FDLE

Florida Department of Law Enforcement

Gerald M. Bailey
Commissioner

Office of Executive Director
Post Office Box 1489
Tallahassee, Florida 32302-1489
(850) 410-7001
www.fdle.state.fl.us

Rick Scott, *Governor*
Pam Bondi, *Attorney General*
Jeff Atwater, *Chief Financial Officer*
Adam Putnam, *Commissioner of Agriculture*

LEGISLATIVE BUDGET REQUEST

Florida Department of Law Enforcement

Tallahassee, Florida

October 15, 2014

Cynthia Kelly, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, FL 32399-0001

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

Cyndi Kynoch, Staff Director
Senate Committee on Appropriations
201 Capitol
Tallahassee, FL 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, the Legislative Budget Request for the Florida Department of Law Enforcement is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2015-16 Fiscal Year.

This submission has been approved by Gerald M. Bailey, Commissioner. Any questions concerning this submission may be directed to Cynthia Barr, FDLE Chief of Planning and Budgeting, at 850-410-7178.

Sincerely,

Cynthia B. Sanz
Assistant Commissioner

CBS/nmm

The Florida Department of Law Enforcement
Request for Approval of Temporary Special Duty – General Pay Additives and Implementation Plan
For FY 15-16

The Florida Department of Law Enforcement (FDLE) requests approval to implement Temporary Special Duty – General pay additives as necessary for FY 15-16. The agency is not requesting any additional rate or appropriations for these additives. In accordance with previous rule authority in 60L-32.0012, Florida Administrative Code, the agency has used existing rate and salary appropriations to grant pay additives when warranted based on the duties and the responsibilities of the position.

The requested pay additives are justified for reasons such as the vacancy of a position or due to the nature of and level of responsibility for higher level work resulting from legislative action or agency initiatives. In the past, these additives were implemented with the approval of the Department of Management Services.

Pay additives are a valuable management tool which allows agencies to recognize and compensate employees for identified duties without providing a permanent pay increase.

Continue Current Additives

The agency requests approval to continue certain authorized pay additives in accordance with Chapter 110.2035(7) (a):

1. Shift differentials.
2. On call.
3. Hazardous duties.
4. Lead-worker duties.
6. Temporary special duties — absent coworker.
7. Trainer duties.
8. Competitive area differentials.

Historical Data

During FY 13-14, the agency requested and received approval to implement ten Temporary Special Duty additives for added duties for out-of-title work and one Temporary Special Duty additive for absent co-worker. The positions to which these were granted varied but included the following classes:

- Special Agent
- Government Analyst II
- Senior Crime Laboratory Analyst

As of October 2014, the agency has four members receiving Temporary Special Duty additives in the following classes:

- Special Agent
- Law Enforcement Officer

Requested Temporary Special Duty Pay Additives for FY 15-16

The agency requests approval to continue Temporary Special Duty – General additives in accordance with Chapter 110.2035(b). These additives will be paid within current approved salary rate and appropriations.

Generally, these additives will result from temporary special duties performed at a higher level or due to an employee performing the work of a vacant position, and will be implemented in accordance with the provisions of any applicable collective bargaining agreement.

Based on historical data and the agency's anticipated need, the Florida Department of Law Enforcement requests approval to continue pay additives for Temporary Special Duties – General at a cost not to exceed $30,000.

Collective Bargaining Agreements Impacted

State of Florida and the Police Benevolent Association – Law Enforcement

Article 21
Compensation for Temporary Special Duty in Higher Level Position
Section 1 - Eligibility

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

Article 25
Wages
Section 1 - Pay Provisions - General

(B) Increases to base rate of pay and salary additives shall be in accordance with the state law and the Fiscal Year 2015-2016 General Appropriations Act.

State of Florida and the Police Benevolent Association – Special Agent

Article 21
Compensation for Temporary Special Duty in Higher Level Position
Section 1 - Eligibility

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

Article 25
Wages
Section 1 – General Pay Provisions

(B) Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2015-2016 General Appropriations Act.

AFSCME Master Contact

Article 21
Compensation for Temporary Special Duty in Higher Position

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

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

Article 25
Wages
Section 1 – General Pay Provisions

(B) Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2015-2016 General Appropriations Act.

Schedule VII: Agency Litigation Inventory

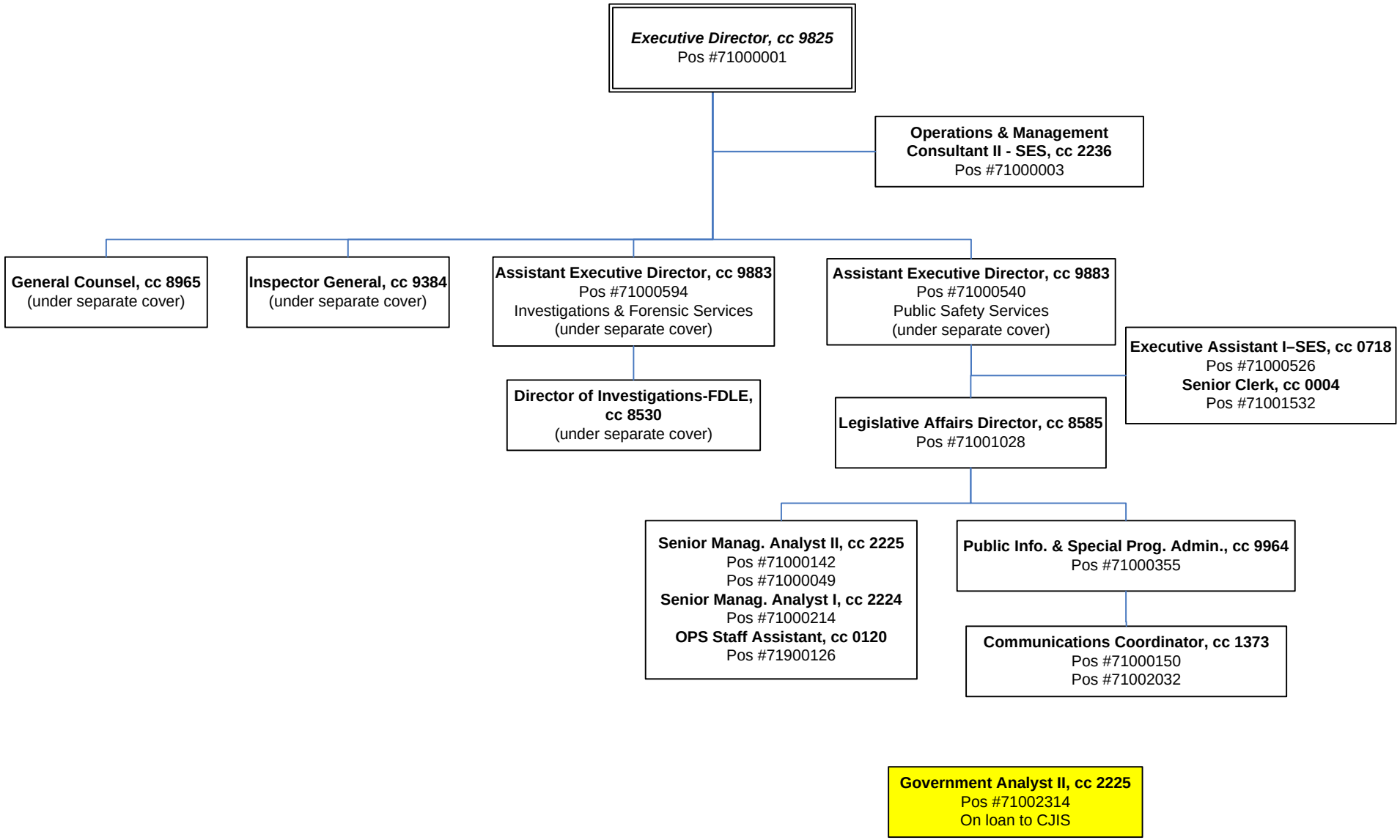
For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.

Agency:	**Florida Department of Law Enforcement**		
Contact Person:	**James D. Martin**	Phone Number:	**850-410-7679**

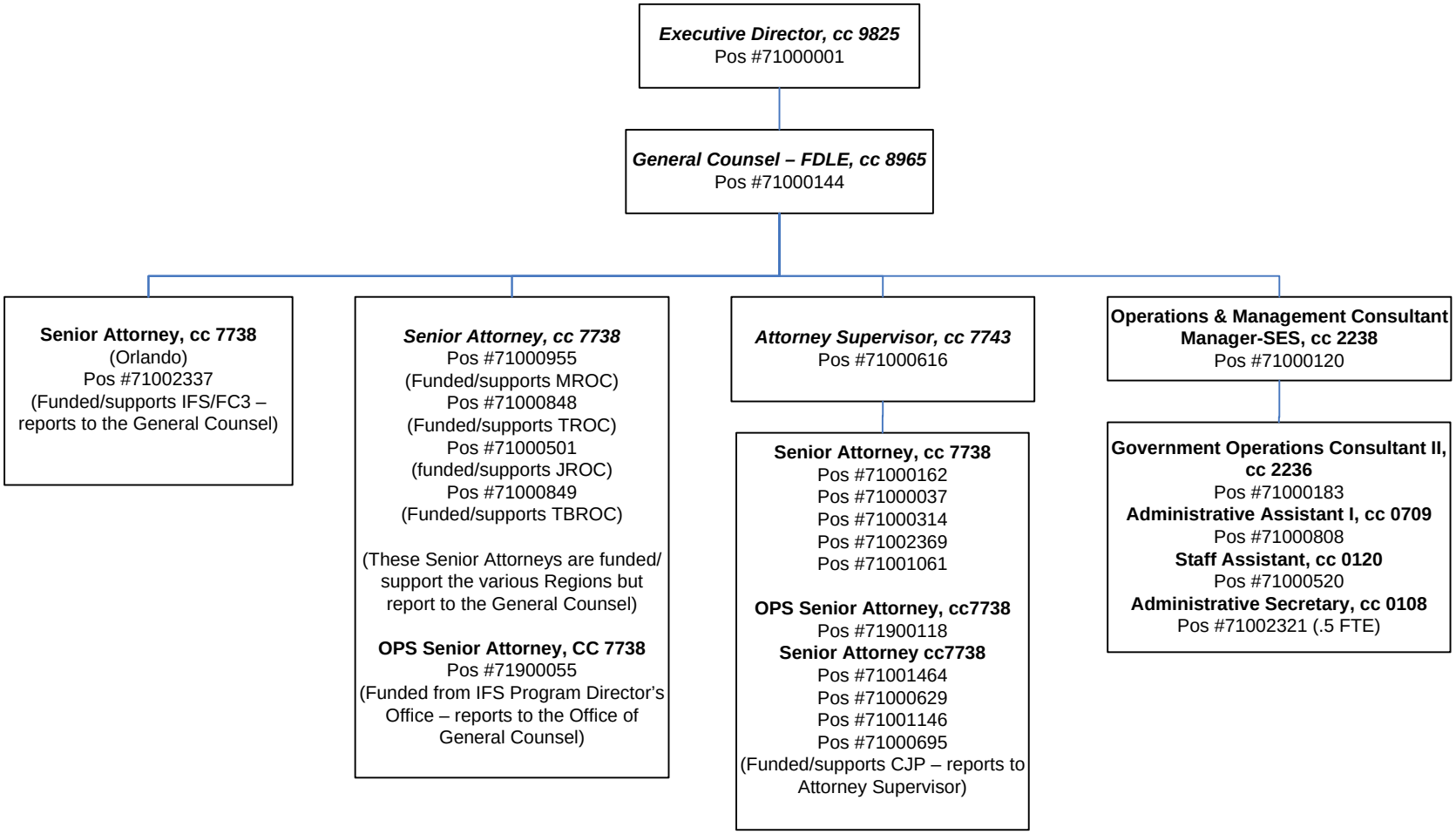
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	**None**	
Court with Jurisdiction:		
Case Number:		
Summary of the Complaint:		
Amount of the Claim:	$	
Specific Statutes or Laws (including GAA) Challenged:		
Status of the Case:		
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
		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).		

Florida Department of Law Enforcement

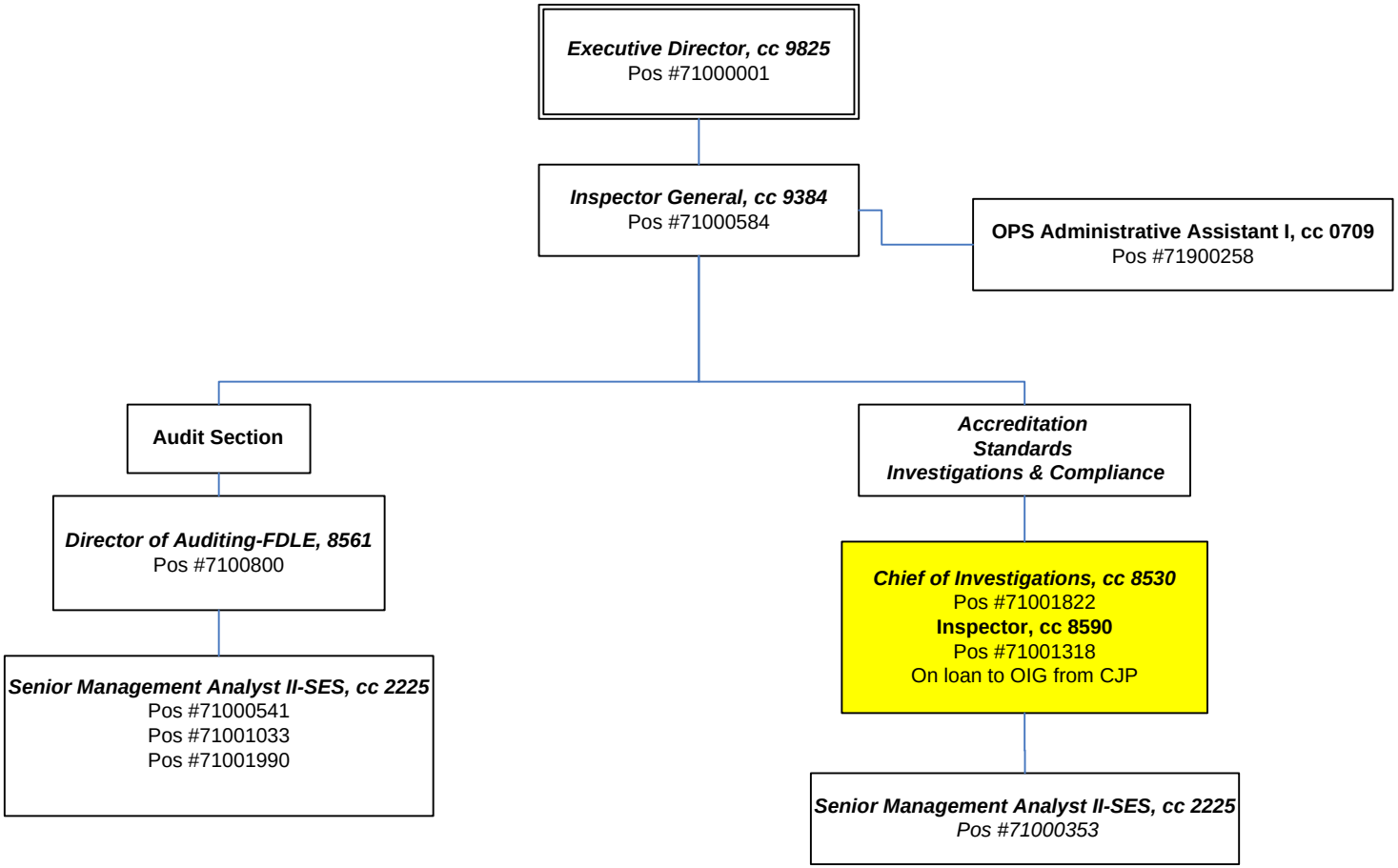
Office of the Executive Director



Florida Department of Law Enforcement
Office of the General Counsel

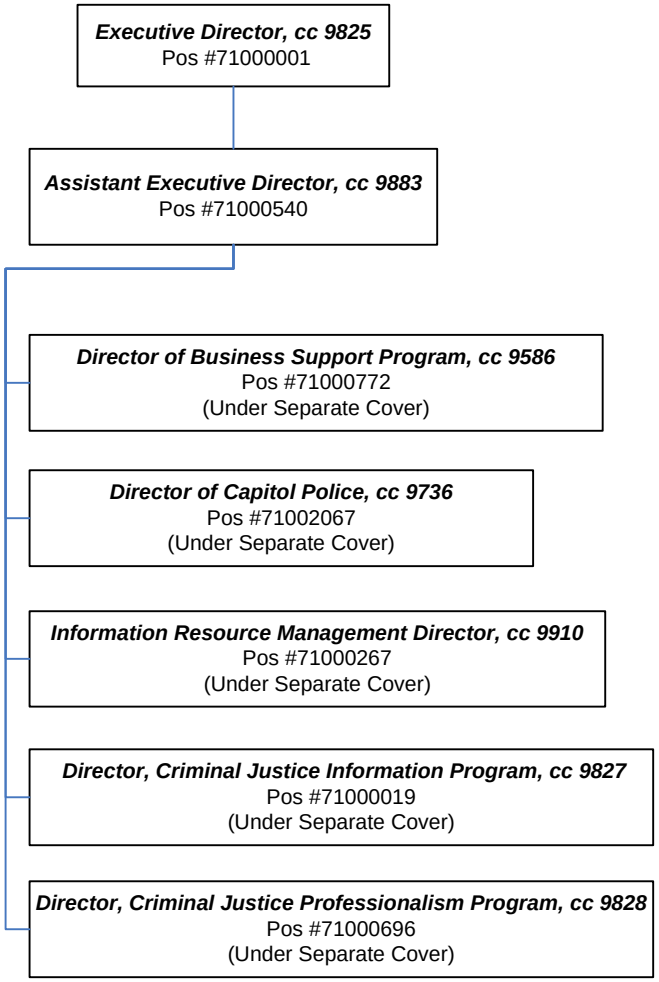


Florida Department of Law Enforcement
Office of Inspector General



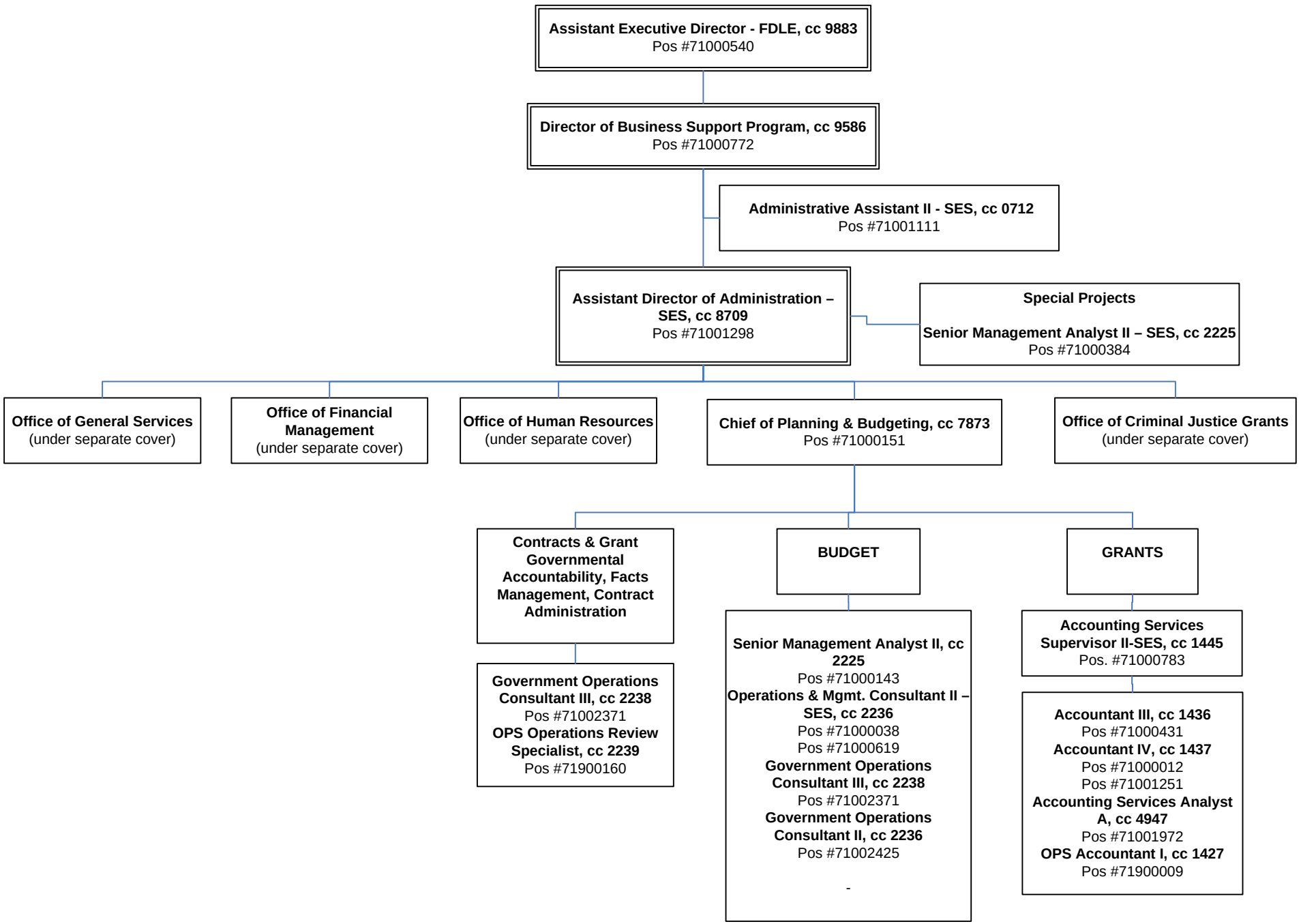
Florida Department of Law Enforcement

Office of Executive Director
Public Safety Services



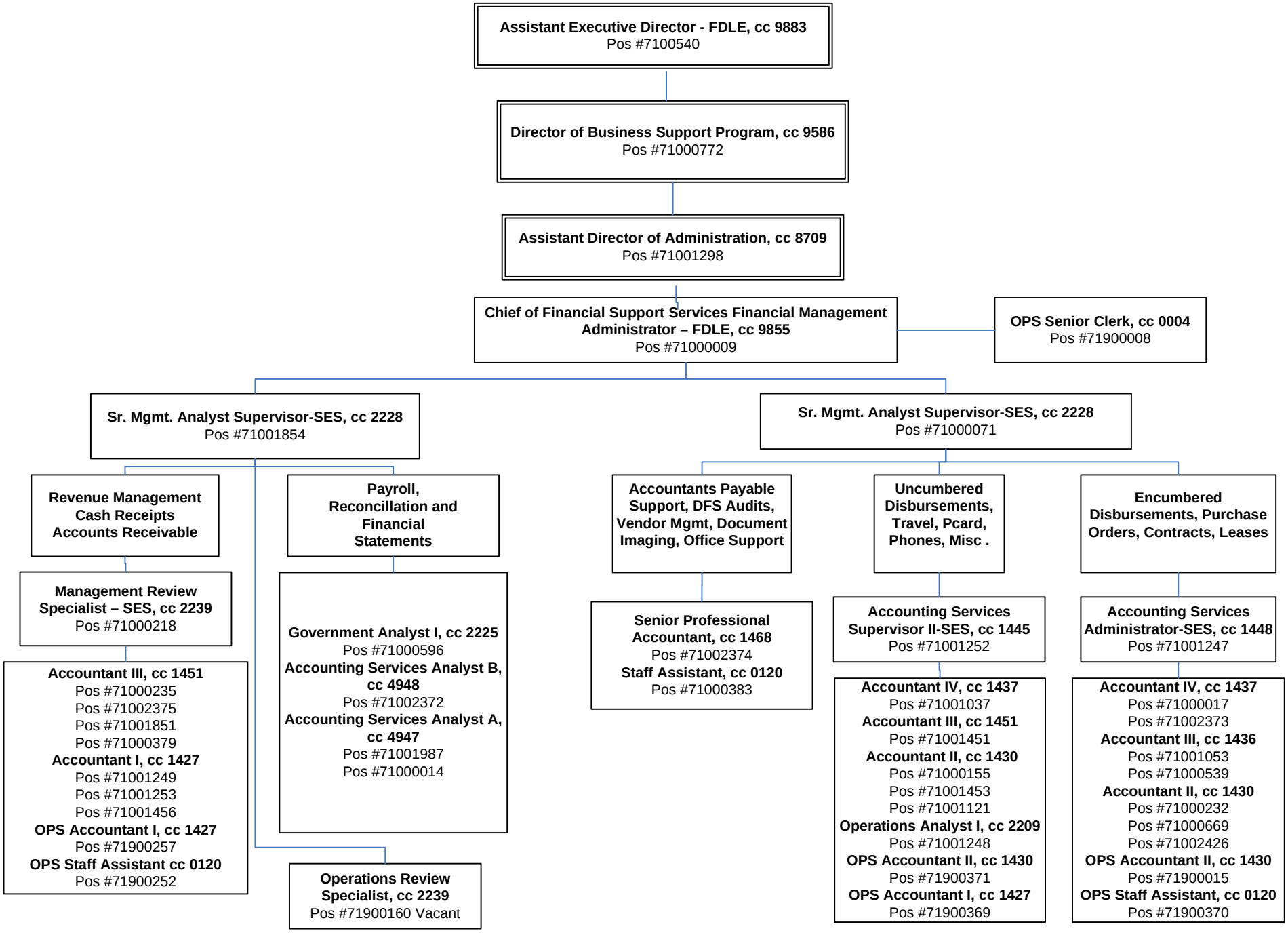
Florida Department of Law Enforcement

Business Support Program
Director's Office



Florida Department of Law Enforcement

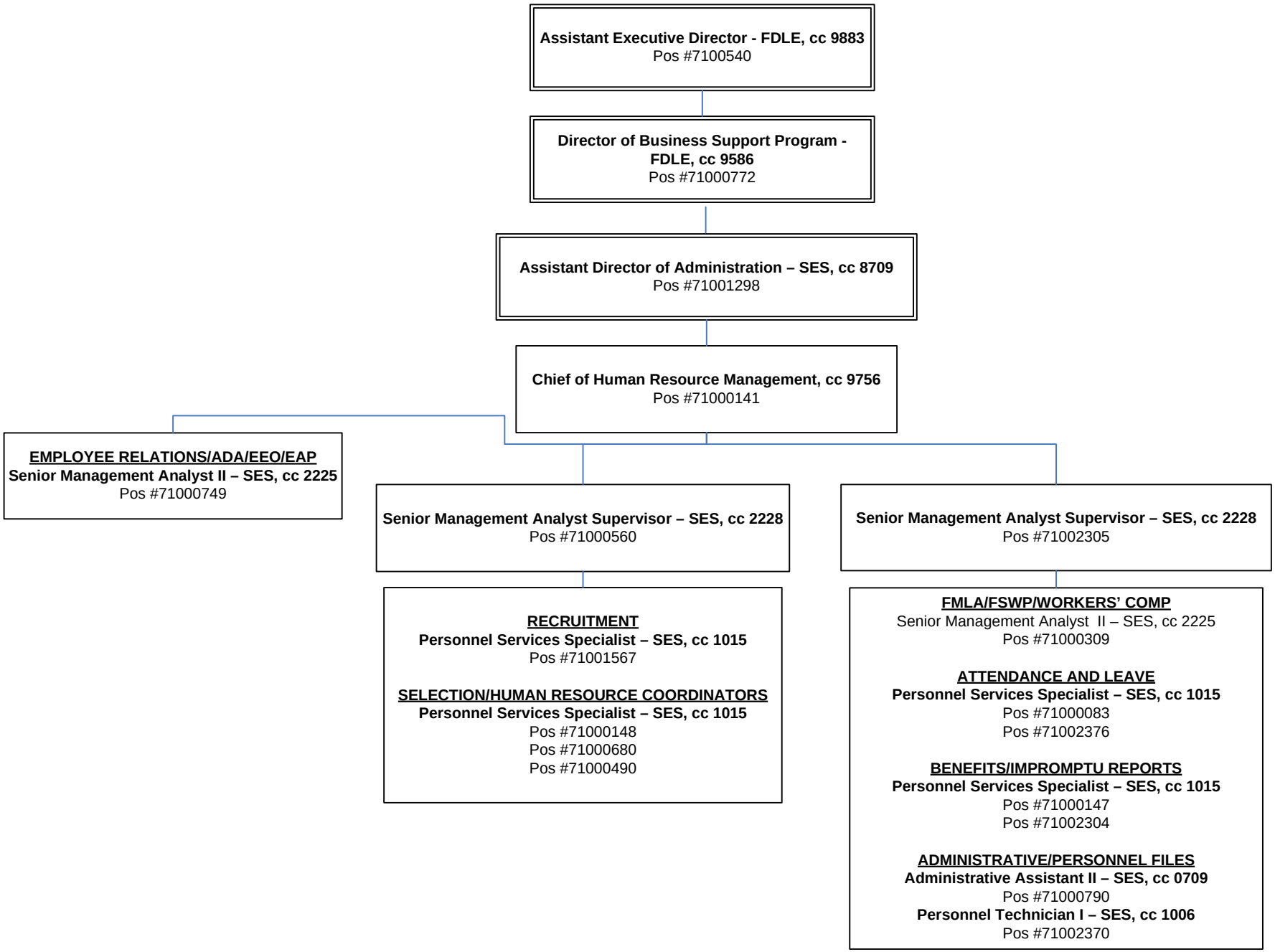
Business Support Program
Office of Financial Management



10/14/2014

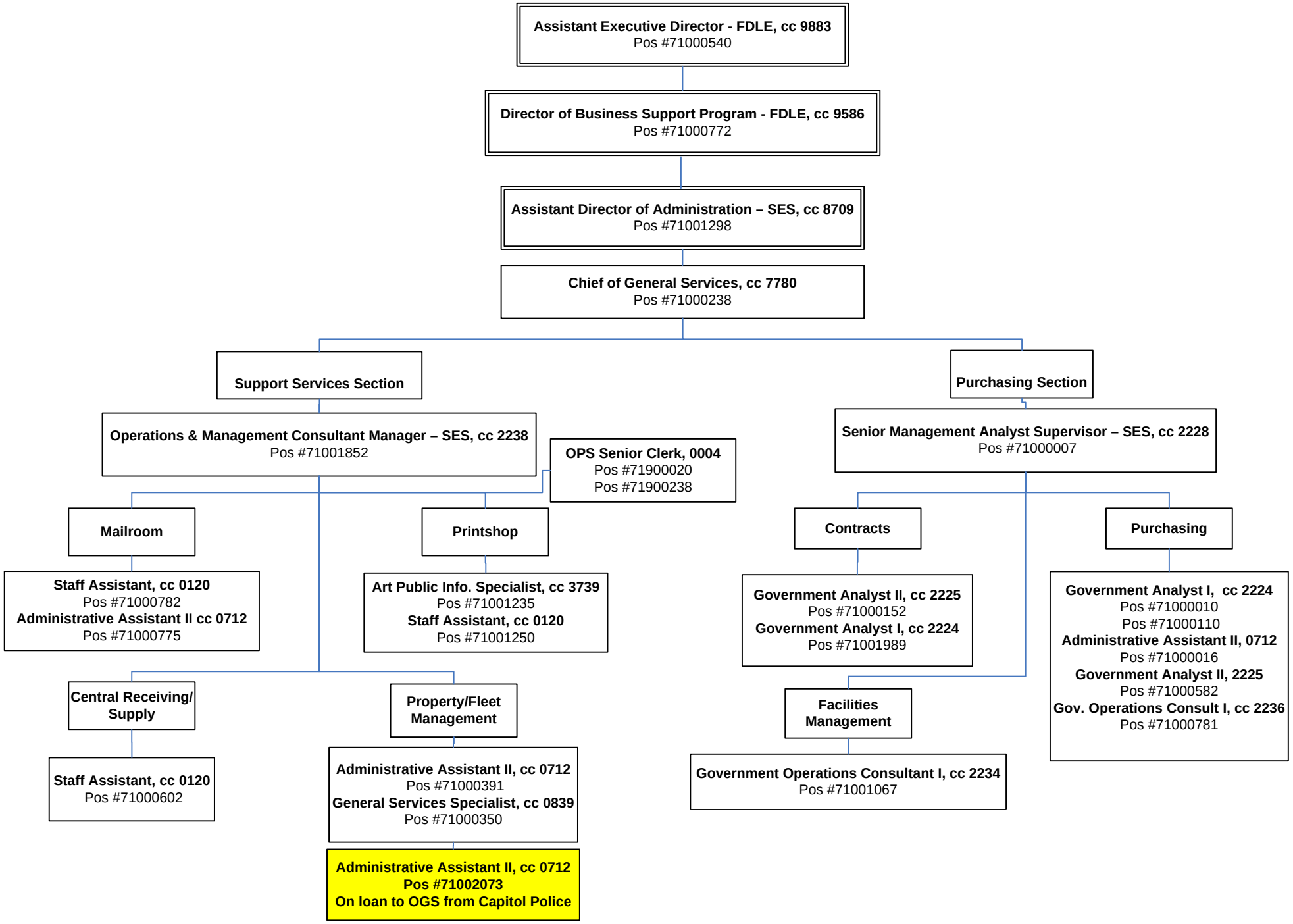
Florida Department of Law Enforcement

Business Support Program
Office of Human Resources



Florida Department of Law Enforcement

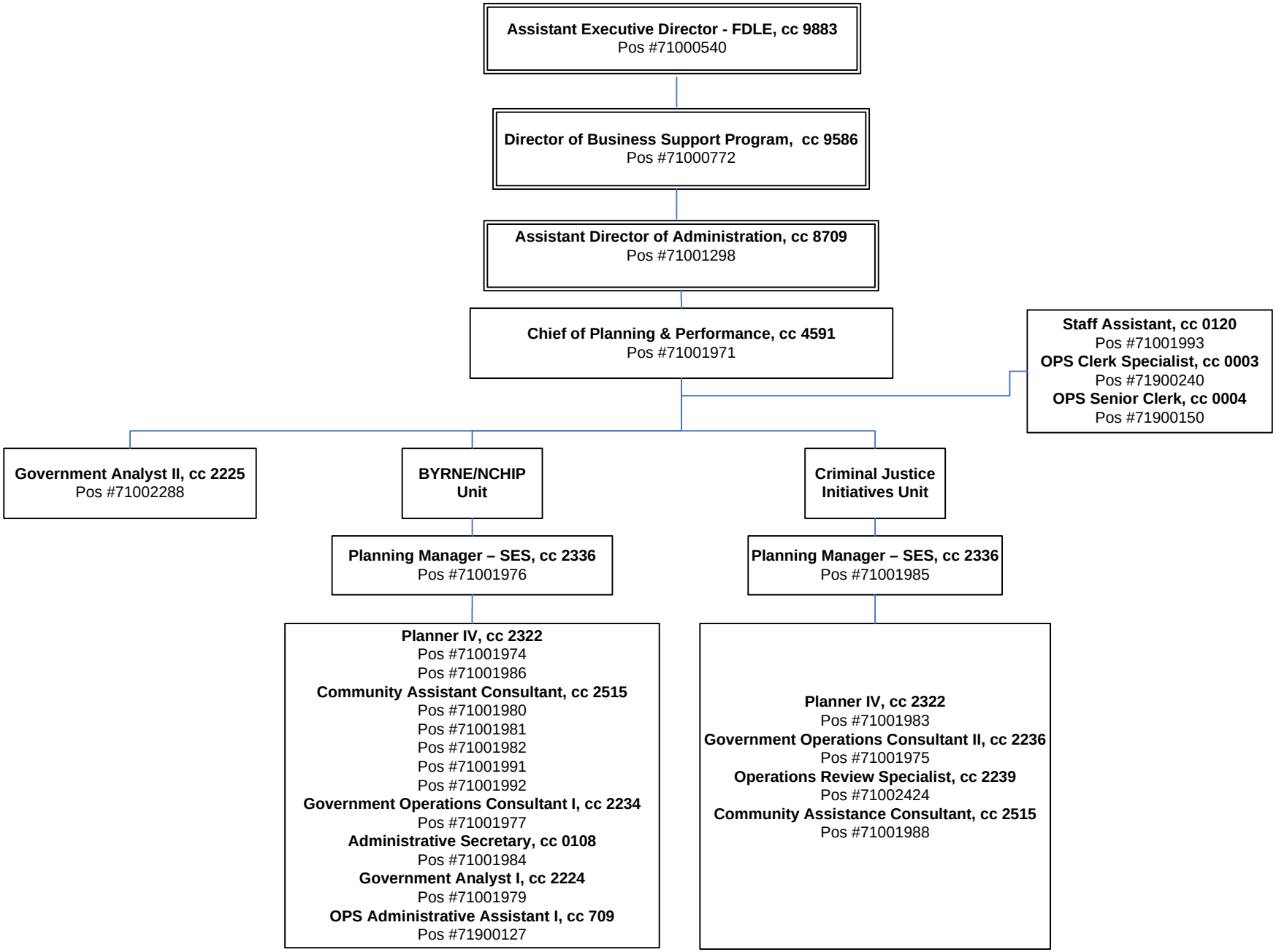
Business Support Program
Office of General Services



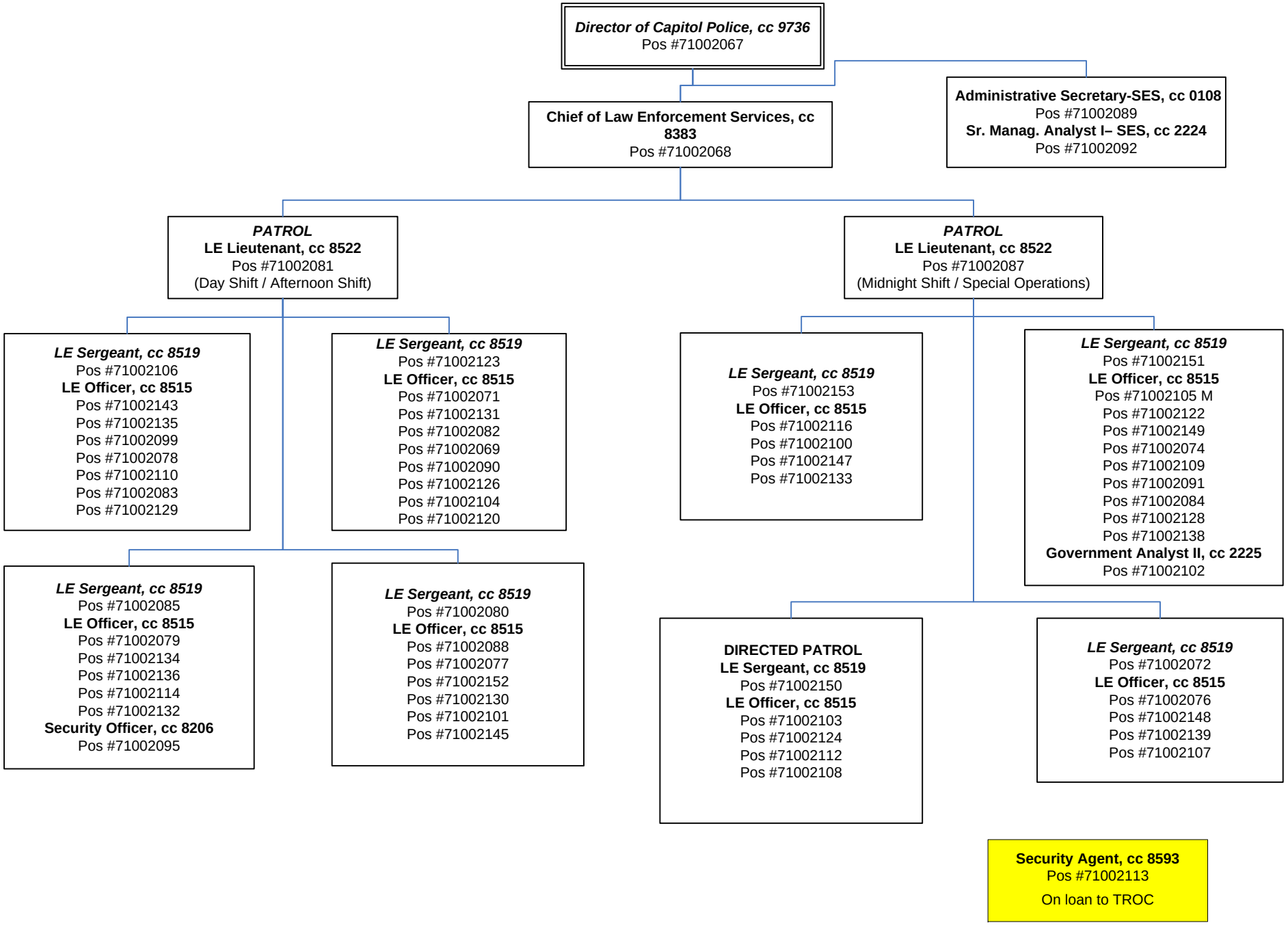
10/14/2014

Florida Department of Law Enforcement

Business Support Program
Office of Criminal Justice Grants



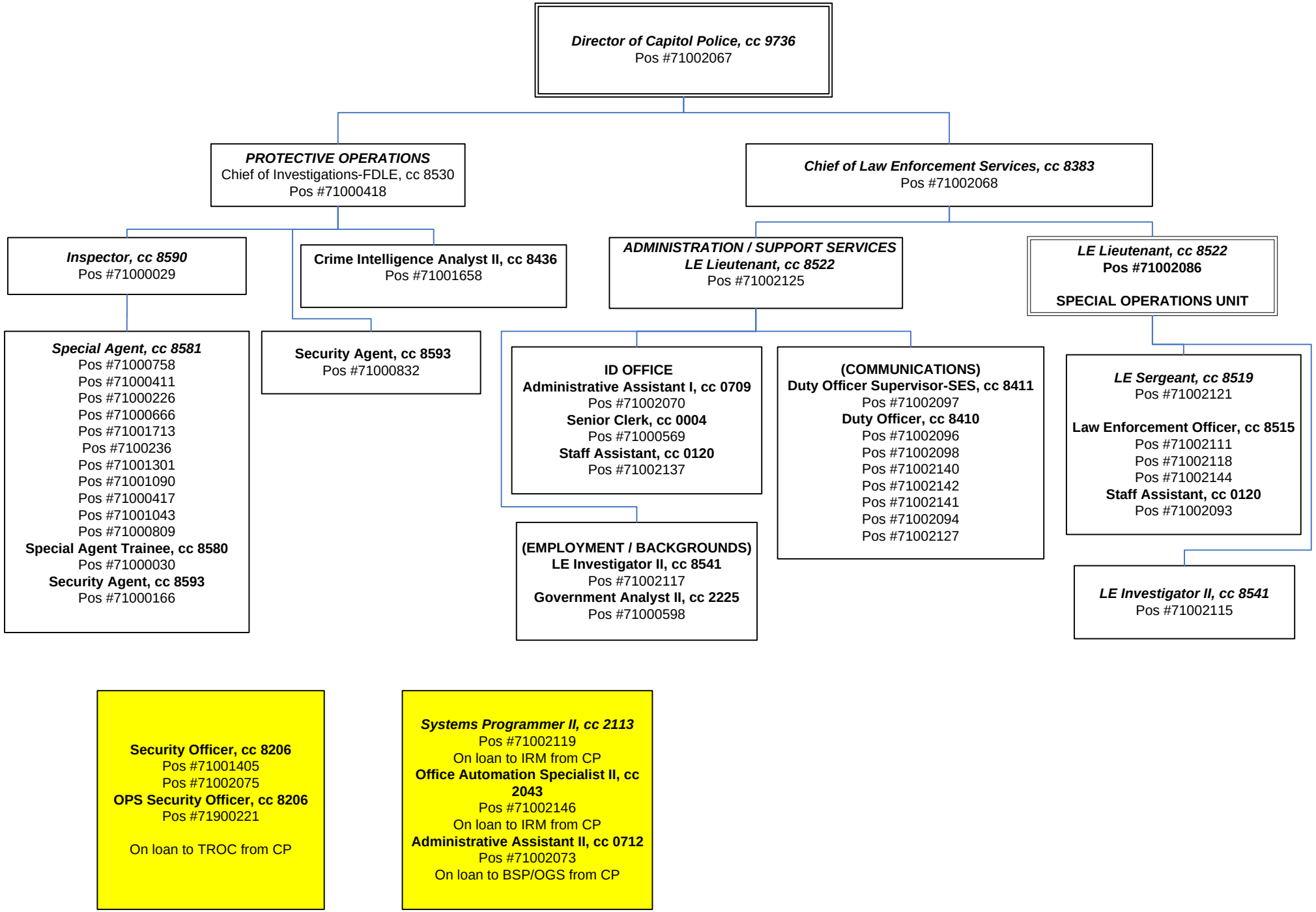
Florida Department of Law Enforcement
Capitol Police



10/14/2014

Florida Department of Law Enforcement

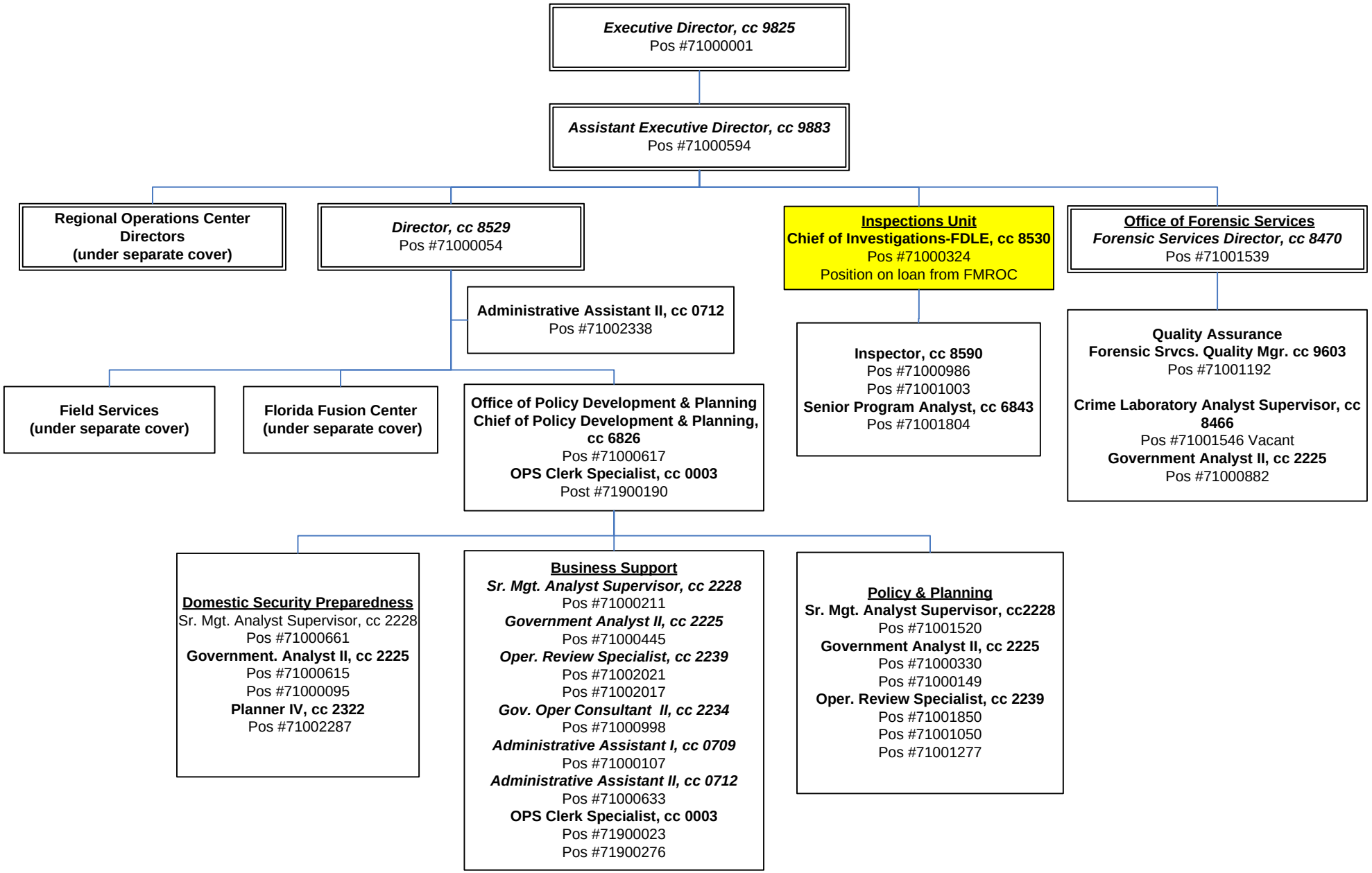
Capitol Police – Protective Operation Services (POS)



10/14/2014

Florida Department of Law Enforcement

Investigations and Forensic Science Program



Florida Department of Law Enforcement

Investigations and Forensic Science Program
Florida Fusion Center

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000054

Florida Fusion Center
Chief of Investigations, cc 8530
Pos #71000820

Watch Desk Research
Sr. Crime Intell. Analyst Supervisor, cc 8437
Pos #71002020
Sr. Crime Intell. Analyst I, cc 8434
Pos #71002237
Senior Crime Intell. Analyst II, cc 8435
Pos #71000042
Crime Intelligence Analyst II, cc 8436
Pos #71002395
Pos #71000487
Crime Intelligence Analyst I, cc 8433
Pos # 71000066
Pos #71002029

Crime Intelligence Analyst I, cc 8433
Pos #71001269
Pos #71001270
On loan from CJIS

Threat Groups
Special Agent Supervisor, cc 8584
Pos #71000922
Inspector, cc 8590
Pos #7101098 *(Acting SAS)*
Inspector, cc 8590
Pos #71001296
Pos #71000331
Senior Crime Intell. Analyst II, cc 8435
Pos #71002036
Pos #71002033
Senior Crime Intell. Analyst I, cc 8437
Pos #71002025
Pos #71002237

Cyber Security
Senior Crime Intell. Analyst Supervisor, cc 8437
Pos #71000537
Senior Crime Intell. Analyst II, cc 8435
Pos #71002004
Government Analyst II, cc 2225
Pos #71000893
Pos #71001005
Pos #71002385
Pos #71002386
Senior Information Technology Business Consultant, cc 2114
Pos #71002016
OPS Web Page Design Specialist, cc 2098
Pos #71900206

Intelligence Liaisn Officers
Sr. Mgt. Analyst Supervisor, cc 2228
Pos #71000343
Sr. Mgt. Analyst II, cc 2225
Pos #71002022
Government Analyst II, cc 2225
Pos #71002026
OPS Planner IV, cc 2322
Pos #71900333
Pos #71900026

Special Interest Groups
Special Agent Supervisor, cc 8584
Pos #71001054
Inspector, cc 8590
Pos #71000819
Senior Crime Intell. Analyst II, cc 8435
Pos #71002236
Senior Crime Intell. Analyst I, cc 8434
Pos #71002015
Pos #71002034
Pos #71001508
Crime Intelligence Analyst I, cc 8433
Pos #71000305

Watch Desk Tactical
Sr. Crime Intell.. Analyst Supervisor, cc 8437
Pos. #71002285
Crime Intelligence Analyst II, cc 8436
Pos # 71000514
Crime Intelligence Analyst I, cc 8433
Pos #71002027
Pos #71001295
OPS Crime Intelligence Analyst I, cc 8433
Pos #71900173
Pos #71900216
Pos #71900192
Pos #71900178
Pos #71900035
OPS Crime Intelligence Technician, cc 8427
Pos #71900184

Crime Intelligence Analyst I, cc 8433
Pos #71000397
Position on loan from JROC/Firearms

10/14/2014

Florida Department of Law Enforcement

Investigations and Forensic Science Program
Field Services

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000054

Field Services
Chief of Investigations, cc 8530
Pos #71000304

Squad X - Law Enforcement Services
Special Agent Supervisor, cc 8584
Pos #71000231

Mutual Aid
Inspector, cc 8590
Pos #71000021
Special Agent, cc 8581
Pos #71002286
Pos #71002002
Oper. Review Specialist, cc 2239
Pos #71000770
Tele. Comm. Consultant, cc 2039
Post #71000773

Sworn Training
Inspector, cc 8590
Pos #71000427
Special Agent, cc 8581
Pos #71000975
Research & Training Spec., cc 1334
Pos #71000671

Government Analyst I, cc 2224
Pos #71000109
Position on loan to IFS from CJP

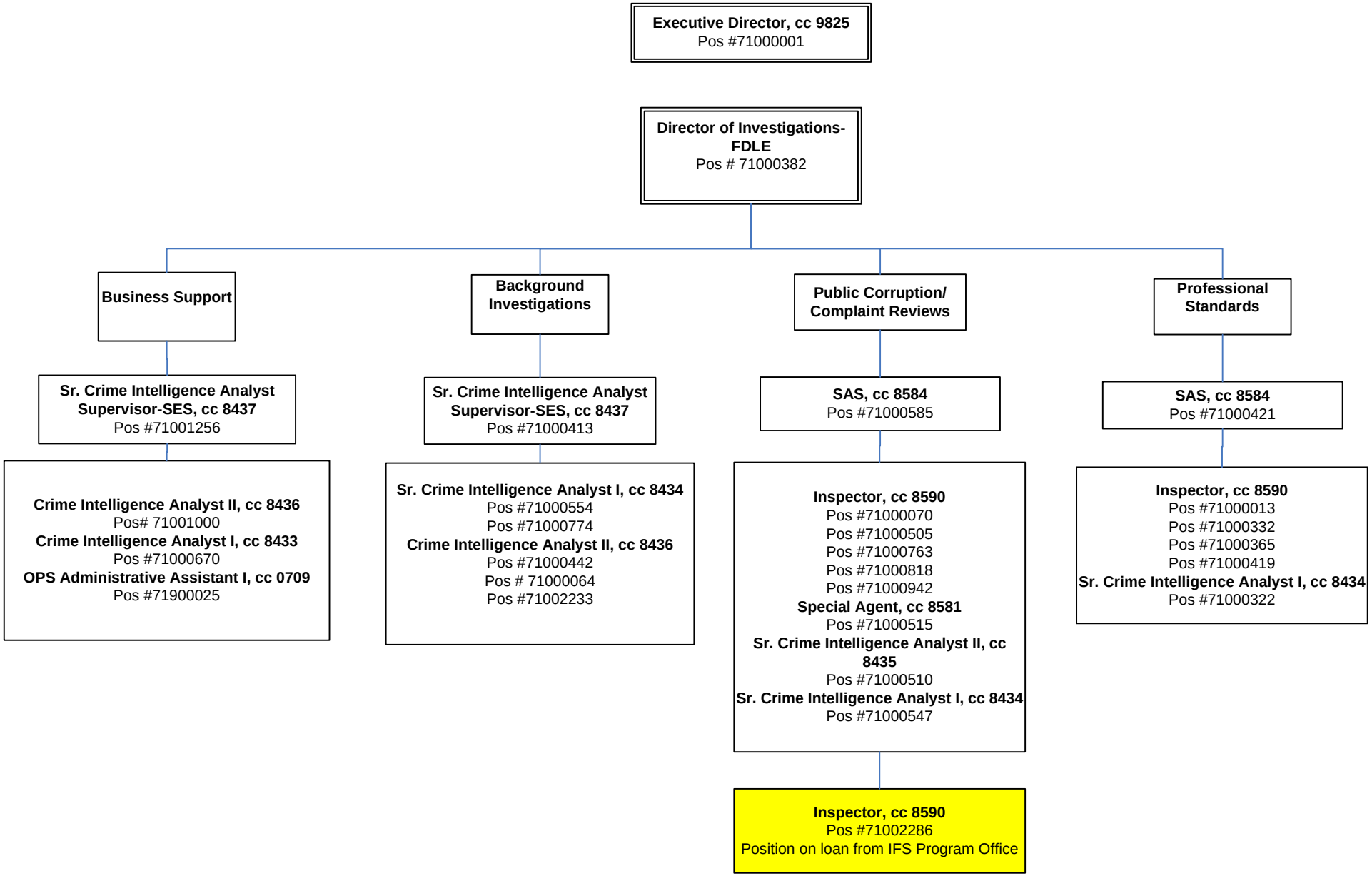
Systems Administration
Sr. Mgt. Analyst Supervisor, cc 2228
Pos #71000112
Government Analyst II, cc 2225
Pos #71000890
Pos #71002028
Pos #71001075
Government Analyst I, cc 2224
Pos #71000450

Cyber High Tech Crime
Training & Outreach
Special Agent Supervisor, cc 8584
Pos #71000061
Inspector, cc 8590
Pos #71001099
Systems Programming Consultant, cc 2117
Pos #71002005
Pos #71002031
Pos #71000328
Research & Training Specialist, cc 1334
Pos #71002003
Senior Crime Intelligence Analyst II, cc 8435
Pos #71002205
OPS Government Analyst I, cc 2224
Pos #71900312

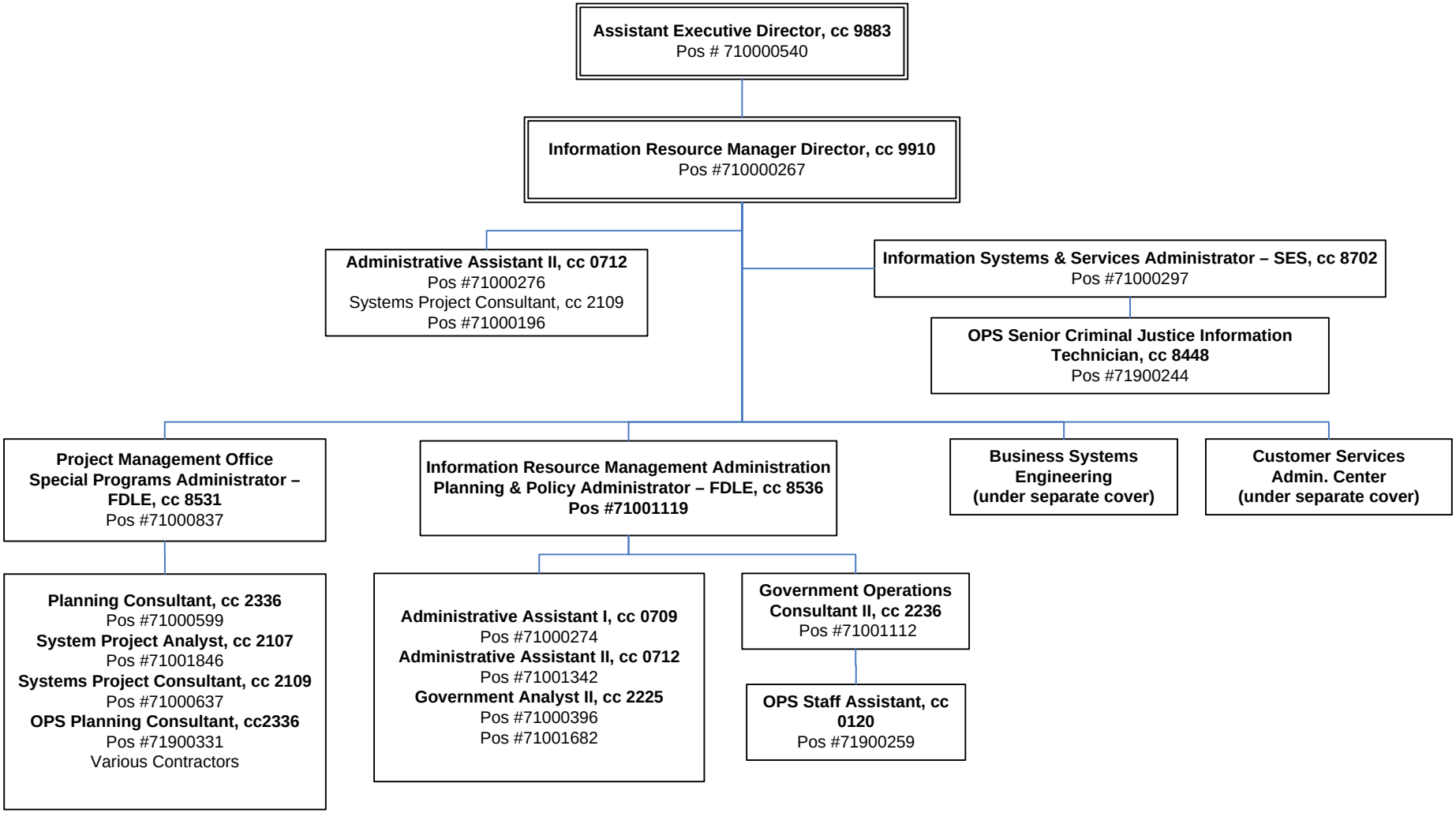
(Orlando)
Senior Attorney, cc 7738
Pos #71002337
This position reports to the
Office of General Counsel

Florida Department of Law Enforcement

Office of Executive Director
Office of Executive Investigations

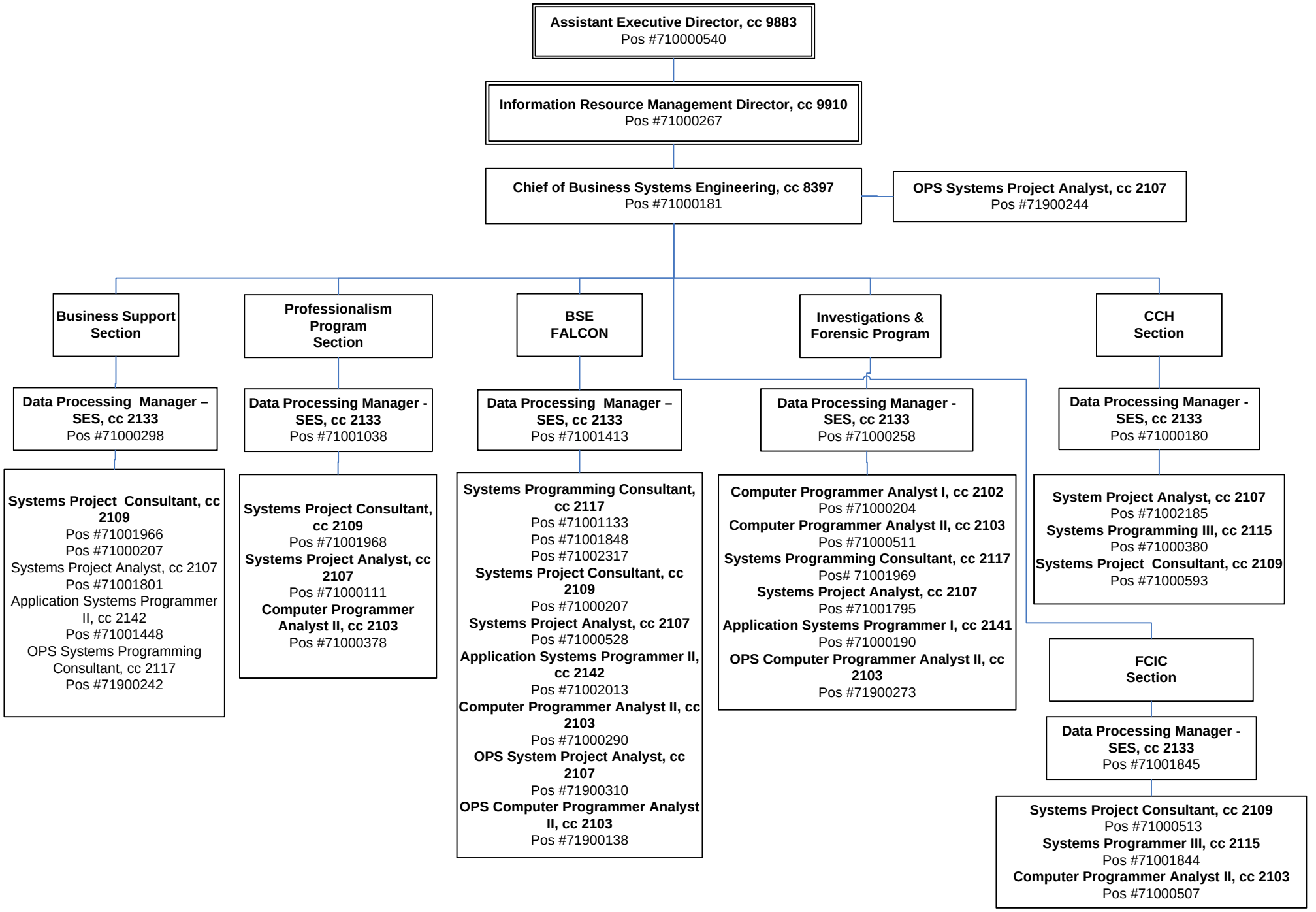


Florida Department of Law Enforcement
Information Technology Services



Florida Department of Law Enforcement

Information Technology Services
Business Systems Engineering



Florida Department of Law Enforcement

Information Technology Services

Customer Service Administration Center

Assistant Executive Director, cc 9883
Pos #71000540

Information Resource Management Director, cc 9932
Pos #71000267

Chief of User Services, cc 1963
Pos #71000677

Customer Support Center
Data Processing Manager, cc 2133
Pos #71000200

Regional System Administration
Data Processing Manager, cc 2133
Pos #71002014

Distributed Systems Administration
Data Processing Manager, cc 2133
Pos #71001354

Day Shift
Distributed Computer Systems Analyst, cc 2052 - SES
Pos #71000521
Distributed Computer Systems Specialist, cc 2050
Pos #71001113
Pos #71000786
Pos #71000891
Office Automation Specialist II, cc 2043
Pos #71001212
Pos #71001044
Telecommunications Specialist III, cc 2035
Pos #71000189
OPS Office Automation Specialist II, cc 2043
Pos # 71900090
OPS Senior Criminal Justice Information Technician, cc 8448
Pos #71900218

Evening Shift
Distributed Computer Systems Analyst, cc 2052 – SES
Pos #71000277
Criminal Justice Customer Service Specialist, cc 1350
Pos #71001415
Pos #71000489
OPS Office Automation Specialist II, cc 2043
Pos #71900253
Pos #71900145
OPS Computer Operator I, cc 2020
Pos #71900129
Pos #71900222
Office Automation Specialist II, cc 2043
Pos #71001110

Midnight Shift
Distributed Computer Systems Analyst, cc 2052–SES
Pos #71000838
Distributed Computer Systems Analyst, cc 2052
Pos #71000534
Distributed Computer Systems Specialist, cc 2050
Pos #71000375
Pos #71001137
Criminal Justice Customer Service **Specialist, cc 1350**
Pos #71000293

Funded/Reports to IRM/Supports:
Pensacola
Systems Programmer III, cc 2115
Pos #71001339
Jacksonville
Systems Programmer III, cc 2115
Pos #71001452
Distributed Computer Systems Analyst, cc 2052
Pos #71000730
Tampa
Systems Programmer III, cc 2115
Pos #71000919
Distributed Computer Systems Analyst, cc 2052
Pos #71000243
Orlando
Distributed Computer Systems Analyst, cc 2052
Pos #71000233
Systems Programmer I, cc 2111
Pos #71000295
Miami
Systems Programmer III, cc 2115
Pos #71000228
Pos #71000034
Pos #71001967
FMROC
Systems Programmer III, cc 2115
Pos #71001693
TROC
Systems Programmer I, cc 2111
Pos #71000796

Distributed Computer Systems Analyst, cc 2052
Pos #71000268
Pos #71000699
Pos #71000571
Pos #71000750
Pos #71000284
Pos #71001355
Pos #71000206
Distributed Computer Systems Specialist, cc 2050
Pos #71001104
Pos #71000325

Office Automation Specialist II, cc 2043
Pos #71002146

On loan to IRM from Cap. Police

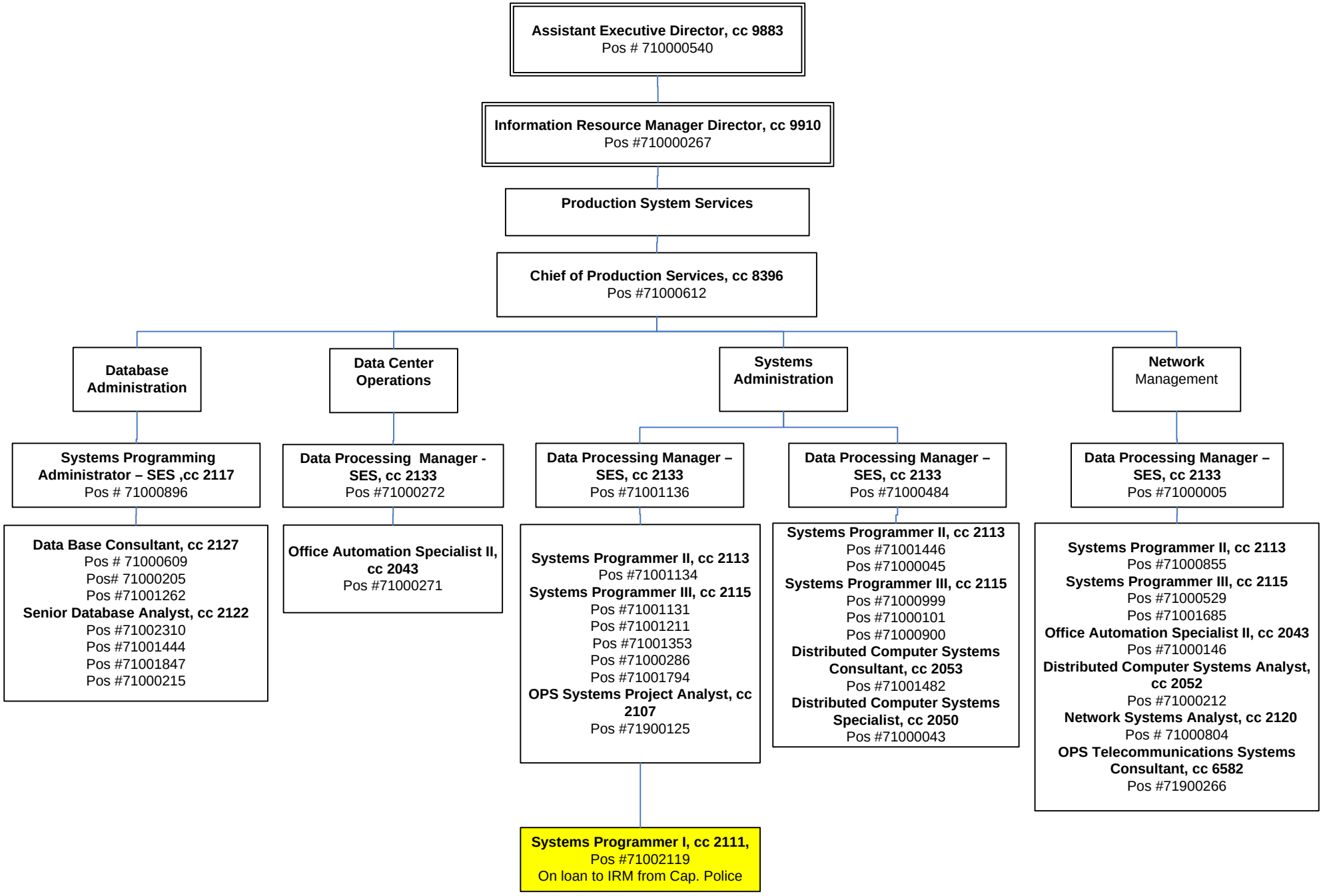
**These positions are under Regional Systems Administration in the Regional Offices

10/14/2014

Florida Department of Law Enforcement

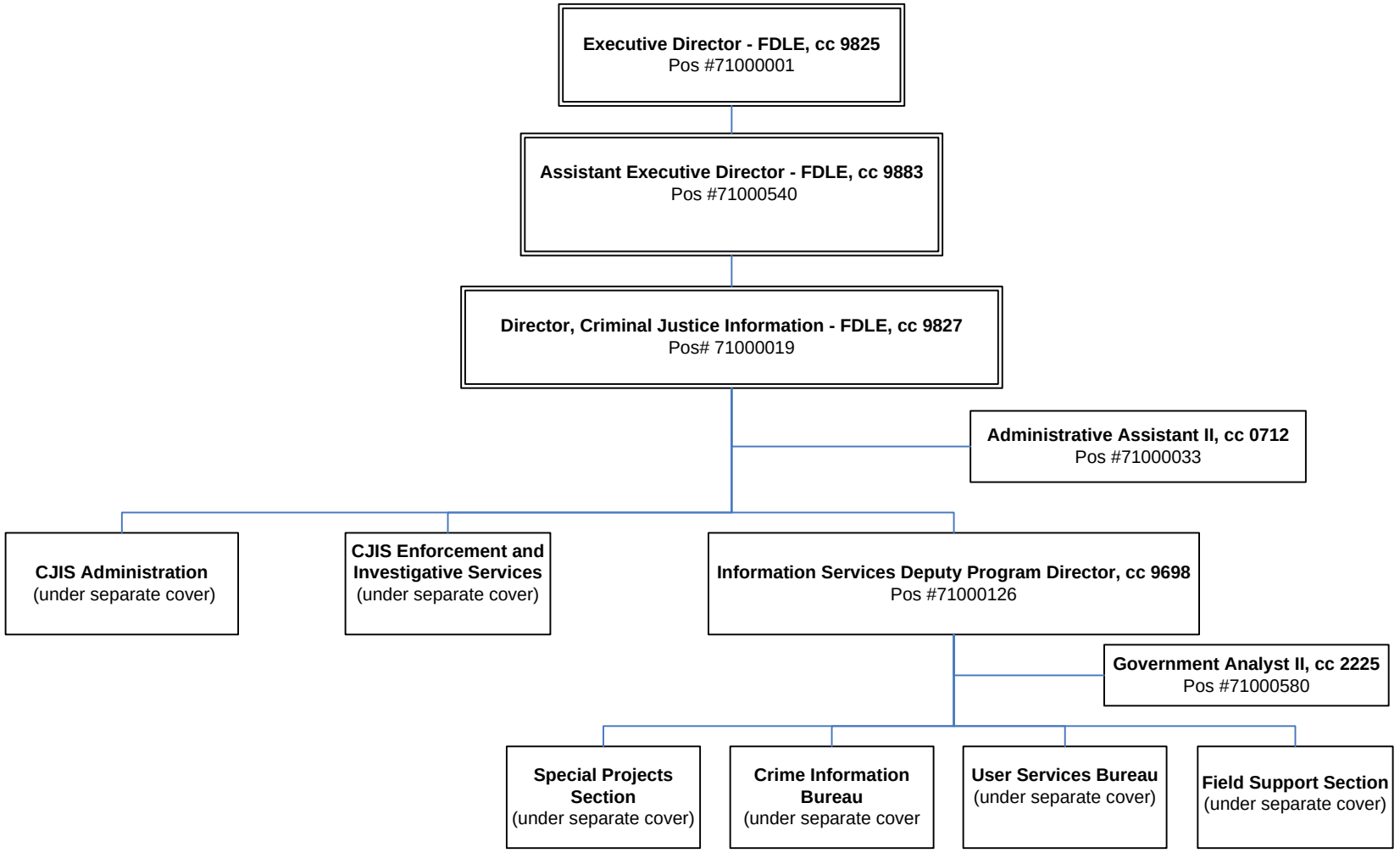
Information Technology Services

Production System Services



10/14/2014

Florida Department of Law Enforcement
Criminal Justice Information Services

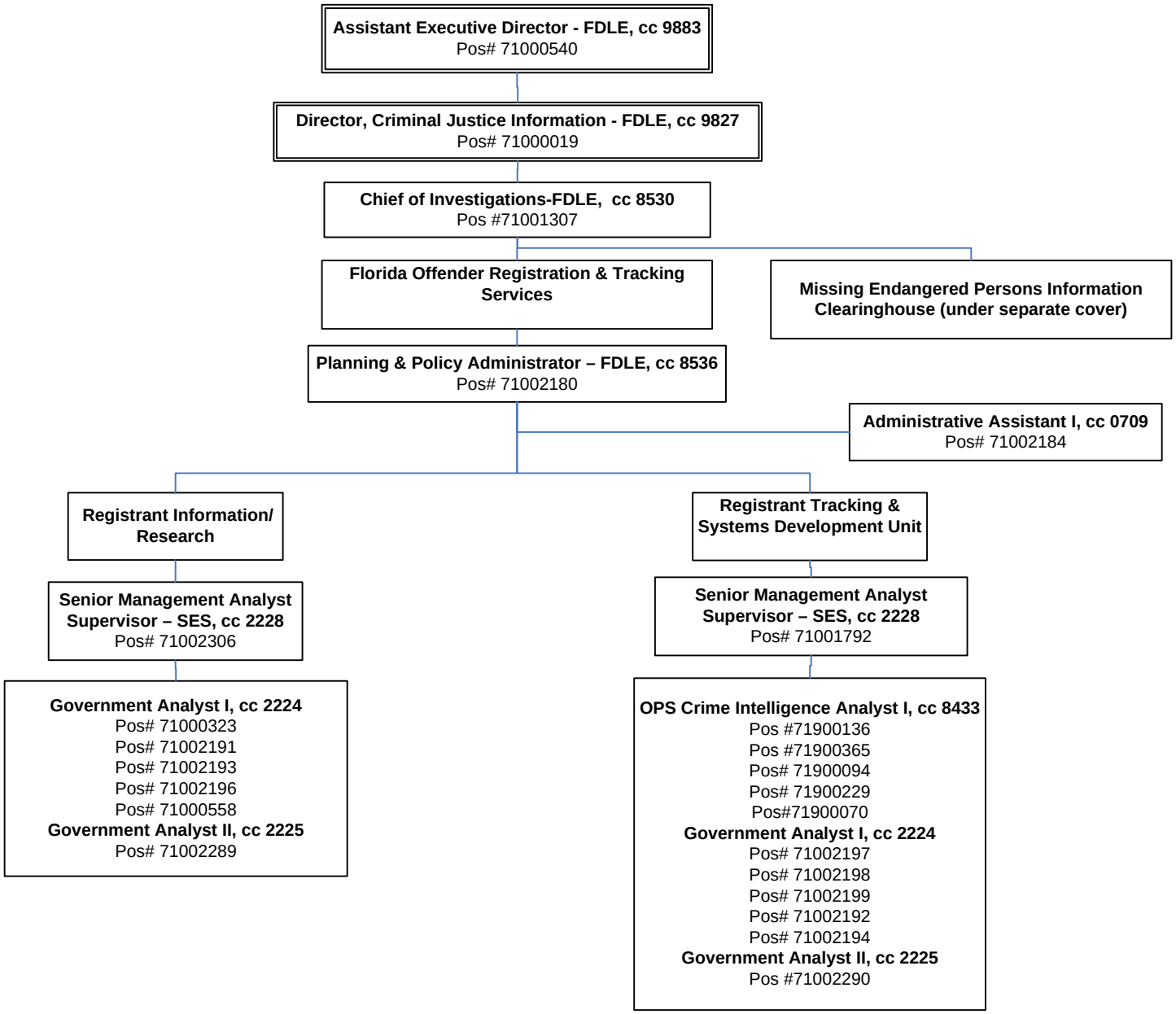


Research & Training Specialist, cc 1334
Pos# 71000632
On loan to FMROC from CJP
(Information Delivery Team (IDT) – CJIS)

