



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

ANANTH PRASAD, P.E.
SECRETARY

LEGISLATIVE BUDGET REQUEST

September 15, 2011

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

Ms. JoAnne Leznoff, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

Mr. Craig Meyer, Staff Director
Senate Budget Committee
201 Capitol
Tallahassee, Florida 32399-1300

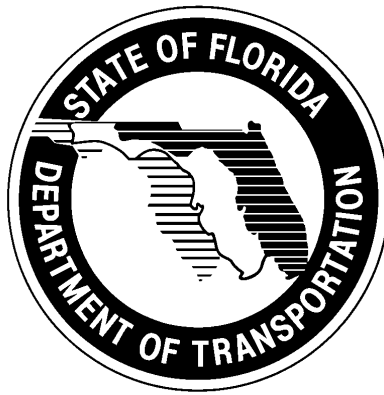
Dear Directors:

Pursuant to Chapter 216, Florida Statutes, enclosed is the Legislative Budget Request for the Department of Transportation. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2012-13 Fiscal Year. This submission has been approved by Ananth Prasad, Secretary of Transportation.

Sincerely,

Kimberly Ferrell
Budget Officer

KF/vm
Enclosure



LEGISLATIVE BUDGET REQUEST 2012-2013

Department Level Exhibits and Schedules



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

ANANTH PRASAD, P.E.
SECRETARY

MEMORANDUM

TO: Kimberly Ferrell
Budget Officer

FROM: Robert M. Burdick *AMB*
Deputy General Counsel

DATE: August 31, 2011

SUBJECT: Schedule VII: Agency Litigation Inventory
2012/2013 Legislative Budget Request

We have attached an inventory of the Department's current litigation in accordance with the Planning and Budgeting Instructions. Based on the July 22, 2011, request, we have exercised due diligence by requesting that each attorney assigned to the Office of the General Counsel in Tallahassee and each of the District Chief Counsels, including the Chief Counsel for the Turnpike Enterprise, identify any litigation cases known to them that have a potential fiscal impact of more than \$500,000.

If you have any questions, or need additional information, please feel free to contact me at 414-5362.

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Greg Costas	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	AMEC Civil, LLC, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	Florida Supreme Court		
Case Number:	SC10-1699		
Summary of the Complaint:	FDOT contracted with AMEC for reconstruction of the intersection of I-95 and I-295 south of Jacksonville. AMEC sought money damages for delays and extra costs, which claims were previously litigated in a separate action.		
Amount of the Claim:	\$37,000,000		
Law Challenged:			
Status of Case:	AMEC served a Summons and Complaint on 02/07/08. On 02/20/09, the Court entered final summary judgment in favor of FDOT. AMEC appealed the order. Oral argument was held on 10/13/09. The judgment was affirmed by an opinion issued on 04/20/10. On 05/05/10, AMEC filed a motion for rehearing, a motion for rehearing en banc, and a request that the 1st DCA to certify to the Florida Supreme Court that the opinion involved questions of great public importance and conflicted with one or more decisions by other District Courts of Appeal. The motions and request were denied on 08/05/10. AMEC filed its notice seeking discretionary review by the Florida Supreme Court on 08/30/10. The Florida Supreme Court denied jurisdiction on 05/10/11, and the matter was closed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	American Self Storage, LLC, and Elijah Bailey, Plaintiffs, v. FDOT, Defendant.		
Court with Jurisdiction:	5th Judicial Circuit, Marion County		
Case Number:	02011-CA-001210		
Summary of the Complaint:	This is an inverse condemnation case. The Plaintiffs seek damages for alleged loss of access and visibility to U.S. Highway 464.		
Amount of the Claim:	\$ 4,000,000		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	The complaint for loss of access and visibility was served on 05/04/11. FDOT's Motion to Dismiss and Motion to bifurcate were filed on 06/08/11. Awaiting ruling from the Court.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Wayne Lambert	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Astaldi Construction Corporation, Plaintiff, v. FDOT and KCCS, Inc., Defendants.		
Court with Jurisdiction:	20th Judicial Circuit, Lee County		
Case Number:	09-CA-000978		
Summary of the Complaint:	Astaldi claims that it is owed additional money on a construction contract because of delays and disruption of its work it alleges were caused by FDOT. FDOT has counterclaimed for liquidated damages it has withheld on the project.		
Amount of the Claim:	Astaldi claims \$7,000,000. FDOT's counterclaim is \$2,000,000.		
Specific Law(s) Challenged:			
Status of Case:	Astaldi served a Complaint against FDOT and KCCS, the CEI on the project, on 03/05/09. On 4/1/2009 KCCS served a Motion to Dismiss. On 4/17/09 FDOT served a Motion to Dismiss and propounded initial discovery. On 6/16/09, the Court denied FDOT's Motion to Dismiss and granted KCCS's Motion. FDOT filed its Answer on 08/07/09. On 7/27/09, Astaldi served its answers to FDOT's initial discovery. Mediation was held on 10/29/09, resulting in impasse. On 03/26/10, the Court entered an order staying this case pending further Dispute Resolution Board proceedings. Additional DRB proceedings were held and an order lifting the stay was entered on 04/18/11. A case management conference is scheduled for 09/06/11. A second mediation is scheduled for 10/17/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Roger B. Wood	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Bay Drum Superfund Site		
Court with Jurisdiction:	US DC Middle District		
Case Number:	97-1564-CIV-T-26(A)		
Summary of the Complaint:	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT has entered into a consent decree that requires it to clean this site.		
Amount of the Claim:	Potential exposure is estimated to be \$10,000,000		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	FDOT has responded to EPA's information request and has joined a Potential Responsible Party group. FDOT is a major participant due to its allocation. On 01/21/05, EPA agreed to amend the Record of Decision to provide for monitoring and natural attenuation as the remedy for the deep Floridian Aquifer. No assessments for cleanup costs were made in 2010 and no assessment is expected for 2011.		
Who is representing (of record) the state in this lawsuit? Check all that apply:	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Parties:	Break Time USA, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pinellas County		
Case Number:	06-586-CI-21		
Summary of the Complaint:	This is an inverse condemnation case. Break Time seeks severance damages and damages for an alleged loss of access attributed to FODT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Complaint was filed on 01/26/06. The Court entered an Order abating the case pending the outcome of the appeal of Fisher v. FDOT, SC07-1394, in which a private property owner asserted legally and factually similar claims. FDOT received a favorable decision in Fisher on 10/11/07. Plaintiff filed a Motion for Leave to Amend Complaint on 07/14/09 and a Motion to Abate on 06/21/10. FDOT filed a Motion for Summary Judgment on 7/14/10. Plaintiff's Motion to Abate was granted on 10/05/10, pending the outcome of the appeal of Hakki v. FDOT, in which a private property owner asserted legally and factually similar claims. Oral argument in the Hakki case is set for 09/07/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Alice Copek	Phone Number:	414-5265
Names of the Parties:	Joseph Capitano & Alfonso Garcia Jr., Plaintiffs, v. FDOT, Defendant.		
Court with Jurisdiction:	13 th Circuit (Hillsborough)		
Case Number:	09-06083		
Summary of the Complaint:	Plaintiffs sued FDOT for declaratory relief seeking an order voiding FDOT's 2008 sale/transfer of property previously owned by Plaintiffs. FDOT obtained the property from Plaintiffs through eminent domain in 1999 and transferred the property to another landowner as part of the resolution of a 2008 eminent domain proceeding. Plaintiffs claim that FDOT was required to put their former property up for public bid.		
Amount of the Claim:	The claim could have a potential impact of approximately \$2,500,000		
Specific Law(s) Challenged:			
Status of Case:	The Complaint was served on 03/17/09. On 07/14/09, the Court granted FDOT's Motion to Dismiss without prejudice. On 08/28/09 Plaintiffs filed an Amended Complaint. On 09/10/09 FDOT filed a Motion to Dismiss the Amended Complaint. The Court denied FDOT's motion on 03/03/10. FDOT filed its answer on 03/18/10. FDOT filed a motion for judgment on the pleadings on 02/28/11. The motion was heard on 05/25/11. FDOT is awaiting an order on the motion.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Arthur L. Berger	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	John Carlo, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	13th Judicial Circuit, Hillsborough County		
Case Number:	09-9244		
Summary of the Complaint:	John Carlo sued for breach of a construction contract, claiming that it is entitled to a "no-excuse" bonus of \$1,000,000, or, alternatively, money damages in the amount of \$3,200,000.		
Amount of the Claim:	\$3,200,000		
Specific Law(s) Challenged:			
Status of Case:	John Carlo filed its Complaint on 04/02/09. FDOT filed a Motion to Dismiss on 06/03/09, which was denied on 10/14/09. On 11/02/09, FDOT served its answer and counterclaim for declaratory judgment regarding the application of contract specifications. On 11/30/09, John Carlo filed a Motion to Dismiss FDOT's counterclaim. FDOT voluntarily dismissed its counterclaim without prejudice on 04/08/10. FDOT served a motion for partial summary judgment on 03/26/10, which was denied on 07/22/10. On 06/30/11, the parties reached a settlement agreement under which FDOT agreed to pay \$175,000 in settlement of all claims.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Clinton L. Doud	Phone Number:	414-5265

Names of the Parties:	Chain of Lakes Open Aire Market, LLC, Plaintiff, v. FDOT, Defendant		
Court with Jurisdiction:	2nd District Court of Appeal		
Case Number:	2D11-2973		
Summary of the Complaint:	This is an inverse condemnation case. Chain of Lakes filed suit seeking damages and injunctive relief for alleged inverse condemnation and breach of a 1992 settlement agreement after FDOT closed a median opening. Landowner's cause of action was based on a 1992 final judgment between the Department and a previous landowner.		
Amount of the Claim:	\$550,000		
Specific Law(s) Challenged:			
Status of Case:	Chain of Lakes filed its complaint on 02/22/10, and an amended complaint on 04/01/10. FDOT filed its answer on 07/06/11. Trial occurred on 01/19/11. Judgment in favor of FDOT was entered on 02/11/11. Chain of Lakes filed a motion for reconsideration and for rehearing on 02/21/11, which was denied on 05/18/11. Chain of Lakes filed its notice of appeal on 06/14/11. Chain of Lake's initial brief is due on 09/22/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Parties:	CHK, LLC, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pinellas County		
Case Number:	06-730-CI-8		
Summary of the Complaint:	This is an inverse condemnation case. CHK seeks damages for an alleged loss of access and physical invasion attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Summons and Complaint were served on 02/09/06. The Court entered an Order abating the case pending the outcome of the appeal of Fisher v. FDOT, SC07-1394, in which a private property owner asserted legally and factually similar claims. FDOT received a favorable decision in Fisher on 10/11/07. On 08/18/09, Plaintiff amended its complaint to add a count for physical invasion. FDOT filed its Answer on 04/02/10. FDOT filed a Motion for Summary Judgment on 06/04/10. Plaintiff filed a Motion to Abate on 06/04/10. Plaintiff's Motion to Abate was granted on 10/05/10, pending the outcome of the appeal of Hakki v. FDOT, in which a private property owner asserted legally and factually similar claims. Oral argument in the Hakki case is set for 09/07/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action, provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Greg Costas	Phone Number:	414-5265

Names of the Parties:	Crosspointe Baptist Church, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	2nd District Court of Appeal		
Case Number:	2D 10-4254		
Summary of the Complaint:	This is an inverse condemnation case. Plaintiff seeks damages for physical invasion of its property, flooding, and loss of access attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Summons and Complaint were served on 07/28/08. On 08/04/08, Crosspointe filed an Amended Complaint. FDOT filed its Answer on 11/24/08. On 02/16/10, the Court entered an Order of Taking, concluding that FDOT was liable only for a temporary taking for periodic ponding during significant rain events. On 08/18/10, a Stipulated Final Judgment was entered for the temporary taking. On 09/01/10, Crosspointe appealed the Court's denial of its other claims. The case is fully briefed and oral argument is set for 09/07/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Deery Harris, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	06-585 CI 7		
Summary of the Complaint:	This is an inverse condemnation case. The plaintiff seeks damages for alleged loss of access and physical taking attributed to FDOT's improvements to U.S. 19.		
Amount of the Claim:	\$ 2,000,000		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	Complaint received on 01/30/06. FDOT filed a Motion for Summary Judgment on 06/26/09. The Court allowed Plaintiffs to file an Amended Complaint on 07/08/09, which FDOT moved to dismiss on 08/07/09. FDOT filed its Answer on 04/02/10. FDOT filed an Amended Motion for Summary Judgment on 05/26/10. Plaintiffs filed a Motion to Abate on 06/21/10. Plaintiff's Motion to Abate was granted on 10/05/10, pending the outcome of the appeal of Hakki v. FDOT, in which a private property owner asserted legally and factually similar claims. Oral argument in the Hakki case is set for 09/07/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	FDOT, Plaintiff, v. Anchorage Inn, Defendant.		
Court with Jurisdiction:	7th Judicial Circuit, St. Johns County		
Case Number:	CA03-0753		
Summary of the Complaint:	FDOT brought an eminent domain action to acquire certain property owned by Anchorage. Anchorage responded to the eminent domain petition by filing a counterclaim seeking damages for an alleged inverse condemnation. Anchorage seeks damages for alleged loss of riparian view resulting from the reconstruction of the Bridge of Lions.		
Amount of the Claim:	\$ 3,500,000		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	Anchorage filed its Third Amended Counterclaim on 11/23/06. The Court granted FDOT's Motion to Dismiss without prejudice on 02/18/10. Anchorage filed its Fourth Amended Counterclaim on 04/16/10. FDOT moved to dismiss the fourth counterclaim on 04/29/10. Mediation was held on 09/20/10, resulting in impasse. Awaiting Court's ruling on FDOT's motion to dismiss.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Ted A. Avellone	Phone Number:	414-5265

Names of the Parties:	FDOT, Plaintiff, v. Aramark Uniform & Career Apparel, LLC, Defendant.		
Court with Jurisdiction:	4 th Circuit Court, Duval County		
Case Number:	07-CA-010434		
Summary of the Complaint:	FDOT is seeking to recover damages for environmental contamination of FDOT right-of-way caused by Aramark's, or its predecessor's, discharge of vinyl chloride and other toxic substances.		
Amount of the Claim:	\$1,108,591.15		
Specific Law(s) Challenged:			
Status of Case:	Complaint filed 11/09/07 and Answer filed 09/02/08. On 08/17/11, Aramark agreed to pay and FDOT agreed to accept \$810,000 in settlement of all claims.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Marc Peoples	Phone Number:	414-5265

Names of the Parties:	FDOT, Plaintiff, v. Dyer, Riddle, Mills & Precourt, Inc., Defendant.
Court with Jurisdiction:	2 nd Circuit (Leon)
Case Number:	2008CA004158
Summary of the Complaint:	FDOT sued DRMP for its failure to correctly design certain roadway improvements
Amount of the Claim:	\$2,498,000
Specific Law(s) Challenged:	
Status of Case:	FDOT filed its Complaint on 12/22/08. DRMP served its Answer on 2/9/09. On 03/05/10, FDOT filed a Motion for Partial Summary Judgment on liability that was heard on 04/29/10. The Court has not ruled on FDOT's Motion for Partial Summary Judgment. On 08/30/10, FDOT filed a Motion for Summary Judgment that was denied on 10/26/10. Trial was originally set for 11/28/10, but was continued upon motion by DRMP. Trial is currently set to commence on 03/19/12.
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/> Agency General Counsel's Office
	<input type="checkbox"/> Office of the Attorney General or Division of Risk Management
	<input type="checkbox"/> Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Arthur L. Berger	Phone Number:	414-5265

Names of the Parties:	FDOT, Plaintiff, v. Earth Tech Consulting, Inc., Defendant.		
Court with Jurisdiction:	2 nd Circuit, Leon County		
Case Number:	08-CA-002231		
Summary of the Complaint:	Earth Tech performed design work under a consulting contract with FDOT. Earth Tech designed a scenic wetlands area to mitigate environmental impacts from various FDOT road construction projects in Jacksonville. The mitigation project did not function as expected. FDOT is seeking to recover money damages from Earth Tech.		
Amount of the Claim:	Approximately \$1,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Complaint was filed on 07/10/08. Earth Tech filed its Answer on 03/30/09. On 10/27/10, the parties entered into a settlement agreement under which FDOT agreed to accept \$750,000 in settlement of all claims. The settlement amount was paid on 12/12/10, and this matter is closed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Alice Copek	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	FDOT, Plaintiff, v. P&L Towing, Inc., Defendant.		
Court with Jurisdiction:	11th Judicial Circuit, Miami-Dade County		
Case Number:	06-16612 CA 16		
Summary of the Complaint:	A tug and barge operated by P & L struck the 5th Street Bridge on the Miami River. About two weeks later a tug and barge operated by P & L again struck the bridge. FDOT sued to recover for the damage to the bridge.		
Amount of the Claim:	FDOT's claim is for \$1,300,000 P&L Towing's counterclaim is for approximately \$200,000		
Specific Law(s) Challenged (including GAA Challenged):			
Status of Case:	On 08/22/06, FDOT served a Complaint for damages from two separate vessel collisions with a bridge on 07/15/05 and 08/04/05. On 09/01/06, P&L served an Answer and Counterclaim. On 10/06/06, FDOT filed a Motion to Dismiss Counterclaim. FDOT's Motion to Dismiss was granted on 01/07/09. P&L filed an amended Answer and Counterclaim on 01/18/09. FDOT answered the counterclaim on 02/05/09. Discovery is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Roger Wood	Phone Number	414-5265
Names of the Parties:	Florida Gas Transmission Company, Plaintiff, v. FDOT, Defendant.		
Court:	17th Judicial Circuit, Broward County 4th District Court of Appeal		
Case Number:	07-01922-08 4D11-2567		
Summary of the Complaint:	<p>Florida Gas Transmission Company (FGT) has natural gas pipelines that are located in the Turnpike right of way. The Turnpike Enterprise is designing road widening projects in the vicinity of the pipelines. After a dispute arose over responsibility for the costs of relocating the pipelines, FGT filed this suit against FDOT for breach of easement agreements. Additionally, FGT claims that FDOT must compensate FGT for the cost of relocating its natural gas pipelines. FGT also claimed that its easement was taken by FDOT without compensation. FDOT counterclaimed against FGT for breach of easement, unjust enrichment, promissory estoppel, fraud in the inducement, and trespass, seeking damages and injunctive and declaratory relief.</p>		
Amount of the Claim:	<p>FGT has recovered a verdict against FDOT in the amount of \$82,697,567, plus prejudgment interest in the amount of \$8,016,801 through March 31, 2011 with a further prejudgment interest per diem of \$13,595.48 through 05/02/11. The judgment bears interest at an annual rate of 6%.</p>		
Specific Law Challenged:			
Status of Case:	<p>The lawsuit was served on 02/13/07. FDOT filed an Answer and Affirmative Defenses. The case was assigned to the Business Court. On 04/03/09, FDOT filed Third Amended and Supplemental Counterclaims. The parties' various motions for summary judgment were all eventually denied.</p> <p>On 05/04/10, FGT voluntarily dismissed its claims that its easements were taken by FDOT without compensation. On 05/04/10, FGT also voluntarily dismissed its request to enjoin road widening projects, including two projects from the Homestead Extension of Florida's Turnpike to Griffin Road and</p>		

one project from Atlantic Boulevard to the Sawgrass Expressway, as well as its request to enjoin the I-595 express lane project. The estimated exposure on the dismissed claims was in excess of \$160,000,000. On 05/04/10, FDOT voluntarily dismissed its claim against FGT for fraud in the inducement.

On 05/28/10, FDOT requested the disqualification of Judge Rosenberg on the grounds that FDOT was being denied due process and that improper ex parte communications between FGT and the Court had occurred. On 06/01/10, Judge Rosenberg recused himself. Judge Streiffeld was appointed as the successor judge

Trial commenced 01/04/11. FGT's claims of insufficient work space to construct the relocated pipelines, damages for the cost of relocating its natural gas pipelines and FDOT's claims of breach of the easement, reliance, and trespass were submitted to a jury. On 01/27/11, the jury returned a verdict denying all of FDOT's claims, denying FGT's claim for insufficient workspace and finding FDOT liable to FGT in the amount of \$82,697,567 for the cost of relocating FGT's pipelines. On 02/07/11, FDOT filed motions to set aside the verdict or for new trial. By Orders dated 05/02/11, the Court denied FDOT's post trial motions. On 05/02/11, the Court entered judgment in favor of FGT against FDOT in the principal sum of \$82,697,567 plus prejudgment interest in the amount of \$8,016,801 through 03/31/11, with a further prejudgment interest per diem of \$13,595.48 through 05/02/11. The judgment bears interest at an annual rate of 6%.

The 05/02/11 Final Judgment also resolved the declaratory claims regarding FGT's permanent and temporary work space, FDOT's ability to pave over FGT's pipelines, the condition of FGT's pipeline, and FDOT's request for damages. The Final Judgment determined that FGT is entitled to a 15 foot permanent easement on each side of its pipelines, 75 feet of temporary work space to construct, repair and remove its pipelines, and that FDOT must obtain FGT's consent before paving over FGT's pipelines (except in limited circumstances described in the easement). The Final Judgment also determined that FDOT could place structures within the permanent easement area, without determining financial responsibility if structures need to be removed in the future. The Final Judgment denied FDOT's claims for unjust enrichment and declaratory relief regarding the condition of FGT's pipeline.

	<p>On 05/12/11, FDOT filed a motion to alter or amend the Final Judgment. On 07/01/11, the Court entered an Amended Final Judgment. The Amended Final Judgment entered judgment in FDOT's favor on FGT's claim for insufficient workspace and entered a declaration that the 1992 master relocation agreement (reimbursable) has been terminated. FGT has filed a motion to tax costs in the amount of \$1,192,681.78. The Court is permitting discovery before ruling on FGT's motion to tax costs. FDOT filed its notice of appeal of the Amended Final Judgment on 07/12/11. FGT filed a notice of cross appeal on 07/15/11.</p>	
<p>Who is representing (of record) the state in this lawsuit? Check all that apply.</p>	<input checked="" type="checkbox"/>	<p>Agency General Counsel's Office</p>
	<input type="checkbox"/>	<p>Office of the Attorney General or Division of Risk Management</p>
	<input checked="" type="checkbox"/>	<p>Outside Contract Counsel</p>

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Roger Wood	Phone Number	414-5265

Names of the Parties:	Florida Gas Transmission Company, Plaintiff, v. FDOT, I-595 Express, LLC, and Dragados USA, Inc., Defendants.		
Court:	17th Judicial Circuit, Broward County		
Case Number:	11-008770(07)		
Summary of the Complaint:	Florida Gas Transmission Company (FGT) has natural gas pipelines that are located in the Turnpike right of way pursuant to easement agreements. FDOT has entered into a concession agreement with I-595 Express LLC to develop, design, construct, finance, operate and maintain the I-595 Corridor Improvement Project. The I-595 Corridor Improvement Project includes, among other matters, the design and construction of a new express lanes system in the I-595 median. Dragados USA, Inc. has contracted with I-595 Express to perform the design and construction of improvements to the interchange of I-595 and the Florida's Turnpike. FGT contends that the construction of the interchange of I-595 and the Florida's Turnpike materially interferes with its easement rights. FGT is seeking a permanent injunction regarding construction of improvements that allegedly materially interfere with its easement rights. FGT has also asserted an inverse condemnation claim against FDOT.		
Amount of the Claim:	unknown		
Specific Law Challenged:			
Status of Case:	The Complaint was filed on 04/14/11. On 05/02/11, FGT withdrew its motion for preliminary injunction. On 05/31/11, FDOT filed a motion to dismiss. On 07/11/11, the Court entered a 60 day stay of this case, with exceptions for certain activities. The parties will discuss settlement during this 60 day stay. FGT served an amended complaint on 08/01/11. Limited discovery is still being conducted.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Adam Brand	Phone Number:	414-5265

Names of the Parties:	Freedom Pipeline Corporation, Plaintiff, v. FDOT, URS Corporation, & James Sauls, P.E., Defendants.		
Court with Jurisdiction:	10 th Circuit (Hardee)		
Case Number:	25 09CA000292		
Summary of the Complaint:	Freedom claims that it is entitled to money damages on a construction contract for wrongful default by FDOT and for extra work to repair a sewer pipe it alleges was required by FDOT. Freedom's surety, Liberty Mutual Insurance, has also sued FDOT on the same contract.		
Amount of the Claim:	Approximately \$1,000,000		
Specific Law(s) Challenged:			
Status of Case:	FDOT was served with the Complaint on 05/21/09. Freedom served an Amended Complaint on 06/19/09. On 07/22/09, FDOT filed a Motion to Dismiss. On 04/22/10, the Motion was granted in part, limiting Freedom's claim for damages to extra work and delay. FDOT filed its Answer on 05/14/10. On 08/09/10, the Court entered an agreed Order consolidating this case with Liberty Mutual Insurance v. FDOT, Case No. 25-2008CA000530. Discovery is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Greg Costas	Phone Number:	414-5265

Names of the Parties:	Haddi Hakki and Istabrak Hakki, Plaintiffs, v. FDOT, Defendant.		
Court with Jurisdiction:	2nd District Court of Appeal		
Case Number:	2D 10-4254		
Summary of the Complaint:	This is an inverse condemnation case. Plaintiffs seek damages for an alleged loss of access attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Complaint was filed on 6/19/06. Hakkis filed an Amended Complaint on 10/24/08. The Department filed its Answer on 11/17/08. On 02/16/10, the Court entered an Order of Taking, concluding that FDOT was liable only for a temporary taking for periodic ponding during significant rain events. On 08/18/10, a Stipulated Final Judgment was entered for the temporary taking. On 09/01/10, Hakkis appealed the Court's denial of their other claims. The case is fully briefed and oral argument is set for 09/07/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Greg Costas	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Jody Development Corporation, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	2nd District Court of Appeal		
Case Number:	2D 10-3707		
Summary of the Complaint:	This is an inverse condemnation case. Plaintiff is seeking money damages for its alleged loss of access resulting from FDOT's relocation of a county road.		
Amount of the Claim:	\$ 750,000		
Specific Law(s) Challenged:			
Status of Case:	The Complaint was served on 09/22/08. FDOT filed a Motion to Dismiss on 10/24/08, which was denied on 02/23/09. FDOT filed an Answer on 03/11/09. FDOT filed a Motion for Partial Summary Judgment on 07/01/09, which was granted on 11/21/09. A non-jury trial on Plaintiff's remaining claims was held on 05/10/10. On 07/08/10, the Court entered a Final Judgment awarding Plaintiff no damages. Plaintiff filed its Notice of Appeal on 08/02/10. The case was fully briefed and oral argument was held on 02/15/11. The judgment in favor of FDOT was affirmed without a written opinion on 02/23/11. This matter is closed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency General Counsel's Office	
		Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Adam Brand	Phone Number:	414-5265

Names of the Parties:	Liberty Mutual Insurance, Plaintiff, v. FDOT, Defendant.
Court with Jurisdiction:	10 th Circuit (Hardee)
Case Number:	25-2008CA000530
Summary of the Complaint:	Liberty, as surety for Freedom Pipeline Corporation, sued FDOT for money damages, claiming that FDOT breached its construction contract with Freedom.
Amount of the Claim:	Approximately \$1,000,000
Specific Law(s) Challenged:	
Status of Case:	Liberty served its Complaint on 10/21/08. On 01/16/09, Liberty served its Amended Complaint. On 02/13/09, FDOT served a Motion to Dismiss Complaint, which was granted in part and denied in part on 07/06/09. On 08/17/09, Liberty filed its Third Amended Complaint. On 09/08/09 FDOT filed its Answer. On 08/09/10, the Court entered an agreed Order consolidating this case with Freedom Pipeline Corporation v. FDOT, Case No. 25 09CA000292. Discovery is ongoing.
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/> Agency General Counsel's Office
	<input type="checkbox"/> Office of the Attorney General or Division of Risk Management
	<input type="checkbox"/> Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Parties:	Mallards Cove LLP, Plaintiff, v. Clerk of the Pasco County Circuit Court and FDOT, Defendants.		
Court with Jurisdiction:	6th Judicial Circuit, Pasco County		
Case Number:	51-2008-CA-7689ES, Division Y		
Summary of the Complaint:	The Plaintiff claims that Section 74.051(4), Florida Statutes, unlawfully deprives landowners of the interest earned on deposits with the Clerks of the Circuit Courts in eminent domain cases. Under the law, FDOT and other condemning authorities receive 90% of the interest earned on deposits made with the Court for the value of property they acquire through eminent domain.		
Amount of the Claim:	Unknown, if a class is certified will likely exceed \$1,000,000		
Specific Law(s) Challenged:	Section 74.051(4), Florida Statutes		
Status of Case:	The Complaint was served on 08/19/09. FDOT moved to dismiss the Complaint on 09/14/09. The motion was denied on 06/01/10. FDOT served its Answer on 07/12/10. On 07/15/10, FDOT filed a Motion for Summary Judgment. On 02/22/11, the Court granted FDOT's Motion for Summary Judgment as to liability for inverse condemnation. On 04/26/11, the Court granted Plaintiff's Motion for Summary Judgment to declare the challenged statute unconstitutional. On 08/18/11, the Pasco Clerk served a crossclaim against FDOT. FDOT has filed a Motion to Deposit interest in the court registry, which is scheduled to be heard on 11/07/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
Firm or firms representing the plaintiff(s).	Christa L. Collins, Esquire Jackson Bowman, Esquire		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Nancy J. Aliff	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Mitchell Brothers, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County		
Case Number:	05 CA 3100		
Summary of the Complaint:	Mitchell sued FDOT claiming breach of contract. FDOT counterclaimed for liquidated damages and work FDOT had to perform to correct deficient work by Mitchell.		
Amount of the Claim:	Mitchell informally claimed \$40,000,000. FDOT counterclaimed for \$1,827,139.		
Specific Law Challenged:			
Status of Case:	Mitchell served its Complaint and Motion for Preliminary Injunction on 12/22/05. FDOT answered the complaint and served a counterclaim on 03/17/06. Final Summary Judgment in favor of FDOT was entered on 03/26/08. Mitchell appealed the judgment. The judgment in favor of FDOT was affirmed on 06/23/09. On 11/04/10, the court denied FDOT's motion for attorney fees. On 06/28/11, the court awarded FDOT \$195,395.91 in costs.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Alice Copek	Phone Number:	414-5265

Names of the Parties:	Tomer Nadler, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	11 th Judicial Circuit, Miami-Dade County		
Case Number:	0878290CA08		
Summary of the Complaint:	Mr. Nadler filed a class action suit for breach of contract, unfair trade practices, and restitution to recover damages alleged to have been caused by FDOT not properly posting the tolls for use of the I-95 Express Lane in Miami.		
Amount of the Claim:	Unknown, but if a class is certified, may exceed \$500,000		
Specific Law(s) Challenged:			
Status of Case:	On 12/17/08, Nadler filed a Complaint. On 12/30/09, Nadler served FDOT with an Amended Complaint. On 04/23/09, Nadler served a Second Amended Complaint. On 08/14/09 Nadler served a Third Amended Complaint. On 08/21/09, FDOT filed a Motion to Dismiss the Third Amended Complaint with Prejudice. On 12/06/11, the court dismissed two counts of the complaint, with prejudice, and one count without prejudice. Nadler failed to file a fourth amended complaint within the time frame allowed by the court. On 08/22/11, FDOT moved to dismiss this matter for failure to timely amend.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Gilbert & Kaufman, P.A. A class has not been certified.		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Roger B. Wood	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Peak Oil Superfund Site		
Court with Jurisdiction:	US DC Middle District		
Case Number:	97-1564-CIV-T-26(A)		
Summary of the Complaint:	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT has entered into a consent decree that requires it to clean this site.		
Amount of the Claim:	In excess of \$10,000,000		
Specific Law(s) Challenged (including GAA Challenged):			
Status of Case:	FDOT has responded to the EPA's information request. FDOT made payment pursuant to consent decree in 03/98. Implementation of remedial design in progress. Evaluation of the need for remedy in wetlands and deep aquifer is ongoing. No assessments for cleanup costs were made in 2010 and no assessment is expected for 2011.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Greg Costas	Phone Number:	414-5265

Names of the Parties:	PGA North II of Florida LLC, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	4th District Court of Appeal		
Case Number:	4D 10-1895		
Summary of the Complaint:	This is an action to enforce a judgment, seeking damages for the alleged failure of FDOT to provide access between Plaintiff's property and PGA Boulevard.		
Amount of the Claim:	\$16,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Summons and Complaint were served on 01/03/02. An Answer was filed on 08/07/02. Motions for Summary Judgment were argued on 06/27/08, and were denied. On 03/11/09, the Court entered an agreed order providing for separate trials on liability and damages. A non-jury trial on the liability phase was held on 03/08/10. On 04/16/10, the Court entered final judgment in favor of FDOT. PGA filed a Notice of Appeal on 05/03/10. The case is fully briefed and is awaiting the setting of oral argument.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Parties:	Pierce 100, Inc., Plaintiff, v. FDOT and City of Clearwater, Defendants.		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	07-013950-CI-15		
Summary of the Complaint:	The Pierce 100 condominium association and its individual unit members are suing the City of Clearwater and FDOT for money damages for the Plaintiffs' alleged loss of riparian view resulting from construction of the Clearwater Memorial Causeway.		
Amount of the Claim:	Unknown, but is expected to exceed \$1,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Complaint was served on 02/20/06. FDOT moved to dismiss the complaint on 03/08/06. Plaintiffs amended their Complaint on 04/16/07 and again on 02/13/09 and 09/15/09. FDOT moved to dismiss the last amended complaint on 10/05/09. On 06/02/10, FDOT served its Answer. On 05/26/11, Plaintiff voluntarily dismissed its claims against FDOT, with prejudice. This matter is closed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This is a condominium class action pursuant to Florida Rule of Civil Procedure 1.221. Plaintiffs' counsel is Jackson H. Bowman of the firm Brigham Moore LLP.		

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Parties:	RBF Properties, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pinellas County		
Case Number:	06-728-CI-15		
Summary of the Complaint:	This is an inverse condemnation case. Plaintiff seeks severance damages and damages for alleged loss of access attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Complaint was served on 02/09/06. The Court entered an Order abating the case pending the outcome of the appeal of Fisher v. FDOT, SC07-1394, in which a private property owner asserted legally and factually similar claims. FDOT received a favorable decision in Fisher on 10/11/07. On 08/18/09, an Amended Complaint was filed. FDOT filed its Answer on 04/02/10. FDOT filed a Motion for Summary Judgment on 06/04/10. RBF filed a Motion to Abate on 06/04/10. RBF's Motion to Abate was granted on 10/05/10, pending the outcome of the appeal of Hakki v. FDOT, in which a private property owner asserted legally and factually similar claims. Oral argument in the Hakki case is set for 09/07/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265

Names of the Parties:	Nicholas R. Sayat, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pinellas County		
Case Number:	2010-13468-CI-11		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	Plaintiff filed a Notice of Voluntary Dismissal of a prior complaint, without prejudice, on 11/23/09. The pending Complaint was filed on 09/16/10. The Court denied FDOT's Motion to Dismiss on 06/03/2010. FDOT filed its Answer on 06/13/11.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Adam Brand	Phone Number:	414-5265

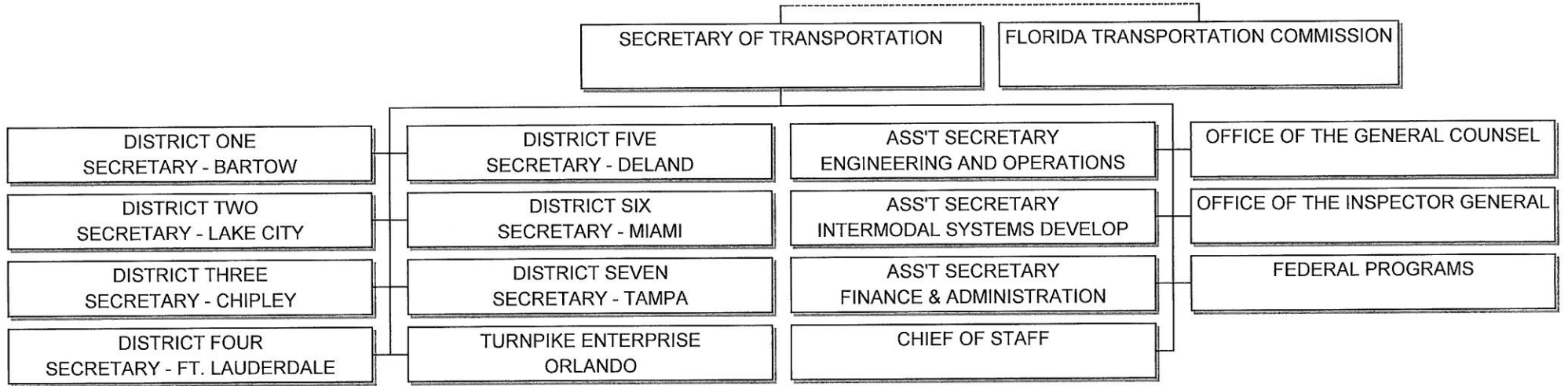
Names of the Parties:	Stacy Thornton, Plaintiff, v. FDOT, Clear Channel, and CBS Outdoor, Defendants.		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County		
Case Number:	37-2010-CA-004054		
Summary of the Complaint:	Plaintiff is challenging Section 479.07(9)(c), Florida Statutes, as unconstitutionally enacted. Plaintiff claims this portion of Section 479.07 is a local law that was passed in violation of Florida Constitutional and statutory provisions regarding local laws and notice.		
Amount of the Claim:	No damages have been claimed.		
Specific Law(s) Challenged:	Section 479.07(9)(c), Florida Statutes		
Status of Case:	On 10/07/10, Plaintiff filed her Complaint. On 11/08/10, FDOT filed its Motion to Dismiss. On 11/17/10, the Court entered an agreed order transferring venue to Leon County. On 12/22/10, Plaintiff filed her 1st Amended Complaint. On 01/6/11, FDOT filed its Motion to Dismiss the 1st Amended Complaint. On 02/01/11, Plaintiff filed a 2nd Amended Complaint. On 02/08/11, the Court granted FDOT's Motion to Dismiss the 1st Amended Complaint and on 02/11/11 FDOT filed its Answer to 2nd Amended Complaint. Discovery is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

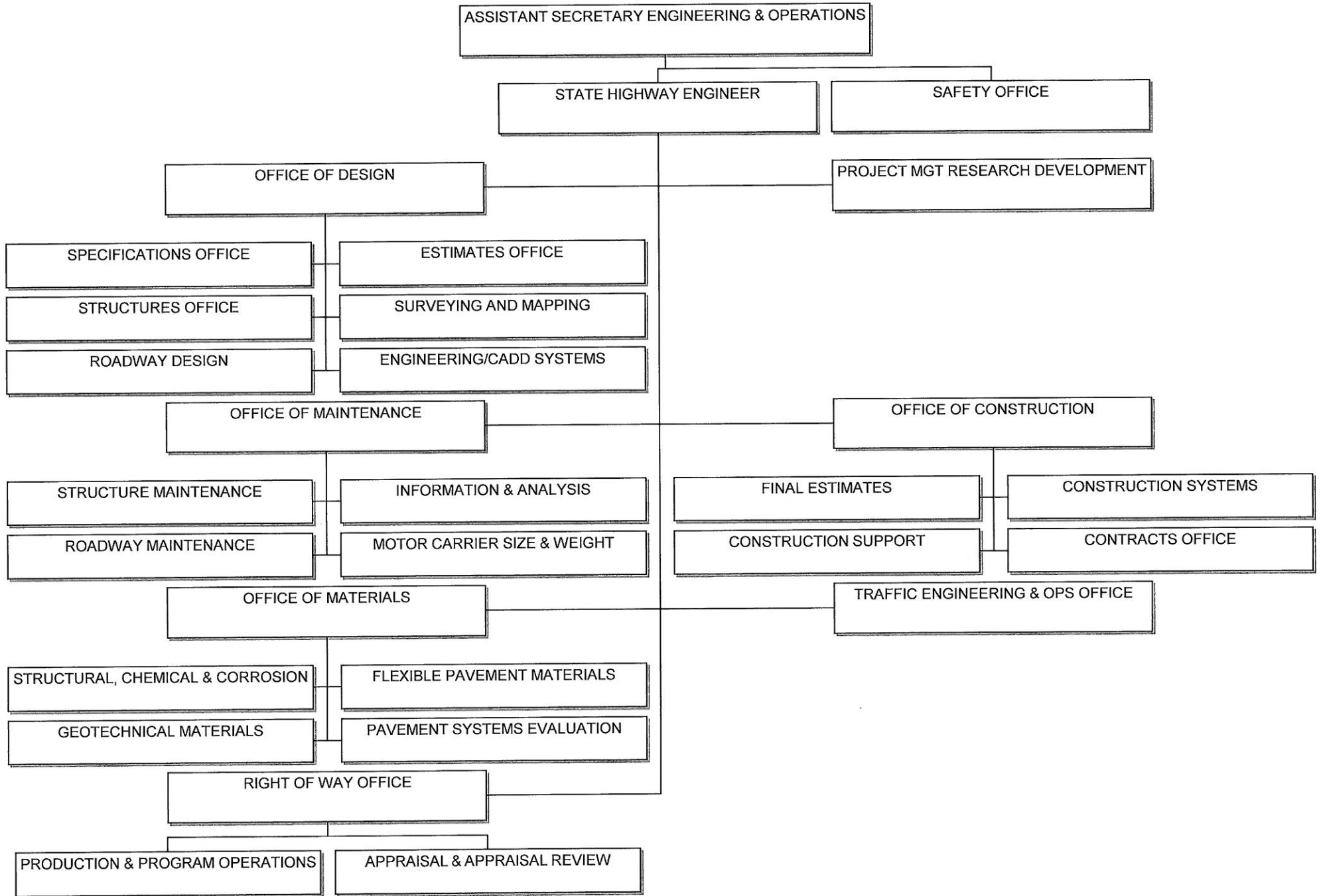
Agency:	Department of Transportation		
Contact Person:	Marc Peoples	Phone Number:	414-5265

Names of the Parties:	White Construction Company, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	5th Judicial Circuit, Marion County		
Case Number:	05-264-CA-G		
Summary of the Complaint:	White contracted with FDOT to expand and resurface portions of US 27 in Marion County. White failed to timely perform the work and FDOT terminated the contract. FDOT required White's surety to obtain a replacement contractor and complete the work. White sued for money damages, seeking compensation for extra work it claimed that FDOT required it to perform, and lost profits and consequential damages allegedly caused by FDOT's termination of the contract. FDOT counterclaimed for liquidated damages and overpayment on the contract.		
Amount of the Claim:	White's claim was for approximately \$6,000,000 FDOT's counterclaim was for \$1,800,000		
Law Challenged:			
Status of Case:	The Summons and Complaint were served on 02/08/05. A lawsuit against White by its surety St. Paul, who paid for work after FDOT terminated the contract, is consolidated with this suit. White filed a counterclaim against St. Paul. On 08/16/06, FDOT served its Answer, Defenses and Counterclaim. Discovery is ongoing. On 08/04/10, the Court granted FDOT's motion for partial summary judgment on the proper interest rate, limiting White to the 6% rate specified in the contract. On 08/20/10, the Court denied FDOT's motion for summary judgment asserting lack of standing. On 09/08/10, FDOT filed a motion for partial summary judgment on White's indemnity claim. Following mediation on 09/29/10, the parties agreed to resolve all claims in exchange for a payment by FDOT in the amount of \$2,110,762. This matter is closed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

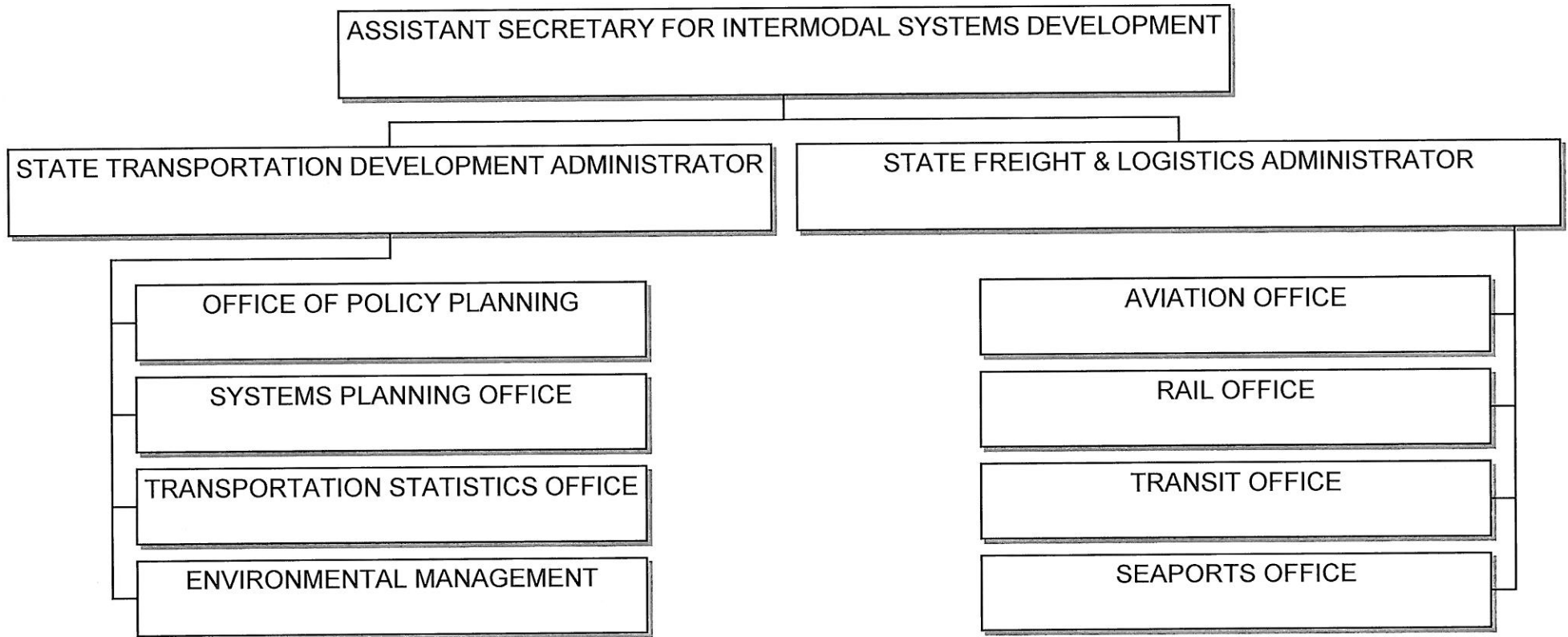
FLORIDA DEPARTMENT OF TRANSPORTATION
OFFICE OF THE SECRETARY



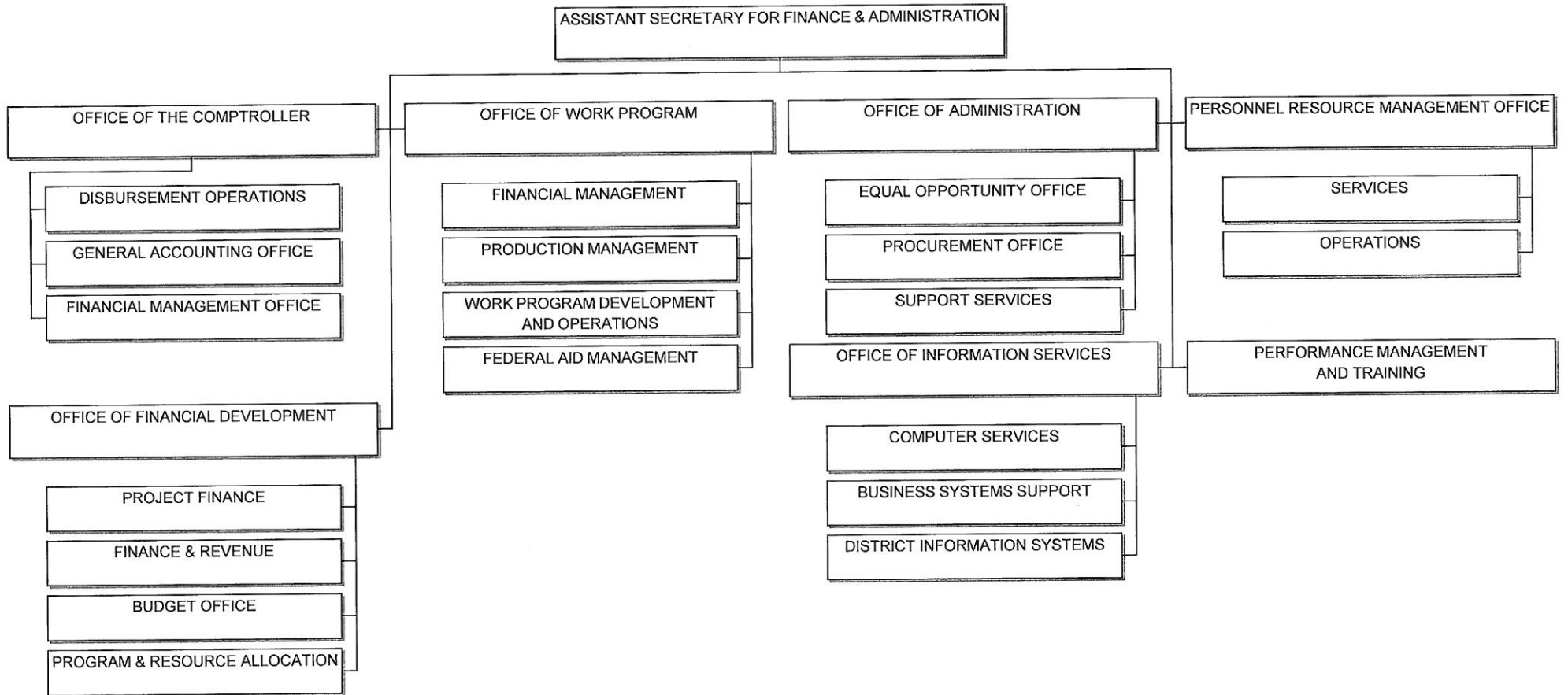
**FLORIDA DEPARTMENT OF TRANSPORTATION
ASSISTANT SECRETARY FOR ENGINEERING AND OPERATIONS**



FLORIDA DEPARTMENT OF TRANSPORTATION
ASSISTANT SECRETARY FOR INTERMODAL SYSTEMS DEVELOPMENT



**FLORIDA DEPARTMENT OF TRANSPORTATION
ASSISTANT SECRETARY FOR FINANCE AND ADMINISTRATION**



TRANSPORTATION, DEPARTMENT OF		FISCAL YEAR 2010-11			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		909,152,782		6,013,862,693	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		11,769,545		2,835,891,767	
FINAL BUDGET FOR AGENCY		920,922,327		8,849,754,460	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
<i>Executive Direction, Administrative Support and Information Technology (2)</i>					0
Intrastate Highways * <i>Intrastate highway lane miles contracted for highway capacity improvements.</i>		235	0.00		1,230,797,769
Arterial Highways * <i>Arterial highway lane miles contracted for highway capacity improvements.</i>		73	0.00		478,737,991
Resurface Roads * <i>Number of lane miles contracted for resurfacing.</i>		2,792	0.00		572,417,193
Repair And Replace Bridges * <i>Number of bridges contracted for repair or replacement.</i>		134	0.00		292,645,216
Preliminary Engineering * <i>Number of projects with preliminary engineering provided.</i>		1,075	103,497.85	111,260,187	509,815,540
Materials Testing And Research * <i>Number of projects with materials and research provided.</i>		29	1,243,689.07	36,066,983	13,945,552
Construction Engineering Inspection * <i>Number of projects with construction engineering inspection provided.</i>		419	185,408.36	77,686,104	310,717,041
Planning * <i>Number of projects with planning provided.</i>		260	105,875.79	27,527,706	67,706,133
Right Of Way Land * <i>Number of Right-of-Way parcels acquired.</i>		608	0.00		147,888,059
Right Of Way Support * <i>Number of projects with right of way support provided.</i>		833	40,269.22	33,544,257	23,843,941
Aviation * <i>Number of aviation projects.</i>		220	0.00		121,624,649
Transit * <i>Number of public transit passenger trips provided.</i>		245,192,620	0.00		277,066,607
Transportation Disadvantaged * <i>Number of trips provided (transportation disadvantaged).</i>		13,151,730	7.84	103,052,529	
Rail * <i>Number of rail projects.</i>		124	0.00		243,275,613
Intermodal * <i>Number of intermodal projects.</i>		33	0.00		56,977,169
Seaports * <i>Number of seaport projects.</i>		20	0.00		27,301,188
Public Transportation Operations * <i>Number of projects in public transportation operations.</i>		7	1,799,248.29	12,594,738	
Bridge Inspection * <i>Number of bridge inspections conducted.</i>		5,640	0.00		18,529,323
Routine Maintenance *		40,782	5,760.92	234,941,690	419,562,990
Traffic Engineering * <i>Number of projects with traffic engineering provided.</i>		39	739,473.67	28,839,473	50,519,650
Motor Carrier Compliance * <i>Number of commercial vehicle weighings performed.</i>		21,668,112	2.10	45,488,555	
Toll Operations * <i>Number of toll transactions.</i>		776,713,257	0.18	138,343,725	47,562,667
TOTAL				849,345,947	4,910,934,291
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				62,354	404,324,824
REVERSIONS				43,760,229	3,534,495,345
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				893,168,530	8,849,754,460

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.

