



Florida Department of  
Law Enforcement

Richard L. Swearingen  
*Commissioner*

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

## LEGISLATIVE BUDGET REQUEST

Florida Department of Law Enforcement

Tallahassee, Florida

September 15, 2015

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Florida Department of Law Enforcement is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2016-17 Fiscal Year. This submission has been approved by Richard L. Swearingen, Commissioner.

Sincerely,

Richard L. Swearingen  
Commissioner

710000 DEPARTMENT OF LAW ENFORCEMENT  
20 2 021025 ADMINISTRATIVE TF FDLE  
G-L G-L ACCOUNT NAME

CAT		BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	1,000,740.75
16200	DUE FROM STATE FUNDS, WITHIN DEPART.	
001500	TRANSFERS	10,833.30
35600	DUE TO GENERAL REVENUE	
180200	TR/GENERAL REVENUE-SWCAP	574.48-
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	1,010,999.57-
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT		BEGINNING BALANCE
20 2 148001 CRIMINAL JUSTICE STANDARDS & TRAINING TRUST FUND		
G-L	G-L ACCOUNT NAME	
CAT		BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	5,442,607.33
14100	POOLED INVESTMENTS WITH STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
15100	ACCOUNTS RECEIVABLE	
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
15300	INTEREST AND DIVIDENDS RECEIVABLE	
000000	BALANCE BROUGHT FORWARD	0.00
000500	INTEREST	0.00
	** GL 15300 TOTAL	0.00
16200	DUE FROM STATE FUNDS, WITHIN DEPART.	
000000	BALANCE BROUGHT FORWARD	0.00
010000	SALARIES AND BENEFITS	0.00
	** GL 16200 TOTAL	0.00
16300	DUE FROM OTHER DEPARTMENTS	
000000	BALANCE BROUGHT FORWARD	0.00
001600	DISTRIBUTION-TRANSFERS REQUIRED BY LAW	0.00
001903	SALES OF GOODS/SERVICES TO STATE AGENCIES	0.00
	** GL 16300 TOTAL	0.00
16500	DUE FROM OTHER GOVERNMENTAL UNITS	
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
31100	ACCOUNTS PAYABLE	
040000	EXPENSES	0.00
040000	CF EXPENSES	28,118.24-
100777	CONTRACTED SERVICES	0.00
100777	CF CONTRACTED SERVICES	45,835.59-
105281	LEASE/PURCHASE/EQUIPMENT	0.00
105281	CF LEASE/PURCHASE/EQUIPMENT	789.81-
	** GL 31100 TOTAL	74,743.64-
32100	ACCRUED SALARIES AND WAGES	
010000	SALARIES AND BENEFITS	0.00
010000	CF SALARIES AND BENEFITS	169,412.05-
030000	OTHER PERSONAL SERVICES	0.00
030000	CF OTHER PERSONAL SERVICES	7,345.52-
103290	SALARY INCENTIVE PAYMENTS	0.00
103290	CF SALARY INCENTIVE PAYMENTS	130.00-
	** GL 32100 TOTAL	176,887.57-

710000 DEPARTMENT OF LAW ENFORCEMENT		BEGINNING BALANCE
20 2 148001 CRIMINAL JUSTICE STANDARDS & TRAINING TRUST FUND		
G-L	G-L ACCOUNT NAME	
CAT		BEGINNING BALANCE
35200	DUE TO STATE FUNDS, WITHIN DEPARTMENT	
000000	BALANCE BROUGHT FORWARD	0.00
35300	DUE TO OTHER DEPARTMENTS	
000000	BALANCE BROUGHT FORWARD	0.00
005001	CIT-OTHER DEPARTMENTAL DEPOSITS	0.00
040000	EXPENSES	0.00
040000	CF EXPENSES	2,499.81-
100777	CONTRACTED SERVICES	0.00
100777	CF CONTRACTED SERVICES	1,236.62-
100851	DOMESTIC SECURITY	0.00
	** GL 35300 TOTAL	3,736.43-
35344	DEPARTMENT OF BANKING & FINANCE	
005001	CIT-OTHER DEPARTMENTAL DEPOSITS	0.00
35372	DEPARTMENT OF GENERAL SERVICES	
010000	SALARIES AND BENEFITS	0.00
35373	DEPARTMENT OF REVENUE	
180000	TRANSFERS	0.00
35500	DUE TO OTHER GOVERNMENTAL UNITS	
100851	DOMESTIC SECURITY	0.00
35600	DUE TO GENERAL REVENUE	
310322	SERVICE CHARGE TO GEN REV	160,954.70-
38900	REVENUES RECEIVED IN ADVANCE - CURRENT	
001903	SALES OF GOODS/SERVICES TO STATE AGENCIES	0.00
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
	** GL 38900 TOTAL	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	5,026,284.99-
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
94100	ENCUMBRANCES	
040000	CF EXPENSES	5,781.99
100777	CF CONTRACTED SERVICES	47,374.50
105281	CF LEASE/PURCHASE/EQUIPMENT	511.25
	** GL 94100 TOTAL	53,667.74

710000 DEPARTMENT OF LAW ENFORCEMENT		
20 2 148001 CRIMINAL JUSTICE STANDARDS & TRAINING TRUST FUND		
G-L	G-L ACCOUNT NAME	
CAT		BEGINNING BALANCE
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
040000	CF EXPENSES	5,781.99-
100777	CF CONTRACTED SERVICES	47,374.50-
105281	CF LEASE/PURCHASE/EQUIPMENT	511.25-
	** GL 98100 TOTAL	53,667.74-
99100	BUDGETARY FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT  
 20 2 261018 FEDERAL GRANTS TRUST FUND - FDLE

G-L	CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	404,498.60
16200		DUE FROM STATE FUNDS, WITHIN DEPART.	
001510		TRANSFER OF FEDERAL FUNDS	1,143,491.42
001800		REFUNDS	24,539.36
040000		EXPENSES	814.00
100777		CONTRACTED SERVICES	985.00
100851		DOMESTIC SECURITY	0.00
102331		OVERTIME	4.56-
		** GL 16200 TOTAL	1,169,825.22
16300		DUE FROM OTHER DEPARTMENTS	
001510		TRANSFER OF FEDERAL FUNDS	458,073.97
16400		DUE FROM FEDERAL GOVERNMENT	
000700		U S GRANTS	2,692,837.17
31100		ACCOUNTS PAYABLE	
040000		EXPENSES	0.00
040000	CF	EXPENSES	7,089.35-
060000		OPERATING CAPITAL OUTLAY	0.00
060000	CF	OPERATING CAPITAL OUTLAY	40,124.00-
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	152,867.50-
100851		DOMESTIC SECURITY	0.00
100851	CF	DOMESTIC SECURITY	82,594.36-
105281		LEASE/PURCHASE/EQUIPMENT	0.00
105281	CF	LEASE/PURCHASE/EQUIPMENT	220.26-
		** GL 31100 TOTAL	282,895.47-
32100		ACCRUED SALARIES AND WAGES	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	33,917.86-
030000		OTHER PERSONAL SERVICES	0.00
030000	CF	OTHER PERSONAL SERVICES	16,873.69-
100851		DOMESTIC SECURITY	0.00
100851	CF	DOMESTIC SECURITY	6,152.26-
		** GL 32100 TOTAL	56,943.81-
35200		DUE TO STATE FUNDS, WITHIN DEPARTMENT	
001510		TRANSFER OF FEDERAL FUNDS	0.00
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	329,006.67-
030000		OTHER PERSONAL SERVICES	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT  
 20 2 261018 FEDERAL GRANTS TRUST FUND - FDLE  
 G-L G-L ACCOUNT NAME

CAT		BEGINNING BALANCE
030000	CF OTHER PERSONAL SERVICES	3,766.85-
040000	EXPENSES	0.00
040000	CF EXPENSES	211,286.00-
050046	G/A-NCHIP-STATE AGENCIES	0.00
050046	CF G/A-NCHIP-STATE AGENCIES	100,763.85-
100625	INFRASTRUCTURE/STATE OPERS	0.00
100625	CF INFRASTRUCTURE/STATE OPERS	904,402.38-
100777	CONTRACTED SERVICES	0.00
100777	CF CONTRACTED SERVICES	802,325.00-
100851	DOMESTIC SECURITY	0.00
100851	CF DOMESTIC SECURITY	796,952.95-
102331	OVERTIME	0.00
102331	CF OVERTIME	32,175.17-
105507	BYRNE MEM ST LAW ENF PROG	0.00
105507	CF BYRNE MEM ST LAW ENF PROG	138,325.19-
181314	TR TO FDLE FUNDS INDIRECT	10,833.30-
	** GL 35200 TOTAL	3,329,837.36-
35300	DUE TO OTHER DEPARTMENTS	
040000	EXPENSES	0.00
040000	CF EXPENSES	121.96-
100851	DOMESTIC SECURITY	0.00
100851	CF DOMESTIC SECURITY	72.14-
105507	BYRNE MEM ST LAW ENF PROG	0.00
105507	CF BYRNE MEM ST LAW ENF PROG	139,913.26-
106824	G/A-RES SUB ABUSE TREAT-ST	0.00
106824	CF G/A-RES SUB ABUSE TREAT-ST	106,436.46-
	** GL 35300 TOTAL	246,543.82-
35500	DUE TO OTHER GOVERNMENTAL UNITS	
050047	G/A-NCHIP-LOCAL GOVTS	0.00
050047	CF G/A-NCHIP-LOCAL GOVTS	227,707.10-
055045	BYRNE MEM LOC LAW ENF PROG	0.00
055045	CF BYRNE MEM LOC LAW ENF PROG	557,338.04-
	** GL 35500 TOTAL	785,045.14-
35600	DUE TO GENERAL REVENUE	
001510	TRANSFER OF FEDERAL FUNDS	0.00
010000	SALARIES AND BENEFITS	0.00
040000	EXPENSES	0.00
040000	CF EXPENSES	3,551.22-
100851	DOMESTIC SECURITY	0.00
100851	CF DOMESTIC SECURITY	1,216.61-
102331	OVERTIME	0.00
102331	CF OVERTIME	737.19-
	** GL 35600 TOTAL	5,505.02-

710000 DEPARTMENT OF LAW ENFORCEMENT  
 20 2 261018 FEDERAL GRANTS TRUST FUND - FDLE

G-L	G-L ACCOUNT NAME	CAT	BEGINNING BALANCE
54900	COMMITTED FUND BALANCE		
000000	BALANCE BROUGHT FORWARD		29.75-
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES		
000000	BALANCE BROUGHT FORWARD		0.00
57200	RESTRICTED BY FEDERAL GOVERNMENT		
000000	BALANCE BROUGHT FORWARD		18,434.59-
94100	ENCUMBRANCES		
040000	CF EXPENSES		33,975.85
050011	CF CRIMINAL INVESTIGATIONS		173,943.11
055045	CF BYRNE MEM LOC LAW ENF PROG		1,654.86
060000	CF OPERATING CAPITAL OUTLAY		29,531.42
100625	INFRASTRUCTURE/STATE OPERS		4,614.01
100777	CONTRACTED SERVICES		835,332.40
100777	CF CONTRACTED SERVICES		115,601.01
100851	CF DOMESTIC SECURITY		3,263.64
105281	CF LEASE/PURCHASE/EQUIPMENT		221.57
105507	CF BYRNE MEM ST LAW ENF PROG		93.00
	** GL 94100 TOTAL		1,198,230.87
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE		
040000	CF EXPENSES		33,975.85-
050011	CF CRIMINAL INVESTIGATIONS		173,943.11-
055045	CF BYRNE MEM LOC LAW ENF PROG		1,654.86-
060000	CF OPERATING CAPITAL OUTLAY		29,531.42-
100625	INFRASTRUCTURE/STATE OPERS		4,614.01-
100777	CONTRACTED SERVICES		835,332.40-
100777	CF CONTRACTED SERVICES		115,601.01-
100851	CF DOMESTIC SECURITY		3,263.64-
105281	CF LEASE/PURCHASE/EQUIPMENT		221.57-
105507	CF BYRNE MEM ST LAW ENF PROG		93.00-
	** GL 98100 TOTAL		1,198,230.87-
	*** FUND TOTAL		0.00



710000 DEPARTMENT OF LAW ENFORCEMENT  
20 2 261022 FEDERAL GRANTS TRUST FUND - FDLE  
G-L G-L ACCOUNT NAME

CAT	ENCUMBRANCES	BEGINNING BALANCE
94100		
050046	G/A-NCHIP-STATE AGENCIES	2,836,221.34
050047	G/A-NCHIP-LOCAL GOVTS	1,618,293.88
055045	BYRNE MEM LOC LAW ENF PROG	4,440,935.07
100625	INFRASTRUCTURE/STATE OPERS	2,146,355.16
105507	BYRNE MEM ST LAW ENF PROG	201,440.10
106820	G/A-RES SUB ABUSE TREAT-LG	123,846.52
	** GL 94100 TOTAL	11,367,092.07
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
050046	G/A-NCHIP-STATE AGENCIES	2,836,221.34-
050047	G/A-NCHIP-LOCAL GOVTS	1,618,293.88-
055045	BYRNE MEM LOC LAW ENF PROG	4,440,935.07-
100625	INFRASTRUCTURE/STATE OPERS	2,146,355.16-
105507	BYRNE MEM ST LAW ENF PROG	201,440.10-
106820	G/A-RES SUB ABUSE TREAT-LG	123,846.52-
	** GL 98100 TOTAL	11,367,092.07-
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 316002 FORFEITURE AND INVESTIGATIVE SUPPORT TF

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	4,715,014.17
14100	POOLED INVESTMENTS WITH STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
15100	ACCOUNTS RECEIVABLE	
001200	FINES, FORFEITURES, JUDGEMENTS, AND PENALTI	2,634.18
001204	RESTITUTION	3,696,747.41
	** GL 15100 TOTAL	3,699,381.59
15300	INTEREST AND DIVIDENDS RECEIVABLE	
000000	BALANCE BROUGHT FORWARD	0.00
000500	INTEREST	0.00
	** GL 15300 TOTAL	0.00
15900	ALLOWANCE FOR UNCOLLECTIBLES	
000000	BALANCE BROUGHT FORWARD	3,475,003.67-
16200	DUE FROM STATE FUNDS, WITHIN DEPART.	
000000	BALANCE BROUGHT FORWARD	0.00
001800	REFUNDS	88,319.00
	** GL 16200 TOTAL	88,319.00
31100	ACCOUNTS PAYABLE	
040000	EXPENSES	0.00
040000	CF EXPENSES	3,846.59-
060000	OPERATING CAPITAL OUTLAY	0.00
060000	CF OPERATING CAPITAL OUTLAY	1,150.00-
	** GL 31100 TOTAL	4,996.59-
35200	DUE TO STATE FUNDS, WITHIN DEPARTMENT	
000000	BALANCE BROUGHT FORWARD	0.00
35300	DUE TO OTHER DEPARTMENTS	
040000	EXPENSES	0.00
040000	CF EXPENSES	72.14-
	** GL 35300 TOTAL	72.14-
35600	DUE TO GENERAL REVENUE	
000000	BALANCE BROUGHT FORWARD	0.00
001500	TRANSFERS	0.00
040000	EXPENSES	0.00
040000	CF EXPENSES	215.75-
310322	SERVICE CHARGE TO GEN REV	144,462.25-
	** GL 35600 TOTAL	144,678.00-

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 316002 FORFEITURE AND INVESTIGATIVE SUPPORT TF

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
38900	REVENUES RECEIVED IN ADVANCE - CURRENT	
000000	BALANCE BROUGHT FORWARD	0.00
001200	FINES, FORFEITURES, JUDGEMENTS, AND PENALTI	0.00
001204	RESTITUTION	10,597.68-
001800	REFUNDS	0.00
	** GL 38900 TOTAL	10,597.68-
47300	DEFERRED INFLOWS - UNAVAILABLE REVENUE	
001200	FINES, FORFEITURES, JUDGEMENTS, AND PENALTI	1,313,551.28-
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	3,553,815.40-
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
94100	ENCUMBRANCES	
060000	CF OPERATING CAPITAL OUTLAY	46,612.22
100021	CF ACQUISITION/MOTOR VEHICLES	580,000.00
	** GL 94100 TOTAL	626,612.22
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
060000	CF OPERATING CAPITAL OUTLAY	46,612.22-
100021	CF ACQUISITION/MOTOR VEHICLES	580,000.00-
	** GL 98100 TOTAL	626,612.22-
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 339064 GRANTS & DONATIONS TRUST FUND LAW ENF-MGT DIV.

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
14100	POOLED INVESTMENTS WITH STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
16200	DUE FROM STATE FUNDS, WITHIN DEPART.	
000000	BALANCE BROUGHT FORWARD	0.00
16352	DEPARTMENT OF COMMUNITY AFFAIRS	
001903	SALES OF GOODS/SERVICES TO STATE AGENCIES	0.00
25200	PREPAID CHARGES - LONG-TERM	
050042	CATEGORY NAME NOT ON TITLE FILE	0.00
050045	CATEGORY NAME NOT ON TITLE FILE	0.00
050046	G/A-NCHIP-STATE AGENCIES	0.00
100057	G/A-COMM & ST/DRUG ABUSE P	0.00
106820	G/A-RES SUB ABUSE TREAT-LG	0.00
106828	G/A-LOC LAW ENF BLOCK GRNT	0.00
106835	G/A-VIO OFF INCAR/TIS-ST	0.00
	** GL 25200 TOTAL	0.00
35100	DUE TO STATE FUNDS, WITHIN DIVISION	
000000	BALANCE BROUGHT FORWARD	0.00
35200	DUE TO STATE FUNDS, WITHIN DEPARTMENT	
030000	OTHER PERSONAL SERVICES	0.00
040000	EXPENSES	0.00
050046	G/A-NCHIP-STATE AGENCIES	0.00
050046	CF G/A-NCHIP-STATE AGENCIES	0.00
	** GL 35200 TOTAL	0.00
35300	DUE TO OTHER DEPARTMENTS	
050046	G/A-NCHIP-STATE AGENCIES	0.00
050046	CF G/A-NCHIP-STATE AGENCIES	0.00
180000	TRANSFERS	0.00
	** GL 35300 TOTAL	0.00
35600	DUE TO GENERAL REVENUE	
030000	OTHER PERSONAL SERVICES	0.00
040000	EXPENSES	0.00
	** GL 35600 TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT		
20 2 339064 GRANTS & DONATIONS TRUST FUND LAW ENF-MGT DIV.		
G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
38800	UNEARNED REVENUE - CURRENT	
000700	U S GRANTS	0.00
38900	REVENUES RECEIVED IN ADVANCE - CURRENT	
000000	BALANCE BROUGHT FORWARD	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT		BEGINNING BALANCE
G-L	G-L ACCOUNT NAME	
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	5,081.31
16300	DUE FROM OTHER DEPARTMENTS	
001510	TRANSFER OF FEDERAL FUNDS	0.00
16400	DUE FROM FEDERAL GOVERNMENT	
000700	U S GRANTS	0.00
32100	ACCRUED SALARIES AND WAGES	
010000	SALARIES AND BENEFITS	0.00
010000	CF SALARIES AND BENEFITS	0.00
	** GL 32100 TOTAL	0.00
35200	DUE TO STATE FUNDS, WITHIN DEPARTMENT	
001510	TRANSFER OF FEDERAL FUNDS	0.00
35300	DUE TO OTHER DEPARTMENTS	
001510	TRANSFER OF FEDERAL FUNDS	0.00
38800	UNEARNED REVENUE - CURRENT	
000700	U S GRANTS	0.00
001510	TRANSFER OF FEDERAL FUNDS	0.00
	** GL 38800 TOTAL	0.00
38900	REVENUES RECEIVED IN ADVANCE - CURRENT	
001510	TRANSFER OF FEDERAL FUNDS	0.00
48800	UNEARNED REVENUE - LONG TERM	
001510	TRANSFER OF FEDERAL FUNDS	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	5,081.31-
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
99100	BUDGETARY FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

BGTRBAL-10 AS OF 07/01/15

71000000000  
BEGINNING TRIAL BALANCE BY FUND  
JULY 01, 2015

DATE RUN 08/10/15  
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710000 DEPARTMENT OF LAW ENFORCEMENT		
20 2 339067 GRANTS & DONATIONS TRUST FUND LAW ENF-STDS DIV.		
G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT  
 20 2 339068 GRANTS & DONATIONS TF FDLE-INFO SYS DIV.

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
16100	DUE FROM STATE FUNDS, WITHIN DIVISION	
001500	TRANSFERS	0.00
16200	DUE FROM STATE FUNDS, WITHIN DEPART.	
001500	TRANSFERS	0.00
001510	TRANSFER OF FEDERAL FUNDS	0.00
	** GL 16200 TOTAL	0.00
16300	DUE FROM OTHER DEPARTMENTS	
001510	TRANSFER OF FEDERAL FUNDS	0.00
31100	ACCOUNTS PAYABLE	
030000	OTHER PERSONAL SERVICES	0.00
35100	DUE TO STATE FUNDS, WITHIN DIVISION	
001500	TRANSFERS	0.00
35200	DUE TO STATE FUNDS, WITHIN DEPARTMENT	
001510	TRANSFER OF FEDERAL FUNDS	0.00
35300	DUE TO OTHER DEPARTMENTS	
001510	TRANSFER OF FEDERAL FUNDS	0.00
38800	UNEARNED REVENUE - CURRENT	
001510	TRANSFER OF FEDERAL FUNDS	0.00
38900	REVENUES RECEIVED IN ADVANCE - CURRENT	
001510	TRANSFER OF FEDERAL FUNDS	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00



710000 DEPARTMENT OF LAW ENFORCEMENT		
20 2 339126 GRANTS & DONATIONS TF-FDLE PUBLIC ASSIST/FRAUD		
G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
16300	DUE FROM OTHER DEPARTMENTS	
001510	TRANSFER OF FEDERAL FUNDS	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT		
20 2 339129 GRANTS AND DONATIONS TF/FDLE-LAW ENFORCMT GRANTS		
G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
14100	POOLED INVESTMENTS WITH STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
31100	ACCOUNTS PAYABLE	
001800	REFUNDS	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT  
20 2 510015 OPERATING TRUST FUND LAW ENF-MGT DIV.  
G-L G-L ACCOUNT NAME  
CAT BEGINNING BALANCE  
12100 UNRELEASED CASH IN STATE TREASURY  
000000 BALANCE BROUGHT FORWARD 0.00  
31100 ACCOUNTS PAYABLE  
040000 EXPENSES 0.00  
040000 CF EXPENSES 0.00  
\*\* GL 31100 TOTAL 0.00  
39900 OTHER CURRENT LIABILITIES  
000000 BALANCE BROUGHT FORWARD 0.00  
920000 CATEGORY NAME NOT ON TITLE FILE 0.00  
\*\* GL 39900 TOTAL 0.00  
54900 COMMITTED FUND BALANCE  
000000 BALANCE BROUGHT FORWARD 0.00  
55100 FUND BALANCE RESERVED FOR ENCUMBRANCES  
000000 BALANCE BROUGHT FORWARD 0.00  
\*\*\* FUND TOTAL 0.00

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 510016 OPERATING TRUST FUND LAW ENF-INFO SYS DIV.

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	47,281,758.61
12400	CASH IN STATE TREASURY UNVERIFIED	
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT	216,596.75
14100	POOLED INVESTMENTS WITH STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
15100	ACCOUNTS RECEIVABLE	
001800	REFUNDS	0.00
001903	SALES OF GOODS/SERVICES TO STATE AGENCIES	0.00
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT	632,441.24
	** GL 15100 TOTAL	632,441.24
15300	INTEREST AND DIVIDENDS RECEIVABLE	
000000	BALANCE BROUGHT FORWARD	0.00
000500	INTEREST	0.00
	** GL 15300 TOTAL	0.00
16200	DUE FROM STATE FUNDS, WITHIN DEPART.	
000000	BALANCE BROUGHT FORWARD	0.00
001800	REFUNDS	565,017.93
010000	SALARIES AND BENEFITS	328,219.06
040000	EXPENSES	277,338.21
100777	CONTRACTED SERVICES	817,668.94
100777 CF	CONTRACTED SERVICES	591,761.02
	** GL 16200 TOTAL	2,580,005.16
16300	DUE FROM OTHER DEPARTMENTS	
001600	DISTRIBUTION-TRANSFERS REQUIRED BY LAW	0.00
001800	REFUNDS	2,925.75
001801	REIMBURSEMENTS	7,177.55
001903	SALES OF GOODS/SERVICES TO STATE AGENCIES	976,271.15
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
	** GL 16300 TOTAL	986,374.45
16400	DUE FROM FEDERAL GOVERNMENT	
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
001970	SALES OF GOODS/SERVICES TO FEDERAL GOVERNME	8,564.54
	** GL 16400 TOTAL	8,564.54

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 510016 OPERATING TRUST FUND LAW ENF-INFO SYS DIV.

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
16500	DUE FROM OTHER GOVERNMENTAL UNITS	
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT	2,652,395.40
31100	ACCOUNTS PAYABLE	
040000	EXPENSES	0.00
040000 CF	EXPENSES	85,205.86-
060000	OPERATING CAPITAL OUTLAY	0.00
060000 CF	OPERATING CAPITAL OUTLAY	393,317.18-
100777	CONTRACTED SERVICES	0.00
100777 CF	CONTRACTED SERVICES	958,217.97-
105281	LEASE/PURCHASE/EQUIPMENT	0.00
105281 CF	LEASE/PURCHASE/EQUIPMENT	1,669.34-
220020	REFUND STATE REVENUES	0.00
	** GL 31100 TOTAL	1,438,410.35-
32100	ACCRUED SALARIES AND WAGES	
010000	SALARIES AND BENEFITS	0.00
010000 CF	SALARIES AND BENEFITS	1,094,613.94-
030000	OTHER PERSONAL SERVICES	0.00
030000 CF	OTHER PERSONAL SERVICES	22,841.29-
102331	OVERTIME	0.00
102331 CF	OVERTIME	9,304.02-
103290	SALARY INCENTIVE PAYMENTS	0.00
103290 CF	SALARY INCENTIVE PAYMENTS	285.32-
	** GL 32100 TOTAL	1,127,044.57-
35200	DUE TO STATE FUNDS, WITHIN DEPARTMENT	
000000	BALANCE BROUGHT FORWARD	0.00
010000	SALARIES AND BENEFITS	26,814.78-
040000	EXPENSES	4.92-
100777	CONTRACTED SERVICES	15.30-
105281	LEASE/PURCHASE/EQUIPMENT	14.92-
	** GL 35200 TOTAL	26,849.92-
35300	DUE TO OTHER DEPARTMENTS	
040000	EXPENSES	203,226.41-
040000 CF	EXPENSES	747,319.41-
100777	CONTRACTED SERVICES	6,560.70-
100777 CF	CONTRACTED SERVICES	3,069.98-
	** GL 35300 TOTAL	960,176.50-
35345	DEPARTMENT OF STATE	
040000	EXPENSES	0.00
040000 CF	EXPENSES	0.00
	** GL 35345 TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 510016 OPERATING TRUST FUND LAW ENF-INFO SYS DIV.

G-L	G-L ACCOUNT NAME	CAT	BEGINNING BALANCE
35372	DEPARTMENT OF GENERAL SERVICES		
040000	EXPENSES		0.00
040000	CF EXPENSES		0.00
	** GL 35372 TOTAL		0.00
35400	DUE TO FEDERAL GOVERNMENT		
310175	FBI ASSESSMENT/FINGERPRINT		1,428,375.75-
35500	DUE TO OTHER GOVERNMENTAL UNITS		
100777	CONTRACTED SERVICES		0.00
100777	CF CONTRACTED SERVICES		30,928.68-
	** GL 35500 TOTAL		30,928.68-
35600	DUE TO GENERAL REVENUE		
040000	EXPENSES		0.00
040000	CF EXPENSES		7,235.50-
310322	SERVICE CHARGE TO GEN REV		868,331.20-
	** GL 35600 TOTAL		875,566.70-
37200	CURRENT CERTIFICATES OF PARTICIPATION		
060000	OPERATING CAPITAL OUTLAY		0.00
38600	CURRENT COMPENSATED ABSENCES LIABILITY		
010000	SALARIES AND BENEFITS		0.00
010000	CF SALARIES AND BENEFITS		62,389.38-
102331	OVERTIME		0.00
	** GL 38600 TOTAL		62,389.38-
38900	REVENUES RECEIVED IN ADVANCE - CURRENT		
001202	PENALTIES		0.00
001903	SALES OF GOODS/SERVICES TO STATE AGENCIES		155,864.54-
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT		94,236.64-
	** GL 38900 TOTAL		250,101.18-
38901	DEFERRED REVENUE - ESCROW ACCOUNTS		
001903	SALES OF GOODS/SERVICES TO STATE AGENCIES		0.00
001905	SALE OF SERVICES OUTSIDE STATE GOVERNMENT		34,977.44-
	** GL 38901 TOTAL		34,977.44-
54900	COMMITTED FUND BALANCE		
000000	BALANCE BROUGHT FORWARD		48,123,315.68-

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 510016 OPERATING TRUST FUND LAW ENF-INFO SYS DIV.

G-L	G-L ACCOUNT NAME	CAT	BEGINNING BALANCE
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES		
000000	BALANCE BROUGHT FORWARD		0.00
55600	RESERVED FOR FCO AND GRANTS/AID - FCO		
000000	BALANCE BROUGHT FORWARD		0.00
084419	08 MINOR REP/REN REG FAC		0.00
084419	09 MINOR REP/REN REG FAC		0.00
084419	10 MINOR REP/REN REG FAC		0.00
	** GL 55600 TOTAL		0.00
94100	ENCUMBRANCES		
040000	CF EXPENSES		206,894.69
050011	CF CRIMINAL INVESTIGATIONS		762,346.66
060000	CF OPERATING CAPITAL OUTLAY		839,408.59
100021	CF ACQUISITION/MOTOR VEHICLES		74,292.00
100777	CONTRACTED SERVICES		32.00
100777	CF CONTRACTED SERVICES		489,826.40
105281	CF LEASE/PURCHASE/EQUIPMENT		1,385.55
	** GL 94100 TOTAL		2,374,185.89
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE		
000000	BALANCE BROUGHT FORWARD		194,081.91
030000	OTHER PERSONAL SERVICES		109,914.25-
040000	EXPENSES		27,523.26-
040000	CF EXPENSES		206,894.69-
050011	CF CRIMINAL INVESTIGATIONS		762,346.66-
060000	OPERATING CAPITAL OUTLAY		3,979.80-
060000	CF OPERATING CAPITAL OUTLAY		839,408.59-
100021	CF ACQUISITION/MOTOR VEHICLES		74,292.00-
100777	CONTRACTED SERVICES		52,696.60-
100777	CF CONTRACTED SERVICES		489,826.40-
105281	CF LEASE/PURCHASE/EQUIPMENT		1,385.55-
	** GL 98100 TOTAL		2,374,185.89-
99100	BUDGETARY FUND BALANCE		
000000	BALANCE BROUGHT FORWARD		0.00
	*** FUND TOTAL		0.00

710000 DEPARTMENT OF LAW ENFORCEMENT  
 20 2 510017 OPERATING TRUST FUND

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	5,101,306.41
16200	DUE FROM STATE FUNDS, WITHIN DEPART.	
010000	SALARIES AND BENEFITS	26,814.78
040000	EXPENSES	4.92
100777	CONTRACTED SERVICES	15.30
105281	LEASE/PURCHASE/EQUIPMENT	14.92
	** GL 16200 TOTAL	26,849.92
31100	ACCOUNTS PAYABLE	
040000	EXPENSES	0.00
040000	CF EXPENSES	68.99-
105281	LEASE/PURCHASE/EQUIPMENT	0.00
105281	CF LEASE/PURCHASE/EQUIPMENT	3.23-
	** GL 31100 TOTAL	72.22-
32100	ACCRUED SALARIES AND WAGES	
010000	SALARIES AND BENEFITS	0.00
010000	CF SALARIES AND BENEFITS	8,279.60-
	** GL 32100 TOTAL	8,279.60-
35200	DUE TO STATE FUNDS, WITHIN DEPARTMENT	
010000	SALARIES AND BENEFITS	0.00
010000	CF SALARIES AND BENEFITS	4,477.06-
040000	EXPENSES	0.00
040000	CF EXPENSES	2,579.03-
100777	CONTRACTED SERVICES	0.00
100777	CF CONTRACTED SERVICES	8,788.14-
	** GL 35200 TOTAL	15,844.23-
35300	DUE TO OTHER DEPARTMENTS	
040000	EXPENSES	0.00
040000	CF EXPENSES	317.40-
100777	CONTRACTED SERVICES	0.00
100777	CF CONTRACTED SERVICES	139.48-
	** GL 35300 TOTAL	456.88-
35600	DUE TO GENERAL REVENUE	
310322	SERVICE CHARGE TO GEN REV	13,643.50-
38600	CURRENT COMPENSATED ABSENCES LIABILITY	
010000	SALARIES AND BENEFITS	0.00
010000	CF SALARIES AND BENEFITS	2,685.79-
	** GL 38600 TOTAL	2,685.79-



710000 DEPARTMENT OF LAW ENFORCEMENT  
20 2 510017 OPERATING TRUST FUND

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	5,087,174.11-
94100	ENCUMBRANCES	
040000	CF EXPENSES	56.66
050046	G/A-NCHIP-STATE AGENCIES	138,738.97
	** GL 94100 TOTAL	138,795.63
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
040000	CF EXPENSES	56.66-
050046	G/A-NCHIP-STATE AGENCIES	138,738.97-
	** GL 98100 TOTAL	138,795.63-
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 510018 OPERATING TRUST FUND FDLE-CAPITAL POLICE

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	2,111,315.13
15100	ACCOUNTS RECEIVABLE	
001800	REFUNDS	169.36
31100	ACCOUNTS PAYABLE	
040000	EXPENSES	0.00
040000	CF EXPENSES	10,336.75-
100777	CONTRACTED SERVICES	0.00
100777	CF CONTRACTED SERVICES	185.50-
105281	LEASE/PURCHASE/EQUIPMENT	0.00
105281	CF LEASE/PURCHASE/EQUIPMENT	254.42-
	** GL 31100 TOTAL	10,776.67-
32100	ACCRUED SALARIES AND WAGES	
010000	SALARIES AND BENEFITS	0.00
010000	CF SALARIES AND BENEFITS	168,894.42-
103290	SALARY INCENTIVE PAYMENTS	0.00
103290	CF SALARY INCENTIVE PAYMENTS	4,939.57-
	** GL 32100 TOTAL	173,833.99-
35300	DUE TO OTHER DEPARTMENTS	
040000	EXPENSES	0.00
040000	CF EXPENSES	1,798.27-
	** GL 35300 TOTAL	1,798.27-
38600	CURRENT COMPENSATED ABSENCES LIABILITY	
010000	SALARIES AND BENEFITS	0.00
010000	CF SALARIES AND BENEFITS	7,058.44-
	** GL 38600 TOTAL	7,058.44-
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
57400	RESTRICTED BY ENABLING LEGISLATION	
000000	BALANCE BROUGHT FORWARD	1,918,017.12-
94100	ENCUMBRANCES	
040000	CF EXPENSES	8,743.25
060000	CF OPERATING CAPITAL OUTLAY	32,200.00
105281	CF LEASE/PURCHASE/EQUIPMENT	62.59
	** GL 94100 TOTAL	41,005.84

BGTRBAL-10 AS OF 07/01/15

71000000000  
BEGINNING TRIAL BALANCE BY FUND  
JULY 01, 2015

DATE RUN 08/10/15  
PAGE 26

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 510018 OPERATING TRUST FUND FDLE-CAPITAL POLICE

G-L G-L ACCOUNT NAME

CAT

BEGINNING BALANCE

98100 BUDGETARY FND BAL RESERVED/ENCUMBRANCE

040000 CF EXPENSES 8,743.25-

060000 CF OPERATING CAPITAL OUTLAY 32,200.00-

105281 CF LEASE/PURCHASE/EQUIPMENT 62.59-

\*\* GL 98100 TOTAL 41,005.84-

\*\*\* FUND TOTAL 0.00

710000 DEPARTMENT OF LAW ENFORCEMENT  
20 2 600002 REVOLVING TRUST FUND FDLE-MGT DIV.  
G-L G-L ACCOUNT NAME

CAT	BEGINNING BALANCE
11100 CASH ON HAND	
000000 BALANCE BROUGHT FORWARD	0.00
12100 UNRELEASED CASH IN STATE TREASURY	
000000 BALANCE BROUGHT FORWARD	1,000,000.00
16400 DUE FROM FEDERAL GOVERNMENT	
000000 BALANCE BROUGHT FORWARD	0.00
35600 DUE TO GENERAL REVENUE	
001800 REFUNDS	0.00
45100 ADVANCES FROM OTHER FUNDS BETWEEN DEPA	
000000 BALANCE BROUGHT FORWARD	1,000,000.00-
54900 COMMITTED FUND BALANCE	
000000 BALANCE BROUGHT FORWARD	0.00
*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT

20 2 719001 FEDERAL EQUITABLE SHARING/LAW ENFORCEMENT

G-L	G-L ACCOUNT NAME	BEGINNING BALANCE
CAT		
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	2,136,738.28
14100	POOLED INVESTMENTS WITH STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
15300	INTEREST AND DIVIDENDS RECEIVABLE	
000000	BALANCE BROUGHT FORWARD	0.00
000500	INTEREST	0.00
	** GL 15300 TOTAL	0.00
16200	DUE FROM STATE FUNDS, WITHIN DEPART.	
001800	REFUNDS	2,790.41
001801	REIMBURSEMENTS	10,016.67
	** GL 16200 TOTAL	12,807.08
32100	ACCRUED SALARIES AND WAGES	
102331	OVERTIME	0.00
102331	CF OVERTIME	83,539.27-
	** GL 32100 TOTAL	83,539.27-
35500	DUE TO OTHER GOVERNMENTAL UNITS	
102009	G/A-SPECIAL PROJECTS	0.00
102009	CF G/A-SPECIAL PROJECTS	1,500.00-
	** GL 35500 TOTAL	1,500.00-
38600	CURRENT COMPENSATED ABSENCES LIABILITY	
102331	OVERTIME	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
57200	RESTRICTED BY FEDERAL GOVERNMENT	
000000	BALANCE BROUGHT FORWARD	2,064,506.09-
94100	ENCUMBRANCES	
102009	CF G/A-SPECIAL PROJECTS	12,481.45
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
102009	CF G/A-SPECIAL PROJECTS	12,481.45-
	*** FUND TOTAL	0.00

The Florida Department of Law Enforcement  
Request for Approval of Temporary Special Duty – General  
Pay Additives and Implementation Plan  
For FY 2016 – 2017

The Florida Department of Law Enforcement (FDLE) requests approval to implement Temporary Special Duty – General pay additives as necessary for FY 2016 - 2017. The agency is not requesting any additional rate or appropriations for these additives. In accordance with previous rule authority in 60L-32.0012, Florida Administrative Code, the agency has used existing rate and salary appropriations to grant pay additives when warranted based on the duties and the responsibilities of the position.

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

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

Continue Current Additives

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

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

Historical Data

During FY 2014 - 2015, the agency requested and received approval to implement ten Temporary Special Duty additives for added duties for out-of-title work and one Temporary Special Duty additive for absent co-worker. The positions to which these were granted varied but included the following classes:

- Special Agent
- Senior Crime Laboratory Analyst II
- Administrative Assistant II

As of September 2015, the agency has two members receiving Temporary Special Duty additives in the following classes:

- Special Agent Supervisor
- Special Agent

## Requested Temporary Special Duty Pay Additives for FY 2016 - 2017

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

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

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

### **Collective Bargaining Agreements Impacted**

#### **State of Florida and the Police Benevolent Association – Law Enforcement**

##### Article 21

##### Compensation for Temporary Special Duty in Higher Level Position

##### Section 1 - Eligibility

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

##### Article 25

##### Wages

##### Section 1 - Pay Provisions - General

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

#### **State of Florida and the Police Benevolent Association – Special Agent**

##### Article 21

##### Compensation for Temporary Special Duty in Higher Level Position

##### Section 1 - Eligibility

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

##### Article 25

##### Wages

##### Section 1 – General Pay Provisions

(B) Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2016-2017 General Appropriations Act.

## **AFSCME Master Contact**

### Article 21

#### Compensation for Temporary Special Duty in Higher Position

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

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

### Article 25

#### Wages

##### Section 1 – General Pay Provisions

(B) Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2016-2017 General Appropriations Act.