10/14/2014

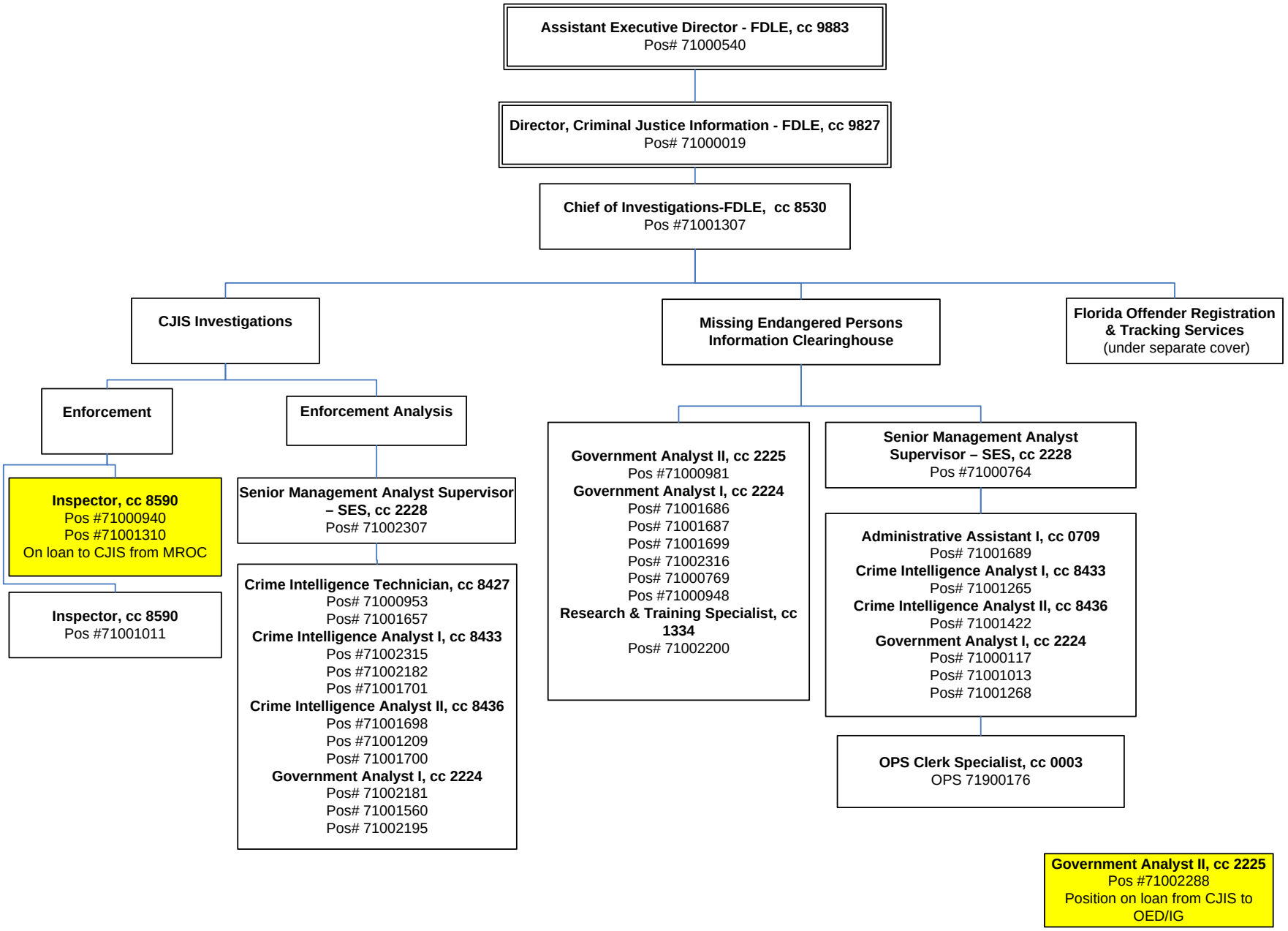
Florida Department of Law Enforcement

Criminal Justice Information Services
Missing Endangered Persons Information Clearinghouse –
Florida Offender Registration & Tracking Services



Florida Department of Law Enforcement

Criminal Justice Information Services
Missing Endangered Persons Information Clearinghouse –
Florida Offender Registration & Tracking Services

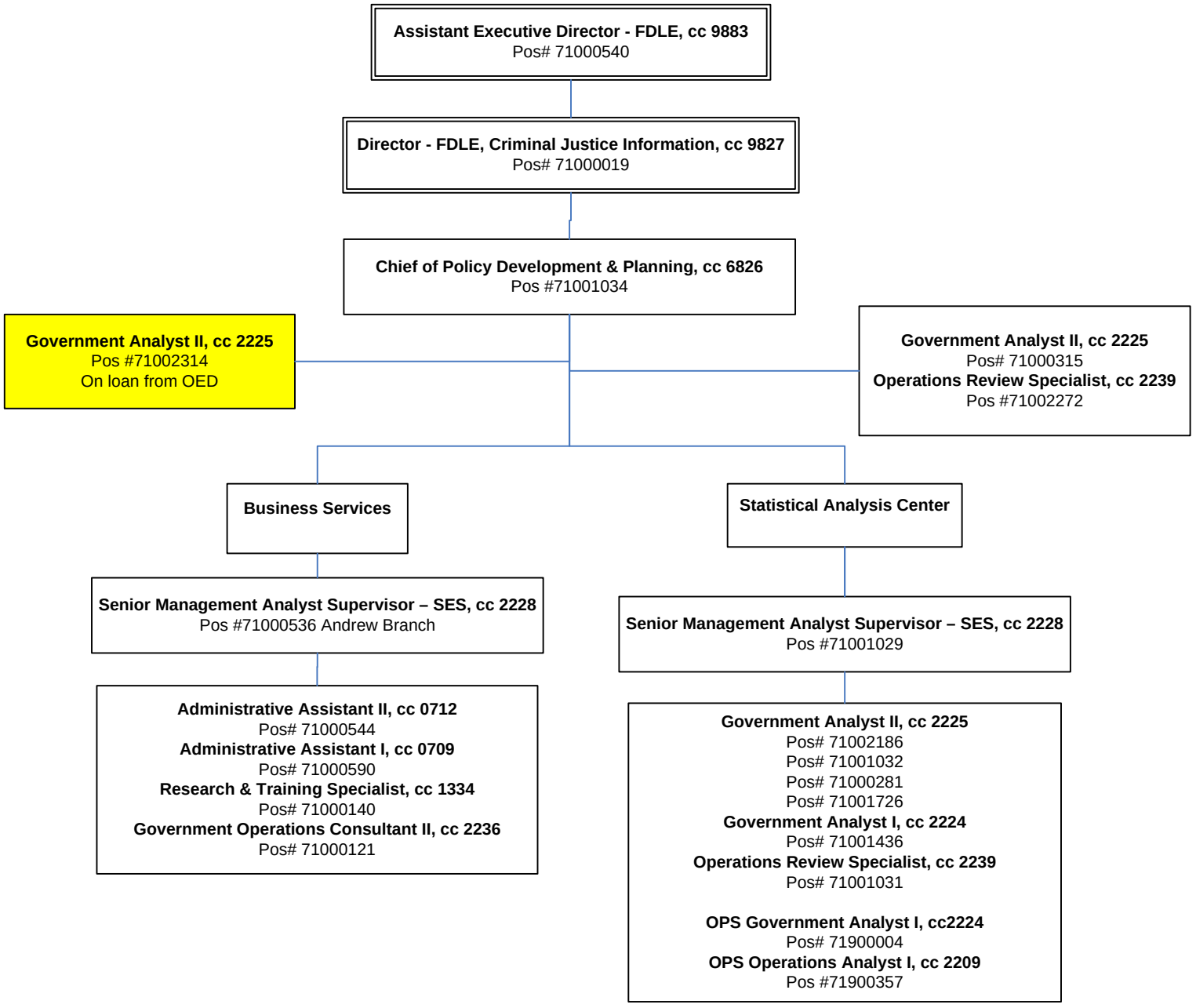


10/14/2014

Florida Department of Law Enforcement

Criminal Justice Information Services

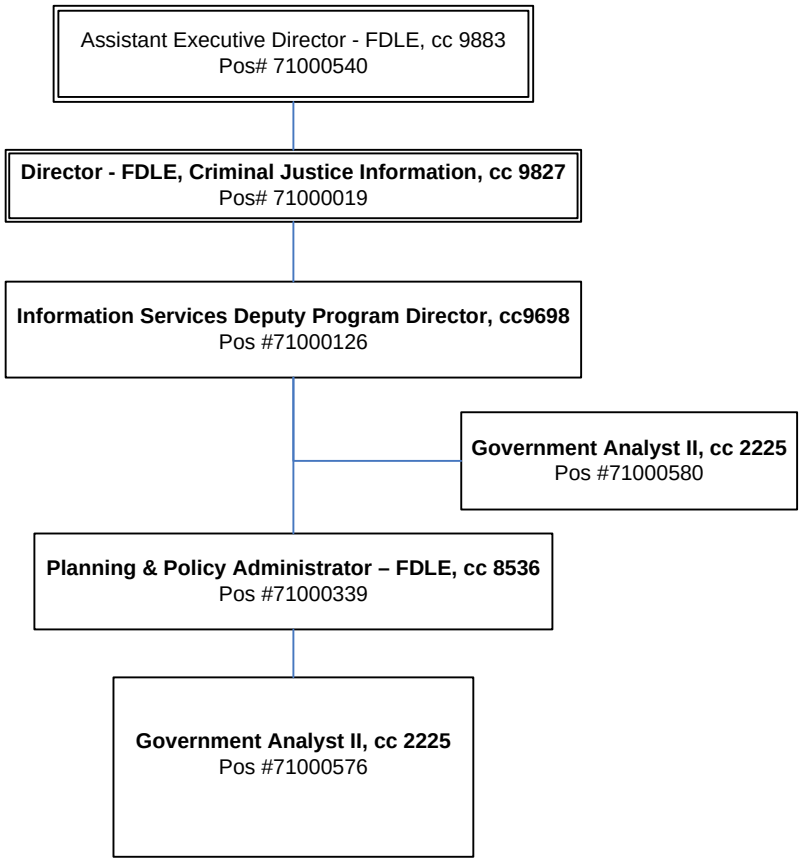
Administration



Florida Department of Law Enforcement

Criminal Justice Information Services

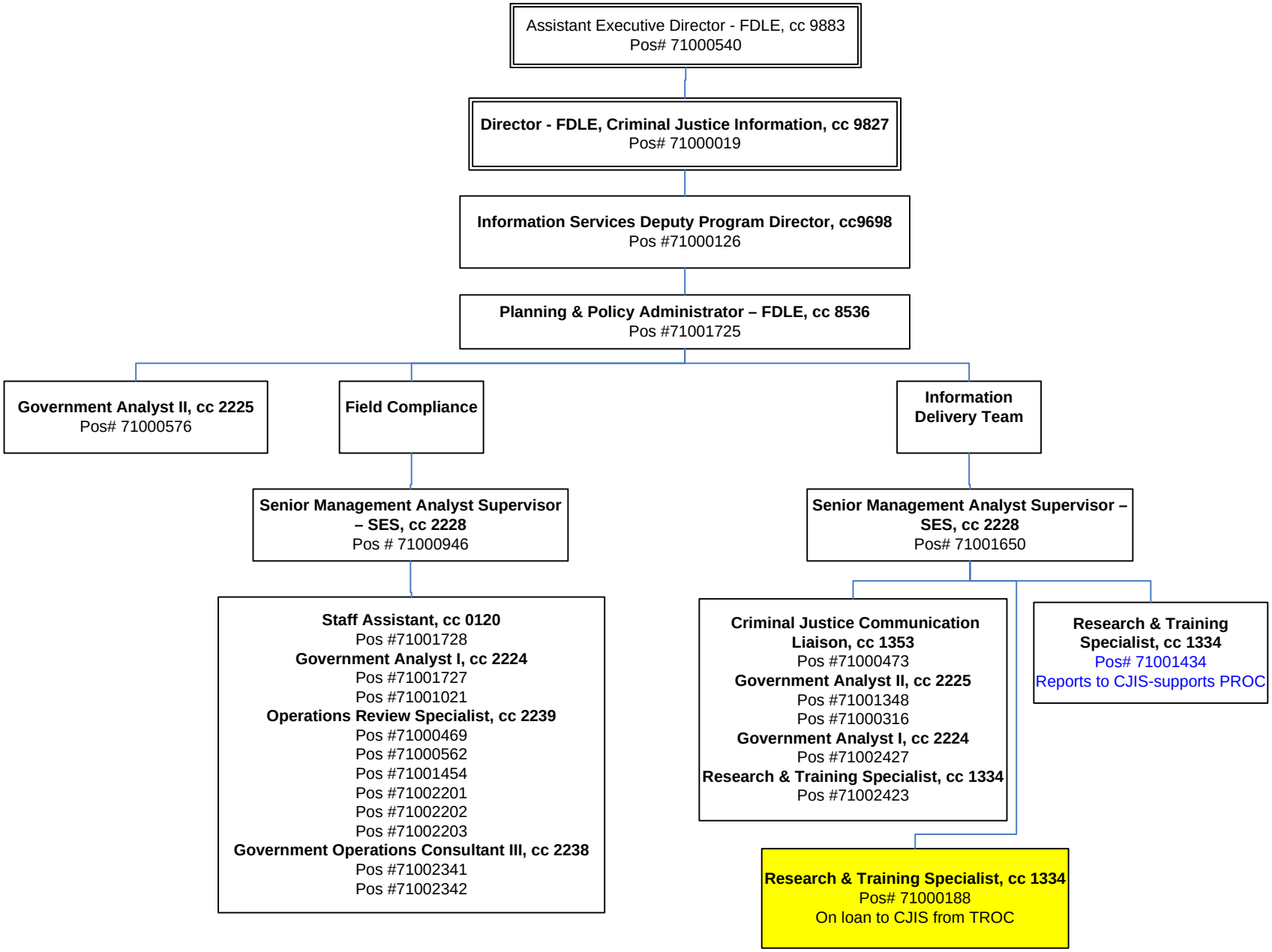
Special Projects Section



Florida Department of Law Enforcement

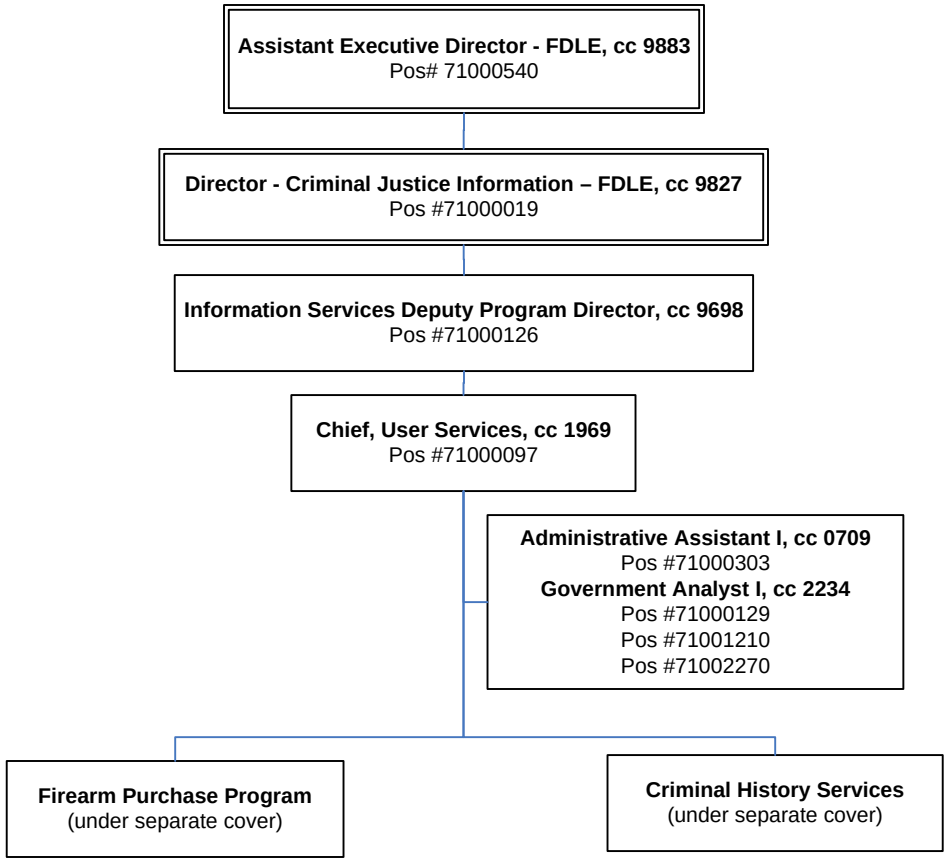
Criminal Justice Information Services

Field Support



10/14/2014

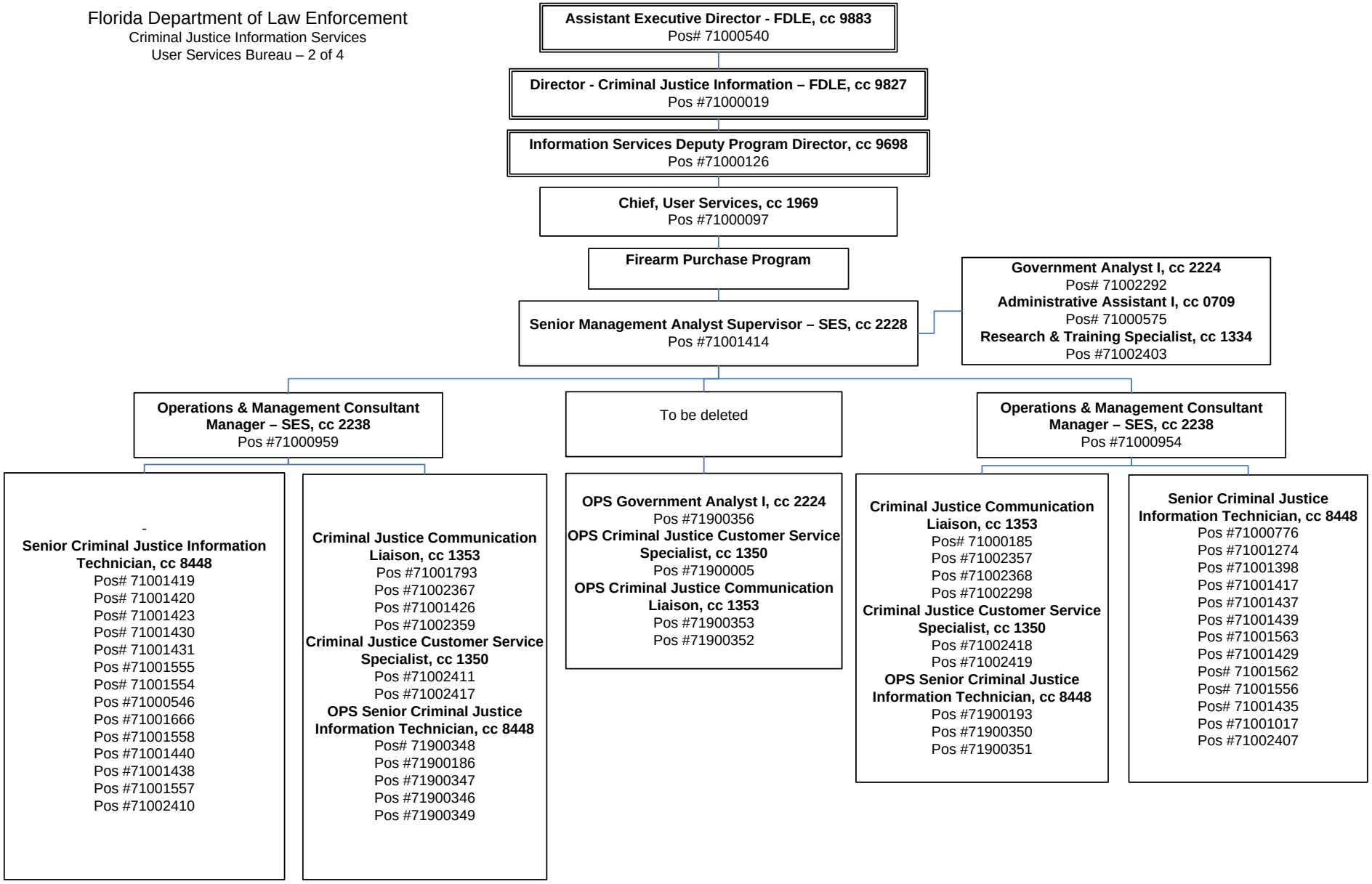
Florida Department of Law Enforcement
Criminal Justice Information Services
User Services Bureau - Page 1 of 4



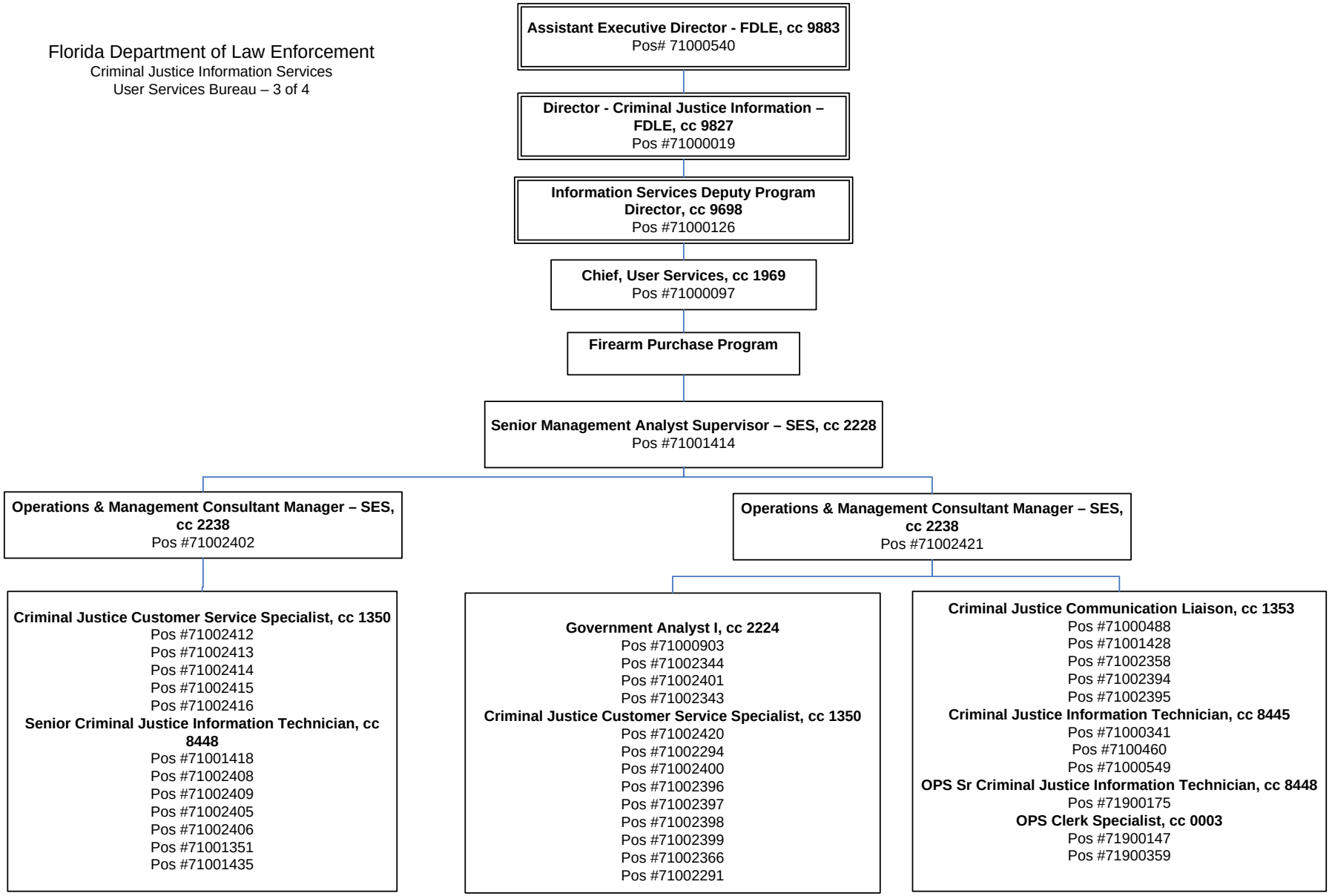
Crime Intelligence Analyst I, cc 8433
Pos # 71001269
Pos # 71001270
On loan to IFS/Watch Desk

10/14/2014

Florida Department of Law Enforcement
Criminal Justice Information Services
User Services Bureau – 2 of 4



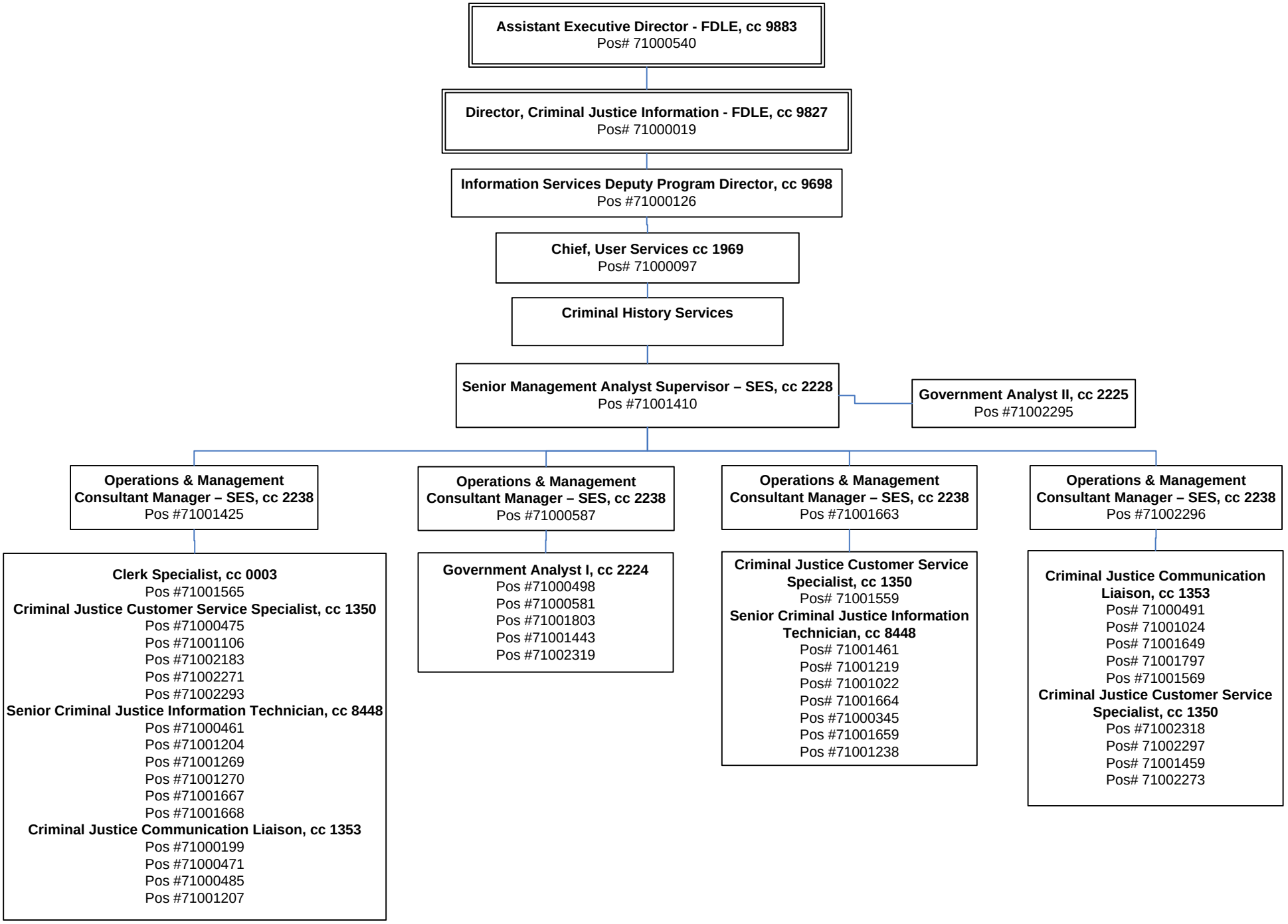
Florida Department of Law Enforcement
Criminal Justice Information Services
User Services Bureau – 3 of 4



Florida Department of Law Enforcement

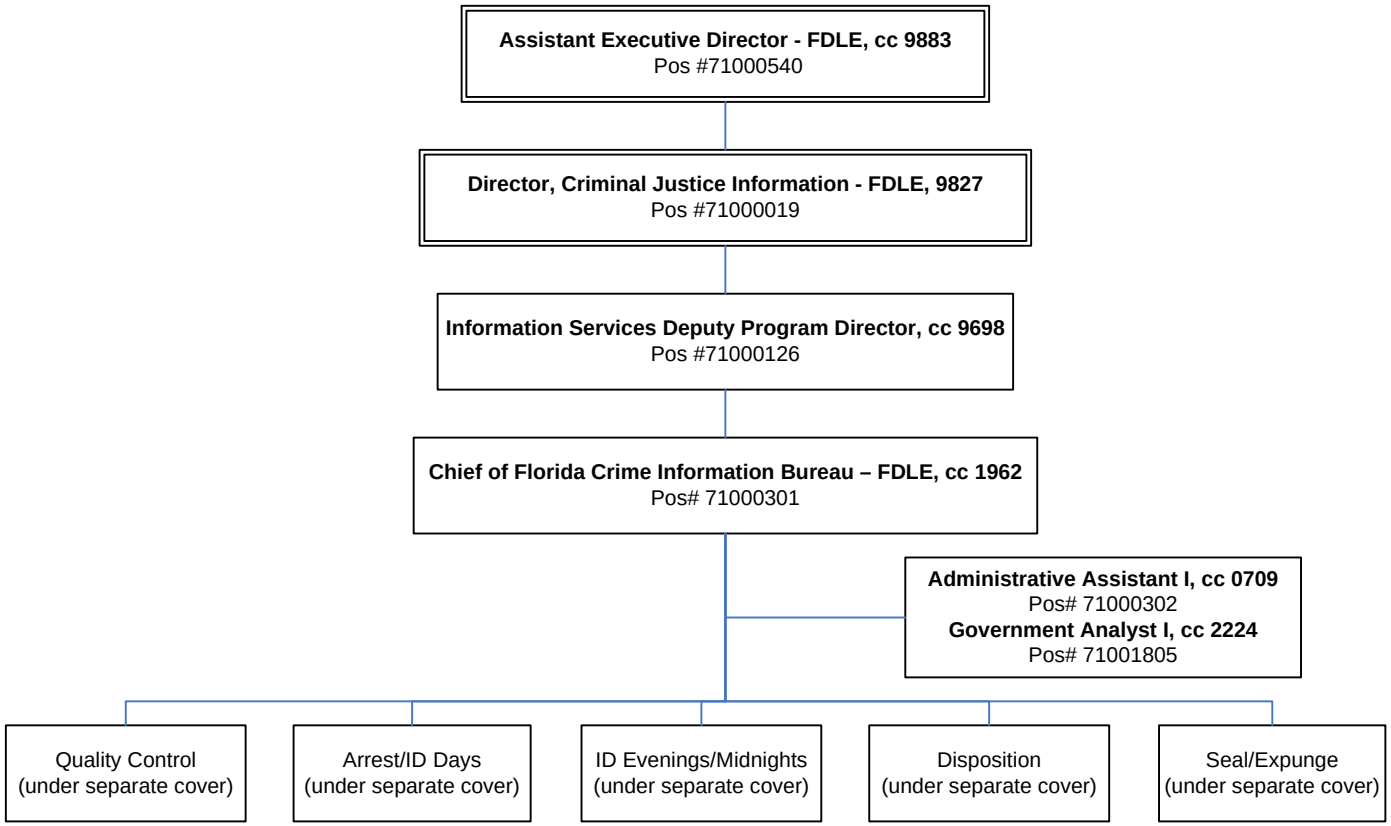
Criminal Justice Information Services

User Services Bureau – 4 of 4



10/14/2014

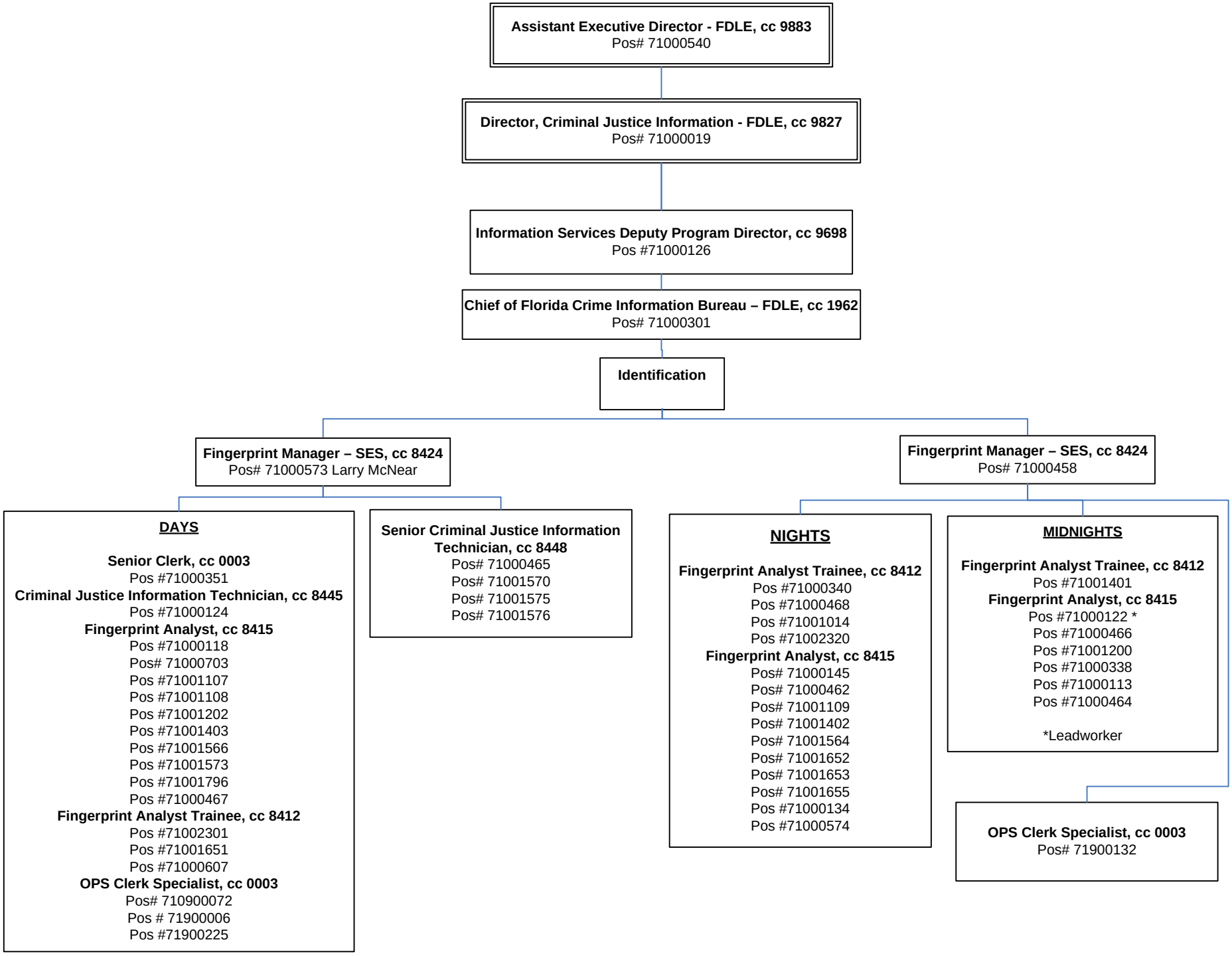
Florida Department of Law Enforcement
Criminal Justice Information Services
Florida Crime Information Bureau – 1 of 5



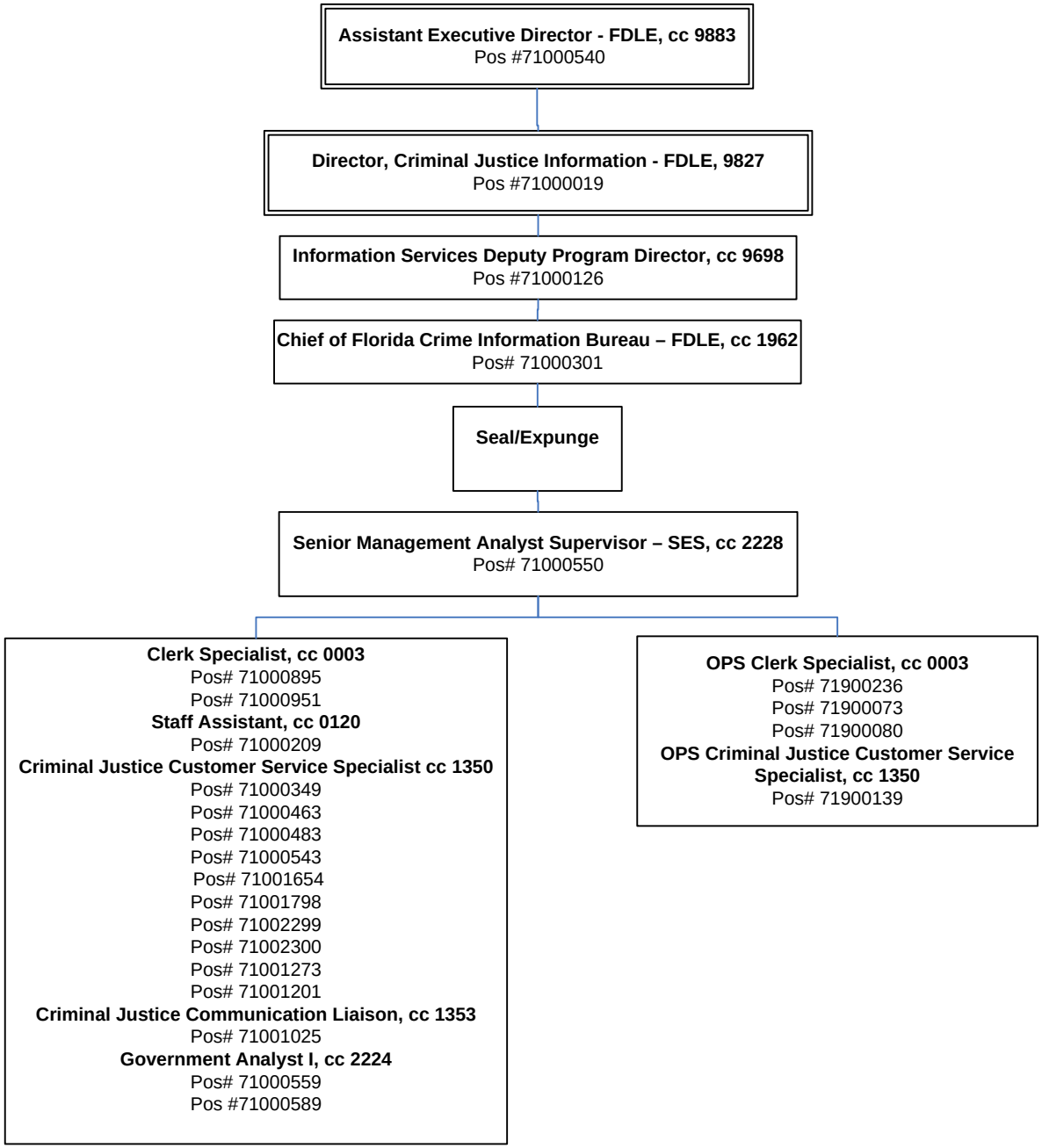
Florida Department of Law Enforcement

Criminal Justice Information Services

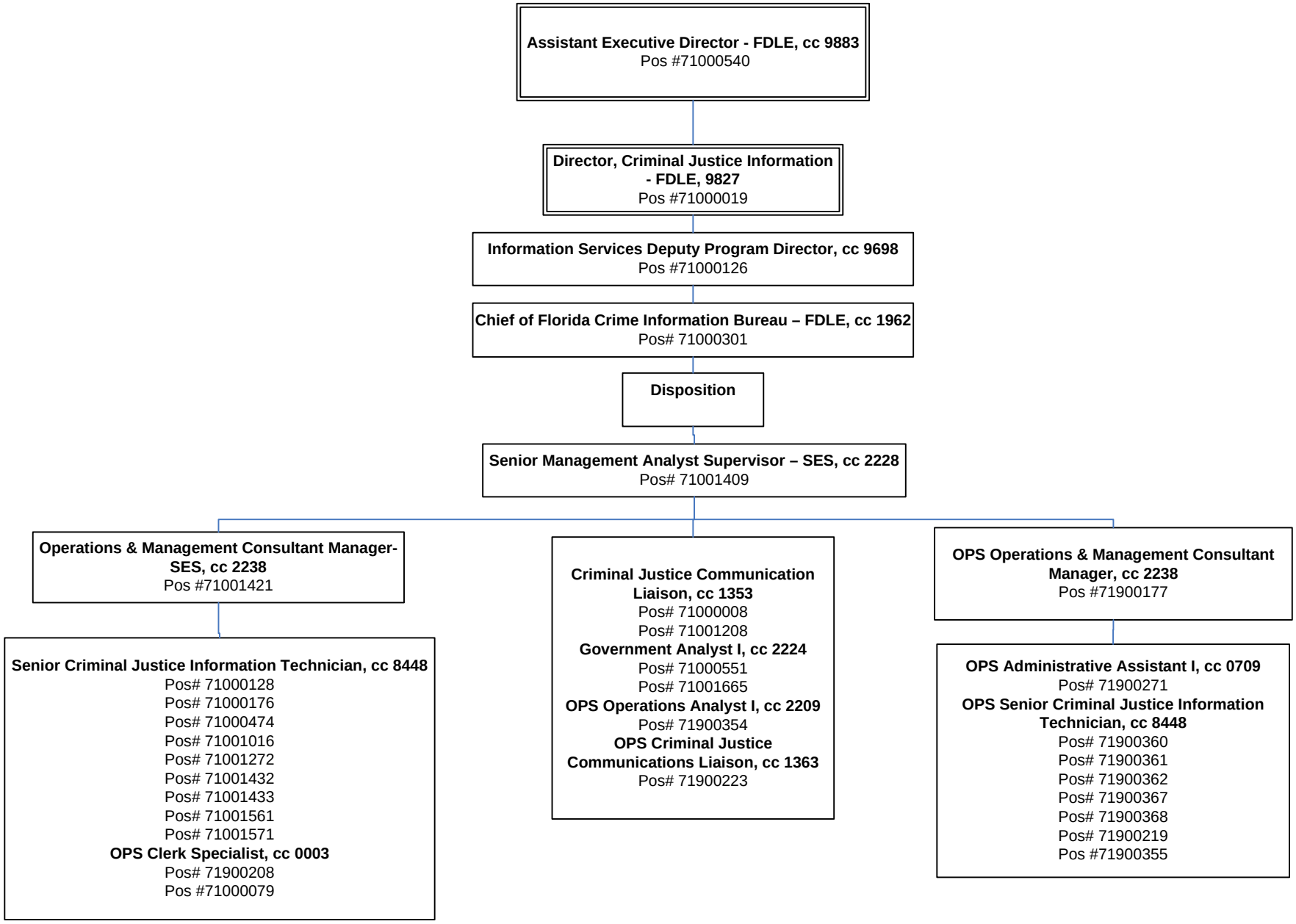
Florida Crime Information Bureau – 2 of 5



Florida Department of Law Enforcement
Criminal Justice Information Services
Florida Crime Information Bureau – 3 of 5



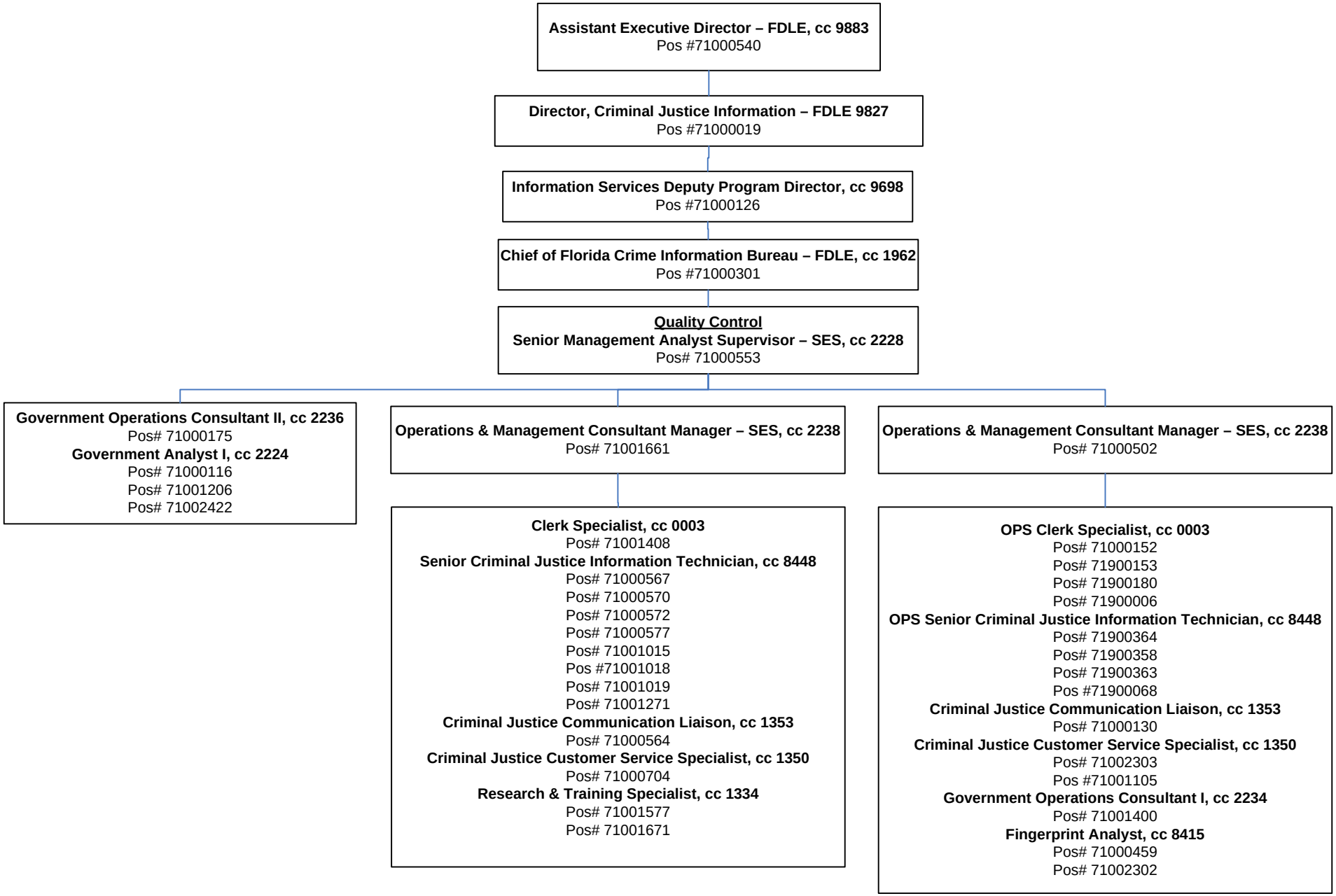
Florida Department of Law Enforcement
Criminal Justice Information Services
Florida Crime Information Bureau – 4 of 5



Florida Department of Law Enforcement

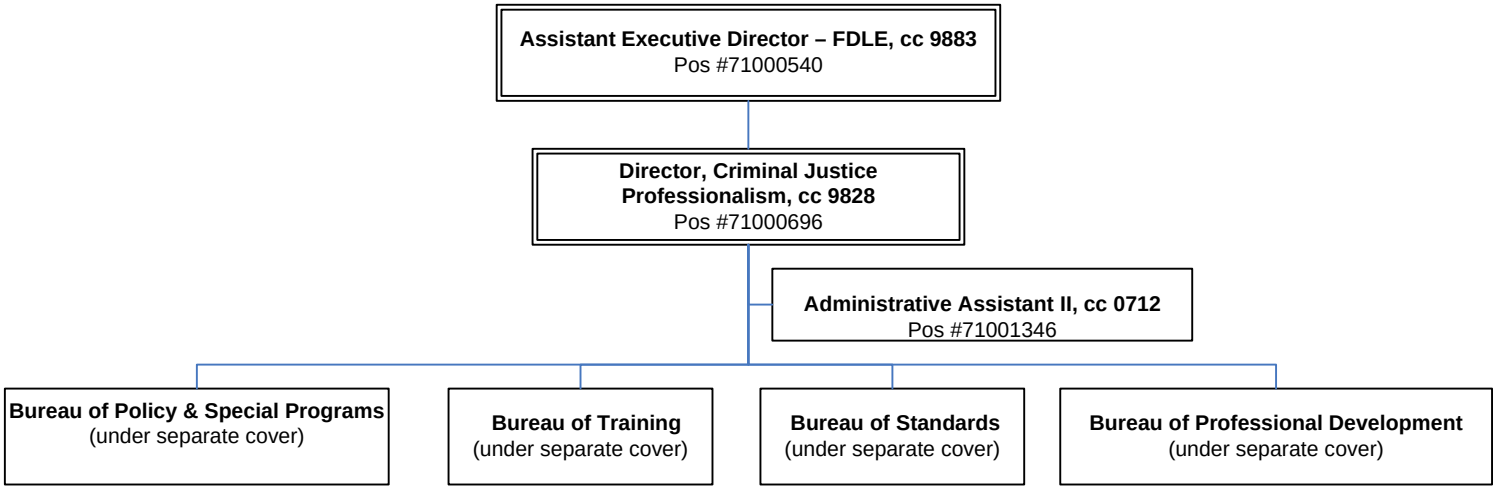
Criminal Justice Information Services

Florida Crime Information Bureau – 5 of 5



Florida Department of Law Enforcement

Criminal Justice Professionalism



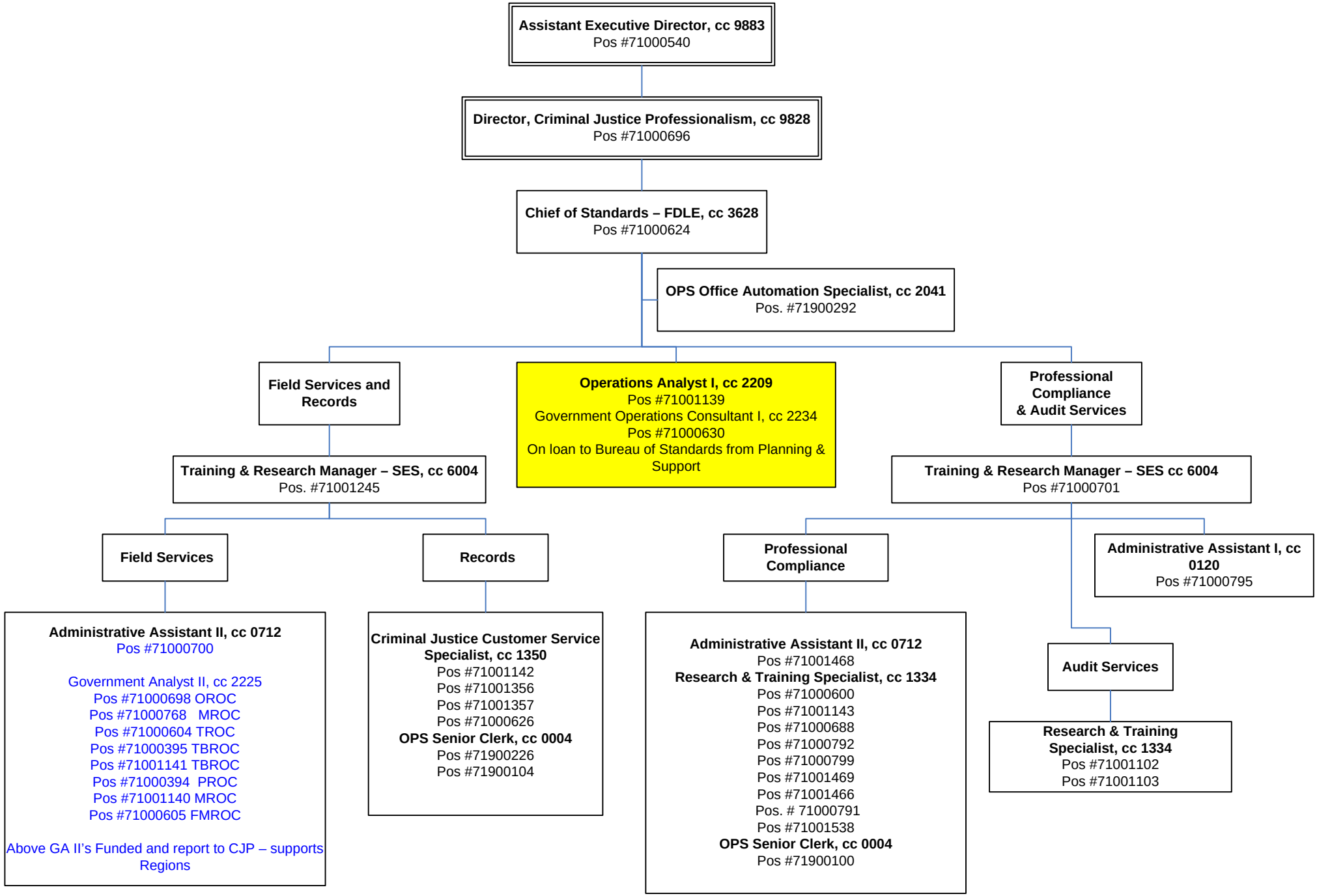
Senior Attorney, cc 7738
Pos #71000695
Pos #71001464
Pos 71000629
Pos #71001146
OPS Attorney, cc 7736
Pos #71900118

Funded/supports CJP – reports to the General Counsel

Operations Analyst I, cc 2209
Pos #71001139
Government Operations Consultant I, cc 2234
Pos #71000630
On loan from Planning & Support to Bureau of Standards

Florida Department of Law Enforcement

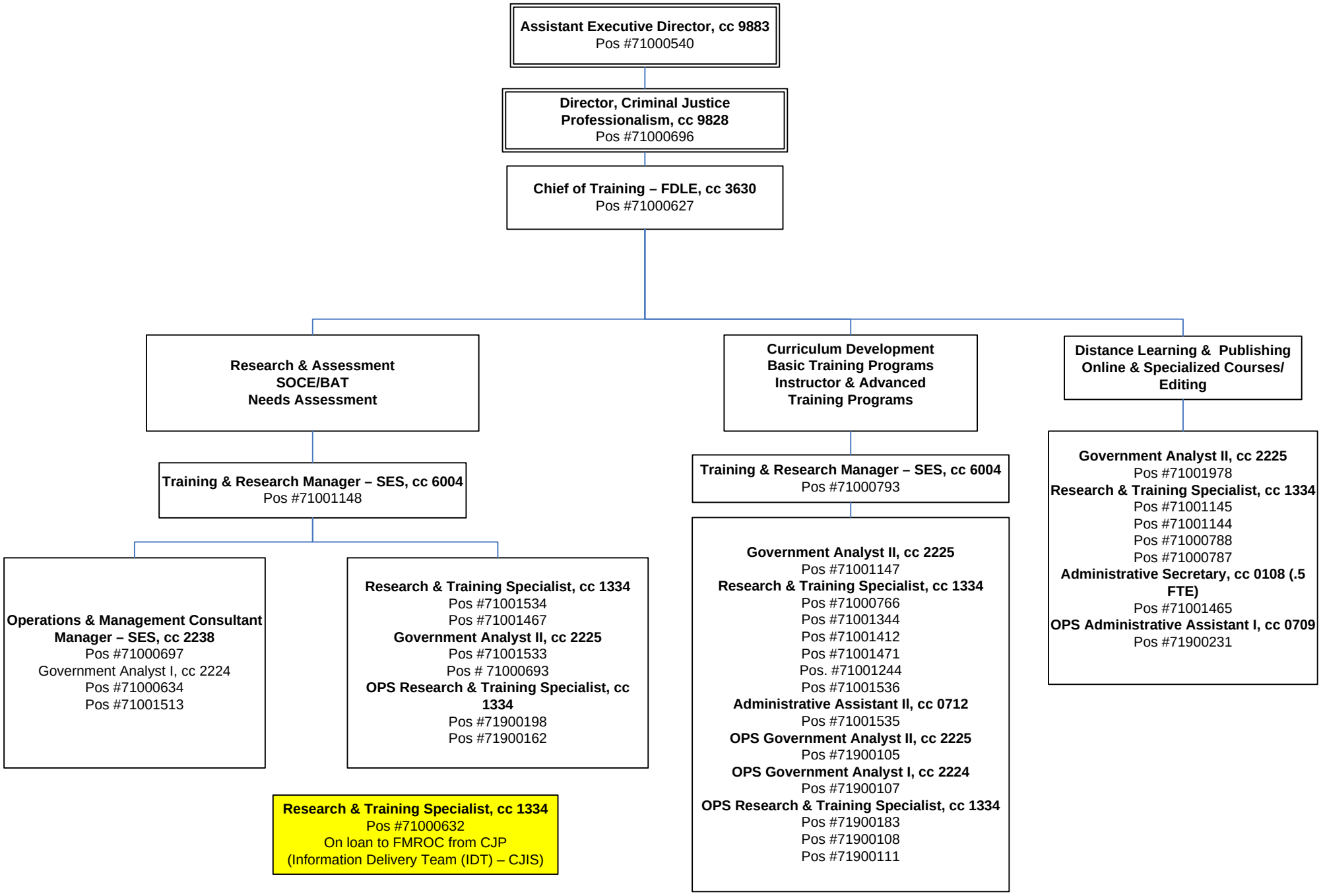
Criminal Justice Professionalism
Bureau of Standards



10/14/2014

Florida Department of Law Enforcement

Criminal Justice Professionalism
Bureau of Training



10/14/2014

Florida Department of Law Enforcement

Criminal Justice Professionalism
Bureau of Professional Development

Assistant Executive Director, cc 9883
Pos #71000540

Director, Criminal Justice Professionalism, cc 9828
Pos #71000696

Chief of Professional Development – FDLE, cc 3630
Pos #71000127

Administrative Assistant II, cc 0712
Pos #71001066

Research & Training Specialist, cc 1334
Pos #71001242
Government Analyst II, cc 2225
Pos #71001199
OPS Research & Training Specialist, cc 1334
Pos #71900110

Analyst Academy

Training & Research Manager-SES, cc 6004
Pos #71000907

Government Analyst I, cc 2224
Pos #71000797
Research & Training Specialist, cc 1334
Pos #71000883
Pos #71001340
Pos #71001316
Administrative Assistant II, cc0712
Pos #71001347

Government Analyst II, cc 2225
Pos #71001065
OPS Senior Clerk, cc 0004
Pos #71900329
Pos #71900113
Pos #71900075
Pos #71900187

Government Analyst I, cc 2224
Pos #71000109
Position on loan to IFS/Field Services
Government Analyst II, cc 2225
Pos #71001243
Position on loan to Bureau of Policy & Special Programs

Accreditation Commission

Florida Law Enforcement Accreditation Director, cc 8535
Pos #71001297

Administrative Assistant II, cc 0712
Pos #71001246

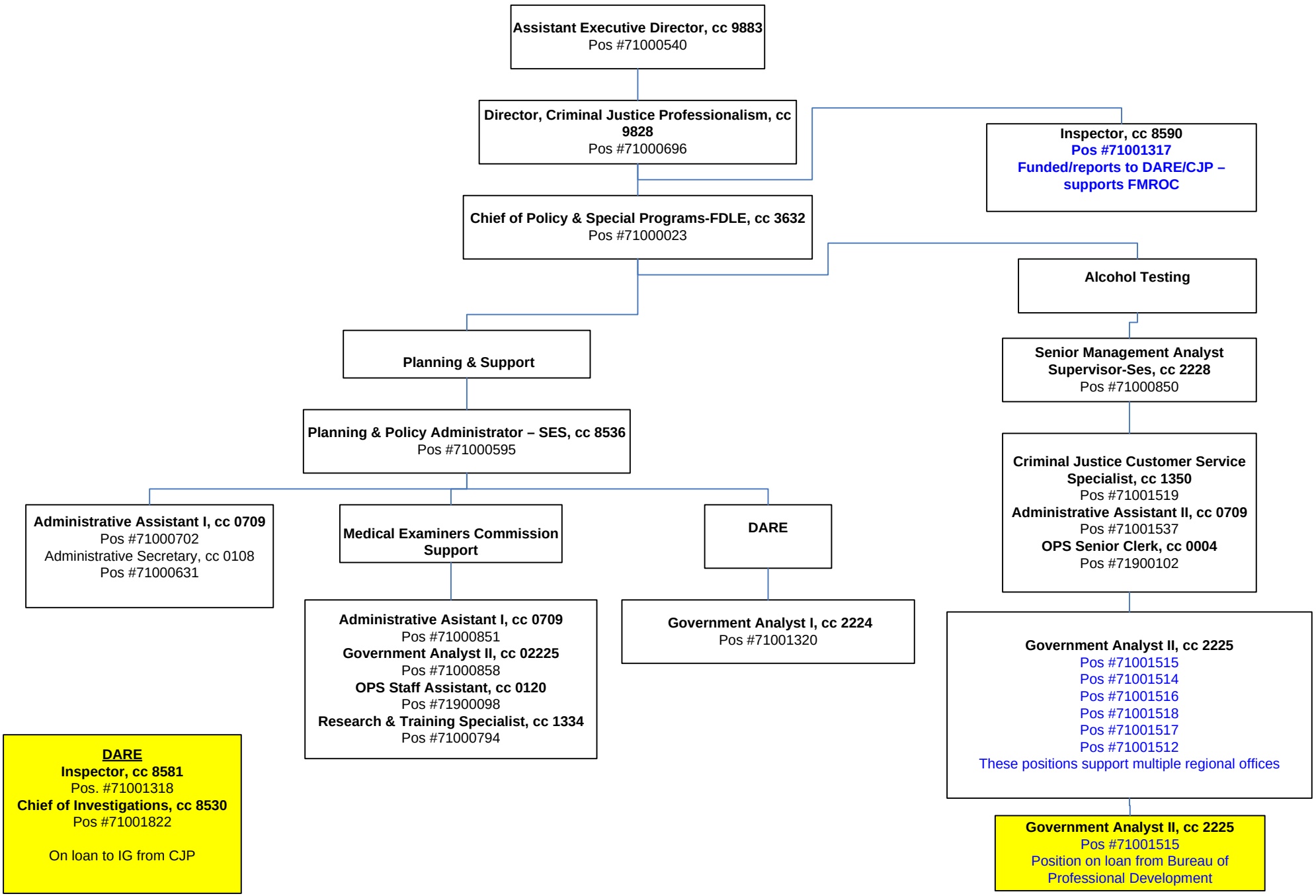
Government Operations Consultant III, cc 2238
Pos #71001695
Pos #71001696
Pos #71002204
OPS Administrative Assistant I, cc 0709
Pos #71900130
OPS Staff Assistant, cc 0120
Pos #71900217
OPS Senior Clerk, cc 0004
Pos #71900002
OPS Web Page Design Specialist, cc 2098
Pos #71900121

10/14/2014

Florida Department of Law Enforcement

Criminal Justice Professionalism

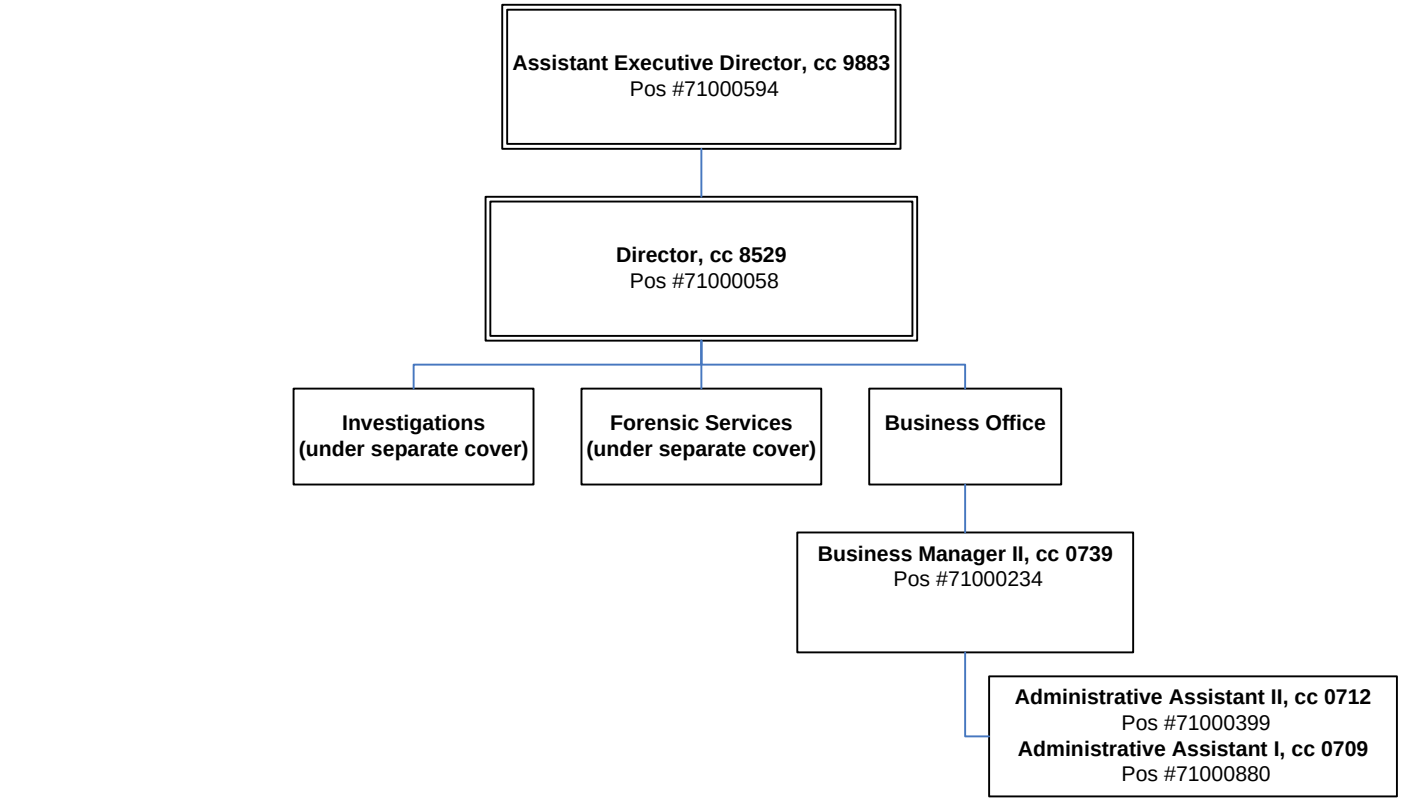
Bureau of Policy & Special Programs



10/14/2014

Florida Department of Law Enforcement

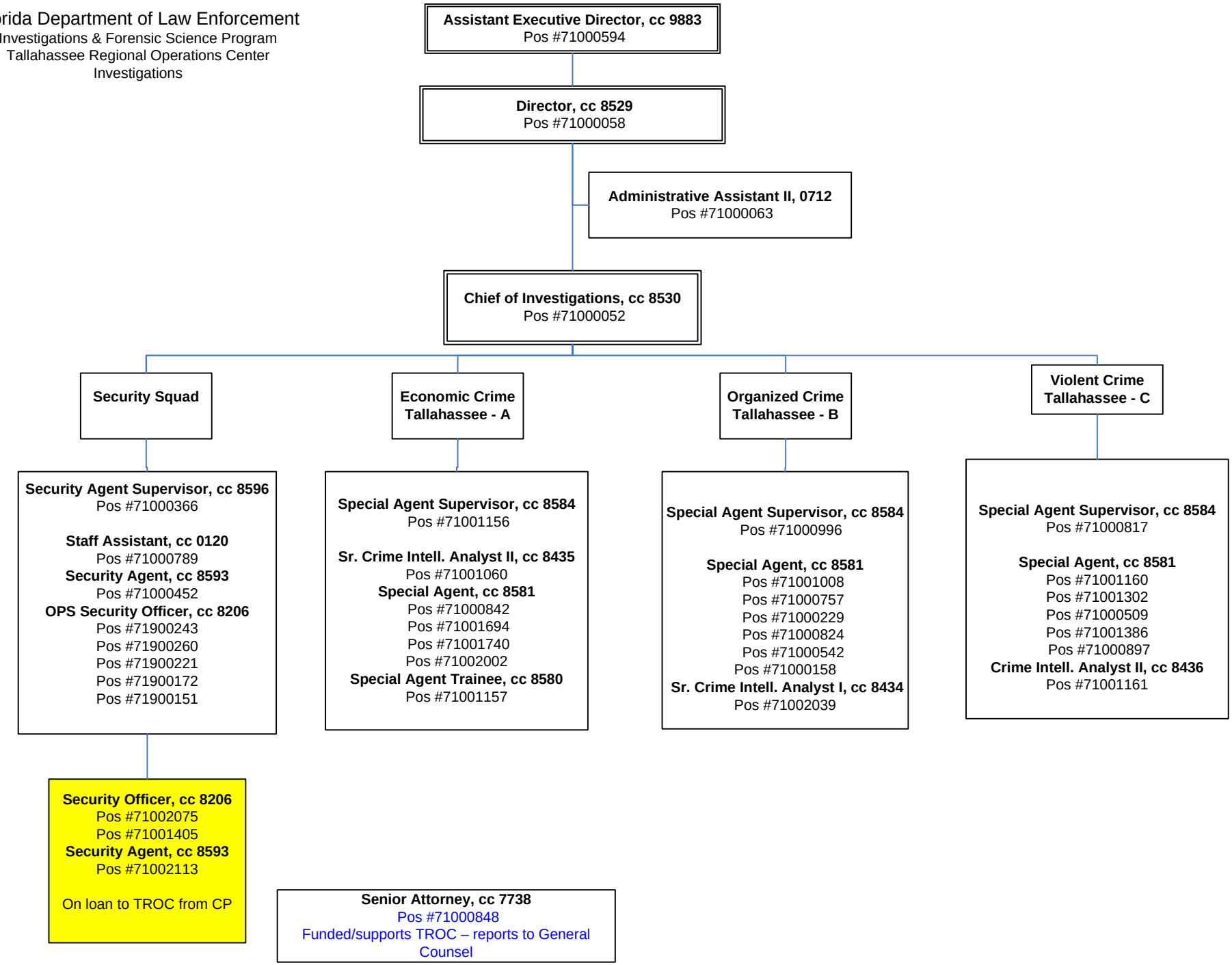
Investigations & Forensic Science Program
Tallahassee Regional Operations Center



Government Analyst II, cc 2225
Pos #71000604
Funded/reports to CJP - supports TROC

