



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

ANANTH PRASAD, P.E.
SECRETARY

October 15, 2014

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

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

Cindy Kynoch, Staff Director
Senate Committee on Appropriations
201 Capitol
Tallahassee, Florida 32399-1300

RE: FISCAL YEAR 2015-16 LEGISLATIVE BUDGET REQUEST

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Transportation 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 Ananth Prasad, Secretary of the Florida Department of Transportation.

The budget authority requested for the Work Program categories is based upon the amounts planned for the second year of the July 1, 2014 Adopted Work Program. It is based upon a financial outlook supported by the March 2014 revenue estimating conferences. The LBR due date of October 15 is well in advance of the time provided in Chapter 339, F.S., to prepare the new Tentative Work Program. As such, the department submits the second year of current July 1 Adopted Work Program in advance of the future request.

The new development cycle enables the department to prepare a more up-to-date plan based upon new state and federal revenue estimates. Projects are also updated for plans developments, scope adjustment, estimates on quantities and current conditions related to priority, permits and schedules. The development cycle for the new fiscal year is currently underway and will culminate in a February 17, 2015 submission of the official Tentative Work Program for Fiscal Years 2015/16 through 2019/20. The department will align its LBR to the new Tentative Work Program at that time.

The historical trend shows the Tentative Work Program funding levels increase in total as compared to the LBR amount. This change is indicative of the adjustments mentioned previously.

Sincerely,

Greg E. Patterson
Budget Officer

GEP:jmp

Enclosure

COL A03			
AGY REQUEST			
FY 2015-16			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM		001	990T000
TRUST FUNDS.....	7317,140,308		2000
	=====		

SCH VIIIA NARR 15-16 NOTES:

FUND SOURCE: State/Federal/Local

LRPP REFERENCE:

- Goal 1: Preserve and manage a safe, efficient transportation system.
- Goal 2: Enhance Florida's economic competitiveness, quality of life and transportation safety.
- Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:

Priority #1

Requests \$7,476,111,304 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$7,309,696,384

Issue Code: 990T000 - Debt Service - \$ 7,443,924

Issue Code: 990I000 - Debt Service - \$ 158,970,996

Total Debt Service (990T000+990I000): \$ 166,414,920

Total Work Program: \$7,476,111,304

This request represents the second year of the July 1, 2014 Adopted Work Program for fiscal years 2015 through 2019 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

COL A03			
AGY REQUEST			
FY 2015-16			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
TRANSPORTATION WORK PROGRAM			
INTEGRATION INITIATIVE		002	36233C0
TRUST FUNDS.....	3,816,119		2000
	=====		

SCH VIIIA NARR 15-16 NOTES:

FUND SOURCE: 100% State

LRPP REFERENCE: Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #2

Requests \$3,816,119 of nonrecurring budget authority in the Contracted Services category to complete the design of FDOT's Transportation Work Program Integration Initiative to update and modify the system. Budget authority will be used to complete the detailed functional requirements and alternative solutions to integrate the various systems, subsystems, system interfaces and programming languages used to plan, manage, finance and budget transportation projects.

CONSTRUCTION MATERIAL ACCEPTANCE CERTIFICATION		003	36250C0
TRUST FUNDS.....	172,424		2000
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SCH VIIIA NARR 15-16 NOTES:

FUND SOURCE: 100% State

LRPP REFERENCE: Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #3

Requests \$172,424 of recurring budget authority in the Contracted Services category for the maintenance and support of the Construction Materials Acceptances Certification (MAC) which replaced the Laboratory Information Management System (LIMS). MAC is sound technology that will be sustainable for at least 10-15 years. The department is dependent upon the capability provided by MAC to manage all the processes related to material quality compliance and project acceptance.

COL A03			
AGY REQUEST			
FY 2015-16			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
CONTRACT FUNDS MANAGEMENT (CFM)			
SYSTEM MAINTENANCE		004	36234C0
TRUST FUNDS.....	250,000		2000
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SCH VIIIA NARR 15-16 NOTES:

FUND SOURCE: 100% State

LRPP REFERENCE: Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:

Priority #4

 Requests \$250,000 of nonrecurring budget authority in the Contracted Services category to address system functionality needs discovered during the technology refresh of the Contract Funds Management (CFM) system funded in FY 2014/15. This issue also requests system maintenance associated with ongoing support.

The additional functionality addresses process gaps, closes loopholes, and strengthens data checks between systems building greater integrity into the approval process.

CAPITAL IMPROVEMENT PLAN			9900000
CODE CORRECTIONS		005	990C000
TRUST FUNDS.....	3,751,019		2000
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SCH VIIIA NARR 15-16 NOTES:

FUND SOURCE: 100% State

LRPP REFERENCE: Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:

Priority #5

 Code Corrections - Category #080002

Requests \$3,751,019 of nonrecurring Fixed Capital Outlay budget authority to fund building and grounds projects department-wide which are necessary to meet federal, state, or local building code requirements. This issue is presented

 COL A03
 AGY REQUEST
 FY 2015-16
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			99000000
CODE CORRECTIONS		005	99000000

annually so FDOT can extend the life of facilities and create a safe working environment.

Relevant projects include:

- * Americans with Disabilities Act (ADA) - bathroom renovations, covered ADA ramp
- * Life Safety - fire alarm panels
- * Environmental - fuel tank painting/removal, removal of laboratory fumes/dust collection, noise mitigation
- * Building Critical - special need building transformer/switch gear, security, chiller/boiler/HVAC replacement, roof replacement, building envelope, drainage, safety, building wiring-emergency generator

OPERATING REQUIREMENTS			5500000
BUILDINGS AND GROUNDS - MAINTENANCE AND REPAIR		006	5505500

TRUST FUNDS.....	1,988,582		2000
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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE: Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #6

Building and Grounds - Maintenance & Repairs - Category #100777

Requests \$1,988,582 of recurring budget authority in the Contracted Services category to fund operational maintenance repairs. The repairs include preventive and general maintenance repair activities and routine facility costs for FDOT's buildings and grounds maintenance and repair program. These projects are necessary to sustain the condition and value of the 842 FDOT-owned facilities and structures outside of the right-of-way totaling 3.9M sf.

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AGY REQUEST			
FY 2015-16			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
DISASTER RECOVERY TO PROTECT			
BUSINESS OPERATIONS		007	36212C0
TRUST FUNDS.....	945,586		2000
	=====		

SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE: Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #7

Requests \$945,586 of recurring budget authority in the Data Processing Services State Data Center - AST category to fund disaster recovery initiatives for systems and equipment located at the Southwood Shared Resource Center (SSRC). FDOT currently has several mainframe and non-mainframe business critical applications that have no recovery plan in the event of a disaster at the SSRC.

CAPITAL IMPROVEMENT PLAN			9900000
ENVIRONMENTAL PROJECTS		008	990E000
TRUST FUNDS.....	855,000		2000
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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE: Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #8

Environmental Site Restoration - Category #088763

Requests \$855,000 of nonrecurring Fixed Capital Outlay budget authority to continue the cleanup of contaminated soil and groundwater at various FDOT facilities statewide to restore those sites to an environmentally uncontaminated, clean and safe condition.

COL A03 AGY REQUEST FY 2015-16			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
SUPPORT FACILITIES		009	990F000
TRUST FUNDS.....	13,604,258		2000
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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE: Goal 3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:

Priority #9

Cocoa Operations Center - Category #088745

Requests \$12,000,000 of nonrecurring Fixed Capital Outlay budget authority to continue the second year of a three-year project to construct a new 55,382 square foot Cocoa Brevard Operations Center at the existing department owned site in District Five, Brevard County. \$2M was appropriated in FY 2014/15 to complete site and buildings design. This project consolidates 26 existing maintenance and construction buildings to 7 new buildings that will house up to 62 staff and is consistent with FDOT's long-range plan to streamline maintenance and construction functions at one location.

Priority #11

Support Facilities - Category #080002

Requests \$1,604,258 of budget authority to fund nonrecurring Fixed Capital Outlay minor projects for new minor construction, installation of equipment storage units, modifications and renovations for additional work space, and protection of mechanical equipment at department-owned facilities. These projects are necessary to protect and preserve the value of assets (i.e., equipment and materials) and to meet facility and space needs.

EQUIPMENT NEEDS			2400000
REPLACEMENT EQUIPMENT FOR MATERIALS			
AND TESTING LABORATORIES		010	2401170
TRUST FUNDS.....	638,500		2000
	=====		

SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

 COL A03
 AGY REQUEST
 FY 2015-16
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
EQUIPMENT NEEDS			2400000
REPLACEMENT EQUIPMENT FOR MATERIALS AND TESTING LABORATORIES	010		2401170

LRPP REFERENCE:

- Goal #1: Preserve and manage a safe, efficient transportation system.
- Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #10

Requests \$638,500 of budget authority in the Operating Capital Outlay, Acquisition of Motor Vehicles, and Expenses categories to replace a Laser Profiler System (ME 30781) with associated host vehicle, and an X-Ray Fluorescence Spectrometer for the State Materials Laboratory in Gainesville. This specialized equipment is needed to ensure that roads meet contract specifications and are safe to travel, and to test material used in bridge construction to optimize durability and cost effectiveness.

These replacements ensure efficiencies within the department by streamlining data collection processes and reducing manual labor efforts. This action highlights FDOT's commitment to preserving and maintaining a safe and reliable transportation system.

PROGRAM OR SERVICE-LEVEL INFORMATION TECHNOLOGY			3630000
GEOSPATIAL ROADWAY DATA STRATEGIC FRAMEWORK	012		36342C0

TRUST FUNDS.....	516,700		2000
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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #12

Requests \$516,700 of budget authority in the Contracted Services category to gather user requirements and explore reengineering business processes to determine the best solution for potential replacement of the Roadway Characteristics Inventory (RCI). The department has identified the opportunity and the need to develop a system architecture and framework to serve multiple data needs related to the physical, operational, maintenance, and administrative properties of the transportation infrastructure. The framework will support the transition to geospatial referencing and potentially replace multiple data collection efforts over the same roadway.

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 AGY REQUEST
 FY 2015-16
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM OR SERVICE-LEVEL			
INFORMATION TECHNOLOGY			3630000
GEOSPATIAL ROADWAY DATA STRATEGIC			
FRAMEWORK		012	36342C0

RCI is an important tool supporting the department's core mission to provide a safe transportation system that ensures mobility. Resources requested will enable the department to gather roadway data, input it into one system, leverage GIS data, and make it available to whomever needs it through a department-wide GIS infrastructure while significantly reducing the amount of clerical tasks required to collect and maintain the data.

ECONSTRUCTION PAPERLESS WORKFLOW			
INITIATIVE		013	36343C0

TRUST FUNDS.....	753,750		2000
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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #13

Requests \$753,750 of budget authority in the Contracted Services category for equipment and software to support the eConstruction initiative. This initiative will begin the migration of the Construction Management process to a paperless environment through the use of collaborative sharing sites, mobile devices, digital signatures, form automation, and Electronic Final Plans As-Built, allowing members of construction projects to collaborate in real time. Currently, As-Built plans are paper documents that, after being marked by pen, are scanned into the electronic storage database (EDMS). The records can amount to hundreds of documents for one project. This initiative enables these documents to be produced electronically from the outset where they can be marked up with an electronic marker, completely eliminating the scanning process. This scanning function is done by a contract costing the department approximately \$120,000 annually, which can be eliminated when eConstruction is fully implemented. The initiative will also reduce processing time for construction activities, improving the speed of project completion.

COL A03 AGY REQUEST FY 2015-16 POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM OR SERVICE-LEVEL			
INFORMATION TECHNOLOGY			3630000
LEGAL DISCOVERY AND PUBLIC RECORDS			
AUTOMATION		014	36340C0
TRUST FUNDS.....	105,000		2000
	=====		

SCH VIIIA NARR 15-16 NOTES:
FUND SOURCE: 100% State

LRPP REFERENCE: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
Priority #14

Requests \$105,000 of budget authority in the Expenses category to purchase one block (50 additional software licenses and associated 100 GB of data storage) for the Symantec Cherwell Legal Discovery Automation appliance. This software is used in conjunction with Symantec's Enterprise Vault Cloud which is used to search FDOT's email system and file storage arrays for documents relevant to Public Records Requests and ongoing litigation. When used for litigation, this software provides Bates Stamping/Numbering which indexes legal documents for easy identification and retrieval. The additional licenses and storage improve the department's ability to process public records requests, reducing costs to produce and respond to requests and potentially speed up resolution of legal cases. Additionally, this tool enables the department to effectively support the Governor's directives for public access and government transparency.

CLAIMS MANAGEMENT DATABASE		015	36341C0
TRUST FUNDS.....	250,900		2000
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SCH VIIIA NARR 15-16 NOTES:
FUND SOURCE: 100% State

LRPP REFERENCE: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
Priority #15

Requests \$250,900 of budget authority in the Contracted Services category to replace the Time Matters (TM) claims management system in the Office of General Counsel (OGC) with a new system developed by the department's Office of Information Systems. Time Matters is over 15 years old and no longer supported by the vendor. The dependency on this

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 AGY REQUEST
 FY 2015-16
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM OR SERVICE-LEVEL			
INFORMATION TECHNOLOGY			3630000
CLAIMS MANAGEMENT DATABASE	015		36341C0

product is of great concern as the system has crashed twice in the last two years where OGC staff have experienced a four day period of inactivity.

In accordance with s. 768.28, F.S., General Liability Claims and Bodily Injury Claims associated with incidents which occur throughout the state, whether or not they are within a construction site, must be investigated and responded to within 90 days of receipt. These incidents are investigated whether they are against or on the behalf of the department. Failure to quickly investigate claims results in an inability to comply with statute and creates adverse outcomes in the litigation process if a law suit is filed.

A new Claims Management system will remove the risk of using an outdated system that jeopardizes the business and accountability of the department by hindering our ability to respond to claims in a timely manner.

AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
CONSOLIDATION, STANDARDIZATION AND			
REPLACEMENT OF INFORMATION			
TECHNOLOGY EQUIPMENT AND SOFTWARE	016		36216C0

TRUST FUNDS.....	1,165,259		2000
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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #16

Requests \$1,165,259 of recurring budget authority in the Expenses, Operating Capital Outlay, and Contracted Services categories to support a department-wide initiative associated with the consolidation of software licenses, replacement of video teleconference equipment, and replacement of voice network equipment. Consolidating software purchase and use ensures all software versions are current and limits the number of licenses which may remain infrequently used or unused. Economies of scale will be achieved in procurement and support costs associated with upgrades and replaced equipment and software. Upgrades reduce the security risk associated with the use of outdated equipment and software. Updated equipment will improve the communications capabilities within FDOT.

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AGY REQUEST			
FY 2015-16			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
PERMIT APPLICATION SYSTEM		017	36239C0
TRUST FUNDS.....	300,000		2000
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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% Federal

LRPP REFERENCE: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #17

 Requests \$300,000 of nonrecurring budget authority in the Contracted Services category to add functionality to the existing Permit Application System (PAS) in order to encourage greater utilization by the trucking industry and perform data cleansing of the existing Geographic Information System (GIS) routing data in PAS. The PAS application is an automated tool used to issue Overweight/Over-Dimensional road use permits to ensure compliance with statutes and administrative rules.

Enhancements will make the system more accurate, user friendly (increasing customer utilization), will accommodate permitting for unique oversize/overweight loads, will provide additional cost savings to the trucking industry with the ability to obtain permits at weigh stations rather than going to an office, and will fully automate the system.

OPERATING REQUIREMENTS			5500000
SUPPORT FOR CONSTRUCTION MANAGEMENT		018	5503900
TRUST FUNDS.....	250,000		2000
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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE: Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #18

 Requests \$250,000 of recurring budget authority in the Expenses category to participate in the two year development of the Project Construction and Materials Management module of the American Association of State Highway and Transportation Officials (AASHTO) Project SiteManager software. This software is critical to construction project management and the

 COL A03
 AGY REQUEST
 FY 2015-16
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
OPERATING REQUIREMENTS			5500000
SUPPORT FOR CONSTRUCTION MANAGEMENT	018		5503900

software development will allow migration to a web environment from client software. This will improve the efficiency of use and add time-saving functionality to the SiteManager software.

Direct benefits to the department for participating in this joint development process include FDOT being able to assist in the definition of requirements and design for planned enhancements, receiving improved software at a lower cost due the economies of scale in the application development process, having access to early releases of the software during the development process so that planned requirements can be met by the software, and fully implementing the Project Construction and Materials Management module earlier than we would be able to without these enhancements.

EQUIPMENT NEEDS			2400000
ADDITIONAL EQUIPMENT FOR THE			
MATERIALS AND TESTING LABORATORIES	019		2403100
TRUST FUNDS.....		222,000	2000

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SCH VIIIA NARR 15-16 NOTES:
 FUND SOURCE: 100% State

LRPP REFERENCE:
 Goal #1: Preserve and manage a safe, efficient transportation system.
 Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

SUMMARY:
 Priority #19

Requests \$222,000 of budget authority in the Operating Capital Outlay and Expenses categories to upgrade an existing roadway profiler with cross slope measuring capabilities for the State Materials Office in Gainesville. The department currently has two cross slope measuring systems that cover the entire state. This additional unit is requested to meet increased demand from design and construction and has a life expectancy of 10 years.

A cross-slope measuring system is a piece of equipment attached to a profiler allowing an operator to travel at highway speeds while measuring the transverse slope of a roadway for pavement drainage capabilities. This data is used for monitoring, assessing, and reporting the condition, performance, and safety of Florida roadways. The cross slope measuring capabilities of the Roadway Profiler provides the capability to measure full road width (10 foot) which minimizes lane closures needed for conventional manual evaluation and allows a much faster and safer assessment of existing conditions.

COL A03			
AGY REQUEST			
FY 2015-16			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM PLAN SUPPORT			6000000
SUPPORT FOR TRANSPORTATION			
DISADVANTAGED		020	6002400
TRUST FUNDS.....	2,470,104		2000
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SCH VIIIA NARR 15-16 NOTES:

FUND SOURCE: 100% Transportation Disadvantaged Trust Fund

LRPP REFERENCE: Goal #2: Enhance Florida's economic competitiveness, quality of life, and transportation safety

SUMMARY:

Priority #20

Requests \$2,470,104 of budget authority to align budget in the Grants and Aids Transportation Disadvantaged and Contracted Services categories with projected revenues. In addition to supporting the Transportation Disadvantaged Commission's mission, the contracted services budget will be used for quality assurance, management review programs, technology support and the continuous development of training programs. This benefits the state with the opportunity for older adults, persons with disabilities, persons of low income, and at-risk children to have transportation access to health care, employment, education, and other life sustaining activities.

WORKLOAD			3000000
ENHANCED TRAFFIC LAW ENFORCEMENT			
FOR STATE ROAD 93 - ALLIGATOR ALLEY		021	3001080
TRUST FUNDS.....	46,394		2000
	=====		

SCH VIIIA NARR 15-16 NOTES:

FUND SOURCE: 100% State (Reimbursed from Toll Revenues on Alligator Alley)

LRPP REFERENCE: Goal 2: Enhance Florida's economic competitiveness, quality of life, and transportation safety.

SUMMARY:

Priority #21

Requests \$46,394 to reimburse the Department of Highway Safety and Motor Vehicles (DHSMV) for law enforcement activities provided by the Florida Highway Patrol. This increase is based on advice from DHSMV on the amount included in their FY 2015/16 budget request for Alligator Alley.

COL A03			
AGY REQUEST			
FY 2015-16			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
WORKLOAD			3000000
ENHANCED TRAFFIC LAW ENFORCEMENT			
FOR STATE ROAD 93 - ALLIGATOR ALLEY		021	3001080
<p>At the state level, funding for Troopers on Alligator Alley is double budgeted. Operating requirements for Alligator Alley are funded in traditional categories (Salaries and Benefits, Expenses, etc.) in DHSMV's budget. The Department of Transportation receives budget in the Florida Highway Patrol Services category, Toll Operations program component, to reimburse DHSMV for these Alligator Alley Patrol costs.</p> <p>*****</p>			
TOTAL: TRANSPORTATION, DEPT OF			55000000
BY FUND TYPE			
TRUST FUNDS.....	7349,241,903		2000
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Florida Department of Transportation

Temporary Special Duty – General Pay Additive Implementation Plan for Fiscal Year 2015-2016”.

The Department plans to use the temporary special duty additive – general when a critical position is vacant and the work needs to be performed while the vacancy is advertised and filled. The pay additive will be implemented upon assignment of the temporary additional duties to a qualified Career Service employee, will not exceed 10 percent of the employee’s base salary and should not exceed 90 days without the Department reviewing the circumstances under which the additive is implemented.

Based on the Department’s historical data captured for Fiscal Year 2013-14 and current Fiscal Year 2014-2015 (detailed spreadsheet attached), the temporary special duty additive – general is utilized conservatively, when the need is well documented, justified and consistent with the provisions stated in Article 21 of the AFSCME Master contract; “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 actually performs a major portion of the duties of the higher level position.”

Since it cannot be predicted in advance when these situations will occur, the Department can only rely on historical data. Combined data illustrates that in the last and current fiscal years, a total of 20 temporary special duty pay additives have been issued; 4 of these were related to assuming higher level duties of a vacant position; 16 for assuming duties of a position whose incumbent was out due to illness. The average total amount to the Department, based on this data, was \$123.42 bi-weekly per incident. Employees in varied job classes received the pay additive; however, the data shows that the Maintenance and Construction area of the Department is where the majority of the temporary special pay additives have been issued.

Temporary Special Duty – General Pay Additive

Emp Id	Start Date	End Date	Wage Type	Wage Type Desc	Reason	Pos Num	Wage Type Amount	Full Name	Class Code	Class Title	Cost Center	District
690614	2/28/2014	5/22/2014	2019	TSD - ABSENT COWORKER	FMLA	001114	142.44	MITCHELL, ROBERT	2053	DISTRIBUTED COMPUTER SYSTEMS CONSULTANT	202	CO
186450	2/28/2014	5/22/2014	2019	TSD - ABSENT COWORKER	FMLA	008485	159.09	JOHNSON, OWEN	2050	DISTRIBUTED COMPUTER SYSTEMS SPECIALIST	602	CO
210965	3/14/2014	5/8/2014	2019	TSD - ABSENT COWORKER	FMLA	0010912	159.92	JOYNER, PAULA	0120	STAFF ASSISTANT	931	CO
181258	8/30/2013	11/21/2013	2012	TEMP SPEC DUTIES(TSD)-GEN	VACANT POSITION	0010365	135.21	BRIGGS, CHARLES	6540	AUTOMOTIVE EQUIPMENT MECHANIC II	190	D1
215339	10/11/2013	1/2/2014	2019	TSD - ABSENT COWORKER	VACANT POSITION	002794	105.35	RUTH, CARYN	0004	SENIOR CLERK	190	D1
130579	5/24/2013	8/15/2013	2019	TSD - ABSENT COWORKER	FMLA	002815	113.54	HOLLAND, ARLIS	4741	HIGHWAY MAINTENANCE TECHNICIAN II	190	D1
222934	12/16/2013	3/10/2014	2019	TSD - ABSENT COWORKER	FMLA	003996	119.42	RUSS, RONALD	4633	ENGINEERING SPECIALIST III	219	D2
601826	10/11/2013	1/2/2014	2019	TSD - ABSENT COWORKER	FMLA	0010435	81.28	MCARTHUR, THOMAS	2209	OPERATIONS ANALYST I	286	D2
950360	11/22/2013	2/13/2014	2019	TSD - ABSENT COWORKER	VACANT POSITION	009067	80.48	GOTTSCHALK, NATHAN	4630	ENGINEERING SPECIALIST II	297	D2
151951	10/11/2013	1/2/2014	2019	TSD - ABSENT COWORKER	FMLA	006226	255.25	TOOLE, KIMBERLY	4660	PROFESSIONAL ENGINEER II	310	D3
163039	11/8/2013	1/30/2014	2012	TEMP SPEC DUTIES(TSD)-GEN	FMLA	005930	106.92	HOLLEY, JASON	6368	HEAVY EQUIPMENT OPERATOR	390	D3
858001	7/19/2013	10/10/2013	2019	TSD - ABSENT COWORKER	FMLA	006767	70.75	MATONTI, MAURO	4738	HIGHWAY MAINTENANCE TECHNICIAN I	490	D4
858001	11/8/2013	1/30/2014	2019	TSD - ABSENT COWORKER	FMLA	006767	103.76	MATONTI, MAURO	4738	HIGHWAY MAINTENANCE TECHNICIAN I	490	D4
134093	9/4/2013	11/20/2013	2019	TSD - ABSENT COWORKER	FMLA	007810	127.54	GOODE, TEISHA	4627	ENGINEERING SPECIALIST I	690	D6
134093	12/13/2013	3/7/2014	2019	TSD - ABSENT COWORKER	FMLA	007810	132.93	GOODE, TEISHA	4627	ENGINEERING SPECIALIST I	690	D6
106599	10/2/2013	12/19/2013	2019	TSD - ABSENT COWORKER	FMLA	005005	107.51	HOLMES, DWIGHT	4742	HIGHWAY MAINTENANCE TECH COORD	690	D6
112264	10/25/2013	1/16/2014	2019	TSD - ABSENT COWORKER	FMLA	007773	99.19	WILLIAMS, LORENZO	4742	HIGHWAY MAINTENANCE TECH COORD	690	D6
936279	6/21/2013	9/12/2013	2019	TSD - ABSENT COWORKER	FMLA	007776	92.7	RUTLEDGE, RODNEY	6369	SENIOR HEAVY EQUIPMENT OPERATOR	690	D6
996420	8/30/2013	10/8/2013	2019	TSD - ABSENT COWORKER	FMLA	003450	88.03	JOHNSON, DWAYNE	4742	HIGHWAY MAINTENANCE TECH COORD	796	D7
112771	5/30/2013	8/21/2013	2012	TEMP SPEC DUTIES(TSD)-GEN	VACANT POSITION	006551	187.17	PELHAM, DAVID	4635	ENGINEERING SPECIALIST IV	744	D7



**LEGISLATIVE
BUDGET REQUEST
2015-2016**

**Department Level Exhibits and
Schedules**



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

ANANTH PRASAD, P.E.
SECRETARY

TO: Greg Patterson
Budget Officer

FROM: Roger Wood
Interim General Counsel

A handwritten signature in blue ink that reads "Roger Wood". The signature is written in a cursive, flowing style.

DATE: September 12, 2014

SUBJECT: Schedule VII: Agency Litigation Inventory 2014/2015
Legislative Budget Request

We have attached an inventory of the Department's current litigation in accordance with the Planning and Budgeting Instructions. Based on the July 22, 2014, request, we have exercised due diligence by requesting that each Chief Legal Counsel in the Office of the General Counsel in Tallahassee and each of the District Chief Counsels, including the Chief Counsel for the Turnpike Enterprise, identify any litigation cases known to them that may require additional appropriations in excess of \$500,000, may increase revenues by more than \$500,000, may impact enforceability of a current state law, or are otherwise required to be reported pursuant to section 216.023(5).

If you have any questions, or need additional information, please feel free to contact me at 414-5385.

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Paul J. Martin	Phone Number:	414-5265

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Angie's Transportation, Inc., Plaintiff, v. FDOT, and Secretary Prasad, Defendants.		
Court with Jurisdiction:	2 nd Judicial Circuit, Leon County		
Case Number:	2014-CA-000489		
Summary of the Complaint:	Plaintiff claims that it is being charged incorrect amounts for tolls in using a SunPass Account to pay for tolls on roads throughout Central Florida, some roads owned by FDOT and others owned and operated by local expressway authorities. It further alleges that these overcharges are rampant through the toll system, the number of potential plaintiffs number in the millions, and classwide relief should be awarded against the Department for damages and other equitable relief.		
Amount of the Claim:	Indeterminate, but the alleged class members could be in the millions		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	Plaintiff served the class action complaint and related motions to appear pro hoc vice and for class certification on February 25, 2014. Defendant served its Motion to Dismiss and to Strike on April 18, 2014. Discovery was initiated by Plaintiff and is ongoing. FDOT's Motion to Dismiss was granted with leave to amend on August 14, 2014.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Lawsuit is a class action and a class has not been certified. Cory S. Feinman Caddell & Chapman Houston, Texas M. Stephen Turner Broad and Cassel Tallahassee, FL (Co-counsel)		

Schedule VII: Agency Litigation Inventory

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

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Bay Drum Superfund Site		
Court with Jurisdiction:	US DC Middle District		
Case Number:	97-1564-CIV-T-26(A)		
Summary of the Complaint:	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT has entered into a consent decree that requires it to clean this site.		
Amount of the Claim:	Potential exposure is estimated to be \$10,000,000		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	FDOT has responded to EPA's information request and has joined a Potential Responsible Party group. FDOT is a major participant due to its allocation. On 01/21/05, EPA agreed to amend the Record of Decision to provide for monitoring and natural attenuation as the remedy for the deep Floridian Aquifer. An assessment for cleanup costs was made and paid in 2011 in the amount of \$79,558.30. No additional assessment was made in 2013 and no additional assessment is expected in 2014.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	Butler Carpet Company, d/b/a Bob's Carpet Mart, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pinellas County		
Case Number:	2012-2404-CI-11		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	Plaintiff filed a Notice of Voluntary Dismissal without prejudice on 05/03/10. The new Complaint was filed on 05/07/12. The Court denied FDOT's Motion to Dismiss on 08/17/2012. FDOT answered on the complaint 08/24/12. FDOT filed a Motion for Summary Judgment on 08/05/13. Department's Motion for Summary Judgment was denied 06/12/14. Trial on liability was held 08/06/14. Awaiting ruling.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	CHK, LLC, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pinellas County		
Case Number:	06-730-CI-8		
Summary of the Complaint:	This is an inverse condemnation case. CHK seeks damages for an alleged loss of access and physical invasion attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Summons and Complaint were served on 02/09/06. The Court entered an Order abating the case pending the outcome of the appeal of Fisher v. FDOT, SC07-1394, in which a private property owner asserted legally and factually similar claims. FDOT received a favorable decision in Fisher on 10/11/07. On 08/18/09, Plaintiff amended its complaint to add a count for physical invasion. FDOT filed its Answer on 04/02/10. FDOT filed a Motion for Summary Judgment on 06/04/10. Plaintiff filed a Motion to Abate on 06/04/10. Plaintiff's Motion to Abate was granted on 10/05/10, pending the outcome of the appeal of Hakki v. FDOT, in which a private property owner asserted legally and factually similar claims. FDOT received a favorable decision in the Hakki case on 09/20/11. Department's Motion for Summary Judgment was denied on 10/21/13. Trial set for 12/2/14.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action, provide the name of the firm representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	Crosspointe Baptist Church, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	2nd District Court of Appeal		
Case Number:	2D 10-4254		
Summary of the Complaint:	This is an inverse condemnation case. Plaintiff seeks damages for physical invasion of its property, flooding, and loss of access attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Summons and Complaint were served on 07/28/08. FDOT filed its Answer on 11/24/08. On 02/16/10, the Court entered an Order of Taking, concluding that FDOT was liable only for a temporary taking for periodic ponding during significant rain events. On 08/18/10, a Stipulated Final Judgment was entered for the temporary taking. On 09/01/10, Crosspointe appealed the Court's denial of its other claims. The case was affirmed on 09/16/11. The Mandate issued on 10/07/11. Crosspointe's motion to re-open the case was granted on 09/21/12. The Complaint was served on 12/11/12. FDOT's Motion for a More Definite Statement was denied on 04/01/13. FDOT filed its Answer on 04/11/13. Mediation resulted in impasse on 02/13/14. Case is set for trial 02/21/15.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	FDOT, Plaintiff, v. Anchorage Inn, Defendant.		
Court with Jurisdiction:	7th Judicial Circuit, St. Johns County		
Case Number:	CA03-0753		
Summary of the Complaint:	FDOT brought an eminent domain action to acquire certain property owned by Anchorage. Anchorage responded to the eminent domain petition by filing a counterclaim seeking damages for an alleged inverse condemnation. Anchorage seeks damages for alleged loss of riparian view resulting from the reconstruction of the Bridge of Lions.		
Amount of the Claim:	\$ 3,500,000		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	Anchorage filed its Fourth Amended Counterclaim on 04/16/10. FDOT moved to dismiss the fourth counterclaim on 04/29/10. Mediation was held on 09/20/10, resulting in impasse. FDOT filed its Answer on 02/11/11. FDOT's Motion for Summary Judgment was scheduled for hearing on 09/14/12. Trial was held on 11/26/12, awaiting a ruling by the court. Court issued order of taking on 12/26/13 denying landowner claims of riparian rights taking and granting claims of submerged land lease and upland beach takings. Notice of Appeal filed by plaintiff 1/27/14. Department's Motion to Dismiss Plaintiff's Appeal granted on 05/01/14. Plaintiff filed Motion to Set for Trial. Case transferred back to original judge and trial not yet set.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action, provide the name of the firm or firms representing the Plaintiff.