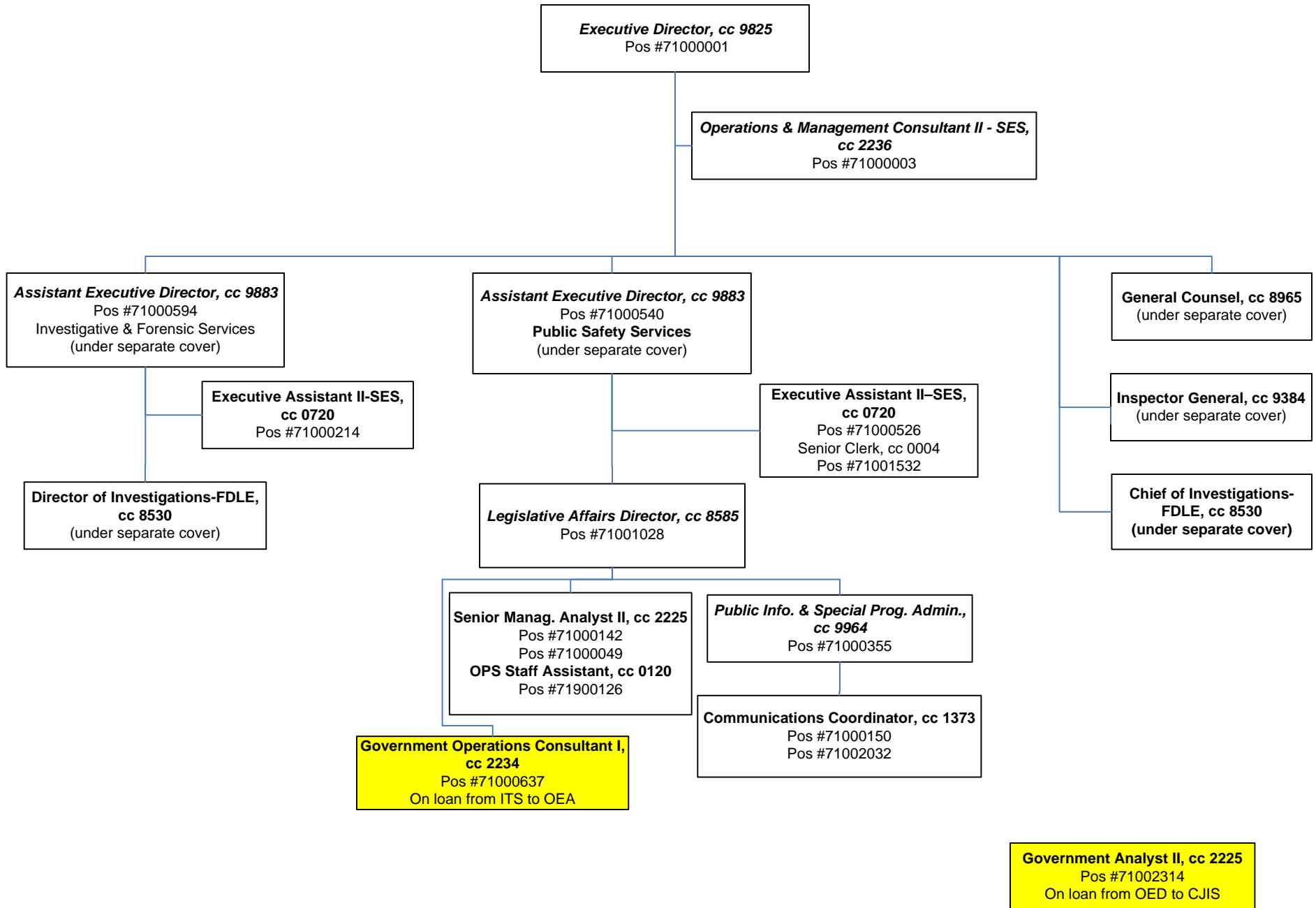


## Schedule VII: Agency Litigation Inventory

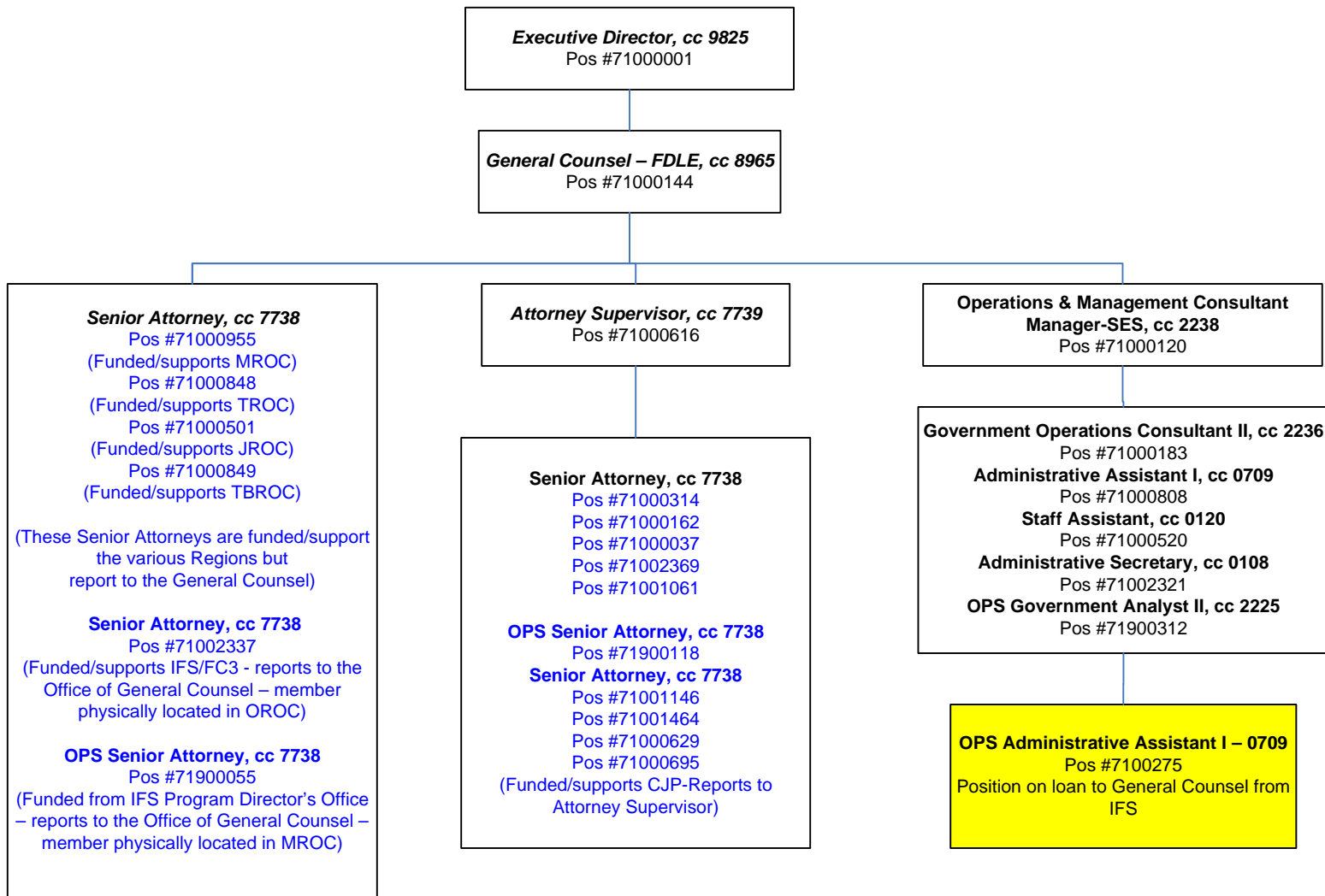
*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.*

<b>Agency:</b>	<b><u>Florida Department of Law Enforcement</u></b>		
<b>Contact Person:</b>	<b><u>James D. Martin</u></b>	<b>Phone Number:</b>	<b><u>850-410-7679</u></b>
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	<b><u>None</u></b>		
<b>Court with Jurisdiction:</b>			
<b>Case Number:</b>			
<b>Summary of the Complaint:</b>			
<b>Amount of the Claim:</b>	\$		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>			
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>		Agency Counsel	
		Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>			

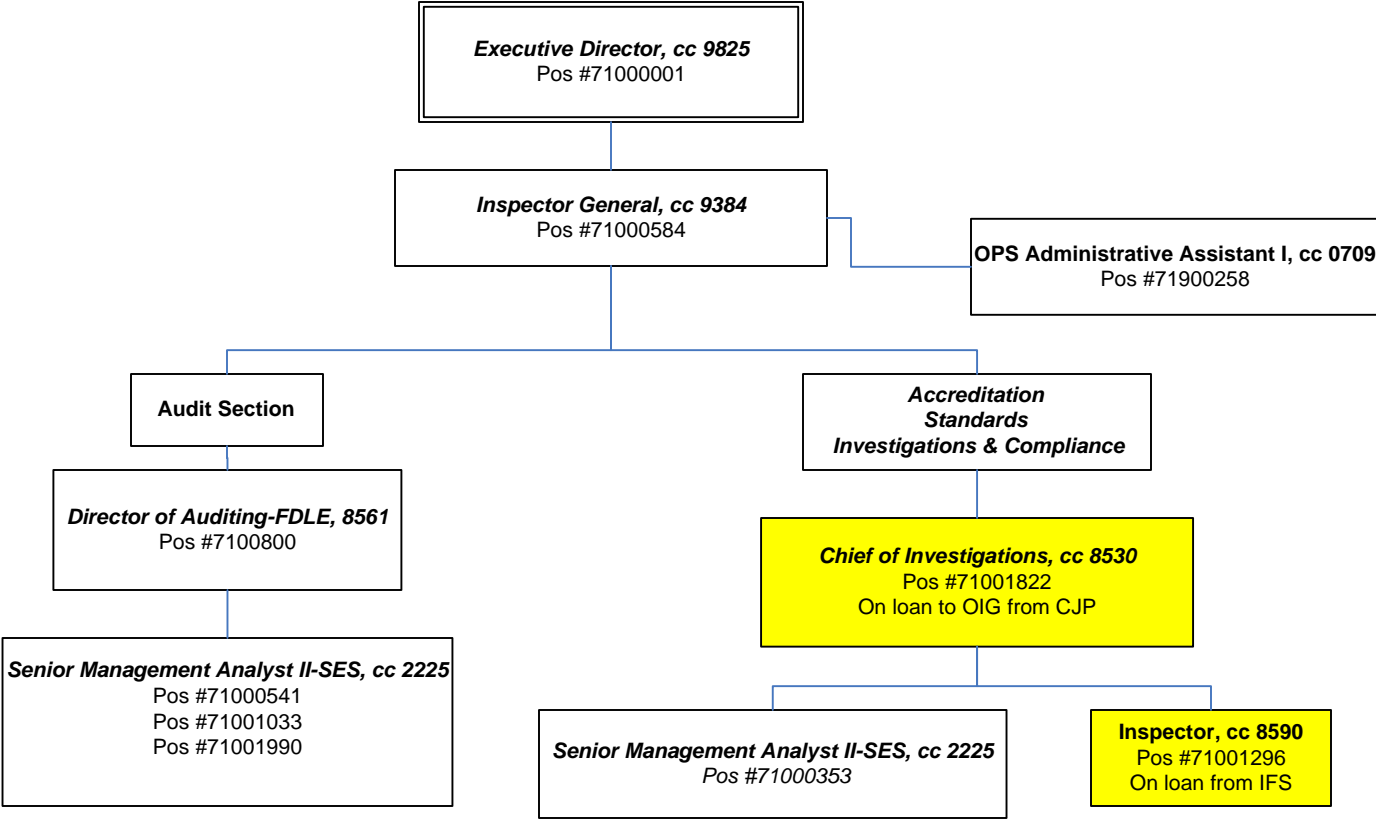
Florida Department of Law Enforcement  
Office of the Executive Director



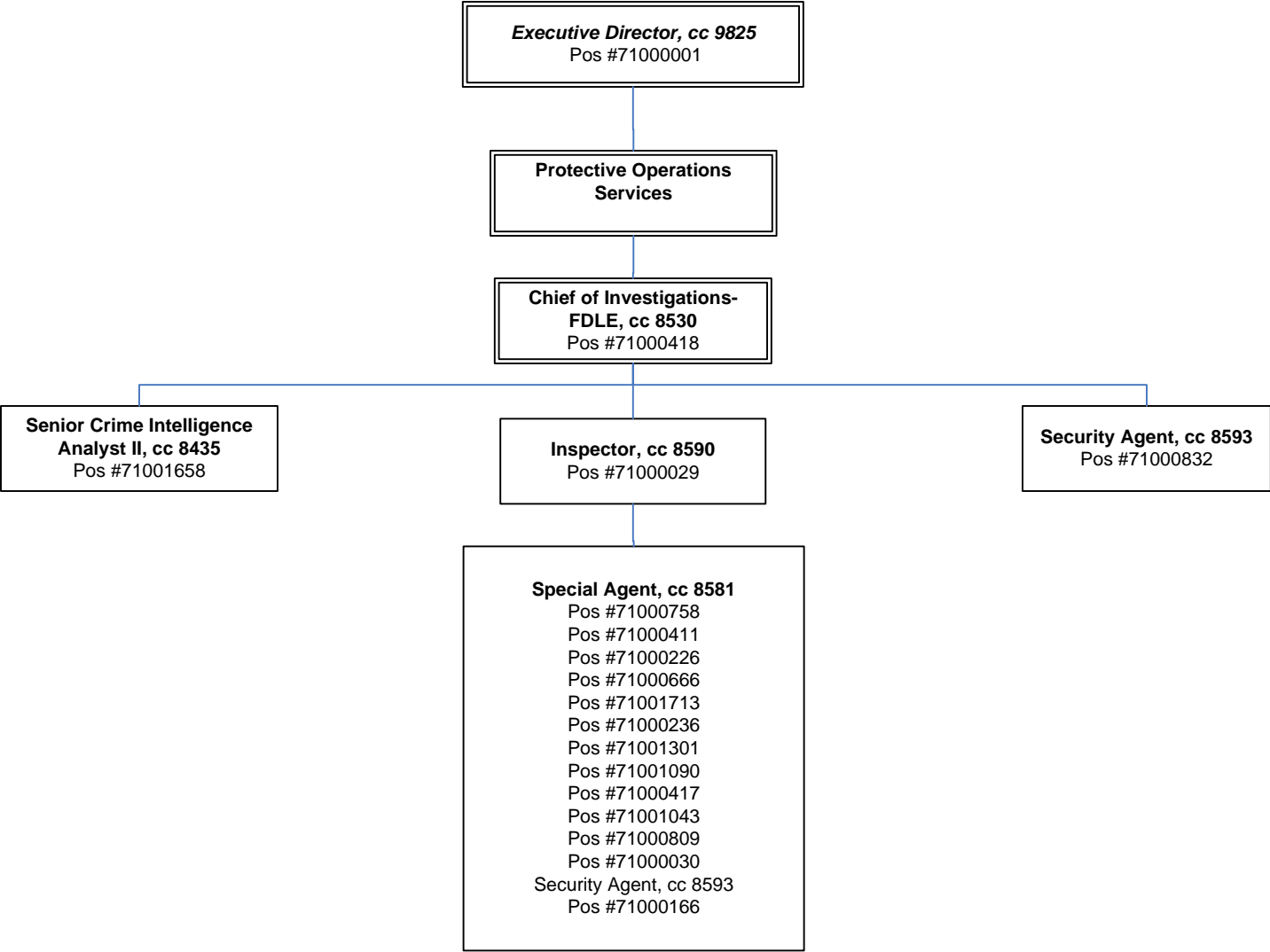
Florida Department of Law Enforcement  
Office of the General Counsel



Florida Department of Law Enforcement  
Office of Inspector General



Florida Department of Law Enforcement  
Office of the Executive Director  
Protective Operations Services



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

**Executive Director, cc 9825**  
Pos #71000001

**Director of Investigations-  
FDLE**  
Pos # 71000382

**Business Support**

**Sr. Crime Intelligence Analyst  
Supervisor-SES, cc 8437**  
Pos #71001256

**Crime Intelligence Analyst II, cc 8436**  
Pos# 71001000  
**Crime Intelligence Analyst I, cc 8433**  
Pos #71000670  
**OPS Administrative Assistant I, cc 0709**  
Pos #71900025  
**OPS Crime Intelligence Analyst I, cc 8433**  
Pos #71900141

**Background  
Investigations**

**Sr. Crime Intelligence Analyst  
Supervisor-SES, cc 8437**  
Pos #71000413

**Sr. Crime Intelligence Analyst I, cc 8434**  
Pos #71000442  
**Crime Intelligence Analyst II, cc 8436**  
Pos # 71000064  
Pos #71002233  
**Crime Intelligence Analyst I, cc 8433**  
Pos #71000554  
Pos #71000774  
**OPS Crime Intelligence Analyst I, cc 8433**  
Pos #71900163  
Pos #71900290

**Public Corruption/  
Complaint Reviews**

**SAS, cc 8584**  
Pos #71000585

**Inspector, cc 8590**  
Pos #71000070  
Pos #71000505  
Pos #71000763  
Pos #71000942  
**Special Agent, cc 8581**  
Pos #71000515  
**Sr. Crime Intelligence Analyst II, cc 8435**  
Pos #71000510  
**Sr. Crime Intelligence Analyst I, cc 8434**  
Pos #71000547

**Inspector, cc 8590**  
Pos #71002286  
Position on loan from IFS Program Office

**Professional  
Standards**

**SAS, cc 8584**  
Pos #71000421

**Inspector, cc 8590**  
Pos #71000013  
Pos #71000332  
Pos #71000365  
Pos #71000419  
**Crime Intelligence Analyst II, cc 8436**  
Pos #71000322

**Inspector, cc 8590**  
Pos #71000818  
Position on loan to IFS Program  
Office

Florida Department of Law Enforcement  
Business Support Program  
Director's Office

**Assistant Executive Director - FDLE, cc 9883**  
Pos #71000540

**Director of Business Support Program, cc 9586**  
Pos #71000772

**Administrative Assistant II - SES, cc 0712**  
Pos #71001111

**Assistant Director of Administration –  
SES, cc 8709**  
Pos #71001298

**Special Projects**  
**Senior Management Analyst II – SES, cc 2225**  
Pos #71000384

**Office of General Services**  
(under separate cover)

**Office of Financial  
Management**  
(under separate cover)

**Office of Human Resources**  
(under separate cover)

**Chief of Planning & Budgeting, cc 7873**  
Pos #71000151

**Office of Criminal Justice Grants**  
(under separate cover)

**Contracts & Grant  
Governmental  
Accountability, Facts  
Management, Contract  
Administration**

**BUDGET**

**GRANTS**

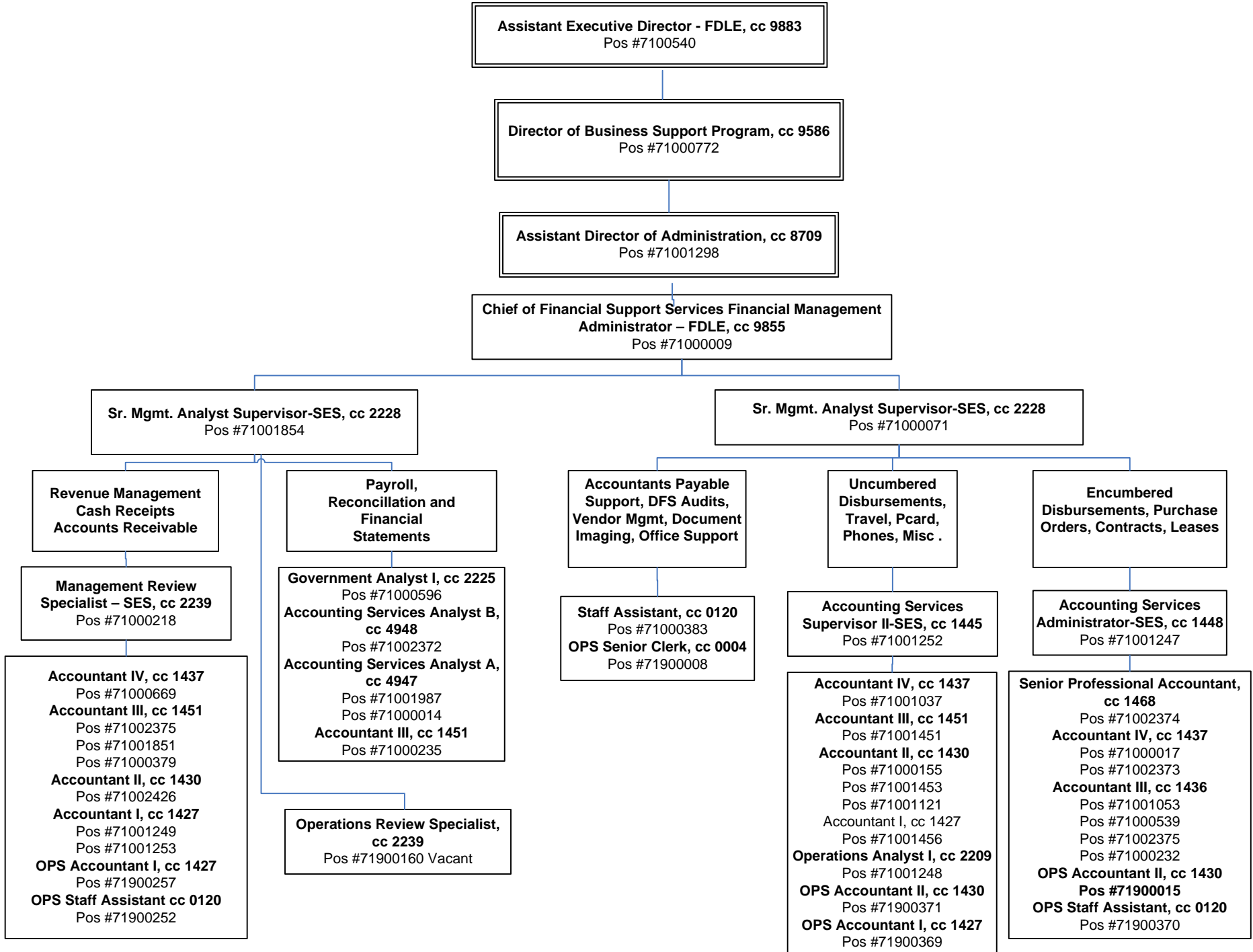
**Government Operations  
Consultant III, cc 2238**  
Pos #71002371  
**Government Operations  
Consultant II, cc 2236**  
Pos #71002425  
**OPS Operations Review  
Specialist, cc 2239**  
Pos #71900160

**Senior Management Analyst II, cc 2225**  
Pos #71000384  
**Operations & Mgmt. Consultant II –  
SES, cc 2236**  
Pos #71000038  
Pos #71000619  
**Government Operations Consultant III,  
cc 2238**  
Pos #71002371

**Senior Management Analyst  
Supervisor – SES, cc 2228**  
Pos. #71000783

**Accountant III, cc 1436**  
Pos #71000431  
**Accountant IV, cc 1437**  
Pos #71000012  
Pos #71001251  
**Accounting Services Analyst  
A, cc 4947**  
Pos #71001972  
**OPS Accountant I, cc 1427**  
Pos #71900009

Florida Department of Law Enforcement  
 Business Support Program  
 Office of Financial Management





Florida Department of Law Enforcement  
Business Support Program  
Office of Human Resources

**Assistant Executive Director - FDLE, cc 9883**  
Pos #7100540

**Director of Business Support Program -  
FDLE, cc 9586**  
Pos #71000772

**Assistant Director of Administration – SES, cc 8709**  
Pos #71001298

**Chief of Human Resource Management, cc 9756**  
Pos #71000141

**EMPLOYEE RELATIONS/ADA/EEO/EAP**  
**Senior Management Analyst II – SES, cc 2225**  
Pos #71000749

**Senior Management Analyst Supervisor – SES, cc 2228**  
Pos #71000560

**Senior Management Analyst Supervisor – SES, cc 2228**  
Pos #71002305

**RECRUITMENT**  
**Personnel Services Specialist – SES, cc 1015**  
Pos #71001567

**SELECTION/HUMAN RESOURCE COORDINATORS**  
**Personnel Services Specialist – SES, cc 1015**  
Pos #71000148  
Pos #71000680  
Pos #71000490  
**Senior Management Analyst II – SES, cc 2225**  
Pos #71002304

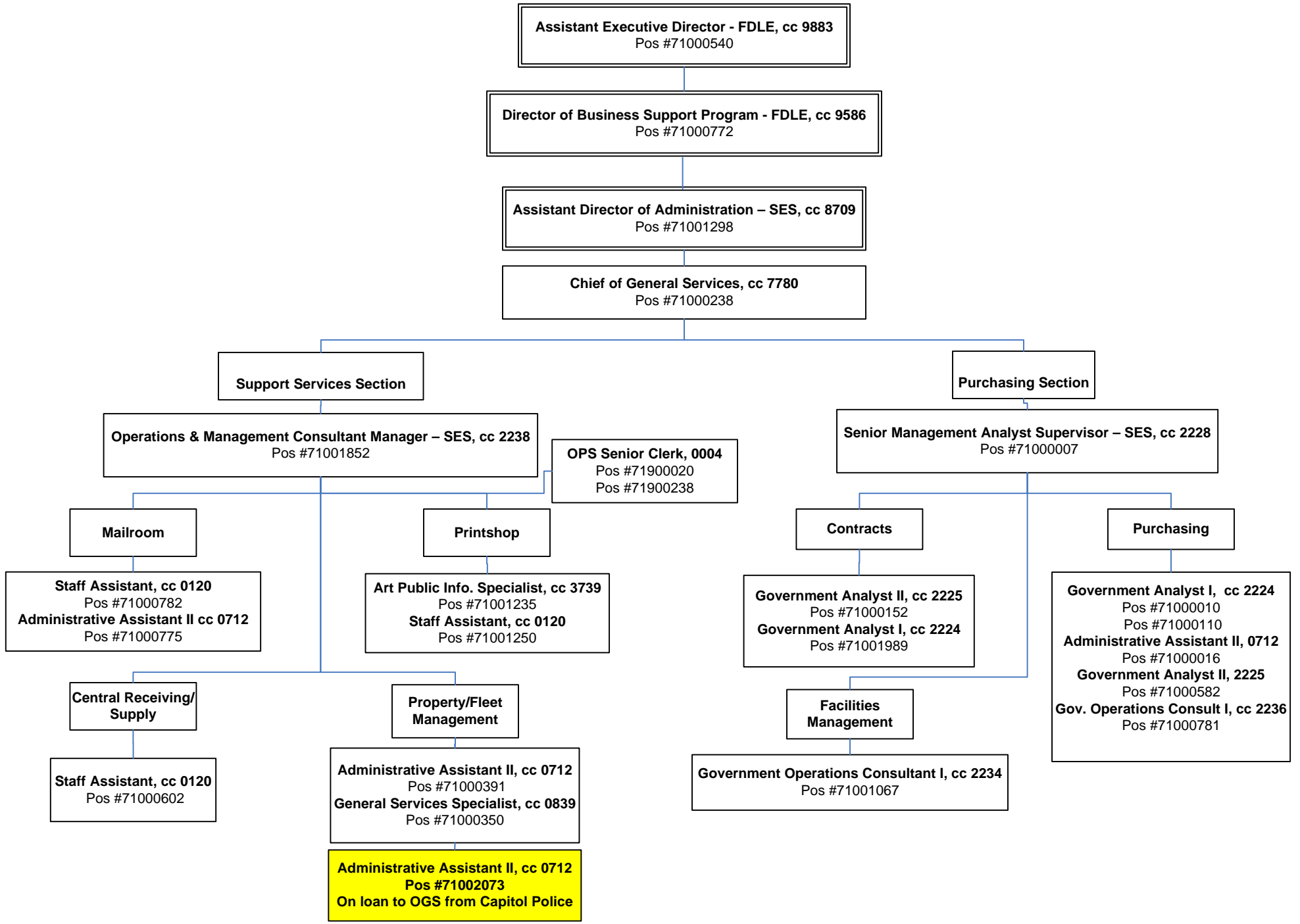
**FMLA/FSWP/WORKERS' COMP**  
**Senior Management Analyst II – SES, cc 2225**  
Pos #71000309

**ATTENDANCE AND LEAVE**  
**Personnel Services Specialist – SES, cc 1015**  
Pos #71000083  
Pos #71002376

**BENEFITS/IMPROMPTU REPORTS**  
**Personnel Services Specialist – SES, cc 1015**  
Pos #71000147

**ADMINISTRATIVE/PERSONNEL FILES**  
**Administrative Assistant II – SES, cc 0709**  
Pos #71000790  
**Personnel Technician I – SES, cc 1006**  
Pos #71002370

Florida Department of Law Enforcement  
Business Support Program  
Office of General Services



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

**Assistant Executive Director - FDLE, cc 9883**  
Pos #71000540

**Director of Business Support Program, cc 9586**  
Pos #71000772

**Assistant Director of Administration, cc 8709**  
Pos #71001298

**Chief of Planning & Performance, cc 4591**  
Pos #71001971

**Government Analyst II, cc 2225**  
Pos #71002288  
**Staff Assistant, cc 0120**  
Pos #71001993  
**OPS Administrative Assistant I, cc 709**  
Pos #71900127  
**OPS Clerk Specialist, cc 0003**  
Pos #71900240  
**OPS Senior Clerk, cc 0004**  
Pos #71900150

**BYRNE/NCHIP  
Unit**

**Criminal Justice  
Initiatives Unit**

**Senior Management Analyst  
Supervisor – SES, cc 2228**  
Pos #71001976

**Senior Management Analyst  
Supervisor – SES, cc 2228**  
Pos #71001985

**Government Operations  
Consultant I, cc 2234**  
Pos #71001992

**Planner IV, cc 2322**  
Pos #71001974  
**Community Assistant Consultant, cc 2515**  
Pos #71001981  
Pos #71001991  
**Government Operations Consultant I, cc 2234**  
Pos #71001977  
Pos #71001980  
Pos #71001982  
**Staff Assistant, cc 0120**  
Pos #71001984  
**Government Analyst I, cc 2224**  
Pos #71001979  
Pos #71001986

**Planner IV, cc 2322**  
Pos #71001983  
**Government Operations Consultant II, cc 2236**  
Pos #71001975  
**Government Operations Consultant I, cc 2234**  
Pos #71001988  
**Operations Review Specialist, cc 2239**  
Pos #71002424

Florida Department of Law Enforcement  
Capitol Police

**Director of Capitol Police, cc 9736**  
Pos #71002067

**Chief of Law Enforcement Services, cc 8383**  
Pos #71002068

**Administrative Secretary-SES, cc 0108**  
Pos #71002089  
**Sr. Manag. Analyst I- SES, cc 2224**  
Pos #71002092

**PATROL**  
**LE Lieutenant, cc 8522**  
Pos #71002081  
(Day Shift / Afternoon Shift)

**PATROL**  
**LE Lieutenant, cc 8522**  
Pos #71002087  
(Midnight Shift / Special Operations)

**LE Sergeant, cc 8519**  
Pos #71002106  
**LE Officer, cc 8515**  
Pos #71002143  
Pos #71002135  
Pos #71002099  
Pos #71002078  
Pos #71002110  
Pos #71002129  
Pos #71002071

**LE Sergeant, cc 8519**  
Pos #71002123  
**LE Officer, cc 8515**  
Pos #71002071  
Pos #71002131  
Pos #71002082  
Pos #71002069  
Pos #71002090  
Pos #71002126  
Pos #71002105

**LE Sergeant, cc 8519**  
Pos #71002153  
**LE Officer, cc 8515**  
Pos #71002116  
Pos #71002100  
Pos #71002147  
Pos #71002133

**LE Officer, cc 8515**  
Pos #71002138  
**Government Analyst II, cc 2225**  
Pos #71002102

**LE Sergeant, cc 8519**  
Pos #71002151  
**LE Officer, cc 8515**  
Pos #71002122  
Pos #71002149  
Pos #71002074  
Pos #71002091  
Pos #71002084  
Pos #71002128  
Pos #71002118

**LE Sergeant, cc 8519**  
Pos #71002085  
**LE Officer, cc 8515**  
Pos #71002079  
Pos #71002134  
Pos #71002136  
Pos #71002114  
**Security Officer, cc 8206**  
Pos #71002095

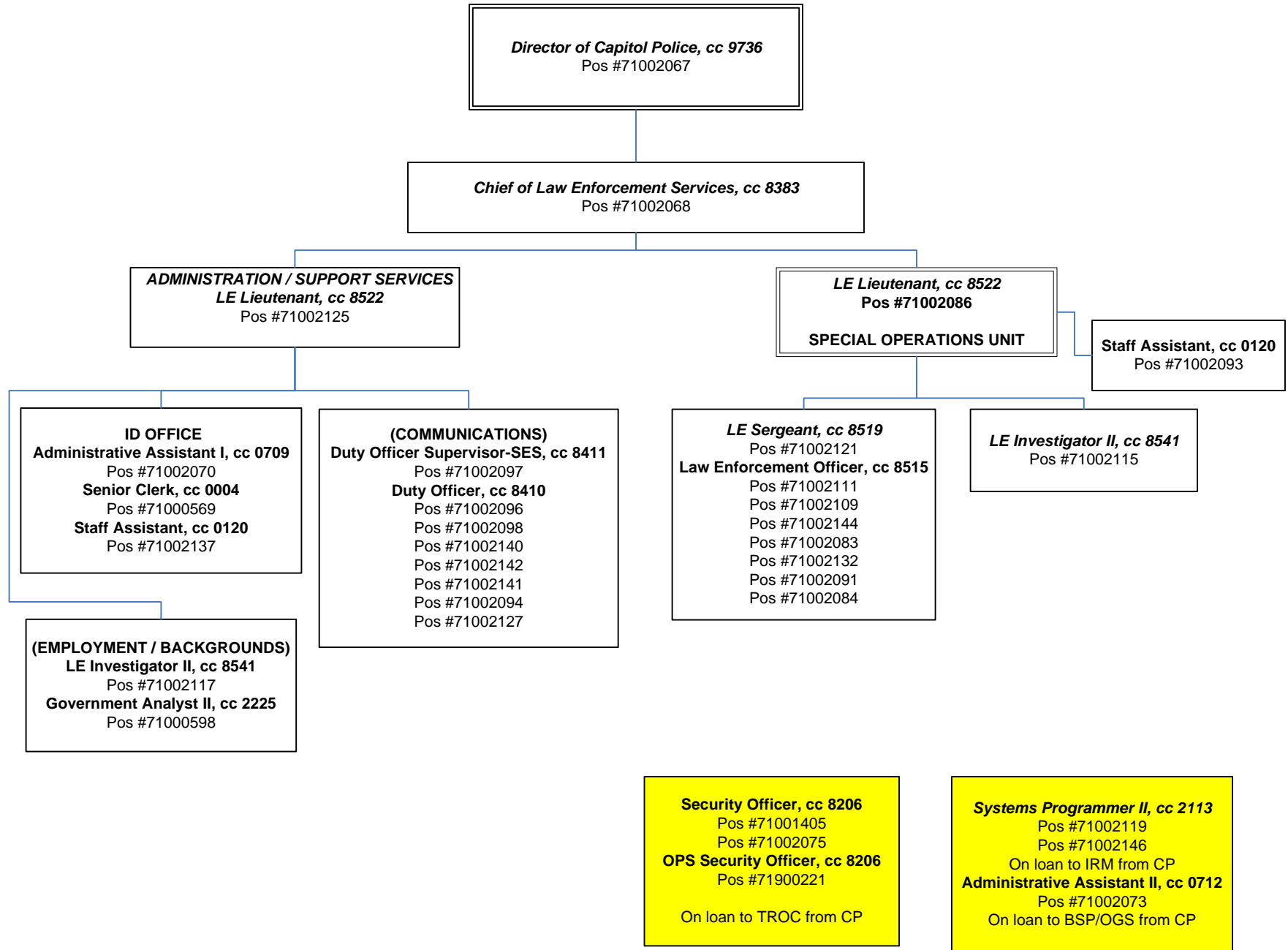
**LE Sergeant, cc 8519**  
Pos #71002080  
**LE Officer, cc 8515**  
Pos #71002088  
Pos #71002077  
Pos #71002152  
Pos #71002130  
Pos #71002101  
Pos #71002145  
Pos #71002104  
Pos #71002120

**DIRECTED PATROL**  
**LE Sergeant, cc 8519**  
Pos #71002150  
**LE Officer, cc 8515**  
Pos #71002103  
Pos #71002124  
Pos #71002112  
Pos #71002108

**LE Sergeant, cc 8519**  
Pos #71002072  
**LE Officer, cc 8515**  
Pos #71002076  
Pos #71002148  
Pos #71002139  
Pos #71002107

**Security Agent, cc 8593**  
Pos #71002113  
On loan to TROC

Florida Department of Law Enforcement  
Capitol Police



**Director of Capitol Police, cc 9736**  
Pos #71002067

**Chief of Law Enforcement Services, cc 8383**  
Pos #71002068

**ADMINISTRATION / SUPPORT SERVICES**  
**LE Lieutenant, cc 8522**  
Pos #71002125

**LE Lieutenant, cc 8522**  
**Pos #71002086**  
**SPECIAL OPERATIONS UNIT**

**Staff Assistant, cc 0120**  
Pos #71002093

**ID OFFICE**  
**Administrative Assistant I, cc 0709**  
Pos #71002070  
**Senior Clerk, cc 0004**  
Pos #71000569  
**Staff Assistant, cc 0120**  
Pos #71002137

**(COMMUNICATIONS)**  
**Duty Officer Supervisor-SES, cc 8411**  
Pos #71002097  
**Duty Officer, cc 8410**  
Pos #71002096  
Pos #71002098  
Pos #71002140  
Pos #71002142  
Pos #71002141  
Pos #71002094  
Pos #71002127

**LE Sergeant, cc 8519**  
Pos #71002121  
**Law Enforcement Officer, cc 8515**  
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Pos #71002109  
Pos #71002144  
Pos #71002083  
Pos #71002132  
Pos #71002091  
Pos #71002084

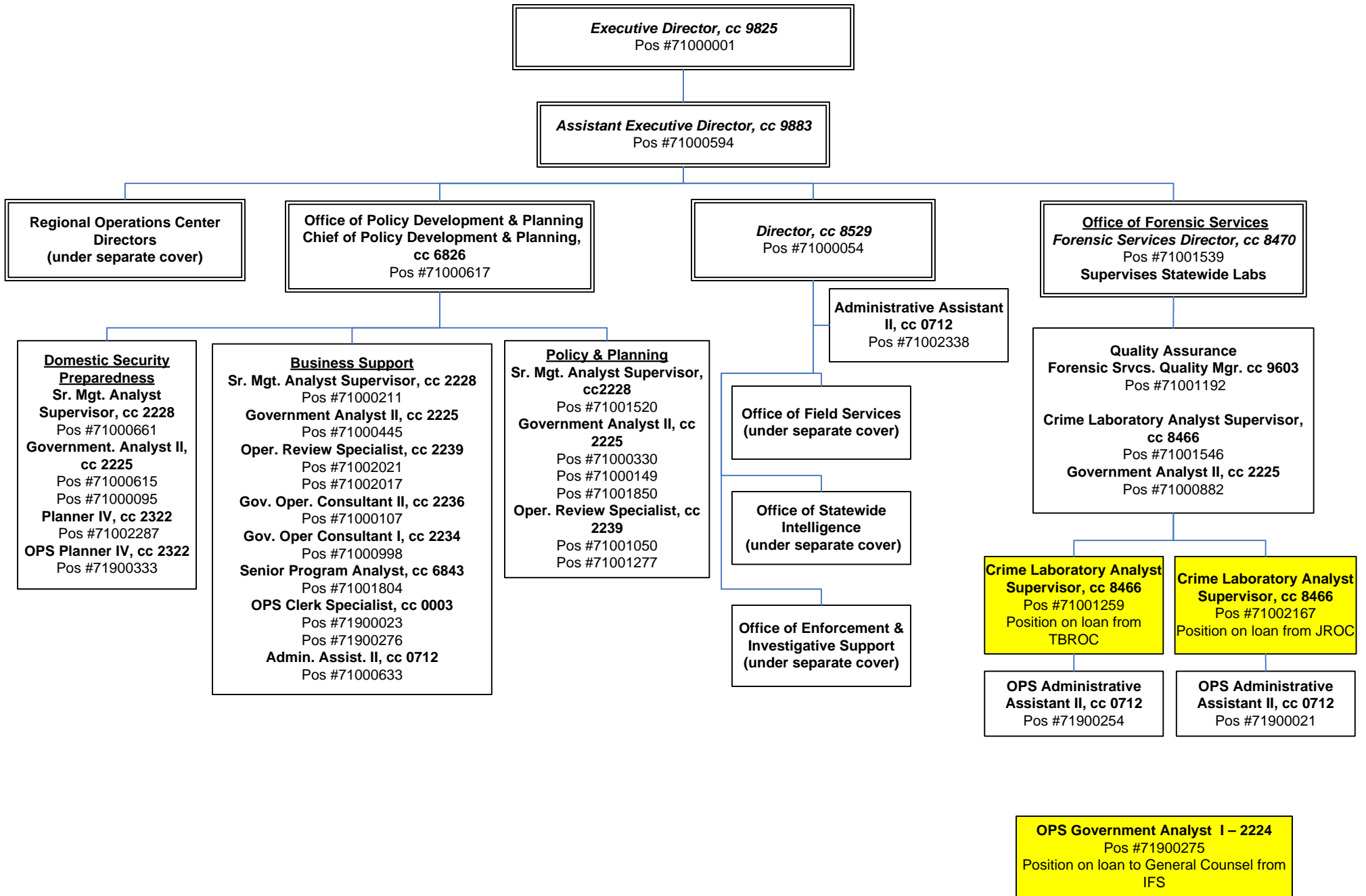
**LE Investigator II, cc 8541**  
Pos #71002115

**(EMPLOYMENT / BACKGROUNDS)**  
**LE Investigator II, cc 8541**  
Pos #71002117  
**Government Analyst II, cc 2225**  
Pos #71000598

**Security Officer, cc 8206**  
Pos #71001405  
Pos #71002075  
**OPS Security Officer, cc 8206**  
Pos #71900221  
  
On loan to TROC from CP

**Systems Programmer II, cc 2113**  
Pos #71002119  
Pos #71002146  
On loan to IRM from CP  
**Administrative Assistant II, cc 0712**  
Pos #71002073  
On loan to BSP/OGS from CP

Florida Department of Law Enforcement  
Investigations and Forensic Science Program



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

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Director, Statewide Intelligence, cc 8530**  
Pos #71000820

**OPS Executive Secretary, cc 0114**  
Pos #71900190

**Florida Fusion Center**  
**Chief of Crime Intelligence & Analytical Support, cc 5926**  
Pos #71002022

**Florida Intelligence Center**  
**Chief of Investigations, cc 8530**  
Pos #71000324

**Intelligence Watch & Warning**  
**Senior Crime Intelligence Analyst Supervisor, cc 8437**  
Pos #71002285  
**Senior Crime Intelligence Analyst II, cc 8435**  
Pos #71002029  
**Crime Intelligence Analyst II, cc 8436**  
Pos #71000514  
Pos #71000042  
**Crime Intelligence Analyst I, cc 8433**  
Pos #71000066  
Pos #71002027  
Pos #71001295  
Pos #71000305  
**OPS Crime Intelligence Analyst I, cc 8433**  
Pos #71900173  
Pos #71900192  
Pos #71900216  
Pos #71900178

**Security Manager / Counter Intelligence Analyst**  
**Senior Crime Intelligence Analyst II, cc 8435**  
Pos #71002033

**External Partners**  
**Government Analyst II, cc 2225**  
Pos #71001269  
**OPS Government Analyst II, cc 2225**  
Pos #71900026  
**OPS Crime Intelligence Analyst I, cc 8433**  
Pos #71900035

**Cyber**  
**Senior Crime Intelligence Analyst Supervisor, cc 8437**  
Pos #71000537  
**Systems Programming Consultant, cc 2117**  
Pos #71001005  
**Crime Intelligence Analyst II, cc 8436**  
Pos #71002004  
**Government Analyst II, cc 2225**  
Pos #71000893  
Pos #71002385  
Pos #71002386  
**OPS Web Page Design Specialist, cc 2098**  
Pos #71900206

**Domestic Security Intelligence**  
**Special Agent Supervisor, cc 8584**  
Pos #71000922

**Domestic Security Inspector, cc 8590**  
Pos #71001098  
Pos #71000975

**Counter Terrorism (CTIC)**  
**Senior Crime Intelligence Analyst Supervisor, cc 8437**  
Pos #71000343  
**Senior Crime Intelligence Analyst II, cc 8435**  
Pos #71002036  
Pos #71002026  
Pos #71002025  
**Senior Crime Intelligence Analyst I, cc 8434**  
Pos #71000487

**Statewide Intelligence Analysis Center**  
**Special Agent Supervisor, cc 8584**  
Pos #71001054

**Organized Crime Analysis Squad (FCAC)**  
**Senior Crime Intelligence Analyst Supervisor, cc 8437**  
Pos #71002020  
**Senior Crime Intelligence Analyst II, cc 8435**  
Pos #71002036  
Pos #71002033  
Pos #71002236  
Pos #71002020  
Pos #71002025  
**Senior Crime Intelligence Analyst I, cc 8434**  
Pos #71002237  
Pos #71002015  
Pos #71002034  
Pos #71001508  
Pos #71000487  
**Crime Intelligence Analyst II, cc 8436**  
Pos #71000514

**Organized Crime Inspector, cc 8590**  
Pos #71000986  
Pos #71001003  
Pos #71000819

**Crime Intelligence Analyst I, cc 8433**  
Pos #71000397  
Position on loan from JROC/Firearms  
  
**Crime Intelligence Analyst II, cc 8436**  
Pos #71001270  
On loan from CJIS

**Crime Lab Analyst, cc 8463**  
Pos #71002006  
Pos #71002007  
Funded in IFS reports to TROC Lab

**Inspector, cc 8590**  
Pos #71001296  
On loan to OIG

**Protective Intelligence Inspector, cc 8590**  
Pos #71000331  
Reports to OED/POS

Florida Department of Law Enforcement  
Investigations and Forensic Science Program  
Field Services

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Director, cc 8529**  
Pos #71000054

**Field Services**  
**Chief of Investigations, cc 8530**  
Pos #71000304

**Mutual Aid**  
**Inspector, cc 8590**  
Pos #71000021

**Oper. Review Specialist, cc 2239**  
Pos #71000770  
**Government Analyst I, cc 2224**  
Pos #71000450

**Special Agent Chief Pilot, cc 8581**  
Pos #71001170  
On loan from TBROC

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

**Cyber High Tech Crime**  
**Training & Outreach**  
**Special Agent Supervisor, cc 8584**  
Pos. #71000061  
**Inspector, cc 8590**  
Pos #71001099  
**Systems Programming Consultant, cc 2117**  
Pos #71002005  
Pos #71002031  
Pos #71000328  
**Telecommunications Consultant, cc 2113**  
Pos #71000773  
**Senior Information Technology Business**  
**Consultant, cc 2114**  
Pos #71002016  
**Senior Crime Intelligence Analyst II, cc 8435**  
Pos #71002205  
Pos #71002003

**Inspector, cc 8590**  
Pos #71000818  
On loan from OEI

**Sworn Training**  
Inspector, cc 8590  
Pos #71000427  
Pos #71000975  
Research & Training Spec., cc 1334  
Pos #71000671  
On loan to CJP

**Government Analyst I, cc 2224**  
Pos # 71000109  
Position on loan from CJP to IFS  
Inspector, cc 8590  
Pos #71002286  
Position on loan to EI from IFS

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



Florida Department of Law Enforcement  
Investigations and Forensic Sciences  
Office of Enforcement & Investigative Support  
Page 1

**Assistant Executive Director – FDLE, cc 9883**  
Pos #71000594

**Director, cc 8529**  
Pos #71000054

**Chief of Investigations – FDLE, cc 8530**  
Pos #71001307

**Missing Person & Offender Registration**

**Crimes Against Children & Registration  
Violation Team (under separate cover)**

**Planning & Policy Administrator – FDLE, cc 8536**  
Pos #71002180

**Administrative Assistant I, cc 0709**  
Pos #71002184

**Administrative Coordination &  
Training Team**

**Policy & Case Analysis Team**

**Data Management &  
Development Team**

**Senior Management Analyst Supervisor – SES, cc 2228**  
Pos #71000764

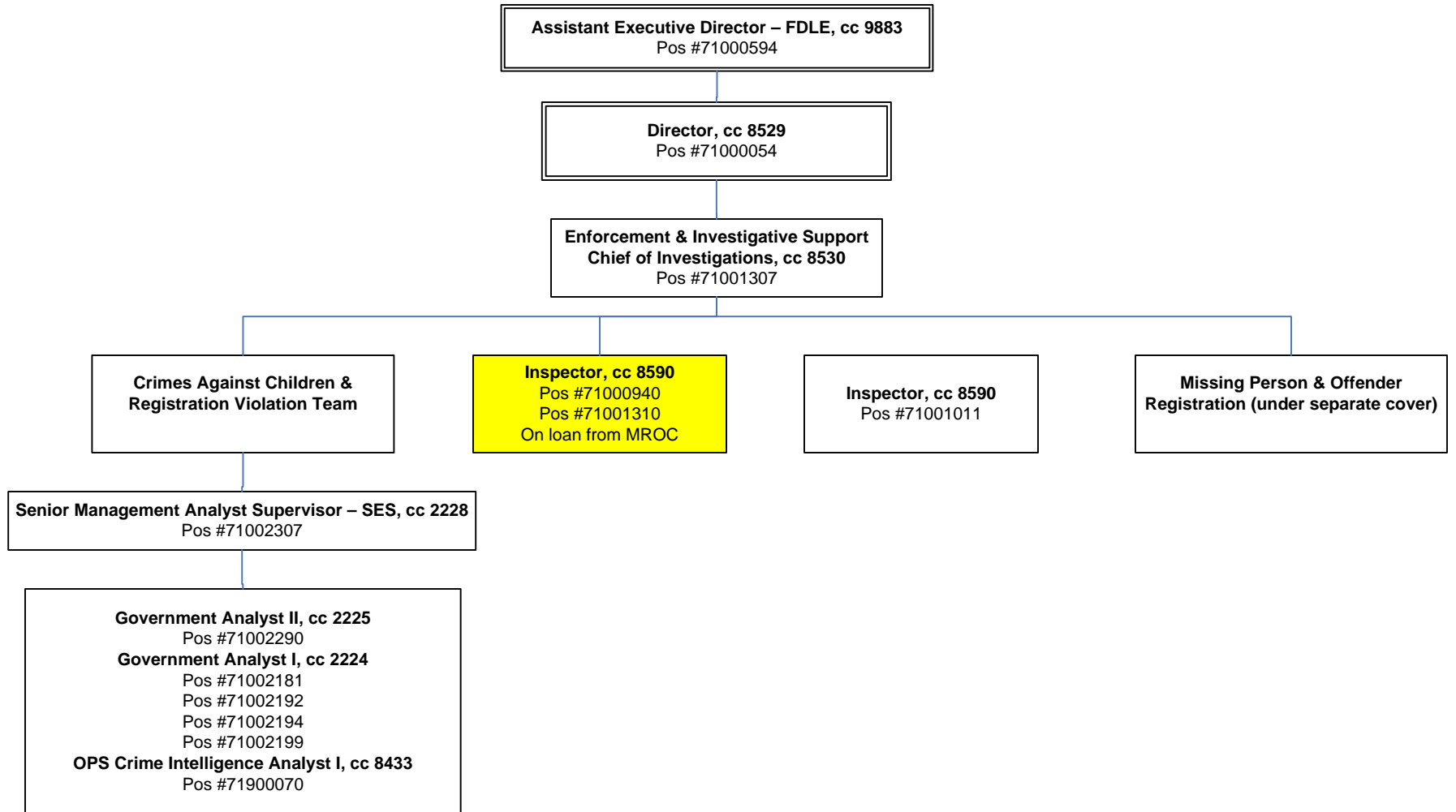
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**Senior Management Analyst Supervisor – SES, cc 2228**  
Pos #71001792