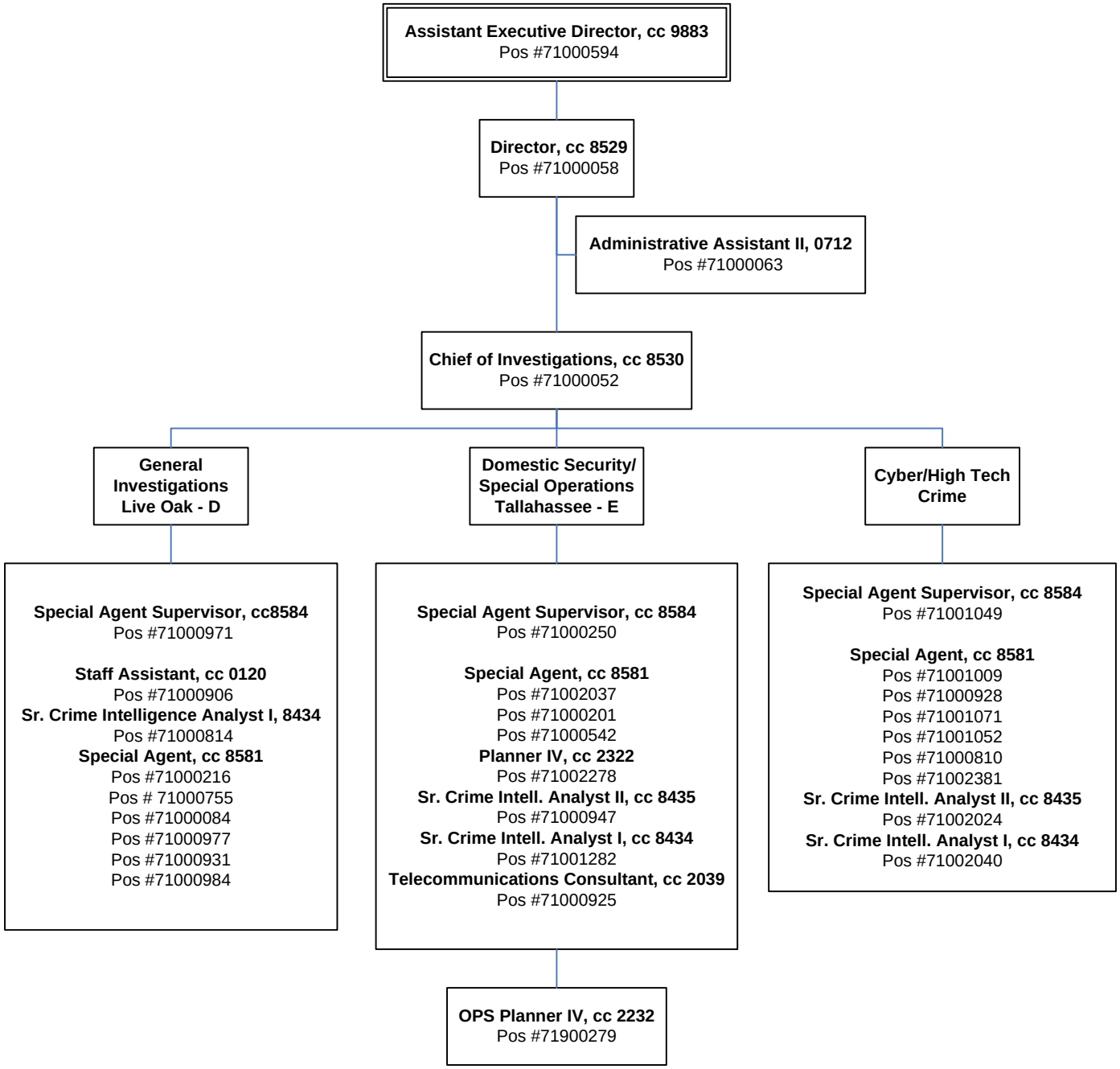
Research & Training Specialist, cc 1334
Pos #71000188
On loan to CJIS (IDT) from TROC

Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Investigations

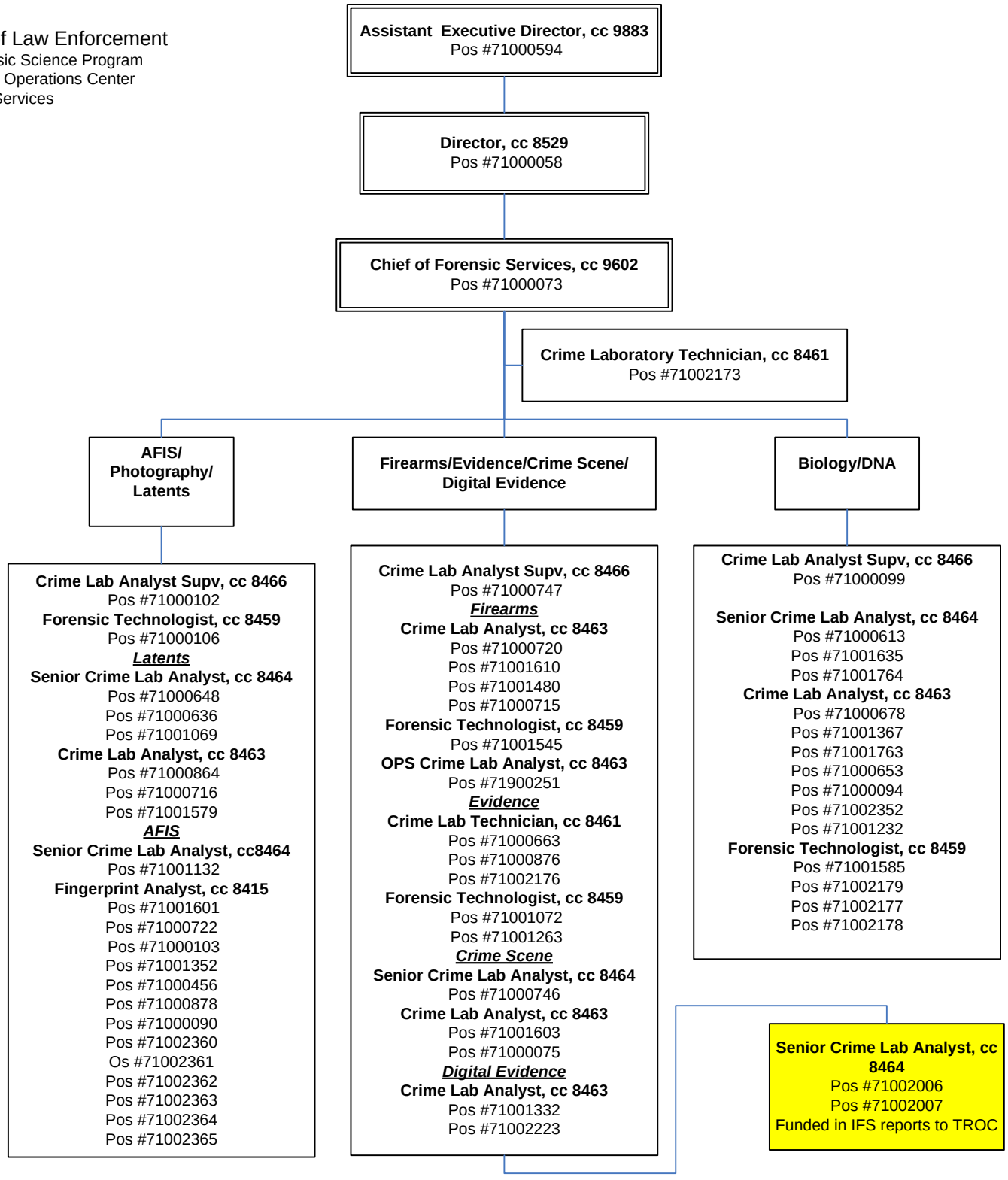


Florida Department of Law Enforcement

Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Investigations



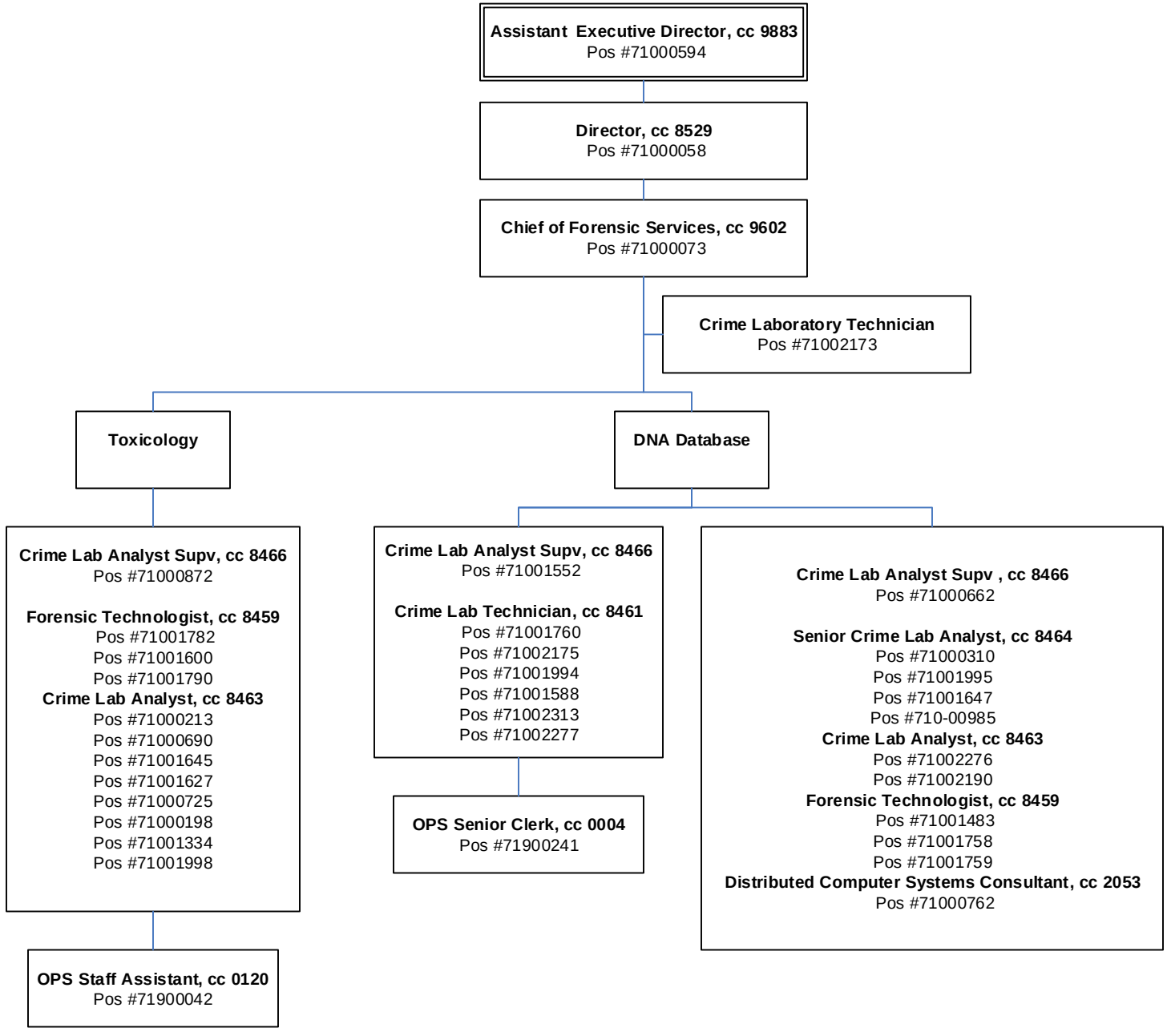
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Forensic Services



10/14/2014

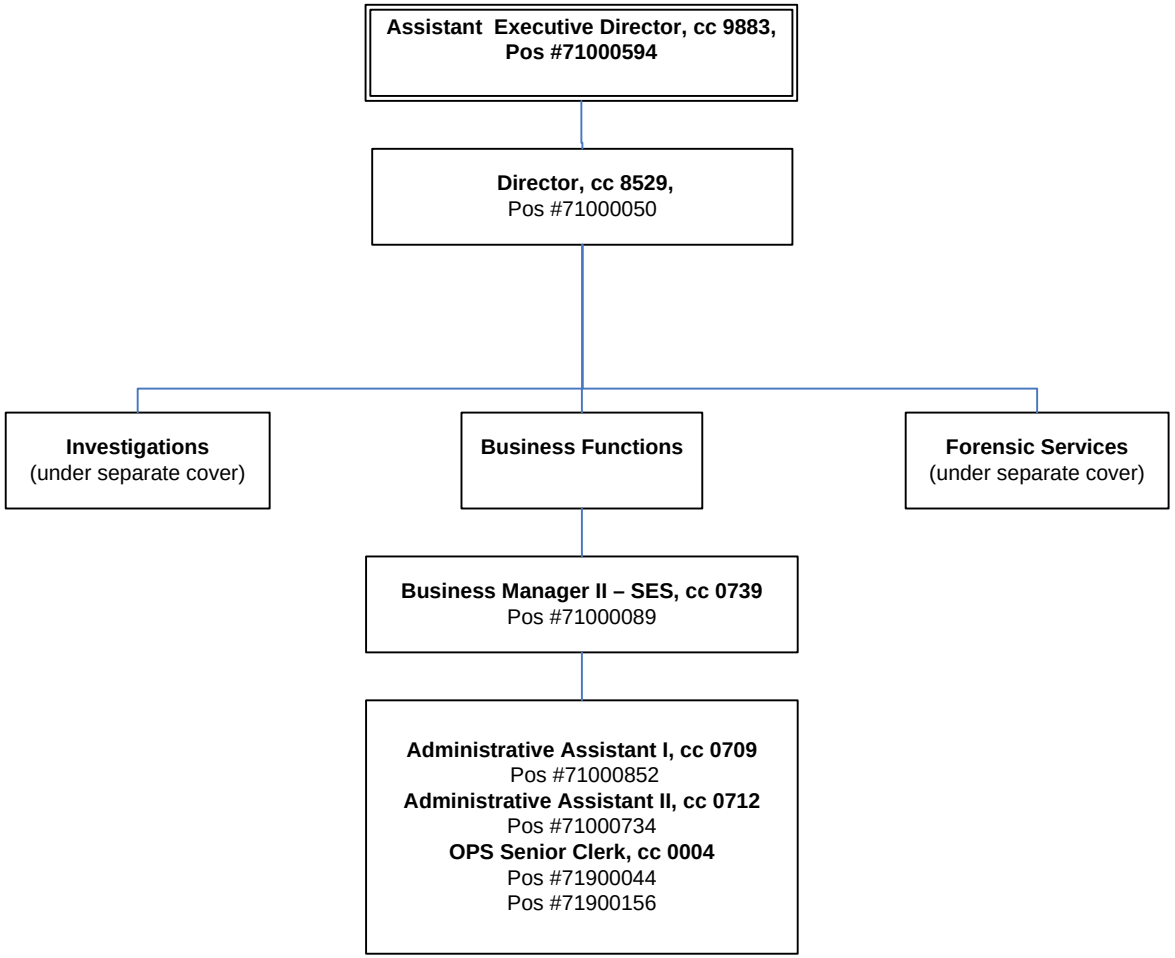
Florida Department of Law Enforcement

Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Forensic Services



10/14/2014

Florida Department of Law Enforcement
Investigations & Forensic Science Program
Pensacola Regional Operations Center



Florida Department of Law Enforcement

IInvestigations & Forensic Science Program
Pensacola Regional Operations Center
Investigations

Assistant Executive Director, cc 9883,
Pos #71000594

Director, cc 8529,
Pos #71000050

Administrative Assistant II, 0712
Pos #71000656

General Investigations

Chief of Investigations, cc 8530
Pos #71000067

SQUAD A
DOMESTIC SECURITY
Special Agent Supervisor, cc 8584
Pos #71002274

Special Agent, cc 8581
Pos #71001056
Pos #71000170
Pos #71000360
Planner IV, cc 2322
Pos #71002279
OPS Planner IV, cc 2322
Pos #71900345
OPS Crime Intelligence Analyst I, cc 8433
Pos #71900043

SQUAD B
CYBER
Special Agent Supervisor, cc 8584
Pos #71000904
Staff Assistant, cc 0120
Pos #71001234

Special Agent, cc 8581
Pos #71000929
Pos #71000924
Pos #71002041
Pos #71001280
Crime Intelligence Analyst I, cc 8433
Pos #71000847
Pos #71000478
OPS Crime Intelligence Analyst I, cc 8433
Pos #71900166

SQUAD E
PANAMA CITY
Special Agent Supervisor, cc 8584
Pos #71000974

Sr. Crime Intelligence Analyst I, cc 8434
Pos #71000902
Special Agent, cc 8581
Pos #71001158
Pos #71000266
Pos #71000506
Pos #71002208
Pos #71001303
Pos #71000028

SQUAD F
MAJOR CASE
Special Agent Supervisor, cc 8584
Pos #71001498

Crime Intelligence Analyst II, cc 8436
Pos #71000447
Pos #71002042
Special Agent, cc 8581
Pos #71000388
Pos #71001675
Pos #71000247
Pos #71000263
Pos #71000252
Pos #71002387
Pos #71000367
Special Agent Trainee, cc 8580
Pos #71001088

Research & Training Specialist, cc 1334
Pos #71001434
Reports to CJIS – supports PROC

Government Analyst II cc 2225,
Pos #71000394
Funded/reports to CJP – supports PROC

Systems Programmer III, cc 2115
Pos #71001339
Funded/reports to IRM/ - supports PROC

10/14/2014

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Pensacola Regional Operations Center
Forensic Services

Assistant Executive Director, cc 9883,
Pos #7100594

Director, cc 8529,
Pos #71000050

Chief of Forensic Services, cc 9602
Pos #71000642

Staff Assistant, cc 0120
Pos #71000886
Crime Lab Analyst, cc 8463
Pos #71001227

Latents/Documents/Photography/ Crime Scene

LATENTS/DOCUMENTS
Crime Lab Analyst Supervisor, cc 8466
Pos #71001129

Senior Crime Lab Analyst, cc 8464
Pos #71000098
Pos #71001584
Pos #71000077
Crime Lab Analyst, cc 8463
Pos #71002222
Pos #71000079
Pos #71001609
Pos #71000664
Pos #71000002
Pos #710000422
Pos #71001217
Forensic Technologist, cc 8459
Pos #71001599
PHOTOGRAPHY
Forensic Technologist, cc 8459
Pos #71000093
CRIME SCENE
Crime Lab Analyst, cc 8463
Pos #71000741
Pos #71000736

Chemistry/Evidence

CHEMISTRY
Crime Lab Analyst Supervisor, cc 8466
Pos #71000870

Senior Crime Lab Analyst, cc 8464
Pos #71001615
Crime Lab Analyst, cc 8463
Pos #71000873
Pos #71001997
Forensic Technologist, cc 8459
Pos #71000853

EVIDENCE
Crime Lab Technician, cc 8461
Pos #71002161
Pos #71001368
Pos #71001335

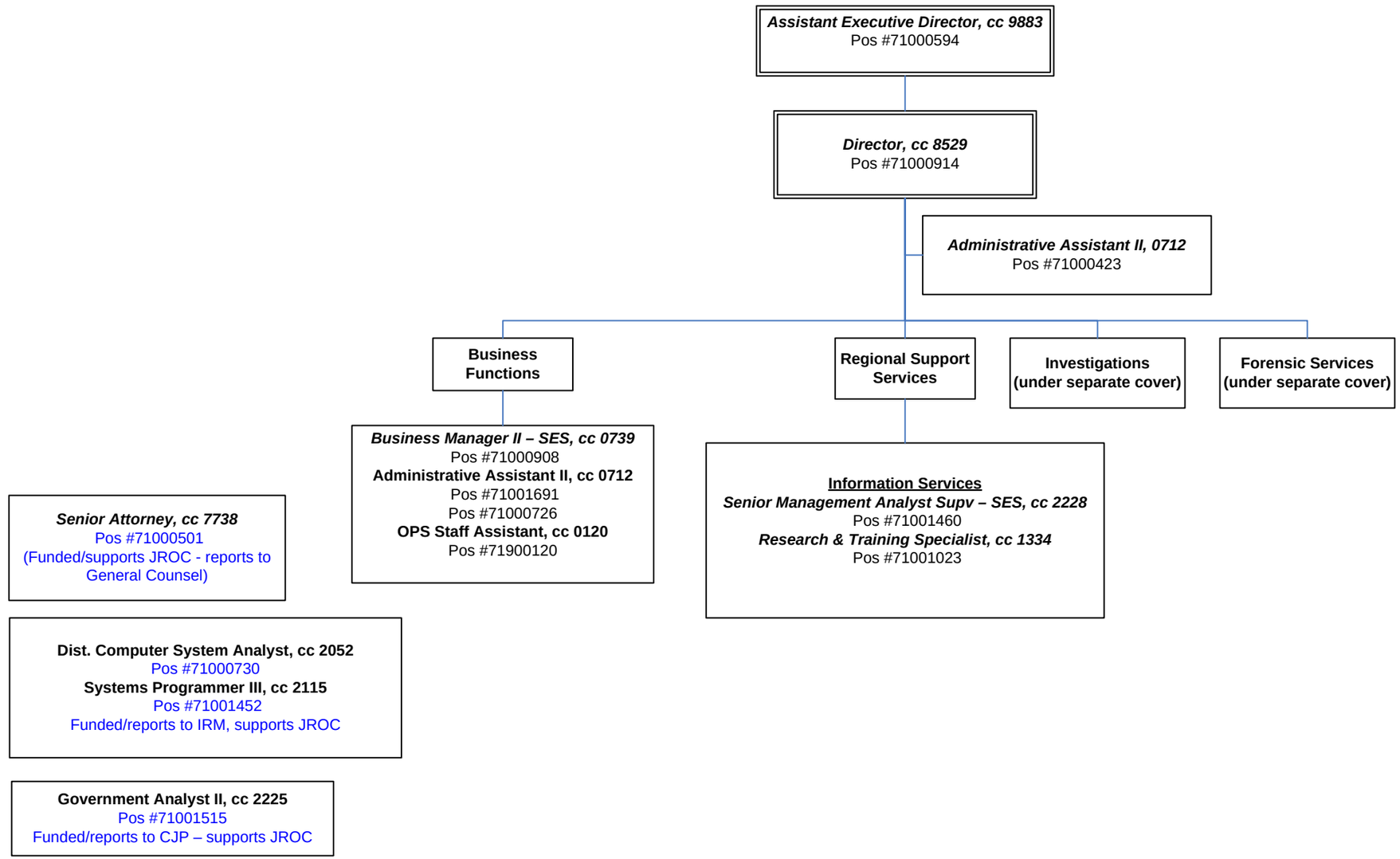
Biology/DNA

Crime Lab Analyst Supervisor, cc 8466
Pos #71000751

Senior Crime Lab Analyst, cc 8464
Pos #71001762
Pos #71001614
Crime Lab Analyst, cc 8463
Pos #71001761
Pos #71001218
Pos #71000708
Pos #71000647
Pos #71001583
Pos #71002349
Pos #71002350
Pos #71002351
Forensic Technologist, cc 8459
Pos #71001130
Pos #71002163
Pos #71002162
Pos #71001079
OPS Crime Lab Techician cc 8461
Pos #71900232
#71900366

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Jacksonville Regional Operations Center



Florida Department of law Enforcement

Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000914

Chief of Investigations, cc 8530
Pos #71000032

Major Case Squad Gainesville - B

Special Agent Supervisor, cc 8584
Pos #71000973
Special Agent, cc 8581
Pos #71000761
Pos #71001163
Pos #71000979
Pos # 71001165
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71001690

Economic Crime Jacksonville - C

Special Agent Supervisor, cc 8584
Pos #71000833
Staff Assistant, cc 0120
Pos #71000963
OPS 71900245
Special Agent, cc 8581
Pos #71000264
Pos #71001304
Pos #71000827
Pos #71001300
Pos #71000051
Special Agent Trainee, cc 8580
Pos #71001679
Research & Training Spec., cc 1334
Pos #71002046
Crime Intelligence Technician, cc 8427
Pos #71000969

Major Case Squad/ Domestic Security St. Augustine - D

Special Agent Supervisor, cc 8584
Pos #71000841
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71000443
Special Agent, cc 8581
Pos #71000265
Pos #71000261
Pos #71000416
Pos #71000020
Pos #71000354
Pos #71001837

Cyber/High Tech Crime

Special Agent Supervisor, cc 8584
Pos #71001528
Special Agent, cc 8581
Pos #71000508
Pos #71000435
Pos #71001165
Pos #71002331
Pos #71002323
Pos #71000222
Pos #71002388
Pos #71000362

Organized Criminal Groups Jacksonville - E

Special Agent Supervisor, cc 8584
Pos #71001692
Special Agent, cc 8581
Pos #71000371
Pos #71002207
Pos #71000976
Pos # 7100261
Pos #71001051

Crime Intell. Technician, cc 8127
Pos #71000805
Pos #71000967

Intelligence Squad G

Special Agent Supervisor, cc 8584
Pos #71002043
Special Agent, cc 8581
Pos #71002045
Pos #71002044
Pos #71001164
Sr. Crime Intelligence Analyst II, cc 8435
Pos #71001205
Sr. Crime Intelligence Analyst II, cc 8435
Pos #71002048
OPS Planning Consultant
Pos. #71900269
Planner IV, cc 2322
Pos #71002282
OPS Pos #71900332

Administrative Assistant I, cc 0709
Pos #71002030
Position on loan from JROC Forensics

Investigative & Intelligence Analytical Services

Sr. Crime Intelligence Analyst Supervisor, cc 8437
Pos #71000888
Sr. Crime Intelligence Analyst II, cc 8435
Pos #71000424
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71000992
Pos #71001167
Pos #71001521
Crime Intelligence Analyst II, cc 8436
Pos #71001286
OPS Crime Intell, Analyst I, cc 8433
Pos #71900141
Pos #71900200

10/14/2014

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Forensic Services

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000914

Chief of Forensic Services, cc 9602
Pos #71000100

Chemistry/ Toxicology/Evidence

Crime Lab Analyst Supervisor, cc 8466
Pos #71000863
Staff Assistant, cc 0120
Pos #71000733
Chemistry
Senior Crime Lab Analyst, cc 8464
Pos #71001223
Crime Lab Analyst, cc 8463
Pos #71001606
Pos #71000681
Pos #71000650
Pos #71000651
Forensic Technologist, cc 8459
Pos #71001775
Evidence Management
Crime Lab Technician, cc 8461
Pos #71000744
Pos #71001076
Forensic Technologist cc 8459
Pos #71001774
Pos #71000658

Latents/AFIS/ Photography

Crime Lab Analyst Supervisor, cc 8466
Pos #71000684
Latents
Senior Crime Lab Analyst, cc 8464
Pos #71000096
Pos #71001328
Pos #71000854
Crime Lab Analyst, cc 8463
Pos #71000706
Pos #71002220
Pos #71001625
Pos #71001225
Photography
Forensic Technologist, cc 8459
Pos #71000092
Pos #71001787

Administrative Assistant I, cc 0709
Pos #71002030
Position on loan to JROC Investigations

Staff Assistant, cc 0120
Pos #71000397
Position on loan to IFS/Fusion Center

Crime Scene/ Firearms

Crime Lab Analyst Supervisor, cc 8466
Pos #71001333
Crime Scene
Senior Crime Lab Analyst, cc 8464
Pos #71001631
Crime Lab Analyst, cc 8463
Pos #71000177
Pos #71000705
Firearms
Senior Crime Lab Analyst, cc 8464
Pos #71000739
Pos #71001258
Crime Lab Analyst, cc 8463
Pos #71001630
Pos #71000667
Pos #71002219
Pos #71000649
Forensic Technologist, cc 8459
Pos #71001549
Pos #71000745

Microanalysis/ Biology

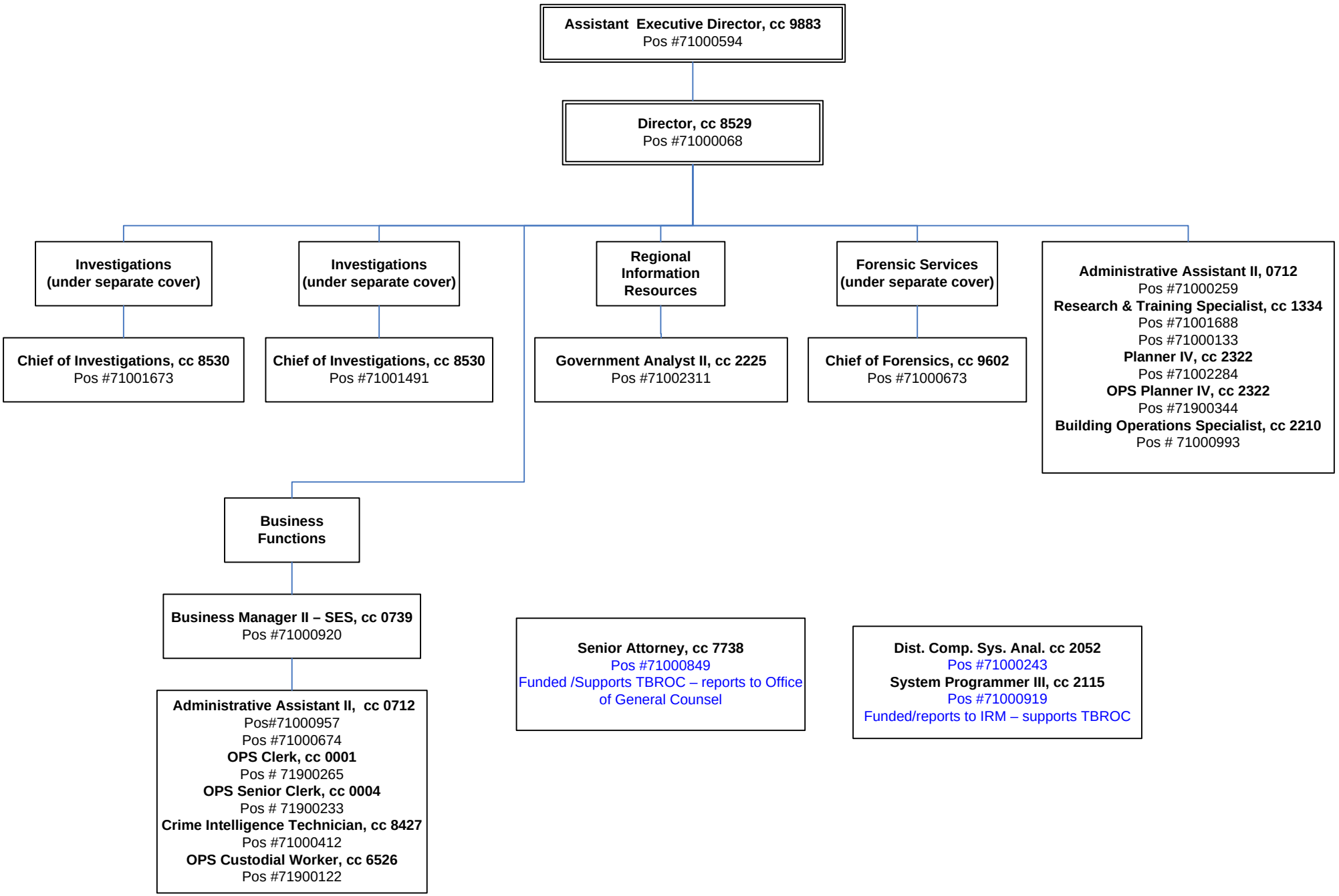
Crime Lab Analyst Supervisor, cc 8466
Pos #71000714
Biology
Senior Crime Lab Analyst, cc 8464
Pos #71001766
Pos #71002165
Crime Lab Analyst, cc 8463
Pos #71000682
Pos #71001634
Pos #71002221
Pos #71001581
Pos #71002354
Pos #71000659
Forensic Technologist, cc 8459
Pos #71002166
Pos #71001586
Crime Lab Technician, cc 8461
Pos #71002164

Microanalysis/ Biology

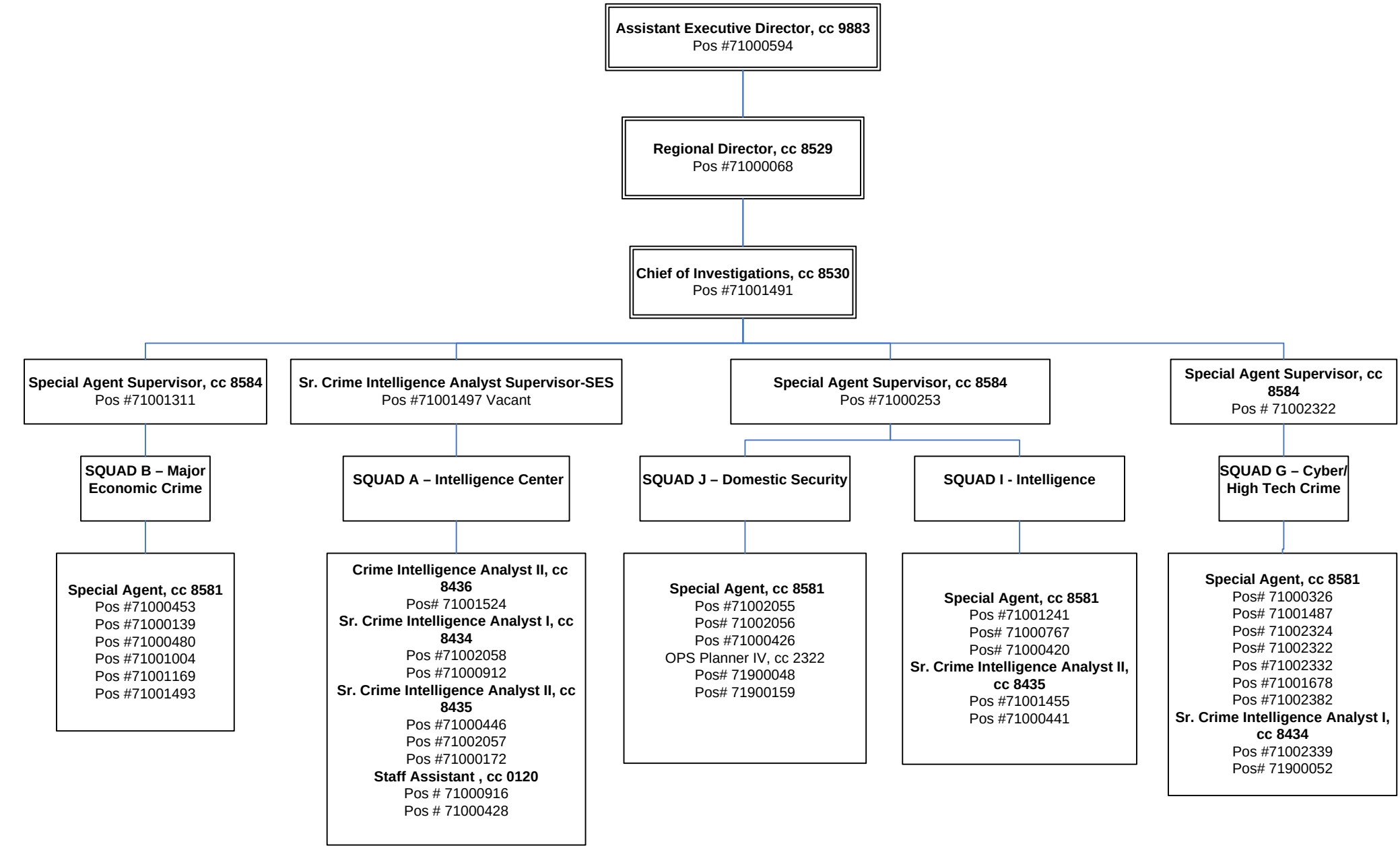
Crime Lab Analyst Supervisor, cc 8466
Pos #71002167
Senior Crime Lab Analyst, cc 8464
Pos #71001261
Pos #71001074
Crime Lab Analyst, cc 8463
Pos #71001633
Pos #71001632
Pos #71001776
Pos #71001765
Pos #71001999
Pos #71001073
Pos #71000707
Pos #71002355
Forensic Technologist, cc 8459
Pos #71001593
Pos #71001773
Pos #71001128

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Tampa Regional Operations Center



Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tampa Regional Operations Center



Florida Department of Law Enforcement

Investigations & Forensic Science Program

Tampa Regional Operations Center

Assistant Executive Director, cc 9883
Pos #71000594

Regional Director, cc 8529
Pos # 71000068

Chief of Investigations, cc 8530
Pos# 71001673

Special Agent Supervisor, cc 8584
Pos #71001485

SQUAD C - Violent Crimes/Major Drugs

Special Agent, cc 8584
Pos# 71000504
Pos# 71000254
Pos# 71001309
Pos# 71001489
Pos# 71001673
OPS Special Agent, cc 8581
Pos #71900052

Special Agent Supervisor, cc 8584
Pos# 71000425

SQUAD F – Major Case Squad Lakeland

Sr. Crime Intelligence Analyst II, cc 8435
Pos# 71000845
Special Agent, cc 8581
Pos# 71001486
Pos# 71000843
Pos# 71000393
Pos# 71000982
Pos #71000364

Special Agent Supervisor, cc 8584
Pos #71001168

SQUAD D – Public Integrity/ Domestic Security Preparedness

Special Agent, cc 8581
Pos #71000389
Pos #71000930
Pos #71001280
Pos #71000223
Pos #71001171
Pos #71001395
Pos #71000108
OPS Government Analyst I, cc 2224
Pos #71900052

Special Agent Supervisor, cc 8584
Pos # 71000516

SQUAD H – General Fraud

Special Agent, cc 8581
Pos# 71000767
Pos# 71001674
Pos# 71000823
Pos #71000980
Pos #71000748
Special Agent Trainee, cc 8580
Pos #71000829

Special Agent Supervisor, cc 8584
Pos# 71001047

SQUAD L – Major Case Squad Brooksville

Sr. Crime Intelligence Analyst II, cc 8435
Pos# 71000430
Special Agent, cc 8581
Pos# 71000244
Pos# 71001094
Pos# 71000194
Pos# 71000620
Pos #71000938

Special Agent, cc 8581
Pos# 71001170
On loan to JROC

Government Analyst II, cc 2225
Pos# 71001141
Pos #71000395
Funded/reports to CJP – supports TBROC

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Tampa Regional Operations Center
Forensic Services Page 1 0f 2

Assistant Executive Director, cc 9883
Pos #71000594

Regional Director, cc 8529
Pos #710000068

Special Agent, cc 8581
Pos #71000938

Chief of Forensic Services, cc 9602
Pos #71000673

Firearms

Crime Lab Analyst Supv, cc 8466
Pos #71001228

Senior Crime Lab Analyst, cc 8464
Pos #71000080
Pos #71001477

Crime Lab Analyst, cc 8463
Pos #71000865
Pos #71001338
Pos #71001541
Pos #71001607
Pos #71000018
Pos #71000210
Pos #71001608
Pos #71001643
Pos #71001540

Forensic Technologist, cc 8459
Pos #71000082
Pos #71000970
Pos #71001786

Latent Prints/ Impression Evidence

Latent Prints
Crime Lab Analyst Supv, cc 8466
Pos #71000645

Senior Crime Lab Analyst, cc 8464
Pos #71000078
Pos #71000729

Crime Lab Analyst, cc 8463
Pos #71001613
Pos #71000154
Pos #71001327
Pos #71000856
Pos #71001127

Forensic Technologist, cc 8459
Pos #71001124
Pos #71001783
Pos #71001784

Impression Evidence
Senior Crime Lab Analyst, cc 8464
Pos #71000675
Pos #71001616

Crime Lab Analyst, cc 8463
Pos #71001257

Chemistry/Trace

Chemistry
Crime Lab Analyst Supv, cc 8466
Pos #71000743

Senior Crime Lab Analyst, cc 8464
Pos #71000676
Pos #71000724
Pos #71000857
Pos #71001229

Crime Lab Analyst, cc 8463
Pos #71000652
Pos #71001361

Forensic Technologist, cc 8459
Pos #71001602

Trace
Senior Crime Lab Analyst, cc 8464
Pos #71001642

Crime Lab Analyst, cc 8463
Pos #71001326

Digital Evidence/ Evidence Management

Crime Lab Analyst Supv, cc 8466
Pos #71000862

Digital Evidence
Staff Assistant, cc 0120
Pos #71001484
71001819

Senior Crime Lab Analyst, cc 8464
Pos #71001215

Crime Lab Analyst, cc 8463
Pos #71002008
Pos #71001641
Pos #71000868
Pos #71002009

Evidence Management
Crime Lab Technician, cc 8461
Pos #71000081
Pos #71001077
Pos #71001329
Pos #71001550
Pos #71000877

OPS Crime Lab Analyst, cc 8464
Pos #71900264

Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tampa Regional Operations Center
Forensic Services Page 2 0f 2

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000068

Chief of Forensic Services, cc 9602
Pos #71000673

BIOLOGY

Crime Lab Analyst Supervisor, cc 8466
Pos #71002154

Crime Lab Analyst, cc 8463
Pos #71000672
Pos #71000742
Pos #71001637
Pos #71001772
Pos #71002000
Pos #71002227
Pos #71002228
Pos #71001366
Pos #71001785
Pos #71001639
Pos #71002348

Crime Lab Analyst Supervisor, cc 8466
Pos #71001479

Senior Crime Lab Analyst, cc 8464
Pos #71001475

Crime Lab Analyst, cc 8463
Pos #71001220

Forensic Technologist, cc 8459
Pos #71000668
Pos #71001604
Pos #71002158
Pos #71002156
Pos #71001086
Pos #71002160
Pos #71002159
Pos #71002157
Pos #71002155
Pos #71001068

Crime Lab Analyst Supervisor, cc 8466
Pos #71001259

Senior Crime Lab Analyst, cc 8464
Pos #71001644
Pos #71002230

Crime Lab Analyst, cc 8463
Pos #71000603
Pos #71000861
Pos #71001476
Pos #71001542
Pos #71001636
Pos #71002001
Pos #71001629
Pos #71002225
Pos #71002229

Florida Department of Law Enforcement
Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director – FDLE, cc 8529
Pos #71000024

Administrative Assistant II, 0712
Pos #71001314

Chief of Investigations – FDLE, cc 8530
Pos #71001006

Business Office

Business Manager II – SES, cc 0739
Pos #71000241
Administrative Assistant II, cc 0712
Pos #71000239
Pos # 71000159
Crime Intelligence Technician, cc 8427
Pos #71000433
OPS Staff Assistant, cc 0120
Pos #71900031
OPS Sr. Clerk, cc 0004
Pos #71000034
OPS Clerk Specialist, cc 0003
Pos #71900036

Domestic Security/Intelligence Squad A

Special Agent Supervisor, cc 8584
Pos #71000035
Sr. Crime Intelligence Analyst II, cc 8435
Pos #71002065
Crime Intelligence Analyst I, cc 8433
Pos #71002066
Planner IV, cc 2327
Pos #71002281
Special Agent, cc 8581
Pos #71001527
Pos #71001826
OPS Planner IV, cc 2327
Pos #71900340

Sr. Crime Intelligence Analyst Supervisor, cc 8437
Pos #71000844
Crime Intelligence Analyst I, cc 8433
Pos #71000138
Pos #71000523
Pos #71000449
Crime Intelligence Analyst II, cc 8436
Pos #71000135
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71002243
Pos #71001809
Pos #71001821
Sr. Crime Intelligence Analyst II, cc 8435
Pos #71001820

Major Case West Palm Squad E

Special Agent Supervisor, cc 8584
Pos #71000618
Special Agent, cc 8581
Pos #71001811
Pos #71001812
Pos #71000168
Pos #71001810

Economic Crimes II/ Fraud Squad F

Special Agent Supervisor, cc 8584
Pos #71001091
Special Agent, cc 8581
Pos #71001058
Pos #71000825
Pos #71001829
Pos #71000287
Pos #71000156
Pos # 71000840
Pos #71000060

Major Case West Palm Squad I

Special Agent Supervisor, cc 8584
Pos #71000972
Staff Assistant, cc 0120
Pos. #71000988
Special Agent, cc 8581
Pos # 71001677
Pos #71001825
Pos #71001526
Pos #71001101
Pos #71000370
Crime Intelligence Analyst II, cc 8436
Pos #71000532

Senior Attorney, cc 7738
Pos #71000955
Funded/supports MROC – reports to the Office of General Counsel

OPS Senior Attorney, cc 7738
Pos #71900055
(Funded from IFS Program Director's Office - reports to the Office of General Counsel – member physically located in MROC)

10/14/2014

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director – FDLE, cc 8529
Pos #71000024

Chief of Investigations, cc 8530
Pos #71000962

Organized Crime/ Intelligence Squad B

Special Agent Supervisor, cc 8584
Pos #71001389
Special Agent, cc 8581
Pos #71001393
Pos #71000939
Pos #71000398
Pos #71001500
Pos #71001824
Pos #71001814

Public Integrity Miami D

Special Agent Supervisor, cc 8584
Pos #71001806
Special Agent, cc 8581
Pos #71001100
Pos #71000434
Pos #71002336
Pos #71000357
Pos #71001182
Pos #71000369
Pos #71001506

Pill Mill Squad G

Special Agent Supervisor, cc 8584
Pos #71000429
Special Agent, cc 8581
Pos #71001503
Pos #71001501
Pos #71001299
Pos #71001183
Pos #71000455
Pos #71000937

Major Case Key West Squad J

Special Agent Supervisor, cc 8584
Pos #71000932
Special Agent, cc 8581
Pos #71901504
Pos #71000927
Pos #71001391
Pos #71001499

Major Case/Public Integrity Squad L

Special Agent Supervisor, cc 8584
Pos #71000454
Special Agent, cc 8581
Pos #71001525
Pos #71000503
Pos #71000415
Pos #71000059
Pos #71001502
Pos #71002187
Pos #71001680

Information Services IT & Training

Sr. Management Analyst Supervisor – SES, cc 2228
Pos #71000317
Research & Training Specialist, cc 1334
Pos #71002064
OPS Staff Assistant, cc0120
Pos #71900336

Systems Programmer III, cc 2115
Pos #71000228
Pos #71000034
Pos #71001967
Funded/reports to IRM – supports MROC

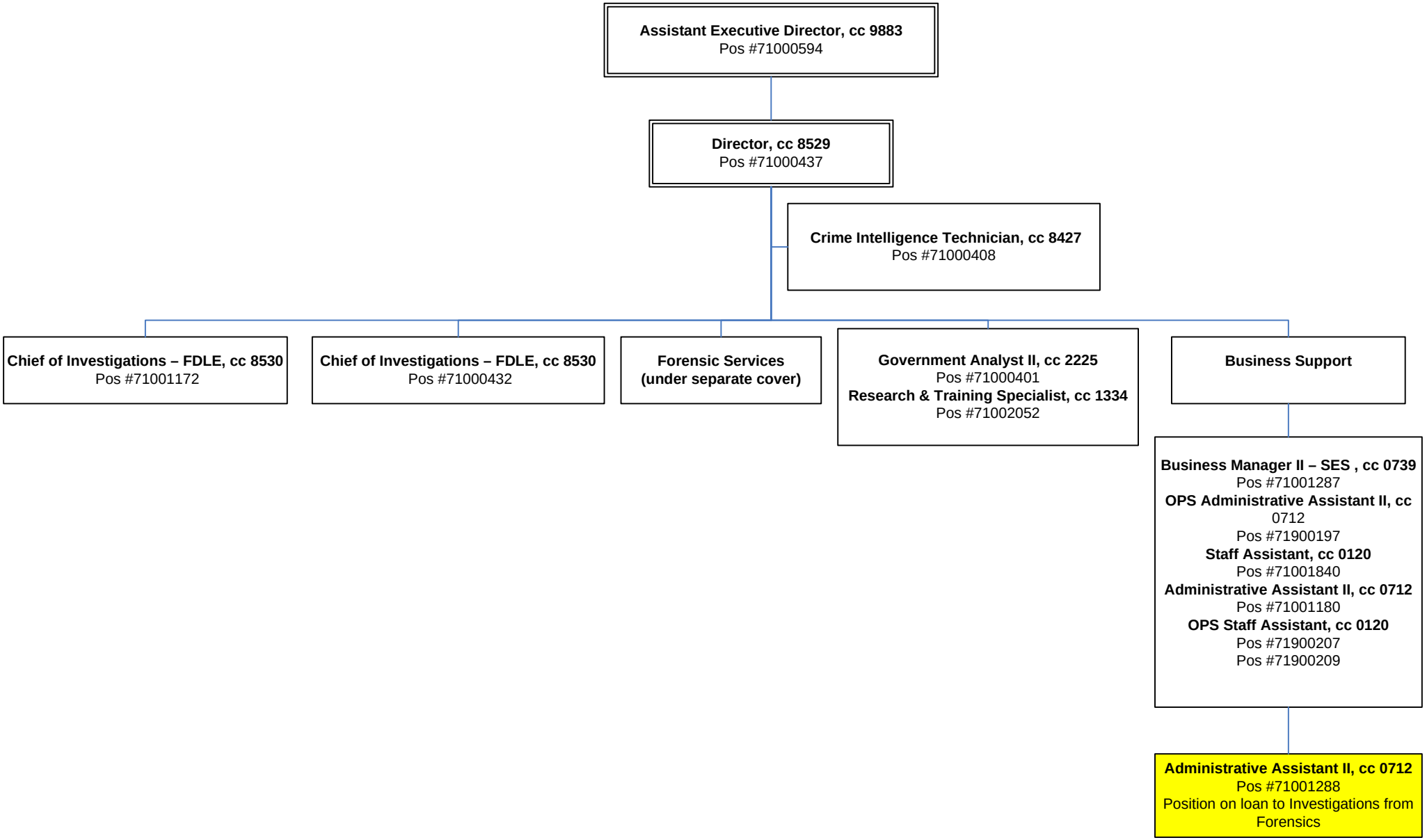
Cyber/High Tech Crime Squad S

Special Agent Supervisor, cc 8584
Pos #71001306
Special Agent, cc 8581
Pos #71002326
Pos #71002329
Pos #71002330
Pos #71002328
Pos #71002335
Pos #71000225
Pos #71000307
Pos #71000025
Pos #71002383
Crime Intelligence Analyst II, cc 8436
Pos #71002340

Government Analyst II, cc 2225
Pos #71000768
Pos #71001140
Funded/Reports to CJP – supports MROC

Florida Department Of Law Enforcement

Investigations & Forensic Science Program
Orlando Regional Operations Center



10/14/2014

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Orlando Regional Operations Center

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000437

Chief of Investigations – FDLE, cc 8530
Pos #71001172

Squad A
Economic Crime

Special Agent Supervisor, cc 8584
Pos #71000336
Special Agent, cc 8581
Pos #71001172
Pos #71000816
Pos #71000621
Pos #71002051
Pos #71001815
Pos #71000292
Pos #71001833

Squad B
Organized Crime

Special Agent Supervisor, cc 8584
Pos #71000055
Special Agent, cc 8581
Pos #71000242
Pos #71001001
Pos #71000085
Pos #71000472
Pos #71000169
Pos #71001823
Pos #71001505
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71001222

Squad J
Cyber/High Tech Crime

Special Agent Supervisor, cc 8584
Pos #71000227
Special Agent, cc 8581
Pos #71000313
Pos #71002325
Pos #71002334
Pos #71002380

Investigative Intelligence and Analytical Services

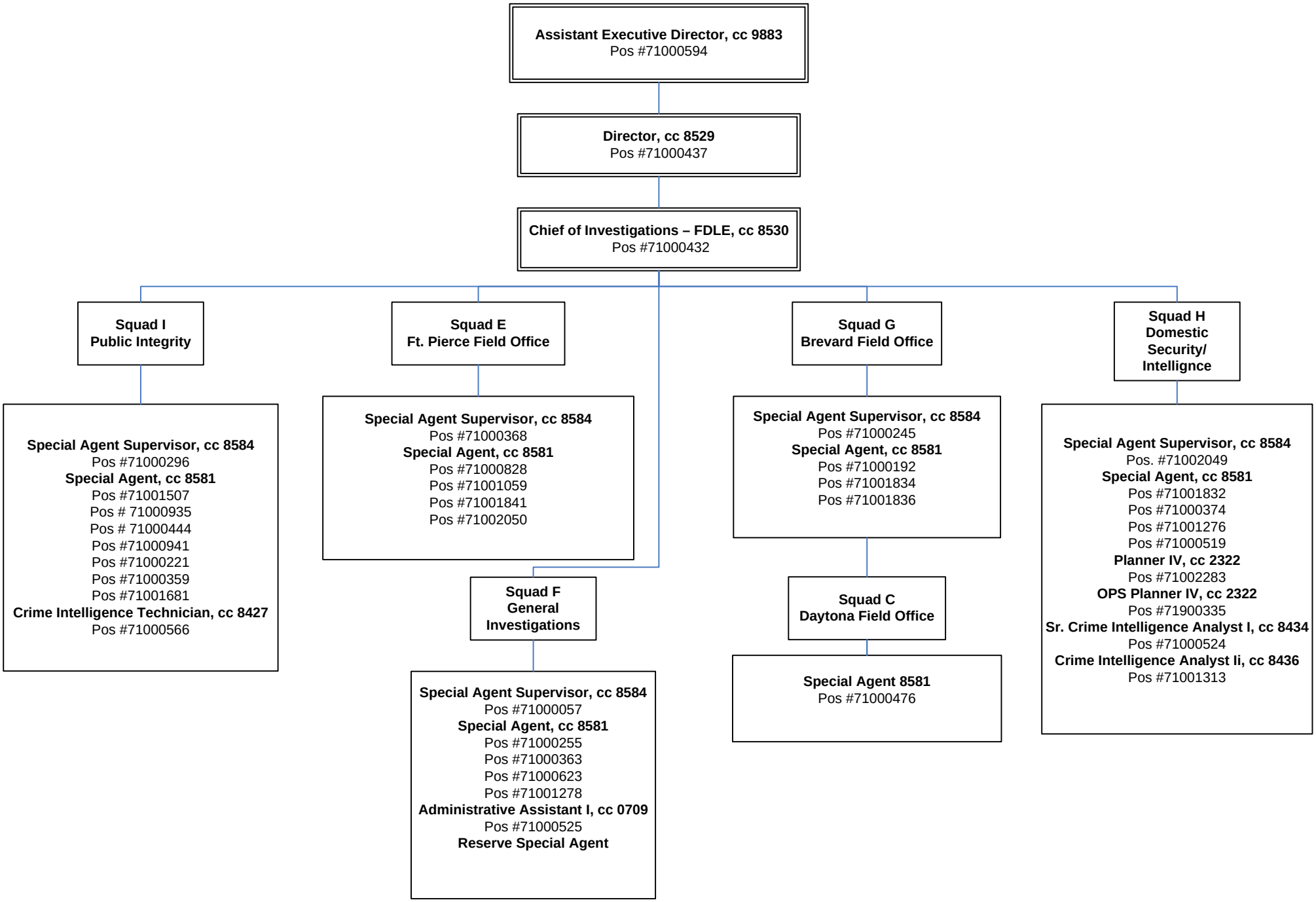
Sr. Crime Intelligence Analyst Supervisor-SES
Pos #71000356
Sr. Crime Intelligence Analyst II, cc 8435
Pos #71002053
Pos #71001285
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71000989
Pos #71000179
Pos #71001838
Crime Intelligence Analyst II, cc 8436
Pos #71001839
Pos #71000027
Pos #71002054
Pos #71001337

Dist. Comp. Sys. Analyst, cc 2052
Pos #71000233
Systems Programmer II, cc 2111
Pos #71000796
Funded/reports to IRM - supports OROC

Government Analyst II, cc 2225
Pos #71000698
Funded/reports to CJP – supports OROC

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Orlando Regional Operations Center



Florida Department of Law Enforcement
Investigations & Forensic Science Program
Orlando Regional Operations Center
Forensic Services - Page 1 of 2

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000437

Chief of Forensic Services, cc 9602
Pos #71000709

Chemistry

Crime Lab Analyst Supv, cc 8466
Pos #71001078
Senior Crime Lab Analyst, cc 8464
Pos #71001260
Pos #71001363
Pos #71001473
Crime Lab Analyst, cc 8463
Pos #71001360
Pos #71001624
Pos #71000694
Pos #71001623
Pos #71002211
Pos #71000686
Forensic Technologist, cc 8459
Pos #71000074

Trace Evidence

Crime Lab Analyst Supv, cc 8466
Pos #71000740
Senior Crime Lab Analyst, cc 8464
Pos #71000732
Pos #71001083
Pos #71000867
Pos #71001622
Pos #71001472
Crime Lab Analyst, cc 8463
Pos #71001574
Pos #71000654
Pos #71001230
Pos #71001085
Pos #71000737
Forensic Technologist cc 8459
Pos #71000665
Pos #71001551
OPS Crime Lab Analyst, cc 8463
Pos #71900372

Latent Prints/ Evidence

Crime Lab Analyst Supv, cc 8466
Pos #71000641
Senior Crime Lab Analyst, cc 8464
Pos #71000161
Pos #71001125
Crime Lab Analyst, cc 8463
Pos #71000874
Pos #71000657
Pos #71000719
Pos #71000869
Forensic Technologist, cc 8459
Pos #71001777
Pos #71001596

EVIDENCE INTAKE
Crime Lab Technician, cc 8461
Pos #71001324
Pos #71000685
Pos #71000373
Pos #71001063
Pos #71002168
Forensic Technologist, cc 8459
Pos #71000712

Firearms

Crime Lab Analyst Supv, cc 8466
Pos #71000721
Senior Crime Lab Analyst, cc 8464
Pos #71001620
Crime Lab Analyst, cc 8463
Pos #71001597
Pos #71001474
Pos #71000679
Pos #71002213
Pos #71001621
Pos #71001364
Pos #71000644
Pos #71000727
Forensic Technologist, cc 8459
Pos #71002010
Pos #71001779
Pos #71001279
OPS Clerk Specialist, cc 0003
Pos #71900120
OPS Staff Assistant, cc 0120
Pos #71900291

Toxicology

Crime Lab Analyst Supv, cc 8466
Pos #71000655
Senior Crime Lab Analyst, cc 8464
Pos #71001617
Pos #71000646
Pos #71000779
Crime Lab Analyst, cc 8463
Pos #71000866
Pos #71000691
Pos #71001365
Pos #71001213
Pos #71001082
Pos #71002212
Forensic Technologist, cc 8459
Pos #71001322
Pos #71001369
Pos #71001591

Administrative Assistant II, cc 0712
Pos #71001288
Position on loan from Forensics to Investigations

10/14/2014

Florida Department of Law Enforcement
Investigations & Forensic Science Program
Orlando Regional Operations Center
Forensic Services – Page 2 of 2

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000437

Chief of Forensic Services, cc 9602
Pos #71000709

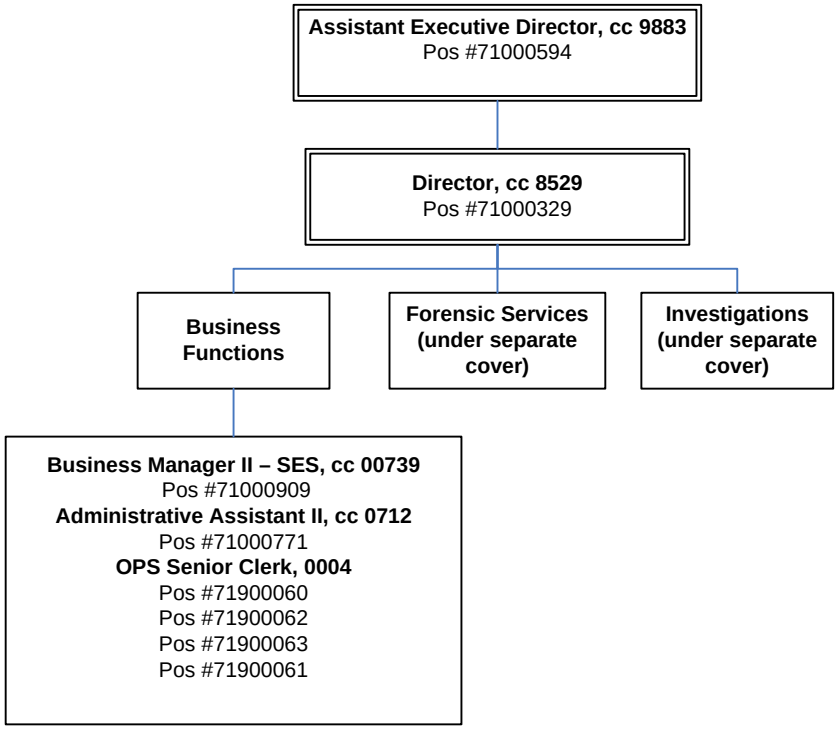
Biology / DNA

Crime Lab Analyst Supv, cc 8466
Pos #71001084
Senior Crime Lab Analyst, cc 8464
Pos #71000859
Pos #71001767
Pos #71000710
Crime Lab Analyst, cc 8463
Pos #71000088
Pos #71001126
Pos #71001336
Pos #71002217
Pos #71002214
Forensic Technologist, cc 8459
Pos #71002169
Pos #71002170
Pos #71001780
Pos #71001548

Crime Lab Analyst Supv, cc 8466
Pos #71000752 Vacant
Senior Crime Lab Analyst, cc 8464
Pos #71001619
Pos #71001646
Pos #71001768
Crime Lab Analyst, cc 8463
Pos #71002218
Pos #71001081
Pos #71001770
Pos #71002345
Pos #71002216
Forensic Technologist, cc 8459
Pos #71002171
Pos # 71001481
OPS Forensic Technologist, cc 8459
Pos #71900274

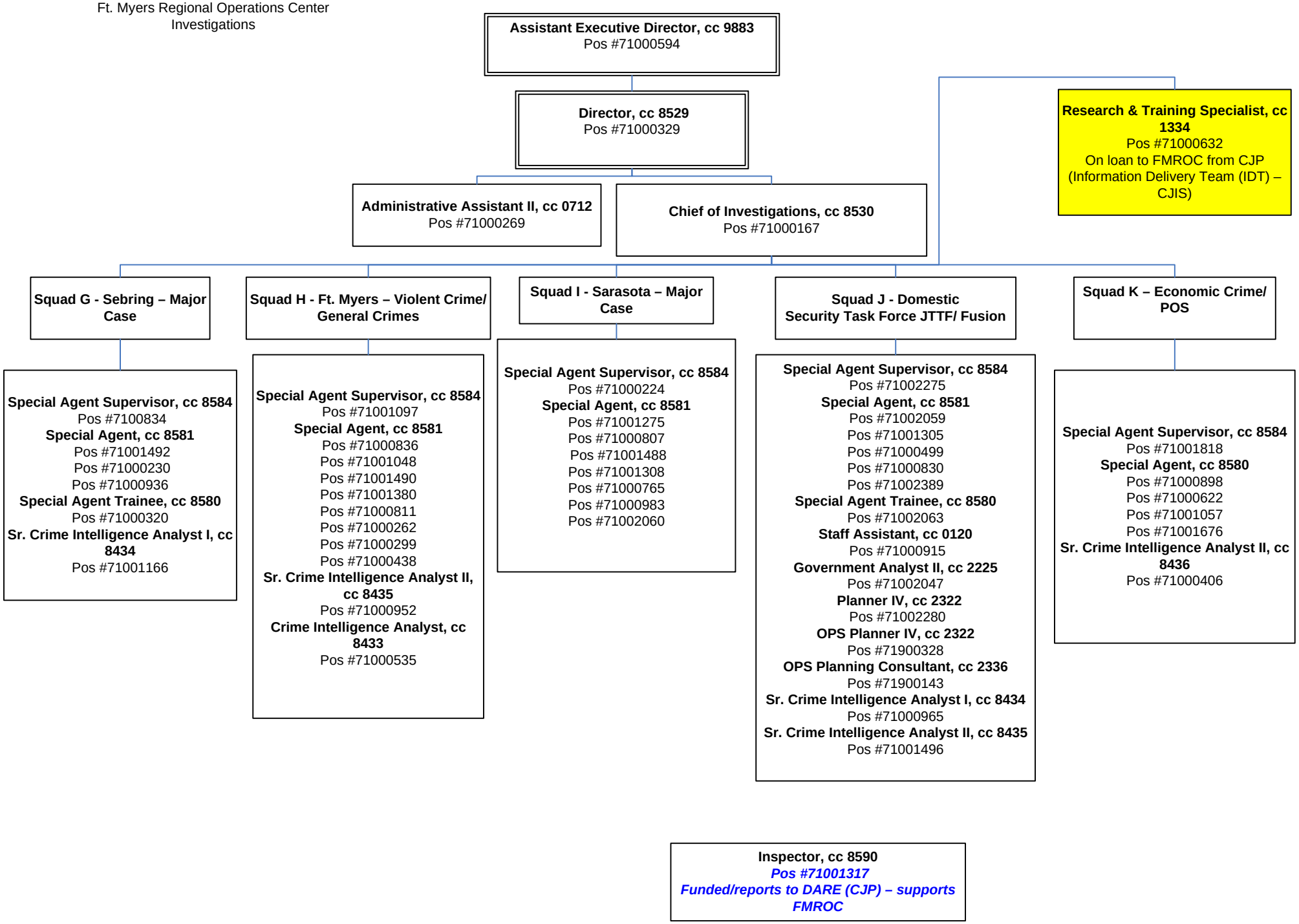
Crime Lab Analyst Supv, cc 8466
Pos #71002172
Senior Crime Lab Analyst, cc 8464
Pos #71000174
Pos #71001362
Crime Lab Analyst, cc 8463
Pos #71001618
Pos #71002215
Pos #71000711
Pos #71002347
Pos #71001626
Pos #71001769
Forensic Technologist cc 8459
Pos #71001598
Pos #71001544
Pos #71001580
Crime Lab Technician, cc 8461
Pos #71000731

Florida Department of Law Enforcement
Investigations & Forensic Science Program
Ft. Myers Regional Operations Center



Systems Programmer III, cc 2115
Pos #71001693
Funded/reports to IRM – supports FMROC
Government Analyst II, cc 2225
Pos #71000605
Funded/reports to CJP – supports FMROC

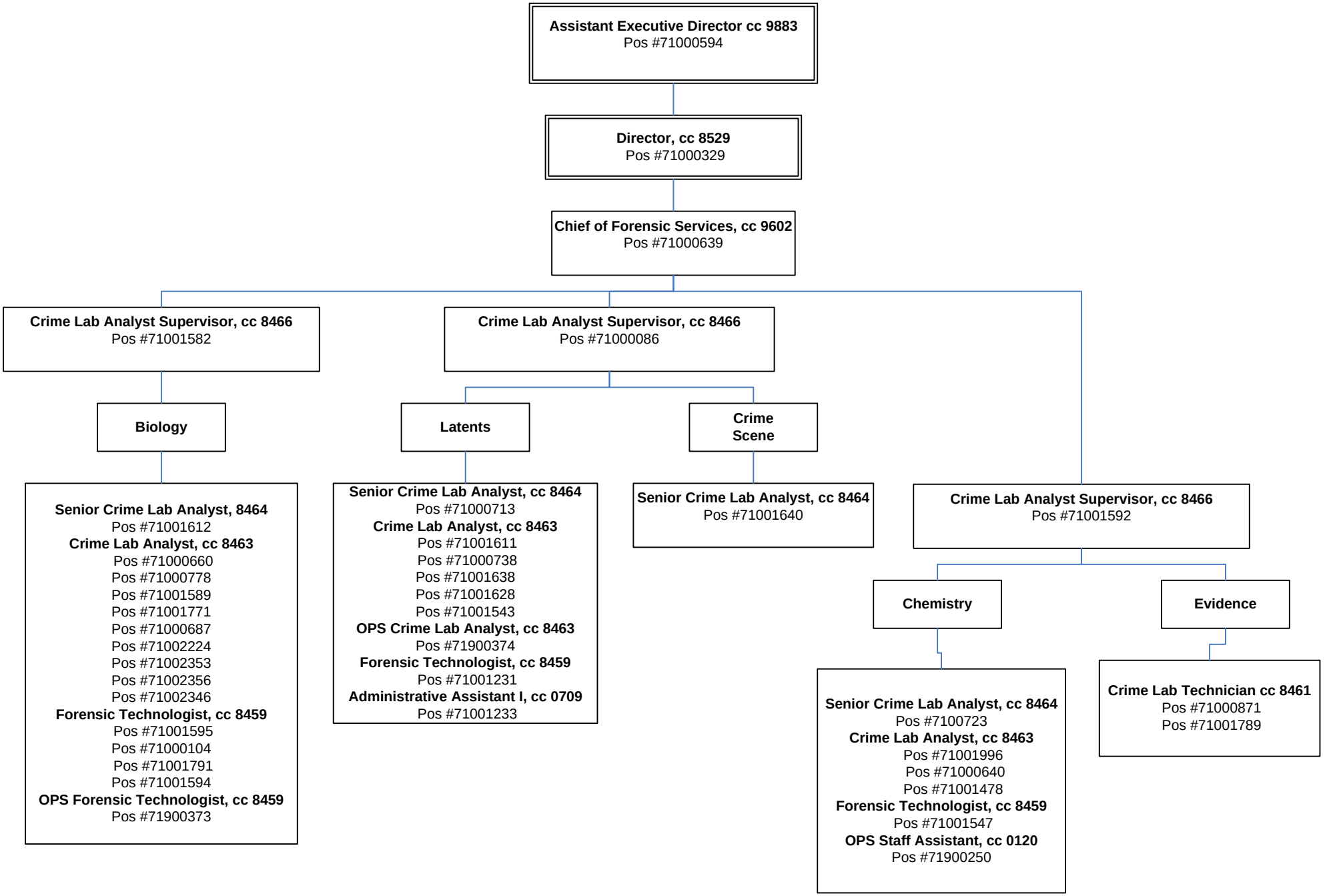
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Ft. Myers Regional Operations Center
Investigations



10/14/2014

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Ft. Myers Regional Operations Center
Forensic Services



10/14/2014

LAW ENFORCEMENT, DEPARTMENT OF

SECTION I: BUDGET	FISCAL YEAR 2013-14 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	236,237,602	0
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	39,562,528	0
FINAL BUDGET FOR AGENCY	275,800,130	0

SECTION II: ACTIVITIES * MEASURES	Number of Units	*(1) Unit Cost*	*(2) Expenditures (Allocated)*	*(3) FCO*
Executive Direction, Administrative Support and Information Technology (2)				0
Capitol Complex Security * Number of calls for Capitol Police services	3,433	2,362.15	8,109,255	
Dna Database * Number of DNA samples added to the DNA database	73,835	44.22	3,265,285	
Crime Laboratory Services * Number of lab service requests completed	73,835	690.85	51,009,153	
Investigative Services * Number of criminal investigations	2,156	29,692.53	64,017,104	
Domestic Security * Number of Domestic Security cases.	14	689,389.79	9,651,457	
Intelligence Initiatives * Number of Intelligence Initiatives	700	5,557.46	3,890,223	
Missing Persons * Number of missing persons cases	4,299	371.78	1,598,300	
Sexual Predator Tracking And Information * Number of registered sexual predators/offenders identified to the public	64,252	38.82	2,494,485	
Criminal History Information * Number of criminal history record checks processed	3,000,000	4.00	11,995,486	
Criminal History Creation And Maintenance * Number of arrest records created and maintained	25,300,000	0.35	8,918,989	
Officer Compliance * Number of criminal justice officer disciplinary actions.	684	5,648.27	3,863,420	
Officer Records Management * Number of professional law enforcement certificates issued	17,259	73.62	1,270,629	
Criminal Justice Training * Number of individuals who pass the basic professional certifications examination.	5,850	952.56	5,572,464	
TOTAL			175,656,250	

SECTION III: RECONCILIATION TO BUDGET		
PASS THROUGHS		
TRANSFER - STATE AGENCIES		
AID TO LOCAL GOVERNMENTS		
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS		
OTHER	30,372,249	
REVERSIONS	69,771,628	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)	275,800,127	

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

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.

(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.

(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.

(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Florida Department of Law Enforcement **Contact:** Cynthia Barr (850) 410-7178

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 2014 contain revenue or expenditure estimates related to your agency?

Yes [ ] No [X]

2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2015-2016 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 2015-2016 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 IV-B FOR COMPUTERIZED CRIMINAL HISTORY MODERNIZATION

For Fiscal Year 2015-16

October 15, 2014

Florida Department
of
Law Enforcement

THIS PAGE INTENTIONALLY LEFT BLANK

Table of Contents

I. Schedule IV-B Cover Sheet 6

II. Schedule IV-B Business Case – Strategic Needs Assessment 8

A. Background and Strategic Needs Assessment 8

1. Business Need 8
2. Business Objectives/Scope 12

B. Baseline Analysis 14

1. Current Business Processes 14
2. Assumptions and Constraints 30

C. Proposed Business Process Requirements 31

1. Proposed Business Process Requirements 31
2. Business Solution Alternatives 32
3. Rationale for Selection 33
4. Recommended Business Solution 39

D. Technical and Non-functional Requirements 41

III. Success Criteria 42

IV. Schedule IV-B Benefits Realization and Cost-Benefit Analysis 44

A. Benefits Realization Table 44

B. Cost-Benefit Analysis 74

1. Cost-Benefit Analysis Results 74

V. Schedule IV-B Major Project Risk Assessment 78

A. Risk Assessment Summary Table 78

B. Risk Assessment Summary 79

VI. Schedule IV-B Technology Planning 80

A. Current Information Technology Environment 80

1. Current System 80
2. Strategic Information Technology Direction 91
3. Information Technology Standards 92

B. Current Hardware and/or Software Inventory 95

1. Purchase and Warranty Expiration Dates 95
2. Current Performance Issues or Limitations 95
3. Business Purpose of the Items to be Replaced 95
4. Annual Maintenance Costs 96

C. Proposed Solution Description 96
1. Summary Description of Proposed System 96
2. Resource and Summary Level Funding Requirements for Proposed System 98
D. Capacity Planning 99
1. Historical and Current Information 99
2. Projected Requirements 99

VII. Project Management Planning 106

A. Project Scope 106
B. Project Phasing Plan 107
1. CCH Modernization Phase I 107
2. CCH Modernization Phase II 108
C. Baseline Schedule 110
D. Project Organization 112
1. FDLE Executive Leadership 113
2. FDLE Project Steering Committee 113
3. FDLE Project Management Office 113
4. FDLE Project Team 115
E. Quality Assurance Plan 119
1. Vendor Quality Assurance 121
F. Risk Management 122
G. Implementation Plan 123
1. Implementation Approvals 123
2. Implementation Communications Plan 123
3. Go-Live Schedule 124
4. Dependencies List 124
5. Resource Requirements 124
6. Data Conversions/Migrations Go-Live Plan 124
7. Failback Plan 124
8. Training and Knowledge Transfer 125
9. Organizational Change Management 127

VIII. Appendices 129

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	**Schedule IV-B Submission Date:** 10/15/2014
Project Name: Computerized Criminal History Modernization Project	**Is this project included in the Agency's LRPP?** __X_ Yes ____ No
FY 2014-15 LBR Issue Code: 24010C0	**FY 2014-15 LBR Issue Title:** Replace Computerized Criminal History System
Agency Contact for Schedule IV-B (Name, Phone #, and email address): **Mark Scharein, 410-8515, markscharein@fdle.state.fl.us**	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: **Printed Name: Gerald M. Bailey**	**Date:** 10/3/14
Agency Chief Information Officer (or equivalent): **Printed Name: Joey Hornsby**	**Date:** 10/7/2014
Budget Officer: **Printed Name: Cynthia Barr**	**Date:** 10-7-14
Planning Officer: **Printed Name: Victoria Kliner**	**Date:** 10.7.14
Project Sponsor: **Printed Name: Jennifer Pritt**	**Date:** 10/7/2014

Schedule IV-B Preparers (Name, Phone #, and Email address):	
Business Need:	Charles Schaeffer, 410-7969, charlesschaeffer@fdle.state.fl.us
Cost-Benefit Analysis:	Mark Scharein, 410-8515, markscharein@fdle.state.fl.us
Risk Analysis:	Mark Scharein, 410-8515, markscharein@fdle.state.fl.us
Technology Planning:	Joey Hornsby, 410-8455, joeyhornsby@fdle.state.fl.us
Project Planning:	Sonja Guthrie, 410-8359, sonjaguthrie@fdle.state.fl.us

THIS PAGE INTENTIONALLY LEFT BLANK

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

A. Background and Strategic Needs Assessment

1. Business Need

The mission of the Florida Department of Law Enforcement (FDLE) is to "promote public safety and strengthen domestic security by providing services in partnership with local, state, and federal criminal justice agencies to prevent, investigate, and solve crime while protecting Florida's citizens and visitors."