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2011 Submission

1. The following table shows the calculated unit costs with FCO expenditures included.

Activity/Measure	Number of Units	Unit Cost	FY 2010/11 Expenditures		
			Allocated	FCO	Total
Exec Direction and Info Tech					
Intrastate Highways (Intrastate highways lane miles contracted for highway capacity improvements)	235	5,237,437.31		1,230,797,769	1,230,797,769
Arterial Highways (Arterial highways lane miles contracted for highway capacity improvements)	73	6,558,054.67		478,737,991	478,737,991
Resurface Roads (Number of lane miles contracted for resurfacing)	2,792	205,020.48		572,417,193	572,417,193
Repair and Replace Bridges (Number of bridges contracted for repair or replacement)	134	2,183,919.52		292,645,216	292,645,216
Preliminary Engineering (Number of projects with preliminary engineering provided)	1,075	577,744.86	111,260,187	509,815,540	621,075,727
Material Testing and Research (Number of projects with materials and testing provided)	29	1,724,570.17	36,066,983	13,945,552	50,012,535
Construction Engineering Inspection (Number of projects with Construction Engr provided)	419	926,976.48	77,686,104	310,717,041	388,403,145
Planning (Number of projects with planning provided)	260	366,284.00	27,527,706	67,706,133	95,233,839
Right of Way Land (Number of Right-of-Way parcels acquired)	608	243,236.94		147,888,059	147,888,059

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2011 Submission

Activity/Measure	Number of Units	Unit Cost	FY 2010/11 Expenditures		
			Allocated	FCO	Total
Right of Way Support (Number of projects with right-of-way support provided)	833	68,893.39	33,544,257	23,843,941	57,388,198
Aviation (Number of aviation projects)	220	552,839.31		121,624,649	121,624,649
Transit (Number of public transit passenger trips provided)	245,192,620	1.13		277,066,607	277,066,607
Transportation Disadvantaged (Number of trips provided (transportation disadvantaged))	13,151,730	7.84	103,052,529	0	103,052,529
Rail (Number of rail projects)	124	1,961,900.10		243,275,613	243,275,613
Intermodal (Number of intermodal projects)	33	1,726,580.88		56,977,169	56,977,169
Seaports (Number of Seaport projects)	20	1,365,059.40		27,301,188	27,301,188
Public Transportation Operations (Number of projects in public transportation operations)	7	1,799,248.29	12,594,738		12,594,738
Bridge Inspection (Number of bridges inspected)	5,640	3,285.34		18,529,323	18,529,323
Routine Maintenance (Lane miles maintained on the State Highway System)	40,782	16,048.86	234,941,690	419,562,990	654,504,680
Traffic Engineering (Number of projects with traffic engineering provided)	39	2,034,849.31	28,839,473	50,519,650	79,359,123
Motor Carrier Compliance (Number of commercial vehicles weighed)	21,668,112	2.10	45,488,555		45,488,555
Toll Operations (Number of toll transactions)	776,713,257	0.24	138,343,725	47,562,667	185,906,392
Total			849,345,947	4,910,934,291	5,760,280,238

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2011 Submission

1. The expenditures exception of \$27,753,797 noted at the end of Section III relates to the Carry Forward budget for the Rail Enterprise & Turnpike budget entities. It shows that Sections II and III (expenditures plus reversions) do not account for \$27,753,797 of budget that was available in 2010/11 as reflected in Section I. Rail Enterprise & Turnpike operating budget that was eligible to be retained as Carry Forward budget in 2011/12 is not reflected as either a reversion in Column G69 nor as an expenditure in Column A01. Therefore, it is not captured in either Section II or III totals. However, it is appropriate that this amount not be counted as a 2010/11 expenditure in Section II because this budget was neither disbursed nor committed at June 30, 2011.

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

Agency: Transportation

Contact: Kimberly Ferrell

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2011 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2012-2013 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2012-2013 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a				
b				
c				
d				
e				
f				

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

* R/B = Revenue or Budget Driver

Schedule XV: Contract Reporting

Purpose

Pursuant to Chapter 2011-45, Laws of Florida, Schedule XV was designed to provide information for each contract in which the consideration to be paid to the agency is a percentage of the vendor revenue and in excess of \$10 million under the contract period for lease purchase.

Procedure

A schedule must be completed for each contract as outlined above and include the following:

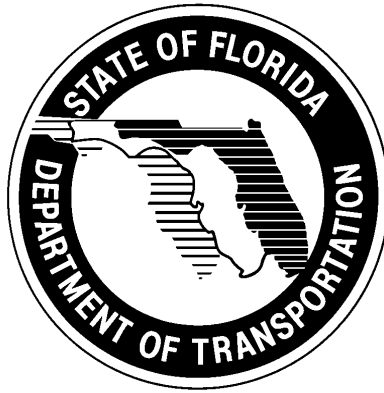
- a) The name of the vendor.
- b) A brief description of the services provided by the vendor.
- c) The term of the contract and the years remaining on the contract.
- d) The amount of revenue generated or expected to be generated by the vendor under the contract for the prior fiscal year, the current fiscal year, and the next fiscal year.
- e) The amount of revenue remitted or expected to be remitted to the state agency by the vendor for the prior fiscal year, the current fiscal year, and the next fiscal year.
- f) The value of capital improvements, if any, on state property which has been funded by the vendor over the term of the contract.
- g) The remaining amount of capital improvements, if any, on state property which have not been fully amortized by June 30 of the prior fiscal year.
- h) The amount, if any, of state appropriations made to the state agency to pay for services provided by the vendor.

Please refer to the Budget Instructions on the Florida Fiscal Portal website for the form.

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

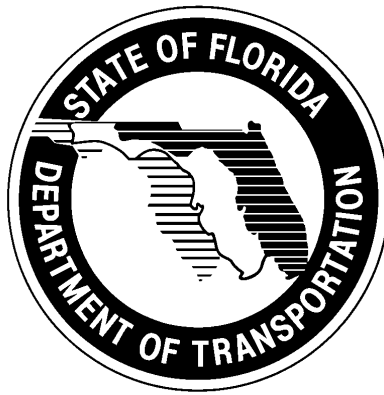
Contact Information
Agency: Department of Transportation
Name:
Phone:
E-mail address:

1. Vendor Name		
Areas USA FLTP, LLC		
2. Brief description of services provided by the vendor.		
Design, finance, demolish, construct, re-construct/modify, operate and maintain the Florida's Turnpike eight service plazas.		
3. Contract terms and years remaining.		
30 years with a 10 year renewal option 28 years remaining in original term		
4. Amount of revenue generated		
Prior Fiscal Year \$50,552,336	Current Fiscal Year \$51,479,724	Next Fiscal Year (Request Year) \$51,000,000
5. Amount of revenue remitted		
Prior Fiscal Year \$7,250,00	Current Fiscal Year \$6,000,000	Next Fiscal Year (Request Year) \$6,000,000
6. Value of capital improvement		
\$30,000,000 (estimated)		
7. Remaining amount of capital improvement		
\$150,000,000		
8. Amount of state appropriations		
Prior Fiscal Year \$6,030,000	Current Fiscal Year \$55,870,000	Next Fiscal Year (Request Year) \$0



**LEGISLATIVE
BUDGET REQUEST
2012-2013**

**Budget Entity Level
Exhibits and Schedules**



**LEGISLATIVE
BUDGET REQUEST
2012-2013**

**Schedule I Series
(Sort by Trust Fund)**

2324

Turnpike Renewal / Replacement Trust Fund

Schedule 1 Narrative for:

Turnpike Renewal Replacement Trust Fund - 2324

Section I: Detail of Revenues

Revenue estimate calculations for Fiscal Year 2011-2012 and 2012-2013 are based on the following methodology:

- Interest revenue is forecasted using the following methods:
 - The first month uses the beginning and ending actual cash balances divided by two and multiplied by monthly interest rate.
 - The second month uses the actual beginning and the forecasted ending balance divided by two and multiplied by monthly interest rate.
 - The third month and beyond uses the forecasted beginning and ending balance divided by two and multiplied by monthly interest rate.

- Anticipated Revenues – The Department budgets and operates on a commitment basis. The Department’s budget is based on a 5 year work program and 3 year cash forecast. Within the 5 year work program, each year includes projects that will be started that year. Our annual budget is based on the current year column of the work program. However, while the projects are scheduled to be started in the budget year, the projects typically last longer than the budget year. Therefore, we are receiving and committing budget each year that we will spend over multiple years. While we commit the budget in the current year, we may not have the cash available in the current year to cover the entire commitment. This is appropriate since we know we will not be paying out the entire amount in the same year. The purpose of the 3 year cash forecast is to ensure that we have the money in future years for this budget. Therefore, the anticipated revenues represent the funds projected to be available in future years to cover the commitments made in previous years. The amount is calculated on Schedule 1C.

- Transfers In from Turnpike General Reserve Trust Fund – This revenue is toll revenue transferred from the General Reserve Trust Fund to fund renewal and replacement activities on the Turnpike. The amount of the transfer is based upon the cash balance of the fund and projected expenditures for the year. Revenues needed to fund the fund’s expenditures are increasing for fiscal year 2011 and 2012.

Section III: Adjustments

- FCO not included on Schedule I - the difference between the amount reserved in the accounting records and the total amount of FCO appropriations/expenses related to prior appropriation years.

- Anticipated Payments for Future Liabilities – anticipated expenses for future commitments. (\$7,568,369).

5 Percent Trust Fund Calculation

Turnpike Renewal and Replacement Trust Fund – 2324

Not required for this fund

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2011 - 2012

Department Title:	Department of Transpo
Trust Fund Title:	Turnpike Renewal & Replacement TF
Budget Entity:	55000000
LAS/PBS Fund Number:	2324

	Balance as of 6/30/2011		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	100,169.06	(A)		100,169.06
ADD: Other Cash (See Instructions)		(B)		0.00
ADD: Investments	25,403,959.59	(C)		25,403,959.59
ADD: Outstanding Accounts Receivable	59,405.98	(D)		59,405.98
ADD: _____		(E)		0.00
Total Cash plus Accounts Receivable	25,563,534.63	(F)	0.00	25,563,534.63
LESS Allowances for Uncollectibles		(G)		0.00
LESS Approved "A" Certified Forwards		(H)		0.00
Approved "B" Certified Forwards	17,992,213.52	(H)		17,992,213.52
Approved "FCO" Certified Forwards		(H)		0.00
LESS: Other Accounts Payable (Nonoperating)	2,952.57	(I)		2,952.57
LESS: Anticipated Liabilities for Future Commitm	7,568,368.54	(J)		7,568,368.54
Unreserved Fund Balance, 07/01/11	0.00	(K)	0.00	0.00 **

Notes:

*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2011

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2012 - 2013

Department Title:

Transportation

Trust Fund Title:

Turnpike Renewal & Replacement Trust Fund

LAS/PBS Fund Number:

2324

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/11

Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	24,758,339.62	(A)
--	----------------------	-----

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description		(C)
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SWFS Adjustment # and Description		(C)
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Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS		(D)
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Approved "C" Carry Forward Total (FCO) per LAS/PBS	(17,992,213.52)	(D)
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A/P not C/F-Operating Categories	779,124.44	(D)
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A/P not C/F-Operating Categories	13,731.00	(D)
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A/P not C/F-Operating Categories	9,387.00	(D)
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Anticipated Payables for Future Commitments	(7,568,368.54)	(D)
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ADJUSTED BEGINNING TRIAL BALANCE:	0.00	(E)
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UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	0.00	(F)
--	-------------	-----

DIFFERENCE:	0.00	(G)*
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***SHOULD EQUAL ZERO.**

2326

Turnpike General Reserve Trust Fund

Schedule 1 Narrative for:

Turnpike General Reserve Trust Fund - 2326

Section I: Detail of Revenues

Revenue estimate calculations for Fiscal Year 2011-2012 and 2012-2013 are based on the following methodology:

- The Tolls and Concession revenue is based on revenue forecast prepared by URS Corporation who is hired by the Turnpike Enterprise to provide an independent estimate of toll and concession revenue. Toll Facilities Revenue and Toll Concession revenue represents tolls collected on the Turnpike System and Concession revenue at the toll service plazas. Toll and concession revenue estimates decreased slightly in years 11/12 and 12/13.
- Interest revenue is forecasted using the following methods:
 - The first month uses the beginning and ending actual cash balances divided by two and multiplied by monthly interest rate.
 - The second month uses the actual beginning and the forecasted ending balance divided by two and multiplied by monthly interest rate.
 - The third month and beyond uses the forecasted beginning and ending balance divided by two and multiplied by monthly interest rate.
- Anticipated Revenues – The Department budgets and operates on a commitment basis. The Department’s budget is based on a 5 year work program and 3 year cash forecast. Within the 5 year work program, each year includes projects that will be started that year. Our annual budget is based on the current year column of the work program. However, while the projects are scheduled to be started in the budget year, the projects typically last longer than the budget year. Therefore, we are receiving and committing budget each year that we will spend over multiple years. While we commit the budget in the current year, we may not have the cash available in the current year to cover the entire commitment. This is appropriate since we know we will not be paying out the entire amount in the same year. The purpose of the 3 year cash forecast is to ensure that we have the money in future years for this budget. Therefore, the anticipated revenues represent the funds projected to be available in future years to cover the commitments made in previous years.
- Grants and Donations revenue represents donations to turnpike projects from various entities and is forecasted from historical receipts.

- Damage Claims/Insurance recoveries revenues is revenue from individual and insurance reimbursements for damages to Turnpike infrastructure. Projections are based upon historical receipts.
- Transfers In from the Bond Fund is the anticipated revenues based upon projected bond sales planned for each fiscal year. The revenue decrease in Transfers from bond fund from \$118.6 million in 10/11 to \$60.5 million in 11/12. The revenues increased to \$183.6 million in 12/13 due to projection of expenditures on bond sales.
- Sales of goods and services/ JPA service revenue is revenue from local government entities to fund transportation projects. Projections are based upon anticipated receipts for actual planned Turnpike projects.
- Other Non-Operating Revenues – Federal interest on the Billed American bond from SBA for the next 28 years.

Section II: Non-operating

- Interest Payment on Bonds at SBA – SBA makes debt service payments on the Agency’s behalf. In this case, neither operating nor FCO budget is used for the payment of interest on outstanding bonds. Therefore, this is recorded as a non-operating transfer.

Section III: Adjustments

- FCO not included on Schedule I – Actual expenditures relating to prior year FCO that were not reserved in the accounting records.
- Anticipated Liabilities for Future Commitments - anticipated expenses for future commitments. (\$212,384,221.48).

5 Percent Trust Fund Calculation
Turnpike General Reserve Trust Fund – 2326

Not required for this fund

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2011 - 2012

Department Title:	Department of Transpo
Trust Fund Title:	Turnpike General Reserve Trust Fund
Budget Entity:	55000000
LAS/PBS Fund Number:	2326

	Balance as of 6/30/2011	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,070,080.15 (A)		1,070,080.15
ADD: Other Cash (See Instructions)	14,123,702.83 (B)		14,123,702.83
ADD: Investments	538,359,148.59 (C)		538,359,148.59
ADD: Outstanding Accounts Receivable	12,746,692.16 (D)		12,746,692.16
ADD: _____	(E)		0.00
Total Cash plus Accounts Receivable	566,299,623.73 (F)	0.00	566,299,623.73
LESS Allowances for Uncollectibles	(G)		0.00
LESS Approved "A" Certified Forwards	(H)		0.00
Approved "B" Certified Forwards	(H)		0.00
Approved "FCO" Certified Forwards	221,746,882.99 (H)		221,746,882.99
LESS: Other Accounts Payable (Nonoperating)	129,909,016.90 (I)		129,909,016.90
LESS: Other Liabilities	2,259,502.36 (J)		2,259,502.36
LESS: Anticipated Liabilities for Future Commitm	212,384,221.48 (J)		212,384,221.48
Unreserved Fund Balance, 07/01/11	0.00 (K)	0.00	0.00 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2012 - 2013
Department Title: Transportation
Trust Fund Title: Turnpike General Reserve Trust Fund
LAS/PBS Fund Number: 2326

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/11	
Total all GLC's 5XXXX for governmental funds;	257,050,068.28 (A)
GLC 539XX for proprietary and fiduciary funds	4,768,924,462.81 (A)
	271,670,067.97 (A)
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # and Description	(C)
SWFS Adjustment # and Description	(C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(221,466,958.50) (D)
Approved "C" Carry Forward Total (FCO) per LAS/PBS	(279,924.49) (D)
A/P not C/F-Operating Categories	(D)
A/P not C/F - FCO	11,979,388.51 (D)
Long Term Receivables	(271,670,067.97) (D)
Deferred Charges	(13,653,931.44) (D)
Good Purchased for Resale	(3,582,824.62) (D)
Prepays	(547,243.81) (D)
Non-spendable Investments	(1,918,950.63) (D)
Current Bonds Payable	103,460,000.00 (D)
Long Term Unearned Revenue	698,808.66 (D)
Other Long Term Liabilities	4,043,675.48 (D)
Long Term Payables from Restricted Assets	156,664,427.51 (D)
Long Term Bonds Payables	2,731,767,686.53 (D)
Fixed Assets GLC 26xxx	(5,963,510,129.00) (D)
Fixed Assets GLC 27xxx	(1,601,667,868.20) (D)
Fixed Assets GLC 28xxx	(15,576,465.61) (D)
Anticipated Liabilities for Future Commitments	(212,384,221.48) (D)
	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	0.00 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	0.00 (F)
DIFFERENCE:	0.00 (G)*

***SHOULD EQUAL ZERO.**

2340

Turnpike Bond Construction Trust Fund

V @ k 7

2540

State Transportation Trust Fund

Schedule 1 Narrative for:

State Transportation Trust Fund - 2540

Section I: Detail of Revenues

Revenue estimate calculations for Fiscal Year 2011-2012 and Fiscal Year 2012-2013 are based on the following methodology:

- Motor Vehicle License Fees, Initial Registration Fees and Title Fees are based on State Revenue Estimating Conference Summary Data for March 2011.
- Motor Fuel Tax, Aviation Fuels, and Rental Car Surcharges are based on the State Revenue Estimating Conference Summary Data for March 2011.
- Interest revenue is forecasted using the following methods:
 - The first month uses the beginning and ending actual cash balances divided by two and multiplied by monthly interest rate.
 - The second month uses the actual beginning and the forecasted ending balance divided by two and multiplied by monthly interest rate.
 - The third month and beyond uses the forecasted beginning and ending balance divided by two and multiplied by monthly interest rate.
- Federal Aid Reimbursements, including ARRA and indirect, are based upon our annual cash forecast of expenditures for current and planned federally funded projects in fiscal years 2012 and 2013.
- Fees, Charges, Commissions, and Sales; Outdoor Advertising Fees; License and Permits; Fines, Forfeitures, Judgments, Settlements; Overweight Penalties – Revenues are projected from the cash forecast. After accounting for all other known revenues, these revenues are calculated based on the remaining forecasted revenue balances and allocated to their respective categories based upon prior year actual receipt percentages
- Doc Stamps from DOR - Doc stamp revenue was projected based upon the March 2011 Doc Stamp Revenues estimating conference.
- Transfers from ROW trust fund is revenue from planned ROW bond sales in each fiscal year.
- Transfers from Toll funds is the reimbursement for operations and maintenance activities on toll facilities and is estimated based on planned activities on the toll facilities, i.e. I-95, Pinellas Bayway, Sunshine Skyway, etc.)
- Sale of Fixed Assets revenue is projected based on historical receipts.

- TIF2 loan is planned receipts on a Federal loan and is based upon anticipated draw-downs during the fiscal year.
- Anticipated Revenues – The Department budgets and operates on a commitment basis. The Department’s budget is based on a 5 year work program and 3 year cash forecast. Within the 5 year work program, each year includes projects that will be started that year. Our annual budget is based on the current year column of the work program. However, while the projects are scheduled to be started in the budget year, the projects typically last longer than the budget year. Therefore, we are receiving and committing budget each year that we will spend over multiple years. While we commit the budget in the current year, we may not have the cash available in the current year to cover the entire commitment. This is appropriate since we know we will not be paying out the entire amount in the same year. The purpose of the 3 year cash forecast is to ensure that we have the money in future years for this budget. Therefore, the anticipated revenues represent the funds projected to be available in future years to cover the commitments made in previous years.
- Service Charge Calculation is the estimated revenue for overweight penalties plus estimated revenue for outdoor advertising fees, multiplied by 8%.
- OTTED Return from Escrow – Located in GAA, section 71 – Laws of Florida, Chapter 2011-69 and FS 339.135(5)b, \$20,000,000 will be returned to the Department of Transportation for the purpose of funding transportation-related needs of economic development projects.
- Seaport Excess Debt Service – Current projections indicates a need for less bonding from the escrow account to assist with Seaport Debt Service. Therefore, excess amounts will be returned to fund Seaport Work Program projects.
- Federal Transfers in from DCA was for Homeland Security grants for disaster relief.
- Transfers in from DMS is a return of accumulated surplus funds for telecommunication services and transfers from automated fuel collections from automated fuel dispensing systems statewide.

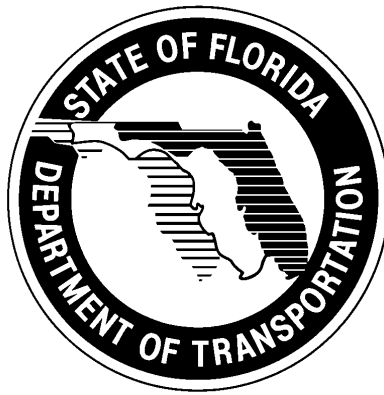
Section III: Adjustments

- FCO Expenditures not included on Schedule I - The difference between the amount reserved in accounting records and the total amount of FCO appropriations/expenditures related to prior appropriation years.
- Prior Year September Operating Reversions are September operating reversions from the prior year.

5 Percent Trust Fund Calculation

State Transportation Trust Fund – 2540

Not required for this fund



**LEGISLATIVE
BUDGET REQUEST
2012-2013**

Inter-Agency Transfer Form

**Executive Office of the Governor
Inter-Agency Transfers Reported on Schedule I**

Agency Name Transportation

List all transfers totaling \$100,000 or more. Provide the applicable agency name and fund number, the transfer category used, and the amount of the transfer for each of the fiscal years indicated, as well as the name and phone number of the person at the other agency who confirmed the amount of the transfer. If transferred in/out to the General Revenue Fund, do not include on this form; however, on Schedule I be sure to include "To GR" or "From GR" in the description field.

Fund Name and Number :

2540 - State Transportation Trust Fund

Transfers In (Provide Agency and Fund Number Received From)	Transfer Category	Amount FY 10-11 (A01)	Amount FY 11-12 (A02)	Amount FY 12-13 (A03)	Confirmed By
HSMV - 2488	001514	660,658,703.88	707,041,281.00	735,400,872.00	Terri Mulkey/Jim Lewandowski terrimulkey@flhsmv.gov
HSMV - 2319	001500	11,498,752.46	11,621,654.00	11,945,941.00	Terri Mulkey/Jim Lewandowski terrimulkey@flhsmv.gov
DOR - 2319	001500	1,737,388,603.68	1,848,600,000.00	1,974,300,000.00	Clay White whitecla@dor.state.fl.us
DOR - 2319	001500	37,551,687.82	44,500,000.00	46,500,000.00	Clay White whitecla@dor.state.fl.us
DOR - 2494	001500	100,176,728.06	101,800,000.00	105,200,000.00	Clay White whitecla@dor.state.fl.us
DOR - 2166	001500	91,225,901.90	121,360,000.00	171,800,000.00	Clay White whitecla@dor.state.fl.us
DMS - 2510 (Auction Proceeds)	002900	814,370.40	0.00	0.00	Debbie Goodson debbie.goodson@dms.myflorida.com
DCA - 2339	001510	843,875.35	0.00	0.00	Sherie Carrington Sherie.Carrington@dca.state.fl.us
DCA - 2339	001500	121,950.32	0.00	0.00	Sherie Carrington Sherie.Carrington@dca.state.fl.us
DCA - 2750	001500	1,410,743.42	0.00	0.00	Sherie Carrington Sherie.Carrington@dca.state.fl.us
Transfers Out (Operating and Non-Operating) (Provide Agency and Fund Number Transferred To)	Transfer Category				
HSMV - 2488	181221	45,927.22	50,000.00	50,000.00	Terri Mulkey TerriMulkey@flhsmv.gov
HSMV - 2319	181221	143,234.10	150,000.00	150,000.00	Terri Mulkey TerriMulkey@flhsmv.gov
DCA - 2750	220030	889,175.00	0.00	0.00	Sherie Carrington Sherie.Carrington@dca.state.fl.us
DEP - 2261 (In DOT's Sec IV, Line D)	Various 08xxxx	2,823,846.91	0.00	0.00	Kathy Shettle kathy.shettle@dep.state.fl.us
DEP - 2339 (In DOT's Sec IV, Line D)	Various 08xxxx	2,889,452.54	0.00	0.00	Kathy Shettle kathy.shettle@dep.state.fl.us
FDLE - 2261 (In DOT's Sec IV, Line D)	088796	673,305.28	0.00	0.00	Sheri Boyce sheriboyce@fdle.state.fl.us
EOG - 2175 (In DOT's Sec IV, Line D)	088859	1,280,282.00	1,500,000.00	1,500,000.00	Cynthia Smith cynthia.smith@eog.myflorida.com
DOS - 2261 (In DOT's Sec IV, Line D)			240,950.00	240,950.00	Cynthia Leland cynthia.leland@dos.myflorida.com



LEGISLATIVE BUDGET REQUEST 2012-2013

Schedule IA

Detail of Fees and Related Program Costs

Part I: Examination of Regulatory Fees

Part II: Examination of Regulatory Fees

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: TRANSPORTATION **Budget Period:** 2012 - 13
Program: OUTDOOR ADVERTISING
Fund: 2586
Specific Authority: Chapter 479, Florida Statutes
Purpose of Fees Collected: To offset the total cost of the outdoor advertising program

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

<input checked="" type="checkbox"/>	Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2010 - 11	FY 2011 - 12	FY 2012 - 13
<u>Receipts:</u>			
Permit Renewals/New Tags	\$1,231,042.50	\$1,208,850.00	\$1,225,600.00
Licenses	\$131,400.00	\$134,095.45	\$133,775.52
Reinstatements/Delinquent Fees	\$10,109.60	\$12,928.98	\$11,421.53
Other Receipts	\$3,176.00	\$8,169.59	\$8,522.22
Total Fee Collection to Line (A) - Section III	\$1,375,728.10	\$1,364,044.03	\$1,379,319.28

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	\$334,026.56	\$370,000.00	\$370,000.00
Other Personal Services			
Expenses	\$1,074,102.10	\$1,214,188.77	\$1,102,747.66
Operating Capital Outlay			
Deficiency Recapture	\$80,222.73	\$114,624.83	\$0.00
Indirect Costs Charged to Trust Fund			
Total Full Costs to Line (B) - Section III	\$1,488,351.39	\$1,698,813.60	\$1,472,747.66

Basis Used: _____

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	\$1,375,728.10	\$1,364,044.03
TOTAL SECTION II	(B)	\$1,488,351.39	\$1,698,813.60
TOTAL - Surplus/Deficit	(C)	(\$112,623.29)	(\$334,769.58)

EXPLANATION of LINE C:
Any excess or deficiency is carried forward in setting permit fee amounts for the subsequent biennial fee period.
Permit fee amounts are set in Rule 14-10.0043, Florida Administrative Code.
The rule implements the authority in Section 479.07(3)(c), Florida Statutes.

Schedule IA - Part I: Examination of Regulatory Fees

Department: TRANSPORTATION

Regulatory Service to or Oversight of Businesses or Professions Program:
OUTDOOR ADVERTISING

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year?

The Department of Transportation is constantly working to ensure that the regulatory processes are as efficient as possible. In 1997, the program was partially privatized and regulatory decision making was centralized. This resulted in numerous operational efficiencies. Quality measures are in place for all functions and these are monitored and adjustments made as necessary. An internal audit conducted in 2008 found the control process to be efficient and effective.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

A minor upgrade of the regulatory software is underway to allow the system to maintain its current level of efficiency. There is a need for a major upgrade because the current software does not include several processes which are essential to an efficient regulatory program.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

Yes. The effective control of outdoor advertising is essential to protect the State's federal funding for transportation. Failure to maintain such control can subject the State to a loss of 10% of its federal funding each year.

4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable?

Yes. The 2008 internal audit confirmed the methodology used for setting permit fee amounts.

5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight?

Yes. Fees are adjusted on a biennial basis to account for fluctuations in cost.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

Fees are reasonable and remain substantially below the statutory limit provided in Section 479.07(3)(c), Florida Statutes.

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:
 - a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
 - b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

N/A

8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

N/A

Schedule IA - Part II: Examination of Regulatory Fees

Department: **TRANSPORTATION (Office of Right of Way)**

Regulatory Service to or Oversight of Business or Profession Program: **Outdoor Advertising Control**

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): **Yes**

What percent of the regulatory cost is currently subsidized? (0 to 100%) - **0%**

If the program is subsidized from other state funds, what is the source(s)? **n/a**

What is the current annual amount of the subsidy? \$ **n/a**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Permit Fee	Annual Permit Fee	479.07(8)(c)	\$100	2009	Yes	**	Transportation Trust Fund
License Fee	Annual License Fee	479.04	\$300	1941	No	\$300	Transportation Trust Fund
Tag Replacement Fee	Tag Replacment Fee	479.07(5)(b)	\$12	2009	No	\$12	Transportation Trust Fund
Transfer Fee	Transfer Fee	479.07(6)	***	1984	No	***	Transportation Trust Fund
Reinstatement Fee	Reinstatement Fee	479.08(b)	\$300	1995	No	****	Transportation Trust Fund

* Statute authorizes fee to be set by rule. Implemented in Rule Section 14-10.0043, Florida Administrative Code

** \$51.00 per permit for signs 200 square feet or less; \$71.00 per permit for signs over 200 square feet.

*** \$5.00 per permit; however, the maximum transfer fee for any multiple transfer between two outdoor advertisers in a single trasaction is \$

**** \$200.00 per permit for signs 200 square feet or less; \$300.00 for signs over 200 square feet.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2011 - 2012
Trust Fund Title:	Department of Transportati
Budget Entity:	State Transportation Trust Fund
LAS/PBS Fund Number:	55000000
	2540

	Balance as of 6/30/2011		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	165,831,197.16	(A)		165,831,197.16
ADD: Other Cash (See Instructions)	77,384.39	(B)		77,384.39
ADD: Investments	271,471,402.12	(C)		271,471,402.12
ADD: Outstanding Accounts Receivable	320,488,855.52	(D)	(100.00)	320,488,755.52
ADD: Estimated Cash Forecast for FCO Projects	5,248,328,319.98	(E)		5,248,328,319.98
Total Cash plus Accounts Receivable	6,006,197,159.17	(F)	(100.00)	6,006,197,059.17
LESS Allowances for Uncollectibles	667,765.86	(G)		667,765.86
LESS Approved "A" Certified Forwards	17,106,223.63	(H)		17,106,223.63
Approved "B" Certified Forwards	18,560,066.51	(H)		18,560,066.51
Approved "FCO" Certified Forwards	5,785,333,379.29	(H)		5,785,333,379.29
LESS: Deferred Revenue	10,043,206.83	(I)		10,043,206.83
LESS: Other Accounts Payable (Nonoperating)	5,775,329.13	(J)		5,775,329.13
LESS: Unearned Revenue	168,711,087.92	(J)		168,711,087.92
Unreserved Fund Balance, 07/01/11	100.00	(K)	(100.00)	(0.00)**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2012 - 2013

Department Title:	<u>Transportation</u>
Trust Fund Title:	<u>State Transportation Trust Fund</u>
LAS/PBS Fund Number:	<u>2540</u>

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/11		
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds		1,227,021,909.58 (A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(9,883,599.30) (B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :		
SWFS Adjustment # and Description	B5500002	(100.00) (C)
SWFS Adjustment # and Description		(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS		(18,560,066.51) (D)
Approved "C" Carry Forward Total (FCO) per LAS/PBS		(5,785,333,379.29) (D)
A/P not C/F-Operating Categories		10,102,413.40 (D)
Prepays		(754,060.00) (D)
Long Term Receivables		(1,048,143,172.23) (D)
Compensated Absences		5,946,028.52 (D)
Long Term Unearned Revenue		485,518.01 (D)
Long Term Deferred Revenue		416,399,017.75 (D)
Cash with Fiscal Agents		(173,000,000.00) (D)
Non-State and Component Unit Investments with the State		(361,722,203.03) (D)
FCO Payables		489,113,373.12 (D)
Estimated Cash Forecast for FCO Projects		5,248,328,319.98 (D)
ADJUSTED BEGINNING TRIAL BALANCE:		0.00 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)		(0.00) (F)
DIFFERENCE:		0.00 (G)*

***SHOULD EQUAL ZERO.**

2586

**Right of Way Acquisition / Bridge Construction
Trust Fund**

Schedule 1 Narrative for:

Right of Way Acquisition/Bridge Construction Trust Fund - 2586

Section I: Detail of Revenues

Revenue estimate calculations for Fiscal Year 2011-2012 and 2012-2013 are based on the following methodology:

- Interest revenue is forecasted using the following methods:
 - The first month uses the beginning and ending actual cash balances divided by two and multiplied by monthly interest rate.
 - The second month uses the actual beginning and the forecasted ending balance divided by two and multiplied by monthly interest rate.
 - The third month and beyond uses the forecasted beginning and ending balance divided by two and multiplied by monthly interest rate.

- Anticipated Revenues – The Department budgets and operates on a commitment basis. The Department’s budget is based on a 5 year work program and 3 year cash forecast. Within the 5 year work program, each year includes projects that will be started that year. Our annual budget is based on the current year column of the work program. However, while the projects are scheduled to be started in the budget year, the projects typically last longer than the budget year. Therefore, we are receiving and committing budget each year that we will spend over multiple years. While we commit the budget in the current year, we may not have the cash available in the current year to cover the entire commitment. This is appropriate since we know we will not be paying out the entire amount in the same year. The purpose of the 3 year cash forecast is to ensure that we have the money in future years for this budget. Therefore, the anticipated revenues represent the funds projected to be available in future years to cover the commitments made in previous years.

- Debt Service - STTF Transfers cash to ROW bond to cover debt service payments. Debt service payments are projected to be around \$139,000,000 for FY 2011-2012 and \$141,000,000 for 2012-2013. This is not new Revenue.

- Transfers in STTF - Advances are from STTF to keep an adequate cash balance in ROW bond fund.

Section III: Adjustments

- FCO not included on Schedule I - the difference between the amount reserved in the accounting records and the total amount of FCO appropriations/expenses related to prior appropriation years.

- Anticipated Payments for Future Liabilities – anticipated expenses for future commitments. (\$16,781,747).

5 Percent Trust Fund Calculation

Right-of-Way Acquisition/Bridge Construction Trust Fund – 2586

Not required for this fund

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2011 - 2012

Department Title:	Department of Transpo
Trust Fund Title:	Right-of-Way Acquisition/Bridge Construction TF
Budget Entity:	
LAS/PBS Fund Number:	2586

	Balance as of 6/30/2011		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,000,383.92	(A)		1,000,383.92
ADD: Other Cash (See Instructions)		(B)		0.00
ADD: Investments	54,886,703.41	(C)		54,886,703.41
ADD: Outstanding Accounts Receivable	128,079.27	(D)		128,079.27
ADD: _____		(E)		0.00
Total Cash plus Accounts Receivable	56,015,166.60	(F)	0.00	56,015,166.60
LESS Allowances for Uncollectibles		(G)		0.00
LESS Approved "A" Certified Forwards		(H)		0.00
Approved "B" Certified Forwards	39,227,726.51	(H)		39,227,726.51
Approved "FCO" Certified Forwards		(H)		0.00
LESS: Other Accounts Payable (Nonoperating)	5,692.66	(I)	0.00	5,692.66
LESS: Anticipated Liabilities for Future Commitm	16,781,747.43	(J)		16,781,747.43
Unreserved Fund Balance, 07/01/11	0.00	(K)	0.00	0.00 **

Notes:

*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2011

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Department Title:	Budget Period: 2012 - 2013
Trust Fund Title:	Transportation
LAS/PBS Fund Number:	Right of Way Acquisition/Bridge Construction TF
	2586

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/11	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	55,623,887.78 (A)
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # and Description	(C)
SWFS Adjustment # and Description	(C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(39,227,726.51) (D)
Approved "C" Carry Forward Total (FCO) per LAS/PBS	(D)
A/P not C/F-Operating Categories	385,586.16 (D)
Anticipated Liabilities for Future Commitments	(16,781,747.43) (D)
	(D)
	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	0.00 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	0.00 (F)
DIFFERENCE:	0.00 (G)*

***SHOULD EQUAL ZERO.**

2719

Federal Law Enforcement Trust Fund

Schedule 1 Narrative for:

Federal Equity Sharing/Law Enforcement Trust Fund - 2719

Section I: Detail of Revenues

- Trust fund balances of \$540,000 will transfer to Department of Highway Safety in FY 2012/2013
- Interest - Interest revenue is calculated on the monthly cash balance in the trust fund.

Section IV: Adjustments

- Adjustment to Beginning FB – GLC 122, Cat 040000 – This adjustment represents the difference in the cash paid in category 040000 and the amount recorded as expenditures in category 040000.

5 Percent Trust Fund Calculation

Federal Equitable Sharing/Law Enforcement Trust Fund – 2719

Not required for this fund

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2012 - 2013

Department Title:

Department of Transpo

Trust Fund Title:

Federal Equitable Sharing/Law Enforcement Trust Fund

Budget Entity:

LAS/PBS Fund Number:

2719

	Balance as of 6/30/2011		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	<input type="text"/>	(A)	<input type="text"/>	<input type="text"/>
ADD: Other Cash (See Instructions)	<input type="text"/>	(B)	<input type="text"/>	<input type="text"/>
ADD: Investments	1,364,346.34	(C)	<input type="text"/>	1,364,346.34
ADD: Outstanding Accounts Receivable	3,069.64	(D)	<input type="text"/>	3,069.64
ADD: _____	<input type="text"/>	(E)	<input type="text"/>	<input type="text"/>
Total Cash plus Accounts Receivable	1,367,415.98	(F)	<input type="text"/>	1,367,415.98
LESS Allowances for Uncollectibles	<input type="text"/>	(G)	<input type="text"/>	<input type="text"/>
LESS Approved "A" Certified Forwards	<input type="text"/>	(H)	<input type="text"/>	<input type="text"/>
Approved "B" Certified Forwards	<input type="text"/>	(H)	<input type="text"/>	<input type="text"/>
Approved "FCO" Certified Forwards	<input type="text"/>	(H)	<input type="text"/>	<input type="text"/>
LESS: Other Accounts Payable (Nonoperating)	136.43	(I)	<input type="text"/>	136.43
LESS: _____	<input type="text"/>	(J)	<input type="text"/>	<input type="text"/>
Unreserved Fund Balance, 07/01/11	1,367,279.55	(K)	<input type="text"/>	1,367,279.55 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2012 - 2013

Department Title: Department of Transportation
Trust Fund Title: Federal Equitable Sharing/Law Enforcement Trust Fund
LAS/PBS Fund Number: 2719

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/11

Total all GLC's 5XXXX for governmental funds; 1,367,279.55 (A)
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 1,367,279.55 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 1,367,279.55 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

2729

Toll Facility Revolving Trust Fund

Schedule 1 Narrative for:

Toll Facilities Revolving Trust Fund – 2729

Section I: Detail of Revenues

- Repayment of loans/Transfers from STTF for Loan Repayment – Based on the repayment schedules for outstanding loans. The borrower of the various outstanding loans provides the repayment schedule. This required schedule includes repayment of principal and for the interest earned on borrowed funds deposited in interest bearing accounts. For fiscal year 2011-2012, repayment schedules are currently projected at approximately \$4.9 million. In fiscal year 2011-2012, repayment schedules are currently projected to be approximately \$5.4 million. As required by Florida Statute 338.251(4) FS, repayments must start in the seventh year (from award date) and be fully repaid in the twelfth year.
- Current projections have interest earnings for fiscal year 2011-2012 at \$463 thousand and interest earnings for fiscal year 2012-2013 at \$801 thousand. Actual interest earned for fiscal year 2010-2011 was \$1 million dollars. Interest earning potential is highly dependent on the cash balance and the prevailing interest rate actually received.