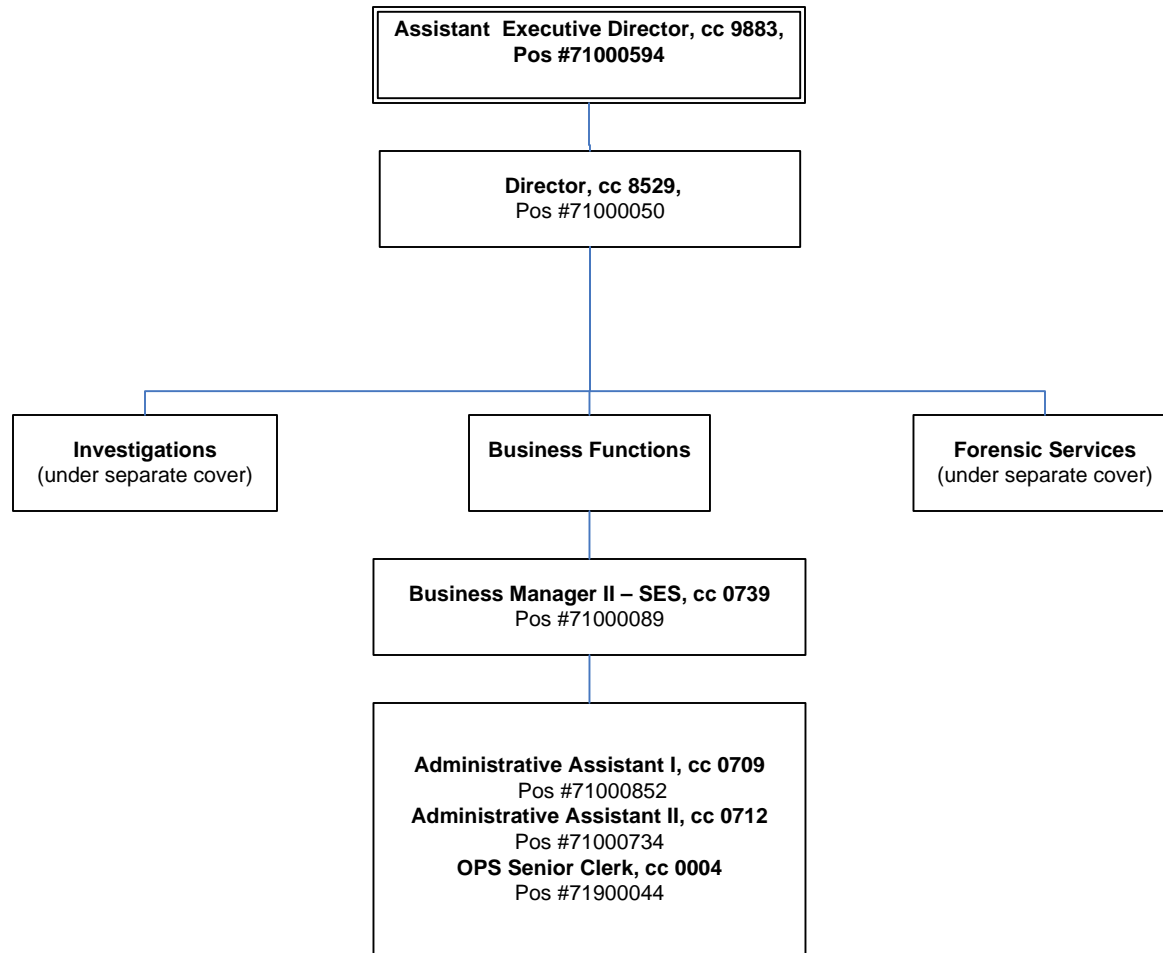
**Administrative Assistant I, cc 0709**  
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**Crime Intelligence Analyst I, cc 8433**  
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Pos #71001422  
**Government Analyst I, cc 2224**  
Pos #71000117  
Pos #71001013  
Pos #71001699  
Pos #71002198  
**Research & Training Specialist, cc 1334**  
Pos #71002200  
**OPS Clerk Specialist, cc 0003**  
Pos #71900176

**Crime Intelligence Technician, cc 8427**  
Pos #71000953  
**Crime Intelligence Analyst I, cc 8433**  
Pos #71002182  
**Government Analyst I, cc 2224**  
Pos #71000323  
Pos #71002191  
Pos #71002193  
Pos #71001268  
Pos #71000558  
Pos #71002195  
Pos #71001686  
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**Government Analyst II, cc 2225**  
Pos #71002289

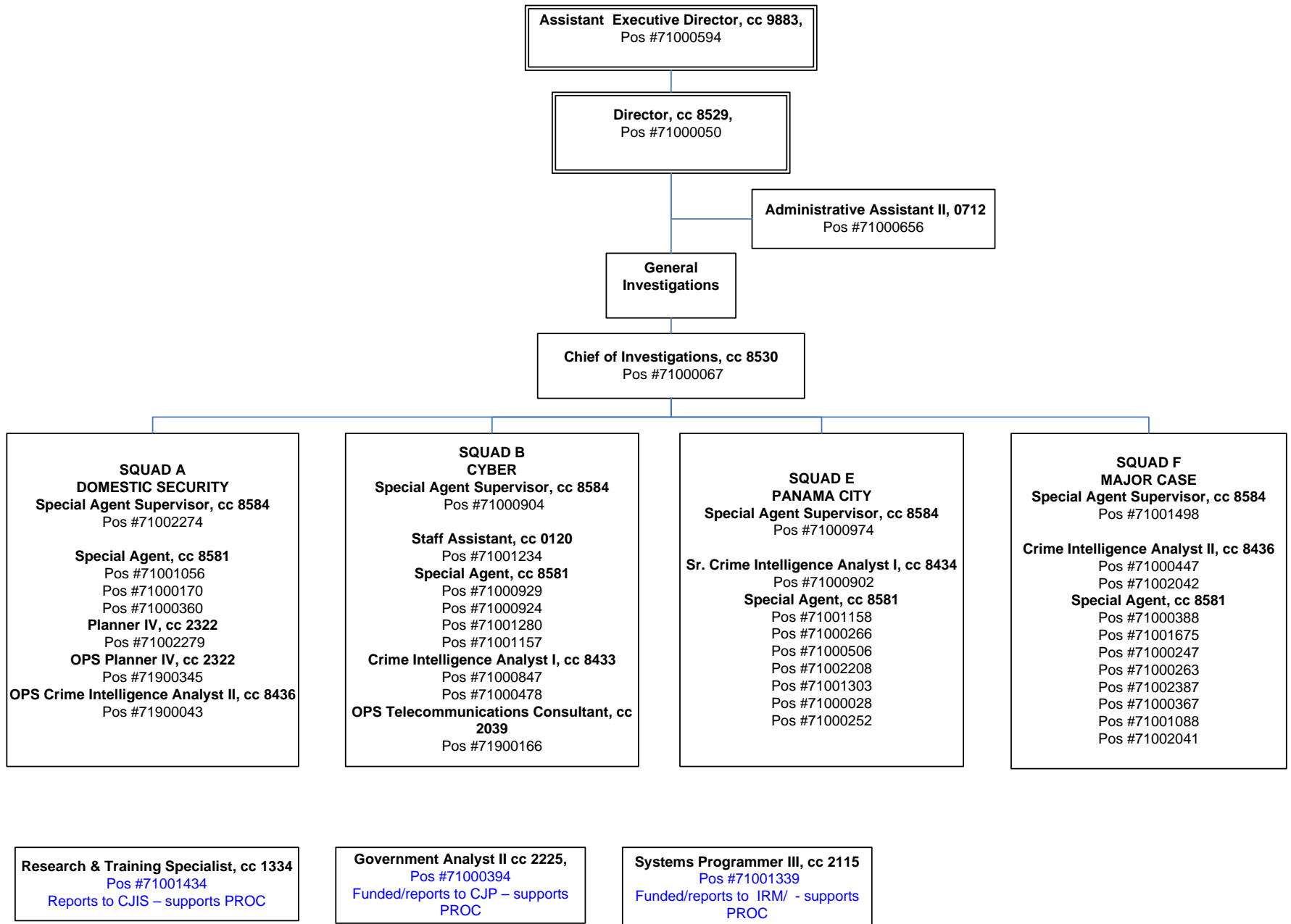
**OPS Crime Intelligence Analyst I, cc 8433**  
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**OPS Crime Intelligence Technician, cc 8427**  
Pos #71900184  
**Crime Intelligence Technician, cc 8427**  
Pos #71001657  
**Crime Intelligence Analyst I, cc 8433**  
Pos #71002315  
Pos #71001701  
**Crime Intelligence Analyst II, cc 8436**  
Pos #71001698  
Pos #71001209  
Pos #71001700  
**Government Analyst I, cc 2224**  
Pos #71002197  
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Pos #71001560  
**Government Analyst II, cc 2225**  
Pos #71000981



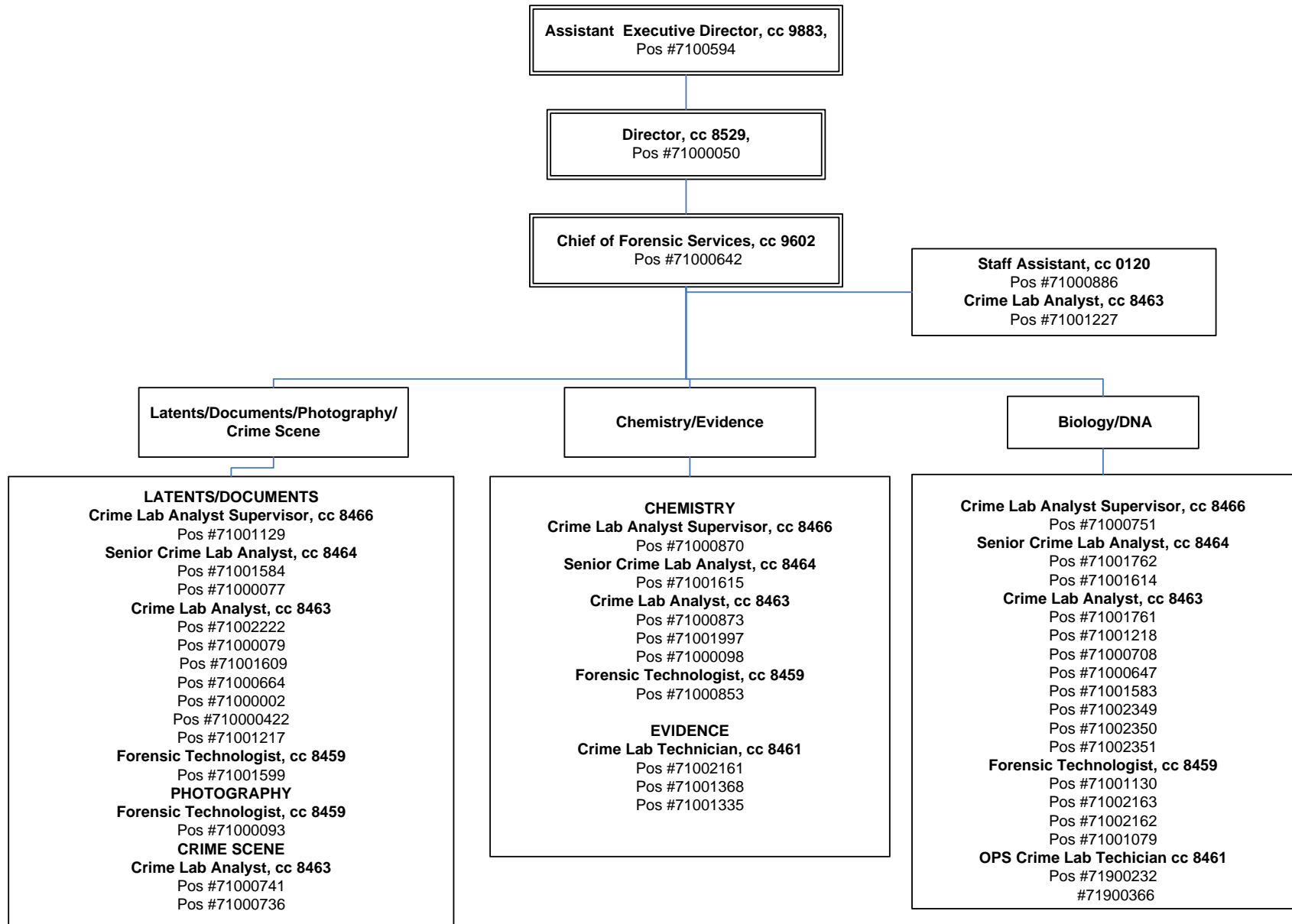
Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Pensacola Regional Operations Center



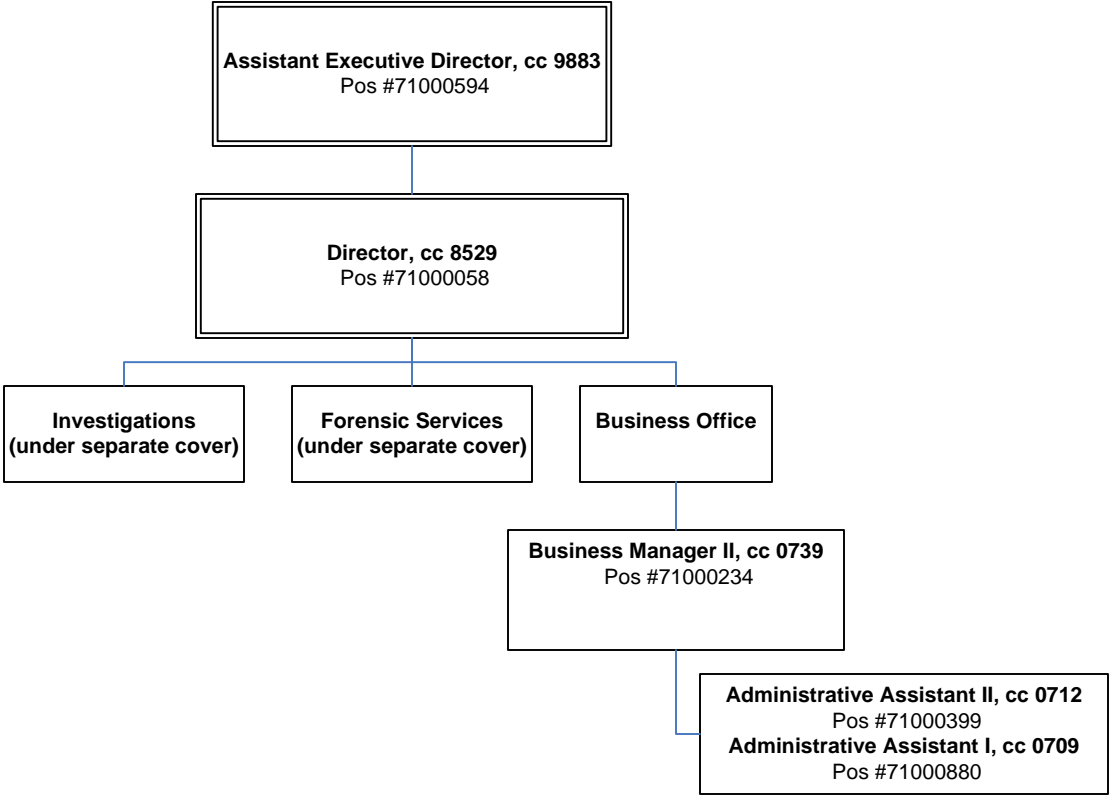
Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Pensacola Regional Operations Center



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

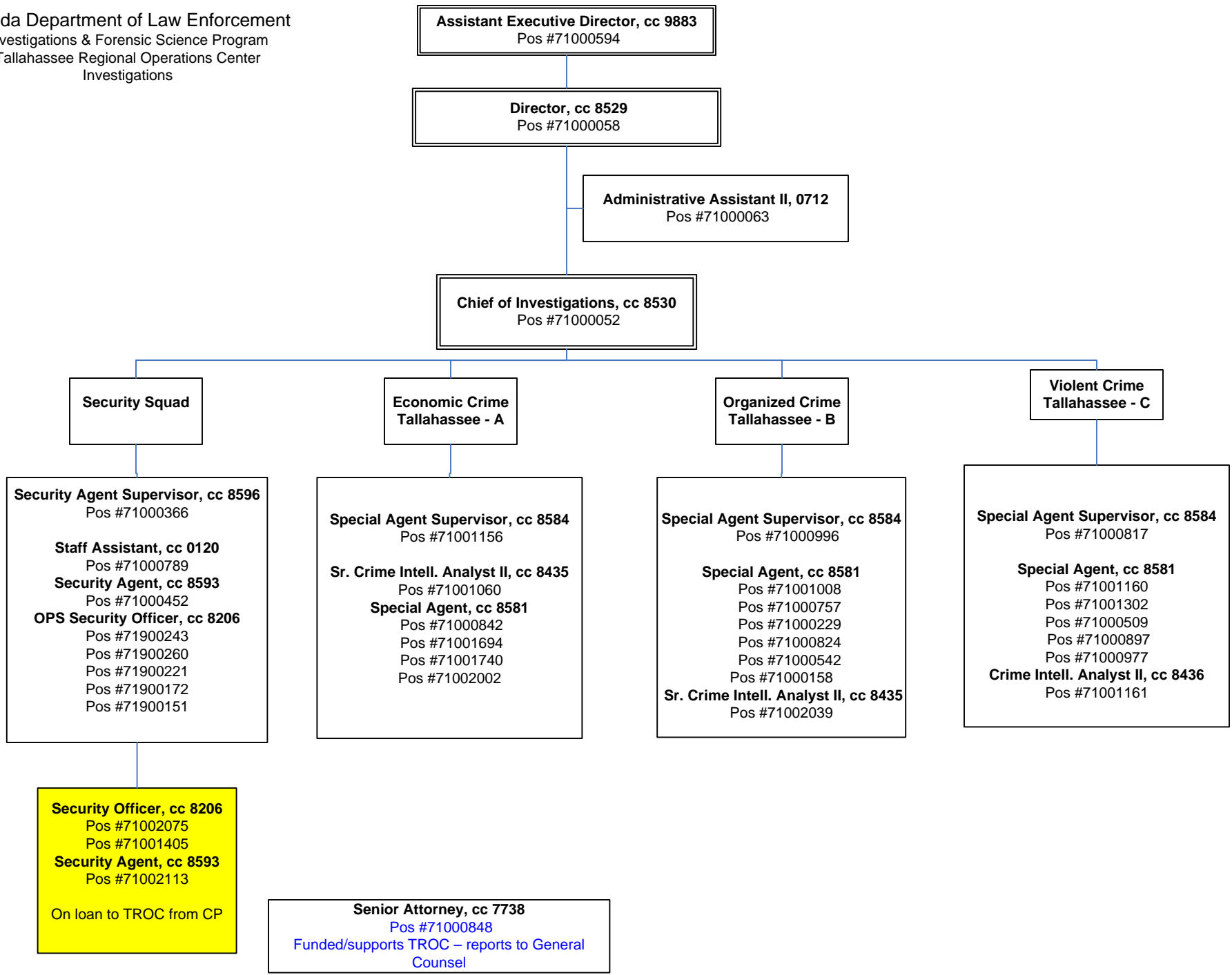


Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Tallahassee Regional Operations Center

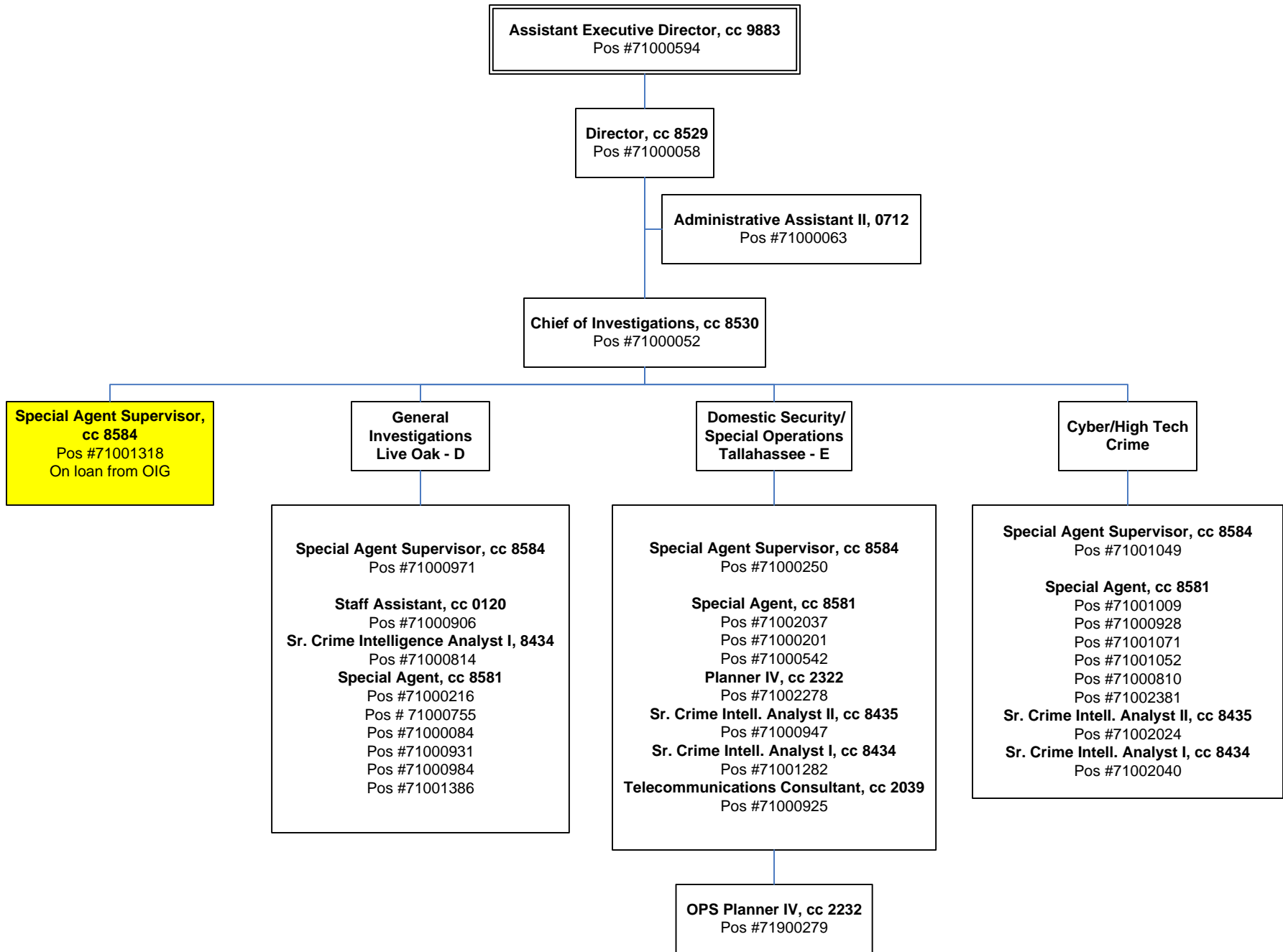


**Government Analyst II, cc 2225**  
Pos #71000604  
Funded/reports to CJP - supports TROC

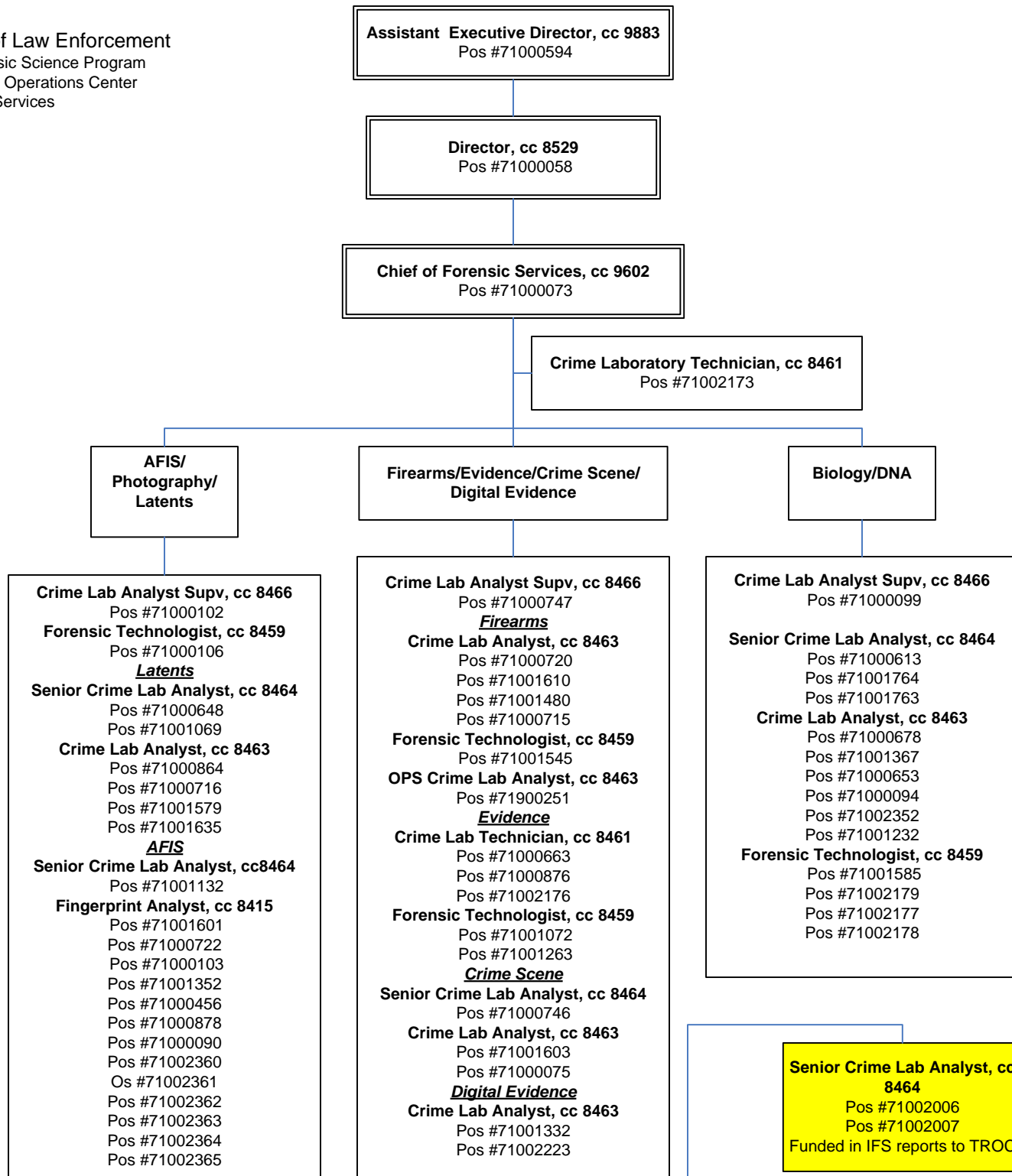
**Research & Training Specialist, cc 1334**  
Pos #71000188  
On loan to CJIS (IDT) from TROC



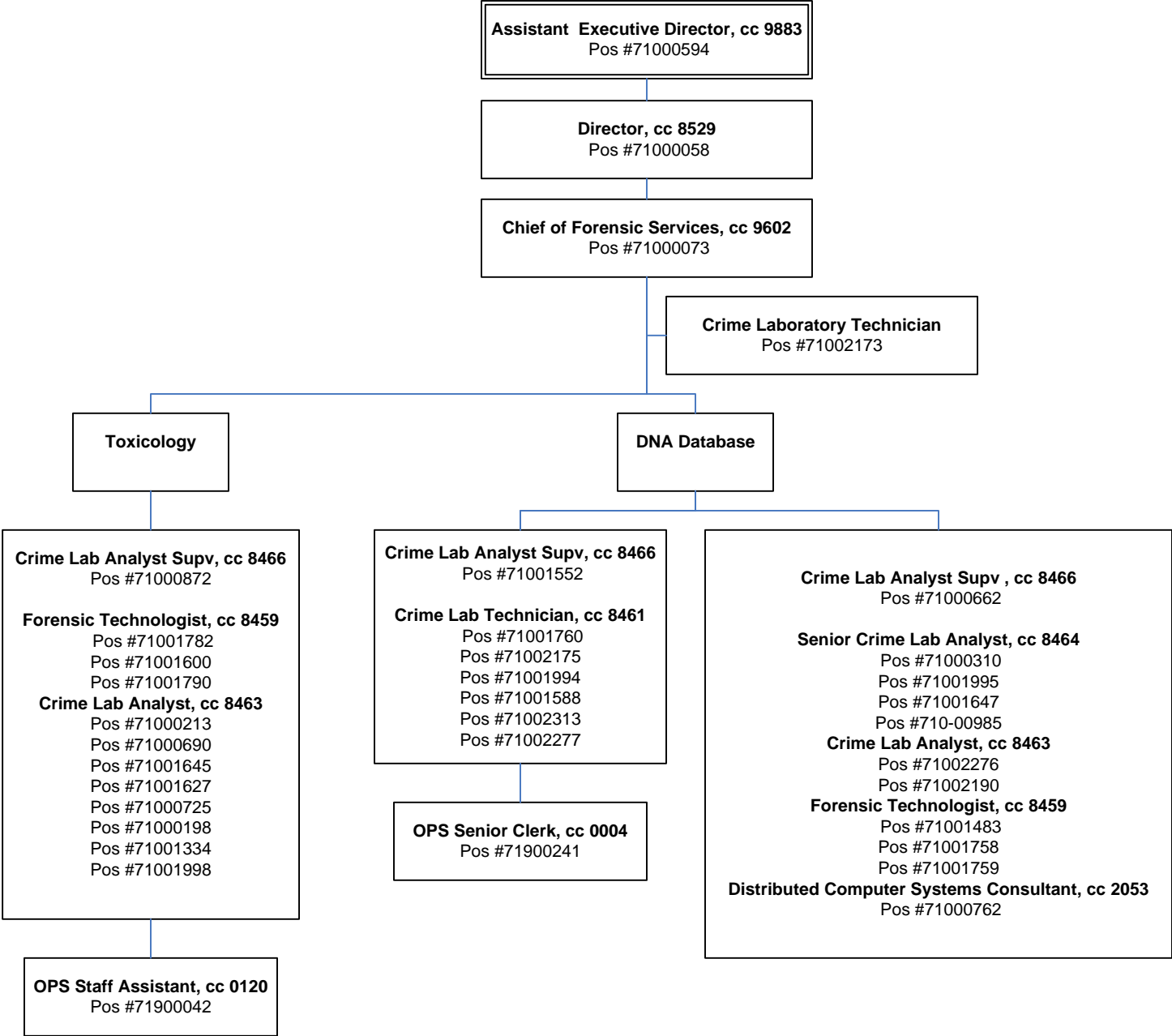
Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Tallahassee Regional Operations Center  
Investigations



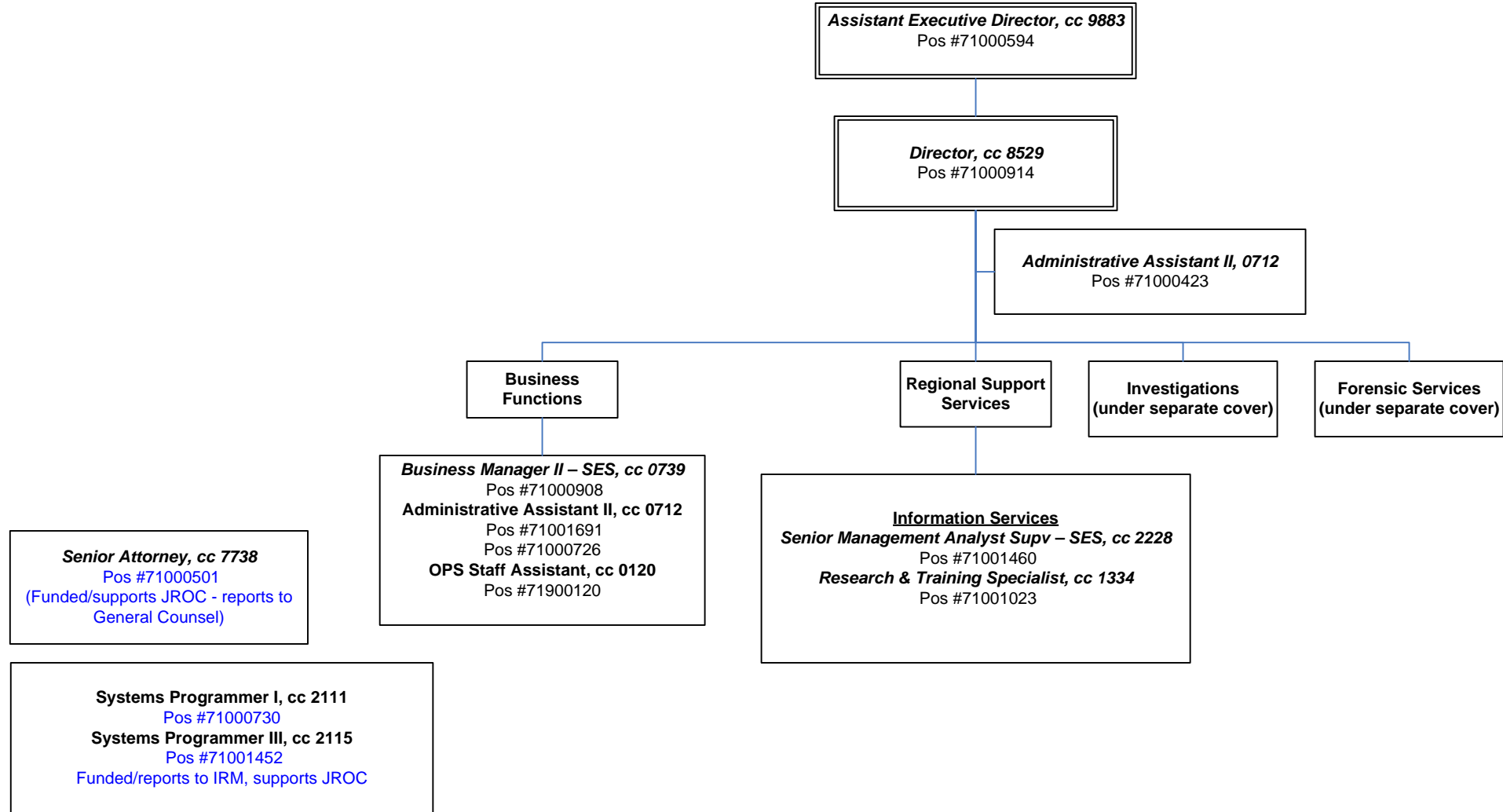




Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Tallahassee Regional Operations Center  
Forensic Services



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



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

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Director, cc 8529**  
Pos #71000914

**Chief of Investigations, cc 8530**  
Pos #71000032

**Major Case Squad  
Gainesville - B**

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

**Economic Crime  
Jacksonville - C**

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

**Major Case Squad/  
Domestic Security  
St. Augustine - D**

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

**Cyber/High Tech Crime**

**Special Agent Supervisor, cc 8584**  
Pos #71001528  
**Special Agent, cc 8581**  
Pos #71000264  
Pos #71000508  
Pos #71000435  
Pos #71002331  
Pos #71002323  
Pos #71000222  
Pos #71002388  
Pos #71000362  
**Systems Prog Consultant, cc 2117**  
Pos #71000992

**Organized  
Criminal Groups  
Jacksonville - E**

**Special Agent Supervisor, cc 8584**  
Pos #71001692  
**Special Agent, cc 8581**  
Pos #71000371  
Pos #71002207  
Pos #71000976  
Pos #7100261  
Pos #71001051  
**Crime Intell. Technician, cc 8127**  
Pos #71000805  
Pos #71000967

**Intelligence  
Squad G**

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

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

**Investigative & Intelligence  
Analytical Services**

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

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

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Director, cc 8529**  
Pos #71000914

**Chief of Forensic Services, cc 9602**  
Pos #71000100

**Chemistry/  
Toxicology/Evidence**

**Latents/AFIS/  
Photography**

**Crime Scene/  
Firearms**

**Microanalysis/  
Biology**

**Microanalysis/  
Biology**

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

**Crime Lab Analyst Supervisor, cc 8466**  
Pos #71000684  
**Latents**  
**Senior Crime Lab Analyst, cc 8464**  
Pos #71001328  
Pos #71000854  
**Crime Lab Analyst, cc 8463**  
Pos #71000706  
Pos #71002220  
Pos #71001625  
Pos #71001225  
Pos #71000869  
Pos #71000096  
**Photography**  
**Forensic Technologist, cc 8459**  
Pos #71000092  
Pos #71001787

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

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

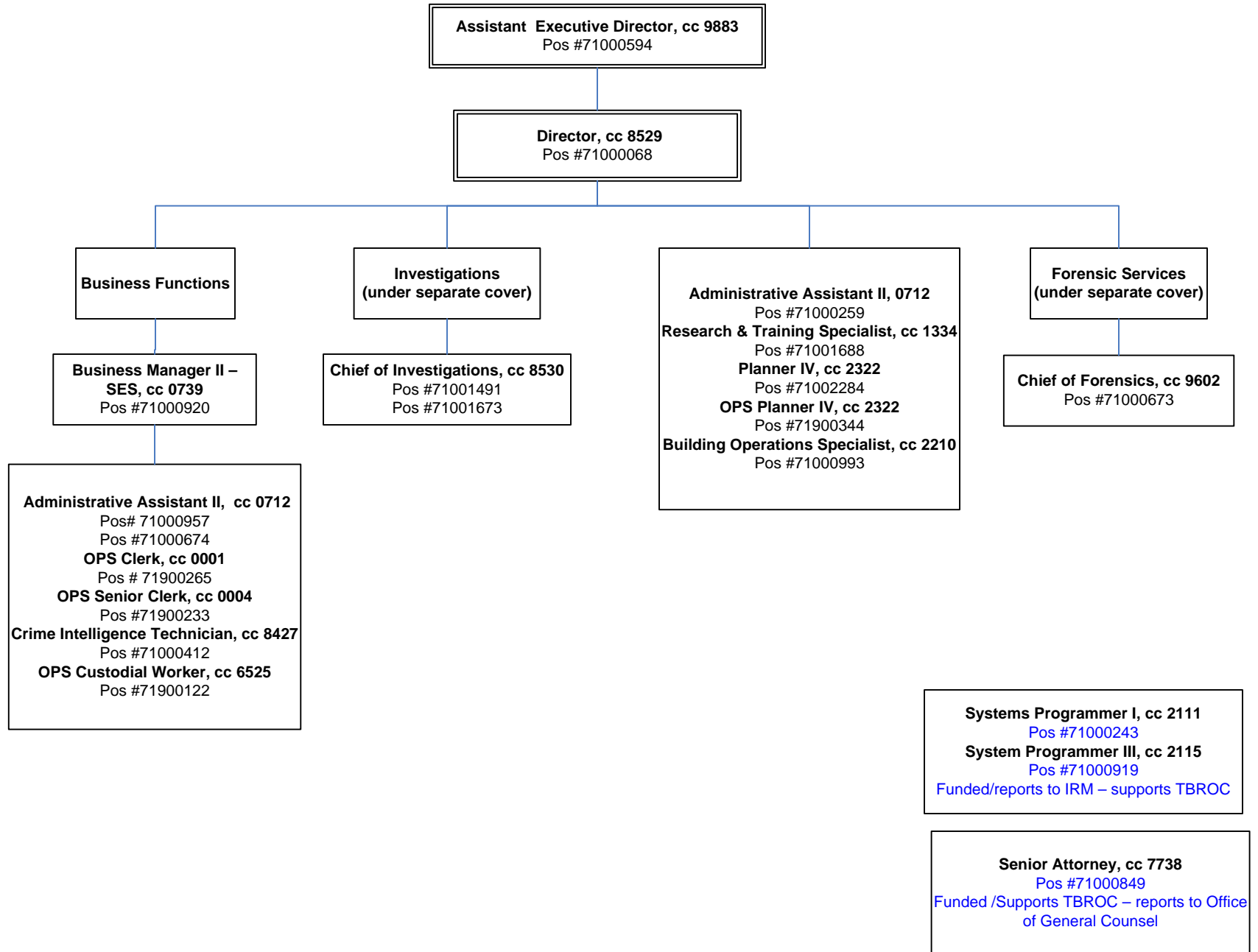
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Pos #71001261  
**Senior Crime Lab Analyst, cc 8464**  
Pos #71001074  
**Crime Lab Analyst, cc 8463**  
Pos #71001633  
Pos #71001632  
Pos #71001776  
Pos #71001765  
Pos #71001999  
Pos #71001073  
Pos #71000707  
Pos #71002355  
**Forensic Technologist,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

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

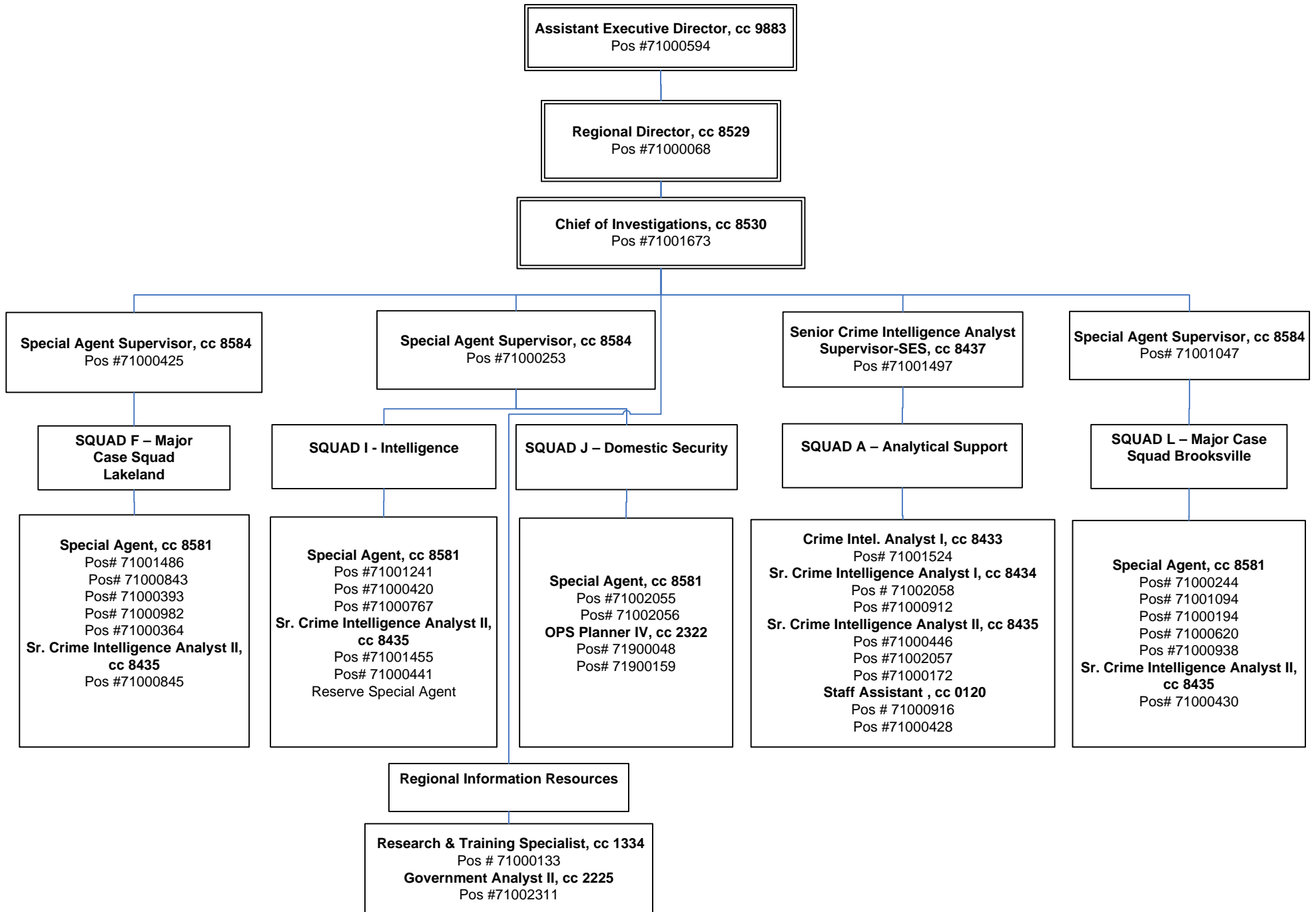
**Staff Assistant, cc 0120**  
**Reclass/CIA I, cc 8433**  
Pos #71000397  
Position on loan to IFS/Fusion Center

Crime Lab Analyst Supervisor, cc 8466  
Pos #71002167  
On loan to IFS/Forensic Services/Quality Assurance

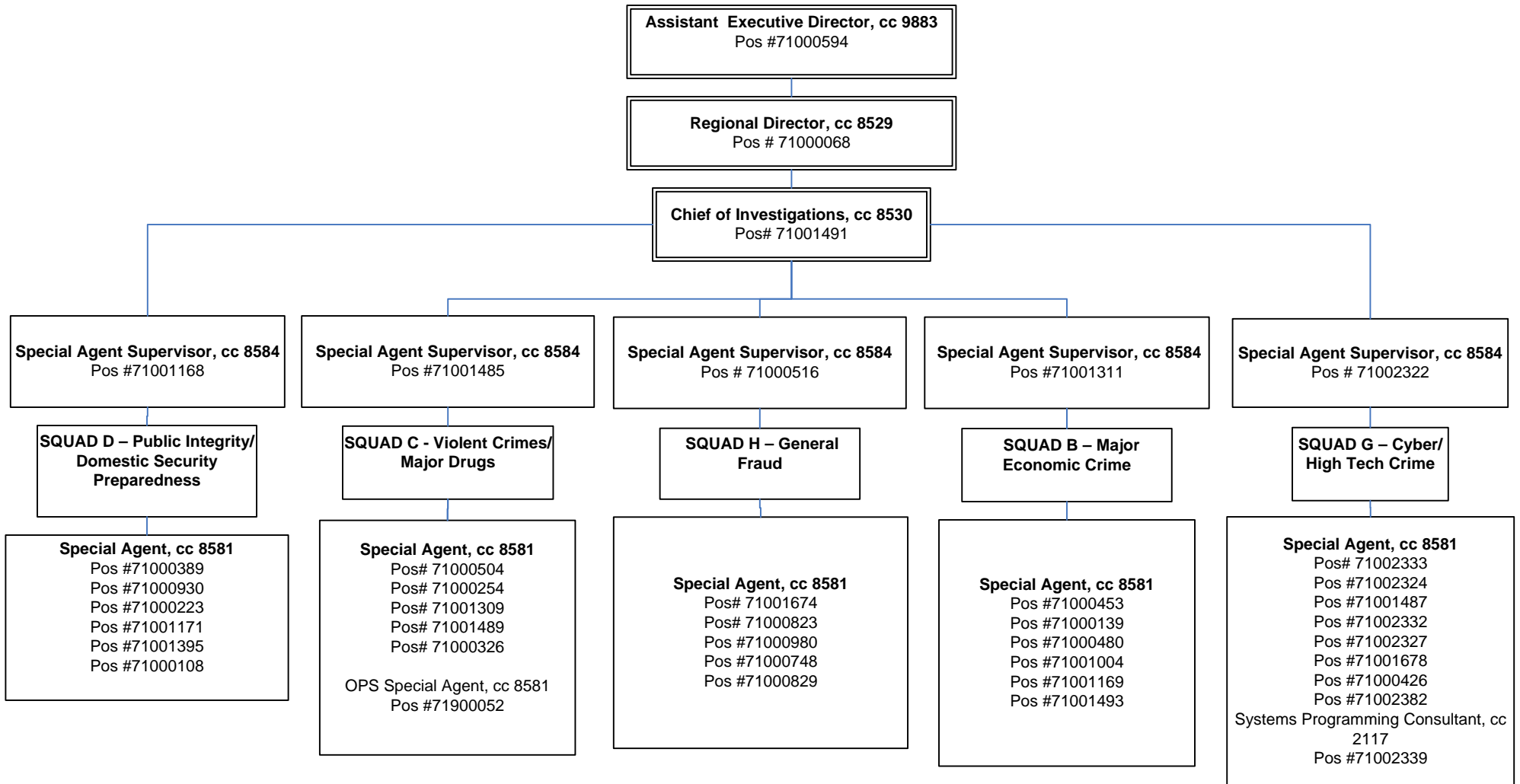
Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Tampa Regional Operations Center



