 9/26/05 - Unit # 3 had faulty power supply. Unit # 9 had faulty solenoid valve.
- 10/3/05 - Unit # 10 had bad fan motor.
- 10/17/05 - Unit # 2 had bad power supply.
- 10/25/05 - Unit #10 loose wiring connection repaired.
- 1/31/06 – Unit # 7 -defective phase motor and defective temperature cutout switch on the rooftop condenser unit.
- 6/16/06 – Previous failure of belts - pulley sheaths and belts were replaced on all units.
- 7/26/06 – Unit # 14 - two broken belts.
- 1/9/07 – Unit # 1 - bad solenoid valve.
- 4/12/07 – Unit # 7 - Cycled power and unit started cooling.
- 4/25/07 – Unit # 7 - bad temperature/humidity sensor board. Board is no longer available. To upgrade the unit to the newer control board could cost from \$14,000.00 to \$18,000.00 and unit would be out of service from point of failure till parts arrive and estimated installation of at least 8 hrs. However, FDLE was able to cannibalize an older – no longer used – unit to provide this part.
- 4/17/07 – Unit # 3 - bad fan motor on the rooftop condenser unit.
- 10/8/07 - Unit #7 failed over the weekend. Maintenance vendor notified and will service the unit.

FDLE has a maintenance contract for the air conditioning units. However, replacement of the obsolete control boards is not covered under our existing maintenance contract. The current maintenance contract will expire in December 2008.

FDLE proposes replacing the ten older units with new air conditioning units. This will enable FDLE to use existing wiring, refrigerant lines and unit footprints.

Failure to replace this equipment increases the risk that one or more air conditioning units will fail and FDLE will be forced to shut down mission critical information systems in order to preserve valuable computer hardware in the Data Center. This directly affects Florida law enforcement agencies, other government agencies, private businesses and citizens who rely on FDLE information services.

## B. Assumptions

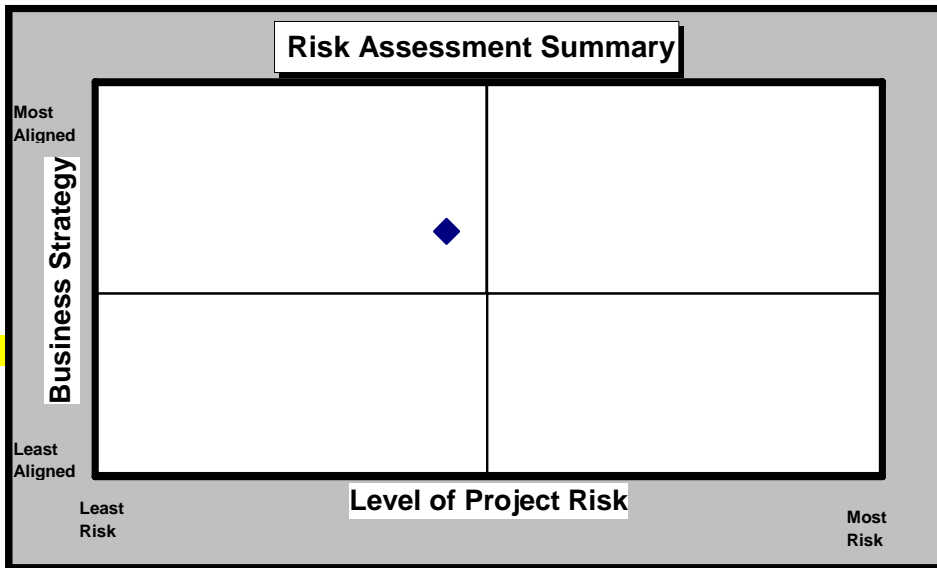
- Total cost to install new air conditioning units will be approximately \$900,000,
- Installation will be completed during the first quarter of 2009,
- A/C units will be financed through the State's Consolidated Equipment Financing Program (CEFP),
- Financing term will be 4 years at no more than 5%, and

- Two quarterly payments will be made in FY 2008-09.

### III. Major Project Risk Assessment Component

#### A. Risk Assessment Tool

<b>Project</b>	<i>Data Center Air Conditioner Replacement</i>	
<b>Agency</b>	<i>Florida Department of Law Enforcement</i>	
<b>FY 2008-2009 LBR Issue Code:</b>	<b>FY 2008-2009 LBR Issue Title:</b>	
<i>Issue Code</i>	<i>Data Center AC Replacement</i>	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
<i>Joey Hornsby ----- 850-410-8455 ----- joeyhornsby@fdle.state.fl.us</i>		
<b>Executive Sponsor</b>	<i>Penny Kincannon</i>	
<b>Project Manager</b>	<i>Joey Hornsby</i>	
<b>Prepared By</b>	<i>Joey Hornsby</i>	<i>9/10/2007</i>



<b>Project Risk Area Breakdown</b>	
<b>Risk Assessment Areas</b>	<b>Risk Exposure</b>
Strategic Assessment	LOW
Technology Exposure Assessment	LOW
Organizational Change Management Assessment	LOW
Communication Assessment	HIGH
Fiscal Assessment	HIGH
Project Organization Assessment	MEDIUM
Project Management Assessment	MEDIUM
Project Complexity Assessment	MEDIUM
<b>Overall Project Risk</b>	<b>MEDIUM</b>

## B. Risk Assessment Summary

The Communication Area of this Risk Analysis is largely non-applicable to this project. The project involves an upgrade of data center air conditioning infrastructure that will be completely transparent to all users. For this reason, a formal communication plan for communicating with the user community is unnecessary and has not been prepared. The lack of this formal communication plan artificially inflates the Communication Area rating to High when, in fact, the risk in the Communication area is nil.

The Fiscal Assessment is rated high because FDLE has developed a cost estimate for this project, but has not yet compiled a detailed set of requirements or associated procurement documents.

## IV. Technology Planning Component

### A. Proposed Solution Description

#### 1. Summary description of proposed system

FDLE proposes replacing the ten older air conditioning units with new air conditioning units. This will enable FDLE to use existing wiring, refrigerant lines and unit footprints. This replacement would be best accomplished with a "unit-for-unit" replacement. After considering the option of reducing the number of units by replacing with some number of larger units, the following issues support the "unit-for-unit" replacement strategy:

- All necessary infrastructure (electrical wiring and coolant plumbing) is in place to accommodate the new units. Changes to this infrastructure to facilitate differing requirements would be very disruptive to the Data Center environment.
- Internal and external unit footprints remain unchanged. The location and capacity of existing air conditioning units is designed to deliver the proper cooling based on the location and needs of existing Data Center equipment. Changing the capacity and location of cooling units would not only be disruptive to the Data Center environment, but would necessitate a re-evaluation of cooling needs and redesign of cooling locations throughout the entire Data Center.
- Changes in heat load, based on equipment type and placement, have historically necessitated a re-evaluation of cooling capacity. At one point, FDLE was able to eliminate 2 units and make the appropriate adjustments to account for those eliminations. There are no current heat load issues which would dictate any need to re-distribute cooling. Should additional heat load become an issue in the future, the infrastructure (electrical wiring and coolant plumbing) remain in place from the eliminated units, which could be re-added if necessary.

#### 2. Resource and summary level funding requirements for proposed system

Based on financing \$900,000 for 48 months at 5%:

FY	# of Pmts.	Amount
2008-09	2	\$125,000
FY09-10	4	\$250,000
FY10-11	4	\$250,000
FY11-12	4	\$250,000
FY12-13	2	\$125,000

#### 3. Ability of the proposed system to meet projected performance requirements:

The proposed AC units use current technologies to provide critical environmental control of the FDLE data center.

- The electronic controls on the existing units are obsolete and the parts are no longer available.
- The outdoor condensers originally were corrugated fin aluminum. The new condensers are lanced fin and much more efficient.
- The original units main fan bearings are rated at 100,000 hours.  $24 \times 365 = 8760 \times 20 \text{ yrs.} = 175,000 \text{ hrs}$  (New units bearings are 200,000 hour rated)
- The digital scroll compressors (of the new units) are more energy efficient than the current Carlyle compressors. This feature allows compressors to run at variable speeds rather than full on or full stop.
- The new units will utilize environment friendly R-407C refrigerant. Laws are in place at this time that will require this refrigerant in new equipment beginning January 2010.

## B. Capacity Planning

The FDLE data center houses servers, networking and other system equipment for the Florida CJNet and various criminal justice systems. Although the automation of information has increased greatly over the years (and is expected to continue) the overall size of the data center has remained constant. In addition, advances in technology such as server virtualization have made it possible to increase systems and processing power without extensive hardware additions. FDLE believes that the replacement of the 10 air conditioning units with current technology will provide sufficient environmental control for the FDLE datacenter (at a much greater level of energy efficiency) for the foreseeable future. However, this will be verified in the coming months. FDLE plans to hire an engineering firm to perform capacity / requirements analysis to help guide the agency's planning and procurement decisions.

## C. Analysis of Alternatives

### 1. Assessment of Alternatives

#### **Alternative 1: Replace AC Equipment**

FDLE relies on twelve (12) air conditioning units to provide temperature control in the Data Center (10 Liebert and 2 Carrier). The two Carrier units were installed in June of 2001. Six Liebert units were moved from FDLE's former Data Center (on Adams Street) to the present headquarters complex in 1990. These units are about 20 years old. Four Liebert units were installed when the new Data Center was constructed. These units are now about 18 years old. FDLE proposes replacing the ten older units.

These units have reached the end of their expected life cycle. For example, the fan bearings were rated for 100,000 hours of service (or about 11.5 years). Electronic controls on the older units are obsolete and the parts are no longer available. This is a major concern. If the control boards fail, the repair cost will be expensive. The cost for this repair is estimated at \$15,000.00 to \$18,000.00 per unit for material and labor to convert the unit to the new, supported control boards. The outside condensing units are the same age as the interior units. They are showing significant signs of deterioration due to age, use, and weather. The large condensing coils are showing significant corrosion.

FDLE has a maintenance contract for the air conditioning units. However, replacement of the obsolete control boards is not covered under our existing maintenance contract. The current maintenance contract will expire in December 2008. At that time, FDLE will extend maintenance coverage until new units are installed and operational.

FDLE proposes replacing the ten older units with new air conditioning units. This will enable FDLE to use existing wiring, refrigerant lines and unit footprints.

The duty cycle for a Data Center environment, which must be maintained 24x7x365, is extremely demanding on air conditioning systems.

#### **Alternative 2: Maintain Current Equipment**

FDLE could attempt to operate the current air conditioning equipment and repair or replace units as they fail. However, this alternative increases the risk that one or more air conditioning units will fail and FDLE will be forced to shut down mission critical information systems in order to preserve valuable computer hardware in the Data Center. This directly affects Florida law enforcement agencies, other government agencies, private businesses and citizens who rely on FDLE information services. This alternative will involve additional cost. However, it is difficult to estimate that cost, other than to plan for worst case scenario in which all units fail during the fiscal year. This option, while listed for completeness, is not recommended.



### **Alternative 3: Rebuild Each of the Current Air Conditioners**

One alternative to system replacement is to have each unit completely rebuilt. Simply replacing the control boards that are no longer available will only resolve one of many issues. By replacing all parts that are replaceable in the existing units would result in the most up to date system possible within the confines of the “core” of the system. These replacements would include such things as control units, condensers, compressors, etc. This alternative would upgrade existing units to as close to new as possible. The total cost to rebuild each obsolete unit is estimated at \$78,000 each as opposed to approximately \$60,000 for a new unit.

Cost to totally rebuild a unit –

- Controls upgrade is approx. \$8,500.00.
- Indoor unit fan assembly hardware is approx \$10,000.00.
- Outside unit fan assembly is approx. \$5,000.00.
- Inside evaporator coil is approx. \$ 15,000.00.
- Outside condenser coil is approx. \$20,000.00.
- The compressors are \$16,000.00 to \$20,000.00. These are “Carrier Carlye” cast iron compressors and they are no longer manufactured, so the replacements will be either remanufactured or rebuilt.

In addition, the maintenance costs (currently \$55,856 per year) will continue to increase exponentially:

- Next renewal will be \$60,325.00 per year.
- \$65,151.00 for the 2nd year
- \$68,409.00 for the 3rd year

The maintenance cost on the new models is estimated at only \$25,000 to \$30,000 per year – significantly less than the rebuilt models. Based on the increased cost and the antiquated systems which would result, FDLE does not recommend this option.

## **2. Technology Recommendation**

FDLE is requesting funds to replace ten (10) air conditioning units in its Data Center.

FY 2008-09 funds will be used to acquire new data center air conditioning units, planning and engineering services and installation services.

## V. Project Management Planning Component

### A. Project Charter

The Florida Department of Law Enforcement (FDLE) is a statewide law enforcement agency that offers a wide range of investigative and technical services to criminal justice agencies, other government agencies, private organizations and citizens. FDLE operates a Data Center in its headquarters complex in Tallahassee. The Data Center consists of approximately 9,000 square feet of raised floor area for computer equipment and approximately 1,000 square feet used for uninterruptible power supplies, battery banks and transformers. The Data Center houses computer hardware, software and information required to provide a number of critical information systems. Among these systems are:

- Florida Crime Information Center - Florida's central law enforcement message switch linked to NCIC and other states
- Computerized Criminal History System - central repository of criminal history records
- Automated Fingerprint Identification System – central repository for criminal and authorized civil fingerprints
- Rapid Identification System – instant biometric identification to support the Jessica Lunsford Act
- Sex Offender / Predator System – central registry for Florida sex offenders and predators
- Automated Investigation Management System - FDLE case management system
- Laboratory Information Management System - FDLE forensic laboratory management system
- The Data Center operates on a 7 x 24 x 365 schedule because many of the information systems must be available to law enforcement around-the-clock.