5 Percent Trust Fund Calculation
Budget Year 2012-13
Toll Facility Revolving Trust Fund - 2729

Total Estimated Revenues for Fiscal Year 2011-12	5,361,345
Less Non-Operating Transfer to DFS/Assessment of Investments	<u>(16,083)</u>
Total Revenue Subject to 5% Reserve Calculation	<u><u>\$ 5,345,262.37</u></u>
Multiplied by 5%	<u>X 5%</u>
Total 5% Reserve for Toll Facilities Trust Fund	<u><u>\$ 267,263.12</u></u>

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2011 - 2012

Department Title:	Department of Transpo
Trust Fund Title:	Toll Facilities Revolving TF
Budget Entity:	55000000
LAS/PBS Fund Number:	2729

	Balance as of 6/30/2011		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	(A)		(A)	0.00
ADD: Other Cash (See Instructions)	(B)		(B)	0.00
ADD: Investments	19,608,408.11	(C)	(C)	19,608,408.11
ADD: Outstanding Accounts Receivable	4,942,217.72	(D)	(D)	4,942,217.72
ADD: _____	(E)		(E)	0.00
Total Cash plus Accounts Receivable	24,550,625.83	(F)	0.00	24,550,625.83
LESS Allowances for Uncollectibles	(G)		(G)	0.00
LESS Approved "A" Certified Forwards	(H)		(H)	0.00
Approved "B" Certified Forwards	(H)		(H)	0.00
Approved "FCO" Certified Forwards	500,000.00	(H)	(H)	500,000.00
LESS: Other Accounts Payable (Nonoperating)	1,954.99	(I)	(I)	1,954.99
LESS: _____	(J)		(J)	0.00
Unreserved Fund Balance, 07/01/11	24,048,670.84	(K)	0.00	24,048,670.84 **

Notes:

*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2011

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2012 - 2013	
Department Title:	Department of Transportation
Trust Fund Title:	Toll Facilities Revolving TF
LAS/PBS Fund Number:	2729

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/11

Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	47,598,970.72	(A)
--	----------------------	-----

Subtract Nonspendable Fund Balance (GLC 56XXX)

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

SWFS Adjustment # and Description		(C)
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SWFS Adjustment # and Description		(C)
-----------------------------------	--	-----

Add/Subtract Other Adjustment(s):

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

Approved "C" Carry Forward Total (FCO) per LAS/PBS	(500,000.00)	(D)
--	--------------	-----

A/P not C/F-Operating Categories	(23,930,942.10)	(D)
----------------------------------	-----------------	-----

A/P not C/F-Operating Categories	(519,442.11)	(D)
----------------------------------	--------------	-----

A/P not C/F-Operating Categories	(8,999,998.00)	(D)
----------------------------------	----------------	-----

A/P not C/F-Operating Categories	519,442.11	(D)
----------------------------------	------------	-----

A/P not C/F-Operating Categories	9,880,640.22	(D)
----------------------------------	--------------	-----

		(D)
--	--	-----

ADJUSTED BEGINNING TRIAL BALANCE:

	24,048,670.84	(E)
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UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)

	24,048,670.84	(F)
--	----------------------	-----

DIFFERENCE:

	0.00	(G)*
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***SHOULD EQUAL ZERO.**

2731

Transportation Disadvantaged Trust Fund

Schedule 1 Narrative for:

Transportation Disadvantaged Trust Fund - 2731

Section I: Detail of Revenues

Revenue estimate calculations for Fiscal Year 2011-2012 and Fiscal Year 2012-2013 are based on the following methodology:

- Transfers from Highway Safety and Motor Vehicles include revenue estimates from the following sources: (1) the \$1.50 additional fee on the initial or renewal registration of private autos and light trucks (s.320.02(9), F.S.); (2) the \$5.00 portion of the fee charged for granting exemption parking permits to persons with temporary disabilities (s. 320.0848(3), F.S.); and (3) the \$1.00 donation that is permitted when a motor vehicle is registered (s.320.02(15), F.S.). Based on March 2011 Revenue Estimating Conference and historical data.
- Transfers from STTF - Florida Statutes Chapter 206 requires a minimum of 15% of revenues deposited in the State Transportation Trust Fund be committed for public transportation projects.
- \$6 million transfer for other transportation projects based on Executive Policies within the Department. \$1.4 from the State Transportation Trust Fund for rural capital equipment purchases.
- \$60.3 million based on the negotiated contract with the Agency for Health Care Administration to provide Non-Emergency Medicaid Transportation services. The contract amount was initially set at \$65.5 million. However, legislation enacted late in the session required a mandatory 7% reduction to the current levels.
- Interest revenue is calculated on the monthly cash balance in the trust fund. It is projected that the average monthly cash balance will yield \$595,000 of interest in 2011-2012. The reduction in Medicaid funding along with maximization in the use of the available funds, will result in a lower monthly cash balance. These factors will cause a reduction in interest revenue.

Section II: Non-Operating

- Budget Amendment proposed to be done in FY2012-2013 to reduce budget due to reduction in revenues for \$2,209,567.

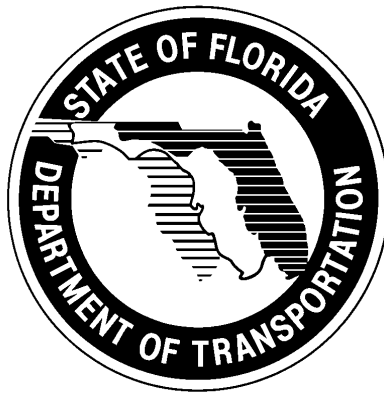
Section III: Adjustments

- Adjustment to Line A - \$7,854,189 A/P not certified forward from the prior year.
- Prior Year Operating Reversions are September operating reversions from the prior year of \$1,232,455.
- Financial Statement Adjustments - A post-closing adjustment for a payable due to Department of State 45-60-2-572001 (\$53.32).

5 Percent Trust Fund Calculation

Transportation Disadvantage Trust Fund – 2731

Not required for this fund



**LEGISLATIVE
BUDGET REQUEST
2012-2013**

Inter-Agency Transfer Form

**Executive Office of the Governor
Inter-Agency Transfers Reported on Schedule I
Agency Name Transportation**

List all transfers totaling \$100,000 or more. Provide the applicable agency name and fund number, the transfer category used, and the amount of the transfer for each of the fiscal years indicated, as well as the name and phone number of the person at the other agency who confirmed the amount of the transfer. If transferred in/out to the General Revenue Fund, do not include on this form; however, on Schedule I be sure to include "To GR" or "From GR" in the description field.

Fund Name and Number :

2731 - Transportation Disadvantaged Trust Fund

Transfers In (Provide Agency and Fund Number Received From)	Transfer Category	Amount FY 10-11 (A01)	Amount FY 11-12 (A02)	Amount FY 12-13 (A03)	Confirmed By
AHCA - 1000	001500	25,331,202.52	23,364,412.00	23,364,412.00	No response from AHCA as of 09.13.11
AHCA - 2474	001500	40,088,179.39	36,975,613.00	36,975,613.00	No response from AHCA as of 09.13.11
HSMV - 2488	001500	17,808,242.56	19,629,749.00	20,102,825.00	Terri Mulkey/Jim Lewandowski terrimulkey@flhsmv.gov

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2011 - 2012

Department Title:

Department of Transpo

Trust Fund Title:

Transportation Disadvantaged TF

Budget Entity:

LAS/PBS Fund Number:

2731

	Balance as of 6/30/2011		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,079,362.89	(A)		1,079,362.89
ADD: Other Cash (See Instructions)		(B)		0.00
ADD: Investments	15,114,263.01	(C)		15,114,263.01
ADD: Outstanding Accounts Receivable	5,987,063.82	(D)		5,987,063.82
ADD: _____		(E)		0.00
Total Cash plus Accounts Receivable	22,180,689.72	(F)	0.00	22,180,689.72
LESS Allowances for Uncollectibles		(G)		0.00
LESS Approved "A" Certified Forwards	14,324.46	(H)		14,324.46
Approved "B" Certified Forwards	13,994,189.09	(H)		13,994,189.09
Approved "FCO" Certified Forwards		(H)		0.00
LESS: Other Accounts Payable (Nonoperating)	1,596.81	(I)	(53.32)	1,543.49
LESS: _____		(J)		0.00
Unreserved Fund Balance, 07/01/11	8,170,579.36	(K)	53.32	8,170,632.68 **

Notes:

*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2011

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period:	2012 - 2013
Department Title:	Department of Transportation
Trust Fund Title:	Transportation Disadvantaged TF
LAS/PBS Fund Number:	2731

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/11

Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	14,991,538.08	(A)
--	----------------------	-----

Subtract Nonspendable Fund Balance (GLC 56XXX)

		(B)
--	--	-----

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description	B5500008	53.32	(C)
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SWFS Adjustment # and Description			(C)
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Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(13,994,189.09)	(D)
---	-----------------	-----

Approved "C" Carry Forward Total (FCO) per LAS/PBS		(D)
--	--	-----

A/P not C/F-Operating Categories	7,159,364.36	(D)
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A/P not C/F-Operating Categories	3,386.88	(D)
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A/P not C/F-Operating Categories	10,479.13	(D)
----------------------------------	-----------	-----

		(D)
--	--	-----

ADJUSTED BEGINNING TRIAL BALANCE:

	8,170,632.68	(E)
--	---------------------	-----

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)

	8,170,632.68	(F)
--	---------------------	-----

DIFFERENCE:

	0.00	(G)*
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***SHOULD EQUAL ZERO.**

DEPARTMENT OF TRANSPORTATION

SCHEDULE IV-B

FOR

FLORIDA PERMANENT REFERENCE NETWORK
(FPRN)

MODERNIZATION

FOR

FISCAL YEAR 2012-13



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

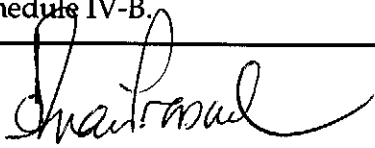
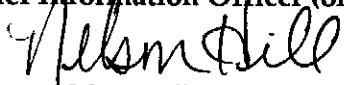



September 15, 2011

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FY 2012-13 SCHEDULE IV-B FEASIBILITY STUDY FOR
FLORIDA PERMANENT REFERENCE NETWORK (FPRN) MODERNIZATION

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Transportation	Schedule IV-B Submission Date: September 15, 2011
Project Name: Florida Permanent Reference Network (FPRN) Modernization	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2012-13 LBR Issue Code: 36102C0	FY 2012-13 LBR Issue Title: Florida Permanent Reference Network (FPRN) Modernization
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): John Krause, 850-245-1555, john.krause@dot.state.fl.us	
<p>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.</p>	
Agency Head:  Printed Name: Ananth Prasad	Date: 9/14/11
Agency Chief Information Officer (or equivalent):  Printed Name: Nelson Hill	Date: 9/14/11
Budget Officer:  Printed Name: Kimberly Ferrell	Date: 9/14/11
Planning Officer:  Printed Name: Kathleen Neill	Date: 9/14/11
Project Sponsor:  Printed Name: Brian Blanchard	Date: 9/14/11
Additional Schedule IV-B Requesters (Name, Phone #, and E-mail address):	
Business Need:	N/A to this request.
Cost Benefit Analysis:	N/A to this request.
Risk Analysis:	John Krause, 850-245-1555, john.krause@dot.state.fl.us
Technology Planning:	John Krause, 850-245-1555, john.krause@dot.state.fl.us
Project Planning:	John Krause, 850-245-1555, john.krause@dot.state.fl.us

II. Schedule IV-B Business Case- Not Applicable*

*This funding request is defined as small project under the Schedule IV-B Components checklist. Business Case discussion is not required as this funding request does not meet minimum funding threshold for this category. (*Schedule IV-B Documentation Requirements Table at page 3 of the Preparation Guidelines*)

Business Case Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Background and Strategic Needs Assessment			X	X
Baseline Analysis			X	X
Proposed Business Process Requirements			X	X
Cost Benefit Analysis		X	X	X

A. Background and Strategic Needs Assessment

1. Agency Program(s)/Service(s) Environment
2. Business Objectives

B. Baseline Analysis

1. Current Business Process Requirements
 - a. Inputs
 - b. Processing
 - c. Outputs
 - d. Business Process Interfaces
 - e. Business Process Participants
 - f. Process Mapping
2. Assumptions and Constraints

C. Proposed Business Process Requirements

1. Proposed Business Process
2. Business Solution Alternatives
3. Rationale for Selection
4. Recommended Business Solution

III. Schedule IV-B Cost Benefit Analysis- Not Applicable*

*This funding request is defined as small project under the Schedule IV-B Components checklist. Business Case discussion is not required as this funding request does not meet minimum funding threshold for this category. (*Schedule IV-B Documentation Requirements Table at page 3 of the Preparation Guidelines*)

A. The Cost-Benefit Analysis Forms

Cost Benefit Analysis	
Form	Description of Data Captured
<i>Benefits Realization Table</i> - Microsoft Word Template in Appendix C	A detailed description of all benefits identified for the project, including both tangible and intangible benefits. Each benefit identifies the recipient of the benefit, how and when it is realized, how the realization will be measured, and estimates of tangible benefit amounts.
<i>CBA Form 1 - Net Tangible Benefits</i>	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project. Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the <i>Benefits Realization Table</i> . These estimates appear in the year the benefits will be realized.
<i>CBA Form 2 - Project Cost Analysis</i>	Project Cost Elements: Estimated project costs for personnel, hardware, software, consultants and other contracted services through project design, development, and implementation. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.
<i>CBA Form 3 - Project Investment Summary</i>	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: Return on Investment Payback Period Breakeven Fiscal Year Net Present Value Internal Rate of Return

B. CBA Forms

Step 1: *Benefits Realization Table (Appendix C)*

Benefits Realization Table						
	Description of Benefit	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1						
2						
3						
4						
5						

Step 2: *CBA Workbook – CBA Form 1 Net Tangible Benefits* worksheet tab:

- a) CBA Form 1-A Net Tangible Benefits
- b) CBA-Form 1-B Character of Program Benefit Estimate

Step 3: *CBA Workbook – CBA Form 2 Project Costs* worksheet tab:

- a) CBA Form 2-A Project Cost
- b) CBA Form 2-B Character of Project Costs Estimate
- c) CBA Form 2-C Program(s) Costs for Current Operations
- d) CBA Form 2-D Character of Existing Program Cost Estimates

Step 4: *CBA Workbook – CBA Form 3 Project Investment Summary* worksheet tab:

- a) CBA Form 3-A Cost Benefit Analysis (enter no data, auto generated)
- b) CBA Form 3-B Return on Investment Analysis
- c) CBA Form 3-C Treasurer’s Investment Interest Earning Yield

C. Cost-Benefit Analysis Results

IV. Major Project Risk Assessment Component

A. Risk Assessment Tool

The risk assessment completed for this project indicates the overall project risk is low.

B. Risk Assessment Summary

The risks to this project are low as the agency already has an existing operating FPRN network, infrastructure and backbone in place and the system has been operating 24/7 for 7 years in its current state. The current system has 63 GPS antennas and hardware at each site. Although all are currently operational, they are becoming less and less dependable. 18 units are at the end of both physical and technology lifecycles as these units reside outdoors, in the elements. They have proven durable and dependable and they have performed beyond expectations in the heat, humidity, and tremendous lightning storms we have in Florida. 45 units are at the end of their technology lifecycle but the internal hardware and firmware can be upgraded causing a substantial savings to a full unit replacement. These 45 units are capable of being upgraded by the manufacturer and research indicates that after the upgrade to hardware and software these units will meet all anticipated needs until FY 2015/16. This is approximately when industry will be prepared to incorporate Europe's and China's GPS satellite constellations into the current United States and Russia that are currently in use. This request is to incorporate new carrier phase bands that have been added to the existing constellations over the last 3 years.

To summarize, this request is the refresh of a current operating statewide continuously operating precise GPS network that supports all surveying and mapping activities for multiple federal and state agencies. This network supports location mapping activities and procedures for emergency management, defense, homeland security, universities, scientific studies, environmental management, etc. There are between 250,000 to 400,000 GPS user sessions annually on this network. The real risks are the users have become technology invested and work process dependant on this network. The availability and use of this network saves millions of dollars to the state and the public by being able to achieve precise GPS positions. In addition to savings, the FPRN has enabled critical functions performed by these agencies to operate faster and be better prepared as it offers them real time and accurate geographical information to plan and make decisions that benefit the public safety and welfare.

V. Technology Planning Component

Technology Planning Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Current Information Technology Environment		X	X	X
Proposed Solution Description	X	X	X	X
Capacity Planning	X	X	X	X
Analysis of Alternatives	X	X	X	X

A. Current Information Technology Environment:
Not required under the financial benchmark.

B. Proposed Solution Description:

Our solution has two tracks, first there are 18 GPS receivers which are over 7 years old which have become very weathered, lack sophistication of current technology and cannot be updated by hardware components, firmware, and software enhancements to new satellite constellations that are available. Our plan in FY 2012/2013 is to purchase and replace these 18 with complete new units along with purchasing an additional 10 spares units to be used for planned new FPRN facilities; (5) adding density to FPRN, the other 5 new units will be used as inventory in event of a failure brought on normally by lightning strike or other out of warranty failure.

In the second track we will upgrade 45 existing GPS receivers that are 4-5 years old with new circuit boards and firmware. These units have the capability to be upgraded and are much better constructed to withstand the elements.

Additionally, we will purchase 22- RTK (Real Time Kinematic) GPS rovers that will be added to each of our seven (7) geographical Agency Districts and Central Office surveying team inventories. These units will upgrade the Districts capabilities in GPS, RTK solutions by offering multiple FPRN signals from multiple GPS constellations as well as to the FPRN base stations. The result will be more accurate real time solutions, in particular to the vertical (elevation) which is not reliable under our current GPS technology for most agency survey work involving elevation accuracies that require of better than 0.20 feet.

Upgrades to the network and rovers will bring the vertical accuracy to 0.05 feet or better consistently, faster, and with reliability accuracy required in Surveying and Mapping stated in 472 Florida Statute, and 5J-17 Florida Administrative Code.

These improved accuracies will offer FDOT to streamline and improve many current processes in our mission and will bring cost savings through reductions in labor and time in completing surveying activities on projects.

The final portion of this upgrade involves the server software that supports the users and FPRN network managers. The software is approaching obsolescence as

it cannot be upgraded or supported to current operating systems being implemented by the agency or our customers. The function and operation of the FPRN network is totally dependent on the applications with this centralized software as it is the engine which sends real-time solutions to users in the field. This software upgrade is critical to the use of and the success of the FPRN network.

The improved network will still offer all of the current capabilities of the old network plus add the enhancements our transportation surveying and mapping systems need for GPS positional support for new technologies that are used in conjunction with precision. The FPRN network system is fully scalable to add capacity to the network when the agencies annual multi-billion dollar work program requires it. It has been our normal progression to add 1-3 additional stations per year based on geographical need to support upcoming projects. These added stations then remain permanent beyond the transportation project to support maintenance and other governmental needs thereafter. The FPRN stations are for the use of all requesters. Our system offers web enabled sign up and user instruction as well as trouble desk inquires that are answered by email or phone call by the two FPRN staff. There is no limit to the number of users that can access the system at a time other than bandwidth and there have never been customer complaints on network performance. Bandwidth requirements and options are currently being investigated to offset potential issues in the future as well as to save current cost of the data lines.

The network upgrade will be sufficient for all customer needs for 5-6 years after all hardware and software improvements have been made. It is our intention to seek further financial support under an existing Code of Federal Regulation (CFR) that refers to horizontal and vertical control networks. It is our interpretation of the CFR that the FPRN certainly qualifies as a "horizontal and vertical network" and we are hopeful the FPRN will be eligible to be supported under Federal Aid in the future.

The FPRN mission is to be available 24/7, 365 days per year in for transportation construction and support activities that may work non-stop. Currently all server components are under warranty for the network and there are backup and spare servers on line if needed. In March of 2012 servers will be moved from FDOT agency responsibility to Southwood Shared Resource Center (SSRC) under statewide IT consolidation requirements.

C. Capacity Planning

The requested technology upgrade will not impact the current capacity. The component parts and backbone of the IT infrastructure currently utilized by the existing FPRN will remain the same. We are replacing the GPS receivers and

antennas to be used on the same mounting devices, use the same data lines as the old, and the same server system to support the 63 FPRN (GPS) system. We do not anticipate any measurable increase in customers and the current system has never been taxed from use.

A non-technical, management summary of the issues:

The issue is twofold; the FPRN became operational in 2003 to support the FDOT's Aerial Mapping program by improving accuracy and quality. The network started small and over the years has grown to provide permanent GPS base station coverage (FPRN) for the entire state. The coverage is not seamless; there are gaps in the rural areas and there is overlapping multiple station coverage in the urban areas. A secondary objective of this request is to increase network capacity as the growth of transportation corridors in rural and urban areas increase.

The FPRN network offered the first opportunities for spread outside of supporting aerial mapping. As survey grade GPS units became cheaper, lightweight, faster, and accepted for good results, productivity and staff reductions were possible. Massive gains in computer processing technology for computer chips (size and speed) and the addition of many more GPS Satellites to the GPS constellation allowed for more and more use of the FDOT FPRN in all users workflow. Conventional field surveying procedures produced by transit/theodolite and distance measurement equipment that need support by many more or multiple field crews and support staff started to become inefficient and costly. This agency has seen tremendous improvements in speed and quality assurance from consultants and internal surveying and mapping processes. The FPRN and our GPS is what our mapping and construction activities are built around.

There are new satellite constellations and carrier phase bands that have been available the last 4 years. Current FPRN receivers and supporting District GPS hardware, software, cannot access and take advantage of these in our solutions and processes. Accessing these new constellations will add further speed and efficiency to our processes similar to that which the Department has historically achieved with GPS. This upgrade will allow the Department to achieve additional improvements to production therefore achieving efficiencies and reducing costs considerably.

D: Analysis of Alternatives:

There has been a substantial planning, effort and financial investment to build the current FPRN to its current status. This was approximately a 6 year process. The current system is approximately two generations of GPS equipment behind. The backbone and supporting infrastructure is one year old or less. Data lines used are a service we pay to others (DMS) and server hardware was replaced one

year ago. Based on the supporting IT environment our alternatives are limited to manufacturers of GPS equipment for full replacement units. However, the agency has made a substantial investment to one brand through the years because all associated software, firmware, and support tools have better functionality if purchased from one parent company. Support and troubleshooting also benefit from this scenario.

Current structure and process of the FPRN works very well. There is two full time staff dedicated to customer support, technical support, installation, and maintenance of the FPRN statewide. Additional support is provided by District survey staff to perform minor troubleshooting should a unit fail. This process saves mobilization in some cases by using staff out of Tallahassee.

Our strong recommendation is that the system needs to be upgraded to current software releases and hardware that supports all new GPS satellite constellations. The state will gain in precision GPS availability and customers will have their GPS systems supported by the latest technology solutions to our network.

Without the upgrade we certainly will begin to experience diminishing returns in production and efficiency as units begin to fail because of hardware, firmware, and software becoming obsolete and unsupported by the manufacturers of our existing technology.

VI. Project Management Planning Component

Project Management Section	\$1-1.99 M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Project Charter	X	X	X	X
Work Breakdown Structure	X	X	X	X
Project Schedule	X	X	X	X
Project Budget	X	X	X	X
Project Organization			X	X
Project Quality Control			X	X
External Project Oversight			X	X
Risk Management			X	X
Organizational Change Management			X	X
Project Communication			X	X
Special Authorization Requirements			X	X

A. Project Charter

Several meetings have been held with key agency customers on the technological need and desire to upgrade the network. There have been concerns over the last couple of years from our customers on the age and technology gap of the Department's equipment. They have inquired as to when will there be upgrades to the GPS receivers and the Department's network stations. The inability of the network to offer the latest and best GPS corrections and positions has hindered our customers from taking advantage of technology built into their newer GPS units.

Management has continued to express desired cost saving measures to our surveying and mapping processes and upgrading the network will offer opportunity for innovative solutions and procedures for collecting precise data.

The project management team is committed to a fast and smooth transition. Customers will see only a 2-3 day lack of availability as the units can all be fully transitioned and tested by agency staff. Customers will be notified by email and our FPRN website for the dates the units may or will be out of service so they can plan their work accordingly. The agency uses this method when units are disabled for planned maintenance or other types of failure. No special training will be required of staff to make the switchovers. All work will be performed by agency staff.

B. Work Breakdown Structure

All equipment and software will be purchased from one low bid provider to the specifications provided. Specifications are for existing off the shelf GPS receivers and will be the latest released models. For units requiring a circuit board upgrade, a new circuit board will be installed. Each process requires onsite and then offsite remote testing. This process will be repeated until all units are upgraded to the new specifications. Software for the server will be installed upon arrival of an independent server to the existing software so that newly installed and existing GPS stations can be tested through the complete new environment prior to a complete switchover.

See **Appendix B** for **FPRN SENSOR REPLACEMENT PROCESS** chart.

C. Resource Loaded Project Schedule

Replacement/Upgrade activities will be divided by geographical areas. The state has been broken into 7 geographical areas and within those areas there are between 6-12 FPRN stations. There is a 12 month plan to upgrade the system; months 1-5 will be for the advertisement and purchase of the units. The following 7 months will be installation activities by geographical area. In addition to cost of travel this will allow customers in that area to make a complete switch to the new stations as our customers many times use several stations simultaneously. Each area should require 5-9 days to complete the work. All work will be performed by 2 full time agency staff that manages the FPRN. See **Appendix C** for **FPRN SENSOR REPLACEMENT SCHEDULE**.

D. Project Budget

The entire project budget, \$1,343,500 will be paid to the successful bidder as this upgrade is for existing off the shelf hardware and software. Training will be included in this package and it is intended for customers within the agency who will utilize the new RTK capabilities this equipment provides. The amount requested was based on research and comparisons of written quotes from manufacturers and distributors of this equipment. No special applications, software, or hardware need to be developed with this project. All labor and associated costs to install this equipment will come from the agency's staff and operating budget.

E. Project Organization –Not required under the financial benchmark.

F. Project Quality Control–Not required under the financial benchmark.

G. External Project Oversight–Not required under the financial benchmark.

H. Risk Management–Not required under the financial benchmark.

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
1.				
2.				
3.				
4.				
5.				

- I. Organizational Change Management–Not required under the financial benchmark.
- J. Project Communication–Not required under the financial benchmark.
- K. Special Authorization Requirements–Not required under the financial benchmark.

VII. Appendices

Appendix A: IT Risk Assessment Tool

Project	FPRN MODERNIZATION	
Agency	Department of Transportation	
FY 2012-13 LBR Issue Code:	FY 2012-13 LBR Issue Title:	
36102C0	FPRN MODERNIZATION	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
John Krause, 850-245-1555, john.krause@dot.state.fl.us		
Executive Sponsor	Brian Blanchard	
Project Manager	John Krause	
Prepared By	John Krause	9/6/2011
Risk Assessment Summary		
Business Strategy		
	Level of Project Risk	
Project Risk Area Breakdown		
Risk Assessment Areas		<i>Risk Exposure</i>
Strategic Assessment		LOW
Technology Exposure Assessment		LOW
Organizational Change Management Assessment		LOW
Communication Assessment		LOW
Fiscal Assessment		MEDIUM
Project Organization Assessment		LOW
Project Management Assessment		LOW
Project Complexity Assessment		MEDIUM
Overall Project Risk		LOW

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	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40%-- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		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	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Transportation

Project: FPRN MODERNIZATION

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	
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	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant 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: Department of Transportation

Project: FPRN MODERNIZATION

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 Moderate changes to organization structure, staff or business processes Minimal changes to organization structure, staff or business processes structure	Minimal changes to organization structure, staff or business processes structure
3.02	Will this project impact essential business processes?	Yes No	Yes
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented 41% to 80% -- Some process changes defined and documented 81% to 100% -- All or nearly all processes 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	Yes
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change 1% to 10% FTE count change Less than 1% 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 1 to 10% contractor count change Less than 1% 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) Moderate changes Minor or no 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 Moderate changes Minor or no 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 fewer change requirements Recently completed project with similar change requirements Recently completed project with greater change requirements	Recently completed project with similar 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	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
		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	All or nearly all messages have success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

Agency: Department of Transportation

Project: FPRN MODERNIZATION

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	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from other state agencies
		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	All or nearly all project benefits have been identified and 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	More than 5 years
		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	Procurement strategy has not been identified and documented
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

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	Purchase all hardware and software at start of project to take advantage of one-time discounts
		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	Yes
		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 and proof of concept or prototype planned/used to select best qualified vendor
		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: Department of Transportation

Project: FPRN MODERNIZATION

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	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		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	Yes, experienced project manager dedicated full-time, 100% 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	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Completely staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	No
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: Department of Transportation

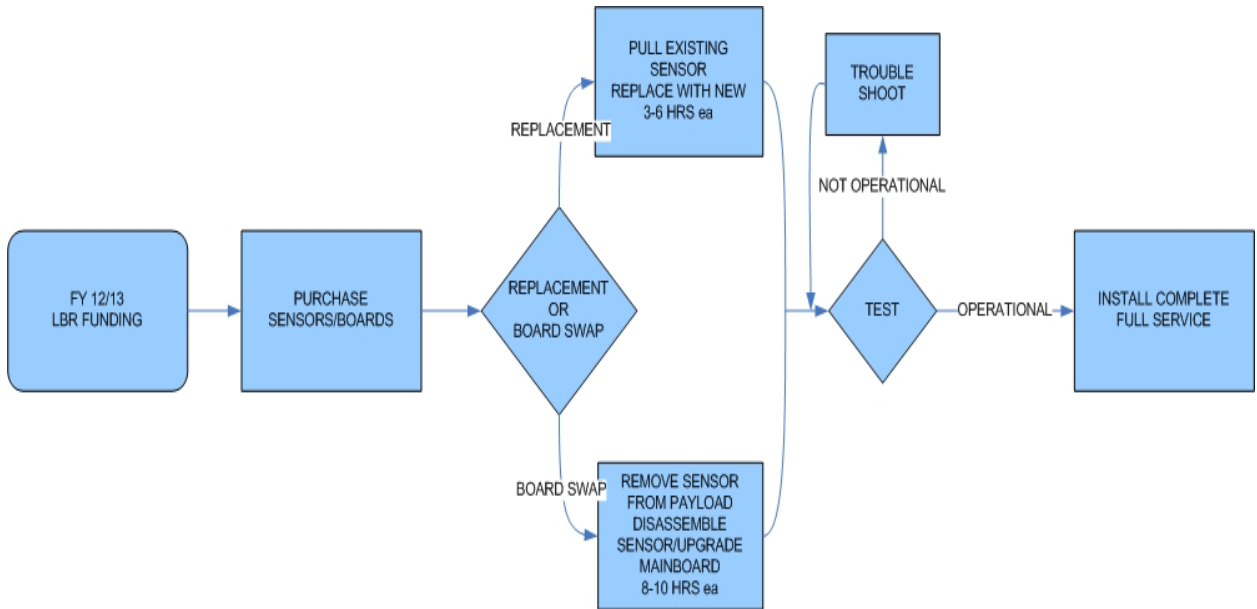
Project: FPRN MODERNIZATION

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No Project Management team will use the methodology selected by the systems integrator Yes	Project Management team will use the methodology selected by the systems integrator
7.02	For how many projects has the agency successfully used the selected project management methodology?	None 1-3 More than 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 All or nearly all	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 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all 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 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all 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 41 to 80% -- Some are traceable 81% to 100% -- All or nearly all requirements and specifications 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 All or nearly all 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 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	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level 41 to 80% -- Some have been defined to the work package level 81% to 100% -- All or nearly all 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	Yes

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	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting
		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	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		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	

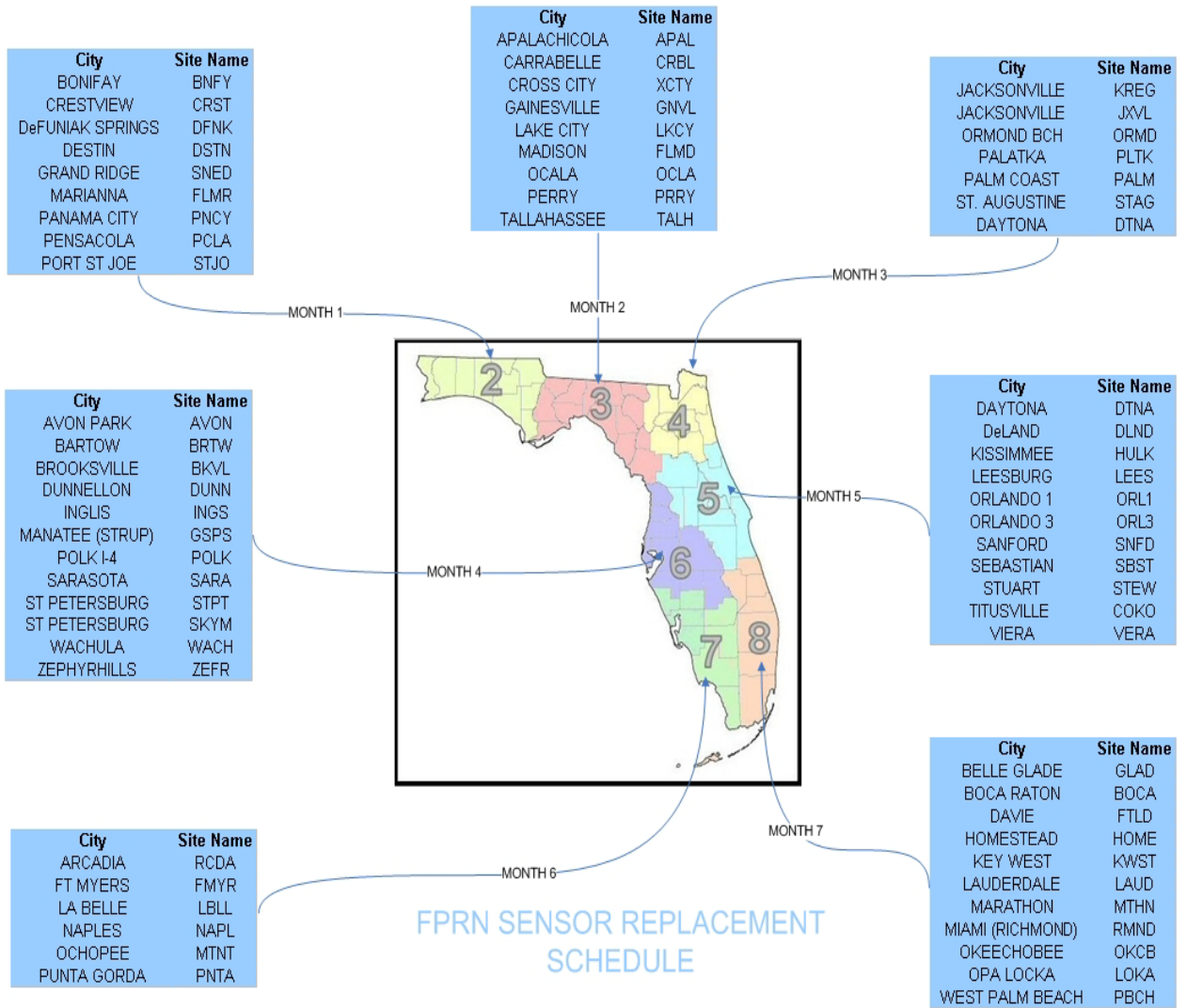
Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Less complex
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	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	No external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	Less than 5
		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	Similar 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 B: FPRN Sensor Replacement Process



FPRN SENSOR REPLACEMENT PROCESS

Appendix C: FPRN Sensor Replacement Schedule



DEPARTMENT OF TRANSPORTATION

SCHEDULE IV-B

FOR

**CONSTRUCTION MATERIALS ACCEPTANCE
CERTIFICATION, LABORATORY
INFORMATION MANAGEMENT SYSTEM
(LIMS)**

FOR

FISCAL YEAR 2012-13



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

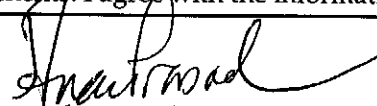
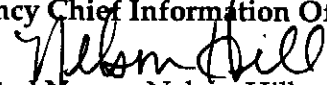
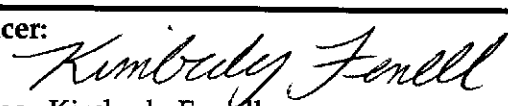


September 15, 2011

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FY 2012-13 SCHEDULE IV-B FEASIBILITY STUDY FOR
CONSTRUCTION MATERIALS ACCEPTANCE CERTIFICATION - DOT LIMS

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Transportation	Schedule IV-B Submission Date: September 15, 2011
Project Name: Laboratory Information Management Systems (LIMS)	Is this project included in the Agency's LRPP? _x_ Yes ___ No
FY 2012-13 LBR Issue Code: 36250C0	FY 2012-13 LBR Issue Title: Construction Materials Acceptance Certification, Laboratory Information Management System (LIMS)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Nelson Hill, 850-414-4771, nelson.hill@dot.state.fl.us	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:  Printed Name: Ananth Prasad	Date: 9/14/11
Agency Chief Information Officer (or equivalent):  Printed Name: Nelson Hill	Date: 9/14/11
Budget Officer:  Printed Name: Kimberly Ferrell	Date: 9/14/11
Planning Officer:  Printed Name: Kathleen Neill	Date: 9/14/11
Project Sponsor:  Printed Name: Brian Blanchard	Date: 9/14/11
Schedule IV-B Preparer's (Name, Phone #, and E-mail address)	
Business Need:	Timothy J. Ruelke, P.E. (352) 955-6620, TIMOTHY.RUELKE@DOT.STATE.FL.US Tom Byron, (352) 955-6686, TOM.BYRON@DOT.STATE.FL.US
Cost Benefit Analysis:	Vicki Bradford (850) 410-5454, VICKI.BRADFORD@DOT.STATE.FL.US
Risk Analysis:	Vicki Bradford (850) 410-5454, VICKI.BRADFORD@DOT.STATE.FL.US
Technology Planning:	Vicki Bradford (850) 410-5454, VICKI.BRADFORD@DOT.STATE.FL.US
Project Planning:	Vicki Bradford (850) 410-5454, VICKI.BRADFORD@DOT.STATE.FL.US

II. Schedule IV-B Business Case

Business Case Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Background and Strategic Needs Assessment			X	X
Baseline Analysis			X	X
Proposed Business Process Requirements			X	X
Cost Benefit Analysis		X	X	X

A. Background and Strategic Needs Assessment

1) Agency Program(s)/Service(s) Environment

The agency program that is supported by this request is the Florida Department of Transportation's (FDOT) federally mandated and approved construction project acceptance and certification program. The Code of Federal Regulations (specifically, 23 CFR 637) specifies detailed and thorough quality assurance procedures for construction that must be met by all state transportation agencies receiving federal funding. The Information Technology (IT) application requested here is used by the FDOT to manage the rigorous and multi-faceted quality assurance processes developed and approved to ensure all projects constructed with work program funds meet not only the mandated federal requirements above but also FDOT material and construction specification requirements and product quality requirements. As such, this is a strategic system in direct support of the FDOT's core function of building roads and bridges. The primary FDOT customers of this system are the Construction and Materials offices at both the Central and District Office levels. However, the primary user is the contracting industry doing business with FDOT. The primary customer of the output is the Federal Highway Administration (FHWA). Total expenditures anticipated in the Department's 5 year Work Program for construction equals \$15 billion (2012 - 2016). Federal funding accounts for approximately \$7.2 billion of this amount.

The FDOT currently uses a database system called the Laboratory Information Management System (LIMS) to manage the acceptance requirements for all materials and products incorporated into its multi-billion dollar work program. The FHWA requires all state transportation agencies to have and conduct an approved acceptance program in order to receive federal funds. FDOT's approved method uses a process where the contractor's material sampling and testing data and information are used for the purposes of both material acceptance and contractual payments. This method is known as Contractor Quality Control (CQC). To maintain consistency and facilitate ease of doing business with the FDOT, CQC is used as the method to accept all FDOT work program projects - even those not receiving federal funding - and LIMS is used to manage this acceptance program to ensure compliance with all contractual requirements regarding material sampling and testing, quality, quantity, and ultimate acceptance and payment.

To ensure only acceptable materials and products are used in projects, FHWA mandates rigorous verification processes and procedures made up of five functions:

1. Qualified Technicians - only technicians specifically trained and qualified in sampling and testing of a given material are permitted to sample and test that material;
2. Qualified Laboratories - only laboratories specifically qualified to test a given material are permitted to test that material;
3. Independent Assurance (IA) Program - the FDOT must conduct and manage a rigorous inspection program to ensure both technicians and laboratories conduct their sampling and testing correctly and to ensure all testing equipment is maintained and calibrated properly;
4. Job Guide Schedule - all projects must be given a specific material sampling and testing job guide schedule assigning testing requirements for all materials incorporated into a construction project to include: test types required to ensure acceptable quality, frequency those tests must be conducted, and test results required to ensure material quality;
5. Project Certification - FDOT is required to certify - in writing - that all contract requirements have been met for all federally funded projects but also issues the certification for all contracts regardless of the funding source.

LIMS has now been in use by the FDOT for over 8 years. Over the course of this time, it was modified and enhanced as needed to support changes and improvements to business processes. It was recently recognized by an FHWA Quality Assurance Review team as far more capable and powerful than any of the other states' project acceptance and certification program management tools. LIMS provides an effective method for uploading data from industry users outside the FDOT. This allows not only much easier and more timely data entry but also built-in checks that greatly reduce errors in data entry. LIMS received sampling and testing data for over 150,000 samples last year - roughly 85% of that entered by our industry partners outside the FDOT. Further, of the 928 laboratories and field offices currently using LIMS, 721 of those are external to the FDOT.

Because Florida employs the CQC method of project acceptance, the Department, as well as the construction industry, is required and must be readily able, to provide all data used to determine project acceptance. Without a robust application like LIMS, the materials data and information required from a program of the magnitude of Florida's extensive work program would not be feasible or manageable from either the FDOT's or the construction industry's perspective. In addition, it would put us in violation of federal mandates required to receive federal funds. Our current system provides a means to meet all of the federal requirements including laboratory and personnel qualifications, and product acceptability. LIMS goes far beyond routine sample logging and test result tracking as implied in its name.

In order to insure that LIMS continues to grow and adapt to business changes and improvements, the underlying technology must be sustainable. Although the current LIMS provides the basic functionality needed to support this mission critical process, the technology upon which it is built is no longer viable. This situation has a short-term adverse impact in that it cannot be modified to support changes in the business environment, and a long-term risk of losing the functionality all together.

The condition that mandates a technology upgrade for LIMS is related to obsolescence of the development languages originally used by the contractor. The LIMS project was initiated in the late 1990s with multiple software languages that are now obsolete and can no longer be supported. In fact, due to software obsolescence, it is already generating support issues requiring

stand-alone systems and servers that cannot be modernized and upgraded as needed due to the limitations of the original source code used to build LIMS.

In summary, LIMS must be replaced before it reaches the end of its supported service life (2015 or before) to ensure the FDOT's continued successful management of its approved project acceptance and certification program as mandated by federal requirements.

2) Business Objectives

As a technology refresh, the application must provide the same functionality and capabilities currently provided by LIMS allowing the FDOT to successfully manage the project acceptance and certification program for its extensive work program. LIMS currently provides the following capabilities that are required for continued operations:

1. The ability to effectively and efficiently upload, analyze and report on a vast data set to ensure the FDOT remains in compliance with federal requirements;
2. The ability to automatically compare results from different test levels such as acceptance, verification, resolution and notify project personnel as appropriate;
3. The ability to assign user access from a broad range of security levels based on user needs;
4. Efficient and effective access to contractors for data upload capabilities from outside FDOT networks;
5. Seamless access with minimal restrictions for a vast number of simultaneous internal and external users;
6. Automatic checks and balances to ensure all entered data meets quality and integrity requirements or flags data that does not – thus reducing the manpower resources needed to inspect and troubleshoot incorrect and non-compliant data;
7. The capability to manage and track technician certifications, qualifications and activity;
8. The capability to manage and track laboratory qualifications and activity;
9. The capability to prevent laboratory conflict of interest by not allowing a lab that is doing contractor acceptance testing to also be doing FDOT verification testing under the same construction contract;
10. The capability to assign and track technicians to multiple laboratories;
11. The ability to “flag” data sampled or tested by unqualified technicians or laboratories and notify project personnel as appropriate;
12. The capability to manage and track approved producers, terminals and facilities;
13. The capability to manage and track approved and qualified products

14. The ability to “flag” data entered on suspended materials or products and/or from suspended producers, terminals and facilities and notify project personnel as appropriate;
15. The capability to manage and track the source, quality and quantity of the ingredient components used in both asphalt and concrete mix designs;
16. The ability to assign and track asphalt and concrete mix designs to approved plants and to approved projects;
17. Accessibility from either internet or FDOT network connections;
18. Usable from computers with multiple operating systems and multiple software versions;
19. The ability to evolve and improve with changes in technology, changes in policies, processes and procedures and/or as a result of user input and feedback.

Without this technology refresh, there will be considerable concern and risk relating to the FDOT’s ability to assess and guarantee the quality of construction projects delivered to the State of Florida. In addition, there will be considerable concern and risk to overall FDOT operations as they relate to meeting the CFR requirements described above for the State of Florida to remain eligible to receive federal transportation funding. In short, without this technology refresh, there will be no way for the FDOT to ensure it has received the materials and quality it has specified and contracted for with its multi-billion dollar work program budget.

B. Baseline Analysis

As a technology refresh of a mature and highly evolved system, the business processes required by this IT application are well defined and understood. The details below are what is currently capable in LIMS and would need to be met with the refreshed application.

1. Current Business Process Requirements

- a. Inputs - LIMS currently receives data from both internal FDOT personnel and from external industry partners. Material sampling and testing data input capabilities range from customized, single-sample data entry screens for input directly into LIMS to various upload tools that handle large volumes of data through the File Transfer Protocol (FTP) site. User security levels are assigned based on the user’s need. Privacy concerns are enforced by limiting technician identification (ID) visibility and reporting to a select few FDOT system managers.