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



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



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

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



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

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Forensic Services Director, cc 8470**  
Pos #71001539

**Chief of Forensic Services, cc 9602**  
Pos #71000673

**Firearms**

**Crime Lab Analyst Supv , cc 8466**  
Pos #71001228

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

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

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

**Latent Prints/  
Impression Evidence**

**Crime Lab Analyst Supv, cc 8466**  
Pos #71000645

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

**Crime Lab Analyst, cc 8463**  
Pos #71001613  
Pos #71000154  
Pos #71001327  
Pos #71002226  
Pos #71001127  
Pos #71001125  
Pos #71000657  
Pos #71000719

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

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

**Crime Lab Analyst, cc 8463**  
Pos #71001257

**Chemistry/Trace**

**Chemistry**  
**Crime Lab Analyst Supv, cc 8466**  
Pos #71000743

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

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

**Forensic Technologist, cc 8459**  
Pos #71001602

**Trace**  
**Senior Crime Lab Analyst, cc 8464**  
Pos #71001642

**Crime Lab Analyst, cc 8463**  
Pos #71001326

**Digital Evidence/  
Evidence Management**

**Crime Lab Analyst Supv, cc 8466**  
Pos #71000862

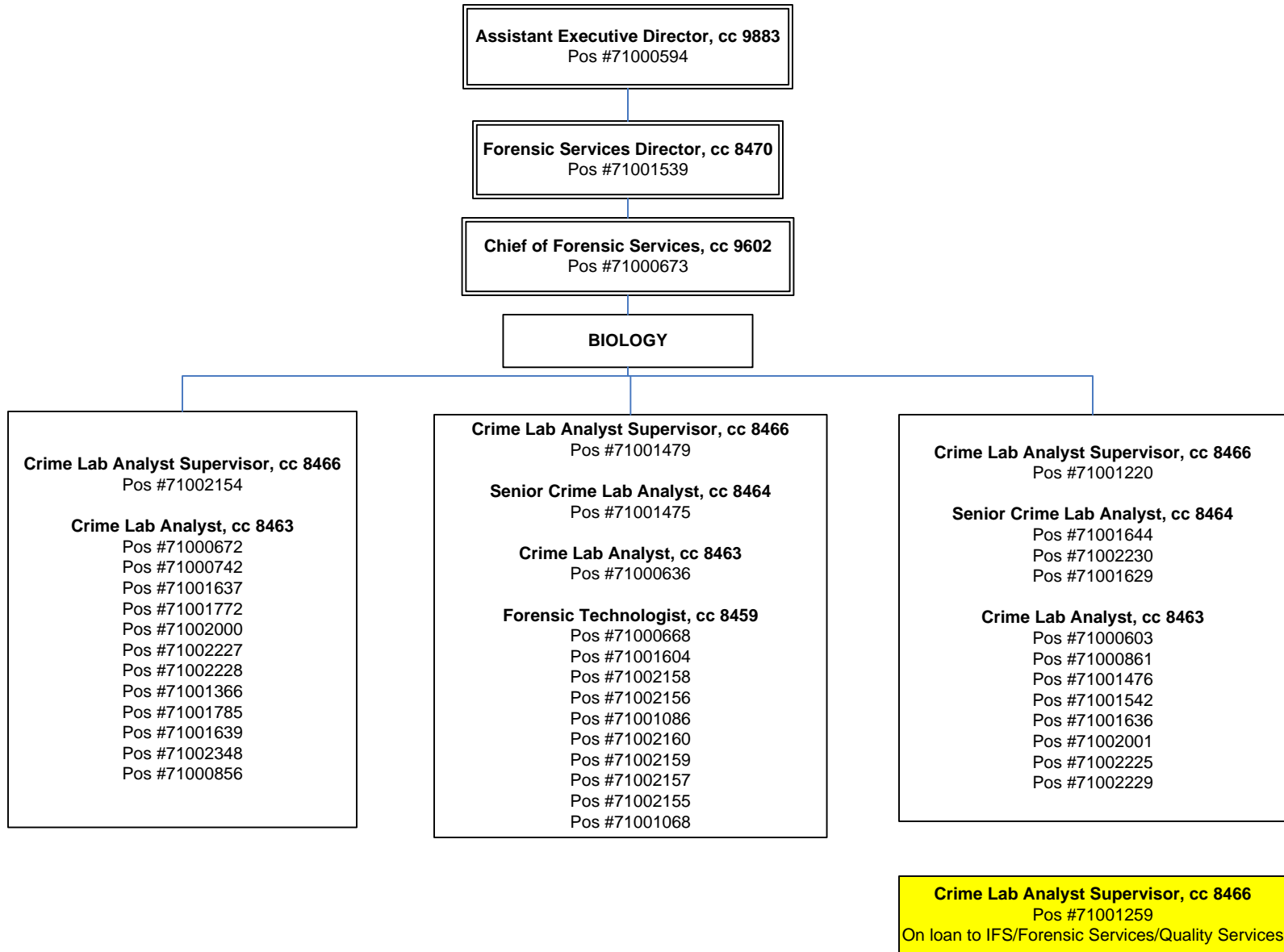
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**Staff Assistant, cc 0120**  
Pos #71001484  
Pos #71001819

**Crime Lab Analyst, cc 8463**  
Pos #71002008  
Pos #71001215  
Pos #71001641  
Pos #71000868  
Pos #71002009

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

**OPS Crime Lab Analyst, cc 8464**  
Pos #71900264

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



Florida Department Of Law Enforcement  
Investigations & Forensic Science Program  
Orlando Regional Operations Center

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Director, cc 8529**  
Pos #71000437

**Crime Intelligence Technician, cc 8427**  
Pos #71000408

**Chief of Investigations – FDLE, cc 8530**  
Pos #71001172

**Chief of Investigations – FDLE, cc 8530**  
Pos #71000432

**Forensic Services  
(under separate cover)**

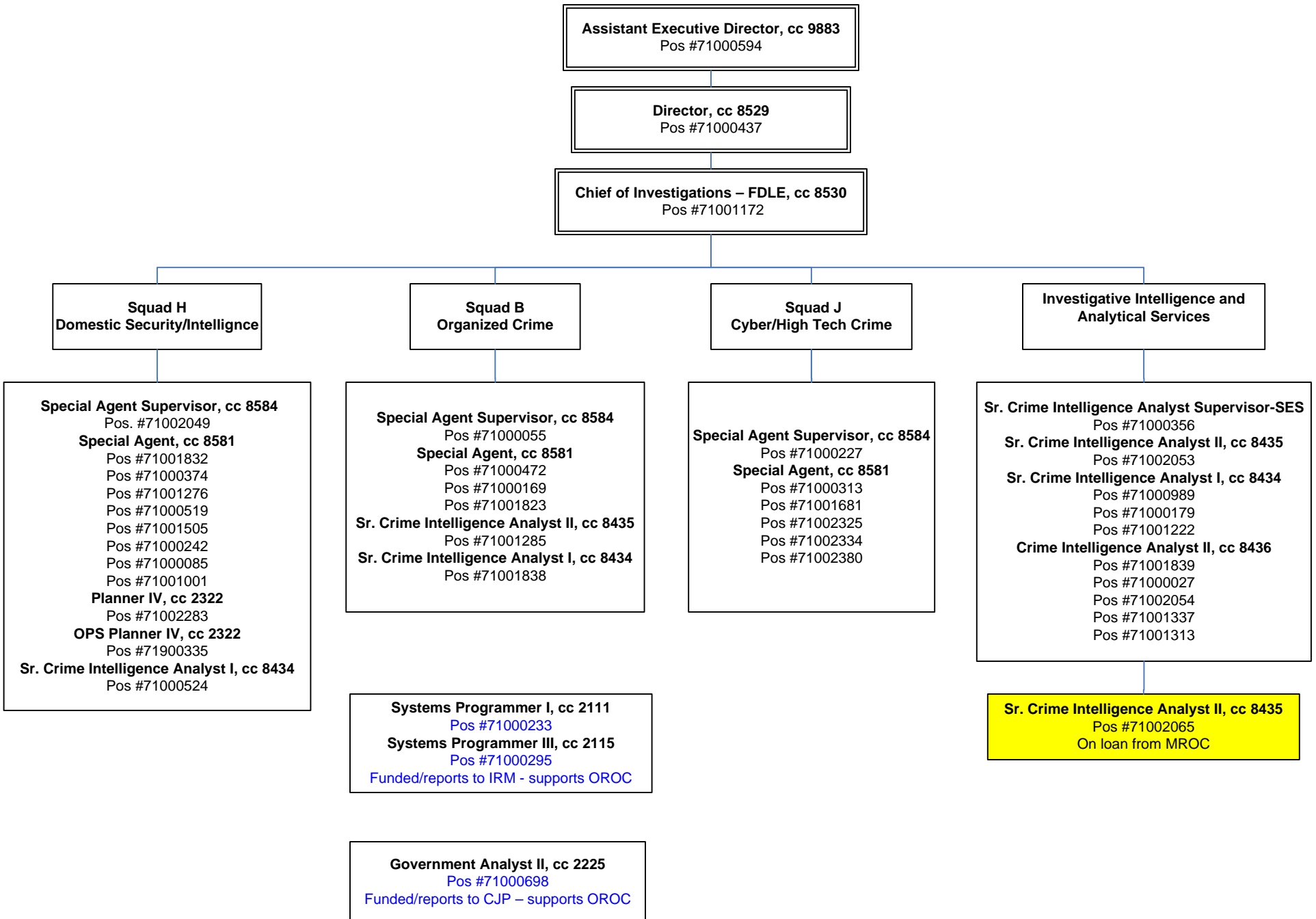
**Government Analyst II, cc 2225**  
Pos #71000401  
**Research & Training Specialist, cc 1334**  
Pos #71002052

**Business Support**

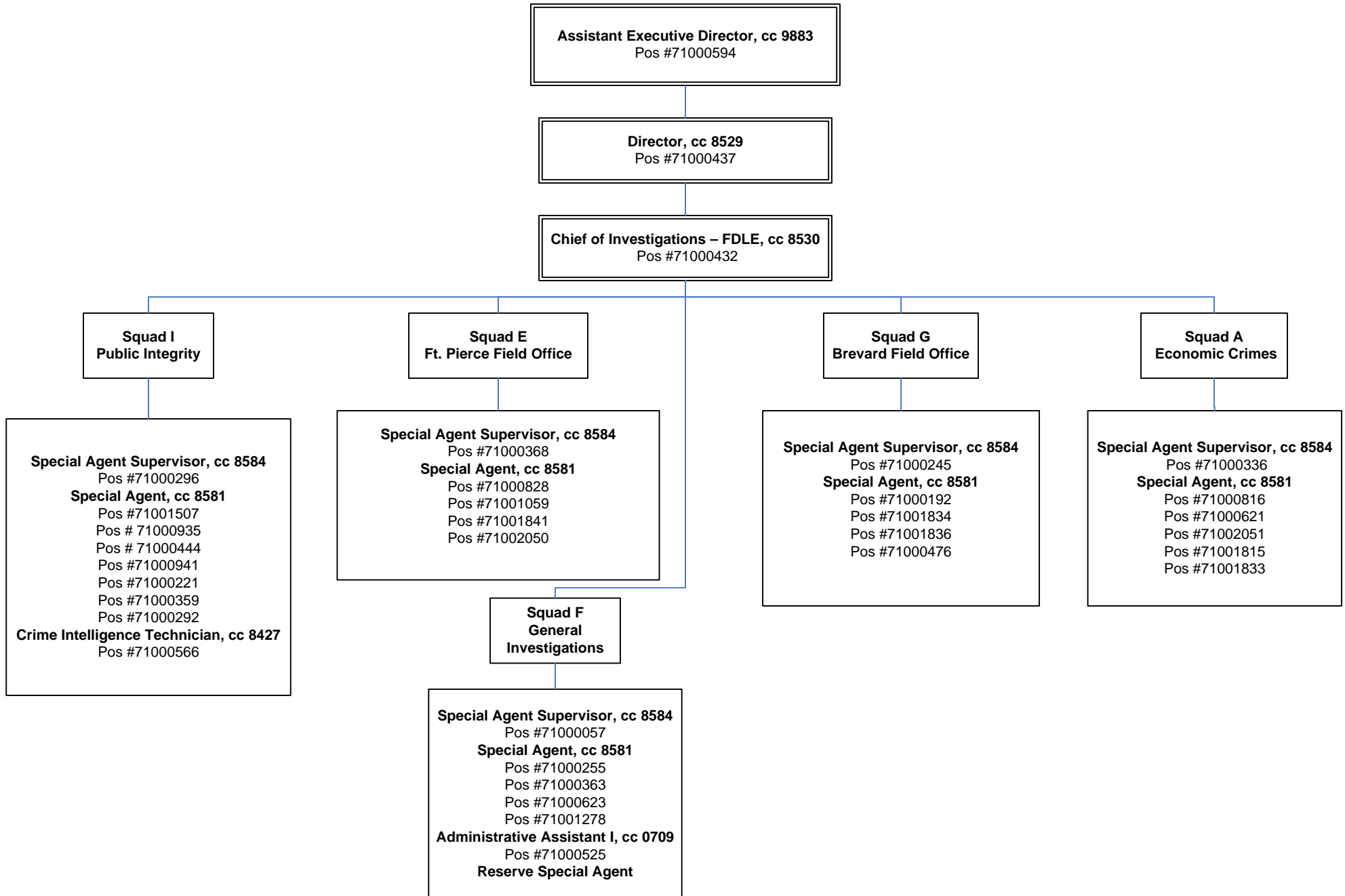
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Pos #71001287  
**OPS Administrative Assistant II, cc 0712**  
Pos #71900197  
**Staff Assistant, cc 0120**  
Pos #71001840  
**Administrative Assistant II, cc 0712**  
Pos #71001180  
**OPS Staff Assistant, cc 0120**  
Pos #71900207  
Pos #71900209

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

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



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

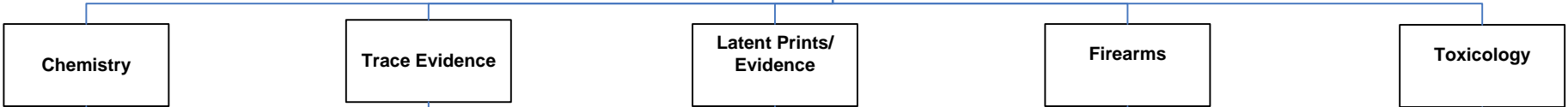


Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Orlando Regional Operations Center  
Forensic Services - Page 1 of 2

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Director, cc 8529**  
Pos #71000437

**Chief of Forensic Services, cc 9602**  
Pos #71000709



**Crime Lab Analyst Supv, cc 8466**  
Pos #71001078  
**Senior Crime Lab Analyst, cc 8464**  
Pos #71001260  
Pos #71001363  
Pos #71001473  
Pos #71000161  
**Crime Lab Analyst, cc 8463**  
Pos #71001360  
Pos #71001624  
Pos #71000694  
Pos #71001623  
Pos #71002211  
Pos #71000686  
Pos #71000874  
**Forensic Technologist, cc 8459**  
Pos #71000074  
Pos #71001596

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

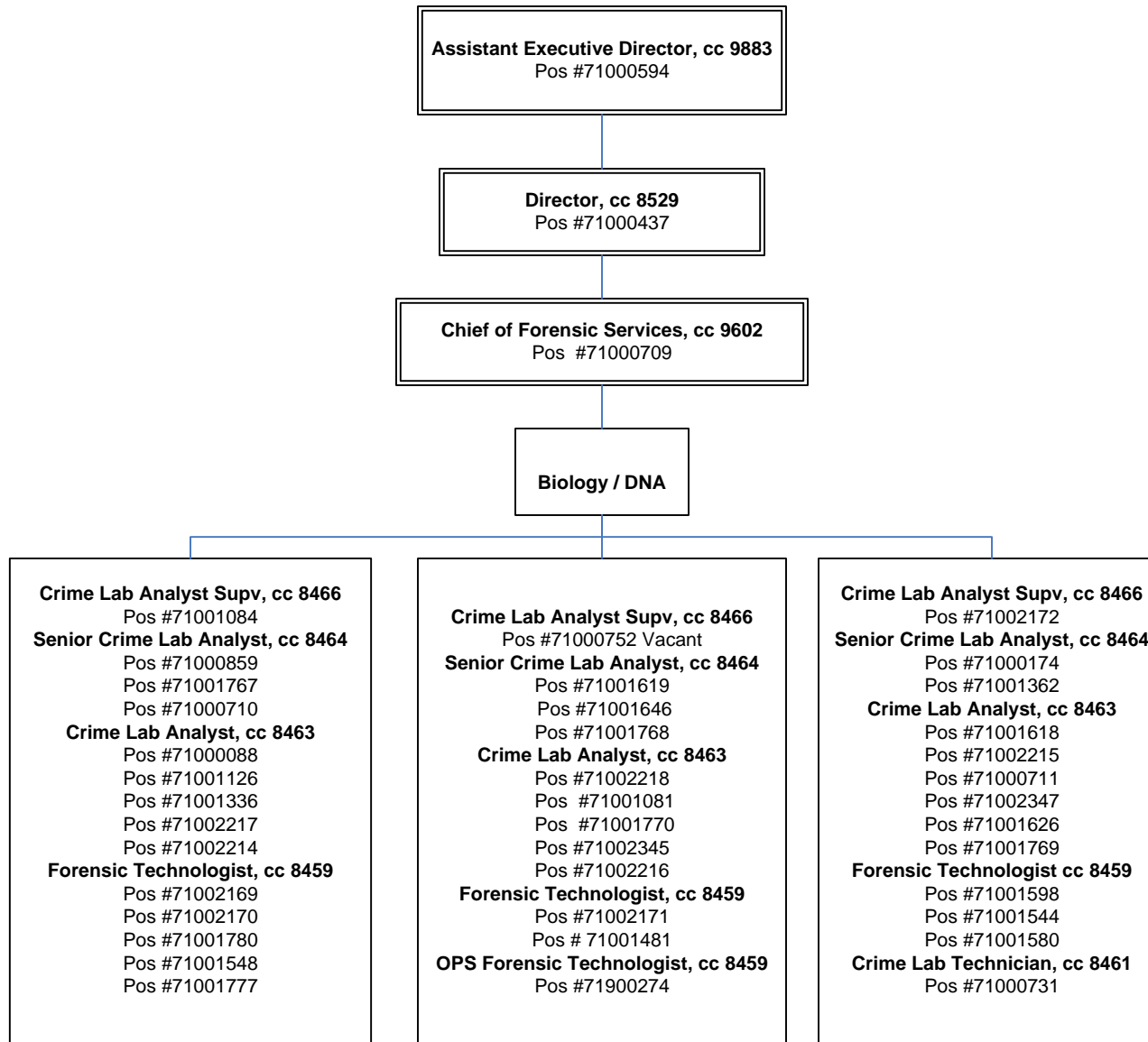
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Pos #71000641  
**EVIDENCE INTAKE**  
**Crime Lab Technician, cc 8461**  
Pos #71001324  
Pos #71000685  
Pos #71000373  
Pos #71001063  
Pos #71002168  
**Forensic Technologist, cc 8459**  
Pos #71000712  
**OPS Crime Laboratory Technician,  
cc 8461**  
Pos #71900264

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

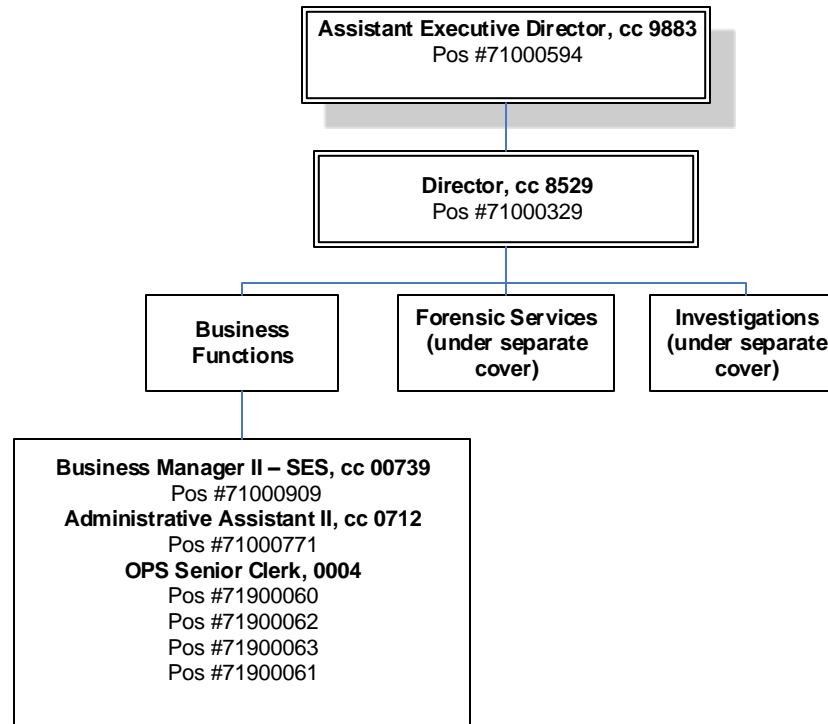
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**Senior Crime Lab Analyst, cc 8464**  
Pos #71001617  
Pos #71000646  
**Crime Lab Analyst, cc 8463**  
Pos #71000866  
Pos #71000691  
Pos #71001365  
Pos #71001213  
Pos #71001082  
Pos #71002212  
Pos #71000779  
**Forensic Technologist, cc 8459**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

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

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



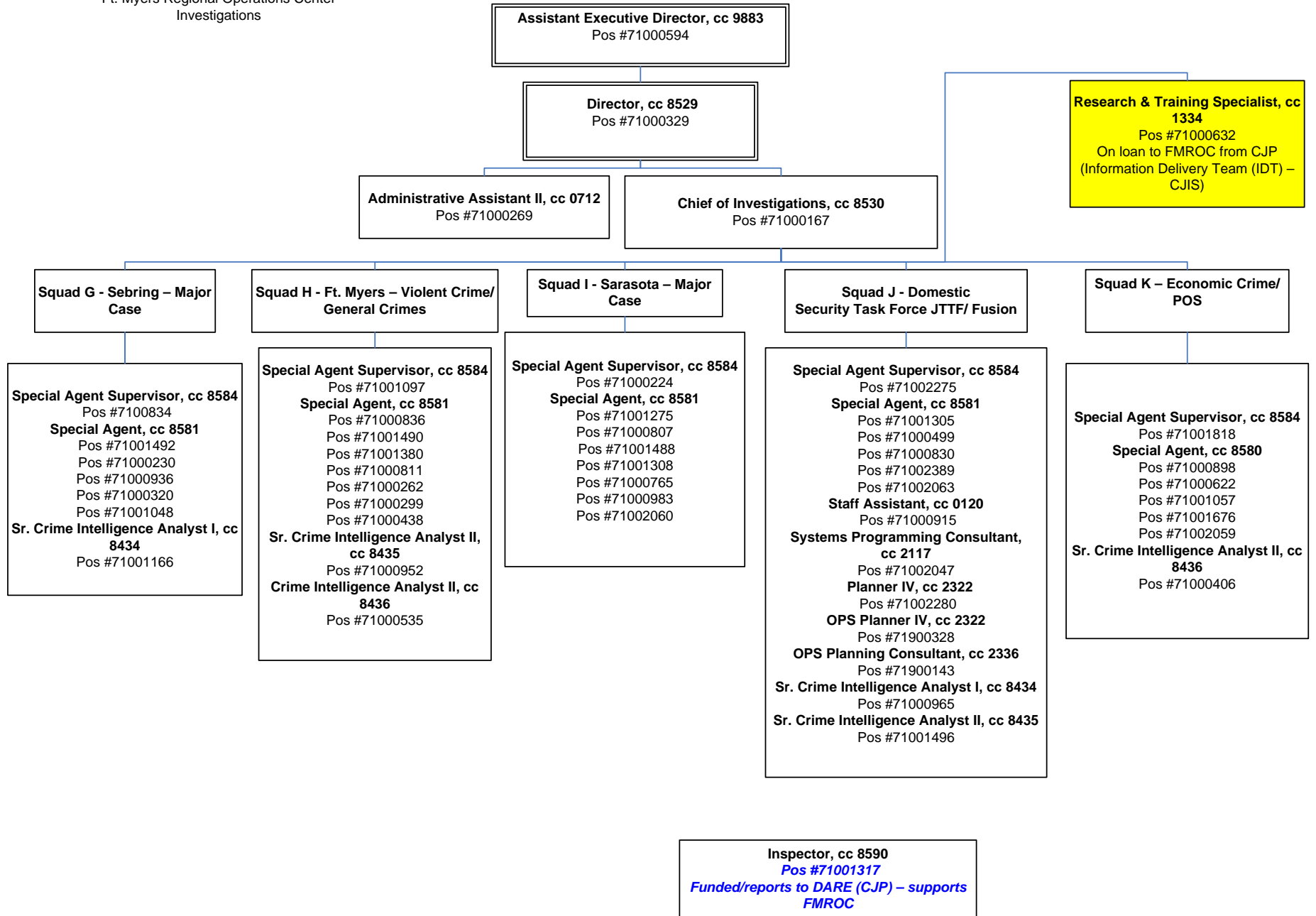
Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Ft. Myers Regional Operations Center



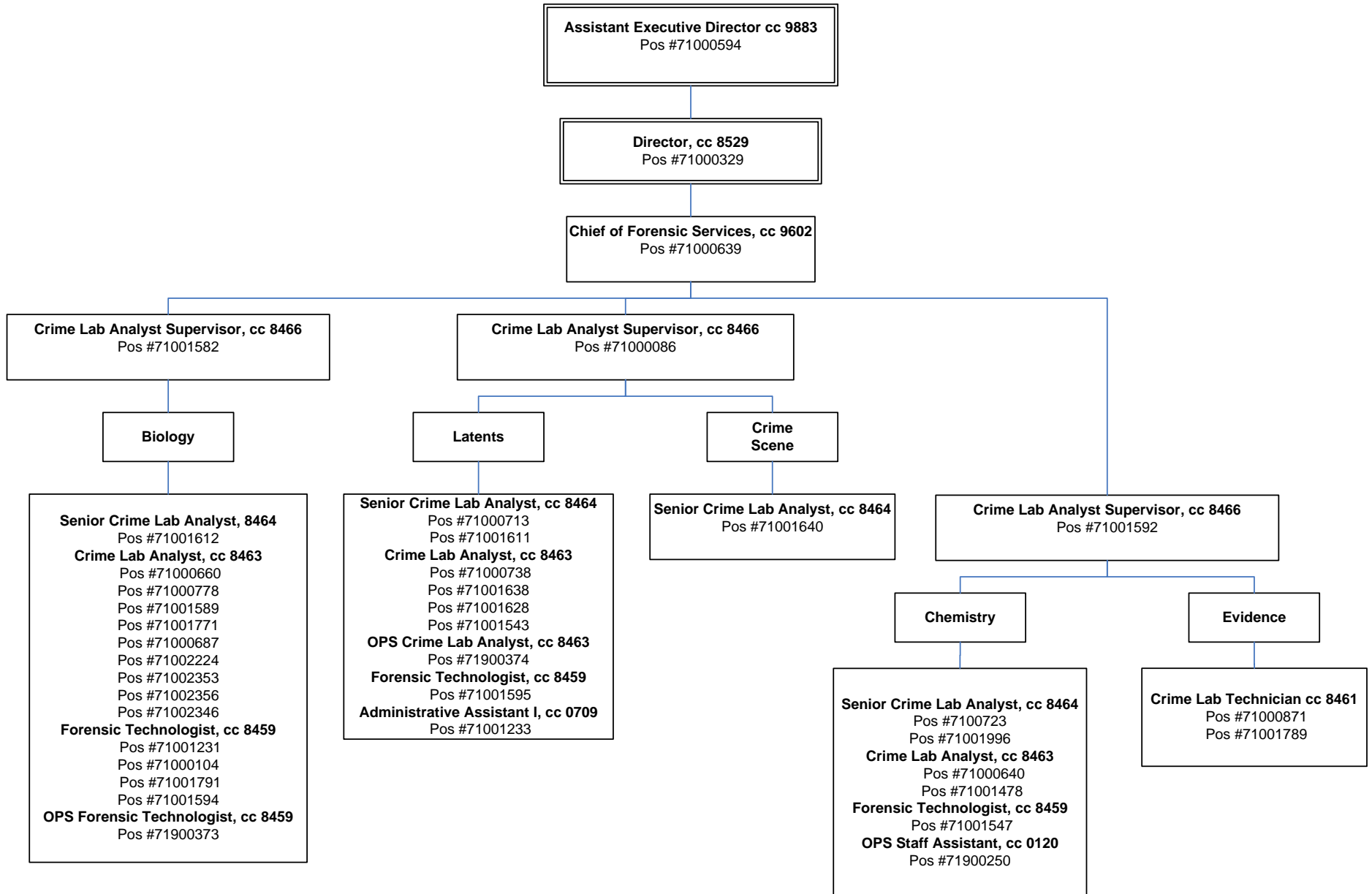
**Systems Programmer III, cc 2115**  
Pos #71001693  
Funded/reports to IRM – supports FMROC  
Government Analyst II, cc 2225  
Pos #71000605  
Funded/reports to CJP – supports FMROC



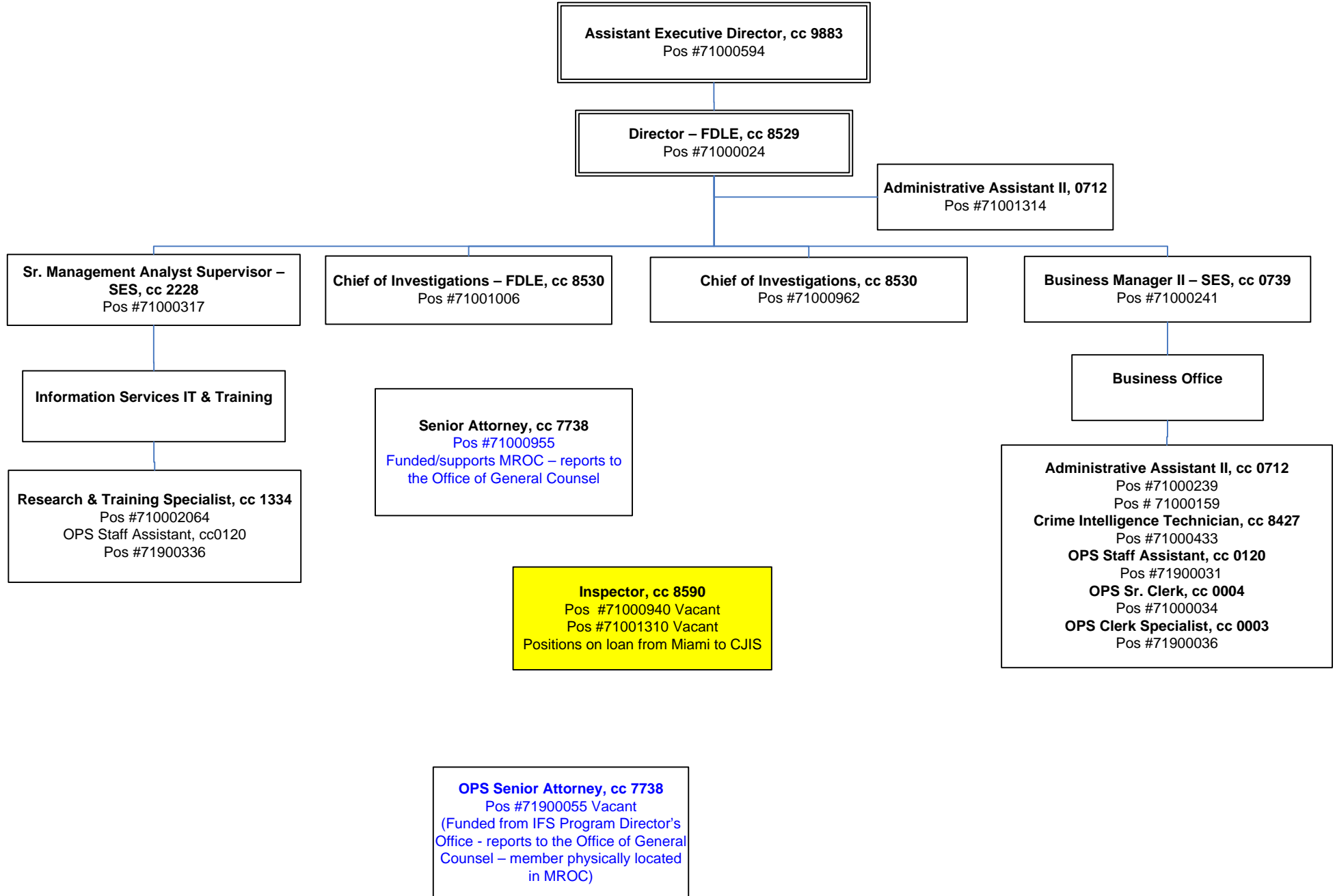
Florida Department of Law Enforcement  
 Investigations & Forensic Science Program  
 Ft. Myers Regional Operations Center  
 Investigations



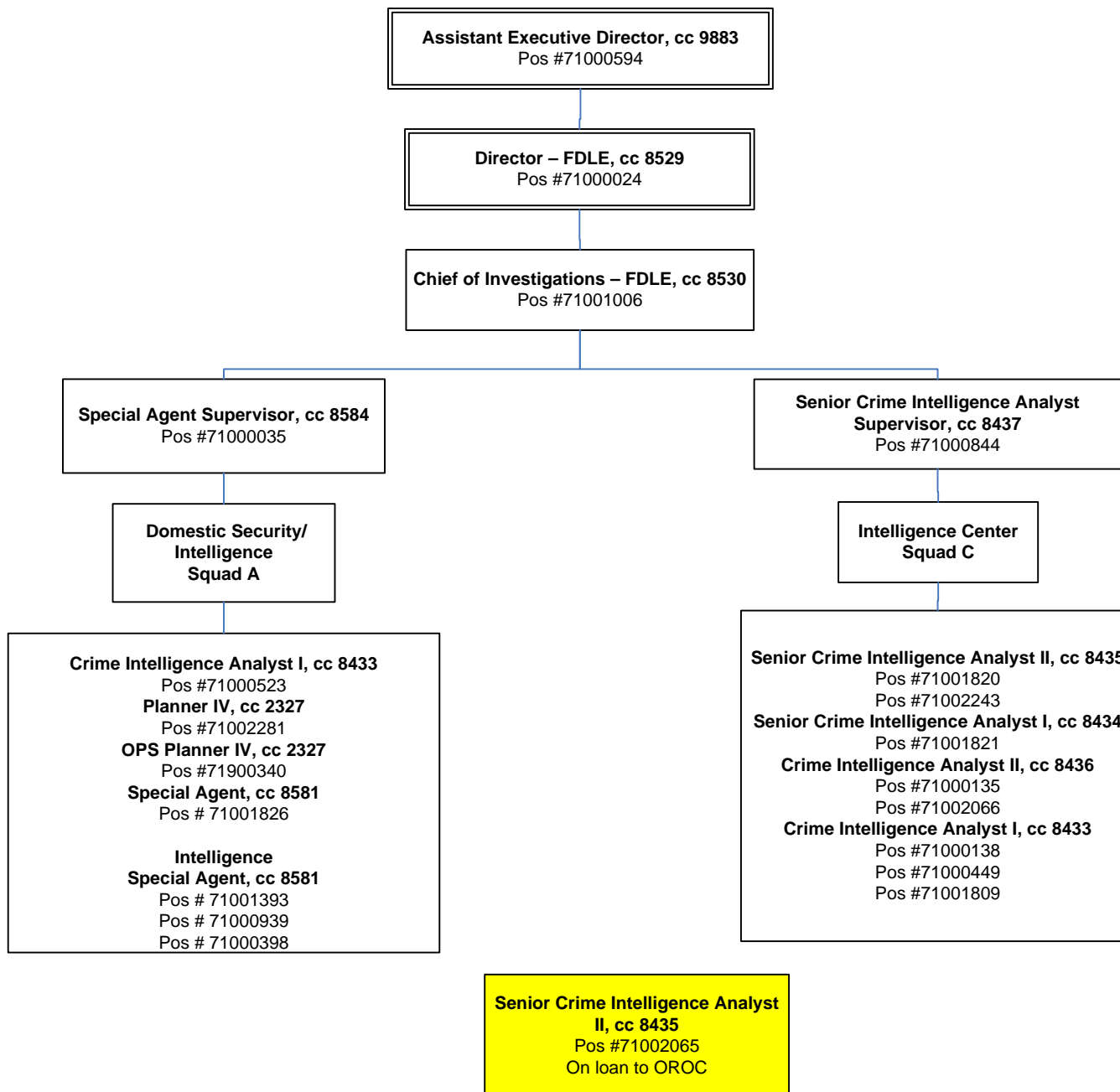
Florida Department of Law Enforcement  
Investigations & Forensic Science Program  
Ft. Myers Regional Operations Center  
Forensic Services



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



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



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

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Director – FDLE, cc 8529**  
Pos #71000024

**Chief of Investigations – FDLE, cc 8530**  
Pos #71001006

**Special Agent Supervisor, cc 8584**  
Pos #71000618

**Major Case  
West Palm  
Squad E**

**Special Agent, cc 8581**  
Pos #71001811  
Pos #71001812  
Pos #71000168  
Pos #71001810

**Special Agent Supervisor, cc 8584**  
Pos #71000972

**Major Case  
West Palm  
Squad I**

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

**Special Agent Supervisor, cc 8584**  
Pos #71000932

**Major Case  
Key West  
Squad J**

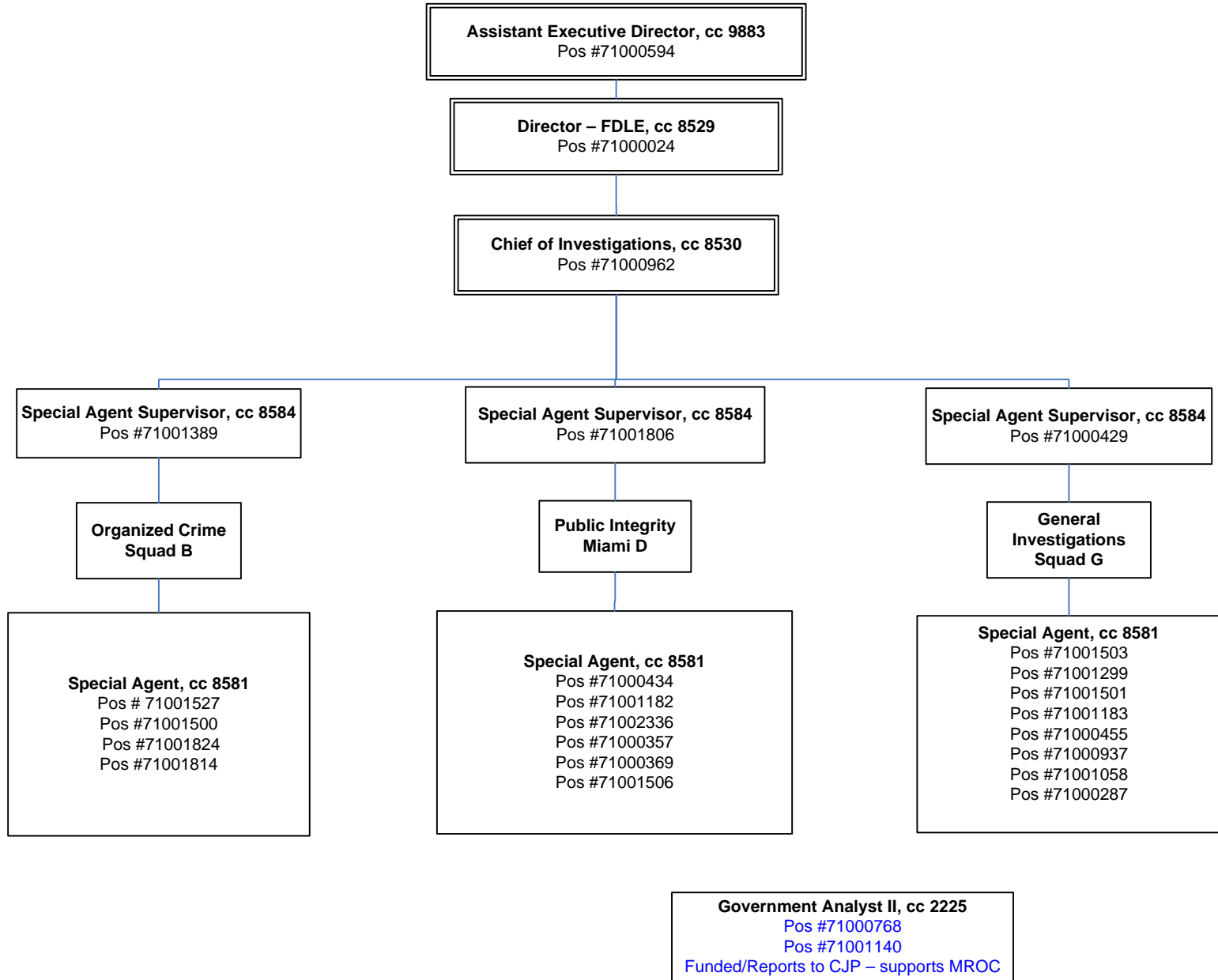
**Special Agent, cc 8581**  
Pos #71001504  
Pos #71000927  
Pos #71001391  
Pos #71001499

**Special Agent Supervisor, cc 8584**  
Pos #71001306

**Cyber/High Tech  
Crime  
Squad S**

**Special Agent, cc 8581**  
Pos #71002326  
Pos #71002329  
Pos #71002330  
Pos #71002335  
Pos #71000225  
Pos #71001100  
  
**ESST**  
Pos #71000025  
Pos #71002383  
**Crime Intelligence Analyst II, cc 8436**  
Pos #71002340

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



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

**Assistant Executive Director, cc 9883**  
Pos #71000594

**Director – FDLE, cc 8529**  
Pos #71000024

**Chief of Investigations, cc 8530**  
Pos #71000962

**Special Agent Supervisor, cc 8584**  
Pos #71001091

**Special Agent Supervisor, cc 8584**  
Pos #71000454

**Economic Crime/Fraud  
Squad F**

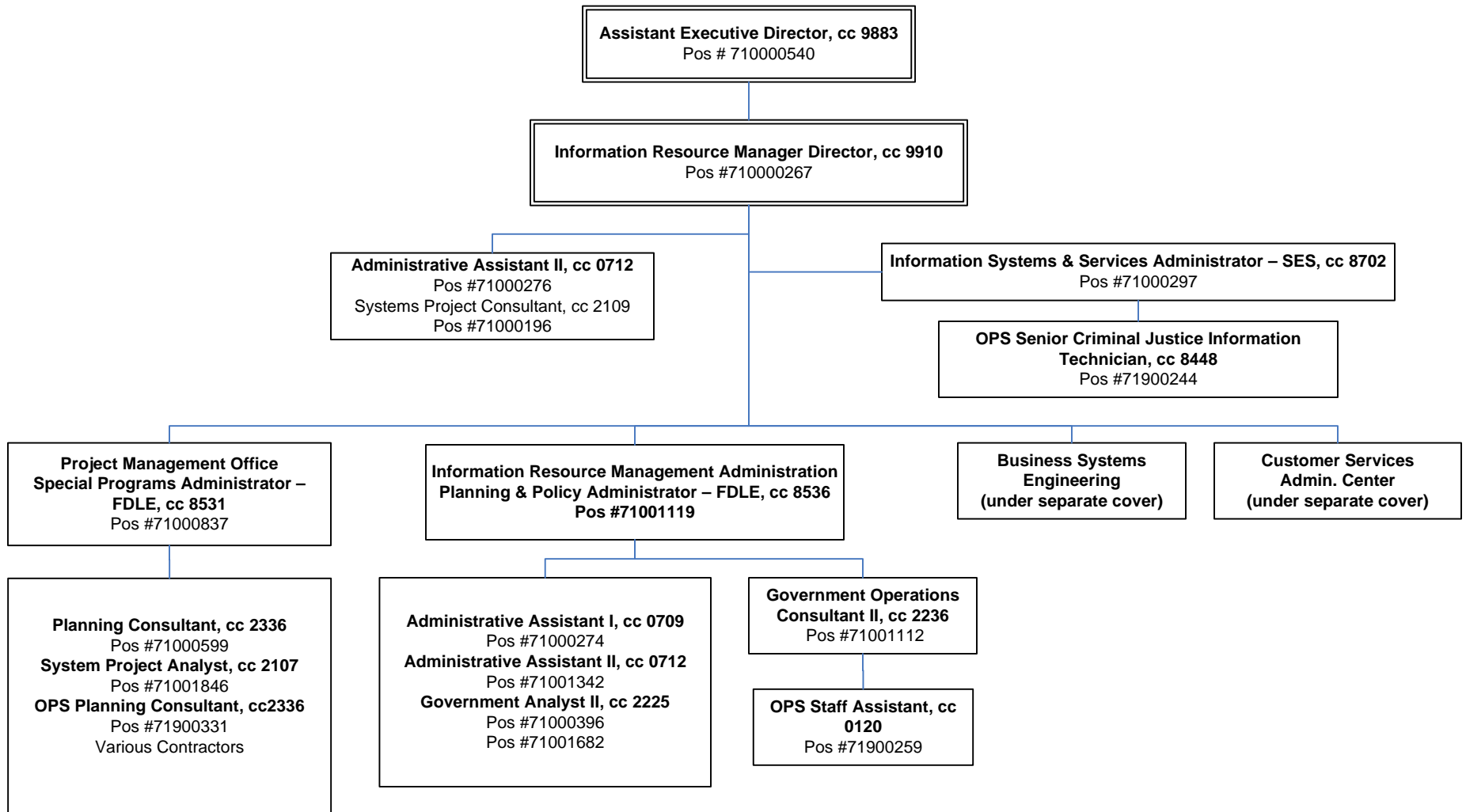
**Major Case/Public Integrity  
Squad L**