FDLE relies on twelve (12) air conditioning units to provide temperature control in the Data Center (10 Liebert and 2 Carrier). The two Carrier units were installed in June of 2001. Six Liebert units were moved from FDLE's former Data Center (on Adams Street) to the present headquarters complex in 1990. These units are about 20 years old. Four Liebert units were installed when the new Data Center was constructed. These units are now about 18 years old. FDLE proposes replacing the ten older units.

These units have reached the end of their expected life cycle. For example, the fan bearings were rated for 100,000 hours of service (or about 11.5 years). Electronic controls on the older units are obsolete and the parts are no longer available. This is a major concern. If the control boards fail, the repair cost will be expensive. The cost for this repair is estimated at \$15,000.00 to \$18,000.00 per unit for material and labor to convert the unit to the new, supported control boards. The outside condensing units are the same age as the interior units. They are showing significant signs of deterioration due to age, use, and weather. The large condensing coils are showing significant corrosion.

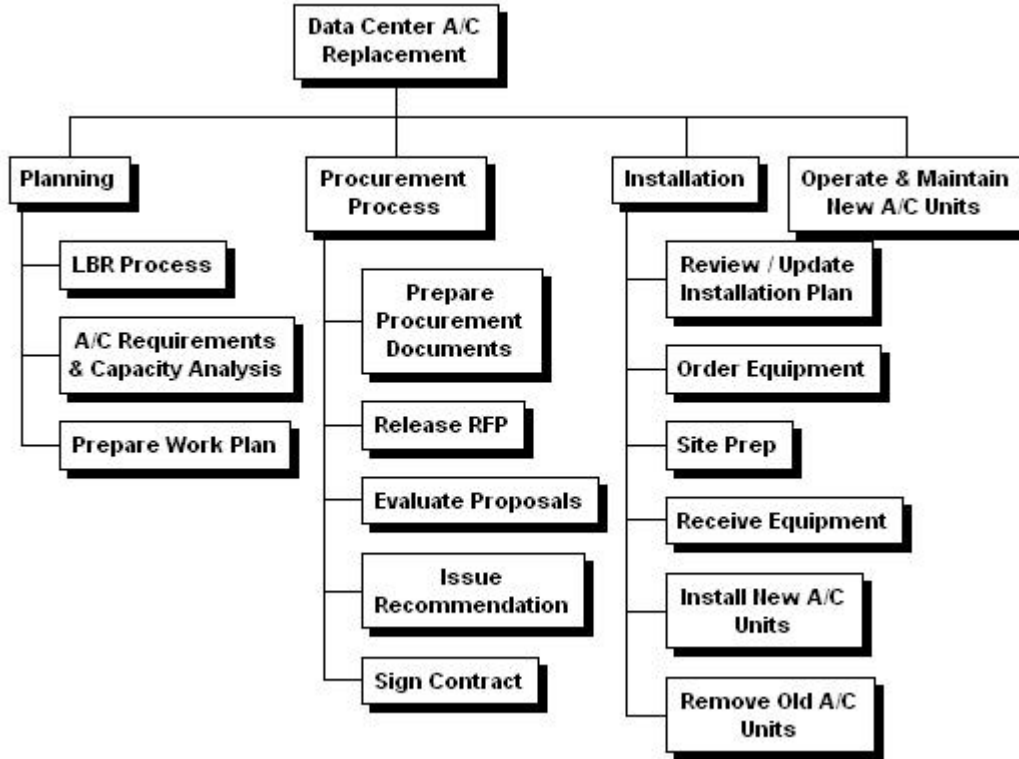
FDLE has a maintenance contract for the air conditioning units. However, replacement of the obsolete control boards is not covered under our existing maintenance contract. The current maintenance contract will expire in December 2008.

Failure to replace this equipment increases the risk that one or more air conditioning units will fail and FDLE will be forced to shut down mission critical information systems in order to preserve valuable computer hardware in the Data Center. This directly affects Florida law enforcement agencies, other government agencies, private businesses and citizens who rely on FDLE information services.

FDLE plans to replace the ten older units with new air conditioning units during FY 2008-2009. This will enable FDLE to use existing wiring, refrigerant lines and unit footprints. The total cost to

install new air conditioning units is approximately \$900,000. The purchase of the A/C units will be financed through the State's Consolidated Equipment Financing Program (CEFP) for 4 years at no more than 5%. Installation of the AC units will be completed during the first quarter of 2009 with the first two quarterly payments made in FY 2008-09.

B. Work Breakdown Structure



C. Project Schedule

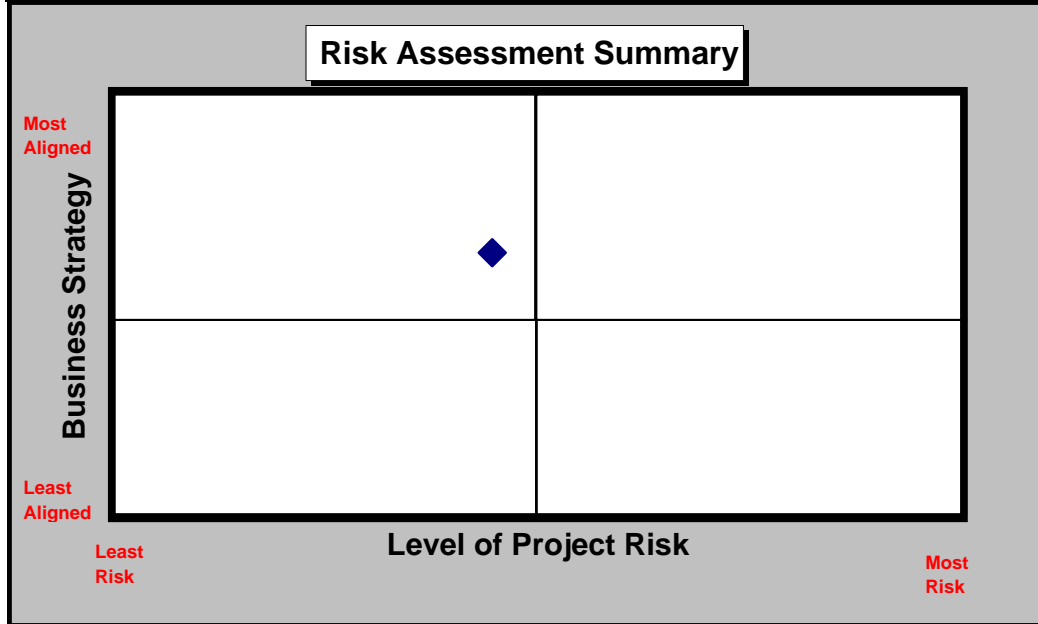
May 2008	Prepare Procurement Documents
June 2008	FDLE Contracts Office / Legal Review
July 2008	Start Procurement Process
September 2008	Sign Contract
December 2008	Begin Delivery / Installation of Equipment
March 2009	Complete Installation

## VI. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Appendix A - Risk Analysis Worksheets

<b>Project</b>	<i>Data Center Air Conditioner Replacement</i>	
<b>Agency</b>	<i>Florida Department of Law Enforcement</i>	
<b>FY 2008-2009 LBR Issue Code:</b>	<b>FY 2008-2009 LBR Issue Title:</b>	
<i>Issue Code</i>	<i>Data Center AC Replacement</i>	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
<i>Joey Hornsby ----- 850-410-8455 ----- joeyhornsby@fdle.state.fl.us</i>		
<b>Executive Sponsor</b>	<i>Penny Kincannon</i>	
<b>Project Manager</b>	<i>Joey Hornsby</i>	
<b>Prepared By</b>	<i>Joey Hornsby</i>	<i>9/10/2007</i>



<b>Project Risk Area Breakdown</b>	
Risk Assessment Areas	Risk Exposure
Strategic Assessment	LOW
Technology Exposure Assessment	LOW
Organizational Change Management Assessment	LOW
Communication Assessment	HIGH
Fiscal Assessment	HIGH
Project Organization Assessment	MEDIUM
Project Management Assessment	MEDIUM
Project Complexity Assessment	MEDIUM
<b>Overall Project Risk</b>	
MEDIUM	

Agency: Florida Department of Law Enforcement

Project: Data Center Air Conditioner Replacement

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's mission?	0% to 25% -- Few or none aligned	91% to 100% -- All aligned
		25% to 50% -- Some aligned	
		51% to 75% -- Most aligned	
		76% to 90% -- Nearly all aligned	
		91% to 100% -- All aligned	
1.02	Are all project objectives clearly documented and understood by stakeholder groups?	Not understood	Completely understood
		Partially understood	
		Completely understood	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Rarely involved	Most regularly attend executive steering committee meetings.
		Most regularly attend executive steering committee meetings.	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings.	
1.04	Do all affected agencies and business/program units support the project objectives?	No support	Strongly support
		Some support	
		Strongly support	
1.05	Have all project business/program area requirements, objectives, assumptions, constraints, and priorities been defined and documented?	0% to 20% -- None or few defined and documented	91% to 100% -- All defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 91% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
1.06	Does the documented project plan address the entire lifecycle of the project?	Not addressed	Completely addressed
		Partially addressed	
		Completely addressed	
1.07	Has the agency documented its vision describing how changes to the technology infrastructure will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.08	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	
1.09	Is agency IT personnel turnover expected to significantly impact this project?	Yes	No
		No	
1.10	Are any project phase or milestone completion dates fixed by outside factors?	0% to 20% -- None or few dates	76% to 90% -- Nearly all dates
		21% to 50% -- Some dates	
		51% to 75% -- Most dates	
		76% to 90% -- Nearly all dates	
		91% to 100% -- All dates	
1.11	What is the external visibility of the project?	Extensive public visibility	Minimal public visibility
		Moderate public visibility	
		Minimal public visibility	
1.12	What is the internal visibility of the project?	Multiple agency or state enterprise visibility	Division and/or bureau visibility
		Agency visibility	
		Division and/or bureau visibility	



Agency: Florida Department of Law Enforcement

Project: Data Center Air Conditioner Replacement

Section 2 -- Technology Exposure Area			
#	Criteria	Value Options	Answer
2.01	Does the agency have experience working with, operating, and supporting this technology in a production environment?	Read about only or attended conference and/or presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Is the agency's knowledge of the proposed technology sufficient to implement with only internal resources?	Not sufficient	Not sufficient
		Sufficient	
2.03	Have all technology alternatives/solution options been clearly identified, researched, and documented?	0% to 20% -- None or few identified, documented, researched and considered	91% to 100% -- All identified, documented, researched, and considered
		21% to 50% -- Some identified, documented, researched, and considered	
		51% to 75% -- Most identified, documented, researched, and considered	
		76% to 90% -- Nearly all identified, documented, researched, and considered	
		91% to 100% -- All identified, documented, researched, and considered	
2.04	Do all project technology components comply with relevant state, agency, and industry standards?	0% to 20% -- Few or no components comply	91% to 100% -- All components comply
		21% to 50% -- Some components comply	
		51% to 75% -- Most components comply	
		76% to 90% -- Nearly all components comply	
		91% to 100% -- All components comply	
2.05	Do the proposed technologies require significant change to the agency's existing infrastructure?	Complete infrastructure replacement	Minor or no infrastructure change required
		Extensive infrastructure change required	
		Moderate infrastructure change required	
		Minor or no infrastructure change required	
2.06	Does the proposed technology solution align with the required business objectives?	Not aligned	Completely aligned
		Moderately aligned	
		Completely aligned	

Section 3 -- Organizational Change Management Area			
#	Criteria	Value Options	Answer
3.01	If successfully implemented, what is the level of organizational change within the agency that will be imposed by the project?	Extensive changes	Minimal changes
		Moderate changes	
		Minimal changes	
3.02	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	1% or less FTE count change
		1% to 10% FTE count change	
		1% or less FTE count change	
3.03	Will the agency's organizational structure change as a result of implementing the project?	Over 10% change	1% change or less
		6% to 9% change	
		2% to 5% change	
		1% change or less	
3.04	Has a documented Organizational Change Management Plan been prepared for this project?	No	No
		Yes	
3.05	Has the agency successfully completed a project with similar organizational change requirements?	No experience	Recently completed project with greater change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	
3.06	Will essential business processes be impacted by this project?	Yes	No
		No	
3.07	Have all business process changes and process interactions been defined and	0% to 20% -- None or few defined and documented	91% to 100% -- All defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
3.08	What is the expected project change impact on the citizens of the State of Florida?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.09	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been prepared?	0% to 20% -- Partially or not prepared	0% to 20% -- Partially or not prepared
		21% to 50% -- Partially prepared	
		51% to 75% -- Mostly prepared	
		76% to 90% -- Nearly all prepared	
		91% to 100% -- Completely prepared	
4.02	Will the project Communication Plan support effective feedback from management, project team, end users, and other stakeholders?	Negligible or no feedback support	Negligible or no feedback support
		Routine feedback support	
		Effective and proactive feedback support	
4.03	Have all required communication channels and interfaces been identified and documented in the Communication Plan?	0% to 20% -- Partially or not identified and documented	0% to 20% -- Partially or not identified and documented
		21% to 50% -- Partially identified and documented	
		51% to 75% -- Mostly identified and documented	
		76% to 90% -- Nearly all identified and documented	
		91% to 100% -- Completely identified and documented	
4.04	Have all key target audiences been clearly identified and documented in the Communication Plan?	No	No
		Yes	
4.05	Have all key messages been developed and documented in the Communication Plan?	0% to 20% -- None or few developed and documented	0% to 20% -- None or few developed and documented
		21% to 50% -- Some developed and documented	
		51% to 75% -- Most developed and documented	
		76% to 90% -- Nearly all developed and documented	
		90% to 100% -- All developed and documented	
4.06	Have desired outcomes and their corresponding success measures been defined and documented in the Communication Plan?	0% to 20% -- None or few defined and documented	0% to 20% -- None or few defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
4.07	Has the project Communication Plan been staffed and resourced?	Plan without staffing and resourcing requirements	Plan without staffing and resourcing requirements
		Staffed and resourced plan	