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Paul J. Martin	Phone Number:	414-5265

Names of the Parties:	FDOT, Plaintiff, v. B & H Contracting, Inc., Defendant.		
Court with Jurisdiction:	1 st Judicial Circuit in and for Okaloosa County, Florida		
Case Number:	2012CA3248		
Summary of the Complaint:	FDOT sued for negligence to recover damages for the cost of repair to its overpass bridge damaged by Defendant's dump truck.		
Amount of the Claim:	Approximately \$1.2 million		
Specific Law(s) Challenged:			
Status of Case:	FDOT filed its Complaint on 07/20/12. Defendant filed its answer on October 29, 2012. Discovery has been ongoing. The parties attended a court-ordered mediation in July 2013 which did not result in a settlement. Recent settlement offer by Defendant's Liability Insurer is being considered. No trial date has been set.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency General Counsel's Office	
		Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Calvin Johnson	Phone Number:	414-5265

Names of the Parties:	FDOT, Plaintiff, v. Dyer, Riddle, Mills & Precourt, Inc., Defendant.		
Court with Jurisdiction:	2 nd Circuit (Leon)		
Case Number:	2008CA004158		
Summary of the Complaint:	FDOT sued DRMP for damages due to its failure to correctly design certain roadway improvement on SR 429.		
Amount of the Claim:	\$2,498,000		
Specific Law(s) Challenged:			
Status of Case:	FDOT filed its Complaint on 12/22/08. DRMP served its Answer on 2/9/09. On 12/06/12, the court entered an order permitting DRMP to file a third party complaint for common law indemnification and equitable subrogation. On 08/15/13, the court granted the third party defendants' motions to dismiss. DRMP appealed both dismissals of third party defendants. On 5/19/14, FDOT filed its Motion for Summary Judgment. That hearing is set for 10/27/14.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action, provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Paul J. Martin	Phone Number:	414-5265

Names of the Parties:	FDOT, Plaintiff v. Heery International, Inc. and Sequeira and Gavarrete, Inc., Defendants.		
Court with Jurisdiction:	2 nd Judicial Circuit in and for Leon County, Florida		
Case Number:	2012CA000933		
Summary of the Complaint:	FDOT sued for breach of contract #C-8808 and failure to prepare plans in accordance with all applicable local building codes.		
Amount of the Claim:	\$1.75 million		
Specific Law(s) Challenged:			
Status of Case:	FDOT filed its Complaint on 03/23/12. Defendants filed their answers on 04/23/12. Discovery is ongoing. No trial date has been set. Defendants have moved to add one of their subconsultants as Third Party Defendants and their motion for leave to do so is currently pending before the court.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	Hillcrest Property, LLP, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pasco County		
Case Number:	51-2011-CA-3825 ES		
Summary of the Complaint:	Plaintiff seeks injunctive relief, due process consequential damages, permanent and temporary takings due to alleged unlawful right of way donations for development rights of its property located on SR 52 in Pasco County.		
Amount of the Claim:	\$15,000,000		
Specific Law(s) Challenged:			
Status of Case:	Plaintiff filed a complaint on 8/22/11. FDOT's Motion to Dismiss was granted in part on 06/01/12. Plaintiff's Motion for Reconsideration was denied on 08/01/2012. Mediation was held on 08/02/12 resulting in a tentative settlement with Plaintiff and FDOT, but the agreement dissolved. US District Judge Merryday found a taking and ruled the ordinance unconstitutional as applied and on its face. Plaintiff filed an amended complaint on 05/15/13. Settlement discussions continued and a settlement for \$3,200,000 was reached on 08/26/13. Hillcrest signed a release and waiver against the Department 01/14/14 and filed a notice of voluntary dismissal with prejudice on 02/06/14.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	Lamar Co., LLC, Plaintiff v. FDOT and Collier County, Defendants		
Court with Jurisdiction:	20th Judicial Circuit, Lee County		
Case Number:	2013-CA-001307-1		
Summary of the Complaint:	The Plaintiff alleges compensable damages due to a noise attenuation wall blocking a billboard's visibility.		
Amount of the Claim:	If successful against the Department, the claim would likely exceed \$750,000.00		
Specific Law(s) Challenged:	Section 479.24, Florida Statutes		
Status of Case:	Complaint was served on 5/06/13. The Department's Motion to Dismiss was denied on 09/18/13. Plaintiff filed amended complaint 04/17/14. Department's Motion to Dismiss heard on 08/11/14. Awaiting ruling.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency General Counsel's Office	
		Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	Mallards Cove LLP, Plaintiff, v. Clerk of the Pasco County Circuit Court and FDOT, Defendants.		
Court with Jurisdiction:	6th Judicial Circuit, Pasco County		
Case Number:	51-2008-CA-7689ES, Division Y		
Summary of the Complaint:	The Plaintiff claims that Section 74.051(4), Florida Statutes, unlawfully deprives landowners of the interest earned on deposits with the Clerks of the Circuit Courts in eminent domain cases. Under the law, FDOT and other condemning authorities receive 90% of the interest earned on deposits made with the Court for the value of property they acquire through eminent domain.		
Amount of the Claim:	Unknown, if a class is certified will likely exceed \$1,000,000		
Specific Law(s) Challenged:	Section 74.051(4), Florida Statutes		
Status of Case:	The Complaint was served on 08/19/09. FDOT moved to dismiss the Complaint on 09/14/09. The motion was denied on 06/01/10. FDOT served its Answer on 07/12/10. On 07/15/10, FDOT filed a Motion for Summary Judgment. On 02/22/11, the Court granted FDOT's Motion for Summary Judgment as to liability for inverse condemnation. On 04/26/11, the Court granted Plaintiff's Motion for Summary Judgment to declare the challenged statute unconstitutional. On 08/18/11, the Pasco Clerk served a crossclaim against FDOT. On 11/07/11 Plaintiff's Motion for Reconsideration of Order granting FDOT's Motion for Summary Judgment was granted and FDOT's Motion to Deposit Interest in court registry was granted. Plaintiff's Motion for Class Certification was granted on 08/24/12. FDOT filed a notice of appeal of the class certification on 01/11/13. On 03/11/13, the appeal was stayed pending the disposition of the appeal in Livingston v. Frank, Case No. 2012-5616, which appeal was set for oral argument on 09/17/13. Oral Argument held 08/06/14. Favorable opinion by 2d DCA in the Livingston appeal was issued on 07/28/14. Awaiting opinion.		
Who is representing (of	X	Agency General Counsel's Office	

record) the state in this lawsuit? Check all that apply.		Office of the Attorney General or Risk Management
		Outside Contract Counsel
Firm or firms representing the plaintiff(s).	Christa L. Collins, Esquire Jackson Bowman, Esquire	

Schedule VII: Agency Litigation Inventory

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

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Peak Oil Superfund Site		
Court with Jurisdiction:	US DC Middle District		
Case Number:	97-1564-CIV-T-26(A)		
Summary of the Complaint:	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT has entered into a consent decree that requires it to clean this site.		
Amount of the Claim:	In excess of \$10,000,000		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	FDOT has responded to the EPA's information request. FDOT made payment pursuant to consent decree in 03/98. Implementation of remedial design in progress. Evaluation of the need for remedy in wetlands and deep aquifer is ongoing. No assessments for cleanup costs were made in 2013 and no assessment is expected for 2014.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Phil Greenwald	Phone Number:	414-5265

Names of the Parties:	PGA North II of Florida LLC, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	15 th Circuit, Palm Beach County		
Case Number:	50 2001 CA 01-13557 XX OC AA		
Summary of the Complaint:	This is an action to enforce a judgment, seeking damages for the alleged failure of FDOT to provide access between Plaintiff's property and PGA Boulevard.		
Amount of the Claim:	\$6,800,000		
Specific Law(s) Challenged:			
Status of Case:	<p>The Summons and Complaint were served on 01/03/02. An Answer was filed on 08/07/02. Motions for Summary Judgment were argued on 06/27/08, and were denied. On 03/11/09, the Court entered an agreed order providing for separate trials on liability and damages. A non-jury trial on the liability phase was held on 03/08/10. On 04/16/10, the Court entered final judgment in favor of FDOT. PGA filed a Notice of Appeal on 05/03/10. The Final Judgment was reversed on 06/20/12. Motions for rehearing were denied on 11/14/12 and the mandate issued on 11/30/12. The case has been remanded to the trial court. The parties are awaiting the setting of the final hearing, which is expected before the end of the calendar year. Trial appraisals have been exchanged. The Department does not find compensable damages. The Plaintiff finds compensable damages and claims the value at \$6,800,000 exclusive of fees of costs and interest. The case was settled at mediation for \$2,200,000 on 01/07/14.</p>		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action, provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	RBF Properties, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pinellas County		
Case Number:	06-728-CI-15		
Summary of the Complaint:	This is an inverse condemnation case. Plaintiff seeks severance damages and damages for alleged loss of access attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	The Complaint was served on 02/09/06. The Court entered an Order abating the case pending the outcome of the appeal of Fisher v. FDOT, SC07-1394, in which a private property owner asserted legally and factually similar claims. FDOT received a favorable decision in Fisher on 10/11/07. On 08/18/09, an Amended Complaint was filed. FDOT filed its Answer on 04/02/10. FDOT filed a Motion for Summary Judgment on 06/04/10. RBF filed a Motion to Abate on 06/04/10. RBF's Motion to Abate was granted on 10/05/10, pending the outcome of the appeal of Hakki v. FDOT, in which a private property owner asserted legally and factually similar claims. FDOT received a favorable decision in Hakki on 09/20/11. FDOT's Motion for Summary Judgment was denied on 12/11/12. Order of taking found at liability trial for access and fee simple taking. Department settled the matter at mediation 05/21/14 for \$2,125,000.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action, provide the			

Schedule VII: Agency Litigation Inventory

Agency:	Department of Transportation		
Contact Person:	Ted A. Avellone	Phone Number:	414-5284

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	FDOT, Plaintiff v. Salem Leasing Inc. and Pipeline Transportation Corp., Defendant.		
Court with Jurisdiction:	17 th Judicial Circuit, Broward County		
Case Number:	CACE 13-019700		
Summary of the Complaint:	Negligence action seeking property damages for damage to FDOT bridge on SR 528 arising from fatal two-vehicle crash.		
Amount of the Claim:	\$2,191,000		
Specific Law(s) Challenged (including GAA Challenged:			
Status of Case:	Parents of one of the deceased drivers seeking wrongful death damages action against same defendants in ongoing action. After conclusion of venue challenge in wrongful death case FDOT filed its property damages action in Broward and is currently considering consolidation with wrongful death plaintiff's action if defendants do not make acceptable offer.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	Nicholas R. Sayat, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	6 th Judicial Circuit, Pinellas County		
Case Number:	2010-13468-CI-11		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Law(s) Challenged:			
Status of Case:	Plaintiff filed a Notice of Voluntary Dismissal of a prior complaint, without prejudice, on 11/23/09. The pending Complaint was filed on 09/16/10. The Court denied FDOT's Motion to Dismiss on 06/03/2010. FDOT filed its Answer on 06/13/11. Discovery is ongoing. Liability trial scheduled for 10/29/14.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

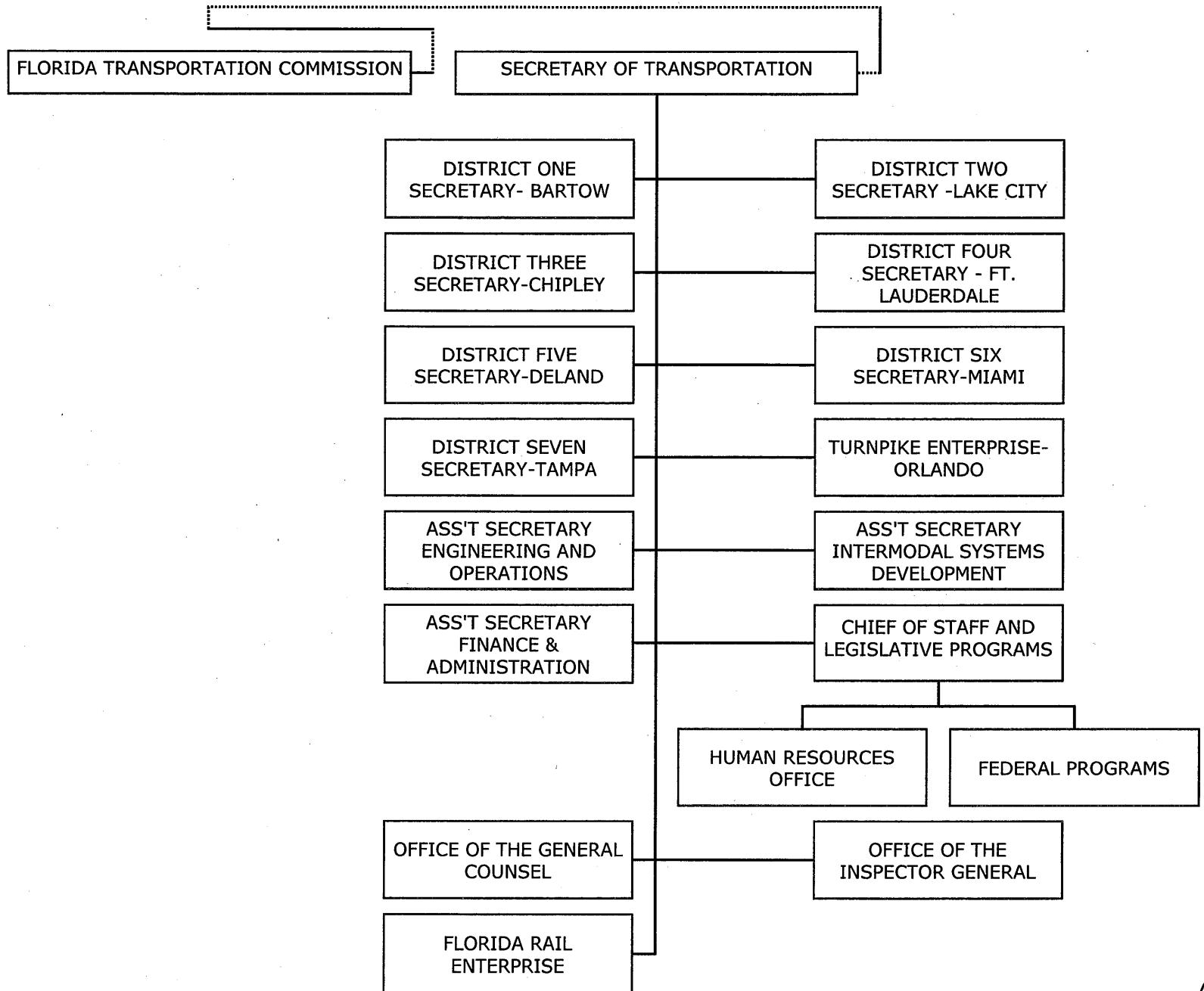
Schedule VII: Agency Litigation Inventory

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

Names of the Parties:	Dorothy Schwefringhaus, Plaintiff, v. CSX Transportation, Inc., Defendant/Third Party Plaintiff/Appellee, v. FDOT, Third Party Defendant/Appellant		
Court with Jurisdiction:	2 nd District Court of Appeal		
Case Number:	2D12-1097		
Summary of the Complaint:	Plaintiff sued CSX for injuries arising from an accident near a rail crossing. CSX sued FDOT for both contractual and common law indemnity for any loss or liability it incurred to Plaintiff and CSX settled the underlying claim against CSX and CSX obtained judgment against FDOT for the amount it paid Plaintiff and its attorneys' fees. FDOT is appealing the judgment in favor of CSX.		
Amount of the Claim:	\$502,462.22		
Specific Law(s) Challenged:			
Status of Case:	This appeal arises from a case that was previously covered by the Division of Risk Management. On 01/18/12, the Court entered judgment on CSX's claim for contractual indemnity in favor of CSX and against FDOT in the amount of \$502,462.22. FDOT filed its Notice of Appeal on 02/14/12. FDOT filed its Initial Brief on 05/29/12. CSX's Answer Brief was filed on 09/04/12. FDOT's Reply Brief was filed on 12/05/12. Oral argument was held on 02/19/13. Second District Court of Appeal affirmed decision 2-1 and certified questions of great public importance to Supreme Court of Florida on 12/11/13. Supreme Court accepted jurisdiction on 4/3/14. Department's Initial Brief filed on 5/28/14. CSX's Answer Brief filed on 7/17/14. Department's Reply Brief filed on 9/5/14. Awaiting order setting oral argument.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency General Counsel's Office	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

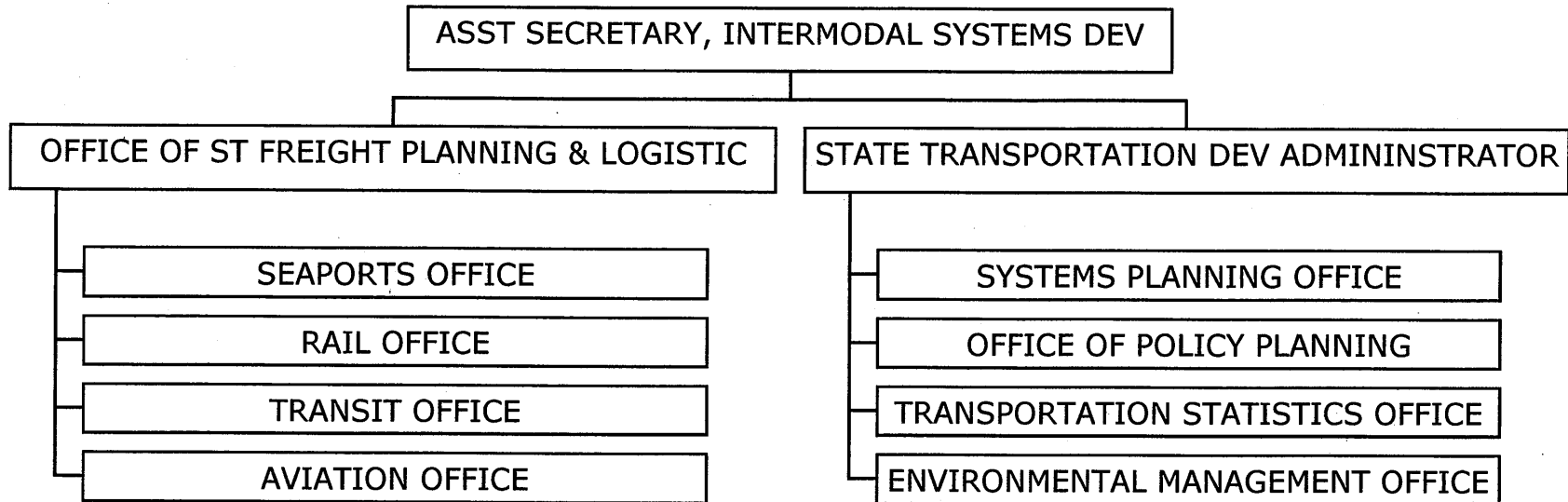
<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	
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FLORIDA DEPARTMENT OF TRANSPORTATION OFFICE OF THE SECRETARY



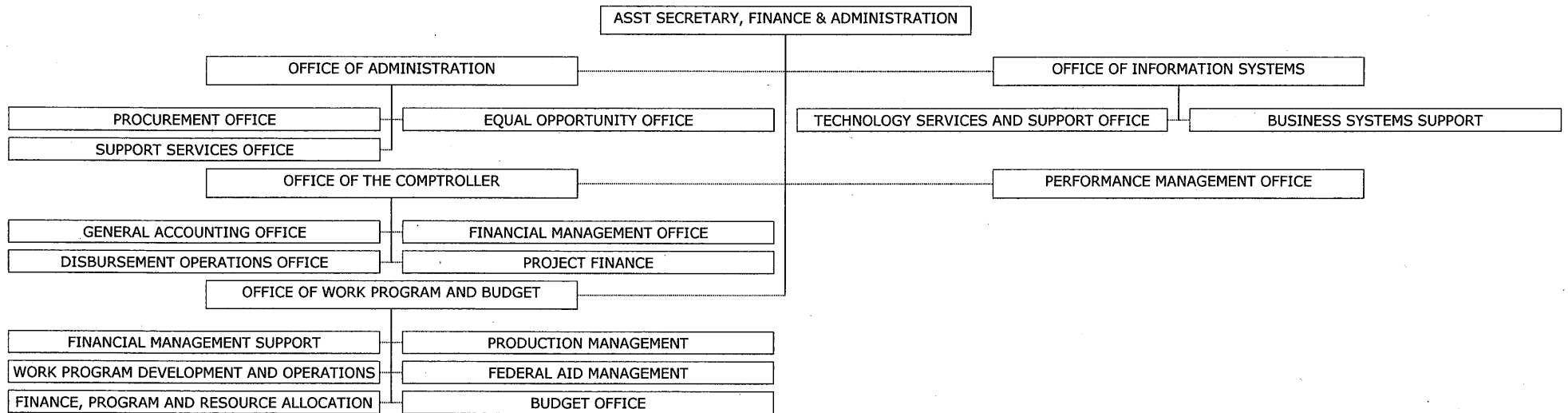
ACB 2/22/14

FLORIDA DEPARTMENT OF TRANSPORTATION
ASSISTANT SECRETARY FOR INTERMODAL SYSTEMS DEVELOPMENT



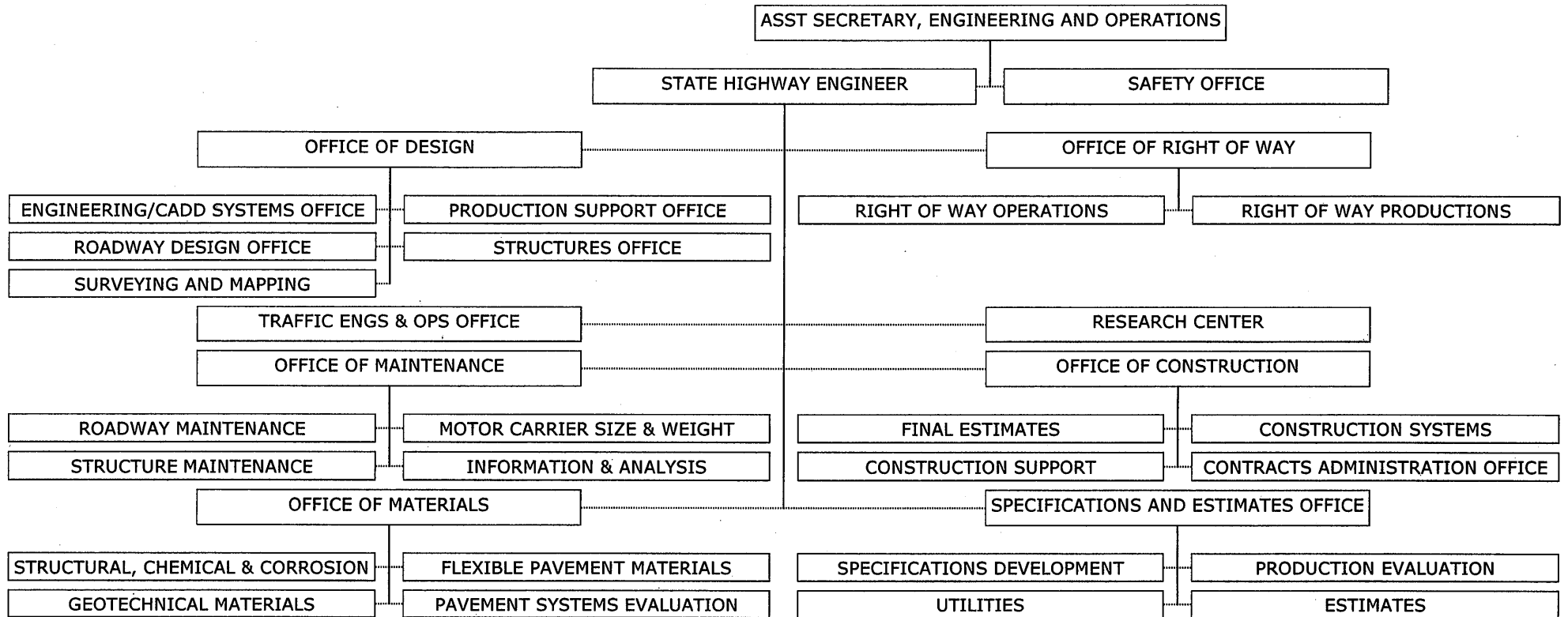
ACB/28/14

FLORIDA DEPARTMENT OF TRANSPORTATION
 ASSISTANT SECRETARY FOR FINANCE AND ADMINISTRATION



AcB
 9/22/14

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



*ACS
9/22/14*

TRANSPORTATION, DEPARTMENT OF		FISCAL YEAR 2013-14			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		763,675,315		8,693,896,494	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		18,788,984		1,160,561,425	
FINAL BUDGET FOR AGENCY		782,464,299		9,854,457,919	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					0
Intrastate Highways * Intrastate highway lane miles contracted for highway capacity improvements.		279	0.00		3,116,377,254
Arterial Highways * Arterial highway lane miles contracted for highway capacity improvements.		40	0.00		210,955,338
Resurface Roads * Number of lane miles contracted for resurfacing.		2,561	0.00		481,663,973
Repair And Replace Bridges * Number of bridges contracted for repair or replacement.		119	0.00		263,575,730
Preliminary Engineering * Number of projects with preliminary engineering provided.		1,000	117,006.29	117,006,287	669,210,659
Materials Testing And Research * Number of projects with materials and research provided.		70	516,927.31	36,184,912	14,914,953
Construction Engineering Inspection * Number of projects with construction engineering inspection provided.		519	136,692.16	70,943,232	342,370,185
Planning * Number of projects with planning provided.		354	71,585.39	25,341,229	94,883,135
Right Of Way Land * Number of Right-of-Way parcels acquired.		1,477	0.00		342,131,495
Right Of Way Support * Number of projects with right of way support provided.		776	39,262.94	30,468,040	50,173,219
Aviation * Number of aviation projects.		217	0.00		181,556,866
Transit * Number of public transit passenger trips provided.		278,224,986	0.00		263,443,396
Transportation Disadvantaged * Number of trips provided (transportation disadvantaged).		8,500,000	13.37	113,603,582	
Rail * Number of rail projects.		164	0.00		112,924,321
Intermodal * Number of intermodal projects.		38	0.00		36,040,909
Seaports * Number of seaport projects.		32	0.00		234,397,617
Bridge Inspection * Number of bridge inspections conducted.		7,127	0.00		11,642,248
Routine Maintenance *		43,514	4,880.12	212,353,693	419,256,945
Traffic Engineering * Number of projects with traffic engineering provided.		35	805,670.43	28,198,465	76,620,697
Motor Carrier Compliance * Number of commercial vehicle weighings performed.		23,782,593	0.50	11,937,431	
Toll Operations * Number of toll transactions.		820,820,825	0.09	72,101,065	97,308,980
TOTAL				718,137,936	7,019,447,920
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				9,749,040	466,417,594
REVERSIONS				45,243,889	2,368,592,405
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				773,130,865	9,854,457,919

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

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

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - October 2014 Submission

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

Activity/Measure	Number of Units	Unit Cost	FY 2013/14 Expenditures		
			Allocated	FCO	Total
Exec Direction and Info Tech					
Intrastate Highways (Intrastate highways lane miles contracted for highway capacity improvements)	279	11,169,810.95		3,116,377,254	3,116,377,254
Arterial Highways (Arterial highways lane miles contracted for highway capacity improvements)	40	5,273,883.45		210,955,338	210,955,338
Resurface Roads (Number of lane miles contracted for resurfacing)	2,561	188,076.52		481,663,973	481,663,973
Repair and Replace Bridges (Number of bridges contracted for repair or replacement)	119	2,214,922.10		263,575,730	263,575,730
Preliminary Engineering (Number of projects with preliminary engineering provided)	1,000	786,216.95	117,006,287	669,210,659	786,216,946
Material Testing and Research (Number of projects with materials and testing provided)	70	729,998.07	36,184,912	14,914,953	51,099,865
Construction Engineering Inspection (Number of projects with Construction Engr provided)	519	796,364.97	70,943,232	342,370,185	413,313,417
Planning (Number of projects with planning provided)	354	339,616.85	25,341,229	94,883,135	120,224,364
Right of Way Land (Number of Right-of-Way parcels acquired)	1,477	231,639.47		342,131,495	342,131,495

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - October 2014 Submission

Activity/Measure	Number of Units	Unit Cost	FY 2013/14 Expenditures		
			Allocated	FCO	Total
Right of Way Support (Number of projects with right-of-way support provided)	776	103,919.15	30,468,040	50,173,219	80,641,259
Aviation (Number of aviation projects)	217	836,667.59		181,556,866	181,556,866
Transit (Number of public transit passenger trips provided)	278,224,986	0.95		263,443,396	263,443,396
Transportation Disadvantaged (Number of trips provided (transportation disadvantaged))	8,500,000	13.37	113,603,582		113,603,582
Rail (Number of rail projects)	164	688,562.93		112,924,321	112,924,321
Intermodal (Number of intermodal projects)	38	948,444.97		36,040,909	36,040,909
Seaports (Number of Seaport projects)	32	7,324,925.53		234,397,617	234,397,617
Public Transportation Operations (Number of projects in public transportation operations)	0	#DIV/0!	0	0	0
Bridge Inspection (Number of bridges inspected)	7,127	1,633.54		11,642,248	11,642,248
Routine Maintenance (Lane miles maintained on the State Highway System)	43,514	14,515.11	212,353,693	419,256,945	631,610,638
Traffic Engineering (Number of projects with traffic engineering provided)	35	2,994,833.20	28,198,465	76,620,697	104,819,162
Motor Carrier Compliance (Number of commercial vehicles weighed)	23,782,593	0.50	11,937,431		11,937,431
Toll Operations (Number of toll transactions)	820,820,825	0.21	72,101,065	97,308,980	169,410,045
Total			718,137,936	7,019,447,920	7,737,585,856

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - October 2014 Submission

1. The expenditures exception of \$9,333,434 noted at the end of Section III relates to the Carry Forward budget for the Rail Enterprise & Turnpike budget entities. It shows that Sections II and III (expenditures plus reversions) do not account for \$9,333,434 of budget that was available in 2013/14 as reflected in Section I. Rail Enterprise & Turnpike operating budget that was eligible to be retained as Carry Forward budget in 2014/15 is not reflected as either a reversion in Column G69 nor as an expenditure in Column A01. Therefore, it is not captured in either Section II or III totals. However, it is appropriate that this amount not be counted as a 2013/14 expenditure in Section II because this budget was neither disbursed nor committed at June 30, 2014.
2. The measure "Number of projects in public transportation operations" no longer adequately reflects the public transportation operations unit/cost performance. The FDOT is moving away from 'number of projects' and is moving towards 'revenue hours' as this unit of measure better reflects Florida's transit systems operations. A formal request for performance measure wording change is forthcoming in the next few months.