- i. Material sampling and testing data input

1. LIMS received sampling and testing data and information on over 150,000 specific samples last year
 - a. Over 71,000 samples entered as part of the aggregate control program with an estimated 90% of those uploaded from outside FDOT networks
 - b. Over 18,000 samples entered as part of the asphalt acceptance program with an estimated 90% of those uploaded from outside FDOT networks
 - c. Over 44,000 samples entered as part of the concrete acceptance program
 - d. Over 14,000 samples entered as part of the earthwork acceptance program
 - e. It is estimated that over 50% of all data was uploaded using one of various upload tools
2. Sample life cycle data input
 - a. Sample taken - date, source of material, sample ID, technician ID
 - b. Sample received at a lab - date, laboratory ID
 - c. Sample transferred - date, laboratory ID
 - d. Sample tested - date, results, testing technician ID, laboratory ID
- ii. Technician qualifications data input
 1. Technician identification
 2. Certifications and qualification received
- iii. Independent Assurance
 1. Technician qualifications
 2. Technician evaluations
 3. Equipment evaluations
 4. Active technicians
- iv. Laboratory qualifications data input
 1. Test methods qualifications
 2. Accreditation inspection reports
 3. Laboratory evaluations
- v. Producer qualifications data input
 1. Producer Quality Control Program
 2. Product types approved
 3. Mix design components
 - a. Approved sources
 - b. Acceptance criteria is within mix design targets (plastic properties and strength for concrete; aggregate gradations for aggregate and asphalt mix designs)
- vi. Aggregate acceptance program data input
 1. Aggregate mine quality control program
 2. Aggregate product test results

- 3. Aggregate product status
- vii. Qualified Products list data input
- viii. Project specification acceptance requirements
 - Project contractual information uploaded from SiteManager – this determines all specified sampling and testing requirements at the time of construction contract letting
 - a. Acceptance criteria
 - i. Specification targets
 - ii. Mix design targets
 - b. Frequency
 - c. Test method
 - d. Tested by a qualified lab
 - e. Sampled and/or tested by a qualified technician
 - f. Approved products were used
- b. Processing – material sample information is processed throughout its life cycle and appropriate notifications are sent to project personnel as required. In addition, sampling and testing technicians’ and laboratories’ information is processed through the life cycle of the sample. Information on approved producers, plants, facilities, terminals, technicians, laboratories and mix designs is processed with any change in status
 - i. Sample life cycle management
 - 1. Processing after initial sample data entry
 - a. Sampling technician’s qualification is checked – if there are issues, that sample is “flagged” for follow-on investigation
 - b. Sampling technician is identified as active in the system to generate follow-on independent assurance inspection
 - c. Sample source is cross checked to ensure it came from an approved source – if not, it is “flagged” for follow-on investigation
 - 2. Processing after sample testing
 - a. Testing technician’s test method qualification is checked – if there are issues, that sample is “flagged” for follow-on investigation
 - b. Testing technician is identified as active in the system to generate follow-on independent assurance inspection
 - c. Technician and laboratory IDs are cross checked to ensure the technician is assigned to that laboratory
 - d. Testing laboratory’s test method qualifications are checked – if there are issues, that sample is “flagged” for follow-on investigation

- e. Testing laboratory is identified as active in the system to generate follow-on independent assurance inspection
 - f. Testing laboratory's results are cross checked to ensure it has not conducted a different level test under that same contract – conflict of interest prevention
 - 3. Processing for acceptance analysis
 - a. Test results are cross checked to ensure acceptance and compliance
 - i. Compare acceptance, verification and / or resolution test results – notify project personnel as required
 - ii. Results checked against specification limits for acceptance and pay purposes – notify project personnel as required
 - iii. Results checked against mix design limits if appropriate
 - ii. Active technician and lab processing - make technician and lab status “active” as appropriate based on data entry
 - iii. Mix design processing – asphalt and concrete
 - 1. Check that all component ingredients came from approved sources
 - 2. Check that component ingredient quantities are within acceptable target limits
 - 3. Check that all testing results are within target limits
 - 4. Check that the delivered mix design came from an approved plant and is approved for the project
 - iv. Approved producers, terminals and facilities processing
 - 1. Cross check all samples entered to ensure they came from an approved source – “flag” all those that came from other than approved sources
 - 2. Process any changes in status – approved, inactive, disqualified, etc.
- c. Outputs – the outputs range from paper and electronic reports to lists published daily on FDOT websites. Outputs are used for a wide range of applications from material quality analysis to final project certification.
 - i. Qualified Producer Reports (published daily for Industry use)
 - ii. Qualified Laboratory Reports (published daily for Industry use)
 - iii. Active Technician Report to be used for follow-on independent assurance testing requirements
 - iv. Technician Evaluation Report
 - v. Final Project Materials Certification
 - vi. Mix Design Report
 - vii. Management Reports

1. Multiple data analysis options
 2. Multiple contractor materials performance reports
 3. Project Acceptance status reports
- viii. Ad-hoc reports
1. 100+ currently used
 2. User generated reports
- d. Business Process Interfaces
- i. LIMS receives and loads data from several interfaces:
 1. Pay Item information is received from the Project Estimating/Letting & Award Systems (PES/LAS)
 2. Construction Contracts and Estimates from the Department's Construction Contract Administration System (SiteManager)
 3. Local Agency Program (LAP) Contracts from Work Program
 4. Technician certification / qualification information is updated regularly from Red Vector's database
 - ii. LIMS currently receives user inputs via various upload tools that work through the FTP system
- e. Business Process Participants - the majority of business process participants are external to the FDOT and access LIMS via the internet.
- i. LIMS currently has approximately 1,500 active technicians with a total of over 12,400 technicians identified as current or past users
 - ii. LIMS currently has approximately 4200 data entry personnel identified as LIMS users

Of those, over 3000 are external to the FDOT
 - iii. LIMS currently has 928 laboratories and field offices identified as users

Of those, 721 are external to the FDOT

 - a. Some of these are contractor facilities entering sampling and testing information for acceptance and payment
 - b. Some of these are independent consultant labs hired by a contractor to do acceptance testing
 - c. Some of these are independent consultant labs hired by the FDOT to conduct verification sampling and testing to compare with the contractor's acceptance data
 - d. A consultant lab can do both acceptance and verification testing - but not on the same project
- f. Process Mapping
- The LIMS Process Flow is located in Appendix A.
2. Assumptions and Constraints
- Adequate funding/resources for the refresh technology project is the only real constraint to successfully implementing a solution.

C. Proposed Business Process Requirements

1. Proposed Business Process

Since this budget issue only requests funding necessary to replace outdated technology while retaining existing functionality, the proposed business process will remain the same as the current business process.

2. Business Solution Alternatives

The Department conducted an extensive study to determine the feasibility of using an off-the-shelf product as a replacement for the outdated LIMS technology. Since this project is a technology refresh only, the current business requirements, including all federal, state, and department mandates were the basis for study's scope. The best potential fit for a replacement off-the-shelf product is a product already in use by the Department that has a materials component. Requirements were identified by the State Materials Office and categorized as mandatory ("showstoppers" if not provided) vs. preferences. The product vendor conducted an on-sight workshop with State Materials experts where FDOT data and processes were tested as a "proof of concept" within their product. The outcome of the proof of concept was the inability to meet LIMS requirements (neither directly nor with workarounds). A fully functioning LIMS that provides the current capabilities must be provided in order to continue current operations.

3. Rationale for Selection

Due to Florida's unique CQC method of construction project acceptance, stringent state and federal requirements in regard to sampling and testing, and our high degree of privatization for this function, the study concluded that the effort required to customize an off-the-shelf product to fit our needs would cost more and provide less flexibility than replacing the as-is functionality with updated technology. The State Materials Office, in conjunction with the Office of Information Systems, concluded that the best and most economical solution is to outsource a project to replace the current LIMS with an upgraded product using FDOT standard technology and fitting Florida's unique functional needs.

III. Schedule IV-B Cost Benefit Analysis

A. The Cost-Benefit Analysis Forms

The Benefits Realization Table is located in Appendix B.

This budget issue requests funding for a “technology refresh” project which will replace current LIMS functionality with a viable technology solution. No significant additional functionality is planned, so no improvement to services is anticipated.

B. CBA Forms

Cost-Benefit Forms are located in Appendix C.

C. Cost-Benefit Analysis Results - The Cost-Benefit analysis did not identify savings due to the nature of this project. Since this budget issue replaces as-is functionality of a mission critical system with an upgrade to the technology only, the benefit is our ability to continue current operations, including our ability to comply with federal mandates required to be eligible for federal funding and continue to sustain current construction capacity for our planned \$15 billion work program.

IV. Major Project Risk Assessment Component

A. Risk Assessment Tool

The risk assessment completed for this feasibility study indicates the overall project risk is medium.

The Project Risk Tool and Summary Charts are included in Appendix D.

B. Risk Assessment Summary

The main risks associated with this project are all medium exposure and are linked to the fact that this project is a technology refresh of a large and complex application.

- 1) External visibility of the proposed system is of moderate external use, however because this is a technology refresh the system visibility is not anticipated to change from that of the current system.
- 2) Fiscal risk assessment identified there is “no payback” as this technology refresh will provide the same level of services currently utilized by the Department and external stakeholders.
- 3) In an effort to reduce the duration of the project schedule the expected project team size is estimated to be between 9 to 15 members.

Although the overall project risk is medium, without the requested technology refresh and in the absence of the LIMS application, the Department would not be able to meet federal mandates required to remain eligible to receive federal transportation funds. In addition, it would be unable to guarantee the quality of materials and workmanship incorporated into its construction projects.

The assumed risks are higher to the Department and stakeholders if the technology refresh is not provided and the LIMS application is allowed to reach end of service life.

V. Technology Planning Component

Technology Planning Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Current Information Technology Environment		X	X	X
Proposed Solution Description	X	X	X	X
Capacity Planning	X	X	X	X
Analysis of Alternatives	X	X	X	X

A. Current Information Technology Environment

Total number of users and user types:

Total number of users listed as active as of 8/24/2011 = 4296 of which 107 would be classified as casual users with read only access, 4099 have access to enter and update data and 90 are power users. Of the 4099 current users, over 3000 are external to the Department.

The number and percent of transactions handled by the current system:

The LIMS Oracle DB used by the LIMS application accounts for approximately 33Gb of the disk space used by the Department's Oracle applications. This is approximately 12% of the total storage used by the Department's Production Oracle databases. The LIMS application accounts for approximately 37 million online database calls/transactions per month. This is approximately 5% of the total monthly transactions processed by the Department's Production Oracle databases. The LIMS online transactions are CPU resource intensive and currently consume more CPU time than any enterprise application's Production Oracle transactions.

Requirements for public access, security, privacy, and confidentiality:

LIMS users follow established Department access procedures for computer security, and access to Department resources through the FDOT Automated Computer Security Access Request (AARF) system.

Hardware characteristics:

Production LIMS 9.3 App server -Windows 2003 Standard Edition SP2, VMware ESX 4.0 guest with 1vCPU, 512MB memory, 23GB C Drive. Oracle 9.2.0.4 client, Oracle6i Forms and Reports client, connecting to Oracle 9.2.04 database.

Software characteristics:

The LIMS application uses a combination of procedural and object-oriented languages. The programming languages and the estimated percent of code developed by each are; 50% FORTRAN, 15% PowerBuilder, 10% C++ and 25% PL/SQL. The application provides both GUI and batch programs and is able to address real-time transactions using embedded programs to address specific functions (programming language LIL is used for the embedded programs). Much of the core software used in the LIMS application is obsolete by industry standards and cannot be certified by the vendor for the needed hardware upgrades. This is the heart of the problem: the core LIMS code will not run on anything beyond Windows 2003. If the server's operating system cannot be upgraded, there are risks in regard to security patches or other mandatory server changes that could result in an unrecoverable LIMS code failure. Due to the uncertainty of this precarious situation, it cannot be predicted when LIMS will fail, only that the loss of the system will have devastating impacts on the processes depending on it.

Existing system or process documentation:

The existing System Diagram is located in Appendix E.

The Functional Process is located in Appendix F.

The LIMS Process Flow is located in Appendix A.

Internal and external interfaces:

LIMS receives and loads data from several interfaces. Pay Item information is received from the Project Estimating/Letting & Award Systems (PES/LAS), Construction Contracts and Estimates from the Department's Construction Contract Administration System (SiteManager), and Local Agency Program (LAP) Contracts from Work Program.

Consistency with the agency's software standards and hardware platforms:

The application and database exists within the Department's enterprise data processing environment. Because of this, the LIMS application runs on the same hardware as the Department's other enterprise applications.

Scalability to meet long-term system and network requirements:

Due to application code constraints, the LIMS application is not scalable to meet anticipate future enhancements.

B. Proposed Solution Description

The solution is a technology refresh of the current LIMS application. The anticipated requirements including availability, capacity, reliability and the operational recovery of the system will remain the same.

C. Capacity Planning

The requested technology refresh will not impact the current capacity. The component parts of the IT infrastructure currently utilized by LIMS will remain the same. No anticipated capacity change.

A non-technical, management summary of the issues:

This issue requests budget for a mandatory technology refresh to replace the Department's current LIMS, which is no longer viable from a technology perspective. LIMS is a mission critical business application that supports the Department's responsibility to ensure the quality of materials and workmanship for all construction projects through materials sampling and testing. The Department is dependent on the capability provided by LIMS to manage all the processes related to materials quality compliance and project acceptance. As a result, LIMS is mission critical for many reasons, including: 1) in order to be eligible for federal transportation funding, FDOT must have an approved construction project quality assurance and acceptance certification program; 2) Florida's 5 Year Work Program (2012 - 2016) anticipates \$15 billion in construction spending, \$7.2 billion of which is federal funding; 3) accountability - confirmation that materials and workmanship meet contractual specifications for payments; 4) electronic processing streamlines turnaround for test results which allows construction projects to progress efficiently, with fewer delays which can impact project completion and payment to vendors.

The current LIMS application provides functionality to support all the required business processes for this mission critical area. Over the last decade, the opportunities afforded by technology via LIMS has allowed the Department to significantly improve its quality assurance program; enabled the Department to manage ramped up levels of construction activity as needed; and provided the opportunity to partner with the industry for 85% of our materials sampling and testing. Although LIMS still meets the Department's functional needs, the technology used to develop LIMS, almost a decade ago, is obsolete and cannot be sustained. The current vendor can no longer provide changes to LIMS when business processes change, and will not provide even the most basic support after 2015. The risk that LIMS will become unavailable technologically by 2015 (or before) is very high, jeopardizing Florida's ability to meet state and federal requirements. There are no feasible options for supporting the level of construction activity in Florida with purely manual processes, so the loss of LIMS will cause severe impacts to transportation construction capacity as it currently exists. The investment in Florida's transportation infrastructure continues to grow and is an integral part of the state's economic recovery. Any impact to the Department's delivery of its \$15 billion Work Program has potential economic repercussions.

A service summary with current and forecasted concerns:

The service provided by LIMS is defined, well understood and meeting the business needs of the Department. The current and forecasted concern is the approaching end of service life for LIMS. LIMS must be replaced before it reaches the end of its service life (2015 or before) to ensure the FDOT's continued successful management of its federally required and approved construction project quality assurance and acceptance certification program.

The original LIMS took several years to develop, build and implement. A replacement will take approximately 3 years. This puts us now close to the point of insufficient time to fully replace LIMS functionality before it reaches the end of its service life.

D. Analysis of Alternatives

The Department conducted an extensive study to determine the feasibility of using an off-the-shelf product as a replacement for the outdated LIMS technology. Since this project is a technology refresh only, the current business requirements, including all federal, state, and department mandates were the basis for study's scope. The best potential fit for a replacement off-the-shelf product is a product already in use by the Department that has a materials component. Requirements were identified by the State Materials Office and categorized as mandatory ("showstoppers" if not provided) vs. preferences. The product vendor conducted a workshop with State Materials experts where FDOT data and processes were tested as a "proof of concept" within their product. The outcome of the proof of concept was the inability to meet LIMS requirements (neither directly nor with workarounds). A fully functioning LIMS that provides the current capabilities must be provided in order to continue current operations.

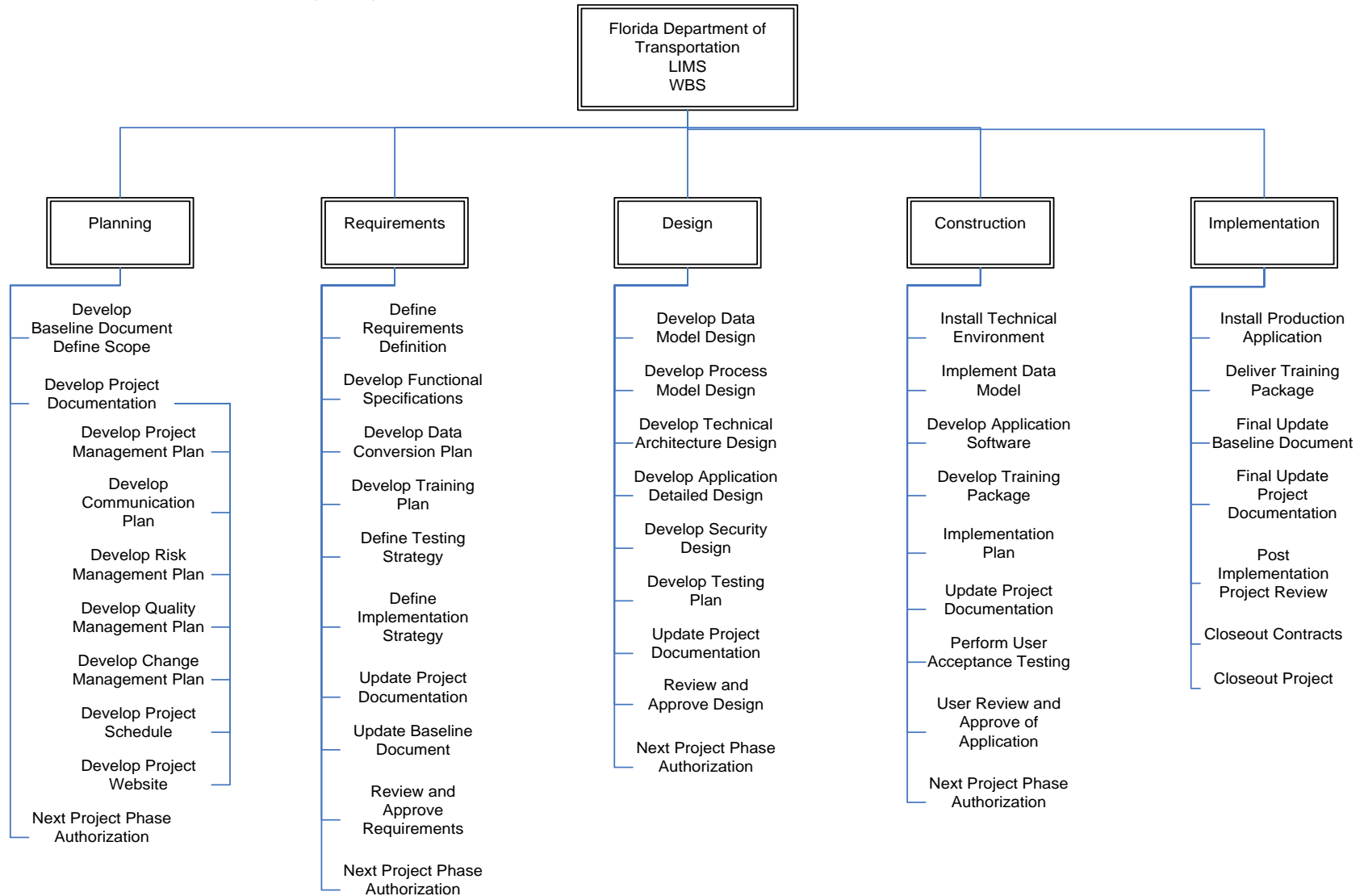
VI. Project Management Planning Component

Project Management Section	\$1-1.99 M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Project Charter	X	X	X	X
Work Breakdown Structure	X	X	X	X
Project Schedule	X	X	X	X
Project Budget	X	X	X	X
Project Organization			X	X
Project Quality Control			X	X
External Project Oversight			X	X
Risk Management			X	X
Organizational Change Management			X	X
Project Communication			X	X
Special Authorization Requirements			X	X

A. Project Charter

Prior to beginning of each initiative, a project baseline document is developed to define the project scope of work, project team, preliminary schedule, assumptions and constraints. The baseline document is approved by State Material Office and the Office of Information Systems. The baseline document serves as the project charter.

B. Work Breakdown Structure (WBS)



C. Resource Loaded Project Schedule

i		Task Name	Duration	Work	Start	Finish	Jul 29, '12													
							W	T	F	S	S	M	T	W	T	F	S			
1		FDOT Laboratory Information Management System(LIMS)	37.7 mons	25,000 hrs	Wed 8/1/12	Mon 6/22/15	[Gantt bars for LIMS project]													
2		Planning	1.5 mons	240 hrs	Wed 8/1/12	Tue 9/11/12	[Gantt bars for Planning phase]													
3		Define Scope (Baseline Document)	3 wks	120 hrs	Wed 8/1/12	Tue 8/21/12	[Gantt bar for Define Scope]													
4		Develop Project management Plan	3 wks	120 hrs	Wed 8/22/12	Tue 9/11/12	[Gantt bar for Develop Project management Plan]													
5		Requirements	8.2 mons	6,200 hrs	Wed 9/12/12	Mon 4/29/13	[Gantt bars for Requirements phase]													
6		Develop requirement	8.2 mons	6,200 hrs	Wed 9/12/12	Mon 4/29/13	[Gantt bar for Develop requirement]													
7		Design	11 mons	6,000 hrs	Tue 4/30/13	Mon 3/3/14	[Gantt bars for Design phase]													
8		Design Application Architecture	3 mons	2,000 hrs	Tue 4/30/13	Mon 7/22/13	[Gantt bar for Design Application Architecture]													
9		Develop Technical Specifications	8 mons	4,000 hrs	Tue 7/23/13	Mon 3/3/14	[Gantt bar for Develop Technical Specifications]													
10		Construction	11 mons	12,320 hrs	Tue 3/4/14	Mon 1/5/15	[Gantt bars for Construction phase]													
11		Code & Unit Test	7 mons	10,036 hrs	Tue 3/4/14	Mon 9/15/14	[Gantt bar for Code & Unit Test]													
12		Integration Testing	2 mons	1,243 hrs	Tue 9/16/14	Mon 11/10/14	[Gantt bar for Integration Testing]													
13		User Acceptance Testing	2 mons	1,041 hrs	Tue 11/11/14	Mon 1/5/15	[Gantt bar for User Acceptance Testing]													
14		Implementation	6 mons	240 hrs	Tue 1/6/15	Mon 6/22/15	[Gantt bars for Implementation phase]													
15		Production	1 mon	60 hrs	Tue 1/6/15	Mon 2/2/15	[Gantt bar for Production]													
16		Post implementation/Transition Support	5 mons	180 hrs	Tue 2/3/15	Mon 6/22/15	[Gantt bar for Post implementation/Transition Support]													

D. Project Budget

	FY 2013 Q1 Planned	FY 2013 Q2 Planned	FY 2013 Q3 Planned	FY 2013 Q4 Planned	FY 2014 Q1 Planned	FY 2014 Q2 Planned	FY 2014 Q3 Planned	FY 2014 Q4 Planned	FY 2015 Q1 Planned	FY 2015 Q2 Planned	FY 2015 Q3 Planned	FY 2015 Q4 Planned	
Project Manager - Sr.	\$ 33,600	\$ 28,000	\$ 16,800	\$ 16,800	\$ 16,800	\$ 16,800	\$ 14,000	\$ 8,400	\$ 11,200	\$ 16,800	\$ 11,200	\$ 5,600	
Business Analyst 1 - expert	\$ -	\$ 40,800	\$ 40,800	\$ 27,200	\$ 20,400	\$ 20,400	\$ 17,000	\$ 10,200	\$ 10,200	\$ 10,200	\$ -	\$ -	
Business Analyst 2 - expert	\$ -	\$ 40,800	\$ 40,800	\$ 27,200	\$ 20,400	\$ 20,400	\$ 17,000	\$ 10,200	\$ 10,200	\$ 10,200	\$ -	\$ -	
Business Analyst 3 - expert	\$ -	\$ 40,800	\$ 40,800	\$ 27,200	\$ 20,400	\$ 20,400	\$ 17,000	\$ 10,200	\$ 10,200	\$ 10,200	\$ -	\$ -	
Business Analyst 4 - expert	\$ -	\$ 40,800	\$ 40,800	\$ 27,200	\$ 20,400	\$ 20,400	\$ 17,000	\$ 10,200	\$ 10,200	\$ 10,200	\$ -	\$ -	
Data Modeler - advanced	\$ -	\$ 57,600	\$ 57,600	\$ 38,400	\$ 28,800	\$ 28,800	\$ 24,000	\$ 14,400	\$ 14,400	\$ 14,400	\$ -	\$ -	
Applications Architect - expert	\$ -	\$ -	\$ -	\$ 38,400	\$ 57,600	\$ 57,600	\$ 48,000	\$ 28,800	\$ 28,800	\$ 28,800	\$ -	\$ -	
Web Applications Programmer 1 - advanced	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,200	\$ 45,600	\$ 45,600	\$ 34,200	\$ 7,600	\$ 3,800	
Web Applications Programmer 2 - advanced	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,200	\$ 45,600	\$ 45,600	\$ 45,600	\$ -	\$ -	
Web Applications Programmer 3 - advanced	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,200	\$ 45,600	\$ 45,600	\$ 45,600	\$ -	\$ -	
Web Applications Programmer 4 - advanced	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,200	\$ 45,600	\$ 45,600	\$ 45,600	\$ -	\$ -	
Web Applications Programmer 5 - advanced	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,200	\$ 45,600	\$ 45,600	\$ 45,600	\$ -	\$ -	
Web Applications Programmer 6 - advanced	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,200	\$ 45,600	\$ 45,600	\$ 45,600	\$ -	\$ -	
Quarterly Budget Cost	\$ 33,600	\$ 248,800	\$ 237,600	\$ 202,400	\$ 184,800	\$ 184,800	\$ 245,200	\$ 366,000	\$ 368,800	\$ 363,000	\$ 18,800	\$ 9,400	
Annual Budget Cost			FY 2013	\$ 722,400			FY 2014	\$ 980,800			FY 2015	\$ 760,000	\$ 2,463,200

VII. Appendices

Appendix A - LIMS Process Flow

Appendix B - Benefits Realization Table

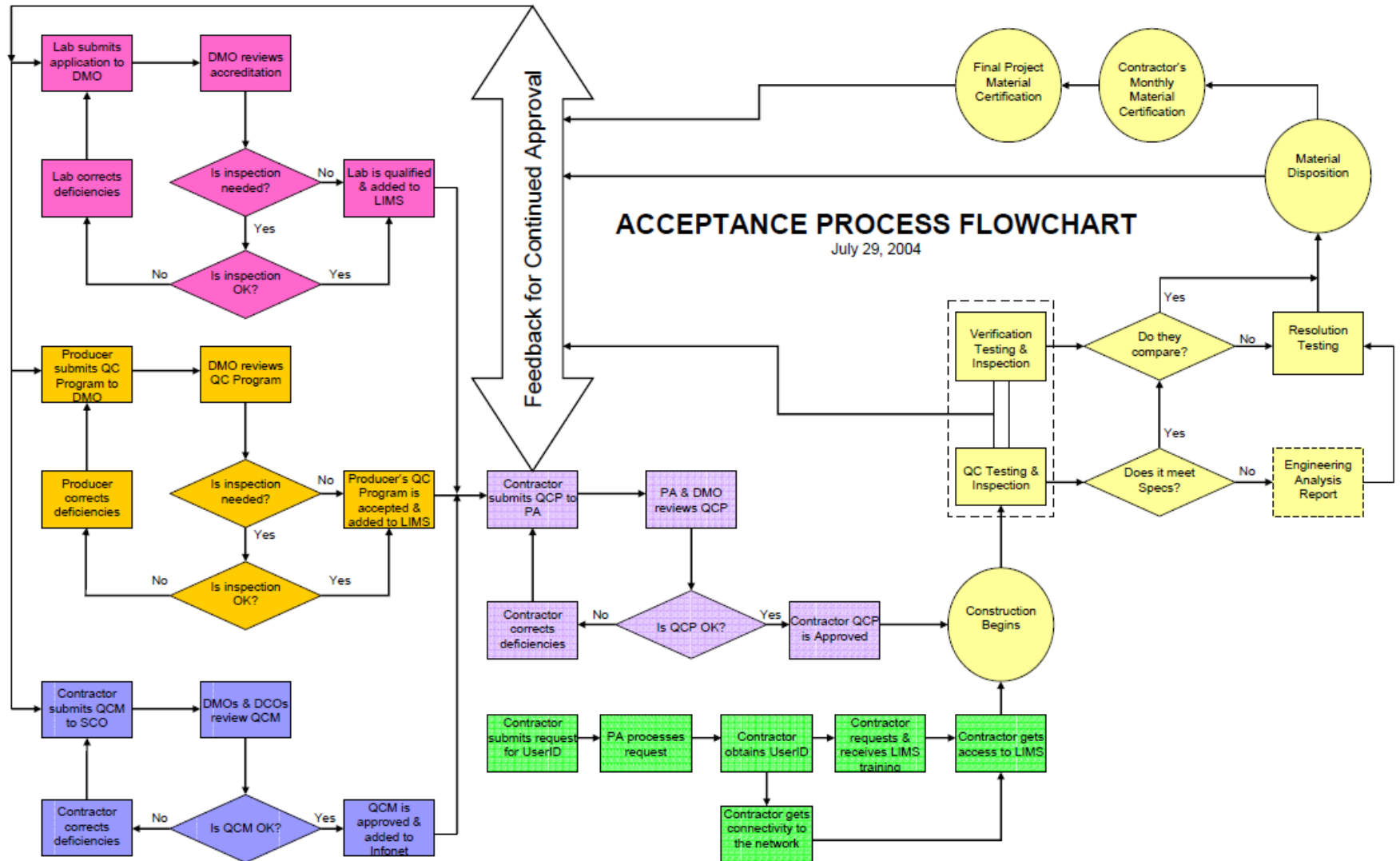
Appendix C - Cost Benefit Analysis (CBA) Forms

Appendix D - Project Risk Assessment Summary

Appendix E - System Diagram

Appendix F - Functional Process

Appendix A - LIMS Process Flow



Appendix B - Benefits Realization Table

BENEFITS REALIZATION TABLE						
	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1	Continued ability to meet federal requirements to be eligible to receive federal funding.	Tangible and Intangible	FDOT, FHWA, Local City, County and Municipal Agencies, Industry	Continued receipt of current levels of federal funding.	Compliance with federal laws and mandates. Compliance with current Department Specifications	6/2015
2	Ability to sustain current and growing capacity of construction work in Florida	Tangible and Intangible	FDOT, Industry, citizens, travelling public	Sustain quality, assurance that the materials and workmanship contracted are what is received.	Avoidance of project delays, impacts to construction industry/economy, etc	6/2015

Appendix C – Cost Benefit Analysis (CBA) Forms

CBA Form 1 - Net Tangible Benefits

Agency Transportation

Project LIMS

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBA Form 1A															
Agency (Operations Only -- No Project Costs)	FY 2012-13			FY 2013-14			FY 2014-15			FY 2015-16			FY 2016-17		
	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	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	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$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	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
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 <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible		\$0			\$0			\$0			\$0			\$0	
F-1. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	

CBAForm 2 - Project Cost Analysis

Agency	<u>Transportation</u>	Project	<u>LIMS</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$722,400	\$992,000	\$748,800	\$0	\$0	\$2,463,200
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$0	\$0	\$0	\$0	\$0	\$0
Misc. Equipment <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$722,400	\$992,000	\$748,800	\$0	\$0	\$2,463,200
CUMULATIVE PROJECT COSTS	\$722,400	\$1,714,400	\$2,463,200	\$2,463,200	\$2,463,200	

INVESTMENT SUMMARY						TOTAL
	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$722,400	\$992,000	\$748,800	\$0	\$0	\$2,463,200
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$722,400	\$992,000	\$748,800	\$0	\$0	\$2,463,200
CUMULATIVE INVESTMENT (*)	\$722,400	\$1,714,400	\$2,463,200	\$2,463,200	\$2,463,200	

(*) 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	30%
Order of Magnitude <input type="checkbox"/>	Confidence Level	
Placeholder <input type="checkbox"/>	Confidence Level	

CBAForm 3 - Project Investment Summary

Agency Transportation Project LIMS

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	TOTAL
Project Cost	\$722,400	\$992,000	\$748,800	\$0	\$0	\$2,463,200
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$722,400)	(\$992,000)	(\$748,800)	\$0	\$0	(\$2,463,200)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$2,271,268)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17
Cost of Capital	2.87%	4.17%	4.57%	5.14%	5.30%

Appendix D – Project Risk Assessment Summary

RAForm 1 / Project Assessment

Project	<i>Laboratory Information Management System (LIMS)</i>	
Agency	<i>Florida Department of Transportation (FDOT)</i>	
FY 2012-13 LBR Issue Code:	FY 2012-13 LBR Issue Title:	
<i>36250C0</i>	<i>Construction Materials Acceptance Cert.</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Vicki Bradford, 850-410-5454, vicki.bradford@dot.state.fl.us</i>		
Executive Sponsor	<i>Brian Blanchard</i>	
Project Manager		
Prepared By	<i>Lani Nash</i>	<i>8/22/2011</i>
Risk Assessment Summary		
Business Strategy	<div style="display: flex; justify-content: space-between;"> Most Aligned Least Risk </div>	
	<div style="display: flex; justify-content: space-between;"> Least Aligned Most Risk </div>	
Level of Project Risk		
Project Risk Area Breakdown		
Risk Assessment Areas		<i>Risk Exposure</i>
Strategic Assessment		MEDIUM
Technology Exposure Assessment		LOW
Organizational Change Management Assessment		LOW
Communication Assessment		LOW
Fiscal Assessment		MEDIUM
Project Organization Assessment		LOW
Project Management Assessment		LOW
Project Complexity Assessment		MEDIUM
<i>Overall Project Risk</i>		MEDIUM

Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

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	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	All or nearly all
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Moderate external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

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	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant 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: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

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	Yes
		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 similar change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

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

Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

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 \$2 M and \$10 M
		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	No
		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	Not applicable
		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	All or nearly all project benefits have been identified and 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	No payback
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	

Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
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	
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 and proof of concept or prototype planned/used to select best qualified vendor
		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: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

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	System Integrator (contractor)
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated full-time to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% 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	Yes, business, functional or technical experts dedicated full-time, 100% 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	Few or no staff from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	

Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
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: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

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	All or nearly all 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	

Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

Section 7 -- Project Management Area			
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	Yes
		No	
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting
		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	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		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	

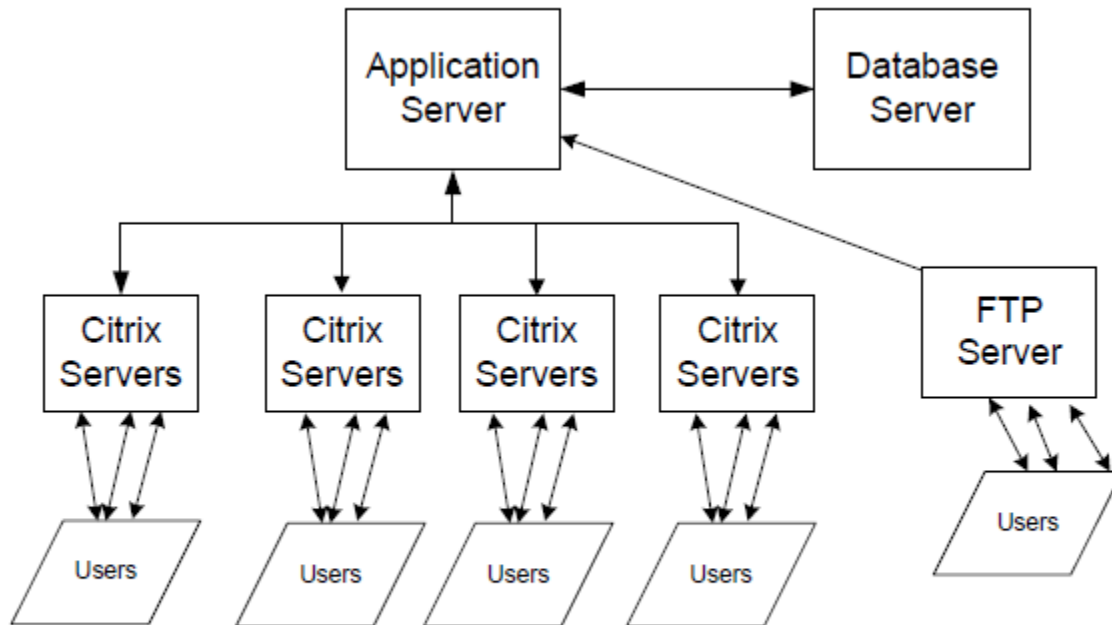
Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

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	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	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	9 to 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	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	Implementation requiring software development or purchasing commercial off the shelf (COTS) software
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	

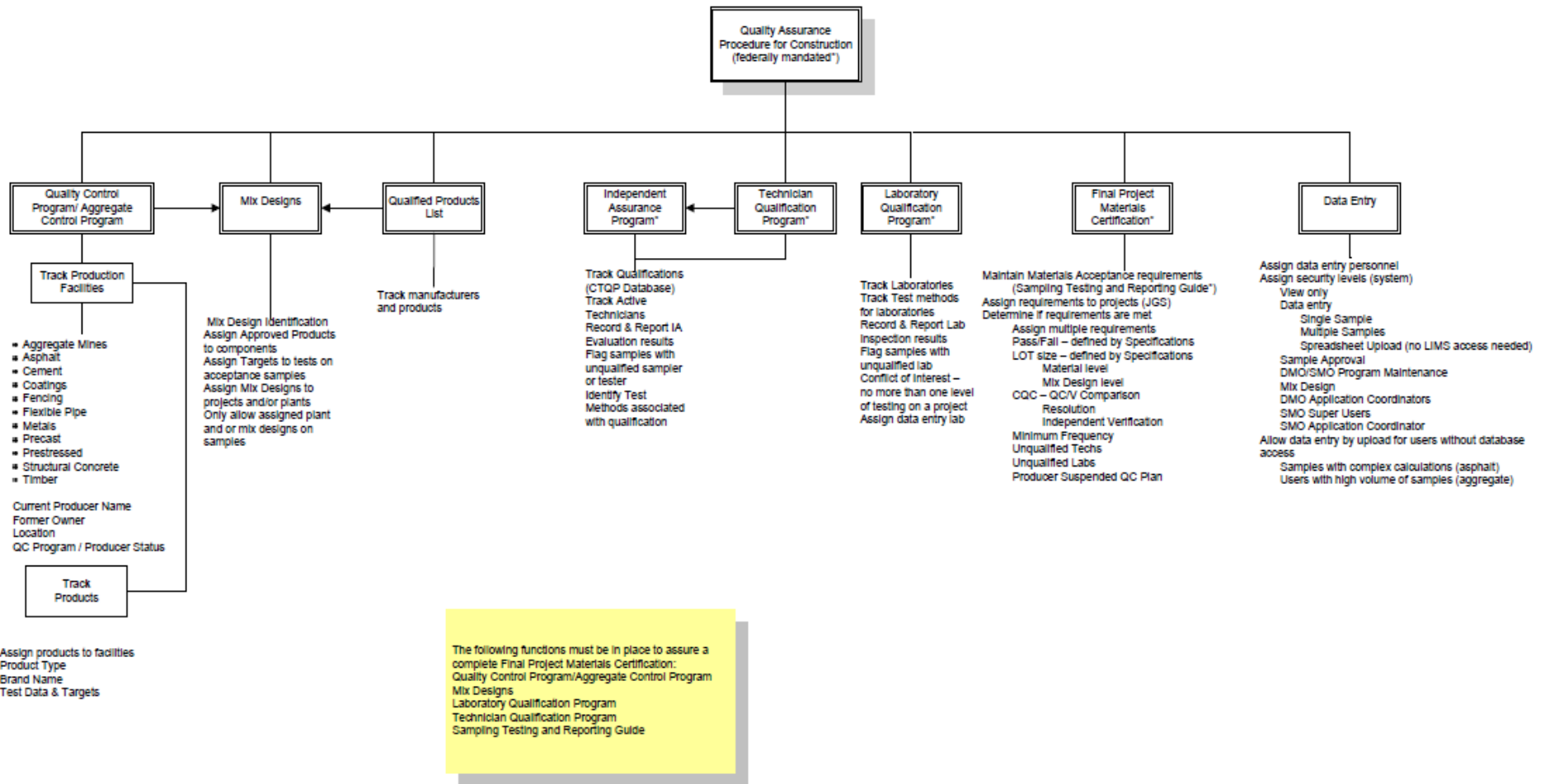
Agency: Department of Transportation (DOT) Project: Laboratory Information Management System (LIMS)

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar 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 E - System Diagram



Appendix F - Functional Process



TRUTH IN BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: The state-funded State Infrastructure Bank as authorized by Section 339.55, Florida Statutes.
2. The source of repayment of the debt or obligation: Repayment Stream of the loan portfolio of the state-funded State Infrastructure Bank.
3. The principle amount of the debt or obligation: \$55,470,000
4. The interest rate on the debt or obligation (per EEC): 6.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation as determined by the Governing board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance.

<u>Underwriters Discount</u>	<u>\$443,760</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$81,000</u>
<u>Deposit into DSR Account</u>	<u>\$4,870,750</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$55,470,000 of debt or obligation for the purpose of the state-funded State Infrastructure Bank as authorized by Section 339.55, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 20 years. At a forecasted interest rate of 6.000%, total interest paid over the life of the debt or obligation will be \$39,376,800.

The proposed issuance date is 1/01/12.

Dated: 1/1/2012
 Delivered: 1/21/2012

Construction Draws for
 SBA-FDOT
 SIB 2012A

Draw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Draw Requirement	Net Debt Service	Ending Balance
<i>SIB 2012 A SIB 2012 A yielding 6.0000000% : Net-Funded</i>									
0	01/21/12		DEPOSIT						49,999,994.04
1	01/21/12	0/0	DRAWS				50,000,000.00	50,000,000.00	-5.96
Totals For SIB 2012 A				0.00	0.00	0.00	50,000,000.00	50,000,000.00	
Prior Project Costs:			0.00						
Grand Totals For All Projects:					0.00	50,000,000.00	50,000,000.00	0.00	
Total Prior Costs:			0.00						

Dated: 1/1/2012
 Delivered: 1/21/2012

Sizing Debt Service Schedule
 SBA-FDOT
 SIB 2012A

Rpt 14

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRcv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
1	7/1/12	N	6.000	775,000.00	1,664,100.00	2,439,100.00		129,672.56		2,309,427.44	2,309,427.44
1	1/1/13	N	6.000	790,000.00	1,640,850.00	2,430,850.00		146,122.50		2,284,727.50	
1	7/1/13	N	6.000	815,000.00	1,617,150.00	2,432,150.00		146,122.50		2,286,027.50	4,570,755.00
1	1/1/14	N	6.000	840,000.00	1,592,700.00	2,432,700.00		146,122.50		2,286,577.50	
1	7/1/14	N	6.000	865,000.00	1,567,500.00	2,432,500.00		146,122.50		2,286,377.50	4,572,955.00
1	1/1/15	N	6.000	890,000.00	1,541,550.00	2,431,550.00		146,122.50		2,285,427.50	
1	7/1/15	N	6.000	915,000.00	1,514,850.00	2,429,850.00		146,122.50		2,283,727.50	4,569,155.00
1	1/1/16	N	6.000	945,000.00	1,487,400.00	2,432,400.00		146,122.50		2,286,277.50	
1	7/1/16	N	6.000	975,000.00	1,459,050.00	2,434,050.00		146,122.50		2,287,927.50	4,574,205.00
1	1/1/17	N	6.000	1,000,000.00	1,429,800.00	2,429,800.00		146,122.50		2,283,677.50	
1	7/1/17	N	6.000	1,030,000.00	1,399,800.00	2,429,800.00		146,122.50		2,283,677.50	4,567,355.00
1	1/1/18	N	6.000	1,065,000.00	1,368,900.00	2,433,900.00		146,122.50		2,287,777.50	
1	7/1/18	N	6.000	1,095,000.00	1,336,950.00	2,431,950.00		146,122.50		2,285,827.50	4,573,605.00
1	1/1/19	N	6.000	1,130,000.00	1,304,100.00	2,434,100.00		146,122.50		2,287,977.50	
1	7/1/19	N	6.000	1,160,000.00	1,270,200.00	2,430,200.00		146,122.50		2,284,077.50	4,572,055.00
2	1/1/20	N	6.000	1,195,000.00	1,235,400.00	2,430,400.00		146,122.50		2,284,277.50	
2	7/1/20	N	6.000	1,230,000.00	1,199,550.00	2,429,550.00		146,122.50		2,283,427.50	4,567,705.00
2	1/1/21	N	6.000	1,270,000.00	1,162,650.00	2,432,650.00		146,122.50		2,286,527.50	
2	7/1/21	N	6.000	1,305,000.00	1,124,550.00	2,429,550.00		146,122.50		2,283,427.50	4,569,955.00
2	1/1/22	N	6.000	1,345,000.00	1,085,400.00	2,430,400.00		146,122.50		2,284,277.50	
2	7/1/22	N	6.000	1,385,000.00	1,045,050.00	2,430,050.00		146,122.50		2,283,927.50	4,568,205.00
2	1/1/23	N	6.000	1,430,000.00	1,003,500.00	2,433,500.00		146,122.50		2,287,377.50	
2	7/1/23	N	6.000	1,470,000.00	960,600.00	2,430,600.00		146,122.50		2,284,477.50	4,571,855.00
2	1/1/24	N	6.000	1,515,000.00	916,500.00	2,431,500.00		146,122.50		2,285,377.50	
2	7/1/24	N	6.000	1,560,000.00	871,050.00	2,431,050.00		146,122.50		2,284,927.50	4,570,305.00
2	1/1/25	N	6.000	1,610,000.00	824,250.00	2,434,250.00		146,122.50		2,288,127.50	
2	7/1/25	N	6.000	1,655,000.00	775,950.00	2,430,950.00		146,122.50		2,284,827.50	4,572,955.00
2	1/1/26	N	6.000	1,705,000.00	726,300.00	2,431,300.00		146,122.50		2,285,177.50	
2	7/1/26	N	6.000	1,755,000.00	675,150.00	2,430,150.00		146,122.50		2,284,027.50	4,569,205.00
2	1/1/27	N	6.000	1,810,000.00	622,500.00	2,432,500.00		146,122.50		2,286,377.50	
2	7/1/27	N	6.000	1,865,000.00	568,200.00	2,433,200.00		146,122.50		2,287,077.50	4,573,455.00
2	1/1/28	N	6.000	1,920,000.00	512,250.00	2,432,250.00		146,122.50		2,286,127.50	
2	7/1/28	N	6.000	1,975,000.00	454,650.00	2,429,650.00		146,122.50		2,283,527.50	4,569,655.00
2	1/1/29	N	6.000	2,035,000.00	395,400.00	2,430,400.00		146,122.50		2,284,277.50	
2	7/1/29	N	6.000	2,100,000.00	334,350.00	2,434,350.00		146,122.50		2,288,227.50	4,572,505.00
3	1/1/30	N	6.000	2,160,000.00	271,350.00	2,431,350.00		146,122.50		2,285,227.50	
3	7/1/30	N	6.000	2,225,000.00	206,550.00	2,431,550.00		146,122.50		2,285,427.50	4,570,655.00
3	1/1/31	N	6.000	2,295,000.00	139,800.00	2,434,800.00		146,122.50		2,288,677.50	
3	7/1/31	N	6.000	2,365,000.00	70,950.00	2,435,950.00		5,016,872.50		-2,580,922.50	-292,245.00
				55,470,000.00	39,376,800.00	94,846,800.00	0.00	10,553,077.56	0.00	84,293,722.44	84,293,722.44
Trunc Interest Cost (TIC)						6.1012923	Arbitrage Yield Limit (AYL)			5.9994479	
Net Interest Cost (NIC)						6.0676114	Arbitrage Net Interest Cost (ANIC)			6.0000000	

Prepared by: FDOT
 Prepared on: 7/25/2011 16:27 14.60

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 SIB-2012-A

Dated: 1/1/2012
Delivered: 1/21/2012

Summary of Sizing Inputs
SBA-FDOT
SIB 2012A

Rpt 17a

General Information

Denomination: 5000.
Rate scale: 6%
Issue type: REVENUE
Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

Dates

01/01/2012-> Dated (bond issue) date
01/21/2012-> Delivery date
07/01/2012-> 1st coupon date
07/01/2012-> First principal payment
07/01/2031-> Last maturity date
No CABS in bond issue

Gross Construction Costs

Total project costs	50,000,000.00
Total prior costs	
Less: interest earned & applied to project draws	-5.96
Net total project costs:	49,999,994.04
Total number of projects = 1	

Restricted Accounts

DSR rule: Maximum yearly debt service	
No capitalized interest	
Restricted yield = 6.000000%	
Net deposit to Debt Service Reserve Fund	4,870,750.00
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-443,760.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	156,000.00

Dated: 1/1/2012
 Delivered: 1/21/2012

Summary of Sizing Calculations
 SBA-FDOT
 SIB 2012A

Rpt 17b

<u>Sources of Funds</u>	
Par amount of bonds	55,470,000.00
Original Issue Premium	
Accrued Interest	184,900.00
<u>Construction Costs</u>	
Costs to complete construction	50,000,000.00
Less: interest earned in fund & applied to project draws	-5.96
Prior costs to be paid from bond proceeds	
Gross Construction Costs	49,999,994.04
<u>Restricted Funds</u>	
Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 6.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	4,870,750.00
Net deposit to Contingency Fund	
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-443,760.00
Bond insurance: 0.000%	
Other issuance costs	156,000.00
Rounding due to denomination size	-504.04
<u>Calculations</u>	
Net Interest Cost (NIC)	6.0676114
True Interest Cost (TIC)	6.1012923
All-Inclusive TIC:	6.1373930
Arbitrage Net Interest Cost (NIC)	6.0000000
Arbitrage Yield Limit (AYL)	5.9994479
Total Bond Years (delivery date)	653,198,333.33
Average Bond Years (Delivery date)	11.78
Level debt service calculation	2,431,663.88

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	4,961,606	6,027,556	7,246,356
Principal (B)	8,265,000	11,975,000	11,560,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	10,004	14,725	13,527
Other Debt Service (E)	0	0	0
Total Debt Service (F)	13,236,610	18,017,281	18,819,883

Explanation:

**Combined total debt service for outstanding State Infrastructure Bank bonds
and proposed bonds to be issued**

***Note: Does not include interest credited from Debt Service Reserve Account.**

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		ACTUAL	ESTIMATED	REQUEST
		FY 2010-2011	FY 2011-2012	FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	4,961,606	4,548,356	3,988,356
Principal (B)	8,265,000	11,200,000	9,955,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	10,004	9,178	8,058
Other Debt Service (E)	0	0	0
Total Debt Service (F)	13,236,610	15,757,534	13,951,414

Explanation: Total debt service for outstanding State Infrastructure Bank bonds.