Agency: Florida Department of Law Enforcement

Project: Data Center Air Conditioner Replacement

Section 5 -- Fiscal Area			
#	Criteria	Value Options	Answer
5.01	Has a documented spending plan been developed for this project?	Minimally defined and documented	Partially defined and documented
		Partially defined and documented	
		Completely defined and documented	
5.02	Has a project spending plan been approved by the agency for the entire project lifecycle?	No	Yes
		Yes	
5.03	Have all project expenditures been defined and documented for the entire project lifecycle?	0% to 20% -- None or few defined and documented	76% to 90% -- Nearly all defined and documented
		20% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
5.04	Are prospective funds available within existing agency resources to complete this project?	No	No
		Yes	
5.05	If federal financial participation is anticipated as a source of funding, has federal approval been received?	No	No
		Yes	
5.06	What is the estimated total cost of this project over its entire lifecycle?	Greater than \$10 M	Between \$1,999,999 and \$500 K
		Between \$2 M and \$10 M	
		Between \$1,999,999 and \$500 K	
		Less than \$500 K	
		Unknown	
5.07	What is the the benefit payback period that is defined and documented?	Within 1 year	More than 5 years
		Within 3 years	
		Within 5 years	
		More than 5 years	
5.08	Have the project's tangible and intangible benefits been defined and documented?	0% to 20% -- None or few defined and documented	91% to 100% -- All defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
5.09	Does the project have a clearly defined and documented business case that will permit measurable and tangible benefit to the state?	No	No
		Yes	
5.10	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the procurement manager
		Contract manager is the procurement manager	
		Contract manager assigned and is not the procurement manager	
5.11	Have all elements of the intended project procurement strategy been clearly defined, documented and agreed to by key stakeholders?	0% to 20% -- None or few defined, documented, and agreed to	51% to 75% -- Most defined, documented, and agreed to
		21% to 50% -- Some defined, documented, and agreed to	
		51% to 75% -- Most defined, documented, and agreed to	
		76% to 90% -- Nearly all defined, documented, and agreed to	
		91% to 100% -- All defined, documented, and agreed to	
5.12	Does the agency intend to utilize a firm fixed price approach, a time and expenses	Combination FFP and T&E	

Section 5 -- Fiscal Area			
#	Criteria	Value Options	Answer
	price approach, a time and expense approach or a combination of both approaches when contracting for necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP)	Firm Fixed Price (FFP)
5.13	How has the project planned its investment in hardware and software?	Timing of major hardware and software purchases has not yet been determined Purchase all hardware and software at start of project to take advantage of one-time discounts Just-in-time purchasing of hardware and software is documented in the project schedule	Just-in-time purchasing of hardware and software is documented in the project schedule
5.14	Has equipment leasing been analyzed and costed for the project large-scale computing purchases?	No Yes	No
5.15	Have all procurement selection criteria, expectations, and outcomes been clearly defined and documented?	0% to 20% -- Partially or not defined and documented 21% to 50% -- Partially defined and documented 51% to 75% -- Mostly defined and documented 76% to 90% -- Nearly all defined and documented 91% to 100% -- Completely defined and documented	51% to 75% -- Mostly defined and documented
5.16	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Evaluation process is not multi-stage Multi-stage evaluation process does not progressively narrow the field of prospective vendors Multi-stage evaluation process successfully used previously	Evaluation process is not multi-stage

Section 6 -- Project Organization Area			
#	Criteria	Value Options	Answer
6.01	Is the project organization clearly defined and documented within a project plan?	Not defined and documented	Most of the project management team and steering committee defined and documented
		Some of the project management team documented	
		Most of the project management team and steering committee defined and documented	
		Completely documented	
6.02	Have all the roles and responsibilities for the project team been clearly defined and documented?	0% to 20% -- None or few defined and documented	76% to 90% -- Nearly all defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
6.03	Have all roles and responsibilities for the executive steering committee been clearly defined and documented?	0% to 20% -- None or few defined and documented	91% to 100% -- All defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources and their corresponding roles, responsibilities and skill	0% to 20% -- None or few defined and documented	76% to 90% -- Nearly all defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
6.06	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	No staffing from in-house resources	Completely staffed from in house resources
		Few staff from in-house resources	
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.07	Will a change review and control board be established?	Yes	Yes
		No	
6.08	Is a qualified project manager dedicated fulltime to the project?	Project manager dedicated 25% to project	Project manager dedicated 25% to project
		Project manager dedicated 50% to project	
		Project manager dedicated 75% to project	
		Project manager dedicated full-time, 100% to project	
6.09	Are all stakeholders represented on the change review and control board?	IT staff only are on change review and control board	All stakeholders are represented and are voting members
		Some stakeholders not included on change review and control board	
		All stakeholders are represented but not all are voting members	
		All stakeholders are represented and are voting members	

Section 7 -- Project Management Area			
#	Criteria	Value Options	Answer
7.01	Has a documented Risk Management Plan been prepared?	No	No
		Yes	
7.02	Have all project requirements been defined and documented?	0% to 20% -- None or few defined and documented	0% to 20% -- None or few defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
7.03	Has a project work plan addressing the entire project lifecycle been defined and documented?	Not at this time	Initial phase only
		High level	
		Initial phase only	
		Detailed and comprehensive	
7.04	Have all project deliverables <i>and</i> acceptance criteria been clearly defined and documented?	0% to 20% -- None or few defined and documented	0% to 20% -- None or few defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
7.05	Will the contract clearly define all deliverables and services, with corresponding acceptance criteria before being executed?	No	Yes
		Yes	
7.06	Has the Work Breakdown Structure been defined and documented?	0% to 20% -- Partially or not defined and documented	51% to 75% -- Mostly defined and documented
		21% to 50% -- Partially defined and documented	
		51% to 75% -- Mostly defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- Completely defined and documented	
7.07	Has a project schedule specifying all project tasks, go/no-go decision points (checkpoints), critical milestones, and staffing resources been defined and documented?	0% to 20% -- None or few defined and documented	51% to 75% -- Most defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	
		91% to 100% -- All defined and documented	
7.08	Have necessary project control processes and procedures been defined and documented?	Not at this time	Documented processes and procedures based on informal best practices
		Documented processes and procedures based on informal best practices	
		Documented processes and procedures based on formal project management methodology	
7.09	Does the project have a standard change request, review and approval process that is documented and consistently implemented?	No	Yes
		Yes	
7.10	Is there a documented issue reporting and management process in place for this project?	No	Yes
		Yes	
7.11	Have all known project risks and corresponding mitigation strategies been defined and documented?	0% to 20% -- None or few defined and documented	21% to 50% -- Some defined and documented
		21% to 50% -- Some defined and documented	
		51% to 75% -- Most defined and documented	
		76% to 90% -- Nearly all defined and documented	

Agency: Florida Department of Law Enforcement

Project: Data Center Air Conditioner Replacement

Section 7 -- Project Management Area			
#	Criteria	Value Options	Answer
		91% to 100% -- All defined and documented	
7.12	Is the agency or an external consultant responsible for integrating different vendor deliverables into the final solution?	Agency	Agency
		Consultant	
7.13	Will formal status reporting processes be consistently used to manage and control this project?	Informal processes	Used by project team and executive steering committee
		Used by project team	
		Used by project team and executive steering committee	
7.14	Have all necessary planning and reporting templates been developed, e.g., work plans, status reports, issues and risk tracking?	0% to 20% -- None or few developed	91% to 100% -- All developed
		21% to 50% -- Some developed	
		51% to 75% -- Most developed	
		76% to 90% -- Nearly all developed	
		91% to 100% -- All developed	
7.15	Will the project management team use a standard or commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Yes	
7.16	Has the project manager successfully managed similar projects to completion?	No experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
7.17	Does the agency have experience managing projects of equal or similar size and complexity to successful completion?	No experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	



Agency: Florida Department of Law Enforcement

Project: Data Center Air Conditioner Replacement

Section 8 -- Project Complexity Area			
#	Criteria	Value Options	Answer
8.01	Is the proposed solution more complex than current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Will multiple agencies be impacted upon successful project completion?	More than 4	1
		2 to 4	
		1	
		None	
8.03	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.05	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.06	What is the impact of the project on state operations?	Internal agency business process change	Internal agency business process change
		Agency wide business process change	
		Statewide or multiple agency business process change	
8.07	What is the expected project team size?	Greater than 15	Less than 5
		9 to 15	
		5 to 8	
		Less than 5	
8.08	Is the agency planning to assume the role of Systems Integrator for this project?	Yes	Yes
		No	
8.09	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.10	What type of project is this?	Infrastructure upgrade	Infrastructure upgrade
		Implementation requiring software development or purchasing Off the Shelf software	
		Business Process Reengineering	
		Combination of the above	

Appendix B – Budget Worksheet

Appendix B  
Budget Worksheet

Project Costs for Data Center AC Replacement									F Y 2008-09			
Produced 10/15/2007			For FDLE			By Mark Scharein						
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2008-09			FY 2009-10			FY 2010-11			FY 2011-12		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
<b>OPERATIONAL COSTS</b>												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$765,000	\$125,000	(\$640,000)	\$0	\$250,000	\$250,000	\$0	\$250,000	\$250,000	\$0	\$250,000	\$250,000
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Maintenance	\$60,325	\$30,000	(\$30,325)	\$65,151	\$30,000	(\$35,151)	\$68,409	\$30,000	(\$38,409)	\$72,000	\$30,000	(\$42,000)
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL OPERATIONAL COSTS</b>	\$825,325	\$155,000	(\$670,325)	\$65,151	\$280,000	\$214,849	\$68,409	\$280,000	\$211,591	\$72,000	\$280,000	\$208,000
FTE'S	0	0	0	0	0	0	0	0	0	0	0	0

\$765,000 Hardware in FY 2008-09 represents estimated cost to rebuild each of the 10 existing air conditioning systems.

**FLORIDA DEPARTMENT  
OF  
LAW ENFORCEMENT**

**SCHEDULE IV-B**

**COMPUTERIZED CRIMINAL HISTORY  
SYSTEM  
TECHNOLOGY REPLACEMENT  
FOR  
FISCAL YEAR 2009-10**

**OCTOBER 15, 2008**

## Table of Contents

I.	Schedule IV-B Cover Sheet and Agency Project Approval.....	2
II.	Background.....	3
III.	Cost Benefit Analysis.....	7
	A. Estimated Cost .....	7
	B. Benefits.....	7
	C. Cost-Benefit Analysis Results.....	8
IV.	Risk Assessment Component .....	9
V.	Technology Planning Component .....	10
	A. Current Information Technology Environment.....	10
	B. Proposed Solution Description.....	14
	C. Capacity Planning.....	15
	D. Analysis of Alternatives .....	17
VI.	Project Management Planning Component.....	20
	A. Project Charter.....	20
	B. Work Breakdown Structure.....	23
	C. Resource Loaded Schedule .....	24
	D. Project Budget.....	24
	E. Risk Management.....	25

### List of Appendices

- Appendix A – Unisys Libra System Cost Detail
- Appendix B – Cost Benefit Analysis Forms
- Appendix C – Risk Assessment Forms
- Appendix D – Libra 300 and Libra 400 Diagrams


**I. Schedule IV-B Cover Sheet and Agency Project Approval**

Agency: Florida Department of Law Enforcement	Submission Date: October 15, 2008
Project Name: Computerized Criminal History System Technology Replacement	Is this project included in the Agency's LRPP? ___ Yes ___X_ No
Issue Code: 160D2C0	Issue Title: CCH System Technology Replacement

Agency Contact : Mark A. Scharein 850-410-8515 markscharein@fdle.state.fl.us

**AGENCY APPROVAL SIGNATURES**

I have reviewed the estimated costs and benefits contained in this document 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 document.

Agency Head:  Printed Name: Gerald M. Bailey	Date: 10/8/08
--	---------------

Agency Chief Information Officer:  Printed Name: Penny Kincannon	Date: 10/8/08
--	---------------

Budget Officer:  Printed Name: Joy Hammerschmidt-James	Date: 10-8-08
--	---------------

Planning Officer:  Printed Name: Victoria Kliner	Date: 10.8.08
--	---------------

Project Sponsor:  Printed Name: Donna Uzzell	Date: 10/8/08
--	---------------

**Preparers (Name, Phone #, and E-mail address):**

Business Need: Mark Scharein / Lisa Hopkins / 850-410-8410  
 Cost-Benefit Analysis: Mark Scharein / 850-410-8515 / markscharein@fdle.state.fl.us  
 Risk Analysis: Mark Scharein / Jamie Swearingen / 850-410-8515  
 Technology Planning: Jamie Swearingen / 850-410-8475 / jamieswearingen@fdle.state.fl.us  
 Project Planning: Jamie Swearingen / 850-410-8475 / jamieswearingen@fdle.state.fl.us  
 David McArthur / 850-410-8458 / davidmcarthur@fdle.state.fl.us

## II. Background

FDLE's Criminal Justice Information Program provides criminal justice information needed to prevent crime, solve cases, recover property, identify and apprehend criminals; provide screening to identify persons with criminal warrants, arrests, and convictions; and provide statistical and analytical information about crime to policy-makers and the public. Under the authority of Chapter 943, Florida Statutes, FDLE serves as the State's central repository for criminal record information.