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Transportation

Contact: Greg Patterson

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

- 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	Work Program		\$7.3 Billion	\$7.3 Billion
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



**LEGISLATIVE
BUDGET REQUEST
2015-2016**

**Budget Entity Level
Exhibits and Schedules**



**LEGISLATIVE
BUDGET REQUEST
2015-2016**

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

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: TRANSPORTATION **Budget Period:** 2015 - 16
Program: OUTDOOR ADVERTISING
Fund: 2540

Specific Authority: Chapter 479, Florida Statutes
Purpose of Fees Collected: To offset the total cost of the outdoor advertising program

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

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

<u>SECTION I - FEE COLLECTION</u>	<u>ACTUAL</u>	<u>ESTIMATED</u>	<u>REQUEST</u>
	<u>FY 2013 - 14</u>	<u>FY 2014 - 15</u>	<u>FY 2015 - 16</u>
<u>Receipts:</u>			
Permit Renewals/New Tags	\$1,273,324.50	\$1,256,000.00	\$1,256,000.00
Licenses	\$173,400.00	\$165,000.00	\$165,000.00
Reinstatements/Delinquent Fees	\$10,240.80	\$8,762.90	\$7,287.07
Other Receipts	\$2,026.00	\$12,038.11	\$5,740.08
Total Fee Collection to Line (A) - Section III	\$1,458,991.30	\$1,441,801.00	\$1,434,027.15

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	\$424,143.84	\$420,000.00	\$430,000.00
Other Personal Services			
Expenses	\$1,019,502.41	\$1,065,101.83	\$1,065,829.11
Operating Capital Outlay			
Deficiency Recapture	\$9,070.47	\$0.00	\$43,300.82
Indirect Costs Charged to Trust Fund			
Total Full Costs to Line (B) - Section III	\$1,452,716.72	\$1,485,101.83	\$1,539,129.93

Basis Used: _____

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	\$1,458,991.30	\$1,441,801.00
TOTAL SECTION II	(B)	\$1,452,716.72	\$1,485,101.83
TOTAL - Surplus/Deficit	(C)	\$6,274.58	(\$43,300.82)

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2015 - 2016

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

	Balance as of 6/30/2014	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	205,433 (A)		205,433
ADD: Other Cash (See Instructions)			0
ADD: Investments	15,410,103 (C)		15,410,103
ADD: Outstanding Accounts Receivable	20,343 (D)		20,343
ADD: Anticipated revenues for future commitments	13,748,633 (E)		13,748,633
Total Cash plus Accounts Receivable	29,384,512 (F)	0	29,384,512
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards	27,387,285 (H)		27,387,285
LESS: Other Accounts Payable (Nonoperating)	1,997,227 (I)		1,997,227
LESS: _____			0
Unreserved Fund Balance, 07/01/14	0 (K)	0	0 **

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2015 - 2016
Trust Fund Title:	Department of Transportation
Budget Entity:	Turnpike General Reserve TF
LAS/PBS Fund Number:	2326

	Balance as of 6/30/2014	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,037,883 (A)		2,037,883
ADD: Other Cash (See Instructions)	11,594,933 (B)		11,594,933
ADD: Investments	669,366,438 (C)		669,366,438
ADD: Outstanding Accounts Receivable	22,723,100 (D)	5,174,495	27,897,595
ADD: Anticipated revenues for future commitments	259,992,945 (E)		259,992,945
Total Cash plus Accounts Receivable	965,715,300 (F)	5,174,495	970,889,794
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
LESS Approved "B" Certified Forwards			0
LESS Approved "FCO" Certified Forwards	926,499,274 (H)		926,499,274
LESS: Other Accounts Payable (Nonoperating)	44,115,235 (I)		44,115,235
LESS: Unearned Revenue	275,285 (J)		275,285
LESS: _____			0
Unreserved Fund Balance, 07/01/14	(5,174,494) (K)	5,174,495	0 **

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2015 - 2016
Trust Fund Title:	Department of Transportation
Budget Entity:	State Transportation Trust Fund
LAS/PBS Fund Number:	2540

	Balance as of 6/30/2014	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	138,363,189 (A)		138,363,189
ADD: Other Cash (See Instructions)	242,849 (B)		242,849
ADD: Investments	1,029,501,231 (C)		1,029,501,231
ADD: Outstanding Accounts Receivable	467,038,892 (D)	18,583,940	485,622,832
ADD: Estimated cash forecast for FCO projects	7,341,386,721 (E)		7,341,386,721
Total Cash plus Accounts Receivable	8,976,532,883 (F)	18,583,940	8,995,116,822
LESS Allowances for Uncollectibles	1,416,775 (G)		1,416,775
LESS Approved "A" Certified Forwards	11,332,567 (H)		11,332,567
LESS Approved "B" Certified Forwards	13,184,110 (H)		13,184,110
LESS Approved "FCO" Certified Forwards	8,628,856,372 (H)		8,628,856,372
LESS: Other Accounts Payable (Nonoperating)	16,629,165 (I)		16,629,165
LESS: Unearned Revenue	270,745,255 (J)		270,745,255
LESS: Deferred Inflows - Current Portion	52,952,578 (J)		52,952,578
Unreserved Fund Balance, 07/01/14	(18,583,940) (K)	18,583,940	(0) **

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2015 - 2016
Trust Fund Title:	Department of Transportation
Budget Entity:	Transportation Disadvantaged TF
LAS/PBS Fund Number:	2731

	Balance as of 6/30/2014		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,183,997	(A)			1,183,997
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	12,203,724	(C)			12,203,724
ADD: Outstanding Accounts Receivable	697,636	(D)	7,072,664		7,770,300
ADD: Anticipated revenues	1,500,000	(E)			1,500,000
Total Cash plus Accounts Receivable	15,585,357	(F)	7,072,664		22,658,021
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	25,426	(H)			25,426
Approved "B" Certified Forwards	22,407,497	(H)			22,407,497
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	1,792	(I)			1,792
LESS: _____		(J)			0
Unreserved Fund Balance, 07/01/14	(6,849,358)	(K)	7,072,664		223,306 **

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2015 - 2016 Department of Transportation
Trust Fund Title:	Right of Way Acquisition/Bridge Construction TF
Budget Entity:	
LAS/PBS Fund Number:	2586

	Balance as of 6/30/2014	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	13,510,306 (A)		13,510,306
ADD: Other Cash (See Instructions)			0
ADD: Investments	70,369,869 (C)		70,369,869
ADD: Outstanding Accounts Receivable	115,392 (D)		115,392
ADD: Anticipated revenues for future commitments	38,948,474 (E)		38,948,474
Total Cash plus Accounts Receivable	122,944,041 (F)	0	122,944,041
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
LESS Approved "B" Certified Forwards			0
LESS Approved "FCO" Certified Forwards	122,935,236 (H)		122,935,236
LESS: Other Accounts Payable (Nonoperating)	8,806 (I)		8,806
LESS:			0
Unreserved Fund Balance, 07/01/14	(0) (K)	0	(0)**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2015 - 2016

Department Title: Department of Transportation
Trust Fund Title: Turnpike Renewal & Replacement TF
LAS/PBS Fund Number: 2324

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/14	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	74,415,240 (A)
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # and Description	(C)
SWFS Adjustment # and Description	(C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	(27,387,285) (D)
A/P not C/F-Operating Categories	779,448 (D)
Anticipated revenues for future commitments	13,748,633 (D)
	(61,556,036) (D)
	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	0 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	0 (F)
DIFFERENCE:	0 (G)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2015 - 2016
Department Title: Department of Transportation
Trust Fund Title: Turnpike General Reserve TF
LAS/PBS Fund Number: 2326

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/14	
Total all GLC's 5XXXX for governmental funds;	6,726,127,095 (A)
GLC 539XX for proprietary and fiduciary funds	
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # B5500008 - Toll Revenue Accrual	5,174,495 (C)
SWFS Adjustment # and Description	(C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	(926,499,274) (D)
A/P not C/F-Operating Categories	(D)
A/P not C/F-FCO	44,043,949 (D)
Long-Term Receivables	(412,389,294) (D)
Deferred Charges	(D)
Goods Purchased for Resale	(2,511,340) (D)
Prepays	(208) (D)
Non-Spendable Investments	(87,172,905) (D)
Current Bonds Payable	119,240,000 (D)
Deferred Inflows on Service Concession Arrangements	145,119,945 (D)
Long-Term Unearned Revenue	549,950 (D)
Long-Term Payables from Restricted Assets	125,879,471 (D)
Long-Term Bonds Payable	2,795,715,406 (D)
Fixed Assets GLC 26xxx	(6,771,699,668) (D)
Fixed Assets GLC 27xxx	(2,008,672,196) (D)
Fixed Assets GLC 28xxx	(12,898,371) (D)
Anticipated revenues for future commitments	259,992,945 (D)
Other Restricted	(D)
Net Assets Unrestricted	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	0 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	0 (F)
DIFFERENCE:	0 (G)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2015 - 2016
Department Title: Department of Transportation
Trust Fund Title: State Transportation Trust Fund
LAS/PBS Fund Number: 2540

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/14		
Total all GLC's 5XXXX for governmental funds;	2,146,090,299	(A)
GLC 539XX for proprietary and fiduciary funds		
Subtract Nonspendable Fund Balance (GLC 56XXX)	(518,029,603)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :		
SWFS Adjustment #B5500005 - Record due to/from other agencies	10,116,945.77	(C)
SWFS Adjustment #B5500022 - Record due from other agencies	8,466,993.93	(C)
SWFS Adjustment #C5500025 - Remove Reserve for LT Rec & Adv	507,491,133.90	(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(13,184,110)	(D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	(8,628,856,372)	(D)
A/P not C/F-Operating Categories	11,347,837	(D)
FCO not C/F	401,944,372	(D)
Compensated Absences	5,642,098	(D)
Restricted Invest with SBA	(426)	(D)
Deferred Outflows	(265,000)	(D)
Advances and Receivables- L/T	(1,013,895,652)	(D)
Allowance for Uncollectibles - L/T	7,882,858	(D)
Nonstate & Cu Investments with Stat	(820,067,537)	(D)
Deferred Inflows	553,929,441	(D)
Estimated Cash Forecast for FCO Projects	7,341,386,721	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	(0)	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	0	(F)
DIFFERENCE:	(0)	(G)*

*SHOULD EQUAL ZERO.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2015 - 2016

Department Title: Department of Transportation
Trust Fund Title: Right of Way Acquisition/Bridge Construction TF
LAS/PBS Fund Number: 2586

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/14
 Total all GLC's 5XXXX for governmental funds; 81,421,317 (A)
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # (C)

SWFS Adjustment # (C)

SWFS Adjustment # (C)

Add/Subtract Other Adjustment(s):

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

Approved "E" Carry Forward Total (FCO) per LAS/PBS (122,935,236) (D)

A/P not C/F-Operating Categories 2,565,444 (D)

Anticipated revenues for future commitments 38,948,475 (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: **0** (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) **0** (F)

DIFFERENCE: **0** (G)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2015 - 2016

Department Title: Department of Transportation
Trust Fund Title: Transportation Disadvantaged Trust Fund
LAS/PBS Fund Number: 2731

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/14
 Total all GLC's 5XXXX for governmental funds; 4,594,205 (A)
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment #B5500006 - Record a due to another agency (75) (C)

SWFS Adjustment #B5500023 - Record a due from another agency 7,072,667 (C)

SWFS Adjustment #B5500025 - Record a due from another agency 72 (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (22,407,497) (D)

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

A/P not C/F-Operating Categories 9,454,562 (D)

Compensated Absences 9,372 (D)

Anticipated revenues 1,500,000 (D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 223,306 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 223,306 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

For Fiscal Year 2015-16



10/13/14

FLORIDA DEPARTMENT OF TRANSPORTATION

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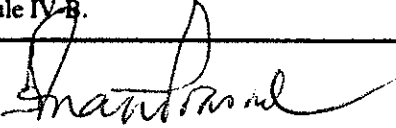
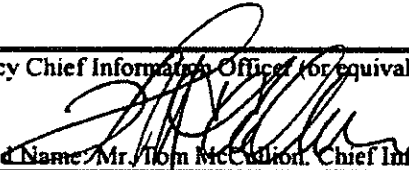
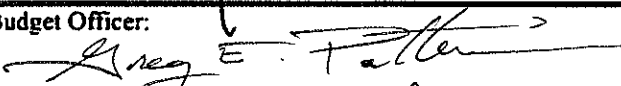
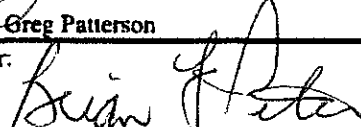
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SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Transportation	Schedule IV-B Submission Date: 10/2/2014
Project Name: Work Program Integration Initiative	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2015-16 LBR Issue Code: 36233C0	FY 2015-16 LBR Issue Title: Transportation Work Program Integration Initiative
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Ms. Lisa Saliba, 850-414-4622, Lisa.Saliba@dot.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: Ananth Prasad, Secretary of Transportation	Date: 10-15-2014
Agency Chief Information Officer (or equivalent):  Printed Name: Mr. Tom McCullion, Chief Information Officer	Date: 10/15/14
Budget Officer:  Printed Name: Greg Patterson	Date: 10/15/14
Project Sponsor:  Printed Name: Brian Peters, Assistant Secretary Finance and Administration	Date: 10-15-14
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

Business Need:	Lisa Evans, (850) 414-4172, Lisa.Evans@dot.state.fl.us
Cost Benefit Analysis:	Stephanie Tanner, (850) 410-5563, Stephanie.Tanner@dot.state.fl.us
Risk Analysis:	Stephanie Tanner, (850) 410-5563, Stephanie.Tanner@dot.state.fl.us
Technology Planning:	Stephanie Tanner, (850) 410-5563, Stephanie.Tanner@dot.state.fl.us
Project Planning:	Stephanie Tanner, (850) 410-5563, Stephanie.Tanner@dot.state.fl.us

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

A. Background and Strategic Needs Assessment

Business Need

The Florida Department of Transportation (FDOT) has primary statutory responsibility to provide a safe statewide transportation system that ensures the mobility of people and goods, enhances economic prosperity, and preserves the quality of our environment and communities. The department's Five-Year Work Program is the department's plan for projects, from concept to completion that it delivers to the people of Florida. These transportation improvements and activities are planned and built to meet the objectives and priorities of the 2060 Florida Transportation Plan (FTP). The Work Program contains the specific transportation projects and services to be undertaken during each of the next five fiscal years. The number of eligible projects included in the Work Program is determined by estimates of available funding. There are approximately 300 different fund classifications that FDOT must use to communicate funding and policy directives to the districts and the Rail and Turnpike Enterprises. The department then coordinates with its seven district offices, Turnpike Enterprise, Rail Enterprise, Metropolitan Planning Organizations (MPOs), federal government and local governments in building its program.

The department matches funding to specific projects, which are then scheduled or programmed. This is a continual process that evolves from a "Tentative Work Program," which updates the current "Adopted Work Program" each year and is presented to the Governor and Legislature along with the budget request to support the Tentative Work Program. This then is acted on by the Legislature/Governor through the appropriations process which provides the budget authority to implement the first year of the newly Adopted Work Program. Performance measures are in place to continually monitor system conditions to ensure that the department's goals and objectives are met. Performance is evaluated for major programs and projects and the update cycle begins again for the next Tentative Work Program.

FDOT is one of the State of Florida's largest agencies, with a \$10.1 billion appropriation in FY 2015 and five-year adopted Work Program for FY 2015 through FY 2019 totaling \$41.8 billion. In addition, over \$9.8 billion was included in FDOT's certification forward request for FY 2015. FDOT currently has more than 6,400 employees statewide.

Unlike other state agencies, the department is authorized to operate on a cash flow basis (see s. 339.135(6)(a), F.S.). Section 339.135(3), F.S., authorizes the department to "build the Work Program based on a complete and balanced financial plan" which means project phases may begin before the total amount of cash is available to fund the entire project. This allows the department to maximize the use of funds over time and cover existing commitments as they occur. As a result, FDOT must manage budget, funding sources and cash flow concurrently.

The Annual Finance Plan model and Monthly Cash Forecast system are used within the department to demonstrate the financial soundness of the Five-Year Work Program and to maximize the combination of budget, funding sources and cash flow. The Annual Finance Plan model and Monthly Cash Forecast system convert the Program and Resource Plan that contains project estimates and "commitment" authority, into projected cash disbursements and matches disbursements against projected cash receipts. This ensures the department's allocation of transportation dollars is fully funded by current and future transportation revenues. To ensure the department's short term

financial obligations can be met throughout the year, the Cash Forecast is updated each month reflecting actual receipts and disbursements activity, revised assumptions due to changing economic conditions and outside influences, and modified revenue estimates. This provides assurance that the cash balances will support the monthly disbursement activity or that adjustments to financing or the Work Program will be required. The Annual Finance Plan is used in the planning of alternative financing and Work Program scenarios. It is an expedient tool for quickly assessing annual cash impacts reconciled within a tolerance level for ending cash balances. It is reconciled with the Cash Forecast with each new Program and Resource Plan. The Annual Finance Plan shows the ending cash balance at the end of the fiscal year, while the Monthly Cash Forecast shows the monthly cash balances for each year.

In addition, the department is unique among state agencies in Florida due to the planning, budgeting, and commitment of state resources for more than one year. Because most transportation projects take years to complete, budget does not revert back to the state at the end of the fiscal year. The average significant road project takes seven years to complete from “concept to completion.”

To plan, program, implement and measure the department’s plan for the life cycle of its projects, data must be available on demand and presented from multiple points of view to show the full transportation picture. The demand for instantaneous availability of and the amount of data needing to be mined from various platforms and systems has reached a critical stage. Currently, the department’s information management efforts are not completely integrated adding complexity and risk to the business environment. Issues with the current information management systems include:

- FDOT has discrete systems managing individual data elements with no effective means to provide seamless views into the vast array of department information assets. Aggregating the data across these systems is manually time consuming, dependent on a few experts and the risk of the accuracy and timeliness of data is growing as the systems age.
- The absence of consistent, predictable, and repeatable information management disciplines prevents FDOT from acting as an integrated whole and sharing that information across the enterprise. Because the various operating units within FDOT do not know what information each other have or how it is stored, they are unable to share it, internally or externally, in the most effective manner possible.
- FDOT is data rich, but information poor.

For this project, it is important for FDOT to identify the full scope of the information it holds as well as the met and unmet needs for this information across the enterprise. Armed with this knowledge, FDOT can more effectively develop and implement an information management plan to meet its business needs, mitigate financial risks and ensure continuity of operations.

To support the implementation of the Five-Year Work Program, FDOT has approximately 9,000 active contracts with over \$10 billion of outstanding commitments. Contract related information is a key “touch point” in providing essential performance information for the department’s projects, managing vendor relationships and monitoring the statutorily mandated funds approval process. In an attempt to manage the three disciplines of project management, grant management and contract management concurrently, numerous financial-related systems with functional and/or technical gaps are in place in an attempt to bring project, grant and contract information together.

It has become critical and essential for the department to establish an overall enterprise architecture which links the financial aspects of its projects and grants with key contract management data, processes and financial related information. This project will also:

- Establish “tactical and strategic” information needs and inventory the availability of both project, grant and contract data;
- Develop data information warehouse architecture to improve data sharing, reduce redundancies and move away from data set reconciliations;
- Assess systems to determine needed changes to support information “intersections” between the project management, grant management and contract management disciplines and address Enterprise needs;
- Determine common infrastructure needs, such as “core” vendor and contract data; and
- Detail performance reporting needs in support of state and federal mandates and requirements.

To provide a further assessment of the department’s approach to planning, programming, implementing and measuring the department’s plan for projects, a Needs Assessment project is currently underway. There are many risks and concerns that led FDOT to begin discussing the potential modernization efforts related to business process improvements and potential changes to its supporting financial applications. These include:

- The FDOT Financial Management Systems Inventory prepared in June 2014 identified over 150 systems performing some level of financial management systems functionality. During the lifetime of these systems, new state statutes, federal regulations, and mandates have triggered changes in the demands of, and rules related to, basic business processes, systems and/or system interfaces. These changes were essential to the continuity of FDOT business. Maintaining consistent business rules across these systems is difficult at best and creates the opportunity for missing, conflicting and inaccurate data.
- Extraneous processes and work-arounds have been created in an attempt to alleviate inefficiencies that could today be resolved with updated technology.
- System documentation details vary across the systems, causing maintenance difficulties for staff. The lack of documentation also presents higher risk as succession planning and training needed to back fill for retirement of long-term staff is stunted.
- FDOT has a mixture of Central Office and District architectures that have evolved over time rather than being intentionally designed and implemented.
- For the systems identified in the financial management inventory, many utilize a technology that is either outdated or considered non-strategic by the department.

This needs assessment will provide FDOT with a third-party view of improvements of existing business processes and any additional financial related processes that should be included as a part of any future system modernization efforts. It is scheduled to be completed in June 2015. Select recommendations from this effort will be included in the user requirements definition of the continuing project in fiscal year 2016.

At the macro level and as self-reported by the department in its Performance Dashboard, the

department is meeting its stated goals and objectives to deliver its projects on time and within budget. It is important, however, for FDOT to identify the full scope of the information it holds, develop a financial “infrastructure” inclusive of key contract management processes and address key business process improvements for the management and execution of the department’s Work Program. These improvements, in alignment with the department’s Consistent, Predictable, and Repeatable (CPR) initiative, offers opportunities for the department to realize greater efficiencies, reduce operating costs and improved cost-effectiveness and service delivery by implementing industry-standard best practices across the broad spectrum of financial activities. As a result, FDOT can more effectively develop a comprehensive Enterprise Architecture and implement a suite of applications to meet critical business needs and maintain financial integrity.

Business Objectives

The results of the process improvements and any future system modernization efforts must allow the department to continue to meet its stated goals and objectives to deliver its projects on time and within budget. The new functionality and capabilities provided must achieve the following objectives for the continued operations of the department and enhance the approach to planning, programming, implementing and measuring the department’s plan for projects:

- Support project scoping studies and feasibility studies to further define the scope of potential candidate projects for inclusion in the Work Program.
- Support preparation of initial cost estimates for candidate projects being proposed for inclusion in the Work Program.
- Facilitate the development of the Florida Transportation Plan (FTP), a long term plan which defines Florida’s future transportation vision and identifies goals, objectives and strategies to guide transportation decisions over the next 50 years.
- Provide support for the prioritization of candidate projects and the selection of a preliminary list of projects to be included in the Tentative Work Program.
- Facilitate the Program and Resource planning process beginning in May of each year, to establish the programming framework by which the next Work Program is developed.
 - Guided by the FTP and Florida statutes
 - Guided by established performance measures
 - Establishes new policies for the Work Program development cycle
 - operating policies
 - funding polices
 - revised performance measures
- Facilitates the Allocation of resources and establishment of program targets at the department level based on:
 - Program and resource planning results
 - Available funding (over 300 funds and nearly 40 sources of revenue)
 - Statutory formulas and funding requirements

- Facilitates the allocation of funding and establishment of program targets for the Districts, Turnpike Enterprise, Rail Enterprise and Central Office Program Areas.
- Provides the ability to build the Preliminary Tentative Work Program, Tentative Work Program, and the Adopted Work Program based on allocations, Work Program instructions, funding policies, legislation and appropriations. All transportation projects administered by the department must be incorporated into the Work Program. The Work Program includes all proposed project commitments classified by major program and appropriation category. Because it usually takes several years to complete a project, projects are scheduled in the following phases:
 - Planning—the department engages in activities necessary to identify, select, define, and develop a project. Planning activities are achieved through either in-house planning or planning consultants and planning grants. Planning for a new project is usually undertaken along with the department’s strategic and policy planning process.
 - Environmental Assessment and Engineering—the department studies environmental, economic, social, and historic impacts of the project. The department also studies alternative concepts and project alignments, always considering a no-build option. The public is invited to communicate ideas through workshops and is also invited to comment on the final report at a public hearing held after all requisite due diligence is completed. If the project is financed in part through federal funds, the final report is sent to the Federal Highway Administration for location and design approval.
 - Design—The department actually designs the project during this phase which also includes the drainage, utilities, permits, median openings, access connections, and identifying the right-of-way needs of the project.
 - Right-of-Way Acquisition—the state must own the land on which a project is constructed. The state pays full and just compensation for all acquired property, including relocation expenses for existing homes and businesses.
 - Construction—this phase includes costs of building the transportation project including the department’s costs for overseeing the construction known as Construction Engineering Inspection (CEI).
- Provides ability to capture a "snap shot" in time of the Work Program, as it is being developed and at any other point in time as necessary.
 - Facilitate the creation of a Program and Resource Plan
 - Captures Work Program information by Program Plan, Category and Sub-Category
- Produce a balanced financial plan projecting cash needs for the Program and Resource Plan. Essentially, the department compares transportation revenues to the expected cash flows from the department’s “commitments” to ensure an on-going balanced Five-Year Work Program. In developing the Work Program, the department must take into consideration the following:
 - The Tentative and Adopted Work Programs shall be based on a complete, balanced financial plan for STTF and other funds managed by the FDOT – s. 339.135(3)(a), F.S. The Tentative and Adopted Work Programs must be planned to deplete the estimated resources available— s. 339.135(3)(b), F.S.