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	0	1,479,200	3,258,000
Principal (B)	0	775,000	1,605,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	5,547	5,470
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	2,259,747	4,868,470

Explanation:

Total debt service for proposed State Infrastructure Bank bond sales as authorized by Section 339.55, Florida Statutes.

*Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) ISSUE: Proposed State Infrastructure Bank bond Sale 1/01/12 (S12A)

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
6.000%	7/1/2031	55,470,000	54,695,000	53,090,000
(7)	(8)	(9)	(8)	(9)
ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)	0	1,479,200	3,258,000	3,258,000
Principal (H)	0	775,000	1,605,000	1,605,000
Fiscal Agent or Other Fees (I)	0	5,547	5,470	5,470
Other (J)	0	0	0	0
Total Debt Service (K)	0	2,259,747	4,868,470	4,868,470

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)	0	0	0	0
Principal (H)	0	0	0	0
Fiscal Agent or Other Fees (I)	0	0	0	0
Other (J)	0	0	0	0
Total Debt Service (K)	0	0	0	0

TRUTH IN BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation Implementation of Advanced Right-of-Way Acquisition and Bridge Construction pursuant to Section 337.276, Florida Statutes.
2. The source of repayment of the debt or obligation funded from monies transferred from the State Transportation Trust Fund pursuant to Section 206.46 and 215.605, Florida Statutes.
3. The principle amount of the debt or obligation: \$101,195,000.
4. The interest rate on the debt or obligation (per EEC): 6.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation as determined by the Governing board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance.

Underwriters Discount	\$809,560
Rating Agency Fees	\$75,000
Other Costs of Issuance	\$133,000
Debt Service Reserve Insurance	\$176,000

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$101,195,000 of debt or obligation for the purpose of Right-of-Way Acquisition and Bridge Construction pursuant to Section 337.276, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 6.000%, total interest paid over the life of the debt or obligation will be \$115,878,600.

The proposed issuance date is 1/01/2012.

Dated: 1/1/2012
 Delivered: 1/21/2012

Construction Draws for
 SBA-FDOT
 ROW 2012A

Draw #	Date	Beginning Fund Balance	Transaction Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Draw Requirement	Net Debt Service	Ending Balance
ROW 2012A ROW 2012A yielding 6.0000000% : Net-Funded									
0	01/21/12		DEPOSIT						99,999,994.04
1	01/21/12	0/0	DRAWS				100,000,000.00	100,000,000.00	-5.96
Totals For ROW 2012A				0.00	0.00	0.00	100,000,000.00	100,000,000.00	
Prior Project Costs:			0.00						
Grand Totals For All Projects:					0.00	100,000,000.00	100,000,000.00	0.00	
Total Prior Costs:			0.00						

Prepared by: FDOT
 Prepared on: 8/29/2011 14:30 14.60

:Mun-EaseMainDb
 ROW-2012-A

Dated: 1/1/2012
 Delivered: 1/21/2012

Sizing Debt Service Schedule
 SBA-FDOT
 ROW 2012A

Rpt 14

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRcv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
1	7/1/12	N	6.000	645,000.00	3,035,850.00	3,680,850.00				3,680,850.00	3,680,850.00
1	1/1/13	N	6.000	660,000.00	3,016,500.00	3,676,500.00				3,676,500.00	
1	7/1/13	N	6.000	680,000.00	2,996,700.00	3,676,700.00				3,676,700.00	7,353,200.00
1	1/1/14	N	6.000	705,000.00	2,976,300.00	3,681,300.00				3,681,300.00	
1	7/1/14	N	6.000	725,000.00	2,955,150.00	3,680,150.00				3,680,150.00	7,361,450.00
1	1/1/15	N	6.000	745,000.00	2,933,400.00	3,678,400.00				3,678,400.00	
1	7/1/15	N	6.000	770,000.00	2,911,050.00	3,681,050.00				3,681,050.00	7,359,450.00
1	1/1/16	N	6.000	790,000.00	2,887,950.00	3,677,950.00				3,677,950.00	
1	7/1/16	N	6.000	815,000.00	2,864,250.00	3,679,250.00				3,679,250.00	7,357,200.00
1	1/1/17	N	6.000	840,000.00	2,839,800.00	3,679,800.00				3,679,800.00	
1	7/1/17	N	6.000	865,000.00	2,814,600.00	3,679,600.00				3,679,600.00	7,359,400.00
1	1/1/18	N	6.000	890,000.00	2,788,650.00	3,678,650.00				3,678,650.00	
1	7/1/18	N	6.000	915,000.00	2,761,950.00	3,676,950.00				3,676,950.00	7,355,600.00
1	1/1/19	N	6.000	945,000.00	2,734,500.00	3,679,500.00				3,679,500.00	
1	7/1/19	N	6.000	975,000.00	2,706,150.00	3,681,150.00				3,681,150.00	7,360,650.00
2	1/1/20	N	6.000	1,000,000.00	2,676,900.00	3,676,900.00				3,676,900.00	
2	7/1/20	N	6.000	1,030,000.00	2,646,900.00	3,676,900.00				3,676,900.00	7,353,800.00
2	1/1/21	N	6.000	1,065,000.00	2,616,000.00	3,681,000.00				3,681,000.00	
2	7/1/21	N	6.000	1,095,000.00	2,584,050.00	3,679,050.00				3,679,050.00	7,360,050.00
2	1/1/22	N	6.000	1,130,000.00	2,551,200.00	3,681,200.00				3,681,200.00	
2	7/1/22	N	6.000	1,160,000.00	2,517,300.00	3,677,300.00				3,677,300.00	7,358,500.00
2	1/1/23	N	6.000	1,195,000.00	2,482,500.00	3,677,500.00				3,677,500.00	
2	7/1/23	N	6.000	1,230,000.00	2,446,650.00	3,676,650.00				3,676,650.00	7,354,150.00
2	1/1/24	N	6.000	1,270,000.00	2,409,750.00	3,679,750.00				3,679,750.00	
2	7/1/24	N	6.000	1,305,000.00	2,371,650.00	3,676,650.00				3,676,650.00	7,356,400.00
2	1/1/25	N	6.000	1,345,000.00	2,332,500.00	3,677,500.00				3,677,500.00	
2	7/1/25	N	6.000	1,385,000.00	2,292,150.00	3,677,150.00				3,677,150.00	7,354,650.00
2	1/1/26	N	6.000	1,430,000.00	2,250,600.00	3,680,600.00				3,680,600.00	
2	7/1/26	N	6.000	1,470,000.00	2,207,700.00	3,677,700.00				3,677,700.00	7,358,300.00
2	1/1/27	N	6.000	1,515,000.00	2,163,600.00	3,678,600.00				3,678,600.00	
2	7/1/27	N	6.000	1,560,000.00	2,118,150.00	3,678,150.00				3,678,150.00	7,356,750.00
2	1/1/28	N	6.000	1,610,000.00	2,071,350.00	3,681,350.00				3,681,350.00	
2	7/1/28	N	6.000	1,655,000.00	2,023,050.00	3,678,050.00				3,678,050.00	7,359,400.00
2	1/1/29	N	6.000	1,705,000.00	1,973,400.00	3,678,400.00				3,678,400.00	
2	7/1/29	N	6.000	1,755,000.00	1,922,250.00	3,677,250.00				3,677,250.00	7,355,650.00
3	1/1/30	N	6.000	1,810,000.00	1,869,600.00	3,679,600.00				3,679,600.00	
3	7/1/30	N	6.000	1,865,000.00	1,815,300.00	3,680,300.00				3,680,300.00	7,359,900.00
3	1/1/31	N	6.000	1,920,000.00	1,759,350.00	3,679,350.00				3,679,350.00	
3	7/1/31	N	6.000	1,980,000.00	1,701,750.00	3,681,750.00				3,681,750.00	7,361,100.00
3	1/1/32	N	6.000	2,035,000.00	1,642,350.00	3,677,350.00				3,677,350.00	
3	7/1/32	N	6.000	2,100,000.00	1,581,300.00	3,681,300.00				3,681,300.00	7,358,650.00
3	1/1/33	N	6.000	2,160,000.00	1,518,300.00	3,678,300.00				3,678,300.00	
3	7/1/33	N	6.000	2,225,000.00	1,453,500.00	3,678,500.00				3,678,500.00	7,356,800.00
3	1/1/34	N	6.000	2,295,000.00	1,386,750.00	3,681,750.00				3,681,750.00	
3	7/1/34	N	6.000	2,360,000.00	1,317,900.00	3,677,900.00				3,677,900.00	7,359,650.00
3	1/1/35	N	6.000	2,430,000.00	1,247,100.00	3,677,100.00				3,677,100.00	
3	7/1/35	N	6.000	2,505,000.00	1,174,200.00	3,679,200.00				3,679,200.00	7,356,300.00
3	1/1/36	N	6.000	2,580,000.00	1,099,050.00	3,679,050.00				3,679,050.00	
3	7/1/36	N	6.000	2,660,000.00	1,021,650.00	3,681,650.00				3,681,650.00	7,360,700.00
3	1/1/37	N	6.000	2,740,000.00	941,850.00	3,681,850.00				3,681,850.00	
3	7/1/37	N	6.000	2,820,000.00	859,650.00	3,679,650.00				3,679,650.00	7,361,500.00
3	1/1/38	N	6.000	2,905,000.00	775,050.00	3,680,050.00				3,680,050.00	
3	7/1/38	N	6.000	2,990,000.00	687,900.00	3,677,900.00				3,677,900.00	7,357,950.00
3	1/1/39	N	6.000	3,080,000.00	598,200.00	3,678,200.00				3,678,200.00	
3	7/1/39	N	6.000	3,175,000.00	505,800.00	3,680,800.00				3,680,800.00	7,359,000.00
4	1/1/40	N	6.000	3,270,000.00	410,550.00	3,680,550.00				3,680,550.00	

Prepared by: FDOT
 Prepared on: 8/29/2011 14:30 14.60

:Mun-EaseMainDb
 ROW-2012-A

Dated: 1/1/2012
 Delivered: 1/21/2012

Sizing Debt Service Schedule
 SBA-FDOT
 ROW 2012A

Rpt 14

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRcv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
4	7/1/40	N	6.000	3,370,000.00	312,450.00	3,682,450.00				3,682,450.00	7,363,000.00
4	1/1/41	N	6.000	3,470,000.00	211,350.00	3,681,350.00				3,681,350.00	
4	7/1/41	N	6.000	3,575,000.00	107,250.00	3,682,250.00				3,682,250.00	7,363,600.00
				101,195,000.00	115,878,600.00	217,073,600.00	0.00	0.00	0.00	217,073,600.00	217,073,600.00
Trune Interest Cost (TIC)						6.0923460	Arbitrage Yield Limit (AYL)				6.0160479
Net Interest Cost (NIC)						6.0510306	Arbitrage Net Interest Cost (ANIC)				6.0091396

Prepared by: FDOT
 Prepared on: 8/29/2011 14:30 14.60

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 ROW-2012-A

Dated: 1/1/2012
Delivered: 1/21/2012

Summary of Sizing Inputs
SBA-FDOT
ROW 2012A

Rpt 17a

General Information

Denomination: 5000.
Rate scale: 6%
Issue type: REVENUE
Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

Dates

01/01/2012-> Dated (bond issue) date
01/21/2012-> Delivery date
07/01/2012-> 1st coupon date
07/01/2012-> First principal payment
07/01/2041-> Last maturity date
No CABS in bond issue

Gross Construction Costs

Total project costs	100,000,000.00
Total prior costs	
Less: interest earned & applied to project draws	-5.96
Net total project costs:	99,999,994.04
Total number of projects = 1	

Restricted Accounts

DSR rule: No debt service reserve fund
No capitalized interest
Restricted yield = 6.000000%
Net deposit to Debt Service Reserve Fund
Net deposit to Contingency Fund 1,445.87

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-809,560.00
Bond insurance: 0.000% (net of accrued & cap. interest)	176,000.00
Other TIC costs:	208,000.00

Dated: 1/1/2012
 Delivered: 1/21/2012

Summary of Sizing Calculations
 SBA-FDOT
 ROW 2012A

Rpt 17b

<u>Sources of Funds</u>	
Par amount of bonds	101,195,000.00
Original Issue Premium	
Accrued Interest	337,316.67
<u>Construction Costs</u>	
Costs to complete construction	100,000,000.00
Less: interest earned in fund & applied to project draws	-5.96
Prior costs to be paid from bond proceeds	
Gross Construction Costs	99,999,994.04
<u>Restricted Funds</u>	
Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 6.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	1,445.87
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-809,560.00
Bond insurance: 0.000%	176,000.00
Other issuance costs	208,000.00
<u>Calculations</u>	
Net Interest Cost (NIC)	6.0510306
True Interest Cost (TIC)	6.0923460
All-Inclusive TIC:	6.1121062
Arbitrage Net Interest Cost (NIC)	6.0091396
Arbitrage Yield Limit (AYL)	6.0160479
Total Bond Years (delivery date)	1,925,688,055.56
Average Bond Years (Delivery date)	19.03
Level debt service calculation	3,678,988.34

TRUTH IN BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation Implementation of Advanced Right-of-Way Acquisition and Bridge Construction pursuant to Section 337.276, Florida Statutes.
2. The source of repayment of the debt or obligation funded from monies transferred from the State Transportation Trust Fund pursuant to Section 206.46 and 215.605, Florida Statutes.
3. The principle amount of the debt or obligation: \$101,195,000.
4. The interest rate on the debt or obligation (per EEC): 6.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation as determined by the Governing board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance.

Underwriters Discount	\$809,560
Rating Agency Fees	\$75,000
Other Costs of Issuance	\$133,000
Debt Service Reserve Insurance	\$176,000

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$101,195,000 of debt or obligation for the purpose of Right-of-Way Acquisition and Bridge Construction pursuant to Section 337.276, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 6.000%, total interest paid over the life of the debt or obligation will be \$119,353,200.

The proposed issuance date is 7/01/2012.

Dated: 7/1/2012
 Delivered: 7/21/2012

Construction Draws for
 SBA-FDOT
 ROW 2012B

Draw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Draw Requirement	Net Debt Service	Ending Balance
ROW 2012B ROW 2012B yielding 5.5000000% : Net-Funded									
0	07/21/12		DEPOSIT						99,999,994.04
1	07/21/12	0/0	DRAWS				100,000,000.00	100,000,000.00	-5.96
Totals For ROW 2012B				0.00	0.00	0.00	100,000,000.00	100,000,000.00	
Prior Project Costs:			0.00						
Grand Totals For All Projects:					0.00	100,000,000.00	100,000,000.00	0.00	
Total Prior Costs:			0.00						

Prepared by: FDOT
 Prepared on: 8/2/2011 8:43 14.60

:Mun-EaseMainDb
 ROW-2012-B

Dated: 7/1/2012
 Delivered: 7/21/2012

Sizing Debt Service Schedule
 SBA-FDOT
 ROW 2012B

Rpt 14

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRcv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
1	1/1/13				3,035,850.00	3,035,850.00				3,035,850.00	
1	7/1/13	N	6.000	1,280,000.00	3,035,850.00	4,315,850.00				4,315,850.00	7,351,700.00
1	1/1/14				2,997,450.00	2,997,450.00				2,997,450.00	
1	7/1/14	N	6.000	1,355,000.00	2,997,450.00	4,352,450.00				4,352,450.00	7,349,900.00
1	1/1/15				2,956,800.00	2,956,800.00				2,956,800.00	
1	7/1/15	N	6.000	1,440,000.00	2,956,800.00	4,396,800.00				4,396,800.00	7,353,600.00
1	1/1/16				2,913,600.00	2,913,600.00				2,913,600.00	
1	7/1/16	N	6.000	1,525,000.00	2,913,600.00	4,438,600.00				4,438,600.00	7,352,200.00
1	1/1/17				2,867,850.00	2,867,850.00				2,867,850.00	
1	7/1/17	N	6.000	1,615,000.00	2,867,850.00	4,482,850.00				4,482,850.00	7,350,700.00
1	1/1/18				2,819,400.00	2,819,400.00				2,819,400.00	
1	7/1/18	N	6.000	1,715,000.00	2,819,400.00	4,534,400.00				4,534,400.00	7,353,800.00
1	1/1/19				2,767,950.00	2,767,950.00				2,767,950.00	
1	7/1/19	N	6.000	1,815,000.00	2,767,950.00	4,582,950.00				4,582,950.00	7,350,900.00
2	1/1/20				2,713,500.00	2,713,500.00				2,713,500.00	
2	7/1/20	N	6.000	1,925,000.00	2,713,500.00	4,638,500.00				4,638,500.00	7,352,000.00
2	1/1/21				2,655,750.00	2,655,750.00				2,655,750.00	
2	7/1/21	N	6.000	2,040,000.00	2,655,750.00	4,695,750.00				4,695,750.00	7,351,500.00
2	1/1/22				2,594,550.00	2,594,550.00				2,594,550.00	
2	7/1/22	N	6.000	2,165,000.00	2,594,550.00	4,759,550.00				4,759,550.00	7,354,100.00
2	1/1/23				2,529,600.00	2,529,600.00				2,529,600.00	
2	7/1/23	N	6.000	2,290,000.00	2,529,600.00	4,819,600.00				4,819,600.00	7,349,200.00
2	1/1/24				2,460,900.00	2,460,900.00				2,460,900.00	
2	7/1/24	N	6.000	2,430,000.00	2,460,900.00	4,890,900.00				4,890,900.00	7,351,800.00
2	1/1/25				2,388,000.00	2,388,000.00				2,388,000.00	
2	7/1/25	N	6.000	2,575,000.00	2,388,000.00	4,963,000.00				4,963,000.00	7,351,000.00
2	1/1/26				2,310,750.00	2,310,750.00				2,310,750.00	
2	7/1/26	N	6.000	2,730,000.00	2,310,750.00	5,040,750.00				5,040,750.00	7,351,500.00
2	1/1/27				2,228,850.00	2,228,850.00				2,228,850.00	
2	7/1/27	N	6.000	2,895,000.00	2,228,850.00	5,123,850.00				5,123,850.00	7,352,700.00
2	1/1/28				2,142,000.00	2,142,000.00				2,142,000.00	
2	7/1/28	N	6.000	3,070,000.00	2,142,000.00	5,212,000.00				5,212,000.00	7,354,000.00
2	1/1/29				2,049,900.00	2,049,900.00				2,049,900.00	
2	7/1/29	N	6.000	3,250,000.00	2,049,900.00	5,299,900.00				5,299,900.00	7,349,800.00
3	1/1/30				1,952,400.00	1,952,400.00				1,952,400.00	
3	7/1/30	N	6.000	3,445,000.00	1,952,400.00	5,397,400.00				5,397,400.00	7,349,800.00
3	1/1/31				1,849,050.00	1,849,050.00				1,849,050.00	
3	7/1/31	N	6.000	3,655,000.00	1,849,050.00	5,504,050.00				5,504,050.00	7,353,100.00
3	1/1/32				1,739,400.00	1,739,400.00				1,739,400.00	
3	7/1/32	N	6.000	3,875,000.00	1,739,400.00	5,614,400.00				5,614,400.00	7,353,800.00
3	1/1/33				1,623,150.00	1,623,150.00				1,623,150.00	
3	7/1/33	N	6.000	4,105,000.00	1,623,150.00	5,728,150.00				5,728,150.00	7,351,300.00
3	1/1/34				1,500,000.00	1,500,000.00				1,500,000.00	
3	7/1/34	N	6.000	4,350,000.00	1,500,000.00	5,850,000.00				5,850,000.00	7,350,000.00
3	1/1/35				1,369,500.00	1,369,500.00				1,369,500.00	
3	7/1/35	N	6.000	4,610,000.00	1,369,500.00	5,979,500.00				5,979,500.00	7,349,000.00
3	1/1/36				1,231,200.00	1,231,200.00				1,231,200.00	
3	7/1/36	N	6.000	4,890,000.00	1,231,200.00	6,121,200.00				6,121,200.00	7,352,400.00
3	1/1/37				1,084,500.00	1,084,500.00				1,084,500.00	
3	7/1/37	N	6.000	5,185,000.00	1,084,500.00	6,269,500.00				6,269,500.00	7,354,000.00
3	1/1/38				928,950.00	928,950.00				928,950.00	
3	7/1/38	N	6.000	5,495,000.00	928,950.00	6,423,950.00				6,423,950.00	7,352,900.00
3	1/1/39				764,100.00	764,100.00				764,100.00	
3	7/1/39	N	6.000	5,825,000.00	764,100.00	6,589,100.00				6,589,100.00	7,353,200.00
4	1/1/40				589,350.00	589,350.00				589,350.00	
4	7/1/40	N	6.000	6,170,000.00	589,350.00	6,759,350.00				6,759,350.00	7,348,700.00

Prepared by: FDOT

:Mun-EaseMainDb

Prepared on: 8/2/2011 8:43 14.60

ROW-2012-B

Dated: 7/1/2012
 Delivered: 7/21/2012

Sizing Debt Service Schedule
 SBA-FDOT
 ROW 2012B

Rpt 14

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRcv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
4	1/1/41				404,250.00	404,250.00				404,250.00	
4	7/1/41	N	6.000	6,540,000.00	404,250.00	6,944,250.00				6,944,250.00	7,348,500.00
4	1/1/42				208,050.00	208,050.00				208,050.00	
4	7/1/42	N	6.000	6,935,000.00	208,050.00	7,143,050.00				7,143,050.00	7,351,100.00
				101,195,000.00	119,353,200.00	220,548,200.00	0.00	0.00	0.00	220,548,200.00	220,548,200.00
True Interest Cost (TIC)						6.0908082	Arbitrage Yield Limit (AYL)				6.0157805
Net Interest Cost (NIC)						6.0495450	Arbitrage Net Interest Cost (ANIC)				6.0088728

Prepared by: FDOT
 Prepared on: 8/2/2011 8:43 14.60

:Mun-EaseMainDb
 ROW-2012-B

Dated: 7/1/2012
Delivered: 7/21/2012

Summary of Sizing Inputs
SBA-FDOT
ROW 2012B

Rpt 17a

General Information

Denomination: 5000.
Rate scale: 6%
Issue type: REVENUE
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

Dates

07/01/2012-> Dated (bond issue) date
07/21/2012-> Delivery date
01/01/2013-> 1st coupon date
07/01/2013-> First principal payment
07/01/2042-> Last maturity date
No CABS in bond issue

Gross Construction Costs

Total project costs	100,000,000.00
Total prior costs	
Less: interest earned & applied to project draws	-5.96
Net total project costs:	99,999,994.04
Total number of projects = 1	

Restricted Accounts

DSR rule: No debt service reserve fund
No capitalized interest
Restricted yield = 6.000000%
Net deposit to Debt Service Reserve Fund
Net deposit to Contingency Fund 1,445.87

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-809,560.00
Bond insurance: 0.000% (net of accrued & cap. interest)	176,000.00
Other TIC costs:	208,000.00

Dated: 7/1/2012
 Delivered: 7/21/2012

Summary of Sizing Calculations
 SBA-FDOT
 ROW 2012B

Rpt 17b

<u>Sources of Funds</u>	
Par amount of bonds	101,195,000.00
Original Issue Premium	
Accrued Interest	337,316.67
<u>Construction Costs</u>	
Costs to complete construction	100,000,000.00
Less: interest earned in fund & applied to project draws	-5.96
Prior costs to be paid from bond proceeds	
Gross Construction Costs	99,999,994.04
<u>Restricted Funds</u>	
Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 6.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	1,445.87
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-809,560.00
Bond insurance: 0.000%	176,000.00
Other issuance costs	208,000.00
<u>Calculations</u>	
Net Interest Cost (NIC)	6.0495450
True Interest Cost (TIC)	6.0908082
All-Inclusive TIC:	6.1102394
Arbitrage Net Interest Cost (NIC)	6.0088728
Arbitrage Yield Limit (AYL)	6.0157805
Total Bond Years (delivery date)	1,983,598,055.56
Average Bond Years (Delivery date)	19.60
Level debt service calculation	7,351,559.55

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	87,571,522	87,249,142	93,371,848
Principal (B)	54,735,000	57,920,000	62,430,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	182,089	186,127	190,455
Other Debt Service (E)	0	0	0
Total Debt Service (F)	142,488,612	145,355,269	155,992,303

Explanation:

Combined total debt service for outstanding Right-Of-Way bonds and proposed bonds to be issued. Actual payments from STTF for 2010-11 was \$141,597,396. The difference is from interest earned and the beginning balance in the sinking fund.

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)		0	0	0

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION 1	FY 2010-2011	FY 2011-2012	FY 2012-2013
Interest on Debt (A)	87,571,522	84,550,609	81,624,265
Principal (B)	54,735,000	57,275,000	59,810,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	182,089	176,008	170,280
Other Debt Service (E)	0	0	0
Total Debt Service (F)	142,488,612	142,001,616	141,604,545

Explanation:

Debt service requirement for Right-Of-Way and bridge construction bonds outstanding.

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2010-2011	FY 2011-2012	FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)		0	0	0

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2010-2011	FY 2011-2012	FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	0	2,698,533	11,747,583
Principal (B)	0	645,000	2,620,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	10,120	20,175
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	3,353,653	14,387,758

Explanation: Debt service requirements for proposed Right-Of-Way bond issuance.

SECTION II

(1) ISSUE: Proposed Right of Way bond Sale 1/01/12 (R12A)

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
6.000%	7/1/2041	101,195,000	100,550,000	99,210,000
(7)	(8)	(9)		
ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013		
Interest on Debt (G)	0	2,698,533	6,013,200	
Principal (H)	0	645,000	1,340,000	
Fiscal Agent or Other Fees (I)	0	10,120	10,055	
Other (J)	0	0	0	
Total Debt Service (K)	0	3,353,653	7,363,255	

(1) ISSUE: Proposed Right of Way bond Sale 7/01/12 (R12B)

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
6.000%	7/1/2042	101,195,000		99,915,000
(7)	(8)	(9)		
ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013		
Interest on Debt (G)	0	0	5,734,383	
Principal (H)	0	0	1,280,000	
Fiscal Agent or Other Fees (I)	0	0	10,120	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	7,024,503	

TRUTH IN BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation Implementation of Florida Turnpike Program as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation Net revenues of the Florida Turnpike System.
3. The principle amount of the debt or obligation: \$110,510,000
4. The interest rate on the debt or obligation (per EEC): 6.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation as determined by the Governing board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance.

Underwriters Discount	\$884,080
Rating Agency Fees	\$75,000
Other Costs of Issuance	\$135,154
Deposit into DSR Account	\$8,043,000

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$110,510,000 debt or obligation for the purpose of implementing the Turnpike program as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 6.000%, total interest paid over the life of the debt or obligation will be \$126,546,450.

The proposed issuance date is 1/01/12.

Dated: 1/1/2012
 Delivered: 1/21/2012

Construction Draws for
 SBA-FDOT
 TPK 2012A

Draw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Draw Requirement	Net Debt Service	Ending Balance
<i>TPK 2012A TPK 2012A yielding 1.5000000% : Net-Funded</i>									
0	01/21/12		DEPOSIT						101,375,678.62
1	01/21/12	0/0	101,375,678.62	DRAWS			8,505,956.15	8,505,956.15	92,869,722.47
2	02/21/12	0/30	92,869,722.47	DRAWS	115,726.03		8,505,956.15	8,390,230.12	84,479,492.35
3	03/21/12	0/30	84,479,492.35	DRAWS	105,270.87		8,505,956.15	8,400,685.28	76,078,807.07
4	04/21/12	0/30	76,078,807.07	DRAWS	94,802.68		8,505,956.15	8,411,153.47	67,667,653.61
5	05/21/12	0/30	67,667,653.61	DRAWS	84,321.45		8,505,956.15	8,421,634.70	59,246,018.90
6	06/21/12	0/30	59,246,018.90	DRAWS	73,827.15		8,505,956.15	8,432,129.00	50,813,889.90
7	07/21/12	0/30	50,813,889.90	DRAWS	63,319.78		8,505,956.15	8,442,636.37	42,371,253.53
8	08/21/12	0/30	42,371,253.53	DRAWS	52,799.31		8,505,956.15	8,453,156.84	33,918,096.68
9	09/21/12	0/30	33,918,096.68	DRAWS	42,265.73		8,505,956.15	8,463,690.42	25,454,406.27
10	10/21/12	0/30	25,454,406.27	DRAWS	31,719.03		8,505,956.15	8,474,237.12	16,980,169.15
11	11/21/12	0/30	16,980,169.15	DRAWS	21,159.19		8,505,956.15	8,484,796.96	8,495,372.18
12	12/21/12	0/30	8,495,372.18	DRAWS	10,586.18		8,505,956.15	8,495,369.97	2.21
Totals For TPK 2012A					0.00	695,797.39	0.00	102,071,473.80	101,375,676.41
Prior Project Costs:									0.00
Grand Totals For All Projects:						695,797.39	102,071,473.80	101,375,676.41	0.00
Total Prior Costs:									0.00

Dated: 1/1/2012
 Delivered: 1/21/2012

Sizing Debt Service Schedule
 SBA-FDOT
 TPK 2012A

Rpt 14

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRcv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
1	7/1/12	N	6.000	705,000.00	3,315,300.00	4,020,300.00		53,597.72		3,966,702.28	3,966,702.28
1	1/1/13	N	6.000	725,000.00	3,294,150.00	4,019,150.00		60,322.50		3,958,827.50	
1	7/1/13	N	6.000	745,000.00	3,272,400.00	4,017,400.00		60,322.50		3,957,077.50	7,915,905.00
1	1/1/14	N	6.000	765,000.00	3,250,050.00	4,015,050.00		60,322.50		3,954,727.50	
1	7/1/14	N	6.000	790,000.00	3,227,100.00	4,017,100.00		60,322.50		3,956,777.50	7,911,505.00
1	1/1/15	N	6.000	815,000.00	3,203,400.00	4,018,400.00		60,322.50		3,958,077.50	
1	7/1/15	N	6.000	840,000.00	3,178,950.00	4,018,950.00		60,322.50		3,958,627.50	7,916,705.00
1	1/1/16	N	6.000	865,000.00	3,153,750.00	4,018,750.00		60,322.50		3,958,427.50	
1	7/1/16	N	6.000	890,000.00	3,127,800.00	4,017,800.00		60,322.50		3,957,477.50	7,915,905.00
1	1/1/17	N	6.000	915,000.00	3,101,100.00	4,016,100.00		60,322.50		3,955,777.50	
1	7/1/17	N	6.000	945,000.00	3,073,650.00	4,018,650.00		60,322.50		3,958,327.50	7,914,105.00
1	1/1/18	N	6.000	970,000.00	3,045,300.00	4,015,300.00		60,322.50		3,954,977.50	
1	7/1/18	N	6.000	1,000,000.00	3,016,200.00	4,016,200.00		60,322.50		3,955,877.50	7,910,855.00
1	1/1/19	N	6.000	1,030,000.00	2,986,200.00	4,016,200.00		60,322.50		3,955,877.50	
1	7/1/19	N	6.000	1,060,000.00	2,955,300.00	4,015,300.00		60,322.50		3,954,977.50	7,910,855.00
2	1/1/20	N	6.000	1,095,000.00	2,923,500.00	4,018,500.00		60,322.50		3,958,177.50	
2	7/1/20	N	6.000	1,125,000.00	2,890,650.00	4,015,650.00		60,322.50		3,955,327.50	7,913,505.00
2	1/1/21	N	6.000	1,160,000.00	2,856,900.00	4,016,900.00		60,322.50		3,956,577.50	
2	7/1/21	N	6.000	1,195,000.00	2,822,100.00	4,017,100.00		60,322.50		3,956,777.50	7,913,355.00
2	1/1/22	N	6.000	1,230,000.00	2,786,250.00	4,016,250.00		60,322.50		3,955,927.50	
2	7/1/22	N	6.000	1,270,000.00	2,749,350.00	4,019,350.00		60,322.50		3,959,027.50	7,914,955.00
2	1/1/23	N	6.000	1,305,000.00	2,711,250.00	4,016,250.00		60,322.50		3,955,927.50	
2	7/1/23	N	6.000	1,345,000.00	2,672,100.00	4,017,100.00		60,322.50		3,956,777.50	7,912,705.00
2	1/1/24	N	6.000	1,385,000.00	2,631,750.00	4,016,750.00		60,322.50		3,956,427.50	
2	7/1/24	N	6.000	1,430,000.00	2,590,200.00	4,020,200.00		60,322.50		3,959,877.50	7,916,305.00
2	1/1/25	N	6.000	1,470,000.00	2,547,300.00	4,017,300.00		60,322.50		3,956,977.50	
2	7/1/25	N	6.000	1,515,000.00	2,503,200.00	4,018,200.00		60,322.50		3,957,877.50	7,914,855.00
2	1/1/26	N	6.000	1,560,000.00	2,457,750.00	4,017,750.00		60,322.50		3,957,427.50	
2	7/1/26	N	6.000	1,605,000.00	2,410,950.00	4,015,950.00		60,322.50		3,955,627.50	7,913,055.00
2	1/1/27	N	6.000	1,655,000.00	2,362,800.00	4,017,800.00		60,322.50		3,957,477.50	
2	7/1/27	N	6.000	1,705,000.00	2,313,150.00	4,018,150.00		60,322.50		3,957,827.50	7,915,305.00
2	1/1/28	N	6.000	1,755,000.00	2,262,000.00	4,017,000.00		60,322.50		3,956,677.50	
2	7/1/28	N	6.000	1,810,000.00	2,209,350.00	4,019,350.00		60,322.50		3,959,027.50	7,915,705.00
2	1/1/29	N	6.000	1,865,000.00	2,155,050.00	4,020,050.00		60,322.50		3,959,727.50	
2	7/1/29	N	6.000	1,920,000.00	2,099,100.00	4,019,100.00		60,322.50		3,958,777.50	7,918,505.00
3	1/1/30	N	6.000	1,975,000.00	2,041,500.00	4,016,500.00		60,322.50		3,956,177.50	
3	7/1/30	N	6.000	2,035,000.00	1,982,250.00	4,017,250.00		60,322.50		3,956,927.50	7,913,105.00
3	1/1/31	N	6.000	2,095,000.00	1,921,200.00	4,016,200.00		60,322.50		3,955,877.50	
3	7/1/31	N	6.000	2,160,000.00	1,858,350.00	4,018,350.00		60,322.50		3,958,027.50	7,913,905.00
3	1/1/32	N	6.000	2,225,000.00	1,793,550.00	4,018,550.00		60,322.50		3,958,227.50	
3	7/1/32	N	6.000	2,290,000.00	1,726,800.00	4,016,800.00		60,322.50		3,956,477.50	7,914,705.00
3	1/1/33	N	6.000	2,360,000.00	1,658,100.00	4,018,100.00		60,322.50		3,957,777.50	
3	7/1/33	N	6.000	2,430,000.00	1,587,300.00	4,017,300.00		60,322.50		3,956,977.50	7,914,755.00
3	1/1/34	N	6.000	2,505,000.00	1,514,400.00	4,019,400.00		60,322.50		3,959,077.50	
3	7/1/34	N	6.000	2,580,000.00	1,439,250.00	4,019,250.00		60,322.50		3,958,927.50	7,918,005.00
3	1/1/35	N	6.000	2,655,000.00	1,361,850.00	4,016,850.00		60,322.50		3,956,527.50	
3	7/1/35	N	6.000	2,735,000.00	1,282,200.00	4,017,200.00		60,322.50		3,956,877.50	7,913,405.00
3	1/1/36	N	6.000	2,820,000.00	1,200,150.00	4,020,150.00		60,322.50		3,959,827.50	
3	7/1/36	N	6.000	2,900,000.00	1,115,550.00	4,015,550.00		60,322.50		3,955,227.50	7,915,055.00
3	1/1/37	N	6.000	2,990,000.00	1,028,550.00	4,018,550.00		60,322.50		3,958,227.50	
3	7/1/37	N	6.000	3,080,000.00	938,850.00	4,018,850.00		60,322.50		3,958,527.50	7,916,755.00
3	1/1/38	N	6.000	3,170,000.00	846,450.00	4,016,450.00		60,322.50		3,956,127.50	
3	7/1/38	N	6.000	3,265,000.00	751,350.00	4,016,350.00		60,322.50		3,956,027.50	7,912,155.00
3	1/1/39	N	6.000	3,365,000.00	653,400.00	4,018,400.00		60,322.50		3,958,077.50	
3	7/1/39	N	6.000	3,470,000.00	552,450.00	4,022,450.00		60,322.50		3,962,127.50	7,920,205.00
4	1/1/40	N	6.000	3,570,000.00	448,350.00	4,018,350.00		60,322.50		3,958,027.50	

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- 2 -

TPK-2012-A

Dated: 1/1/2012
 Delivered: 1/21/2012

Sizing Debt Service Schedule
 SBA-FDOT
 TPK 2012A

Rpt 14

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRcv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
4	7/1/40	N	6.000	3,680,000.00	341,250.00	4,021,250.00		60,322.50		3,960,927.50	7,918,955.00
4	1/1/41	N	6.000	3,790,000.00	230,850.00	4,020,850.00		60,322.50		3,960,527.50	
4	7/1/41	N	6.000	3,905,000.00	117,150.00	4,022,150.00		8,103,322.50		-4,081,172.50	-120,645.00
				110,510,000.00	126,546,450.00	237,056,450.00	0.00	11,595,302.72	0.00	225,461,147.28	225,461,147.28

<i>True Interest Cost (TIC)</i>	6.0756723	<i>Arbitrage Yield Limit (AYL)</i>	5.9995877
<i>Net Interest Cost (NIC)</i>	6.0419154	<i>Arbitrage Net Interest Cost (ANIC)</i>	6.0000000

Prepared by: FDOT
 Prepared on: 8/3/2011 13:24 14.60

Dated: 1/1/2012
Delivered: 1/21/2012

Summary of Sizing Inputs
SBA-FDOT
TPK 2012A

Rpt 17a

General Information

Denomination: 5000.
Rate scale: 6%
Issue type: REVENUE
Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

Dates

01/01/2012-> Dated (bond issue) date
01/21/2012-> Delivery date
07/01/2012-> 1st coupon date
07/01/2012-> First principal payment
07/01/2041-> Last maturity date
No CABS in bond issue

Gross Construction Costs

Total project costs	102,071,473.80
Total prior costs	
Less: interest earned & applied to project draws	-695,795.18
Net total project costs:	101,375,678.62
Total number of projects = 1	

Restricted Accounts

DSR rule: Maximum yearly debt service	
No capitalized interest	
Restricted yield = 1.500000%	
Net deposit to Debt Service Reserve Fund	8,043,000.00
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-884,080.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	210,154.00

Dated: 1/1/2012
 Delivered: 1/21/2012

Summary of Sizing Calculations
 SBA-FDOT
 TPK 2012A

Rpt 17b

<u>Sources of Funds</u>	
Par amount of bonds	110,510,000.00
Original Issue Premium	
Accrued Interest	368,366.67
<u>Construction Costs</u>	
Costs to complete construction	102,071,473.80
Less: interest earned in fund & applied to project draws	-695,795.18
Prior costs to be paid from bond proceeds	
Gross Construction Costs	101,375,678.62
<u>Restricted Funds</u>	
Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 1.500%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	8,043,000.00
Net deposit to Contingency Fund	
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-884,080.00
Bond insurance: 0.000%	
Other issuance costs	210,154.00
Rounding due to denomination size	-2,912.62
<u>Calculations</u>	
Net Interest Cost (NIC)	6.0419154
True Interest Cost (TIC)	6.0756723
All-Inclusive TIC:	6.0939014
Arbitrage Net Interest Cost (NIC)	6.0000000
Arbitrage Yield Limit (AYL)	5.9995877
Total Bond Years (delivery date)	2,102,968,055.56
Average Bond Years (Delivery date)	19.03
Level debt service calculation	4,017,466.20

TRUTH IN BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation Implementation of Florida Turnpike Program as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation Net revenues of the Florida Turnpike System.
3. The principle amount of the debt or obligation: \$115,995,000
4. The interest rate on the debt or obligation (per EEC): 6.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation as determined by the Governing board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance.

<u>Underwriters Discount</u>	<u>\$927,960</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$140,429</u>
<u>Deposit into DSR Account</u>	<u>\$8,437,600</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$115,995,000 debt or obligation for the purpose of implementing the Turnpike program as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 6.000%, total interest paid over the life of the debt or obligation will be \$132,808,500.

The proposed issuance date is 1/01/13.