### **943.05 Criminal Justice Information Program; duties; crime reports**

- a. *There is created a Criminal Justice Information Program within the Department of Law Enforcement. The program shall be supervised by personnel who shall be employed by the department upon the recommendation of the executive director. Such personnel shall supervise, direct, coordinate, and administer activities of the program that are assigned by the executive director.*
- b. *The program shall:*
  - 1) *Establish and maintain a communication system capable of transmitting criminal justice information to and between criminal justice agencies.*
  - 2) *Establish, implement, and maintain a statewide automated fingerprint identification system capable of, but not limited to, reading, classifying, matching, and storing fingerprints, rolled fingerprints, and latent fingerprints. The system shall be available to every criminal justice agency that is responsible for the administration of criminal justice.*

### **943.051 Criminal justice information; collection and storage; fingerprinting**

- (1) *The Criminal Justice Information Program, acting as the state's central criminal justice information repository, shall:*
  - (a) *Collect, process, store, maintain, and disseminate criminal justice information and records necessary to the operation of the criminal justice information system of the department.*
  - (b) *Develop systems that inform one criminal justice agency of the criminal justice information held or maintained by other criminal justice agencies.*

*(2) Each adult person charged with or convicted of a felony, misdemeanor, or violation of a comparable ordinance by a state, county, municipal, or other law enforcement agency shall be fingerprinted, and such fingerprints shall be submitted to the department in the manner prescribed by rule. Exceptions to this requirement for specified misdemeanors or comparable ordinance violations may be made by the department by rule.*

*(3)(a) A minor who is charged with or found to have committed an offense that would be a felony if committed by an adult shall be fingerprinted and the fingerprints shall be submitted to the department in the manner prescribed by rule.*

*(b) A minor who is charged with or found to have committed the following offenses shall be fingerprinted and the fingerprints shall be submitted to the department:*

- 1. Assault, as defined in s. 784.011.*
- 2. Battery, as defined in s. 784.03.*
- 3. Carrying a concealed weapon, as defined in s. 790.01(1).*
- 4. Unlawful use of destructive devices or bombs, as defined in s. 790.1615(1).*
- 5. Negligent treatment of children, as defined in 1s. 827.05.*
- 6. Assault or battery on a law enforcement officer, a firefighter, or other specified officers, as defined in s. 784.07(2)(a) and (b).*
- 7. Open carrying of a weapon, as defined in s. 790.053.*
- 8. Exposure of sexual organs, as defined in s. 800.03.*
- 9. Unlawful possession of a firearm, as defined in s. 790.22(5).*
- 10. Petit theft, as defined in s. 812.014(3).*
- 11. Cruelty to animals, as defined in s. 828.12(1).*
- 12. Arson, as defined in s. 806.031(1).*
- 13. Unlawful possession or discharge of a weapon or firearm at a school-sponsored event or on school property as defined in s. 790.115.*

*(4) Fingerprints shall be used as the basis for criminal history records.*



FDLE manages Florida's Computerized Criminal History (CCH) System. The customers and users of the information contained in the CCH System (and AFIS) are local, state, federal and international law enforcement agencies, State Attorneys, the courts, licensing agencies, private employers and the public.

Records stored in the CCH System are used by criminal justice agencies to identify suspects in criminal cases, identify repeat offenders, implement sentencing guidelines, and identify inmates. Criminal records are used by private and public organizations as an important part of background investigations for licensing and employment purposes.

The CCH database contains records on approximately 5 million people. The CCH database has four main divisions or "segments" which make up the criminal record: the Identity segment, the Arrest Segment, the Judicial Segment, and the Custody Segment.

Criminal records originate from arrests made by Florida law enforcement agencies. Arresting agencies submit arrest information and fingerprints images to FDLE via CCH and AFIS.

Court dispositions reflecting the actions taken by the courts subsequent to arrests are an integral part of the CCH record database. An additional component of the CCH database is derived from custody records submitted by corrections entities as criminals follow the justice process.

The CCH System was initially designed in the early 1970's. Over the years, it has been modified significantly; first to convert from batch to on-line updating and later to link to AFIS. However, the underlying technology (operating system, database management system, and much of the application code) has remained essentially unchanged.

The State's CCH System operates on a Unisys Libra 300 mainframe using the Unisys MCP/AS operating system, DMS II database management system and Unisys system software. FDLE's license to use the Unisys software expires in May 2010. To continue operating the CCH system on Unisys Libra hardware and software, FDLE must exercise one of two options:

- Renew the software lease with Unisys, or
- Replace the Libra 300 system with a new Unisys Libra 400 system.

The cost to renew the software lease on current hardware and continue maintenance support for another 36 months is roughly \$2.7 million.

The cost to acquire and maintain a new Libra system for 36 months is roughly \$2.1 million.

FDLE recommends maintaining all current business processes and simply replace the Unisys Libra 300 with a Libra 400 system. FDLE avoids paying an additional \$600,000 by replacing the current computer system.

This is very low risk from a technology perspective. This process has been accomplished several times over the past three decades as systems reached their obsolescence. In addition, this transition can be completed within current budget and with minimal impact to IRM resources.

For a more detailed discussion of all alternatives, see Section V- D, Analysis of Alternatives.

### III. Cost Benefit Analysis

#### A. Estimated Cost

The estimated cost to acquire the Unisys Libra System is shown below.

Hardware	\$ 91,000
System Software	\$1,372,000
Installation	\$76,000
Interest (CEFP)	\$261,000
Total	\$1,800,000

This assumes financing the Libra system through the State's Consolidated Equipment Financing Program over a period of 3 years.

The annual cost for maintenance of the Libra System is about \$116,000.

#### B. Benefits

This cost benefit analysis is based on the estimated cost to acquire and operate a Unisys Libra series system for a period of three years.

Benefits Realization Table					
	Benefit Description	Tangible or Intangible	Who receives benefit?	How is benefit realized	Realization Date (MM/YY)
1	Florida's Criminal History System will continue to operate using supported hardware and software	Tangible	All Users of Florida Criminal Records	System downtime is minimized. FDLE has ability to bring in technical support to resolve defects / system failures as needed.	May 2010
2	FDLE can continue to use the same CCH application software that is being used today.	Tangible	FDLE	System downtime is minimized. Avoids risks associated with developing and implementing new code.	May 2010
3	FDLE staff continue to support the CCH System using known technology and tools	Tangible	All Users of Florida Criminal Records	Avoid cost and time for training staff on new technologies.	May 2010
4	Requires minimal FDLE staff time to implement.	Tangible	FDLE	FDLE staff can continue to focus attention on other priority IT projects.	May 2010

### **C. Cost-Benefit Analysis Results**

Replacement of the Unisys Libra 300 system with a Unisys Libra 400 system is essentially a hardware replacement project. FDLE will continue to use existing system software and application software to support current CCH processes and functions.

FY 2008-09 funding for the Libra 300 System (\$625,616) is sufficient to pay for the Libra 400 System in FY 2009-10 (and subsequent years). No additional funding is required. Most of the benefit is due to avoiding the cost of renewing the software lease for the current Libra 300 system. Based on quotes from Unisys, software leases will cost from \$2 million to \$3.3 million over 36 months.

Annual Lease - \$1,094,704

36 Month Extended Lease - \$2,013,464

The Unisys Libra 400 System will enable FDLE to operate the State's Computerized Criminal History System at current service levels through FY 2012-13.

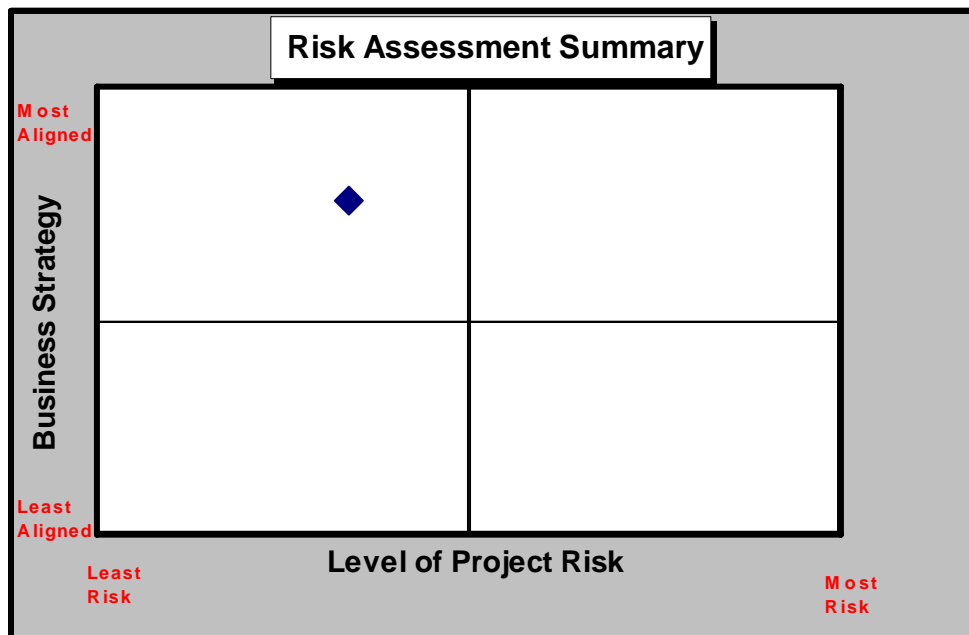
Cost Benefit Analysis Forms are provided in Appendix B.

## IV. Risk Assessment Component

### A. Risk Assessment Tool

The completed Risk Assessment Forms may be found in Appendix C of this document.

### B. Risk Assessment Summary



Overall project risk is rated Medium.

## **V. Technology Planning Component**

### **A. Current Information Technology Environment**

#### **1. Current System**

##### **a. Description of current system**

The Florida CCH system was originally designed in the early 1970s and has operated on several platforms (A Series to NX4800 in 1998 to NX6830 in 2002 to Libra 300 in 2007). The CCH system currently operates on a Unisys Clearpath Libra 300 mainframe running the Unisys MCP/AS operating system. The CCH database management system utilizes the Unisys DMS II hierarchical database structure. The current CCH DMS II database has 300 gigabytes of disk space.

System Components consist of the following:

- Hardware:
  - Unisys Libra 300
  - EMC Clariion Storage System
  - DSI LTO Tape Drives
- Operating System:
  - MCP 11.0
  - SSR 052.1
- Database Management System: DMSII 11.0/SSR 52.1
- Enterprise Databases Supported
  - Computerized Criminal History (CCH)
  - Automated Criminal Record Checking System (ACRCS)
- Programming Languages Supported:
  - ALGOL
  - COBOL 74
  - Progeni

- Major Business Application Components:
  - Online Rap Sheet
  - IAMaint
  - JMaint
  - AC RCS
  - Person Query
  - CCH Dispositions

**b. Current system resource requirements**

The CCH system currently operates on the UNISYS Clearpath Libra 300 which has an RPM rating of 4,860 and MIPS rating of 200. To accomplish the CCH’s primary mission CPU utilization is prioritized to accomplish online criminal history inquiries. Under nominal load the CCH runs at 40% load which is an acceptable load level and response time.

The CCH hardware is maintained by Unisys. The core operating system and system software is licensed through Unisys. Application Software and System Software is maintained by FDLE staff and contractors.

**c. Current system performance**

The Unisys Libra system provides sufficient capacity to support current functions. However, the CCH system resides on a hierarchical database structure that limits manipulation, presentation and reporting.

**2. Strategic Information Technology Direction**

FDLE’s strategic IT direction is summarized in the statements below.

- Network and Systems Reliability -- Develop and maintain a secure, seamless, interoperable infrastructure.
- Standardization on Operating Systems – Red Hat Linux, Microsoft W2K3, and HPUX
- Standardization on Relational Database Management Systems – Oracle and Microsoft SQL Server.
- Efficiency & Integration -- Create modular integrated systems that enable flexibility and maintainability
- Promote the use of Open Standards both National and International –

## NIST/ANSI

- Implement the use of Storage Area Networks
- Quality of Systems, Data & Service -- Maintain and measure quality in all Information Technology services.
- Repeatable processes – Project Management and ISDM
- Encryption, Single Sign-on, PKI, Patch and Configuration Management.

The strategic IT direction for the FDLE Data Center revolves around four-tier model and open systems architecture. Additionally, the strategic direction is based on two predominant hardware platforms – Intel & RISC processors with the eventual dovetail of these processors to the Itanium chipset.

With technology rapidly evolving the results are numerous and dramatic. Driven by an increasingly competitive global economy and market dynamics, companies are discontinuing low revenue, low leverage product lines. One result is the number of older technology, low volume components no longer being produced. This has a direct effect on the ability to extend the service life of systems and equipment. In recognition of the severity of this problem a modular system architecture and a structured technology refresh program is needed to appropriately address this issue. A key aspect is the adoption of the Open Systems approach and recognizing the need for planning for the component obsolescence that will invariably occur over the life of a system. In the open systems approach, the FDLE will focus on identifying critical system interfaces, i.e., those where the technology on either side of the interface is rapidly evolving, and selecting open standards to define these interfaces. In many respects, the FDLE has adopted this modular approach and defined them in four-tier architecture. Tier one being the client / display / presentation layer; tier two is the business / rules / processing / application layer; tier three is the RDBMS / Physical Data layer; and tier four is the Enterprise Storage Area Network/Disaster Recovery/Business Continuity layer.