- The Work Program must include a balanced 36-month forecast of cash and expenditures and a Five-Year finance plan supporting the Work Program. S. 339.135(4)(b), F.S.
- In the operation of the State Transportation Trust Fund, a cash balance of not less than \$50 million or 5 percent of the unpaid obligation balance (whichever is less) must be maintained at the closing of each quarter – s. 339.135(6)(b), F.S. From experience of swings in the cash balance, a working minimum of \$250 to \$300 million is required.
- The budget for the turnpike system shall be so planned as to provide for a cash reserve at the end of each fiscal year of not less than 5 percent of the unpaid balance of all turnpike system contractual obligations, excluding bond obligations, to be paid from revenues. S.338.241, F.S.
- Facilitates the presentation, communication and feedback from Public hearings, Central Office reviews, Secretary’s Review, Transportation Commission Review of the Tentative Work Program and adjustments to the Work Program as appropriate.
- Provides the ability to create the Legislative Budget Request (LBR) and submission of the Preliminary Tentative Work Program, Tentative Work Program, and the Adopted Work Program.
- Manage the federal funds program and produce the vital information necessary to support the partnership with the Federal Highway Administration (FHWA). Facilitate the financial administration of federally funded projects, develop the annual Obligation Authority Plan and obtain FHWA approval for federal participation in eligible costs on individual transportation projects. Perform Financial Integrity Review and Evaluation Reporting (FIRE) and provide other required support to monitor FHWA mandated tier analysis which is a national performance measure and could lead to the forced release of federal funds. Support Federal Funding Accountability and Transparency Act (FFATA) reporting.
- Provide for the on-going managing and monitoring of the execution of the entire 5-Year Work Program and each individual program area, including making required adjustments to the planned number and mix of projects based on actual performance.
- Provides for the interfaces and validations to manage the federal authorization of projects through the Federal Highway Administration’s system.
- Provide fund approval documentation for FDOT contracts and purchase orders, prior to agreement execution, in order to comply with Section 339.135(6)(a), F.S. which states “The department, during any fiscal year, shall not expend money, incur any liability, or enter into any contract which, by its terms, involves the expenditure of money in excess of the amounts budgeted as available for expenditure during such fiscal year. Any contract, verbal or written, made in violation of this subsection is null and void, and no money may be paid on such contract. The department shall require a statement from the comptroller of the department that funds are available prior to entering into any such contract or other binding commitment of funds.....”;
- Ability to interface with numerous systems to validate the department’s FLAIR (or the new State of Florida accounting system) interface to include but not limited to:
 - Data validations in processing approved consultant invoices and approved construction contractor pay estimates from other department programmatic systems;

- Accounting and disbursement related internal control validations;
 - Format the FLAIR transactions for the construction contractor estimates. The FLAIR transaction formatting is done within FDOT's Consultant Invoice Transmittal System (CITS) for the engineering and planning consultant invoices; and
 - Interface the numerous other types of accounting and budgeting transactions to FLAIR from over 25 systems through a scripting process or directly interfacing to the new State of Florida accounting system.
- Ability to interface daily FLAIR transactions data and update projects' financial information in the system to accurately reflect the revenue and expenditures of the department in accordance with Generally Accepted Accounting Principles while:
 - Supporting the full range of departmental level project cost accounting requirements including:
 - The cost allocation process to the department's projects and funding classifications
 - Development of the department's indirect cost allocation plan
 - Management of cost transfers/re-distributions between projects
 - Interfacing with the Florida Accounting Information Resource (FLAIR) system for correcting transactions
 - Providing the ability to validate and generate the periodic billing for federal reimbursement from FHWA and other funding partners;
 - Creating the Federal Cash Management Improvement Act (CMIA) quarterly reporting; and
 - Providing status of the department's partner billings through various dashboards and management reports.
 - Provide interfacing capabilities and validations to manage the federal billing of projects through the Federal Highway Administrations' system.
 - Interface with FLAIR to serve as the source of information for the department's multibillion dollar annual certification forward request per 339.135(6)(c), F.S. which states "Notwithstanding the provisions of ss. 216.301(2) and 216.351, any unexpended balance remaining at the end of the fiscal year in the appropriations to the department for special categories; aid to local governments; lump sums for project phases which are part of the adopted Work Program, and for which contracts have been executed or bids have been let; and for right-of-way land acquisition and relocation assistance for parcels from project phases in the adopted Work Program for which appraisals have been completed and approved, may be certified forward as fixed capital outlay at the end of each fiscal year, to be certified by the head of the state agency on or before August 1 of each year to the Executive Office of the Governor, showing in detail the commitment or to whom obligated and the amount of such commitment or obligation."
 - Provide the foundational information required for the Florida Accountability Contract Tracking System (FACTS) per Section 215.985, F.S. to facilitate transparency in FDOT contracting. This

interface requires an upload of a vast amount of data to the Department of Financial Services' (DFS) Florida Accounting Information Resource (FLAIR) and FACTS systems in order to title contracts, set up appropriate budget records for payment, and encumber funds for the reservation of budget.

- Facilitate the management and monitoring of the three disciplines of project, grant and contract management including management of funding and project associations, creation of required data holdings and reporting and analytics capabilities, including:
 - The management and monitoring of federal awards and state financial assistance agreements to ensure recipients have sound financial practices to reduce the risk of fraud, waste and abuse per 2 CFR Part 200 and 215.97 F.S. In addition, 215.971 F.S. requires each agreement funded with federal and state financial assistance to include specific contract language (scope of services, deliverables and financial consequences) and be managed by a certified contract manager.
 - The management of funding agreements with other Federal agencies, State agencies and local governments including:
 - Support the establishment, modification, and ongoing management of agreements with local partners to participate in the cost of developing a project within FDOT's Work Program;
 - Support FDOT oversight of federally funded projects which have been delegated for management/execution to local public agencies (LPAs);
 - Provide FDOT with a centralized data and file repository for local agency program allowing the various FDOT functional area experts to be able to review Local Agency submittals for projects which have been delegated to a local partner for delivery; and
 - Support required reporting by local agencies to FDOT, as well as support reporting required to be done by FDOT to FHWA.
- Monitor the overall performance in accomplishing the annual FDOT Work Program and providing performance reporting to executive level and policy-maker audiences (Transportation Commission, Governor, Legislators, legislative staff, etc.) These performance measures may be found at:

<http://www.dot.state.fl.us/agencyresources/performance.shtm>
- Provide a broad range of business Intelligence and analytics capabilities including:
 - Provide support for GASB 34 and Infrastructure Reporting Perform analysis to support accounting entries for infrastructure. This yearly entry is between \$900 million and \$1 billion each year.
 - Provide standard reports, ad-hoc reports, business analytics and decision support capabilities for Work Program projects and other FDOT financial management information;
 - Provide enterprise-wide GIS integration and spatial display and reporting for Work Program projects and other financial information;
 - Provide program specific reporting to FHWA in key areas such as Safety, Transit and Rail

Operations;

- Provide project specific information to determine if the objectives are being fulfilled, budget is not exceeded, schedule is being met and overall quality meets or exceeds standards.

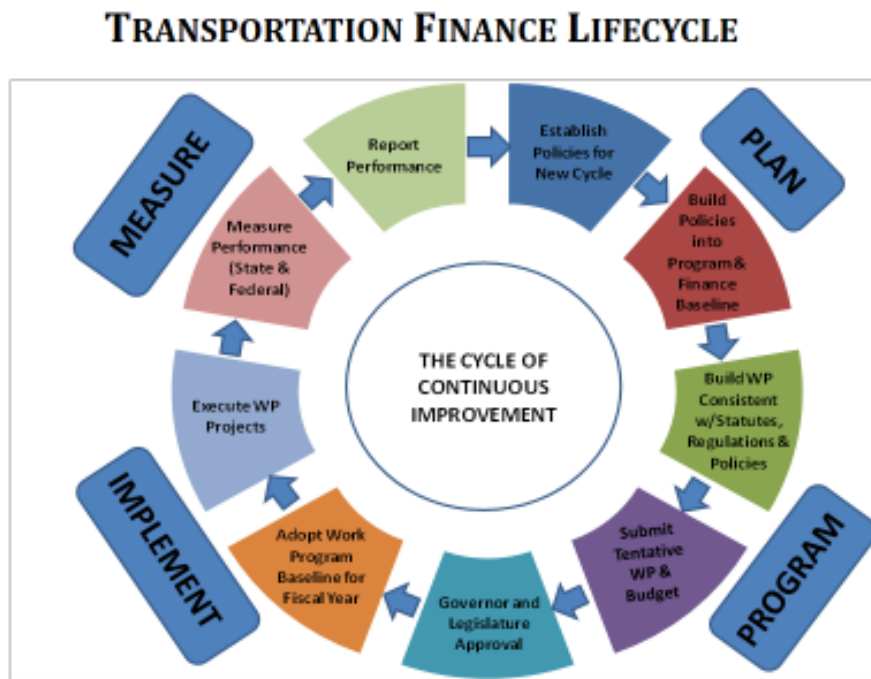
B. Baseline Analysis

This section provides an overview of the business processes, stakeholder groups and current technologies that will be affected by the Work Program Integration Initiative project and the level of business transformation that will be required for the project to be successful.

1. Current Business Process (es)

FDOT has developed a framework for transforming policies and plans into action. Additionally, the framework facilitates transportation investment decisions. This Transportation Finance Life Cycle framework is illustrated in Exhibit II-1 below.

Exhibit II-1: Transportation Finance Life Cycle



The Transportation Finance Life Cycle includes the following phases:

- **PLAN:** Using the Transportation Program Process, the department establishes its policy directives and goals. These are then translated into plans. In our case, several plans are developed to address planning horizons and/or program strategies (i.e., Florida Transportation Plan (20 yrs.), Strategic Intermodal System (SIS), Rail, Safety)
- **PROGRAM:** The next layer is the development of financial policies and project programming consistent plans. This portion is referred to as the Transportation Work Program. The department prepares this annually and submits a budget request seeking authorization for funding the first year of the program.

- **IMPLEMENT:** Upon adoption, the department delivers projects. Projects are managed, deliverables evaluated and outputs measured to ensure projects are delivered on time and within budget.
- **MEASURE:** The department measures product, finances, performance and conformity with policies and goals. Lessons learned are used to improve future operations and programs

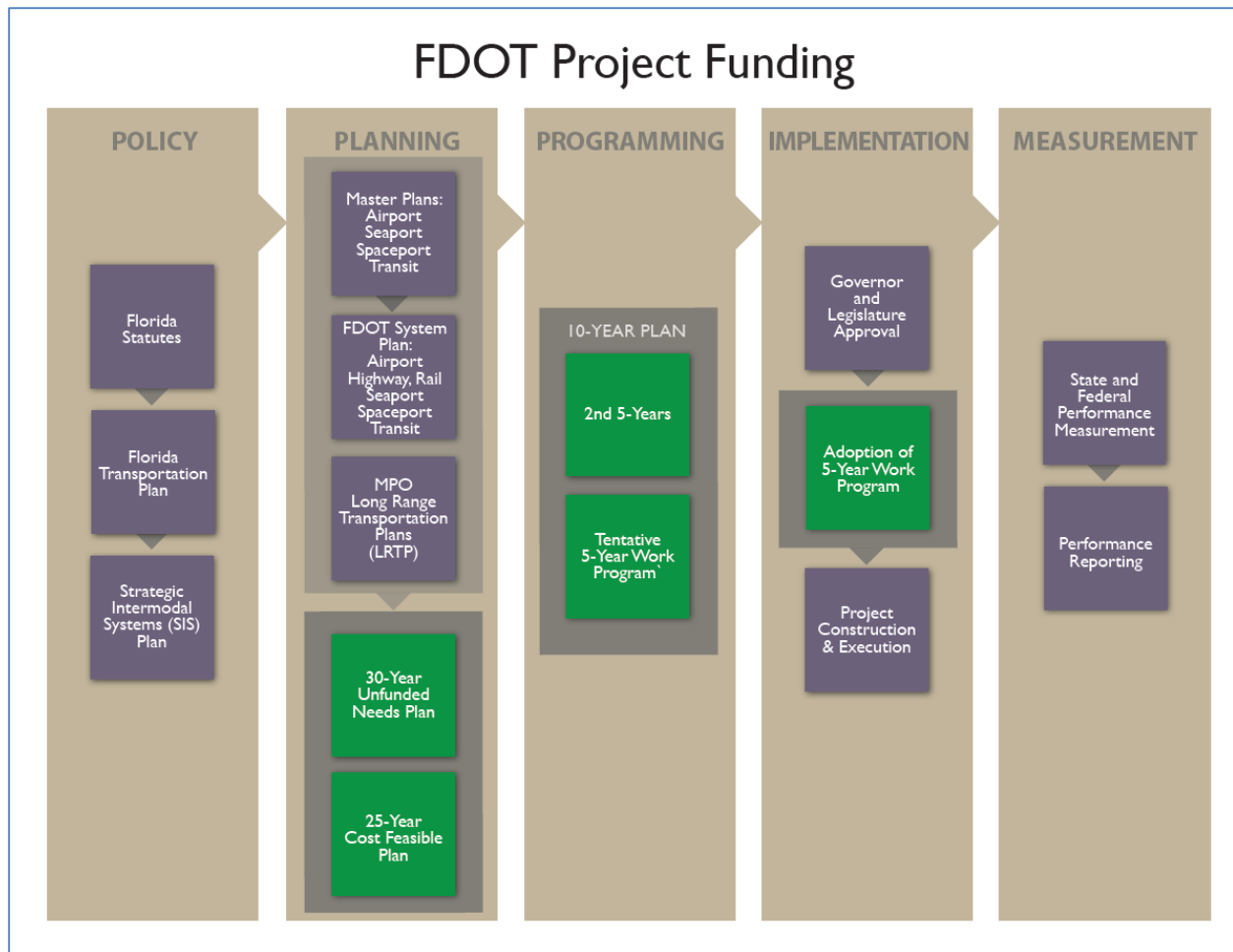
PLAN: Transportation Program Process

The process used to identify and track the Florida Department of Transportation’s (FDOT’s) large volume of work and the appropriated budget is the Work Program. Some of basic principles that underlie this unique process are:

- The FDOT operates primarily from dedicated sources of funding, both state and federal. The State Transportation Trust Fund receives revenue from specific tax sources “dedicated” to transportation.
- The department resembles a private-sector company in that it must forecast revenues and expenditures and develop a Finance Plan. The Finance Plan takes into account levels and projected cash flows of expenditures as well as federal aid and state revenues to determine a cash balance. By law, the program must balance expenditure and revenue forecasts.
- The program is driven by policies and program objectives outlined in the 2060 Florida Transportation Plan (FTP).
- The Districts and Central Office staff, working with the Metropolitan Planning Organizations (MPOs) and local governments, develop the department’s Work Program. Input is also received through public hearings and from the Legislature and the Governor’s Office. The program must be consistent with the capital improvement element of local comprehensive plans.

The Florida Transportation Plan (FTP) and the Program and Resource Plan guide the development of the Work Program. The FTP is the blueprint that sets the policy framework of the department. The Program and Resource Plan links the FTP, the Legislative Budget Request and the Five-Year Work Program. Exhibit II-2 below demonstrates the initial planning phase and how projects become part of the Work Program.

Exhibit II-2: Transportation Program Process



PROGRAM: Transportation Work Program

The process the department follows in developing the Work Program is a year-round activity. The process will be explained sequentially beginning in July and ending the following June.

July

In July, the Work Program is adopted by the Secretary of Transportation. The Adopted Work Program reflects the general appropriations act as signed into law by the Governor and reflects the accounting adjustments associated with closing out the prior fiscal year on June 30.

Simultaneous with the adoption of the Work Program, the following year’s Work Program (Tentative Work Program) begins to be developed when the department’s Executive Leadership meets to establish the proposed funding levels, policies, and objectives for the new Ten-Year Program and Resource Plan and the Finance Plan (including a Cash Forecast balanced plan). The Executive Leadership is comprised of the Secretary, the three Assistant Secretaries, the seven District Secretaries and the Executive Director of the Turnpike.

The Tentative Work Program is based on the funding levels determined by the program balancing

achieved in the Program and Resource planning process that began in July.

To communicate funding and policy directives to the districts and the Turnpike Enterprise, Work Program Instructions (WPI) and fund allocations are developed by the department based upon the funding levels, policies and objectives set forth in the Program and Resource Plan. The WPI provides technical guidelines which govern the development of the Tentative Work Program. These instructions are updated to reflect the enactment of new federal and state legislation which may change the program structure and/or financing guidelines of the Tentative Work Program.

The method by which the department distributes its financial resources is governed by federal and state laws, and by departmental policy. The WPI contains a Schedule A for fund allocations and a Schedule B for program performance targets. These schedules provide the following:

Schedule A allocates product and product-support funds in accordance with the Program and Resource Plan. Fund amounts are based on the latest Federal-Aid Forecast, the latest Florida Revenue Estimating Conference (REC) projection of state funds, bonds, tolls, local funds, and reimbursable items contained in the Finance Plan. When distributing its financial resources found in Schedule A, the department adheres to the following:

- When building the department's Tentative Work Program, s. 339.135, F.S., requires the following: to assure that no district or county is penalized for local efforts to improve the State Highway System, the department shall allocate funds for new construction to the various districts based on equal parts of population and motor fuel collections. Funding for resurfacing, bridge repair and rehabilitation, bridge fender system construction or repair, public transit block grants as provided in s. 341.052, F.S., and other programs with quantitative needs assessment shall be allocated based on the results of these assessments.
- The distribution of funds at the district level is mandated by federal law and by ss. 206.46 and 339.135, F.S. Florida Statutes do not require the department to make a distribution of funds at the county level. However, the law does require the department to expend proceeds from the State Comprehensive Enhanced Transportation Systems (SCETS) tax, to the maximum extent feasible, in the county in which it was collected.
- To protect the integrity and financial soundness of the Work Program, s. 339.135(5), F.S. provides that any transportation project of the department which is identified by specific appropriation in the General Appropriation Act shall be deducted from the funds annually distributed to the respective District(s). Since the development of the Work Program is based on a balanced Finance Plan, any additional projects, such as those contained in the approved General Appropriations Act may cause an imbalance to the Work Program. However, if these projects are funded from sources other than those already committed in the Finance Plan, the Work Program may not be impacted. In essence, this statute further protects the Work Program by requiring the department to make a deduction from the funds allocated to the district in which the special legislative project is to be undertaken.

Schedule B reflects, by District, the distribution of resources needed to achieve the department's program objectives. Among these are:

- The annual needs for resurfacing, repair and replacement of bridges, and provide routine and uniform maintenance of the State's Highway System.
- The implementation of the Strategic intermodal System (SIS) Plan.

August through December

During the development of the Work Program, Central Office provides technical support and other assistance to District Offices, Turnpike Enterprise, and the Rail Enterprise and monitors transportation programs which are decentralized. In addition, Central Office develops transportation programs which have not been decentralized and are managed on a statewide basis.

January through February

At this stage, Central Office staff aggregates each District and Turnpike Enterprise Work Programs to develop the new proposed statewide Tentative Work Program for presentation to, and review by, the Secretary, the Executive Office of the Governor, the legislative appropriations committees, and the Department of Community Affairs.

Central Office conducts a compliance review of the District and Turnpike's Work Programs prior to the Executive review.

The department's Office of Work Program and Budget along with representatives from each District and Turnpike present their Work Programs to the Secretary and Assistant Secretaries. The purpose of the review is to ensure each District and Turnpike's Work Program conforms, to the maximum extent feasible, with the Transportation Improvement Plan, WPI and other department policies and procedures, applicable Federal and State laws, rules and regulations.

Central Office submits a preliminary copy of the Tentative Work Program to the Executive Office of the Governor, legislative appropriations committees, Florida Transportation Commission (FTC), and Department of Community Affairs (DCA) at least 14 days prior to the convening of the regular legislative session.

February through May

The FTC reviews the Tentative Work Program for compliance with applicable laws and departmental policies, and then presents it to the public at a statewide public hearing for further review and feedback. Following the evaluation by the FTC, the proposed document is published and submitted as the department's new "Tentative Work Program."

In accordance with s. 339.135, F.S., the final Tentative Work Program is submitted to the Executive Office of the Governor and the legislative appropriations committees no later than 14 days after the regular Legislative session begins. Accompanying the Tentative Work Program is the Program and Resource Plan, 36-month Cash Forecast and Five-Year Finance Plan.

After the development and publication of the Tentative Work Program, the department works closely with professional staff of the Governor's Office and the appropriations committees to develop the appropriations bill. This document is comprised of information from the Governor's Budget Recommendations and the department's Tentative Work Program.

The department's Executive Leadership begins reviewing and evaluating the department's programs while the Legislature is in Session. Following an analysis, the Executive Leadership issues directives and sets policies for the next programming cycle. The Program and Resource Plan will be updated to reflect the Tentative Work Program, and the department will begin financial and program balancing.

May through June

After the Appropriations Act is approved, the Work Program is adjusted as necessary to mirror the appropriations and to adjust for actual accomplishments of the department during the fiscal year. Prior to the beginning of the fiscal year, the new Tentative Work Program is adopted by the Secretary, and budget allocations are issued to the districts, Turnpike Enterprise, Rail Enterprise and Central Office divisions. Once adopted, any modification or amendment to the Work Program must be in compliance with s. 339.135(7), F.S.

For the department to maintain a viable Work Program, it is necessary to make modifications which reflect the most current information. When modifications are necessary, fiscal responsibility and data integrity of the Work Program must be maintained. Allowing modifications, while maintaining funding and budgeting capacity, requires periodic review of the Work Program and related documents such as the Program and Resource Plan, the Cash Forecast, the Finance Plan and the department's budget.

IMPLEMENT: Project, Grant and Contract Management

Upon the adoption of the Work Program, the department proceeds to delivery of transportation projects. For the successful progression of a transportation improvement through all project phases, the three disciplines of project, contract and grant management now attempt to come together. As each project is progressing through its lifecycle, the Office of Work Program and Budget and the Office of Comptroller provide coordination and oversight activities for individual project activities as well as for the sum of the Work Program plan of projects. The chart at the end of the section depicts the multi-dimensional aspects of the implementation of the Work Program.

One key to a successful project is the development of a Project Work Plan. The Project Work Plan should be developed when a project is first assigned to a project manager, ideally when the project is first scoped. The purpose of the Project Work Plan is to promote the efficient, organized, and timely completion of the work product according to schedule, budget, contract requirements and grant agreement specifics. The Project Work Plan details the job scope, defines the work product and establishes task sequencing, budget, resource allocation, and the schedule. This plan will be very helpful in preparing the scope of services for the contract. Once the contract is negotiated, a fairly detailed plan should be in place by notice to proceed on a contract.

The Work Program estimate must also be reviewed to ensure that each phase is valid. Confirmation efforts are progressed to ensure that the project can be produced as scheduled. If circumstances make it impossible to complete the planned improvements within the Work Program estimate or schedule, appropriate steps are taken to revise the project scope, estimate or budget and these changes are coordinated with the Work Program Office. The Work Program data should be kept current and viewed as the official records of the department.

The department's Federal Aid Coordinators are notified of the need to request federal authorizations for federally funded projects. This responsibility includes ensuring all the required prerequisite criteria are met (and supporting materials are available) before requesting the Federal Aid Coordinator to prepare the Federal Authorization Request (FAR). Federal aid project numbers are assigned to all phases of work.

The Federal Highway Administration (FHWA) must approve the FAR before construction projects can be advertised or before Preliminary Engineering (PE) and Construction Engineering and Inspection (CEI) contracts are executed. The FAR must be submitted to the Federal Aid Programs Office at least 30 days prior to the date the approval is needed. The Federal Aid Coordinator will

provide notification when federal project authorization is received.

Local funds must be deposited with the department prior to advertising locally funded projects and encumbering the contract funds.

Funds must be encumbered prior to execution of a contract, contract amendments or supplemental agreement that obligates funds. The encumbrance process ensures that the budget and funds are in place and sets the budget and funds aside for payment of the specific contract. In addition to the management of the technical work for the project, there must also be management of the contract and grant agreements to ensure that all provisions are completed as well as addressing the multiple aspects and issues related to project funding and budget allocations.

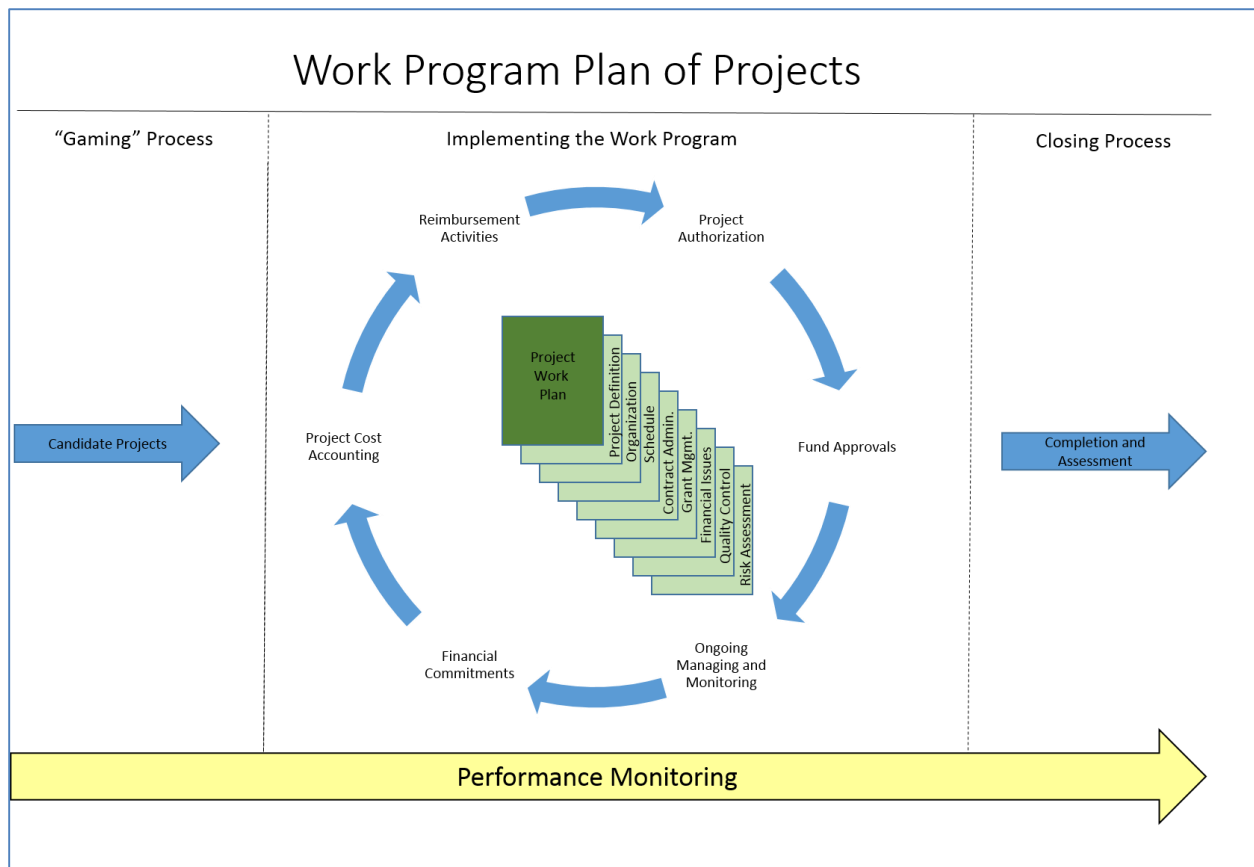
Payments must match the encumbrance accounting data found in the department's Contract Funds Management (CFM) system. Assurance must be made that the work, services or goods have been delivered prior to payment of an invoice; and that the invoice is within the terms of the contract and the invoice is properly documented. Throughout the life of the project, actual commitment transactions are tracked by interfacing with the State of Florida's accounting system (FLAIR), with these detailed transactions being allocated each day to the Work Program funding categories for each individual project. As the project is brought to completion, multiple offices within the department work to close out the project. Final invoices are submitted and processed as quickly as possible and any remaining funds released. After the proper project closeout activities have taken place, the final reimbursement of federal funds is requested. Concurrent with the project, contract and grant management processes, the Office of Comptroller and the Office of Work Program and Budget partner to deliver the continuum of the department's financial services to include planning, development, finance, administration, quality assurance and quality control for the implementation of the Work Program. These offices' primary functions and activities related to the implementation phase include:

- Authorize funding for specific projects with the Federal Highway Administration (FHWA) and other Federal, state and local funding partners;
- Manage the funds approval process for department contracts;
- Perform the on-going management and monitoring of the execution of the entire Work Program and each individual program area including making required adjustments to the planned number and mix of projects based on actual project performance;
- Monitor the actual financial commitments of the department's Work Program;
- Manage the department's project cost accounting function;
- Coordinate reimbursement activities with the department's funding partners;
- Perform the on-going management and monitoring of the execution of the entire Five-Year Work Program through key performance measures;
- Monitor and manage cash and implications that may require changes in financing or to the Work Program to ensure that the cash continues to be available as payments become due.

The multi-faceted approach to the implementation of the Work Program plan of projects by the department's project and contract managers, Office of Work Program and Budget and Office of

Comptroller is shown in Exhibit II-3 below:

Exhibit II-3: Work Program Plan of Projects



MEASURE: Tracking the department’s progress

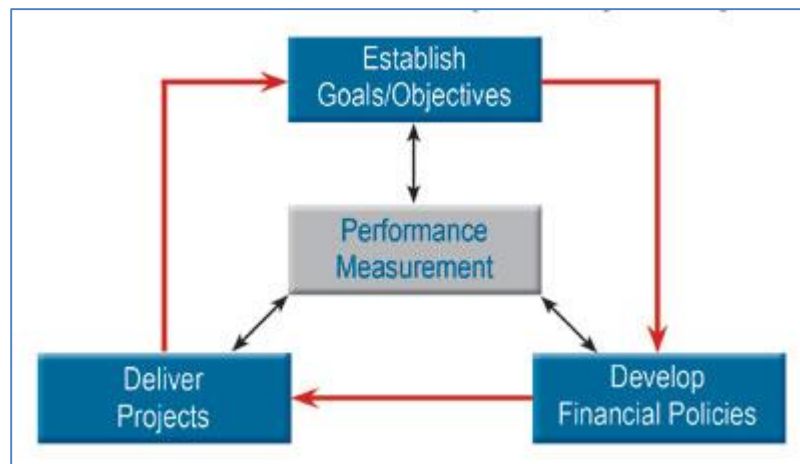
Performance measures track progress toward attaining goals and objectives. In addition, the Florida Department of Transportation uses performance measures to: assess how well the transportation system is operating; provide information to support decisions; assess the effectiveness and efficiency of transportation projects and service delivery and to demonstrate transparency and accountability to Florida's citizens.

The improvement needs of Florida's transportation system are much greater than available funding. Resources must be used in the most strategic, effective and efficient ways possible. Performance measures play an important role in this effort. They are integrated into the department's business practices on three distinct levels:

- **At the strategic level** - Performance measures are used to establish goals and objectives, and to monitor progress towards achieving the State's long-range transportation goals. These long-term goals are part of the [2060 Florida Transportation Plan](#).

- **At the decision-making level** - Performance measures are used to make informed financial policies that determine how funds are allocated across numerous programs such as highway preservation, system expansion, and public transportation in an effort to measure their effectiveness. These programs are defined in the [Program and Resource Plan](#).
- **At the project delivery level** - Once projects have been selected, performance measures are used to monitor the efficiency and effectiveness of projects and services in the [Five Year Work Program](#). The measures are also used in supporting organizational and operational improvements.

This Performance-Based Planning and Programming Process is shown in this graphic.