As a service provider, FDLE is responsible for maintaining Florida's central repository of criminal justice information for the state's law enforcement and criminal justice agencies, licensing and regulatory agencies, business community, private citizens, and policy makers. FDLE operates and maintains the central repository of criminal records under the authority of section 943.05[1], Florida Statutes (F.S.) and Chapter 11C, Florida Administrative Code (F.A.C.)[2]. Refer to Appendix C for the corresponding references.

Florida's central repository is the 4th largest criminal history system in the nation. FDLE works to provide services to help protect the safety of all Floridians and visitors. Both public and officer safety is the core of FDLE's mission. In order to provide the highest level of services possible, FDLE has created a project to replace its criminal history repository.

Florida's Computerized Criminal History (CCH) system originated more than 40 years ago, and aspects of the original system still remain unchanged. The significantly outdated processes and technology result in excessive development time and maintenance of the system. Over the years, FDLE has revised code and stretched the system to do things it was never intended to perform. The technology of the current CCH system was state-of-the-art when it was initially implemented. However, today it is limited and it is difficult to provide the services and scalability required of criminal justice systems.

The need for Florida CCH data has grown tremendously by both the criminal justice community and the public. The criminal history is a central part of the Florida criminal justice information system, and it supports a large portion of the information services. Every part of the criminal justice system relies on criminal history, from investigations, to determining bond, prosecution, sentencing and corrections classification. The CCH system is tied to other critical systems, like the

[1] Refer to http://www.leg.state.fl.us/Statutes/index.cfm?App_mode=Display_Statute&Search_String=&URL=0900-0999/0943/Sections/0943.05.html

[2] Refer to https://www.flrules.org/gateway/Division.asp?DivID=21

Biometric Identification System (BIS) and the Florida Crime Information Center (FCIC), and is necessary for them to function fully.

In the fiscal year 2013-14 there were over 3.1 million criminal history record checks processed. The Legislature has recognized the vital role in background screening for people who will be employed to work with vulnerable populations or in positions of trust. There are more than 125 laws that require background checks. In Florida last year, more than 1.2 million mandated background checks for licensing and employment were processed, more than 760,000 checks on gun buyers were processed, and more than 200,000 checks were processed under the National Child Protection Act. Criminal background checks are acknowledged as a valuable resource by the public, as evidenced by more than 860,000 criminal history checks performed under the public records law or on the Internet. As a result of the large number of criminal record checks, FDLE collects approximately $50 million per year in statutorily mandated fees.

Florida and other states have increased their usage of FDLE criminal history data for the purpose of background screening. Florida gets many visitors who may have a record of interest to another state's screening authorities. As part of the national system for sharing criminal justice information, Florida is required by the National Crime Prevention and Privacy Compact to adhere to national standards established by the Compact Council. This has been challenging with the current criminal history system.

The CCH system does not use some of the modern technologies that are available today and in use by FDLE customers. CCH customers have repeatedly requested the ability to use newer technologies. However, this is impracticable, as it cannot be reasonably accomplished due to it being technologically difficult and costly because of the limited capabilities of the CCH environment in place at FDLE. The current CCH design has limitations on various functions and abilities. An example of one of those limitations is the statute table and its inability to describe criminal charges. A modern CCH design will use web features, which will provide a faster navigation through screens, a shorter learning curve, and a more user-friendly experience because of existing familiarity with those types of technologies.

The ability to efficiently record events and their details in the CCH system is a challenge and can be confusing. Today in CCH, limited information is stored about a person's identity. It is necessary to enhance the data elements and information stored about a person including information about his or her biometrics. In addition, storing identity information at the event level (e.g., arrest, booking, incarceration, and disposition) will improve the quality of the data stored in CCH. Furthermore, the CCH data is not complete because it does not have

Notice to Appear (NTA) records for misdemeanors and direct files for felonies. Rearrests, including Violations of Probation (VOP) and Failures to Appear (FTA), are not easily linked to the original charge and can be confusing on a Record of Arrest and Prosecution (RAP) sheet. Providing better RAP sheets with images, more detailed information, and more user-friendly formats will help decision-makers.

Agencies are not able to add additional charges or modifications to the data they submitted to FDLE without a manual process. They must fingerprint the subject again or complete a form with the requested changes and submit it to FDLE via email, fax, or mail. A new CCH system will allow local agencies to submit additional charges or corrections to errors electronically, thus improving the time it takes to get the data updated in the system. In addition, law enforcement agencies have indicated receiving notifications when their agency modifications had been made would be a great benefit to them. The only way an agency can validate a change submitted to FDLE has been made is to query the record. A new CCH system would be able to provide the notifications to them on the status (e.g., successful or unsuccessful) of their requested agency correction. Today, not all agencies submit added charges or modifications to the data they previously submitted to FDLE. It is anticipated that more agencies will submit their changes due to the ability of the new CCH system to allow agencies to submit the changes through an easier, quicker, and efficient process. This will greatly improve the timeliness and completeness of the criminal history data.

Accurately recording compromised identity is extremely important for all users of CCH data, especially the victim. As more identities are stolen, the need to record this information in the Florida criminal history repository is critical to ensuring the integrity of the data. The CCH system does not have a clear way to indicate what stolen information a subject may have used at a specific event. It is critical to distinguish and identify what information may have been compromised.

Accountability, integrity, timeliness, and completeness are the hallmarks of a criminal justice system. The CCH system does not provide full record auditing and can only provide the name of the person who made the most recent change and the date that the change was made. In addition, findings from the Florida Auditor General referenced the lack of granularity in the access permissions. A modern, role-based system, with effective logging will help ensure accountability and accuracy by logging all changes to any record.

CCH data and functionality are fundamental to public safety. The CCH system must be available and FDLE puts forth every effort to maintain its availability. However, FDLE does not have a configured Disaster Recovery (DR) site for the CCH system. The Florida CCH mainframe is currently a single point of failure. While a system failure is unlikely to

occur, a new CCH system will ensure continuity of operations and mitigate outages that would affect the critical delivery of information for many criminal justice, non-criminal justice, and public safety functions.

A new CCH system will be able to maintain service to all of these functions. In addition, there will be a reduction in the time that the system is down due to planned and unplanned outages through the use of three (3) production environments (i.e., a primary site, a local standby site, and a remote disaster recovery site).

In addition to the age of the system and the growing need for Florida CCH data, some Criminal Justice Information Services (CJIS) staff assigned to use the CCH system are required to perform most of their business processes, or workflow, manually. These manual, paper-based processes are primarily due to limitations in the CCH system. The manual, paper-based processes used today are no longer practical considering the higher number of CCH records compared to 30-40 years ago. For example, internal office mail is used when transitioning paper work requests from one (1) CJIS group to another, thereby adding time to processing corrections, updates, requests, etc. of CCH data. Lastly, the outdated processes require longer training periods for newly hired members. It is clear that these manual processes must be automated in order to improve the efficiency and timeliness of the data that this system provides.

A modernized CCH system that incorporates workflow management and storage of supporting documentation will allow FDLE to address data quality and completeness of records through a better workflow. It will also resolve data usage issues that cause additional manual processing for CCH repository management. Elimination of paper flow will increase security of the information, reduce time and money spent on office supplies (paper, ink, printers, folders, etc.), and enable faster routing through an electronic workflow.

Dispositions submitted by the courts are validated before they are processed by the CCH system. The validation and processing are performed by two (2) different systems. When there are validation issues, they are reported back to the Clerks of Court. However, if the CCH system has an issue processing the data, the problem is not reported to the Clerks of Court. The issues are researched by FDLE but they are labor intensive and time consuming. A new system will incorporate both validation and processing.

The CCH system synchronizes data with other systems. These synchronization processes are performed manually due to the current CCH system limitations. The Federal Bureau of Investigation (FBI) requires audits/synchronizations with the states at least every six (6) months. In the current CCH system, this audit/synchronization is a manual process. The CCH system, the Florida Offender Registration and

Tracking System (FORTS), and Career Offender Application for Statewide Tracking (COAST) maintain registration information for sex offenders and career offenders. The CCH, FORTS, and COAST systems do not routinely reconcile their records. Periodically, a manual process is conducted to research and reconcile any differences between the systems.

Service, Integrity, Respect and Quality are the core values of FDLE. The focus of this project is to provide a high **quality service** to our customers through improvements in the timeliness, efficiency, reliability, and ease of use of the criminal record information, preserving the **integrity** and accuracy of the data while **respecting** the privacy of our citizens. Corporations, agencies, residents, visitors and criminal justice professionals depend on CCH to be reliable, available, and correct to make critical decisions on hiring, licensing, weapons permitting, child placement, bond determination, and sentencing; in addition to ensuring that these decisions are keeping the public and officers safe. A modernized CCH system will improve the **services** available, **quality** of information, **integrity** of the data and continue to **respect** the privacy of individuals; in effect making Florida safer for citizens, visitors and public safety officials.

2. Business Objectives/Scope

FDLE's primary objectives for this project are to:

- Acquire and implement a commercially available criminal history records management solution with modern technology that can be customized to meet Florida's requirements
- Increase the timeliness and detail of prosecution and court information
- Improve the methods of receiving, storing, and displaying data
- Provide a flexible database structure to allow new data elements to be added and stored at the event level
- Improve the CCH statute table and the ability to describe criminal charges
- Improve the use of charge reclassifiers (i.e., enhancers or reducers, for statutes) which are used to raise or lower the severity of a charge
- Provide better RAP sheets, with images, more detailed information, and more user-friendly formats
- Improve the linkage of rearrests, violations of probation, and failures to appear
- Provide the ability to process and accurately record notice to appear events when submitted with fingerprints

- Provide the ability to receive and process direct file conviction events when submitted with fingerprints
- Provide an electronic method for agencies to submit added charges or corrections to errors for their own records
- Provide a modern, role-based access control system, with effective logging
- Provide improved business processes through automated workflows and document management for CJIS sections
- Eliminate ancillary systems
- Provide improved compromised identity information
- Provide proactive notifications of actions and discrepancies
- Maintain compliance with national standards including Joint Task Force on RAP sheet Standardization, National Information Exchange Model (NIEM), Department of Justice (DOJ) Global Reference Architecture (GRA), National Crime Prevention and Privacy Compact Council's National Fingerprint File (NFF) Specification and FBI Electronic Biometric Transmission Specification (EBTS)
- Improve disposition handling and processing of the data
- Improve system performance and flexibility of the database, programs, and reports
- Establish an off-site disaster recovery system to maintain Continuity of Operations (COO) in the event of a critical failure of the production system at the hosting data center
- Meet FDLE's high availability requirements
- Meet FDLE's information technology (IT) standards and policies
- Maintain compliance with the FBI CJIS Security Policy (CSP)[3], state of Florida, and FDLE security rules
- Support the current criminal history processes, such as:
    - Creating and updating subject records, arrest records, disposition records, and incarceration/custody/probation records
    - Receiving, determining eligibility, and complying with seal and expunge orders
    - Receiving, determining eligibility, and complying with other court orders

[3] Refer to http://www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view

- Managing record consolidation requests
- Disseminating selected data/records based on the customer and purpose
- Logging of disseminations
- Receiving and processing personal review requests
- Providing statistical analysis of CCH data

B. Baseline Analysis

1. Current Business Processes

a. FDLE Processing

The FDLE CJIS division is responsible for creating and maintaining Florida's criminal history and fingerprint repository and responding to requests for criminal history information. Two (2) Bureaus in CJIS carry out this work; the Crime Information Bureau (CIB) and the User Services Bureau (USB).

The CIB is tasked with the maintenance of the State's CCH Repository as required by Florida Statute 943.05. FDLE's BIS provides near real-time positive identifications of fingerprints of arrested persons and an automatic update of criminal history files. The Bureau also provides criminal identification screening services to criminal justice agencies and non-criminal justice agencies to identify persons with criminal warrants, arrests, and convictions. Fingerprints maintained by the CIB are used by crime labs for comparisons of latent crime scene fingerprints for identification. The Bureau is made up of six (6) sections that are crucial to the overall maintenance, completeness, and accuracy of the database and services provided in accessing information from the database: Identification, Arrest, Quality Control, Seal and Expunge, Disposition, and the Statistical Analysis Center, each discussed below.

- The Identification section is responsible for making fingerprint comparisons on all applicant and arrest fingerprints received. It determines if an individual has a record to which new arrests may be added or if a new record will be created and added to CCH. This section is also responsible for responding to fingerprint-based queries made to the CCH files. In the criminal and applicant processes, fingerprints provide positive identification of a subject to a criminal history record.
- The Arrest section is responsible for receiving and entering arrest data, received in a hard card format, from the law enforcement agencies throughout the state of Florida. This information, based on whether the person has a previous

arrest, will become the basis of a new computerized criminal history or will be added to an existing record.

- The Quality Control (QC) section serves criminal and non-criminal justice agencies and the public. The QC section performs a variety of activities that support the accuracy and completeness of the criminal history files. This section consolidates CCH records, processes records for unknown and deceased individuals, makes corrections to records that are requested by submitting agencies, and acts to ensure that Florida records are synchronized with those of the FBI and the retained applicant system. It also provides services to citizens for personal record reviews, voter appeals, denial of firearm purchases appeals, and compromised identity.
- The Seal and Expunge section is responsible for processing applications for certificates of eligibility by determining if subjects meet statutory criteria for having a criminal history record sealed or expunged in compliance with sections 943.0585 and 943.059, F.S., and for complying with court orders issued under these statutes. The section also processes Juvenile Diversion Expunctions under section 943.0582, F.S.
- The Disposition section is responsible for working with the Clerks of the Court and other sources to gather and process disposition data contained in the judicial segment of the CCH file. The judicial segment contains the final court disposition pertaining to a subject's particular date of arrest/charges.

The USB is responsible for accepting livescan fingerprints, Internet, or correspondence requests for Florida criminal history information from government agencies, firearms dealers, private companies, and the public (based on fingerprints or name and other descriptive information provided). It is responsible for collecting the fees for this service, searching to determine if the subjects have criminal records and returning the results of those criminal record searches to the requestor.

- The Criminal History Services section is responsible for responding to public requests for Florida criminal history information. This section completes requests using required demographic information upon tender of fees as established in section 943.053, F.S.
- The e-Government Criminal History Services section processes record requests that are submitted electronically for state and national criminal history record checks required by state or federal statute. Florida statutes either require or allow

the review of an applicant's criminal history before licensing, employing, or certifying that individual.

- Applicant fingerprint requests are submitted from criminal justice agencies, governmental (non-criminal justice) entities, private industry, entities under Public Law 92-544 and the National Child Protection Act/Volunteers for Children Act (NCPA/VCA), or facilities regulated under various non-criminal justice agencies. Record requests from these entities are searched by fingerprint-based information for a state and national screening, and are typically forwarded to the FBI for a national screening. Livescan processes are strictly statute driven, meaning all requests must have a corresponding statutory authority and be labeled appropriately.
- Some e-Government Criminal History Services customers participate in the Applicant Fingerprint Retention and Notification Program (AFRNP). These customers are notified by e-Government Criminal History Services when a subject's retained fingerprints are positively identified as an individual who has subsequently been arrested in Florida. Arrests made in other states or by the federal government do not result in notification.

- The Firearm Purchase Program (FPP) section conducts record checks on individuals attempting to transfer or purchase firearms in Florida. The FPP acts as the point of contact for firearm dealers. The dealers contact the FPP using a toll-free phone line or submit requests online through the Firearm Eligibility System. Using the subject's demographics, state and national files are searched and a determination is made regarding whether the purchaser is ineligible.

Supporting these bureaus, the Florida Statistical Analysis Center (FSAC) analyzes criminal justice data and prepares statistical reports. Reports are used by policy makers, planners, and program developers and serve as a criminal justice resource for academicians, media, students, and others researching crime in Florida. Through data analysis and reporting on issues and anomalies, it supports all other sections and contributes significantly to information quality in the CCH.

b. Business Process Participants

- 67 Florida county sheriff's offices and jails, and 13 Florida juvenile assessment centers report approximately 66,000 records of arrest per month (based on 2013-14 arrests)

- 350 (approximately) Florida police departments, 20 State Attorney Offices and 20 Judicial Circuits use criminal record information
- 67 Florida county clerks of court report disposition records
- 6 Florida Department of Corrections (DC) reception and DC headquarters report custody records
- Arresting agencies/Clerks of Court submit orders for expunction and sealing of records
- The FBI maintains a national index of persons arrested, supported by fingerprints. More than 70 million records are contained within the Interstate Identification Index (III), and the National Instant Criminal Background Check System (NICS) Index, to which Florida contributes criminal history record information
- Law enforcement/criminal justice agencies including Florida state agencies with law enforcement divisions (such as Florida Fish and Wildlife Conservation Commission Law Enforcement, Department of Environmental Protection Law Enforcement, etc.) access criminal records online
- Florida licensing/regulatory agencies submit requests for fingerprint-based criminal history record checks
- Licensing and employing agencies, including school boards, members of the public, and firearm dealers conducted 3,133,530 criminal history checks during fiscal year 2013-14
- More than 2,000 private employers and volunteer organizations submit requests for criminal history record checks

c. Criminal Record Inputs

Criminal records originate from arrests made by Florida law enforcement agencies and subsequent bookings made by Florida Sheriffs or County Corrections Departments. Booking agencies scan fingerprints using livescan stations, which electronically transmit information to FDLE, or manually roll fingerprints on paper cards, which are forwarded to FDLE. An Offender Based Transaction System (OBTS) number is unique to each arrest and is used to track an event throughout all phases of the criminal justice process.

Judicial (disposition) data is added to CCH records as it becomes available from Florida's Clerks of Court. Currently, FDLE receives the computerized judicial data, via the Criminal Justice Network (CJNet), by an electronic file transfer process called file transfer

protocol (FTP). The data arrives electronically by one of two different paths:

- Directly to FDLE from the Clerks of Court
- From the Clerks of Court to the Florida Court Clerks and Comptrollers (FCCC), and then to FDLE

In addition, staff manually research and enter disposition data needed for immediate decisions relating to gun purchases, licensing, and employment.

Custody information is received from the Florida DC in two (2) ways; through the submission of online fingerprint records from the state's prison reception centers and through an FTP of supporting data from the DC data system.

The fiscal year 2013-14 record statistics in the CCH system are as follows:

- Arrest charges – 1,265,181
- Requests for fingerprint-based criminal history record checks (Civil Workflow Control System (CWCS)) – 1,396,030
- Requests for record checks to determine eligibility to purchase firearms – 763,781
- Online requests for criminal history record checks (CCHInet) – 640,963
- FCIC and International Justice and Public Safety Network (Nlets) on-line CCH checks by criminal justice agencies – 3,640,000 per month
- Florida criminal history record checks in (Modem/SHIELD) – 200,397
- Florida criminal history record checks using correspondence (paper submissions) – 25,382
- Disposition records – 1,591,504
- Dissemination records – 14,260,549
- Custody records – 55,019
- Identity records – 142,573
- Court orders and applications to Expunge/Seal criminal records – 36,610

d. Criminal Record Outputs

The primary output from these processes is accurate and complete criminal history records, which are maintained in the central criminal records repository of more than six (6) million active subjects. The

CCH system must be able to provide the current outputs such as the following:

- Identifying criminals to ensure public safety, protect law enforcement officers, and investigate crimes
- Describing arrest charges (in plain English) in criminal history record information
- Conducting checks on jurors
- Conducting checks on individuals applying for professional and business licenses
- Performing criminal history record checks on individuals applying to carry concealed weapons
- Performing criminal history record checks for employment
- Providing non-criminal justice agencies, individuals, and private organizations access to criminal records
- Conducting notification of employee arrest to employers, as allowed by Florida law
- Providing criminal record information so decisions can be made for:
  - Establishing grounds to appropriate penalties at sentencing
  - Setting bail and pre-trial and post-trial sentencing decisions
  - Preventing those who are legally ineligible from purchasing firearms
  - Identifying potentially ineligible voters
  - Identifying ineligible individuals applying for licenses and employment
  - Improving the ability to protect the vulnerable population such as children, elderly persons, and disabled persons

e. Reports Generation

The CCH database has limited capabilities for generating reports without negatively impacting the operation of the system. There are scheduled mainframe jobs that print reports at dedicated printing stations and allow online reporting through the ClearPath A Series Terminal Tool (CATT) system. As a result of the limited mainframe reporting capability, an offline, "snapshot" (SNAP) Oracle database (DB) has been created to enable and enhance criminal history reporting capabilities. In order to keep the SNAP database updated with the CCH database, a

synchronizing process runs multiple times a day. Additionally, the FSAC imports data extracted from the SNAP database to a Statistical Analysis System (SAS) database in order to perform a more sophisticated analysis. Further use of the data is used for ad hoc reporting for internal FDLE departments and external agencies.

f. Current Performance/Operational Issues

The current CCH system is a composite of technologies, data, and processes. Many business and technology processes associated with the CCH system are obsolete. It is increasingly difficult to maintain or enhance the CCH system and comply with technological standards.

The current CCH system lacks the flexibility to reflect the daily operations of the state's criminal justice system. As a result, FDLE business units find it difficult to implement improvements in business processes due to technical limitations of the current system. While the Benefits Realization Table (Table 4) provides a robust description of the value to be gained by modernizing the system, the most significant limitations that inhibit the ability to efficiently maintain criminal history are as follows:

- Local agencies are not able to add additional charges to an arrest submitted to FDLE without a manual process.
- Filed charges by the State Attorneys are not captured until final court disposition.
- Rearrests, including violations of probation and failures to appear, are not easily linked to the original charge and can be confusing to read on a RAP sheet.
- Charge reclassifiers, such as enhancers or reducers which are used to raise or lower the severity of a charge, are not a part of the data structure and are difficult to populate.
- Maintenance of the statute table, which provides the basic structure for identifying the specific arrest and/or disposition charges, is limited due to the database design and architecture, with its lack of ability to incorporate complex data structures and relationships; the overall archaic implementations of the database design; and, the relative maintenance complexities associated with implementation modifications.
- Notice to Appear citations, Direct Files, or other instances where an "arrest event" occurs but fingerprints are not captured, thus leaving the database incomplete.

- Integration with different technologies is very difficult to achieve with the current system.
- Current system does not have failover and disaster recovery mechanisms in place.
- Current system is based on a hierarchical database, which is limited when compared to the features that are available through a relational database management system.
- Current system uses a hierarchical database management system coupled with a technologically rigid database design.
- Current system does not have an identity management system.
- Current system has limitations regarding compliance with federal information standards (e.g., NIEM).
- Current system has limitations in handling images efficiently.

g. Problems and Recommended Improvements to Existing Processes

i. Lack of a Portal for Electronic Submissions of Added Charges and Modifications by Agencies

1. Agencies are not able to add additional charges or modifications to the data they submitted to FDLE without a manual process. They must fingerprint the subject again or complete a form with the requested changes and submit it to FDLE via email, fax, or mail. A new CCH system will allow local agencies to submit additional charges or corrections to errors electronically, thus improving the timeliness of the data updates.
2. Today, not all agencies submit added charges or modifications to the data they previously submitted to FDLE. This can result in incomplete RAP sheets and problems matching court data to the arrests. It is anticipated that more agencies will submit their changes due to the ability of the new CCH system to allow agencies to electronically submit the changes through an easier, quicker, and more efficient manner. This will greatly improve the completeness of the criminal history data.

ii. Statute Table and Statute Data

1. Limitations of the Statute Literal Description

There are many separate statute tables in use at different agencies, which have created consistency problems across the state of Florida. One of the reasons for the different tables stems from a size limitation in the current CCH design for the statute literal description. It is important to display the full statute description to eliminate confusion.

2. Difficulty of Storing and Displaying Reclassifiers

Charge reclassifiers such as enhancers or reducers that raise or lower the severity of charge, are not a part of the data structure and are difficult to populate. The ability to record the enhancing and reducing factors for statutes, such as wearing a mask, or with a gun and attempted or conspiracy to, fails to present a full picture for everyone who uses the CCH data. The modernized CCH repository will create separate fields that apply to the principal charge that will better reflect the incident that led to the arrest and will have fields for enhancing or reducing factors. The system will provide the ability to maintain a relationship between reclassifiers and statutes and display reclassifiers in a consistent manner making them easier to populate and read.

iii. RAP Sheets

1. Inability to provide RAP sheets with images

The CCH system is unable to utilize images in RAP sheets. As a result, judges are unable to use RAP sheets to verify the criminal history they are reviewing is associated with the person standing in front of them in court. The ability to display images on the RAP sheet can be an important tool. Images are helpful in verifying individuals, especially those with common names.

2. Inability to display name and descriptors for each arrest event on the RAP sheet

The CCH system records all the descriptors, such as name, height, weight, hair color, eye color, etc., regarding an individual. All of the descriptors are listed for the individual, but they are not associated with the event when they were reported. As a result, it is not possible to display which descriptors of the person were used for each arrest. When someone has used multiple names during different arrest events, it is critical to record the name arrested under and the name at the time the subject was charged or convicted.

3. **Inability to filter or group data on the RAP sheet**

   The CCH system does not provide RAP sheets that allow the customer to apply filters and grouping to the data. By providing this functionality, customers can save valuable time since they will be allowed to display the data in a way that best suits their needs. One example is the ability to filter felony convictions or type of crime for licensing where the specific crime might be of interest to the licensing entity.

4. **Limited RAP sheet presentation**

   FDLE customers are not able to modify the presentation of a RAP sheet. Readability of the RAP sheets can be difficult and as a result, could allow the reader to overlook critical decision-making items. The new CCH system will provide updated style sheets for the RAP sheets, which will provide enhancements to the presentation such as highlighting/color coding for specific items for emphasis and readability.

5. **RAP sheets not using a modern delivery system**

   The current system does not provide flexibility in the presentation of the data. External customers must "screen scrape" the RAP sheet to import the data into their system. This is not an efficient method for these organizations to capture and store data. This will be eliminated by allowing a more flexible delivery method.

6. **Lack of RAP sheet summaries based on business needs**

   The CCH system displays all the charges and counts for an arrest on the RAP sheet. However, if someone has hundreds of charges for something such as check fraud, the RAP sheet can be extremely long. The modernized summaries of the RAP sheet will be able to generate total charges (e.g., 101 charges of check fraud). This will reduce the length of the RAP sheet, but still maintain the accuracy of the data.

7. **Inability to link rearrests, including VOP and FTA**

   Rearrests, including VOP and FTA, are not easily linked to the original charge and can be confusing on a RAP sheet. It is important that the link be made on the RAP sheet. It will give judges and other users more complete and timely information for making the right decision for the individual. A new CCH system will resolve the issue of how VOP and FTA are stored and displayed, thus enhancing its presentation on the RAP sheet.

8. Inability to provide links to other agencies

The CCH system does not provide links to external data sources. Adding these links would be cumbersome and it would require additional maintenance. If a user needs more detail, he or she must take the time to access each data source (or agency) separately. A new CCH system will provide links to other data sources containing additional details.

9. Text-based RAP sheets

The text-based RAP sheet was developed many years ago. It was designed to work on green screen terminals and teletype. These devices displayed limited lines of text. The RAP sheet today prints sections of text based on this limit. The result is page numbers appearing in the middle of pages. The modernized RAP sheet will be able to resolve these issues, because it will be designed for modern technology.

iv. Quality Assurance and Accountability (lack of full record audit logging)

The CCH system does not provide full record auditing and can only provide the name of the person who made the most recent change and the date that the change was made. The auditing functionality is a manual process that could be manipulated and has steps that could contribute to inadvertent errors. Additionally, it does not have the ability to provide historical research of changes to a record over time.

The new CCH system will provide full audit logging for every transaction including what it was before and after the change, who made the change, and when the change was made. This will improve the visibility to the change process and provide greater accountability for those who maintain the repository.

v. Difficult Access Control Management

Based on the original design of the CCH system, roles and permissions are difficult to maintain in the CCH system. A modernized CCH system will provide role-based access capabilities to the system based on user interactions and will be granular enough to be able to indicate field-level permissions.

vi. Inability to Clearly Distinguish Compromised Identity Information

The CCH system does not have a clear way to indicate what precise false information a subject may have used for a specific event. For example, a subject may use another person's name, date of birth, or social security number when he or she is arrested. The new CCH system will provide a more efficient manner for

distinguishing what information may have been compromised, which will be useful to both the users of the RAP sheets and the victims of the compromised identity.

vii. Inability to Send Automatic Notifications to the Submitting Agency

1. Agencies send requests through a manual process to add charges or make modifications to their data. The system does not provide any notification to agencies, so the only way an agency can validate that a change has been made is to query the record. If information is attached to the wrong person, it is critical to get the information fixed and verified in a timely manner as it could impact criminal justice decisions. By providing automatic notifications back to the agencies, the quality of the data will be improved by allowing the agencies the ability to review its modification requests, research them, and, when necessary, re-submit its requests with corrected information. The improved communication will allow the corrections to be made in a timelier manner.
2. Currently it can take up to three (3) to five (5) days to complete the added charges or modifications. As a result, some counties submit duplicate requests. It can lead to wasted time researching a request that has already been completed or multiple people working on the same request at the same time. The new CCH system will eliminate this issue through validation and the ability for the counties to check the status of their requests on-line. The reduction of duplicates in conjunction with the time saved will improve the turnaround time of agency added charges and modifications.

viii. Inability to Easily Integrate with Different Technologies

The CCH system was not designed to perform all of the tasks it does today. The significantly outdated processes and technology result in excessive time for development and maintenance of the system. A new CCH system would improve the maintainability and facilitation of modifications due to new statutory requirements, as well as being more user-friendly, complete, and timely.

ix. Difficulty with the Configuration of Reports and Letters

Changes to reports and letters are not a simple process in the CCH system. For example, a change to an expunctions letter to increase the time limit from six (6) months to (12) months due to a change in statute required a change in the current CCH system. This is a CCH system generated letter from a template that is hard coded and required a programmer to make the change. This

type of change in the new CCH system would be able to be completed by the business unit and would not require a programmer.

x. Lack of Usability of the System and Amount of Training Required

People are not familiar and new members do not know how to use the antiquated green screens (terminal emulators) and as a result, the learning curve is greater when compared to other FDLE web-based applications. It uses codes and numbers to represent words and phrases and it is not intuitive. When new FDLE members are hired, they must learn the codes and how to use the green screens. This can lead to multiple problems. Members can inadvertently make an error if they memorize the wrong code or number. Due to the fact that they must type these codes instead of using auto-fills and drop-down menus, they can accidentally type the wrong code/number. In addition, the use of the codes and numbers requires additional training for new members. A modernized CCH system will utilize drop-down menus and auto-fills, it will be web-based, and it will provide an on-line help feature.

xi. Required Use of Other Databases for Workarounds

The CCH system cannot provide some very important features needed by FDLE. As a result, FDLE has created a process to periodically extract data from the CCH system and import the data into modern databases. By importing the data into modern technology, FDLE is able to perform specific functions with the data that are difficult and time consuming with the current CCH system. Workarounds require additional resources to support the processes and ultimately the CCH system. A new CCH system will be able to provide all the functionality in one (1) cohesive system.

xii. Improving the Process of Communication with the Courts

Dispositions submitted by the Clerks of Court are validated before they are processed by the CCH system. When there are validation issues, they are reported back to the Clerks of Court. However, if the CCH system has an issue processing the data, the problem is not reported to the Clerks of Court. The issues are researched, but they are labor intensive and time consuming. A new CCH system will incorporate the validation and processing of the data together thus providing improved and timelier error reporting and communication with the Clerks of Court.

xiii. Manual Synchronization of Data with the FBI

The FBI requires audits/synchronizations with the states at least every six (6) months. The CCH system requires the audit/synchronization to be performed manually. A new CCH system will have an automated audit/synchronization. This will save hours performing the audit and it will allow FDLE to perform the audit/synchronization with the FBI on a quarterly basis.

xiv. Limited System Performance

The CCH system has a limited ability to make large-scale updates to a large number of records per day (24-hour period) without degradation in performance to all users and subsequent timeouts to other external interface queries to the CCH system. The external users could be impacted by a delayed response or no response to their queries. This could be extremely critical and the impact could be the same as if the CCH system were unavailable.

A new modern CCH system must have built-in mechanisms to handle large-scale updates more efficiently.

xv. Poorly Designed or Outdated Database Structure

The design of the CCH database has caused the re-use and re-purposing of fields and has contributed to the difficulty of maintaining the database. A new CCH system will have a new database structure that will improve data storage. A relational database will allow for online maintenance of the database data. Additionally, the ease of maintenance and the movement to a new design will allow FDLE to avoid the re-use or re-purpose technique that it has used in its hierarchical database.

xvi. Unreliable Reporting and Statistics

The CCH system provides a monthly statistics report on the number of records by type. In some areas, the numbers are not reliable or usable. In those cases, staff must turn to a secondary group to validate or provide the correct number. A new CCH system will alleviate this issue through the use of a relational database, as it will be able to provide better reports for specific needs.

xvii. No Disaster Recovery (DR) Site

The Florida CCH mainframe is currently a single point of failure due to the fact that there is no configured DR site. While a system failure is unlikely to occur, a new CCH system will ensure the continuity of operations and mitigate outages that would affect the critical delivery of information for many criminal justice, non-criminal justice, and public safety functions.

xviii. Manual Processes Required to Maintain Registration Information

Registration information for sex offenders and career offenders is maintained in the CCH system and other systems (FORTS and COAST). The CCH system, and the FORTS and COAST systems routinely reconcile their records manually. This manual process is conducted to research and reconcile any differences between the systems. The new CCH system will eliminate this manual process by providing automated mechanisms to validate and synchronize the systems real-time notifications.

xix. Limited Data Fields for Subjects

The CCH system contains limited information about a person's identity. A new CCH system will enhance the data elements and information stored about a person including information about his or her biometrics. The identity information will also be stored at the event level (e.g., arrest, booking, incarceration, and disposition).

xx. Labor Inefficiencies

1. Inefficiencies Regarding Performance Monitoring and Tracking of Customer Requests

Work logs have been created to keep track of customer work requests and to document their receipt and completion. Some logs are in the form of Microsoft Access databases. They were created to act as an audit log. Each piece of paper is logged multiple times (e.g., it is logged each time a section receives it and sends it out). In order to find a specific piece of paper the person must call each section to see if they have it. Workflow in the new CCH system would remarkably reduce the current tasks of logging and it would eliminate the use of the Microsoft Access databases. Efficiencies would also be gained by maintaining data in one (1) consistent place that is accessible through permissions.

2. **Inefficient Management of Manual Processes**

   Customer requests in the form of paper must be managed throughout their processing. These papers are physically moved from section to section for processing. The task of physically moving paper would be greatly reduced with the implementation of workflow in the new CCH system. FDLE CJIS sections rely heavily on physically moving paper packets between sections through interoffice mail. This can result in the paper sitting somewhere for hours before it is transported to the appropriate section and then returned later once the paper has been worked. The result of this inefficiency is a negative impact on external customers as well as internal CJIS personnel.

3. **Unnecessary Time Spent in Scanning Paper**

   Several CIB sections currently scan paper in support of changes to the CCH data. The reason paper is scanned is to create an audit trail and to create an electronic copy of the received documents. The tasks of scanning paper would be substantially reduced by the workflow in the modernized CCH system.

4. **Unnecessary Usage of Paper (Including Toner and Drums)**

   Many times, paper packets are printed and scanned before they are worked and after they are completed. A modernized CCH system will help automate processes and reduce the reliance on paper, which will allow the respective sections to become more efficient. Savings in the usage of toner and drums would also be realized since it is anticipated the amount of printing required would be greatly reduced.

5. **Excessive Shredding**

   Once a paper packet is scanned, a hard copy is no longer needed. A majority of the data in the paper packets are confidential. As a result, the paper packets are shredded. The reduction in printing would be a result of the new system efficiencies, which will also allow FDLE to realize a savings in shredding costs.

6. Lack of Workflow

Some CJIS staff assigned to use the CCH system are required to perform most of their business processes, or workflow, manually. These manual, paper-based processes are primarily due to limitations in the CCH system. The manual, paper-based processes used today are no longer practical considering the higher number of CCH records compared to 30-40 years ago. The modernized CCH system will provide an electronic workflow to automate the business processes.

7. Lengthy Compromised Identity Processing

Offenders can provide someone else's information when arrested. This creates a criminal history record that contains the victim's information. FDLE has dedicated staff that must research claims of compromised identities. This is a very time consuming and laborious process to research. The new CCH system will provide workflow and other system efficiencies to help reduce the time it takes to complete a compromised identity claim.

h. Current Performance Metrics and Performance Data Requirements

The new CCH system must follow FDLE's standards on availability for FCIC, which is a minimum of 99.5% uptime.

Refer to Tables 8 and 9 for details on performance metrics.

i. Process Mapping

Appendix D contains the business process and system diagrams. Figure 11 depicts the interaction between FDLE, the CCH system and criminal justice agencies. Figure 12 shows services and processes associated with criminal records. The highlighted yellow areas in the diagram represent major functional business areas that are served by the CCH system. These areas are also expected to benefit the most by new development. Detailed Business Process Models (BPMs) for each major area have been completed and are maintained in the project library. These BPMs are available upon request.

2. Assumptions and Constraints

a. Assumptions

The Florida CCH is mission critical to FDLE, criminal justice agencies, non-criminal justice agencies, and others. A central repository for criminal records will continue to be necessary to support law enforcement, criminal justice, and Florida's overall public safety and security for the foreseeable future.

The demand for criminal records will continue to grow and laws associated with the use of criminal records will continue to evolve and change. Requests to collect and report on specific data will change as policy issues emerge and change.

b. Constraints

Special Authorization Requirement - This project is estimated to exceed $10 million dollars and, per Florida Statute 216.023(4)(a)10, a statutory reference regarding this project will be submitted to the Florida Legislature.

The new system must continue to comply with the FBI CJIS Security Policy (CSP), the state of Florida security policy (Chapter 71A-1), and FDLE's security policy. Where there is overlap or conflict, the more restrictive requirement will supersede the other. Furthermore, where requirements are similar but not exact, the two (2) policies' requirements shall enhance each other. For example, if one (1) policy requires a 10 character password that contains a number, and the other policy requires an 8 character password with an uppercase letter, the resulting compliance directive would be a 10 character password that contains a number and an uppercase letter. When discrepancies arise, it will be up to FDLE to determine the level of compliance. The system must also continue to meet the 28 Code of Federal Regulations Part 20 (28 CFR Part 20) and Public Law 92-544, which regulate sharing criminal justice information with non-criminal justice governmental agencies.

The new system will follow FDLE's standard of availability for the system, which is a minimum of 99.5% uptime 24 hours a day, 7 days a week, and 365 days a year.

All project activities must be performed and completed within the United States and all data must remain within the United States. Additionally, those who work on this project at FDLE facilities or have access to FDLE information systems will be permitted to work only upon successful completion of an FDLE background check. According to FDLE Policy 3.1 – Background Investigations, the background check will include, but is not limited to, criminal record check, credit check, drug test, and E-verify requirements.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The proposed solution will satisfy the business objectives if it fulfills all of the requirements as listed in the attached CCH Modernization Business Requirements Document.

2. Business Solution Alternatives

In 2011, FDLE performed a needs assessment for a re-designed criminal records repository. The purpose of the CCH Strategic Needs Assessment Project was to create a baseline analysis that would define current business process requirements, address assumptions and constraints with the existing CCH system, define general and specific business needs, provide a scope definition and outline business solution alternatives for modernizing the CCH system.

FDLE obtained federal grant funding to complete the Needs Assessment and to prepare business requirements in FY 2012-13 and FY 2013-14. This avoided spending any state dollars during the Needs Assessment effort. The objectives of the Needs Assessment project were to:

- Document AS-IS and TO-BE high-level business and technical requirements of Florida's criminal justice agencies and other organizations that use criminal history records
- Document AS-IS and TO-BE system architecture and business process models
- Identify firms that have experience implementing state level criminal history record repositories
- Identify commercial products available for implementing and operating a criminal history record repository
- Obtain cost and schedule estimates for a new system
- Develop information on alternative approaches for implementing a new CCH system
- Develop detailed business requirements

Three (3) alternatives were evaluated in detail. They were as follows:

- Alternative 1 – Maintain Current System
- Alternative 2 – Procure Vendor Product (COTS with Customization)
- Alternative 3 – Develop In-house Development

Alternative 1 – Maintain Current System continuing to provide existing services, keep up with demands, provide complete and timely criminal history data, and ensure availability of the data. If the decision is made to not replace the current CCH system, FDLE then must make the enhancement changes, keep up with demand and services, and establish high availability with the current CCH system. This will require additional resources and costs. Some requested enhancements may be difficult, time consuming, and/or have excessive costs associated with the current technology.

Alternative 2 – Procure Vendor Product (COTS with customization) criminal records management product. This approach is the most feasible. Many FDLE counterparts in other states have successfully used this approach to implement new criminal records systems. A commercial product would provide a proven core software system with a standby DR system that is in use today by FDLE's counterparts. It also significantly reduces the time to deliver and it reduces the risk to the project by the vendor having previously implemented their product. There are IT firms in the market with products and experience in the field, as well as an understanding of the complex nature of the criminal history process.

Alternative 3 – Develop a new In-House system using a combination of staff and contract staff. This approach is feasible. FDLE has undertaken a number of IT projects using this approach, although none as large as this one. FDLE has Subject Matter Experts (SMEs) in areas of the CCH system (business and IT) and staff experienced in managing IT projects. The State Term Contract for IT consulting provides a large number of consulting firms from which to choose. This solution will take more time than the procured vendor solution approach, as the development effort will need to start at the very beginning (i.e., all code will need to be created).

It is worth noting that the cost of not undertaking either alternative two (2) or three (3) could be great. This is due to the fact that the current system is the foundation for a multitude of public safety activities, and it is imperative that the data remain available and secure. The current system was also not designed to be used in the manner that it is used today and it is increasingly difficult to add new services and maintain productivity in the face of growing workload demands.

3. Rationale for Selection

FDLE considered several criteria when assessing the alternatives to make a recommended business solution that best meets the business and strategic needs of the agency. They included:

- Identifying risks to the agency and stakeholders (refer to section V regarding project risks)
- Estimating the duration of each approach
- Identifying the workload on the agency
- Assessing the ability to identify and implement innovations and enhancements to processes
- Identifying the impact on the agency's IT services, systems, and customers
- Identifying the costs (refer to Appendix G)

- Identifying the funding availability
- Interfacing with diverse technology systems
- Identifying future enhancements to the system
- Assessing the Cost vs. Benefits (refer to Appendix E)
- Assessing the ability to meet the federal standards on data sharing

a. Assessment Results

The results of this assessment are outlined in this section.

i. Alternative One (1) – Maintain Current System

This option maintains the current system in the AS-IS state and is based on the following:

Assumptions

- The system will be able to support all existing business functions as well as future legislative changes and business enhancement requests.
- The department has funds to maintain the licenses and the resources to maintain the runtime environment (hardware and facilities).
- The department has the capability to find the required resources with Progeni/COmmon Business-Oriented Language (COBOL), DMSII database, and Unisys mainframe system administration expertise to maintain and enhance the system.

Cost

- The approximate cost to operate and maintain the current system is $2 million per year. This includes both recurring and non-recurring costs for equipment, software, maintenance, and programming services (state and contract staff). Refer to Appendix F for details.

Risks

- It will be difficult to incorporate the enhancements required by business or legislation.
- Old technology is limited regarding compliance with emerging Federal data communications standards.
- Over time, it will be difficult to acquire technical resources to maintain the old technology.
- The CCH mainframe is currently a single point of failure.

- There could be a possible extended outage if a catastrophic event were to occur.
- There will be continued use of ancillary systems for manual logging of all changes to the CCH records.
- Continued manual processing required which will result in the need for additional staff in the future to keep up with the increased demands and work volume.

Table 1 identifies some of the perceived advantages and disadvantages for alternative one (1).

Table 1. Alternative One – Maintain Current System

Advantage	Disadvantage
No time is required to design and implement a new system.	As business needs change and difficulty of the current technology to support new requirements diminishes, the organization will be forced to continue to spawn external, ancillary, but necessary systems to fulfill business needs.
This is the least expensive option for the short-term.	Newly created databases in ancillary systems will need to be synchronized with the CCH database to reflect current, up-to-date data in the user community.
	In order to accommodate the growing demand on the CCH system, more staff will be needed (full-time employee and Contract staff) to maintain the CCH and ancillary systems.
	Leaving the system AS-IS will lead to additional maintenance and development costs.
	Old technologies make it difficult to comply with new Federal information exchange standards.
	Does not meet the needs of customers for supporting the additional data transport protocols and data formats.
	Inability of the current system to provide the benefits of a relational database.
	Difficult to acquire technical resources to maintain the system.
	Additional costs to acquire a DR system.

In summary, this option is not in line with the needs of FDLE due to the factors listed above.

ii. Alternative Two (2) – Procure a Vendor Product with Customization

This option allows a vendor selected through an Invitation to Negotiate (ITN) process to provide a CCH application or solution. This application or solutions must have been successfully implemented in at least one (1) other state, and customize it to fit to the state of Florida's CCH requirements:

It is based on the following:

Assumptions

- There will be a Project Management Office (PMO) of experienced managers at FDLE to manage and track the status of the project and provide support to the PM.
- The vendor will have a product, which is very close to the CCH needs of state of Florida.
- The selected vendor will finish the project on time as per the estimated timeline.
- The selected vendor will provide the key management and technical resources having in-depth knowledge of CCH systems.
- A full-time PM will be assigned to manage the project.

Cost

- Total project cost will be approximately $17 million (includes staffing, software, hardware, and services). Refer to Appendix G for details.

Risks

Some of the risks include:

- Vendor goes out of business or is acquired by another company
- Vendor unable to complete the project
- Size and complexity of the system
- Scope creep related to customization of the COTS product
- Demands made on existing staff to support the project while maintaining current functions.

Refer to the Project Management Planning section for further details on identified risks.

Table 2 identifies some of the perceived advantages and disadvantages for alternative two (2) – vendor product with customization option.

Table 2. Alternative Two – Vendor Product with Customization	
Advantage	**Disadvantage**
The time consumed in this effort will be less than re-designing and re-writing the entire system.	FDLE will have to undertake a competitive procurement process, which can introduce risks for delay.
This solution will be in line with the current IT strategies of FDLE in terms of technology.	This approach is estimated to be the most expensive.
An experienced vendor with an intense knowledge of the CCH system will customize their COTS system.	IT staff may not be well versed with new system and the new system might introduce products, which are not in line with the current IT standards of FDLE.
Service-Oriented-Architecture (SOA).	Buy option always has unknowns based on working with an unknown vendor (vendor has their own agendas and priorities). A COTS product may provide only a piece of the customer need and then FDLE is left to develop additional components to fully meet the customer's business needs.
Business will have a ready-made application to look at and decide the additional needs.	There will be demands made on existing staff to support the project while maintaining current functions.
Vendor will be responsible for hiring the management and technical resources for the project.	
Ability to take advantage of innovations implemented in other states. The other states will have worked out many of the problems associated with a major new system.	
High availability through the use of multiple production sites.	

iii. Alternative Three (3) – In-house Development – SOA Solution

FDLE would acquire contract technology staff through the state of Florida's State Term Contract for IT Consulting. A statement of work (SOW) would be prepared to hire individuals with the skill-sets required to implement this project. The SOW would then be transmitted to IT consulting firms to obtain résumés and competitive rates for contract staff. Staff would be hired through the IT consulting firms. Contract staff would receive tasks from the FDLE assigned Project Manager (PM).

This option uses modern architecture known as SOA. This architecture employs connectors and adapters to foster systems integration and high scalability. The system becomes more flexible in its ability to adapt to and interface with new business and technology requirements.

It is based on the following:

Assumptions

- System will take longer to develop but it will embody all the features captured at the requirements gathering phase when deployed.
- There will be a Project Management Office (PMO) of experienced managers at FDLE to manage and track the status of the project and provide support to the PM.
- The department has the capability to acquire required resources to design and develop the system.
- A full-time PM will be assigned to manage the project.

Cost

- Total project cost will be approximately $8 million (includes staffing, software, and hardware costs).

Risks

Some of the risks include:

- Difficulty in acquiring the proper technical resources within a specified period.
- No readymade base framework for the CCH system.
- Lack of in-house technical expertise.
- Demands made on existing staff to support the project while maintaining current functions.

Table 3 identifies some of the perceived advantages and disadvantages for alternative three (3).

Table 3. Alternative Three – In-house Development – SOA Solution	
Advantage	**Disadvantage**
This solution is less costly than the procure vendor solution approach.	FDLE assumes all risk for successful management (to include time and resources) and implementation of the project.
This alternative provides a Service-Oriented-Architecture.	FDLE will be responsible for hiring all project management and technical staff.
FDLE will have full control of the budget.	New development team will take extra time to learn the business.
FDLE will have full control of the project.	This solution will take more time than the procure vendor solution approach, as the development effort will need to start at the very beginning (i.e., all code will need to be created).
This solution will be in line with the future IT strategies of FDLE.	Potential lack of innovation in data, presentation, and functionality.
Easy transition from development to maintenance phase.	May be difficult to obtain and retain skilled staff for the project.
Lower maintenance costs due to the utilization of in-house members.	There will be demands made on existing staff to support the project while maintaining current functions.
High availability through the use of multiple production sites.	

In summary, this option is not in line with the needs of FDLE due to the factors listed above.

4. Recommended Business Solution

The recommended business solution is to replace the current CCH system with a COTS product that is customizable (Alternative Two (2)) to meet current as well as future business needs.

FDLE recommends contracting with a prime contractor to deliver a commercial criminal history records management system, which can be customized to meet FDLE's business needs.

While this is estimated to be the most expensive approach, there are compelling reasons for selecting this approach. They include:

a. Reduced risks to the state

The prime contractor assumes some of the risk associated with implementing the new CCH system with a firm fixed price contract. The agency will pay for that risk through higher contract costs. However, this approach provides greater certainty for agency management and the Legislature. Additionally, the vendor will assume the responsibility of acquiring resources for the project.

b. Higher level of experience

There can be no certainty about any large IT project, however, by contracting with a firm that has successfully implemented a large criminal history records management system elsewhere gives reason to believe that this project can be successfully completed at FDLE in a shorter period of time. A firm that has already implemented a similar project has likely encountered issues and thus is better poised to handle those issues with later projects.

c. Better evaluations

Business units in the agency are able to see and evaluate competing products during the procurement process as opposed to a pure development effort in which staff is evaluating concepts. Commercial solutions provide tangible products, which can be compared against business needs. Acquiring a commercial product will reduce some of the issues that one typically finds in a pure software development project. For example, issues that arise in determining whether application software meets customer requirements and expectations are reduced because the customer is able to inspect product features and functionality prior to a contract being signed.

d. Reduction of organizational stress

The approach places less workload and stress on the agency's IT and Business staff. This is important because staff is already involved in maintaining the current CCH system and other mission critical information systems/services, which must still be carried out while a new system is being implemented. While the FDLE staff will be active participants in the project, some of the stress and workload associated with this type of project will be shifted to the prime contractor.

e. Achieve compliance to FDLE IT standards

The new CCH system provided by a vendor will comply with current FDLE IT standards.

FDLE will undertake a competitive procurement process, ITN, to acquire a commercially available criminal history product. This solution should be customizable to meet FDLE's business requirements. The contract will include (but not limited to):

- Commercial systems software (e.g., operating system, database management system, and application server platform)
- Computer hardware (e.g., servers, storage)
- Commercial criminal history solution for storage of supporting documentation

- Project management services
- Software customization services
- Data migration services
- System integration and testing services
- Implementation
- Training services (technical and user)
- Maintenance

D. Technical and Non-functional Requirements

See attached CCH Modernization Business Requirements Document for business and technical requirements.

III. Success Criteria

The successful implementation of this IT project will be a fully functioning customized COTS CCH system including migrated data. During the project, data will be analyzed to ensure that there is no data integrity loss. Key Performance Indicators (KPIs) such as response times will be utilized to ensure that the project was successful. FDLE, through requirements mapping, will utilize the established requirements to ensure that all critical aspects of the new CCH system either have met or exceeded performance expectations. FDLE will perform user acceptance testing after the vendor has completed the work to install and customize the system. Some of the KPIs that will be used to assess the success of the project are as follows:

- Completion based upon the established and approved schedule
- Improved services for customers
- Elimination or reduction of manual processes
- Elimination of ancillary systems used for logging
- Modern foundation and architecture which allows for newer technologies and supports the system
- Automate and improve turnaround times for identified services and tasks
- Successful migration of CCH data
- Implementation of a DR system

THIS PAGE INTENTIONALLY LEFT BLANK

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

A. Benefits Realization Table

A comprehensive list of benefits of a new CCH system was developed for both internal and external customers. The areas explored include:

- Improvements for public safety
- Better decision making due to more complete, reliable, and timely information
- Improved efficiencies

The intangible benefits far outweigh the tangible benefits for a new CCH system. Intangible benefits such as integrity, completeness, accountability, timeliness, and accessibility of criminal history data are the core features of a CCH system.

The CCH data is accessed for criminal history record checks. The term "background check" is often used interchangeably with "criminal history check" or "criminal history record check." Some companies use the phrase "background check" to include driver's record, credit history, or interviews with neighbors and employers. From FDLE's perspective, a background check as required by Florida Statutes for licensing, employment, or regulation is a criminal history record check to determine if a person has been arrested and/or convicted of a crime. A criminal history record check may be a search of the following databases:

- The Florida CCH Central Repository for Florida arrests (State Check).
- The III system at the FBI for federal arrests and arrests from other states (National Check).

The criminal history information is collected, stored, and disseminated with a primary emphasis to ensure public safety. Everyday examples of usage include:

- Criminal justice purpose – state and national check: Agencies defined by state and federal law as criminal justice agencies typically have online access to FDLE and FBI databases. Federal and state laws and rules govern the use of the information for specifically defined criminal justice purposes such as:
  - A judge needs information to make an informed decision regarding post arrest release.
  - A prosecutor needs to know whether enhanced penalties are called for based on a defendant's previous criminal record.
  - A judge needs the records to determine an appropriate sentence.

- A corrections officer needs criminal justice information to classify an offender so he or she is placed in the correct level of confinement.

- Non-criminal justice purpose – state and national check: A governmental agency that is not designated criminal justice may access information from the FDLE and FBI databases under a separate authority governed by the National Crime Prevention and Privacy Compact Council and under appropriate federal laws, primarily Public Law 92-544, and the Adam Walsh Act. The National Child Protection Act authorizes the information to be made available to non-governmental organizations that are deemed qualified entities and provides certain restrictions. These checks must be fingerprint-based and may be used only for the specific purpose for which the record was requested and by designated authorized officials. Article IV of the National Crime Prevention and Privacy Compact further states that subsequent record checks are required when a new need arises. Examples of these types of checks are:
  - The Department of Agriculture and Consumer Services (DOACS) needs this data to ensure that a Concealed Weapon Permit is not issued to someone who has a disqualifying criminal history.
  - The Department of Children and Families (DCF) needs the information to ensure that a person with a sexual related offense or other disqualifying charges is not allowed to work with children in a day care center.
  - The Office of Financial Regulation (OFR) accesses this information in its role in the regulation of mortgage brokers and loan originators.

- Non-criminal justice purpose – state check: State law allows Florida criminal history information to be available to the public and private businesses via Internet, mail, or paper request. These are name-based checks and examples of their use include:
  - A private employer needs information to make informed decisions as part of their hiring process.
  - A private citizen needs information to ensure the babysitter or cleaning personnel have not committed aggravated assault, theft or other crimes.

The criminal history information within the CCH system must be timely and complete for criminal history record checks. The intangible benefit of providing complete and timely data cannot be fully measured, but it is one of the most critical aspects of the CCH system. FDLE does not have a DR site for the CCH mainframe, so it is a single point of failure, which would affect the availability of criminal records when the aforementioned criminal history record checks are submitted.

The following pages contain a summary of tangible and intangible benefits for a new CCH system. The estimates for the tangible benefits were developed conservatively, and were based on actual workload and other relevant statistics. Benefit calculations totaling **$3,989,131** have been prepared over a five-year cost period.

Many of the estimates represent improvements and efficiencies in work processes that will allow FDLE to add new services and maintain productivity in the face of growing workload demands. The current growth rate is an average of 4.7% (refer to Appendix L – Historical Growth Rates). It should be noted that these numbers do not represent actual positions that would be eliminated but are cost avoidance. By redeploying these resources, FDLE will be able to address the ever-increasing legislatively mandated workload requirements, provide additional services demanded by customers, and reduce the need to request additional staffing. This is a significant benefit for both the agency and the state of Florida – increasing service and high availability (through use of a DR) without increasing staff.

Table 4 provides a robust description of the value gained by modernizing the system. For further details, see attached CCH Cost-Benefit Analysis.

THIS PAGE INTENTIONALLY LEFT BLANK

Table 4. 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 measured?**	**Realization Date (MM/YY)**
1.	Modern system for the 21st century	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	The current CCH system originated more than 40 years ago and it was designed to respond to criminal justice agencies allowing them to share criminal history data via teletype. The system has been modified to add different functionalities that it was never intended to perform. A modernized CCH system will be designed with modern needs considered and utilizing modern technology. It will have a framework that is scalable and extensible allowing it to respond and adapt to the Internet age, provide new functions and services, and comply with new laws.	A modern system for the 21st century will be measured by the implementation of at least one of the desired "modern" functionalities, efficiencies, or improvements.	06/ 17
2.	Improved public safety	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The "cost of a life" is priceless. A new CCH system will be able to improve the speed in which data is updated from the source agency and thus improving the integrity and completeness of the data. The public as well as criminal justice officers benefit from decisions made based on the most current data available. The decisions of the officers on the street and of the FDLE Firearm Purchase Program can impact the life of an officer or a citizen.	Improved public safety is not easily measured.	06/ 17

3.	More complete and timely data for the criminal history background checks *(Non-criminal Justice)*	Intangible	✓ Public ✓ Vulnerable populations ✓ DCF ✓ DJJ ✓ AHCA ✓ DOH ✓ APD ✓ DOACS ✓ DBPR ✓ Elder Affairs	Today, the Florida legislature has required background checks in more than 125 Florida Statutes for more than 130 different groups. These checks are mandated to protect the public at large and, in some cases, specific populations. Many professions, occupations, positions, and licenses require a state and national criminal history background check performed for suitability to practice and for the safety of the public. The legislature sees the value in criminal history data by requiring background checks. For example, background checks are required for concealed weapon/firearm licenses and public school employees. The ability to receive complete and timely Florida criminal history background check information is crucial as it directly influences employment and licensing decisions for groups that provide services to vulnerable populations such as doctors and nurses, day care workers and nursing home employees. While the listed agencies benefit by more streamlined screening, the true benefits are for the populations they service who are more protected.	More complete and timely data for the criminal history background checks *(Non-criminal Justice)* use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	06/ 17
4.	More complete and timely data for the criminal history background checks *(Public)*	Intangible	✓ Public	The general public has the ability to run Florida criminal history record checks and receive responses in minutes. They can run criminal record checks on other people such as employees, home contractors, or childcare providers. Having complete and timely criminal history information can make the difference in protecting one's business, home, and family.	More complete and timely data for the criminal history background checks *(public)* use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	06/ 17

5.	Improve the impact to the economy	Tangible	✓ Public	Many companies perform criminal record checks on individuals before they extend an employment offer. If the CCH system were to be unavailable for an extended period of time, public record checks would not be available, thus potentially delaying the hiring of people. This could impact private employers who may require criminal record checks for specific personnel. External customers indicate that receiving the information on a timely basis is one of the most critical requirements in order to avoid hiring individuals who may have to be let go later due to their criminal history. If the current CCH were to be unavailable for an extended period of time, these external customers would be impacted. They may choose to hire and train an individual and wait for the criminal history background check results. Mitigating the risk of the system being unavailable for a week could save employers an estimated $77,700 by not hiring more than 51 disqualified people. The numbers are significant, but the assumptions used were very conservative. Several studies have shown the cost of hiring the "wrong" employee is very high, as much as one (1) to three (3) times the annual salary when all costs are factored. The new CCH system will provide disaster recovery which will help mitigate a major system outage and thus allowing employers to make better hiring decisions.	The benefit of improved impact to the economy will be measured by the implementation of a disaster recovery site.	06/ 17
6.	More complete and timely information for criminal justice use	Intangible	✓ Public ✓ Law Enforcement Agencies ✓ Department of Corrections ✓ Courts ✓ State Attorneys ✓ Jails	The completeness and timeliness of criminal data have a significant impact on criminal justice decisions which increase public safety. Examples are: • Investigations • Arrests and booking decisions • Pre-trial release (bail and bond) decisions • Charging decisions • Jail classification decisions • Sentencing and disposition decisions • Custody classification decisions A new CCH would provide improved methods of receiving data, storing data, and displaying data. These improvements will provide more complete and timely data.	More complete and timely information for criminal justice use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	06/ 17

7.	Improved statute literal description	Intangible	✓ Criminal Justice Agencies ✓ State Attorneys ✓ Courts ✓ Judges ✓ All CCH Customers	The term statute table refers to a library of Florida Statutes. Today, there are separate tables in use at different agencies, which have created the problem of inconsistency across the state of Florida. One of the reasons for the different tables stems from a size limitation in the current CCH design for the statute literal description. It is important to display the full statute description to eliminate confusion and provide more complete data.	The improved statute literal description will be measured by the displaying of the full literal description in the new CCH system.	06/ 17
8.	Improved statute table management	Tangible	✓ Criminal Justice Agencies ✓ State Attorneys ✓ Courts ✓ Judges ✓ All CCH Customers ✓ FDLE	A new CCH system will provide a more flexible statute table by improving the management of the statute data and provide the ability to export the statute data for external customers. Over time, local state attorneys will be able to save time by using the FDLE CCH statute table. They cannot use the table due to the table's limitations, but in the future, a modernized CCH system will resolve the issues. Note: this benefit may be tangible in the future, but it may be a long time before all courts, state attorneys, etc. use the improved statute table. The management of the statute data will be improved by eliminating the disconnect that requires updates to multiple statute tables in the current CCH system. In the current CCH system, a user must update multiple tables to add new active statutes and to disable statutes. The new CCH system will provide one central repository and mechanism for managing statute data, which will make it easier to update. In order to provide statute data to external users, through data exports, other databases have been created outside the current CCH system. To maintain the statute data in these other databases, programmers must run scripts to update them and keep them in sync with the CCH statute data. Over the first five (5) years of the new system, it is estimated to save $6,700 and 100 hours.	The improved statute table management will be measured by efficiencies realized from the streamlined management of the statue table in a modernized CCH system.	06/ 17

9.	Improved method for storing and displaying reclassifiers, such as enhancers and reducers *(charge enhancers or modifiers)*	Intangible	✓ Criminal Justice Agencies ✓ State Attorneys ✓ Courts ✓ Judges ✓ All CCH Customers	Charge reclassifiers, such as enhancers or reducers that raise or lower the severity of a charge, are not a part of the data structure and are difficult to populate in the current CCH system. The ability to record the enhancing and reducing factors for statutes, such as wearing a mask or with a gun and attempted or conspiracy to, fails to present a full picture for everyone who uses the CCH data. The modernized CCH repository will create separate fields that apply to the principal charge that will better reflect the incident that led to the arrest and will have fields for enhancing or reducing factors.	The improved method for storing and displaying reclassifiers will be measured by how they are displayed on the RAP sheet.	06/ 17
10.	Criminal history information will be enhanced with images	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ Courts ✓ State Attorneys ✓ Corrections ✓ Jails	The ability to display images on the RAP sheet can be an important tool. Images are helpful in verifying individuals, especially those with common names. Public safety is impacted as judges can use them to verify the criminal history they are reviewing is associated with the person standing in front of them in court.	The criminal history information will be enhanced with images and will be measured by the ability to display images on the RAP sheet.	06/ 17

11.	Improved modernized RAP sheets – ability to display name and descriptors for each arrest event	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ Courts ✓ State Attorneys ✓ Jails	The current CCH system records all the descriptors, such as name, height, weight, hair color, eye color, etc., regarding an individual. All of the descriptors are listed for the individual, but they are not associated with the event when they were reported. As a result, it is not possible to display which descriptors of the person were used for each arrest. When someone has used a lot of names, it is even more critical to know the name used at a specific event. It is important to associate the name arrested under and the name at the time a subject was charged or convicted.	The improved modernized RAP sheets will be measured by how displaying the name and descriptors used at each event.	06/ 17
12.	Improved modernized RAP sheets – ability to filter or group data	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	New defined RAP sheets will be created based on business needs. The new RAP sheets will enable the customer the flexibility they need such as applying filters and grouping to the data. This can save customers valuable time by allowing them to display the data in a way that best suits their needs. One example is the ability to filter felony convictions or type of crime for licensing.	The improved modernized RAP sheet will be measured by the ability to filter or group data.	06/ 17
13.	Updated and improved RAP sheet presentation	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The new CCH system will provide updated style sheets for the RAP sheets. The style sheets will provide enhancements to the presentation such as highlighting/color coding for specific items for emphasis and readability. It is important to offer these enhancements to help the reader identify key items quickly and to prevent the reader from overlooking a critical decision making item. FDLE will provide its style sheets to customers to allow them to take advantage of the enhanced RAP sheet presentation and the ability to create their own.	The updated and improved RAP sheet presentation will be measured by the ability to provide customers with style sheets containing the enhancements.	06/ 17

14.	Customizable RAP sheets using a modern delivery system	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The new CCH system will be able to provide the RAP sheet in a flexible delivery method. This will allow customers to use the data in a more efficient manner. They will be able to extract the data and store locally. The modern versions of the RAP sheets can save time and provide more complete results to large volume external customers. Many large volume external customers are screen scraping the RAP sheet to get the data. This is not an efficient method for these customers to capture and store data. Examples of the large volume customers are: • State agencies • Theme parks • Background companies Criminal justice agencies, such as the Department of Corrections, will be able to integrate data from the RAP sheet into their data systems.	The customizable RAP sheets that conform to national standards by using a modern delivery system will be measured by the ability to provide the modern versions of the RAP sheets in a more flexible method to customers.	06/ 17
15.	More readable RAP sheet summaries based on business needs	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The current CCH displays all the charges and counts for an arrest on the RAP sheet. However, if someone has hundreds of charges for something such as check fraud, the RAP sheet can be extremely long. The modernized summaries of the RAP sheet will be able to generate total counts (e.g., 101 charges of check fraud). This will reduce the length of the RAP sheet, but still maintain the accuracy of the data.	The variety of RAP sheet summaries based on business needs will be measured by the ability of the new CCH system to provide a variety of RAP sheet summaries.	06/ 17
16.	Improved linkage of rearrests, including violations of probation and failures to appear	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ Courts ✓ FDLE	Rearrests, including violations of probation and failures to appear, are not easily linked to the original charge and can be confusing on a RAP sheet. It is important that the link be made on the RAP sheet especially for pre-trial services. It will give judges complete information for making the right decision for the individual. A new CCH system will resolve the issue of how violations of probation and failures to appear are stored and displayed, thus enhancing its presentation on the RAP sheet.	The improved linkage of rearrests will be measured by displaying rearrests on the RAP sheets.	06/ 17

17.	Provide customers with "hot links" to other agencies	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The CCH system is unable to provide links to other external data sources on the RAP sheets. If a user needs more detail, he or she must take the time to access each data source (or agency) separately. The new CCH system will be able to provide links to other external data sources on modernized RAP sheets.	The ability to provide customers with "hot links" to other agencies will be measured by the ability of the RAP sheets to display them.	06/ 17
18.	Improved readability of RAP sheets	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The current text-based RAP sheet was developed many years ago. It was designed to work on green screens and teletype. The green screen was limited to 24 lines of text. The current RAP sheet prints the page numbers after 24 lines. As a result, items like page numbers and continue lines do not line up with 8 ½ x 11 sheets of paper, which can display more than 24 lines. The result is new page numbers printing in the middle of pages. The modernized RAP sheet will be able to resolve these issues, because it will be designed for modern technology.	The improved readability of RAP sheets will be measured by a redesigned RAP sheet.	06/ 17

19.	A portal for electronic submission of added charges and modifications by agencies	Tangible	✓ Criminal Justice Agencies ✓ FDLE	Agencies are not able to add additional charges or modifications to the data they submitted to FDLE without a manual process. Currently, they must re-fingerprint the subject or complete a form with the requested changes and submit it to FDLE via email, fax, or mail. A new CCH system will allow local agencies to submit additional charges or corrections to errors electronically, thus improving the timeliness of data updates. The process is anticipated to realize a five (5) minute savings per set of added charges submitted, which is a 42% increase in efficiencies to correct data and make it available for use. The total estimated cost avoidance for the agency corrections labor efficiencies during the first five (5) years of the new CCH system is $$278,239 and a total of 17,249 hours of labor efficiencies saved. Today, not all agencies submit added charges or modifications to the data they previously submitted to FDLE. This can result in incomplete RAP sheets and problems matching court data to the arrests. It is anticipated more agencies will submit their changes due to the ability of the new CCH system to allow agencies to submit the changes through an easier, quicker, and more efficient process. This will greatly improve the completeness of the criminal history data.	Agencies will be able to submit added charges and corrections to errors electronically. FDLE will measure the cost avoidance by calculating the time it takes to process an agency's added charge or correction to data.	06/ 22
20.	Improved quality assurance and accountability (full audit logging)	Intangible	✓ FDLE	The CCH system does not provide full record auditing and can only provide the name of the person and the date of the most recent change. The current auditing functionality is a manual process that could be manipulated and it has steps that could contribute to inadvertent errors. It does not have the ability to provide historical research of changes to a record over time. To create a more complete audit, the Quality Control section scans the records before and after each transaction to create an audit log because the system cannot provide this feature. External ancillary databases are also created to maintain a log. The new CCH system will provide full audit logging for every transaction including what it was before and after the change, who made the change, and when the change was made. This will improve the visibility to the change process and provide greater accountability for those who maintain the repository.	The improved quality assurance and accountability will be measured by the ability of the new CCH system to have full audit logging.	06/ 17

21.	Improved performance monitoring and tracking of customer requests	Tangible	✓ FDLE	Another benefit from the new CCH system is the reduction in manual logging of paper. To keep track of customer work requests and to document their receipt and completion, work logs have been created. Some logs are in the form of Microsoft Access databases. They were created to act as an audit log. Each piece of paper is logged multiple times (e.g., it is logged each time a section receives it and sends it out). In order to find a specific piece of paper the person must call each section to see if they have it. Workflow in the new CCH system would remarkably reduce the current tasks of logging and eliminate the use of the Microsoft Access databases. Efficiencies would also be gained by maintaining data in one (1) consistent place that is accessible through permissions. The total estimated cost avoidance from logging during the first five (5) years of the new CCH system is $ 607,034 and a total of 35,412 hours of labor efficiencies saved.	The reduction in logging will be measured by calculating the time saved by not logging.	06/ 22
22.	Improved method for recording compromised identity information	Intangible	✓ Public ✓ Criminal Justice Agencies	Improving the method of recording compromised identity is important for all users of CCH data, especially the victim. As more identities are stolen, the need to precisely record this information in the Florida criminal history repository is critical to the integrity of the data. The current CCH system does not have a clear way to indicate what specific false information a subject may have used for a specific event. For example, a subject may use another person's name, date of birth, or social security number when he or she is arrested. The new CCH system will provide a more efficient manner for distinguishing what information may have been compromised. A victim of compromised identity may encounter issues when trying to get hired or in an interaction with law enforcement. If the victim of potential compromised identity reports the issue to FDLE, FDLE will research the claim to confirm if the potential victim's identity was compromised. FDLE in the new system will be able to indicate exactly what data was compromised and during exactly what event. For example, when an officer or employer runs a RAP sheet, the information will display exactly what was compromised. This will help both the victim and the people relying on the RAP sheets for decision-making.	The ability to improve how compromised identity information is stored will be measured by the ability to display exactly what data was compromised and for exactly what event on the RAP sheet.	06/ 17

23.	Enhanced management of manual processes	Tangible	✓ FDLE	Customer requests in the form of paper must be managed throughout their processing. These papers are physically moved from section to section for processing. The task of physically moving paper would be greatly reduced with the implementation of workflow in the new CCH system. FDLE CJIS sections rely heavily on physically moving paper between sections through interoffice mail. This can result in the paper sitting somewhere for hours before it is transported to the appropriate section and then returned later once the paper has been worked. The result of this inefficiency is a negative impact on external customers as well as internal CJIS personnel. An example of a delay is a FDLE staff member could finish working on a Firearm Purchase Program disposition decision and complete it at 4:15 p.m. However, the interoffice mail last picked up for the day was at 4:00 p.m. in his or her section. The decision would not be received to the Firearm Purchase Program until the next morning. Since the Firearm Purchase Program works beyond 5 p.m. to make decisions on firearm purchases, they would have been able to work the final decision. As a result, the customer would be impacted. The new CCH system will have a workflow built-in allowing the requests to be automated and electronic. This will eliminate the need to send paper through interoffice mail thereby reducing delays and increasing responses to FDLE customers. The reduction in time spent physically moving paper would be 1,300 hours and a cost avoidance of $18,369 over the first five (5) years of the new CCH system.	The amount of paper will be greatly reduced. As a result, the time taken to pick up and deliver paper from section to section will be measured by calculating the time it takes to deliver the interoffice mail.	06/ 22

24.	Reduction in scanning paper	Tangible	✓ FDLE	A major operational benefit is the ability to reduce the need to scan significant amounts of paper. The paper items consist of information (e.g., various forms, court orders, hard cards) that creates a "work effort" for respective FDLE members. The documents support actions/changes in a criminal history record. Currently, several CIB sections scan paper. The reason paper is scanned is to create an audit trail and an electronic copy of the received documents. The tasks of scanning paper would be substantially reduced by the workflow in a modernized CCH system. The total estimated cost avoidance from scanning paper for all CIB sections during the first five (5) years of the new CCH system is $1,965,341 and a total of 140,485 hours of efficiencies saved. Most of the scanning of paper is performed by using funds from federal grants, which are not a reliable source of ongoing funding.	The reduction in scanning paper will be measured by calculating the amount of scanning that is required after the implementation of the new CCH system.	06/ 22
25.	Reduction in paper usage *(including toner and drums)*	Tangible	✓ FDLE	A large reduction in paper and toner would be realized since it is anticipated the amount of printing required would be reduced with a new CCH system. FDLE identified the percentage of specific printers and faxes used for CCH activities that would be either eliminated or reduced due to a new CCH system. Many times, packets are printed and scanned before they are worked and after they are completed. A modernized CCH system will help automate processes, which will allow the respective sections to become more efficient. It is estimated that the cost savings for paper, toner, and drums from a new CCH system will be $84,764 over the first five (5) years.	FDLE will use less paper, toner, and drums. As a result, the expenses for these items will be down. The invoices for the five (5) years will be added together to analyze the cost savings.	06/ 22