### **3. Information Technology Standards**

The following FDLE and local standards and policies will impact system requirements:

- FDLE mandates the following response times:
  - Sub-second response time for 95 percent of Criminal History queries



- Ten second response time for 95 percent of Criminal History updates
- Data are to be stored in relational database(s), preferably ORACLE
- Data are to be mirrored
- Operating systems are to be UNIX (HP-UX, if possible) or LINUX (Red Hat if possible)
- SSA Name to be used for name searches, if possible
- Audit logs will capture all changes to data, including changes made by FDLE staff
- Development and testing to be performed on separate, non-production system(s)
- No data or transactions to be lost due to isolated failures of equipment
- Individual servers scaled to properly handle large bursts of transactions on each interface

The FDLE embraces and promotes open system standards that are established within the industry and based on the strategic direction of the agency for application development.

The following FDLE, Federal and local standards and policies impacts operation of the CCH system:

- Federal Regulations 28 CFR (part 20) and Public Law 92-544 prohibits sharing criminal justice information with non-governmental agencies.
- Requirements for “Control Terminal Agency” as defined by 28 CFR 20.3(c)
- All FBI-related transactions must be encrypted at a minimum of 128 bits. FDLE has adopted this standard for all criminal justice information.
- FBI's CJIS Security Policy provides detailed requirements for reporting, handling and auditing security incidents.
- Requirements of Chapter 943.05, 943.051 and 943.0543, F.S, delineating FDLE’s duties as the State’s central repository for criminal record information and gateway to the Federal repository.
- United States Rehabilitation Act – Section 508 details accessibility standards for all systems.

- FACC 60DD-7 Information Technology Life Cycle Policies and Standards
- General Accounting Act (PBB) mandates ten second response time for 99.5 percent of all CJNet traffic
- Internal security requirements may be found in FDLE Policy 2.5 - Information Security and the FDLE Information Security Handbook.

## **B. Proposed Solution Description**

### **1. Business Requirements Summary**

As stated in the Current System Description, the Business Requirements remain the same.

### **2. Technical Requirements**

#### **a. Summary description of proposed system**

This project will involve the replacement of the Unisys Libra 300 system with a Libra 400 system. The Libra 400 system has an RPM rating of 4,860 and MIPS rating of 200. This will ensure uninterrupted operation of the CCH system with no increases in annual operating costs.

#### **b. Resource and summary level funding requirements for proposed system (if known)**

Libra 400 system hardware, software, installation & financing = \$1.8 million

Average annual maintenance = \$116,000

#### **c. Ability of the proposed system to meet projected performance requirements for:**

Network and system availability

- The existing network will meet the availability requirements for the new system

Network and system capacity

- The existing network will meet the capacity requirements for the new system.

Network and system reliability

- The existing network will meet the reliability requirements for the new system.

Network and system backup and operational recovery

- The existing network backup and recovery operations will not change.

Scalability to meet long-term system and network requirements

- Scalability of current system will not change.

## **C. Capacity Planning**

### **1. Terminals/Workstations**

150 workstations used by FDLE staff to maintain the CCH system.

81,000 workstations used by Florida criminal justice agencies

Thousands of workstations used by criminal justice agencies in other states

### **2. On-Line Transaction Volumes**

Transactions are grouped as Applicant Background Checks which are searches of the repository for the purpose of a background check; Automated Fingerprint Identification System (AFIS) which are the initial add or update of a criminal record at the point of arrest; and Other transactions that affect the system which include person queries and repository maintenance.

- Applicant Transactions: 90,000 per month with a projected growth rate of 20% annually.
- CCH AFIS Input Transactions: 150,000 per month with a projected growth rate of 20% annually.
- Other Transactions (such as criminal record inquiries): 6.7M per month with a projected growth rate of 15% annually.

Batch Program Executions: The current CCH supports updates to two major subsystems (dispositions and applicants) and numerous monthly reports including III synchronization. Further analysis of the database maintenance and administration requirements will be necessary to accurately forecast the batch execution trends.

### **3. Capacity Utilization**

## CPU

Approximately 80% of the transactions occur Monday through Friday. Peak hours are 9:00 am to 11:00 am. During this peak period, CPU usage on the current CCH system can reach 80% (max) for relatively short periods of time.

Today, on-line programs such as person queries and judicial maintenance (or dispositions) account for most of the CPU load. Each CCH transaction requires several database transactions, such as, retrieving each of the candidates in a name search, and inserting a record in the log file.

## Disk Size

The CCH system supports 300 GB of disk storage, the database using 99 GB and 201 GB for working storage and system utilities. The table below provides counts of the database records as well as their sizes.

<u>Dataset Name</u>	<u>Record Size</u>	<u>Avg. Size</u>	<u>Min. Size</u>	<u>Max. Size</u>
CCH-Arrest	306	120	90	216
Total Bytes	6,269,222,840			
Total Records	30,096,799			
Custody	228	108	66	186
Total Bytes	191,469,600			
Total Records	1,303,897			
Identity	3,924	288	192	2,370
Total Bytes	2,480,036,220			
Total Records	6,483,754			
NewJudicial	468	324	264	432
Total Bytes	9,204,632,640			
Total Records	16,941,936			
NewCentral-Log	90			
Total Bytes	61,004,077,200			
Total Records	244,746,881			

## 4. Impact of Planned Applications on Capacity Requirements

No application changes are planned at this time.

## **5. Capacity Required versus Available Capacity**

The Libra 300 system and Libra 400 have the same MIPS rating of 200. This processing capacity is expected to be sufficient for the CCH system through FY 2012-13, provided that no significant requirements are levied on the system. At this time, no changes are planned.

## D. Analysis of Alternatives

### 1. Assessment of Alternatives

Three alternatives were considered.

- Status Quo: Remain on the existing Unisys Clearpath Libra 400 system and renew software license.
- Technology Replacement: Replace the Unisys Clearpath Libra 300 with a Unisys Libra 400.
- Technology Conversion: Migrate the existing hierarchical database system by porting the existing Unisys Progeni code to a Linux processor and convert the database to Oracle

### 2. Assessment Process

All three alternatives were analyzed using the following criteria:

1. Cost
2. Impact on the customers
3. Impact on IT resources
4. Life expectancy of the solution.

The results of this assessment follow:

- Maintain Status Quo

Cost - \$2.7 million over three years. This the 2<sup>nd</sup> most expensive option because FDLE would be forced to request additional funds in FY 2009-10 to renew the software lease associated with the Libra 300 system.

Impact on Customers – No impact.

Impact on IT Resources – No impact.

Life Expectancy of the Solution – Approximately 3 years from installation

- Technology Replacement:

Cost – \$2.1 million over three years. This option has the least cost.

Impact on Customers – Minimal impact. Customers will have to conduct testing on the new system.

Impact on IT Resources – Moderate impact. FDLE IT staff is very experienced in this type of project.

Life expectancy of the Solution - 3 to 6 years from date of installation.

- Technology Conversion:

Cost – \$4.5 to \$5 million over three years. This is the most expensive option. Funding would be required to extend the software lease for the current system and conversion to a new hardware/software platform.

Impact on Customers – Significant impact. FDLE staff would need to be heavily engaged in planning and implementation activities associated with a large, complex IT project.

Impact on IT Resources – Significant impact. IT staff would need to maintain the current CCH system while also planning and implementing a major technology conversion project.

Life Expectancy of the Solution – 5 to 10 years. This option is most closely aligned with FDLE’s strategic direction and offers long range benefits that not available with the other two options.

### **3. Technology Recommendation**

After careful consideration of the business needs of the agency, the service requirements of its customers, and the resources available, FDLE recommends acquiring the Unisys Libra 400 system.

## VI. Project Management Planning Component

### A. Project Charter

FDLE is responsible for operating and maintaining the State's central repository for criminal records. The Computerized Criminal History (CCH) system is one of the key information systems used to carry out that responsibility.

#### Business Objectives

- Continue to provide all current functions and features for internal and external stakeholders
- Meet current CCH service level requirements
- Continue operating a system that is built on Unisys MCP operating system and DMS II database management system through FY 2012-13
- Operate within FY 2008-09 funding levels
- Minimize work load on customers and IT support staff during transition

#### Initial Project Scope

- Replace current Unisys Libra 300 system with a Unisys Libra 400 system
- Install current (or latest) versions of systems software on Unisys Libra 400 system
- Move application software to Unisys Libra 400 with no changes
- Maintain current CCH database

#### Initial Project Schedule

Duration – 10 months (July 2009 to April 2010)

#### Initial Project Cost Estimate



\$1.8 million – hardware, systems software, installation, and financing

\$348,000 – maintenance over three years

#### Initial Project Deliverables

- Project Management Plan
- Libra 400 System – Installed and configured
- CCH application software installed on Libra 400 system
- CCH database operational on the Libra 400 system
- Libra 300 system removed from FDLE Data Center

#### Initial Project Assumptions

- FDLE must continue operating the CCH system on a Unisys MCP / DMS II platform.
- FDLE business processes will not change.
- No changes will be made to application software or the CCH database.
- FDLE must operate within FY 2008-09 funding levels.
- FDLE will acquire the Unisys Libra 400 system through State Term Contract 250-000-09-1.
- FDLE will finance the Unisys Libra 400 system through the State's Consolidated Equipment Financing (CEFP) Program.

#### Initial Project Constraints

- The extended system software lease will expire in May 2010.
- FDLE cannot finance a new extended system software lease.
- FDLE will not have sufficient staff in FY 2009-10 to undertake a project that would move the CCH system to a different hardware/software platform.

- Funding levels are decreasing and FDLE will not request additional funding that would be required to pay (in advance) for an extended system software lease.

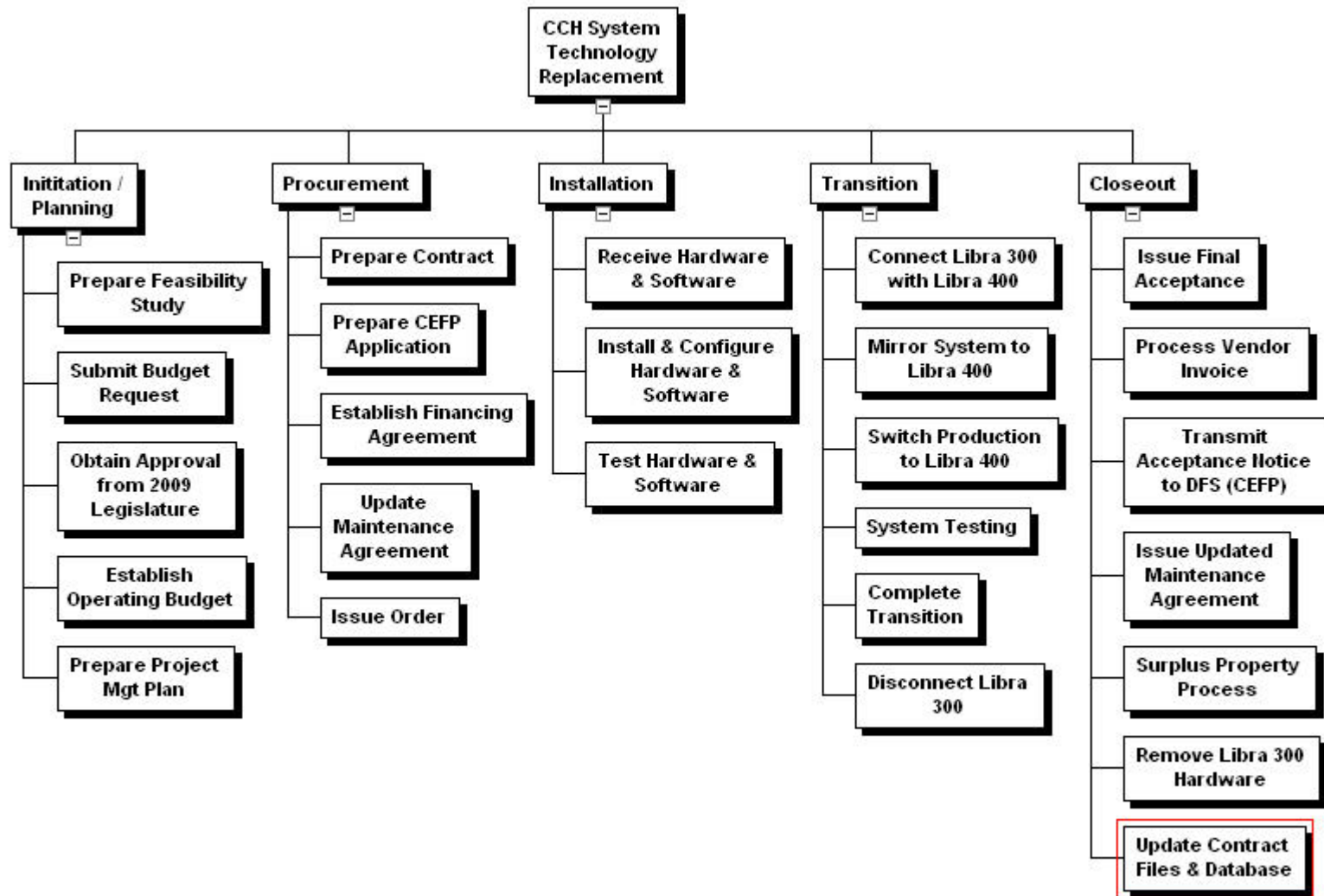
#### Internal Stateholders

- FDLE Criminal Justice Information Program
- FDLE Office of Information Resource Management
- FDLE Office of General Services

#### External Stakeholders

- Florida criminal justice agencies
- Government agencies that carry out licensing and employment functions
- Businesses
- Private citizens

## B. Work Breakdown Structure



### C. Resource Loaded Schedule

A summary of the project schedule is provided below.