Dated: 1/1/2013
 Delivered: 1/21/2013

Construction Draws for
 SBA-FDOT
 TPK 2013A

Draw #	Date	Beginning Fund Balance	Transaction Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Draw Requirement	Net Debt Service	Ending Balance
TPK 2013A TPK2013A yielding 1.5000000% : Net-Funded									
0	01/21/13		DEPOSIT						106,412,567.69
1	01/21/13	0/0	106,412,567.69	DRAWS			8,928,577.81	8,928,577.81	97,483,989.88
2	02/21/13	0/30	97,483,989.88	DRAWS	121,475.93		8,928,577.81	8,807,101.88	88,676,888.00
3	03/21/13	0/30	88,676,888.00	DRAWS	110,501.30		8,928,577.81	8,818,076.51	79,858,811.48
4	04/21/13	0/30	79,858,811.48	DRAWS	99,512.99		8,928,577.81	8,829,064.82	71,029,746.66
5	05/21/13	0/30	71,029,746.66	DRAWS	88,510.99		8,928,577.81	8,840,066.82	62,189,679.84
6	06/21/13	0/30	62,189,679.84	DRAWS	77,495.28		8,928,577.81	8,851,082.53	53,338,597.31
7	07/21/13	0/30	53,338,597.31	DRAWS	66,465.84		8,928,577.81	8,862,111.97	44,476,485.34
8	08/21/13	0/30	44,476,485.34	DRAWS	55,422.66		8,928,577.81	8,873,155.15	35,603,330.19
9	09/21/13	0/30	35,603,330.19	DRAWS	44,365.72		8,928,577.81	8,884,212.09	26,719,118.10
10	10/21/13	0/30	26,719,118.10	DRAWS	33,295.00		8,928,577.81	8,895,282.81	17,823,835.30
11	11/21/13	0/30	17,823,835.30	DRAWS	22,210.49		8,928,577.81	8,906,367.32	8,917,467.97
12	12/21/13	0/30	8,917,467.97	DRAWS	11,112.16		8,928,577.81	8,917,465.65	2.32
Totals For TPK 2013A					0.00	730,368.35	0.00	107,142,933.72	106,412,565.37
Prior Project Costs:									0.00
Grand Totals For All Projects:						730,368.35	107,142,933.72	106,412,565.37	0.00
Total Prior Costs:									0.00

Dated: 1/1/2013
 Delivered: 1/21/2013

Sizing Debt Service Schedule
 SBA-FDOT
 TPK 2013A

Rpt 14

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRcv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
1	7/1/13	N	6.000	740,000.00	3,479,850.00	4,219,850.00		56,227.29		4,163,622.71	4,163,622.71
1	1/1/14	N	6.000	760,000.00	3,457,650.00	4,217,650.00		63,282.00		4,154,368.00	
1	7/1/14	N	6.000	780,000.00	3,434,850.00	4,214,850.00		63,282.00		4,151,568.00	8,305,936.00
1	1/1/15	N	6.000	805,000.00	3,411,450.00	4,216,450.00		63,282.00		4,153,168.00	
1	7/1/15	N	6.000	830,000.00	3,387,300.00	4,217,300.00		63,282.00		4,154,018.00	8,307,186.00
1	1/1/16	N	6.000	855,000.00	3,362,400.00	4,217,400.00		63,282.00		4,154,118.00	
1	7/1/16	N	6.000	880,000.00	3,336,750.00	4,216,750.00		63,282.00		4,153,468.00	8,307,586.00
1	1/1/17	N	6.000	905,000.00	3,310,350.00	4,215,350.00		63,282.00		4,152,068.00	
1	7/1/17	N	6.000	935,000.00	3,283,200.00	4,218,200.00		63,282.00		4,154,918.00	8,306,986.00
1	1/1/18	N	6.000	960,000.00	3,255,150.00	4,215,150.00		63,282.00		4,151,868.00	
1	7/1/18	N	6.000	990,000.00	3,226,350.00	4,216,350.00		63,282.00		4,153,068.00	8,304,936.00
1	1/1/19	N	6.000	1,020,000.00	3,196,650.00	4,216,650.00		63,282.00		4,153,368.00	
1	7/1/19	N	6.000	1,050,000.00	3,166,050.00	4,216,050.00		63,282.00		4,152,768.00	8,306,136.00
2	1/1/20	N	6.000	1,085,000.00	3,134,550.00	4,219,550.00		63,282.00		4,156,268.00	
2	7/1/20	N	6.000	1,115,000.00	3,102,000.00	4,217,000.00		63,282.00		4,153,718.00	8,309,986.00
2	1/1/21	N	6.000	1,150,000.00	3,068,550.00	4,218,550.00		63,282.00		4,155,268.00	
2	7/1/21	N	6.000	1,185,000.00	3,034,050.00	4,219,050.00		63,282.00		4,155,768.00	8,311,036.00
2	1/1/22	N	6.000	1,220,000.00	2,998,500.00	4,218,500.00		63,282.00		4,155,218.00	
2	7/1/22	N	6.000	1,255,000.00	2,961,900.00	4,216,900.00		63,282.00		4,153,618.00	8,308,836.00
2	1/1/23	N	6.000	1,295,000.00	2,924,250.00	4,219,250.00		63,282.00		4,155,968.00	
2	7/1/23	N	6.000	1,330,000.00	2,885,400.00	4,215,400.00		63,282.00		4,152,118.00	8,308,086.00
2	1/1/24	N	6.000	1,370,000.00	2,845,500.00	4,215,500.00		63,282.00		4,152,218.00	
2	7/1/24	N	6.000	1,415,000.00	2,804,400.00	4,219,400.00		63,282.00		4,156,118.00	8,308,336.00
2	1/1/25	N	6.000	1,455,000.00	2,761,950.00	4,216,950.00		63,282.00		4,153,668.00	
2	7/1/25	N	6.000	1,500,000.00	2,718,300.00	4,218,300.00		63,282.00		4,155,018.00	8,308,686.00
2	1/1/26	N	6.000	1,545,000.00	2,673,300.00	4,218,300.00		63,282.00		4,155,018.00	
2	7/1/26	N	6.000	1,590,000.00	2,626,950.00	4,216,950.00		63,282.00		4,153,668.00	8,308,686.00
2	1/1/27	N	6.000	1,640,000.00	2,579,250.00	4,219,250.00		63,282.00		4,155,968.00	
2	7/1/27	N	6.000	1,685,000.00	2,530,050.00	4,215,050.00		63,282.00		4,151,768.00	8,307,736.00
2	1/1/28	N	6.000	1,735,000.00	2,479,500.00	4,214,500.00		63,282.00		4,151,218.00	
2	7/1/28	N	6.000	1,790,000.00	2,427,450.00	4,217,450.00		63,282.00		4,154,168.00	8,305,386.00
2	1/1/29	N	6.000	1,845,000.00	2,373,750.00	4,218,750.00		63,282.00		4,155,468.00	
2	7/1/29	N	6.000	1,900,000.00	2,318,400.00	4,218,400.00		63,282.00		4,155,118.00	8,310,586.00
3	1/1/30	N	6.000	1,955,000.00	2,261,400.00	4,216,400.00		63,282.00		4,153,118.00	
3	7/1/30	N	6.000	2,015,000.00	2,202,750.00	4,217,750.00		63,282.00		4,154,468.00	8,307,586.00
3	1/1/31	N	6.000	2,075,000.00	2,142,300.00	4,217,300.00		63,282.00		4,154,018.00	
3	7/1/31	N	6.000	2,135,000.00	2,080,050.00	4,215,050.00		63,282.00		4,151,768.00	8,305,786.00
3	1/1/32	N	6.000	2,200,000.00	2,016,000.00	4,216,000.00		63,282.00		4,152,718.00	
3	7/1/32	N	6.000	2,265,000.00	1,950,000.00	4,215,000.00		63,282.00		4,151,718.00	8,304,436.00
3	1/1/33	N	6.000	2,335,000.00	1,882,050.00	4,217,050.00		63,282.00		4,153,768.00	
3	7/1/33	N	6.000	2,405,000.00	1,812,000.00	4,217,000.00		63,282.00		4,153,718.00	8,307,486.00
3	1/1/34	N	6.000	2,475,000.00	1,739,850.00	4,214,850.00		63,282.00		4,151,568.00	
3	7/1/34	N	6.000	2,550,000.00	1,665,600.00	4,215,600.00		63,282.00		4,152,318.00	8,303,886.00
3	1/1/35	N	6.000	2,630,000.00	1,589,100.00	4,219,100.00		63,282.00		4,155,818.00	
3	7/1/35	N	6.000	2,705,000.00	1,510,200.00	4,215,200.00		63,282.00		4,151,918.00	8,307,736.00
3	1/1/36	N	6.000	2,790,000.00	1,429,050.00	4,219,050.00		63,282.00		4,155,768.00	
3	7/1/36	N	6.000	2,870,000.00	1,345,350.00	4,215,350.00		63,282.00		4,152,068.00	8,307,836.00
3	1/1/37	N	6.000	2,960,000.00	1,259,250.00	4,219,250.00		63,282.00		4,155,968.00	
3	7/1/37	N	6.000	3,045,000.00	1,170,450.00	4,215,450.00		63,282.00		4,152,168.00	8,308,136.00
3	1/1/38	N	6.000	3,140,000.00	1,079,100.00	4,219,100.00		63,282.00		4,155,818.00	
3	7/1/38	N	6.000	3,230,000.00	984,900.00	4,214,900.00		63,282.00		4,151,618.00	8,307,436.00
3	1/1/39	N	6.000	3,330,000.00	888,000.00	4,218,000.00		63,282.00		4,154,718.00	
3	7/1/39	N	6.000	3,430,000.00	788,100.00	4,218,100.00		63,282.00		4,154,818.00	8,309,536.00
4	1/1/40	N	6.000	3,530,000.00	685,200.00	4,215,200.00		63,282.00		4,151,918.00	
4	7/1/40	N	6.000	3,640,000.00	579,300.00	4,219,300.00		63,282.00		4,156,018.00	8,307,936.00
4	1/1/41	N	6.000	3,745,000.00	470,100.00	4,215,100.00		63,282.00		4,151,818.00	

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TPK-2013-A

Dated: 1/1/2013
 Delivered: 1/21/2013

Sizing Debt Service Schedule
 SBA-FDOT
 TPK 2013A

Rpt 14

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRcv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
4	7/1/41	N	6.000	3,860,000.00	357,750.00	4,217,750.00		63,282.00		4,154,468.00	8,306,286.00
4	1/1/42	N	6.000	3,975,000.00	241,950.00	4,216,950.00		63,282.00		4,153,668.00	
4	7/1/42	N	6.000	4,090,000.00	122,700.00	4,212,700.00		8,500,882.00		-4,288,182.00	-134,514.00
				<i>115,995,000.00</i>	<i>132,808,500.00</i>	<i>248,803,500.00</i>	<i>0.00</i>	<i>12,164,183.29</i>	<i>0.00</i>	<i>236,639,316.71</i>	<i>236,639,316.71</i>
<i>Trune Interest Cost (TIC)</i>						6.0756785	<i>Arbitrage Yield Limit (AYL)</i>			5.9995877	
<i>Net Interest Cost (NIC)</i>						6.0419214	<i>Arbitrage Net Interest Cost (ANIC)</i>			6.0000000	

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 Prepared on: 8/3/2011 13:52 14.60

:Mun-EaseMainDb
 TPK-2013-A

Dated: 1/1/2013
Delivered: 1/21/2013

Summary of Sizing Inputs
SBA-FDOT
TPK 2013A

Rpt 17a

General Information

Denomination: 5000.
Rate scale: 6%
Issue type: REVENUE
Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

Dates

01/01/2013-> Dated (bond issue) date
01/21/2013-> Delivery date
07/01/2013-> 1st coupon date
07/01/2013-> First principal payment
07/01/2042-> Last maturity date
No CABS in bond issue

Gross Construction Costs

Total project costs	107,142,933.72
Total prior costs	
Less: interest earned & applied to project draws	-730,366.03
Net total project costs:	106,412,567.69
Total number of projects = 1	

Restricted Accounts

DSR rule: Maximum yearly debt service	
No capitalized interest	
Restricted yield = 1.500000%	
Net deposit to Debt Service Reserve Fund	8,437,600.00
Net deposit to Contingency Fund	1,441.63

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-927,960.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	215,429.00

Dated: 1/1/2013
 Delivered: 1/21/2013

Summary of Sizing Calculations
 SBA-FDOT
 TPK 2013.A

Rpt 17b

<u>Sources of Funds</u>	
Par amount of bonds	115,995,000.00
Original Issue Premium	
Accrued Interest	386,650.00
<u>Construction Costs</u>	
Costs to complete construction	107,142,933.72
Less: interest earned in fund & applied to project draws	-730,366.03
Prior costs to be paid from bond proceeds	
Gross Construction Costs	106,412,567.69
<u>Restricted Funds</u>	
Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 1.500%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	8,437,600.00
Net deposit to Contingency Fund	1,441.63
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-927,960.00
Bond insurance: 0.000%	
Other issuance costs	215,429.00
<u>Calculations</u>	
Net Interest Cost (NIC)	6.0419214
True Interest Cost (TIC)	6.0756785
All-Inclusive TIC:	6.0934823
Arbitrage Net Interest Cost (NIC)	6.0000000
Arbitrage Yield Limit (AYL)	5.9995877
Total Bond Years (delivery date)	2,207,030,833.33
Average Bond Years (Delivery date)	19.03
Level debt service calculation	4,216,937.75

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55180100 - Florida Turnpike Enterprise

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
	FY 2010-2011	FY 2011-2012	FY 2012-2013
SECTION 1			
Interest on Debt	(A) 144,061,034	147,069,104	148,993,935
Principal	(B) 99,000,000	105,765,000	112,395,000
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 291,083	302,493	303,516
Other Debt Service	(E) (5,943,001)	(5,943,001)	(5,943,001)
Total Debt Service	(F) 237,409,116	247,193,596	255,749,449

Explanation: Combined total debt service for outstanding Turnpike bonds and proposed bonds to be issued

*Note: Other Debt Service is credit for Build America Bonds (2009 A&B).

SECTION II Does not include interest credited from Debt Service Reserve Account.

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2010-2011	FY 2011-2012	FY 2012-2013
Interest on Debt		(G)		
Principal		(H)		
Fiscal Agent or Other Fees		(I)		
Other		(J)		
Total Debt Service		(K) 0	0	0

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		ACTUAL	ESTIMATED	REQUEST
		FY 2010-2011	FY 2011-2012	FY 2012-2013
Interest on Debt		(G)		
Principal		(H)		
Fiscal Agent or Other Fees		(I)		
Other		(J)		
Total Debt Service		(K) 0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55180100 - Florida Turnpike Enterprise

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	144,061,034	144,122,171	139,334,185
Principal (B)	99,000,000	105,060,000	110,185,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	291,083	291,442	280,936
Other Debt Service (E)	(5,943,001)	(5,943,001)	(5,943,001)
Total Debt Service (F)	237,409,116	243,530,611	243,857,119

Explanation: Debt service requirement for Florida Turnpike bonds outstanding.
*Note: Other Debt Service is credit for Build America Bonds (2009 A&B).
Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)		0	0	0

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		ACTUAL	ESTIMATED	REQUEST
		FY 2010-2011	FY 2011-2012	FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55180100 - Florida Turnpike Enterprise

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	0	2,946,933	9,659,750
Principal (B)	0	705,000	2,210,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	11,051	22,580
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	3,662,984	11,892,330

Explanation: Total proposed Turnpike bond sales.
*Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** Proposed Turnpike Bond Sale T12A 1/1/12

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
6.000%	7/1/2041	110,510,000	109,805,000	108,335,000
(7)	(8)	(9)	(8)	(9)
ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)	0	2,946,933	6,566,550	6,566,550
Principal (H)	0	705,000	1,470,000	1,470,000
Fiscal Agent or Other Fees (I)	0	11,051	10,981	10,981
Other (J)	0	0	0	0
Total Debt Service (K)	0	3,662,984	8,047,531	8,047,531

(1) **ISSUE:** Proposed Turnpike Bond Sale T13A 1/1/13

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
6.000%	7/1/2042	115,995,000		115,255,000
(7)	(8)	(9)	(8)	(9)
ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)	0	0	3,093,200	3,093,200
Principal (H)	0	0	740,000	740,000
Fiscal Agent or Other Fees (I)	0	0	11,600	11,600
Other (J)	0	0	0	0
Total Debt Service (K)	0	0	3,844,800	3,844,800

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	1,922,638	1,857,825	1,790,250
Principal (B)	1,525,000	1,590,000	1,660,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,892	3,740	3,581
Other Debt Service (E)	0	0	0
Total Debt Service (F)	3,451,529	3,451,565	3,453,831

Explanation: Combined total debt service for outstanding Alligator Alley bonds and proposed bonds to be issued

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2012 - 2013

(1)	(2)	(3)	(4)
SECTION 1	ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (A)	1,922,638	1,857,825	1,790,250
Principal (B)	1,525,000	1,590,000	1,660,000
Repayment of Loans (C)			
Fiscal Agent or Other Fees (D)	3,892	3,740	3,581
Other Debt Service (E)			
Total Debt Service (F)	3,451,529	3,451,565	3,453,831

Explanation: Total debt service of outstanding from Alligator Alley bonds pursuant to s. 215.57-215.83 (3) F.S., s. 338.165(3) F.S. and s. 11(d), Article VII of the Florida Constitution.

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		(7)	(8)	(9)
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)		0	0	0

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2012	June 30, 2013
		ACTUAL FY 2010-2011	ESTIMATED FY 2011-2012	REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2012 - 2013

(1)	(2) ACTUAL FY 2010-2011	(3) ESTIMATED FY 2011-2012	(4) REQUEST FY 2012-2013
SECTION 1			
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	0	0

Explanation: Debt service requirements for proposed Alligator Alley bond issuance.

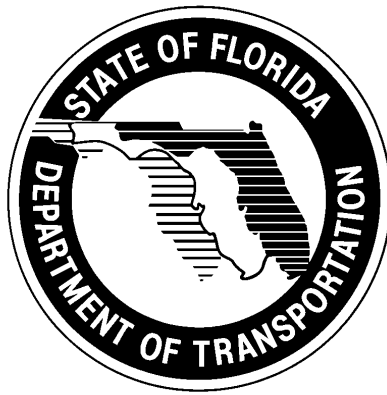
SECTION II

(1) **ISSUE:** _____

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2012	(6) June 30, 2013
		(7) ACTUAL FY 2010-2011	(8) ESTIMATED FY 2011-2012	(9) REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) **ISSUE:** _____

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2012	(6) June 30, 2013
		(7) ACTUAL FY 2010-2011	(8) ESTIMATED FY 2011-2012	(9) REQUEST FY 2012-2013
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)		0	0	0
Total Debt Service (K)		0	0	0



**LEGISLATIVE
BUDGET REQUEST
2012-2013**

**Employee Compensation
and Benefits**



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

ANANTH PRASAD, P.E.
SECRETARY

EMPLOYEE COMPENSATION AND BENEFITS LEGISLATIVE BUDGET REQUEST

September 15, 2011

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

JoAnne Leznoff, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

Craig Meyer, Staff Director
Senate Budget Committee
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to s. 216.251(3), F.S., "An agency may not provide general salary increases or pay additives for a cohort of positions sharing the same job classification or job occupations which the Legislature has not authorized in the General Appropriations Act (GAA) or other laws." Section 110.2035(6)(c), F.S. provides similar language. Section 8 of the GAA for FY 2011/12 contains language that provides authority for the department to continue certain pay actions for one year. With this submittal the department requests authority to continue implementation of the following series of pay actions:

- Incremental increases in salary for employees in the department's long standing Engineer Trainee, Professional Engineer Trainee and Right of Way Trainee programs; and
- Discretionary pay increases for employees who perform their duties in an exemplary manner.

This submission has been approved by Secretary of Transportation, Ananth Prasad.

Sincerely,

Kimberly Ferrell
Budget Officer

Proposed Amendment to Section 20.23, Florida Statutes

Included below is proposed language to amend section 20.23, Florida Statutes to specify the Legislature's support for the Department of Transportation's long standing training programs.

Section 20.23, Florida Statutes, is proposed to be amended as follows:

(7) The department will maintain training programs for the department employees and prospective employees, who are graduates from an approved engineering curriculum of 4 years or more in a school, college, or university approved by the State of Florida Board of Professional Engineers, to provide broad practical expertise in the field of transportation engineering, leading to licensure as a professional engineer. The department will maintain training programs for the department employees to provide broad practical experience and enhanced knowledge in the areas of right-of-way property management, real estate appraisal, and business valuation relating to department right-of-way acquisition activities. These training programs may provide for incremental increases to base salary for all employees enrolled in the programs upon successful completion of training phases.

In addition, the department requests the following language continue to be included in the back of the appropriations bill related to exemplary performance and family medical leave or authorized military leave:

- Each agency is authorized to grant merit pay increases to employees based on the employee's exemplary performance.
- Each agency is authorized to continue to grant temporary special duties pay additives to employees assigned additional duties as a result of another employee being absent from work pursuant to the Family Medical Leave Act or authorized military leave.

In the event the amendments to section 20.23, Florida Statutes, requested above are not made, the department requests that the language below continue to be included in the back of the appropriations bill. The language relates to the department's long standing training programs.

- The Department of Transportation is authorized to continue its training program for employees in the field of transportation engineering under the same guidelines established for the training program prior to June 30, 2006.
- The Department of Transportation is authorized to continue its training program for employees in the areas of right-of-way acquisition, relocation benefits administration, right-of-way property management, real estate

appraisal, and business valuation under the guidelines established for the training program prior to June 30, 2006.

**FLORIDA DEPARTMENT OF TRANSPORTATION
TRAINING PROGRAM PAY INCREASES
FOR FISCAL YEAR 2012-13**

1. How long will this requested authority be in effect?

The Engineer Trainee, Professional Engineer Trainee and Right of Way Trainee Programs have been in effect for over 20 years and the Department hopes that they will continue to be in effect indefinitely with the pay increase provisions intact.

2. What classes are involved in this request?

<u>Class Code</u>	<u>Class Title</u>
4406	Right of Way Specialist I
4654	Engineer Trainee
4655	Senior Engineer Trainee

3. What is the area impacted (e.g. certain counties, statewide, varies)?

All three programs include trainees from the entire state.

4. Justification

On July 1, 2006, s. 216.251(3), Florida Statutes, became effective and inadvertently prevented the Department from providing the incremental pay increases associated with the Engineer Training, Senior Engineer Training and Right of Way Training Programs. Section 8 of the General Appropriations Act (GAA) for FY 2010-11 authorized the Department to continue its training program for employees in the field of transportation engineering under the same guidelines established for the training program prior to June 30, 2006. Section 8 of the GAA for 2010-11 further authorized the Department to continue its training program for employees in the areas of right-of-way acquisition, relocation benefits administration, right-of-way property management, real estate appraisal, and business valuation under the same guidelines established for the training program prior to June 30, 2006.

5. Historical data

The Department of Transportation administers three separate training programs: Engineer Training Program; Senior Engineer Training Program and the Right of Way Training Program. The combined Engineer and Senior Engineer Training Programs constitute the Professional Engineer Training Program.

The purpose of the Professional Engineer Training Program is to provide selected employees with broad, practical experience in the field of transportation engineering, leading to registration as a licensed Professional Engineer in the State of Florida. Additionally, trainees receive training in management and administrative functions within the Department. The duration of the program is four years and is divided into two phases. The first phase is the Engineer Training Program. This phase spans 24 months and exposes the trainee to rotational assignments in all aspects of the Department's scope of duties. The second phase is the Senior Engineer Training Program. This program also spans 24 months that combines on-the-job training in both the technical and managerial functions of a specific work area for which the trainee is assigned.

During the course of this training program, trainees are eligible for 6 month incremental pay increases of 5 percent contingent on satisfactory performance evaluations. Successful completion of the Program is defined by taking and successfully passing the Professional Engineer's Examination administered by the Florida Board of Professional Engineers. (Please see Attachment A for more detailed information on this program.)

The purpose of the Right of Way Training Program is to introduce trainees to the Department's Right of Way Program, which includes: land acquisition, appraisal, eminent domain, land title, relocation assistance, outdoor advertising, property management, and technology application. The program is 24 months in duration and is composed of six-month segments that require the trainees to successfully complete designated courses, prescribed demonstrated work products and to work and train in the areas within the Right of Way Program. The trainees receive informal ratings every 3 months to ascertain their progress. Formal evaluations are completed at the end of 6, 12, 18 and 24 months. Upon a satisfactory review of each trainee's performance during these performance evaluations, the trainee becomes eligible for a 5 percent incremental pay increase. (Please see Attachment B for more detailed information on this program.)

6. Estimated Cost

The estimated cost of continuing to implement pay increases associated with the trainee programs will not exceed the Department's existing salary and benefits budget and rate.

7. Is there any additional information you would like to provide?

Upon consultation with Governor's Office and Legislative staff, the Department proposes to amend current Statute in order to correct the inadvertent impact on the Training Programs.

Section 20.23, Florida Statutes, is proposed to be amended as follows;

(7) The department will maintain training programs for the department employees and prospective employees, who are graduates from an approved engineering curriculum of 4 years or more in a school, college, or university approved by the State of Florida Board of Professional Engineers, to provide broad practical expertise in the field of transportation engineering, leading to licensure as a professional engineer. The department will maintain training programs for the department employees to provide broad practical experience and enhanced knowledge in the areas of right-of-way property management, real estate appraisal, and business valuation relating to department right-of-way acquisition activities. These training programs may provide for incremental increases to base salary for all employees enrolled in the programs upon successful completion of training phases.

Approved:

Effective: January 12, 2001
Office: Personnel
Topic No.: 250-015-015-f

Thomas F. Barry, Jr., P.E.
Secretary

02/16/01 Pen & Ink change in 3(e) 7

PROFESSIONAL ENGINEER TRAINING PROGRAM

PURPOSE:

The purpose of this procedure is to establish the content and requirements of the Professional Engineer Training Program and the process for administration of the program.

AUTHORITY:

Sections 20.23(3) (a), 110.1095 and 334.044(2), Florida Statutes; Chapter 60L-14, Chapter 60K, Florida Administrative Code.

SCOPE:

The District Directors of Operations have the responsibility for administering this program in the Districts. The Personnel Resource Management Office in Central Office has responsibility for certain administrative functions to maintain the program's operation in the Department.

GENERAL:

The primary purpose of the Professional Engineer Training Program is to provide graduate civil engineers with broad, practical experience in the field of transportation engineering, leading to registration as a licensed Professional Engineer in the State of Florida. The secondary purpose is to provide training in management and supervisory techniques to prepare the Trainee for Management and administrative functions within the Department.

The total Professional Engineer Training Program is a four-year program divided into two phases. The first phase is the Engineer Training (ET) Program. This is a 24-month rotational assignment encompassing all aspects of the Department's work. The second phase is the Senior Engineer Training (SET) Program. This is a 24-month internship combining on-the-job training in both the technical and managerial functions of a specific work area in the Department.

DEFINITIONS:

Central Office - The Personnel Resource Management Office located in the Central Office.

Responsible Office - The office for the State Surveyor, State Roadway Design Engineer, State Traffic Operations Engineer, State Construction Engineer and the State Maintenance Engineer. These offices develop and maintain questions for required phase exams and prepare and grade the exams for the trainee.

District Director - The District Director of Operations.

Phase Supervisor - The individual assigned supervisory responsibility for a Trainee during phase training.

Phase Training - Training provided by any office that a Trainee is assigned to for the purpose of specific training in the policy and procedure of the Department's work effort.

Program - The Professional Engineer Training Program

District Program Coordinator - The individual assigned by the District Director of Operations to carry out and be responsible for any or all prescribed activities and responsibilities of the program within their District or work location. Must be a registered professional engineer.

Trainee - The graduate Civil Engineer enrolled in the Department's Professional Engineer Training Program.

(1) ENROLLMENT IN THE ENGINEER TRAINING PROGRAM:

(a) Eligibility:

The P.E. Training Program is not open to registered professional engineers, individuals currently qualified for registration, or those who have more than two years of post graduation engineering experience.

To be eligible for the Engineer Trainee position, candidates shall have the following minimum qualifications:

1. A Bachelor of Civil Engineering or Bachelor of Science in Civil Engineering Degree from a university accredited by the Accreditation Board for Engineering and Technology (ABET).
2. Be a United States citizen or a lawfully authorized alien worker.

This does not include sponsorship or practical training.

3. Be registered to take the Fundamentals of Engineering examination as administered by the Florida Board of Professional Engineers, or the equivalent examination administered by another state within the United States, prior to appointment.

SPECIAL NOTE: For continuing eligibility all appointees to this Program must obtain the Fundamentals of Engineering certificate within twelve (12) months of appointment. Failure to do so will result in the employee being removed from the Program.

Candidates who exceed the minimum entry level requirements of the Engineer Training Program, but who do not meet the entry requirements of the Senior Engineer Training Program, shall be considered as having satisfied only the minimum entry level requirements of the Engineer Training Program. Such candidates shall be required to complete the 2-year Engineer Training Program in its entirety. The Senior Engineer Training Program may then be foreshortened by an amount of time, equal to the amount of time the candidate needs to become eligible for professional registration.

(b) Application and selection:

Candidates from accredited universities and within the Department may apply to any District Personnel Office or to the Personnel Resource Management Office in the Central Office for consideration to enter the program. The final authority for candidate selection remains with each District or appropriate Central Office Manager in cases where the Trainee position is in the Central Office. Engineer Trainee positions must be advertised statewide in accordance with **Chapter 60K-3** of the **Career Service System Rules**, Department of Management Services and filled in accordance with **DOT Procedure 250-015-005, Career Service Recruitment and Selection**.

(2) PROGRAM CONTENT AND DURATION:

The Engineer Training Program is a twenty-four (24) month, rotational training assignment in all aspects of the Department's work. The recommended minimum times in various phases are outlined below. The Trainee must be given meaningful work assignments that will provide hands-on experience from both an engineering and administrative perspective.

The training schedule for an individual Trainee is dependent upon the needs and

workload in the various phase areas. Normally, the training schedule will be developed using the recommended time frames below, but special needs may require modifying the training schedules somewhat.

For example, a District may have a specific need for engineers in Design. In such cases, a special schedule could be developed to emphasize those areas which impact Design by requiring more than the recommended time be spent in such phases as Construction and Maintenance. The Trainee must, however, be scheduled and attend all phases of training outlined below. The Program Coordinator will determine the schedule to include both District and Central Office exposure in these areas.

(a) Central Office Training Phase (3 weeks)

Orientation by DOT State Offices

(b) District Training Phases - (101 weeks)

Administration
Transportation Planning (1 week)
Public Transportation (1 week)
Work Program
Environmental Management (2-8 weeks)
Surveying and Mapping (6-8 weeks)
Roadway Design (4-12 weeks)
Structures Design (4-12 weeks)
Specifications
Estimates
Right of Way (1-2 weeks)
Pavement Management
Contracts Office
Construction (8-12 weeks)
Materials (2 weeks)
Maintenance (8-12 weeks)
Traffic Operations (6-12 weeks)
Safety
Computer Orientation
Legal
Specialty Phase (16-26 weeks)

The Specialty Phase begins after the eighteenth (18th) month of the program. The purpose of this phase is to transition the Trainee from rotational assignments to an internship in the Senior Engineer Training Program.

Prior to the Specialty Phase, the Trainee and the District Director decide which office the Trainee will be assigned to as a Senior Engineer Trainee.

Special Note: The Specialty Phase and Senior Assignment are ultimately at the discretion of the Director.

(3) PROGRAM ADMINISTRATION:

Administration of the Engineer Training Program is the responsibility of the District Director of Operations in each District. Certain aspects of the program will be administered by the Personnel Resource Management Office in the Central Office. The duties of the Central Office and the District are outlined below:

(a) Central Office (Personnel Resource Management Office)

1. Schedule/coordinate the Central Office Training Phase of the Program.
2. Conduct Quality Assurance Reviews (QAR's) in each District in accordance with the established District Quality Control Plan for the Professional Engineer Training Program. QAR's will include interviews with Trainees to ascertain if program goals are being met.
3. Conduct Quality Assurance Reviews of the Responsible Offices in the Central Office (Surveyor, Roadway Design, Traffic Operations, Construction and Maintenance) to ensure the proper annual development and maintenance of questions for preparing required phase exams.
4. Update and maintain a current procedure for the program.
5. Serve as liaison to any Central office Manager who has a Trainee assigned to him/her, and monitor the Trainee's overall progress through the Program.

(b) Responsible Office

The office for the State Surveyor, State Roadway Design Engineer, State Traffic Operations Engineer, State Construction Engineer and the State Maintenance Engineer. These offices develop and maintain questions used to prepare

required phase exams.

1. Maintain a pool of one hundred (100) questions to prepare a unique phase exam for each discipline upon request from a District.
2. Update the pool of questions annually.
3. Grade the phase exam and notify the District within four weeks.

(c) District Director

The District Director shall:

1. Administer the program.
2. Develop the District training schedule for each Trainee and review with the Trainee.
3. Inform each Phase Supervisor when and how long trainees will be assigned to the respective phase.
4. Act as the Trainee Rater. Coordinate and review all Trainee phase critiques, Trainee ratings and any input deemed necessary from Phase Supervisors to complete the six-month performance evaluations. Take action to correct any deficiencies identified in the critiques or ratings.
5. Conduct Trainee orientation including what is expected of the Trainee and what the Trainee can expect.
6. Conduct periodic counseling with each Trainee regarding interest in the Program, attitude, performance and career options.
7. Hold periodic group meetings with Trainees and Phase Supervisors to discuss any problems in the training process.
8. With the Trainee, determine where the Senior Engineer Training assignment will be completed.
9. Approve all six-month incremental salary increases.
10. Provide guidance to the District Program Coordinator (In Districts where a Coordinator is used) on Trainee scheduling, assigned locations, length of phases, Trainee discipline and counseling.

(d) District Program Coordinator

The District Director may appoint a Program Coordinator. The District Program Coordinator may be delegated any of the items assigned to the District Director in section (3)(c) except item 4.

The District Director is ultimately responsible for the quality of the Program. Any issue related to the Training Program, regardless of delegated authority, must be a concern of the District Director of Operations.

(e) Phase Supervisor

1. Assume complete supervisory responsibility for all Trainees assigned to the respective phase, for the duration of the phase.
2. Develop an on-the-job training plan consisting of meaningful work assignments for each Trainee assigned to the phase. The outline and checklist found in **Attachment I** may be used as a guideline in developing the training plan. Trainee projects that simulate real world experience should be developed if work program/personnel resource constraints prevent experience on actual projects.
3. Provide a copy of the proposed training plan including a copy of the outline and checklist to the Trainee, District Director and District Program Coordinator, if appropriate.
4. Review the on-the-job training plan and appropriate training outline/checklist from this procedure, (**Attachment I**), with each Trainee on the first day of the Trainee's assignment in the phase.
5. Periodically review the Trainee's progress with the Trainee and any other managers to whom the Trainee is assigned.
6. Sign the training outline and checklist at the end of the phase, attesting the Trainee has been provided the training proposed in the training plan discussed on the first day of the phase. Provide detailed explanation for any training not provided.
7. Rate the Trainee's performance at the end of the phase utilizing **Form No. 250-015-09, Trainee Rating, (Attachment II)**. In addition to evaluating the Trainee on a numerical scale of 1 to 5, specific constructive criticism shall be provided on all ten development items. These comments should focus on Trainee

strengths as well as opportunities for improvement. Comments shall be professional and deliberate to provide the Trainee a foundation for continued development.

8. Submit a copy of each Trainee Rating to the District Director and District Program Coordinator if appropriate.

(f) Engineer Trainee

1. Call Phase Supervisor one week prior to reporting to confirm phase start date.
 2. Review phase training outline and checklist in **Attachment I** prior to the phase start date.
 3. Develop and maintain communication with Phase Supervisor and any other managers to whom Trainee is assigned. Issues regarding the training plan, quantity of work, quality of work, office environment, personality conflicts, performance expectations, professional and personal concerns shall be discussed and resolved as necessary throughout the phase.
 4. Complete a written critique of each phase training using the **Form No. 250-015-08, Program Phase Critique, (Attachment III)**. In addition to evaluating the phase on a numerical scale of 1 to 5, specific constructive criticism shall be provided on all ten development items. These comments shall be professional and deliberate for the benefit of the Phase Supervisor and future Trainees.
 5. Sign the outline and checklist at the end of the phase to confirm the actual training covered during the phase.
6. Submit a copy of the signed outline and checklist and phase critique to the District Director and District Program Coordinator.

(g) District Personnel Office

1. Process all employee and position actions necessary for the Trainee to successfully progress through the program.
2. Provide District orientation to the new Trainee.

3. Participate in Trainee recruitment and selection as appropriate.
4. Maintain the official personnel file for each Trainee with all appropriate related information including but not limited to:
 - * Applicant Selection Report
 - * employee application
 - * official university transcript
 - * phase critiques & trainee ratings
 - * applicant selection guide
 - * Fundamentals of Engineering exam results
 - * employee action forms
 - * performance evaluations and salary increases

(4) **TRAINEE PHASE RATINGS**

(a) **Trainee Rating**

Each Phase Supervisor shall complete **Form No. 250-015-09, Trainee Rating**, for any Trainee assigned to a phase four (4) weeks or longer in duration. This form contains ten unique development items to be evaluated as a measure of the Trainee's performance during the phase; from the Supervisor's perspective. Each item shall be addressed on a scale of 1 to 5, with 1 being poor and 5 being excellent. Fractional ratings in one-quarter increments may be handwritten on the rating form. If any two or more of the ten evaluation items on this form are rated less than three, the overall rating will be "unsatisfactory". If nine or more of the ten evaluation items are rated three or greater, the overall rating will be "satisfactory." An "unsatisfactory" rating will warrant specific action as defined in **Section (7)**. Additionally, specific constructive criticism shall be provided in the space allocated. These comments shall be professional and deliberate in nature for the benefit of the Trainee's continued development. Trainee Ratings shall be the basis for the six-month Trainee evaluation and corresponding incremental salary increase. At the discretion of the District Director, additional Trainee Ratings may be justified during the program. A copy of the Trainee Rating shall be submitted to the District Director and District Program Coordinator if appropriate. The Trainee Rating shall become a permanent part of the Trainee's official personnel file.

(5) **PERFORMANCE EVALUATION & INCREMENTAL SALARY INCREASE:**

(a) **Six-month Evaluations - Incremental Increases**

Six (6), twelve (12) and eighteen (18) months after the date the Trainee enters the Program, the District Director as appropriate shall conduct a performance evaluation with the Trainee. The evaluator shall use phase Trainee Ratings as a guide to determine the overall conduct, progress and attitude of the Trainee during the previous six months. This information shall be compiled on **Form No. 250-015-09, Trainee Rating**. This form contains ten(10) unique development items to be evaluated as a measure of the Trainee's performance during the period. Each item shall be addressed on a scale of 1 to 5, with 1 being poor and 5 being excellent. Fractional ratings in one-quarter increments may be handwritten on the form. If any two or more of the ten evaluation items on the six-month evaluation are rated less than three, the overall rating will be "unsatisfactory." The COPES system performance level will reflect a "P" indicating the need for a "Performance Improvement Plan." An "unsatisfactory" six-month evaluation shall warrant specific action as defined in **Section (7)**. If nine or more of the ten evaluation items are rated three or greater, the overall rating will be satisfactory. The COPES system performance level will reflect an "R" indicating "Performance Review Plan." If a six-month overall Trainee evaluation is "satisfactory", the Trainee is eligible for a five (5) percent incremental salary increase. All incremental salary increases are subject to budget and rate availability. The effective date shall be within one (1) pay period of the six-month evaluation date. Incremental salary increases shall not be granted without signature authorization from the District Director as required on **Form No. 250-015-09, Trainee Rating**. Such increases will be processed as an approved Trainee Increase in accordance with Training Schedule - Pay Adjustment Code 30. Engineer Trainees are not eligible for superior proficiency increases, however, they are entitled to any legislatively mandated salary adjustment. The six-month Trainee Evaluation shall become a permanent part of the Trainee's personnel file.

(6) PHASE EXAMINATIONS

Five areas of the rotational training program require a written examination as an evaluation of the Trainee's comprehension of minimum technical knowledge. The State Surveyor, State Roadway Design Engineer, State Traffic Operations Engineer, State Construction Engineer and the State Maintenance Engineer shall be responsible, as the Responsible Office, for developing and updating annually a pool of one hundred (100) questions to be used to prepare a unique phase exam on upon request. An exam is not to be copied and reused, and identical exams may not be repeated for subsequent phase exams. The District Director or Program Coordinator will request each exam through the Responsible Office in the Central Office at least two (2) weeks prior to the completion of the phase.

The Responsible Office will send the exam to the District Director or Program Coordinator who will proctor the exam. Exams will be returned to the Responsible Office for grading. The District will be notified of the results within four (4) weeks. All phase exams must be taken and passed before the Trainee can successfully complete the program and be promoted. Additionally, any scheduled phase exams that are not completed successfully during any six (6) month period of the rotational program, shall be the basis to not grant an incremental salary increase. Retraining, by phase repetition not to exceed one-half the original phase duration, shall be mandatory for any Trainee failing any of the five (5) prescribed exams. Upon completion of the retraining phase, the Trainee shall be re-examined with a new phase exam. A second failure of any one phase exam shall result in dismissal from the program. Failure of any two phase exams, on the first attempt, shall also result in dismissal from the program.

(7) PROGRAM COMPLETION:

Successful completion of the Engineer Training Program is defined as completing the prescribed twenty-four (24) months of training as required in **Section (2)** and as further outlined in this procedure. Upon completion of the Engineer Training Program, the incumbent will be reassigned to the Senior Engineer Training Program (SET). A permanent district position may be utilized for the SET Program or the incumbent may occupy one of the originally allocated core Engineer Trainee (ET) positions for completion of this program. Extended use of a core Engineer Trainee position beyond twenty-four (24) months is provided to give Districts and other units with trainees more time and flexibility in locating SET positions or permanent positions when trainees graduate from the program.

However, it is not the intent to automatically allow the use of an allocated core ET position for the entire four years of the program. The District Director or Program Coordinator as appropriate will monitor the duration of the SET assignment in an allocated core ET position to ensure this doesn't occur as a routine.

When an allocated core ET position is used for SET work, no reassignment is necessary upon completion of the Engineer Training Program. The incumbent's position description will be updated to reflect the new duties and responsibilities of the SET. **Form No. 250-015-09, Trainee Rating**, will be completed as an overall evaluation of the Engineer Training Program and indicating entry into the SET Program. The Trainee Rating items will be completed in accordance with **Section (4)**. A pay increase may be granted upon entry into the SET Program in accordance with the Department's pay procedure.

(8) DISCIPLINARY ACTION:

Disciplinary action should comply with established conduct standards and guidelines set forth in **Rule Chapter 14-17.012, F.A.C.** Any disciplinary action involving a Trainee should be reviewed with the appropriate Personnel Office prior to taking the action.

Additionally, other specific actions may be taken by the District Director in the event a Trainee receives an unsatisfactory rating in any individual phase or on an overall six month evaluation. Such actions could include, but not be limited to:

- (a) Repeating the phase with emphasis on deficiencies and intermediate Trainee Ratings. This option will postpone the Trainee's six month Trainee Evaluation date and extend the Engineer Training Program duration.
- (b) Denying the next six month incremental salary increase.

(9) DISMISSAL FROM THE PROGRAM:

Dismissal from the Program is defined as dismissal from the Department or dismissal from the Program and demotion to an engineering position at a pay grade less than the Engineer Trainee classification. Two situations may justify dismissal from the Program:

- (a) Failure to or achieve a satisfactory rating on a phase a second time after repeating a phase.
- (b) An unsatisfactory Trainee Evaluation at 6, 12, 18 or 24 months in the Program.

(10) DISMISSAL FROM THE DEPARTMENT:

Dismissal from the Department may occur only upon approval of the District Director of Operations. Any disciplinary action involving dismissal or which could lead to dismissal from the Program or the Department must be reviewed with the appropriate Personnel Office prior to finalizing such action. Only Trainees who have attained Career Service status in another class have the right to appeal such action to the Public Employees Relations Commission.

(11) ENROLLMENT IN THE SENIOR ENGINEER TRAINING PROGRAM:

- (a) **Purpose:**

The primary purpose of the Senior Engineer Training (SET) Program is to provide career path opportunities for graduates of the Engineer Training Program. The SET Program is designed to be an internship offering real world engineering and supervisory experience, as well as specific training leading to registration as a Professional Engineer. Circumstances may justify placing engineers that have satisfied the degree, certificate and experience requirements in Senior Engineer Trainee positions for training purposes. In this case Senior Engineer Trainee positions shall be advertised. Senior Engineer Trainee positions are not to be advertised when used to advance Engineer Trainees in the Program.

(b) Eligibility:

To be eligible for a Senior Engineer Trainee position, the candidate must be a United States citizen or a lawfully authorized alien worker. This does not include sponsorship or practical training. Additionally, the candidate must have the following minimum qualifications:

1. Bachelor of Civil Engineering or Bachelor of Science in Civil Engineering degree from an ABET accredited university.
2. Successful completion of the first two years of the Department's Professional Engineer Training Program.

-OR-

1. Bachelor of Civil Engineering or Bachelor of Science in Civil Engineering from an ABET accredited university.
2. Fundamentals of Engineering certificate.
3. Two (2) years of experience as an engineer and eligibility to take the Professional Engineer Examination in no less than 24 months after appointment to the SET Program.

-OR-

1. One (1) year of experience as an engineer, a Masters Degree in Civil Engineering from an ABET accredited university, and the Fundamentals of Engineering certificate, and eligibility to take the Professional Engineer examination in no less than 24 months after appointment to the SET Program.

Special Note: The Senior Engineer Training Program is not open to

individuals eligible for registration or those who have more than two years of post graduation engineering experience.

(12) TRAINING REQUIREMENTS:

The Senior Engineer Training Program (SET) is an internship where the Trainee gains practical experience. The assignments in the SET Program shall be determined by assessing the Trainee's knowledge, skills and abilities as well as the District's personnel resource needs. The Senior assignment is ultimately at the discretion of the District Director. The Trainee will be given appropriate supervisory and engineering authority. The SET Program shall be geared toward preparing the Trainee for registration as a professional engineer. In addition to on-the-job-training, the Trainee will be expected to attend and complete any technical training as offered, and managerial training such as:

- (a) Certified Public Manager Program (Levels I, II, III).
- (b) Employee Review and Performance Planning
- (c) Fundamental Skills of Communications
- (d) Fundamental Skills of Managing People
- (e) Disciplinary Action
- (f) Employee Grievance
- (g) Attendance and Leave
- (h) Employee Selection

(13) TRAINEE MONITORING AND EVALUATION:

Progress of the Senior Engineer Trainee will be monitored by the Trainee's Supervisor, the District Director and the Program Coordinator. Every six (6) months, an informal review shall be conducted by the Supervisor with the Senior Engineer Trainee to discuss the Trainee's progress toward completing the stated training requirements. At the end of twelve (12) and twenty-four (24) months, the immediate Supervisor shall prepare **Form No. 250-015-09, Trainee Rating** in accordance with **Section (4)**. If the annual overall Trainee Rating is satisfactory, the Trainee's immediate supervisor will coordinate a five (5) percent salary increase granted within one (1) pay period of the Trainee's anniversary date. The annual increase shall not be granted without signature authorization of the District Director as required on **Form No. 250-015-09, Trainee Rating**. Such increases will be processed as an approved Trainee Increase in accordance with Training Schedule - Pay Adjustment Code 30. All annual salary increases are subject to budget and rate availability. Senior Engineer Trainees are not eligible for superior proficiency increases, however they are entitled to any legislatively mandated salary adjustment. Any unsatisfactory annual rating will warrant specific action as outlined in **Section (13)** which could include removal from the

Program. The annual **Trainee Rating** shall become a permanent part of the Trainee's personnel file. The District Director and Program Coordinator shall be responsible for tracking each Senior Engineer Trainee's progress towards professional registration.

(14) DISCIPLINARY ACTION:

Although Senior Engineer Trainees do not have Career Service status (permanent status), any disciplinary action should comply with established conduct standards and guidelines set forth in **Rule Chapter 14-17.012, F.A.C.** Any disciplinary action involving a Trainee should be reviewed with the appropriate Personnel Office prior to taking the action.

Additionally, other specific actions may be taken by the District Director in the event a Trainee receives an unsatisfactory overall rating:

- (a) Postponing any annual salary increase for any bi-weekly period up to six (6) months. This duration will extend the program completion date in kind, and shall not relieve the Trainee's obligation to apply for professional registration based on the original hire date.
- (b) Denying the annual salary increase.
- (c) Removing the Trainee from the Program and placing the Trainee in an appropriate Career Service position at or below the classification for Senior Engineer Trainee.