26.	Reduction in shredding costs	Tangible	✓ FDLE	Once a paper packet is scanned, a hard copy is no longer needed. A majority of the data in the paper packets are confidential. As a result, the paper packets are shredded. FDLE's FY 2013-2014 contract for shredding is with Confidential Shredding & Recycling for document destruction. The reduction in printing as a result of the new system efficiencies will also allow FDLE to realize a savings in shredding costs. The total estimated cost savings for shredding is $1,626 for the first five (5) years of the system. Due to the sensitivity of the data, a FDLE clerk must watch the company shred the paper. It takes an average of 30 minutes for the company to shred the paper each time it is picked up. Over the first (5) years of the system it is estimated to be $1,212 and 130 hours. This is additional time saved through the reduction in shredding. The estimated total combined shredding savings is $2,838.	FDLE will call the shredding vendor less and as a result, the invoices will be less. FDLE will be able to add the invoices for the five (5) years to develop the cost savings.	06/ 22
27.	Improved efficiencies for the quality assurance activities	Tangible	✓ FDLE	The Quality Control section would realize the biggest efficiencies from a new CCH system. The Quality Control section identified nine (9) quality assurance activities that would see a significant impact either from the new workflow or to FDLE's customers from a new CCH system. The nine (9) activities were used for the cost benefit; however, it is important to note that other activities may realize a savings as well. Two of the quality assurance activities have a significant impact with a new CCH system. They are "A Portal for Electronic Submissions of Added Charges and Modifications by Agencies" and "Compromised Identity." They have been singled out and are described as separate benefits. The total estimated cost avoidance for the Quality Control labor efficiencies for the seven (7) activities during the first five (5) years of the new CCH system is $484,039 and a total of 25,583 hours saved.	FDLE will calculate the time it takes to complete the quality assurance activities after the implementation of the new CCH system and compare it to the time it takes with the current CCH system to determine the cost avoidance for the five (5) years.	06/ 22

28.	Improved processing time for compromised identity claims	Tangible	✓ Public ✓ Individuals who have had identity compromised ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	Offenders can provide someone else's information when arrested. This creates a criminal history record that contains the victim's information. As a result, FDLE has dedicated staff that must research claims of compromised identities. This is a very time consuming and laborious process to research. Utilizing the current Microsoft Access database and current CCH system FDLE staff spends an average of 14 hours and 50 minutes on each claim. The new CCH system will incorporate the Microsoft Access database with compromised identity data with the CCH system to alleviate working in multiple systems. In addition, the new CCH system will provide workflow and other system efficiencies to help reduce the time it takes to complete a compromised identity claim. It is critical to the potential victims due to issues he or she may face while the research is being conducted, but also to FDLE as claims increase each year. The total estimated cost avoidance for the compromised identity efficiencies during the first five (5) years of the new CCH system is $65,394 and a total of 3,480 hours of efficiencies saved.	FDLE will calculate the time it takes to complete a compromised identity claim after the implementation of the new CCH system and compare it to the time it takes with the current CCH system to determine the cost avoidance for the five (5) years.	06/ 22

29.	Ability to send notifications to the submitting agency	Intangible	✓ Criminal Justice Agencies	During the 2012 Needs Assessment Work Group meetings with other external law enforcement agencies, the agencies indicated receiving notifications when their agency modifications had been made would be a great benefit to them. The current CCH system does not provide any notification to agencies, so the only way an agency can validate a change has been made is to query the record again). A new CCH system would be able to provide the notifications to them on the status (e.g., successful or unsuccessful) of their requested agency correction. A law enforcement representative from the work group meetings indicated that it is important to receive feedback regarding the changes; otherwise, the agencies will have to continue checking the system to verify the change has been made. Additionally, if information is attached to the wrong person, it is critical to get the information verified and fixed in a timely manner. It could impact criminal justice decisions. Currently, it can take up to three (3) to five (5) days to complete the added charges or modifications. As a result, some counties submit duplicate requests. It can lead to wasted time researching a request that has already been completed or multiple people working on the same request at the same time. The new CCH system will eliminate this issue through validation and the ability for the counties to check the status of their requests on-line. The reduction of duplicates in conjunction with the time saved will improve the turnaround time of agency added charges and modifications.	The ability to send agency corrections notifications to the submitting agency will be measured when the new CCH system can successfully send notifications to the submitting agency.	06/ 17

30.	Improved post-judicial data	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ Courts ✓ State Attorneys ✓ Jails ✓ FDLE	While there are multiple types of post-judicial events in Florida, only Specific Authority to Own, Possess or Use Firearms and Full Pardon ordered by the Governor and Cabinet acting as the Clemency Board are recorded in CCH today. A new CCH system will have a separate post-judicial event to record such things as Restoration of Firearm Rights, Exoneration, and Pardons. This will improve the completeness of the CCH data.	The improved post-judicial data will be measured by the ability of the new CCH system to receive and store post-judicial events.	06/ 17
31.	Improved data through data cleansing	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	Part of the process of implementing a new CCH system will be a migration and conversion of data from the current CCH system to the new one. The data migration/conversion will provide the opportunity for data cleansing. Data will be analyzed as part of the cleansing process.	The improved data through data cleansing will be measured by the data conversion/ migration process.	06/ 17

32.	Modern architecture will provide the ability to integrate with different technologies	Intangible	✓ Criminal Justice Agencies ✓ FDLE	The current CCH system originated more than 40 years ago, and aspects of the original system still remain unchanged. The system was not designed to perform all of the tasks it does today. The significantly outdated processes and technology result in excessive time for development and maintenance of the system. A new CCH system would improve maintainability and facilitate needed modifications (e.g., due to new statutory requirements), as well as being more user-friendly, complete, and timely. Some examples of technology improvements are: • The use of GRA and NIEM will enable the new CCH to share data with partner agencies in a standard form such as the current National RAP sheet. • The new CCH will provide open systems technology that is compatible with emerging technology to improve integration with current technologies such as livescan and the Internet. • The new CCH will be able to manage growth in criminal arrests and court data, as well as tremendous growth in background screening and criminal justice inquiries.	The ability of the modern technology to integrate with different technologies will be measured by the use of NIEM, the open architecture, and the ability to manage growth/capacity of the system.	06/ 17
33.	Configurable reports and letters	Intangible	✓ FDLE	Changes to reports and letters will be a simple process in the new system. For example, a change to an expunction letter to increase the time limit from six (6) months to (12) months due to a change in statute required a change in the current CCH system. This is a CCH system generated letter from a template that is hard coded and required a programmer to make the change. This type of change in the new CCH system would be able to be completed by the business unit and would not require a programmer.	The configurable reports and letters will be measured by the ability of the business unit to modify letters and reports without a programmer in the new CCH system.	06/ 17

34.	Improved usability of the system and reduction in training	Intangible	✓ FDLE	The current CCH system's interface is a green screen terminal (terminal emulator). Today in the Internet age, people are accustomed to and know how to use web applications. However, they do not know how to use green screens (terminal emulators), and as a result, the learning curve is greater for the current CCH system than other FDLE web-based applications. It uses codes and numbers to represent words and phrases and it is not intuitive. When new FDLE members are hired, they must learn the codes and how to use the green screens. A modernized CCH system will eliminate codes and instead utilize drop-down menus and auto-fills, it will be web-based, and it will provide an on-line help feature. This will: • Reduce training • Minimize errors Ultimately, it will lead to more complete data.	The improved usability of the system and reduction in training will be measured by the ability of new users to learn how to use the system faster and the reduction in user errors.	06/ 17
35.	Elimination of other databases used as workarounds	Intangible	✓ FDLE	The current CCH system cannot provide some very important features needed by FDLE. As a result, FDLE has created a process to periodically extract data from the CCH system and import the data into modern databases. By implementing the data into a system with modern technology, FDLE will be able to perform specific functions with the data that are difficult and time consuming to accomplish with the current CCH system. Workarounds require additional resources to support the processes and ultimately the current CCH system. A new CCH system will be able to provide all the functionality in one cohesive system, which will reduce time spent synchronizing data and maintaining separate systems.	The elimination of other databases used as workarounds will be measured by the ability of the new CCH system to provide the functionality in one cohesive system.	06/ 17

36.	Improved process of communication with the Courts	Intangible	✓ Public ✓ Courts ✓ FBI (NICS) ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	Dispositions submitted by the courts are validated before they are processed by the current CCH system. The validation and processing are performed by two (2) different systems. When there are validation issues, they are reported back to the Clerks of Court. However, if the current CCH system has an issue processing the data, the problem is not always able to be reported to the Clerks of Court. The issues are researched, but they are labor intensive and time consuming. A new CCH system will incorporate the validation and processing of the data together, thus providing improved and timelier error reporting and communication with the Clerks of Court. The result will be improved quality of information in the criminal history repository.	The improved process of communication with the Clerks of Court will be measured by an improved validation and processing of court data and timelier error reporting.	06/ 17
37.	Improved synchronization of data with the FBI	Intangible	✓ FBI ✓ FDLE	The FBI requires audits/synchronizations with the states at least every six (6) months. In the current CCH system, this audit/synchronization is a manual process. A new CCH system will have an automated audit/synchronization. This will save hours performing the audit and it will allow FDLE to perform the audit/synchronization with the FBI on a quarterly basis. This will improve the data in both the FDLE and the FBI systems.	The improved synchronization of data with the FBI will be measured by the ability of the new CCH system to provide automated audit/ synchronization mechanisms with the FBI.	06/ 17

38.	Improved system performance	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	The current CCH system has a limited ability to make large-scale updates to a large number of records per day (24-hour period) without degradation in performance to all users and subsequent timeouts to other external interface queries to the CCH system. For instance, if there are two (2) million records that must be modified or updated, only a small portion of records can be changed per day (1 per second or 86,400 changes per day). At this rate, it would take more than 23 days to make the desired change. This is due primarily to the impact on the Rapid ID system. The most recent large-scale update was in July 2013 and it took 30 days to complete the update to more than 2.6 million records. As additional workload increases through additional queries from existing systems such as the Rapid ID system or new services that come on-line, they can create additional stress on the current CCH system. The external users could be impacted by a delayed response or no response to their queries. This could be extremely critical and the impact could be the same as if the CCH system is unavailable. A modern CCH system must have built-in mechanisms to handle large-scale updates more efficiently. This will enhance FDLE's ability to maintain and provide complete and timely criminal history data.	The improved system performance will be measured by the ability for the new CCH system to provide mechanisms for handling large-scale updates more efficiently.	06/ 17
39.	Improved database structure	Intangible	✓ FDLE	A new CCH system will have a new database structure that will improve data storage. A relational database will allow for online maintenance of the database data. Additionally, the ease of maintenance and the movement to a new design will allow FDLE to avoid the re-use or re-purpose technique that it has used in its hierarchical database. This will improve data integrity, improve performance of database updates, and improve the database structure.	The improved database structure will be measured by improved data integrity through improved data storage and improved performance of the database updates.	06/ 17

40.	Broader hiring pool for technical staff	Intangible	✓ FDLE	The current CCH system has many long-time members who work on the system day-to-day to ensure continued service to FDLE's customers. As these members reach retirement, FDLE will lose a tremendous amount of institutional knowledge. The new CCH system will use modern technology. This will benefit FDLE as web-based applications utilizing modern technology is the focus of the curriculum of colleges and universities today. Individuals educated on the most recent web-based application technology would then meet FDLE's hiring requirements. This will provide a broader hiring pool.	The ability to have a broader hiring pool for technical staff will be measured by the responses received from technical position advertisements with modern technical skills.	06/ 17
41.	Improved reporting and statistics	Intangible	✓ FDLE	The current CCH system provides a monthly statistics report on the number of records by type. In some areas, the numbers are not reliable or useable. In those cases, staff must turn to a secondary group to validate or provide the correct number. A new CCH system will alleviate this issue through the use of a relational database it will be able to provide better reports for specific needs.	The improved reporting and statistics will be measured by running reports and statistics from the system and comparing the results with the reports and statistics generated from the current system.	06/ 17

42.	High availability of the system *(reduction in planned and unplanned outages)*	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	The new CCH system will come with high availability. It will have three (3) production environments, which will include a primary site, a local standby site, and a remote DR site. These sites will help mitigate the risk of the system being unavailable for an extended period of time and the redundant systems ensure there is no single point of failure. It is critical that the CCH data be available and the new system would ensure the continuity of operations should a disaster occur. While it is unlikely to occur, events that could trigger such an outage include, but are not limited to, hurricanes, fires, or a domestic security incident. FDLE does not currently have a configured DR site for the CCH mainframe. The new CCH system will be able to maintain service to all these functions. In addition, there will be a reduction in the time the system is down due to planned outages through the use of the three (3) production environments.	The ability to provide high availability of the system will be measured by the implementation of a local standby site and remote disaster recovery site.	06/ 17
43.	Improved availability of CCH services to other systems	Intangible	✓ Criminal Justice Agencies ✓ FDLE	There could be a significant negative impact to other ancillary systems if the current CCH system is unavailable. One of the potentially affected systems is the BIS, which is directly tied to CCH. The BIS system identifies fingerprints and the CCH system provides details about the person. They cannot stand alone. CCH is part of an enterprise-wide network of systems. If the CCH system is down, the performance of the ancillary systems, such as BIS, will be degraded and/or may have diminished capacity depending on the length of time that the CCH system is not operational. A modernized CCH system will provide redundancy through the use of a primary site, a local standby site, and a remote disaster recovery site. This will reduce the time the CCH system is unavailable.	The improved availability of CCH services to other systems will be measured by the implementation of a local standby site and remote disaster recovery site.	06/ 17

44.	Improved registration information	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	Registration information for sex offenders and career offenders are maintained by the CCH system, FORTS, and COAST. The CCH, FORTS, and COAST systems routinely reconcile their records manually. This manual process is conducted to research and reconcile any differences between the systems. The new CCH system will eliminate this manual process by providing automated mechanisms to validate and synchronize the systems through real-time notifications. Timely correction of the data through role-based workflows will help ensure consistency and completeness of the data.	The improved registration information will be measured by the ability of the new CCH system to provide an automated mechanism to validate and synchronize the system with FORTS and COAST.	06/ 17
45.	Uninterrupted service to customers	Tangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	It is critical to CCH customers that the CCH system not be interrupted. An interruption to the current CCH system would impact criminal history record checks. Criminal history record checks are processed for multiple reasons: • Criminal (officer and public safety decisions) • Non-criminal (employment decisions) Criminal justice agencies would be unable to receive criminal history data from CCH. The licensing or employment of individuals processed through fingerprints would be delayed if the CCH system were interrupted. The background checks are vital to the safety of the citizens and visitors to the state of Florida. If the service were interrupted, there would be a significant impact to public safety. FDLE would also be impacted from interrupted services. Fees are collected from the criminal history record checks. If the CCH system were to go down, CCH on the Internet (CCHInet) would realize a significant decrease in revenue for FDLE. FDLE does not log CCHInet users and does not know who runs checks through this process. If the current CCH system goes down for one (1) week, the total decrease in revenue would be $253,035.	The benefit of uninterrupted service to customers will be realized by the implementation of a disaster recovery site.	06/ 17

46.	Continual updates to CCH data and timely service to customers	Tangible	✓ FDLE	It is essential that the data in CCH be updated in a timely manner and that customers receive the most up-to-date data. If the current CCH system experienced an interruption in service, updates to the data would be impacted. The impact can be calculated through the lost time of the CIB and the USB sections. If the current CCH system were unavailable for one (1) week, the total time lost for both groups would be 3,840 hours or $77,094. A modernized CCH system will reduce the risk of an extended CCH outage. The new CCH system will have redundant failover systems to provide high availability.	The benefit of continual updates to the CCH data and timely service to customers will be realized by the implementation of a disaster recovery site.	06/ 17
47.	Reduce the potential for overtime situations – due to a system outage	Tangible	✓ FDLE	The USB section provides services and data to customers such as background checks. For the USB section, there would be substantial overtime costs associated with catching up after a system outage lasting one (1) week. When back in normal operations, customers of the CCH system would still be impacted because of the time it would take to catch up from the outage. The costs for the catching up can be calculated in terms of overtime for USB. In this scenario, the total costs for overtime would be $49,420.	The benefit of the reduced potential for overtime situations will be realized by the implementation of a disaster recovery site.	06/ 17
48.	Avoid the possibility of firearms being released to prohibited individuals	Intangible	✓ Public ✓ Criminal Justice Agencies	A safety risk could occur if the current CCH system were to be unavailable for a period longer than one (1) business day. According to Florida Statute 790.065, licensees (firearm dealers) may legally release firearms to buyers without a final response from FDLE for the background check after one (1) business day. This means that if the system were to be unavailable on a Sunday and a dealer requested a firearm check, the dealer could legally release the firearm after 5 p.m. on Monday, if that is the close of the dealer's business day, due to not receiving a response from FDLE. This could result in potentially 256 firearms per week released to individuals who are prohibited from possessing them. Even one (1) firearm weapon in the hands of someone prohibited from possessing one puts the safety of the public and law enforcement at risk. The new CCH system will provide disaster recovery, which will help mitigate a major system outage.	The ability to avoid the possibility of firearms being released to prohibited individuals will be measured by the implementation of a disaster recovery site.	06/ 17

49.	Lessen the risk to officer safety and reduce the impact to law enforcement workloads to retrieve firearms released to prohibited individuals	Tangible	✓ Criminal Justice Agencies	The risk of a firearm getting into the hands of a person who is prohibited from possessing one adds to the dangers that police officers face. Upon the system returning to normal operation after a system outage extending more than a day, the dealers would then need to notify law enforcement officials of any released firearm to prohibited individuals. The most significant aspect of this is that it places a significant risk to those police officers who must locate and retrieve the firearms. In many cases, for officer safety, multiple officers must go out to retrieve the firearms. It is estimated to take an average of four (4) hours for a Sheriff's department to retrieve each firearm. To retrieve more than 256 firearms released during a seven (7) day outage, the estimated retrieval cost would be $19,164, and a total of 1,027 person-hours. In addition, it may take many days or weeks to research, find, and retrieve all of the firearms released to ineligible individuals. This will place a significant burden on law enforcement agencies and public safety.	The benefit of lessened risk to officer safety and reduced impact to law enforcement workloads for retrieving firearms released to prohibited individuals will be realized by the implementation of a disaster recovery site.	06/ 17
50.	New data fields for subjects	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	Today in CCH, limited information is stored about a person's identity. A new CCH system will enhance the data elements and information stored about a person including information about his or her biometrics. The identity information will also be stored at the event-level (e.g., arrest, booking, incarceration, and disposition). These changes will improve the records stored in CCH, and they provide complete data for better decision making.	The new data fields for subjects will be measured by the ability of the new CCH system to be able to store and display new data fields for each subject and for each event.	06/ 17
51.	FDLE will be more Eco-Friendly	Intangible	✓ Public ✓ FDLE	One of the many benefits of a new CCH system is that FDLE will be more environmentally friendly. The reduction in paper, toner for printers, and printer drums will allow FDLE to be more Eco-Friendly and improve its Go Green initiatives. It is estimated that a new CCH system will potentially save FDLE from consuming more than 4.8 million sheets of paper or 973 boxes of paper during the first five (5) years after the implementation of the new system.	The ability for FDLE to be more Eco-Friendly will be measured by FDLE's ability to save paper and reduce the number of boxes of paper it consumes.	06/ 22

THIS PAGE INTENTIONALLY LEFT BLANK

B. Cost-Benefit Analysis

1. Cost-Benefit Analysis Results

For this cost-benefit analysis, stakeholders as well as internal and external customers participated in the Strategic Needs Assessment to develop a list of benefits. Areas explored include:

- New services to improve workflow automation
- Better decision making due to more complete, reliable, and timely information
- Improvements for public safety

Service is one of FDLE's four core values. The focus of this project is to provide high quality services via complete information, current and timely data, efficient processes and intuitive, easy-to-use computer application. Consumers of CCH information depend on the integrity, completeness, and quality to make decisions on hiring, licensing, concealed weapons permitting, and firearms purchase suitability determination. A modernized CCH system will improve the quality of the CCH system, in effect improving the quality of the decisions, and ultimately providing a safer Florida for its citizens, visitors, and law enforcement officers.

FDLE processed more than 3.1 million criminal history record checks for non-criminal justice purposes in fiscal year 2013-14. Of the requests, 866,000 were for state-only name searches, 764,000 were for FPP checks, and 1,500,000 were for fingerprint-based state and national checks. It is critical for the background checks to be processed timely, the data complete, and the responses efficient. These can all be improved through a modernized CCH system.

FDLE focuses on protecting Floridians and visitors within the state of Florida. For example, identity theft cost consumers billions of dollars each year. FDLE assists victims of identity theft, free of charge, by researching and updating criminal history records. This is just one of the many criminal history services that FDLE performs to help Florida's citizens. Although improving services such as the identity theft example are fiscally intangible, they are significant and valuable.

The planned improvements and efficiencies in the work processes will enable FDLE to add new services and maintain sufficient productivity in the face of growing demands. In that respect, workload reallocation figures should be seen as cost avoidance. These do not represent positions that would be eliminated. By redeploying these resources, FDLE will be able to address increasing workload requirements, provide additional services, and reduce the need to request additional staffing. This is a significant benefit for both the agency and the state of Florida – increasing service without dramatically increasing staff.

The future viability of FDLE's criminal history record checks depends largely on the completeness and timeliness of the records in the central repository. It also depends on the efficiency with which services are delivered. If the CCH system is operated and maintained effectively, FDLE can enhance the services that its customers want and need. This means that revenue will need to be in place to sustain the central repository into the future. Table 5 provides the estimated costs associated with the new CCH system.

Table 5. New CCH System Costs	
New CCH System Development (FY12-13 to FY16-17)	$17,307,928
New CCH System Annual Operations & Maintenance (FY17-18)	$2,333,794
New CCH System Lifecycle Cost (FY12-13 to FY17-18)	$19,641,721
Status Quo (FY12-13 to FY17-18)	$12,037,000
Difference	$7,604,721
Average Annual Cost Difference	$1,520,944

See Appendix E for the Cost-Benefit Analysis Worksheets.

Table 6 breaks out the anticipated project costs for each applicable fiscal year.

Table 6. Project Development/Implementation Cost Estimates							
Category	**2012-13**	**2013-14**	**2014-15**	**2015-16**	**2016-17**	**2017-18**	**Total**
Staff							
State[4]	$0	$30,261	$124,215	$377,493	$461,919	$0	$993,888
Contract	$469,768	$271,636	$461,000	$528,000	$528,000	$0	$2,258,464
Hardware	$0	$0	$212,500	$337,500	$0	$0	$550,000
Software							
Custom	$0	$0	$285,714	$1,142,857	$571,429	$0	$2,000,000
Commercial	$0	$0	$625,556	$945,000	$8,055,000	$0	$9,625,556
Services	$0	$0	$176,923	$530,769	$1,117,308	$0	$1,825,000
Other	$0	$0	$0	$39,156	$15,864	$0	$55,020
Totals	**$469,768**	**$301,897**	**$1,885,968**	**$3,900,775**	**$10,749,519**	**$0**	**$17,307,928**

NOTE: This table represents project related costs and does not include maintenance.

See Appendix G for Project Cost Estimate details.

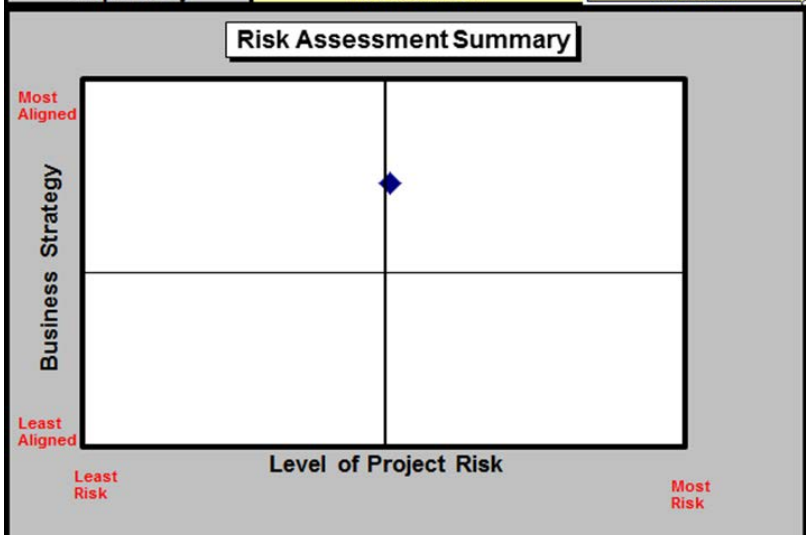
[4] Includes development costs and six (6) new positions which are folded into operations and maintenance costs for subsequent years

THIS PAGE INTENTIONALLY LEFT BLANK

V. Schedule IV-B Major Project Risk Assessment

A. Risk Assessment Summary Table

Project	Computerized Criminal History (CCH) Modernization	
Agency	FDLE	
FY 2015-16 LBR Issue Code:	FY 2015-16 LBR Issue Title:	
24010C0	Replace CCH System	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Mark Scharein, 410-8515, markscharein@fdle.state.fl.us		
Executive Sponsor	Jennifer Pritt	
Project Manager	Mark Scharein	
Prepared By	Mark Scharein	9/12/2014



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

Figure 1. Risk Assessment Summary Table

See Appendix H for the complete risk assessment.

B. Risk Assessment Summary

The overall risk is medium due to factors listed below:

- Strategic – The agency has partially documented its vision for how changes to the proposed technology will improve its business processes.
- Technology – External technical resources will be needed for implementation and operations (1st year).
- Change management – Few or no process changes are defined and documented.
- Communication Area – The Communication Plan does not include desired messages, outcomes, and success measures.
- Fiscal – The estimated project lifecycle costs are more than $10 million.
- Project Organization – Business, Functional, or Technical experts are dedicated 50% or less to the project.
- Project Management – None or few Design Specifications have been defined or documented.
- Complexity – Business process changes may be statewide or to multiple agencies.

The risks of not implementing a new CCH system are listed below:

- It will be difficult to incorporate the enhancements required by business or legislation.
- Old technology is limited regarding compliance with emerging Federal data communications standards.
- Over time, it will be difficult to acquire technical resources to maintain the old technology.
- There will be a possible extended outage if a catastrophic event were to occur due to the CCH mainframe being a single point of failure.
- There will be a continued use of ancillary systems for manual logging of all changes to the CCH records.
- Continued manual processing required which will result in the need for additional staff in the future to keep up with the increased demands and work volume.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

The CCH system was developed more than 40 years ago and it runs on a Unisys mainframe computer. It uses a 4th generation programming language that produces compiled COBOL programs and stores the criminal records in a DMSII hierarchical database. Completeness, effectiveness, and timeliness are major factors for updates and disseminations of criminal history records. It is a central part of the Florida Criminal Justice Information System, and it supports a large portion of the information services provided by FDLE. Over the years, mandated functionality has been added and this has resulted in a patchwork of code in the system. The original system architecture was never designed to be used in the manner that it is required to do today. This results in added manual processes in ancillary systems since the current system cannot provide these functions. The current system is accessible through emulation software by modern desktops but this does not equate to a friendly user experience. The learning curve is much greater for new personnel when current staff retires since most people do not know how to use emulation software. The major activities on the CCH system are as follows:

1. Current System

a. Description of Current System

i. Direct User and User Types

- FDLE users (internal) – 297 direct users
- LOGAN (Clerk Disposition System) –251 users
- Certified FCIC Operators – 68,853

ii. Number and Percent of Transactions

Currently the system contains active records on approximately six and one-half (6.5) million[5] subjects. Table 7 has the following minimum performance metrics:

[5] The total number of subject records (Active and Inactive) is over seven (7) million

Table 7. Volume and Response Times (FCIC to CCH & CCH to FCIC)	
Metric	**Measurement**
Average Daily FCIC to CCH messages	73,000 messages
Peak FCIC to CCH messages	1.53 messages/per second
Average Daily CCH to FCIC messages	102,000 messages
Peak Hourly CCH to FCIC messages	2.15 messages/per second
FCIC to CCH Query Response Time:	
<1 second	94.07%
1-2 seconds	4.8%
2-10 seconds	1.10%
>10 seconds	0.03%

In addition to the transactions listed in Table 7, it should be noted that an artificial limit on batch data transactions is imposed to prevent performance degradation. Batch data-change transactions are limited to 86,400 per 24-hour period (or 1 per second).

iii. Requirements for Public Access, Security, Privacy, and Confidentiality

The CCH system meets the requirements of the FBI CSP concerning access and use of criminal records and Florida Statutes that allow public access.

iv. Hardware Characteristics

- Unisys Libra 460 Mainframe
- EMC® CLARiiON Storage System
- Dynamic Solutions International (DSI) Linear Tape Open (LTO) Tape Drives
- Dell PowerEdge R900 (SNAP DB) Database Server
  - 4 physical Central Processing Units (CPUs) with 16 total cores (1.6 Gigahertz (GHz) E7310)
  - 16 Gigabyte (GB) of memory
  - 8x300 GB 10K Statistical Analysis System (SAS) drives all internal no Storage Area Network (SAN) connectivity
- Shared virtual instance on Dell PowerEdge (Clerk Disposition System)

v. Software Characteristics

- Operating System:
  - Master Control Program (MCP) 12.0 System Software Release (SSR) 53.1

  - Red Hat Enterprise Linux Server 5.8 (SNAP DB)
- Database Management System:
  - DMSII SSR 53.1
  - Oracle Server (SNAP DB)
  - Microsoft Structured Query Language (SQL) Server (Clerk Disposition System)
  - Microsoft Access
- Database Utility Tools:
  - Tool for Oracle Application Developers (TOAD)
  - Databridge (Attachmate Software)
  - Crystal Reports
  - dbaTOOLS
  - Ergo
  - Jampack/Supervisor
  - Printview
  - DBControl
  - B&L (Tape/Source/Library/Robo)
- Programming Languages:
  - ALGOrithmic Language (ALGOL)
  - COBOL
  - Progeni
  - PL/SQL
  - .NET (LOGAN – Clerk Disposition System)
- COTS Product:
  - CATT (terminal emulation software)

vi. Existing System or Process Documentation

Significant documentation for the current CCH system exists in various forms. Some of the documentation is as follows:

- Activity Diagrams
- Business Process Models
- Textual Based (e.g., programming documents)
- Architectural Diagrams (provided in Appendix D)
- Detailed business requirements

vii. Internal and External Interfaces

At a broad level, the interfaces to the CCH core are as follows:

- Component Object Model Screens (COMS) Interface (ALGOL)
- FTP
- Terminal emulators (CATT – Legacy green screen)
- Extract, transform, load (ETL) to other systems
- Synchronized Offline Databases

Criminal Data Queries

The CCH system receives queries from external and internal agencies. It responds to the queries as follows:

- COMS Interface – The interface on the mainframe system that communicates with the FCIC switch and internal mainframe COBOL programs
- Terminal Emulation Software Applications – The CCH staff access the system database using terminal emulation software that mimics the legacy "green screen" applications – see Figure 2

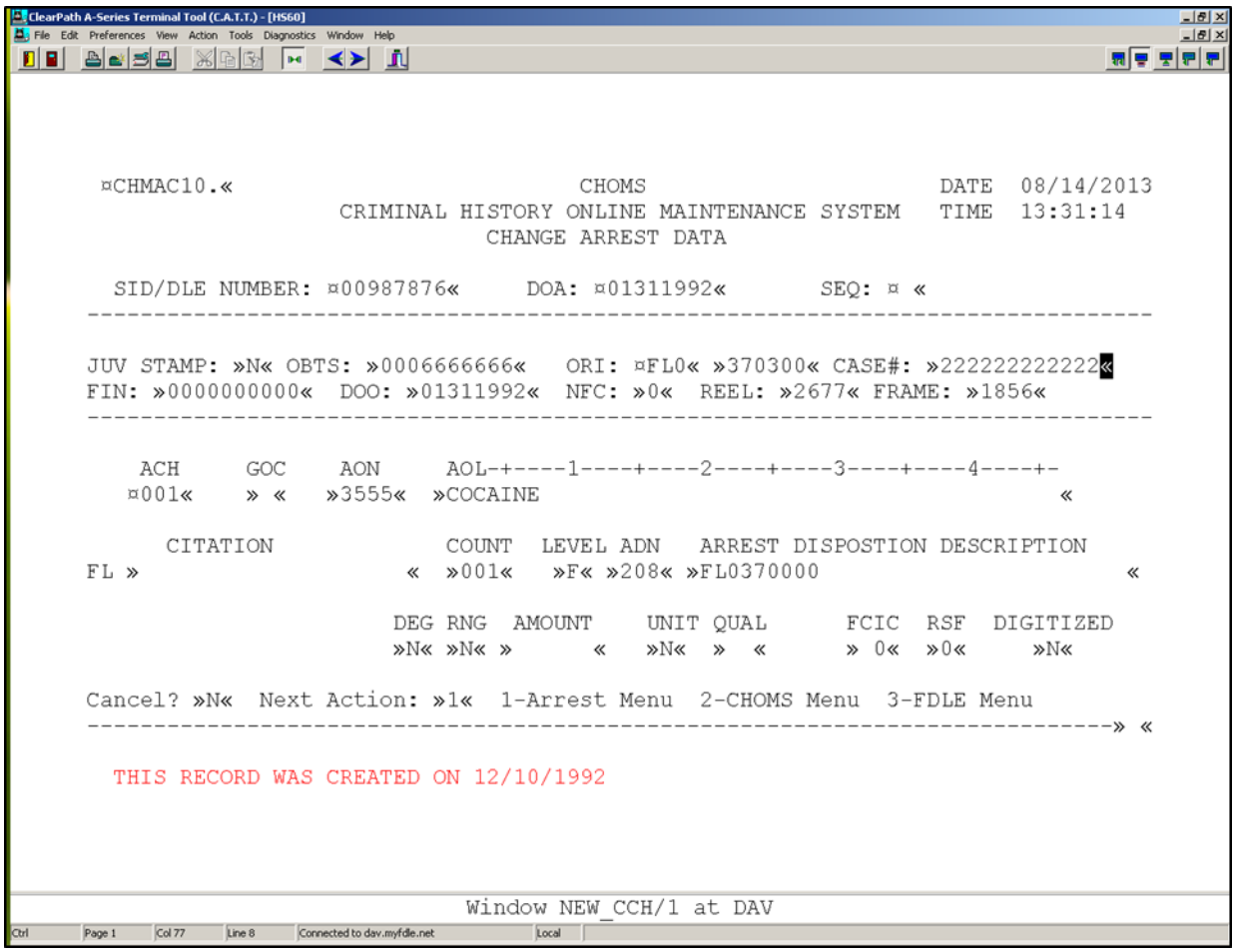


Figure 2. CATT – Legacy Green Screen

- Offline Databases – The systems, which are not compatible with CCH technology, use offline databases that were created for view-only purposes that are used for systems such as the Concealed Weapons Permit and Florida Voter Registration System (FVRS)

Criminal Data Inserts/Updates

The CCH inserts and updates occur in the following manner:

- COMS Interface – The interface on the mainframe system that communicates with the FCIC switch and internal mainframe COBOL programs
- Batch Process – COBOL programs pick up the information from file servers where external and internal agencies transfer the data using FTP
- Manual Process – The CCH staff researches and obtains data in individual cases, and they update the CCH database using legacy "green screen" applications

Statute Tables (Web)

In order to provide Florida Statute information to the Criminal Justice Community, a duplicate and separate statute database is maintained on a SQL Server/Windows Operating System platform. The statute database is accessed by local agencies via the Internet. Elaborate manual tasks are required to keep the two (2) databases (Statute DB Web and CCH DB) synchronized.

Agencies and Systems Communicating with the CCH System

Below is the list of agencies and systems communicating with the CCH system via the aforementioned interfaces:

Agencies, Organizations, and Public

- Florida sheriffs' offices
- Florida police departments
- Florida jails
- Florida juvenile assessment centers
- Florida State Attorney Offices
- Florida Clerks of Court Offices
- Federal Bureau of Investigation and other federal law enforcement agencies
- Florida Attorney General
- Florida Department of Corrections
- Florida Department of Children and Families
- Florida Department of Highway Safety and Motor Vehicles
- Florida Department of Juvenile Justice
- Florida Public Defenders
- Florida Parole Commission
- Office of the State Courts Administrator (OSCA)
- State criminal justice agencies
- Florida licensing/regulatory agencies
- Florida school boards
- Members of the public
- Private Florida employers
- Florida volunteer organizations
- Criminal justice agencies in other states

- Government agencies performing background checks
- The International Justice and Public Safety Network (Nlets)

Systems (currently communicating with the CCH system)

- LOGAN – Clerk Disposition System
- FALCON (Watch List, Retained Applicant System, Rapid ID interface to Edge devices at roadside)
- CWCS – Civil Workflow Control System
- CCHInet – CCH on the Internet (public background check)
- FES – Firearm Eligibility System
- BIS – Biometric Identification System
- NCIC – National Crime Information Center
- III – Interstate Identification Index
- NICS – National Instant Criminal Background Check System
- FCIC – Florida Crime Information Center
- NJIN – National Justice Information Network
- FSSR – Florida Shared School Results
- FVRS – Florida Voter Registration System
- Florida Department of Agriculture and Consumer Services' (Concealed Weapons Permits System)
- SDIS – State DNA Index System

viii. Consistency with FDLE's Software Standards and Hardware Platforms

The CCH system is not consistent with agency software standards and hardware platforms. The agency has adopted Oracle on Linux operating system and Microsoft SQL Server on Windows operating system as its standard relational database management system and Java as its standard programming language. The current CCH system uses a hierarchical DMSII database management system running on a UNISYS Libra MCP operating system with Progeni 4th generation language that produces COBOL programs as its programming language.

ix. Scalability to Meet Long-Term System and Network Requirements

The system is not scalable because the old technology and architecture lacks proper scalability features. The current system possesses the following major deficiencies:

- Architecture – The current system follows client-server architecture, which limits its abilities to achieve functional scalability and it is difficult to incorporate new business components without modern architectures such as SOA.
- Programming Language – The existing software system is programmed using Progeni that compiles to COBOL, which is not an object-oriented programming language and limits it from application scalability features.
- Hierarchical Database – The current database is rigidly designed and is deployed using a hierarchical database management system (DMSII) design that poses great difficulty regarding storage efficiencies, maintenance, changes, and creating proper entity relationships.
- Data Communication Interface – The current system lacks a modern service bus concept, which helps in application scalability to communicate with multi-protocol/multi-format data channels.

System Availability

The current CCH system follows FDLE's FCIC standards which is a minimum uptime of 99.5%. Based on a measurement interval of July 2011 through June of 2014, CCH has been up 99.93% of the time with 1,133 down minutes (18.9 hours) out of 1,576,800 total minutes.

NOTE: These availability figures are periodically reported to the Florida Cabinet.

Data Metrics

The current system metrics are detailed in Tables 8 and 9.

Table 8. System Metrics		
Type of Records	**Size**	**Total Average Historical Growth Rate Percentage**
Criminal History Subject Records (as of August 1, 2013)	6,524,648 million active, 7,448,585 million total	
Database Size (as of May 2013)	127 GB	
Total Average Historical Growth Rate Percentage (FY 2008-09 through 2013-14)		.79%

Refer to Appendix L – Historical Growth Rates for detail as to how the Total Average Historical Growth Rate Percentage was obtained.

FCIC to CCH Query Transaction Volume and Response Times

The current volume of FCIC to CCH and CCH to FCIC daily transactions and CCH to FCIC query response times are shown in Table 9.

Table 9. Volume and Response Times (FCIC to CCH & CCH to FCIC)	
Metric	**Measurement**
Average Daily FCIC to CCH messages	73,000 messages
Peak FCIC to CCH messages	1.53 messages/per second
Average Daily CCH to FCIC messages	102,000 messages
Peak Hourly CCH to FCIC messages	2.15 messages/per second
FCIC to CCH Query Response Time:	
<1 second	94.07%
1-2 seconds	4.80%
2-10 seconds	1.10%
>10 seconds	0.03%

NOTE: The numbers in Table 9 were measured as of August 2014.

b. Current System Resource Requirements

i. Hardware and Software Requirements

For details, refer to sections VI – Schedule IV-B Technology Planning, A – Current Information Technology Environment, and 1 – Current System, iv – Hardware Characteristics and v – Software Characteristics of this document.

ii. Cost/Availability of Maintenance for Existing System Hardware or Software

Refer to Table 10 for details.

NOTE: These costs were averaged based on FY 2012-13 through FY 2017-18. This was averaged due to the variances in the costs for hardware and services for the individual years. The fluctuation is the result of a three-year maintenance cycle for the CCH hardware.

iii. Staffing Requirements (system management, data entry, operations, maintenance, and user liaison) – Contractors, Consultants, and State Operations Staff

Key roles are as follows:

- Project Manager
- IT Business Consultant
- Documentation Specialist/Technical Writer/Contract Manager
- Systems Analyst
- Systems Architect

Refer to Table 10 for cost details.

iv. Summary of Cost to Operate Existing System

The CCH Annual operating cost (average) is listed in Table 10.

Table 10. Existing System Operating Cost

	Average Annual Amount	Total from FY 2012-13 through FY 2017-18
State Operations Staff and Contract Staff	$ 1,027,000	$ 6,162,000
Hardware	$ 563,000	$ 3,378,000
Software	$ 241,000	$ 1,447,000
Services	$ 136,000	$ 816,000
Other Miscellaneous Expenses	$ 39,000	$ 233,000
Total	**$ 2,006,000**	**$ 12,036,000**

NOTE: For detailed costs, see Appendix F – Current System Cost

c. Current System Performance

i. Ability of the System to Meet Current and Projected Workload Requirements

The volume of CCH data grows every year. The current system is constrained in its ability to manage criminal case status during their lifecycle.

The CCH is deficient in its ability to match criminal case records with those reported disposed by the courts. The current technology impedes FDLE's development of the complex relational and referential rule sets required to reconcile disposed criminal cases.

Customers have expressed the need for more detailed information earlier in the criminal justice process, (e.g., court case number, charges filed by prosecutors, statutory charge enhancers).

The current CCH system has a limited ability to make large-scale updates to a large number of records per day (24-hour period) without degradation in performance to all users and subsequent timeouts to other external interface queries to the CCH system.

ii. Level of User and Technical Staff Satisfaction with the Current System

The current processes are a mixture of manual and automated activities that require the use of multiple, disparate information systems. Many of the processes associated with the CCH are obsolete by technological standards and due to the age and inflexible design.

There are several areas where current CCH processes do not meet end user needs. Most of the CCH business processes are pieced together as hybrid, manual-automated activities. The FDLE staff depends greatly on manual processes to achieve business goals. These manual processes are extremely inefficient and carry the potential of introducing human error.

The FDLE staff maintains redundant data in ancillary repositories that are not part of the criminal history. In general, the FDLE staff is dissatisfied with constraints and impediments imposed upon the organization by the current mainframe CCH system. The lack of modern platforms and technologies is cumbersome, which is a major point of dissatisfaction. Integration, scalability, and modern information management techniques are absent from the tools used to manage criminal history. A major concern is the difficulty to change and upgrade the current system. The practice of creating new, ancillary databases or systems to compensate for

the difficulties presented with the current mainframe system is no longer acceptable as it creates inefficiency and is labor intensive.

iii. Current or Anticipated Failures of the Current System to Meet the Objectives and Functional Requirements of an Acceptable Response to the Problem or Opportunity

The current system presents numerous opportunities for human error in a manual process, which ultimately can lead to corrupting the criminal history. The current system is deficient regarding timeliness of information receipt and entry. Timeliness is essential in preventing activities such as firearms purchase after an arrest or conviction.

Each additional service places stress on the system, impacting its ability to respond in a timely manner. During the Needs Assessment process, several functional requirements were identified that are not being met by the current system, and would be difficult and expensive to implement on the current system.

iv. Experienced or Anticipated Capacity or Reliability Problems Associated with the Technical Infrastructure or System

The current CCH system is composed of multiple, manual and hybrid processes that span disparate systems that must communicate with both National and State systems. Synchronization, sequencing, and executing processes within this system are increasingly difficult.

2. Strategic Information Technology Direction

FDLE embraces and promotes open system standards that are established within the IT industry such as National Institute for Standards and Technology (NIST), American National Standards Institute (ANSI), and NIEM. These standards and models support the strategic direction of the agency.

- Architecture – Promote the use of a multi-tier architecture that allows flexibility, scalability, and reusability.
- Server Operating Systems – Utilize server operating systems that will be either Red Hat Linux or Microsoft Windows Server.
- Server Hardware – Promote the use of server virtualization
- Database Management Systems – Store data in relational database(s) using either Oracle Relational Database Management System (RDBMS) or Microsoft SQL Server.
- Application Software – Develop application software using Java Platform Enterprise Edition (Java EE).

- Storage – Promote the use of SAN.
- System Reliability and Availability – Provide information systems and network services that give end users high (99.5+ %) reliability and availability/redundancy.
- Integration and Efficiency – Create modular, integrated systems that can be maintained by FDLE staff and can be easily modified to meet changing business needs of the agency.
- High Availability and Disaster Recovery – Provide a modular, integrated system that provides high availability through local and remote disaster recovery sites.

3. Information Technology Standards

The following IT standards have been adopted by FDLE's Office of Information Resource Management. While circumstances may require the use of standards other than those described here, Information Resource Management (IRM) staff adhere to these standards as much as possible.

a. Architecture

- Information systems will be developed to operate in a multi-tier architecture.
- Web-based interfaces will be used for the presentation (user) tier.
- Information systems will use load-balancing appliances where appropriate.
- Development and testing will be performed on separate non-production servers.
- No data or transactions are to be lost due to isolated failures of equipment.

b. Servers

- Rack-mountable servers will be used for information systems.
- Individual servers will be scaled to handle large bursts of transactions on each interface where appropriate.
- Server operating systems will be either Red Hat Linux or Microsoft Windows Server.

c. Storage

- Information systems will be designed to use redundant disk arrays in the FDLE Data Center and in the DR site.

d. Network

- Criminal justice information systems will use CJNet.

e. Database

- Data will be stored in relational database(s) using either Oracle RDBMS or Microsoft SQL Server.
- Audit logs will capture forensic metadata for all changes to data, including changes made by FDLE staff.

f. Application Software

- Software development standards are specified in FDLE Development Standards Version 1.0.
- Application software will be developed using Java EE.
- Java development standards are specified in Java Development Standards Version 1.0.
- Web-based application standards are specified in Web Application Architecture Version 1.0.
- JBoss is the preferred application server platform used for FDLE information systems.

g. Security

The security of criminal history record data and related data is of vital importance to FDLE and must meet the following system security requirements:

- 28 CFR Part 20 and Public Law 92-544, which regulate sharing criminal justice information with criminal justice and non-criminal justice governmental agencies.
- The system shall meet the FBI CSP, state of Florida, and FDLE security policy.
- FBI's CSP provides detailed requirements for reporting, handling, and auditing security incidents.
- Requirements of Florida Statutes Chapters 943.05, 943.051, 943.0515, 943.052, 943.053, 943.054, 943.0542, 943.0543, 943.055, 943.056, 943.057, 943.0575, 943.0581, 943.0582, 943.0583, 943.0585, 943.059, in addition to a variety of other statutes detailing background screening requirements, which describe FDLE's duties as the State's central repository for criminal record information and gateway to the Federal repository.
- FDLE information security requirements are specified in FDLE Policies 1.4 – Use of FDLE Resources, 2.5 – Information Resources, and 3.1 – Background Investigations.

- Rule 71A-1, F.A.C. Some of the key topics are:
  - Access Control
  - Awareness and Training
  - Audit and Accountability
  - Contingency Planning and Disaster Recovery
  - Identification and Authentication
  - Incident Response
  - Maintenance
  - Methodology used to develop and maintain software used for the service, including secure coding guidelines and standards to protect the site from unauthorized access and use
  - Physical and Environmental Protection
  - System and Communications Protection
  - System and Information Integrity

Compliance with the following standards is preferred:

- Lightweight Directory Access Protocol (LDAP)/Active Directory (AD)
- Security Assertion Markup Language (SAML) 2.0
- Global Federated Identity and Privilege Management (GFIPM) 2.0

h. Availability

- The system will follow FDLE's standards on availability for the CCH system: minimum 99.5% uptime

i. Data Communication Standards

- NIEM 2.0 (or current version)
- Joint Task Force on RAP Sheet Standardization 4.1 (or current version)
- NCIC 2000
- ANSI/NIST-ITL 1-2011, NIST Special Publication 500-290 Data Format for the Interchange of Fingerprint, Facial, and Other Biometric Information (or current version)
- FBI EBTS 10.0 (or current version)
- Conformance to the National Crime Prevention and Privacy Compact Council's National Fingerprint File (NFF) specification

j. Usability

- United States Rehabilitation Act – Section 508 details accessibility standards for all systems

B. Current Hardware and/or Software Inventory

1. Purchase and Warranty Expiration Dates

The current system lease for the Unisys 460 system is expected to run from October 2013 to October 2016. In addition, 350 CATT (terminal emulation software) licenses are used.

The following software items listed below contain a single license:

- dbaTOOLS
- Databridge (Attachmate Software)
- Jampack/Supervisor
- Printview
- DBControl
- B&L (Tape/Source/Library/Robo)
- Progeni
- CATT (terminal emulation software)

NOTE: All other hardware/software is shared with other FDLE applications.

2. Current Performance Issues or Limitations

a. Technology Issues

- Patchwork of Progeni code over a 40 year period
- Required data extracts to other systems due to technology limitations
- Not reliable or usable reporting/statistics
- Application and database design limitations are insufficient in their ability to adapt readily to additional technological needs
- Hierarchical as opposed to relational database
- Lack of full record auditing capability
- Maintenance issues regarding scalability
- Lack of a disaster recovery environment

3. Business Purpose of the Items to be Replaced

FDLE wants to invest in new technology for Florida's criminal history repository that will provide a scalable and sustainable system allowing

it to provide improved services to its customers. The new system will provide high availability for the production environment through the use of modern technologies such as clustering, virtualization, and having failover capabilities with a disaster recovery environment.

4. Annual Maintenance Costs

The costs were averaged based on FY 2012-13 through FY 2017-18. This was averaged due to the variances in the costs for hardware and services for the individual years. The fluctuation is the result of a three-year maintenance cycle for the CCH hardware.

The current system hardware and software maintenance cost is listed in Table 11.

Table 11. Current Hardware and Software Maintenance Costs

	Average Annual Amount
Hardware	$ 563,000
Software	$ 241,000
Services	$ 136,000
Total	**$ 940,000**

C. Proposed Solution Description

1. Summary Description of Proposed System

Acquire a COTS product which is proven in other state(s) that meets FDLE's information technology strategic direction and meets the FBI CJIS Security Policy requirements.

a. System Type

- Open system with a flexible design
- Multi-Tier system
- Red Hat Enterprise Linux Operating System or Microsoft Windows
- Relational Database Management System (Oracle or SQL)
- Java programming language
- Content Management
- Identity Management
- Service-Oriented-Architecture/GRA
- Web-based interface

b. Connectivity

The external systems and agencies will connect to the CCH system via services exposed to them. The integration layer of CCH will transform and translate the request back and forth in the desired data format and protocols for external systems and agencies. The CCH system must maintain its ability to receive and process legacy data formats as well as the new ones implemented with the new system.

Internal users will connect to the CCH system via the FDLE intranet.

c. Security, Privacy, Confidentiality, Access

These standards will be the same as the current security standards followed by FDLE, which are detailed in the Current Information Technology Environment Security section.

d. Development or Procurement Approach

FDLE will undertake a competitive procurement process ITN to acquire a commercially available criminal records management system that can be customized to meet FDLE's business requirements. The contract will include (but not limited to):

- Commercial criminal history records management solution
- Commercial systems software (e.g., operating system, database management system, and application server platform)
- Computer hardware (e.g., servers, storage, and network)
- Project management services
- Software customization services
- Data migration services
- System integration and testing services
- Implementation
- Training services (technical and user)
- Maintenance services

e. Interfaces

The new CCH will continue to maintain the existing interfaces. Refer to Figure 14 in Appendix D.

f. Maturity and Life Expectancy of the Technology

FDLE intends to procure a vendor solution, which is mature and used in a comparable state. COTS CCH products have been available for a number of years so there is a high level of maturity of CCH products. Thirteen (13) states have moved from an in-house developed system to a procured vendor solution to support their CCH records management. The expected useful life of this type of

system for FDLE should be ten (10) years before major upgrades are required. The vendor solution will be flexible to facilitate future changes and upgrades, which will contribute to the longevity of the system.

g. Other System(s) with which Proposed Solution Must Integrate

The new CCH must interface with the current systems listed previously in this document. It is anticipated that the new CCH will integrate with the following systems:

- ASM
- Name Search Server

2. Resource and Summary Level Funding Requirements for Proposed System

a. Anticipated Technical

Refer to Table 12.

Table 12. Anticipated Funding Requirements

Category	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	Total
Staff							
State[6]	$0	$ 30,261	$ 124,215	$ 377,493	$ 461,919	$0	$ 993,888
Contract	$ 469,768	$ 271,636	$ 461,060	$ 528,000	$ 528,000	$0	$ 2,258,464
Hardware	$0	$0	$212,500	$337,500	$0	$0	$550,000
Software							
Custom	$0	$0	$ 285,714	$ 1,142,857	$ 571,429	$0	$2,000,000
Commercial	$0	$0	$ 625,556	$ 945,000	$ 8,055,000	$0	$ 9,625,556
Services	$0	$0	$ 176,923	$ 530,768	$ 1,117,308	$0	$ 1,825,000
Other	$0	$0	$0	$ 39,156	$ 15,864	$0	$ 55,020
Totals	**$ 469,768**	**$ 301,897**	**$ 1,885,968**	**$3,900,775**	**$ 10,749,519**	**$0**	**$ 17,307,928**

b. Data Center

Hardware will reside in FDLE's Tallahassee data center and at its DR site.

c. Software

Refer to Table 12.

d. Staffing

[6] Includes development costs and six (6) new positions which are folded into operations and maintenance costs for subsequent years

Refer to Table 12.

e. Operating Costs

Refer to Appendix G for specific details regarding staffing and other related costs.

D. Capacity Planning

Refer to section VI – Schedule IV-B Technology Planning, A – Current Information Technology Environment, 1 – Current System, and ix Scalability to Meet Long-Term System and Network Requirements for performance projections.

1. Historical and Current Information

The CCH system is a collection of programs with a CCH repository at its center. The collection of programs is written in Progeni/COBOL and they support internal and external systems and agencies. New requirements imposed on the system result in programming changes to the Progeni/COBOL programs.

The Progeni/COBOL programs, the Indexed Sequential Access Method (ISAM) data files, and the DMSII database design, that are located on the mainframe are insufficient in their ability to adapt readily to additional technological needs. The CJIS and criminal justice community are experiencing rapid technological advances that place greater demands on the CCH system each year. This fact is part of the reason that ancillary systems and applications are spawned to support the CCH system. There are costs associated with these ancillary applications and data repositories that are absorbed by the Bureau in which they are located.

One example of a duplicate database is the CCH SNAP, which was created originally as a migration platform for a different FDLE project, but is also used for reporting in the Florida Voter Registration System, and as an analytical data source for the FSAC SAS system. SNAP takes the strain off the CCH and allows it to maintain the current performance metrics. The task of keeping snapshot data synchronized with the CCH main repository every day requires additional equipment, human, and software resources. The synchronization has been maintained for several years.

2. Projected Requirements

The section below demonstrates historical growth of records in some important data segments of the DMSII database. The historical data was captured based on the five (5) previous fiscal years (2008-09 through 2012-13) and the average growth rate was then calculated. The projected/anticipated growth in volume is demonstrated over the next

three (3) fiscal years (2014-15 through 2017-18) and is based on the calculated average growth rate.

Unless otherwise noted, the CCH statistical data was received from the FSAC and is based on the data entry date.

a. Projected Network Capacity

It is anticipated that there will be no change to network capacity for the new system. However, remote DR capabilities may increase network usage.

b. Projected Storage Capacity

i. Arrest

Figure 3 depicts the actual and projected growth of the cumulative number of arrest records in the criminal history database. The projection is based on an average growth rate (4.06%) of annual record volume from fiscal years 2008-09 through 2013-14.

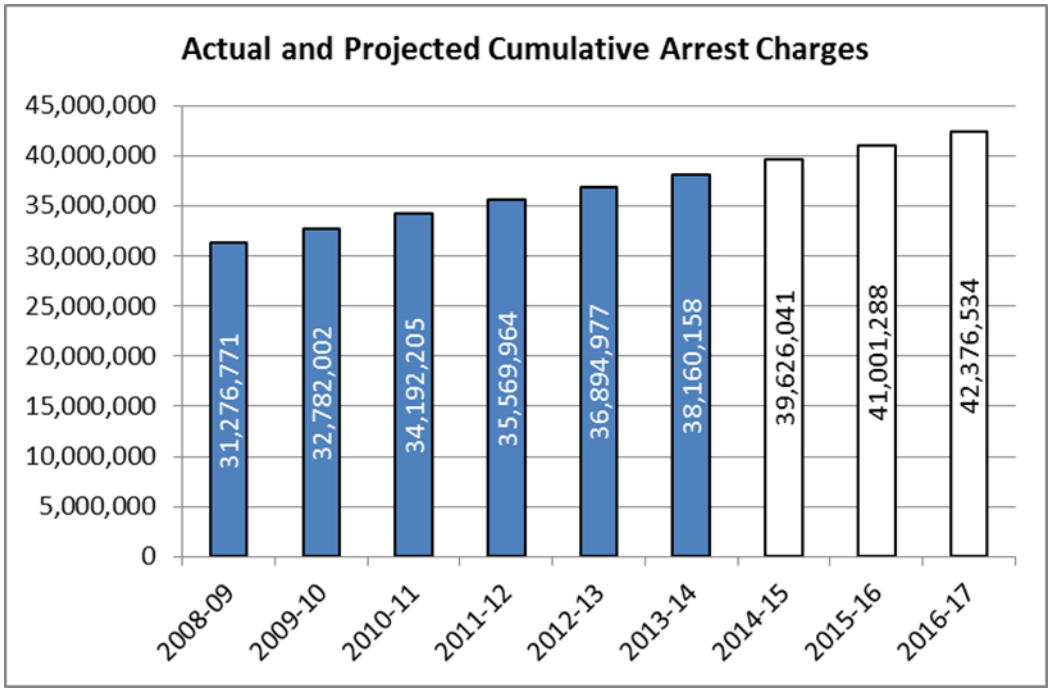


Figure 3. Actual and Projected Storage Capacity for Cumulative Arrest Charges

NOTE: Figure 3 includes all records (registrations and sealed/expunged)

ii. Identity

Figure 4 depicts the actual and projected growth of person or identity records in the criminal history database. The projection is based on an average growth rate (2.28%) of annual record volume from fiscal years 2008-09 through 2013-14.

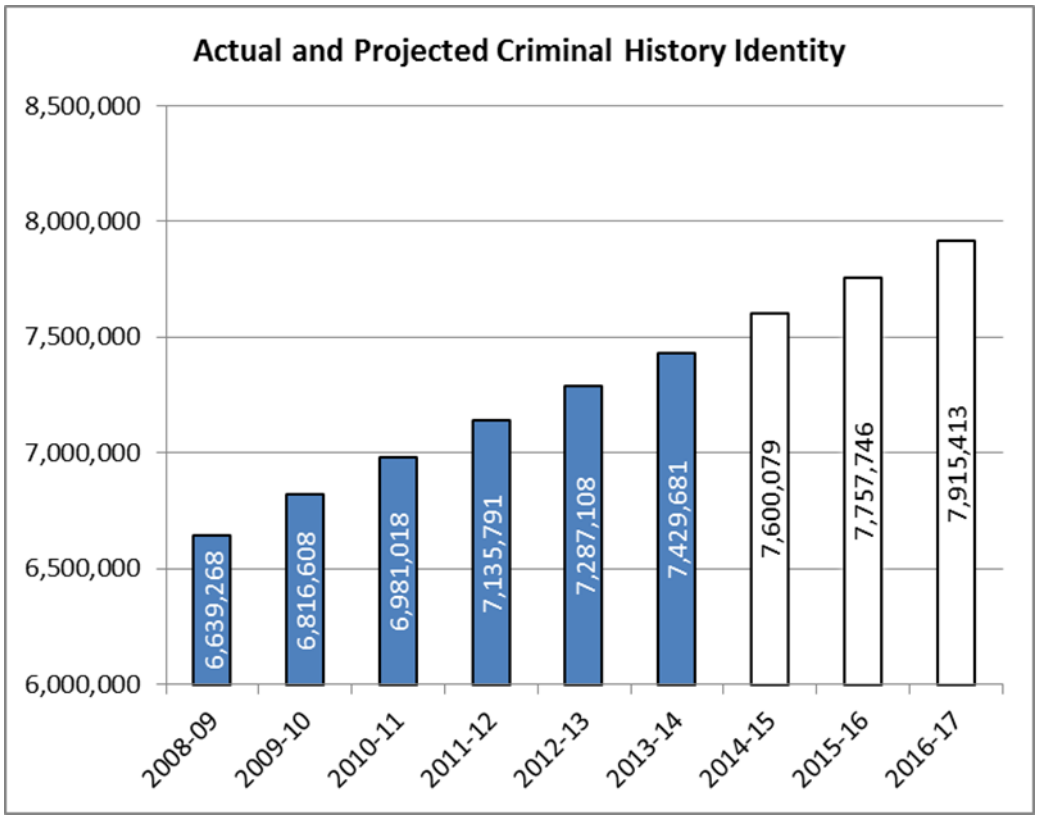


Figure 4. Actual and Projected Storage Capacity for Criminal History Identity

iii. Dissemination

Figure 5 depicts the actual and projected growth of dissemination records[7] in the criminal history database. The projection is based on an average growth rate (4.66%) of annual record volume from fiscal years 2008-09 to 2013-14.

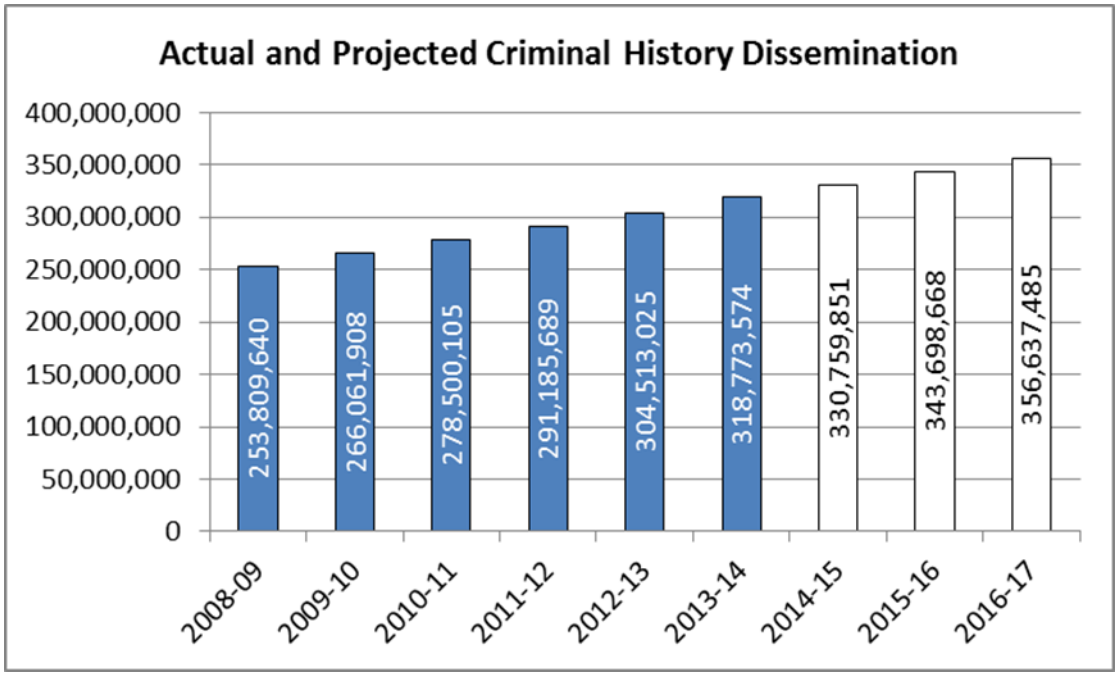


Figure 5. Actual and Projected Storage Capacity for Criminal History Dissemination

[7] This data was obtained from the IRM CCH Support Team

iv. Disposition, Judicial

Figure 6 depicts the actual and projected growth of disposition judicial records in the criminal history database. The projection is based on an average growth rate (6.92%) of annual record volume from fiscal years 2008-09 to 2013-14.

FDLE is currently performing a Historic Resubmission Project, which involves Clerks of Court resubmitting older historical data in an automated process. Newly added records are included in the record volume listed in Figure 6.

NOTE: One (1) year of disposition files from the Clerks of Court have been retained. The size of the files is 20 GB as of May 2013. The new CCH system will be designed to accommodate these files.

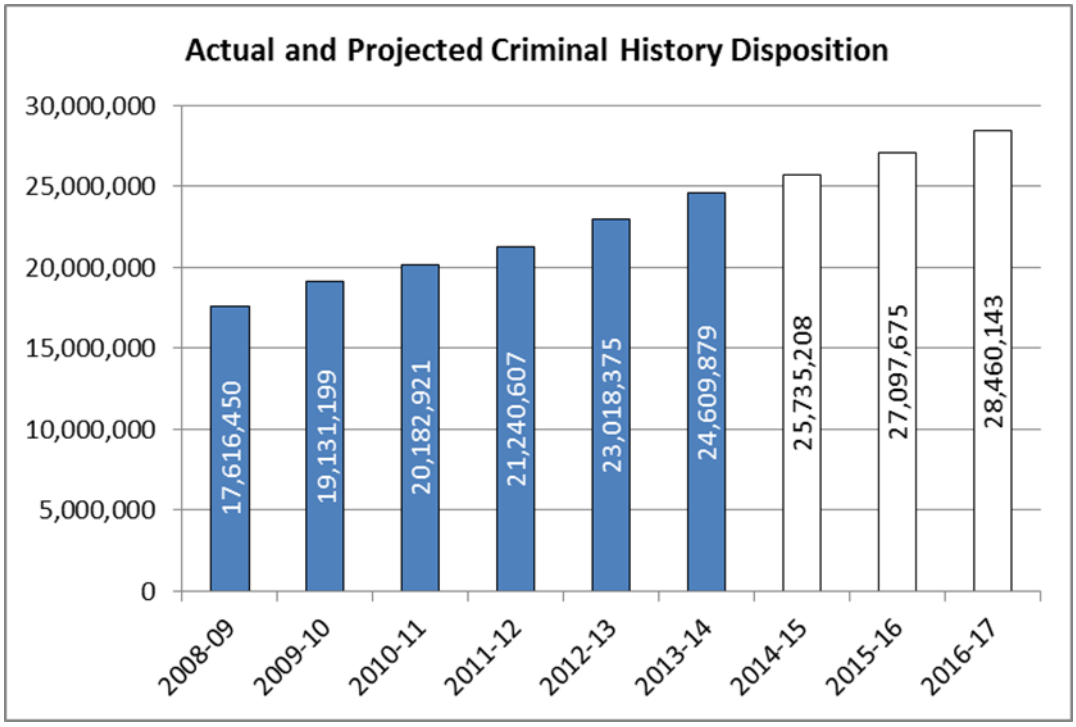


Figure 6. Actual and Projected Storage Capacity for Criminal History Disposition

v. Custody

Figure 7 depicts the actual and projected growth of custody records in the criminal history database. The projection is based on an average growth rate (4.27%) of annual record volume from fiscal years 2008-09 to 2013-14.

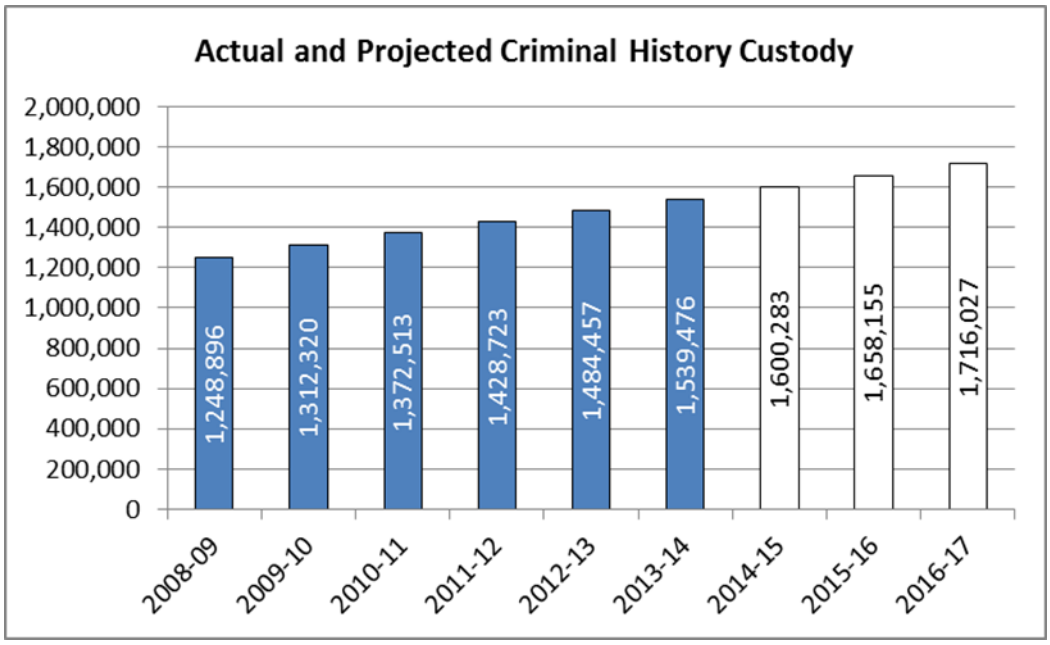


Figure 7. Actual and Projected Storage Capacity for Criminal History Custody

vi. Registrations

Figure 8 depicts the actual and projected growth of registration records in the criminal history database. The chart includes criminal, sexual predator, sexual offender, and career offender registrations. The projection is based on an average growth rate (7.98%) of annual record volume from fiscal years 2008-09 to 2013-14.

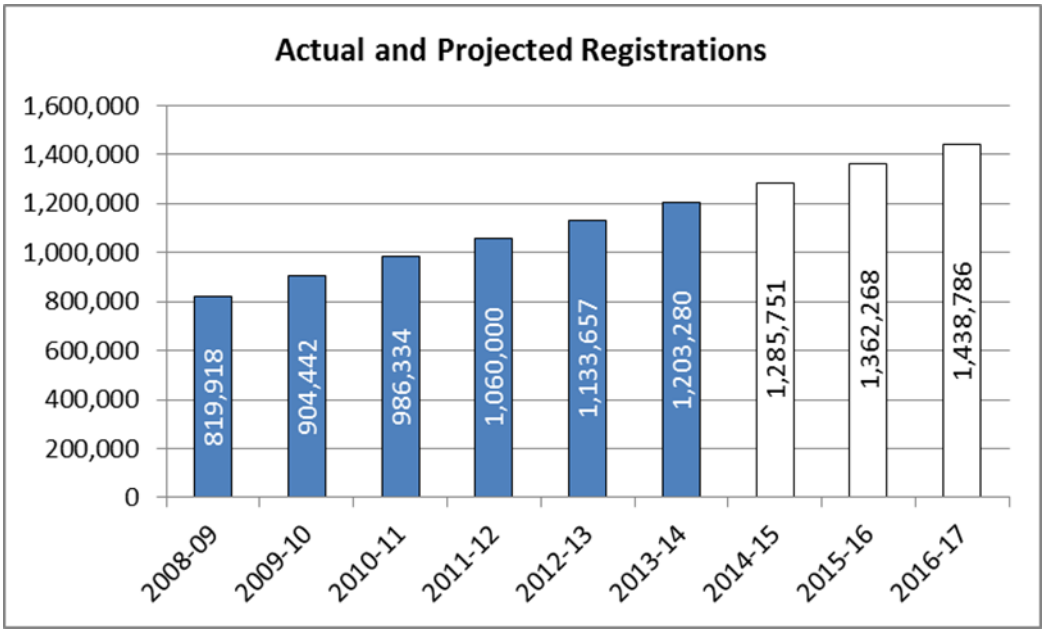


Figure 8. Actual and Projected Registrations Entered

VII. Project Management Planning

A. Project Scope

The scope of this project is to replace the current CCH system with a new CCH system capable of handling the current business processes.

FDLE's primary objectives for this project are to:

- Acquire and implement a commercially available criminal history records management solution with modern technology that can be customized to meet Florida's requirements
- Increase the timeliness and detail of prosecution and court information
- Improve the methods of receiving, storing, and displaying data
- Provide a flexible database structure to allow new data elements to be added and stored at the event level
- Improve the CCH statute table and the ability to describe criminal charges
- Improve the use of charge reclassifiers (i.e., enhancers or reducers, for statutes) which are used to raise or lower the severity of a charge
- Provide better RAP sheets, with images, more detailed information, and more user-friendly formats
- Improve the linkage of rearrests, violations of probation, and failures to appear
- Provide the ability to process and accurately record notice to appear events when submitted with fingerprints
- Provide the ability to receive and process direct file conviction events when submitted with fingerprints
- Provide an electronic method for agencies to submit added charges or corrections to errors for their own records
- Provide a modern, role-based access control system, with effective logging
- Provide improved business processes through automated workflows and document management for CJIS sections
- Eliminate ancillary systems
- Provide improved compromised identity information
- Provide proactive notifications of actions and discrepancies
- Maintain compliance with national standards including Joint Task Force on RAP sheet Standardization, NIEM, DOJ GRA, and FBI Electronic Biometric Transmission Specification (EBTS)

- Improve disposition handling and processing of the data
- Improve system performance and flexibility of the database, programs, and reports
- Establish an off-site disaster recovery system to maintain COO in the event of a critical failure of the production system at the hosting data center
- Meet FDLE's high availability requirements
- Meet FDLE's information technology (IT) standards and policies
- Maintaining compliance with the FBI CSP, state of Florida, and FDLE security rules
- Support the current criminal history processes, such as:
  - Creating and updating subject records, arrest records, disposition records, and incarceration/custody/probation records
  - Receiving, determining eligibility, and complying with seal and expunge orders
  - Receiving, determining eligibility, and complying with other court orders
  - Managing record consolidation requests
  - Disseminating selected data/records based on the customer and purpose
  - Logging of disseminations
  - Receiving and processing personal review requests
  - Providing statistical analysis of CCH data

B. Project Phasing Plan

The CCH Modernization Project is separated into two (2) phases. The scope of each phase is identified in the sections below.

1. CCH Modernization Phase I

Phase I of the project will transition from a procurement effort to a signed vendor contract with the selected vendor. Phase I will perform the activities to identify customizations deemed necessary by FDLE to the vendor's COTS CCH product. The following activities are included in the scope of Phase I:

FDLE

- Obtain funding and statutory approvals, and issue a vendor contract to procure and implement the new system.
- Procure the awarded vendor's COTS CCH product.