As with other areas of the department, performance measures are also mandated by Florida statute:

- **FS 334.045** The Florida Transportation Commission shall develop and adopt quantitative and qualitative measures for evaluating the performance and productivity of the department assessing those factors that are within the department’s control. The measures must, at a minimum, include production, finance and administration, preservation of the current state system, safety of the current state system, capacity improvements, and disadvantaged business enterprise and minority business programs.
- **FS 334.046** The mission of the Department of Transportation shall be to provide a safe statewide transportation system that ensures the mobility of people and goods, enhances economic prosperity, and preserves the quality of our environment and communities. At a minimum, the department’s goals shall address: 1) Protecting the state’s transportation infrastructure investment through meeting established standards for pavement and bridge conditions on the State Highway System as well as meeting acceptable maintenance standards; 2) Economic competitiveness by ensuring that the state has a clear understanding of the economic consequences of transportation investments, and how such investments affect the state’s economic competitiveness through the establishment of quantifiably measures; and 3) Mobility ensuring a cost-effective, statewide, interconnected

transportation system.

The monthly results are measured with the use of four primary sources:

- **ADOPTED PROGRAM:** The baseline for measuring the department's performance is the Adopted Work Program as appropriated by the Legislature. Each program measured begins the fiscal year with a lockdown plan for the year's planned commitments.
- **PERFORMANCE:** The actual work accomplished of the Adopted Plan is reported monthly (cumulative) and is considered the measured Performance.
- **PRODUCTION:** Any work advanced within the current fiscal year or added from outer years that is accomplished in addition to the expected Performance is considered the Production or total work actually done.
- **TARGETS:** Most measures have targets. These targets define acceptable performance. Performance below target data indicates attention is needed. Above target, while indicating added performance, could indicate improved scheduling or estimating is needed.

Lessons learned from the various measures are then incorporated into the next cycle of the development of the department's plan of projects for the "cycle of continuous improvement". In addition, if the commission finds that the department failed to perform satisfactorily under these measures, the commission must recommend actions to be taken to improve the department's performance. The current measurement results are available at the following link:

<http://www.dot.state.fl.us/agencyresources/performance.shtm>

2. Assumptions and Constraints

This subsection identifies key assumptions which may influence the department's Work Program Integration Initiative. It also outlines potential constraints which could impact the outcome of the proposed solutions recommended as a result of the department's needs assessment project.

Adequate funding and resource availability will be primary drivers in the scoping and phasing of the department's initiative. Funding constraints may impact the specific timing of the proposed solutions recommended from the department's needs assessment project. The availability of key resources in a number of functional areas within FDOT Central Office, the Districts and the Turnpike and Rail Enterprises will also be essential for successful implementation of proposed solutions. Due to the magnitude of the financial lifecycle, from policy development to project closure, backfilling for these resources is essential for the department's continuity of operations. As with the availability of funding, limitations in resourcing may have an impact on timing and scope of recommended solutions.

FDOT will continue to operate on a cash flow basis and be responsible for the agency unique functions to maximize the use of funds over time and cover existing commitments as they occur. As such, the department will continue to perform the functions required to manage budget, funding sources and cash flow concurrently.

The range of feasible solutions may be different for various applications supporting the functions

within the department's initiative. Of the 150 systems inventoried for the FDOT Financial Management Systems Inventory prepared in June 2014, the age of the systems range from 1 year to 30 years. Many of these systems utilize a technology that is either outdated or considered non-strategic by the department. To help address this challenge, FDOT is conducting a needs assessment which will provide a third-party view of improvements of existing business processes and any additional processes that should be included as a part of any future system modernization efforts.

The department will continue to satisfy the information needs and address system interface requirements with its external partners. Some of these key areas include:

- LAS/PBS is the State's budgeting and appropriation subsystem. LAS/PBS is used for developing, preparing, analyzing, and evaluating agency budget requests. EOG's Office of Policy and Budget (OPB) uses LAS/PBS to develop the Governor's budget recommendations and to allocate and to control the appropriations. The Legislature uses the subsystem to create the appropriations bills, including the proviso and other controlling language used to document legislative intent and create the foundation to enable the agencies to manage and perform legislatively authorized or required services and activities consistent with such legislative intent. The budgeting and appropriations process produces the GAA and its supplements and amendments. The department provides specific budget requests to LAS/PBS for the Work Program plan of projects as part of the budget development process. After the GAA act is approved, the Work Program is adjusted as necessary to mirror the appropriations and is then adopted in preparation for the beginning of the state fiscal year.
- FMIS is the Federal Highway Administration's (FHWA) major financial information system for tracking Federal-Aid projects. The department must continue to interface with FMIS to manage the obligation of federal funds to specific projects. RASPS is FHWA's system for reimbursing states for the federal share of highway construction and highway-related projects. The additional interface is necessary to submit periodic billings to FHWA for the reimbursement of expended federal funds. This reimbursement totals approximately \$2 billion annually. FHWA has a significant initiative underway for the enhancement of the FMIS system. In the new version of FMIS, FMIS and RASPS will become one application under the FMIS name. In addition, the department is making changes to its supporting applications to provide additional geospatial information, improvement types and other new project attributes being required by FHWA at the time a federal project is authorized. This FMIS effort is slated to continue throughout the current federal fiscal year.
- By statute (Section 215.94, F.S.) DFS is the functional owner of FLAIR and will continue to be the owner of the state of Florida's statewide accounting system. DFS will continue to perform the accounting, financial reporting and treasury functions commonplace for modern core financial management systems. The department will continue to use FLAIR for these functions which are not included in the scope of FDOT's project. Currently, DFS is undertaking a FLAIR replacement project. A FLAIR study completed in June 2014 recommended "the replacement of FLAIR and the Cash Management Subsystem (CMS) with a COTS enterprise resource planning (ERP) suite for the financial management processes to support the constitutional obligations of the CFO". DFS is proceeding with the planned acquisition of a core Enterprise Resource Planning (ERP) application to replace the existing functionality of FLAIR and the Cash Management System (CMS) to address the accounting, financial reporting and treasury functions. The FLAIR Replacement project will begin with

functionality which supports the broad general accounting and financial management needs of State of Florida agencies including general ledger, accounts payable, accounts receivable and payroll functionality. There is no consideration by DFS to encompass the unique needs of FDOT in their project. Phase I is scheduled to be deployed in stages to all agencies by the end of Fiscal Year 2020-21. FDOT will continue to actively engage and collaborate with the DFS in pre-implementation planning for the FLAIR Replacement project. There are approximately 50 specific incoming and outgoing interface points between the department and DFS, which from a business functionality perspective, will not change.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The overall processes to move the department’s projects from concept to completion are well established and in many cases are based on Federal or State laws or regulations. The results of the process improvements and any future system modernization efforts must allow the department to continue to meet its stated goals and objectives, maximize its Work Program based on the available resources and to deliver its projects on time and within budget. The overall framework for transforming policies and plans into action will be retained and include:

- As part of the planning function, the department establishes its policy directives and goals. These are then translated into several plans to address planning horizons and/or program strategies.
- The development of the department’s plan of projects consistent with the financial policies and project prioritizations. The department prepares this annually and submits a budget request seeking authorization for funding the first year of the Work Program.
- Upon authorization (or adoption) of the Work Program, the department delivers projects. Projects are monitored and measured to ensure projects are delivered on time and within budget.
- Throughout this functional cycle, the department measures product, finances, performance and conformity with policies and goals. Lessons learned are used to improve future operations and programs.

That being said, there are, however, a number of opportunities for streamlining specific business processes to gain increased efficiencies.

Since the department operates on a cash flow basis with project phases beginning before the total amount of cash is available to fund the entire project, FDOT must manage budget, funding sources and cash flow concurrently. One of the key objectives of the department’s integration initiative is to maintain adequate resources with the complex skill set needed to support these multiple disciplines, and address processes that may have become disjointed, inefficient and ineffective for multiple “touch points” between the three areas.

- Budget management addresses the coordination efforts of budget development with the Executive Office of the Governor and State of Florida legislature. Through the GAA, authority is granted to expend state financial resources to deliver transportation projects.
- Funds management is necessary to coordinate approximately 300 different fund classifications that FDOT must use to communicate funding and policy directives to the

districts and the Rail and Turnpike Enterprises. Funding levels are then matched to the list of prioritized candidate projects for inclusion in the department's Five-Year Work Program.

- Cash flow projections are used within the department to demonstrate the financial soundness of the Five-Year Work Program and to maximize the combination of budget, funding sources and cash flow. The Program and Resource Plan contains project estimates and "commitment" authority which are converted into projected cash disbursements and are matched against projected cash receipts. This ensures the department's allocation of transportation dollars is fully funded by current and future transportation revenues.

With over 9,000 active contracts, contract related information is a key "touch point" in providing essential performance information for the department's projects, managing vendor relationships and monitoring the statutorily mandated funds approval process. As a result, managing the three disciplines of project management, grant management and contract management concurrently is also vital to the department's continuity of operations. An additional objective of the needs assessment effort is for the department to establish a comprehensive set of goals to improve both the integration of supporting processes as well as further integration for the respective systems and subsystems within these three disciplines:

- Project management is the discipline of planning, organizing, and managing resources to bring about the successful completion of specific project goals and objectives based on the individual project work plans.
- Contract management is the management of contracts made with customers, vendors, or partners. Contract management includes negotiating the terms and conditions in contracts and ensuring compliance with the terms and conditions, as well as documenting and agreeing any changes that may arise during its implementation or execution.
- Grant management is contract management as well as monitoring federal awards and state financial assistance to ensure recipients have sound financial practices to reduce the risk of fraud, waste and abuse per 2 CFR Part 200 and 215.97 F.S. and are compliant with Federal and State Single Audit Acts.

FDOT has funding in place for a Transportation Finance Life Cycle needs assessment during Fiscal Year 2014-2015. As part of this effort, FDOT will be documenting transportation finance lifecycle As-Is business processes. Potential improvement opportunities in FDOT's existing As-Is processes will then serve as an input to defining To-Be processes for the transportation finance life cycle functions, followed by the identification of high level business requirements and objectives. Specific expectations for the needs assessment project are:

- To identify the full scope of the financial related information the department holds as well as the met and unmet needs for financial related information across the enterprise.
- To establish an overall enterprise architecture which links the financial aspects of the department's projects and grants with key contract management data, processes and financial related information.
- Receive a third-party view of improvements of existing business processes and any additional financial related processes that should be included as a part of any future system modernization efforts.

It is FDOT's intent to use funding provided through this Legislative Budget Request to complete the following:

- Gathering, documentation and verification of detailed user requirements that support the Transportation Finance Life Cycle. To-Be business processes, along with high-level requirements gathered in the FY 14-15 Needs Assessment will serve as the starting point for these requirements.
- Involving an Independent Verification and Validation (IV&V) vendor to serve as oversight during the requirements gathering and documentation efforts.

2. Business Solution Alternatives

Business solutions alternatives are not known at this time. It is FDOT's intent to use funding provided through this Legislative Budget Request to develop detailed business requirements to be used in the future for identifying business solution alternatives.

3. Rationale for Selection

Business solutions are not being selected in this effort.

4. Recommended Business Solution

Business solutions are not being selected in this effort.

D. Functional and Technical Requirements

The functional and technical requirements have not yet been developed. It is FDOT's intent to use funding provided through this Legislative Budget Request to develop detailed functional and technical requirements.

III. Success Criteria

Exhibit III-1 identifies the critical results in terms of both outputs and outcomes that must be realized in order for the Work Program Integration Initiative to be considered a success.

Exhibit III-1: Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Establish a comprehensive governance model for the Work Program Integration Initiative project	Variance analysis of project progress points and scheduled due dates versus actual results	FDOT	06/19
2	Complete project scoping and feasibility studies for potential projects	Definition of scope for candidate projects completed	FDOT and transportation stakeholders	06/19
3	Preparation of initial cost estimates for candidate projects for potential inclusion in the Work Program	Completed cost estimates based on the department's cost estimate handbook and guidelines	FDOT and transportation stakeholders	06/19
4	Development of the Florida Transportation Plan (FTP)	Contains specific long and short range components; major programs of the department; products to be delivered; resources required.	FDOT and transportation stakeholders	06/19
5	Prioritize candidate projects	Preliminary list to be considered during Work Program gaming process	FDOT and transportation stakeholders	06/19

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
6	Development of the Program and Resource Plan Summary	Adheres to guidance by the FTP; consistent with established performance measures; compliant with funding policies	FDOT	06/19
7	Completion of funding allocations	Consumes all available funding and revenue sources; adheres to the department's program objectives	FDOT	06/19
8	Build the tentative and adopted Work Programs	Compliance with allocations, Work Program Instructions, funding policies, legislation and appropriations.	FDOT	06/19
9	Capture a "snap shot" in time of the versions of the Work Program	Creation of the Program and Resource Plan Summary; Work Program information by Program Plan, Category and Sub-category	FDOT	06/19
10	Produce a balanced financial plan projecting cash needs for the Program and Resource Plan Summary	Work Program is planned to deplete estimated resources; includes a balanced Cash Forecast and Finance Plan; estimated cash balances are above working minimums	FDOT	06/19

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
11	Create the Legislative Budget Request	Submission of tentative and adopted Work Programs; compliance with statutory due dates	FDOT	06/19
12	Manage the federal funds program and support the department's partnerships with federal agencies	Review of mandated federal project tier analysis; adherence to FFATA reporting requirements	FDOT	06/19
13	Develop the annual Obligation Authority Plan	Consumption of federal appropriation by September 30 th of each federal fiscal year	FDOT	06/19
14	Obtain FHWA approval for federal participation in eligible costs on individual transportation projects	Successful acknowledgment and approval of FDOT authorization requests	FDOT	06/19
15	Managing and monitoring of the execution of the Five-Year Work Program	Required adjustments to the planned number and mix of projects based on performance measures	FDOT	06/19
16	Provide funds approval documentation for contracts and purchase orders prior to agreement execution	Compliance with Section 339.135(6)(a), F.S.	FDOT	06/19

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
17	Validation of the FDOT's interface with the state of Florida accounting system	Data validation for approved invoices; internal control validations; successful interface of accounting and budgeting transactions; completion of the project cost allocation process for department projects	FDOT	06/19
18	Validate and generate the period billing for reimbursement from FHWA	Successful transmission and receipts of cash; completion of the quarterly CMIA requirements; status of outstanding billings	FDOT	6/19
19	Satisfy the department's certification forward and carry forward statutory requirements	Tested and approved functionality	FDOT	06/19
20	Provide required information for the Florida Accountability Contract Tracking System (FACTS).	Tested and approved functionality	FDOT	06/19

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
21	Management and monitoring of project, grant and contract functions concurrently	Adherence to 2 CFR Part 200, 215.97 F.S., 215.971 F.S.; establishment, modification and ongoing management of agreements; oversight and reporting of locally funded agreements	FDOT	06/19
22	Monitor the overall performance in accomplishing the annual FODT Work Program	Performance reporting to FTC, legislators, legislative staff, EOG; FDOT management, etc.	FDOT	06/19
23	Provide a broad range of business intelligence and analytics capabilities	Adherence to GASB and financial statement reporting requirements; ad-hoc, business analytics and decision support for department projects and other financial related information; enterprise-wide GIS integration and spatial display for department projects and other financial related information	FDOT	06/19

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

E. Benefits Realization Table

Exhibit IV-1: 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	Formally document the detailed user requirements.	FDOT	Through delivery of detailed user requirements.	Through review and acceptance of user requirements	06/16
2	Ensures detailed user requirements are captured correctly and at adequate level of detail for a large-scale project.	FDOT	Through involvement of Independent Validation & Verification (IV&V) consultants.	Through FDOT's ability to proceed to the next step in the process with documentation thoroughly covers FDOT's needs.	06/16
3	Modernize and integrate department management systems enabling the department to more effectively utilize taxpayer dollars as it provides and maintains the state's transportation system.	FDOT and transportation stakeholders	Better project planning and prioritization of more than 9,000 projects. Streamlining/expediting of capital project procurement activities. Enhanced project monitoring and controls. Easier access to information on project expenditures allowing more effective control of discretionary costs.	More efficiently meet the department's mission, goals and objectives specified in s. 334.046, F.S.	06/19

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)
4	More efficiently meet critical business needs and maintain financial integrity	FDOT	Continued development of a complete, balanced financial plan. Timely development of financial plans. Consistent and accurate financial reporting.	Compliance with state and federal laws concerning financial reporting (ex. 339.135, F.S., s. 338.241, F.S.)	06/19
5	Seamless views into the departments vast information assets	FDOT	Ability to more quickly access relevant data for decision-making. More efficient development of return on investment analyses for transportation projects.	More efficient response to requests for information.	06/19
6	Ability to act as an integrated system and efficiently share data across the department and externally	FDOT and transportation stakeholders	Ability to more efficiently transition between phases of a transportation project. More effectively and efficiently reply to requests for information with data which is more consistently reported.	Reduced operating costs and improved cost-effectiveness and service delivery.	06/19
7	Eliminate work-arounds which exist due to the current inefficient systems	FDOT	Ability to directly gather relevant data. More efficient reporting of information.	Direct reporting of information from the integrated system without work-arounds.	06/19

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)
8	Enhanced performance reporting	FDOT and transportation stakeholders	More efficient reporting of performance data. Consistent data reporting from one integrated system. Eliminates cross-checking due to multiple systems of performance data	Compliance with state and federal law concerning performance reporting (ex. S. 334.045, F.S., 334.046, F.S., s. 1203 MAP-21)	06/19
9	Link the financial aspects of projects with contract management data	FDOT and transportation stakeholders	More closely relating project details with budget and financial information. Enhanced reporting of project details to constituents.	Compliance with section 339.135, F.S., relating to the finance plan, cash forecast and Work Program.	06/19
10	Improve support for the Work Program development process	FDOT and transportation stakeholders	More efficiently plan, program and implement projects included in the Work Program.	Compliance with section 339.135, F.S., relating to development of the Work Program	06/19

F. Cost Benefit Analysis (CBA)

The Cost Benefit Analysis forms are included as Appendix A. The Cost Benefit Analysis includes three sections.

CBA Form 1 – Net Tangible Benefit: As this request relates to a project that is not yet implementing a solution, there are no monetary benefits that can be referenced.

CBA Form 2 – Baseline Project Budget: Projects costs are included on the spreadsheet.

CBA Form 2B & C – Project Cost Analysis: Project costs are included on the spreadsheet.

CBA Form 3 – Project Investment Summary: As this request relates to a project that is not yet

implementing a solution, there are no monetary benefits that can be referenced.

V. Schedule IV-B Major Project Risk Assessment

This section provides an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides an assessment of the project's alignment with business objectives.

A. Risk Assessment Summary

The risk assessment analysis completed for the Work Program Integration Initiative project as part of the preparation of the Schedule IV-B indicates the overall project risk is "High". Please note that the risk assessment represents a snapshot of the risk portfolio of the project as of the date of the submission of the Schedule IV-B. In completing the risk assessment, the project team indicated the status and level of completion of a number of items (for example a project communications plan) which were indicated as being not completed because they are in fact in progress as these items would typically be deliverables during project initiation which is currently underway.

Exhibit V-1 provides a summary of the risk assessment analysis. The completed risk tool is included in Appendix B.

Exhibit V-1: Summary of Risk Assessment Analysis

Project	<i>Work Program Integration Initiative</i>					
Agency	<i>Transportation</i>					
FY 2014-15 LBR Issue Code:	FY 2014-15 LBR Issue Title:					
<i>Issue Code</i>	<i>Issue Title</i>					
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):						
<i>Stephanie Tanner, (850) 410-5563, Stephanie.Tanner@dot.state.fl.us</i>						
Executive Sponsor	<i>Brian Peters</i>					
Project Manager	<i>Stephanie Tanner</i>					
Prepared By	<i>Stephanie Tanner</i>	<i>9/15/2014</i>				
Risk Assessment Summary						
Business Strategy	<table border="1" style="width: 100%; height: 100%;"> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%;"></td> </tr> <tr> <td style="width: 50%; height: 50%;"></td> <td style="width: 50%; height: 50%; text-align: center;">◆</td> </tr> </table>					◆
	◆					
Level of Project Risk	Least Risk	Most Risk				
Most Aligned		Least Aligned				
Project Risk Area Breakdown						
Risk Assessment Areas		Risk Exposure				
Strategic Assessment		HIGH				
Technology Exposure Assessment		HIGH				
Organizational Change Management Assessment		HIGH				
Communication Assessment		HIGH				
Fiscal Assessment		HIGH				
Project Organization Assessment		MEDIUM				
Project Management Assessment		HIGH				
Project Complexity Assessment		HIGH				
Overall Project Risk		HIGH				

A detailed inventory of risks and mitigation strategies is discussed in Section VII: Project Management Planning. FDOT will establish a formal risk register as part of the execution of the project and will regularly review and update the risk register throughout project planning and execution.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of current system

There are a variety of systems involved in the Transportation Finance Life Cycle. The FDOT Financial Management Systems Inventory prepared in June 2014 identified over 150 systems performing some level of financial management systems functionality. Some characteristics of the current systems supporting the Transportation Finance Life Cycle are listed below.

- 1) **Total Number of Users and User Types:** The systems that support the Transportation Finance Life Cycle are utilized by a broad range of FDOT Offices. It is estimated that 4500 employees/consultants use the various systems in this life cycle. Of those, 2% (90) are administrative level users; 10% (450) are data entry users and 100% are read only users.
- 2) **Number/Percent of Transactions:** The systems in the life cycle consist utilize both online and batch transactions. Batch transactions are particularly important as they are utilized to download FDOT-specific data from FLAIR. In addition, batch transactions are also used to transmit data to many of the department's system interfaces with external partners.
- 3) **Requirements for Public Access, Security, Privacy and Confidentiality.** This life cycle is primarily inward-facing. Very few components require input by external, non-FDOT users. This life cycle has very specific rules regarding input and usage. While the majority of information is available as read-only data for all departmental users; data entry, power user, and administrative access is limited in number and strictly controlled. Private and confidential data does exist within this life cycle. Access to this data is managed through database and access controls. Those systems within this life cycle that are maintained on hardware provided by the Office of Information Systems adhere to and utilize established department access procedures for computer security, and access to department resources through the FDOT Automated Computer Security Access Request (AARF) system. Systems which are produced locally using tools such as Excel or Access typically are not controlled by the standard processes.
- 4) **Hardware Characteristics:** The systems in this lifecycle include a mixture of hardware. A number of the systems are hosted on FDOT's mainframe which is housed at the Southwood Shared Resource Center (SSRC) in Tallahassee. Many of the systems are web-based systems that exist on Microsoft Server-based systems also housed at the SSRC. Finally, some of these systems are locally maintained desktop systems developed using tools such as Microsoft Excel or Access. These systems are run on FDOT standard desktop computers.
- 5) **Software Characteristics:** The systems in this lifecycle are developed using a mixture of

software, programming languages, databases and protocols.

- Cobol
- CICS
- VB. NET
- Microsoft .NET
- Microsoft Classic ASP
- Microsoft Visual Studio
- Microsoft Excel
- Microsoft Access
- Microsoft Sharepoint Server
- TN3270 Plus Terminal Emulator
- Web Focus (Reporting Tool)
- Mainframe Focus (Reporting Tool)
- Web Focus Maintain (Programming Language)
- CA Gen (formerly AllFusion Gen, CoolGen) Case Tool
- FTP
- SMTP
- DB2 Database
- Oracle Database
- SQL Server Database
- Primavera
- ArcGIS
- IBM Resource Access Control Facility (RACF) – User Authentication
- Microsoft Active Directory – User Authentication

6) Existing System or Process Documentation: The availability of system and process documentation is varied, and in general, minimal. For example, the systems within the FM Suite have an average age of 15.6 years, while the average age excluding the FM Suite is 10.6 years.¹ Many of the staff with the technical and business process knowledge are within retirement age or are no longer with the department; and the knowledge they have is often not written down.

7) Internal and External Interfaces: On average, the systems closely aligned with the financial aspects of the life cycle have 3.5 internal interfaces and 1.5 external interfaces. External interfaces include other state agency and federal systems, such as Florida Accounting Information Resource (FLAIR); Federal Highway Administration (FHWA) Fiscal Management Information System (FMIS); and Federal Highway Administration (FHWA) Rapid Approval and State Payment System (RASPS). When looking at the interface count for FM Suite only, the number of interfaces increases, as these systems are critical to information needed by this life cycle.

	Average Number of Internal Interfaces	Average Number of External Interfaces
All Systems Core to Transportation Finance Life Cycle	3.5	1.6

¹ System age information was available for all of the FM system, but only for 29 of the remaining 48 systems (63%).

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	Average Number of Internal Interfaces	Average Number of External Interfaces
FM Suite Only	8.5	2.7
Non-FM Suite Systems	3.0	1.2

The systems with the largest number of interfaces² include:

System Name	Number of Internal Interfaces
Work Program Administration (WPA)	18
Cash Forecast System (CFS)	9
Integrated Enterprise Information (IEI) Data Warehouse	9
Project Cost Management	7
ProjectSuite Enterprise Edition	7
System Name	Number of External Interfaces
Project Cost Management (PCM)	4
Federal Authorization Management (FAMS)	2
Batch Error Management (BEM)	2
Financial Statement Infrastructure Report	2
CMIA	2
Contract Funds Management	2

8) Consistency with Agency Standards: Over the years these systems performing some level of financial management functionality have undergone updates to handle changes in business processes or state/federal mandates. However the underlying development platform is still very similar to that when originally implemented. Additional systems have been implemented to extend and supplement this life cycle, each of varying technology. Many of these systems utilize a technology that is either outdated or considered non-strategic³ by the department.

One of the most concerning non-strategic technologies is CA-Gen. CA-Gen is a Case Tool used to generate Cobol code. The department’s dependency on this tool, for some critical applications, presents a concern to management. Developers with CA-Gen skills are harder to find, and in general have a higher bill rate. A search of the Internet job site Indeed.com found the salaries for CA-Gen developers to be 11 – 12% higher than a comparable .NET developer.

² A system with both an Input and Output to the same external/internal system is counted as having two (2) interfaces.

³ Non-Strategic Technologies include (1) Unsupported Versions (2) Software/Technology that is no longer standard for the Department. The Department has chosen to make no further investments in expanding the use of this technology. (3) Outdated Technology that must move to a more current version.

	CA-GEN Developer	.NET Developer	Percentage Difference
National Average Salary	\$98,000	\$88,000	11.4%
Florida Average Salary	\$92,000	\$82,000	12.2%
Tallahassee Average Salary	\$118,000	\$106,000	11.3%

9) **Scalability to Meet Long-Term System and Network Requirements.** The growth of additional systems to support and supplement the existing Transportation Finance Life Cycle is proof that the scalability of the existing systems is an issue. Whether this is due to technology issues or governance, the result is users/offices creating new systems instead of extending the existing systems. This perpetuates the problems seen in trying to aggregate data across multiple systems as well as increasing the risk to the department as they try to provide accurate and timely data.

b. Current System Resource Requirements

1) **Hardware and Software Requirements.** The systems supporting the Transportation Finance Life Cycle exist on both mainframe and web environments. These systems include hundreds of DB2 and/or Oracle tables. The department’s mainframe environment consists of a z/Enterprise server housed at the Southwood Shared Resource Center. The Transportation Finance Life Cycle systems hosted at the SSRC account for a large percentage of the department processing and data storage requirements as seen below.

System Component	Usage Attributed to Transportation Finance Life Cycle Systems
CICS Processing	1201 out of 1718 (30%) defined CICS transactions.
Z/OS Processing	>60%
DB2 Processing	>60%
Scheduling Services	>50%
Mainframe Storage	120,129 MB out of a total 201,432 MB (60%) of DB2 Application Space.

2) **Cost/Availability of Maintenance or Service for Existing System Hardware or Software.** The current systems that are available on infrastructure supported by the Office of Information Systems (OIS) are available as listed:

		Monday – Friday	Saturday	Sunday
OIS ENTERPRISE APPLICATIONS (FM, CITS, Trns*port, etc.)	Available	6am-9pm	6am-7pm	
	Maintenance	9pm-6am	7pm -11:59pm	
EMAIL and Network (Exchange, Enterprise Vault)	Available	6am-11:59pm	6am-7pm	10am-11:59pm
	Maintenance	12am-6am	7pm-11:59pm	12am-10am
MAINFRAME and DATABASE (Internet, intranet, TSO, FOCUS, SAS, and access to application databases for ad hoc reporting)	Available	6am-11:59pm	7am-7pm	
	Maintenance	12am-6am	7pm-11:59pm	

Systems maintained on non-OIS infrastructure have varying times of availability.

FDOT’s Enterprise Application environment is hosted by the Southwood Shared Resource Center (SSRC) in Tallahassee. The department is billed \$500,000 - \$600,000 monthly for these services. Analysis of the bill by experienced FDOT staff estimates that the systems which comprise this life cycle account for 20% of the billable costs to FDOT. This results in an annual cost to FDOT of \$1.44 million.

3) **Staffing Requirements.** Staff within the Business Systems Support Office are responsible for the maintenance and support of Enterprise Applications. The Transportation Finance Life Cycle also includes systems supported by office-level staff that are heavily dependent on customized systems to supplement detailed analysis, decision making and reporting functions. These needs have continued to grow as changes and mandates have been made over the years. As an example, the Office of the Comptroller and Office of Work Program and Budget are heavily involved in the financial portions of this life cycle and incur a large amount of the support of these systems. Those numbers are reflected in the summary section below.

4) **Summary of Cost to Operate Existing System.** The following are the costs to maintain the known elements of the life cycle during FY 2013 – 2014. Cost is unavailable for those systems maintained by the Districts.

Hosting: Hardware and Software Provided by SSRC	\$ 1,440,000
Support Staff - Business Systems Support Office	\$ 831,398
Support Staff - Office of Comptroller and Office of Work Program and Budget.	\$ 1,326,291
TOTAL	\$ 3,597,689

c. Current System Performance

The systems involved in the Transportation Finance Life Cycle are major contributors to usage on

the department’s systems; in particular the Mainframe and DB2 Resources. The following represent elements provided by the Southwood Shared Resource Center (SSRC) in hosting the department’s application environment.

System Component	Percentage of Usage Attributed to Transportation Finance Life Cycle Systems
CICS Processing	1201 out of 1718 (30%) of CICS transactions processed in a month.
Z/OS Processing	>60%
DB2 Processing	>60%
Scheduling Services	>50%
Mainframe Storage	2,120,037 xx out of a total 3,554,851 xx (60%) of DB2 Application Space.