**Special Agent, cc 8581**  
Pos #71000825  
Pos #71001829  
Pos #71000156  
Pos #71000060  
Pos #71000840  
Pos #71002328

**Special Agent, cc 8581**  
Pos #71001525  
Pos #71000415  
Pos #71000059  
Pos #71002187  
Pos #71000503  
Pos #71001502  
Pos #71001680  
Pos #71000307

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

Florida Department of Law Enforcement  
Information Technology Services





Florida Department of Law Enforcement  
Information Technology Services  
Production System Services

**Assistant Executive Director, cc 9883**  
Pos # 710000540

**Information Resource Manager Director, cc 9910**  
Pos #710000267

**Production System Services**

**Chief of Production Services, cc 8396**  
Pos #71000612

**Database Administration**

**Data Center Operations**

**Systems Administration**

**Network Management**

**Systems Programming Administrator – SES ,cc 2117**  
Pos # 71000896

**Data Processing Manager - SES, cc 2133**  
Pos #71000272

**Data Processing Manager – SES, cc 2133**  
Pos #71001136

**Data Processing Manager – SES, cc 2133**  
Pos #71000484

**Data Processing Manager – SES, cc 2133**  
Pos #71000005

**Data Base Consultant, cc 2127**  
Pos # 71000609  
Pos# 71000205  
Pos #71001262  
**Senior Database Analyst, cc 2122**  
Pos #71002310  
Pos #71001444  
Pos #71001847  
Pos #71000215

**Office Automation Specialist II, cc 2043**  
Pos #71000271

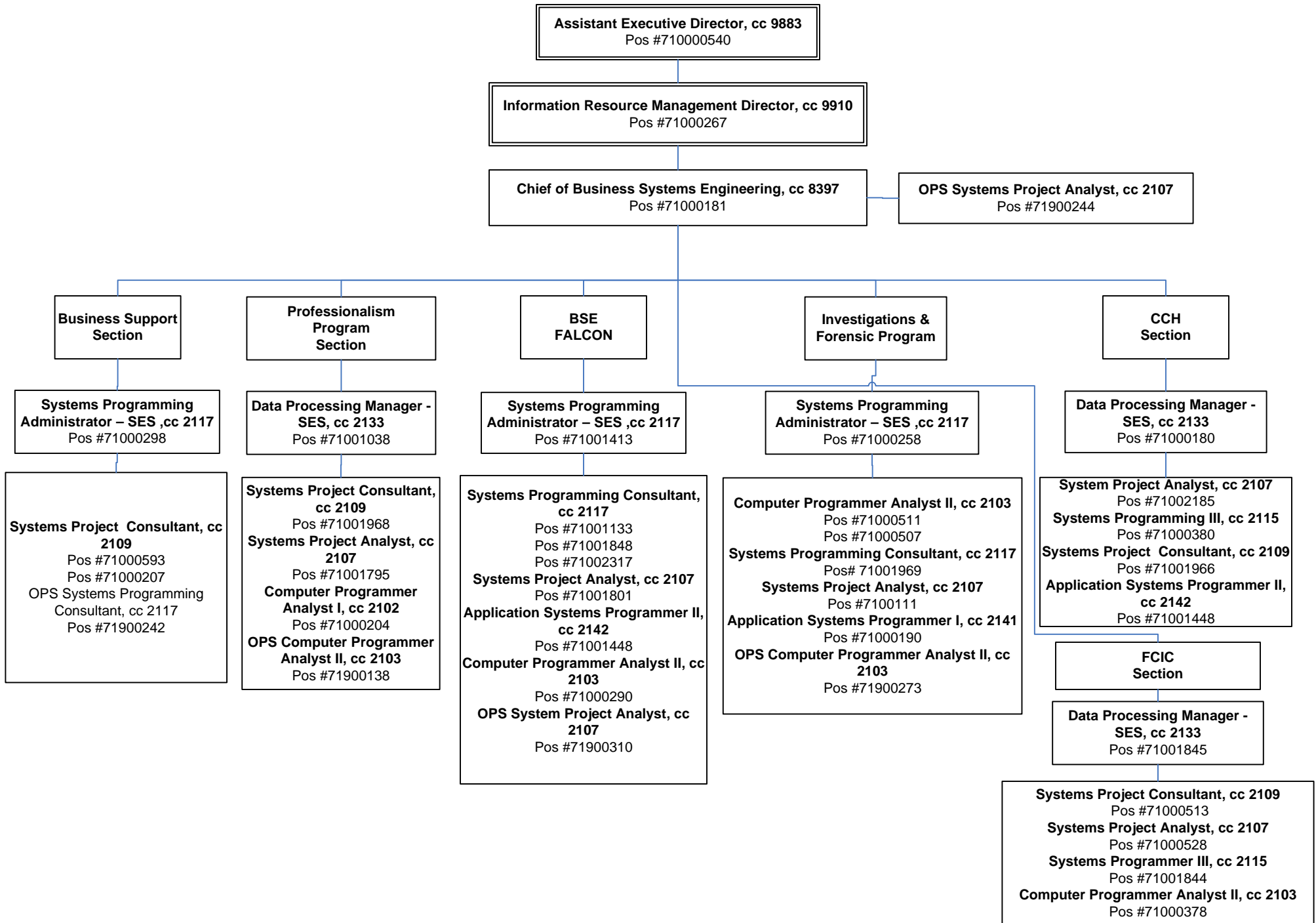
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**Systems Programmer III, cc 2115**  
Pos #71001131  
Pos #71001211  
Pos #71001353  
Pos #71000286  
Pos #71001794  
**OPS Systems Project Analyst, cc 2107**  
Pos #71900125

**Systems Programmer II, cc 2113**  
Pos #71001446  
Pos #71000045  
**Systems Programmer III, cc 2115**  
Pos #71000999  
Pos #71000101  
Pos #71000900  
**Distributed Computer Systems Consultant, cc 2053**  
Pos #71001482  
**Distributed Computer Systems Specialist, cc 2050**  
Pos #71000043

**Systems Programmer II, cc 2113**  
Pos #71000855  
**Systems Programmer III, cc 2115**  
Pos #71000529  
Pos #71001685  
**Office Automation Specialist II, cc 2043**  
Pos #71000146  
**Distributed Computer Systems Analyst, cc 2052**  
Pos #71000212  
**Network Systems Analyst, cc 2120**  
Pos # 71000804  
**OPS Telecommunications Systems Consultant, cc 6582**  
Pos #71900266

**Systems Programmer I, cc 2111,**  
Pos #71002119  
On loan to IRM from Cap. Police

Florida Department of Law Enforcement  
Information Technology Services  
Business Systems Engineering



Florida Department of Law Enforcement  
Information Technology Services  
Customer Service Administration Center

**Assistant Executive Director, cc 9883**  
Pos #71000540

**Information Resource Management Director, cc 9932**  
Pos #71000267

**Chief of User Services, cc 1963**  
Pos #71000677

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

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

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

**Day Shift**  
**Distributed Computer Systems Analyst, cc 2052 - SES**  
Pos #71000521  
**Distributed Computer Systems Specialist, cc 2050**  
Pos #71001113  
Pos #71000786  
Pos #71000891  
**Office Automation Specialist II, cc 2043**  
Pos #71001212  
Pos #71001044  
**Criminal Justice Customer Service Specialist, cc 1350**  
Pos #71000189  
**OPS Office Automation Specialist II, cc 2043**  
Pos # 71900090  
**OPS Senior Criminal Justice Information Technician, cc 8448**  
Pos #71900218

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

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

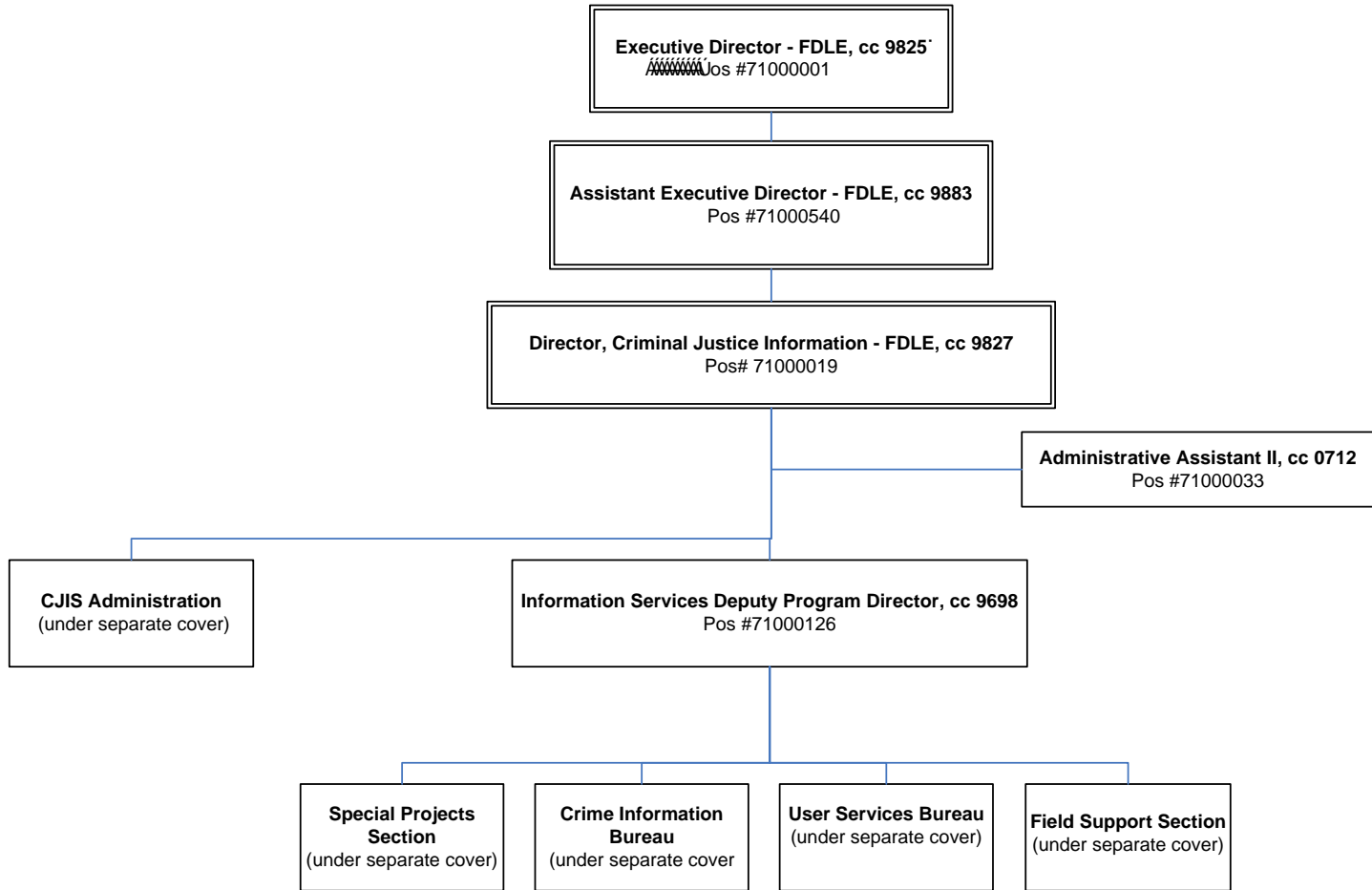
\*\*These positions are under  
Regional Systems Administration  
in the Regional Offices

**Funded/Reports to IRM/Supports:**  
**Pensacola**  
**Systems Programmer III, cc 2115**  
Pos #71001339  
Pos #71900156  
**Jacksonville**  
**Systems Programmer III, cc 2115**  
Pos #71001452  
**Systems Programmer I, cc 2111**  
Pos #71000730  
**Tampa**  
**Systems Programmer III, cc 2115**  
Pos #71000919  
**Systems Programmer I, cc 2111**  
Pos #71000243  
**Orlando**  
**Systems Programmer I, cc 2111**  
Pos #71000233  
**Systems Programmer III, cc 2115**  
Pos #71000295  
**Miami**  
**Systems Programmer III, cc 2115**  
Pos #71000228  
Pos #71000034  
Pos #71001967  
**FMROC**  
**Systems Programmer III, cc 2115**  
Pos #71001693  
**Distributed Computer Systems Specialist, cc 2050**  
Pos #71001104  
**TROC**  
**Systems Programmer I, cc 2111**  
Pos #71000796

**Distributed Computer Systems Analyst, cc 2052**  
Pos #71000268  
Pos #71000699  
Pos #71000571  
Pos #71000750  
Pos #71000284  
Pos #71001355  
Pos #71000206  
**Telecommunications Systems Specialist III, cc 2035**  
Pos #71000325

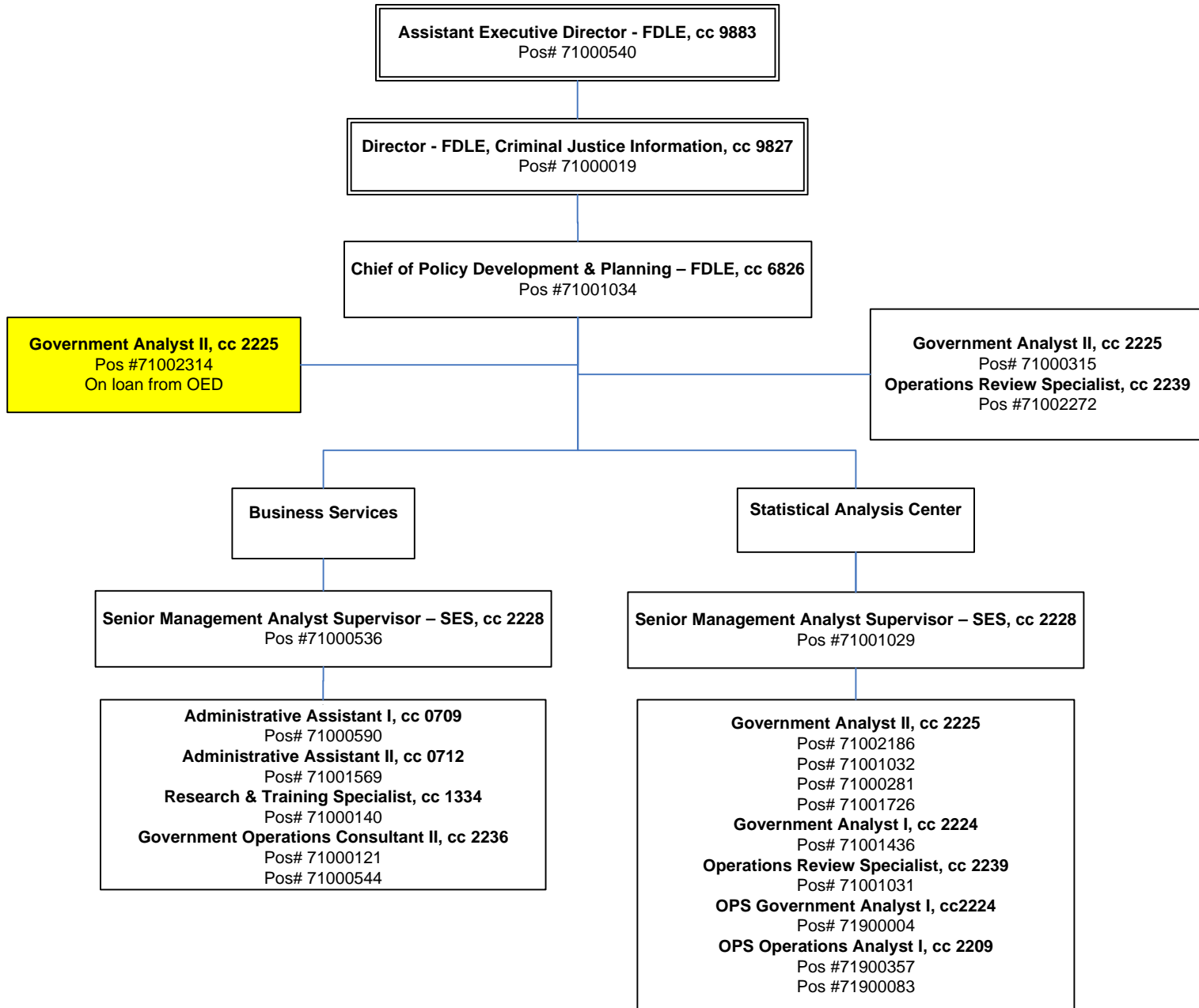
**Telecommunications Consultant, cc 2039**  
Pos #71002146  
On loan to IRM from Cap. Police

Florida Department of Law Enforcement  
Criminal Justice Information Services



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

Florida Department of Law Enforcement  
Criminal Justice Information Services  
Administration



Florida Department of Law Enforcement  
Criminal Justice Information Services  
Special Projects Section

**Assistant Executive Director - FDLE, cc 9883**  
Pos# 71000540

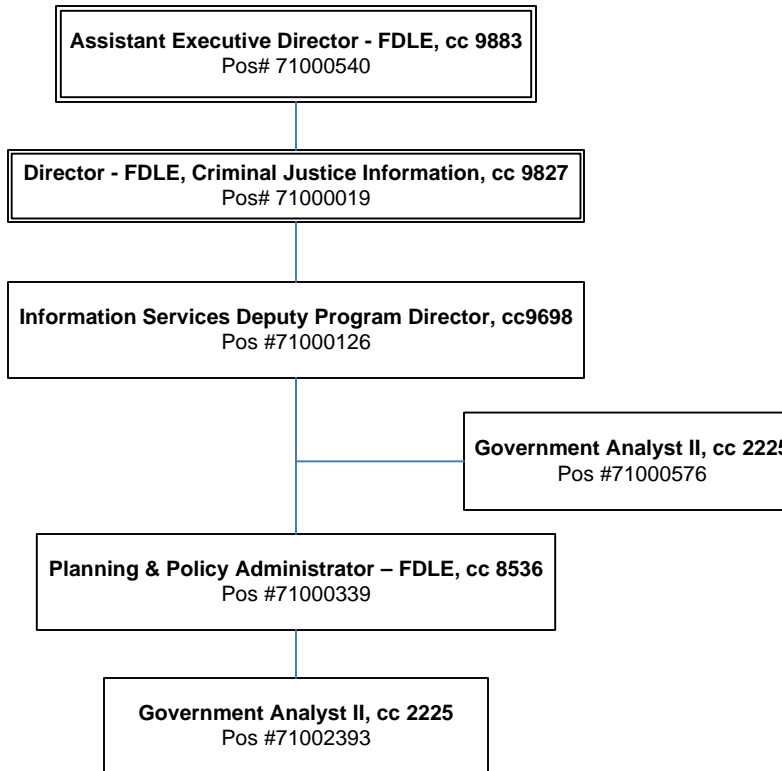
**Director - FDLE, Criminal Justice Information, cc 9827**  
Pos# 71000019

**Information Services Deputy Program Director, cc9698**  
Pos #71000126

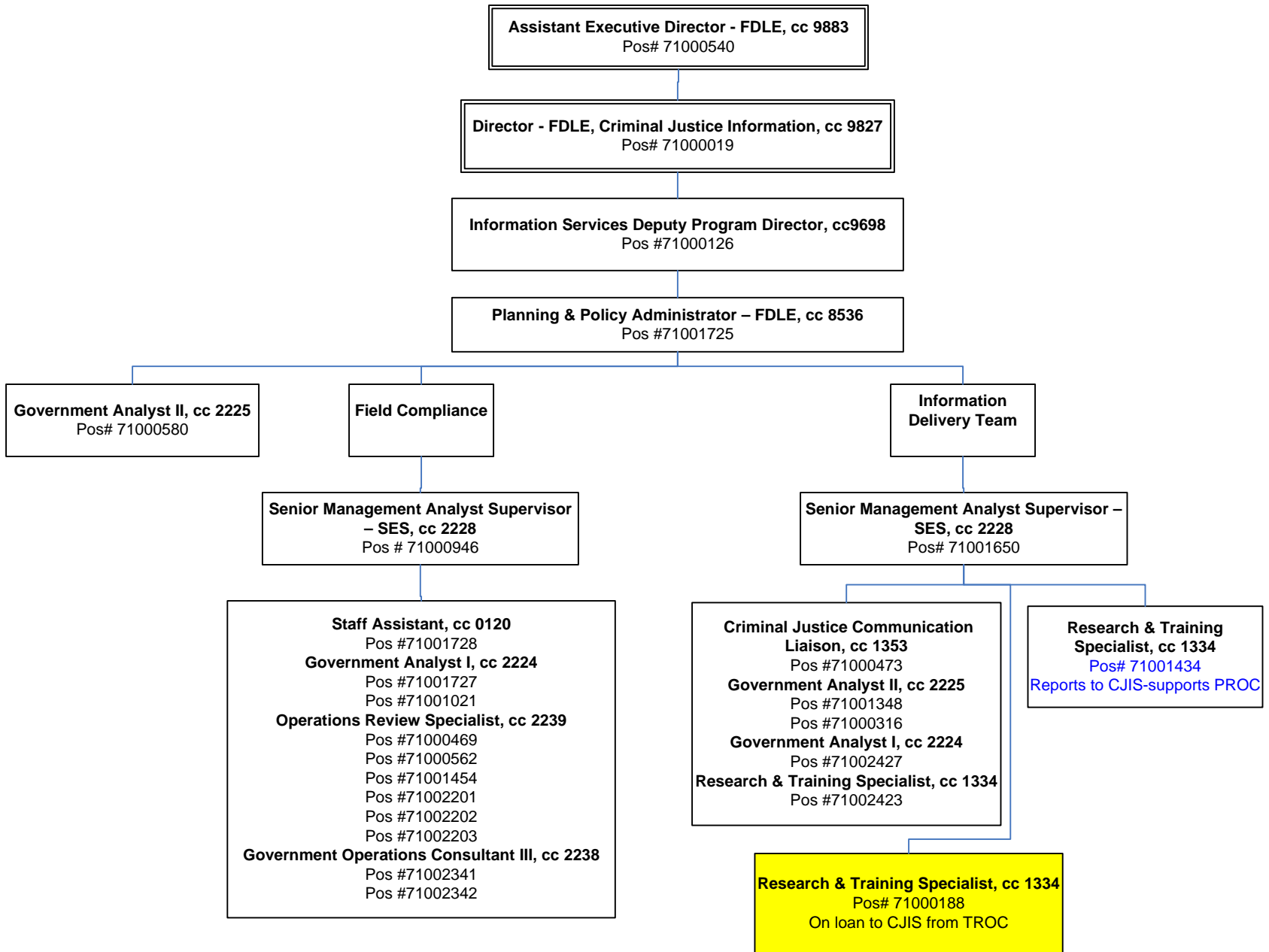
**Government Analyst II, cc 2225**  
Pos #71000576

**Planning & Policy Administrator – FDLE, cc 8536**  
Pos #71000339

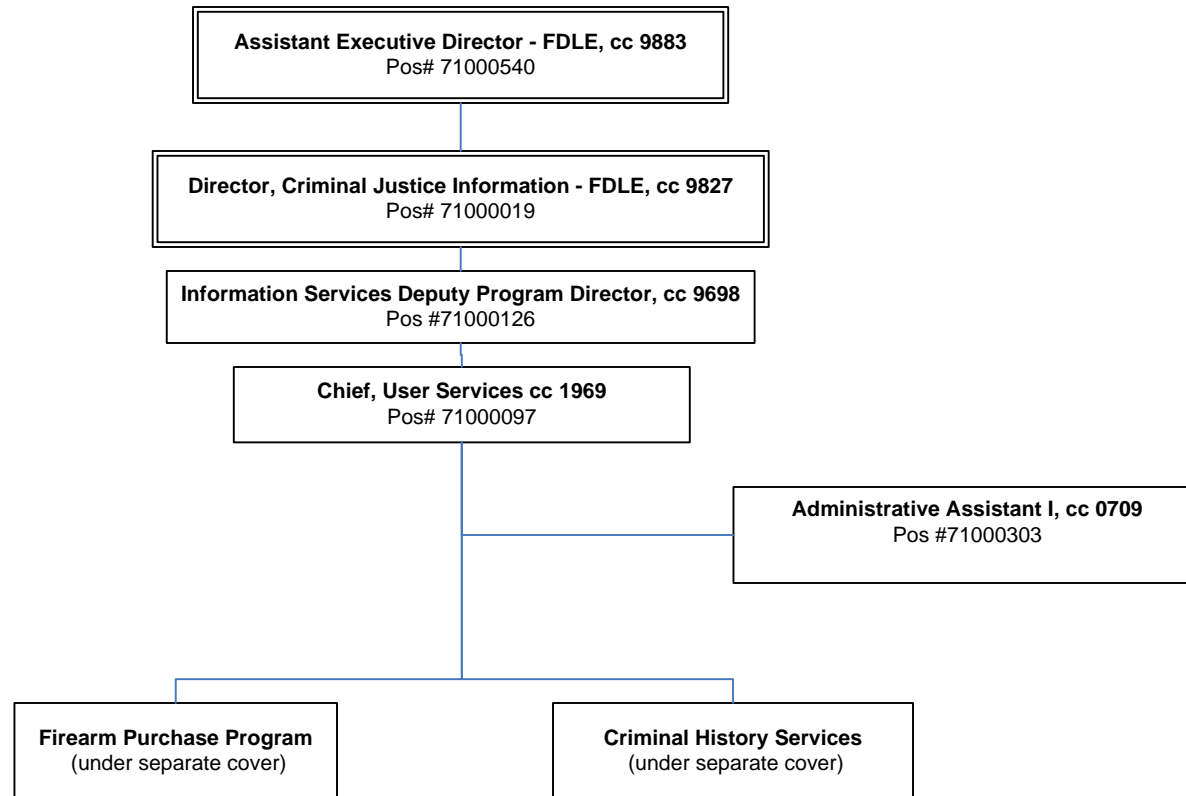
**Government Analyst II, cc 2225**  
Pos #71002393



Florida Department of Law Enforcement  
Criminal Justice Information Services  
Field Support

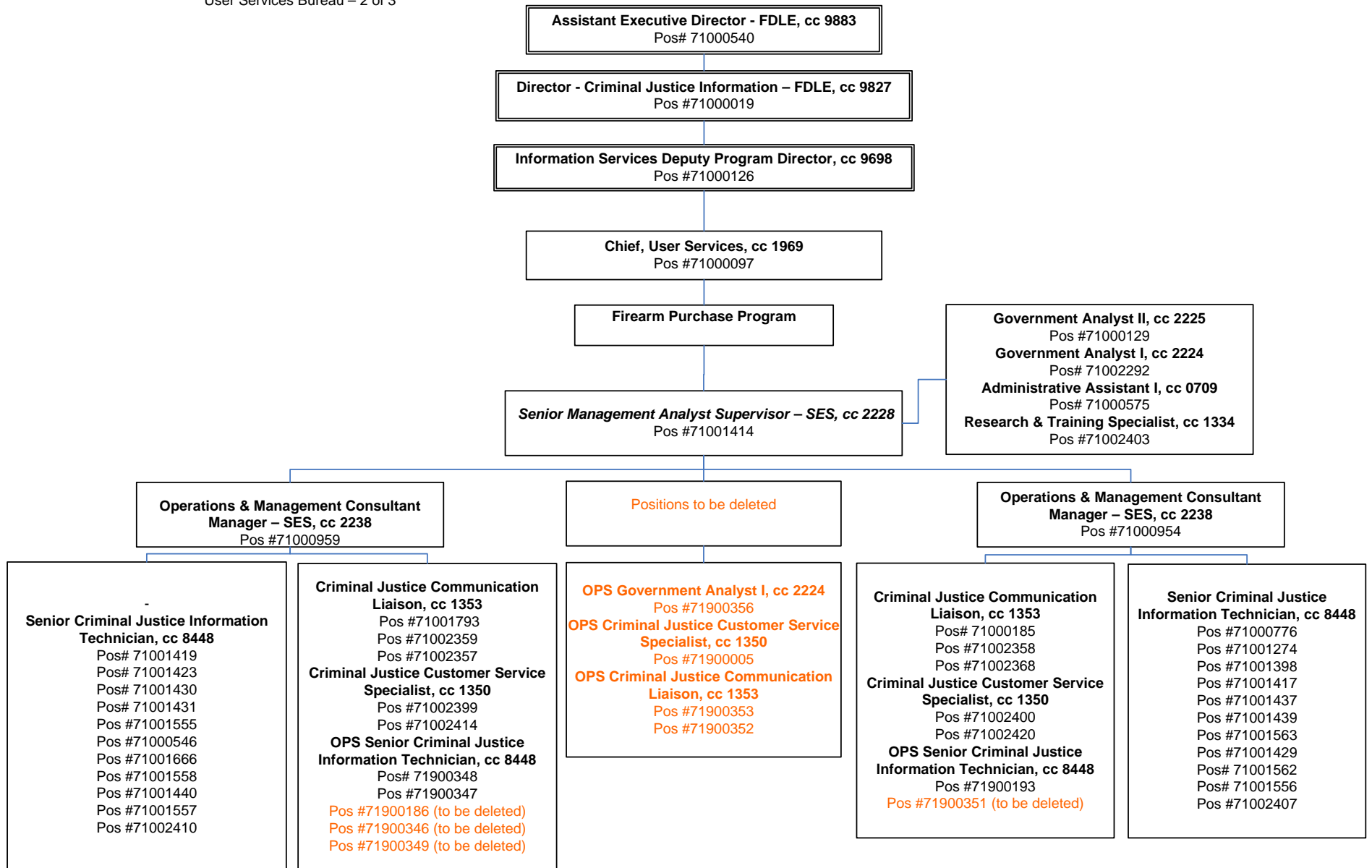


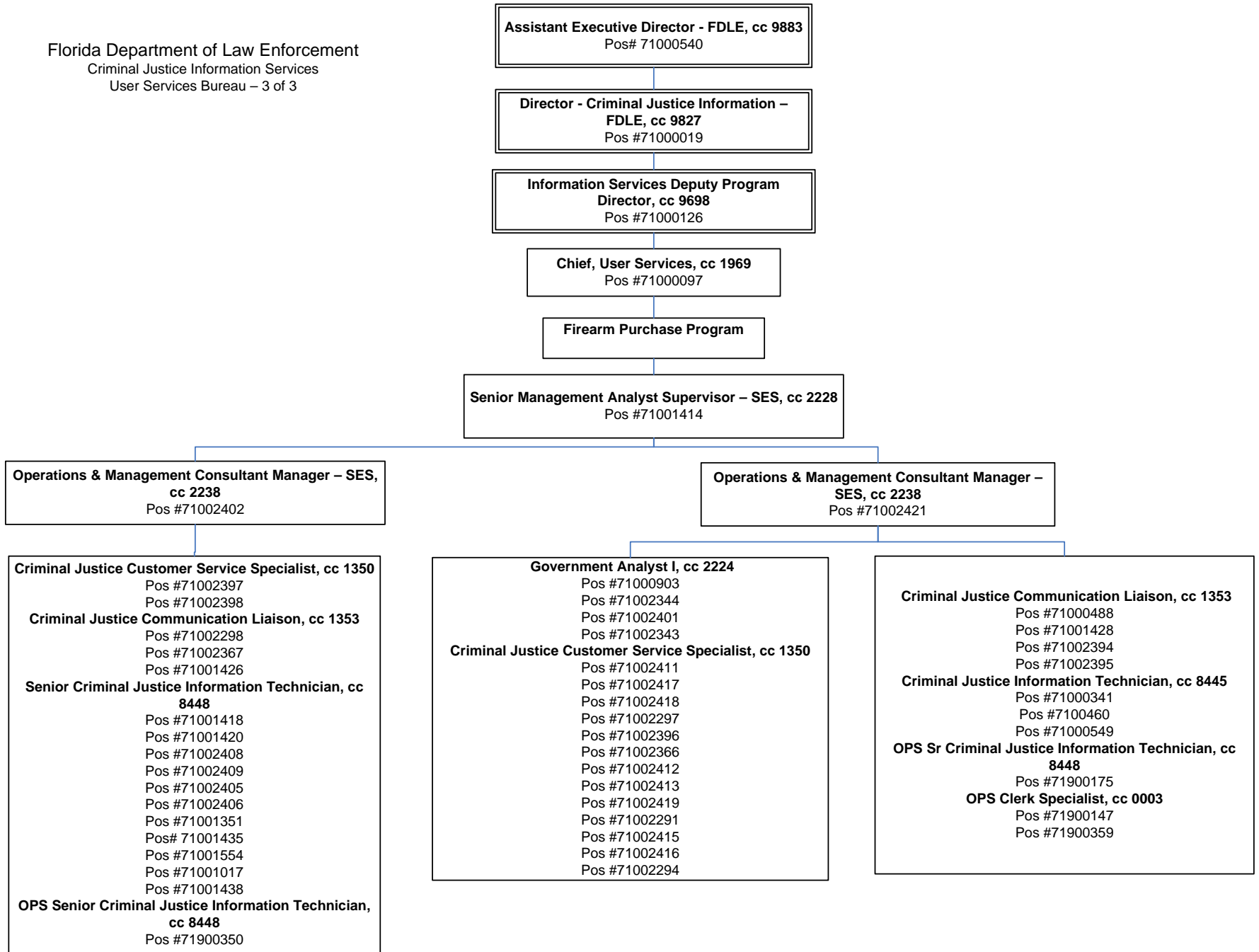
Florida Department of Law Enforcement  
Criminal Justice Information Services  
User Services Bureau – 1 of 3





Florida Department of Law Enforcement  
 Criminal Justice Information Services  
 User Services Bureau – 2 of 3





**Assistant Executive Director - FDLE, cc 9883**  
 Pos# 71000540

**Director - Criminal Justice Information – FDLE, cc 9827**  
 Pos #71000019

**Information Services Deputy Program Director, cc 9698**  
 Pos #71000126

**Chief, User Services, cc 1969**  
 Pos #71000097

**Criminal History Services**

**Government Analyst II, cc 2225**  
 Pos# 71002295

**Senior Management Analyst Supervisor – SES, cc 2228**  
 Pos #71001410

**Operations & Management Consultant  
 Manager – SES, cc 2238**  
 Pos #71000587

**Operations & Management Consultant  
 Manager - SES, cc 2238**  
 Pos# 71001425

**Operations & Management Consultant  
 Manager – SES, cc 2238**  
 Pos #71002296

**Operations & Management Consultant  
 Manager – SES, cc 2238**  
 Pos #71001663

**Government Analyst I, cc 2224**  
 Pos #71001443  
**Criminal Justice Customer Service  
 Specialist, cc 1350**  
 Pos #71000475  
 Pos #71002293  
 Pos #71002297  
 Pos #71002273  
**Criminal Justice Communication Liaison,  
 cc 1353**  
 Pos #71000199  
 Pos #71000485  
 Pos #71000491  
 Pos #71001649  
 Pos #71001797

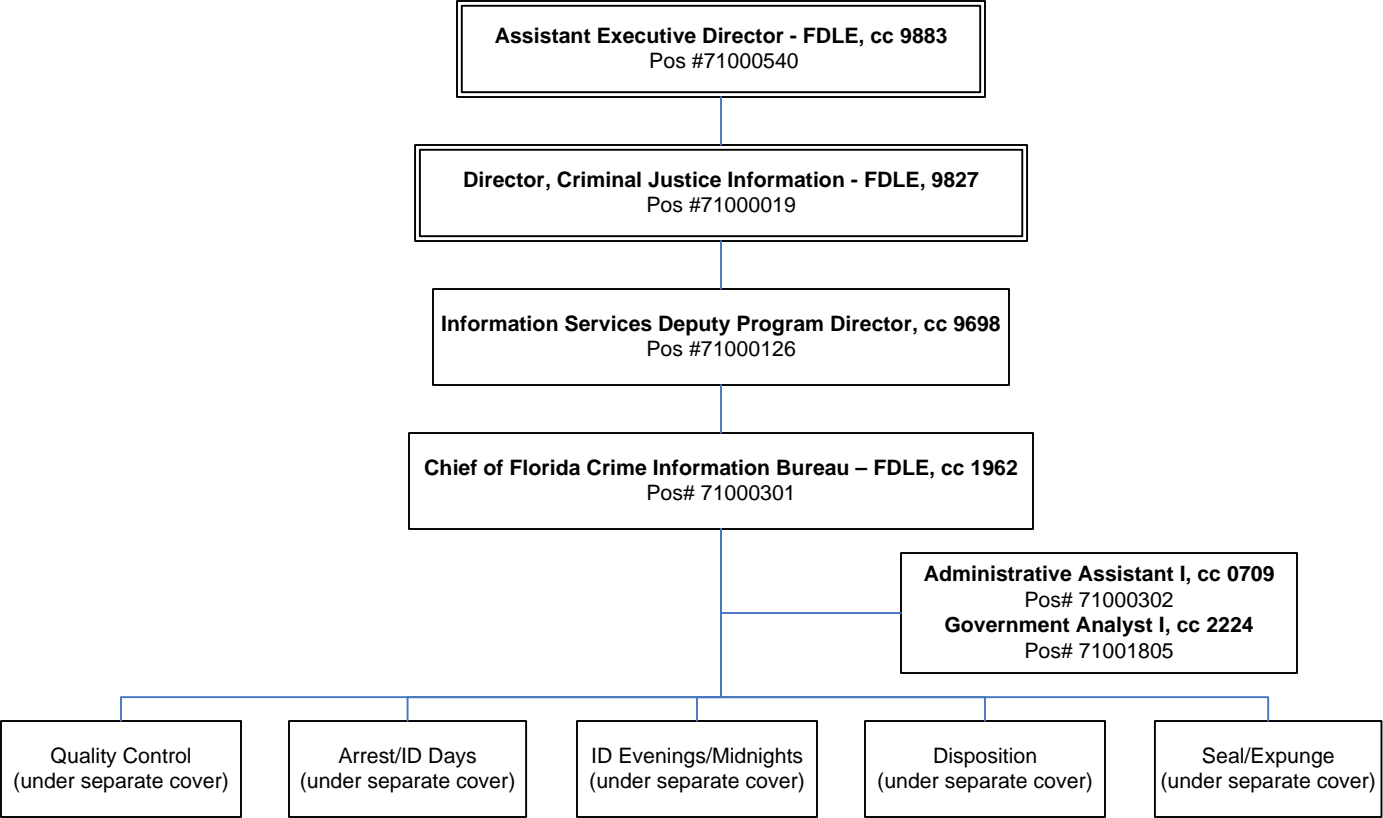
**Government Analyst I, cc 2224**  
 Pos #71000498  
 Pos #71001803  
 Pos #71002319  
**Criminal Justice Customer Service Specialist,  
 cc 1350**  
 Pos #71002318  
**Senior Criminal Justice Information  
 Technician, cc 8448**  
 Pos #71000345  
 Pos #71001022  
 Pos #71001219  
 Pos #71001238  
 Pos #71001664  
 Pos #71000668

**Government Analyst I, cc 2224**  
 Pos #71001210  
**Criminal Justice Communication Liaison,  
 cc 1353**  
 Pos #71000471  
 Pos# 71001024  
 Pos# 71001207  
**Criminal Justice Customer Service  
 Specialist, cc 1350**  
 Pos #71001106  
 Pos# 71002183  
 Pos# 71001459  
 Pos# 71002271

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

**Government Analyst I, cc 2224**  
 Pos #71000581  
 Pos# 71002270  
**Criminal Justice Customer Service  
 Specialist, cc 1350**  
 Pos# 71001559  
**Senior Criminal Justice Information  
 Technician, cc 8448**  
 Pos# 71001461  
 Pos# 71001659  
 Pos# 71000461  
 Pos# 71001204  
 Pos #71001667  
**Clerk Specialist, cc 0003**  
 Pos #71001565

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



Florida Department of Law Enforcement  
Criminal Justice Information Services  
Florida Crime Information Bureau – 2 of 5

**Assistant Executive Director - FDLE, cc 9883**  
Pos# 71000540

**Director, Criminal Justice Information - FDLE, cc 9827**  
Pos# 71000019

**Information Services Deputy Program Director, cc 9698**  
Pos #71000126

**Chief of Florida Crime Information Bureau – FDLE, cc 1962**  
Pos# 71000301

**Identification**

**Fingerprint Manager – SES, cc 8424**  
Pos# 71000573

**Fingerprint Manager – SES, cc 8424**  
Pos# 71000458

**DAYS**

**Senior Clerk, cc 0003**  
Pos #71000351  
**Criminal Justice Information Technician, cc 8445**  
Pos #71000124  
**Fingerprint Analyst, cc 8415**  
Pos #71000118  
Pos# 71000703  
Pos #71001107  
Pos #71001108  
Pos #71001202  
Pos #71001403  
Pos #71001566  
Pos #71001573  
Pos #71001796  
Pos #71000467  
**Fingerprint Analyst Trainee, cc 8412**  
Pos #71002301  
Pos #71001651  
Pos #71000607  
**OPS Clerk Specialist, cc 0003**  
Pos # 71900006

**Senior Criminal Justice Information  
Technician, cc 8448**

Pos# 71000465  
Pos# 71001570  
Pos# 71001575  
Pos# 71001576

**NIGHTS**

**Fingerprint Analyst, cc 8415**  
Pos# 71000145  
Pos# 71000462  
Pos# 71001109  
Pos# 71001402  
Pos# 71001652  
Pos# 71001653  
Pos# 71001655  
Pos #71000134  
Pos #71000340  
Pos #71000574  
Pos #71001014  
Pos #71002320  
Pos #71000468  
**Fingerprint Analyst Trainee, cc 8412**  
Pos# 71001564

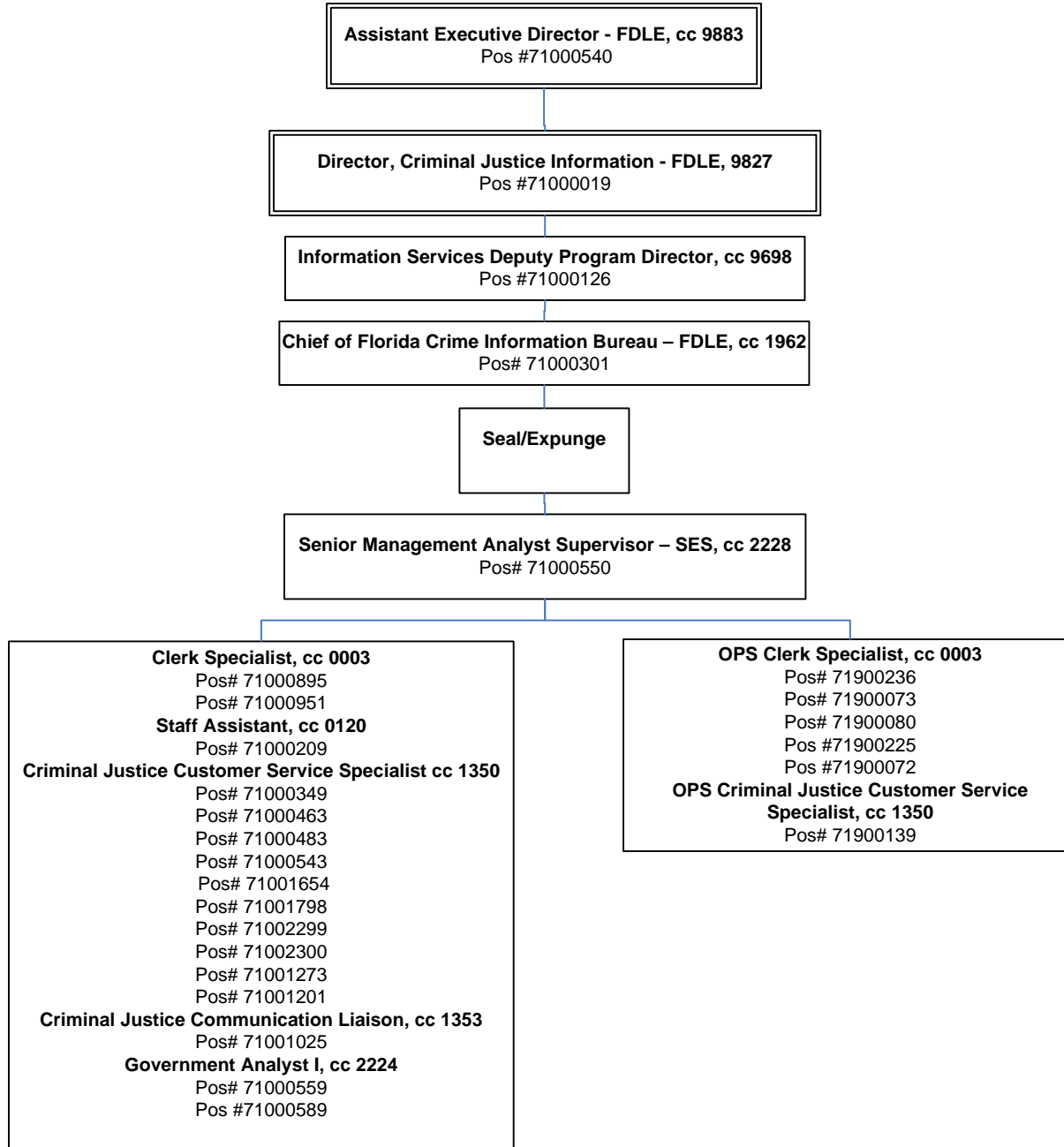
**MIDNIGHTS**

**Fingerprint Analyst, cc 8415**  
Pos #71000122\*  
Pos #71000466  
Pos #71001200  
Pos #71000338  
Pos #71000113  
Pos #71000464  
Pos #71001401