(15) DISMISSAL FROM THE DEPARTMENT:

Dismissal from the Department may only occur upon written recommendation of the District Director. Only Senior Engineer Trainees who have attained Career Service Status in another class have the right to appeal such action to the Public Employees Relations Commission.

(16) PROGRAM COMPLETION:

Successful completion of the Program is defined as taking the first Professional Engineer's examination administered by the Florida Board of Professional Engineers, for which the Trainee is eligible. The duration of the Senior Engineer Training Program is dependent upon the Trainee's eligibility for the P.E. exam, but under no circumstances shall the Trainee remain in the class for more than thirty-six (36) months. Failure to meet this obligation shall result in specific disciplinary action that could include removal from the Program and dismissal

from the Department. Upon notification of favorable examination results, the Trainee shall be promoted to the classification of Engineering/Architecture/Surveying - Level IV. A pay increase may be granted upon promotion in accordance with the Department's pay procedure. In the event that exam results are unfavorable, after thirty-six (36) months in the class, the Trainee must be placed in an appropriate Career Service position as determined by the District Director.

(17) FORMS:

Form No. 250-015-08, Program Phase Critique, and Form No. 250-015-09, Trainee Rating, are available from the Department's Forms Library.

ATTACHMENT I - PHASE OUTLINE AND CHECKLIST

1. Planning
2. Surveying and Mapping
3. Design -
 - Roadway
 - Drainage
 - Traffic Plans and Standards
 - Structures
4. Traffic Operations
5. Right of Way Engineering
6. Right of Way Administration
7. Construction
8. Maintenance
9. Materials (District)
10. Materials (Gainesville)
11. Public Transportation
12. Environmental Management

TRAINEE: _____

PLANNING (Outline and Checklist)

- (1) Transportation Statistics and Data Base
 - (a) Periodic Traffic Count Program
 - (b) Continuous Traffic Count Program
 - (c) Vehicle Classification Program
 - (d) Roadway Characteristics Inventory
 - (e) Straight Line Diagrams
 - (f) Functional Classification
 - (g) Design Traffic

- (2) Multi-Modal Transportation Planning
 - (a) Urban Transportation Planning
 1. Metropolitan Planning Organization
 - a. MPO's Relationship to DOT
 - b. Unified Planning Work Program
 - c. Transportation Improvement Program (TIP)
 2. Long Range Transportation Plan Development
 - a. Model Development
 - (I) Networks
 - (II) Calibration
 - (III) Validation
 - (IV) Forecast
 - (A) Trip Generation
 - (B) Trip Distribution
 - (C) Trip Assignment
 - (V) Evaluation
 - (A) Needs Plan
 - (B) Cost Feasible Plan
 - b. Consultant Management
 - (b) FDOT Five Year Transportation Plan
 1. MPO and Local Government Coordination
 2. Preliminary Work Program
Development/Transportation Priorities
 3. Adoption of Five-Year Transportation Priorities
Plan
 - (c) Project Evaluation
 1. Design Traffic
 2. Development Regional Impact Study
 - (d) Systems Planning

- 1. NHS
- 2. FIHS
- 3. Corridor Action Plans and Interstate Master Plans

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

SURVEYING AND MAPPING (Outline and Checklist)

- (1) Introduction to Land Surveying
 - (a) Administrative Procedures
 - (b) District Surveying and Mapping
 - (c) Issue Schedule
 - (d) Issue Available Study Materials
 - (e) Necessary Coordination - Next Supervisor
 - (f) Public Relations - Do's and Don'ts

- (2) Base Line Control
 - (a) Records Research and Filing Systems
 - (b) Recovery of Control Stations and Bench Marks (BM's)
 - (c) Establishing Control Stations, Referencing and Preparing Reference Sketches
 - (d) Angular and Distance Measurements
 - (e) Computations for the Baseline Control (BLC) Transverse (Including Adjustment)

- (3) Design Surveys
 - (a) Horizontal
 1. Centerline Cutting
 2. Care and Use of Instruments
 3. Establishing Alignment
 4. Making and Computing Ties to Base Line Control (BLC) and Pre-Stationing Job
 5. Staking Centerline or Baseline (Including Chaining with Calibrated Tape)
 6. Computing and Staking Curves
 7. Side Street Intersections
 8. Topography, Including Taking Notes
 9. Centerline Referencing
 - (b) Vertical
 1. Research and Recovery of Bench Marks
 2. Care and Use of Level and Rods
 3. Establishing and Describing Job Bench Marks
 4. Running and Adjusting Bench Levels
 5. Regular Roadway Cross Sections
 6. Special Cross Sections
 7. Drainage Surveys
 8. Location and Obtaining Elevations on Underground

Utilities

- (4) Right of Way (R/W) and Other Land Surveys
 - (a) Public Records Research
 - (b) Public Land Corner Recovery
 - (c) Ties to Land Lines
 - (d) Subdivision and Small Property Corner Recovery and Ties
 - (e) Bridge Data Surveys

- (5) Final Examination and Critique
 - (a) Examination Administered
 - (b) Final Critique

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

DESIGN - ROADWAY (Outline and Checklist)

- (1) Introduction to Design Guidelines
 - (a) Roadway "Plans Preparation Manual"
 - (b) AASHTO "A Policy on Geometric Design of Highways and Streets"
 - (c) Standard Indexes
 - (d) Standard Specifications
- (2) Computer Applications
 - (a) GEOPAK
 - (b) CADD
 - (c) CES
- (3) Project Plans Review
 - (a) Field Notes Use
 - (b) Survey Details
 1. Alignment
 2. Topo
 3. Groundlines
 - (c) Alignment Determination
 1. Horizontal
 2. Vertical
 - (d) Cross Sections
 - (e) Drainage Sections
 - (f) Earthwork
 - (g) Quantities/Pay Items/Plans Notes
- (4) Test Review
 - (a) Reduce, Check and Plot Field Survey Notes
 - (b) Horizontal Curves
 1. Superelevation
 2. Sight Distance
 - (c) Vertical Alignment
 1. Stopping Sight Distance
 2. Passing Sight Distance
 3. Minimum Gutter Grades
 - (d) Drainage Structures
 - (e) Earthwork
- (5) Pavement Design
 - (a) Introduction
 1. Review of Pavement Design Process

- 2. Orientation to Supporting Manuals/Procedures
- (b) Project Reviews
 - 1. Traffic Data
 - a. ADT
 - b. 18 kip axle loading
 - 2. Soils Data
 - a. Soil Support Value
 - 3. New Construction
 - a. Typical Section
 - b. Subgrade Stabilization
 - c. Optional Base
 - d. Structural Course
 - e. Friction Course
 - 4. Pavement Rehabilitation
 - a. Concrete Pavement (Rigid)
 - b. Asphalt Pavement (Flexible)

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

DESIGN - DRAINAGE (Outline and Checklist)

- (1) Hydrology
 - (a) Review of Basic Hydrology Concepts Utilized to Determine Discharge
- (2) Hydraulics
 - (a) Crossdrain Design
 - 1. Historical Methods Used
 - (b) Design of Ditches
 - (c) Storm Sewer Design
- (3) Standard Indexes
 - (a) Inlets
 - 1. Ditch Bottom
 - 2. Curb Inlets
 - (b) Endwalls
 - (c) Underdrains
- (4) Review of Drainage Support
 - (a) Permitting
 - (b) Construction
 - (c) Maintenance
 - (d) Legal

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

DESIGN - TRAFFIC PLANS AND STANDARDS (Outline and Checklist)

- (1) Introduction
 - (a) Plans Preparation Manual
 - (b) Manual of Uniform Traffic Control Devices (MUTCD)
 - (c) Traffic Engineering Manual
 - (d) Traffic Control Devices Handbook
 - (e) Roadway and Traffic Design Standards
 - (f) FDOT Standard Specifications for Road and Bridge Construction

- (2) Project Reviews
 - (a) Signing and Markings
 - 1. Roadway
 - 2. Intersections
 - 3. Interchanges
 - 4. School
 - 5. Railroad
 - (b) Lighting
 - 1. Lighting Justification Procedure
 - 2. Conventional Lighting
 - 3. Highmast Lighting
 - 4. External Sign Lighting
 - (c) Signals
 - 1. Loops (Type)
 - 2. Signal Operation Plans
 - 3. Controller (Type)
 - 4. Placement of Signal Heads
 - 5. Signal Head Detail
 - 6. Controller Timing

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

DESIGN - STRUCTURES (Outline and Checklist)

- (1) Orientation
 - (a) Organization
 - 1. Central Office
 - 2. District Offices
 - (b) Bridge Components
 - (c) Reference Documents
 - 1. AASHTO
 - 2. Structures Design Guidelines
 - 3. Structures Detailing Manual
 - 4. Structures Standards

- (2) Structures Design
 - (a) Bridge Design
 - 1. Superstructure
 - 2. Substructure
 - (b) Miscellaneous
 - 1. Retaining Walls
 - 2. Sign Structures
 - 3. Box Culverts
 - 4. Traffic Signal Structures

- (3) Plans Review
 - (a) BDR
 - (b) Preliminary Plans
 - (c) Final Plans
 - (d) Specifications
 - (e) Estimates

- (4) Shop Drawing Review
 - (a) Administration/Process Review
 - (b) Component Review
 - 1. Stay-In-Place Forms
 - 2. Sign Structures
 - 3. Structural Steel
 - 4. Pedestrian/Bicycle Railings
 - 5. Expansion Joints
 - 6. Bearings
 - 7. Proprietary Walls
 - 8. Special Drainage Structures

- (5) Miscellaneous
 - (a) Construction Assistance
 - (b) Field Trips
 - (c) Computer Applications
 - (d) Maintenance Assistance
 - (e) Moveable Bridges
 - (f) Architecture

Signed: _____
Trainee Date

Verified: _____
Phase Supervisor Date

TRAINEE: _____

TRAFFIC OPERATIONS (Outline and Checklist)

- (1) Signing and Pavement Markings
 - (a) Information Systems Concepts
 - (b) General Procedures
 - (c) Review of Technical Manuals
 - (d) Legal Requirements
 - (e) Positive Guidance
 - (f) Parking Studies
 - (g) Speed Zones
 - (h) Review

- (2) Operational Analysis
 - (a) Review of Technical Manuals
 - (b) Data Collection Techniques
 - (c) Operational Studies (Purpose and Methodology)
 - 1. Roadway Operation
 - 2. Intersection Operation
 - (d) Analysis Techniques
 - 1. Manual Methods
 - 2. Computer Methods
 - (e) Review

- (3) Signalization and Signal Systems
 - (a) Legal Requirements
 - (b) Signal Needs Studies
 - (c) Signal Operation
 - (d) Computer Traffic Control
 - (e) Review

- (4) Safety
 - (a) Literature Review
 - (b) Accident Data Analysis
 - (c) Highway Safety Evaluation Studies
 - (d) Review

(5) Other Related Functions

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

RIGHT OF WAY ENGINEERING (Outline and Checklist)

- (1) Orientation
 - (a) Introduction to Supervisory Personnel
 - (b) Introduction to Right of Way Engineering Organization Structure
 - (c) Perusal of Chapter 1 through 7 of Right of Way Mapping Manual

- (2) Drafting
 - (a) Types of maps and their use
 - (b) Development of Right of Way map
 - (c) Source of information
 - (d) Measurements and Standards
 - (e) Revisions to maps-source
 - (f) Information to be reflected on aerial photo
 - (g) Preparation of sketches for legal purposes
 - (h) Review

- (4) Preparation of Legal Descriptions
 - (a) Types of conveying documents
 - (b) Deed, title search
 - (c) Plotting descriptions
 - (d) Strip descriptions
 - (e) Metes and bounds descriptions
 - (f) Other modes of description
 - (g) Preparation and transmittal of right of way package
 - (h) Preparation of suit information
 - (i) Application of knowledge and review

- (3) Right of Way Computations
 - (a) Basic Math requirements
 - (b) Automated geometry
 - (c) Liaison with consultants
 - (d) Liaison with Roadway Design
 - (e) Liaison with District Offices
 - (f) Review

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

RIGHT OF WAY ADMINISTRATION (Outline and Checklist)

- (1) Orientation and Briefing on Right of Way Organization and functions in Appraising, Acquisition, Relocations, Property, Management and Reports and Records
- (2) Assignment of Right ofWay Agent in field to observe negotiations in securing rights of way

Signed: _____
Trainee Date

Verified: _____
Phase Supervisor Date

TRAINEE: _____

CONSTRUCTION (Outline and Checklist)

- (1) Orientation
 - (a) Function and organization of District Construction Office
 - (b) Duties of Resident Engineer
 - (c) Duties of Project Engineer

- (2) Construction Layout and Measurements
 - (a) Alignment - Horizontal and Vertical Control
 - (b) Cross Sectioning
 - (c) Quantity Measurements

- (3) Construction Inspection
 - (a) Clearing and Grubbing
 - (b) Earthwork
 - 1. Excavation
 - 2. Embankment
 - 3. Stabilization
 - 4. Densities
 - (c) Base
 - 1. Materials
 - 2. Placement
 - 3. Density
 - 4. Finishing
 - 5. Priming
 - 6. Subgrade Preparation
 - (d) Drainage Systems
 - 1. Excavation
 - 2. Dewatering
 - 3. Pipe laying
 - 4. Backfill
 - 5. Manholes/Inlets
 - (e) Box Culvert Construction
 - 1. Line and Grade
 - 2. Excavation
 - 3. Forming
 - 4. Steel Placement
 - 5. Pouring Concrete
 - 6. Stripping and Finishing

 - (f) Miscellaneous Concrete Construction

1. Curb and Gutter
 2. Sidewalk
 3. Ditch Pavement
 4. Endwalls
 5. Barrier wall
- (g) Pavement Construction
1. Concrete Pavement
 - a. Base Preparation
 - b. Placing Concrete
 - c. Finishing
 2. Asphalt Pavement
 - a. Placement - Thickness Determination
 - b. Rolling
 - c. Equipment Inspection
 - d. Straightedging
 - e. Recycling Pavement
- (h) Materials Batching Plants
1. Concrete Batch Plant
 - a. Inspection
 - b. Sampling and Testing
 - c. Reports
 2. Asphalt Plant
 - a. Inspection
 - b. Sampling and Testing
 - c. Reporting
- (i) Bridge Construction
1. Layout, Grades
 2. Pile Driving
 3. Substructure Construction
(Forming, Steel, Concrete)
 4. Super-structure Construction
(Forming, Steel, Concrete)

- (j) Other Construction Items
 - 1. Traffic Signals
 - a. Material Certification
 - b. Controllers, Heads
 - 2. Sign Placement
 - a. Structure
 - b. Material
 - 3. Pavement Markings
 - 4. Grassing, Mulching, Sodding
 - 5. Guardrail
 - 6. Highway Lighting
 - 7. Maintenance of Traffic
 - 8. Environmental Concerns

- (4) Contract Administration
 - (a) Contract Package
 - 1. Plans Review
 - 2. Specifications, Special Provisions
 - (b) Preconstruction Conference
 - (c) Project Diary
 - 1. Daily Report
 - 2. Engineer's Weekly Report
 - 3. Work Plan
 - (d) Contract Changes
 - 1. Plan Errors, Changed Conditions
 - 2. Time Extensions
 - 3. Supplemental Agreements
 - 4. Claims
 - 5. Extra Work
 - 6. Delinquency and Liquidated Damages
 - 7. Negotiating
 - (e) Other Contract Items
 - 1. Construction Scheduling
 - 2. Weekly, Monthly, Final Estimates
 - 3. DBE/EEO Provisions
 - (f) Utilities
 - (g) Final Inspections

- (5) Relations with Others
 - (a) FHWA
 - (b) Inspector General
 - (c) Central Office
 - 1. Quality Assurance Reviews

- 2. Area Engineers
 - (d) Public
 - (e) Contractor
 - (f) Utilities
 - (g) Other Government Agencies

- (6) DOT Policies
 - (a) Construction Procedures
 - (b) Materials Procedures
 - (c) Instructional Memorandums

- (7) Engineer's Supervisory Responsibilities
 - (a) Technician Training
 - 1. Qualification Programs
 - 2. Self Study Courses
 - 3. Technical Training
 - (b) Personnel Rules, Regulations, Procedures
 - (c) Engineer Training
 - (1) Administrative, Managerial
 - (2) Technical

Signed: _____
Trainee Date

Verified: _____
Phase Supervisor Date

TRAINEE: _____

MAINTENANCE (Outline and Checklist)

- (1) Orientation
 - (a) District Maintenance Engineer
 - (b) Maintenance Engineer
 - 1. Maintenance definition and purpose
 - 2. Value of adequate maintenance program to Department
 - 3. Organization of maintenance unit
 - 4. Source of revenue
 - 5. Cost distribution
 - (c) Assistant Maintenance Engineer
 - 1. Duties and responsibilities
 - 2. Public contact
 - 3. Work identification
 - 4. Work assigning
 - 5. Contract maintenance

- (2) Field Operations
 - (a) Roadway Base and Surface
 - 1. Various surface and base combinations
 - 2. Base and pavement failure causes and methods of repair
 - (b) Shoulders and Side Approaches
 - 1. Shoulder adjustment (raising or lowering as needed)
 - 2. Stabilizing
 - 3. Addition of paved apron for protection of pavement edge
 - (c) Roadside and Drainage
 - 1. Periodic inspection
 - 2. Cleaning storm sewers and cross drains
 - 3. Methods of sealing leaking joints in storm sewers
 - 4. Ditch paving - type and when used
 - 5. Roadside and outfall ditches
 - 6. Sub-drains
 - (d) Guard Rails and Fences
 - 1. Types used
 - 2. Maintenance required
 - (e) Landscape and Mowing
 - 1. Coordination of hand labor
 - 2. Planting
 - 3. Mulching, seeding, grassing, and fertilizing
 - 4. Machine mowing

- 5. Chemical control
- (f) Structures
 - 1. Routine inspection
 - 2. District bridge inspection program
 - 3. Various methods used for repair of bridges
 - 4. Methods and paint used on steel structures
 - 5. Repair of concrete bridge structures
 - 6. Maintenance and repair of drawbridges
 - 7. Bridge accidents - reports and repairs
 - 8. Bridge tenders and draw bridge
 - 9. Tunnel operation District IV
- (g) Traffic Controls and Services
 - 1. Sign crews and sign policy
 - 2. Symbol crews
 - 3. Pavement striping procedure and crews (districtwide)
 - 4. Traffic and railroad signal policy
 - 5. School zone policy
- (h) Litter Clean Up
 - 1. Hand labor
 - 2. Mechanical
- (i) Other Services
 - 1. Rest areas
 - 2. Wayside parks, board ramps, fishing walks
 - 3. Weigh stations
- (j) Skilled Trades
 - 1. Electrician
 - 2. Plumber
 - 3. Carpenter
 - 4. Trades foreman
- (k) Road Prisons
 - 1. Type crews
 - 2. Where used
 - 3. Jurisdiction of DOT and Division of Corrections
- (l) Highway Maintenance Supervisor
 - 1. Duties and responsibilities
 - 2. Supervision of work
- (3) Warehouse
 - (a) Personnel and duties
 - (b) Procurement of supplies by requisition
 - (c) Proper storage and handling of supplies
 - (d) Accounting procedure
 - (e) Disposal of junked or obsolete material
 - (f) State warehouse

- (4) Repair Shop
 - (a) Personnel and duties
 - (b) Tolls and equipment
 - (c) Procedure for obtaining parts
 - (d) Overhauls and trades
 - (e) Routine maintenance of equipment
 - (f) Gas station
 - 1. Purchasing and issuing procedures
 - 2. Inventory

- (5) Maintenance Office
 - (a) Personnel and duties of each
 - (b) Permits, reports, policies, and correspondence
 - (c) File system and records
 - (d) Maintenance budget preparation and execution

- (6) Maintenance Systems
 - (a) Maintenance Systems Engineer - duties and responsibilities
 - (b) Maintenance Management System
 - 1. Inventories
 - 2. Work plans
 - 3. Performance standards
 - 4. Scheduling
 - 5. Reporting and reports
 - 6. Crew studies
 - 7. Roadway Characteristics Inventory

- (7) District Maintenance Engineer and Staff
 - (a) District Maintenance Engineer - duties
 - (b) Assistant District Maintenance Engineer
 - (c) Roadway Engineer
 - (d) Systems Engineer
 - (e) Equipment Manager
 - (f) Bridge Engineer
 - (g) On-going program
 - 1. Centerline crews
 - 2. Facility maintenance
 - 3. Pavement condition surveys
 - 4. Training
 - 5. Maintenance Rating Program
 - (h) Contract Engineer
 - (i) Permit/Drainage Engineer
 - (j) Budget Engineer

- (8) Statewide Support
 - (a) Sign shop
 - (b) Aluminum fabrication shop
 - (c) State warehouse

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

MATERIALS - DISTRICT (Outline and Checklist)

- (1) Orientation
 - (a) Briefing on District Materials and Research Organization and functions
 - (b) Introduction to personnel

- (2) Materials
 - (a) Lab Tests
 - 1. Gradation (coarse & fine aggregate)
 - 2. Proctors (standard & modified)
 - 3. Limerock bearing ratio (L.B.R.)
 - 4. Concrete cylinders (storage & breaking procedures)
 - 5. Soil Classification
 - (b) Field Tests
 - 1. Soil sampling (stock piles or in-place material)
 - 2. Density tests (or nuclear gauge)
 - 3. Concrete slump test
 - 4. Concrete test cylinders
 - 5. Concrete Air Content
 - 6. Concrete Temperature
 - 7. Maturity Measurement
 - 8. Sign Inspection

- (3) Bituminous Materials
 - (a) Lab Tests
 - 1. Marshall's
 - 2. Bitumen content
 - 3. Aggregate gradation
 - 4. L.A. Abrasion and minus 200 tests
 - (b) Field Tests
 - 1. Stockpile contamination
 - 2. Sample aggregate
 - 3. Temperature checks
 - 4. Plant certification
 - 5. Coring
 - 6. Rolling straight edge
 - 7. Final inspection

- (4) Geotechnical Engineering
 - (a) Sampling Procedures
 - 1. Standard penetration test
 - 2. Auger borings
 - (b) Field Test
 - 1. Permeability
 - 2. Cone penetration test
 - 3. Corrosion testing
 - (c) Lab Test
 - 1. Triaxial shear
 - 2. Consolidation
 - (d) Geotechnical Analysis and Design
 - (e) Geotechnical Construction Monitoring
 - (f) Dynamic Pile Analysis

- (5) Prestress & Precast Structures
 - (a) Piles and Beams
 - 1. Layout
 - 2. Stressing
 - 3. Pouring and sampling
 - 4. Final inspection
 - (b) Precast Units
 - 1. Manufacture
 - 2. Final inspection

- (6) Portland Cement Concrete
 - (a) Testing
 - 1. Lab testing
 - 2. Sampling & testing
 - (b) Concrete Plant Inspection
 - 1. Aggregate handling & testing
 - 2. Other materials handling and testing
 - 3. Records
 - (c) Acceptance Methods
 - (d) Progress Record/Independent Assurance

- (7) Pavement Management
 - (a) Construction Plans
 - (b) Site Reconnaissance
 - (c) Cone Evaluation
 - (d) Report Writing
 - (e) Special Problems

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

TRAINEE: _____

MATERIALS (GAINESVILLE) (Outline and Checklist)

- (1) Orientation
State Corrosion Engineer
 - (a) Welcome
 - (b) Functions & Organization

- (2) Structural, Chemical and Corrosion Section Orientation in equipment and procedures for testing concrete cylinders, cubes, beams and aggregates. Participate in sampling and testing operations. Discussions of quality control requirements for cement, aggregates, steel, and concrete. Discussion of current research projects and future trends in concrete research, including related problems such as shrinkage, creep, temperature effects, corrosion, and reactive aggregates.

Instruction in procedures used to test, evaluate, and approve materials. Participation in the discussion of on-going research on corrosion control materials and methods. Analysis of environmentally sensitive materials.

- (3) Bituminous Materials Section

Orientation in the organization and functions of this activity. Familiarization with current specifications. Assist laboratory personnel in testing asphalt plant and paving operations. Review of Department's Asphalt Pavement Program.

- (4) Pavement Systems Evaluation Section

Orientation as to the objectives and methods used in this activity, including visual inspection and/or Friction Test Unit, Mays Meter, etc.

- (5) Geotechnical Materials Section

Orientation in the use of soil testing equipment and procedures in the central soil

lab, including discussion of relationship between District Materials labs and central lab. Explanation of the statewide functions and responsibilities of the aggregate control section, including the importance of random sampling to the control program. Explanation of the functions of the field section, including discussion of the use of the various field testing equipment. Observation of research in progress in the test pit.

- (6) Exit Interview
 - (a) Critique

Signed: _____
Trainee Date

Verified: _____
Phase Supervisor Date

TRAINEE: _____

PUBLIC TRANSPORTATION (Outline and Checklist)

- (1) Public Transportation
 - (a) Organization
 - (b) District Relationship
 - (c) Goals and Objectives
 - (d) Funding

- (2) Aviation Office
 - (a) Overview
 - 1. Functions
 - 2. Publications
 - (b) Aviation Development
 - 1. New airports
 - 2. Noise and land use
 - 3. Tall structures
 - 4. Pilot education
 - (c) Aviation Operations
 - 1. Federal AIP Program
 - 2. State Grant Programs
 - 3. Airport inspection/licensing
 - (d) Field Trip
 - 1. Airport
 - a. Field base operations
 - b. Weather operations
 - c. Hangars
 - d. Fixed base operations

- (3) Rail Office
 - (a) Overview
 - 1. Functions
 - 2. Operational objectives
 - (b) Rail Programs
 - 1. Development
 - a. ISTEA High Speed Rail Corridor
 - b. Grade Crossing Safety Projects
 - c. Commuter rail projects
 - d. Ports and intermodal program
 - 2. Systems

- a. Amtrack projects
 - 3. Safety
 - a. Overview
 - b. Functions
 - (c) Rail Operations
 - 1. Contract negotiations
 - 2. Permits and hearings
 - 3. Reports and billing
 - (d) Field Trip
 - 1. Track system
 - 2. Track inspection
 - 3. Reports
 - 4. Crossing signals
 - 5. Crossing surfaces
- (4) Transit Office
 - (a) Office overview
 - 1. Office objectives
 - 2. Federal/state/local relationship
 - 3. Funding/chapter 341
 - (b) Transit Development
 - 1. Program/budget development
 - 2. Application of innovative techniques
 - 3. New programs for Florida
 - (c) Transit Operations
 - 1. Urban: transit program
 - 2. Small urban/rural program
 - 3. Transportation disadvantaged program
 - 4. Service support program
 - a. design engineering/criteria
 - b. Bus fleet
 - c. Bus rehabilitation

TRAINEE: _____

ENVIRONMENTAL MANAGEMENT (Outline and Checklist)

- (1) Preliminary Engineering
 - (a) Advance notification
 - (b) Class of Action Determination
 - 1. Categorical Exclusion
 - 2. Environmental Assessment
 - 3. Environmental Impact Statement
 - 4. State Environmental Impact Report
 - (c) Preliminary Engineering Report
 - (d) Public Involvement/Community Impact Assessment

- (2) Environmental Impact Analysis
 - (a) Environmental Documentation
 - 1. Social and Economic Impacts
 - 2. Cultural and Historical Resources
 - 3. Natural and Physical Impacts
 - (b) Contamination Assessment and Remediation
 - 1. Hazardous Materials
 - 2. Petroleum Contamination
 - 3. Asbestos

- (3) Environmental Regulatory Permitting
 - (a) Federal Agencies
 - (b) State Agencies
 - (c) Mitigation
 - (d) NPDES (to be taken after Drainage)

- (4) Commitment Compliance
 - (a) Environmental Documents
 - (b) Environmental Permits

Signed: _____
 Trainee Date

Verified: _____
 Phase Supervisor Date

* * * * *

Attachments II and III of this procedure are not displayed in the Infobase. See **Section (17)** of this procedure for accessing forms that are included as **Attachments II and III**.

Section 13.1

RIGHT OF WAY TRAINING PROGRAM

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Section 13.1

RIGHT OF WAY TRAINING PROGRAM

PURPOSE

To describe the requirements for participation in the Right of Way Training Program, the respective responsibilities associated with its conduct, and the operations necessary for it to be effectively carried out.

The purposes of the Training Program are to:

- (A) Improve professional competence;
- (B) Provide salary incentives;
- (C) Improve the right of way property acquisition process;
- (D) Prepare employees for advancement.

AUTHORITY

Sections 20.23 (3) (a) and Section 334.048, Florida Statutes (F.S.); Section 216.521 (3), F.S, Rules of the Department of Management Services Personnel Management System - Chapter 60L-33, Florida Administrative Code (F.A.C.)

SCOPE

All employees of the Office of Right of Way and the Personnel Office of both Central Office and the Districts.

TRAINING

There is no mandatory training required in applying this section. All requirements of the Right of Way Training Program are outlined in this section.

FORMS

The following forms are available through the FDOT Forms Library:

[575-000-02, Right of Way Specialist Trainee Work Unit Worksheet](#)
[575-000-03, Trainee Rating Form, Real Estate, Level II Training Program](#)
[575-000-04, Trainee Rating Form - First Year, Right of Way Level III Training Program](#)
[575-000-05, Trainee Rating Form - Second Year, Right of Way Level III Training Program](#)
[575-000-06, Trainee Rating Form - Third Year, Right of Way Level III Training Program](#)

BACKGROUND

In conjunction with the Department's overall policy to increase its internal professional standards and improve its operating practices and procedures, formalized training programs have been developed for Real Estate, Level II employees and selected Real Estate, Level III employees.

The Training Program is designed as an internship where the trainee works with real world situations using knowledge and skills introduced in a specially designed series of courses. Success in the Program is based on passing courses and receiving satisfactory trainee performance ratings from the supervisor. Trainees are expected to be productive employees, apart from their participation in the Training Program.

Conduct of the Training Program described herein is contingent on the approval of funding for each fiscal year and is subject to change based on the Department's needs.

13.1.1 Real Estate, Level II Training Program - Eligibility

Participation in this program is mandatory for all Real Estate, Level II employees except those who have completed the Real Estate, Level II Training Program within the previous three (3) years. Participants will be appointed to the Program with trainee status effective on the date the training cycle in which they are enrolled officially begins, which status shall be retained until graduation from the Program or removal from the Program by promotion or as described in **Section 13.1.18**. The official beginning date of a trainee's training cycle is determined by the Central Office Training Program Manager and notification is by a **Letter of Appointment**, see **Attachment 1**.

13.1.2 Real Estate, Level III Training Program - Eligibility

Participation in this Program is not available to all Real Estate, Level III employees. Entry

into the Program is by appointment of the District Right of Way Manager. Participants will be appointed to the Program with trainee status effective on the date the cycle in which they are enrolled officially begins, which status shall be retained until graduation from the Program or removal from the Program by promotion or as described in **Section 13.1.18**. The official beginning date of a trainee's training cycle is determined by the Central Office Training Program Manager and notification is by a **Letter of Appointment**, see **Attachment 2**. To be eligible for the Real Estate, Level III Program, a candidate must meet all the following minimum qualifications:

- (A) Be currently employed with the Department as a Real Estate, Level III and be assigned full time to a unit that encompasses one or more of the major functions typically undertaken by the Appraisal, Appraisal Review or Valuation Services Section of the Office of Right of Way;
- (B) Have been employed with the Department as a Real Estate, Level III employee for four years or less.
- (C) Have successfully completed the courses "**AI-110 - Appraisal Principles**" and "**AI-210 - Appraisal Procedures**" which are provided by the Appraisal Institute.

13.1.3 Enrollment Procedure

13.1.3.1 Potential trainees must acknowledge receipt of their **Letter of Appointment**, which stipulates the current terms of the Program, before beginning the Program. The original **Letter of Appointment** is placed in the trainee's official personnel file in the District. Copies of the **Letter of Appointment** are to be sent to the Right of Way Training Program Manager in Tallahassee, the trainee's immediate supervisor, and the trainee.

13.1.3.2 All trainees are placed on trainee status in the personnel system as noted in **Section 13.1.3.1**. It is the responsibility of the District Right of Way Office to notify the appropriate District Personnel Office of this appointment and the requirement to place the employee on trainee status.

13.1.3.3 Upon leaving the Training Program, a trainee whose probationary period has not concluded will again be placed on probationary status for the time remaining in his/her probationary period. Probationary and trainee status do not run concurrently.

13.1.4 Program Requirements

Work unit credits may be earned from any section of the Right of Way production process. A prescribed format of courses and a minimum number of required units of demonstrated work products will be included in each segment of the Right of Way Training Program and are identified separately from this section. The course curriculum and required demonstrated work products will be defined by the Director, Office of Right of Way in concert with the District Right of Way Managers. However, these courses and required units of demonstrated work may be amended at any time during the course of the Program at the discretion of the Department when necessary to carry out the responsibilities of the Department. Supporting documentation and evidence of each trainee's satisfactory completion of required demonstrated work products will be maintained in the files of the Right of Way Office of the trainee's respective district.

13.1.5 Real Estate, Level II Program - Duration

This Program is twenty-four (24) months in duration. It is composed of four six-month segments. Within each segment, the trainee is required to attend and satisfactorily complete designated courses, to complete prescribed demonstrated work products and to work and train in a variety of functional areas within Right of Way. The above timeframes are in force even if courses in the curriculum are exempted under provisions of the Program. The cross training provided by the districts will be as follows:

- (A)** In the first segment, the district will provide each trainee experience in any section of the Right of Way production process.
- (B)** In the second, third, and fourth segments, each trainee must complete mandatory work units in the area of Appraisal in accordance with the Right of Way Level II Demonstrated Work Unit Schedule. The district must also ensure that each trainee produces mandatory work units outside of the trainee's section of assignment.
- (C)** At the completion of the 24-month Level II Training Program, each trainee must have a minimum of four (4) work unit credits in each of the Right of Way disciplines of Acquisition, Relocation, and Property Management. The District Right of Way Manager or designee will be responsible for determining that all work products meet Department standards.

13.1.6 Real Estate, Level III Program - Duration

This Program is thirty-six (36) months in duration and is composed of three one-year segments. In addition to regular work assignments, a prescribed format of courses and required units of work will be included in each segment of the program. The Deputy District Right of Way Manager - Appraisal will make appropriate assignments for demonstrated work products to assure that, as much as practicable, course work and training assignments are coordinated to optimize the value of each. The above timeframes are in force even if courses in the curriculum are exempted under provisions of the Program.

13.1.7 Trainee Performance Requirements - General

Following each required course and examination, the Central Office Training Program Manager is responsible for notifying each District Right of Way Manager regarding the performance of trainees in his/her district. District Right of Way Managers or their designees are responsible for assigning and certifying completion of work product assignments in the district work program that will enable the trainee to utilize the course work.

13.1.8 Real Estate, Level II Program - Trainee Ratings

13.1.8.1 Progress of the trainee will be monitored by the designated supervisor and the District Right of Way Manager. Every three (3) months, between formal ratings, an informal review will be conducted by the trainee's supervisor with the trainee. Its purpose will be to ascertain the trainee's progress toward meeting the Training Program's objectives, particularly the work experience requirements, and to identify those areas within which the trainee needs assistance so as to successfully complete the Program.

13.1.8.2 A formal trainee rating will be completed by the trainee's supervisor at the end of six (6), twelve (12), eighteen (18) and twenty-four (24) months on a form provided by the Central Right of Way Office. The rating will specify whether the trainee's job performance is satisfactory or unsatisfactory. [Form No. 575-000-02, Right of Way Trainee Work Unit Worksheet](#) and [Form No. 575-000-03, Trainee Rating Form Real Estate, Level II Training Program](#) must be transmitted to the Central Office Training Program Manager not less than three (3) weeks prior to the end of each segment and a copy sent to the District Personnel Office.

Formal trainee ratings will be given not less than once every six (6) months. Additional ratings may be given at any time the respective trainee's performance falls below acceptable standards. The rating period must be clearly shown and may not be less than

sixty (60) days from the earlier rating.

13.1.9 Real Estate, Level II Program - Course Examinations

13.1.9.1 An examination will be given at the end of each required course. Trainees will be tested on their comprehension of the course material. Courses will be considered satisfactorily completed when the respective course examination has been passed.

13.1.9.2 If a trainee has taken and passed a required course or its approved substitute within the three (3) years preceding the date the course is offered in the Program, the trainee will not be required to take it again. However, he/she must provide proof of passing the course and of the date it was taken. The final determination of what constitutes approved substitutes is the responsibility of the Central Office Training Program Manager, with the concurrence of a majority of District Right of Way Managers. The trainee will be responsible for all course material covered during each segment.

13.1.9.3 Whenever trainees are unable to successfully complete a required course they may retake the course as many times as they wish at their own expense and on their own time with no penalty for failing those courses and exams which have been at their own expense and on their own time. Trainees may retake courses at the Department's expense only once. Failure to pass the Department provided course exam a second time will result in dismissal from the Training Program under the conditions outlined in **Section 13.1.18.3**. A trainee will not receive a salary increase under the provisions of **Section 13.1.19** until the end of the segment in which the course is successfully completed. If segment increases have been delayed because of course failure, all training increases for each segment will be computed based on the current base salary of the trainee after adding the delayed segment salary increase(s).

13.1.9.4 It is the trainee's responsibility to arrange, through the course provider, such as the Appraisal Institute (AI) International Right of Way Association (IRWA), etc., to take subsequent courses of a previously failed course. Upon request, Central Office is available to assist with such arrangements.

13.1.10 Real Estate, Level II Program - Promotions While in the Program

The advancement of fully qualified professionals is encouraged. However, in order to promote a trainee in the Training Program prior to completion of the Program, the trainee must have successfully completed each training course scheduled prior to the date of promotion and a prorata share of demonstrated work products scheduled to that date of

promotion.

13.1.11 Real Estate, Level II Program - Program Time Limit

Trainees will be allowed to repeat an unlimited number of course exams and segment exams once, but in no circumstance will the training period for the entire **Real Estate, Level II Training Program** for any trainee be allowed to extend beyond four (4) years from the date of enrollment in the Program, unless an exception is granted by the District Right of Way Manager and the Director, Office of Right of Way. Failure to complete the entire **Real Estate, Level II Training Program** within four (4) years from commencement will result in:

Any personnel action, including but not limited to suspension, dismissal, reduction in pay, demotion, or reassignment, at the discretion of the District Right of Way Manager. While the employee is in a trainee or probationary status, he/she is not in a career service protected position. These actions are exempt from the provisions of **Section 110.227 and Chapter 120, F.S.**

13.1.12 Real Estate, Level III Program - Trainee Ratings

13.1.12.1 Progress of the trainee will be monitored by the designated supervisor and the District Right of Way Manager. Every six (6) months, between formal ratings, an informal review will be conducted by the trainee's supervisor with the trainee. Its purpose will be to ascertain the trainee's progress toward meeting the Department's goal of having a staff of experienced, educated review appraisers who can ably handle the most complex appraisal problems. Its purpose will also be to identify those areas within which the trainee needs assistance so as to successfully complete the Program.

13.1.12.2 A formal rating will be completed by the trainee's supervisor at the end of twelve (12), twenty-four (24), and thirty-six (36) months on a form provided by the Central Right of Way Office. The rating will specify whether the trainee's job performance is satisfactory or unsatisfactory. [Forms No. 575-000-02, Right of Way Trainee Work Unit Worksheet](#) and either [Form No. 575-000-04, Trainee Rating Form - First Year Right of Way, Level III Training Program](#), [Form No. 575-000-05, Trainee Rating Form - Second Year Right of Way, Level III Training Program](#), or [Form No. 575-000-06, Trainee Rating Form - Third Year Right of Way, Level III Training Program](#) must be transmitted to the Central Office Training Program Manager not less than three (3) weeks prior to the end of each twelve (12) month segment. A copy of this rating will be sent to the District Personnel Office.

Formal trainee ratings will be given not less than once every twelve (12) months. Additional ratings may be given at any time the respective trainee's performance falls below acceptable standards. The rating period must be clearly shown and may not be less than sixty (60) days from the earlier rating.

13.1.13 Real Estate, Level III Program - Course Examinations

13.1.13.1 An examination will be given at the end of each required course. Trainees will be tested on their comprehension of the material presented in the course.

13.1.13.2 If a trainee has taken and passed a required course, or its approved substitute, within the three (3) years preceding the date the course is offered in the Program, the trainee will not be required to take it again. However, he/she must provide proof of passing the course and of the date it was taken. The final determination of what constitutes approved substitutes is the responsibility of the Central Office Training Program Manager, with the concurrence of the Director, Office of Right of Way. The trainee will be responsible for all course material covered during each segment.

13.1.13.3 In the event that trainees are unable to successfully complete a required course they may retake the course as many times as they wish at their own expense and on their own time with no penalty for failing those courses and exams which have been at their own expense and on their own time. Trainees may retake courses only once at the Department's expense. Failure to pass the Department provided course exam a second time will result in dismissal from the Training Program under the conditions outlined in **Section 13.1.19.3**.

13.1.13.4 It is the trainee's responsibility to arrange, through the course provider, such as the AI, IRWA, etc., to take subsequent courses of a previously failed course. Upon request, Central Office is available to assist with such arrangements.

13.1.14 Real Estate, Level III Program - Promotions While in the Program

The advancement of fully qualified professionals is encouraged. However, in order to promote or transfer a trainee within Right of Way to a unit other than appraisal or valuation services, the trainee must have successfully completed each training course scheduled prior to the date of promotion and a prorata share of demonstrated work products scheduled to that date of promotion.

13.1.15 Real Estate, Level III Program - Program Time Limit

Trainees will be allowed to repeat an unlimited number of course exams and segment exams once, but under no circumstances shall the training period for the entire Real Estate, Level III Training Program for any trainee be allowed to extend beyond five (5) years, unless specifically authorized by the District Right of Way Manager and the Director, Office of Right of Way.

13.1.16 Real Estate, Level III Program - Program Time Limit

Failure to complete the entire Real Estate, Level III Program within five (5) years from commencement will result in removal from the Training Program in accordance with **Section 13.1.18**.

13.1.17 Payment of Exam and License Fees

The Department will not pay the fee for any licenses or certifications or for examinations pertaining thereto. Such payment is considered a perquisite and prohibited by law.

13.1.18 Removal from the Training Program

13.1.18.1 Any trainee who receives two successive unsatisfactory ratings from the supervisor will be removed from the Training Program under the terms and conditions described in **Section 13.1.18.3**.

13.1.18.2 Should a trainee fail a second time an exam for a course provided and paid for by the Department, the trainee shall be removed from the Training Program under the terms and conditions described in **Section 13.1.18.3**.

13.1.18.3 Removal from the Training Program will result in:

Any personnel action, including but not limited to suspension, dismissal, reduction in pay, demotion, or reassignment, at the discretion of the District Right of Way Manager. While the employee is in a trainee or probationary status, he/she is not in a career service protected position. These actions are exempt from the provisions of **Section 110.227 and Chapter 120, F.S.**

13.1.19 Eligibility for Salary Increases

13.1.19.1 Subject to the approval required by **Section 216.251 (3), F.S.**, Real Estate, Level II trainees who successfully complete all the requirements for a given six (6) month segment of the Training Program will receive a five percent (5%) salary increase. The effective date of the increase will be the end of the respective segment or the end of the segment during which the trainee completes the last requirement of the segment. A trainee may take courses offered in succeeding segments prior to completing requirements for an earlier segment, with the approval of the trainee's supervisor and the Central Office Training Program Manager. However, in no case may he/she receive a salary increase until all the requirements of each previous segment are satisfied. This salary increase is subject to budget and rate availability.

13.1.19.2 Promotion to Real Estate, Level III upon completion of the Real Estate Level II Training Program is at the discretion of the District Right of Way Manager and is encouraged. Reclassification and/or promotion and salary increase are contingent upon rate availability in the district, and should be planned for. Such promotion will be accompanied by not more than a ten percent (10%) salary increase unless exceptional circumstances warrant an advanced appointment rate. This salary increase is subject to budget and rate availability.

13.1.19.3 Subject to the approval required by **Section 216.251 (3), F.S.**, Real Estate, Level III trainees who successfully complete all the requirements for each one (1) year segment will receive a ten percent (10%) salary increase. The effective date of the increase will be the end of the respective segment or the date on which the trainee completes the last requirement of the segment, but not earlier than the segment ending date. With the approval of the trainee's supervisor and the Central Office Training Program Manager, a trainee may take courses offered in succeeding segments prior to completing requirements for an earlier segment. In no case may he/she receive a salary increase until all requirements of the previous successive segment are satisfied. This salary increase is subject to budget and rate availability.

13.1.20 Processing Salary Increases

13.1.20.1 The Central Office Training Program Manager must recommend all increases to the District Personnel Office after receipt of approval of the District Right of Way Manager.

13.1.20.2 The Central Office Training Program Manager will notify the District Right of Way Manager, and the District Personnel Office of the names of trainees who have earned a salary increase and the percent of increase.

13.1.21 Employee Benefits

Trainees will receive the employment benefits offered State employees.

13.1.22 Program Completion

Upon successful completion of the Program, the trainee will receive a training certificate. Trainees who do not complete the Program in its entirety as outlined in this procedure will not be eligible for certification.

HISTORY

04/15/1999, 10/14/2002, 04/04/07

LETTER OF APPOINTMENT - REAL ESTATE, LEVEL II

(Trainee Name and Address)

Dear _____,

Congratulations. You have been appointed to the Florida Department of Transportation Right of Way Training Program effective _____ (date)

Below is a description of the basic elements of the Program as found in the **Right of Way Manual, Section 13.1**. The Program is subject to change based on statutory requirements, the needs of the Department, budget authorization and rate availability.

The terms and conditions of the Right of Way Training Program are set forth in the **Right of Way Manual, Section 13.1**. The trainee will abide by all provisions of **Section 13.1**, and particularly note the following:

- Participation in the Real Estate, Level II Training Program, beginning with the next available cycle, is mandatory for all newly appointed Real Estate, Level II employees. (Section 13.1.1)
- On the official date when your Training Program cycle begins, you will be placed on Trainee status which shall be retained until graduation from the Training Program. (Section 13.1.3)
- Upon your successful completion of the Training Program, you will again be placed on Probationary status pursuant to **Rule 60L-33.003 (1)(c), F.A.C.** for the remainder of time to complete a total of your one-year probationary period. (Section 13.1.3.3)
- Upon successful completion of each six-month segment you will receive a 5% salary increase. if such increase is approved pursuant to **Section 216.251 (3), F.S.** (Section 13.1.19.1)
- You will receive all employment benefits for State employees. (Section 13.1.21)
- If you receive two successive unsatisfactory ratings from your supervisor or failure to pass exams (allowing two attempts paid for by the Department), you will be subject to:

Any personnel action, including but not limited to suspension, dismissal, reduction in pay, demotion, or reassignment, at the discretion of the District Right of Way Manager. While the employee is in a trainee or probationary status, he/she is not in a career service protected position. These actions are exempt from the provisions of **Section 110.227 and Chapter 120, F.S.** (Section 13.1.18.3)

THIS IS TO ACKNOWLEDGE RECEIPT OF RIGHT OF WAY MANUAL, SECTION 13.1, AND MY UNDERSTANDING OF ITS CONTENTS AND I AGREE TO THE PROVISIONS THEREIN:

Signature of Employee

Date

LETTER OF APPOINTMENT - REAL ESTATE, LEVEL III

(Trainee Name and Address)

Dear _____,

Congratulations. You have been appointed to the Florida Department of Transportation Real Estate, Level III Training Program effective ____ (date) ____.