Task	Start	End	Responsibility
Prepare project plans	Jul-09	Sep-09	FDLE – PM & Staff
Secure Financing	Aug-09	Sep-09	FDLE – Contracts Office & IRM DFS
Issue Order	Oct-09	Nov-09	FDLE – Contracts Office
Review configuration & implementation plans	Dec-09	Dec-09	Unisys & FDLE - IRM
Project kickoff meeting	Jan-10	Jan-10	Unisys
Hardware arrives	Feb-10	Feb-10	Unisys
Hardware installation - Libra	Feb-10	Feb-10	Unisys
Hardware installation - Storage	Feb-10	Feb-10	EMC
Libra Installation & Training	Feb-10	Mar-10	Unisys
Storage Installation & Training	Feb-10	Mar-10	Unisys
System Ready For Use (RFU) by FDLE	Mar-10	Mar-10	Unisys
FDLE system testing	Mar-10	Mar-10	FDLE – CJIS & IRM
FDLE cutover to production	Mar-10	Apr-10	FDLE – CJIS & IRM Unisys

A more detailed schedule will be prepared during project planning.

### D. Project Budget

The cost to acquire the Unisys Libra 300 System is roughly \$1.8 million.

#### Cost Elements

Libra 400 Server, Disk & Tape HW	\$90,736
SW License (36 mo) & Update Subscription	\$1,371,846
Installation & Setup	\$75,759
Financing (CEFP)	\$261,280
<b>Total</b>	<b>\$1,799,621</b>

FDLE plans to finance the Libra system through the State's Consolidated Equipment Financing Program (CEFP). FDLE financed the current Libra 300 system and its predecessor (NX6800 system) through the CEFP. The term of the financing agreement will be 3 years.

Funding will be provided through FDLE's base budget. Funds appropriated for financing the Libra 300 system will be used (through FY 2012-13) to pay for the Libra 400 system.

## **E. Risk Management**

Risk management is the systematic process of identifying, analyzing and responding to project risk. It includes maximizing the probability and/or consequences of positive risk events (i.e., opportunities) and minimizing the probability and/or consequences of negative risk events (i.e., threats). The purpose of risk management is to identify and manage the risk factors for the project.

Risk management occurs continually over the life of the project. Risk management consists of the following:

- Risk Identification
- Risk Qualification
- Risk Quantification
- Risk Response Planning
- Risk Monitoring and Control

The objectives of project risk management are to manage the probability and/or impact of positive events and decrease the probability and/or impact of adverse events to project objectives. FDLE will develop a Risk Register to document risks and responses to those risks. Review of the Risk Register will be part of the status reports submitted by the Project Manager to the Executive Steering Committee.

**VII. Appendices**

**Appendix A – Unisys Libra Cost Detail**

Configuration: FDLE Libra 400 200MIPS (ID: 217618)

Qty	Style	Description	Extended List Price USD	Extended Price USD
Installation Charges:			1,997	1,997
Maintenance:				
Maintenance Level (HW and SW) : 24x7 4 Hour Response for 3 years				
Hardware Support: 24x7 coverage, 4 hour response				
Software Support: 24x7 coverage				
		Year 1	100,870	100,870
		Year 2	104,553	104,553
		Year 3	109,780	109,780

One or more of the styles does not have the requested level of maintenance.

Future year pricing is estimated using an inflation rate of 5%.

These future year prices are only estimates and are subject to change.

<b>Maintenance Subtotal</b>	<b>315,203</b>	<b>315,203</b>
-----------------------------	----------------	----------------

Hardware :

1	LM4002-R2	SYS:Libra 400 Rack 2 Quad Cores	4,620	4,066
1	ES322002-TOE	ACC:ES3220 TOE SNP	0	0
1	ES322004-TOE	ES3220 BCOM, TOE ENABLED	0	0
1	SAS324001-P6I	PERC6i SAS RAID Controller, Int w/Battry	299	263
1	RAD324001-DOC	PERC6 Documentation in English	0	0
2	HDP73115-SAS	DISK:73GB 15K 3.5" SAS	598	526
1	CFG322004-C3	ES3220 Configuration MSSR1/N	0	0
1	DVW322002-48	ES3220 48X IDE CD-RW/DVD ROM Dr,SATA	39	34
1	FDD322001-144	ACC:1.44MB 3.5" FLOPPY DR	49	43
1	CBL322001-FD	CBL:ES3220 FLEX CBL FD	49	43
1	ES322002-SHP	ACC:ES3220 SHIP AMF	0	0
1	MLF101-USB	MOUSE:2 BTN MOUSE/USB	0	0
1	KBF210502-US	KB:105 USB KB US ENGLISH	0	0
1	PWC999-NO	TRG:PWR CRD NOT FI	0	0
1	OSP2000-40G	40GB OS Partition Override for Microsoft OS	0	0
Options				
1	DIM3220043-8GB	MEM:8GB 4X2 667MHz DL RNK	638	561
1	WUP2272404-AMF	ES3220 7x24x4HR 3YR AMF	0	0
1	ES322001-TPM	ES3220 TPM MOTHERBOARD ROW	0	0
1	ETH100092-INT	ACC:ES3220 1000PT X4 INTEL	199	175
1	KVM101-EXT	CABLE:10FT EXTENSION	22	19
1	PCI7743-PCX	CTRL:SCSI 2CH U320	595	524
2	CBL2215-OSM	CABLE:15FT LVD SCSI VHD-HD	280	246
2	RPU16208-DA	ACC:L620P 13C13 12C14C13	172	152
1	MON21901-LCD	DISPLAY:19" Black	650	572
4	CBL171-5	Cable: FC 5m shortwave, LC-LC connectors, 50micron	224	196
1	SYS400-HNK	Acc: Libra 400 Tracking Style	0	0
2	FCH7430231-PCE	CTRL:FC, PCIe, 2 CH	3,150	2,772
1	LM400283-LCP	Acc: LM400 Label - GOIS Tracking Style	0	0

<b>Hardware Subtotal</b>	<b>11,584</b>	<b>10,192</b>
--------------------------	---------------	---------------

Software :



Configuration: FDLE Libra 400 200MIPS (ID: 217618)

Qty	Style	Description	Extended List Price USD	Extended Price USD
1	CSS10464-EN	IOE Comp Pkg 64 Bit English	3,999 <i>OTC</i>	3,519
1	CSS10400-40	IOE 200/4860	980,000 <i>ETP36</i>	862,400
1	CSL10400-40	Image Enabler 200/4860	210,000 <i>ETP36</i>	184,800
1	CSS10464-EVD	MCPvm Encryption 64 Bit - US	0 <i>ETP36</i>	0
1	CSP1070-ATD	DEV AID:ALGOL TEST/DEBUG	11,999 <i>ETP36</i>	10,559
1	CSP1070-CTD	DEV AID:COBOL 74 TST/DBG	13,798 <i>ETP36</i>	12,142
1	CSP1070-C74	COBOL74 Compiler	25,082 <i>ETP36</i>	22,072
1	CSP1070-DMC	Database Certification	12,923 <i>ETP36</i>	11,372
1	CSP1070-DMT	Database Interpreter	12,351 <i>ETP36</i>	10,869
1	CSP1070-ERG	DATAMGT:ERGO	33,608 <i>ETP36</i>	29,575
1	CSP1070-RMP	Remote Print System	21,652 <i>ETP36</i>	19,054
1	CSP1070-ALG	CMPLR:ALGOL/DCALGOL	21,811 <i>ETP36</i>	19,194
1	CSP1070-NWP	CMPLR:NEWP	21,811 <i>ETP36</i>	19,194
1	CSP1070-MTS	MCP TapeStack Product Style for Group level 70	10,000 <i>ETP36</i>	8,800
<b>Software Subtotal</b>			<b>1,379,034</b>	<b>1,213,550</b>
<b>SSU :</b>				
1	CSU10400-40	SSU Scrn 200/4860	147,000 <i>ETP36</i>	129,360
<b>SSU Subtotal</b>			<b>147,000</b>	<b>129,360</b>
<b>Services :</b>				
1	CS792100-INS	PS: Startup Comprehensive Implementation Services	18,960 20,000	18,960 20,000
<b>Services Subtotal</b>			<b>18,960</b>	<b>38,960</b>
<b>Grand Total</b>			<b>1,873,778</b>	<b>1,709,262</b>
<b>Estimated Local Delivery Charge</b>				<b>707</b>

**FDLE Libra 400 Disk Storage**

Configuration: FDLE CX3-20 200Mips (ID: 147504)

Qty	Style	Description	Extended List Price USD	Extended USD
-----	-------	-------------	----------------------------	-----------------

**Maintenance:**

Maintenance Level (HW and SW): 24x7 4 Hour Response for 3 years

**Hardware Support: 24x7 coverage, 4 hour response**

**Software Support: 24x7 coverage**

**All 3rd party Enable and Direct styles are excluded from maintenance.**

Year 1	2,712	2,631
Year 2	2,902	2,815
Year 3	3,105	3,012
		8,458

Future year pricing is estimated using an inflation rate of 7%. These future year prices are only estimates and are subject to change.

Year 4		3,313
Year 5		3,644
Year 6		4,000
<b>Total</b>		<b>10,957</b>

<b>Maintenance Subtotal</b>	<b>8,719</b>	<b>8,458</b>
-----------------------------	--------------	--------------

**Hardware:**

1	CX320-FD	CX3-20 SPE-FIELD INSTALL	16,700	12,024
1	CX3204-FD	CX3-20 DAE OS FIELD INST	5,900	4,248
15	CX373154-4GB	73GB 15K 520BPS 4GB 12V	17,700	12,750
1	CX320-KIT	CX3-20 DOCS AND RTU KIT	0	0
4	CBL171-5	Cable: FC 5m shortwave, LC-LC connectors, 50micron	224	160
1	CX6001-CUS	EMCDISK:CLARIION SERVICE MODEM-US	0	0
6	CBL171-2	Cable: FC 2m shortwave, LC-LC connectors, 50micron	336	240
2	CBL171-5	Cable: FC 5m shortwave, LC-LC connectors, 50micron	112	80

<b>Hardware Subtotal</b>	<b>40,972</b>	<b>29,502</b>
--------------------------	---------------	---------------

**Software:**

1	CXA320-WG	NAVI MGR CX3-20 WKGRP LIC	7,500 <i>OTC</i>	6,600
---	-----------	---------------------------	------------------	-------

# Unisys

## FDLE Libra 400 Disk Storage

Configuration: FDLE CX3-20 200Mips (ID: 147504)

Qty	Style	Description	Extended List Price USD	Extended USD
1	CXN357-WGR	EMC SW: NAVI WORKGROUP MEDIA	0 <i>OTC</i>	0
1	CXN600-INK	EMC SW: NAVI AGENT WINDOWS MEDIA	0 <i>OTC</i>	0
1	CX6001-WIN	EMC SW:Windows Software Utilities	40 <i>OTC</i>	35
1	CXH600-CLV	PERIF SW:UNISYS CALL HOME (ES7000 ONLY)	20 <i>OTC</i>	18
1	PPW1-WN	EMC SW: PPATH WINDOWS DEP	2520 <i>OTC</i>	2218
1	CXP600-WKT	EMC SW:POWERPATH WINDOWS KIT	0 <i>OTC</i>	0
<b>Software Subtotal</b>			<b>10,080</b>	<b>8,871</b>
<b>Services:</b>				
1	STO92008-INS	PS: CX400/500 IMP	2,475	2,475
1	STO92101-INS	PS: Windows Storage Attach Implementation Servic	900	900
1	STO92106-INS	PS: EMC PowerPath Implementation	300	300
1	STO92001-INS	PS: Base Open Systems Storage Implementation Ser	10,800	10,800
1	STO92107-INS	PS: MCP Storage Attach Implementation Service	3,000	3,000
<b>Services Subtotal</b>			<b>17,475</b>	<b>17,475</b>
<b>Total Hardware, Software and Services</b>			<b>68,527</b>	<b>55,848</b>
<b>Total Hardware, Software, Services and Maintenance</b>				<b>64,306</b>

**FDLE Libra 400 Tape Storage**

Configuration: FDLE DSI Tape and VTL (ID: 154149)

Qty	Style	Description	Extended List Price USD	Extended Price USD
		Installation Charges:	545	545

**Maintenance:**

Maintenance Level (HW and SW): 24x7 4 Hour Response for 3 years

Hardware Support: 24x7 coverage, 4 hour response

Software Support: 24x7 coverage

All 3rd party Enable and Direct styles are excluded from maintenance.

Year 1	4,699	4,558
Year 2	9,837	9,541
Year 3	10,525	10,209

Future year pricing is estimated using an inflation rate of 7%. These future year prices are only estimates and are subject to change.