Vendor

- Analyze and map business requirements to the COTS product to identify required customizations.
- Produce detailed system design documents.
- Produce architectural design documents.
- Produce system security design documents.
- Identify and map data within the current repository prior to migration.

2. CCH Modernization Phase II

Phase II will begin with development of the identified customizations and data migration. It concludes with the implementation of the new system. The following activities are included in the scope of Phase II:

Vendor

- Customize the identified components that must be tailored to meet FDLE's business requirements.
- Migrate and cleanse data from existing source databases to the new system repository.
- Define and implement improvements identified in statements of objectives and in the requirements.
- Acquire and install hardware, third-party software, and COTS.
- Identify changes and adapt existing business processes to streamline work to maximize the functions of the COTS product.
- Implement data inputs and outputs needed to maintain existing integration with dependent systems and among CJIS sections.
- Create new data input and output processes for new integration needs, as identified.
- Produce, execute, and maintain robust test plans.
- Produce and implement end-user deployment plans.
- Track and monitor all change requests to system implementation plans.
- Author technical documentation for end-users.
- Design and conduct end-user training.
- Author the help screens and self-help mechanisms to be integrated in the new system.

FDLE

- Retire and decommission outdated business process, tools, methods, and functions that no longer add value to the modernized business model of the new CCH system.
- Complete contract and project closeout.
- Define operational processes and procedures.

C. Baseline Schedule

WBS	Activities	Work Days	Start	Finish
1	**Prepare ITN**			
1.1	Prepare SOW	20 days	4/16/2014	5/13/2014
1.2	Assemble / Review ITN	49 days	5/14/2014	7/30/2014
1.3	Release ITN	1 day	7/31/2014	7/31/2014
2	**Review Initial Propasals**			
2.1	Vendors Review ITN	16 days	8/1/2014	8/22/2014
2.2	Questions due to FDLE	1 day	8/25/2014	8/25/2014
2.3	Prepare Responses	9 days	8/26/2014	9/8/2014
2.4	Questions & Answers posted on VBS	1 day	9/9/2014	9/9/2014
2.5	Prepare Proposals	17 days	9/10/2014	10/2/2014
2.6	ITN Training Session	1 day	9/24/2014	9/24/2014
2.7	Proposals due to FDLE	1 day	10/3/2014	10/3/2014
2.8	Admin Review	4 days	10/6/2014	10/9/2014
2.9	Evaluation Period	20 days	10/10/2014	11/6/2014
2.10	ITN Strategy Session	1 day	10/22/2014	10/22/2014
2.11	Ratings due to OGS	1 day	11/7/2014	11/7/2014
2.12	Management Review	5 days	11/10/2014	11/17/2014
2.13	Evaluation Team Mtg (Public)	1 day	11/18/2014	11/18/2014
2.14	Announce Finalists	0 days	11/18/2014	11/18/2014
2.15	Posting Period	3 days	11/19/2014	11/21/2014
3	**Negotiate with Finalists**			
3.1	Initial Negotiations	9 days	12/2/2014	12/12/2014
3.2	Prepare BAFO Instructions	4 days	12/15/2014	12/18/2014
3.3	Issue BAFO Instructions	1 day	12/19/2014	12/19/2014
3.4	Finalists Prepare BAFO	13 days	1/5/2015	1/22/2015
3.5	BAFOs due to FDLE	1 day	1/23/2015	1/23/2015
3.6	Evaluation Period	14 days	1/26/2015	2/12/2015
3.7	Ratings due to OGS	1 day	2/13/2015	2/13/2015
3.8	Management Review	4 days	2/16/2015	2/19/2015
3.9	Negotation Team Mtg (Public)	1 day	2/20/2015	2/20/2015
3.10	Announce Recommended Award	1 day	2/23/2015	2/23/2015
3.11	Posting Period	3 days	2/24/2015	2/26/2015
4	**Final Negotiations**			
4.1	Contract Negotiations	10 days	2/27/2015	3/12/2015
4.2	Sign Contract	1 day	3/13/2015	3/13/2015
	Establish Baseline Schedule	TBD		
	Preliminary System Development Schedule			
	Planning / Requirements Validation / Design	180 days		Aug-15
	Customization / Data Conversion	280 days		Jun-16
	Testing / Implementation	230 days		Dec-16
	Final Acceptance	90 days		Apr-17
	Close-out	60 days		Jun-17

Note: A more detailed baseline schedule will be prepared after a contract is established with the CCH system vendor.

THIS PAGE INTENTIONALLY LEFT BLANK

D. Project Organization

The comprehensive nature of the CCH System necessitates the coordination among a variety of disparate agencies and groups. CCH requires the coordination and management of a skilled project staff consisting of technical, functional, and administrative staff, mixed with contract staff and task-specific vendors.

The CCH Modernization Project organization consists of the Executive Steering Committee (ESC), the Project Manager, and the Project Team. FDLE SME's and a number of other groups provide additional support. Each group performs a particular role for the project and is comprised of members of IRM, CJIS, and FDLE leadership. The CCH project organization is shown in Figure 10, CCH Project Organization.

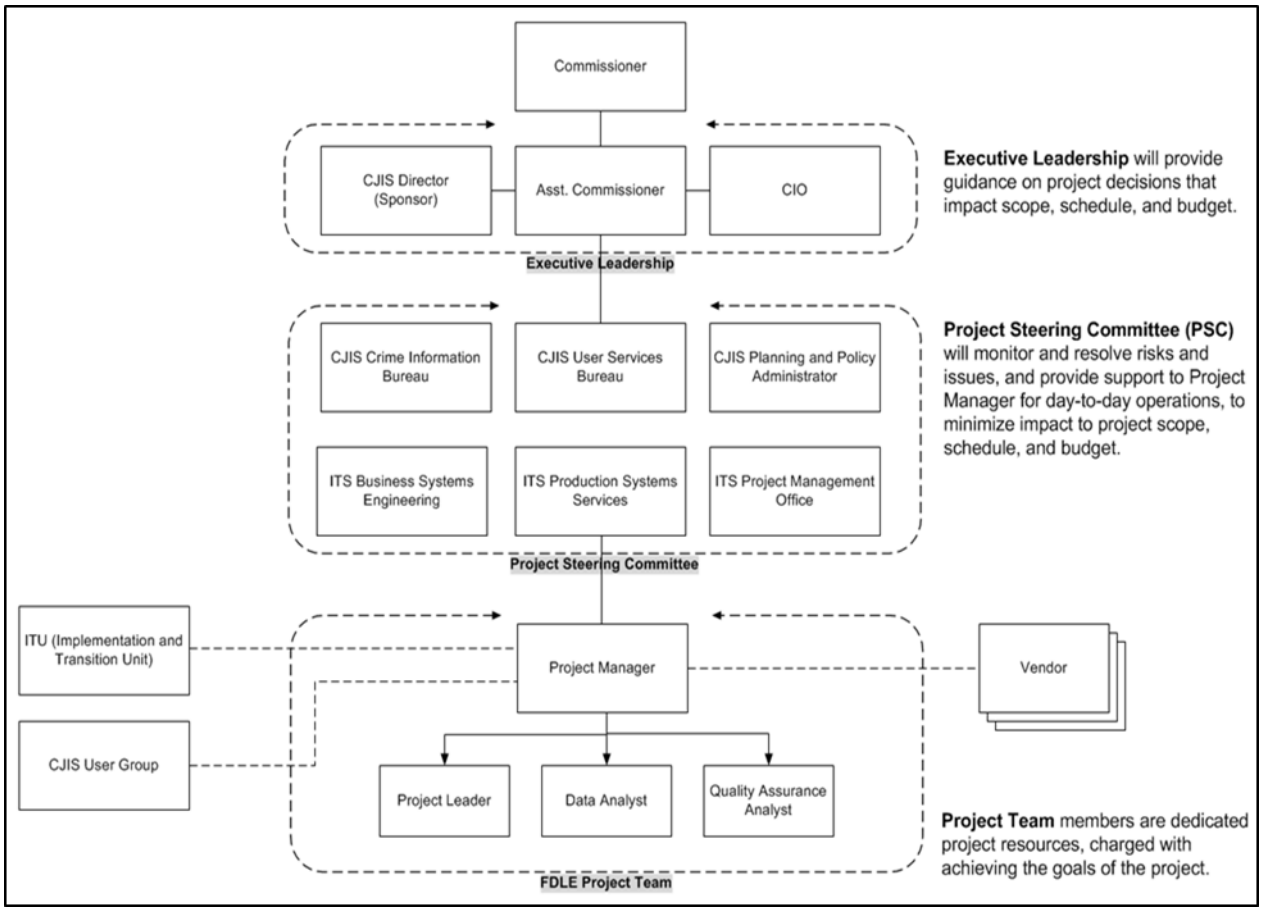


Figure 9. CCH Project Organization

1. **FDLE Executive Leadership**

   The Executive Leadership consists of the Assistant Commissioner (Public Safety Services), Director of CJIS (also the project sponsor), and the Chief Information Officer (CIO). The CJIS Director and the CIO report to the Assistant Commissioner of Public Safety Services. The Executive Leadership provides guidance on project decisions that impact scope, schedule, and budget.

2. **FDLE Project Steering Committee**

   The PSC monitors and resolves risks and issues, and provides direction to the PM for the day-to-day operations, to minimize impact to project scope, schedule, and budget.

   Regular meetings are conducted (based on direction from the PSC) to provide project updates. Meetings focus on action items, scope change requests, and risks (issues impacting budget or timeliness). The meetings follow a standard agenda. Critical project needs are addressed and guidance and direction are requested from the PSC as appropriate. The PSC provides assessment and analysis, ensuring that supporting initiatives are based upon knowledgeable and informed decisions.

   A status report is prepared for each meeting and is distributed to each attendee. Minutes are taken during each meeting and made available to the attendees. The PSC consists of six (6) senior team members; they are as follows:

   - CJIS Crime Information Bureau (Chief of Florida Crime Information)
   - CJIS User Services Bureau (Chief of User Services)
   - CJIS Special Projects Section (Planning & Policy Administrator)
   - IT Services Business Systems Engineering (Chief of Business Systems Engineering)
   - IT Services Production Systems Support (Systems Programming Administrator)
   - IT Services Project Management Office (Information Systems & Services Administator)

3. **FDLE Project Management Office**

   The PMO reports to the Chief Information Officer. The PMO is responsible for establishing and maintaining a common set of project management processes and templates, review and oversight of project documentation, including project plans, operational work plans, and status reports; assisting the Project Manager in identifying and tracking project metrics and providing assessments to the Chief Information

Officer regarding the quality of products and services delivered through the project.

4. FDLE Project Team

The Project Team members are dedicated project resources that have been selected to achieve the goals of the project. These members consist of contractors that report to the PM and are responsible for the day-to-day tasks associated with the project. The Project Team is led by the PM, and consists of the following members:

- Project Manager
- Project Leader
- Data Analyst
- Quality Assurance Analyst

a. FDLE Project Team Responsibilities

FDLE Project Manager – Responsible for the overall management and coordination of the work effort and successful completion of the CCH project. This includes establishing and maintaining the project management plan, assigning, directing, and monitoring the work of project staff, serving as FDLE's primary point of contact for the prime contractor, managing issues and risks, monitoring and reporting project status, and reviewing contract deliverables prior to delivery to the ESC for approval.

The PM presents action items, scope change requests, and risks with budget or schedule changes, as well as any risk mitigation plans to the ESC for their guidance and direction.

The PM generates documentation for project plans and various other project artifacts such as the SOW or the ITN. The PM shall monitor the selected vendor to ensure that the deliverables are timely and meet expectations.

The PM approves and monitors the status of contractor work plans in the day-to-day execution of contracts. Contractor progress on tasks is monitored by the PM. The PM verifies that tasks and work products are completed as per agreed upon contracts.

The PM is a direct report to the Project Steering Committee. The PM is responsible for the overall development of the CCH project. The PM submits a project status report containing the project schedule, schedule deviations, risks, action items, and issues.

FDLE Project Leader –The Project Leader works under the direction of FDLE's Project Manager to achieve the goals and objectives of the CCH Modernization Project. Responsibilities include:

- Coordinating project work efforts, including ensuring that work is delivered on time, within budget, adheres to quality standards and meets customer expectations.
- Project planning and maintenance of project planning documents
- Maintain the project's Risk Register
- Maintain the project's Issue Register
- Coordinate project Quality Assurance and Quality Control activities
- Coordinate requirements management activities
- Monitor Contractor performance
- Coordinate activities with FDLE business and IT units
- Provide assistance to FDLE staff in the preparation of documentation to support FDLE grant applications, budget requests, and supporting documentation required by the Governor's Office and Legislature.

FDLE Data Analyst– Responsibilities include:

- Serves as the FDLE project team's central point of contact regarding CCH database planning
- Identifies and catalogs comprehensive inventory of CCH data sources
- Develops and documents comprehensive data dictionary of CCH data
- Develops and documents comprehensive logical and physical data model of CCH data
- Develops and documents data profiling and cleansing strategy
- Conduct analysis of, and recommend, suitable data analysis and data cleansing tools needed to conduct the work and produce the deliverables herein
- Performs data profiling of CCH data sources
- Develops and documents detailed data cleansing activities based on data profiling results
- Analyzes data requirements, application and processing architectures, data dictionaries, and database schema(s)

- Assists vendor with data conversion/migration related requests such as questions, required information, resources, etc.
- Reviews and provides feedback on data conversion/migration artifacts such as data conversion/migration plan and data conversion/migration implementation plan
- Writes and reviews test cases
- Reviews and verifies vendor data conversion/migration test strategy, plans and subsequent test results
- Performs data conversion/migration testing and documents findings
- Assists FDLE UAT testers during data conversion/migration testing, verification, and data validation

FDLE Quality Assurance Analyst – Responsibilities include:

- Serves as the FDLE project team's central point of contact regarding CCH requirements and testing
- Ensures that products, applications, and systems are in compliance with established quality standards, and meet customer requirements
- Develops and executes test plans for comprehensive testing of CCH application
- Writes and executes test cases/scripts to ensure delivery of quality software
- Analyzes requirements, application and processing architectures, data dictionaries, and database schema(s)
- Assists vendor with requirements and testing related requests such as questions, required information, resources, etc.
- Reviews and provides feedback on testing artifacts such as the solution test plan and data conversion/migration plan
- Reviews and verifies vendor testing strategy, plans and subsequent test results
- Ensures that quality methods and procedures are executed
- Performs testing, analyzes results, and documents findings
- Assists FDLE User Acceptance Testing (UAT) testers during testing, verification, and data validation
- Coordinates testing efforts with various system stakeholders and other applications

- Monitors, documents, manages, and reports on defects and resolutions
- Provides status reports regarding the progress of testing tasks.

FDLE Implementation and Transition Unit – Business staff consisting of Government Analysts and Operations Consultants will be assembled to improve the collection and reporting of criminal data through the state's CCH system. The unit will be responsible for implementation and transition of external agencies to the new system, as well as for stakeholder and customer communication, education/training, preparation and readiness for the new CCH technology. They will evaluate existing policies and determine whether modifications are needed, or if new policies need to be created, to mitigate privacy or other risks related to new services and business processes.

E. Quality Assurance Plan

Quality assurance techniques focus on the preventative steps used to manage and deliver the solution and to eliminate any variances in the quality of the deliverable produced from the established quality targets. The assurance of quality during the project does not fall on just one (1) team member but all project members. Table 13 provides types of quality assurance techniques, which will be used:

Table 13. Quality Assurance Techniques

Technique	Description	Frequency
Quality Reviews	The FDLE Project Team will review and assess the overall quality of each deliverable. The Project Team evaluates each deliverable prior to delivery to the FDLE ESC for approval. The Project Team performs quality reviews on deliverables by: 1. Performing reviews of all created documentation for the project prior to release/publishing. 2. Reviewing conformity to requirements for all deliverables by the vendor. 3. Discussing quality during each weekly team meeting.	Throughout Project
Skilled Staff	Using skilled staff for the Project Team and requiring them by the vendor will directly affect the quality of the deliverables produced. Skilled staff should have the knowledge, skills, and experience required to undertake the specific task or tasks allocated in the Project Plan with minimal training in order to achieve the level of quality desired. Hired Project Team members will assure quality by: 1. Having a satisfactory level of experience in similar projects for their job duties.	Throughout Project
Project, Contract, and System Change Control	A clear project change control process ensures the level of quality is not impacted for any deliverable. The Project Manager and the vendor will use the established project change control process to assure quality.	When changes in scope, contract, or system are identified
Project Management	The Project Manager will ensure consistent application of project management processes and techniques by both the FDLE Project Team and the vendor Project Team. The PM assigned to this project will be certified as a Project Management Professional (PMP).	Throughout Project

Table 13. Quality Assurance Techniques		
Technique	**Description**	**Frequency**
Requirements Definition	A well-defined set of requirements provides the vendor with a clear understanding of what they have to achieve in order to deliver customer satisfaction. Detailed business requirements are used during the procurement effort. Once a vendor is selected, a requirements traceability effort is used to track system requirements and those requirements are used to complete the project. The Project Team and vendor will assure all system requirements are documented so there is no question or vagueness in what the requirement attempts to accomplish.	During development of any requirements (initial or through change control)
Mapping of Requirements	The vendor will map all requirements to a function of the COTS product to assure quality of the delivered product and compliance with the requirements; the Project Team will verify and validate.	During development reviews, functional testing, and user acceptance testing
Document Standards	The FDLE Project Team will use templates for Microsoft Office products to ensure that all documentation follows the same layout. Each document will go through team reviews sufficient to assure quality prior to submission to the customer or to the ESC. The vendor is expected to follow the same method to ensure all documentation provided is consistent with previously delivered documents. The FDLE Project Team will review all delivered vendor documentation prior to release to the ESC. In addition to templates, the FDLE Project Team will ensure that all documentation complies with established document standards, established version control, and requirements. The Project Team will also ensure that all documentation is accurate and timely. For example, reports should identify potential problems early so they can be avoided or resolved.	During the creation of any document deliverable
Adequate Testing	The vendor team will map all system requirements to system functionality for functional and user acceptance testing. The test cases and system will also have adequate sample record data sufficient for determining level of compliance with quality. The Project Team will verify and validate.	During development, functional, and user acceptance testing

Table 13. Quality Assurance Techniques		
Technique	**Description**	**Frequency**
FDLE Team Peer Reviews	The FDLE Project Team will perform peer reviews on each other's deliverables by: 1. Performing team reviews of all deliverables for the project prior to release/publishing to the ESC or others. 2. Discussing quality at every review and during each weekly team meeting.	Throughout Project
Historical Data	Understanding other related projects (either currently underway or recently completed) and the quality issues encountered will enable the team to plan for potential quality issues.	Throughout Project

Project Communications

Project Status Reports – Periodic status meetings will be held with the ESC. The FDLE PM will produce the reports. Status reports will be issued at least monthly. This will include a review of budget schedule issues, risks, and actions. FDLE has a standard status report used for major projects based on the Florida Legislature Status Report Guidelines.

Vendor Communication – The PMO will ensure that effective communications are maintained between FDLE and the vendor throughout the project Software Development Life Cycle (SDLC). A detailed communication plan will be in place to achieve effective communication between FDLE and vendor.

Review of Deliverables – As deliverables are completed, the FDLE PM will document and record the delivery, review and acceptance by the agency. This documentation will be shared with stakeholders through the many methods of communication currently in place. Please see appendices I, J, and K for sample deliverable checklists and the deliverable acceptance form.

1. Vendor Quality Assurance

a. Quality Management Plan

The vendor will provide a Quality Management Plan that defines how they will ensure the quality of the work for the following:

- Data management, such as acquiring, storing, and controlling data, data integrity, documentation of data, analytical methods, and data validation.

- Software development, such as the processes for software design, coding, source code control, code reviews, code documentation, change management, configuration management, testing, release management, and product integration.
- Document delivery, such as version control.
- Testing, such as the methods and tools.

This includes identifying the plan for ensuring work is complete and correct, as well as the procedures for controlling quality throughout the project. It describes how quality will be ensured on the project through reviews, checklists, technical accuracy checks, testing, standards, and other protocols. The Quality Management Plan will delineate the process and the reviewer responsibilities.

The FDLE PM will ensure the vendor manages to the Quality Management Plan and conducts quality control of all deliverables to ensure they are prepared according to the highest possible standards and the specified acceptance criteria.

All documentation including project deliverables are to be provided/stored on a commonly accessible location to be provided by FDLE with access via a virtual private network (VPN) that is centrally available to both the vendor and FDLE for the sharing and/or storage of documentation.

F. Risk Management

The selected vendor will provide a Risk Management Plan that describes the plan to manage risks throughout the life of the project. Part of the Risk Management Plan is the FDLE risk document, which has been developed and managed by the FDLE PM. The risk document is one of the artifacts maintained throughout the life of the project. FDLE's risk management process includes the following steps.

- Risk Identification – Stakeholders will identify risks associated with the project.
- FDLE PM will record risks in FDLE's risk document as they are identified.
- Analysis – Risks will be analyzed to determine the classification (opportunity or threat), probability, and impact.
- Response Strategy – Proposed actions will be identified to deal with risks in the event they occur. This also includes mitigating risks before they occur.
- Monitoring – The FDLE PM will review risks during each ESC meeting. Actions are taken if deemed necessary to mitigate risks.

The distribution of the FDLE risk document will be agreed upon between the FDLE and the vendor PM at the beginning of the engagement. The FDLE risk document will be in electronic format and available to the Project Team at all times during the project. The FDLE risk document will also be the source for the summaries included in the Status Reports.

The FDLE and vendor PM will be responsible for updating the FDLE risk document from the beginning of the engagement through the life of the project. The FDLE risk document shall be updated immediately upon identification of a risk to the project.

Issues will also be identified, documented, monitored, and mitigated in the same manner as risks. Issues will be documented in the FDLE issues log.

G. Implementation Plan

The project will utilize an implementation plan for deploying the new CCH system into the production environment. The vendor is responsible for the creation of the implementation plan. The Implementation Plan identifies all activities required for successful deployment of the Solution for production use. The Implementation Plan shall provide, at a minimum:

- Implementation Approvals
- Implementation Communications Plan
- Implementation Plan (Step-by-step instructions)
- Go-Live Schedule
- Dependencies
- Resource Requirements
- Data Conversions/Migrations Go-Live Plan
- Failback Plan
- Post-Implementation Tasks

1. Implementation Approvals

The vendor shall obtain FDLE written approvals required by FDLE before scheduling and performing the implementation of the production system.

2. Implementation Communications Plan

The vendor will provide an Implementation Communication Plan. The Implementation Communication Plan will identify stakeholder groups, key messages to be communicated, and methods of communicating.

The Implementation Communications Plan will identify the various project audiences. It will describe the types (subject, format, content, etc.) of communications that need to be sent directly and/or as a

courtesy copy to each audience member and the frequency with which they will be sent.

This will include the communications necessary to implement the production environment, as well as support the readiness and training of the user base. The plan will specify communication formats (verbal, email, report) to ensure the plan will be achievable. This also includes guidance to FDLE senior management in terms of what key messages should be provided to support executive sponsorship, user readiness, deployment, training, adoption, and support and maintenance.

3. **Go-Live Schedule**

   The vendor will provide a Go-Live Schedule. The Go-Live Schedule will include (at minimum) all implementation activities, start and end dates, responsible parties, milestones, dependencies and constraints, and anticipated downtimes. The Schedule must be provided in Microsoft Project format.

4. **Dependencies List**

   The vendor will provide a list of dependencies for the production implementation. The list shall include, but is not limited to, required sign-off of key deliverables, approvals needed, and tasks that must be performed.

5. **Resource Requirements**

   The vendor will provide a list of Resource Requirements for the implementation of the production system. The resource requirements shall include any personnel, hardware, software, system access, etc. needed to perform the production implementation.

6. **Data Conversions/Migrations Go-Live Plan**

   The vendor shall create a Data Conversions/Migrations Go-Live Plan. The plan shall include resource requirements, dependencies and constraints, schedule of events (including dates, times, durations, resources, etc.) and responsible parties for the data conversions/migrations.

7. **Failback Plan**

   The vendor will provide a Failback Plan for the production implementation. The Failback Plan will be implemented in the event something goes wrong with the implementation of the production system. It shall include, at a minimum:

   - Potential Risks to trigger a Failback
   - Communications – e.g., who should be contacted in the event of a failback and who makes the decision to failback

- Tasks – what steps and tasks need to be done to complete the failback
- Resources – what resources will be required for a failback

The vendor shall perform the implementation of the production system and the data conversions/migrations according to Implementation Plan approved by FDLE. The implementation of the production system shall include the production primary site, production local standby site, and the remote DR standby site. FDLE expects all three production sites to be implemented at the same time. The implementation shall not begin until the Implementation Approvals required by FDLE are received. The successful production system implementation of the CCH and its DR system must be up and operational the day of implementation, including all user groups operational, the completed data and file conversions/migrations, customizations installed, and all project deliverables and artifacts submitted to FDLE.

The solution source code, including customized code, must be delivered as described in the ITN under Documentation in Escrow. All documentation and deliverables must be up-to-date (including all changes made during the project). FDLE must also receive the bill of materials and software licenses, before sign-off of the implemented system.

8. Training and Knowledge Transfer

Prior to implementation, the vendor will develop and execute a Training Plan. The Training Plan identifies the approach, specific activities, participants, and content to be used or produced in the support of conducting Solution Training. The training services refer to the activities associated with developing a training program to ensure internal FDLE CCH users are provided the necessary materials and proper solution training to perform their jobs efficiently. The Training Plan shall detail, at a minimum, the training services, the instructional methods, training resources, training materials, and training curriculum.

- Instructional Methods
  - Training Methodology – identifies how the various users will be trained and the overall strategy. The vendor will define how users will be trained (e.g., web training). FDLE prefers to use the "train the trainer" approach.
  - Training Tools – identifies hardware and software necessary for providing the training.
  - Testing and Evaluation – describes the methods used to establish and maintain quality assurance over the training effectiveness and course materials (e.g., evaluation surveys).

- Training Resources
  - Course Administration – describes the methods used to administer the training program, including procedures for class enrollment, monitoring the training, security, etc.
  - Resources and Facilities – describes the resources required by both instructors and students for the training, including classrooms, equipment, materials, etc.
  - Schedules – presents a schedule for implementing the training strategy and indicating responsible parties, when to schedule the training facilities, schedule participants, dependencies and constraints, etc.

NOTE: All training dates will be scheduled based upon mutual agreement between FDLE and the vendor. Once the dates have been established, requests for training facilities need to be provided based on availability.

- Training Materials
  - Training Materials List – specifies what training materials will be required.
- Training Curriculum – provides descriptions of the components that make up each course.

The vendor will provide and pay for all Training Materials. The Training Materials are the artifacts used in conducting the solution training. They will include training documentation and any other materials required, as specified in the Training Plan, to ensure successful training and adoption of the solution by the users.

The Training Materials must be tailored specific to FDLE, indicating how the system will be used within the State. They must provide traceability back to system requirements and demonstrate how various user roles will be used in the system to perform the functions. The Training Materials must be provided in a form that can be modified using standard Microsoft Office products. The Training Materials shall include, at a minimum, user manuals, administration manual, and on-line help within the Solution.

Materials to be used for vendor training will be approved prior to scheduled vendor training events. FDLE personnel trained by the vendor will be asked to fill out a survey at the end of each session. If the outcome of the survey is that the training was insufficient, the vendor will be asked to modify their training curriculum and perform the training again at no cost to FDLE. This may include the entire course or specific areas of concern.

9. Organizational Change Management

Internal (FDLE) users of CCH will experience business process changes during this period. This project will introduce new, processes, and tools to create, update and change criminal records. FDLE will employ a range of informational, mentoring, and training efforts to assist members in assuming their new responsibilities.

The FDLE PM will prepare an organizational change management plan. The organizational change management plan will document the activities, participants, and schedule required to manage change introduced through this project.

THIS PAGE INTENTIONALLY LEFT BLANK

VIII. Appendices

Appendix A – Abbreviations and Acronyms

Appendix B – Standards and Definitions

Appendix C – Florida Statutes 943.05 & 943.051

Appendix D – Business Process and System Diagrams

Appendix E – Cost-Benefit Analysis Worksheets

Appendix F – Current System Cost

Appendix G – Project Cost Estimate

Appendix H – Risk Assessment Worksheets

Appendix I – Document Completeness and Correctness Checklist

Appendix J – Hardware/Software/Service Completeness and Correctness Checklist

Appendix K – Deliverable Acceptance Form

Appendix L – Historical Growth Rates

THIS PAGE INTENTIONALLY LEFT BLANK

Appendix A – Abbreviations and Acronyms

Table 1. Abbreviations and Acronyms

Abbreviations and Acronyms	Description
AD	Active Directory
AFRNP	Applicant Fingerprint Retention and Notification Program
AHCA	Agency for Health Care Administration
ALGOL	ALGOrithmic Language
ANSI	American National Standards Institute
APD	Agency for Persons with Disabilities
BIS	Biometric Identification System
BPM	Business Process Models
CATT	ClearPath A Series Terminal Tool
CCH	Computerized Criminal History
CIB	Crime Information Bureau
CIO	Chief Information Officer
CJIS	Criminal Justice Information Services
CJNet	Criminal Justice Network
COAST	Career Offender Application for Statewide Tracking
COBOL	COmmon Business-Oriented Language
COMS	Component Object Model Screens
COO	Continuity of Operations
COTS	Commercial Off-The-Shelf
CPU	Central Processing Unit
CSP	FBI CJIS Security Policy
CWCS	Civil Workflow Control System
DB	Database
DBPR	Department of Business and Professional Regulation
DC	Department of Corrections
DCF	Department of Children and Families
DHSMV	Department of Highway Safety and Motor Vehicles
DJJ	Department of Juvenile Justice
DMSII	Data Management System II

Table 1. Abbreviations and Acronyms	
Abbreviations and Acronyms	**Description**
DNA	Deoxyribonucleic Acid
DOACS	Department of Agriculture and Consumer Services
DOH	Department of Health
DOJ	Department of Justice
DR	Disaster Recovery
DSI	Dynamic Solutions International
EBTS	Electronic Biometric Transmission Specification
ESC	Executive Steering Committee
ETL	Extract, transform, load
F.A.C.	Florida Administrative Code
F.S.	Florida Statutes
FALCON	Watch List, Retained Applicant System, Rapid ID interface to Edge devices at roadside
FAR	Federal Acquisition Regulation
FBI	Federal Bureau of Investigation
FCIC	Florida Crime Information Center
FDLE	Florida Department of Law Enforcement
FORTS	Florida Offender Registration and Tracking System
FSAC	Florida Statistical Analysis Center
FSSR	Florida Shared School Resource
FTA	Failure to Appear
FTP	File Transfer Protocol
GB	Gigabyte
GFIPM	Global Federated Identity and Privilege Management
GRA	Global Reference Architecture
HTTP	Hypertext Transfer Protocol
III	Interstate Identification Index
IRM	Information Resource Management
ISAM	Indexed Sequential Access Method
IT	Information Technology
ITN	Invitation to Negotiate

Table 1. Abbreviations and Acronyms	
Abbreviations and Acronyms	**Description**
ITU	Implementation and Transition Unit
Java EE	Java Platform, Enterprise Edition
KPI	Key Performance Indicators
LBR	Legislative Budget Request
LDAP	Lightweight Directory Access Protocol
LRPP	Long Range Program Plan
LTO	Linear Tape Open
MCP	Master Control Program
NCIC	National Crime Information Center
NCPA/VCA	National Child Protection Act/Volunteers for Children Act
NICS	National Instant Criminal Background Check System
NFF	National Fingerprint File
NIEM	National Information Exchange Model
NIST	National Institute of Standards and Technology
Nlets	The International Justice & Public Safety Information Sharing Network formerly known as: National Law Enforcement Telecommunications System
NTA	Notice to Appear
OBTS	Offender Based Transaction System
OFR	Office of Financial Regulation
OSCA	Office of the State Courts Administrator
PM	Project Manager
PMO	Project Management Office
PMP	Project Management Professional
QC	Quality Control
RAP	Record of Arrest and Prosecution
RDBMS	Relational Database Management System
SAML	Security Assertion Markup Language
SAN	Storage Area Network
SAS	Statistical Analysis System
SDLC	Software Development Life Cycle

Table 1. Abbreviations and Acronyms	
Abbreviations and Acronyms	**Description**
SDIS	State DNA Index System
SME	Subject Matter Expert
SNAP	Snapshot Database of CCH
SOA	Service-Oriented-Architecture
SOW	Statement of Work
SQL	Structured Query Language
TOAD	Tool for Oracle Application Developers
USB	User Services Bureau
VOP	Violation of Probation
XML	Extensible Markup Language

Appendix B – Standards and Definitions

1. **28 Code of Federal Regulations Part 20 (28 CFR Part 20)**

   These regulations are in place to assure that criminal history record information, wherever it appears, is collected, stored, and disseminated in a manner to ensure the accuracy, completeness, currency, integrity, and security of such information and to protect individual privacy.

2. **Chapter 71A-1, the State of Florida Information Technology Resource Security Policies and Standards**

   https://www.flrules.org/gateway/ChapterHome.asp?Chapter=71A-1

3. **Department of Justice (DOJ) Global Reference Architecture**

   GRA enhances justice and public safety through a service-oriented approach to information sharing. It is accomplished by providing a reference architecture with guidance for identifying, defining, implementing, and governing services.

   GRA is an information exchange solution designed to cut 80 percent of implementation time and costs for state and local justice agencies through reuse of established promising practices in IT architecture and design.

4. **FBI CJIS Security Policy.**

   The CJIS Security Policy provides guidance for the creation, viewing, modification, transmission, dissemination, storage, and destruction of CJIS data. This policy applies to every individual—contractor, private entity, noncriminal justice agency representative, or member of a criminal justice entity—with access to, or who operate in support of, criminal justice services and information.

5. **FBI Electronic Biometric Transmission Specification (EBTS).**

   The FBI Criminal Justice Information Services Division is moving toward a system that will contain a complete biometric and biographic profile of the subject records in its databases. Although fingerprints will continue to be the FBI's primary mode of identification for the near future, the scope of the EBTS has been expanded over previous versions to include additional biometric modalities (e.g., palm print, facial, and iris) in recognition of the rapidly developing biometric identification industry. The most recent update to the American National Standards Institute /National Institute of Standards and Technology-Information Technology Laboratory 1-2011 standard (ANSI/NIST-ITL 1-2011) includes new record types to facilitate data sharing of new biometric modalities. Integrating biometric data in accordance with the ANSI/NIST standard, the FBI EBTS provides a description of all requests and responses associated with electronic fingerprint and other biometric identification services.

6. **FBI National Fingerprint File (NFF) Program**

When an identification is made on an NFF state record during the national fingerprint-based background check, the FBI reaches out directly to the NFF state repository for the record thus providing the most complete and comprehensive CHRI available. Participation in the NFF Program ensures a higher level of security benefitting our most vulnerable populations.

7. **Global Federated Identity and Privilege Management (GFIPM) 2.0**

   The goal of GFIPM is to enable information sharing for state and local agencies through a federated model that is secure, scalable, and cost-effective. One of the guiding principles of GFIPM is to seek to understand and meet the needs of state and local agencies through a collaborative, consensus-based process that incorporates the input of all major stakeholders, including state and local agencies as well as the federal government.

8. **Lightweight Directory Access Protocol (LDAP)/Active Directory**

   LDAP is an application protocol for accessing and maintaining distributed directory information services over an Internet Protocol (IP) network.

9. **National Information Exchange Model (NIEM)**

   The National Information Exchange Model is a community-driven, government-wide, standards-based approach to exchanging information. NIEM connects communities of people who share a common need to exchange information in order to advance their mission.

   Used in all 50 states and internationally, NIEM is available to everyone. It is a consistent starting point—which includes a data model, governance, training, tools, technical support services, and an active community—that assists users in adopting a standards-based approach to exchanging data.

   When it matters most—protecting citizens, responding to disasters, monitoring prescription drug abuse, identifying welfare assistance eligibility, or providing support services to children and families—NIEM provides quick access to accurate, complete, and actionable information.

10. **Security Assertion Markup Language (SAML)**

    SAML is an Extensible Markup Language (XML) based open standard data format for exchanging authentication and authorization data between parties, in particular, between an identity provider and a service provider.

11. **United States Rehabilitation Act – Section 508 details accessibility standards for all systems**

    The Section 508 Standards are part of the Federal Acquisition Regulation (FAR) and address access for people with physical, sensory, or cognitive disabilities. They contain technical criteria specific to various types of technologies and performance-based requirements, which focus on functional capabilities of covered products. Specific criteria cover software applications and operating systems, web-based information and applications, computers,

telecommunications products, video and multi-media, and self-contained closed products.

Appendix C – Florida Statutes 943.05 & 943.051

943.05 Criminal Justice Information Program; duties; crime reports.–

(1) There is created a Criminal Justice Information Program within the Department of Law Enforcement. The program shall be supervised by personnel who shall be employed by the department upon the recommendation of the executive director. Such personnel shall supervise, direct, coordinate, and administer activities of the program which are assigned by the executive director.

(2) The program shall:

(a) Establish and maintain a communication system capable of transmitting criminal justice information to and between criminal justice agencies.

(b) Establish, implement, and maintain a statewide automated biometric identification system capable of, but not limited to, reading, classifying, matching, and storing fingerprints, rolled fingerprints, latent fingerprints, palm prints, and facial images. Information contained within the system shall be available to every criminal justice agency that is responsible for the administration of criminal justice.

(c) Initiate a crime information system that shall be responsible for:

1. Preparing and disseminating semiannual reports to the Governor, the Legislature, all criminal justice agencies, and, upon request, the public. Each report shall include, but not be limited to, types of crime reported, offenders, arrests, and victims.

2. Upon request, providing other states and federal criminal justice agencies with Florida crime data.

3. In cooperation with other criminal justice agencies, developing and maintaining an offender-based transaction system.

(d) Adopt rules to effectively and efficiently implement, administer, manage, maintain, and use the automated biometric identification system and uniform offense reports and arrest reports. The rules shall be considered minimum requirements and shall not preclude a criminal justice agency from implementing its own enhancements. However, rules and forms prescribing uniform arrest or probable cause affidavits and alcohol influence reports to be used by all law enforcement agencies in making DUI arrests under s. 316.193 shall be adopted and used by all law enforcement agencies in this state. Failure to use these uniform affidavits and reports, however, shall not prohibit prosecution under s. 316.193.

(e) Establish, implement, and maintain a Domestic and Repeat Violence Injunction Statewide Verification System capable of electronically transmitting information to and between criminal justice agencies relating to domestic violence injunctions, injunctions to prevent child abuse issued under chapter 39, and repeat violence injunctions issued by the courts throughout the state. Such information must include, but is not limited to, information as to the existence and status of any such injunction for verification purposes.

(f) Establish, implement, and maintain a system for transmitting to and between criminal justice agencies information about writs of bodily attachment issued in connection with a court-ordered child support obligation. Such information shall include, but not be limited to, information necessary to identify the respondents and serve the writs.

(g) Upon official written request, and subject to the department having sufficient funds and equipment to participate in such a request, from the agency executive director or secretary or from his or her designee, or from qualified entities participating in the volunteer and employee criminal history screening system under s. 943.0542, or as otherwise required by law, retain fingerprints submitted by criminal and noncriminal justice agencies to the department for a criminal history background screening as provided by rule and enter the fingerprints in the statewide automated biometric identification system authorized by paragraph (b). Such fingerprints shall thereafter be available for all purposes and uses authorized for arrest fingerprint submissions entered into the statewide automated biometric identification system pursuant to s. 943.051.

(h) For each agency or qualified entity that officially requests retention of fingerprints or for which retention is otherwise required by law, search all arrest fingerprint submissions received under s. 943.051 against the fingerprints retained in the statewide automated biometric identification system under paragraph (g).

1. Any arrest record that is identified with the retained fingerprints of a person subject to background screening as provided in paragraph (g) shall be reported to the appropriate agency or qualified entity.

2. To participate in this search process, agencies or qualified entities must notify each person fingerprinted that his or her fingerprints will be retained, pay an annual fee to the department unless otherwise provided by law, and inform the department of any change in the affiliation, employment, or contractual status of each person whose fingerprints are retained under paragraph (g) if such change removes or eliminates the agency or qualified entity's basis or need for receiving reports of any arrest of that person, so that the agency or qualified entity is not obligated to pay the upcoming annual fee for the retention and searching of that person's fingerprints to the

department. The department shall adopt a rule setting the amount of the annual fee to be imposed upon each participating agency or qualified entity for performing these searches and establishing the procedures for the retention of fingerprints and the dissemination of search results. The fee may be borne by the agency, qualified entity, or person subject to fingerprint retention or as otherwise provided by law. Consistent with the recognition of criminal justice agencies expressed in s. 943.053(3), these services shall be provided to criminal justice agencies for criminal justice purposes free of charge. Qualified entities that elect to participate in the fingerprint retention and search process are required to timely remit the fee to the department by a payment mechanism approved by the department. If requested by the qualified entity, and with the approval of the department, such fees may be timely remitted to the department by a qualified entity upon receipt of an invoice for such fees from the department. Failure of a qualified entity to pay the amount due on a timely basis or as invoiced by the department may result in the refusal by the department to permit the qualified entity to continue to participate in the fingerprint retention and search process until all fees due and owing are paid.

3. Agencies that participate in the fingerprint retention and search process may adopt rules pursuant to ss. 120.536(1) and 120.54 to require employers to keep the agency informed of any change in the affiliation, employment, or contractual status of each person whose fingerprints are retained under paragraph (g) if such change removes or eliminates the agency's basis or need for receiving reports of any arrest of that person, so that the agency is not obligated to pay the upcoming annual fee for the retention and searching of that person's fingerprints to the department.

(3) If fingerprints submitted to the department for background screening, whether retained or not retained, are identified with the fingerprints of a person having a criminal history record, such fingerprints may thereafter be available for all purposes and uses authorized for arrest fingerprints, including, but not limited to, entry into the statewide automated biometric identification system to augment or replace the fingerprints that identify the criminal history record.

(4) Upon notification that a federal fingerprint retention program is in effect, and subject to the department being funded and equipped to participate in such a program, the department shall, if state and national criminal history records checks and retention of submitted prints are authorized or required by law, retain the fingerprints as provided in paragraphs (2)(g) and (h) and advise the Federal Bureau of Investigation to retain the fingerprints at the national level for searching against arrest fingerprint submissions received at the national level.

943.051 Criminal justice information; collection and storage; fingerprinting.–

(1) The Criminal Justice Information Program, acting as the state's central criminal justice information repository, shall:

(a) Collect, process, store, maintain, and disseminate criminal justice information and records necessary to the operation of the criminal justice information system of the department.

(b) Develop systems that inform one criminal justice agency of the criminal justice information held or maintained by other criminal justice agencies.

(2) The fingerprints, palm prints, and facial images of each adult person charged with or convicted of a felony, misdemeanor, or violation of a comparable ordinance by a state, county, municipal, or other law enforcement agency shall be captured and electronically submitted to the department in the manner prescribed by rule. Exceptions to this requirement for specified misdemeanors or comparable ordinance violations may be made by the department by rule.

(3)(a) The fingerprints, palm prints, and facial images of a minor who is charged with or found to have committed an offense that would be a felony if committed by an adult shall be captured and electronically submitted to the department in the manner prescribed by rule.

(b) A minor who is charged with or found to have committed the following offenses shall be fingerprinted and the fingerprints shall be submitted electronically to the department, unless the minor is issued a civil citation pursuant to s. 985.12:

1. Assault, as defined in s. 784.011.

2. Battery, as defined in s. 784.03.

3. Carrying a concealed weapon, as defined in s. 790.01(1).

4. Unlawful use of destructive devices or bombs, as defined in s. 790.1615(1).

5. Neglect of a child, as defined in s. 827.03(1)(e).

6. Assault or battery on a law enforcement officer, a firefighter, or other specified officers, as defined in s. 784.07(2)(a) and (b).

7. Open carrying of a weapon, as defined in s. 790.053.

8. Exposure of sexual organs, as defined in s. 800.03.

9. Unlawful possession of a firearm, as defined in s. 790.22(5).

10. Petit theft, as defined in s. 812.014(3).

11. Cruelty to animals, as defined in s. 828.12(1).

12. Arson, as defined in s. 806.031(1).

13. Unlawful possession or discharge of a weapon or firearm at a school-sponsored event or on school property, as provided in s. 790.115.

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

Appendix D – Business Process and System Diagrams

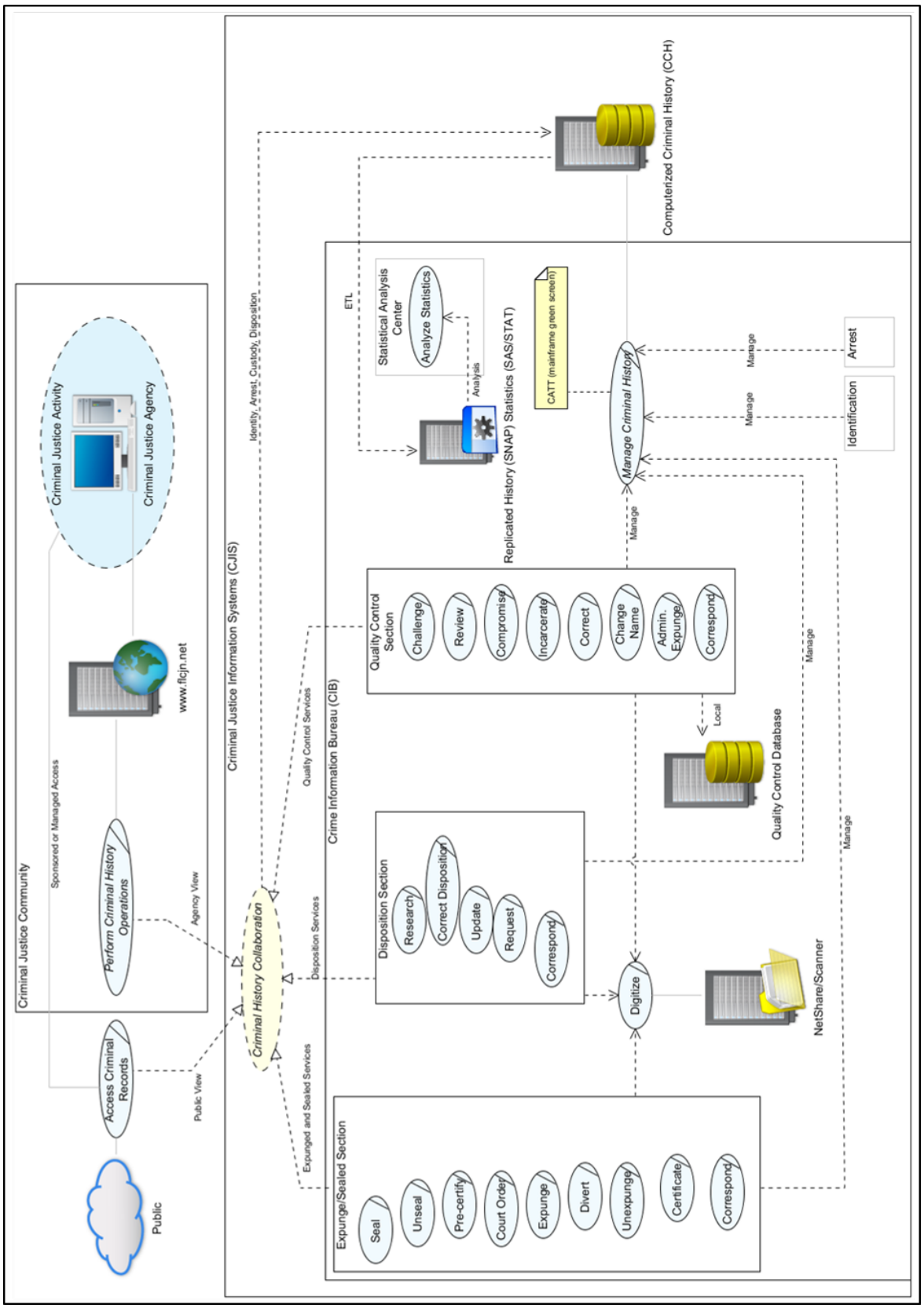


Figure 1. Business Process Flow Diagram

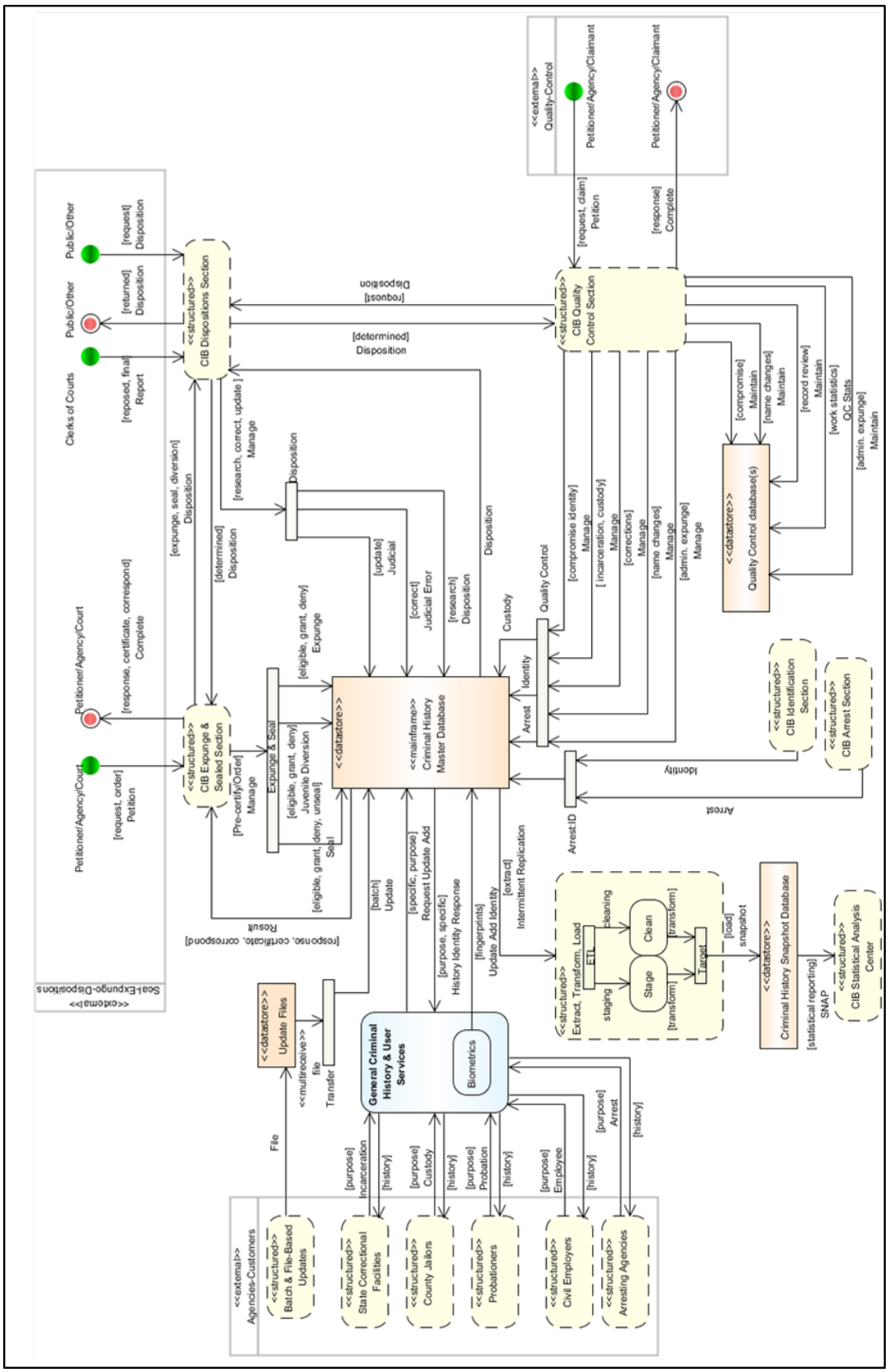


Figure 2. CCH Processing Diagram

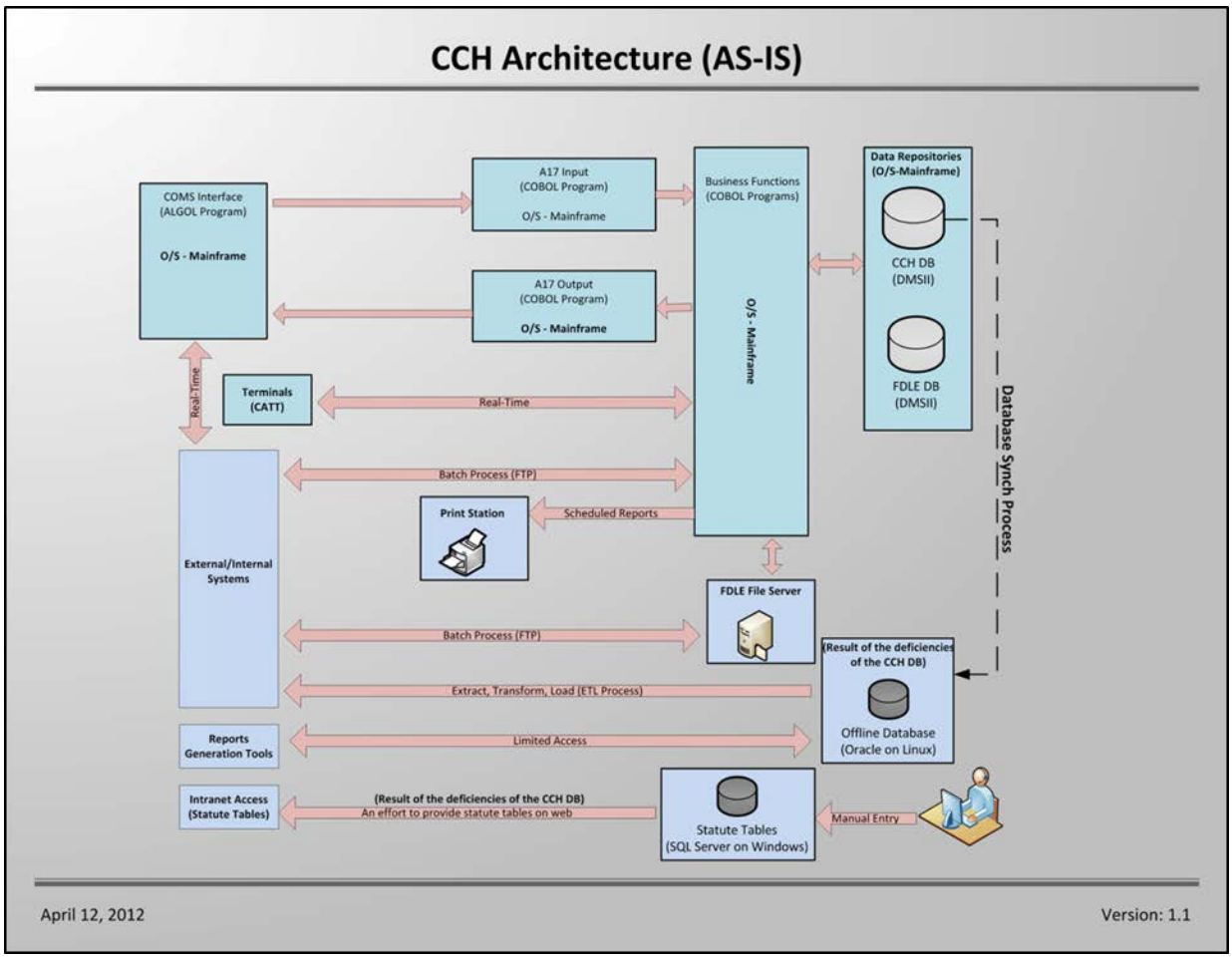


Figure 3. Existing System Architecture

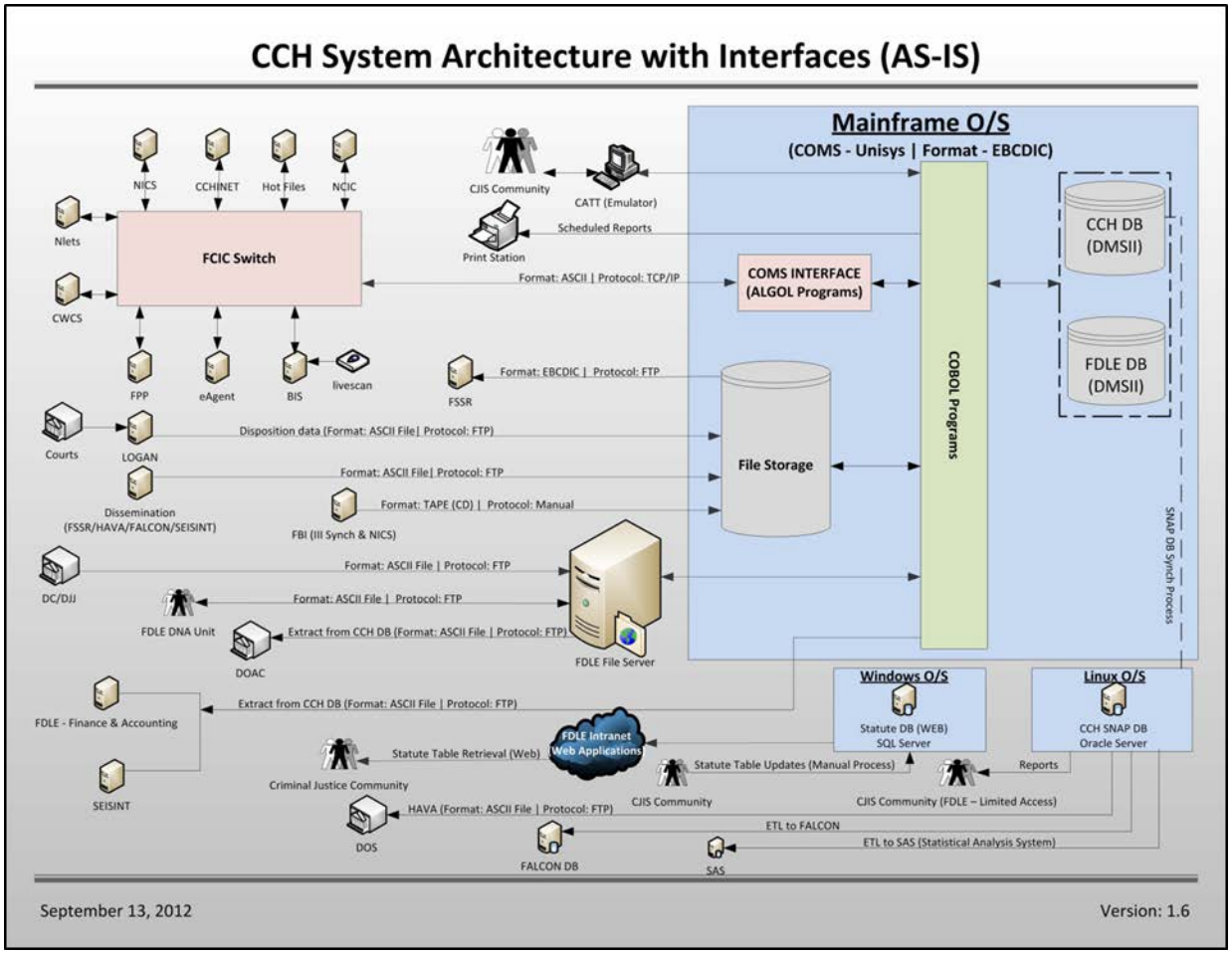


Figure 4. Existing System Architecture with Interfaces

Appendix E – Cost-Benefit Analysis Worksheets

CBAForm 1 - Net Tangible Benefits

Agency: FDLE Project: CCH Modernization

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

Agency *(Operations Only -- No Project Costs)*	FY 2015-16			FY 2016-17			FY 2017-18			FY 2018-19			FY 2019-20		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	$1,078,485	$0	$1,078,485	$1,078,485	$0	$1,078,485	$1,078,485	$95,604	$1,174,089	$1,078,485	$95,604	$1,174,089	$1,078,485	$95,604	$1,174,089
A.b Total FTE	10.00	0.00	10.00	10.00	0.00	10.00	10.00	5.00	15.00	10.00	5.00	15.00	10.00	5.00	15.00
A-1.a. State FTEs (Salaries & Benefits)	$458,485	$0	$458,485	$458,485	$0	$458,485	$458,485	$419,604	$878,089	$458,485	$419,604	$878,089	$458,485	$419,604	$878,089
A-1.b. State FTEs (# FTEs)	6.00	0.00	6.00	6.00	0.00	6.00	6.00	7.00	13.00	6.00	7.00	13.00	6.00	7.00	13.00
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)	$620,000	$0	$620,000	$620,000	$0	$620,000	$620,000	($324,000)	$296,000	$620,000	($324,000)	$296,000	$620,000	($324,000)	$296,000
A-3.b. Staff Augmentation (# of Contract FTEs)	4.00	0.00	4.00	4.00	0.00	4.00	4.00	(2.00)	2.00	4.00	(2.00)	2.00	4.00	(2.00)	2.00
B. Data Processing -- Costs	$759,843	$0	$759,843	$815,641	$0	$815,641	$759,843	($759,355)	$488	$759,843	($759,355)	$488	$815,641	($759,355)	$56,286
B-1. Hardware	$518,564	$0	$518,564	$574,362	$0	$574,362	$518,564	($518,076)	$488	$518,564	($518,076)	$488	$574,362	($518,076)	$56,286
B-2. Software	$241,279	$0	$241,279	$241,279	$0	$241,279	$241,279	($241,279)	$0	$241,279	($241,279)	$0	$241,279	($241,279)	$0
B-3. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. External Service Provider -- Costs	$135,480	$0	$135,480	$135,480	$0	$135,480	$135,480	$1,064,520	$1,200,000	$135,480	$1,068,000	$1,203,480	$135,480	$1,068,000	$1,203,480
C-1. Consultant Services	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Maintenance & Support Services	$135,480	$0	$135,480	$135,480	$0	$135,480	$135,480	$1,064,520	$1,200,000	$135,480	$1,068,000	$1,203,480	$135,480	$1,068,000	$1,203,480
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 Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility -- Costs (including PDC services)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Others -- Costs	$38,766	$0	$38,766	$38,766	$0	$38,766	$38,766	$0	$38,766	$38,766	$0	$38,766	$38,766	$0	$38,766
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 Expenses & HR Svc for State Staff	$38,766	$0	$38,766	$38,766	$0	$38,766	$38,766	$0	$38,766	$38,766	$0	$38,766	$38,766	$0	$38,766
Total of Operational Costs (Rows A through E)	$2,012,574	$0	$2,012,574	$2,068,372	$0	$2,068,372	$2,012,574	$400,769	$2,413,343	$2,012,574	$404,249	$2,416,823	$2,068,372	$404,249	$2,472,621
F. Additional Tangible Benefits:		$0			$0			$1,102,269			$662,070			$700,355	
F-1. From FDLE CBA Document		$0			$0			$1,102,269			$662,070			$700,355	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		$0			$0			$701,500			$257,821			$296,106	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☑	Confidence Level	10%
Order of Magnitude	☐	Confidence Level	
Placeholder	☐	Confidence Level	

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	FDLE	CCH Modernization																		
					CBAForm 2A Baseline Project Budget															
2	*Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.*				FY2015-16			FY2016-17			FY2017-18			FY2018-19			FY2019-20			TOTAL
3				$ 2,657,633		$ 3,900,775			$ 10,749,520			$ -			$ -			$ -		$ 17,307,928
4	**Item Description** ***(remove guidelines and annotate entries here)***	**Project Cost Element**	**Appropriation Category**	**Current & Previous Years Project-Related Cost**	**YR 1 #**	**YR 1 LBR**	**YR 1 Base Budget**	**YR 2 #**	**YR 2 LBR**	**YR 2 Base Budget**	**YR 3 #**	**YR 3 LBR**	**YR 3 Base Budget**	**YR 4 #**	**YR 4 LBR**	**YR 4 Base Budget**	**YR 5 #**	**YR 5 LBR**	**YR 5 Base Budget**	**TOTAL**
5	Costs for all state employees working on the project.	**FTE**	S&B	$ 154,476	7.00	$ 253,278	$ 124,215	7.00	$ 337,704	$ 124,215	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ 993,888**
6	Costs for all OPS employees working on the project.	**OPS**	OPS	$ -	0.00		$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
7	Staffing costs for personnel using Time & Expense.	**Staff Augmentation**	Contracted Services	$ 1,202,464	3.00	$ 528,000	$ -	3.00	$ 528,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ 2,258,464**
8	Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ 176,923	0.00	$ 530,769	$ -	0.00	$ 1,117,308	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ 1,825,000**
9	Project oversight (IV&V) personnel and related deliverables.	**Project Oversight**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
10	Staffing costs for all professional services not included in other categories.	**Consultants/Contractors**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
11	Separate requirements analysis and feasibility study procurements.	**Project Planning/Analysis**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
12	Hardware purchases not included in Primary Data Center services.	**Hardware**	OCO	$ 212,500		$ 337,500	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 550,000**
13	Commercial software purchases and licensing costs.	**Commercial Software**	Contracted Services	$ 625,556		$ 945,000	$ -		$ 8,055,000	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 9,625,556**
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	**Project Deliverables**	Contracted Services	$ 285,714		$ 1,142,857	$ -		$ 571,429	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 2,000,000**
15	All first-time training costs associated with the project.	**Training**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
16	Include the quote received from the state data center for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	**Data Center Services - One Time Costs**	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
17	Other contracted services not included in other categories.	**Other Services**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	**Equipment**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
19	Include costs associated with leasing space for project personnel.	**Leased Space**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
20	Other project expenses not included in other categories.	**Other Expenses**	Expense	$ -		$ 39,156	$ -		$ 15,864	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 55,020**
21		**Total**		**$ 2,657,633**	**10.00**	**$ 3,776,560**	**$ 124,215**	**10.00**	**$ 10,625,305**	**$ 124,215**	**0.00**	**$ -**	**$ -**	**0.00**	**$ -**	**$ -**	**0.00**	**$ -**	**$ -**	**$ 17,307,928**

CBAForm 2 - Project Cost Analysis

Agency: FDLE Project: CCH Modernization

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	
TOTAL PROJECT COSTS (*)	$3,900,775	$10,749,520	$0	$0	$0	$17,307,928
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$6,558,408	$17,307,928	$17,307,928	$17,307,928	$17,307,928	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	
General Revenue	$0	$0	$0	$0	$0	$0
Trust Fund	$3,900,775	$10,749,250	$0	$0	$0	$14,650,025
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$3,900,775	$10,749,250	$0	$0	$0	$14,650,025
CUMULATIVE INVESTMENT	$3,900,775	$14,650,025	$14,650,025	$14,650,025	$14,650,025	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	x	Confidence Level	20%
Order of Magnitude		Confidence Level	
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary

Agency	FDLE	Project	CCH Modernization

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	TOTAL FOR ALL YEARS
Project Cost	$3,900,775	$10,749,520	$0	$0	$0	$17,307,928
Net Tangible Benefits	$0	$0	$701,500	$257,821	$296,106	$1,255,427
Return on Investment	($6,558,408)	($10,749,520)	$701,500	$257,821	$296,106	($16,052,501)
Year to Year Change in Program Staffing	0	0	5	5	5	

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)	($15,661,549)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix F – Current System Cost

A copy of the current system costs is provided in the following pages.

FDLE
Current CCH System - Operating Costs
Updated: 8/29/2014

Category	Item Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	Totals
Staff												
	State Staff:											
	DP Manager (180)	$49,537	$49,537	$49,537	$49,537	$49,537	$49,537	$49,537	$49,537	$49,537	$49,537	
	Sys Programmer (380)	$42,457	$42,457	$42,457	$42,457	$42,457	$42,457	$42,457	$42,457	$42,457	$42,457	
	SPA (2185)	$65,414	$65,414	$65,414	$65,414	$65,414	$65,414	$65,414	$65,414	$65,414	$65,414	
	SPC (207)	$61,144	$61,144	$61,144	$61,144	$61,144	$61,144	$61,144	$61,144	$61,144	$61,144	
	ASP II (1448)	$28,774	$28,774	$28,774	$28,774	$28,774	$28,774	$28,774	$28,774	$28,774	$28,774	
	DB Consultant (205)	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	
	DB Consultant (609)	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	$23,038	
	Sys Programmer III (000286)	$90,994	$90,994	$90,994	$90,994	$90,994	$90,994	$90,994	$90,994	$90,994	$90,994	
	Sys Programmer III (001353)	$74,088	$74,088	$74,088	$74,088	$74,088	$74,088	$74,088	$74,088	$74,088	$74,088	
	Contract Staff:											
	DB Analyst (KR)	$152,000	$152,000	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	
	App Development Analyst (VC)	$148,000	$148,000	$152,000	$152,000	$152,000	$152,000	$152,000	$152,000	$152,000	$152,000	
	App Development Analyst (PK)	$0	$0	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	
	Systems Analyst (MC)	$0	$0	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	$156,000	
	App Development Analyst (LM)	$140,000	$140,000	$51,840	$0	$0	$0	$0	$0	$0	$0	
	Subtotal - Staff	**$898,485**	**$898,485**	**$1,130,325**	**$1,078,485**	**$1,078,485**	**$1,078,485**	**$1,078,485**	**$1,078,485**	**$1,078,485**	**$1,078,485**	**$10,476,686**
Hardware												
	Unisys Libra 450 System											
	CEFP - Installment Payments	$375,597										
	End pmts 2013 Q1											
	Sys SW License Extension	$142,496	$284,992									
	(May 2013 - Oct 2013)											
	Unisys Libra 460 System											
	Installation		$55,798			$55,798			$55,798			
	CEFP - Installment Payments		$388,923	$518,564	$518,564	$518,564	$518,564	$518,564	$518,564	$518,564	$518,564	
	11/1/2013 - 10/31/2016 and extended											
	Subtotal - Hardware	**$518,093**	**$729,713**	**$518,564**	**$518,564**	**$574,362**	**$518,564**	**$518,564**	**$574,362**	**$518,564**	**$518,564**	**$5,507,914**
Software												
	Unisys Libra 460 Systems Software											
	(OS, Database, Compilers, Print Mgt, etc)			Included in Installment Payments								
	Ops Sentinel Add-on & MCP Comm Svc	$358	$358	$358	$358	$358	$358	$358	$358	$358	$358	
	3rd Party Products:											
	B&L (Tape / Source / Library / Robo)	$87,000	$87,000	$87,000	$87,000	$87,000	$87,000	$87,000	$87,000	$87,000	$87,000	
	DBA Tools	$6,270	$6,270	$6,270	$6,270	$6,270	$6,270	$6,270	$6,270	$6,270	$6,270	
	Jampack / Supervisor	$15,356	$15,356	$15,356	$15,356	$15,356	$15,356	$15,356	$15,356	$15,356	$15,356	
	DBControl	$3,600	$3,600	$3,600	$3,600	$3,600	$3,600	$3,600	$3,600	$3,600	$3,600	

FDLE
Current CCH System - Operating Costs
Updated: 8/29/2014

Category	Item Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	Totals
	Progeni	$26,441	$26,441	$26,441	$26,441	$26,441	$26,441	$26,441	$26,441	$26,441	$26,441	
	Printview	$2,429	$2,429	$2,429	$2,429	$2,429	$2,429	$2,429	$2,429	$2,429	$2,429	
	Databridge	$11,871	$11,871	$11,871	$11,871	$11,871	$11,871	$11,871	$11,871	$11,871	$11,871	
	Terminal Emulation	$1,934	$1,934	$1,934	$1,934	$1,934	$1,934	$1,934	$1,934	$1,934	$1,934	
	CCHSNAP:											
	Oracle SW for Production Server	$80,960	$80,960	$80,960	$80,960	$80,960	$80,960	$80,960	$80,960	$80,960	$80,960	
	Oracle SW for Test Server	$5,060	$5,060	$5,060	$5,060	$5,060	$5,060	$5,060	$5,060	$5,060	$5,060	
	Subtotal - Software	**$241,279**	**$241,279**	**$241,279**	**$241,279**	**$241,279**	**$241,279**	**$241,279**	**$241,279**	**$241,279**	**$241,279**	**$2,412,790**
Services												
	Libra 450 System Maintenance											
	July 2012 - April 2013	$103,160										
	May 2013 - Oct 2013	$24,362	$48,724									
	Libra 460 System Maintenance											
	Nov 2013 Pmt		$19,237									
	Dec 2013 forward		$79,030	$135,480	$135,480	$135,480	$135,480.00	$135,480	$135,480	$135,480	$135,480	
	Subtotal - Services	**$127,522**	**$146,991**	**$135,480**	**$135,480**	**$135,480**	**$135,480**	**$135,480**	**$135,480**	**$135,480**	**$135,480**	**$1,083,840**
Other												
	Standard Expenses for State pos.	$36,642	$36,642	$36,642	$36,642	$36,642	$36,642	$36,642	$36,642	$36,642	$36,642	
	HR Service Fee	$2,124	$2,124	$2,124	$2,124	$2,124	$2,124	$2,124	$2,124	$2,124	$2,124	
	Subtotal - Other	**$38,766**	**$38,766**	**$38,766**	**$38,766**	**$38,766**	**$38,766**	**$38,766**	**$38,766**	**$38,766**	**$38,766**	**$310,128**
TOTALS		**$1,824,145**	**$2,055,234**	**$2,064,414**	**$2,012,574**	**$2,068,372**	**$2,012,574**	**$2,012,574**	**$2,068,372**	**$2,012,574**	**$2,012,574**	**$20,143,403**

Appendix G – Project Cost Estimate

A copy of the project cost estimate is provided in the following pages.