The Transportation Finance process can be high-utilization, particularly during the gaming cycle when final analysis is being completed to select projects for and preparation of the FDOT five-year Work Program. It is a common occurrence that FDOT staff not involved in the gaming process are asked to delay their mainframe processing to ensure the gaming process has the mainframe resources necessary to proceed.

2. Information Technology Standards

Applications developed by the Business Systems Support Office (BSSO), the application development section of the Office of Information Systems, are developed following their Project Development Methodology (PDM). This methodology is based on the Project Management Institute’s methodology which includes standard phases, tools, steps and sign-off processes. This methodology is made available to all development staff working within FDOT to ensure consistent steps are followed. In addition, standards for .NET coding, web development, accessibility and multimedia development are also maintained by the Office of Information Systems. Reviews against these standards are part of the standard methodology.

B. Current Hardware and/or Software Inventory

1. Current Hardware

The systems supporting the Transportation Finance Life Cycle exist on both mainframe and web environments. The department’s mainframe environment consists of a z/Enterprise server housed at the Southwood Shared Resource Center. It also includes multiple instances of Microsoft Internet Information Services (IIS) Servers for hosting internet, intranet and end user applications.

Web applications hosted by a District will reside on local web servers maintained by District or user-office support staff.

A recent Information Technology Strategic Plan completed by the department highlighted the wide variance in Enterprise Architecture as an issue to be addressed.

2. Current Software

Four of the most prominent systems currently supporting the FDOT transportation finance life cycle

are a set of custom application known collectively as the FM Suite. Originally implemented in the late 1990s, the FM Suite includes four programs:

- Work Program Administration (WPA) which supports the development and ongoing management of FDOT's Work Program;
- Federal Authorization Management System (FAMS) which manages federal appropriations and obligation authority and interfaces with FHWA's Financial Management Information System (FMIS) to manage the obligation of federal funds to specific projects;
- Project Cost Management System (PCM) which is the repository of actual project cost historical information. PCM is FDOT's primary interface with the State's Florida Accounting Information Resource (FLAIR) system, stores project-related FLAIR transactions and allocates FLAIR transactions to Work Program funds; and
- Federal Programs Management System (FPM) which manages and tracks various federal programs, supports and provides the tracking ability for federal billing, vouchering and generating the periodic billing for federal reimbursement from FHWA.

There are also numerous systems which perform either financial management functions or support the management and execution of FDOT's Work Program. These include both various enterprise systems and systems developed by various FDOT offices, Districts and the Florida Turnpike Enterprise to supplement or address perceived gaps in the agency-wide financial management systems. The FDOT Financial Management Systems Inventory prepared in the spring of 2014 identified over 150 systems performing some level of financial management systems functionality.

Examples of these systems include:

- Department-wide or enterprise systems which were developed to support and supplement the functions of the FM Suite such as various FM reporting tools, the Work Program Amendment application, the Finance Plan, the Cash Forecasting System, Schedule A and Schedule B;
- Enterprise systems which support the management and execution of elements of the FDOT Work Program including:
 - Long Range Estimating System (LRE) which supports the development of conceptual estimates,
 - The new Design Quantities Estimate (DQE) application which generate detailed cost estimates during preconstruction,
 - Estimate Report Tracking System (ERTS) which tracks the history of changes to estimates on projects,
 - Primavera P6 and Project Scheduling and Management (PSM) which support the development and ongoing monitoring of project schedules,
 - Project Suite Enterprise Edition (PSEE) which is designed to provide FDOT project managers a one-stop shop for critical project financial and schedule information,
 - AASHTOware Trns*port suite which supports the preparation of specifications, the letting and award of construction contracts and the management of those construction contracts through a series of interrelated modules, and

- Right of Way Management System (RWMS) which supports all aspects of the acquisition of right of way in support of transportation projects;
- Various mode or discipline specific systems which support the identification of needs and the development, prioritization and selection of candidate projects for inclusion in the FDOT Work Program; and
- Various office or District developed standalone or offline applications which support managing, tracking and executing Work Program activities.

C. Proposed Solution Description

1. Summary description of proposed system

The proposed solution is not known at this time.

2. Resource and summary level funding requirements for proposed solution (if known)

The proposed solution is not known at this time.

D. Capacity Planning

Capacity Planning requirements will be documented as a part of the detailed requirements gathering effort requested by this budget request.

VII. Schedule IV-B Project Management Planning

A. Project Scope

The scope of the proposed project includes:

- Gathering, documentation and verification of detailed user requirements that support the Transportation Finance Life Cycle. To-Be business processes, along with high-level requirements gathered in the FY 14-15 Needs Assessment will serve as the starting point for these requirements.
- Involving an Independent Verification and Validation (IV&V) vendor to serve as oversight during the requirements gathering effort.

B. Project Phasing Plan

Not Applicable for projects contained within a single Fiscal Year.

C. Baseline Schedule

Exhibit VII-1 provides a summary of the key milestones.

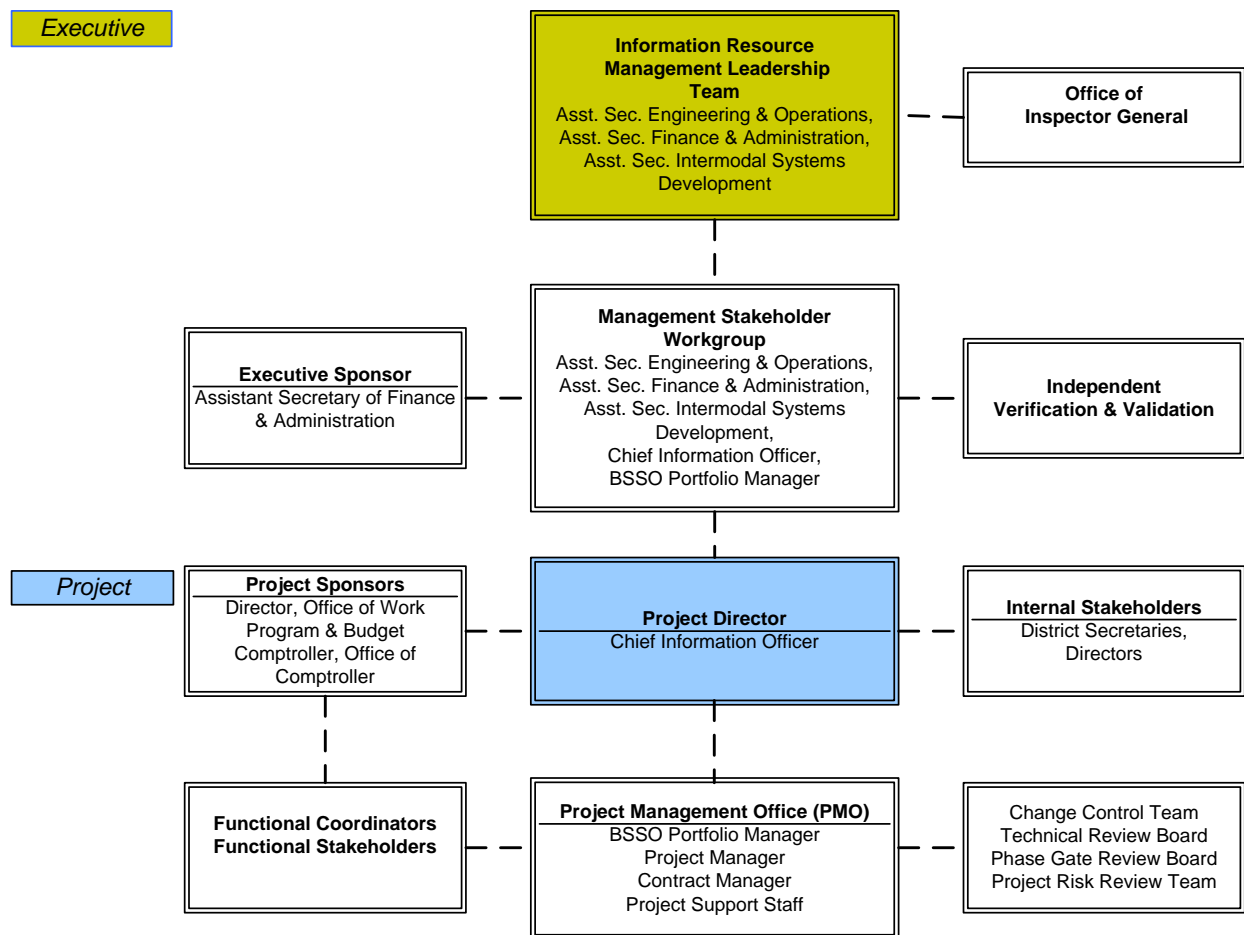
Exhibit VII-1: Summary of Key Milestone Dates

Task	Status	Planned Start	Planned Stop
Needs Assessment	In Progress	8/2014	6/2015
Planning	<i>Pending Funding</i>	7/2015	6/2016
<ul style="list-style-type: none"> Detailed Requirements 	<i>Pending Funding</i>	7/2015	6/2016
<ul style="list-style-type: none"> Independent Verification & Validation Vendor On Board 	<i>Pending Funding</i>	1/2016	6/2016

D. Project Organization and Governance:

This subsection describes the proposed project organization and governance. Exhibit VII-2 outlines the project governance structure.

Exhibit VII-2: Work Program Integration Initiative Governance Structure



The project governance structure consists of the following elements:

- Information Resource Management Leadership Team – Provides direction and prioritization for information technology resources and projects that are estimated at over 1,500 hours of effort. The group usually consists of the Department Assistant Secretaries and the Chief Information Officer (CIO).
- Office of Inspector General – Serves as a central point for coordination of and responsibility for activities that promote accountability, integrity and efficiency in the department. Conducts audits, investigation and management review relating to the programs and operation of the agency.
- Management Stakeholder Workgroup - The Management Stakeholder Workgroup provides functional management oversight for the application projects.
- Executive Sponsor - The Executive Sponsor is a chairperson of the subject business process improvement, analysis, and design efforts. The Executive Sponsor acts as a visionary and motivator and instills the project with a purpose and a sense of mission. The Executive Sponsor introduces the project within the organization and demonstrates commitment to its success.
- Independent Validation & Verification (IV&V) – Provides an independent assessment of the project to ensure compliance with stated direction, standards and goals.
- Project Sponsors - Ensure that security controls related to access and integrity of the application and data are in place. Ensure that the needed resources from the Functional Office are available to serve in various roles throughout the application's life cycle.
- Project Director - Coordinates and manages the information resources management policies, procedures and standards activities. Advises executive management regarding information resources management needs of the department. Assist in the development and prioritization of the information resources management schedule of the department’s legislative budget request.
- Internal Stakeholders – Functional areas and Directors that are affected by the project. It is critical that Internal Stakeholders are kept aware of the project; and are involved (provide staff) in discussions regarding their functional area at the appropriate time in the project.
- Functional Coordinators -Serve as a dedicated resource from the Functional Office assigned to serve as liaison between the Office of Information Systems and the Functional Office. The role of the Functional Coordinator will exist beyond the project, throughout the life of an application. The Functional Coordinator may act as an agent for the Project Sponsor.
- Functional Stakeholders - Provide functional management oversight of the application project for which they have been delegated responsibility. Provide direction to the Project Team in regard to project strategy and planning.
- Project Management Office (PMO) – Provides coordination and support for Communications, Human Resource, Risk, Integration, Time, Cost and Quality management. Reports to Executive Leadership overall status of projects. Monitors project progress against business objectives.

Monitors relationships with internal and external stakeholders. Responsible for document management and requirements management process. The Project Management Office includes the BSSO Portfolio Manager, Project Manager, Contract Manager and other support staff as needed.

- BSSO Portfolio Manager - The Business Systems Support Office (BSSO) Portfolio Manager provides leadership and facilitation to the Program Managers of the development and maintenance of applications taken on by the Business Systems Support Office within the Office of Information Systems. The BSSO Portfolio Manager ensures proper methodology support is provided for BSSO application development projects and maintenance efforts. The BSSO Portfolio Manager also represents the application development and maintenance perspective within Office of Information Systems management and to other Offices or work groups within the Department as required.
- Project Manager - The Project Manager is accountable for maintaining project scope, cost, and schedule in accordance with the baselines established in the Project Plan. The Project Manager plans, assigns, and oversees the deliverables provided by team members.
- Contract Manager - A department employee responsible for enforcing performance of the contract terms and conditions, serving as liaison with the vendor and ensuring that the contractual terms have been complied with prior to processing the invoice for payment.
- Change Control Team (CCT) - Responsible for reviewing and determining the outcome of all change requests submitted to the project during the project life cycle. The CCT will meet as often as necessary, as changes are introduced throughout the project, to discuss potential impacts or changes to the scope, schedule or budget. If the CCT approves a change, the CCT must then seek authorization from the Executive Sponsor, Project Sponsor, BSSO Portfolio Manager, or combination of those stakeholders, depending on the type of impact the change will have on the project.
- Technical Review Board – Reviews technical components of the project to ensure alignment with scope, time, budget and quality.
- Project Risk Review Team – Prioritizes and ranks all risks identified for project, and agree on a risk response strategy for each identified risk.

E. Quality Assurance Plan:

FDOT follows standard practice Project Management principles to reduce the risks incurred by projects, ensure compliance with stated quality standards, and keep the project on track. This subsection describes a number of element of FDOT's quality assurance plan including:

- Communication Plan;
- Deliverables Review and Acceptance;
- Issue Management;
- Risk Management;
- Scope Change Management;
- Inspector General Participation;

- Internal Verification and Validation

- **Communication Plan**

Communication is important in all projects, and particularly on projects of this scale. Providing consistent, timely and appropriate communication keeps the project in the minds of all stakeholders. The following Communication methods are planned.

Item	Purpose	Frequency	Audience
Functional Steering Committee Meeting	Provide updates on project activities, issue and deadlines.	Weekly	Functional Steering Committee
Written Status Report	Provide update on project activities, issues and deadlines.	Weekly	All Project Team Members
Legislative Status Report	Provide update on project activities for all projects funded by a Budget Request.	Monthly	Legislative Members and Staff
Executive Status Report and Review Meeting	Monthly review of the project status and schedule with the Information Resource Management Leadership Team.	Monthly	Information Resource Management Leadership Team, Executive Sponsor, Project Sponsor, CIO, BSSO Portfolio Manager
Functional Group Status Presentations	Provide project status updates to existing functional teams that are affected by the project. Management Stakeholders will request time on the agenda of these existing meeting to provide status and answer questions.	As Needed	Statewide Teams that are affected by project.
Project 101 Presentation	Presentation that gives overview, purpose and objectives of project. Slide sets will be available with latest status as needed.	Available at all Times. Update as needed	Any FDOT Staff
Project FAQ	Provide list of answers to frequently asked questions.	Available at all Times. Update as needed	All FDOT Staff

- **Deliverables Review and Acceptance**

All deliverables are reviewed by the staff deemed most appropriate. Standard review teams will be established, by technology or business area, to provide a consistent review base. Project schedules must be established that provide time for deliverables review, and the following cycle of feedback and secondary review.

- **Issue Management**

Issues are problems that have occurred and/or exist on the project that need to be addressed with a decision.

- The Project Issue Management Process will be documented in the Issue Management section of the Project Management Plan. This plan will address:
 - What constitutes an issue?
 - Who can create or update issues?
 - How will issues be reported?
 - Where will issues be documented and tracked?
 - Who will receive/review the issues?
 - How/When will issues be reviewed?
 - How will issues be resolved?
 - How and when will unaddressed issues be escalated?
 - How will information be communicated?
- All Project Issues will be documented in the change control log and will be available and reviewable by all project members.
- The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Issue Management Process.
- Weekly Status Reports will track and provide status for all open project issues.

- **Change Management:**

Monitoring and controlling change is critical to the successful delivery of a project. Changes are inevitable. Any change to project scope, cost, and/or schedule will invoke the Change Control process.

- The Project Change Control Process will be documented in the Change Management section of the Project Management Plan.
- Any proposed changes will be documented using a change control form and tracked through the change control log.
- The change control log and form will be available and reviewable by all project members.
- The Project Manager will establish the Change Control Team (CCT).
- The CCT will meet as often as necessary to ensure changes are dealt with in a timely manner.
- The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Change

Management Process.

- Changes that are approved by the CCT will seek final approval from the appropriate staff and stakeholders.
- Weekly Status Reports will track and provide status for all open change requests.

F. Risk Management:

A key focus of risk management is to anticipate, identify, and address events or occurrences that, left unabated, could negatively impact the success of a project. Risk Management Plans define work products and processes for assessing and controlling risks. The process of Risk Management risk assessment, which comprises identifying, classifying, analyzing, and prioritizing risk; and risk monitoring and control, which comprises planning, tracking and reporting, reducing, and resolving risk.

This project will follow the department’s standard process for Risk Management. This includes:

- Identification of potential risks early in the planning phases. Potential Project Risks are provided in Exhibit VII-3 below.
- Establishing a formal Project Risk Review Team to evaluate risks on a scheduled basis.
- Establishing the method for analyzing and prioritizing risk.
- Review new or changing Risks at Weekly Project Status Meetings.
- Ensuring all Project Team Members are aware of the Risk Management process and how they are involved.

Exhibit VII-3 identifies potential risks identified to date to the successful delivery of the proposed project. FDOT will establish a formal risk register as part of the execution of the project and will regularly review and update the risk register throughout project planning and execution.

Exhibit VII-3: Inventory of Potential Risks

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization	Inconsistent processes and standards across FDOT business units could impact drive to standardize business processes	<ul style="list-style-type: none"> • Establish organizational change management program • Engage stakeholders from various agencies in defining process changes

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Change Management, Technology	Perception by various FDOT business units about apparent loss of tailored functionality	<ul style="list-style-type: none"> • Encourage early involvement by key business units • Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution • Ensure consistent and ongoing senior management support
Project Organization	Changes in FDOT executive management can impact program execution	<ul style="list-style-type: none"> • Immediately brief new management on program objectives and status • Implement Steering Committee to manage program with a mix of executive-level policymakers and senior-level career staff • Engage continuing Steering Committee members to assist in presenting program benefits to new management team members • Include career staff in key roles responsible for managing program execution for continuity

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Fiscal	Delay in obtaining funding for all or part of proposed program effort	<ul style="list-style-type: none"> Actively engage with stakeholders and policymakers to obtain approval Revisit budgets regularly; economic factors should be on agenda for discussion at Steering Committee meetings and other executive management briefings where appropriate Adjust program schedule as necessary based on timing of funding Identify activities that could continue in the interim (process analysis, etc.) to maintain momentum
Fiscal	Less funding than requested is approved for the program effort	<ul style="list-style-type: none"> Actively engage with stakeholders and policymakers to obtain approval Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate Adjust scope and/or program schedule as necessary based on timing of funding

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Complexity	Challenges in aligning project schedule with Department of Financial Services planned FLAIR replacement	<ul style="list-style-type: none"> • Initiate early discussions with the FLAIR team and continue dialogue throughout planning process • FDOT continues to actively participate in FLAIR replacement activities
Communication	Policy issues not resolved in a timely manner	<ul style="list-style-type: none"> • Initiate early discussions • Monitor and track resolution • Ensure management understands required timeline for resolution and cost/schedule impact of not resolving
Strategic	Desired business benefits not achieved	<ul style="list-style-type: none"> • Adhere to requirements, involve stakeholders and tie scope decisions to performance measures and anticipated benefits to ensure success • Incorporate business process training and mentoring into the work plan

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization	Staff not being able to participate in workshops or review deliverables within schedule	<ul style="list-style-type: none"> Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time Proactively identify resource constraints and escalate in a timely manor Re-assign some responsibilities of key extended team members Reprioritize some activities assigned to extended team members
Project Complexity	Project scope too large or complex and/or implementation strategy attempts to implement too much at one time	<ul style="list-style-type: none"> Establish implementation plan, carefully develop the plan and link it to expected business benefits Link project scope to business benefits Careful review by FDOT Steering Committee of requirements and implementation plan before approving implementation go-ahead Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization, Project Management	Availability of FDOT resources (business and technical) to support implementation	<ul style="list-style-type: none"> • Develop detailed estimates of resource requirements as early as possible as part of planning • Develop an implementation strategy and work plan that is in sync with availability of FDOT resources • Obtain specific commitment of resources from FDOT management prior to start of implementation
Project Complexity, Project Management	Need to provide large number of employees with training on various new system functions	<ul style="list-style-type: none"> • Initiate organizational change management program from start of program • Develop training strategy for each project component early and monitor status of training effort closely
Project Complexity	State or Federal Mandates related to the Transportation Finance Life Cycle may introduce changes to the project.	<ul style="list-style-type: none"> • Identify staff that are most likely to be informed of such mandates. Establish protocol for their reporting these mandates. • Establish contingency funding to address unplanned mandated changes.

An additional Risk Management tool will involve the use of independent audit and review. This will be completed by internal and external staff.

- **Office of Inspector General Involvement (Internal Review):** A first layer of independent review will be provided by FDOT’s Office of Inspector General (OIG). The PMO Office and OIG Staff will establish protocols and expectations for OIG involvement.
- **Independent Verification & Validation (IV&V) (External Review):** A second layer of independent review will be provided through involved with a third-party vendor experienced in verification and validation in the specific area(s) required.

G. Implementation Plan

The Implementation Phase will be defined as the project progresses.

H. Project Staffing and Continuity

Providing adequate resources for a project of this size is critical for project success. Functional Coordinators, Functional/Subject Matter Experts and IT technical Staff will all be expected to spend a considerable amount of time involved in the project.

It is expected that significant representation will be need for the project from the following areas:

- Highway Operations, including Engineering, Maintenance, Traffic Operations, Bridge Management and Local Programs.
- Transportation Systems Development, including Engineering, Planning, Environmental Management, Right of Way and Modal Systems.
- Executive Direction, including Finance and Administration, Performance Management and the Legal staff
- Information Technology
- Turnpike Enterprise
- Rail Enterprise.

To ensure that day-to-day work proceeds during this effort; the Legislative Budget Request includes funding to address staffing. The department plans to use a combination of staff augmentation and additional FTEs to backfill for personnel that have been assigned to the project. Additional information will be provided as the project progresses.

VIII. Appendices

The following appendices are provided as separate documents.

Appendix A: Cost Benefit Analysis

Appendix B: Risk Assessment Tool

CBAForm 1 - Net Tangible Benefits

Agency Department of Transportation Project ork Program Integration Initiat

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)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs (including PDC services)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	

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

Department of Transportation Work Program Integration Initiative
 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.

CBAForm 2A Baseline Project Budget

Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	FY2015-16		FY2016-17		FY2017-18		FY2018-19		FY2019-20		TOTAL		
				\$ 1,087,920		\$ 3,816,119		\$ -		\$ -		\$ -		\$ 4,904,039		
				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 #
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Staff Costs for Staff Augmentation: Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ 255,920	0.00	\$ 783,180	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ 1,039,100
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Independent verification and validation services (IV&V): Project oversight (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ 662,400	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ 662,400
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	\$ -	\$ -	\$ -	\$ -
Needs Assessment Consultant: To complete Needs Assessment/Feasibility Study.	Project Planning/Analysis	Contracted Services	\$ 832,000	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ 832,000
Pre-Implementation Planning Consultant: For Detailed Requirements.	Project Planning/Analysis	Contracted Services	\$ -	0.00	\$ 1,967,328	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ 1,967,328
Hardware purchases not included in Primary Data Center services.	Hardware	OCO	\$ -	0.00	\$ -	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
All first-time training costs associated with the project.	Training	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
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	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Third Party Support: Services for integration with other existing systems which are supported by vendors.	Other Services	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
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	\$ -	0.00	\$ -	\$ -	0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	0.00	\$ -	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -	\$ -
Contingency: Item includes both contingency (known-unknown) and management reserve (unknown-unknown)	Other Expenses	Expense		0.00	\$ 403,211		0.00	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ 403,211
Total			\$ 1,087,920	0.00	\$ 3,816,119	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 4,904,039

Agency	<u>Department of Transportation</u>	Project	<u>Work Program Integration Initiative</u>
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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 (*)	\$3,816,119	\$0	\$0	\$0	\$0	\$4,904,039
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$4,904,039	\$4,904,039	\$4,904,039	\$4,904,039	\$4,904,039	
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	\$3,816,119	\$0	\$0	\$0	\$0	\$3,816,119
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$3,816,119	\$0	\$0	\$0	\$0	\$3,816,119
CUMULATIVE INVESTMENT	\$3,816,119	\$3,816,119	\$3,816,119	\$3,816,119	\$3,816,119	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level		
Order of Magnitude	Confidence Level	10%	
Placeholder	Confidence Level		

CBAForm 3 - Project Investment Summary

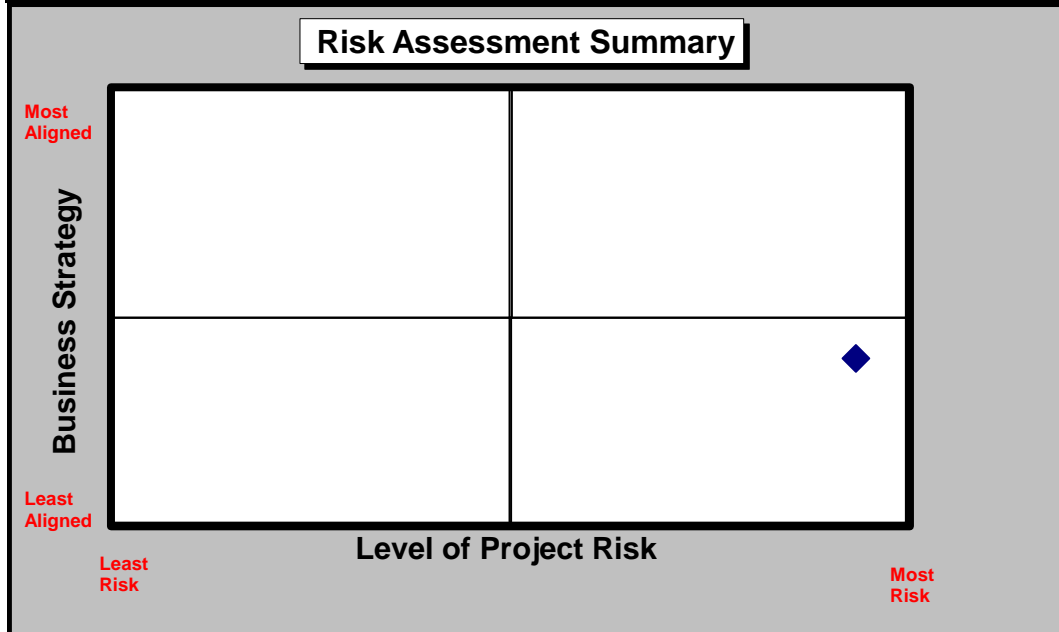
Agency	<u>Department of Transportation</u>	Project	<u>rk Program Integration Initia</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	TOTAL FOR ALL YEARS
Project Cost	\$3,816,119	\$0	\$0	\$0	\$0	\$4,904,039
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$4,904,039)	\$0	\$0	\$0	\$0	(\$4,904,039)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$4,810,711)	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%

Project	<i>Work Program Integration Initiative</i>	
Agency	<i>Transportation</i>	
FY 2014-15 LBR Issue Code:	FY 2014-15 LBR Issue Title:	
<i>Issue Code</i>	<i>Issue Title</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Stephanie Tanner, (850) 410-5563, Stephanie.Tanner@dot.state.fl.us</i>		
Executive Sponsor	<i>Brian Peters</i>	
Project Manager	<i>Stephanie Tanner</i>	
Prepared By	<i>Stephanie Tanner</i>	<i>9/15/2014</i>



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

Agency: Transportation

Project: Work Program Integration Initiative

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is partially 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	0% to 40% -- Few or none 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	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 3 and 5 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Transportation

Project: Work Program Integration Initiative

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	Read about only or attended conference and/or vendor presentation
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed 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	Some 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	Moderate infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are defined only at a conceptual level
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Transportation

Project: Work Program Integration Initiative

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 defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	No experience/Not recently (>5 Years)
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

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	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	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
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	No
		No	

Agency: Transportation

Project: Work Program Integration Initiative

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

Project: Work Program Integration Initiative

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	No
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	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	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Few or no staff from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
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	

Agency: Transportation

Project: Work Program Integration Initiative

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	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	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been 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	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	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	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been 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	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	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	
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 and executive steering committee use formal status reporting processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

Agency: Transportation

Project: Work Program Integration Initiative

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	More than 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	Greater than 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	Agency-wide business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	No
		No	
8.09	What type of project is this?	Infrastructure upgrade	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	

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entities: 55100100 - Transportation Systems Development
 55150200 - Highway Operations

Budget Period 2015 - 2016

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (A)	83,451,763	83,645,803	88,651,959
Principal (B)	84,650,000	82,265,000	87,555,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	191,624	186,240	193,886
Other Debt Service (E)	0	0	0
Total Debt Service (F)	168,293,387	166,097,042	176,400,845

Explanation: Total combined debt service for outstanding Alligator Alley, ROW Acquisition, Seaport, and State-funded Infrastructure Bank, and proposed issuance of ROW Acquisition and State-funded Infrastructure Bank.

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

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (A)	1,707,250	1,620,250	1,528,750
Principal (B)	1,740,000	1,830,000	1,920,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,747	3,581	3,398
Other Debt Service (E)	0	0	0
Total Debt Service (F)	3,450,997	3,453,831	3,452,148

Explanation: Combined total debt service for outstanding Alligator Alley bonds and proposed bond sales.

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1) <u>SECTION I</u>	(2) ACTUAL FY 2013-2014	(3) ESTIMATED FY 2014-2015	(4) REQUEST FY 2015-2016
Interest on Debt (A)	1,707,250	1,620,250	1,528,750
Principal (B)	1,740,000	1,830,000	1,920,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,747	3,581	3,398
Other Debt Service (E)	0	0	0
Total Debt Service (F)	3,450,997	3,453,831	3,452,148

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

SECTION II

(1) ISSUE:

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2015	(6) June 30, 2016
		(7) ACTUAL FY 2013-2014	(8) ESTIMATED FY 2014-2015	(9) REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt	(A) 0	0	0
Principal	(B) 0	0	0
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 0	0	0
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 0	0	0

Explanation: Total debt service for proposed Alligator Alley bond sales.