Below is a description of the basic elements of the Program as found in the **Right of Way Manual, Section 13.1**. The Program is subject to change based on statutory requirements the needs of the Department, budget authorization and rate availability.

The terms and conditions of the Right of Way Training Program are set forth in the **Right of Way Manual, Section 13.1**. The trainee will abide by all provisions of **Section 13.1**, and particularly note the following:

- Participation in the Real Estate, Level III Training Program, beginning with the next available cycle, is by appointment of the District Right of Way Manager. (Section 13.1.2)
- On the official date when your Training Program cycle begins, you will be placed on Trainee status which shall be retained until graduation from the Training Program. (Section 13.1.3)
- Upon your successful completion of the Training Program, you will again be placed on Probationary status pursuant to **Rule 60L-33.003 (1)(c), F.A.C.** for the remainder of time to complete a total of your one-year probationary period. (Section 13.1.3.3)
- Upon successful completion of each one-year segment you will receive a 10% salary increase if such increase is approved pursuant to **Section 216.251 (3), F.S.** (Section 13.1.19.3)
- You will receive all employment benefits for State employees. (Section 13.1.21)
- If you receive two successive unsatisfactory ratings from your supervisor or failure to pass exams (allowing two attempts paid for by the Department), you will be subject to:

Any personnel action, including but not limited to suspension, dismissal, reduction in pay, demotion, or reassignment, at the discretion of the District Right of Way Manager. While the employee is in a trainee or probationary status, he/she is not in a career service protected position. These actions are exempt from the provisions of **Section 110.227 and Chapter 120, F.S.** (Section 13.1.18.3)

THIS IS TO ACKNOWLEDGE RECEIPT OF RIGHT OF WAY MANUAL, SECTION 13.1, AND MY UNDERSTANDING OF ITS CONTENTS AND I AGREE TO THE PROVISIONS THEREIN:

Signature of Employee

Date

FLORIDA DEPARTMENT OF TRANSPORTATION
DISCRETIONARY PAY INCREASE REQUEST
FOR FISCAL YEAR 2012-13

1. How long will this requested authority be in effect?

The Department's ability to implement discretionary pay increases is critical to the Department's ability to reward employees who perform their duties in an exemplary manner. It is requested that the Department be given the authority to provide discretionary pay increases pursuant to s. 110.2035 (6) (a), Florida Statutes and Rule 60L-32.001, Florida Administrative Code, indefinitely.

2. What classes are involved in this request?

All employees in all classes within the Department who perform their duties in an exemplary manner and that merit a discretionary pay increase.

3. What is the area impacted (e.g. certain counties, statewide, varies)?

The ability to provide discretionary pay increases has a statewide impact.

4. Justification

The Department of Transportation is a decentralized agency, as defined in s. 20.23, Florida Statutes. Because of this statutory organization, each of its districts and the Turnpike Enterprise are able to effect pay increases for employees within their jurisdiction. In order for the Department to comply with the current statutory language in s. 216.251(3), Florida Statutes, which prohibits pay increases to a cohort of employees in the same job classification, the Department is requesting the authority to grant meritorious pay increases to employees based on the employee's exemplary performance. While there are many employees in most job classifications, exemplary performance is determined by assessing the employee's performance against the job expectations for the employee

5. Historical

During the 2006 Regular Legislative Session, s. 216.251(3), Florida Statutes, was amended to prohibit general salary increases for a cohort of positions sharing the same job classification or job occupation unless authorized by the Legislature in the General Appropriations Act or other laws (Section 34, Chapter 2006-122, Laws of Florida). The impact of this language and how it has been

interpreted has caused enormous impact to Department employees who in the past have received merit pay increases, pursuant to authority given to agencies in s. 110.2035 (6) (a), Florida Statutes and Rule 60L-32.001, Florida Administrative Code.

6. Estimated Cost

The estimated cost of implementing discretionary pay increases will not exceed the Department's existing salary and benefits budget nor will they exceed the Department's approved rate.

7. Is there any additional information you would like to provide?

The Department is not requesting any additional rate or appropriations for this action. Granting discretionary pay increases to employees based on merit is an accepted practice in both the public and private sectors and serves as a critical tool for retention and recognition in the workforce.

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                                COL A03
                                AGY REQUEST
                                FY 2012-13
                                POS      AMOUNT                PRIORITY                CODES
                                -----
TRANSPORTATION, DEPT OF                                55000000
EQUIPMENT NEEDS                                        2400000
REPLACEMENT EQUIPMENT FOR MATERIALS                    001                2401170
AND TESTING LABORATORIES
TRUST FUNDS.....                                922,500                2000
                                =====
  
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SCH VIIIA NARR 12-13 NOTES:

- LRPP Reference: Goal #1: Preserve and manage a safe, efficient transportation system.
- Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds needed to support additional replacement of specialized testing equipment at the State Materials Laboratory in Gainesville and District Four.

The equipment being replaced is outdated, obsolete, or is no longer functional. The specialized equipment is needed to ensure that roads are constructed in a manner that meets contract specifications, and are safe for travel. The equipment is also needed to test various materials used in highways and bridges to ensure that durability and cost effectiveness are optimized. Recurring budget is requested for equipment calibration and maintenance services for the specific equipment in this issue.

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ADDITIONAL EQUIPMENT FOR THE
MATERIALS AND TESTING LABORATORIES                    002                2403100
TRUST FUNDS.....                                333,000                2000
                                =====
  
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SCH VIIIA NARR 12-13 NOTES:

- LRPP Reference: Goal #1: Preserve and manage a safe, efficient transportation system.
- Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds needed to support additional specialized testing equipment and maintenance at the State Materials Laboratory in Gainesville.

Budget is requested to purchase equipment for concrete testing, a Concrete Polisher System, a Finite Element Analysis Software package and preventative maintenance. The concrete testing equipment and software is needed to ensure concrete

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                                COL A03
                                AGY REQUEST
                                FY 2012-13
                                POS      AMOUNT      PRIORITY      CODES
                                -----
TRANSPORTATION, DEPT OF                                55000000
EQUIPMENT NEEDS                                        2400000
ADDITIONAL EQUIPMENT FOR THE
MATERIALS AND TESTING LABORATORIES                    002      2403100

roads are constructed in a manner that meets contract specifications and is safe for travel. The equipment will also
allow the Florida Department of Transportation to anticipate or prevent roadway damage by predicting the performance of
mass concrete structures. Recurring budget is requested for equipment calibration and maintenance services for the
specific equipment in this issue. The concrete polisher equipment is for preparation of concrete samples for
petrographic analysis, which focuses on detailed descriptions of rocks.
*****

OPERATING REQUIREMENTS                                5500000
BUDGET RESTORATION - EXPENDITURE
REFUNDS                                                003      5503100

TRUST FUNDS.....                                2,127,186      2000
                                                =====
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SCH VIIIA NARR 12-13 NOTES:

- LRPP Reference: Goal #1: Preserve and manage a safe, efficient transportation system.
- Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds needed to support additional budget authority to cover the cost of fuel utilized by other state agencies at the Department's fuel stations.

The Department purchases all diesel and unleaded gasoline for its fuel sites using existing budget authority. Currently, the Department bill's other agencies for the cost of any fuel consumed. The Department is then reimbursed against the initial expenditure, thereby restoring the Departmental budget.

The Department received guidance from the Department of Financial Services (DFS) and the Governor's Office of Policy and Budget (OPB) concerning budget restoration of fuel costs. This guidance resulted in the need to request additional budget to cover the total expected fuel expenditures including those of other agencies. The DFS and OPB guidelines require agencies to request the budget authority necessary to cover all anticipated expenditures without reliance on budget restorations as the Department is reimbursed by other agencies. Agencies are further directed to include these expected expenses in the legislative budget process.

COL A03			
AGY REQUEST			
FY 2012-13			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
CONSTRUCTION MATERIAL ACCEPTANCE		004	36250C0
CERTIFICATION			
TRUST FUNDS.....	722,400		2000
	=====		

SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds needed to support a four year program to perform a mandatory technology replacement of the Department's Laboratory Information Management System (LIMS), which is no longer viable from a technology perspective.

LIMS is a mission critical business application that supports the Department's responsibility to ensure the quality of materials and workmanship for all construction projects through materials sampling, testing, and acceptance. The Department is dependent on the capability provided by LIMS to manage all the processes related to materials quality compliance and project acceptance.

LIMS still meets the Department's functional needs, however, since it was developed nearly a decade ago, the technology is obsolete and can no longer be sustained. The current vendor can no longer provide changes to LIMS when business processes change, and will not provide even the most basic support after 2015. The risk that LIMS will become unavailable technologically by 2015 (or before) is very high, jeopardizing the Department's ability to meet state and federal requirements. There are no feasible options for supporting the level of construction activity in Florida with manual processes, therefore the loss of LIMS will result in severe impacts to transportation construction capacity.

STATE ENTERPRISE INFORMATION			
TECHNOLOGY			3610000
FLORIDA PERMANENT REFERENCE			
NETWORK		005	36102C0
TRUST FUNDS.....	1,343,500		2000
	=====		

SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #1: Preserve and manage a safe, efficient transportation system.

Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

COL A03 AGY REQUEST FY 2012-13			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
STATE ENTERPRISE INFORMATION			3610000
TECHNOLOGY			3610000
FLORIDA PERMANENT REFERENCE			36102C0
NETWORK		005	36102C0

Funds needed to support modernization of the existing 9-11 year old system with new multiphase Global Position System (GPS) base station receivers, survey team rover GPS receivers/data collectors, GPS network management software, central office/district supporting data processing software and equipment and other necessary accessories to support the Department's statewide surveying and mapping mission.

This system is referenced as the Florida Permanent Reference Network.

WORKLOAD			3000000
INTELLIGENT TRANSPORTATION SYSTEMS			3007000
SUPPORT		006	3007000
TRUST FUNDS.....	11,439		2000
	=====		

SCH VIIIA NARR 12-13 NOTES:

- LRPP Reference: Goal #1: Preserve and manage a safe, efficient transportation system.
 Goal #2: Enhance Florida's economic competitiveness, quality of life and transportation safety.

Funds needed to cover the entire operating costs for the Regional Transportation Management Center (RTMC) in District Six.

The Department of Highway Safety and Motor Vehicle (DHSMV) Florida Highway Patrol (FHP), Miami-Dade Expressway Authority (MDX), and Department personnel share space in several facilities owned by the Department. Based on contracts between the Department and the other Agencies, the Department is reimbursed for the Agencies' share of the operating expenditures; essentially restoring the affected district's budget. Per DFS guidelines, the Department is not authorized to restore budget for reimbursements of utilities, damage claims, operating costs, etc., as these types of expenses are expected to be included in the annual legislative budget request which is financed by anticipated receipts.

The additional Expenses budget is needed to restore operating and maintenance expenditures incurred at the RTMC in South Florida. This budget is financed with funding from the Department of Highway Safety and Motor Vehicles (DHSMV) and the Miami-Dade Expressway Authority (MDX) for their share of the continued operation of the RTMC.

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                                COL A03
                                AGY REQUEST
                                FY 2012-13
                                POS      AMOUNT
                                -----
TRANSPORTATION, DEPT OF                                55000000
PROGRAM PLAN SUPPORT                                6000000
FAIRBANKS HAZARDOUS WASTE PIT                        007      6005040

TRUST FUNDS.....                                220,365      2000
                                =====
  
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SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #2: Enhance Florida's economic competitiveness, quality of life and transportation safety.

Funds needed to support the recurring operation and maintenance of the Fairbanks Hazardous Waste Site in Alachua County to maintain compliance with the Department's Resource Conservation and Recovery Act permit requirements as set forth in guidelines provided by the Florida Department of Environmental Protection.

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TRANSFER TO SOUTH FLORIDA WATER
MANAGEMENT DISTRICT                        008      6001190

TRUST FUNDS.....                                2,400,000      2000
                                =====
  
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SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds needed to support a transfer to the South Florida Water Management District for Everglades Restoration and to facilitate the deposit of toll revenues to the Everglades Fund, a subfund within the Everglades Trust Fund.

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AGENCY-WIDE INFORMATION TECHNOLOGY
STORAGE AREA NETWORK REPLACEMENT                        009      3620000
                                                36220C0

TRUST FUNDS.....                                966,400      2000
                                =====
  
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SCH VIIIA NARR 12-13 NOTES:

 COL A03
 AGY REQUEST
 FY 2012-13
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
STORAGE AREA NETWORK REPLACEMENT	009		36220C0

LRPP Reference: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds needed to support replacement of Storage Area Networks (SANS) in district headquarters in all seven districts and Florida's Turnpike. These units were originally purchased by the Department in November 2006 and are currently near the end of their useful life.

Storage Area Networks provide storage space for all files and application data.

In our current environment, without SAN storage, only e-mail; Internet access; and applications and data stored in Tallahassee would be available. Applications such as Electronic Data Management System (EDMS), District Geographic Information System (GIS), Computer Aided Drafting and Design (CADD), and data storage which has a statewide impact would not be available without significant process and infrastructure changes.

STATE FUNDING REDUCTIONS			3300000
REDUCTIONS FROM EMAIL SERVICES			
CONSOLIDATIONS	010		33015C0

TRUST FUNDS.....	285,374		2000
	=====		

SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds needed for additional budget authority in the Southwood Shared Resource Center category to reflect additional resources needed to pay for e-mail services at the SSRC associated with the implementation of the Statewide E-mail Consolidation.

This budget is needed to comply with Ch.282.34, F.S. regarding the consolidation of agency e-mail resources of the Department of Transportation (DOT) within the Southwood Shared Resource Center (SSRC).

COL A03			
AGY REQUEST			
FY 2012-13			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM PLAN SUPPORT			6000000
PAYMENTS TO EXPRESSWAY AUTHORITIES		011	6009910
TRUST FUNDS.....	12,322,862		2000
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SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds are needed to reimburse Orlando-Orange County Expressway Authority (OOCEA) and the Tampa-Hillsborough Expressway Authority (THEA) for certain operating and maintenance costs.

The Department has an Assignment of Responsibilities agreement with OOCEA whereby toll operations costs for the Holland East/West Expressway and Airport Plaza on the Beachline Expressway are reimbursed by the Department. The Department estimates the amount of reimbursement necessary for OOCEA's 2012/13 operating budget, for the facilities covered under the agreement, to be \$5,870,420.

The Department has a Reassignment of Operations and Maintenance agreement with THEA to cover reimbursement of property insurance, toll facilities maintenance, toll operations, system maintenance, intelligent transportation system maintenance, inspection/valuation of facilities for insurance purposes, environmental monitoring, Brandon/Meridian Road hardscape landscape, railroad crossing inspection and maintenance, and the road ranger program. For 2012/13, the Department projects a required reimbursement to THEA of \$6,452,442 for operating and maintenance.

TRANSFER TO DEPT OF HIGHWAY SAFETY AND MOTOR VEHICLES - REIMBURSE FOR TROOP K SERVICES ON THE FL TURNPIKE		012	6001160
TRUST FUNDS.....	2,171,214		2000
	=====		

SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #2: Enhance Florida's economic competitiveness, quality of life and transportation safety.

Funds needed to reimburse the Department of Highway Safety and Motor Vehicles (DHSMV) for law enforcement activities provided by the Florida Highway Patrol, Troop K. This increase is based on advice from DHSMV on the amount they have included in their FY 2012/2013 budget request for Troop K.

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                                COL A03
                                AGY REQUEST
                                FY 2012-13
                                POS      AMOUNT                PRIORITY                CODES
                                -----
TRANSPORTATION, DEPT OF                                55000000
WORKLOAD                                                3000000
ENHANCED TRAFFIC LAW ENFORCEMENT
FOR STATE ROAD 93 - ALLIGATOR ALLEY                    013                3001080

TRUST FUNDS.....                                359,350                2000
=====
  
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SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #2: Enhance Florida's economic competitiveness, quality of life and transportation safety.

Funds needed to to reimburse the Department of Highway Safety and Motor Vehicles (DHSMV) for law enforcement activities provided by the Florida Highway Patrol. This increase is based on advice from DHSMV on the amount they have included in their 2012/13 budget request for Alligator Alley.

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PROGRAM PLAN SUPPORT                                6000000
TOLLS VIOLATION ENFORCEMENT
PROGRAM                                                014                6001040

TRUST FUNDS.....                                149,850                2000
=====
  
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SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

Funds needed to continue funding of the Department's Toll Violation Enforcement Program which is designed to reduce toll revenue losses at unmanned toll locations statewide.

The Department has continued the program on a statewide basis with a base budget of \$249,750 in the Florida Highway Patrol Services category and \$149,850 in the Overtime category for the Motor Carrier Compliance Officers. Senate Bill 2000 (Ch. 2011-69 Laws of Florida), which passed the 2011 Legislature, moved the Office of Motor Carrier Compliance from the Department of Transportation to the Department of Highway Safety and Motor Vehicles. Due to this transfer and the associated reduction in the Department's overtime category, the Department requests additional FHP Services budget to continue the Toll Violation Enforcement Program.

COL A03 AGY REQUEST FY 2012-13			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM PLAN SUPPORT			6000000
TRANSFER TO THE DEPARTMENT OF HIGHWAY SAFETY - MOTOR CARRIER COMPLIANCE PROGRAM		015	6001180
TRUST FUNDS.....	540,000		2000
	=====		

SCH VIIIA NARR 12-13 NOTES:

LRPP Reference: Goal #1: Preserve and manage a safe, efficient transportation system.

Funds are needed to transfer the remaining balance in the Federal Law Enforcement Trust Fund (FLETF) to the Department of Highway Safety and Motor Vehicles (DHSMV).

The Federal Law Enforcement Trust Fund was created within the Department of Transportation by section 339.082(1), F.S. This trust fund receives revenue as a result of federal criminal, administrative, or civil forfeiture proceedings, and from federal asset-sharing programs. Section 932.7055(6)(k), F.S., states that proceeds in this account are to be used for drug interdiction. The drug interdiction program is housed within the Office of Motor Carrier Compliance (OMCC).

Senate Bill 2000 (Ch. 2011-69 Laws of Florida) which passed the 2011 Legislature moved the Office of Motor Carrier Compliance to the Department of Highway Safety and Motor Vehicles. The balance of funds in the Federal Law Enforcement Trust Fund should be transferred to the DHSMV to support the OMCC drug interdiction program.

TOTAL: TRANSPORTATION, DEPT OF			55000000
BY FUND TYPE			
TRUST FUNDS.....	24,875,440		2000
	=====		

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20 12 - 13

Department: Transportation

Chief Internal Auditor: Joseph K. Maleszewski, Director of Audit

Budget Entity: Office of Inspector General

Phone Number: 410-5506

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
10T-4002	1/25/2011	Intermodal Systems Development	<p>FINDING: Project cost accounting systems did not always adequately account for or segregate project costs billable to individual Joint Participation Agreement's (JPAs) from those costs billable to other funding sources, as required by JPA Section 7.00</p>	<p>RESPONSE: The department requires all project managers to attend Best Practices for Contract and Grant Management. All Central Office projects managers have attended the training and District Project Managers are attending as it is made available in their District. A link to the Department of Financial Services' Contract and Grant User Guide is being placed on the Transit Office website. Arrangements for sub-recipient training will be made at the District Office request. Training will either be provided by Central Office staff or consultants as appropriate.</p>	
10T-4002-01a			<p>RECOMMENDATION: Require all project managers to attend the Best Practices for Contract and Grant Management and Contract/Grant Monitoring - Steps for Success training classes presented by the Department of Financial Services.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20 12 - 13

Department: Transportation

Chief Internal Auditor: Joseph K. Maleszewski, Director of Audit

Budget Entity: Office of Inspector General

Phone Number: 410-5506

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
10T-4002	1/25/2011	Intermodal Systems Development	<p>FINDING: Project cost accounting systems did not always adequately account for or segregate project costs billable to individual JPAs from those costs billable to other funding sources, as required by JPA Section 7.00.</p>	<p>RESPONSE: The FDOT Certifications page has been revised to include language stating the subrecipient certifies that their accounting system adequately segregates costs attributable to each individual agreement or funding award. Each applicant for federal funding assistance will sign this certification. The request letters for state funding, signed by the agency director, will now include a statement certifying that their accounting system adequately segregates costs attributable to each individual agreement or funding award.</p>	
10T-4002-01b			<p>RECOMMENDATION: Obtain a written narrative, prior to entering into an agreement, of the external agency's project cost accounting system and/or a certification from the external agency's independent accounting firm stating the accounting system can adequately account for and segregate project-related expenses by contract.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20 12 - 13

Department: Transportation

Chief Internal Auditor: Joseph K. Maleszewski, Director of Audit

Budget Entity: Office of Inspector General

Phone Number: 410-5506

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
10T-4002	1/25/2011	Intermodal Systems Development	<p>FINDING: Invoiced costs were not always adequately supported or scrutinized by the department project manager prior to payment, as required by JPA Section 7.00.</p>	<p>RESPONSE: All invoices submitted to the department will be rejected if supporting documentation for the reimbursable costs is not included. Supporting documentation may include properly executed payrolls, time records, invoices paid, contracts paid or vouchers as appropriate for costs for which the sub-recipient is seeking reimbursement.</p>	
10T-4002-02c			<p>RECOMMENDATION: Authorize and approve invoices only for costs that are actual, allowable and were incurred within the scope of the agreement.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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Budget Period: 20 12 - 13

Department: Transportation

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10T-4002 10T-4002-02d	1/25/2011	Intermodal Systems Development	<p>FINDING: Invoiced costs were not always adequately supported or scrutinized by the department project manager prior to payment, as required by JPA Section 7.00.</p> <p>RECOMMENDATION: Verify that any costs with special requirements (i.e., prior departmental approval) have been met prior to approving the invoices.</p>	<p>RESPONSE: Approval of all third-party agreements, requiring department approval, will be in writing. If approval is granted by email, a printed copy of the email will be placed in the contract file.</p> <p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-069	12/30/2010	OAG	<p>FINDING: Procedural deficiencies existed with respect to the monitoring of the timely submittal, review, and approval of employee time records.</p>	<p>RESPONSE: Agree. Since the inception of People First, the department developed and maintained a process documented in the Office of Comptroller Disbursement Operations Office (DOO) Payroll Processing Handbook to identify missing timesheets, notify responsible employees and managers and track resolutions. The recent upgrades to the People First system have made the system-generated Missing Timesheet Report significantly more accurate and reliable. A change in the department's notification process has also resulted in more timely responses and submission of outstanding timesheets.</p>	
2011-069-01a			<p>RECOMMENDATION: We recommend that state agencies should use such information to identify those employees whose time records frequently require corrective actions, are repeatedly missing, or are not timely approved and take appropriate corrective measures.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-069	12/30/2010	OAG	<p>FINDING: State agencies did not effectively manage compensatory leave credits in accordance with Department of Management Services (DMS) rules and terms of relevant collective bargaining agreements, resulting in large dollar payouts of unused compensatory leave credits upon employees' separation from state employment.</p>	<p>RESPONSE: Agree. Executive Management issued a directive in July 2009 requiring a review of Special Compensatory Leave balances and requesting a reduction of total department balances by 50 percent within a year. At the time of the directive, the department's balance was 45,760 hours. As of 11/25/2010, the balance was 27,357 hours, a decrease of 18,403 hours or 40 percent.</p>	
2011-069-02a			<p>RECOMMENDATION: State agencies should periodically review their employees' compensatory leave balances and identify employees who are accumulating large compensatory leave credit balances or whose compensatory leave credits are approaching the maximum limits set forth in applicable collective bargaining agreements. When appropriate, the agencies should compel the use of accumulated special compensatory leave credits prior to approving employee use of other leave types.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-069	12/30/2010	OAG	FINDING: State agencies had not established policies and procedures addressing unused annual and sick leave (terminal leave) payouts and did not always perform or document the performance of audits of unused leave balances prior to calculating terminal leave payouts.	RESPONSE: Agree. The department is using all resources available in the People First system to validate terminal leave payouts. The DOO Payroll Processing Handbook, which includes a section on processing terminations and leave payouts, was available and submitted to the Auditor General staff as requested on 3/25/2009. The termination section includes guidance requiring a review of the previously paid leave report from the Bureau of State Payrolls, along with ensuring no timesheets are outstanding in People First. The final leave balances as shown in People First are used for eligible payments and are adjusted for any previous leave payouts or required prorations for Selected Exempt Service (SES)/Senior Management Service (SMS) employees. The People First System does not permit a review of timesheets or leave records from beginning of employment (only the previous 18 months are available to be viewed in People First).	

2011-069-03a

RECOMMENDATION: We recommend that each state agency's procedures be enhanced, as appropriate, to address the terminal leave payout process. Such enhancements should require the performance of leave balance audits prior to processing terminal leave payouts, and documentation of such audits should be retained. We also recommend that state agencies take other appropriate steps, including independent verification of payout calculations, to ensure that terminal leave payouts are accurate and paid in accordance with applicable laws, rules, and guidelines.

CURRENT STATUS: Open; a follow-up response is due October 2011.

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2011-069	12/30/2010	OAG	<p>FINDING: Contrary to state law, state agencies did not always document that dual employment was properly approved for employees working for more than one applicable state employer. Additionally, to ensure compliance with state laws, rules, and other guidelines, a process is needed whereby state agencies can effectively monitor the dual-employment activities of employees who have been approved to receive compensation from more than one state employer.</p>	<p>RESPONSE: Agree. DOT Procedure no. 250-040-010-e relating to dual employment is currently being updated to reflect the policy changes by the DMS; however, approval process within the department (as stated in the current procedures) will continue to apply. Additionally, the policy document issued by DMS provides that employees who in the past have requested approval to work as Other Personnel Services for the State University System will no longer require this approval. Specifically, the policy states the following; "The provisions of this guideline do not apply to employment with any government employer outside the SPS or any private sector employer."</p>	

2011-069-05a

RECOMMENDATION: We recommend that state agencies take appropriate steps to ensure that dual-employment requests are properly submitted and approved and that comprehensive records documenting all dual-employment approvals be maintained. In addition, we recommend that DMS and Department of Financial Services (DFS), in conjunction with the other state agencies, create a mechanism (e.g., a People First or FLAIR report) to identify those employees who simultaneously receive compensation from more than one state employer.

CURRENT STATUS: Open; a follow-up response is due October 2011.

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REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
2011-069	12/30/2010	OAG	FINDING: Some salary payment calculations were incorrect.	RESPONSE: Agree. A series of reports, including total pay period transactions, leave without pay and overpayments, is reviewed by the Payroll Office approximately four business days prior to the warrant date. Any evident overpayments can be cancelled during this window. The referenced overpayment resulted because the Personnel and Payroll Offices were not notified of the employee's termination until after the date the warrant could have been cancelled. Overpayments of this type cannot be eliminated through the report review process. The overpayment was immediately recovered by deducting the amount from the employee's leave payout.	
2011-069-06a			RECOMMENDATION: State agencies should take appropriate measures to ensure that salary payments are accurately calculated based on the applicable rate of pay and actual hours worked. Such measures may include, for all payroll changes, an additional review of the calculations and supporting documentation prior to salary payment issuance.	CURRENT STATUS: Open; a follow-up response is due October 2011.	

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2011-167	6/30/2010	OAG	FINDING: FDOT did not have sufficient procedures in place to ensure the performance of during-the-award monitoring of subrecipients.	RESPONSE: We concur with the recommendation and will develop procedures to address the selection of subrecipients to be monitored, the frequency at which monitoring should be performed, the criteria used during the monitoring, and the documentation to be maintained. Preliminary discussion with the State Construction Office Director and Production Support Office Manager have taken place to determine appropriate actions to be taken.	
2011-167-01a			RECOMMENDATION: We recommend FDOT appropriately monitor subrecipients during the award period. Additionally, we recommend that FDOT enhance its procedures to clearly provide for during-the-award monitoring. FDOT should ensure that procedures address the selection of subrecipients to be monitored, the frequency at which monitoring should be performed, the criteria used during the monitoring, and the documentation to be maintained.	CURRENT STATUS: Open; a follow-up response is due October 2011.	

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2011-167	6/30/2010	OAG	<p>FINDING: FDOT program managers did not always follow established procedures for receiving and reviewing subrecipient audit reports or maintaining project information in the Florida Single Audit Automated (FSAA) System.</p>	<p>RESPONSE: We concur with the findings as reported from the fieldwork of the Federal Awards Audit. FDOT program managers did not always follow established procedures for receiving and reviewing subrecipient audit reports or maintaining project information in the Florida Single Audit Automated (FSAA) System. The OIG has addressed this issue over the past year by conducting five compliance reviews, seven training classes and providing necessary guidance to the districts on an ongoing basis through routine e-mail correspondence and quarterly OIG newsletters.</p>	
2011-167-02a			<p>RECOMMENDATION: We recommend that FDOT revise its procedures to clearly outline the duties and responsibilities of the District Single Audit liaisons. Additionally, the OIG should perform timely follow-up procedures when checklists are not completed and strengthen its review to ensure that errors, if any, are appropriately detected and corrected.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-167	6/30/2010	OAG	FINDING: Controls were not sufficient to ensure that amounts paid by Florida Agency for Health Care Administration (FAHCA) to the Commission for Transportation Disadvantaged (CTD) or amounts paid by CTD to transportation providers under a Medicaid transportation program were reasonable.	RESPONSE: CTD will be providing the FAHCA with administrative costs audits for FY 2009/2010 to aid in determining the reasonableness of costs for future contracting purposes. FAHCA will receive audits for FY 2009/2010 and FY 2010/2011 in accordance with OMB Circular A-133 and the Florida Single Audit Act. The audits will allow FAHCA to determine the reasonableness of funding and if the allocation is sufficient for providing services. Onsite surveys of two transportation providers were conducted by FAHCA in July 2010 and an onsite survey of the CTD and selected transportation providers is to be conducted by FAHCA in the near future.	

2011-167-03a

RECOMMENDATION: We recommend that current transportation costs be summarized and used to evaluate the reasonableness of the total contract amount as well as the amounts allocated to Subcontracted Transportation Providers and to the CTD for administrative costs. FAHCA should also conduct appropriate monitoring to evaluate CTD and STP compliance with governing laws, regulations, and contract terms.

CURRENT STATUS: Open; a follow-up response is due October 2011.

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2011-174	4/11/2011	OAG	<p>FINDING: As similarly noted in prior audits of the department, most recently our report No. 2010-095, the department did not timely disable network, mainframe, and database access privileges of some former and reassigned employees. Additionally, the department was unable to provide the Auditor General's Office a list of terminated contractors and, therefore, could not demonstrate that terminated contractors' access privileges were timely disabled.</p>	<p>RESPONSE: We concur with the findings. From the result of the audit, it is obvious that there was a flaw in our process for revoking and removing access in a timely fashion. As a result we have implemented an automated notification to critical teams (Database and Server) when terminations occur. These notifications are validated by both teams to ensure that no lingering access remains.</p> <p>The Information Technology Assurance and Security Management (ITASM) team has discussed the need to work with project managers to verify the contractors start and end dates and to back-load that information as received. The back-loading of the contract dates for consultant accounts into Automated Access Request Form system (AARF), coupled with a recertification, should address this issue.</p>	

2011-174-01a

RECOMMENDATION: The department should ensure that network, mainframe, and database access privileges are disabled in a timely manner. Additionally, the department should develop procedures to create and maintain a listing of former contractors to ensure that access privileges are timely disabled. Furthermore, the department should improve its review of access privileges to increase the likelihood of timely detecting access privileges that are no longer necessary because of employee terminations or reassignments.

CURRENT STATUS: Open; a follow-up response is due October 2011.

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2011-174	4/11/2011	OAG	<p>FINDING: Some users had inappropriate or unnecessary access privileges to the Financial Management (FM) System application, database, and production datasets. Similar issues were noted in prior audits of the department, most recently our report No. 2010-095.</p>	<p>RESPONSE: We concur with the findings. To minimize the potential risks of future issues, ITASM will work with the FM application owners to review current access processes and procedures. Based on this review the ITASM team, working with the FM application owners, will implement improved notification processes and appropriate changes. The ITASM team will also work with the FM application owners to determine the appropriate interval for the recertification of FM access. The ITASM team and the FM application owners will work together to implement recertification for the FM system processes at the interval which appropriately reflects the security requirements of the application.</p>	
2011-174-02a			<p>RECOMMENDATION: The department should limit access privileges to include only the individuals who need the access privileges in the performance of their job duties. Additionally, the department should implement procedures to routinely monitor and adjust access privileges, including those of SSRC employees, in the event of employee terminations, reassignments, or changes in job functions.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-174	4/11/2011	OAG	<p>FINDING: Contrary to the requirements of the State of Florida General Records Schedule for the retention of access control records, the department did not retain some network and mainframe access control records.</p>	<p>RESPONSE: We concur with the findings. To comply with the state of Florida General Records Schedule for the retention of access control records, ITASM is working to implement statewide event tracking and mainframe logging alerts and reports. As the event records are received by the department's security, the necessary validation will be performed. The access control records will then be maintained by the department Security for the time required by the General Records Schedule.</p>	
2011-174-03a			<p>RECOMMENDATION: The department should ensure that access control records are retained as required by the General Records Schedule.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-174 2011-174-04a	4/11/2011	OAG	<p>FINDING: As similarly noted in prior audits of the department, most recently our report No. 2010-095, certain department network, mainframe, and data center security controls related to the FM System needed improvement.</p> <p>RECOMMENDATION: The department should improve its network, mainframe, and data center security controls to ensure the continued confidentiality, integrity, and availability of department data and Information Technology (IT) resources.</p>	<p>RESPONSE: We concur with the findings and will take appropriate corrective actions to improve IT security controls which ensure the continued confidentiality, integrity and availability of department data and IT resources.</p> <p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-174	4/11/2011	OAG	<p>FINDING: For two FM System program changes, the department could not provide documentation of testing and approval of program changes, respectively, although required by its program change control procedures.</p>	<p>RESPONSE: We concur with the findings. Our change control procedure requires testing and review as part of the workflow before requesting the user to test and approve. It currently does not require written documentation of the developer's unit test. The addition of this requirement will be included during the next review of the procedure. The e-mail that showed the appropriate approval for the referenced change could not be located when requested by this audit, but was found and provided later (March 30, 2011). In the future, we will ensure written approvals are properly filed so that they may be readily obtained for audit purposes.</p>	
2011-174-05a			<p>RECOMMENDATION: The department should ensure that its program change control procedures for unit testing of application components and approval of program changes for production are consistently followed to provide increased assurance of the integrity of program changes being moved into the production environment.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-174	4/11/2011	OAG	<p>FINDING: As similarly noted in prior audits of the department, most recently our report No. 2010-095, some department IT policies were outdated.</p>	<p>RESPONSE: We concur with the findings. To comply, updates are currently being performed. The specific documents cited in the audit have been prioritized. Work has begun to revise IT policies and procedures affected by Chapter 71, Florida Administrative Code (71-FAC).</p>	
2011-174-06a			<p>RECOMMENDATION: The department should update its IT policies and periodically review the appropriateness of the policies to ensure that management's current expectations regarding IT controls are being accurately communicated to employees.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-174	4/11/2011	OAG	<p>FINDING: As similarly noted in prior audits of the department, most recently our report No. 2010-095, the department's security awareness training program needed improvement with regard to providing periodic refresher training to remind employees and contractors of their security responsibilities.</p>	<p>RESPONSE: We concur with the findings. The ITASM team has been developing a Security Awareness Computer-Based Training suite for the past several months. The program is supported by management and will include a policy which will require all staff to have annual security awareness training.</p>	
2011-174-07a			<p>RECOMMENDATION: The department should continue with its efforts to implement, within its security awareness training program, provisions for ongoing security awareness training to ensure that employees and contractors are reminded of their responsibilities for maintaining the confidentiality, integrity, and availability of department data and IT resources.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-174	4/11/2011	OAG	<p>FINDING: As similarly noted in prior audits of the department, most recently our report No. 2010-095, the department had not designated all positions having sensitive IT responsibilities and elevated access privileges as positions of special trust or performed level two background screenings on all employees occupying the positions.</p>	<p>RESPONSE: We concur with the findings. We understand the finding regarding positions of special trust. With that in mind, Nelson Hill, the Chief Information Officer (CIO) is working with FDOT management, Personnel, and the General Council to review the issue and to establish a department policy regarding positions of special trust. Once the process has been approved, the CIO will work with FDOT management, Personnel, and the General Council to identify which positions would be classified as positions of special trust and which IT positions might be subject to level two background checks.</p>	
2011-174-08a			<p>RECOMMENDATION: The department should review its positions with sensitive IT responsibilities and elevated access privileges, consider designating such positions as positions of special trust, and perform the required level two background screenings on employees occupying the positions.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-175	4/15/2011	OAG	<p>FINDING: The procedures established by the department to ensure that all staff involved in the procurement of goods and services are free from conflicts of interest require enhancement.</p>	<p>RESPONSE: We concur with the findings. During the time-frame of August – December 2010, department Senior Management visited district offices statewide, to review processes and identify best practices for benchmarking. Periodic updates of Conflict of Interest Certification forms was identified as a best practice to be implemented on a statewide basis. This recommendation was discussed with department District Secretaries, and all agreed to significantly modify the requirements on how frequently the Conflict of Interest Forms would need to be updated by Technical Review and Awards Committee members, Selection Committee members, and Procurement Office contracting staff directly involved in the contract acquisition process.</p>	
2011-175-01a			<p>RECOMMENDATION: We recommend the department management monitor the completion of Conflict of Interest Certification forms by all staff involved in the procurement process. Additionally, since the relationships affecting procurement staff could change over time, we recommend that all staff involved with the procurement process be required to periodically update their Conflict of Interest Certification forms.</p>	<p>CURRENT STATUS: Open; a follow-up response is due October 2011.</p>	

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2011-175	4/15/2011	OAG	FINDING: Improvements continue to be needed in the department's administration of its responsibilities under the Florida Single Audit Act.	RESPONSE: We concur with the findings. The Office of Inspector General (OIG) has addressed this issue over the past year by conducting five district compliance reviews, seven training classes and providing necessary guidance to the districts on an ongoing basis through routine telephone and e-mail correspondence, regular coordination with the Federal Highway Administration and through quarterly OIG newsletters. Compliance reviews conducted in the current fiscal year have appropriately identified issues regarding checklists not completed, timely receipt and review of financial reporting packages, a lack of reconciliation of FLAIR payments to the expenditures in the audit report and other areas where lack of oversight was noted. Recommendations made as a result of these reviews include the district management ensuring the timely receipt and review of financial reporting packages. District management has been responsive to the compliance reviews and is in the process of implementing corrective actions.	

2011-175-02a

RECOMMENDATION: We again recommend that the department take steps to ensure the proper recording of State Financial Assistance in department accounting records and the timely receipt and review of Financial Reporting Packages.

CURRENT STATUS: Open; a follow-up response is due October 2011.

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Department: Transportation

Chief Internal Auditor: Joseph K. Maleszewski, Director of Audit

Budget Entity: Office of Inspector General

Phone Number: 410-5506

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
11T-4002	5/11/2011	Districts	FINDING: Costs were billed to the department for expenses incurred prior to the August 15, 2008, effective date of the Joint Participation Agreement (JPA).	RESPONSE: Open; the initial response is due October 2011.	
11T-4002-01a			RECOMMENDATION: Bay Area Commuter Services (BACS) should implement controls to ensure only expenses incurred within the scope of the JPA are billed to the department. We recommend the District Seven Intermodal Systems Development Manager require BACS determine the amount of costs incurred prior to the execution date of the JPA that were billed to the department and to seek recovery of those funds. District management may also require BACS to bill other eligible costs incurred under the terms and period covered by JPA AP860.	CURRENT STATUS: Open.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20 12 - 13

Department: Transportation

Chief Internal Auditor: Joseph K. Maleszewski, Director of Audit

Budget Entity: Office of Inspector General

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(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
11P-1002	5/11/2011	Finance and Administration	<p>FINDING: The Ethics Officer has not implemented either an initial or annual ethics training program.</p> <p>RECOMMENDATION: We recommend the Ethics Officer ensure the Computer-Based Training is implemented timely and training records are maintained.</p>	<p>RESPONSE: Open; the initial response is due October 2011.</p> <p>CURRENT STATUS: Open.</p>	
11P-1002-01a					

Office of Policy and Budget - July 2012

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20 12 - 13

Department: Transportation

Chief Internal Auditor: Joseph K. Maleszewski, Director of Audit

Budget Entity: Office of Inspector General

Phone Number: 410-5506

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
11P-1002 11P-1002-01b	5/11/2011	Finance and Administration	<p>FINDING: The department does not have a training program which fully addresses the topics covered in the Governor's Code of Ethics: public records, open meetings, records retention, equal opportunity and proper personnel procedures.</p> <p>RECOMMENDATION: We recommend the Ethics Officer coordinate with executive management and appropriate offices to implement an annual training program on the subjects of public records, open meetings, records retention, equal opportunity and proper personnel procedures for department employees and maintain training records.</p>	<p>RESPONSE: Open; the initial response is due October 2011.</p> <p>CURRENT STATUS: Open.</p>	

Fiscal Year 2012-13 LBR Technical Review Checklist

Department/Budget Entity (Service): Transportation

Agency Budget Officer/OPB Analyst Name: Kimberly Ferrell/Tonja Webb

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)					
	55100100	55100500	55150200	55150500	55150600	55180100

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A93, IA1, IA5, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y	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? (CSDI)	Y	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. (EXBR, EXBA)	Y	Y	Y	Y	Y	Y
1.4 Has security been set correctly? (CSDR, CSA)	Y	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 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	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 30)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?	Y	Y	Y	Y	Y	Y

3. EXHIBIT B (EXBR, 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.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
3.2 Are the 33XXXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	N	Y

AUDITS:

3.3 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? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y	Y	Y	Y
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Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y	Y	Y
TIP Generally look for and be able to fully explain significant differences between A02 and A03.						
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.						
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, 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 62 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	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	Y	Y
AUDITS:						
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	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 B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2010-11 approved budget. Amounts should be positive.						
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100

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	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 30 of the LBR Instructions.)	Y	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 65 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 70 of the LBR Instructions?	Y	N.A.	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	N.A.	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N.A.	N.A.	N.A.	N.A.	N.A.	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.	N.A.	N.A.	N.A.	N.A.	N.A.	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.	N.A.	N.A.	Y	N.A.	N.A.	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N.A.	N.A.	Y	N.A.	N.A.	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 #12-009?	Y	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. (PLRR, PLMO)	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N.A.	N.A.	Y	N.A.	N.A.	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y
7.15	Do the issues relating to salary and benefits have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.)	N.A.	N.A.	Y	N.A.	N.A.	N.A.

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? Have the correct issue codes been used for the Statewide Email Consolidation (17C10C0, 17C11C0, 17C14C0, 33015C0 and 55C04C0)	Y	N.A.	Y	Y	Y	Y
7.17 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N.A.	N.A.	Y	N.A.	N.A.	Y
AUDIT:						
7.18 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y	Y	Y	Y	Y
7.19 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
7.20 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
7.21 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.
7.22 Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y	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 OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.						
TIP The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 71 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 2011-12 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.						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?					Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?					Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?					Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?					Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?					N.A.
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?					N.A.
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?					Y
8.10	Are the statutory authority references correct?					Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)					Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?					Y

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?						Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?						Y
8.20 Are appropriate service charge nonoperating amounts included in Section II?						Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?						Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)						Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?						Y
8.24 Are prior year September operating reversions appropriately shown in column A01?						Y
8.25 Are current year September operating reversions appropriately shown in column A02? DUE TO THE EARLY SUBMISSION DATE OF THE 2012-13 LBR, CERTIFIED FORWARD REVERSIONS AT 9/30/11 WILL NEED TO BE ADDED BY AGENCIES DURING THE TECHNICAL REVIEW PERIOD.						Y
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?						Y
8.27 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?						Y
8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?						Y
AUDITS:						
8.29 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).						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? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")						Y
8.31 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. (SC1R, DEPT)						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 125 of the LBR Instructions.)						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
TIP Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.						
TIP Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.						
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See Base Rate Audit on page 157 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)						
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
10.2 Are amounts in Other Salary Amount appropriate and fully justified? (See page 97 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	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	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?	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1 NOT REQUIRED FOR THIS YEAR	Y	Y	Y	Y	Y	Y
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has not been used?	Y	Y	Y	Y	Y	Y
15. SCHEDULE XI (LAS/PBS Web - see page 105 of the LBR Instructions for detailed instructions)						
15.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version on longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3 Does the FY 2010-11 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y	Y	Y	Y
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y	Y	Y	Y	Y
15.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
15.6 Has the agency provided the necessary standard (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	Y
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N-Explained in footnote to Sch XI					
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 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y
16.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	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	Y
AUDITS - GENERAL INFORMATION						
TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) 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?	N.A	N.A	Y	Y	N.A	Y
17.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N.A	N.A	Y	Y	N.A	Y
17.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N.A	N.A	Y	Y	N.A	Y
17.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N.A	N.A	Y	Y	N.A	Y
17.5 Are the appropriate counties identified in the narrative?	N.A	N.A	Y	Y	N.A	Y
17.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N.A	N.A	Y	Y	N.A	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.						
18. FLORIDA FISCAL PORTAL						
18.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100

19. CREATION OF DEPARTMENT OF ECONOMIC OPPORTUNITY (DEO)						
<p>19.1 If you are an agency that no longer exists or is transferred to DEO after the approval of the reorganization by the Legislative Budget Commission (LBC), have you submitted the following schedules, as applicable:</p> <ul style="list-style-type: none"> • Schedule I: Trust Funds Available and Schedule IB -DEPARTMENT LEVEL • Schedule IA: Detail of Fees and Related Costs (Part I and Part II) • Schedule IC: Reconciliation of Unreserved Fund Balances • Reconciliation: Beginning Trial Balance to Schedule I and IC • Exhibit D-1: Detail of Expenses • Schedule XI: Agency-Level Unit Cost Summary • Opening Trial Balance as of July 1, 2011 • Schedule I Narratives related to Column A01 • Inter-Agency Transfer Form 	N.A	N.A	N.A	N.A	N.A	N.A