FDLE
Project Cost Estimate
CCH Modernization Project
Updated: 10/1/2014

		Actual			Planned					
Category	**Item Description**	**FY 12-13**	**FY 13-14**	**Actual Total**	**FY 14-15**	**FY 15-16**	**FY 16-17**	**FY 17-18**	**Planned Total**	**Totals**
DEVELOPMENT / IMPLEMENTATION										
Staff										
	State									
	Info Sys & Svcs Admin (PG 530)		$30,261		$124,215	$124,215	$124,215			
	Government Analyst II (PG 26)					$47,483	$63,310			
	Government Analyst II (PG 26)					$47,483	$63,310			
	Govt Ops Consultant II (PG 23)					$39,578	$52,771			
	Govt Ops Consultant II (PG 23)					$39,578	$52,771			
	Govt Ops Consultant II (PG 23)					$39,578	$52,771			
	Govt Ops Consultant II (PG 23)					$39,578	$52,771			
	Subtotal - State Staff	$0	$30,261		$124,215	$377,493	$461,919	$0		
	Contract									
	Project Manager	$100,359	$82,047							
	Project Leader	$0			$170,000	$170,000	$170,000			
	QA Analyst	$0			$127,500	$170,000	$170,000			
	Data Analyst	$0			$163,560	$188,000	$188,000			
	Business Consultant	$92,055	$129,931							
	Tech Writer	$110,408	$59,658							
	System Architect	$120,935								
	Systems Analyst	$46,011								
	Subtotal - Contract Staff	$469,768	$271,636		$461,060	$528,000	$528,000	$0		
	Subtotal - Staff	**$469,768**	**$301,897**	**$771,665**	**$585,275**	**$905,493**	**$989,919**	**$0**	**$2,480,687**	**$3,252,352**
Software Development										
	CCH System Customization									
	Phase 1 - Initiation				$285,714					
	Phase II - Development					$1,142,857.14				
	Phase III - Testing						$285,714			
	Phase IV - Sys Testing & Cutover						$285,714			
	Subtotal - SW Development	**$0**	**$0**	**$0**	**$285,714**	**$1,142,857**	**$571,429**	**$0**	**$2,000,000**	**$2,000,000**

FDLE
Project Cost Estimate
CCH Modernization Project
Updated: 10/1/2014

		Actual			Planned					
Category	**Item Description**	**FY 12-13**	**FY 13-14**	**Actual Total**	**FY 14-15**	**FY 15-16**	**FY 16-17**	**FY 17-18**	**Planned Total**	**Totals**
Commercial Software										
	CCH System - Primary Site						$7,400,000			
	3rd Party Products - Primary Site				$405,000	$945,000				
	Data Quality / Testing				$220,556					
	CCH System - DR Site						$655,000			
	Subtotal - Commercial SW	**$0**	**$0**	**$0**	**$625,556**	**$945,000**	**$8,055,000**	**$0**	**$9,625,556**	**$9,625,556**
Hardware										
	Primary Site - Year 1				$212,500					
	Primary Site - Year 2					$212,500				
	DR Site					$125,000				
	Subtotal - Hardware	**$0**	**$0**	**$0**	**$212,500**	**$337,500**	**$0**	**$0**	**$550,000**	**$550,000**
Services										
	PM / Testing / Implementation Svcs									
	Year 1				$176,923					
	Year 2					$530,769				
	Year 3						$442,308			
	Data Conversion / Migration						$675,000			
	Subtotal - Services	**$0**	**$0**	**$0**	**$176,923**	**$530,769**	**$1,117,308**	**$0**	**$1,825,000**	**$1,825,000**
Other										
	Standard Exp - State pos. yr 1					$37,092				
	Standard Exp - State pos. yr 2						$13,800			
	HR Service Fee					$2,064	$2,064			

FDLE
Project Cost Estimate
CCH Modernization Project
Updated: 10/1/2014

		Actual			Planned					
Category	**Item Description**	**FY 12-13**	**FY 13-14**	**Actual Total**	**FY 14-15**	**FY 15-16**	**FY 16-17**	**FY 17-18**	**Planned Total**	**Totals**
	Subtotal - Other	**$0**	**$0**	**$0**	**$0**	**$39,156**	**$15,864**	**$0**	**$55,020**	**$55,020**
Totals - Development		**$469,768**	**$301,897**	**$771,665**	**$1,885,968**	**$3,900,775**	**$10,749,519**	**$0**	**$16,536,263**	**$17,307,928**
OPERATIONS & MAINTENANCE										
Staff										
	State									
	DP Manager (180)							$47,775	**$238,875**	
	Sys Programmer (380)							$40,710	**$203,552**	
	SPA (2185)							$62,413	**$312,066**	
	SPC (207)							$29,694	**$148,468**	
	ASP II (1448)							$55,894	**$279,470**	
	DB Consultant (205)							$22,121	**$110,606**	
	DB Consultant (609)							$22,121	**$110,606**	
	DB Consultant (New)							$81,900	**$409,500**	
	Sys Programmer III (000286)							$87,355	**$436,773**	
	Sys Programmer III (001353)							$17,718	**$88,589**	
	Government Analyst II							$63,310	**$316,550**	
	Government Analyst II							$63,310	**$316,550**	
	Government Operations Consultant II							$52,771	**$263,855**	
	Government Operations Consultant II							$52,771	**$263,855**	
	Government Operations Consultant II							$52,771	**$263,855**	
	Government Operations Consultant II							$52,771	**$263,855**	
	OPS	$0			$0	$0	$0	$0	**$0**	
	Contract									
	DB Analyst							$0	**$0**	
	App Development Analyst							$152,000	**$760,000**	
	App Development Analyst							$144,000	**$720,000**	
	Subtotal - Staff	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$1,101,405**	**$5,507,023**	**$5,507,023**

FDLE
Project Cost Estimate
CCH Modernization Project
Updated: 10/1/2014

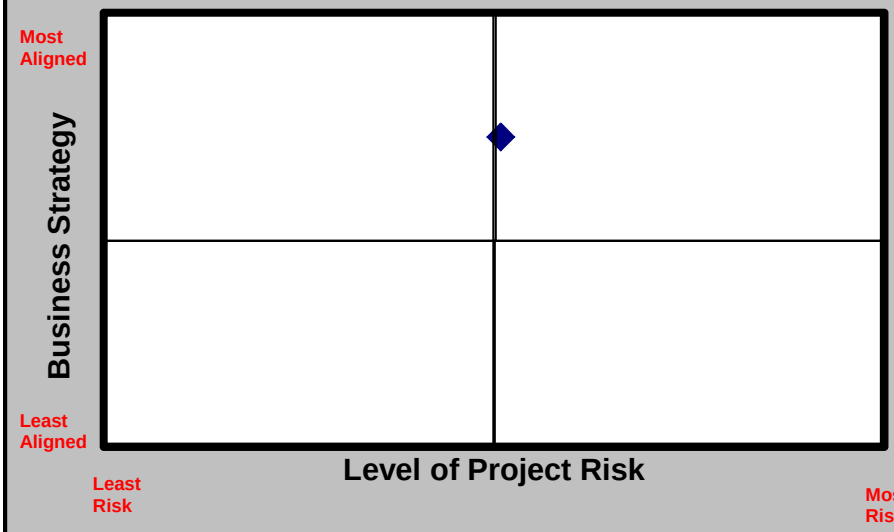
		Actual			Planned					
Category	**Item Description**	**FY 12-13**	**FY 13-14**	**Actual Total**	**FY 14-15**	**FY 15-16**	**FY 16-17**	**FY 17-18**	**Planned Total**	**Totals**
Hardware										
		$0			$0	$0	$0	$0		
	Subtotal - Hardware	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Software										
	Subtotal - Software	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Services										
	CCH System SW - Primary Site	$0			$0	$0	$0	$1,100,000	**$5,500,000**	
	CCH System SW - DR Site	$0			$0	$0	$0	$100,000	**$500,000**	
		$0			$0	$0	$0	$0	**$0**	
		$0			$0	$0	$0	$0	**$0**	
	Subtotal - Services	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$1,200,000**	**$6,000,000**	**$6,000,000**
Other										
	Standard Expenses for State pos.						$0	$28,175	**$140,875**	
	HR Service Fee						$0	$4,214	**$21,070**	
	Subtotal - Other	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$32,389**	**$161,945**	**$161,945**
Totals - Ops & Maintenance		**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$2,333,794**	**$11,668,968**	**$11,668,968**
TOTALS		**$469,768**	**$301,897**	**$771,665**	**$1,885,968**	**$3,900,775**	**$10,749,519**	**$2,333,794**	**$28,205,231**	**$28,976,896**

Appendix H – Project Risk Assessment

A copy of the complete project risk assessment is provided in the following pages.

Project	*Computerized Criminal History (CCH) Modernization*	
Agency	*FDLE*	
FY 2015-16 LBR Issue Code:	**FY 2015-16 LBR Issue Title:**	
24010C0	*Replace CCH System*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Mark Scharein, 410-8515, markscharein@fdle.state.fl.us		
Executive Sponsor	*Jennifer Pritt*	
Project Manager	*Mark Scharein*	
Prepared By	*Mark Scharein*	*9/12/2014*

Risk Assessment Summary



Project Risk Area Breakdown

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

Agency: FDLE Project: Computerized Criminal History (CCH) Modernization

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	Legislation or proposed rule change is drafted
		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	Extensive 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	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: FDLE Project: Computerized Criminal History (CCH) 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	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed 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 defined only at a conceptual level
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: FDLE Project: Computerized Criminal History (CCH) 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
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	Yes
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	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 defiined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	1 to 10% 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: Agency Name Project: Project Name

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

Agency: FDLE Project: Computerized Criminal History (CCH) Modernization

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

Agency: FDLE Project: Computerized Criminal History (CCH) Modernization

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
		Purchase all hardware and software at start of project to take advantage of one-time discounts	hardware and software is documented in the project schedule
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has 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	No, bid response did/will not require proof of concept or prototype
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: FDLE Project: Computerized Criminal History (CCH) 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	No, business, functional or technical experts dedicated 50% or less to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	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	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate 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	

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	Yes
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	0% to 40% -- None or few 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	41 to 80% -- Some 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	0% to 40% -- None or few 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
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes No	No
7.12	Are formal project status reporting processes documented and in place to manage and	No or informal processes are used for status reporting Project team uses formal processes	Project team and executive steering committee use formal

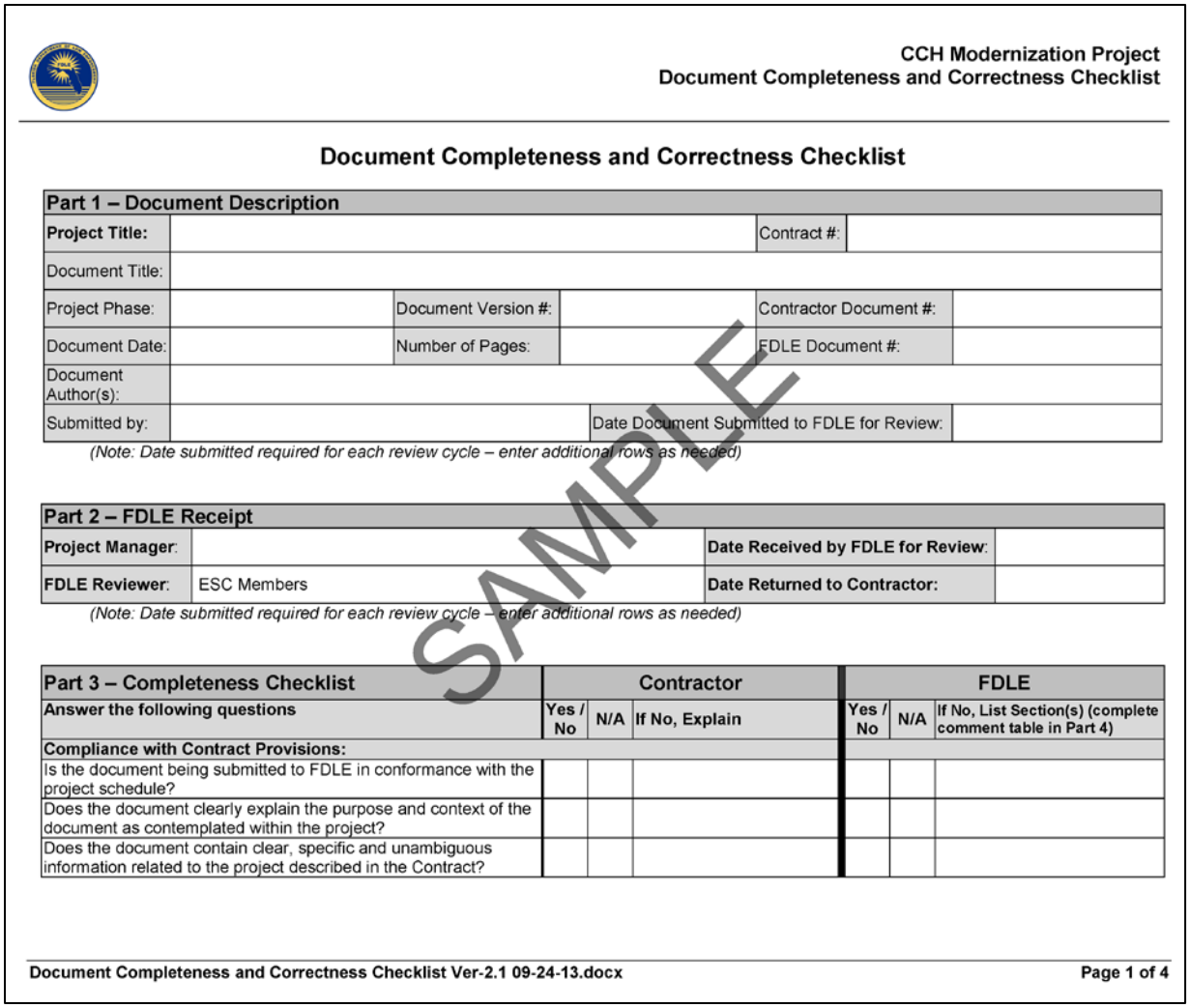
Agency: FDLE Project: Computerized Criminal History (CCH) Modernization

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
	control this project?	Project team and executive steering committee use formal status reporting processes	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: FDLE Project: Computerized Criminal History (CCH) Modernization

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	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	More than 4
		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	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Lesser 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	Similar size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

Appendix I – Document Completeness and Correctness Checklist



CCH Modernization Project
Document Completeness and Correctness Checklist

Document Completeness and Correctness Checklist

Part 1 – Document Description					
Project Title:				Contract #:	
Document Title:					
Project Phase:		Document Version #:		Contractor Document #:	
Document Date:		Number of Pages:		FDLE Document #:	
Document Author(s):					
Submitted by:		Date Document Submitted to FDLE for Review:			

(Note: Date submitted required for each review cycle – enter additional rows as needed)

Part 2 – FDLE Receipt			
Project Manager:		**Date Received by FDLE for Review**:	
FDLE Reviewer:	ESC Members	**Date Returned to Contractor:**	

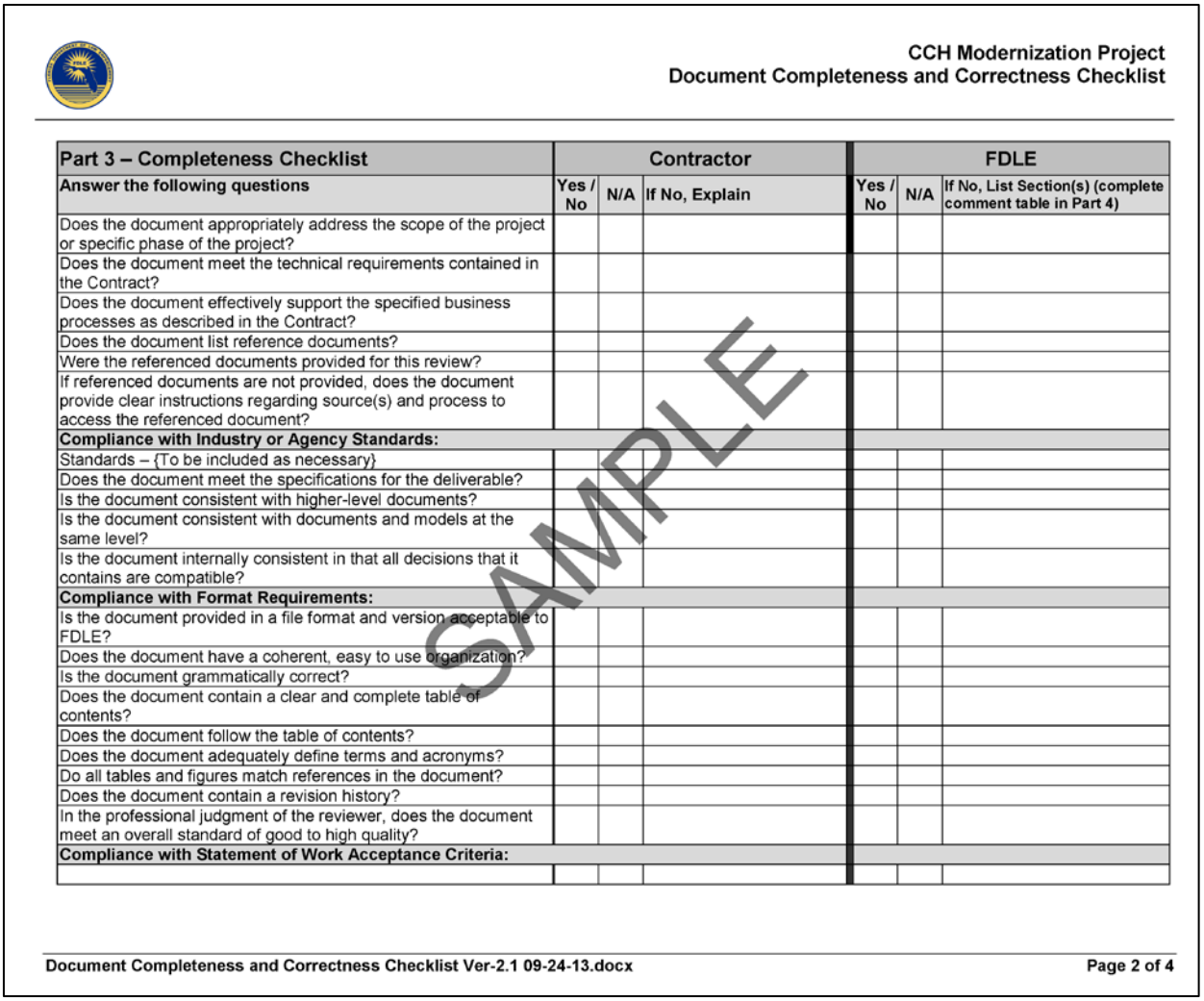
(Note: Date submitted required for each review cycle – enter additional rows as needed)

SAMPLE

Part 3 – Completeness Checklist	Contractor			FDLE		
Answer the following questions	**Yes / No**	**N/A**	**If No, Explain**	**Yes / No**	**N/A**	**If No, List Section(s) (complete comment table in Part 4)**
Compliance with Contract Provisions:						
Is the document being submitted to FDLE in conformance with the project schedule?						
Does the document clearly explain the purpose and context of the document as contemplated within the project?						
Does the document contain clear, specific and unambiguous information related to the project described in the Contract?						

Document Completeness and Correctness Checklist Ver-2.1 09-24-13.docx Page 1 of 4

Figure 1. Document Completeness and Correctness Checklist (Page 1)

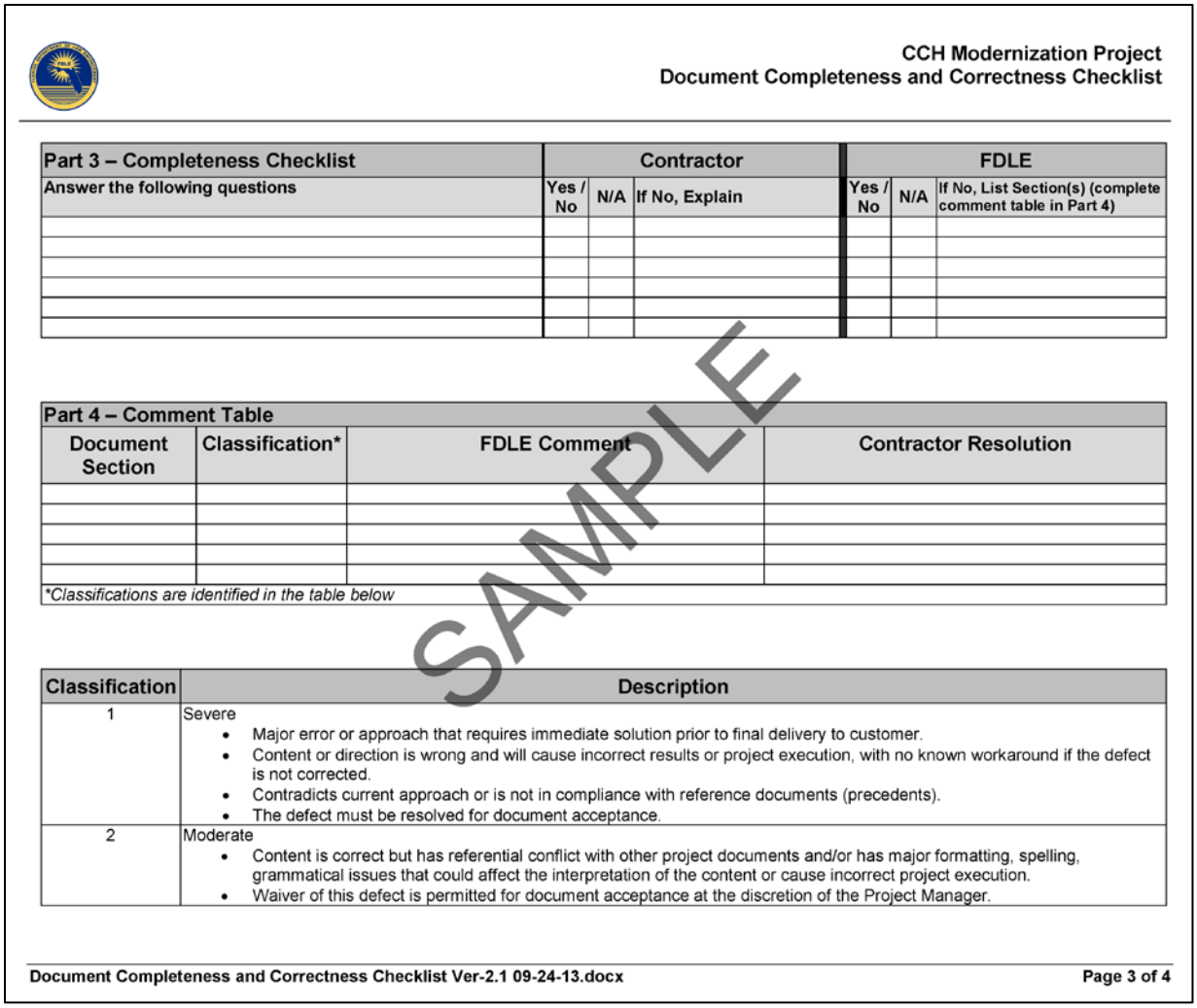


CCH Modernization Project
Document Completeness and Correctness Checklist

Part 3 – Completeness Checklist	Contractor			FDLE		
Answer the following questions	**Yes / No**	**N/A**	**If No, Explain**	**Yes / No**	**N/A**	**If No, List Section(s) (complete comment table in Part 4)**
Does the document appropriately address the scope of the project or specific phase of the project?						
Does the document meet the technical requirements contained in the Contract?						
Does the document effectively support the specified business processes as described in the Contract?						
Does the document list reference documents?						
Were the referenced documents provided for this review?						
If referenced documents are not provided, does the document provide clear instructions regarding source(s) and process to access the referenced document?						
Compliance with Industry or Agency Standards:						
Standards – {To be included as necessary}						
Does the document meet the specifications for the deliverable?						
Is the document consistent with higher-level documents?						
Is the document consistent with documents and models at the same level?						
Is the document internally consistent in that all decisions that it contains are compatible?						
Compliance with Format Requirements:						
Is the document provided in a file format and version acceptable to FDLE?						
Does the document have a coherent, easy to use organization?						
Is the document grammatically correct?						
Does the document contain a clear and complete table of contents?						
Does the document follow the table of contents?						
Does the document adequately define terms and acronyms?						
Do all tables and figures match references in the document?						
Does the document contain a revision history?						
In the professional judgment of the reviewer, does the document meet an overall standard of good to high quality?						
Compliance with Statement of Work Acceptance Criteria:						

SAMPLE

Figure 19. Document Completeness and Correctness Checklist (Page 2)



CCH Modernization Project
Document Completeness and Correctness Checklist

Part 3 – Completeness Checklist	Contractor			FDLE		
Answer the following questions	Yes / No	N/A	If No, Explain	Yes / No	N/A	If No, List Section(s) (complete comment table in Part 4)

Part 4 – Comment Table			
Document Section	Classification*	FDLE Comment	Contractor Resolution

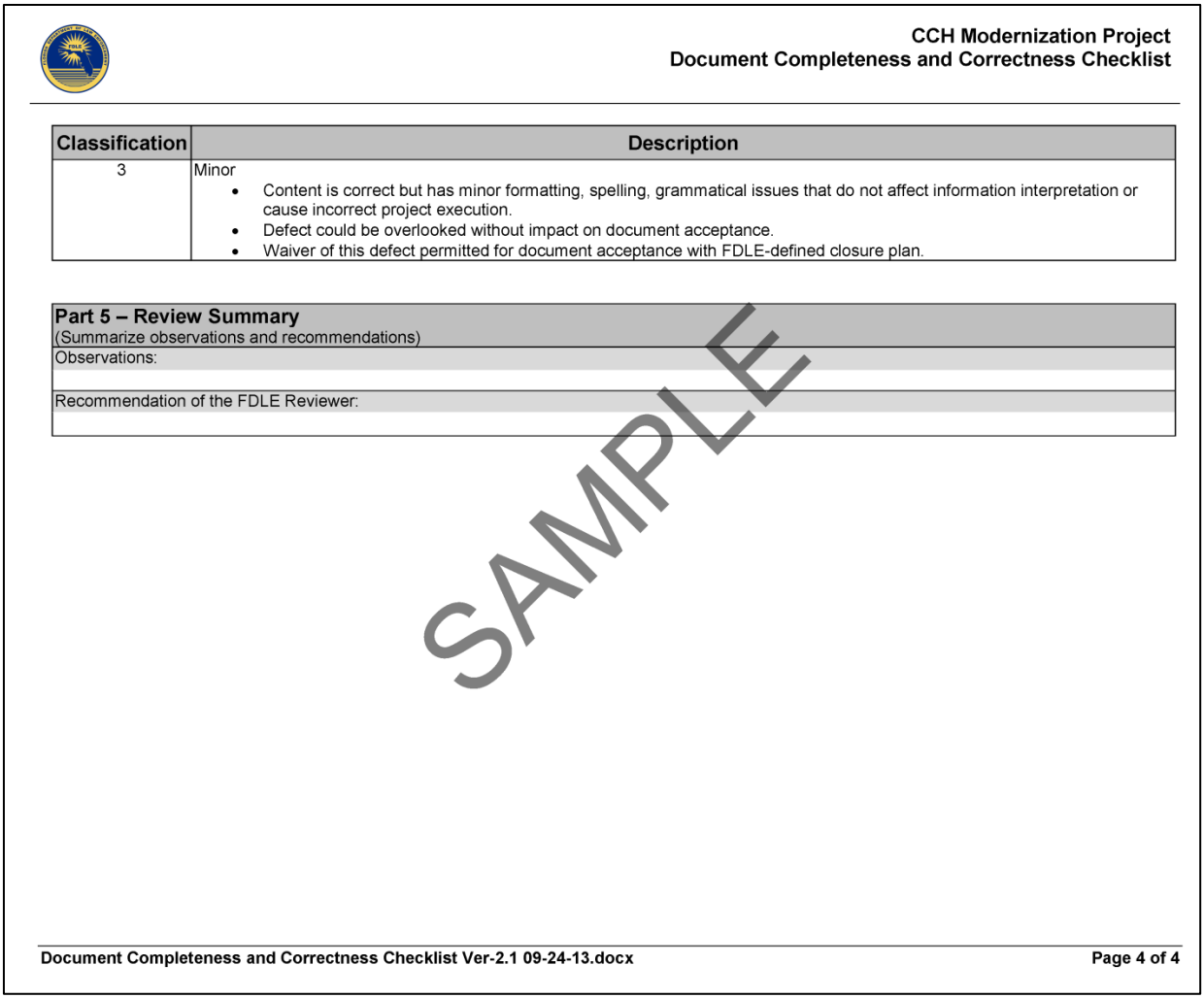
*Classifications are identified in the table below

SAMPLE

Classification	Description
1	Severe • Major error or approach that requires immediate solution prior to final delivery to customer. • Content or direction is wrong and will cause incorrect results or project execution, with no known workaround if the defect is not corrected. • Contradicts current approach or is not in compliance with reference documents (precedents). • The defect must be resolved for document acceptance.
2	Moderate • Content is correct but has referential conflict with other project documents and/or has major formatting, spelling, grammatical issues that could affect the interpretation of the content or cause incorrect project execution. • Waiver of this defect is permitted for document acceptance at the discretion of the Project Manager.

Document Completeness and Correctness Checklist Ver-2.1 09-24-13.docx Page 3 of 4

Figure 19. Document Completeness and Correctness Checklist (Page 3)



CCH Modernization Project
Document Completeness and Correctness Checklist

Classification	Description
3	Minor • Content is correct but has minor formatting, spelling, grammatical issues that do not affect information interpretation or cause incorrect project execution. • Defect could be overlooked without impact on document acceptance. • Waiver of this defect permitted for document acceptance with FDLE-defined closure plan.

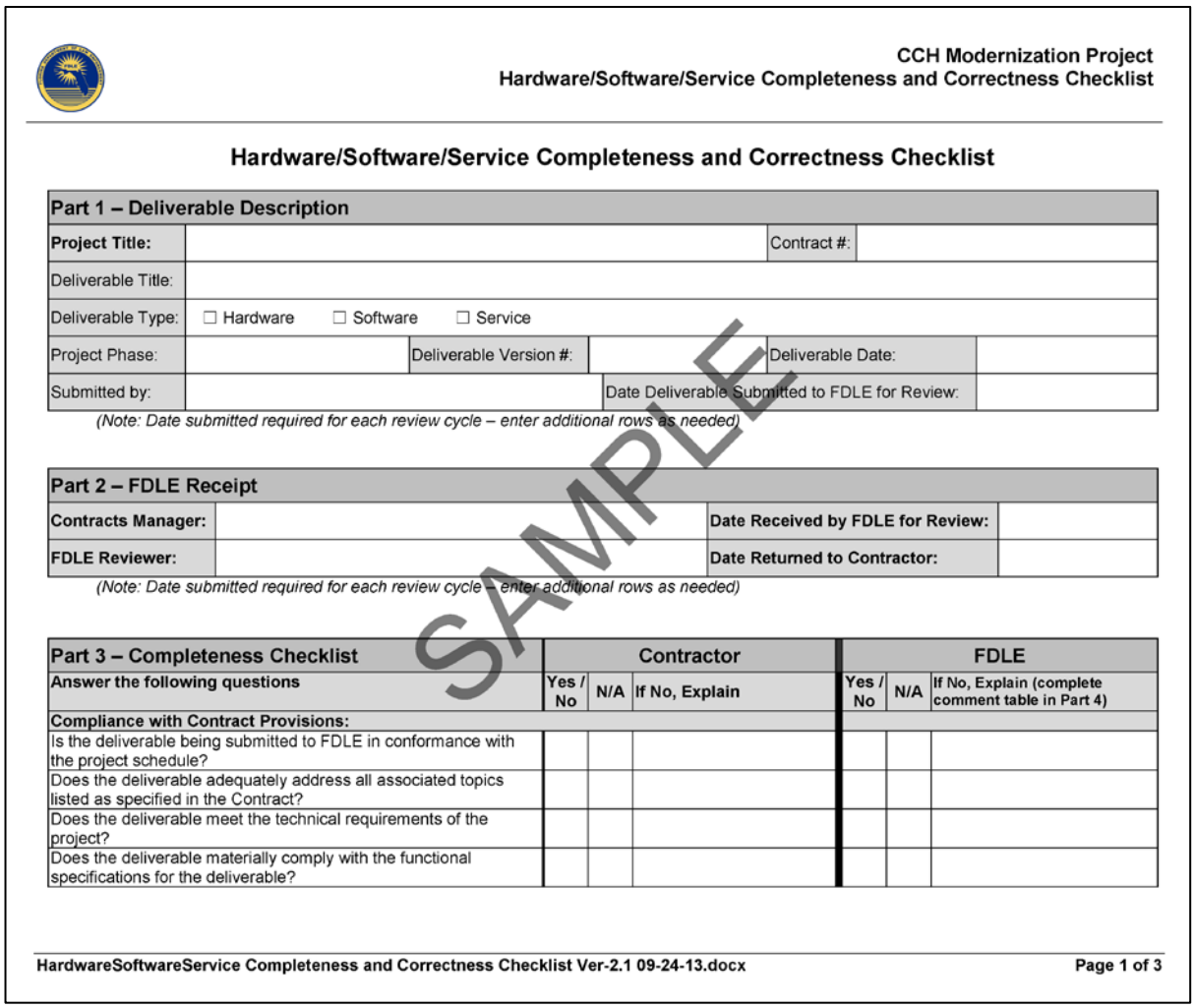
Part 5 – Review Summary (Summarize observations and recommendations)
Observations:
Recommendation of the FDLE Reviewer:

SAMPLE

Document Completeness and Correctness Checklist Ver-2.1 09-24-13.docx Page 4 of 4

Figure 19. Document Completeness and Correctness Checklist (Page 4)

Appendix J – Hardware/Software/Service Completeness and Correctness Checklist



CCH Modernization Project
Hardware/Software/Service Completeness and Correctness Checklist

Hardware/Software/Service Completeness and Correctness Checklist

Part 1 – Deliverable Description					
Project Title:				Contract #:	
Deliverable Title:					
Deliverable Type:	☐ Hardware ☐ Software ☐ Service				
Project Phase:		Deliverable Version #:		Deliverable Date:	
Submitted by:			Date Deliverable Submitted to FDLE for Review:		

(Note: Date submitted required for each review cycle – enter additional rows as needed)

Part 2 – FDLE Receipt			
Contracts Manager:		**Date Received by FDLE for Review:**	
FDLE Reviewer:		**Date Returned to Contractor:**	

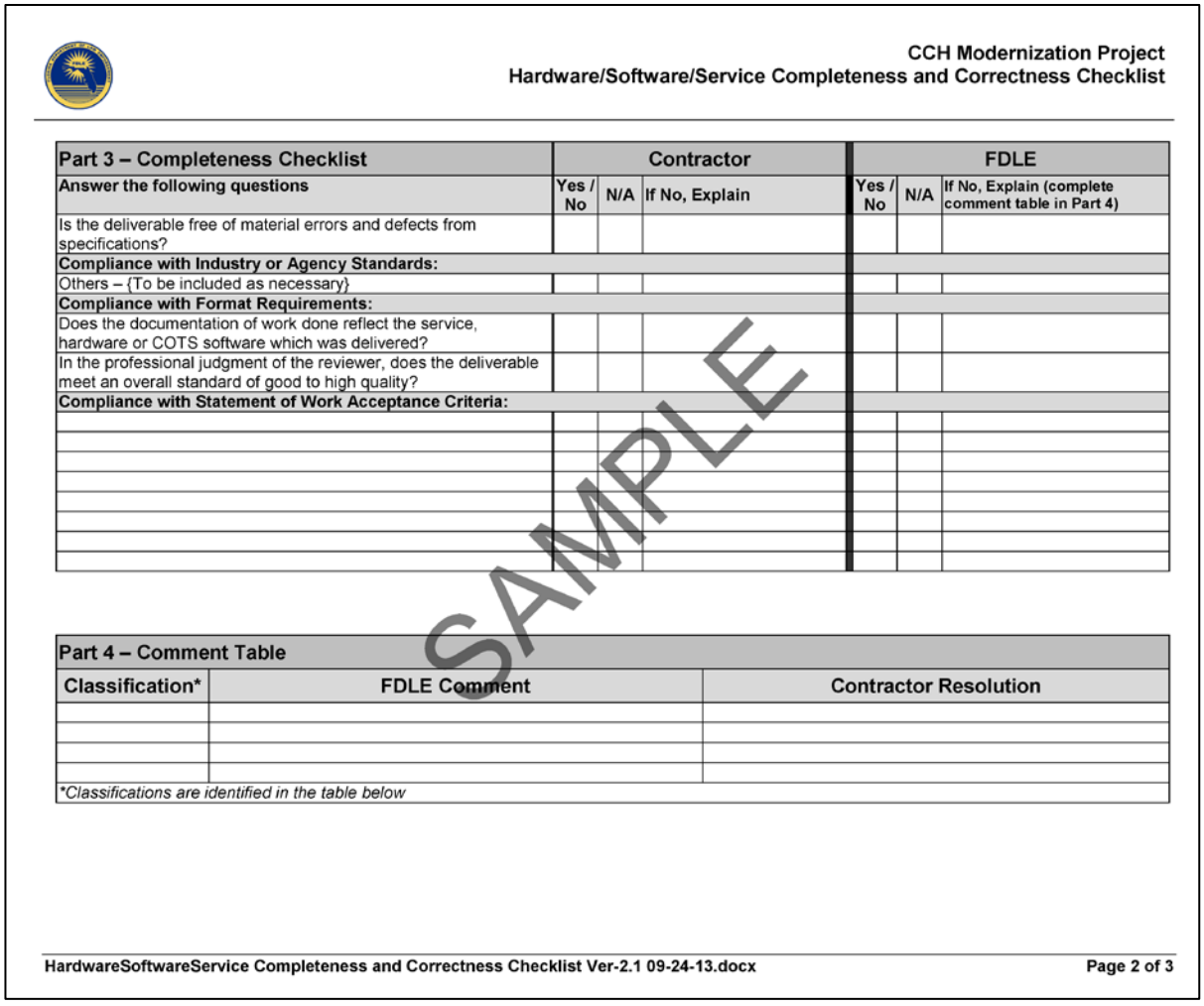
(Note: Date submitted required for each review cycle – enter additional rows as needed)

Part 3 – Completeness Checklist	Contractor			FDLE		
Answer the following questions	**Yes / No**	**N/A**	**If No, Explain**	**Yes / No**	**N/A**	**If No, Explain (complete comment table in Part 4)**
Compliance with Contract Provisions:						
Is the deliverable being submitted to FDLE in conformance with the project schedule?						
Does the deliverable adequately address all associated topics listed as specified in the Contract?						
Does the deliverable meet the technical requirements of the project?						
Does the deliverable materially comply with the functional specifications for the deliverable?						

SAMPLE

HardwareSoftwareService Completeness and Correctness Checklist Ver-2.1 09-24-13.docx Page 1 of 3

Figure 1. Hardware/Software/Service Completeness and Correctness Checklist (Page 1)



CCH Modernization Project
Hardware/Software/Service Completeness and Correctness Checklist

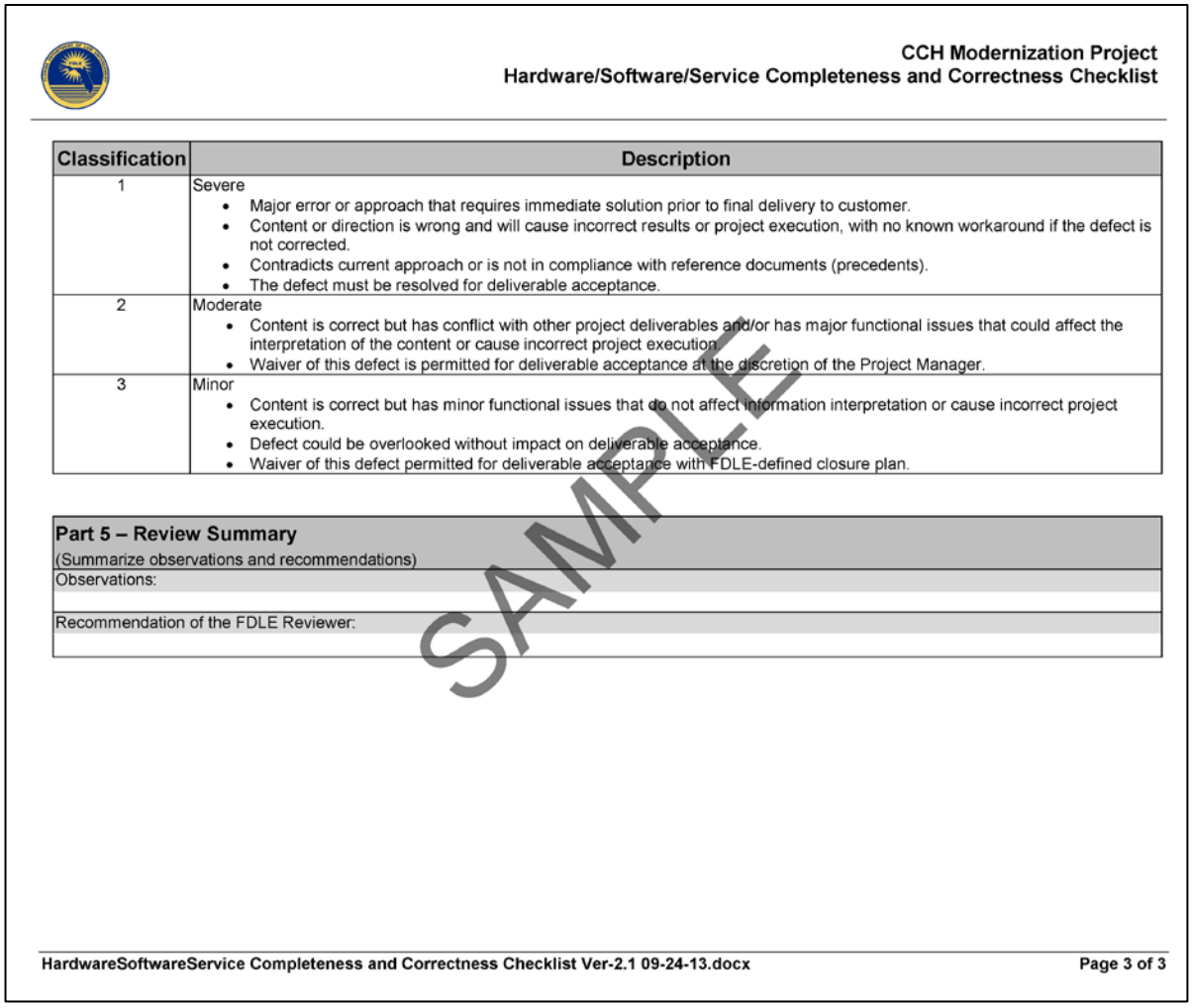
Part 3 – Completeness Checklist	Contractor			FDLE		
Answer the following questions	Yes / No	N/A	If No, Explain	Yes / No	N/A	If No, Explain (complete comment table in Part 4)
Is the deliverable free of material errors and defects from specifications?						
Compliance with Industry or Agency Standards:						
Others – {To be included as necessary}						
Compliance with Format Requirements:						
Does the documentation of work done reflect the service, hardware or COTS software which was delivered?						
In the professional judgment of the reviewer, does the deliverable meet an overall standard of good to high quality?						
Compliance with Statement of Work Acceptance Criteria:						

SAMPLE

Part 4 – Comment Table		
Classification*	FDLE Comment	Contractor Resolution
*Classifications are identified in the table below		

HardwareSoftwareService Completeness and Correctness Checklist Ver-2.1 09-24-13.docx Page 2 of 3

Figure 20. Hardware/Software/Service Completeness and Correctness Checklist (Page 2)



CCH Modernization Project
Hardware/Software/Service Completeness and Correctness Checklist

Classification	Description
1	Severe • Major error or approach that requires immediate solution prior to final delivery to customer. • Content or direction is wrong and will cause incorrect results or project execution, with no known workaround if the defect is not corrected. • Contradicts current approach or is not in compliance with reference documents (precedents). • The defect must be resolved for deliverable acceptance.
2	Moderate • Content is correct but has conflict with other project deliverables and/or has major functional issues that could affect the interpretation of the content or cause incorrect project execution. • Waiver of this defect is permitted for deliverable acceptance at the discretion of the Project Manager.
3	Minor • Content is correct but has minor functional issues that do not affect information interpretation or cause incorrect project execution. • Defect could be overlooked without impact on deliverable acceptance. • Waiver of this defect permitted for deliverable acceptance with FDLE-defined closure plan.

Part 5 – Review Summary (Summarize observations and recommendations)
Observations:
Recommendation of the FDLE Reviewer:

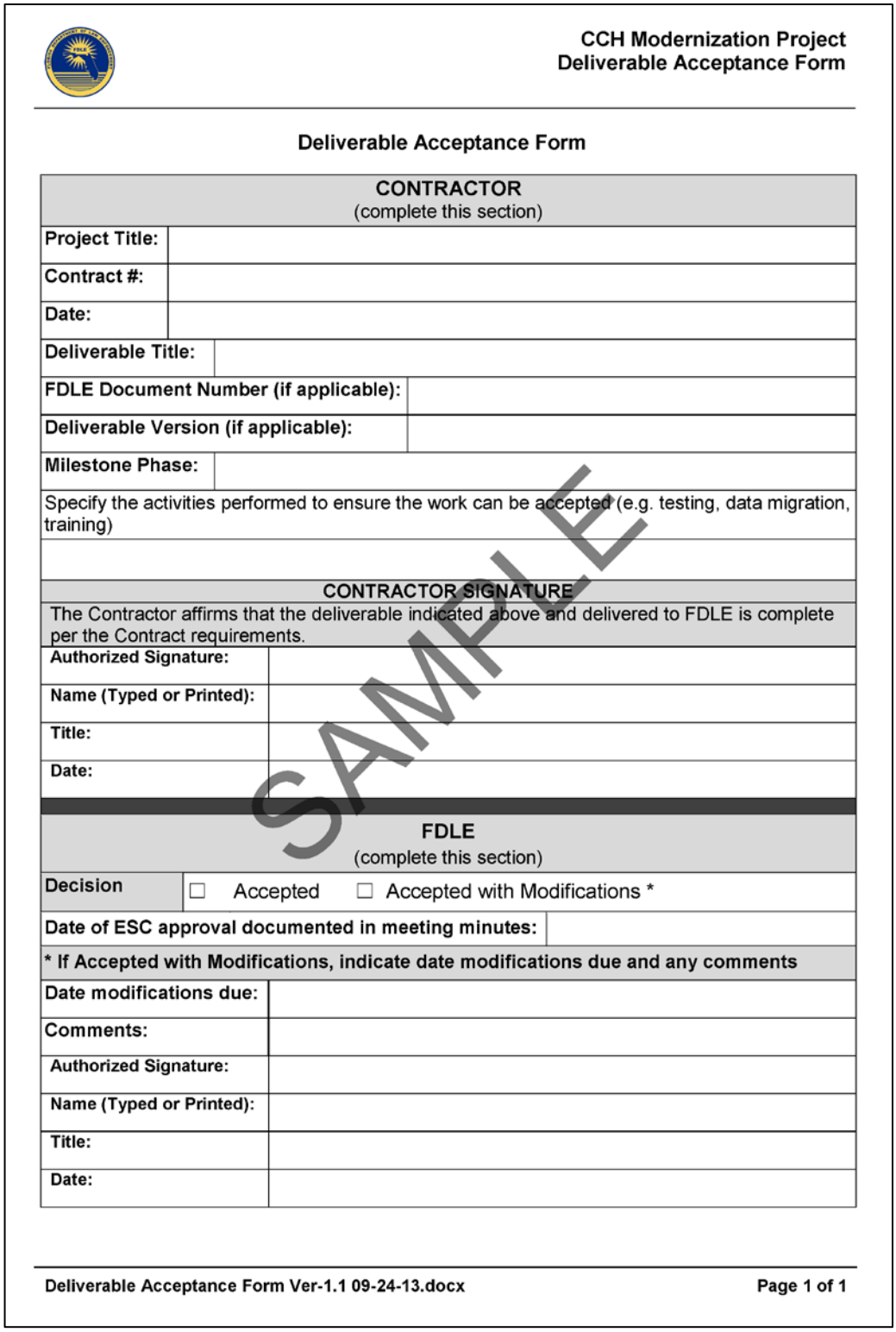
SAMPLE

HardwareSoftwareService Completeness and Correctness Checklist Ver-2.1 09-24-13.docx Page 3 of 3

Figure 20. Hardware/Software/Service Completeness and Correctness Checklist (Page 3)

THIS PAGE INTENTIONALLY LEFT BLANK

Appendix K – Deliverable Acceptance Form



CCH Modernization Project
Deliverable Acceptance Form

Deliverable Acceptance Form

CONTRACTOR (complete this section)	
Project Title:	
Contract #:	
Date:	
Deliverable Title:	
FDLE Document Number (if applicable):	
Deliverable Version (if applicable):	
Milestone Phase:	
Specify the activities performed to ensure the work can be accepted (e.g. testing, data migration, training)	

CONTRACTOR SIGNATURE	
The Contractor affirms that the deliverable indicated above and delivered to FDLE is complete per the Contract requirements.	
Authorized Signature:	
Name (Typed or Printed):	
Title:	
Date:	

FDLE (complete this section)	
Decision	☐ Accepted ☐ Accepted with Modifications *
Date of ESC approval documented in meeting minutes:	
* If Accepted with Modifications, indicate date modifications due and any comments	
Date modifications due:	
Comments:	
Authorized Signature:	
Name (Typed or Printed):	
Title:	
Date:	

SAMPLE

Deliverable Acceptance Form Ver-1.1 09-24-13.docx Page 1 of 1

Figure 2. Deliverable Acceptance Form

THIS PAGE INTENTIONALLY LEFT BLANK

Appendix L – Historical Growth Rates

Table 1. Historical Growth Rates						
Type of Records	**FY 2009-10**	**FY 2010-11**	**FY 2011-12**	**FY 2012-13**	**FY 2013-14**	**Average Historical Growth Rate Percentage**
Arrest	32,782,002	34,192,205	35,569,964	36,894,977	38,160,158	4.06%
Identity	6,816,608	6,981,018	7,135,791	7,287,108	7,429,681	2.28%
Dissemination	266,061,908	278,500,105	291,185,689	304,513,025	318,773,574	4.66%
Disposition, Judicial	19,131,199	20,182,921	21,240,607	23,018,375	24,609,879	6.92%
Custody	1,312,320	1,372,513	1,428,723	1,484,457	1,539,476	4.27%
Registrations	904,442	983,334	1,060,000	1,133,657	1,203,280	7.98%
Totals	327,008,479	342,212,096	357,620,774	374,331,599	391,716,048	4.70%

NOTE: It is anticipated that there will be a minimum increase of 10% of arrests (assuming that NTAs will contain dispositions) for NTA records.

THIS PAGE INTENTIONALLY LEFT BLANK

Appendix K – Deliverable Acceptance Form

CCH Modernization Project
Deliverable Acceptance Form

Deliverable Acceptance Form

CONTRACTOR (complete this section)	
Project Title:	
Contract #:	
Date:	
Deliverable Title:	
FDLE Document Number (if applicable):	
Deliverable Version (if applicable):	
Milestone Phase:	
Specify the activities performed to ensure the work can be accepted (e.g. testing, data migration, training)	
CONTRACTOR SIGNATURE	
The Contractor affirms that the deliverable indicated above and delivered to FDLE is complete per the Contract requirements.	
Authorized Signature:	
Name (Typed or Printed):	
Title:	
Date:	

SAMPLE

FDLE (complete this section)	
Decision	☐ Accepted ☐ Accepted with Modifications *
Date of ESC approval documented in meeting minutes:	
*** If Accepted with Modifications, indicate date modifications due and any comments**	
Date modifications due:	
Comments:	
Authorized Signature:	
Name (Typed or Printed):	
Title:	
Date:	

Deliverable Acceptance Form Ver-1.1 09-24-13.docx **Page 1 of 1**

Appendix L – Historical Growth Rates

Table 1. Historical Growth Rates						
Type of Records	**FY 2009-10**	**FY 2010-11**	**FY 2011-12**	**FY 2012-13**	**FY 2013-14**	**Average Historical Growth Rate Percentage**
Arrest	32,782,002	34,192,205	35,569,964	36,894,977	38,160,158	4.06%
Identity	6,816,608	6,981,018	7,135,791	7,287,108	7,429,681	2.28%
Dissemination	266,061,908	278,500,105	291,185,689	304,513,025	318,773,574	4.66%
Disposition, Judicial	19,131,199	20,182,921	21,240,607	23,018,375	24,609,879	6.92%
Custody	1,312,320	1,372,513	1,428,723	1,484,457	1,539,476	4.27%
Registrations	904,442	983,334	1,060,000	1,133,657	1,203,280	7.98%
Totals	327,008,479	342,212,096	357,620,774	374,331,599	391,716,048	4.70%

FY 2015-16 SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM
For Fiscal Year 2015-16

October 2014

Florida Department
of
Law Enforcement

THIS PAGE INTENTIONALLY LEFT BLANK

Contents

I. Schedule IV-B Cover Sheet 4
II. Schedule IV-B Business Case – Strategic Needs Assessment 6
A. Background and Strategic Needs Assessment 6
1. Business Need 7
2. Business Objectives 10
B. Baseline Analysis 11
1. Current Business Processes 11
2. Assumptions and Constraints 14
C. Proposed Business Process Requirements 15
1. Proposed Business Process Requirements 15
2. Business Solution Alternatives 16
3. Rationale for Selection 16
4. Recommended Business Solution 17
D. Functional and Technical Requirements 17
III. Success Criteria 22
IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis 24
A. Benefits Realization Table 24
B. Cost Benefit Analysis (CBA) 28
1. Cost-Benefit Analysis Results 28
V. Schedule IV-B Major Project Risk Assessment 30
A. Risk Assessment Summary Table 30
B. Risk Assessment Summary 31
VI. Schedule IV-B Technology Planning 33
A. Current Information Technology Environment 33
1. Information Technology Standards 37
B. Current Hardware and/or Software Inventory 39
C. Proposed Solution Description 39
1. Summary description of proposed system 39
2. Resource and summary level funding requirements for proposed solution (if known) 40
D. Capacity Planning 40
1. Historical and Current Information 40
2. Projected Requirements 41
VII. Schedule IV-B Project Management Planning 42
A. Scope Management 43
B. Schedule Management 46
C. Cost Management 47

D. Project Organization 47
1. Executive Sponsor 50
2. Project Steering Committee 50
3. Project Management Office 50
4. Project Manager 50
5. Project Team 51
6. Contracts Manager 51
7. Technical Project Sub-Team(s) 51
8. Business Project Sub-Team(s) 51
9. External Oversight 52
E. Quality Assurance 52
F. Issue Management 54
G. Project Issues 54
H. Product Issues 55
I. Monitoring and Reporting 56
J. Risk Management 57
K. Change Management 59
L. Communication Plan 60
VIII. Appendices 63
Appendix A – Standards and Definitions 64
Appendix B – Cost-Benefit Analysis Worksheets 65
Appendix C – Current System Cost 66
Appendix D – Project Cost Estimate 68
Appendix E – Risk Assessment Worksheets 70

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	**Schedule IV-B Submission Date:**
Project Name: Automated Training Management System Rewrite and Upgrade	**Is this project included in the Agency's LRPP?** ____ Yes _X No
FY 2015-16 LBR Issue Code: 36116C0	**FY 2015-16 LBR Issue Title:** Upgrade Automated Training Management System (ATMS)
Agency Contact for Schedule IV-B (Name, Phone #, and email address): **Becky Lackey, 850-410-8459, beckylackey@fdle.state.fl.us**	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: **Printed Name: Gerald M. Bailey**	**Date:** 10/13/14
Agency Chief Information Officer (or equivalent): **Printed Name: Joey Hornsby**	**Date:** 10/13/14
Budget Officer: **Printed Name: Cynthia Barr**	**Date:** 10-13-14
Planning Officer: **Printed Name: Victoria Kliner**	**Date:** 10-13-14
Project Sponsor: **Printed Name: Dean Register**	**Date:** 10/13/14
Schedule IV-B Preparers (Name, Phone #, and Email address):	
Business Need:	Glen Hopkins, 410-8660, glenhopkins@fdle.state.fl.us
Cost-Benefit Analysis:	Becky Lackey, 410-8459, beckylackey@fdle.state.fl.us
Risk Analysis:	Glen Hopkins, 410-8660, glenhopkins@fdle.state.fl.us
Technology Planning:	Joey Hornsby, 410-8455, joeyhornsby@fdle.state.fl.us
Project Planning:	Sonja Guthrie, 410-8359, sonjaguthrie@fdle.state.fl.us

THIS PAGE INTENTIONALLY LEFT BLANK

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

A. Background and Strategic Needs Assessment

Florida Department of Law Enforcement (FDLE) is composed of five divisions.

- Executive Direction and Business Support
- Criminal Investigations and Forensic Science
- Criminal Justice Information
- Criminal Justice Professionalism
- Florida Capitol Police

In addition, the Department formally coordinates eight boards, councils, and commissions. FDLE's duties, responsibilities and procedures are mandated through Chapter 943, F.S. and Chapter 11, F.A.C.

Criminal Justice Professionalism (CJP) Division promotes and facilitates the competency and professional conduct of Florida's criminal justice officers and delivers training to Florida's criminal justice community and FDLE members.

FDLE develops training curricula, maintains certification and employment information for active certified criminal justice officers and conducts audits of officer training schools to assure compliance with rules and law. Through the Criminal Justice Standards and Training Commission (CJSTC), FDLE coordinates disciplinary actions against officers failing to meet prescribed standards.

The Professionalism Division also provides assistance to Florida law enforcement agencies in their accreditation application efforts through the Commission on Florida Accreditation and staffs the Medical Examiners Commission.

One mission critical information system operated by the Criminal Justice Professionalism Division is the Automated Training Management System (ATMS). The Automated Training Management System (ATMS) is a centralized repository mandated by Section 943.12(12), FS, and is comprised of records related to law enforcement, correctional, and correctional probation officer employment, certification, training, disciplinary actions, and salary incentive eligibility. The system was developed for the purpose of maintaining a singular statewide repository of information that could be immediately accessed to ascertain the status of an officer's current employment and certification status and any pending or resolved disciplinary actions meeting specific criteria in Chapter 943 of the Florida Statutes.

The operations of the Criminal Justice Standards and Training Commission are dependent upon the accuracy of the information in ATMS for decisions ranging from individual officer disciplinary sanctions, to the total officer count statewide, as well as providing support for the operations of 40 training schools statewide. It also contains the records of every individual who has taken the Basic Abilities Test (BAT) prior to attending basic training even if the individuals do not go on to become certified officers.

ATMS is used by employing agencies to manage employment registrations and separations and to enter mandatory retraining completion information; for example, the completion of required firearms training. Commission-certified training schools also enter information about classes scheduled at their facilities and attended by law enforcement, correctional and correctional probation officers. In addition, system users can retrieve reports on-line to assist them in managing officer records for their internal local or state agency needs and they can access the current curriculum of all Commission certified training courses.

The FDLE Professionalism Division utilizes the records contained within ATMS for a majority of its business operations and receives approximately 600 calls per week in reference to issues relevant to records within this system. In addition, high liability sections, such as the Alcohol Testing Program, depend upon the records contained within ATMS regarding currently certified Breath Test Operators and Agency Inspectors.

1. Business Need

ATMS is critical for the support, management, and integrity of criminal justice officer information across the State of Florida.

ATMS is a legacy system that was designed and built in the mid to late nineties using architecture and code that was based on the state of internet technology that existed at that time. Unfortunately, this technology is now nearing obsolescence and is no longer able to be modified easily to meet the ever changing needs of the criminal justice community.

The following issues will be addressed by updating ATMS:

As the need to capture officer related information evolved over the last 15 years, FDLE has compensated by creating a number of utilities and

subsystems. ATMS Search is an Access-based system utilizing data stored in ATMS to assist with detailed officer discipline case tracking, scheduling, and member performance. It is stored outside of ATMS and is accessed via an internal FDLE server. The certification of patrol canine teams continues to be a manual process, and is maintained in a separate database. This process involves criminal justice employing agency personnel submitting paper forms to members in Tallahassee who input the data into the database and produce a certificate for the canine team. Canine teams must be recertified on an annual basis which duplicates the amount of labor intensive data entry. Incorporating this process into a new program would allow the process to include more automation, thus reducing internal and external members time. Maintaining disparate systems can become unwieldy because changes to ATMS must be coded into the various subsystems as well. All of the supporting utilities and subsystems should be fully integrated into ATMS.

ATMS is heavily dependent on paper documents, such as officer backgrounds and proof of education, which cannot currently be stored or attached to an officer's record in the system. A new system design would allow for emerging technology that encourages the use of electronic submission of documentation and more seamless updates to records in the system based on training requirements. The ability to maintain these documents will allow the department to streamline auditing procedures as an officer changes employment.

The new design will help automate some of the steps necessary to manage officer certification records. The current system lacks the ability to integrate system data into form letters and reports that we are required to prepare. Currently, form letters are created and printed by manually merging the data into letter templates. Data is often manually typed from paper-based sources. Many of the statistical reports are hand tallied and manually entered into Word documents. The limited reporting abilities of ATMS have necessitated the creation and use of several systems/processes external to ATMS. For example, the Commission's officer discipline process involves the creation of many pieces of correspondence, hearing agendas, and quarterly reports. Numerous pieces of correspondence associated with the process are created as a Microsoft Word mail merge utilizing a document created manually as the data source, much of which is stored in ATMS. Additionally, ATMS houses much of the data used to create agendas for each of the 8 yearly hearings related to the Commission's disciplinary process. This ATMS

data must be gathered manually and merged into a Microsoft Word document. Several statistical reports are also created involving the discipline process. Quarterly statistics are created and presented to the Commission detailing the number of cases processed, the outcome of the cases, and the number and types of violations charged. The data maintained in ATMS is accessed via queries that are run in Crystal Reports. The results are then formatted in a Microsoft Word document and provided to the Commission. A more detailed statistical report is prepared each quarter and made available on FDLE's public website. These reports provide information related to the frequency specific charges that are levied against the categories of officers certified by the Commission. Information is also broken down by other ATMS demographics, such as; race, gender, and education level. These statistics are frequently used by students and researchers interested in officer discipline issues. For many years this process was entirely manual. However, FDLE developed a reporting program external to ATMS which can tabulate these statistics.

Currently, FDLE Information Technology Services (ITS) members produce reports from ATMS on an ad hoc basis when filling public records requests, research questions, and other inquiries concerning officer data. These reports are used to fill such requests as how many officers are in a given county; how many officers statewide have completed their mandatory retraining; and specific requests such as providing the names, employing agencies, and Commission-issued discipline related to officers charged with a specific offense during a given time period. Because of the limited reports that are maintained in ATMS, these reports become necessary because typically the parameters of the individual reports are too specific to make a permanent report in ATMS practical. Expanded reporting capabilities in a new program could allow these types of reports to be produced without the involvement of ITS members.

ATMS has an aging and non-intuitive user interface that is lacking in stability and design. Occasionally, the user interface results in user frustration, and portrays an external appearance that is not consistent with FDLE's professional image. The system often forces users to jump between pages and does not notify users to save information when paging-off of an entry screen which can result in lost data. In addition, ATMS will only work with older versions of Internet Explorer (IE), and is not compatible with any other types of web browsers. Because of the outdated technology and architecture, the system is difficult to maintain

and upgrade and with each new version of Internet Explorer, new incompatibilities arise that make it difficult for agencies to access and use ATMS. FDLE has been able to find workarounds for many of the issues, but if the system is not upgraded it will reach a point where it will no longer function on modern computers and browsers.

2. Business Objectives

In order to meet the demands and complexities of quality law enforcement service in Florida, today's criminal justice officer must be able to respond and react in a competent and capable manner. FDLE provides career development and customized training for criminal justice officers to enhance their ability to effectively deal with victims and perpetrators of crime.

FDLE is directly involved in establishing training standards, identifying appropriate training curricula/materials, and initiating focused training for criminal justice "first responders" to prepare them to respond to potential and actual terrorist incidents.

To ensure that Florida's citizens and criminal justice agencies receive the highest quality criminal justice officers, FDLE develops and administers approximately 7000 certification examinations annually. The examinations are administered to basic recruit applicants seeking to become certified correctional officers, correctional probation officers, and law enforcement officers.

The State of Florida is recognized as a national leader in addressing officer discipline issues. This FDLE function provides a valuable public service that helps ensure ethical behavior of officers. The identification of serious officer misconduct provides valuable insight in addressing these issues as additional officer training needs.

FDLE's primary objectives for this project are to:

- Improve the methods of receiving, storing, processing, and displaying data
- Provide a flexible database structure to allow new data elements to be added
- Improve the connection between disciplinary cases

- Provide the ability to process and accurately record the certifications, training, and employment information for actively certified criminal justice officers
- Provide an electronic method for agencies to submit changes or corrections to errors for their own records
- Provide a modern, role-based access control system, with effective logging
- Provide improved business processes through automated workflows and document management for CJP sections
- Eliminate ancillary systems
- Provide proactive notifications of actions and discrepancies
- Improve system performance and flexibility of the database, programs, and reports
- Meet FDLE's high availability requirements
- Meet FDLE's information technology (IT) standards and policies
- Maintain compliance with the State of Florida and FDLE security rules
- Support the current Criminal Justice Professionalism Division processes, such as:
    - Creating and updating criminal justice records
    - Receiving, determining eligibility, and complying with the Criminal Justice Standards and Training Commission rules and statutes
    - Managing record consolidation requests
    - Disseminating selected data/records based on the customer and purpose
    - Logging of disseminations
    - Receiving and processing personal review requests
    - Providing statistical analysis of ATMS data
    - Providing support to external customers.

B. Baseline Analysis

1. Current Business Processes

Under the guidance of the FDLE Information Technology Services (ITS) Division, a detailed analysis was performed on ATMS application to identify the core business functions.

The high-level findings of that analysis are as follows.

ATMS Modules/Processes

The chart below identifies the primary modules/processes of the current ATMS system along with a description of the functions within the module.

Module	Description	Functions
Notifications and CJSTC Information	Notifications and CJSTC information is provided for ATMS users.	• Notifications • CJSTC rules and forms
Member Information	Information is maintained for any individual that has information stored in ATMS. This includes students, officers and ATMS users.	• Demographics • Contact information • Search
Officer Certification and Employment	Track officer employment and certification and salary incentives.	• Certification • Employment and separation • Mandatory retraining • Salary incentive
Professional Compliance	Manages the officer complaints process including hearing scheduling and manages the officer discipline process.	• Complaint processing • Complaint monitoring • Hearings • Hearing rosters
Training	Tracks officer certification training and examination results	• Curriculum • Courses • Class roster • Examination results
Audits	Manages training center audits.	• Training Center
Alcohol Testing Program (ATP)	Manages ATP certifications and permits.	• Certifications • Permits
Administrative Functions	Administrative functions are provided to change and update application data such as agencies and system codes as well as providing standard reports for all functional areas of ATMS.	• Agencies • Attorneys • System codes • Overrides • Reports

Stakeholders - The primary duties of the stakeholders will be to ensure that the system successfully supports all of their business functions and work processes. A small group of representatives from each section will be included in Joint Application Design (JAD) sessions and system discussions to ensure that their requirements are taken into consideration. The Division representatives need to have a working familiarity with the business needs within their work unit(s), good communication skills, and a receptive attitude towards change. The stakeholders are comprised of the following groups:

- Statewide Certified Criminal Justice Selection and Training Centers
- State and local criminal justice agencies
- The Florida Department of Law Enforcement

2. Assumptions and Constraints

a. Assumptions -

The Florida ATMS is mission critical to FDLE and criminal justice agencies for the support, manage, and maintain the integrity of criminal justice officer information across the State of Florida. A central repository for active certified criminal justice officers' certifications, training and employment information records will continue to be necessary to support criminal justice professionals and Florida's overall public safety and security for the foreseeable future.

The demand for certifications, training and employment information records will continue to grow and laws associated with officer certification and professional compliance will continue to evolve and change. Requests to collect and report on specific data will change as policy issues emerge and change.

b. Constraints -

All project activities must be performed and completed within the United States and all data must remain within the United States. Additionally, those who work on this project at FDLE facilities or have access to FDLE information systems will be permitted to work only upon successful completion of an FDLE background check. According to FDLE Policy 3.1 – Background Investigations, the background check will include, but is not limited to, criminal record check, credit check, drug test, and E-verify requirements.

The new system will follow FDLE's standard of availability for the system, which is a minimum of 99.5% uptime 24 hours a day, 7 days a week, and 365 days a year.

The new system must continue to comply with the state of Florida security policy (Chapter 71A-1), and FDLE's security policy.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

At a minimum, the proposed business solution will be required to have a central security application which manages user access, full audit tracking of records, record management, content management, imaging, workflow, searchable indexing, ad hoc query reporting, customized reports, full automation and complete integration using the most current technology possible.

All existing and future data must be easily accessible from any location in the system and be retrievable by the user from a single access point. The system must be user-friendly with minimal end user training required and have a disaster recovery and backup procedure at the server level.

Prior to implementation, ITS members will perform an analysis of Division requirements and ensure that all activities that are currently automated in the ATMS systems can be migrated into the new system with minimal configuration. The Division recognizes that some programming changes will be required to match the new system to FDLE's specific requirements.

These general changes may include the following items:

Database field names

Customizing data types

Screen layouts that do the following:

Identifying and programming reporting criteria

Ensuring the work flow processes have been programmed to follow established business processes.

ITS and CJP members will provide full system documentation and training at the end user, application administrator, and system administrator levels.

2. Business Solution Alternatives

Option # 1 – Develop a new in-house system using a combination of existing programming members in addition to hiring several additional programmers to develop a fully customized in house solution which meet all of the system requirements as outlined in this document. This approach is the most feasible. FDLE has undertaken a number of IT projects using this approach such as the Firearm Eligibility System and Automated Investigative Management System. FDLE has Subject Matter Experts (SMEs) in areas of the ATMS system (business and IT) and members experienced in managing IT projects. The State Term Contract for IT consulting provides a large number of consulting firms from which to choose. By developing in house FDLE can incorporate the enhancements requested and perform the ongoing maintenance and support once in production.

Option # 2 – Maintain current system continuing to support business process changes with the current programming members. This option was ruled out because the current systems were built using technology that will no longer be supported in the near future, the cost of continuously making programming changes is not feasible, and operational process efficiency will not be realized. Past programming changes to the current system have already complicated the daily technical support and additional changes will only continue to increase this complication. This would require additional resources and costs. Some requested enhancements may be difficult, time consuming and/or have excessive costs associated with the current technology.

Option # 3 –Purchase Commercial Off the Shelf Software (COTS) with customization) which can track training, employment, and certification records to meet FDLE's business requirements. Currently we are not aware of a product available that can meet all of our business needs without a substantial amount of customization. However we are issuing a request for information (RFI) to determine if any such product would come close to meeting the core requirements and requested enhancements outlined in this document for the new ATMS.

3. Rationale for Selection

Evaluating the options to make a final selection took several important key factors into consideration: unabridged internal project oversight, cost, staff time, operational functionality, efficiency, data accuracy, security, maximized utilization of resources, and reporting.

4. Recommended Business Solution

Based on the many factors that were taken into consideration, management made the decision that it would be in FDLE's best interests to pursue an in-house solution for the rewrite of the ATMS system for the reasons listed above.

D. Functional and Technical Requirements

Functional Requirements

- All existing functionality will be maintained in the new system. This functionality is described in detail in *VI. Schedule IV-B Technology Planning, A. Current Information Technology Environment, 1. Current Systems*.
- Central Security Application which manages user access, full audit tracking of records, record management, content management, imaging, workflow, searchable indexing, ad hoc query reporting, customized reports, full automation and complete integration using the most current technology possible.
- Automate the integration of data into form letters and reports.
- Maintain static documentation required for officer background and employment purposes, such as proof of required educational requirements.
- All existing and future data must be easily accessible from any location in the system and be retrievable by the user from a single access point.
- The system must be user-friendly with minimal end user training required and have a disaster recovery and backup procedure at the server level.
- ITS and CJP members will provide full system documentation and training at the end user, application administrator, and system administrator levels.

Technical Requirements

- Any system selected for implementation would use technology to provide the flexibility for future data sharing initiatives with other state and federal law enforcement agencies.
- Use electronic submission of documentation by uploading electronic documents and submitting forms through the document management system.
- This document management system should provide for centralized data storing of many types of data sets.
- The system should be accessible 24 hours per day 7 days a week.
- The system should support an unlimited number of concurrent users.
- The system should be architecturally sound enough to share data at the Federal, State, and local level.

- The system technology needs to be as current as possible to sustain a maximum support life.

Existing Functionality by Functional Area

a. Alcohol Testing Program (ATP)

a. ATP Certification (Operator and Instructor) - Track and maintain Breathalyzer operator and instructor certification information.

b. Reporting - Standard reports for tracking certification information as well as ATP case related information.

c. Standard Forms (pre-filled) - Standard forms used by ATP can be pre-populated with existing data from the database.

d. Certificate Printing - Print ATP certificates on demand as certifications are created or renewed.

b. Curriculum

a. Provide course information for officer training - Tracks and maintains courses offered for mandatory retraining as well as elective courses.

b. Provide training course content for instructors - Digital curriculum content is provided for download by instructors.

c. Allow course content and other documentation to be uploaded to ATMS - Provides functionality for digital content and documents to be uploaded, downloaded and curated within ATMS.

c. Drug Abuse Resistance Education (DARE)

a. ATMS officer profile - Make officer profile information (certification and employment information) available to the DARE program.

b. Officer information - Allow DARE to access officer information as necessary for program compliance.

c. Agency information - All DARE to access agency information as required.

d. Officer Certification Examination

a. Integration with Pearson VUE for computer based testing - Integrate ATMS certification course and class information, such as exam eligibility, with a computer-based testing (CBT) system.

b. Class scheduling - Provide for class scheduling and tracking of student registration for certification courses.

- **c.** Course information - Track and maintain course information required for certification and mandatory retraining courses.
- **d.** Exam results - Maintain exam results records for basic abilities tests (BAT) and state officer certification exams (SOCE).
- **e.** Person information - Maintain personal information, including demographics and contact information, for students, officers and support personnel.
- **f.** School information - Track and maintain information for certified training academies throughout the State of Florida.
- **g.** Officer information - Maintain officer information including details about certification, employment and salary incentives.
- **h.** Reports - Provision for all types of standardized reports including required forms and statistical reports.

e. Executive Institute

- **a.** Person/officer records - Maintain officer records that are relevant to the Executive Institute.
- **b.** Instructor certification - Track and maintain Executive Institute instructor certification.
- **c.** Certificate printing - Print certificates on demand after the successful completion of training.

f. Field Services

- **a.** Officer information - Access and update officer information, including employment and certification information from the field.
- **b.** Certification information - Provide the necessary functionality to evaluate certification eligibility.
- **c.** Agency information - Provide functionality to access and update agency information from the field.
- **d.** New hire audit - Provide functionality to help automate new hire audits.
- **e.** Forms - Provide all necessary forms online and on-demand.
- **f.** Reporting - Provide Field Services reports as necessary.

g. Canine

- **a.** N/A – not a functionality in the current ATMS

h. Officer Records

- **a.** ASM security integration - Integrate login security with the Automated Security Management (ASM) system.
- **b.** Notifications of officer and agency related events and activities.
- **c.** Person/officer personal information - Maintain officer/person demographic and contact information as well as demographics.
- **d.** Person search - Provide search functionality by first name, last name, date of birth etc.
- **e.** Officer profile - Provide an officer profile that indicates certification and employment status.
- **f.** Employment - Maintain officer employment information.
- **g.** Salary Incentive - Maintain officer salary incentive information for use by employing agencies.
- **h.** Certification - Maintain officer certification information and automate revocation of certification when certification requirements are not met.
- **i.** Certificate printing - Print certificates on demand when certification requirements are met.
- **j.** Training records - Maintain officer training records, including basic training and mandatory retraining records required for officer certification.
- **k.** Administrative functions (overrides, codes, reports, courses, attorney and agency search) - Provide for administrative oversight and maintenance features.
- **l.** Agency information tracking - Track employment and training agency information.
- **m.** Attorney information tracking - Track and maintain attorney information.
- **n.** CJST Regions – represents the various criminal justice standards and training regions in Florida.

i. Professional Compliance (Officer Discipline)

- **a.** Case creation - Create disciplinary cases as necessary for case processing.
- **b.** Case activity and status - Automate case activity tracking and case status.
- **c.** Hearing information - Maintain hearing information and locations.
- **d.** Hearing schedule - Maintain hearing schedules and hearing rosters.
- **e.** Complaint expenses - Track expenses related to specific cases.
- **f.** Attorney information - Track and maintain attorney information.

j. Trust Fund Audit

a. Course listings manually created by ITS programming members from basic recruit, advanced, and specialized courses contained in ATMS.