\*Leadworker

**OPS Clerk Specialist, cc 0003**  
Pos# 71900132

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



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

**Assistant Executive Director - FDLE, cc 9883**  
Pos #71000540

**Director, Criminal Justice Information  
- FDLE, 9827**  
Pos #71000019

**Information Services Deputy Program Director, cc 9698**  
Pos #71000126

**Chief of Florida Crime Information Bureau – FDLE, cc 1962**  
Pos# 71000301

**Disposition**

**Senior Management Analyst Supervisor – SES, cc 2228**  
Pos# 71001409

**Operations & Management Consultant  
Manager-SES, cc 2238**  
Pos #71001421

**Operations & Management Consultant  
Manager-SES, cc 2238**  
Pos #71002377

**Government Analyst I, cc 2224**  
Pos# 71000551  
Pos# 71001665  
**OPS Operations Analyst I, cc 2209**  
Pos# 71900354  
**OPS Government Analyst I, cc 2224**  
Pos #71900177

**Criminal Justice Customer Service Specialist, cc 1350**

Pos# 71002384  
Pos# 71002390  
Pos# 71002391  
Pos# 71002404

**Senior Criminal Justice Information Technician, cc 8448**

Pos# 71001016  
Pos# 71001433  
Pos# 71000128  
Pos# 71001571  
Pos# 71000474

**OPS Senior Criminal Justice Information Technician, cc 8448**

Pos# 71900219  
Pos #71900360  
Pos #71900361  
Pos# 71900362  
Pos# 71900368

**Criminal Justice Customer Service Specialist cc 1350**

Pos# 71002378  
Pos# 71002392  
Pos #71002379

**Criminal Justice Communication Liaison, cc 1353**

Pos# 71000008  
Pos# 71001208

**Senior Criminal Justice Information Technician, cc 8448**

Pos# 71001272  
Pos# 71000176  
Pos# 71001432  
Pos# 71001561

**OPS Administrative Assistant I, cc 0709**

Pos# 71900271

**OPS Clerk Specialist, cc 0003**

Pos# 71900208  
Pos #71000079

**OPS Senior Criminal Justice Information Technician, cc 8448**

Pos# 71900361  
Pos# 71900367

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

**Assistant Executive Director – FDLE, cc 9883**  
Pos #71000540

**Director, Criminal Justice Information – FDLE 9827**  
Pos #71000019

**Information Services Deputy Program Director, cc 9698**  
Pos #71000126

**Chief of Florida Crime Information Bureau – FDLE, cc 1962**  
Pos #71000301

**Quality Control**  
**Senior Management Analyst Supervisor – SES, cc 2228**  
Pos# 71000553

**Government Operations Consultant II, cc 2236**  
Pos# 71000175  
**Research & Training Specialist, cc 1334**  
Pos# 71001577  
Pos# 71001671

**Operations & Management Consultant Manager – SES, cc 2238**  
Pos# 71001661

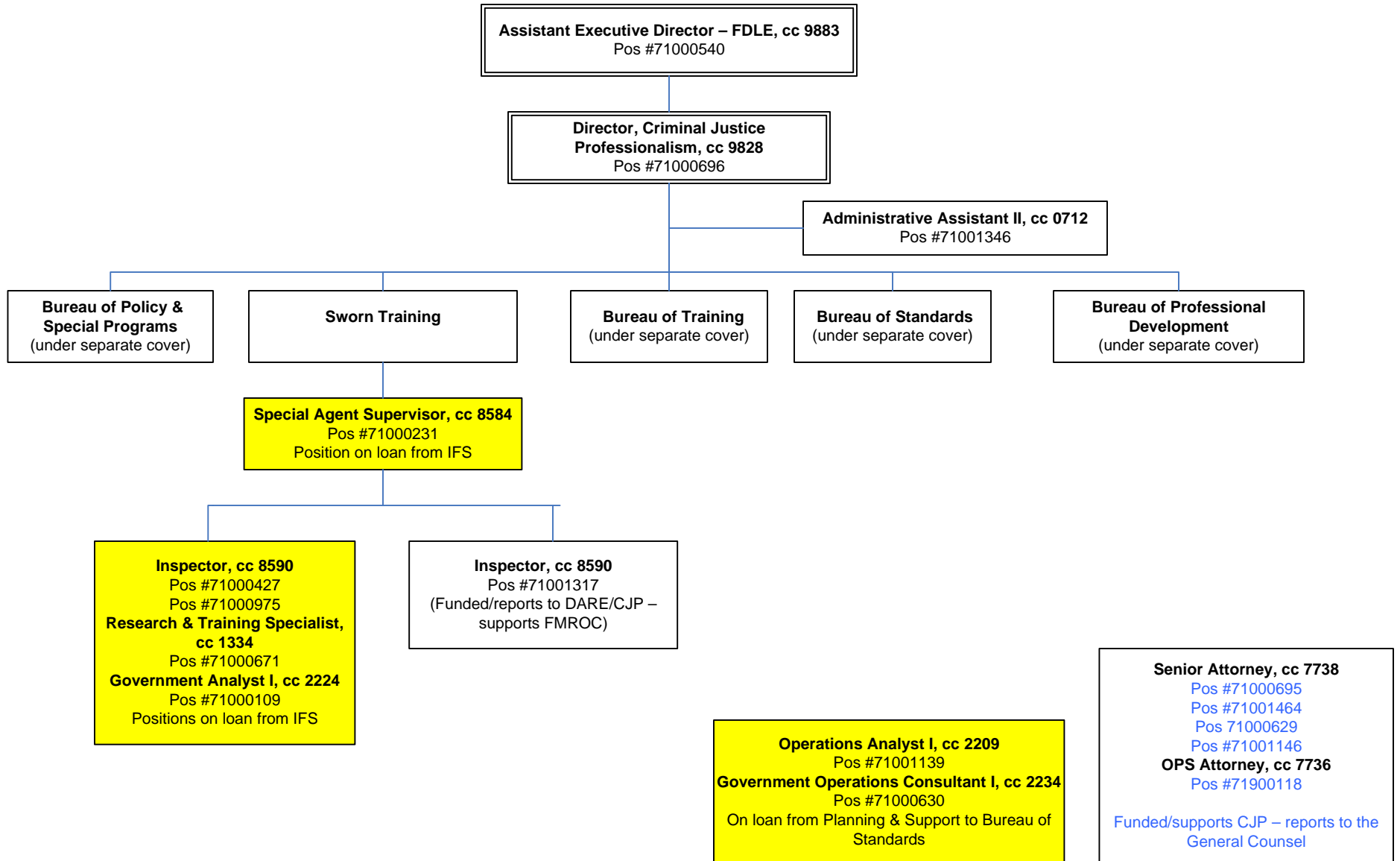
**Operations & Management Consultant Manager – SES, cc 2238**  
Pos# 71000502

**Clerk Specialist, cc 0003**  
Pos# 71001408  
**Senior Criminal Justice Information Technician, cc 8448**  
Pos# 71000567  
Pos# 71000570  
Pos# 71000572  
Pos# 71000577  
Pos #71001018  
Pos# 71001019  
Pos# 71001271  
**Criminal Justice Communication Liaison, cc 1353**  
Pos# 71000564  
**Criminal Justice Customer Service Specialist, cc 1350**  
Pos# 71000704  
**Government Analyst I, cc 2224**  
Pos# 71001206  
**OPS Criminal Justice Communications Liaison, cc 1363**  
Pos# 71900223  
**OPS Senior Criminal Justice Information Technician, cc 8448**  
Pos# 71900068  
**OPS Clerk Specialist, cc 0003**  
Pos #71900180  
Pos #71900152

**OPS Clerk Specialist, cc 0003**  
Pos# 71900006  
**OPS Senior Criminal Justice Information Technician, cc 8448**  
Pos #71900153  
Pos# 71900364  
Pos# 71900358  
Pos# 71900363  
Pos# 71900355  
Pos #71900364  
**Criminal Justice Communication Liaison, cc 1353**  
Pos# 71000130  
**Criminal Justice Customer Service Specialist, cc 1350**  
Pos# 71002303  
Pos #71001105  
**Government Operations Consultant I, cc 2234**  
Pos# 71001400  
**Government Analyst I, cc 2224**  
Pos #71000116  
Pos #71002422  
**Fingerprint Analyst, cc 8415**  
Pos# 71000459  
Pos# 71002302  
**Senior Criminal Justice Information Technician, cc 8448**  
Pos #71001015



Florida Department of Law Enforcement  
Criminal Justice Professionalism  
Director's Office



Florida Department of Law Enforcement  
Criminal Justice Professionalism  
Bureau of Standards

**Assistant Executive Director, cc 9883**  
Pos #71000540

**Director, Criminal Justice Professionalism, cc 9828**  
Pos #71000696

**Chief of Standards – FDLE, cc 3628**  
Pos #71000624

**OPS Office Automation Specialist, cc 2041**  
Pos. #71900292

**Field Services and  
Records**

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

**Professional  
Compliance  
& Audit Services**

**Training & Research Manager – SES, cc 6004**  
Pos. #71001245

**Training & Research Manager – SES cc 6004**  
Pos #71000701

**Administrative Assistant I,  
cc 0120**  
Pos #71000795

**Field Services**

**Records**

**Professional  
Compliance**

**Administrative Assistant II, cc 0712**  
Pos #71000700

**Government Analyst II, cc 2225**  
Pos #71000698 OROC  
Pos #71000768 MROC  
Pos #71000604 TROC  
Pos #71000395 TBROC  
Pos #71001141 TBROC  
Pos #71000394 PROC  
Pos #71001140 MROC  
Pos #71000605 FMROC  
Pos #71001102 - OROC  
Pos #71001103 - TBROC

Above GA II's Funded and report to CJP – supports Regions

**Criminal Justice Customer Service  
Specialist, cc 1350**  
Pos #71001142 y  
Pos #71001356 l  
Pos #71001357  
Pos #71000626

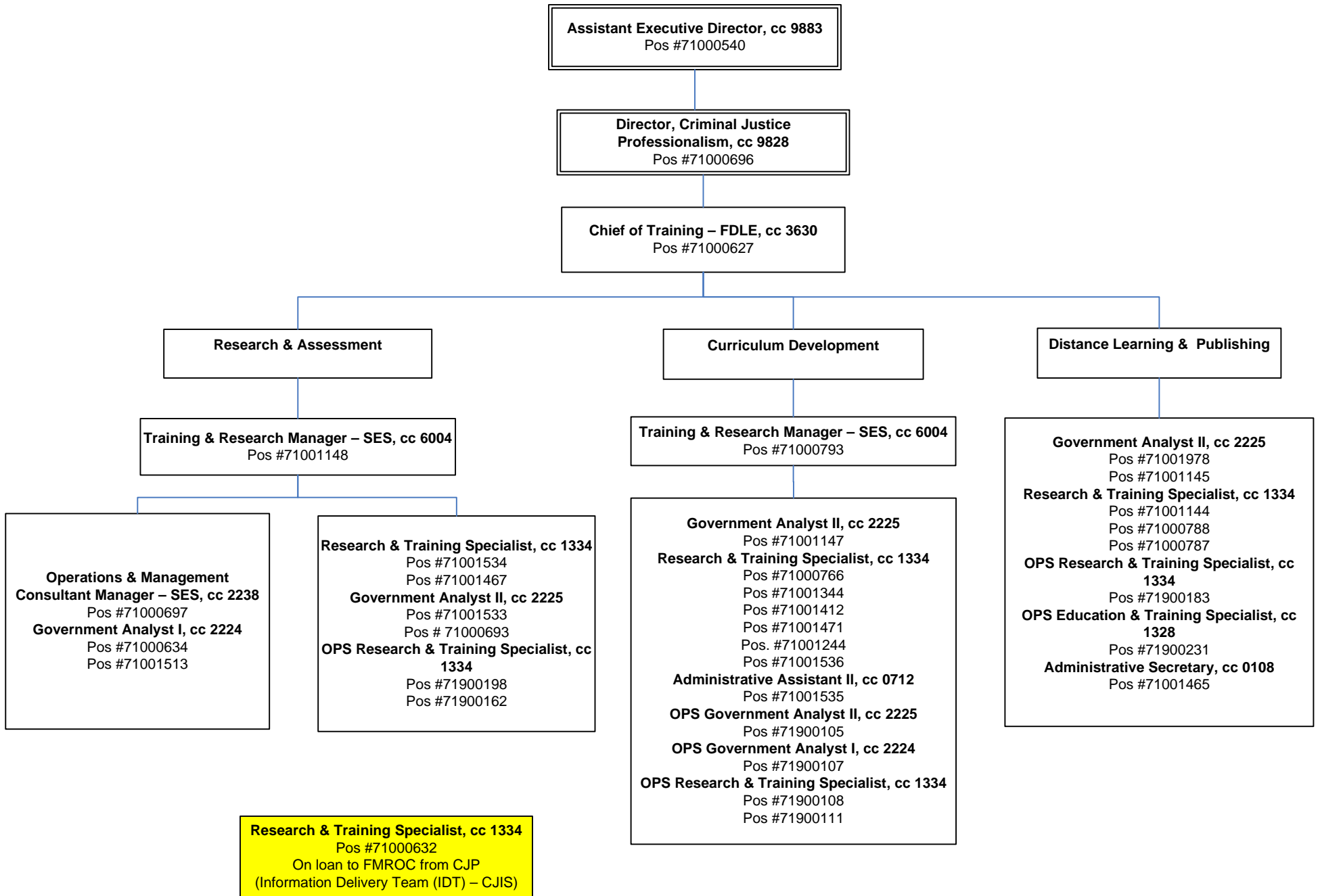
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Pos #71900226  
Pos #71900104

**Administrative Assistant II, cc 0712**  
Pos #71001468

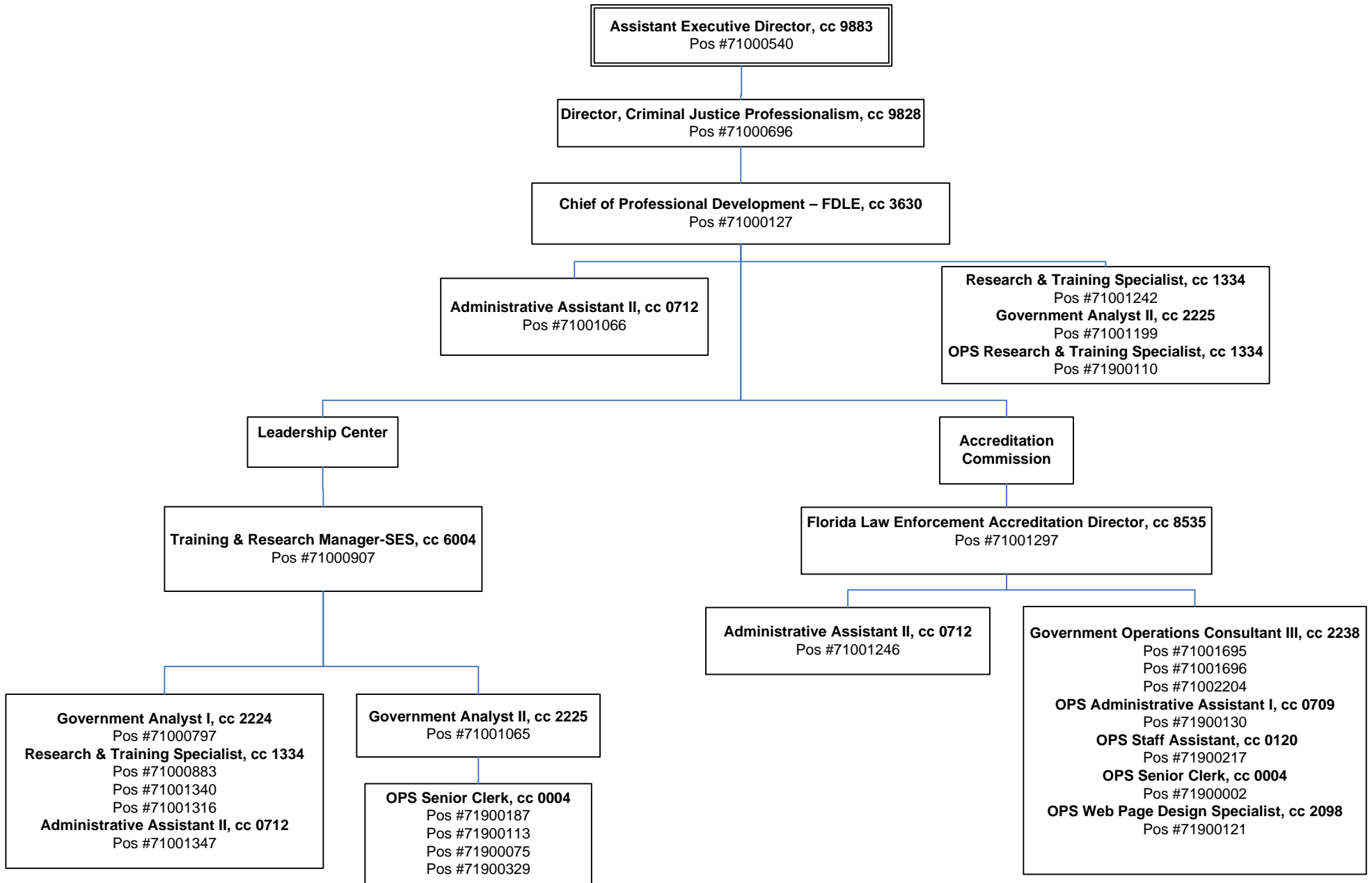
**Research & Training Specialist, cc 1334**  
Pos #71000600  
Pos #71001143  
Pos #71000688  
Pos #71000792  
Pos #71000799  
Pos #71001469  
Pos #71001466  
Pos. # 71000791  
Pos #71001538

**OPS Senior Clerk, cc 0004**  
Pos #71900100

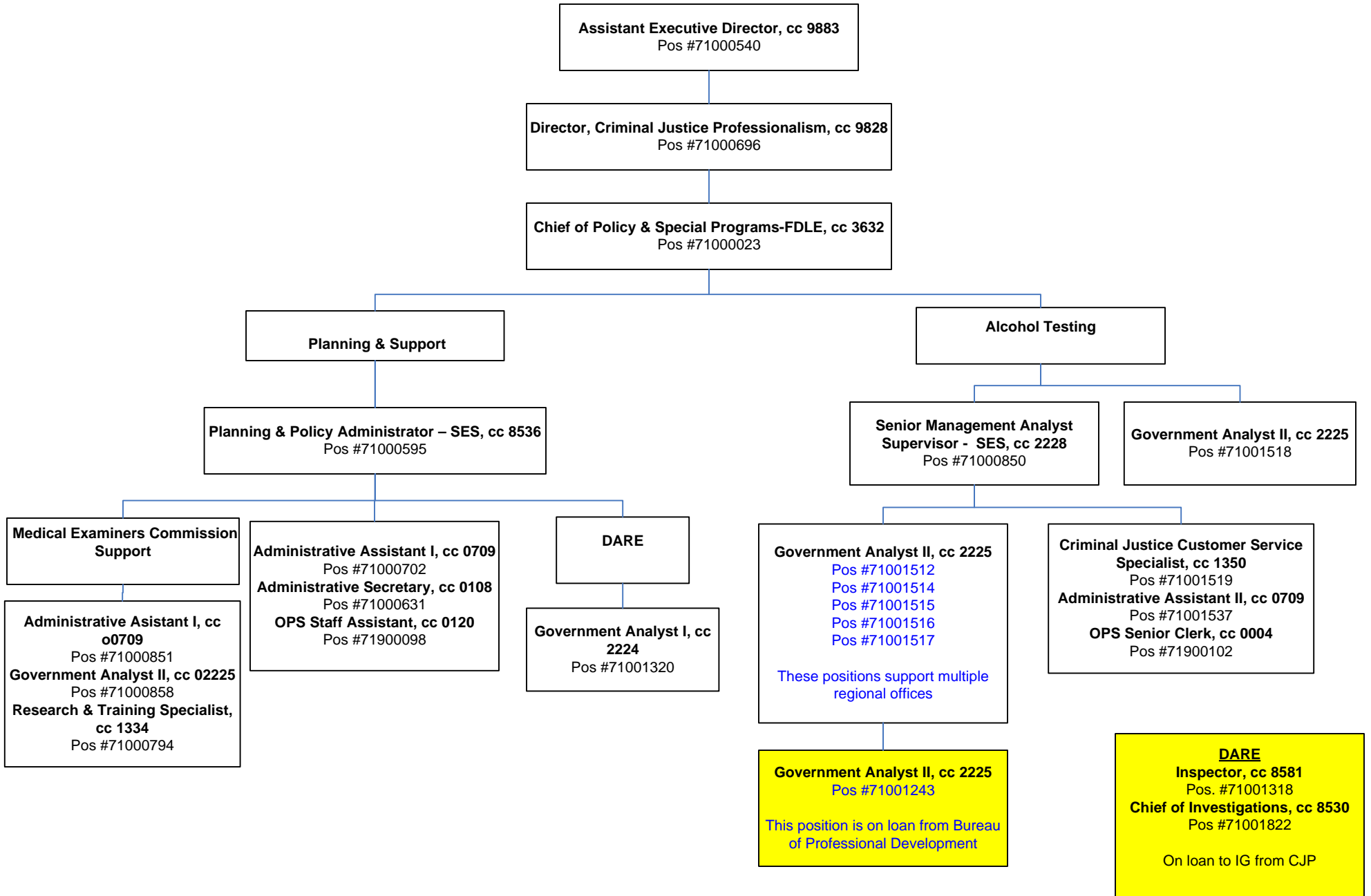
Florida Department of Law Enforcement  
Criminal Justice Professionalism  
Bureau of Training



Florida Department of Law Enforcement  
Criminal Justice Professionalism  
Bureau of Professional Development



Florida Department of Law Enforcement  
Criminal Justice Professionalism  
Bureau of Policy & Special Programs





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

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

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2015 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 2016-2017 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a				
b				
c				
d				
e				
f				

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

\* R/B = Revenue or Budget Driver

**SCHEDULE IV-B FOR  
COMPUTERIZED CRIMINAL HISTORY  
MODERNIZATION  
For Fiscal Year 2016-17**



**September 9, 2015**

**Florida Department  
of  
Law Enforcement**



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**FY 2016-17 Schedule IV-B for CCH Modernization**

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

Schedule IV-B Cover Sheet and Agency Project Approval	
<b>Agency:</b> Florida Department of Law Enforcement	<b>Schedule IV-B Submission Date:</b> 9/15/2015
<b>Project Name:</b> Computerized Criminal History Modernization Project	<b>Is this project included in the Agency's LRPP?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>FY 2016-17 LBR Issue Code:</b> 24010C0	<b>FY 2016-17 LBR Issue Title:</b> Replace Computerized Criminal History System
<b>Agency Contact for Schedule IV-B (Name, Phone #, and email address):</b> Becky Lackey, 410-8459, BeckyLackey@fdle.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
<b>Agency Head:</b> Printed Name: Richard L. Swearingen	<b>Date:</b> 9/8/15
<b>Agency Chief Information Officer (or equivalent):</b> Printed Name: Joey Hornsby	<b>Date:</b> 9/8/15
<b>Budget Officer:</b> Printed Name: Cynthia Barr	<b>Date:</b> 9/8/15
<b>Planning Officer:</b> Printed Name: Michelle Pyle	<b>Date:</b> 9/8/15
<b>Project Sponsor:</b> Printed Name: Charles Schaeffer	<b>Date:</b> 9/4/15
Schedule IV-B Preparers (Name, Phone #, and Email address):	
<b>Business Need:</b>	Charles Schaeffer, 410-7969, CharlesSchaeffer@fdle.state.fl.us
<b>Cost-Benefit Analysis:</b>	Becky Lackey, 410-8459, BeckyLackey@fdle.state.fl.us
<b>Risk Analysis:</b>	Renee Strickland, 410-8195, ReneeStrickland@fdle.state.fl.us
<b>Technology Planning:</b>	Joey Hornsby, 410-8455, JoeyHornsby@fdle.state.fl.us
<b>Project Planning:</b>	Sonja Guthrie, 410-8359, SonjaGuthrie@fdle.state.fl.us

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

### A. Background and Strategic Needs Assessment

#### 1. Business Need

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

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

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

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

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

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<sup>1</sup> Refer to

[http://www.leg.state.fl.us/Statutes/index.cfm?App\\_mode=Display\\_Statute&Search\\_String=&URL=0900-0999/0943/Sections/0943.05.html](http://www.leg.state.fl.us/Statutes/index.cfm?App_mode=Display_Statute&Search_String=&URL=0900-0999/0943/Sections/0943.05.html)

<sup>2</sup> Refer to <https://www.flrules.org/gateway/Division.asp?DivID=21>

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

In the fiscal year 2014-15 there were over 3.1 million criminal history record checks processed. The Legislature has recognized the vital role in background screening for people who will be employed to work with vulnerable populations or in positions of trust. There are more than 125 laws that require background checks. In Florida last year, more than 1 million mandated background checks for licensing and employment were processed, more than 807,000 checks on gun buyers were processed, and more than 200,000 checks were processed under the National Child Protection Act. Criminal background checks are acknowledged as a valuable resource by the public, as evidenced by more than 862,000 criminal history checks performed under the public records law or on the Internet. As a result of the large number of criminal record checks, FDLE collects approximately \$50 million per year in statutorily mandated fees.

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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

## 2. Business Objectives/Scope

FDLE's primary objectives for this project are to:

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

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

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<sup>3</sup> Refer to <http://www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view>

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

**B. Baseline Analysis**

**1. Current Business Processes**

**a. FDLE Processing**

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

The CIB is tasked with the maintenance of the State's CCH Repository as required by Florida Statute 943.05. FDLE's BIS provides near real-time positive identifications of fingerprints of arrested persons and an automatic update of criminal history files. The Bureau also provides criminal identification screening services to criminal justice agencies and non-criminal justice agencies to identify persons with criminal warrants, arrests, and convictions. Fingerprints maintained by the CIB are used by crime labs for comparisons of latent crime scene fingerprints for identification. The Bureau is made up of five (5) sections that are crucial to the overall maintenance, completeness, and accuracy of the database and services provided in accessing information from the database: Identification, Arrest, Quality Control, Seal and Expunge, and Disposition, each discussed below.

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

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

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

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

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

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

- Applicant fingerprint requests are submitted from criminal justice agencies, governmental (non-criminal justice) entities, private industry, entities under Public Law 92-544 and the National Child Protection Act/Volunteers for Children Act (NCPA/VCA), or facilities regulated under various non-criminal justice agencies. Record requests from these entities are searched by fingerprint-based information for a state and national screening, and are typically forwarded to the FBI for a national screening. Livescan processes are strictly statute driven, meaning all requests must have a corresponding statutory authority and be labeled appropriately.
- Some e-Government Criminal History Services customers participate in the Applicant Fingerprint Retention and Notification Program (AFRNP). These customers are notified by e-Government Criminal History Services when a subject's retained fingerprints are positively identified as an individual who has subsequently been arrested in Florida. Arrests made in other states or by the federal government do not result in notification.
- The Firearm Purchase Program (FPP) section conducts record checks on individuals attempting to transfer or purchase firearms in Florida. The FPP acts as the point of contact for firearm dealers. The dealers contact the FPP using a toll-free phone line or submit requests online through the Firearm Eligibility System. Using the subject's demographics, state and national files are searched and a determination is made regarding whether the purchaser is ineligible.

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

**b. Business Process Participants**

- 67 Florida county sheriff's offices and jails, and 13 Florida juvenile assessment centers report approximately 63,000 records of arrest per month (based on 2014-15 arrests)

- 350 (approximately) Florida police departments, 20 State Attorney Offices and 20 Judicial Circuits use criminal record information
- 67 Florida county clerks of court report disposition records
- 6 Florida Department of Corrections (DC) reception and DC headquarters report custody records
- Arresting agencies/Clerks of Court submit orders for expunction and sealing of records
- The FBI maintains a national index of persons arrested, supported by fingerprints. More than 70 million records are contained within the Interstate Identification Index (III), and the National Instant Criminal Background Check System (NICS) Index, to which Florida contributes criminal history record information
- Law enforcement/criminal justice agencies including Florida state agencies with law enforcement divisions (such as Florida Fish and Wildlife Conservation Commission Law Enforcement, Department of Environmental Protection Law Enforcement, etc.) access criminal records online
- Florida licensing/regulatory agencies submit requests for fingerprint-based criminal history record checks
- Licensing and employing agencies, including school boards, members of the public, and firearm dealers conducted 3,170,831 criminal history checks during fiscal year 2013-14
- More than 4,000 private employers and volunteer organizations submit requests for criminal history record checks

**c. Criminal Record Inputs**

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

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

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

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

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

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

The fiscal year 2014-15 record statistics in the CCH system are as follows:

- Arrest charges - 1,201,411
- Requests for fingerprint-based criminal history record checks (Civil Workflow Control System (CWCS)) - 1,303,267
- Requests for record checks to determine eligibility to purchase firearms - 807,860
- Online requests for criminal history record checks (CCHInet) - 679,939
- FCIC and International Justice and Public Safety Network (Nlets) on-line CCH checks by criminal justice agencies - 3,780,000 per month
- Florida criminal history record checks in (SHIELD - 161,062
- Florida criminal history record checks using correspondence (paper submissions) - 21,789
- Disposition records - 1,592,612
- Dissemination records - 15,810,997
- Custody records - 53,139
- Identity records - 137,231
- Court orders and applications to Expunge/Seal criminal records - 33,581

**d. Criminal Record Outputs**

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



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

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

**e. Reports Generation**

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

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

**f. Current Performance/Operational Issues**

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

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

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

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

**g. Problems and Recommended Improvements to Existing Processes**

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

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

**ii. Statute Table and Statute Data**

**1. Limitations of the Statute Literal Description**

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

**2. Difficulty of Storing and Displaying Reclassifiers**

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

**iii. RAP Sheets**

**1. Inability to provide RAP sheets with images**

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

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

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

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

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

**4. Limited RAP sheet presentation**

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

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

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

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

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

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

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

**8. Inability to provide links to other agencies**

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

**9. Text-based RAP sheets**

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

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

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

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

**v. Difficult Access Control Management**

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

**vi. Inability to Clearly Distinguish Compromised Identity Information**

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

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

**vii. Inability to Send Automatic Notifications to the Submitting Agency**

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

**viii. Inability to Easily Integrate with Different Technologies**

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

**ix. Difficulty with the Configuration of Reports and Letters**

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

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

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

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

**xi. Required Use of Other Databases for Workarounds**

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

**xii. Improving the Process of Communication with the Courts**

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



**xiii. Manual Synchronization of Data with the FBI**

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

**xiv. Limited System Performance**

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

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

**xv. Poorly Designed or Outdated Database Structure**

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

**xvi. Unreliable Reporting and Statistics**

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

**xvii. No Disaster Recovery (DR) Site**

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

**xviii. Manual Processes Required to Maintain Registration Information**

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

**xix. Limited Data Fields for Subjects**

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

**xx. Labor Inefficiencies**

**1. Inefficiencies Regarding Performance Monitoring and Tracking of Customer Requests**

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

**2. Inefficient Management of Manual Processes**

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

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

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

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

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

**5. Excessive Shredding**

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

**6. Lack of Workflow**

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

**7. Lengthy Compromised Identity Processing**

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

**h. Current Performance Metrics and Performance Data Requirements**

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

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

**i. Process Mapping**

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

**2. Assumptions and Constraints**

**a. Assumptions**

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

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

**b. Constraints**

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

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

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

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

**C. Proposed Business Process Requirements**

**1. Proposed Business Process Requirements**

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

## 2. Business Solution Alternatives

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

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

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

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

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

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

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

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

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

### **3. Rationale for Selection**

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

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

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

**a. Assessment Results**

The results of this assessment are outlined in this section.

**i. Alternative One (1) - Maintain Current System**

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

**Assumptions**

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

**Cost**

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

**Risks**

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



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

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

Table 1. Alternative One - Maintain Current System	
Advantage	Disadvantage
No time is required to design and implement a new system.	As business needs change and difficulty of the current technology to support new requirements diminishes, the organization will be forced to continue to spawn external, ancillary, but necessary systems to fulfill business needs.
This is the least expensive option for the short-term.	Newly created databases in ancillary systems will need to be synchronized with the CCH database to reflect current, up-to-date data in the user community.
	In order to accommodate the growing demand on the CCH system, more staff will be needed (full-time employee and Contract staff) to maintain the CCH and ancillary systems.
	Leaving the system AS-IS will lead to additional maintenance and development costs.
	Old technologies make it difficult to comply with new Federal information exchange standards.
	Does not meet the needs of customers for supporting the additional data transport protocols and data formats.
	Inability of the current system to provide the benefits of a relational database.
	Difficult to acquire technical resources to maintain the system.
	Additional costs to acquire a DR system.

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

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

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

It is based on the following:

**Assumptions**

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

**Cost**

- Total project cost will be approximately \$19 million (includes staffing, software, hardware, and services). Refer to Appendix G for details.

**Risks**

Some of the risks include:

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

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

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

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

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

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

This option uses modern architecture known as SOA. This architecture employs connectors and adapters to foster systems integration and high scalability. The system becomes more

flexible in its ability to adapt to and interface with new business and technology requirements.

It is based on the following:

**Assumptions**

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

**Cost**

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

**Risks**

Some of the risks include:

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

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

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

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

**4. Recommended Business Solution**

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

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

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

**a. Reduced risks to the state**

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

**b. Higher level of experience**

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

**c. Better evaluations**

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

**d. Reduction of organizational stress**

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

**e. Achieve compliance to FDLE IT standards**

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

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

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

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

**D. Functional and Technical Requirements**

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

### III. Success Criteria

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

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



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

### A. Benefits Realization Table

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

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

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

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

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

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

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

- A corrections officer needs criminal justice information to classify an offender so he or she is placed in the correct level of confinement.
- Non-criminal justice purpose – state and national check: A governmental agency that is not designated criminal justice may access information from the FDLE and FBI databases under a separate authority governed by the National Crime Prevention and Privacy Compact Council and under appropriate federal laws, primarily Public Law 92-544, and the Adam Walsh Act. The National Child Protection Act authorizes the information to be made available to non-governmental organizations that are deemed qualified entities and provides certain restrictions. These checks must be fingerprint-based and may be used only for the specific purpose for which the record was requested and by designated authorized officials. Article IV of the National Crime Prevention and Privacy Compact further states that subsequent record checks are required when a new need arises. Examples of these types of checks are:
  - The Department of Agriculture and Consumer Services (DOACS) needs this data to ensure that a Concealed Weapon Permit is not issued to someone who has a disqualifying criminal history.
  - The Department of Children and Families (DCF) needs the information to ensure that a person with a sexual related offense or other disqualifying charges is not allowed to work with children in a day care center.
  - The Office of Financial Regulation (OFR) accesses this information in its role in the regulation of mortgage brokers and loan originators.
- Non-criminal justice purpose – state check: State law allows Florida criminal history information to be available to the public and private businesses via Internet, mail, or paper request. These are name-based checks and examples of their use include:
  - A private employer needs information to make informed decisions as part of their hiring process.
  - A private citizen needs information to ensure the babysitter or cleaning personnel have not committed aggravated assault, theft or other crimes.

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

The following pages contain a summary of tangible and intangible benefits for a new CCH system. The estimates for the tangible benefits were developed conservatively, and were based on actual workload and other relevant statistics. Benefit calculations totaling **\$4,060,872** have been prepared over a six-year cost period. The benefits realization begins in FY 2017-18 with the implementation of document management and workflow. Benefits may be realized as soon as FY 2016-17, but until detail design has been completed it is difficult to estimate how much will be realized in that year. The remaining benefits will be realized beginning in FY 2018-19 following the implementation of the CCH functionality.

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

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

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<b>Table 4. Benefits Realization Table</b>						
<b>#</b>	<b>Description of Benefit</b>	<b>Tangible or Intangible</b>	<b>Who receives the benefit?</b>	<b>How is the benefit realized?</b>	<b>How will the realization of the benefit be measured?</b>	<b>Realization Date (MM/YY)</b>
1.	Modern system for the 21 <sup>st</sup> century	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	The current CCH system originated more than 40 years ago and it was designed to respond to criminal justice agencies allowing them to share criminal history data via teletype. The system has been modified to add different functionalities that it was never intended to perform. A modernized CCH system will be designed with modern needs considered and utilizing modern technology. It will have a framework that is scalable and extensible allowing it to respond and adapt to the Internet age, provide new functions and services, and comply with new laws.	A modern system for the 21 <sup>st</sup> century will be measured by the implementation of at least one of the desired “modern” functionalities, efficiencies, or improvements.	06/ 18
2.	Improved public safety	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> </ul>	The “cost of a life” is priceless. A new CCH system will be able to improve the speed in which data is updated from the source agency and thus improving the integrity and completeness of the data. The public as well as criminal justice officers benefit from decisions made based on the most current data available. The decisions of the officers on the street and of the FDLE Firearm Purchase Program can impact the life of an officer or a citizen.	Improved public safety is not easily measured.	06/ 18

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3.	More complete and timely data for the criminal history background checks ( <i>Non-criminal Justice</i> )	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Vulnerable populations</li> <li>✓ DCF</li> <li>✓ DJJ</li> <li>✓ AHCA</li> <li>✓ DOH</li> <li>✓ APD</li> <li>✓ DOACS</li> <li>✓ DBPR</li> <li>✓ Elder Affairs</li> </ul>	<p>Today, the Florida legislature has required background checks in more than 125 Florida Statutes for more than 130 different groups. These checks are mandated to protect the public at large and, in some cases, specific populations. Many professions, occupations, positions, and licenses require a state and national criminal history background check performed for suitability to practice and for the safety of the public. The legislature sees the value in criminal history data by requiring background checks. For example, background checks are required for concealed weapon/firearm licenses and public school employees. The ability to receive complete and timely Florida criminal history background check information is crucial as it directly influences employment and licensing decisions for groups that provide services to vulnerable populations such as doctors and nurses, day care workers and nursing home employees. While the listed agencies benefit by more streamlined screening, the true benefits are for the populations they service who are more protected.</p>	More complete and timely data for the criminal history background checks ( <i>Non-criminal Justice</i> ) use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	06/ 18
4.	More complete and timely data for the criminal history background checks ( <i>Public</i> )	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> </ul>	<p>The general public has the ability to run Florida criminal history record checks and receive responses in minutes. They can run criminal record checks on other people such as employees, home contractors, or childcare providers. Having complete and timely criminal history information can make the difference in protecting one's business, home, and family.</p>	More complete and timely data for the criminal history background checks ( <i>public</i> ) use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	06/ 18

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5.	Improve the impact to the economy	Tangible	<ul style="list-style-type: none"> <li>✓ Public</li> </ul>	<p>Many companies perform criminal record checks on individuals before they extend an employment offer. If the CCH system were to be unavailable for an extended period of time, public record checks would not be available, thus potentially delaying the hiring of people. This could impact private employers who may require criminal record checks for specific personnel.</p> <p>External customers indicate that receiving the information on a timely basis is one of the most critical requirements in order to avoid hiring individuals who may have to be let go later due to their criminal history. If the current CCH were to be unavailable for an extended period of time, these external customers would be impacted. They may choose to hire and train an individual and wait for the criminal history background check results. Mitigating the risk of the system being unavailable for a week could save employers an estimated \$77,700 by not hiring more than 51 disqualified people.</p> <p>The numbers are significant, but the assumptions used were very conservative. Several studies have shown the cost of hiring the “wrong” employee is very high, as much as one (1) to three (3) times the annual salary when all costs are factored. The new CCH system will provide disaster recovery which will help mitigate a major system outage and thus allowing employers to make better hiring decisions.</p>	The benefit of improved impact to the economy will be measured by the implementation of a disaster recovery site.	06/ 18
6.	More complete and timely information for criminal justice use	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Law Enforcement Agencies</li> <li>✓ Department of Corrections</li> <li>✓ Courts</li> <li>✓ State Attorneys</li> <li>✓ Jails</li> </ul>	<p>The completeness and timeliness of criminal data have a significant impact on criminal justice decisions which increase public safety. Examples are:</p> <ul style="list-style-type: none"> <li>• Investigations</li> <li>• Arrests and booking decisions</li> <li>• Pre-trial release (bail and bond) decisions</li> <li>• Charging decisions</li> <li>• Jail classification decisions</li> <li>• Sentencing and disposition decisions</li> <li>• Custody classification decisions</li> </ul> <p>A new CCH would provide improved methods of receiving data, storing data, and displaying data. These improvements will provide more complete and timely data.</p>	More complete and timely information for criminal justice use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	06/ 18



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7.	Improved statute literal description	Intangible	<ul style="list-style-type: none"> <li>✓ Criminal Justice Agencies</li> <li>✓ State Attorneys</li> <li>✓ Courts</li> <li>✓ Judges</li> <li>✓ All CCH Customers</li> </ul>	<p>The term statute table refers to a library of Florida Statutes. Today, there are separate tables in use at different agencies, which have created the problem of inconsistency across the state of Florida. One of the reasons for the different tables stems from a size limitation in the current CCH design for the statute literal description. It is important to display the full statute description to eliminate confusion and provide more complete data.</p>	<p>The improved statute literal description will be measured by the displaying of the full literal description in the new CCH system.</p>	06/ 18
8.	Improved statute table management	Tangible	<ul style="list-style-type: none"> <li>✓ Criminal Justice Agencies</li> <li>✓ State Attorneys</li> <li>✓ Courts</li> <li>✓ Judges</li> <li>✓ All CCH Customers</li> <li>✓ FDLE</li> </ul>	<p>A new CCH system will provide a more flexible statute table by improving the management of the statute data and provide the ability to export the statute data for external customers. Over time, local state attorneys will be able to save time by using the FDLE CCH statute table. They cannot use the table due to the table's limitations, but in the future, a modernized CCH system will resolve the issues. Note: this benefit may be tangible in the future, but it may be a long time before all courts, state attorneys, etc. use the improved statute table.</p> <p>The management of the statute data will be improved by eliminating the disconnect that requires updates to multiple statute tables in the current CCH system. In the current CCH system, a user must update multiple tables to add new active statutes and to disable statutes. The new CCH system will provide one central repository and mechanism for managing statute data, which will make it easier to update.</p> <p>In order to provide statute data to external users, through data exports, other databases have been created outside the current CCH system. To maintain the statute data in these other databases, programmers must run scripts to update them and keep them in sync with the CCH statute data. Over the first five (5) years of the new system, it is estimated to save \$6,700 and 100 hours.</p>	<p>The improved statute table management will be measured by efficiencies realized from the streamlined management of the statute table in a modernized CCH system.</p>	06/ 18

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9.	Improved method for storing and displaying reclassifiers, such as enhancers and reducers ( <i>charge enhancers or modifiers</i> )	Intangible	<ul style="list-style-type: none"> <li>✓ Criminal Justice Agencies</li> <li>✓ State Attorneys</li> <li>✓ Courts</li> <li>✓ Judges</li> <li>✓ All CCH Customers</li> </ul>	Charge reclassifiers, such as enhancers or reducers that raise or lower the severity of a charge, are not a part of the data structure and are difficult to populate in the current CCH system. The ability to record the enhancing and reducing factors for statutes, such as wearing a mask or with a gun and attempted or conspiracy to, fails to present a full picture for everyone who uses the CCH data. The modernized CCH repository will create separate fields that apply to the principal charge that will better reflect the incident that led to the arrest and will have fields for enhancing or reducing factors.	The improved method for storing and displaying reclassifiers will be measured by how they are displayed on the RAP sheet.	06/ 18
10.	Criminal history information will be enhanced with images	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ Courts</li> <li>✓ State Attorneys</li> <li>✓ Corrections</li> <li>✓ Jails</li> </ul>	The ability to display images on the RAP sheet can be an important tool. Images are helpful in verifying individuals, especially those with common names. Public safety is impacted as judges can use them to verify the criminal history they are reviewing is associated with the person standing in front of them in court.	The criminal history information will be enhanced with images and will be measured by the ability to display images on the RAP sheet.	06/ 18

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11.	Improved modernized RAP sheets - ability to display name and descriptors for each arrest event	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ Courts</li> <li>✓ State Attorneys</li> <li>✓ Jails</li> </ul>	The current CCH system records all the descriptors, such as name, height, weight, hair color, eye color, etc., regarding an individual. All of the descriptors are listed for the individual, but they are not associated with the event when they were reported. As a result, it is not possible to display which descriptors of the person were used for each arrest. When someone has used a lot of names, it is even more critical to know the name used at a specific event. It is important to associate the name arrested under and the name at the time a subject was charged or convicted.	The improved modernized RAP sheets will be measured by how displaying the name and descriptors used at each event.	06/ 18
12.	Improved modernized RAP sheets - ability to filter or group data	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> </ul>	New defined RAP sheets will be created based on business needs. The new RAP sheets will enable the customer the flexibility they need such as applying filters and grouping to the data. This can save customers valuable time by allowing them to display the data in a way that best suits their needs. One example is the ability to filter felony convictions or type of crime for licensing.	The improved modernized RAP sheet will be measured by the ability to filter or group data.	06/ 18
13.	Updated and improved RAP sheet presentation	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> </ul>	The new CCH system will provide updated style sheets for the RAP sheets. The style sheets will provide enhancements to the presentation such as highlighting/color coding for specific items for emphasis and readability. It is important to offer these enhancements to help the reader identify key items quickly and to prevent the reader from overlooking a critical decision making item. FDLE will provide its style sheets to customers to allow them to take advantage of the enhanced RAP sheet presentation and the ability to create their own.	The updated and improved RAP sheet presentation will be measured by the ability to provide customers with style sheets containing the enhancements.	06/ 18

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14.	Customizable RAP sheets using a modern delivery system	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> </ul>	<p>The new CCH system will be able to provide the RAP sheet in a flexible delivery method. This will allow customers to use the data in a more efficient manner. They will be able to extract the data and store locally. The modern versions of the RAP sheets can save time and provide more complete results to large volume external customers. Many large volume external customers are screen scraping the RAP sheet to get the data. This is not an efficient method for these customers to capture and store data. Examples of the large volume customers are:</p> <ul style="list-style-type: none"> <li>• State agencies</li> <li>• Theme parks</li> <li>• Background companies</li> </ul> <p>Criminal justice agencies, such as the Department of Corrections, will be able to integrate data from the RAP sheet into their data systems.</p>	The customizable RAP sheets that conform to national standards by using a modern delivery system will be measured by the ability to provide the modern versions of the RAP sheets in a more flexible method to customers.	06/ 18
15.	More readable RAP sheet summaries based on business needs	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> </ul>	<p>The current CCH displays all the charges and counts for an arrest on the RAP sheet. However, if someone has hundreds of charges for something such as check fraud, the RAP sheet can be extremely long. The modernized summaries of the RAP sheet will be able to generate total counts (e.g., 101 charges of check fraud). This will reduce the length of the RAP sheet, but still maintain the accuracy of the data.</p>	The variety of RAP sheet summaries based on business needs will be measured by the ability of the new CCH system to provide a variety of RAP sheet summaries.	06/ 18
16.	Improved linkage of rearrests, including violations of probation and failures to appear	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ Courts</li> <li>✓ FDLE</li> </ul>	<p>Rearrests, including violations of probation and failures to appear, are not easily linked to the original charge and can be confusing on a RAP sheet. It is important that the link be made on the RAP sheet especially for pre-trial services. It will give judges complete information for making the right decision for the individual. A new CCH system will resolve the issue of how violations of probation and failures to appear are stored and displayed, thus enhancing its presentation on the RAP sheet.</p>	The improved linkage of rearrests will be measured by displaying rearrests on the RAP sheets.	06/ 18