<b>Maintenance Subtotal</b>	<b>25,061</b>	<b>24,308</b>
-----------------------------	---------------	---------------

Year 4		11,230
Year 5		12,353
Year 6		13,588
<b>Total</b>		<b>37,171</b>

**Hardware:**

1	ALP63-2FD	Dual LTO3 Rackmount, FC-AL, dual node	20,500	14,760
2	CBL171-2	Cable: FC 2m shortwave, LC-LC connectors, 50micron	112	80
1	CBL2215-OSM	CABLE:15FT LVD SCSI VHD-HD	140	101
1	ALP320-RDL	TAPE: SDLT 320 Drive, LVD; RM Unit	4825	3474
1	ALP3202-RMK	TAPE: RM Kit, 2-SDLT drives (Dual Bus), 3U	900	648
1	OSM1001-PRC	INSTL:OSM IEC320 PWR CRD	13	9
1	DSI9250-U25	DSI9250 with 2.5TB RAID 5 Storage, 2U	39,260	28,267
2	CBL171-5	Cable: FC 5m shortwave, LC-LC connectors, 50micron	112	80
1	DSI9000-2FC	"Dual fibre channel initiator port upgrade for DSI9250 and DSI9940"	4,810	3,463
4	CBL171-5	Cable: FC 5m shortwave, LC-LC connectors, 50micron	224	160
<b>Hardware Subtotal</b>			<b>70,896</b>	<b>51,042</b>

**Software:**

2	DSI9225-SUP	SSU: Annual SW support DSI9250 with 2.5TB RAID 5 Storage, 2U	4,990 OTC	4,392
1	DSI9025-VLM	MCP VTL Kit for DSI9250-U25 Appliance	10,460 OTC	9,205

Unisys

**FDLE Libra 400 Tape Storage**

Configuration: FDLE DSI Tape and VTL (ID: 154149)

Qty	Style	Description	Extended List Price USD	Extended Price USD
2	DSI9025-VUM	SSU: Annual SW support MCP VTL Kit for DSI9250-U25 Appliance	7,350 OTC	6,468
<b>Software Subtotal</b>			<b>22,800</b>	<b>20,065</b>
<b>Services:</b>				
1	DSI1000-LMG	PS: LibraryManager or LibraryManager CSI Install	2,875	2,875
1	DSI99-TMI	PS: TapeManager Install/Train	3,000	3,000
1	DSI99-TMI	PS: TapeManager Install/Train	3,000	3,000
4	STO92901-SUP	PS: Storage Consulting Service	7,200	7,200
<b>Services Subtotal</b>			<b>16,075</b>	<b>16,075</b>
<b>Total HW, SW and Services</b>			<b>109,771</b>	<b>87,182</b>
<b>Total HW, SW, Services and Maintenance</b>				<b>\$112,035</b>

**Appendix B – Cost Benefit Analysis Forms**

CBAForm 1 - Net Tangible Benefits

Agency <u>FDLE</u>	Project <u>CH Technology Replacemer</u>
--------------------	---

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency (Operations Only -- No Project Costs)	FY 2009-10			FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14		
	(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) 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 -- Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	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 (# 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 FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# 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-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract 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
B. Data Processing -- Costs	\$2,641,176	(\$2,013,464)	\$627,712	\$158,500	\$0	\$158,500	\$158,500	\$0	\$158,500	\$158,500	\$0	\$158,500	\$0	\$0	\$0
B-1. Hardware	\$469,212	\$0	\$469,212	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$2,013,464	(\$2,013,464)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <span style="margin-left: 20px;">3rd Party Software</span>	\$158,500	\$0	\$158,500	\$158,500	\$0	\$158,500	\$158,500	\$0	\$158,500	\$158,500	\$0	\$158,500	\$0	\$0	\$0
C. External Service Provider -- Costs	\$163,246	\$0	\$163,246	\$171,408	(\$61,625)	\$109,783	\$179,979	(\$61,720)	\$118,259	\$188,978	(\$61,978)	\$127,000	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$163,246	\$0	\$163,246	\$171,408	(\$61,625)	\$109,783	\$179,979	(\$61,720)	\$118,259	\$188,978	(\$61,978)	\$127,000	\$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. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <span style="margin-left: 20px;">Specify</span>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- 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 <span style="margin-left: 20px;">Specify</span>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total of Operational Costs ( Rows A through E)</b>	<b>\$2,804,422</b>	<b>(\$2,013,464)</b>	<b>\$790,958</b>	<b>\$329,908</b>	<b>(\$61,625)</b>	<b>\$268,283</b>	<b>\$338,479</b>	<b>(\$61,720)</b>	<b>\$276,759</b>	<b>\$347,478</b>	<b>(\$61,978)</b>	<b>\$285,500</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>F. Additional Tangible Benefits:</b>		\$0			\$0			\$0			\$0			\$0	
F-1. <span style="margin-left: 20px;">Specify</span>		\$0			\$0			\$0			\$0			\$0	
F-2. <span style="margin-left: 20px;">Specify</span>		\$0			\$0			\$0			\$0			\$0	
F-3. <span style="margin-left: 20px;">Specify</span>		\$0			\$0			\$0			\$0			\$0	
<b>Total Net Tangible Benefits:</b>		<b>\$2,013,464</b>			<b>\$61,625</b>			<b>\$61,720</b>			<b>\$61,978</b>			<b>\$0</b>	

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input checked="" type="checkbox"/> Confidence Level	90%
Order of Magnitude	<input type="checkbox"/> Confidence Level	
Placeholder	<input type="checkbox"/> Confidence Level	

CBAForm 2 - Project Cost Analysis

Agency	<u>FDLE</u>	Project	<u>CCH Technology Replacement</u>
--------	-------------	---------	-----------------------------------

PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$0	\$0	\$0	\$0	\$0	\$0
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <span style="float:right">Libra 400</span>	\$150,000	\$600,000	\$600,000	\$450,000	\$0	\$1,800,000
COTS Software	\$0	\$0	\$0	\$0	\$0	\$0
Misc. Equipment	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL PROJECT COSTS (*)</b>	\$150,000	\$600,000	\$600,000	\$450,000	\$0	\$1,800,000
<b>CUMULATIVE PROJECT COSTS</b>	\$150,000	\$750,000	\$1,350,000	\$1,800,000	\$1,800,000	

INVESTMENT SUMMARY						TOTAL
	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$150,000	\$600,000	\$600,000	\$450,000	\$0	\$1,800,000
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <span style="float:right">Specify</span>	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL INVESTMENT (*)</b>	\$150,000	\$600,000	\$600,000	\$450,000	\$0	\$1,800,000
<b>CUMULATIVE INVESTMENT (*)</b>	\$150,000	\$750,000	\$1,350,000	\$1,800,000	\$1,800,000	

(\*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input checked="" type="checkbox"/>	Confidence Level	95%
Order of Magnitude <input type="checkbox"/>	Confidence Level	
Placeholder <input type="checkbox"/>	Confidence Level	



CBAForm 3 - Project Investment Summary

Agency	<u>FDLE</u>	Project	<u>CH Technology Replaceme</u>
--------	-------------	---------	--------------------------------

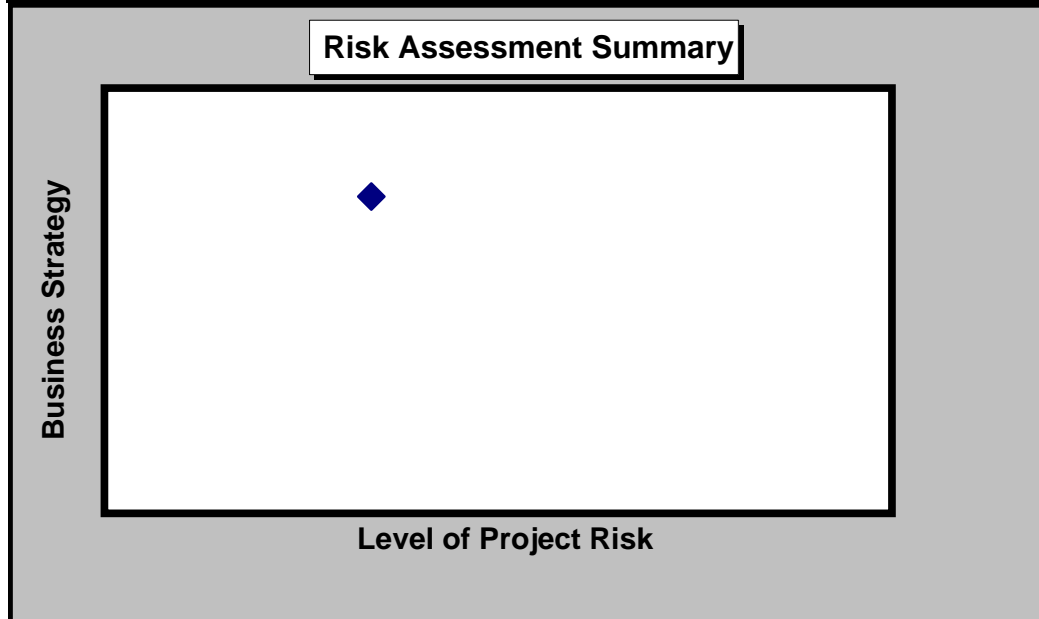
<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	TOTAL
Project Cost	\$150,000	\$600,000	\$600,000	\$450,000	\$0	\$1,800,000
Net Tangible Benefits	\$2,013,464	\$61,625	\$61,720	\$61,978	\$0	\$2,198,787
Return on Investment	\$1,863,464	(\$538,375)	(\$538,280)	(\$388,022)	\$0	\$398,787
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	N/A	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2009-10	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$509,404	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	-11.69%	IRR is the project's rate of return.

<i>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

**Appendix C – Risk Assessment Forms**

<b>Project</b>	<i>CCH System Technology Replacement</i>	
<b>Agency</b>	<i>FDLE</i>	
<b>FY 2009-10 LBR Issue Code:</b>	<b>FY 2009-10 LBR Issue Title:</b>	
<i>TBA</i>	<i>CCH System Technology Replacement</i>	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
<i>Mark Scharein 410-8515 markscharein@fdle.state.fl.us</i>		
<b>Executive Sponsor</b>	<i>Penny Kincannon</i>	
<b>Project Manager</b>	<i>Joey Hornsby</i>	
<b>Prepared By</b>	<i>Mark Scharein</i>	<i>10/1/2008</i>



<b>Project Risk Area Breakdown</b>	
Risk Assessment Areas	Risk Exposure
Strategic Assessment	LOW
Technology Exposure Assessment	LOW
Organizational Change Management Assessment	LOW
Communication Assessment	<b>HIGH</b>
Fiscal Assessment	MEDIUM
Project Organization Assessment	MEDIUM
Project Management Assessment	MEDIUM
Project Complexity Assessment	LOW
<b>Overall Project Risk</b>	
<b>MEDIUM</b>	

Agency: FDLE

Project: CCH System Technology Replacement

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified and documented
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Some
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Use or visibility at division and/or bureau level only
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: FDLE

Project: CCH System Technology Replacement

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed through implementation only
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: FDLE

Project: CCH System Technology Replacement

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	No
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with greater change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	No
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Negligible or no feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	No
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	No
		No	

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$500K and \$1,999,999
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Detailed and rigorous (accurate within ±10%)
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	Yes
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Neither requested nor received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 1 year
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Firm Fixed Price (FFP)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	



Agency: FDLE

Project: CCH System Technology Replacement

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation not planned/used for procurement
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: FDLE

Project: CCH System Technology Replacement

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No, project manager is assigned 50% or less to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated 50% or less to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Mostly staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: FDLE

Project: CCH System Technology Replacement

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	81% to 100% -- All or nearly all have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	