III. Success Criteria

FDLE plans to re-write ATMS using the latest technologies to provide improvements, efficiencies, and enhancements. The new system will eliminate many manual processes and allow extensibility and scalability of the system as business needs change due to mandates and rule changes that govern Florida's Criminal Justice Standards and Training Commission. A redesigned system will allow us to avoid system failure as well as increase efficiencies and improvements in the areas of the officer certification process, the training center auditing process, and the officer discipline process and curriculum updates. A modernized system will also improve relationships and transactions with local and state law enforcement and correctional agencies.

Rewriting ATMS will enable us to track all mandatory retraining completed by every officer throughout the state, and allow us to streamline the method in which we generate and maintain agency correspondence. Increased efficiencies in the officer certification process will allow our eight (8) field representatives across the state more time to spend monitoring classes in our forty (40) training centers in order to ensure their compliance with statute and rule. Document management tools and automation of disciplinary records will significantly improve the timeliness and reporting of officer disciplinary actions.

Local and state criminal justice agencies will be able to better update information within the system and will be able to extract information they need from the system with modern user-friendly reporting interfaces. Agencies will also have more autonomy with their information technology as they will be able to choose which browser is best for their agency, rather than being required to use older versions of Internet Explorer. In addition, providing individual access for all Florida criminal justice officers will enable more efficient management of all records contained in the system. FDLE will be able to better manage updates and rewrites to CJSTC curriculum and to reconcile the records of trainings delivered by the 40 training centers statewide.

Expected results:

- Prevent system failure due to obsolescence
- Improve efficiencies using newer technologies such as document management and reporting
- Process and workflow improvements by leveraging newer technologies to replace manual and duplicative tasks
- User interface and usability improvements
- Allow the use of a wide range of browsers and computing devices
- Integrate various subsystems and supporting applications
- Improve the ability to maintain and upgrade the system over time
- Successful migration of ATMS data
- Implementation of a Disaster Recovery (DR) system

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

A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Improved user experience and FDLE image.	ATMS users	Improve efficiency, stability functionality and appearance of the ATMS user interface	The improved design of ATMS will be measured by feedback from users.	Post 6-30-2017
2	Electronic submission of documentation and more seamless updates to records	ATMS users FDLE members	Current paper forms and letters will be maintained in electronic form within the system.	FDLE will measure by calculating the time it saves due to having the ability to submit documentation electronically.	Post 6-30-2017
3	Improved statistical reporting	FDLE members External criminal justice customers and others inquiring about data contained in system	This system will automate the current practice of hand tallying and manually entering statistical reports into Word documents.	FDLE will measure by calculating the time it saves correcting errors and decreased amount of time to produce statistical reports.	Post 6-30-2017

4	Integration of various independent systems into a single ATMS	ATMS users FDLE members	A number of utilities and subsystems that were created for specific purposes will be integrated into the new ATMS.	FDLE will measure by calculating the time it saves by having a centralized system which will have less duplication of data stored in various systems.	Post 6-30-2017
5	Inclusion of patrol canine team certification in ATMS	ATMS users FDLE members	The process of certifying canine teams will be included in ATMS. This will also include the automation of agency input (currently a paper process).	Having canine team information in ATMS will allow teams to better manage certifications of both the instructors and the teams.	Post 6-30-2017
6	Expanded reporting capabilities (without programming assistance)	FDLE members	Expanded reporting capabilities and ease of creating reports in ATMS will streamline ad hoc reporting.	FDLE will measure by calculating the time it saves due to the reduction of programming funds required for producing reports.	Post 6-30-2017
7	Improve ease of upgrade and maintenance of ATMS	FDLE members	Update of technology and architecture will result in decreased complexity of maintenance efforts.	FDLE will measure by calculating the time it saves from being able to easily upgrade	Post 6-30-2017

				and maintain ATMS.	
8	Enable ATMS to run on a variety of browsers, operating systems and devices	ATMS users FDLE members	Current closed standards and interoperability problems will be eliminated. For example, agencies will have more autonomy with their information technology as they will be able to choose which browser is best for their agency, rather than being restricted to older versions of Internet Explorer.	Users will not be forced to use unsupported, error-prone browsers resulting in positive user feedback. FDLE will measure by calculating the time it saves being able to use a tablet in the field to work.	Post 6-30-2017
9	Allow new data items to be added as the system progresses	ATMS users FDLE members	A flexible database structure will allow for future extension of system information.	FDLE will measure by calculating the time it saves from being able to easily upgrade and maintain ATMS.	Post 6-30-2017
10	Improve system security	ATMS users FDLE members	ATMS will provide a central security application which manages user access and full audit tracking of records	FDLE will measure by calculating the time it saves from being able to use a central security application to	Post 6-30-2017

				manage users and audit the tracking of records.	
11	Improve access to all data	ATMS users FDLE members	All existing and future data will be easily accessible from any location in the system and be able to be retrieved by the user from a single access point. In addition, the system will support an unlimited number of concurrent users.	FDLE will measure by calculating the time it saves by accessing data from any location in the system.	Post 6-30-2017
12	Improve system disaster operations	ATMS users FDLE members	ATMS will have disaster recovery and backup procedure at the server level.	The new system will be similar in architecture as the majority of IT systems at FDLE making disaster recovery faster and more effective.	Post 6-30-2017
13	Improved access to criminal justice officers	ATMS users Florida CJ Officers FDLE members	ATMS will provide individual access for all Florida criminal justice officers, enabling more efficient management of all system records.	FDLE will measure by calculating the time it saves for criminal justice officers managing system records.	Post 6-30-2017

B. Cost Benefit Analysis (CBA)

1. Cost-Benefit Analysis Results

Service is one of FDLE's four core values. The focus of this project is to provide high quality services via complete information, current and timely data, efficient processes and intuitive, easy-to-use computer application. Consumers of ATMS information depend on the integrity, completeness, and quality to make decisions on hiring, certification status, and any pending or resolved disciplinary actions meeting specific criteria in Chapter 943 of the Florida Statutes.

The ATMS rewrite will improve the quality of the ATMS system, in effect improving the quality of the decisions, and ultimately providing a safer Florida for its citizens, visitors, and criminal justice officers.

The planned improvements and efficiencies in the work processes will enable FDLE to add new services and maintain sufficient productivity in the face of growing demands.

The future viability of FDLE's training curricula; certification and employment information for active certified criminal justice officers depends largely on the completeness and timeliness of the records in the central repository. It also depends on the efficiency with which services are delivered. If ATMS is operated and maintained effectively, FDLE can enhance the services that its customers want and need. This means that revenue will need to be in place to sustain the central repository into the future.

The table below provides the estimated costs associated with the new ATMS.

Category	2015-16	2016-17	Total
Staff			
State	$0	$0	$0
Contract	$1,220,000	$1,220,000	$2,440,000
Hardware	$103,000	$0	$103,000
Software			
Custom	$0	$0	$0
Commercial	$207,440	$0	$207,440
Services	$0	$0	$0
Other	$0	$0	$0
Totals	**$1,530,440**	**$1,220,000**	**$2,750,440**

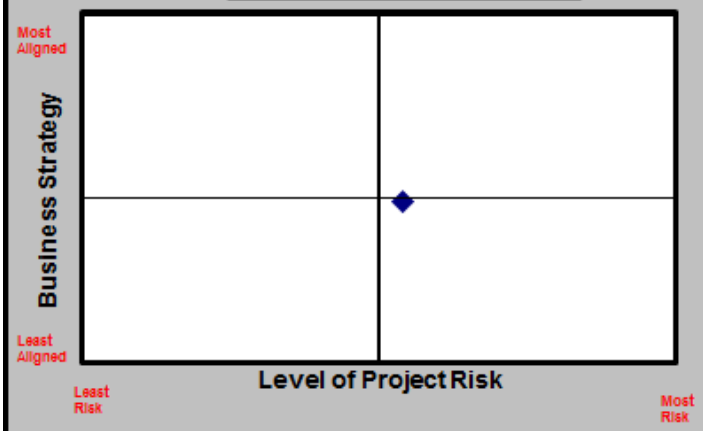
See Appendix D for Project Cost Estimate details.

V. Schedule IV-B Major Project Risk Assessment

A. Risk Assessment Summary Table

Project	Automated Training Management System (ATMS)	
Agency	Florida Department of Law Enforcement	
FY 2015-16 LBR Issue Code:	FY 2015-16 LBR Issue Title:	
36116C0	Upgrade Automated Training Management	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Lisa Hopkins, 850-410-8513, lisahopkins@fdle.state.fl.us		
Executive Sponsor	Dean Register	
Project Manager	TBA	
Prepared By	Lisa Hopkins / Glen Hopkins	10/10/2014

Risk Assessment Summary



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

See Appendix E for the complete risk assessment.

B. Risk Assessment Summary

The initial assessment of Communications as High is due to the preliminary stage of the project. A more detailed Communications Plan with all items specified in this risk assessment will be completed later in the project planning phase.

This is also the case in many other Risk Assessment areas. The Schedule IV B contains the initial, high-level, information on all project factors (cost, procurement, schedule, organization, resources, stakeholders, etc.) that will be further defined as the project progresses.

The following table contains an initial list of ATMS risks.

Risk Description/Impact	**Probability of Occurrence** (high, medium, low)	**Tolerance Level** (high, medium, low)	**Mitigation Strategy**	**Assigned Owner**
1. No funding available for project.	Medium	Low	Project will not move forward	Becky Lackey
2. Contract resource skills are inadequate to successfully complete project	Low	Low	FDLE will make every effort to contract highly skilled and experienced resources to staff the project.	PM
3. FDLE personnel are not available full time – this may create overlapping requirements for their time.	Medium	Medium	PM will carefully schedule all phases of the project to ensure that all resources are available when required	PM

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

The ATMS system was developed more than 15 years ago. ATMS is a 3-tier web based application using HTML, ASP, and SQL, operating on Windows-based application servers. Completeness, effectiveness, and timeliness are major factors for updates and disseminations of criminal justice training records. It is a central part of the Florida Criminal Justice Standards and Training Commission (CJSTC) and it supports a large portion of the FDLE Professionalism Division. Over the years, Legislative mandated functionality has been added and this has resulted in a patchwork of code in the system. The original system architecture was never designed to be used in the manner that it is required to do today. In addition, document management and the automation of multiple Professionalism functions cannot be completed within the current architecture of the system. The current system is accessible through modern desktops but this does not equate to a friendly user experience. The learning curve is much greater for new personnel when current members retire because of the manual processes that are not included in the current system.

The following chart provides a comparison between the current and proposed systems.

1. DESCRIPTION OF SYSTEM		
	Current System	**Proposed Solution**
System Type	ATMS II is a 3-tier web based application. The client tier, user-interface consists of html pages that are dynamically generated. The middle-tier consists of ASP pages running on IIS server. The middle tier also utilizes some third party components. The backend tier and persistence layer has SQL Server databases.	The new solution will use the latest technologies. The client-tier, user-interface will be a web browser that displays HTML pages. The back-end tier will be Microsoft SQL Server database. The middle-tier will be Red Hat® JBoss.
Number of users & types	Accessed by 2,800 internal and external users. Users include instructors, training centers,	The number and type of users will mirror that of the current system but will be able to

	system administrators, management, records and employing agencies.	handle additional users due to the improved technical solution.
Records	Approximately 1.6 million records overall Over 400,000 person records are maintained	The system will import the existing records into the new one after transforming the data to meet the new database requirements.
Security access requirements	The ATMS uses the standard FDLE internal network, Application Security Model (ASM) layer for windows on FDLE network to authenticate the user and determine user rights on the ATMS application.	The proposed solution will continue to use the standard FDLE internal network, Application Security Model (ASM) layer for windows on FDLE network to authenticate the user and determine user rights.
Hardware characteristics	1 web server, 1 application server	• Production, Test and Development Web Servers • Production, Test and Development Database Servers
Software characteristics	ATMS application written in ASP (ASP3.0), compatible with IIS Server and Microsoft Internet Explorer.	Linux operating system, JBOSS application server, Database operating System, Database Management Software (SQL Server) for Production, Test and Development databases.
Internal and external interfaces	The ATMS system interfaces include FDLE ASM, OCETS, Online registration, BAT upload, and Online Curriculum.	The ATMS system interfaces include FDLE ASM, OCETS, Online registration, BAT upload, and Online Curriculum.
Consistency with FDLE standards	ATMS was consistent with standards when it was originally developed, but since (.asp) is no longer supported, all FDLE applications are moving towards other technology.	The technology for development will adhere to FDLE's application development standards.

Scalability	The current solution is not scalable.	The recommended solution has the ability to handle a growing amount of work in a capable manner and can be enlarged to accommodate that growth.
Connectivity requirements	CJNet and Internet	CJNet and Internet
Development and Maintenance approach	Currently the equivalent of 2 full-time programmers supports the programming changes that are necessary to meet business changes or resolve application problems.	6 application developers and 1 project manager will be used to develop the new system. Once it is built, it will be maintained by existing FDLE members.
Maturity of the technology	System brought online in January 1998 and relies on outdated technology.	The solution is proven technology used by FDLE and other organizations world-wide.
Flexibility to incorporate changes	Yes, but with severe limitations due to old architecture.	The solution is fully-customizable to meet the needs of FDLE.
Future data sharing with other entities	No	Yes.

2. SYSTEM RESOURCE REQUIREMENTS

	Current System	**Proposed Solution**
Technical platform	Windows 2000, I.I.S. 5.0, SQL Backend	JAVA, SQL Server database
Hardware requirements	(1) internet/application server and (1) database server	• Production, Test and Development Web Servers • Production, Test and Development Database Servers
Software requirements	Windows operating system, Internet Explorer	Linux operating system, JBOSS application server, Database operating System, Database Management Software (SQL Server) for Production, Test

		and Development databases.
Staffing requirements	Equivalent of 2 programmers	6 application developers and 1 project manager will be used to develop the new system. Once it is built, it will be maintained by existing FDLE members.

3. SYSTEM PERFORMANCE		
	Current System	**Proposed Solution**
Ability of system to meet current and project workload	Supports current operations only, could not support expansion	The system is making use of the latest hardware and proven software that is scalable to exceed any anticipated workload increases.
Level of user satisfaction	The system requires additional programming to meet current and future user business needs. As business rules change, programming changes are implemented that occasionally have a negative impact on other operations within the system.	Users will be involved with system design and will have user input to all new functionality and usability.
Level of Technical satisfaction	The technology is outdated. It needs to be rewritten and moved to a newer server version.	The solution will provide for a user-friendly experience and automate many manual processes throughout the system.
Anticipated failures	Active Server Pages (ASP) is no longer supported. Any failures of the application or server would be extremely detrimental to business operations.	None anticipated. This technology solution was chosen because of its longevity and past success.
Network & system availability	24 / 7	24 / 7
Network & system reliability	Seldom goes down except for routine server maintenance.	Seldom goes down except for routine server maintenance.

Backup & disaster recovery	Backups are performed nightly and the disaster recover follows FDLE's established procedures for IT systems.	Backups are performed nightly and the disaster recover follows FDLE's established procedures for IT systems.

1. Information Technology Standards

The following IT standards have been adopted by FDLE's Office of Information Technology Services (ITS). While circumstances may require the use of standards other than those described here, Information Technology Services members adhere to these standards as much as possible.

a. Architecture

- Information systems will be developed to operate in a multi-tier architecture.
- Web-based interfaces will be used for the presentation (user) tier.
- Information systems will use load-balancing appliances where appropriate.
- Development and testing will be performed on separate non-production servers.
- No data or transactions are to be lost due to isolated failures of equipment.

b. Servers

- Rack-mountable servers will be used for information systems.
- Individual servers will be scaled to handle large bursts of transactions on each interface where appropriate.
- Server operating systems will be either Red Hat Linux or Microsoft Windows Server.

c. Storage

- Information systems will be designed to use redundant disk arrays in the FDLE Data Center and in the DR site.

d. Network

- ATMS will use CJNet and Internet.

e. Database

- Data will be stored in relational database(s) using either Oracle RDBMS or Microsoft SQL Server.
- Audit logs will capture forensic metadata for all changes to data, including changes made by FDLE members.

f. Application Software

- Software development standards are specified in FDLE Development Standards Version 1.0.
- Application software will be developed using Java EE.
- Java development standards are specified in Java Development Standards Version 1.0.
- Web-based application standards are specified in Web Application Architecture Version 1.0.
- JBoss is the preferred application server platform used for FDLE information systems.

g. Security

The security of criminal justice officer record data and related data is of vital importance to FDLE and must meet the following system security requirements:

- The system shall meet the state of Florida and FDLE security policy.
- FDLE information security requirements are specified in FDLE Policies 1.4 – Use of FDLE Resources, 2.5 – Information Resources, and 3.1 – Background Investigations.
- Rule 71A-1, F.A.C. Some of the key topics are:
  - Access Control
  - Awareness and Training
  - Audit and Accountability
  - Contingency Planning and Disaster Recovery
  - Identification and Authentication
  - Incident Response
  - Maintenance
  - Methodology used to develop and maintain software used for the service, including secure coding guidelines and standards to protect the site from unauthorized access and use

- Physical and Environmental Protection
- System and Communications Protection
- System and Information Integrity

Compliance with the following standards is preferred:

- Lightweight Directory Access Protocol (LDAP)/Active Directory (AD)

h. Availability

- The system will follow FDLE's standards on availability for the ATMS system: minimum 99.5% uptime

i. Usability

- United States Rehabilitation Act – Section 508 details accessibility standards for all systems

B. Current Hardware and/or Software Inventory

ATMS is a 3-tier web based application. The client tier, user-interface consists of HTML pages that are dynamically generated. The middle-tier consists of ASP pages running on IIS server. The middle tier also utilizes some third party components. The backend tier and persistence layer has SQL Server databases.

C. Proposed Solution Description

1. Summary description of proposed system

The proposed system will be run on a Linux operating system utilizing a JBOSS application server. The system will be written in JAVA while the backend database will be Microsoft SQL Server. There will be Production, Test and Development servers along with Production, Test and Development Web Servers. The proposed system will also make use of document management functions that will enable us to track all mandatory retraining completed by every officer throughout the state.

2. Resource and summary level funding requirements for proposed solution (if known)

Category	2015-16	2016-17	Total
Staff			
State	$0	$0	$0
Contract	$1,220,000	$1,220,000	$2,440,000
Hardware	$103,000	$0	$103,000
Software			
Custom	$0	$0	$0
Commercial	$207,440	$0	$207,440
Services	$0	$0	$0
Other	$0	$0	$0
Totals	**$1,530,440**	**$1,220,000**	**$2,750,440**

D. Capacity Planning

1. Historical and Current Information

The ATMS system is critical for the support, management, and integrity of criminal justice officer information across the State of Florida. ATMS is a 3-tier web based application, written in ASP (ASP3.0), compatible with IIS

Server and older versions of Microsoft Internet Explorer. ATMS is accessed by 2,800 internal and external users today with approximately 1.6 million records which include over 400,000 person records being maintained.

The legacy of the code creates availability and usability concerns for the 2,800 users. One example of availability concerns is the ASP code that the system is written in is no longer supported. Any system failures would be detrimental to the FDLE business operations.

Performance Measure	FY 13-14		FY 12-13		FY 11-12		FY 10-11		FY 09-10	
Average reliability index for state officer certification examination	87.00%		NA		NA		NA		NA	
Number / percent of individuals who pass the basic professional certification examination	5,850	80%	5,033	79%	4,167	79%	6,128	79%	6,486	80%
Number of professional law enforcement certificates issued	17,259		16,030		18,886		19,655		20,674	
Number of criminal justice officer disciplinary actions	684		790		748		675		794	

2. Projected Requirements

a. Projected Network Capacity

It is anticipated that there will be no change to network capacity for the new system.

b. Projected Storage Capacity

The database size has remained steady for the last few years and it is anticipated that there will be minimal growth for the new system.

VII. Schedule IV-B Project Management Planning

FDLE plans to re-write the existing ATMS system using latest technologies to provide improvements, efficiencies, enhancements, eliminate manual process and allow extensibility and scalability of the system as business needs change due to mandates and or rule changes that govern Florida's Criminal Justice Standards and Training Commission.

The ATMS rewrite will directly address several of FDLE's goals: "to promote availability and effective use of criminal justice information, promote professionalism in the criminal justice community and ensure well-trained criminal justice professionals." This will be primarily accomplished by providing a centralized system to track and manage several types of data sets which can be accessed through one point of entry. The direct result will be improved data accuracy, increased efficiency, and better customer support to all officers and criminal justice agencies within the State of Florida.

An updated ATMS will:

- Improve data accuracy – having all of the data in one system will reduce duplication and errors.

- Improve business efficiency - the new system will save time for members having to validate records and reduce the number of system problems which impact their workload. It will also streamline and automate numerous manual business processes for the Division and its customers.

- Technology – moving to the new system will bring the program current with information technology and provide a solid foundation for future data sharing and technology initiatives.

- Flexibility – the new system will provide a wider range of flexibility in regards to reporting, data capture and increased automation.

- Reporting – the new system will provide a full range of searchable data criteria which can be sorted, reported, and printed quickly and efficiently.

- Data Sharing – the technology used to develop the system will afford data sharing opportunities at the state and local levels.

- Improved accessibility to records – records will be much easier to access, store and retrieve.

- Reduction in Travel Expenses – While the system cannot completely eliminate the need for travel; it will reduce some expenses currently incurred by the field representatives through the automation of business processes related to academy

inspections and processing forms. This will also provide them with more time for performing other critical business functions.

- Improved support for customers – The new system will provide better support to the Division's external customers.

A redesigned and architected system will allow Florida to avoid system failure as well as increase efficiencies and improvements in the areas of the officer certification process, the training center auditing process, and the officer discipline process and curriculum updates. A modernized system will increase ATMS customer satisfaction and improve agency relationships.

The proposed system will be run on a Linux operating system utilizing a JBOSS application server. The system will be written in JAVA while the backend database will be Microsoft SQL Server. There will be Production, Test and Development servers along with Production, Test and Development Web Servers.

At a minimum, the proposed business solution will be required to have a central security application which manages user access, full audit tracking of records, record management, content management, imaging, workflow, searchable indexing, ad hoc query reporting, customized reports, full automation and complete integration using the most current technology possible.

All existing and future data must be easily accessible from any location in the system and be able to be retrieved by the user from a single access point. The system must be user-friendly with minimal end user training required and have a disaster recovery and backup procedure at the server level.

A. Scope Management

Scope management is necessary to ensure that the ATMS project includes all work required (and only the work required) to successfully complete the project. This includes but is not limited to: functional and non-functional requirements, contract deliverables, contract payments and project objectives.

As part of Project Planning, the PM documents the Scope of the project. These documents will be monitored by the PM as the project progresses and any changes in scope are identified.

Any ATMS project team member or stakeholder can request a change to project scope. The PM must determine the magnitude and the impact of the change. If the change is minor, the PM may determine that the change can be met within current project parameters The PM or designee will review the request and estimate the impact on the project.

Unless the change is minor, the PM will submit a formal Project Change Request form to the Project Steering Committee. This effort will follow the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

The ATMS project is expected to be completed in FY 16-17. The project will be broken into major functional sections for rewrite.

FY 15-16—Rewrite ATMS – Existing Functionality

- Officer Records
- Professional Compliance

FY 16-17—Continue Rewrite of ATMS – Existing Functionality

- Alcohol Testing Program
- Curriculum
- Examination
- Field Services

Enhancements to ATMS

- Canine - Maintain canine information
- Canine - Maintain canine team information
- Canine - Maintain canine instructor information
- Canine - Maintain evaluator information
- Canine - Capture evaluator documentation
- Canine - Track canine certifications
- Officer Records – Document Management and Workflow
- Officer Records - Update certificate print service
- Officer Records - Make Officer profile available online
- Professional Compliance – Document Management and Workflow
- Professional Compliance – Automate creation of hearing agendas
- Professional Compliance – Automate form letter creation

The Officer Records and Professional Compliance functions are the largest and most critical of the ATMS functions. These will be completed first. The formal division of these functional units into formal project phases will be completed with the development of the detailed schedule.

A detailed schedule for the ATMS project has not been completed at this time; however, a preliminary schedule has been developed based on a three point estimate of similar efforts in the past:

Task Name	Start	Finish
Requirements Gathering & Documentation	7/1/15	7/31/15
Application Design and Documentation	8/3/15	9/17/15
Application Design Meetings	8/3/15	8/21/15
Design Documentation	8/24/15	9/17/15
Programming (Year 1) Current Functionality	9/18/15	7/7/16
Officer Records	9/18/15	4/22/16
Professional Compliance	4/25/16	7/7/16
Programming (Year 2) Current and New Functionality	7/8/16	5/17/17
Officer Records (New Functionality)	7/8/16	8/22/16
Professional Compliance (New Functionality)	8/23/16	11/10/16
Alcohol Testing Program	11/11/16	1/17/17
Curriculum (Current Functionality)	1/18/17	2/13/17
Examination	2/14/17	3/28/17
Field Services	3/29/17	5/17/17
Testing	5/18/17	6/28/17
Round 1	5/18/17	6/8/17
Round 2	6/9/17	6/21/17
Round 3	6/22/17	6/28/17
Implementation to Production	6/29/17	6/30/17
Deployment - Prod	6/29/17	6/30/17

B. Schedule Management

Schedule management is necessary to ensure that all activities required to successfully complete the project are:

- Documented
- Reviewed for accuracy and date constraints
- Based upon accurate and realistic work estimates
- Sequenced and dependencies established
- Assigned to the appropriate project resource(s)
- Monitored for slippage
- Updated as necessary

Schedule estimates are first formulated in the Initiation stage for inclusion in the ATMS Project Charter / Project Brief. This estimate is used by FDLE management or other oversight entities to approve or disapprove the Project.

During the Project Planning stage, the Project Manager is responsible for developing the detailed project schedule. This schedule must include sequenced tasks, resource assignments, milestone or deliverable identification, and appropriate task dependencies.

Following adoption of the project schedule by the PM and the PSC, the schedule will be baselined to allow for future "planned vs. actual" monitoring and reporting.

Any ATMS project team member or stakeholder can request a change to the project schedule. The PM must determine the magnitude and the impact of the change. If the change is minor, the PM may determine that the change can be met within current project time parameters (lead, lag time). If the request requires a change to the formal schedule, the Project Manager will submit a formal request to modify the project schedule. Such a request will be documented in an FDLE-approved Project Change Request form. This effort will follow the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

The schedule will be closely monitored by the PM and the schedule status will be included in all oversight meetings or communications (including status reports).

C. Cost Management

Cost management is necessary to ensure that project costs are appropriately planned, estimated, budgeted, monitored and controlled so that the project can be completed within the approved budget.

Cost estimates are first formulated in the Initiation stage for inclusion in the Project Charter or Project Brief. This estimate is used by FDLE management or other oversight entities to approve or disapprove the Project.

During the ATMS Project Planning stage, the Project Manager is responsible for planning and estimating the detailed project budget. The project budget will be entered and maintained in the Project Spend Plan. Planned and actual spending for each fiscal year will be entered and maintained in a fiscal year (FY20NN-NN) spend plan. The fiscal year spend plan will be reviewed and updated each month.

Any ATMS project team member or stakeholder can request a change to the Project Spend Plan. The PM must determine the magnitude and the impact of the change. If the change is minor, the PM may determine that the change can be met within current project cost parameters. These minor changes may be completed at the discretion of the PM.

If the request requires a change to the formal budget or Project Spend Plan, the Project Manager will submit a formal request to modify the Project Spend Plan documented in an FDLE-approved Project Change Request form. This effort will follow the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

D. Project Organization

The ATMS Project organization consists of the Project Steering Committee (PSC), the Project Manager (PM), and the ATMS Project Team. FDLE Subject Matter Experts (SMEs) and a number of other groups will provide additional support. Each group performs a particular role for the project and is comprised of members of Information Technology Services (ITS), the Criminal Justice Professionalism Division (CJP), external customer agencies, and FDLE leadership.

The PM is responsible for the overall process for the development of the ATMS project. The PM has three main functions:

- The PM partitions the project into logical efforts, determines the individual efforts which will comprise the ATMS project, and recommends resource(s) to perform this work. This includes creation of a Work Breakdown Structure, and a Project Schedule (including tasks, deliverables, milestones, resources and work estimates).

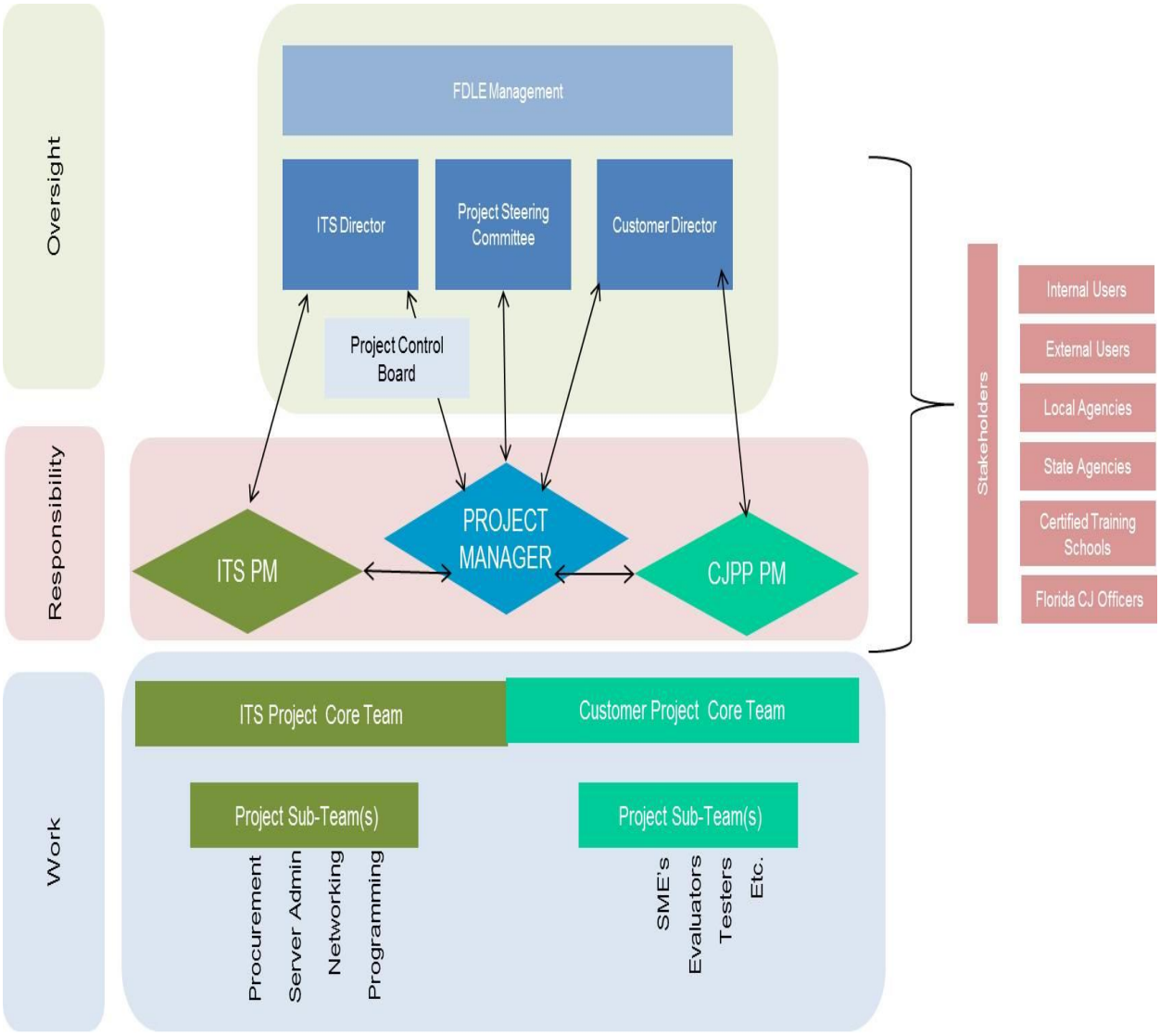
  If necessary, the PM will create and oversee procurement or contracting necessary to complete the project. This could include the development of Statements of Work (SOW), Request for Quotes, and Proposals (RFQ/P) or Invitations to Negotiate (ITN) for the procurement of vendors. The PM oversees the evaluation of vendor proposals and recommends vendors to perform the work. The PM is responsible for contract negotiations with vendors.

- Monitors the project to ensure the success of efforts.
  The PMO monitors the day-to-day status of project team efforts. The PM tracks risks, approves risk mitigation strategies, tracks issues and approves action items proposed to resolve issues. The PM monitors progress on tasks and makes adjustments to schedules (approved by the PSC). The PM verifies that tasks and requirements are completed.

- Approves and generates documentation for project plans and various other project artifacts.
  The PM reports directly to the PSC. The PM updates the PSC on a routine basis regarding project status. The PM submits a project status report containing the project schedule, schedule deviations, risks, action items and issues.

The entire project is aided by the oversight of the FDLE Project Management Office (PMO) that assists the PM in creating and implementing project management documents, processes, and controls.

The ATMS Project organization is shown below.



1. Executive Sponsor

The Director of the Criminal Justice Professionalism Division is the Executive Sponsor actively involved with the ATMS Project. This sponsor reports directly to the Assistant Commissioner. The Executive Sponsor represents the Commissioner and other Executive Members by providing the strategic direction and guidance for the Project. Regularly scheduled meetings are held with the Executive Sponsor for project governance, progress and risk identification or issue/change resolution.

2. Project Steering Committee

The PSC committee consists of three sponsors (often including the ITS Director and the Director of the customer organization). The PSC provides direction and guidance to the ATMS PM. They monitor the project progress and assess the completed activities to achieve the final acceptance of the system.

A regular meeting is conducted (based on direction from the PSC) to provide a project update, a review of project priorities and metrics, and to address action items, scope change requests and risks. Critical project needs are addressed and guidance and direction are requested from the PSC as appropriate. The PSC provides assessment and analysis, ensuring that supporting initiatives are based upon knowledgeable and informed decisions.

A status report is prepared for each meeting and is distributed to each attendee. The PM presents action items, scope change requests and risks with budget or schedule changes, as well as any risk mitigation plans to the PSC for their guidance and direction.

3. Project Management Office

The PMO is responsible assisting the PM in using project management principles and processes to manage the ATMS Project. In addition, the PMO assists the ESC in the day-to-day monitoring of the project. The PMO reports directly to the Director of Information Technology Services (ITS).

4. Project Manager

The PM is responsible for the overall process for the development of the ATMS project. The PM determines the individual builds which will comprise the project and chooses resources to perform this work. The PM monitors the effort to ensure that the individual builds are successful. The PM generates documentation for project plans and various other project artifacts such as the

Status Reports.

The PM monitors the day-to-day status of project team efforts. The PM tracks risks, approves risk mitigation strategies, tracks issues and approves action items proposed to resolve issues. The PM monitors progress on tasks and makes adjustments to schedules (approved by the ESC). The PM verifies that tasks and requirements are completed.

The PM is a direct report to the PSC and updates the PSC regarding project status.

5. Project Team

The ATMS Project Team consists of a core group of FDLE members responsible for the day-to-day tasks associated with the project. This team will be comprised largely of members of Information Technology Services and Criminal Justice Professionalism Division and any other positions (FTE or Contract) deemed necessary for the successful completion of the project.

6. Contracts Manager

Part of the ATMS Project Team, the Contracts Manager is responsible for gathering the necessary information for developing the SOW and other contracting vehicles, monitoring the award of those contracts, ensuring performance delivery as required by the contract and closing out the contracts when the tasks are completed. The Contracts Manager works closely with FDLE contracting and legal members to ensure that all work is accomplished within State and FDLE contracting rules and guidelines. The Contracts Manager will coordinate budget issues and maintain awareness of all expenditures and accounts payable.

7. Technical Project Sub-Team(s)

The technical support members serve to assist the Project Team in ensuring that the department's technical policies, security policies, and quality requirements are followed in the project. This includes the proper use of and configuration of operating system platforms and application platforms, as well as, the proper application of development methodologies and system design methodologies. The technical member ensures that designs are logical and that they have fidelity with the overall FDLE system architecture.

8. Business Project Sub-Team(s)

The business support members assist the Project Team in ensuring that the

ATMS project meets the operational needs of ATMS customers. SMEs and the business members work with the Project Team to determine current business processes and identify areas where business process improvements can be made. The group works with the user community, which includes groups such as Police Departments, Sheriff's Offices, and Certified Training Schools to determine the functional needs of the system.

9. External Oversight

None

E. Quality Assurance

The focus of the quality management process is to build effective processes that enable the production of high quality deliverables that meet the specified business requirements. The quality management procedure consists of two principal processes: Quality Assurance (QA) and Quality Control (QC).

QA is the practice of adhering to planned, established and systematic approaches designed to ensure the high caliber of the deliverables and the detection and correction of any errors. It provides information about a common set of guidelines and standards to be applied by the Project Team. The primary aspect of a QA review is to ensure that the processes established for the project are being followed. If new processes are required, a group will be formed to establish the quality procedure. The benefits of following quality assurance processes include the following:

- Improved communication
- Improved planning and requirement gathering/definition processes
- Improved development process
- Improved product quality
- Better criteria for hardware and software testing
- Easier transition to production for hardware and software

The most effective QA activity is a formal QA review. The Project Team, will conduct these reviews of project processes.

Using results generated by this review, the PM will direct follow-up actions to ensure that the project uses sound processes. Additionally the ESC will advise the PM of any observed deficiencies in processes and the PM will take corrective action to resolve the deficiency in the future.

QC activities are those focused on the inspection and/or testing of the deliverable produced. The QC Team will verify that the deliverables are of acceptable quality and that they are technically accurate.

QC is the responsibility of the Project Team and the PM or Task Lead responsible for a deliverable. The PM will monitor the activities associated with the acceptance of deliverables. QC is conducted before a deliverable is submitted as final to be approved by the PM.

The Project Manager is responsible for developing and maintaining a Quality Plan. The Quality Plan will document major deliverables of the project, completeness and correctness criteria, quality control activities and quality assurance activities.

Topics Addressed in the Quality Plan:

Quality Control activities associated with project deliverables:

- Document Deliverables
- Hardware and Software Deliverables
- Service Deliverables

Quality Assurance activities:

- QA processes (Requirements Traceability, Testing, Data Migration, etc.)
- Responsibility for QA processes

Quality Metrics for the project such as:

- Customer Satisfaction
- IT Satisfaction
- Vendor Satisfaction
- Changes in Scope
- Changes to Schedule
- Changes in Cost
- Number and Type of Issues
- Number and Type of Defects
- Preparedness of customer to assume production responsibilities
- Preparedness of IT to assume production responsibilities
- Solution “Fitness for Use”

F. Issue Management

FDLE PMO recognized two (2) types of issues - Project and Product. Project issues are those that will affect the schedule, cost, resources, and progress of the Project itself. Product issues are more specific and usually affect quality (although they may have an indirect effect on project schedule or cost).

G. Project Issues

Project Issues may be problems, gaps, inconsistencies, or conflicts that project team members, contractors, or other stakeholders believe may adversely affect the project.

Any ATMS project stakeholder, team member, customer, or contractor can raise an issue at any time.

Issues will be reviewed by the PM and project team and ranked by Severity Level. An item is assigned an Issue Severity level (1-No Impact, 2- Low, 3-Moderate, 4-High or 5-Critical). The severity level will further determine the appropriate management procedure to be followed for resolution.

1. No Impact – No immediate action is required. Items with a severity level of no impact can be addressed as time allows.
2. Low – No immediate action is required. Items with a severity level of low are typically assigned to a project team member and addressed as time allows.
3. Moderate – Assigned to a project team member for resolution with assistance from the Project Manager (PM) as needed. Items with a severity level of moderate are reviewed on a case-by-case basis by the project team member and the PM to determine the level of outside help and PM involvement required for resolution.
4. High – Item is reviewed by the PM, assigned to a project team member and other appropriate stakeholders, contractors and/or FDLE members for a recommended course of action or resolution. The PM will present this resolution to the Project Steering Committee (PSC) for review and approval.
5. Critical – Review is escalated to FDLE management for immediate action. The PM will closely monitor and resolve the issue and communicate the status of the item (from inception through resolution) to the FDLE Management, the Project Steering Committee, other appropriate members and stakeholders.

Issues are reviewed by the PM, or a delegated project team member, on a bi-weekly basis to ensure they are being resolved. Items resolved and/or closed are reviewed by the PM or a delegated project team member to ensure acceptable resolution.

Issues requiring changes to the Scope, Schedule, or Cost will be handled by the PM as described in the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

H. Product Issues

Product issues are those that affect the quality of the product being developed. This could include bugs or other technical problems encountered throughout development, testing and implementation of an IT product or hardware / software solution.

All product issues will be documented.

The PM will assign a unique tracking identification number to each issue. Each product issue will be evaluated, classified and assigned to a specific person for monitoring and resolution.

Each issue is classified as one of the following types:

- Action Item
- Defect
- Enhancement

The classification type starts the issue on a particular course for resolution. A brief description of the classification types follows:

Action Item: Action items relate to an activity needed to be completed. Action items are assigned to a project team member who will serve as the Task Lead for resolution.

Defect: Defects relate to a defect in hardware or software. Defects are assigned to a project team member who will serve as the Task Lead for resolution.

Enhancement: An enhancement is a request for a change to the request system functionality.

The member assigned will document the alternatives, potential impact on budget and schedule, and will present the findings to the PM and other appropriate members or stakeholders to determine a resolution or recommended course of

action.

The PM or the Contracts Manager will make the appropriate adjustments to the Project Schedule and budget, if necessary, based on the resolution or recommended course of action.

The assigned project team member will document the status and resolution of the issue in the Issue Log or other tool.

The item and resolution statuses change throughout the lifecycle of the item. The item will be documented with the appropriate status and resolution by the assigned project team member to facilitate tracking.

Issues requiring changes to the Scope, Schedule, or Cost will be handled by the PM as described in the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

I. Monitoring and Reporting

The PM and Project Team will track, review, report and regulate the project to meet objectives defined in the project management plan. This includes status reporting, progress measurement, and forecasting.

The Project Manager is responsible for continually monitoring activities associated with the ATMS project and reporting to project stakeholders. The PM must continually review the project progress for impact (or possible impact) on project schedule, cost, and / or scope. The PM will compare the proposed Schedule vs. the actual Schedule, the proposed Project Spend Plan vs. the actual expenditure, and the Scope, Risk, and Issue documentation to ensure that all project facets are working together to ensure success.

Monitoring Activities may include such things as:

- Daily ‘stand-up’ meeting with Project Team
- Daily review of Work Plan and Schedule
- Daily review of Issue Log
- Weekly meetings with the Project Team
- Monthly status reports from Project Team
- Weekly meetings with Contractor
- Monthly status reports from Contractor
- Quarterly surveys of key stakeholders

The specific activities needed for the project will be determined by the PM.

The PM will report on the current progress of the project through documents / mechanisms such as the following:

- FY Operational Work Plan
- Biweekly Status Reports to the PMO
- Monthly status reports
- Status meetings with the Project Steering Committee
- Quarterly status meetings with FDLE Executive Management
- Quarterly status reports to the Legislature

J. Risk Management

A risk refers to future conditions or circumstances, which will have an adverse impact on the project if they occur, that exist outside of the control of FDLE or the Project Team. In other words, a risk is a potential future problem. Risk management is performed continually over the life of the project. Risk management includes the following:

Step 1: Identify major risks to project success

Step 2: Assess the potential impact of each risk and its probability of occurrence

Step 3: Determine appropriate contingency plans

Step 4: Determine the acceptable level of tolerance for each risk

Step 5: Specify mitigation strategies to be implemented for critical risks

Step 6: Periodically review the effectiveness of mitigation strategies and identify any new risks.

Risk identification occurs throughout the life of the project. Any ATMS project stakeholder, Project Team member, customer or contractor can submit a risk at any time. A risk mitigation session is conducted at the start of each Build or Phase.

The ATMS PM (in consultation with the PMO and the PSC) evaluates the risk and recommends a risk level. The risk level is used to set the priority of the risk and determine how risks should be addressed.

A description of each risk level is provided in the following table:

Risk Level	Risk Level Description
High	Require immediate attention and review by the PM. High risk items are visible to FDLE management and typically require a risk mitigation plan. Invoking the risk mitigation plan may result in an impact on budget, personnel, scope or schedule.
Medium	Reviewed by the PM and PMO on a bi-weekly basis. May require a risk mitigation plan. Invoking the risk mitigation plan would not have a significant impact on the budget, personnel, scope or schedule.
Low	Monitored by the PM and/or PMO on a bi-weekly basis. Low risk items are not visible to FDLE management and typically do not require a risk mitigation plan.

The potential impact on budget, personnel, scope and schedule, along with the probability of risk occurrence are examined collectively to determine the overall risk impact level. The risk impact level is determined using the criteria provided in the following table and input from the PSC, PM, PMO, Project Team and stakeholders.

		Probability of Risk Occurrence		
		High probability to occur	Medium probability to occur	Low probability to occur
Severity of Risk Impact	High negative impact to project	**High**	**High**	**Medium**
	Medium negative impact to project	**High**	**Medium**	**Low**
	Low negative impact to project	**Medium**	**Low**	**Low**

Risk management includes an ongoing cycle of risk identification, analysis and monitoring. FDLE uses TenStep to perform risk management. Each risk with a risk level of medium or high is evaluated to determine if the impact is severe enough that a risk mitigation plan should be created. If a risk mitigation plan is required, the risk is investigated to determine whether or not the resolution of a risk causes the budget, personnel, scope or schedule to change. In the event a risk mitigation plan must be exercised, project change control processes will be used (if necessary) and activities associated with the risk mitigation plan will be added to the Project Schedule to ensure the work is completed. The PM monitors all risk mitigation plans to ensure they are being executed successfully.

K. Change Management

Change management occurs throughout the lifecycle of the project. A change can be related to any facet of the project – scope creep, schedule revision, funding / cost changes, team / resource changes, issues and risks, etc.

If the change is minor, the PM may determine that the change can be met within

current project parameters and the formal change process is not necessary.

If the change could impact requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the PM (or team member assigned) will fully research the impact of the project change and formulate a resolution. The PM will complete a formal Project Change Request form and present the change to the Project Steering Committee.

The Project Steering Committee will determine if the proposed change should be approved. Members of the Project Steering Committee will signify approval or disapproval of a proposed project change by signing the Project Change Request form.

The PM and / or Project Steering Committee may consult with FDLE Executive Management if the proposed change significantly alters requirements, deliverables, payment schedule, cost, or completion date of a major milestone. FDLE Executive Management will determine if the proposed change should be approved.

If the Project Steering Committee or FDLE Management determines that the approved project change will require a Contract Amendment, the PM will work with the vendor to prepare the Contract Amendment for the PSC's review and approval. The contract amendment will then be processed according to FDLE contract procedures.

L. Communication Plan

The ATMS PM will develop a Communications Plan to provide a framework for addressing change management with customers. The Communications Plan outlines a comprehensive strategy of both communicating project and process change information to the ATMS customer base and others affected by the project as well as receiving and processing input/feedback from customers and others. The Communication Plan identifies communication strategies which will be used to target the different audience groups (users, stakeholders, advisors, media, decision-makers, etc.) via an assortment of communication methods (Internet and email, formal and informal documents, multi-media presentations, and face-to-face meetings). This document serves as the core of the ATMS change management effort and will be updated throughout the life of the project.

Effective communication and outreach, both internal and external to FDLE is critical to the overall success of the ATMS Project. The Communications Plan is designed to support the implementation of the new ATMS during the design, development and implementation phase of the project and to ensure increased understanding, involvement, and buy-in from all stakeholders. The objectives of

the ATMS Communications Plan include the following:

- To ensure that target audiences are aware of and understand the purpose and mission of FDLE, particularly as it relates to ATMS, understand the rationale for development of an updated ATMS system, and know what will and what will not change as a result of this project.
- To ensure that all audiences and stakeholder groups recognize the benefits of an updated ATMS, and how it will help organizations achieve their criminal justice objectives.
- To provide information to external customers on how implementation of the updated ATMS may affect current and future work processes and what will be done to mitigate any perceived negative effects, address and clarify any unrealistic user expectations, and achieve "buy-in" from the internal and external user community.
- To maintain a dynamic and proactive communications campaign, in which information is updated and continuously provided for the benefit of the entire user community, and to establish a culture in which feedback is encouraged and is gathered and evaluated to ensure that project objectives will be met and project goals achieved.

The Project Manager is responsible for developing and maintaining a Communication Management Plan. This plan will document how and in what format information will be communicated, when and where communication will be made, and who is responsible for providing each type of communication.

Topics included in the Communication Management Plan:

1. Target Audience

   Identification of all possible audience groups in as much detail as possible:

   - Specific Stakeholder Groups (Police Departments, Sheriff's Offices, etc.)
   - Project Team
   - Project Steering Committee
   - FDLE Management
   - FDLE customers
   - Legislature
   - Oversight agencies

2. Communication Method

Communications may be formal, such as Status Reports, Operational Work Plans, Newsletters, and quarterly meetings or informal such as notices or announcements through email or website. Communications may also be in written form or face-to-face. Examples include such things as:

- Status Reports
- Operational Work Plans
- Stakeholder / Customer Surveys
- Project Newsletters
- Pamphlets
- Project Web Site
- Ad Hoc Notices
- Project Steering Committee Meetings
- Project Team Meetings
- FDLE Executive Management Briefs

3. Method of Delivery

Methods of delivery could be such things as:

- Emails
- Presentations
- Reports
- Web Site
- Documents (electronic or paper)
- Meetings

4. Frequency

Some communications could be set at regular intervals such as meetings or reports required annually, quarterly, biweekly, etc. or upon specific project milestone or phase timelines according to project needs. Some communication could also be random and event-specific such as notices dealing with specific issues.

5. Responsibility

Each type of communication must be assigned to the PM or a specific member of the Project Team.

VIII. Appendices

Appendix A – Standards and Definitions

Appendix B – Cost-Benefit Analysis Worksheets

Appendix C – Current System Cost

Appendix D – Project Cost Estimate

Appendix E – Risk Assessment Worksheets

Appendix A – Standards and Definitions

1. **Chapter 71A-1, the State of Florida Information Technology Resource Security Policies and Standards**

   https://www.flrules.org/gateway/ChapterHome.asp?Chapter=71A-1

2. **Lightweight Directory Access Protocol (LDAP)/Active Directory**

   LDAP is an application protocol for accessing and maintaining distributed directory information services over an Internet Protocol (IP) network.

3. **United States Rehabilitation Act – Section 508 details accessibility standards for all systems**

   The Section 508 Standards are part of the Federal Acquisition Regulation (FAR) and address access for people with physical, sensory, or cognitive disabilities. They contain technical criteria specific to various types of technologies and performance-based requirements, which focus on functional capabilities of covered products. Specific criteria cover software applications and operating systems, web-based information and applications, computers, telecommunications products, video and multi-media, and self-contained closed products.

Appendix B – Cost-Benefit Analysis Worksheets

A copy of the cost benefit worksheets is provided in the additional excel worksheets.

Appendix C – Current System Cost

A copy of the current system cost table is provided in the following pages.

FDLE
ATMS System Operational Costs
Updated: 10/10/2014

Category	Item Description	Calculations: Appropriations Categories	Qty	Unit	Unit Cost	One Time Costs	Annual Recurring Costs	*Existing* FY 15-16	*Existing* FY 16-17	*Planned* FY 17-18	*Planned* FY 18-19	*Planned* FY 19-20
OPERATIONS & MAINTENANCE												
Staff												
	State Staff:											
	DP Manager (Coste)	SAL	0.5	FTE	$99,631		$49,815	$49,815	$49,815	$49,815	$49,815	$49,815
	CP Analyst II (Sullenberger)	SAL	0.8	FTE	$60,347		$45,260	$45,260	$45,260	$45,260	$45,260	$45,260
	Database Analyst (Arduini)	SAL	0.3	FTE	$73,663		$18,416	$18,416	$18,416	$18,416	$18,416	$18,416
	Systems Programmer I (Aguayo)	SAL	0.3	FTE	$65,262		$16,316	$16,316	$16,316	$16,316	$16,316	$16,316
	Systems Programmer III (Pigott)	SAL	0.3	FTE	$76,673		$19,168	$19,168	$19,168	$19,168	$19,168	$19,168
	Systems Programmer II (Tiller)	SAL	0.3	FTE	$57,479		$14,370	$14,370	$14,370	$14,370	$14,370	$14,370
	Systems Programmer II (Ruiz)	SAL	0.3	FTE	$57,479		$14,370	$14,370	$14,370	$14,370	$14,370	$14,370
	Subtotal State						$177,715	$177,715	$177,715	$177,715	$177,715	$177,715
	Systems Analyst (Duey)	CS	0.5	FTE	$78,000		$78,000	$78,000	$78,000	$78,000	$78,000	$78,000
	Systems Analyst (Serman)	CS	0.5	FTE	$82,000		$82,000	$82,000	$82,000	$82,000	$82,000	$82,000
	Subtotal Contract						$160,000	$160,000	$160,000	$160,000	$160,000	$160,000
Total - Staff			**3.5**			**$0**	**$337,715**	**$337,715**	**$337,715**	**$337,715**	**$337,715**	**$337,715**
Hardware												
	Subtotal - Hardware					**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Software												
	Linux Operating System Licensing	EXP	6	per server	$600		$3,600			$3,600	$3,600	$3,600
	Database Operating Systems Licensing	EXP	5	per server	$7,000		$35,000	$7,862	$7,862	$35,000	$35,000	$35,000
	JBOSS software	EXP	72	each	$400		$28,800			$28,800	$28,800	$28,800
	SQL Server Database Licensing	EXP	18	12 Core/2	$7,780		$0	$0	$0	$0	$0	$0
	Subtotal - Software					**$0**	**$67,400**	**$7,862**	**$7,862**	**$67,400**	**$67,400**	**$67,400**
Services												
	Subtotal - Services					**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Other												
	Subtotal - Other					**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Totals - Ops & Maintenance						**$0**		**$7,862**	**$7,862**	**$67,400**	**$67,400**	**$67,400**
TOTALS								**$345,577**	**$345,577**	**$405,115**	**$405,115**	**$405,115**

Appendix D – Project Cost Estimate

A copy of the project cost estimate table is provided in the following pages.

FDLE
Project Cost Estimate
Automated Training Management System (ATMS) Rewrite
Updated: 10/10/2014

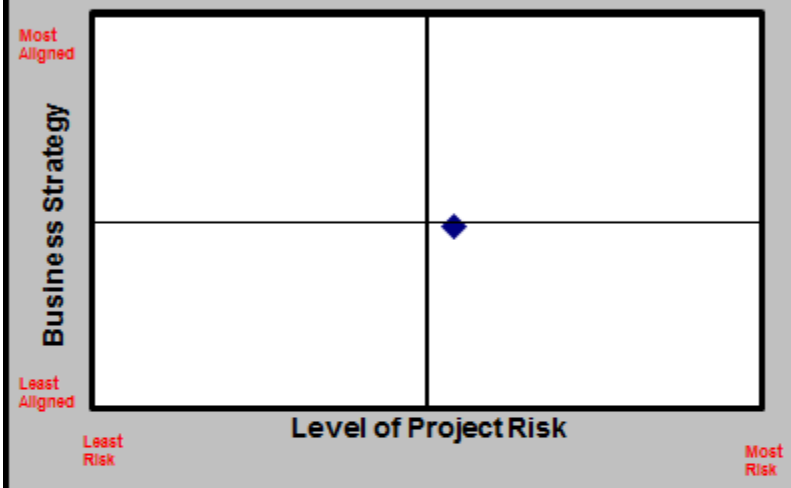
		Calculations						Planned					
Category	Item Description	Appropriations Categories	Qty	Unit	Unit Cost	One Time Costs	Annual Recurring Costs	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	Planned Total
DEVELOPMENT / IMPLEMENTATION													
Staff													
	State Staff:												
	DP Manager (Coste)	SAL	0.25	FTE	$99,631		$24,908	$24,908	$24,908				
	Contract Staff:												
	Project Manager	CS	1	FTE	$100	$400,000		$200,000	$200,000				
	Systems Analyst	CS	1	FTE	$85	$340,000		$170,000	$170,000				
	Systems Analyst	CS	1	FTE	$85	$340,000		$170,000	$170,000				
	Systems Analyst	CS	1	FTE	$85	$340,000		$170,000	$170,000				
	Systems Analyst	CS	1	FTE	$85	$340,000		$170,000	$170,000				
	Systems Analyst	CS	1	FTE	$85	$340,000		$170,000	$170,000				
	Systems Analyst	CS	1	FTE	$85	$340,000		$170,000	$170,000				
	Systems Analyst (Duey)	CS	0.5	FTE	$78		$78,000	$78,000	$78,000				
	Systems Analyst (Serman)	CS	0.5	FTE	$82		$82,000	$82,000	$82,000				
	Subtotal - Staff		**8.25**			**$2,440,000**	**$184,908**	**$1,404,908**	**$1,404,908**	**$0**	**$0**	**$0**	**$2,809,815**
Commercial Software													
	Linux Operating System Licensing	EXP	6	per server	$600		$3,600	$3,600	$3,600				
	Database Operating Systems Licensing	EXP	5	per server	$7,000		$35,000	$35,000	$35,000				
	JBOSS software	EXP	72	each	$400		$28,800	$28,800	$28,800				
	SQL Server Database Licensing	EXP	18	12 Core/2	$7,780	$140,040		$140,040					
	Subtotal - Commercial SW		**101**			**$140,040**	**$67,400**	**$207,440**	**$67,400**	**$0**	**$0**	**$0**	**$274,840**
Hardware													
	Servers	OCO	11	each	$8,045	$88,500		$88,500					
	Programmer PCs	OCO	7	each	$2,000	$14,000		$14,000					
	Printer	EXP	1	each	$500	$500		$500					
	Subtotal - Hardware		**19**			**$103,000**	**$0**	**$103,000**	**$0**	**$0**	**$0**	**$0**	**$103,000**
Services													
	Subtotal - Services		**0**			**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Other													
	Subtotal - Other		**0**			**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Totals - Development						**$2,683,040**	**$252,308**	**$1,715,348**	**$1,472,308**	**$0**	**$0**	**$0**	**$3,187,655**

Appendix E – Risk Assessment Worksheets

A copy of the complete project risk assessment is provided in the following pages.

Project	Automated Training Management System (ATMS)	
Agency	Florida Department of Law Enforcement	
FY 2015-16 LBR Issue Code:	FY 2015-16 LBR Issue Title:	
36116C0	Upgrade Automated Training Management	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Lisa Hopkins, 850-410-8513, lisahopkins@fdle.state.fl.us		
Executive Sponsor	Dean Register	
Project Manager	TBA	
Prepared By	Lisa Hopkins / Glen Hopkins	10/10/2014

Risk Assessment Summary



Project Risk Area Breakdown

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

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)			
Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	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	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	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	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Florida Department of Law Enforcement		Project: Automated Training Management System (ATMS)	
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: Florida Department of Law Enforcement	Project: Automated Training Management System (ATMS)		
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
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	Yes
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	1 to 10% 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	Moderate changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with greater change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

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

Agency: Florida Department of Law Enforcement	Project: Automated Training Management System (ATMS)		
Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
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	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	No selection criteria or outcomes have been identified
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
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	Procurement strategy has not been developed
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
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: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)			
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	Some have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Not yet determined
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	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	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)			
Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Mostly staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No, all stakeholders are not represented on the board
		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: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)			
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	Yes
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	Some
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	41 to 80% -- Some 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	41 to 80% -- Some 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	41 to 80% -- Some 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	Some deliverables and acceptance criteria have been defined and documented

Agency: Florida Department of Law Enforcement	Project: Automated Training Management System (ATMS)		
Section 7 -- Project Management Area			
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	0% to 40% -- None or few have been defined to the work package level
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes No	No
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes No	No
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting Project team uses formal processes Project team and executive steering committee use formal status reporting 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 Some templates are available All planning and reporting templates are available	All planning and reporting templates are available
7.14	Has a documented Risk Management Plan been approved for this project?	Yes No	No
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented Some have been defined and documented All known risks and mitigation strategies have been defined	Some have been defined and documented
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes No	Yes
7.17	Are issue reporting and management processes documented and in place for this project?	Yes No	Yes

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)

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	More than 4
		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	

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
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	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	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	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013 - 2014

Department: Department of Law Enforcemen

Chief Internal Auditor: Susan Cureton

Budget Entity: 710000

Phone Number: 850-410-7238

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
IG-0050 Medical Emergency Preparedness and Response Audit	Report Issued 6/30/2014	Investigations and Forensic Services	This audit contained five findings and recommendations. Overall recommendations consisted of revising FDLE Policy 3.15 as well as the FDLE Safety Manual. Specific recommendations were as follows: Finding 1: The CPR/AED Coordinator does not maintain an accurate list of current CPR/AED certified members who work at the HQ building. Recommendations: The OIG recommends the CPR/AED Coordinator develop a list of current CPR/AED certified members that work at the HQ building. Finding 2: Documentation of AED inspections is not maintained in accordance with policy and notification of the use of an AED is not consistently practiced. In addition, policy does not identify who is responsible for submitting the AED Use Report to the CPR/AED Coordinator; inaccurately identifies the involvement of the Professionalism Program Director; and includes an inaccurate F.A.C. rule reference. Recommendations: The OIG recommends the CPR/AED Coordinator immediately conduct an inventory of AEDs located in the HQ building to ensure all AEDs are identified for future inspections. Finding 3: Not all first aid kits located at the HQ building were readily accessible; some contained expired medical supplies and/or medication; and there is no uniformity in the brand or the contents of first aid kits purchased throughout the Divisions. Recommendations: The OIG recommends the Department immediately purge and replace all expired medical supplies and medication contained in the first aid kits, including the first aid kits	Management agreed with all findings and corrective actions are in progress.	
			Finding 4: A review of Policy 3.15 and the Safety Manual noted that it is not clear whether the FDLE Supervisor's Report of Personal Injury/Illness Form (OHR-064) is to be submitted for all incidents involving or that could have resulted in personal injury/illness. Recommendations: The OIG recommends FDLE Policy 3.15 be revised to clearly define members' expectations for all medical emergencies.		

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	**PERIOD ENDING**	**UNIT/AREA**	**SUMMARY OF FINDINGS AND RECOMMENDATIONS**	**SUMMARY OF CORRECTIVE ACTION TAKEN**	**ISSUE CODE**
Office of the Auditor General Report No. 2014-040 Firearm Purchase Program	Report Issued 11/2013	Criminal Justice Information Services	This audit had one finding and recommeded the Department continue efforts to work with the Clerks to ensure records are timely, accurately and completely entered into the MECOM Database as required by State law.	Management agreed with all findings and corrective actions are in progress.	
Office of the Auditor General Report No. 2014-173 Federal Awards Audit	Report Issued 3/2014	Office of Criminal Justice Grants, Office of Financial Management, Investigations and Forensic Services	This audit focused on internal controls over financial reporting and federal awards. The audit did not identify findings as it relates to FDLE.	No corrective actions needed.	

Fiscal Year 2015-16 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Law Enforcement

Agency Budget Officer/OPB Analyst Name: Cynthia Barr

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

	Action	Program or Service (Budget Entit 71150200	71550100	71600100	71600200
1. GENERAL					
1.1	Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, 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
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y
AUDITS:					
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y
1.4	Has security been set correctly? **(CSDR, CSA)**	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
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y
2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 29) been followed?	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)					
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y
AUDITS:		Y	Y	Y	Y

	Action	Program or Service (Budget Entit 71150200	71550100	71600100	71600200
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, 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 61 of the LBR Instructions?	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				
5. EXHIBIT D-1 (ED1R, EXD1)					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y
AUDITS:					
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences need to be corrected in Column A01.)**	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.				

	Action	Program or Service (Budget Entit 71150200	71550100	71600100	71600200
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 2013-14 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.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)					
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y
TIP	Exhibit D-3 is 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 33 of the LBR Instructions.)	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 67-68 of the LBR Instructions.)	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 through E-6 of the LBR Instructions.)	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A

	Action	Program or Service (Budget Entit			
		71150200	71550100	71600100	71600200
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 #14-001?	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 not be deleted. **(PLRR, PLMO)**	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y
7.16	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 28 and 88 of the LBR Instructions.)	Y	Y	Y	Y
7.17	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 330010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y
7.18	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y
AUDIT:					
7.20	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
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? **(GENR, LBR1)**	Y	Y	Y	Y
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? **(GENR, LBR2)**	N/A	N/A	N/A	N/A
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? **(GENR, LBR3)**	N/A	N/A	N/A	N/A
7.24	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

	Action	Program or Service (Budget Entit			
		71150200	71550100	71600100	71600200
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 65 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If a state agency needs to include in its LBR a realignment or workload request issue to align its data processing services category with its projected FY 2015-16 data center costs, this can be completed by using the new State Data Center data processing services category (210001). (NSRC data processing services category (210022) and the SSRC data processing services category (210021) will no longer be used).				
TIP	If an appropriation made in the FY 2014-15 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level *or* SC1R, SC1D - Department Level)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	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	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative**;** fixed capital outlay adjustment narrative)?	Y	Y	Y	Y

	Action	Program or Service (Budget Entit			
		71150200	71550100	71600100	71600200
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y
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	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	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	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	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	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A	N/A	N/A	N/A
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A	N/A	N/A
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A	N/A	N/A	N/A
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y
8.20	Are appropriate general revenue service charge nonoperating amounts included in Section II?	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling	Y	Y	Y	Y

	Action	Program or Service (Budget Entit			
		71150200	71550100	71600100	71600200
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Y	Y	Y	Y
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y
AUDITS:					
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y
8.33	Has a Schedule IB been provided for each trust fund and does total agree with line I ?	Y	Y	Y	Y
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!				
TIP	Determine if the agency is scheduled for trust fund review. (See page 130 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.				
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.				
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.				

9. SCHEDULE II (PSCR, SC2)

	Program or Service (Budget Entit			
Action	71150200	71550100	71600100	71600200
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 161 of the LBR Instructions.)	Y	Y	Y	Y

	Action	Program or Service (Budget Entit			
		71150200	71550100	71600100	71600200
10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 92 of the LBR Instructions.)	Y	Y	Y	Y
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 99 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
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	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? Note: FCO issues can now be included in the priority listing.	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	**NOT REQUIRED FOR THIS YEAR**				
14. SCHEDULE VIIIB-2 (EADR, S8B2)					
14.1	Do the reductions comply with the instructions provided on pages 104 through 106 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Y	Y	Y	Y
15. SCHEDULE VIIIC (EADR, S8C) **(LAS/PBS Web - see page 107-109 of the LBR Instructions for detailed instructions)**					
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.	Y	Y	Y	Y
15.2	Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Y	Y	Y	Y
15.3	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	Y	Y	Y	Y
15.4	Are the priority narrative explanations adequate and do they follow the guidelines on pages 107-109 of the LBR instructions?	Y	Y	Y	Y
15.5	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	Y	Y	Y	Y
AUDIT:					
15.6	Do the issues net to zero at the department level? **(GENR, LBR5)**	Y	Y	Y	Y

	Action	Program or Service (Budget Entit 71150200	71550100	71600100	71600200
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 of the LBR Instructions for detailed instructions)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. **The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.** (Note: Pursuant to *section 216.023(4)(b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2013-14 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1)**	Y	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y	Y
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? **(Audit #2 should print "No Operating Categories Found")**	Y	Y	Y	Y
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: **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
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 115 through 158 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y
17.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y
17.4	Does the LBR include a separate IV-B for each IT project over $1 million (see page 134 of the LBR instructions for exemptions to this rule)? Have all IV-B been emailed to: IT@LASPBS.state.fl.us	Y	Y	Y	Y
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y

	Action	Program or Service (Budget Entit 71150200	71550100	71600100	71600200
AUDITS - GENERAL INFORMATION					
TIP	Review *Section 6: Audits* of the LBR Instructions (pages 160-162) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP	Y	Y	Y	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.				
19. FLORIDA FISCAL PORTAL					
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y

ion

y Codes
71600300

Y
Y
Y
Y
Y
Y
Y
Y
Y
Y

y Codes
71600300
Y
Y
Y
Y
Y
Y
Y
Y

y Codes
71600300
Y
Y
Y
Y
Y
Y
Y
Y
Y
N/A
N/A

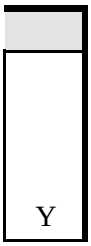
y Codes
71600300
Y
Y
Y
N/A
Y
Y
Y
Y
Y
Y
Y
Y
Y
N/A
N/A
Y

y Codes
71600300
Y
Y
Y
N/A
Y

y Codes
71600300
Y
N/A
N/A
Y
Y
Y
Y
N/A
N/A
Y
Y
N/A
Y
Y
Y
Y
Y

y Codes
71600300
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y

y Codes
71600300



y Codes
71600300
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y

y Codes
71600300
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y
Y

y Codes
71600300
Y
Y
Y
Y
Y
Y
Y

Fiscal Year 2015-16 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Law Enforcement

Agency Budget Officer/OPB Analyst Name: Cynthia Barr

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

		Program or Service (Budget Entity Codes)				
	Action	71700100	71700200	71800100	71800200	
1. GENERAL						
1.1	Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, 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	
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y	
AUDITS:						
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	
1.4	Has security been set correctly? **(CSDR, CSA)**	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	
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	
2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	
2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 29) been followed?	Y	Y	Y	Y	
3. EXHIBIT B (EXBR, EXB)						
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	
AUDITS:		Y	Y	Y	Y	
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y	Y	

	Action	Program or Service (Budget Entity Codes) 71700100	71700200	71800100	71800200	
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y	
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, 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 61 of the LBR Instructions?	Y	Y	Y	Y	
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences need to be corrected in Column A01.)**	Y	Y	Y	Y	
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2013-14 approved budget. Amounts should be positive.					

	Program or Service (Budget Entity Codes)				
Action	71700100	71700200	71800100	71800200	
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.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)					
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	
TIP Exhibit D-3 is 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 33 of the LBR Instructions.)	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 67-68 of the LBR Instructions.)	Y	Y	Y	Y	
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Y	Y	Y	Y	
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 through E-6 of the LBR Instructions.)	Y	Y	Y	Y	
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	
7.9 Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A	
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #14-001?	Y	Y	Y	Y	

	Action	Program or Service (Budget Entity Codes) 71700100	71700200	71800100	71800200	
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 not be deleted. **(PLRR, PLMO)**	Y	Y	Y	Y	
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	
7.16	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 28 and 88 of the LBR Instructions.)	Y	Y	Y	Y	
7.17	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 330010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y	
7.18	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	
AUDIT:						
7.20	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	
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? **(GENR, LBR1)**	Y	Y	Y	Y	
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? **(GENR, LBR2)**	N/A	N/A	N/A	N/A	
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? **(GENR, LBR3)**	N/A	N/A	N/A	N/A	
7.24	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	
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.					

	Action	Program or Service (Budget Entity Codes)				
		71700100	71700200	71800100	71800200	
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 65 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If a state agency needs to include in its LBR a realignment or workload request issue to align its data processing services category with its projected FY 2015-16 data center costs, this can be completed by using the new State Data Center data processing services category (210001). (NSRC data processing services category (210022) and the SSRC data processing services category (210021) will no longer be used)					
TIP	If an appropriation made in the FY 2014-15 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level *or* SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	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	Y	Y	Y	
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative**;** fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y	
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	N/A	N/A	N/A	

		Program or Service (Budget Entity Codes				
	Action	71700100	71700200	71800100	71800200	
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	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	Y	Y	Y	
8.10	Are the statutory authority references correct?	Y	Y	Y	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	Y	Y	Y	
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A	N/A	N/A	N/A	
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A	N/A	N/A	
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A	N/A	N/A	N/A	
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	
8.20	Are appropriate general revenue service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling	Y	Y	Y	Y	
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	

	Action	Program or Service (Budget Entity Codes)				
		71700100	71700200	71800100	71800200	
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Y	Y	Y	Y	
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y	
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y	
8.33	Has a Schedule IB been provided for each trust fund and does total agree with line I ?	Y	Y	Y	Y	
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 130 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? **(BRAR, BRAA - Report should print "No Records Selected For This Request")** Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See *Base Rate Audit* on page 161 of the LBR Instructions.)	Y	Y	Y	Y	

	Program or Service (Budget Entity Codes)				
Action	71700100	71700200	71800100	71800200	
10. SCHEDULE III (PSCR, SC3)					
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 92 of the LBR Instructions.)	Y	Y	Y	Y	
10.2 Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 99 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	
11. SCHEDULE IV (EADR, SC4)					
11.1 Are the correct Information Technology (IT) issue codes used?	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? Note: FCO issues can now be included in the priority listing.	Y	Y	Y	Y	
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1 **NOT REQUIRED FOR THIS YEAR**					
14. SCHEDULE VIIIB-2 (EADR, S8B2)					
14.1 Do the reductions comply with the instructions provided on pages 104 through 106 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Y	Y	Y	Y	
15. SCHEDULE VIIIC (EADR, S8C) **(LAS/PBS Web - see page 107-109 of the LBR Instructions for detailed instructions)**					
15.1 Agencies are required to generate this schedule via the LAS/PBS Web.	Y	Y	Y	Y	
15.2 Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Y	Y	Y	Y	
15.3 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	Y	Y	Y	Y	
15.4 Are the priority narrative explanations adequate and do they follow the guidelines on pages 107-109 of the LBR instructions?	Y	Y	Y	Y	
15.5 Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	Y	Y	Y	Y	
AUDIT:					
15.6 Do the issues net to zero at the department level? **(GENR, LBR5)**	Y	Y	Y	Y	

	Program or Service (Budget Entity Codes				
Action	71700100	71700200	71800100	71800200	
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 of the LBR Instructions for detailed instructions)					
16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. **The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.** (Note: Pursuant to *section 216.023(4)(b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR	Y	Y	Y	Y	
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3 Does the FY 2013-14 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1)**	Y	Y	Y	Y	
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y	Y	
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? **(Audit #2 should print "No Operating Categories Found")**	Y	Y	Y	Y	
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: **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	
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y	Y	
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
17. MANUALLY PREPARED EXHIBITS & SCHEDULES					
17.1 Do exhibits and schedules comply with LBR Instructions (pages 115 through 158 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	
17.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	
17.4 Does the LBR include a separate IV-B for each IT project over $1 million (see page 134 of the LBR instructions for exemptions to this rule)? Have all IV-B been emailed to: IT@LASPBS.state.fl.us	Y	Y	Y	Y	
17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	

	Program or Service (Budget Entity Codes				
Action	71700100	71700200	71800100	71800200	
AUDITS - GENERAL INFORMATION					
TIP Review *Section 6: Audits* of the LBR Instructions (pages 160-162) for a list of audits and their descriptions.					
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)					
18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	
18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP	Y	Y	Y	Y	
18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	
18.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	
18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
19. FLORIDA FISCAL PORTAL					
19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	