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

(1) ISSUE: _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2014-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt	(A) 75,867,153	72,634,146	75,113,240
Principal	(B) 66,005,000	68,205,000	72,970,000
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 177,069	171,021	174,456
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 142,049,221	141,010,167	148,257,696

Explanation: Combined total debt service for outstanding Right-of-Way Acquisition and Bridge Construction bonds and proposed bond sales.

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1) <u>SECTION I</u>	(2) ACTUAL FY 2013-2014	(3) ESTIMATED FY 2014-2015	(4) REQUEST FY 2015-2016
Interest on Debt	(A) 75,867,153	72,634,146	69,216,328
Principal	(B) 66,005,000	68,205,000	71,615,000
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 177,069	171,021	164,201
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 142,049,221	141,010,167	140,995,528

Explanation:

Total debt service requirements for outstanding Right-of-Way Acquisition
and Bridge Construction bonds.

SECTION II

(1) ISSUE:

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2015	(6) June 30, 2016
		(7) ACTUAL FY 2013-2014	(8) ESTIMATED FY 2014-2015	(9) REQUEST FY 2015-2016
		(G) 0	0	0
		(H) 0	0	0
		(I) 0	0	0
		(J) 0	0	0
		(K) 0	0	0

(1) ISSUE:

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2015	(6) June 30, 2016
		(7) ACTUAL FY 2013-2014	(8) ESTIMATED FY 2014-2015	(9) REQUEST FY 2015-2016
		(G) 0	0	0
		(H) 0	0	0
		(I) 0	0	0
		(J) 0	0	0
		(K) 0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1) <u>SECTION I</u>	(2) ACTUAL FY 2013-2014	(3) ESTIMATED FY 2014-2015	(4) REQUEST FY 2015-2016
Interest on Debt (A)	0	0	5,896,913
Principal (B)	0	0	1,355,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	10,256
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	0	7,262,168

Explanation: Total debt service for proposed Right-of-Way Acquisition and Bridge Construction bond sales.

SECTION II

(1) **ISSUE:** Proposed Right-of-Way and Bridge Construction bond sale 7/1/2015 (ROW2015A)

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2015	(6) June 30, 2016
5.750%	7/1/2045	102,555,000	0	101,200,000
		(7) ACTUAL FY 2013-2014	(8) ESTIMATED FY 2014-2015	(9) REQUEST FY 2015-2016
Interest on Debt (G)		0	0	5,896,913
Principal (H)		0	0	1,355,000
Fiscal Agent or Other Fees (I)		0	0	10,256
Other (J)		0	0	0
Total Debt Service (K)		0	0	7,262,168

(1) **ISSUE:**

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Advanced Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.
2. The source of repayment of the debt or obligation: Funded from monies transferred from the State Transportation Trust Fund, pursuant to Section 206.46 and 215.605, Florida Statutes.
3. The principal amount of the debt or obligation: \$102,555,000
4. The interest rate on the debt or obligation (per EEC): 5.750%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$2,051,100</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$425,000</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$102,555,000 of debt or obligation for the purpose of the Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.750%, total interest paid over the life of the debt or obligation will be \$115,019,550.

The proposed issuance date is 7/1/2015.

SBA-FDOT
 ROW2015A
 Construction Draws
 \$102,555,000.00

Dated: 07/01/2015
 Delivered: 07/01/2015

Drw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Requirement	Draw Debt Service	Net Balance	Ending
ROW2015A ROW2015A yielding 2.0000000% : Net-Funded										
0	07-01-2015		DEPOSIT						99,999,994.04	
1	07-01-2015	0.0	DRAWS			100,000,000.00		100,000,000.00	-5.96	
Totals For ROW2015A				0.00	0.00	0.00	100,000,000.00	100,000,000.00		
Prior Project Costs:				0.00						
Grand Totals For All Projects:					0.00	0.00	100,000,000.00	100,000,000.00		
Total Prior Costs:				0.00						

SBA-FDOT

ROW2015A

Sizing Debt Service Schedule

\$102,555,000.00

Dated: 07/01/2015

Delivered: 07/01/2015

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
16	1/1/2016				2,948,456.25	2,948,456.25				2,948,456.25	
16	7/1/2016	N	5.750	1,355,000.00	2,948,456.25	4,303,456.25				4,303,456.25	7,251,912.50
17	1/1/2017				2,909,500.00	2,909,500.00				2,909,500.00	
17	7/1/2017	N	5.750	1,435,000.00	2,909,500.00	4,344,500.00				4,344,500.00	7,254,000.00
18	1/1/2018				2,868,243.75	2,868,243.75				2,868,243.75	
18	7/1/2018	N	5.750	1,515,000.00	2,868,243.75	4,383,243.75				4,383,243.75	7,251,487.50
19	1/1/2019				2,824,687.50	2,824,687.50				2,824,687.50	
19	7/1/2019	N	5.750	1,605,000.00	2,824,687.50	4,429,687.50				4,429,687.50	7,254,375.00
20	1/1/2020				2,778,543.75	2,778,543.75				2,778,543.75	
20	7/1/2020	N	5.750	1,695,000.00	2,778,543.75	4,473,543.75				4,473,543.75	7,252,087.50
21	1/1/2021				2,729,812.50	2,729,812.50				2,729,812.50	
21	7/1/2021	N	5.750	1,790,000.00	2,729,812.50	4,519,812.50				4,519,812.50	7,249,625.00
22	1/1/2022				2,678,350.00	2,678,350.00				2,678,350.00	
22	7/1/2022	N	5.750	1,895,000.00	2,678,350.00	4,573,350.00				4,573,350.00	7,251,700.00
23	1/1/2023				2,623,868.75	2,623,868.75				2,623,868.75	
23	7/1/2023	N	5.750	2,005,000.00	2,623,868.75	4,628,868.75				4,628,868.75	7,252,737.50
24	1/1/2024				2,566,225.00	2,566,225.00				2,566,225.00	
24	7/1/2024	N	5.750	2,120,000.00	2,566,225.00	4,686,225.00				4,686,225.00	7,252,450.00
25	1/1/2025				2,505,275.00	2,505,275.00				2,505,275.00	
25	7/1/2025	N	5.750	2,240,000.00	2,505,275.00	4,745,275.00				4,745,275.00	7,250,550.00
26	1/1/2026				2,440,875.00	2,440,875.00				2,440,875.00	
26	7/1/2026	N	5.750	2,370,000.00	2,440,875.00	4,810,875.00				4,810,875.00	7,251,750.00
27	1/1/2027				2,372,737.50	2,372,737.50				2,372,737.50	
27	7/1/2027	N	5.750	2,505,000.00	2,372,737.50	4,877,737.50				4,877,737.50	7,250,475.00
28	1/1/2028				2,300,718.75	2,300,718.75				2,300,718.75	
28	7/1/2028	N	5.750	2,650,000.00	2,300,718.75	4,950,718.75				4,950,718.75	7,251,437.50
29	1/1/2029				2,224,531.25	2,224,531.25				2,224,531.25	
29	7/1/2029	N	5.750	2,805,000.00	2,224,531.25	5,029,531.25				5,029,531.25	7,254,062.50
30	1/1/2030				2,143,887.50	2,143,887.50				2,143,887.50	
30	7/1/2030	N	5.750	2,965,000.00	2,143,887.50	5,108,887.50				5,108,887.50	7,252,775.00
31	1/1/2031				2,058,643.75	2,058,643.75				2,058,643.75	
31	7/1/2031	N	5.750	3,135,000.00	2,058,643.75	5,193,643.75				5,193,643.75	7,252,287.50
32	1/1/2032				1,968,512.50	1,968,512.50				1,968,512.50	
32	7/1/2032	N	5.750	3,315,000.00	1,968,512.50	5,283,512.50				5,283,512.50	7,252,025.00
33	1/1/2033				1,873,206.25	1,873,206.25				1,873,206.25	
33	7/1/2033	N	5.750	3,505,000.00	1,873,206.25	5,378,206.25				5,378,206.25	7,251,412.50
34	1/1/2034				1,772,437.50	1,772,437.50				1,772,437.50	
34	7/1/2034	N	5.750	3,710,000.00	1,772,437.50	5,482,437.50				5,482,437.50	7,254,875.00
35	1/1/2035				1,665,775.00	1,665,775.00				1,665,775.00	
35	7/1/2035	N	5.750	3,920,000.00	1,665,775.00	5,585,775.00				5,585,775.00	7,251,550.00
36	1/1/2036				1,553,075.00	1,553,075.00				1,553,075.00	
36	7/1/2036	N	5.750	4,145,000.00	1,553,075.00	5,698,075.00				5,698,075.00	7,251,150.00
37	1/1/2037				1,433,906.25	1,433,906.25				1,433,906.25	
37	7/1/2037	N	5.750	4,385,000.00	1,433,906.25	5,818,906.25				5,818,906.25	7,252,812.50
38	1/1/2038				1,307,837.50	1,307,837.50				1,307,837.50	
38	7/1/2038	N	5.750	4,635,000.00	1,307,837.50	5,942,837.50				5,942,837.50	7,250,675.00
39	1/1/2039				1,174,581.25	1,174,581.25				1,174,581.25	
39	7/1/2039	N	5.750	4,905,000.00	1,174,581.25	6,079,581.25				6,079,581.25	7,254,162.50
40	1/1/2040				1,033,562.50	1,033,562.50				1,033,562.50	
40	7/1/2040	N	5.750	5,185,000.00	1,033,562.50	6,218,562.50				6,218,562.50	7,252,125.00
41	1/1/2041				884,493.75	884,493.75				884,493.75	
41	7/1/2041	N	5.750	5,485,000.00	884,493.75	6,369,493.75				6,369,493.75	7,253,987.50
42	1/1/2042				726,800.00	726,800.00				726,800.00	
42	7/1/2042	N	5.750	5,800,000.00	726,800.00	6,526,800.00				6,526,800.00	7,253,600.00

SBA-FDOT

ROW2015A

Sizing Debt Service Schedule

\$102,555,000.00

Dated:

07/01/2015

Delivered:

07/01/2015

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annul Dbt Svc	Cap Int	Dbt Svc Rsv Int & Prin	Constr. Fund Interest	Net Semi-Annul Dbt Svc	Net Fiscal Dbt Svc
43	1/1/2043				560,050.00	560,050.00				560,050.00	
43	7/1/2043	N	5.750	6,130,000.00	560,050.00	6,690,050.00				6,690,050.00	7,250,100.00
44	1/1/2044				383,812.50	383,812.50				383,812.50	
44	7/1/2044	N	5.750	6,485,000.00	383,812.50	6,868,812.50				6,868,812.50	7,252,625.00
45	1/1/2045				197,368.75	197,368.75				197,368.75	
45	7/1/2045	N	5.750	6,665,000.00	197,368.75	7,062,368.75				7,062,368.75	7,259,737.50
				102,555,000.00	115,019,550.00	217,574,550.00	0.00	0.00	0.00	217,574,550.00	

True Interest Cost (TIC)
 Net Interest Cost (NIC)

5.9355684
5.8525376

Arbitrage Yield Limit (AYL)
 Arbitrage Net Interest Cost (ANIC)

5.7500000
5.7500000

Summary of Sizing Inputs

\$102,555,000.00

General Information

1st Month in FY: 1
Denomination: 5000.
Rate scale: 5.75%
Issue type: REVENUE
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
-> Proportionally level debt service in stub period.

Dates

07/01/2015-> Dated (bond issue) date
07/01/2015-> Delivery date
01/01/2016-> 1st coupon date
07/01/2016-> First principal payment
07/01/2045-> Last maturity date
No CABS in bond issue

Gross Construction Costs

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

Restricted Accounts

DSR rule: No debt service reserve fund	
No capitalized interest	
Restricted yield = 2.000000%	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	3,904.37

Costs of Issuance

Underwriter spread: 20.000:\$1,000	-2,051,100.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	500,000.00

ROW2015A

Summary of Sizing Calculations

\$102,555,000.00

Sources of Funds

Par amount of bonds	102,555,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	100,000,000.00
Less: interest earned in fund & applied to project draws	-5.96
Prior costs to be paid from bond proceeds	
Gross Construction Costs	99,999,994.04

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	3,904.37

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-2,051,100.00
Bond insurance: 0.000%	
Other issuance costs	500,000.00

Calculations

Net Interest Cost (NIC)	5.8525376
True Interest Cost (TIC)	5.9355684
All-Inclusive TIC:	5.9817079
Arbitrage Net Interest Cost (NIC)	5.7500000
Arbitrage Yield Limit (AYL)	5.7500000
Total Bond Years (delivery date)	2,000,340,000.00
Average Bond Years (Delivery date)	19.51
Level debt service calculation	7,252,105.78

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (A)	2,386,755	6,436,300	6,329,050
Principal (B)	6,195,000	2,145,000	2,250,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,747	3,581	3,366
Other Debt Service (E)	0	0	0
Total Debt Service (F)	8,585,501	8,584,881	8,582,416

Explanation:

Combined total debt service of up to \$10 million annually for proposed
 Seaport bond sales, as authorized by Laws of Florida, Chapter 2012-128.
 *Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
(7)	(8)	(9)		
ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1) <u>SECTION I</u>	(2) ACTUAL FY 2013-2014	(3) ESTIMATED FY 2014-2015	(4) REQUEST FY 2015-2016
Interest on Debt (A)	2,386,755	6,436,300	6,329,050
Principal (B)	6,195,000	2,145,000	2,250,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,747	3,581	3,366
Other Debt Service (E)	0	0	0
Total Debt Service (F)	8,585,501	8,584,881	8,582,416

Explanation: Total debt service requirements for outstanding Seaport bonds.

SECTION II

(1) ISSUE:

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2015	(6) June 30, 2016
		(7) ACTUAL FY 2013-2014	(8) ESTIMATED FY 2014-2015	(9) REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt	(A) 0	0	0
Principal	(B) 0	0	0
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 0	0	0
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 0	0	0

Explanation: Total debt service for proposed Seaport bond sales, as authorized by
Laws of Florida, Chapter 2012-128.

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		0	0	0
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
 Budget Entity: 55150200 - Highway Operations

Budget Period 2015 - 2016

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2013-2014	FY 2014-2015	FY 2015-2016
Interest on Debt (A)	3,490,606	2,955,106	5,680,919
Principal (B)	10,710,000	10,085,000	10,415,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	7,062	8,058	12,667
Other Debt Service (E)	0	0	0
Total Debt Service (F)	14,207,668	13,048,164	16,108,585

Explanation: Combined total debt service for outstanding State-funded Infrastructure Bank bonds and proposed bond sales.

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

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2013-2014	FY 2014-2015	FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2013-2014	FY 2014-2015	FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
 Budget Entity: 55150200 - Highway Operations

Budget Period 2015 - 2016

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (A)	3,490,606	2,955,106	2,450,856
Principal (B)	10,710,000	10,085,000	8,845,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	7,062	8,058	7,049
Other Debt Service (E)	0	0	0
Total Debt Service (F)	14,207,668	13,048,164	11,302,905

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

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
 Budget Entity: 55150200 - Highway Operations

Budget Period 2015 - 2016

(1) <u>SECTION I</u>	(2) ACTUAL FY 2013-2014	(3) ESTIMATED FY 2014-2015	(4) REQUEST FY 2015-2016
Interest on Debt (A)	0	0	3,230,063
Principal (B)	0	0	1,570,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	5,618
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	0	4,805,680

Explanation:

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

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

SECTION II

(1) ISSUE: Proposed State-funded Infrastructure Bank bond sale 7/1/2015 (SIB2015A)

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2015	(6) June 30, 2016
5.750%	7/1/2035	56,175,000	0	54,605,000
(7) ACTUAL FY 2013-2014	(8) ESTIMATED FY 2014-2015	(9) REQUEST FY 2015-2016		
Interest on Debt (G)	0	0	3,230,063	
Principal (H)	0	0	1,570,000	
Fiscal Agent or Other Fees (I)	0	0	5,618	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	4,805,680	

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: The State-funded Infrastructure Bank, as authorized by Section 339.55, Florida Statutes.
2. The source of repayment of the debt or obligation: Repayment Stream of the loan portfolio of the State-funded Infrastructure Bank.
3. The principal amount of the debt or obligation: \$56,175,000
4. The interest rate on the debt or obligation (per EEC): 5.750%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$1,123,500</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$175,000</u>
<u>Deposit into DSR Account</u>	<u>\$4,801,050</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$56,175,000 of debt or obligation for the purpose of the State-funded Infrastructure Bank, as authorized by Section 339.55, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 20 years. At a forecasted interest rate of 5.750%, total interest paid over the life of the debt or obligation will be \$39,794,313.

The proposed issuance date is 7/1/2015.

SBA-FDOT
 SIB2015A
 Construction Draws
 \$56,175,000.00

Dated: 07/01/2015
 Delivered: 07/01/2015

Drw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Earnings Requirement	Draw Debt Service	Net Balance	Ending
SIB2015A SIB2015A yielding 2.000000% : Net-Funded										
0	07-01-2015		DEPOSIT						49,999,994.04	
1	07-01-2015	0.0	DRAWS				50,000,000.00	50,000,000.00	-5.96	
Totals For SIB2015A				0.00	0.00	0.00	50,000,000.00	50,000,000.00		
Prior Project Costs:				0.00						
Grand Totals For All Projects:					0.00	0.00	50,000,000.00	50,000,000.00		
Total Prior Costs:				0.00						

SBA-FDOT

SIB2015A

Sizing Debt Service Schedule

\$56,175,000.00

Dated: 07/01/2015

Delivered: 07/01/2015

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annal Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annal Dbt Svc	Net Fiscal Dbt Svc
16	1/1/2016				1,615,031.25	1,615,031.25		48,010.50		1,567,020.75	
16	7/1/2016	N	5.750	1,570,000.00	1,615,031.25	3,165,031.25		48,010.50		3,137,020.75	4,704,041.50
17	1/1/2017				1,569,893.75	1,569,893.75		48,010.50		1,521,883.25	
17	7/1/2017	N	5.750	1,660,000.00	1,569,893.75	3,229,893.75		48,010.50		3,181,883.25	4,703,766.50
18	1/1/2018				1,522,168.75	1,522,168.75		48,010.50		1,474,158.25	
18	7/1/2018	N	5.750	1,755,000.00	1,522,168.75	3,277,168.75		48,010.50		3,229,158.25	4,703,316.50
19	1/1/2019				1,471,712.50	1,471,712.50		48,010.50		1,423,702.00	
19	7/1/2019	N	5.750	1,855,000.00	1,471,712.50	3,326,712.50		48,010.50		3,278,702.00	4,702,404.00
20	1/1/2020				1,418,381.25	1,418,381.25		48,010.50		1,370,370.75	
20	7/1/2020	N	5.750	1,960,000.00	1,418,381.25	3,378,381.25		48,010.50		3,330,370.75	4,700,741.50
21	1/1/2021				1,362,031.25	1,362,031.25		48,010.50		1,314,020.75	
21	7/1/2021	N	5.750	2,075,000.00	1,362,031.25	3,437,031.25		48,010.50		3,389,020.75	4,703,041.50
22	1/1/2022				1,302,375.00	1,302,375.00		48,010.50		1,254,364.50	
22	7/1/2022	N	5.750	2,195,000.00	1,302,375.00	3,497,375.00		48,010.50		3,449,364.50	4,703,729.00
23	1/1/2023				1,239,268.75	1,239,268.75		48,010.50		1,191,258.25	
23	7/1/2023	N	5.750	2,320,000.00	1,239,268.75	3,559,268.75		48,010.50		3,511,258.25	4,702,516.50
24	1/1/2024				1,172,568.75	1,172,568.75		48,010.50		1,124,558.25	
24	7/1/2024	N	5.750	2,455,000.00	1,172,568.75	3,627,568.75		48,010.50		3,579,558.25	4,704,116.50
25	1/1/2025				1,101,987.50	1,101,987.50		48,010.50		1,053,977.00	
25	7/1/2025	N	5.750	2,595,000.00	1,101,987.50	3,696,987.50		48,010.50		3,648,977.00	4,702,954.00
26	1/1/2026				1,027,381.25	1,027,381.25		48,010.50		979,370.75	
26	7/1/2026	N	5.750	2,745,000.00	1,027,381.25	3,772,381.25		48,010.50		3,724,370.75	4,703,741.50
27	1/1/2027				948,462.50	948,462.50		48,010.50		900,452.00	
27	7/1/2027	N	5.750	2,900,000.00	948,462.50	3,848,462.50		48,010.50		3,800,452.00	4,700,904.00
28	1/1/2028				865,087.50	865,087.50		48,010.50		817,077.00	
28	7/1/2028	N	5.750	3,070,000.00	865,087.50	3,935,087.50		48,010.50		3,887,077.00	4,704,154.00
29	1/1/2029				776,825.00	776,825.00		48,010.50		728,814.50	
29	7/1/2029	N	5.750	3,245,000.00	776,825.00	4,021,825.00		48,010.50		3,973,814.50	4,702,629.00
30	1/1/2030				683,531.25	683,531.25		48,010.50		635,520.75	
30	7/1/2030	N	5.750	3,430,000.00	683,531.25	4,113,531.25		48,010.50		4,065,520.75	4,701,041.50
31	1/1/2031				584,918.75	584,918.75		48,010.50		536,908.25	
31	7/1/2031	N	5.750	3,625,000.00	584,918.75	4,209,918.75		48,010.50		4,161,908.25	4,698,816.50
32	1/1/2032				480,700.00	480,700.00		48,010.50		432,689.50	
32	7/1/2032	N	5.750	3,835,000.00	480,700.00	4,315,700.00		48,010.50		4,267,689.50	4,700,379.00
33	1/1/2033				370,443.75	370,443.75		48,010.50		322,433.25	
33	7/1/2033	N	5.750	4,055,000.00	370,443.75	4,425,443.75		48,010.50		4,377,433.25	4,699,866.50
34	1/1/2034				253,862.50	253,862.50		48,010.50		205,852.00	
34	7/1/2034	N	5.750	4,290,000.00	253,862.50	4,543,862.50		48,010.50		4,495,852.00	4,701,704.00
35	1/1/2035				130,525.00	130,525.00		48,010.50		82,514.50	
35	7/1/2035	N	5.750	4,540,000.00	130,525.00	4,670,525.00		4,849,060.50		-178,535.50	-96,021.00
				56,175,000.00	39,794,312.50	95,969,312.50	0.00	6,721,470.00	0.00	89,247,842.50	

True Interest Cost (TIC).....
 Net Interest Cost (NIC).....

5.9951905
 5.9123379

Arbitrage Yield Limit (AYL).....
 Arbitrage Net Interest Cost (ANIC).....

5.7500000
 5.7500000

Summary of Sizing Inputs

\$56,175,000.00

General Information

1st Month in FY: 1
 Denomination: 5000.
 Rate scale: 5.75%
 Issue type: REVENUE
 Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
 -> Proportionally level debt service in stub period.

Dates

07/01/2015-> Dated (bond issue) date
 07/01/2015-> Delivery date
 01/01/2016-> 1st coupon date
 07/01/2016-> First principal payment
 07/01/2035-> Last maturity date
 No CABS in bond issue

Gross Construction Costs

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

Restricted Accounts

DSR rule: Maximum yearly debt service	
No capitalized interest	
Restricted yield = 2.000000%	
Net deposit to Debt Service Reserve Fund	4,801,050.00
Net deposit to Contingency Fund	401.84

Costs of Issuance

Underwriter spread: 20.000:\$1,000	-1,123,500.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	250,000.00

SIB2015A

Summary of Sizing Calculations

\$56,175,000.00

Sources of Funds

Par amount of bonds	56,175,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	50,000,000.00
Less: interest earned in fund & applied to project draws	-5.96
Prior costs to be paid from bond proceeds	
Gross Construction Costs	49,999,994.04

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	4,801,050.00
Net deposit to Contingency Fund	401.84

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-1,123,500.00
Bond insurance: 0.000%	
Other issuance costs	250,000.00
Rounding due to denomination size	54.12

Calculations

Net Interest Cost (NIC)	5.9123379
True Interest Cost (TIC)	5.9951905
All-Inclusive TIC:	6.0507731
Arbitrage Net Interest Cost (NIC)	5.7500000
Arbitrage Yield Limit (AYL)	5.7500000
Total Bond Years (delivery date)	692,075,000.00
Average Bond Years (Delivery date)	12.32
Level debt service calculation	4,798,406.81

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation

Budget Period 2015 - 2016

Budget Entity: 55180100 - Florida Turnpike Enterprise

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt	(A) 133,240,091	156,185,543	161,915,778
Principal	(B) 111,425,000	125,360,000	133,845,000
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 284,269	329,397	327,784
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 244,949,360	281,874,939	296,088,562

Explanation:

Combined total debt service for outstanding Turnpike bonds and proposed bond sales.

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

*Note: Amounts are not adjusted for BABs subsidies.

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		(7)	(8)	(9)
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1) SECTION I	(2) ACTUAL FY 2013-2014	(3) ESTIMATED FY 2014-2015	(4) REQUEST FY 2015-2016
Interest on Debt (A)	133,240,091	137,608,826	133,255,191
Principal (B)	111,425,000	120,990,000	127,045,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	284,269	280,936	268,837
Other Debt Service (E)			
Total Debt Service (F)	244,949,360	258,879,762	260,569,027

Explanation:

Total debt service requirements for outstanding Florida Turnpike bonds.

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

*Note: 'Interest on Debt' includes a reduction of about \$5 million in BABs subsidies.

SECTION II

(1) ISSUE:

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2015	(6) June 30, 2016
		(7) ACTUAL FY 2013-2014	(8) ESTIMATED FY 2014-2015	(9) REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2015 - 2016

(1) <u>SECTION I</u>	(2) ACTUAL FY 2013-2014	(3) ESTIMATED FY 2014-2015	(4) REQUEST FY 2015-2016
Interest on Debt (A)	0	18,576,717	28,660,588
Principal (B)	0	4,370,000	6,800,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	48,461	58,947
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	22,995,178	35,519,535

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

SECTION II

(1) **ISSUE:** Proposed Turnpike bond sale 11/1/2014 (TPK2014B)

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2015	(6) June 30, 2016
5.750%	7/1/2044	484,610,000	480,240,000	473,440,000
		(7) ACTUAL FY 2013-2014	(8) ESTIMATED FY 2014-2015	(9) REQUEST FY 2015-2016
Interest on Debt (G)		0	18,576,717	27,613,800
Principal (H)		0	4,370,000	6,800,000
Fiscal Agent or Other Fees (I)		0	48,461	48,024
Other (J)		0	0	0
Total Debt Service (K)		0	22,995,178	34,461,824

(1) **ISSUE:** Proposed Turnpike bond sale 5/1/2016 (TPK2016A)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2015	June 30, 2016
5.750%	7/1/2046	109,230,000	0	109,230,000
		ACTUAL FY 2013-2014	ESTIMATED FY 2014-2015	REQUEST FY 2015-2016
Interest on Debt (G)		0	0	1,046,788
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	10,923
Other (J)		0	0	0
Total Debt Service (K)		0	0	1,057,711

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: The Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Turnpike System.
3. The principal amount of the debt or obligation: \$484,610,000
4. The interest rate on the debt or obligation (per EEC): 5.750%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$9,692,200</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$2,118,645</u>
<u>Deposit into DSR Account</u>	<u>\$34,417,963</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$484,610,000 of debt or obligation for the purpose of the Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.750%, total interest paid over the life of the debt or obligation will be \$536,384,629.

The proposed issuance date is 11/1/2014.