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17.	Provide customers with "hot links" to other agencies	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> </ul>	The CCH system is unable to provide links to other external data sources on the RAP sheets. If a user needs more detail, he or she must take the time to access each data source (or agency) separately. The new CCH system will be able to provide links to other external data sources on modernized RAP sheets.	The ability to provide customers with "hot links" to other agencies will be measured by the ability of the RAP sheets to display them.	06/ 18
18.	Improved readability of RAP sheets	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> </ul>	The current text-based RAP sheet was developed many years ago. It was designed to work on green screens and teletype. The green screen was limited to 24 lines of text. The current RAP sheet prints the page numbers after 24 lines. As a result, items like page numbers and continue lines do not line up with 8 ½ x 11 sheets of paper, which can display more than 24 lines. The result is new page numbers printing in the middle of pages. The modernized RAP sheet will be able to resolve these issues, because it will be designed for modern technology.	The improved readability of RAP sheets will be measured by a redesigned RAP sheet.	06/ 18

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19.	A portal for electronic submission of added charges and modifications by agencies	Tangible	<ul style="list-style-type: none"> <li>✓ Criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	<p>Agencies are not able to add additional charges or modifications to the data they submitted to FDLE without a manual process. Currently, they must re-fingerprint the subject or complete a form with the requested changes and submit it to FDLE via email, fax, or mail. A new CCH system will allow local agencies to submit additional charges or corrections to errors electronically, thus improving the timeliness of data updates.</p> <p>The process is anticipated to realize a five (5) minute savings per set of added charges submitted, which is a 42% increase in efficiencies to correct data and make it available for use. The total estimated cost avoidance for the agency corrections labor efficiencies during the first five (5) years of the new CCH system is \$292,152 and a total of 18,122 hours of labor efficiencies saved.</p> <p>Today, not all agencies submit added charges or modifications to the data they previously submitted to FDLE. This can result in incomplete RAP sheets and problems matching court data to the arrests. It is anticipated more agencies will submit their changes due to the ability of the new CCH system to allow agencies to submit the changes through an easier, quicker, and more efficient process. This will greatly improve the completeness of the criminal history data.</p>	Agencies will be able to submit added charges and corrections to errors electronically. FDLE will measure the cost avoidance by calculating the time it takes to process an agency's added charge or correction to data.	06/ 23
20.	Improved quality assurance and accountability (full audit logging)	Intangible	✓ FDLE	<p>The CCH system does not provide full record auditing and can only provide the name of the person and the date of the most recent change. The current auditing functionality is a manual process that could be manipulated and it has steps that could contribute to inadvertent errors. It does not have the ability to provide historical research of changes to a record over time. To create a more complete audit, the Quality Control section scans the records before and after each transaction to create an audit log because the system cannot provide this feature. External ancillary databases are also created to maintain a log. The new CCH system will provide full audit logging for every transaction including what it was before and after the change, who made the change, and when the change was made. This will improve the visibility to the change process and provide greater accountability for those who maintain the repository.</p>	The improved quality assurance and accountability will be measured by the ability of the new CCH system to have full audit logging.	06/ 18

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21.	Improved performance monitoring and tracking of customer requests	Tangible	✓ FDLE	<p>Another benefit from the new CCH system is the reduction in manual logging of paper. To keep track of customer work requests and to document their receipt and completion, work logs have been created. Some logs are in the form of Microsoft Access databases. They were created to act as an audit log. Each piece of paper is logged multiple times (e.g., it is logged each time a section receives it and sends it out). In order to find a specific piece of paper the person must call each section to see if they have it. Workflow in the new CCH system would remarkably reduce the current tasks of logging and eliminate the use of the Microsoft Access databases. Efficiencies would also be gained by maintaining data in one (1) consistent place that is accessible through permissions. The total estimated cost avoidance from logging during the first five (5) years of the new CCH system is \$637,386 and a total of 37,183 hours of labor efficiencies saved.</p>	The reduction in logging will be measured by calculating the time saved by not logging.	06/ 23
22.	Improved method for recording compromised identity information	Intangible	<p>✓ Public ✓ Criminal Justice Agencies</p>	<p>Improving the method of recording compromised identity is important for all users of CCH data, especially the victim. As more identities are stolen, the need to precisely record this information in the Florida criminal history repository is critical to the integrity of the data. The current CCH system does not have a clear way to indicate what specific false information a subject may have used for a specific event. For example, a subject may use another person's name, date of birth, or social security number when he or she is arrested. The new CCH system will provide a more efficient manner for distinguishing what information may have been compromised.</p> <p>A victim of compromised identity may encounter issues when trying to get hired or in an interaction with law enforcement. If the victim of potential compromised identity reports the issue to FDLE, FDLE will research the claim to confirm if the potential victim's identity was compromised. FDLE in the new system will be able to indicate exactly what data was compromised and during exactly what event. For example, when an officer or employer runs a RAP sheet, the information will display exactly what was compromised. This will help both the victim and the people relying on the RAP sheets for decision-making.</p>	The ability to improve how compromised identity information is stored will be measured by the ability to display exactly what data was compromised and for exactly what event on the RAP sheet.	06/ 18

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23.	Enhanced management of manual processes	Tangible	✓ FDLE	<p>Customer requests in the form of paper must be managed throughout their processing. These papers are physically moved from section to section for processing. The task of physically moving paper would be greatly reduced with the implementation of workflow in the new CCH system. FDLE CJIS sections rely heavily on physically moving paper between sections through interoffice mail. This can result in the paper sitting somewhere for hours before it is transported to the appropriate section and then returned later once the paper has been worked. The result of this inefficiency is a negative impact on external customers as well as internal CJIS personnel.</p> <p>An example of a delay is a FDLE staff member could finish working on a Firearm Purchase Program disposition decision and complete it at 4:15 p.m. However, the interoffice mail last picked up for the day was at 4:00 p.m. in his or her section. The decision would not be received to the Firearm Purchase Program until the next morning. Since the Firearm Purchase Program works beyond 5 p.m. to make decisions on firearm purchases, they would have been able to work the final decision. As a result, the customer would be impacted. The new CCH system will have a workflow built-in allowing the requests to be automated and electronic. This will eliminate the need to send paper through interoffice mail thereby reducing delays and increasing responses to FDLE customers. The reduction in time spent physically moving paper would be 1,300 hours and a cost avoidance of \$18,369 over the first five (5) years of the new CCH system.</p>	The amount of paper will be greatly reduced. As a result, the time taken to pick up and deliver paper from section to section will be measured by calculating the time it takes to deliver the interoffice mail.	06/ 23
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24.	Reduction in scanning paper	Tangible	✓ FDLE	<p>A major operational benefit is the ability to reduce the need to scan significant amounts of paper. The paper items consist of information (e.g., various forms, court orders, hard cards) that creates a “work effort” for respective FDLE members. The documents support actions/changes in a criminal history record. Currently, several CIB sections scan paper. The reason paper is scanned is to create an audit trail and an electronic copy of the received documents. The tasks of scanning paper would be substantially reduced by the workflow in a modernized CCH system. The total estimated cost avoidance from scanning paper for all CIB sections for five (5) years starting in FY 2017-18 is \$1,965,341 and a total of 140,485 hours of efficiencies saved. Most of the scanning of paper is performed by using funds from federal grants, which are not a reliable source of ongoing funding.</p>	<p>The reduction in scanning paper will be measured by calculating the amount of scanning that is required after the implementation of the new CCH system.</p>	06/ 22
25.	Reduction in paper usage (including toner and drums)	Tangible	✓ FDLE	<p>A large reduction in paper and toner would be realized since it is anticipated the amount of printing required would be reduced with a new CCH system. FDLE identified the percentage of specific printers and faxes used for CCH activities that would be either eliminated or reduced due to a new CCH system. Many times, packets are printed and scanned before they are worked and after they are completed. A modernized CCH system will help automate processes, which will allow the respective sections to become more efficient. It is estimated that the cost savings for paper, toner, and drums from a new CCH system will be \$84,764 over five (5) years starting in FY 2017-18.</p>	<p>FDLE will use less paper, toner, and drums. As a result, the expenses for these items will be down. The invoices for the five (5) years will be added together to analyze the cost savings.</p>	06/ 22

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26.	Reduction in shredding costs	Tangible	✓ FDLE	<p>Once a paper packet is scanned, a hard copy is no longer needed. A majority of the data in the paper packets are confidential. As a result, the paper packets are shredded. FDLE's FY 2013-2014 contract for shredding is with Confidential Shredding &amp; Recycling for document destruction. The reduction in printing as a result of the new system efficiencies will also allow FDLE to realize a savings in shredding costs. The total estimated cost savings for shredding is \$1,626 for five (5) years starting in FY 2017-18.</p> <p>Due to the sensitivity of the data, a FDLE clerk must watch the company shred the paper. It takes an average of 30 minutes for the company to shred the paper each time it is picked up. Over five (5) years starting in FY 2017-18 it is estimated to be \$1,212 and 130 hours. This is additional time saved through the reduction in shredding.</p> <p>The estimated total combined shredding savings is \$2,838.</p>	FDLE will call the shredding vendor less and as a result, the invoices will be less. FDLE will be able to add the invoices for the five (5) years to develop the cost savings.	06/ 22
27.	Improved efficiencies for the quality assurance activities	Tangible	✓ FDLE	<p>The Quality Control section would realize the biggest efficiencies from a new CCH system. The Quality Control section identified nine (9) quality assurance activities that would see a significant impact either from the new workflow or to FDLE's customers from a new CCH system. The nine (9) activities were used for the cost benefit; however, it is important to note that other activities may realize a savings as well. Two of the quality assurance activities have a significant impact with a new CCH system. They are "A Portal for Electronic Submissions of Added Charges and Modifications by Agencies" and "Compromised Identity." They have been singled out and are described as separate benefits. The total estimated cost avoidance for the Quality Control labor efficiencies for the seven (7) activities during the first five (5) years of the new CCH system is \$508,242 and a total of 26,863 hours saved.</p>	FDLE will calculate the time it takes to complete the quality assurance activities after the implementation of the new CCH system and compare it to the time it takes with the current CCH system to determine the cost avoidance for the five (5) years.	06/ 23

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28.	Improved processing time for compromised identity claims	Tangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Individuals who have had identity compromised</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	<p>Offenders can provide someone else's information when arrested. This creates a criminal history record that contains the victim's information. As a result, FDLE has dedicated staff that must research claims of compromised identities. This is a very time consuming and laborious process to research. Utilizing the current Microsoft Access database and current CCH system FDLE staff spends an average of 14 hours and 50 minutes on each claim. The new CCH system will incorporate the Microsoft Access database with compromised identity data with the CCH system to alleviate working in multiple systems. In addition, the new CCH system will provide workflow and other system efficiencies to help reduce the time it takes to complete a compromised identity claim. It is critical to the potential victims due to issues he or she may face while the research is being conducted, but also to FDLE as claims increase each year. The total estimated cost avoidance for the compromised identity efficiencies during the first five (5) years of the new CCH system is \$68,664 and a total of 3,654 hours of efficiencies saved.</p>	<p>FDLE will calculate the time it takes to complete a compromised identity claim after the implementation of the new CCH system and compare it to the time it takes with the current CCH system to determine the cost avoidance for the five (5) years.</p>	06/ 23
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29.	Ability to send notifications to the submitting agency	Intangible	✓ Criminal Justice Agencies	<p>During the 2012 Needs Assessment Work Group meetings with other external law enforcement agencies, the agencies indicated receiving notifications when their agency modifications had been made would be a great benefit to them. The current CCH system does not provide any notification to agencies, so the only way an agency can validate a change has been made is to query the record again). A new CCH system would be able to provide the notifications to them on the status (e.g., successful or unsuccessful) of their requested agency correction. A law enforcement representative from the work group meetings indicated that it is important to receive feedback regarding the changes; otherwise, the agencies will have to continue checking the system to verify the change has been made. Additionally, if information is attached to the wrong person, it is critical to get the information verified and fixed in a timely manner. It could impact criminal justice decisions.</p> <p>Currently, it can take up to three (3) to five (5) days to complete the added charges or modifications. As a result, some counties submit duplicate requests. It can lead to wasted time researching a request that has already been completed or multiple people working on the same request at the same time. The new CCH system will eliminate this issue through validation and the ability for the counties to check the status of their requests on-line. The reduction of duplicates in conjunction with the time saved will improve the turnaround time of agency added charges and modifications.</p>	The ability to send agency corrections notifications to the submitting agency will be measured when the new CCH system can successfully send notifications to the submitting agency.	06/ 18
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30.	Improved post-judicial data	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ Courts</li> <li>✓ State Attorneys</li> <li>✓ Jails</li> <li>✓ FDLE</li> </ul>	<p>While there are multiple types of post-judicial events in Florida, only Specific Authority to Own, Possess or Use Firearms and Full Pardon ordered by the Governor and Cabinet acting as the Clemency Board are recorded in CCH today. A new CCH system will have a separate post-judicial event to record such things as Restoration of Firearm Rights, Exoneration, and Pardons. This will improve the completeness of the CCH data.</p>	<p>The improved post-judicial data will be measured by the ability of the new CCH system to receive and store post-judicial events.</p>	06/ 18
31.	Improved data through data cleansing	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	<p>Part of the process of implementing a new CCH system will be a migration and conversion of data from the current CCH system to the new one. The data migration/conversion will provide the opportunity for data cleansing. Data will be analyzed as part of the cleansing process.</p>	<p>The improved data through data cleansing will be measured by the data conversion/migration process.</p>	06/ 18

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32.	Modern architecture will provide the ability to integrate with different technologies	Intangible	<ul style="list-style-type: none"> <li>✓ Criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	<p>The current CCH system originated more than 40 years ago, and aspects of the original system still remain unchanged. The system was not designed to perform all of the tasks it does today. The significantly outdated processes and technology result in excessive time for development and maintenance of the system. A new CCH system would improve maintainability and facilitate needed modifications (e.g., due to new statutory requirements), as well as being more user-friendly, complete, and timely. Some examples of technology improvements are:</p> <ul style="list-style-type: none"> <li>• The use of GRA and NIEM will enable the new CCH to share data with partner agencies in a standard form such as the current National RAP sheet.</li> <li>• The new CCH will provide open systems technology that is compatible with emerging technology to improve integration with current technologies such as livescan and the Internet.</li> <li>• The new CCH will be able to manage growth in criminal arrests and court data, as well as tremendous growth in background screening and criminal justice inquiries.</li> </ul>	The ability of the modern technology to integrate with different technologies will be measured by the use of NIEM, the open architecture, and the ability to manage growth/capacity of the system.	06/ 18
33.	Configurable reports and letters	Intangible	✓ FDLE	Changes to reports and letters will be a simple process in the new system. For example, a change to an expunction letter to increase the time limit from six (6) months to (12) months due to a change in statute required a change in the current CCH system. This is a CCH system generated letter from a template that is hard coded and required a programmer to make the change. This type of change in the new CCH system would be able to be completed by the business unit and would not require a programmer.	The configurable reports and letters will be measured by the ability of the business unit to modify letters and reports without a programmer in the new CCH system.	06/ 18

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34.	Improved usability of the system and reduction in training	Intangible	✓ FDLE	<p>The current CCH system’s interface is a green screen terminal (terminal emulator). Today in the Internet age, people are accustomed to and know how to use web applications. However, they do not know how to use green screens (terminal emulators), and as a result, the learning curve is greater for the current CCH system than other FDLE web-based applications. It uses codes and numbers to represent words and phrases and it is not intuitive. When new FDLE members are hired, they must learn the codes and how to use the green screens. A modernized CCH system will eliminate codes and instead utilize drop-down menus and auto-fills, it will be web-based, and it will provide an on-line help feature. This will:</p> <ul style="list-style-type: none"> <li>• Reduce training</li> <li>• Minimize errors</li> </ul> <p>Ultimately, it will lead to more complete data.</p>	The improved usability of the system and reduction in training will be measured by the ability of new users to learn how to use the system faster and the reduction in user errors.	06/ 18
35.	Elimination of other databases used as workarounds	Intangible	✓ FDLE	<p>The current CCH system cannot provide some very important features needed by FDLE. As a result, FDLE has created a process to periodically extract data from the CCH system and import the data into modern databases. By implementing the data into a system with modern technology, FDLE will be able to perform specific functions with the data that are difficult and time consuming to accomplish with the current CCH system. Workarounds require additional resources to support the processes and ultimately the current CCH system. A new CCH system will be able to provide all the functionality in one cohesive system, which will reduce time spent synchronizing data and maintaining separate systems.</p>	The elimination of other databases used as workarounds will be measured by the ability of the new CCH system to provide the functionality in one cohesive system.	06/ 18

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36.	Improved process of communication with the Courts	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Courts</li> <li>✓ FBI (NICS)</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	Dispositions submitted by the courts are validated before they are processed by the current CCH system. The validation and processing are performed by two (2) different systems. When there are validation issues, they are reported back to the Clerks of Court. However, if the current CCH system has an issue processing the data, the problem is not always able to be reported to the Clerks of Court. The issues are researched, but they are labor intensive and time consuming. A new CCH system will incorporate the validation and processing of the data together, thus providing improved and timelier error reporting and communication with the Clerks of Court. The result will be improved quality of information in the criminal history repository.	The improved process of communication with the Clerks of Court will be measured by an improved validation and processing of court data and timelier error reporting.	06/ 18
37.	Improved synchronization of data with the FBI	Intangible	<ul style="list-style-type: none"> <li>✓ FBI</li> <li>✓ FDLE</li> </ul>	The FBI requires audits/synchronizations with the states at least every six (6) months. In the current CCH system, this audit/synchronization is a manual process. A new CCH system will have an automated audit/synchronization. This will save hours performing the audit and it will allow FDLE to perform the audit/synchronization with the FBI on a quarterly basis. This will improve the data in both the FDLE and the FBI systems.	The improved synchronization of data with the FBI will be measured by the ability of the new CCH system to provide automated audit/synchronization mechanisms with the FBI.	06/ 18



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38.	Improved system performance	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	<p>The current CCH system has a limited ability to make large-scale updates to a large number of records per day (24-hour period) without degradation in performance to all users and subsequent timeouts to other external interface queries to the CCH system. For instance, if there are two (2) million records that must be modified or updated, only a small portion of records can be changed per day (1 per second or 86,400 changes per day). At this rate, it would take more than 23 days to make the desired change. This is due primarily to the impact on the Rapid ID system. A recent large-scale update in July 2013 took 30 days to complete the update to more than 2.6 million records.</p> <p>As additional workload increases through additional queries from existing systems such as the Rapid ID system or new services that come on-line, they can create additional stress on the current CCH system. The external users could be impacted by a delayed response or no response to their queries. This could be extremely critical and the impact could be the same as if the CCH system is unavailable. A modern CCH system must have built-in mechanisms to handle large-scale updates more efficiently. This will enhance FDLE's ability to maintain and provide complete and timely criminal history data.</p>	The improved system performance will be measured by the ability for the new CCH system to provide mechanisms for handling large-scale updates more efficiently.	06/ 18
39.	Improved database structure	Intangible	✓ FDLE	A new CCH system will have a new database structure that will improve data storage. A relational database will allow for online maintenance of the database data. Additionally, the ease of maintenance and the movement to a new design will allow FDLE to avoid the re-use or re-purpose technique that it has used in its hierarchical database. This will improve data integrity, improve performance of database updates, and improve the database structure.	The improved database structure will be measured by improved data integrity through improved data storage and improved performance of the database updates.	06/ 18

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40.	Broader hiring pool for technical staff	Intangible	✓ FDLE	<p>The current CCH system has many long-time members who work on the system day-to-day to ensure continued service to FDLE's customers. As these members reach retirement, FDLE will lose a tremendous amount of institutional knowledge.</p> <p>The new CCH system will use modern technology. This will benefit FDLE as web-based applications utilizing modern technology is the focus of the curriculum of colleges and universities today. Individuals educated on the most recent web-based application technology would then meet FDLE's hiring requirements. This will provide a broader hiring pool.</p>	The ability to have a broader hiring pool for technical staff will be measured by the responses received from technical position advertisements with modern technical skills.	06/ 18
41.	Improved reporting and statistics	Intangible	✓ FDLE	<p>The current CCH system provides a monthly statistics report on the number of records by type. In some areas, the numbers are not reliable or useable. In those cases, staff must turn to a secondary group to validate or provide the correct number. A new CCH system will alleviate this issue through the use of a relational database it will be able to provide better reports for specific needs.</p>	The improved reporting and statistics will be measured by running reports and statistics from the system and comparing the results with the reports and statistics generated from the current system.	06/ 18

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42.	High availability of the system ( <i>reduction in planned and unplanned outages</i> )	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	<p>The new CCH system will come with high availability. It will have three (3) production environments, which will include a primary site, a local standby site, and a remote DR site. These sites will help mitigate the risk of the system being unavailable for an extended period of time and the redundant systems ensure there is no single point of failure. It is critical that the CCH data be available and the new system would ensure the continuity of operations should a disaster occur. While it is unlikely to occur, events that could trigger such an outage include, but are not limited to, hurricanes, fires, or a domestic security incident. FDLE does not currently have a configured DR site for the CCH mainframe. The new CCH system will be able to maintain service to all these functions. In addition, there will be a reduction in the time the system is down due to planned outages through the use of the three (3) production environments.</p>	<p>The ability to provide high availability of the system will be measured by the implementation of a local standby site and remote disaster recovery site.</p>	06/ 18
43.	Improved availability of CCH services to other systems	Intangible	<ul style="list-style-type: none"> <li>✓ Criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	<p>There could be a significant negative impact to other ancillary systems if the current CCH system is unavailable. One of the potentially affected systems is the BIS, which is directly tied to CCH. The BIS system identifies fingerprints and the CCH system provides details about the person. They cannot stand alone. CCH is part of an enterprise-wide network of systems. If the CCH system is down, the performance of the ancillary systems, such as BIS, will be degraded and/or may have diminished capacity depending on the length of time that the CCH system is not operational. A modernized CCH system will provide redundancy through the use of a primary site, a local standby site, and a remote disaster recovery site. This will reduce the time the CCH system is unavailable.</p>	<p>The improved availability of CCH services to other systems will be measured by the implementation of a local standby site and remote disaster recovery site.</p>	06/ 18

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44.	Improved registration information	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> </ul>	<p>Registration information for sex offenders and career offenders are maintained by the CCH system, FORTS, and COAST. The CCH, FORTS, and COAST systems routinely reconcile their records manually. This manual process is conducted to research and reconcile any differences between the systems. The new CCH system will eliminate this manual process by providing automated mechanisms to validate and synchronize the systems through real-time notifications. Timely correction of the data through role-based workflows will help ensure consistency and completeness of the data.</p>	<p>The improved registration information will be measured by the ability of the new CCH system to provide an automated mechanism to validate and synchronize the system with FORTS and COAST.</p>	06/ 18
45.	Uninterrupted service to customers	Tangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	<p>It is critical to CCH customers that the CCH system not be interrupted. An interruption to the current CCH system would impact criminal history record checks. Criminal history record checks are processed for multiple reasons:</p> <ul style="list-style-type: none"> <li>• Criminal (officer and public safety decisions)</li> <li>• Non-criminal (employment decisions)</li> </ul> <p>Criminal justice agencies would be unable to receive criminal history data from CCH. The licensing or employment of individuals processed through fingerprints would be delayed if the CCH system were interrupted. The background checks are vital to the safety of the citizens and visitors to the state of Florida. If the service were interrupted, there would be a significant impact to public safety.</p> <p>FDLE would also be impacted from interrupted services. Fees are collected from the criminal history record checks. If the CCH system were to go down, CCH on the Internet (CCHInet) would realize a significant decrease in revenue for FDLE. FDLE does not log CCHInet users and does not know who runs checks through this process. If the current CCH system goes down for one (1) week, the total decrease in revenue would be \$253,035.</p>	<p>The benefit of uninterrupted service to customers will be realized by the implementation of a disaster recovery site.</p>	06/ 18

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46.	Continual updates to CCH data and timely service to customers	Tangible	✓ FDLE	It is essential that the data in CCH be updated in a timely manner and that customers receive the most up-to-date data. If the current CCH system experienced an interruption in service, updates to the data would be impacted. The impact can be calculated through the lost time of the CIB and the USB sections. If the current CCH system were unavailable for one (1) week, the total time lost for both groups would be 3,840 hours or \$77,094. A modernized CCH system will reduce the risk of an extended CCH outage. The new CCH system will have redundant failover systems to provide high availability.	The benefit of continual updates to the CCH data and timely service to customers will be realized by the implementation of a disaster recovery site.	06/ 18
47.	Reduce the potential for overtime situations – due to a system outage	Tangible	✓ FDLE	The USB section provides services and data to customers such as background checks. For the USB section, there would be substantial overtime costs associated with catching up after a system outage lasting one (1) week. When back in normal operations, customers of the CCH system would still be impacted because of the time it would take to catch up from the outage. The costs for the catching up can be calculated in terms of overtime for USB. In this scenario, the total costs for overtime would be \$49,420.	The benefit of the reduced potential for overtime situations will be realized by the implementation of a disaster recovery site.	06/ 18
48.	Avoid the possibility of firearms being released to prohibited individuals	Intangible	✓ Public ✓ Criminal Justice Agencies	A safety risk could occur if the current CCH system were to be unavailable for a period longer than one (1) business day. According to Florida Statute 790.065, licensees (firearm dealers) may legally release firearms to buyers without a final response from FDLE for the background check after one (1) business day. This means that if the system were to be unavailable on a Sunday and a dealer requested a firearm check, the dealer could legally release the firearm after 5 p.m. on Monday, if that is the close of the dealer’s business day, due to not receiving a response from FDLE. This could result in potentially 256 firearms per week released to individuals who are prohibited from possessing them. Even one (1) firearm weapon in the hands of someone prohibited from possessing one puts the safety of the public and law enforcement at risk. The new CCH system will provide disaster recovery, which will help mitigate a major system outage.	The ability to avoid the possibility of firearms being released to prohibited individuals will be measured by the implementation of a disaster recovery site.	06/ 18

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49.	Lessen the risk to officer safety and reduce the impact to law enforcement workloads to retrieve firearms released to prohibited individuals	Tangible	<ul style="list-style-type: none"> <li>✓ Criminal Justice Agencies</li> </ul>	<p>The risk of a firearm getting into the hands of a person who is prohibited from possessing one adds to the dangers that police officers face. Upon the system returning to normal operation after a system outage extending more than a day, the dealers would then need to notify law enforcement officials of any released firearm to prohibited individuals. The most significant aspect of this is that it places a significant risk to those police officers who must locate and retrieve the firearms. In many cases, for officer safety, multiple officers must go out to retrieve the firearms.</p> <p>It is estimated to take an average of four (4) hours for a Sheriff's department to retrieve each firearm. To retrieve more than 256 firearms released during a seven (7) day outage, the estimated retrieval cost would be \$19,164, and a total of 1,027 person-hours. In addition, it may take many days or weeks to research, find, and retrieve all of the firearms released to ineligible individuals. This will place a significant burden on law enforcement agencies and public safety.</p>	The benefit of lessened risk to officer safety and reduced impact to law enforcement workloads for retrieving firearms released to prohibited individuals will be realized by the implementation of a disaster recovery site.	06/ 18
50.	New data fields for subjects	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ Criminal Justice Agencies</li> <li>✓ Non-criminal Justice Agencies</li> <li>✓ FDLE</li> </ul>	Today in CCH, limited information is stored about a person's identity. A new CCH system will enhance the data elements and information stored about a person including information about his or her biometrics. The identity information will also be stored at the event-level (e.g., arrest, booking, incarceration, and disposition). These changes will improve the records stored in CCH, and they provide complete data for better decision making.	The new data fields for subjects will be measured by the ability of the new CCH system to be able to store and display new data fields for each subject and for each event.	06/ 18
51.	FDLE will be more Eco-Friendly	Intangible	<ul style="list-style-type: none"> <li>✓ Public</li> <li>✓ FDLE</li> </ul>	One of the many benefits of a new CCH system is that FDLE will be more environmentally friendly. The reduction in paper, toner for printers, and printer drums will allow FDLE to be more Eco-Friendly and improve its Go Green initiatives. It is estimated that a new CCH system will potentially save FDLE from consuming more than 4.8 million sheets of paper or 973 boxes of paper during five (5) years starting in FY 2017-18.	The ability for FDLE to be more Eco-Friendly will be measured by FDLE's ability to save paper and reduce the number of boxes of paper it consumes.	06/ 22

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## B. Cost-Benefit Analysis

### 1. Cost-Benefit Analysis Results

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

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

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

FDLE processed more than 3.1 million criminal history record checks for non-criminal justice purposes in fiscal year 2014-15. Of the requests, 862,790 were for state-only name searches, 807,860 were for FPP checks, and 1,303,267 were for fingerprint-based state and national checks. It is critical for the background checks to be processed timely, the data complete, and the responses efficient. These can all be improved through a modernized CCH system.

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

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



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

<b>Table 5. New CCH System Costs</b>	
New CCH System Development (FY12-13 to FY18-19)	\$19,066,773
New CCH System Annual Operations & Maintenance (FY18-19)	\$2,366,320
New CCH System Lifecycle Cost (FY12-13 to FY18-19)	\$21,433,093
Status Quo (FY12-13 to FY18-19)	\$12,894,337
Difference	\$8,538,756
Average Annual Cost Difference	\$1,1219,822

See Appendix E for the Cost-Benefit Analysis Worksheets.

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

<b>Table 6. Project Development/Implementation Cost Estimates</b>								
<b>Category</b>	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15</b>	<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>Total</b>
Staff								
State	\$0	\$30,261	\$123,608	\$359,938	\$437,744	\$437,744	\$0	\$1,389,296
Contract	\$469,768	\$271,636	\$442,790	\$534,000	\$534,000	\$534,000	\$133,500	\$2,919,694
Hardware	\$0	\$0	\$0	\$200,355	\$440,332	\$0	\$0	\$640,687
Commercial SW	\$0	\$0	\$360,112	\$1,203,910	\$1,608,731	\$1,124,743	\$1,410,000	\$5,707,496
Custom SW	\$0	\$0	\$0	\$1,042,837	\$1,576,758	\$1,251,405	\$0	\$3,871,000
Services	\$0	\$0	\$0	\$803,571	\$1,123,040	\$1,750,640	\$720,877	\$4,398,128
Other	\$0	\$0	\$0	\$62,352	\$39,060	\$39,060	\$0	\$140,472
<b>Totals</b>	<b>\$469,768</b>	<b>\$301,897</b>	<b>\$926,510</b>	<b>\$4,206,964</b>	<b>\$5,759,665</b>	<b>\$5,137,592</b>	<b>\$2,264,377</b>	<b>\$19,066,773</b>

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

See Appendix G for Project Cost Estimate details.

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V. Schedule IV-B Major Project Risk Assessment

A. Risk Assessment Summary Table

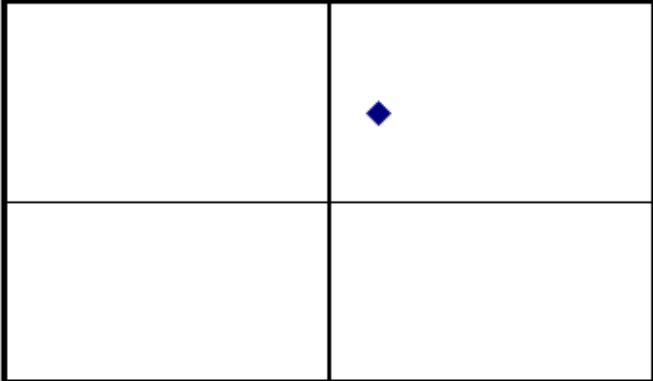
<b>Project</b>	<i>Computerized Criminal History (CCH) Modernization</i>	
<b>Agency</b>	<i>FDLE</i>	
<b>FY 2016-17 LBR Issue Code:</b>	<b>FY 2016-17 LBR Issue Title:</b>	
<i>24010C0</i>	<i>Replace CCH System</i>	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
<i>Renee Strickland, 410-8195, reneestrickland@fdle.state.fl.us</i>		
<b>Executive Sponsor</b>	<i>Charles Schaeffer</i>	
<b>Project Manager</b>	<i>Renee Strickland</i>	
<b>Prepared By</b>	<i>Renee Strickland</i>	<i>7/21/2015</i>
<b>Risk Assessment Summary</b>		
<b>Business Strategy</b>	Most Aligned	
	Least Aligned	
Least Risk	<b>Level of Project Risk</b>	
Most Risk	Most Risk	
<b>Project Risk Area Breakdown</b>		
<b>Risk Assessment Areas</b>		<i>Risk Exposure</i>
Strategic Assessment		MEDIUM
Technology Exposure Assessment		MEDIUM
Organizational Change Management Assessment		HIGH
Communication Assessment		MEDIUM
Fiscal Assessment		MEDIUM
Project Organization Assessment		MEDIUM
Project Management Assessment		LOW
Project Complexity Assessment		HIGH
<i>Overall Project Risk</i>		HIGH

Figure 1. Risk Assessment Summary Table

See Appendix H for the complete risk assessment.

## **B. Risk Assessment Summary**

The overall risk is medium due to factors listed below:

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

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

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

## VI. Schedule IV-B Technology Planning

### A. Current Information Technology Environment

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

#### 1. Current System

##### a. Description of Current System

##### i. Direct User and User Types

- FDLE users (internal) – 202 direct users
- LOGAN (Clerk Disposition System) – 266 users
- Certified FCIC Operators – 70,505

##### ii. Number and Percent of Transactions

Currently the system contains active records on approximately six and one-half (6.5) million<sup>4</sup> subjects. Table 7 has the following minimum performance metrics:

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<sup>4</sup> The total number of subject records (Active and Inactive) is over seven (7) million

<b>Table 6. Volume and Response Times (FCIC to CCH &amp; CCH to FCIC)</b>	
<b>Metric</b>	<b>Measurement</b>
Average Daily FCIC to CCH messages	73,600 messages
Peak FCIC to CCH messages	1.80 messages/per second
Average Daily CCH to FCIC messages	107,400 messages
Peak Hourly CCH to FCIC messages	2.46 messages/per second
FCIC to CCH Query Response Time:	
<1 second	94.11%
1-2 seconds	4.5%
2-10 seconds	1.40%
>10 seconds	0.04%

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

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

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

**iv. Hardware Characteristics**

- Unisys Libra 460 Mainframe
- EMC® CLARiiON Storage System
- Dynamic Solutions International (DSI) Linear Tape Open (LTO) Tape Drives
- Dell PowerEdge R720 (SNAP DB) Database Server
  - 4 physical Central Processing Units (CPUs) with 16 total cores (1.6 Gigahertz (GHz) E7310)
  - 64 Gigabyte (GB) of memory
  - 5x300 GB 15K Statistical Analysis System (SAS) drives all internal no Storage Area Network (SAN) connectivity
- Shared virtual instance on Dell PowerEdge Servers (Clerk Disposition System)

**v. Software Characteristics**

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

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

**vi. Existing System or Process Documentation**

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

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



**vii. Internal and External Interfaces**

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

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

**Criminal Data Queries**

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

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

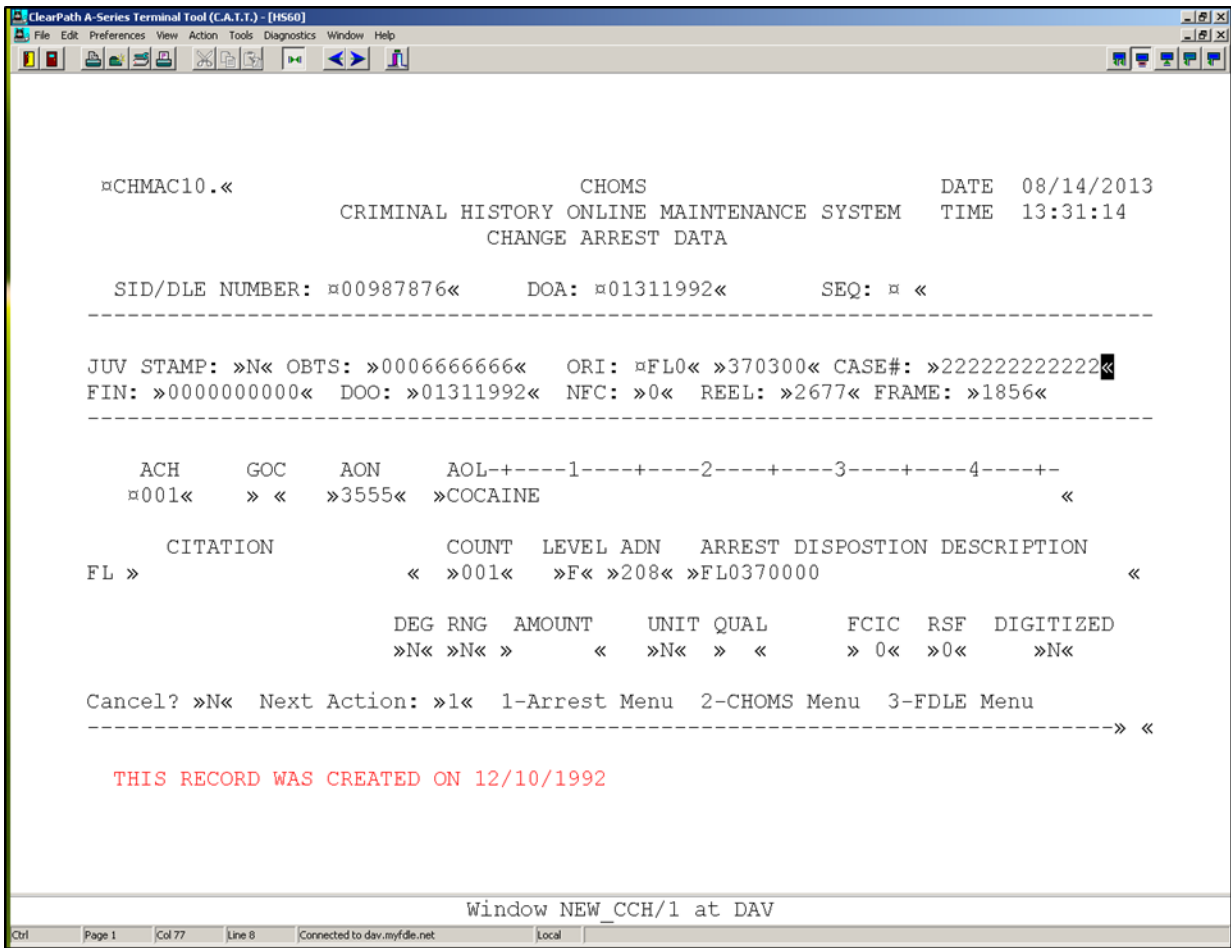


Figure 2. CATT – Legacy Green Screen

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

**Criminal Data Inserts/Updates**

The CCH inserts and updates occur in the following manner:

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

**Statute Tables (Web)**

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

**Agencies and Systems Communicating with the CCH System**

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

**Agencies, Organizations, and Public**

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

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

**Systems (currently communicating with the CCH system)**

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

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

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

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

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

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

**System Availability**

The current CCH system follows FDLE’s FCIC standards which is a minimum uptime of 99.5%. Based on a measurement interval of July 2012 through June of 2015, CCH has been up 99.92% of the time with 1,187 down minutes (19.8 hours) out of 1,576,800 total minutes.

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

**Data Metrics**

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

Table 7. System Metrics		
Type of Records	Size	Total Average Historical Growth Rate Percentage
Criminal History Subject Records (as of June 2015)	6,641,512 million active, 7,566,912 million total	
Database Size (as of June 2015)	129 GB	

<b>Table 7. System Metrics</b>		
<b>Type of Records</b>	<b>Size</b>	<b>Total Average Historical Growth Rate Percentage</b>
Total Average Historical Growth Rate Percentage (FY 2008-09 through 2014-15)		1.49%

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

**FCIC to CCH Query Transaction Volume and Response Times**

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

<b>Table 8. Volume and Response Times (FCIC to CCH &amp; CCH to FCIC)</b>	
<b>Metric</b>	<b>Measurement</b>
Average Daily FCIC to CCH messages	73,600 messages
Peak FCIC to CCH messages	1.80 messages/per second
Average Daily CCH to FCIC messages	107,400 messages
Peak Hourly CCH to FCIC messages	2.46 messages/per second
FCIC to CCH Query Response Time:	
<1 second	94.11%
1-2 seconds	4.5%
2-10 seconds	1.40%
>10 seconds	0.04%

**NOTE:** The numbers in Table 9 were measured as of July 2015.

**b. Current System Resource Requirements**

**i. Hardware and Software Requirements**

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

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

Refer to Table 10 for details.

**NOTE:** These costs were averaged based on FY 2012-13 through FY 2017-18. This was averaged due to the variances in the costs for hardware and services for the individual years.

The fluctuation is the result of a three-year maintenance cycle for the CCH hardware.

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

Key roles are as follows:

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

Refer to Table 10 for cost details.

**iv. Summary of Cost to Operate Existing System**

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

Table 9. Existing System Operating Cost		
	Average Annual Amount	Total from FY 2012-13 through FY 2018-19
State Operations Staff and Contract Staff	\$ 950,268	\$ 6,651,874
Hardware	\$ 556,282	\$3,893,975
Software	\$ 241,279	\$ 1,688,953
Services	\$ 133,502	\$ 934,513
Other Miscellaneous Expenses	\$ 38,766	\$ 271,362
<b>Total</b>	<b>\$ 1,920,097</b>	<b>\$ 13,440,677</b>

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

**c. Current System Performance**

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

**2. Strategic Information Technology Direction**

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

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

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

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

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

#### **a. Architecture**

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

#### **b. Servers**

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

#### **c. Storage**

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

**d. Network**

- Criminal justice information systems will use CJNet.

**e. Database**

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

**f. Application Software**

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

**g. Security**

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

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

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

Compliance with the following standards is preferred:

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

**h. Availability**

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

**i. Data Communication Standards**

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

**j. Usability**

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

**B. Current Hardware and/or Software Inventory**

**1. Purchase and Warranty Expiration Dates**

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

The following software items listed below contain a single license:

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

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

**2. Current Performance Issues or Limitations**

**a. Technology Issues**

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

**3. Business Purpose of the Items to be Replaced**

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

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

**4. Annual Maintenance Costs**

The costs were averaged based on FY 2012-13 through FY 2018-19. This was averaged due to the variances in the costs for hardware and services for the individual years. The fluctuation is the result of a three-year maintenance cycle for the CCH hardware.

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

<b>Table 10. Current Hardware and Software Maintenance Costs</b>	
	<b>Average Annual Amount</b>
Hardware	\$ 573,874
Software	\$ 241,279
Services	\$ 132,000
<b>Total</b>	<b>\$ 947,153</b>

**C. Proposed Solution Description**

**1. Summary Description of Proposed System**

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

**a. System Type**

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

**b. Connectivity**

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

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

**c. Security, Privacy, Confidentiality, Access**

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

**d. Development or Procurement Approach**

FDLE completed a competitive procurement process ITN to acquire a commercially available criminal records management system that can be customized to meet FDLE's business requirements. The contract includes :

- Commercial criminal history records management solution
- 
- Project management services
- Software customization services
- Data migration services
- System integration and testing services
- Implementation
- Training services (technical and user)
- Maintenance services

**e. Interfaces**

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

**f. Maturity and Life Expectancy of the Technology**

FDLE intends to procure a vendor solution, which is mature and used in a comparable state. Commercial CCH products have been available for a number of years so there is a high level of maturity of CCH products. Thirteen (13) states have moved from an in-house developed system to a procured vendor solution to support their CCH records management. The expected useful life of this type of system for FDLE should be ten (10) years before major upgrades are

required. The vendor solution will be flexible to facilitate future changes and upgrades, which will contribute to the longevity of the system.

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

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

- Jasper Reports ServerName Search Server

**2. Resource and Summary Level Funding Requirements for Proposed System**

**a. Anticipated Technical**

Refer to Table 12.

<b>Table 12. Anticipated Funding Requirements</b>								
<b>Category</b>	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15</b>	<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>Total</b>
Staff								
State <sup>6</sup>	\$0	\$30,261	\$123,608	\$359,938	\$437,744	\$437,744	\$0	\$1,389,296
Contract	\$469,768	\$271,636	\$442,790	\$534,000	\$534,000	\$534,000	\$133,500	\$2,919,694
Hardware	\$0	\$0	\$0	\$200,355	\$440,332	\$0	\$0	\$640,687
Commercial SW	\$0	\$0	\$360,112	\$1,203,910	\$1,608,731	\$1,124,743	\$1,410,000	\$5,707,496
Custom SW	\$0	\$0	\$0	\$1,042,837	\$1,576,758	\$1,251,405	\$0	\$3,871,000
Services	\$0	\$0	\$0	\$803,571	\$1,123,040	\$1,750,640	\$720,877	\$4,398,128
Other	\$0	\$0	\$0	\$62,352	\$39,060	\$39,060	\$0	\$140,472
<b>Totals</b>	<b>\$469,768</b>	<b>\$301,897</b>	<b>\$926,510</b>	<b>\$4,206,964</b>	<b>\$5,759,665</b>	<b>\$5,137,592</b>	<b>\$2,264,377</b>	<b>\$19,066,773</b>

**b. Data Center**

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

**c. Software**

Refer to Table 12.

**d. Staffing**

Refer to Table 12.



**e. Operating Costs**

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

**D. Capacity Planning**

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

**1. Historical and Current Information**

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

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

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

**2. Projected Requirements**

The section below demonstrates historical growth of records in some important data segments of the DMSII database. The historical data was captured based on the seven (7) previous fiscal years (2008-09 through 2014-15) and the average growth rate was then calculated. The projected/anticipated growth in volume is demonstrated over the next three (3) fiscal years (2015-16 through 2017-18) and is based on the calculated average growth rate.

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

**a. Projected Network Capacity**

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

**b. Projected Storage Capacity**

**i. Arrest**

Figure 3 depicts the actual and projected growth of the cumulative number of arrest records in the criminal history database. The projection is based on an average growth rate (3.91%) of annual record volume from fiscal years 2008-09 through 2014-15.