Agency: FDLE

Project: CCH System Technology Replacement

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

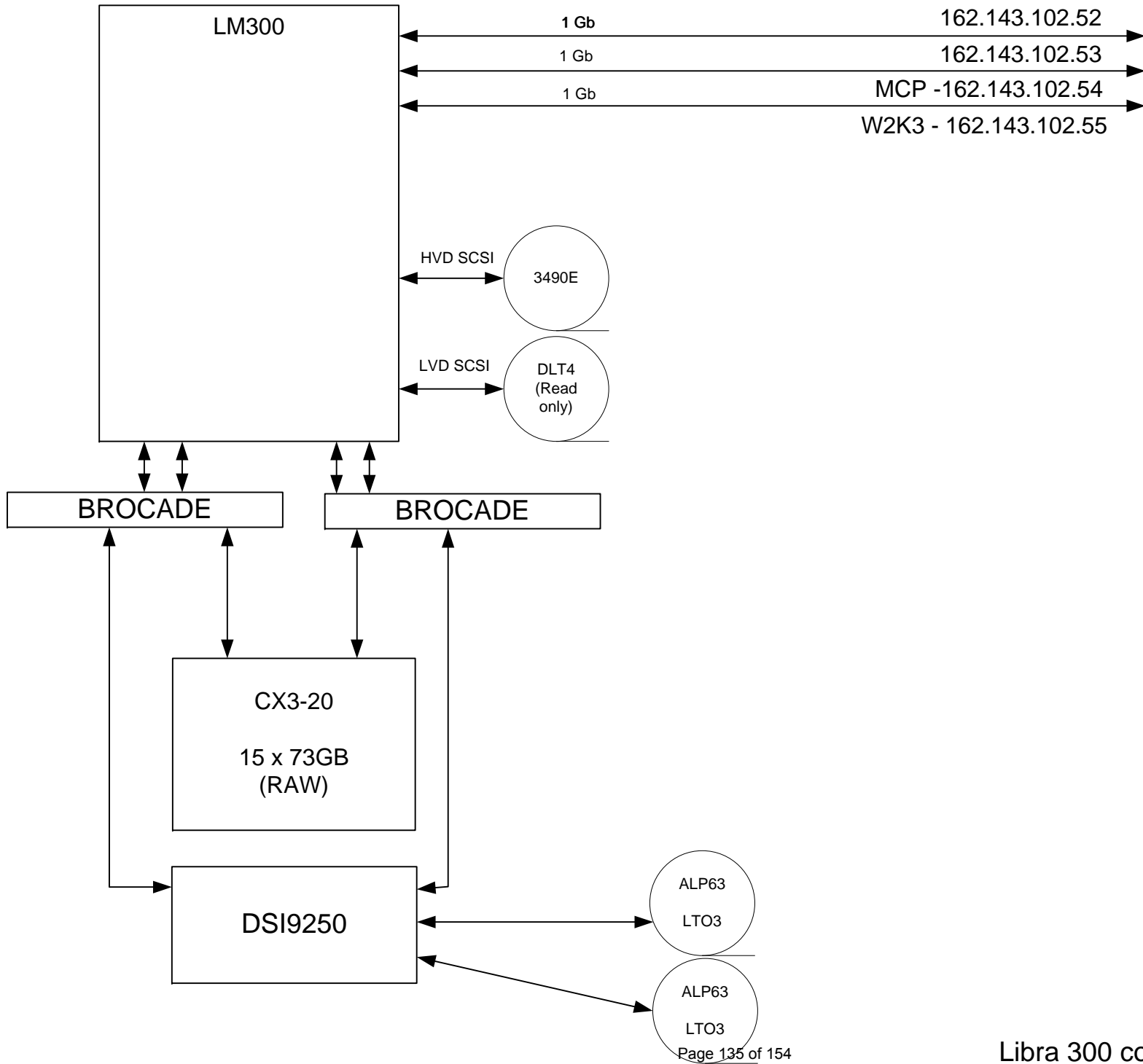
Agency: FDLE

Project: CCH System Technology Replacement

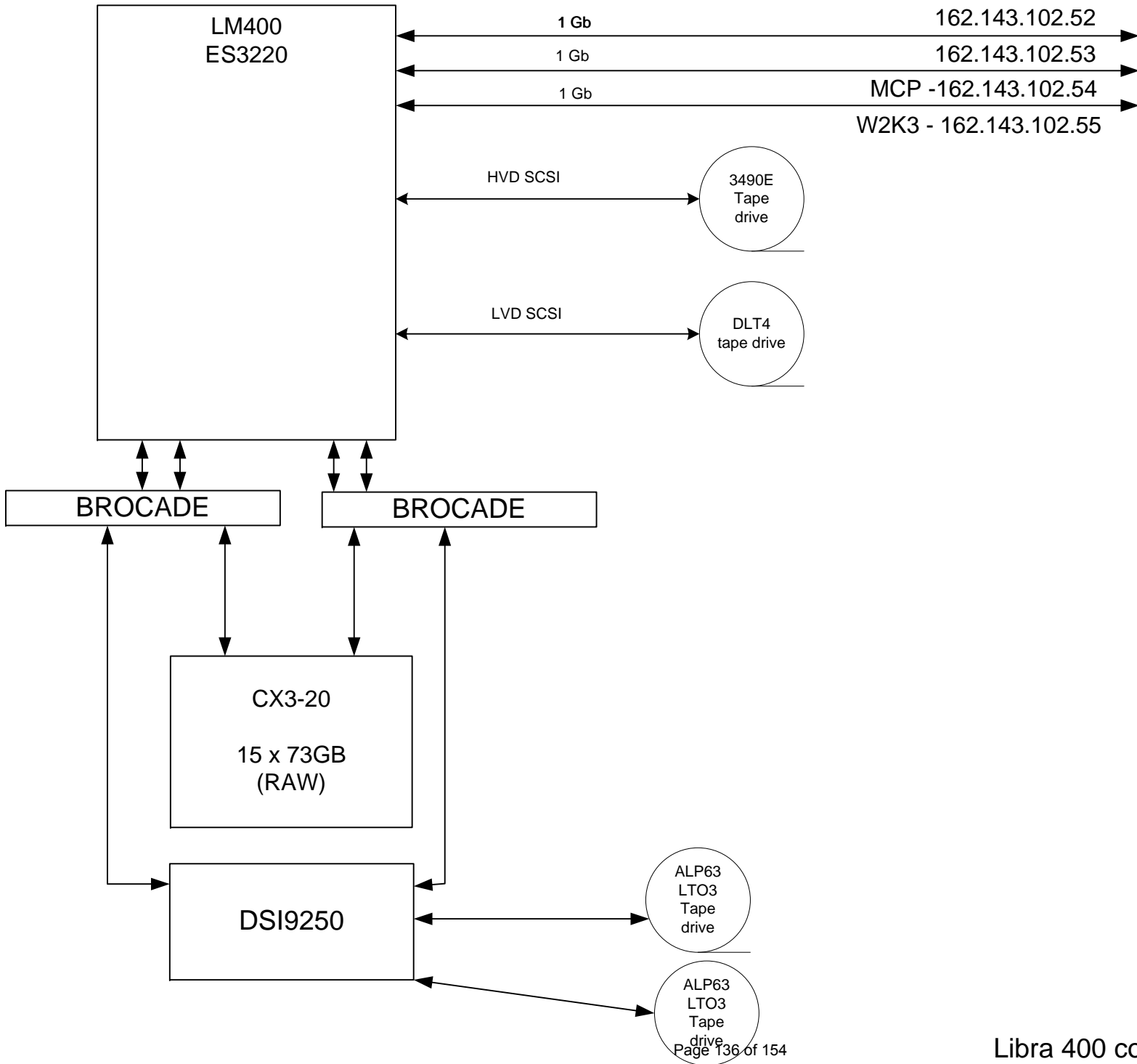
Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple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

**Appendix D – Libra 300 and Libra 400 Diagrams**

# FDLE Current Libra 300



# FDLE Libra 400 at Cut-over





**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**  
**DEPARTMENT: FLORIDA DEPARTMENT OF LAW ENFORCEMENT**  
**BUDGET ENTITY: 710000**

**Budget Yr.-2007-2008**

**INSPECTOR GENERAL:**  
**DIRECTOR OF AUDITING:**

**Al Dennis**  
**Diana Kolchakian**

**TELEPHONE: 410-7225**

REPORT NUMBER	PERIOD ENDING	UNIT / AREA	SUMMARY OF FINDINGS & RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IG-75-0044 Alcohol Testing Program Audit	Report completed 12/2007	Professionalism Program	Provide additional training for Analysts to be able to assist in court testimony to free up Program Manager (PM). Reassign toxicologist to develop training program & to free up PM from science & solution preparation aspect. PAMS data not based on best source.	3/2008 Dept Insp. added to assist in writing a computer program to aid evidentiary breath test review & provide stats. Tox requested in 08-09 budget Changed PAMS process to agree w/procedures.	
IG-75-0055 Cash Receipts Audit	Report completed 4/2008	Business Support Program & Information Prog.	Possibility of compromise of security. Access to tracking system (FACTS) not limited to those necessary.	Installed security devices and procedures. OFA responsible & procedures developed to provide access to tracking system.	
IG-75-0049 So. FL Money Laund. Strike Force Audit	Report completed 5/2008	Investigation & Forensic Science Program	Many findings about following existing procedures and developing additional procedures, mostly regarding documentation.	Management decision to withdraw FDLE participation from strike force.	
IG-75-0059 Violent Crime Emergency/ Drug Control Account Audit	Report published 5/2008	Investigation & Forensic Science Program	State Financial Assistance forms missing from open files. Procedures need to be updated to include handling & tracking of biannual reports.	Forms are now included in ALL files. Procedures developed and posted on web 4/12/2008.	

08/29/2008

## LBR Technical Review Checklist

Department/Budget Entity (Service): FLORIDA DEPARTMENT OF LAW ENFORCEMENT

Agency Budget Officer/OPB Analyst Name: Joy James / Melissa Patino

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

Action	Program or Service (Budget Entity Codes)				
	711502	715501	716001	716002	716003

**1. GENERAL**

<p>1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b></p>	Y	Y	Y	Y	Y
<p>1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b></p>	Y	Y	Y	Y	Y

**AUDITS:**

<p>1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b></p>	Y	Y	Y	Y	Y
<p>1.4 Has security been set correctly? <b>(CSDR, CSA)</b></p>	Y	Y	Y	Y	Y

**TIP** The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.

**2. EXHIBIT A (EADR, EXA)**

<p>2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 53 of the LBR Instructions?</p>	Y	Y	Y	Y	Y
<p>2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?</p>	Y	Y	Y	Y	Y
<p>2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 25)? Do they clearly describe the issue?</p>	Y	Y	Y	Y	Y
<p>2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 25) been followed?</p>	Y	Y	Y	Y	Y

**3. EXHIBIT B (EADR, EXB)**

<p>3.1 Is it apparent that there is a fund shift and 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.</p>	Y	Y	Y	Y	Y
---	---	---	---	---	---

**AUDITS:**

3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	Y					
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B02? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	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 B02: 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, the Special Categories appropriation category (10XXXX) should be used.										
<b>4. EXHIBIT D (EADR, EXD)</b>											
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	Y					
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y					
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.										
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>											
5.1	Are all object of expenditures positive amounts? (This is a manual check.)						Y	Y	Y	Y	
<b>AUDITS:</b>											
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y	Y	Y					
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column G07? <b>(EXBR, EXBB - Negative differences need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y					
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column G08? <b>(EXBR, EXBD - Differences need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y					
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.										

TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than G07: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2007-08 approved budget. Amounts should be positive.					
TIP	If G08 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 G08 was created.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions).	Y	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 62 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 63 and 64 of the LBR Instructions?	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense, Operating Capital Outlay (OCO), and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions).	Y	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	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.	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	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 #09-002?	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	Y	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 24 and 80 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.16	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 or 363XXC0)?	Y	Y	Y	Y	Y
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 61 through 64 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 2008-09 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?	Y	Y	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000799, 001510 and 001599)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Section 215.20, F.S. for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y

8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27	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	Y	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y

**AUDITS:**

8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	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 119 of the LBR Instructions.)				
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.				
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.				

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

**AUDIT:**

9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 150 of the LBR Instructions.)	Y	Y	Y	Y	Y
-----	---	---	---	---	---	---

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

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 82 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 89 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y

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

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), 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?	N/A	N/A	N/A	N/A	N/A
------	--	-----	-----	-----	-----	-----

**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2008 LBR submittal.					
------	--	--	--	--	--	--

**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 95 and 96 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y
------	--	---	---	---	---	---

**15. SCHEDULE XI (LAS/PBS Web - see page 102 of the LBR Instructions for detailed instructions)**

15.1	Has the Schedule XI one page summary been e-mailed to OPB? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y
------	--	---	---	---	---	---



15.2	Does the FY 2007-08 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y
15.3	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y
15.4	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	Y
15.5	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y
15.6	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	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.					

**16. MANUALLY PREPARED EXHIBITS & SCHEDULES**

16.1	Do exhibits and schedules comply with LBR Instructions (pages 103 through 147 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y

**AUDITS - GENERAL INFORMATION**

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					

**17. CAPITAL IMPROVEMENTS PROGRAM (CIP)**

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	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.	
-----	---	--

	Program or Service (Budget Entity Codes)				
Action	716004	717001	717002	718001	718002

**1. GENERAL**

1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	Y	Y	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	Y	Y

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y	Y
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	Y	Y

TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					
-----	--	--	--	--	--	--

**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 53 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 25)? Do they clearly describe the issue?	Y	Y	Y	Y	Y
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 25) been followed?	Y	Y	Y	Y	Y

**3. EXHIBIT B (EADR, EXB)**

3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y
-----	--	---	---	---	---	---

3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B02? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	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 B02: 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, the 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 56 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					

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

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column G07? <b>(EXBR, EXBB - Negative differences need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column G08? <b>(EXBR, EXBD - Differences need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted					

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 G07: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2007-08 approved budget. Amounts should be positive.
TIP	If G08 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 G08 was created.

**6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)**

6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
TIP	Exhibit D-3 is no longer 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)**

7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions).	Y	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 62 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 63 and 64 of the LBR Instructions?	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense, Operating Capital Outlay (OCO), and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions).	Y	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	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.	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	
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 #09-002?	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	Y	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 24 and 80 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.16	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 or 363XXC0)?	Y	Y	Y	Y	Y
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 61 through 64 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					

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 2008-09 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?	Y	Y	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000799, 001510 and 001599)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Section 215.20, F.S. for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue					

8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27	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	Y	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y

**AUDITS:**

8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	Y
8.31	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					

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 119 of the LBR Instructions.)				
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.				
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.				

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

**AUDIT:**

9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 150 of the LBR Instructions.)	Y	Y	Y	Y	Y
-----	---	---	---	---	---	---

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

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 82 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 89 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y

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

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), 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?	N/A	N/A	N/A	N/A	N/A
------	--	-----	-----	-----	-----	-----

**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2008 LBR submittal.					
------	--	--	--	--	--	--

**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 95 and 96 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y
------	--	---	---	---	---	---

**15. SCHEDULE XI (LAS/PBS Web - see page 102 of the LBR Instructions for detailed instructions)**

15.1	Has the Schedule XI one page summary been e-mailed to OPB? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)					
------	--	--	--	--	--	--



15.2	Does the FY 2007-08 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y
15.3	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y
15.4	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	Y
15.5	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y
15.6	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	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.					

**16. MANUALLY PREPARED EXHIBITS & SCHEDULES**

16.1	Do exhibits and schedules comply with LBR Instructions (pages 103 through 147 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y

**AUDITS - GENERAL INFORMATION**

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					

**17. CAPITAL IMPROVEMENTS PROGRAM (CIP)**

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07,					

---

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