SBA-FDOT
 TPK2014B
 Construction Draws
 \$484,610,000.00

Dated: 11/01/2014
 Delivered: 11/01/2014

Drw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Requirement	Draw Debt Service	Net Balance	Ending
TPK2014B TPK2014B yielding 0.5000000% : Net-Funded										
0	11-01-2014		DEPOSIT						438,303,377.96	
1	11-01-2014	0.0	DRAWS				146,243,000.00	146,243,000.00	292,060,377.96	
2	12-01-2014	0.30	DRAWS		121,565.26		48,747,666.67	48,626,101.41	243,434,276.55	
3	01-01-2015	0.30	DRAWS		101,325.45		48,747,666.67	48,646,341.22	194,787,935.33	
4	02-01-2015	0.30	DRAWS		91,077.23		48,747,666.67	48,666,589.44	146,121,345.89	
5	03-01-2015	0.30	DRAWS		60,820.57		48,747,666.67	48,686,846.10	97,434,499.79	
6	04-01-2015	0.30	DRAWS		40,555.48		48,747,666.67	48,707,111.19	48,727,388.60	
7	05-01-2015	0.30	DRAWS		20,281.96		48,747,666.67	48,727,384.71	3.89	
Totals For TPK2014B				0.00	425,625.95	0.00	438,729,000.02	438,303,374.07		
Prior Project Costs:				0.00						
Grand Totals For All Projects:					425,625.95	0.00	438,729,000.02	438,303,374.07		
Total Prior Costs:				0.00						

SBA-FDOT

TPK2014B

Sizing Debt Service Schedule

\$484,610,000.00

Dated: 11/01/2014

Delivered: 11/01/2014

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annal Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annal Dbt Svc	Net Fiscal Dbt Svc
15	1/1/2015				4,644,179.18	4,644,179.18		28,657.77		4,615,521.41	
15	7/1/2015	N	5.750	4,370,000.00	13,932,537.50	18,302,537.50		86,044.91		18,216,492.59	22,832,014.01
16	1/1/2016				13,806,900.00	13,806,900.00		86,044.91		13,720,855.09	
16	7/1/2016	N	5.750	6,800,000.00	13,806,900.00	20,606,900.00		86,044.91		20,520,855.09	34,241,710.19
17	1/1/2017				13,611,400.00	13,611,400.00		86,044.91		13,525,355.09	
17	7/1/2017	N	5.750	7,195,000.00	13,611,400.00	20,806,400.00		86,044.91		20,720,355.09	34,245,710.19
18	1/1/2018				13,404,543.75	13,404,543.75		86,044.91		13,318,498.84	
18	7/1/2018	N	5.750	7,605,000.00	13,404,543.75	21,009,543.75		86,044.91		20,923,498.84	34,241,997.69
19	1/1/2019				13,185,900.00	13,185,900.00		86,044.91		13,099,855.09	
19	7/1/2019	N	5.750	8,045,000.00	13,185,900.00	21,230,900.00		86,044.91		21,144,855.09	34,244,710.19
20	1/1/2020				12,954,606.25	12,954,606.25		86,044.91		12,868,561.34	
20	7/1/2020	N	5.750	8,505,000.00	12,954,606.25	21,459,606.25		86,044.91		21,373,561.34	34,242,122.69
21	1/1/2021				12,710,087.50	12,710,087.50		86,044.91		12,624,042.59	
21	7/1/2021	N	5.750	8,995,000.00	12,710,087.50	21,705,087.50		86,044.91		21,619,042.59	34,243,085.19
22	1/1/2022				12,451,481.25	12,451,481.25		86,044.91		12,365,436.34	
22	7/1/2022	N	5.750	9,515,000.00	12,451,481.25	21,966,481.25		86,044.91		21,880,436.34	34,245,872.69
23	1/1/2023				12,177,925.00	12,177,925.00		86,044.91		12,091,880.09	
23	7/1/2023	N	5.750	10,060,000.00	12,177,925.00	22,237,925.00		86,044.91		22,151,880.09	34,243,760.19
24	1/1/2024				11,888,700.00	11,888,700.00		86,044.91		11,802,655.09	
24	7/1/2024	N	5.750	10,640,000.00	11,888,700.00	22,528,700.00		86,044.91		22,442,655.09	34,245,310.19
25	1/1/2025				11,582,800.00	11,582,800.00		86,044.91		11,496,755.09	
25	7/1/2025	N	5.750	11,250,000.00	11,582,800.00	22,832,800.00		86,044.91		22,746,755.09	34,243,510.19
26	1/1/2026				11,259,362.50	11,259,362.50		86,044.91		11,173,317.59	
26	7/1/2026	N	5.750	11,895,000.00	11,259,362.50	23,154,362.50		86,044.91		23,068,317.59	34,241,635.19
27	1/1/2027				10,917,381.25	10,917,381.25		86,044.91		10,831,336.34	
27	7/1/2027	N	5.750	12,580,000.00	10,917,381.25	23,497,381.25		86,044.91		23,411,336.34	34,242,672.69
28	1/1/2028				10,555,706.25	10,555,706.25		86,044.91		10,469,661.34	
28	7/1/2028	N	5.750	13,305,000.00	10,555,706.25	23,860,706.25		86,044.91		23,774,661.34	34,244,322.69
29	1/1/2029				10,173,187.50	10,173,187.50		86,044.91		10,087,142.59	
29	7/1/2029	N	5.750	14,070,000.00	10,173,187.50	24,243,187.50		86,044.91		24,157,142.59	34,244,285.19
30	1/1/2030				9,768,675.00	9,768,675.00		86,044.91		9,682,630.09	
30	7/1/2030	N	5.750	14,880,000.00	9,768,675.00	24,648,675.00		86,044.91		24,562,630.09	34,245,260.19
31	1/1/2031				9,340,875.00	9,340,875.00		86,044.91		9,254,830.09	
31	7/1/2031	N	5.750	15,735,000.00	9,340,875.00	25,075,875.00		86,044.91		24,989,830.09	34,244,660.19
32	1/1/2032				8,888,493.75	8,888,493.75		86,044.91		8,802,448.84	
32	7/1/2032	N	5.750	16,640,000.00	8,888,493.75	25,528,493.75		86,044.91		25,442,448.84	34,244,897.69
33	1/1/2033				8,410,093.75	8,410,093.75		86,044.91		8,324,048.84	
33	7/1/2033	N	5.750	17,595,000.00	8,410,093.75	26,005,093.75		86,044.91		25,919,048.84	34,243,097.69
34	1/1/2034				7,904,237.50	7,904,237.50		86,044.91		7,818,192.59	
34	7/1/2034	N	5.750	18,605,000.00	7,904,237.50	26,509,237.50		86,044.91		26,423,192.59	34,241,385.19
35	1/1/2035				7,369,343.75	7,369,343.75		86,044.91		7,283,298.84	
35	7/1/2035	N	5.750	19,675,000.00	7,369,343.75	27,044,343.75		86,044.91		26,958,298.84	34,241,597.69
36	1/1/2036				6,803,687.50	6,803,687.50		86,044.91		6,717,642.59	
36	7/1/2036	N	5.750	20,810,000.00	6,803,687.50	27,613,887.50		86,044.91		27,527,642.59	34,245,285.19
37	1/1/2037				6,205,400.00	6,205,400.00		86,044.91		6,119,355.09	
37	7/1/2037	N	5.750	22,005,000.00	6,205,400.00	28,210,400.00		86,044.91		28,124,355.09	34,243,710.19
38	1/1/2038				5,572,756.25	5,572,756.25		86,044.91		5,486,711.34	
38	7/1/2038	N	5.750	23,270,000.00	5,572,756.25	28,842,756.25		86,044.91		28,758,711.34	34,243,422.69
39	1/1/2039				4,903,743.75	4,903,743.75		86,044.91		4,817,698.84	
39	7/1/2039	N	5.750	24,610,000.00	4,903,743.75	29,513,743.75		86,044.91		29,427,698.84	34,245,397.69
40	1/1/2040				4,196,206.25	4,196,206.25		86,044.91		4,110,161.34	
40	7/1/2040	N	5.750	26,025,000.00	4,196,206.25	30,221,206.25		86,044.91		30,135,161.34	34,245,322.69
41	1/1/2041				3,447,987.50	3,447,987.50		86,044.91		3,361,942.59	
41	7/1/2041	N	5.750	27,520,000.00	3,447,987.50	30,967,987.50		86,044.91		30,881,942.59	34,243,885.19

SBA-FDOT

TPK2014B

Sizing Debt Service Schedule

\$484,610,000.00

Dated: 11/01/2014
 Delivered: 11/01/2014

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
42	1/1/2042				2,656,787.50	2,656,787.50		86,044.91		2,570,742.59	
42	7/1/2042	N	5.750	29,100,000.00	2,656,787.50	31,758,787.50		86,044.91		31,672,742.59	34,241,485.19
43	1/1/2043				1,820,162.50	1,820,162.50		86,044.91		1,734,117.59	
43	7/1/2043	N	5.750	30,770,000.00	1,820,162.50	32,590,162.50		86,044.91		32,504,117.59	34,238,235.19
44	1/1/2044				935,525.00	935,525.00		86,044.91		849,480.09	
44	7/1/2044	N	5.750	32,540,000.00	935,525.00	33,475,525.00		34,504,007.41		-1,028,482.41	-179,002.31
				484,610,000.00	536,384,629.18	1,020,994,629.18	0.00	39,523,269.74	0.00	981,471,359.44	

True Interest Cost (TIC)	5.9378040	Arbitrage Yield Limit (AYL)	5.7508240
Net Interest Cost (NIC)	5.8538985	Arbitrage Net Interest Cost (ANIC)	5.7500000

Summary of Sizing Inputs

\$484,610,000.00

General Information

1st Month in FY: 1
 Denomination: 5000.
 Rate scale: 5.75%
 Issue type: REVENUE
 Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
 -> Proportionally level debt service in stub period.

Dates

11/01/2014-> Dated (bond issue) date
 11/01/2014-> Delivery date
 01/01/2015-> 1st coupon date
 07/01/2015-> First principal payment
 07/01/2044-> Last maturity date
 No CABS in bond issue

Gross Construction Costs

Total project costs	438,729,000.02
Total prior costs	
Less: interest earned & applied to project draws	-425,622.06
Net total project costs:	438,303,377.96
Total number of projects = 1	

Restricted Accounts

DSR rule: Maximum yearly debt service	
No capitalized interest	
Restricted yield = 0.500000%	
Net deposit to Debt Service Reserve Fund	34,417,962.50
Net deposit to Contingency Fund	2,804.16

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-9,692,200.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	2,193,845.00

TPK2014B

Summary of Sizing Calculations

\$484,610,000.00

Sources of Funds

Par amount of bonds	484,610,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	438,729,000.02
Less: interest earned in fund & applied to project draws	-425,622.06
Prior costs to be paid from bond proceeds	
Gross Construction Costs	438,303,377.96

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 0.500%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	34,417,962.50
Net deposit to Contingency Fund	2,804.16

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-9,692,200.00
Bond insurance: 0.000%	
Other issuance costs	2,193,645.00
Rounding due to denomination size	10.37

Calculations

Net Interest Cost (NIC)	5.8538985
True Interest Cost (TIC)	5.9378040
All-Inclusive TIC:	5.9809560
Arbitrage Net Interest Cost (NIC)	5.7500000
Arbitrage Yield Limit (AYL)	5.7508240
Total Bond Years (delivery date)	9,328,428,333.33
Average Bond Years (Delivery date)	19.25
Level debt service calculation	34,415,368.92

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: The Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Turnpike System.
3. The principal amount of the debt or obligation: \$109,230,000
4. The interest rate on the debt or obligation (per EEC): 5.750%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.

7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$2,184,600</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$423,550</u>
<u>Deposit into DSR Account</u>	<u>\$7,741,569</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$109,230,000 of debt or obligation for the purpose of the Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.750%, total interest paid over the life of the debt or obligation will be \$123,090,394.

The proposed issuance date is 5/1/2016.

SBA-FDOT
 TPK2016A
 Construction Draws
 \$109,230,000.00

Dated: 05/01/2016
 Delivered: 05/01/2016

Drw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Requirement	Draw Debt Service	Net Balance	Ending
TPK2016A TPK2016A yielding 2.0000000% : Net-Funded										
0	05-01-2016		DEPOSIT						98,806,280.23	
1	05-01-2016	0.0	DRAWS				8,309,166.67	8,309,166.67	90,497,113.56	
2	06-01-2016	0.30	DRAWS		150,203.88		8,309,166.67	8,158,962.79	82,338,150.77	
3	07-01-2016	0.30	DRAWS		136,661.93		8,309,166.67	8,172,504.74	74,165,646.03	
4	08-01-2016	0.30	DRAWS		123,097.50		8,309,166.67	8,186,069.17	65,979,576.86	
5	09-01-2016	0.30	DRAWS		109,510.55		8,309,166.67	8,199,656.12	57,779,920.74	
6	10-01-2016	0.30	DRAWS		95,901.05		8,309,166.67	8,213,265.62	49,566,655.12	
7	11-01-2016	0.30	DRAWS		82,268.97		8,309,166.67	8,226,897.70	41,339,757.42	
8	12-01-2016	0.30	DRAWS		68,614.26		8,309,166.67	8,240,552.41	33,099,205.01	
9	01-01-2017	0.30	DRAWS		54,936.88		8,309,166.67	8,254,229.79	24,844,975.22	
10	02-01-2017	0.30	DRAWS		41,236.80		8,309,166.67	8,267,929.87	16,577,045.35	
11	03-01-2017	0.30	DRAWS		27,513.99		8,309,166.67	8,281,652.68	8,295,392.67	
12	04-01-2017	0.30	DRAWS		13,768.40		8,309,166.67	8,295,398.27	-5.60	
Totals For TPK2016A				0.00	903,714.21	0.00	99,710,000.04	98,806,285.83		
Prior Project Costs:				0.00						
Grand Totals For All Projects:					903,714.21	0.00	99,710,000.04	98,806,285.83		
Total Prior Costs:				0.00						

Sizing Debt Service Schedule

\$109,230,000.00

Dated: 05/01/2016

Delivered: 05/01/2016

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
16	7/1/2016				1,046,787.53	1,046,787.53		25,719.69		1,021,067.84	1,021,067.84
17	1/1/2017				3,140,362.50	3,140,362.50		77,415.69		3,062,946.81	
17	7/1/2017	N	5.750	730,000.00	3,140,362.50	3,140,362.50		77,415.69		3,792,946.81	6,855,893.63
18	1/1/2018	N	5.750	745,000.00	3,119,375.00	3,864,375.00		77,415.69		3,780,959.31	
18	7/1/2018	N	5.750	770,000.00	3,097,956.25	3,867,956.25		77,415.69		3,790,540.56	7,577,499.88
19	1/1/2019	N	5.750	790,000.00	3,075,818.75	3,865,818.75		77,415.69		3,788,403.06	
19	7/1/2019	N	5.750	815,000.00	3,053,106.25	3,868,106.25		77,415.69		3,790,690.56	7,579,093.63
20	1/1/2020	N	5.750	835,000.00	3,029,675.00	3,864,675.00		77,415.69		3,787,259.31	
20	7/1/2020	N	5.750	860,000.00	3,005,668.75	3,865,668.75		77,415.69		3,788,253.06	7,575,512.38
21	1/1/2021	N	5.750	885,000.00	2,980,943.75	3,865,943.75		77,415.69		3,788,528.06	
21	7/1/2021	N	5.750	910,000.00	2,955,500.00	3,865,500.00		77,415.69		3,786,084.31	7,576,612.38
22	1/1/2022	N	5.750	935,000.00	2,929,337.50	3,864,337.50		77,415.69		3,786,921.81	
22	7/1/2022	N	5.750	965,000.00	2,902,456.25	3,867,456.25		77,415.69		3,790,040.56	7,576,962.38
23	1/1/2023	N	5.750	990,000.00	2,874,712.50	3,864,712.50		77,415.69		3,787,296.81	
23	7/1/2023	N	5.750	1,020,000.00	2,846,250.00	3,866,250.00		77,415.69		3,788,834.31	7,576,131.13
24	1/1/2024	N	5.750	1,050,000.00	2,816,925.00	3,866,925.00		77,415.69		3,789,509.31	
24	7/1/2024	N	5.750	1,080,000.00	2,786,737.50	3,866,737.50		77,415.69		3,789,321.81	7,578,831.13
25	1/1/2025	N	5.750	1,110,000.00	2,755,687.50	3,865,687.50		77,415.69		3,788,271.81	
25	7/1/2025	N	5.750	1,145,000.00	2,723,775.00	3,868,775.00		77,415.69		3,791,359.31	7,579,631.13
26	1/1/2026	N	5.750	1,175,000.00	2,690,866.25	3,865,866.25		77,415.69		3,788,440.56	
26	7/1/2026	N	5.750	1,210,000.00	2,657,075.00	3,867,075.00		77,415.69		3,788,659.31	7,578,099.88
27	1/1/2027	N	5.750	1,245,000.00	2,622,287.50	3,867,287.50		77,415.69		3,789,871.81	
27	7/1/2027	N	5.750	1,290,000.00	2,586,493.75	3,866,493.75		77,415.69		3,790,078.06	7,578,949.88
28	1/1/2028	N	5.750	1,315,000.00	2,549,693.75	3,864,693.75		77,415.69		3,787,278.06	
28	7/1/2028	N	5.750	1,355,000.00	2,511,887.50	3,866,887.50		77,415.69		3,789,471.81	7,576,749.88
29	1/1/2029	N	5.750	1,395,000.00	2,472,931.25	3,867,931.25		77,415.69		3,790,515.56	
29	7/1/2029	N	5.750	1,435,000.00	2,432,825.00	3,867,825.00		77,415.69		3,790,409.31	7,580,924.89
30	1/1/2030	N	5.750	1,475,000.00	2,391,568.75	3,866,568.75		77,415.69		3,789,153.06	
30	7/1/2030	N	5.750	1,515,000.00	2,349,162.50	3,864,162.50		77,415.69		3,786,746.81	7,575,899.88
31	1/1/2031	N	5.750	1,560,000.00	2,305,606.25	3,865,606.25		77,415.69		3,788,190.56	
31	7/1/2031	N	5.750	1,605,000.00	2,260,756.25	3,865,756.25		77,415.69		3,788,340.56	7,576,531.13
32	1/1/2032	N	5.750	1,650,000.00	2,214,612.50	3,864,612.50		77,415.69		3,787,196.81	
32	7/1/2032	N	5.750	1,700,000.00	2,167,175.00	3,867,175.00		77,415.69		3,789,759.31	7,576,956.13
33	1/1/2033	N	5.750	1,750,000.00	2,118,300.00	3,868,300.00		77,415.69		3,790,884.31	
33	7/1/2033	N	5.750	1,800,000.00	2,067,987.50	3,867,987.50		77,415.69		3,790,571.81	7,581,456.13
34	1/1/2034	N	5.750	1,850,000.00	2,016,237.50	3,866,237.50		77,415.69		3,788,821.81	
34	7/1/2034	N	5.750	1,905,000.00	1,963,050.00	3,868,050.00		77,415.69		3,790,634.31	7,579,456.13
35	1/1/2035	N	5.750	1,960,000.00	1,908,281.25	3,868,281.25		77,415.69		3,790,865.56	
35	7/1/2035	N	5.750	2,015,000.00	1,851,931.25	3,866,931.25		77,415.69		3,789,515.56	7,580,381.13
36	1/1/2036	N	5.750	2,070,000.00	1,794,000.00	3,864,000.00		77,415.69		3,786,584.31	
36	7/1/2036	N	5.750	2,130,000.00	1,734,487.50	3,864,487.50		77,415.69		3,787,071.81	7,573,656.13
37	1/1/2037	N	5.750	2,195,000.00	1,673,250.00	3,868,250.00		77,415.69		3,790,834.31	
37	7/1/2037	N	5.750	2,255,000.00	1,610,143.75	3,865,143.75		77,415.69		3,787,728.06	7,578,562.38
38	1/1/2038	N	5.750	2,320,000.00	1,545,312.50	3,865,312.50		77,415.69		3,787,806.81	
38	7/1/2038	N	5.750	2,390,000.00	1,478,612.50	3,868,612.50		77,415.69		3,791,196.81	7,579,093.63
39	1/1/2039	N	5.750	2,455,000.00	1,409,900.00	3,864,900.00		77,415.69		3,787,484.31	
39	7/1/2039	N	5.750	2,525,000.00	1,339,318.75	3,864,318.75		77,415.69		3,786,903.06	7,574,387.38
40	1/1/2040	N	5.750	2,600,000.00	1,266,725.00	3,866,725.00		77,415.69		3,789,309.31	
40	7/1/2040	N	5.750	2,675,000.00	1,191,975.00	3,866,975.00		77,415.69		3,789,559.31	7,578,868.63
41	1/1/2041	N	5.750	2,750,000.00	1,115,068.75	3,865,068.75		77,415.69		3,787,853.06	
41	7/1/2041	N	5.750	2,830,000.00	1,036,006.25	3,866,006.25		77,415.69		3,788,590.56	7,576,243.63
42	1/1/2042	N	5.750	2,910,000.00	954,643.75	3,864,643.75		77,415.69		3,787,228.06	
42	7/1/2042	N	5.750	2,995,000.00	870,981.25	3,865,981.25		77,415.69		3,788,565.56	7,575,793.63
43	1/1/2043	N	5.750	3,080,000.00	784,875.00	3,864,875.00		77,415.69		3,787,459.31	

SBA-FDOT

TPK2016A

Sizing Debt Service Schedule

\$109,230,000.00

Dated: 05/01/2016
 Delivered: 05/01/2016

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
43	7/1/2043	N	5.750	3,170,000.00	696,325.00	3,866,325.00		77,415.69		3,788,909.31	7,576,368.63
44	1/1/2044	N	5.750	3,260,000.00	605,187.50	3,865,187.50		77,415.69		3,787,771.81	
44	7/1/2044	N	5.750	3,360,000.00	511,462.50	3,871,462.50		77,415.69		3,794,046.81	7,581,818.63
45	1/1/2045	N	5.750	3,455,000.00	414,862.50	3,869,862.50		77,415.69		3,792,446.81	
45	7/1/2045	N	5.750	3,555,000.00	315,531.25	3,870,531.25		77,415.69		3,793,115.56	7,585,562.38
46	1/1/2046	N	5.750	3,655,000.00	213,325.00	3,868,325.00		77,415.69		3,790,909.31	
46	7/1/2046	N	5.750	3,765,000.00	108,243.75	3,873,243.75		7,818,984.44		-3,945,740.69	-154,831.38
				109,230,000.00	123,090,393.78	232,320,393.78	0.00	12,412,229.69	0.00	219,908,164.69	

True Interest Cost (TIC).....	5.9354449	Arbitrage Yield Limit (AYL).....	5.7508138
Net Interest Cost (NIC).....	5.8520459	Arbitrage Net Interest Cost (ANIC).....	5.7500000

Summary of Sizing Inputs

\$109,230,000.00

General Information

1st Month in FY: 1
 Denomination: 5000.
 Rate scale: 5.75%
 Issue type: REVENUE
 Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
 -> Proportionally level debt service in stub period.

Dates

05/01/2016-> Dated (bond issue) date
 05/01/2016-> Delivery date
 07/01/2016-> 1st coupon date
 07/01/2017-> First principal payment
 07/01/2046-> Last maturity date
 No CABS in bond issue

Gross Construction Costs

Total project costs	99,710,000.04
Total prior costs	
Less: interest earned & applied to project draws	-903,719.81
Net total project costs:	98,806,280.23
Total number of projects = 1	

Restricted Accounts

DSR rule: Maximum yearly debt service	
No capitalized interest	
Restricted yield = 2.000000%	
Net deposit to Debt Service Reserve Fund	7,741,568.75
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-2,184,600.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	498,550.00

TPK2016A

Summary of Sizing Calculations

\$109,230,000.00

Sources of Funds

Par amount of bonds	
Original Issue Premium	109,230,000.00
Accrued Interest	

Construction Costs

Costs to complete construction	
Less: interest earned in fund & applied to project draws	99,710,000.04
Prior costs to be paid from bond proceeds	-903,719.81
Gross Construction Costs	98,806,280.23

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	7,741,568.75

Costs of Issuance

Underwriter spread: 20.000/\$1,000	
Bond insurance: 0.000%	-2,184,600.00
Other issuance costs	
Rounding due to denomination size	498,550.00
	-998.98

Calculations

Net Interest Cost (NIC)	
True Interest Cost (TIC)	5.8520459
All-inclusive TIC:	5.9354449
Arbitrage Net Interest Cost (NIC)	5.9784079
Arbitrage Yield Limit (AYL)	5.7500000
Total Bond Years (delivery date)	5.7508138
Average Bond Years (Delivery date)	2,140,702,500.00
Level debt service calculation	19.60
	3,866,275.95

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2015-16

Department: Transportation

Chief Internal Auditor: Kris Sullivan, Audit Director

Budget Entity: Highway Operations

Phone Number: 850-410-5800

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
13P-5002a	11/25/2013	Engineering and Operations	<p>FINDING: This is a generic summary of the Confidential Findings in this report. In all there are 7 findings.</p> <p>The review of the ITS program revealed IT architectures within each district are operating completely independent of the department's IT architecture. The IT architecture in each district's ITS operations not only lacks consistency with the department's IT architecture but also varies from each other. According to ITS and the Office of Information Systems (OIS) management, the segregation of the department's IT architecture from the ITS IT architecture was a management decision made in 2002, during the initial stages of deployment, to prevent the ITS IT data traffic from overwhelming the department network and impeding other department business.</p>	<p>RESPONSE: Confidential- tracked and reviewed separately by OIG.</p>	
13P-5002a-01A			<p>RECOMMENDATION: This is a generic summary of the confidential recommendations in this report, entered for tracking purposes only.</p> <p>The following recommendations have been made to ensure ITS IT architectures comply with department standards. Findings 1 through 6 will address Districts One, Two, Four, Five, Six, Seven and the Turnpike. District Three will be addressed in Finding 7 due to scope limitations within this district during the engagement</p>	<p>CURRENT STATUS: ITS and OIS are currently working on remediating these findings.</p>	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2015-16

Department: Transportation

Chief Internal Auditor: Kris Sullivan, Audit Director

Budget Entity: Highway Operations

Phone Number: 850-410-5800

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
13P-5002b	2/14/2014	Engineering and Operations	FINDING: OIG finds the average cost per managed mile was \$22,945 statewide for Fiscal Year 2012/2013. Furthermore, it was determined that the ITS program methodology for projecting funds for costs does not reflect actual expenditures for ITS services.	RESPONSE: We concur with the findings and recommendations. The Traffic Engineering and Operations Office will request Executive Board direction on future funding levels of the ITS Program to ensure consistent service to the traveling public statewide.	
13P-5002b-01A			RECOMMENDATION: OIG recommends the State Traffic Operations Engineer determine executive board's perspectives on the appropriate level of ITS service, revise ITS program funding methodology to reflect these priorities and develop a centralized approval process to justify additional proposed district expenditures to ensure consistent service to the traveling public statewide.	CURRENT STATUS: The Central Office and districts are developing and evaluating new methods to fund maintenance and operations and predict future maintenance and operations needs.	

Office of Policy and Budget - July 2014

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2015-16

Department: Transportation

Chief Internal Auditor: Kris Sullivan, Audit Director

Budget Entity: Highway Operations

Phone Number: 850-410-5800

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
13P-5002b	2/14/2014	Engineering and Operations	FINDING: OIG finds operations and maintenance contract provisions for the ITS program lacked consistency among the districts.	RESPONSE: We concur with the findings and recommendations. The Traffic Engineering and Operations Office is currently working on an ITS Maintenance Scope of Services that will create consistent requirements and standards. A draft of that document was released for review and comments in February. A similar ITS Operations Scope of Services will be initiated later this year. Future ITS contracts statewide will be required to conform to the new standards as they are being initiated.	
13P-5002b-02A			RECOMMENDATION: OIG recommends State Traffic Operations Engineer ensure consistency among the ITS contracts by develop centralized requirements and standards for operations and maintenance contracts. We recommend the new ITS contracts statewide conform to the new standards as they are being initiated and non-conforming contracts not be renewed.	CURRENT STATUS: The ITS Program is developing a Standard Maintenance Scope of Services for future maintenance contracts to create consistency in contracting requirements	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2015-16

Department: Transportation

Chief Internal Auditor: Kris Sullivan, Audit Director

Budget Entity: Executive Direction/Support Services

Phone Number: 850-410-5800

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
2011-174	2/10/2014	Finance and Administration	FINDING: The AG found some users had inappropriate or unnecessary access privileges to the FM System application, database, and production datasets. Similar issues were noted in prior audits of the Department, most recently our report No. 2010-095.	RESPONSE: Finance and Administration/OIS agreed with the findings. To minimize the potential risks of future issues, ITASM will work with the Financial Management (FM) application owners to review current access processes and procedures. Based on this review the ITASM team, working with the FM application owners, will implement improved notification processes and appropriate changes. The ITASM team will also work with the FM application owners to determine the appropriate interval for the recertification of FM access. The ITASM team and the FM application owners will work together to implement recertification for the FM system processes at the interval which appropriately reflects the security requirements of the application.	
2011-174-02A			RECOMMENDATION: The AG recommends the Department should limit access privileges to include only the individuals who need the access privileges in the performance of their job duties. Additionally, the Department should implement procedures to routinely monitor and adjust access privileges, including those of SSRC employees, in the event of employee terminations, reassignments, or changes in job functions.	CURRENT STATUS: The ISM has provided OOC with the necessary reports to review. The ISM has requested a meeting to include Joseph Veretto, Lisa Saliba, and Robin Naitove to discuss how the provided reports may be leveraged to complete application recertification. Pending availability, this meeting should take place the week of April 21, 2014.	

Fiscal Year 2015-16 LBR Technical Review Checklist

Department/Budget Entity (Service): Transportation/Transportation Systems Development; Florida Rail Enterprise; Highway Operations; Executive Direction; Information Technology; Florida Turnpike Enterprise

Agency Budget Officer/OPB Analyst Name: Greg Patterson/Tonya Webb

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

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, 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	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	Y	Y

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	Y	Y
1.4 Has security been set correctly? (CSDR, CSA)	Y	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.						

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 29) been followed?	Y	Y	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.	N/A	N/A	N/A	N/A	N/A	N/A
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y	Y	Y	Y
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	Y	Y
TIP Generally look for and be able to fully explain significant differences between A02 and A03.						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.						
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y
AUDITS:						
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.						
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.						
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 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	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)						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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	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	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	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	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.)	N/A	N/A	N/A	N/A	N/A	N/A
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A	N/A	N/A	N/A	N/A
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #14-001?	N/A	N/A	N/A	N/A	N/A	N/A
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A	N/A
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A	N/A
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	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	Y	Y
7.16 Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 28 and 88 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)					
		55100100	55100500	55150200	55150500	55150600	55180100
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXX) 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	Y	Y
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	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	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	Y	Y
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Y	Y	Y	Y	Y	Y
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	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	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.						
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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).						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
<p>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.</p>						
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?					Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?					Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?					Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?					Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?					Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?					Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?					N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?					Y
8.10	Are the statutory authority references correct?					Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)					Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?					Y

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?						Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?						Y
8.20 Are appropriate general revenue service charge nonoperating amounts included in Section II?						Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?						Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling						Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?						Y
8.24 Are prior year September operating reversions appropriately shown in column A01?						Y
8.25 Are current year September operating reversions appropriately shown in column A02?						Y
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?						Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?						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
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?						Y
AUDITS:						
8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).						Y
8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")						Y
8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)						Y
8.33 Has a Schedule IB been provided for each trust fund and does total agree with line I ?						Y
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?						Y
TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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 <i>Base Rate Audit</i> on page 161 of the LBR Instructions.)	Those are position transfer issues with the vacant positions requested to transfer at the broadband minimum.					
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	Y	Y
10.2 Are amounts in <i>Other Salary Amount</i> 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	Y	Y
11. SCHEDULE IV (EADR, SC4)						
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y	Y
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can now be included in the priority listing.	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1 NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A	N/A
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	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.						
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	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	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	Y	Y

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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	Y	Y
AUDIT:						
15.6 Do the issues net to zero at the department level? (GENR, LBR5)	Y	Y	Y	Y	Y	Y
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 <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)						
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR	Y	Y	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	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	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	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	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	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	Y	Y
17.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y	Y
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	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	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	Y	Y
AUDITS - GENERAL INFORMATION						

Action		Program or Service (Budget Entity Codes)					
		55100100	55100500	55150200	55150500	55150600	55180100
TIP	Review <i>Section 6: Audits</i> 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	
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					Y	
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP					Y	
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?					Y	
18.5	Are the appropriate counties identified in the narrative?					Y	
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?					Y	
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.						
19. FLORIDA FISCAL PORTAL							
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y