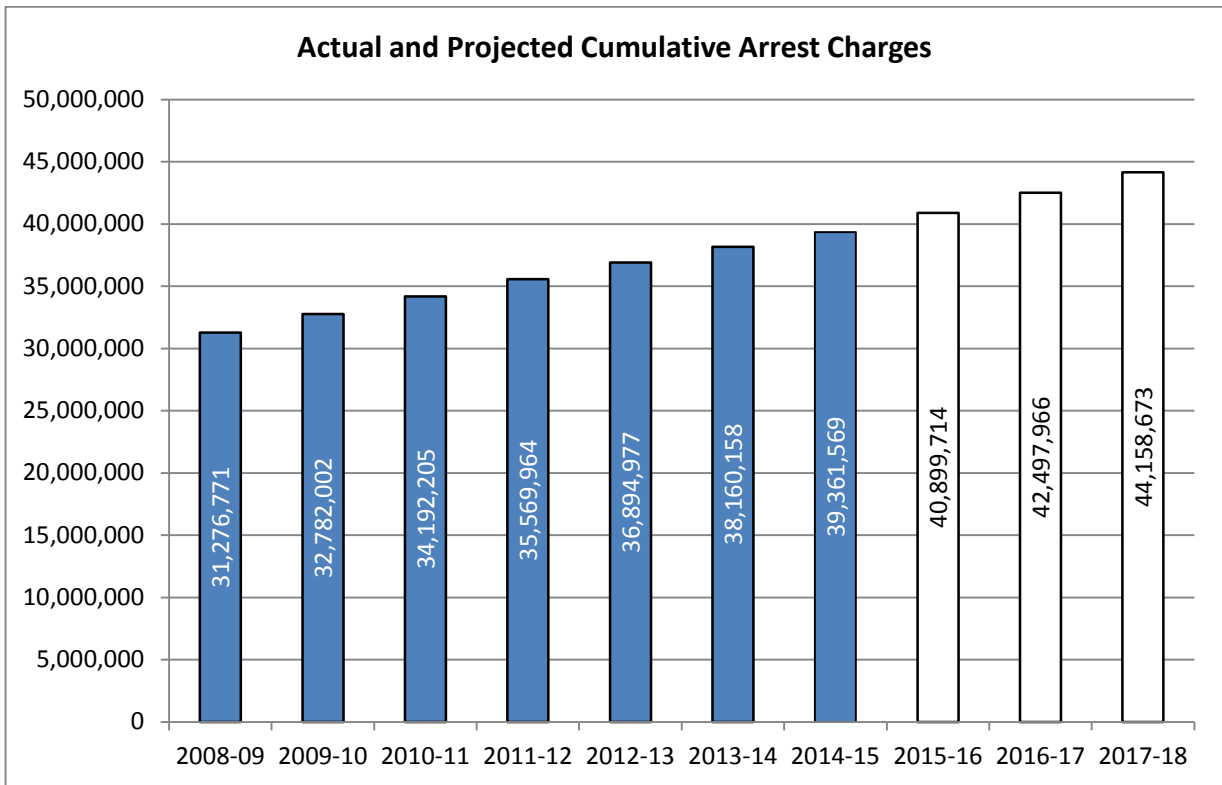


Figure 3. Actual and Projected Storage Capacity for Cumulative Arrest Charges

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

ii. Identity

Figure 4 depicts the actual and projected growth of person or identity records in the criminal history database. The projection is based on an average growth rate (2.20%) of annual record volume from fiscal years 2008-09 through 2014-15.

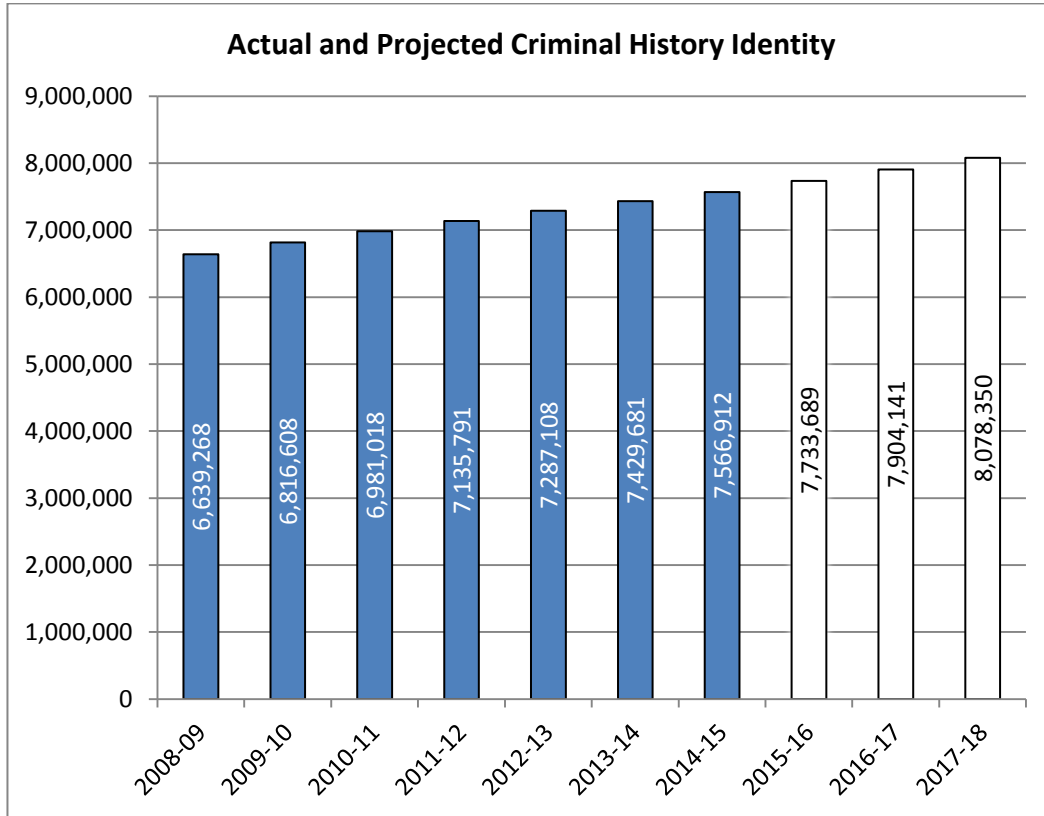


Figure 4. Actual and Projected Storage Capacity for Criminal History Identity

iii. Dissemination

Figure 5 depicts the actual and projected growth of dissemination records<sup>5</sup> in the criminal history database. The projection is based on an average growth rate (4.71%) of annual record volume from fiscal years 2008-09 to 2014-15.

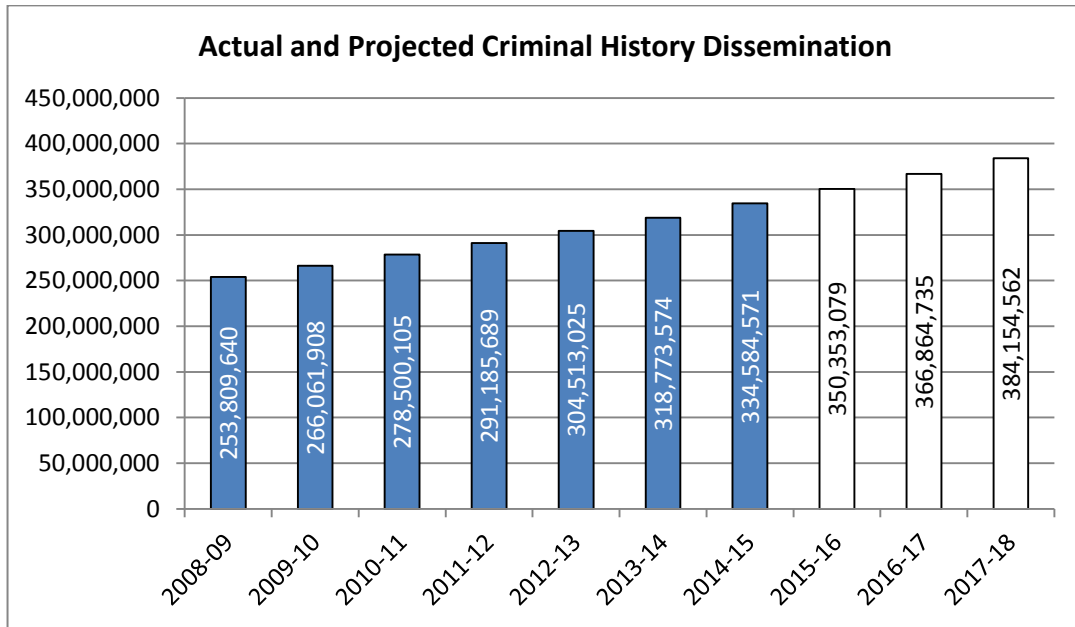


Figure 5. Actual and Projected Storage Capacity for Criminal History Dissemination

<sup>5</sup> This data was obtained from the ITS CCH Support Team

iv. Disposition, Judicial

Figure 6 depicts the actual and projected growth of disposition judicial records in the criminal history database. The projection is based on an average growth rate (6.52%) of annual record volume from fiscal years 2008-09 to 2014-15.

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

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

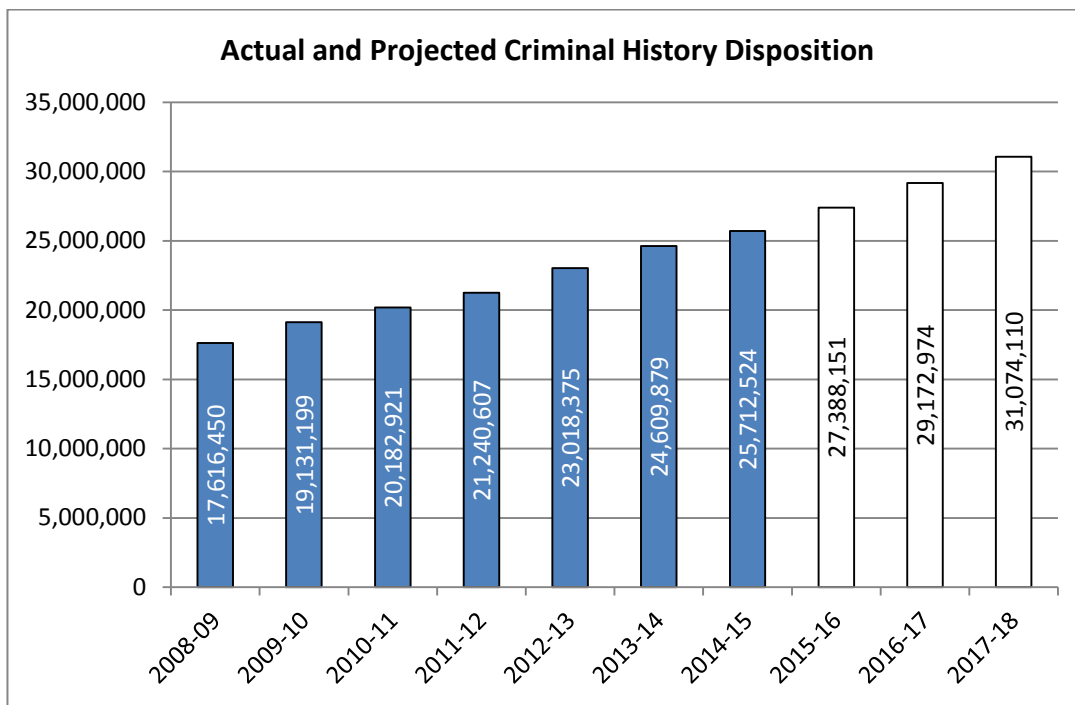


Figure 6. Actual and Projected Storage Capacity for Criminal History Disposition

v. Custody

Figure 7 depicts the actual and projected growth of custody records in the criminal history database. The projection is based on an average growth rate (4.14%) of annual record volume from fiscal years 2008-09 to 2014-15.

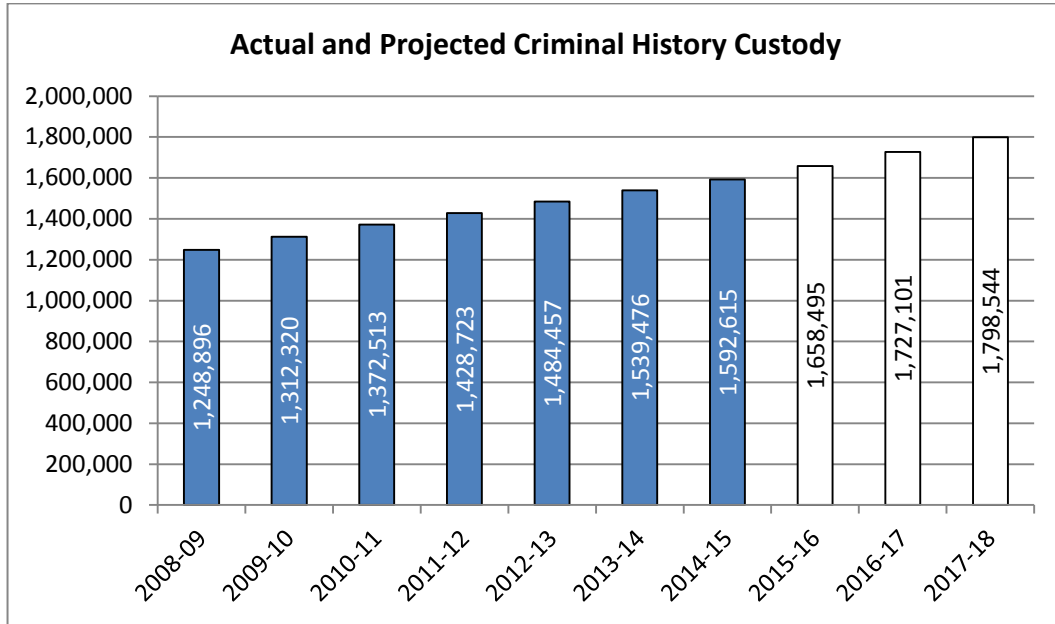


Figure 7. Actual and Projected Storage Capacity for Criminal History Custody

vi. Registrations

Figure 8 depicts the actual and projected growth of registration records in the criminal history database. The chart includes criminal, sexual predator, sexual offender, and career offender registrations. The projection is based on an average growth rate (7.63%) of annual record volume from fiscal years 2008-09 to 2014-15.

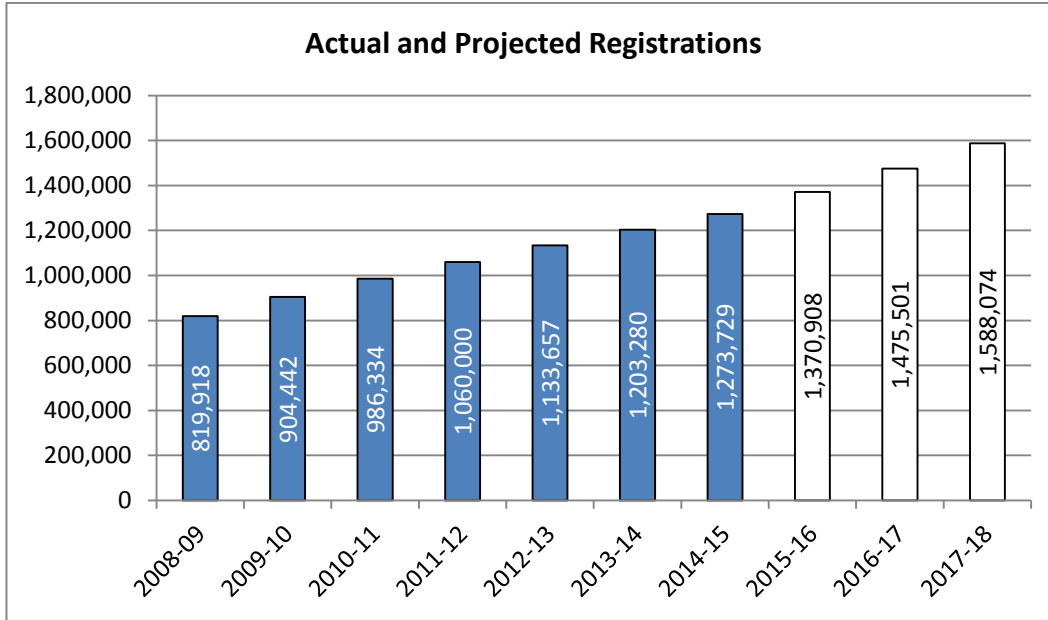


Figure 8. Actual and Projected Registrations Entered

## VII. Project Management Planning

### A. Project Scope

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

FDLE's primary objectives for this project are to:

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



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

## **B. Project Phasing Plan**

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

### **1. CCH Modernization Phase I**

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

#### **FDLE**

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

**Vendor**

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

FDLE completed an open competitive procurement process (Invitation to Negotiate) and established a contract with GCOM Software, Inc. (based in Albany, NY). GCOM's Criminal Records Repository Management System (CRRMS) is a commercial product that will be customized to meet Florida-specific requirements.

**2. CCH Modernization Phase II**

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

**Vendor**

- Customize the identified components that must be tailored to meet FDLE's business requirements.
- Migrate and cleanse data from existing source databases to the new system repository.
- Define and implement improvements identified in statements of objectives and in the requirements.
- Acquire and install hardware, third-party software, and commercial.
- Identify changes and adapt existing business processes to streamline work to maximize the functions of the commercial product.
- Implement data inputs and outputs needed to maintain existing integration with dependent systems and among CJIS sections.
- Create new data input and output processes for new integration needs, as identified.
- Produce, execute, and maintain robust test plans.
- Produce and implement end-user deployment plans.

- Track and monitor all change requests to system implementation plans.
- Author technical documentation for end-users.
- Design and conduct end-user training.
- Author the help screens and self-help mechanisms to be integrated in the new system.

**FDLE**

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



**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

WBS	Task Name	Duration	Resource Names	Start	Finish	Predecessors
1.2.3.3.1.1.1	Procure Hardware and Software (Dev and Test)	10 days	FDLE	Wed 9/2/15	Wed 9/16/15	3
<b>1.2.3.3.1.1.2</b>	<b>Development</b>	<b>23 days</b>		<b>Thu 9/17/15</b>	<b>Mon 10/19/15</b>	
1.2.3.3.1.1.2.1	Develop Development Environment (Installation) document	5 days	GCOM	Thu 9/17/15	Wed 9/23/15	45
1.2.3.3.1.1.2.2	Install HTTP Server	1 day	GCOM,FDLE	Thu 9/24/15	Thu 9/24/15	47
1.2.3.3.1.1.2.3	Install OpenAM	1 day	GCOM,FDLE	Fri 9/25/15	Fri 9/25/15	48
1.2.3.3.1.1.2.4	Install JBoss Application Server	2 days	GCOM,FDLE	Mon 9/28/15	Tue 9/29/15	49
1.2.3.3.1.1.2.5	Install Active MQ	1 day	GCOM,FDLE	Wed 9/30/15	Wed 9/30/15	50
1.2.3.3.1.1.2.6	Install FUSE ESB	1 day	GCOM,FDLE	Thu 10/1/15	Thu 10/1/15	51
1.2.3.3.1.1.2.7	Install jBPM	1 day	GCOM,FDLE	Fri 10/2/15	Fri 10/2/15	52
1.2.3.3.1.1.2.8	Install Oracle Database	2 days	GCOM,FDLE	Mon 10/5/15	Tue 10/6/15	53
1.2.3.3.1.1.2.9	Install Continuous Integration Tools (Maven, Jenkins, Sonar, Nexus)	3 days	GCOM,FDLE	Wed 10/7/15	Fri 10/9/15	54
1.2.3.3.1.1.2.10	Configure installed software	3 days	GCOM,FDLE	Mon 10/12/15	Wed 10/14/15	55
1.2.3.3.1.1.2.11	Test Installation and Configuration	2 days	GCOM,FDLE	Thu 10/15/15	Fri 10/16/15	56
1.2.3.3.1.1.2.12	Update Development Environment (Installation) document	1 day	GCOM,FDLE	Mon 10/19/15	Mon 10/19/15	57
1.2.3.3.1.1.3	Test (Test and Standby)	46 days		Tue 2/16/16	Tue 4/19/16	
<b>1.2.3.3.2</b>	<b>Iteration 2 (Point of Contact)</b>	<b>169 days</b>		<b>Tue 12/1/15</b>	<b>Thu 7/28/16</b>	
<b>1.2.3.3.2.1</b>	<b>Analysis</b>	<b>68 days</b>		<b>Tue 12/1/15</b>	<b>Mon 3/7/16</b>	
1.2.3.3.2.1.1	Identify/Prioritize forms	7 days	FDLE	Tue 12/1/15	Wed 12/9/15	36
1.2.3.3.2.1.2	Develop Use Cases/Document Workflows	60 days	GCOM	Thu 12/10/15	Fri 3/4/16	62
1.2.3.3.2.1.3	Review Use Case Documents	60 days	FDLE	Fri 12/11/15	Mon 3/7/16	63SS+10 days
1.2.3.3.2.1.4	Update Use Case Documents	15 days	GCOM	Thu 12/17/15	Thu 1/7/16	67
1.2.3.3.2.1.5	Review and Approve Use Case Documents	30 days	FDLE	Fri 1/8/16	Fri 2/19/16	65
1.2.3.3.2.1.6	Identify Documents/Metadata to be migrated	5 days	FDLE,GCOM	Thu 12/10/15	Wed 12/16/15	62
1.2.3.3.2.1.7	Review and Approve Document/Metadata to be migrated	5 days	FDLE	Fri 12/4/15	Thu 12/10/15	67
1.2.3.3.2.1.8	Update JIRA (Traceability Matrix)	5 days	GCOM	Fri 12/11/15	Thu 12/17/15	68
1.2.3.3.2.2	Design	76 days		Fri 12/25/15	Tue 4/12/16	
1.2.3.3.2.3	Development	60 days		Fri 2/19/16	Thu 5/12/16	
1.2.3.3.2.4	Test	80 days		Tue 3/8/16	Tue 6/28/16	
1.2.3.3.2.5	User Acceptance Test	30 days		Wed 6/1/16	Wed 7/13/16	
1.2.3.3.2.6	Test Data Migration	24 days		Fri 5/13/16	Thu 6/16/16	
1.2.3.3.2.7	Production Environment Set up	59 days		Tue 3/29/16	Mon 6/20/16	
1.2.3.3.2.8	Training	37 days		Tue 5/24/16	Fri 7/15/16	
1.2.3.3.2.9	Production "Go Live" / Transition Phase	53 days		Fri 5/13/16	Thu 7/28/16	
<b>1.2.3.3.3</b>	<b>Iteration 3 (Ancillary/Common Services)</b>	<b>153 days</b>		<b>Wed 11/18/15</b>	<b>Fri 6/24/16</b>	
<b>1.2.3.3.3.1</b>	<b>GAP Analysis</b>	<b>56 days</b>		<b>Wed 11/18/15</b>	<b>Tue 2/9/16</b>	<b>36</b>
<b>1.2.3.3.3.1.1</b>	<b>Agency</b>	<b>27 days</b>		<b>Wed 11/18/15</b>	<b>Mon 12/28/15</b>	
1.2.3.3.3.1.1.1	Develop Use Case Document	8 days	GCOM	Wed 11/18/15	Tue 12/1/15	
1.2.3.3.3.1.1.2	Review Use Case Document	5 days	FDLE	Wed 12/2/15	Tue 12/8/15	81
1.2.3.3.3.1.1.3	Update Use Case Document	5 days	GCOM	Wed 12/9/15	Tue 12/15/15	82

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

WBS	Task Name	Duration	Resource Names	Start	Finish	Predecessors
1.2.3.3.3.1.1.4	Review and Approve Use Case Document	7 days	FDLE	Wed 12/16/15	Thu 12/24/15	83
1.2.3.3.3.1.1.5	Update JIRA (Traceability Matrix)	2 days	GCOM	Fri 12/25/15	Mon 12/28/15	84
<b>1.2.3.3.3.1.2</b>	<b>Statute</b>	<b>27 days</b>		<b>Wed 11/18/15</b>	<b>Mon 12/28/15</b>	
1.2.3.3.3.1.2.1	Develop Use Case Document	10 days	GCOM	Wed 11/18/15	Thu 12/3/15	
1.2.3.3.3.1.2.2	Review Use Case Document	5 days	FDLE	Wed 12/2/15	Tue 12/8/15	87
1.2.3.3.3.1.2.3	Update Use Case Document	5 days	GCOM	Wed 12/9/15	Tue 12/15/15	88
1.2.3.3.3.1.2.4	Review and Approve Use Case Document	7 days	FDLE	Wed 12/16/15	Thu 12/24/15	89
1.2.3.3.3.1.2.5	Update JIRA (Traceability Matrix)	2 days	GCOM	Fri 12/25/15	Mon 12/28/15	90
<b>1.2.3.3.3.1.3</b>	<b>InBox</b>	<b>27 days</b>		<b>Tue 12/1/15</b>	<b>Thu 1/7/16</b>	
1.2.3.3.3.1.3.1	Develop Use Case Document	8 days	GCOM	Tue 12/1/15	Thu 12/10/15	
1.2.3.3.3.1.3.2	Review Use Case Document	5 days	FDLE	Fri 12/11/15	Thu 12/17/15	93
1.2.3.3.3.1.3.3	Update Use Case Document	5 days	GCOM	Fri 12/18/15	Thu 12/24/15	94
1.2.3.3.3.1.3.4	Review and Approve Use Case Document	7 days	FDLE	Fri 12/25/15	Tue 1/5/16	95
1.2.3.3.3.1.3.5	Update JIRA (Traceability Matrix)	2 days	GCOM	Wed 1/6/16	Thu 1/7/16	96
1.2.3.3.3.1.4	Audit	29 days		Tue 12/29/15	Tue 2/9/16	80
<b>1.2.3.3.3.1.5</b>	<b>Notification</b>	<b>27 days</b>		<b>Wed 11/18/15</b>	<b>Mon 12/28/15</b>	<b>86</b>
1.2.3.3.3.1.5.1	Develop Use Case Document	8 days	GCOM	Wed 11/18/15	Tue 12/1/15	
1.2.3.3.3.1.5.2	Review Use Case Document	5 days	FDLE	Wed 12/2/15	Tue 12/8/15	100
1.2.3.3.3.1.5.3	Update Use Case Document	5 days	GCOM	Wed 12/9/15	Tue 12/15/15	101
1.2.3.3.3.1.5.4	Review and Approve Use Case Document	7 days	FDLE	Wed 12/16/15	Thu 12/24/15	102
1.2.3.3.3.1.5.5	Update JIRA (Traceability Matrix)	2 days	GCOM	Fri 12/25/15	Mon 12/28/15	103
1.2.3.3.3.2	Design	56 days		Tue 12/29/15	Thu 3/17/16	
1.2.3.3.3.3	Development	65 days		Tue 2/2/16	Mon 5/2/16	
1.2.3.3.3.4	Test	103 days		Tue 2/2/16	Fri 6/24/16	
<b>1.2.3.3.4</b>	<b>Iteration 4 (CCH Customization, CCH Domain Model and Data Services, Name)</b>	<b>183 days</b>		<b>Thu 10/15/15</b>	<b>Wed 7/6/16</b>	
<b>1.2.3.3.4.1</b>	<b>GAP Analysis</b>	<b>48 days</b>		<b>Thu 10/15/15</b>	<b>Thu 12/24/15</b>	
1.2.3.3.4.1.1	Understand CCH Requirements	40 days	FDLE,GCOM	Thu 10/15/15	Mon 12/14/15	2
1.2.3.3.4.1.2	Update Use Case Document	25 days	GCOM	Wed 10/21/15	Wed 11/25/15	110SS+4 days
1.2.3.3.4.1.3	Review Use Case Document	5 days	FDLE	Mon 11/30/15	Fri 12/4/15	111
1.2.3.3.4.1.4	Update Use Case Document	7 days	GCOM	Mon 12/7/15	Tue 12/15/15	112
1.2.3.3.4.1.5	Review and Approve Use Case Document	7 days	FDLE	Wed 12/16/15	Thu 12/24/15	113
1.2.3.3.4.1.6	Update JIRA (Traceability Matrix)	2 days	GCOM	Mon 12/14/15	Tue 12/15/15	114
1.2.3.3.4.2	Design	77 days		Fri 12/25/15	Wed 4/13/16	
1.2.3.3.4.3	Development	42 days		Wed 1/27/16	Thu 3/24/16	
1.2.3.3.4.4	Test	135 days		Fri 12/25/15	Wed 7/6/16	
1.2.3.3.5	Iteration 5	129 days		Tue 6/21/16	Fri 12/23/16	
1.2.3.3.6	Iteration 6	203 days		Tue 7/5/16	Fri 4/21/17	
1.2.3.3.7	Iteration 7	202 days		Tue 6/21/16	Fri 4/7/17	
1.2.3.3.8	Iteration 8	112 days		Mon 12/26/16	Fri 6/2/17	119
1.2.3.3.9	Iteration 9	97 days		Mon 4/24/17	Fri 9/8/17	120
1.2.3.3.10	Iteration 10	49 days		Mon 4/10/17	Fri 6/16/17	121
1.2.3.3.11	Iteration 11	489 days		Tue 1/5/16	Thu 12/7/17	

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

WBS	Task Name	Duration	Resource Names	Start	Finish	Predecessors
1.2.3.3.12	Iteration 12	48 days		Mon 12/26/16	Fri 3/3/17	119
<b>1.2.3.4</b>	<b>Iteration 13 ( Data Migration + Data Cleansing + Production Data Testing Routines)</b>	<b>502 days</b>		<b>Thu 10/15/15</b>	<b>Mon 10/9/17</b>	
1.2.3.4.1	Legacy Data Analysis	280 days	GCOM	Thu 10/15/15	Tue 11/22/16	4
1.2.3.5	Iteration 14 (Environment Set up (Prod, Standby, DR))	357 days		Thu 6/16/16	Mon 11/13/17	
1.2.3.6	Iteration 15 (Testing - Functional, Non-Functional, and Production Data Testing)	145 days		Tue 9/12/17	Mon 4/9/18	
1.2.3.7	Iteration 16 (Training)	110 days		Tue 11/21/17	Mon 4/30/18	
<b>1.2.3.8</b>	<b>Production Cut Over and Go Live</b>	<b>137 days</b>		<b>Tue 11/14/17</b>	<b>Thu 5/31/18</b>	<b>129</b>
1.2.3.8.1	Go Live	1 day	FDLE,GCOM	Thu 5/31/18	Thu 5/31/18	
<b>2</b>	<b>Annual Support and Maintenance</b>	<b>298 days</b>		<b>Fri 6/1/18</b>	<b>Tue 7/30/19</b>	
2.1	Production Operational System and Transition	257 days		Tue 7/31/18	Tue 7/30/19	136
2.2	Operational Acceptance Test	41 days		Fri 6/1/18	Mon 7/30/18	133
3	Year 2 Support	261 days		Wed 7/31/19	Wed 7/29/20	134
4	Year 3 Support	261 days		Thu 7/30/20	Thu 7/29/21	137
5	Year 4 Support	261 days		Fri 7/30/21	Fri 7/29/22	138
6	Year 5 Support	261 days		Mon 8/1/22	Mon 7/31/23	139

Note: The following is the contract schedule. A baseline schedule will be prepared in December 2015.

**D. Project Organization**

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

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

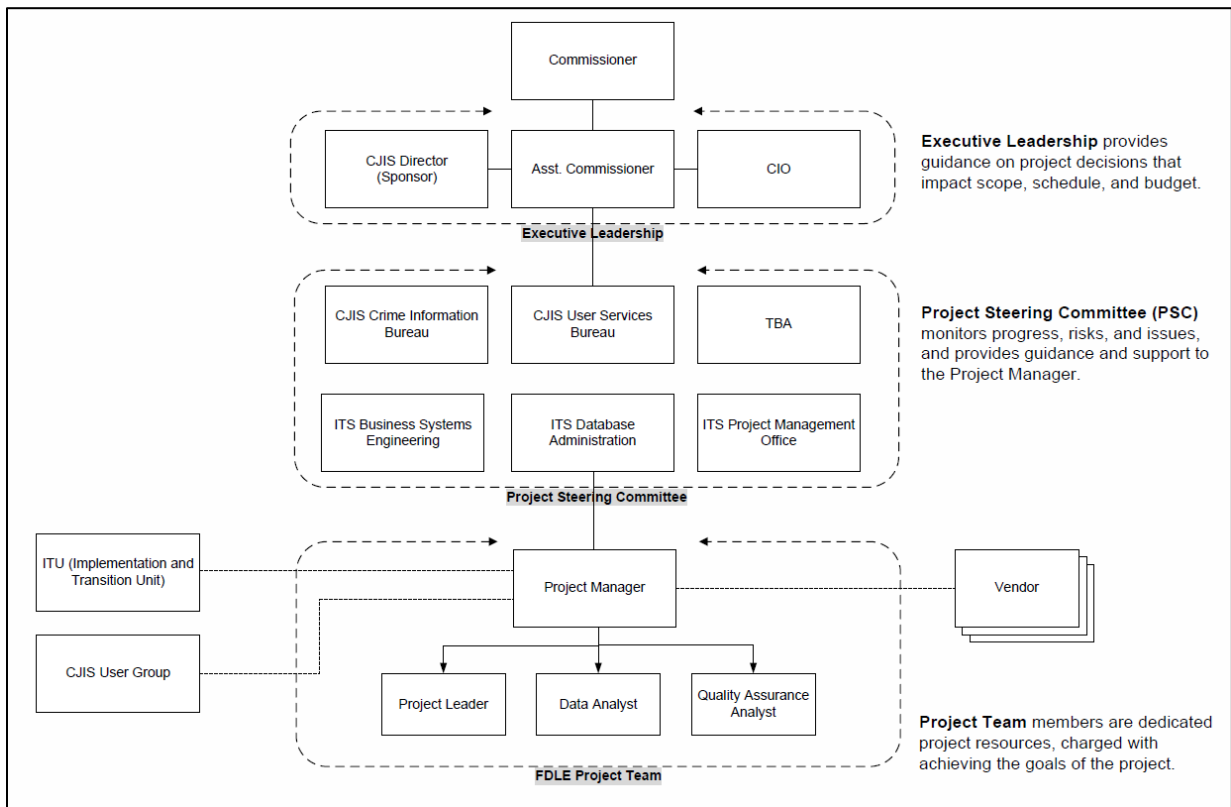


Figure 9. CCH Project Organization

**1. FDLE Executive Leadership**

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



## 2. FDLE Project Steering Committee

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

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

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

- CJIS Crime Information Bureau (Chief of Florida Crime Information)
- CJIS User Services Bureau (Chief of User Services)
- CJIS To Be Announced (TBA)
- IT Services Business Systems Engineering (Chief of Business Systems Engineering)
- IT Services Business Systems Engineering (Systems Programming Administrator)
- IT Services Project Management Office (Information Systems & Services Administrator)

## 3. FDLE Project Management Office

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

#### 4. FDLE Project Team

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

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

##### a. FDLE Project Team Responsibilities

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

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

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

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

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

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

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

**FDLE Data Analyst**- Responsibilities include:

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

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

**FDLE Quality Assurance Analyst – Responsibilities include:**

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

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

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

**E. Quality Assurance Plan**

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

<b>Table 11. Quality Assurance Techniques</b>		
<b>Technique</b>	<b>Description</b>	<b>Frequency</b>
Quality Reviews	<p>The FDLE Project Team will review and assess the overall quality of each deliverable. The Project Team evaluates each deliverable prior to delivery to the FDLE PSC for approval. The Project Team performs quality reviews on deliverables by:</p> <ol style="list-style-type: none"> <li>1. Performing reviews of all created documentation for the project prior to release/publishing.</li> <li>2. Reviewing conformity to requirements for all deliverables by the vendor.</li> <li>3. Discussing quality during each weekly team meeting.</li> </ol>	Throughout Project
Skilled Staff	<p>Using skilled staff for the Project Team and requiring them by the vendor will directly affect the quality of the deliverables produced. Skilled staff should have the knowledge, skills, and experience required to undertake the specific task or tasks allocated in the Project Plan with minimal training in order to achieve the level of quality desired. Hired Project Team members will assure quality by:</p> <ol style="list-style-type: none"> <li>1. Having a satisfactory level of experience in similar projects for their job duties.</li> </ol>	Throughout Project
Project, Contract, and System Change Control	<p>A clear project change control process ensures the level of quality is not impacted for any deliverable. The Project Manager and the vendor will use the established project change control process to assure quality.</p>	When changes in scope, contract, or system are identified
Project Management	<p>The Project Manager will ensure consistent application of project management processes and techniques by both the FDLE Project Team and the vendor Project Team. The PM assigned to this project will be certified as a Project Management Professional (PMP).</p>	Throughout Project

<b>Table 11. Quality Assurance Techniques</b>		
<b>Technique</b>	<b>Description</b>	<b>Frequency</b>
Requirements Definition	A well-defined set of requirements provides the vendor with a clear understanding of what they have to achieve in order to deliver customer satisfaction. Detailed business requirements are used during the procurement effort. Once a vendor is selected, a requirements traceability effort is used to track system requirements and those requirements are used to complete the project. The Project Team and vendor will assure all system requirements are documented so there is no question or vagueness in what the requirement attempts to accomplish.	During development of any requirements (initial or through change control)
Mapping of Requirements	The vendor will map all requirements to a function of the commercial product to assure quality of the delivered product and compliance with the requirements; the Project Team will verify and validate.	During development reviews, functional testing, and user acceptance testing
Document Standards	<p>The FDLE Project Team will use templates for Microsoft Office products to ensure that all documentation follows the same layout. Each document will go through team reviews sufficient to assure quality prior to submission to the customer or to the PSC. The vendor is expected to follow the same method to ensure all documentation provided is consistent with previously delivered documents. The FDLE Project Team will review all delivered vendor documentation prior to release to the PSC.</p> <p>In addition to templates, the FDLE Project Team will ensure that all documentation complies with established document standards, established version control, and requirements. The Project Team will also ensure that all documentation is accurate and timely. For example, reports should identify potential problems early so they can be avoided or resolved.</p>	During the creation of any document deliverable
Adequate Testing	The vendor team will map all system requirements to system functionality for functional and user acceptance testing. The test cases and system will also have adequate sample record data sufficient for determining level of compliance with quality. The Project Team will verify and validate.	During development, functional, and user acceptance testing

<b>Table 11. Quality Assurance Techniques</b>		
<b>Technique</b>	<b>Description</b>	<b>Frequency</b>
FDLE Team Peer Reviews	<p>The FDLE Project Team will perform peer reviews on each other's deliverables by:</p> <ol style="list-style-type: none"> <li>1. Performing team reviews of all deliverables for the project prior to release/publishing to the PSC or others.</li> <li>2. Discussing quality at every review and during each weekly team meeting.</li> </ol>	Throughout Project
Historical Data	Understanding other related projects (either currently underway or recently completed) and the quality issues encountered will enable the team to plan for potential quality issues.	Throughout Project

**Project Communications**

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

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

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

**1. Vendor Quality Assurance**

**a. Quality Management Plan**

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

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



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

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

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

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

## **F. Risk Management**

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

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

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

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

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

## **G. Implementation Plan**

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

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

### **1. Implementation Approvals**

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

### **2. Implementation Communications Plan**

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

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

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

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

**3. Go-Live Schedule**

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

**4. Dependencies List**

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

**5. Resource Requirements**

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

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

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

**7. Failback Plan**

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

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

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

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

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

## **8. Training and Knowledge Transfer**

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

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

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

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

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

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

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

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

**9. Organizational Change Management**

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

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

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**VIII. Appendices**

Appendix A - Abbreviations and Acronyms

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Appendix I - Document Completeness and Correctness Checklist

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Appendix K - Deliverable Acceptance Form

Appendix L - Historical Growth Rates



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**Appendix A - Abbreviations and Acronyms**

<b>Table 1. Abbreviations and Acronyms</b>	
<b>Abbreviations and Acronyms</b>	<b>Description</b>
AD	Active Directory
AFRNP	Applicant Fingerprint Retention and Notification Program
AHCA	Agency for Health Care Administration
ALGOL	ALGOrithmic Language
ANSI	American National Standards Institute
APD	Agency for Persons with Disabilities
BIS	Biometric Identification System
BPM	Business Process Models
CATT	ClearPath A Series Terminal Tool
CCH	Computerized Criminal History
CIB	Crime Information Bureau
CIO	Chief Information Officer
CJIS	Criminal Justice Information Services
CJNet	Criminal Justice Network
COAST	Career Offender Application for Statewide Tracking
COBOL	COmmon Business-Oriented Language
COMS	Component Object Model Screens
COO	Continuity of Operations
COTS	Commercial Off-The-Shelf
CPU	Central Processing Unit
CSP	FBI CJIS Security Policy
CWCS	Civil Workflow Control System
DB	Database
DBPR	Department of Business and Professional Regulation
DC	Department of Corrections
DCF	Department of Children and Families
DHSMV	Department of Highway Safety and Motor Vehicles
DJJ	Department of Juvenile Justice
DMSII	Data Management System II

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

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

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

## Appendix B - Standards and Definitions

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

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

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

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

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

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

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

### 4. FBI CJIS Security Policy.

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

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

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

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

When an identification is made on an NFF state record during the national fingerprint-based background check, the FBI reaches out directly to the NFF

state repository for the record thus providing the most complete and comprehensive CHRI available. Participation in the NFF Program ensures a higher level of security benefitting our most vulnerable populations.

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

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

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

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

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

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

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

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

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

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

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

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

**Appendix C - Florida Statutes 943.05 & 943.051**

**943.05 Criminal Justice Information Program; duties; crime reports.-**

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

(2) The program shall:

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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

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

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

**943.051 Criminal justice information; collection and storage; fingerprinting.-**

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

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

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

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

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

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

1. Assault, as defined in s. 784.011.
2. Battery, as defined in s. 784.03.
3. Carrying a concealed weapon, as defined in s. 790.01(1).
4. Unlawful use of destructive devices or bombs, as defined in s. 790.1615(1).
5. Neglect of a child, as defined in s. 827.03(1)(e).
6. Assault or battery on a law enforcement officer, a firefighter, or other specified officers, as defined in s. 784.07(2)(a) and (b).
7. Open carrying of a weapon, as defined in s. 790.053.
8. Exposure of sexual organs, as defined in s. 800.03.
9. Unlawful possession of a firearm, as defined in s. 790.22(5).

10. Petit theft, as defined in s. 812.014(3).
  11. Cruelty to animals, as defined in s. 828.12(1).
  12. Arson, as defined in s. 806.031(1).
  13. Unlawful possession or discharge of a weapon or firearm at a school-sponsored event or on school property, as provided in s. 790.115.
- (4) Fingerprints shall be used as the basis for criminal history records.

Appendix D - Business Process and System Diagrams

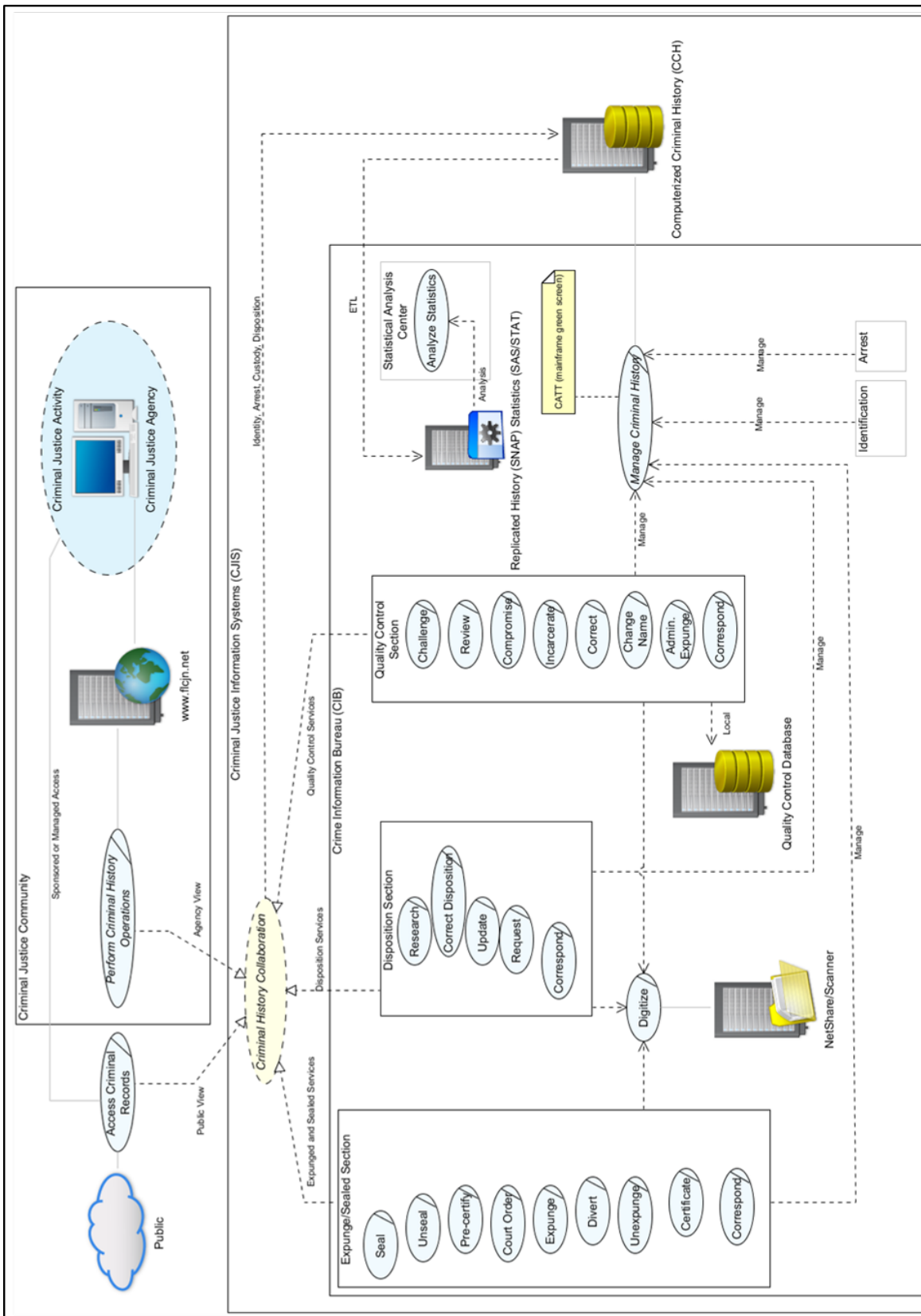


Figure 1. Business Process Flow Diagram

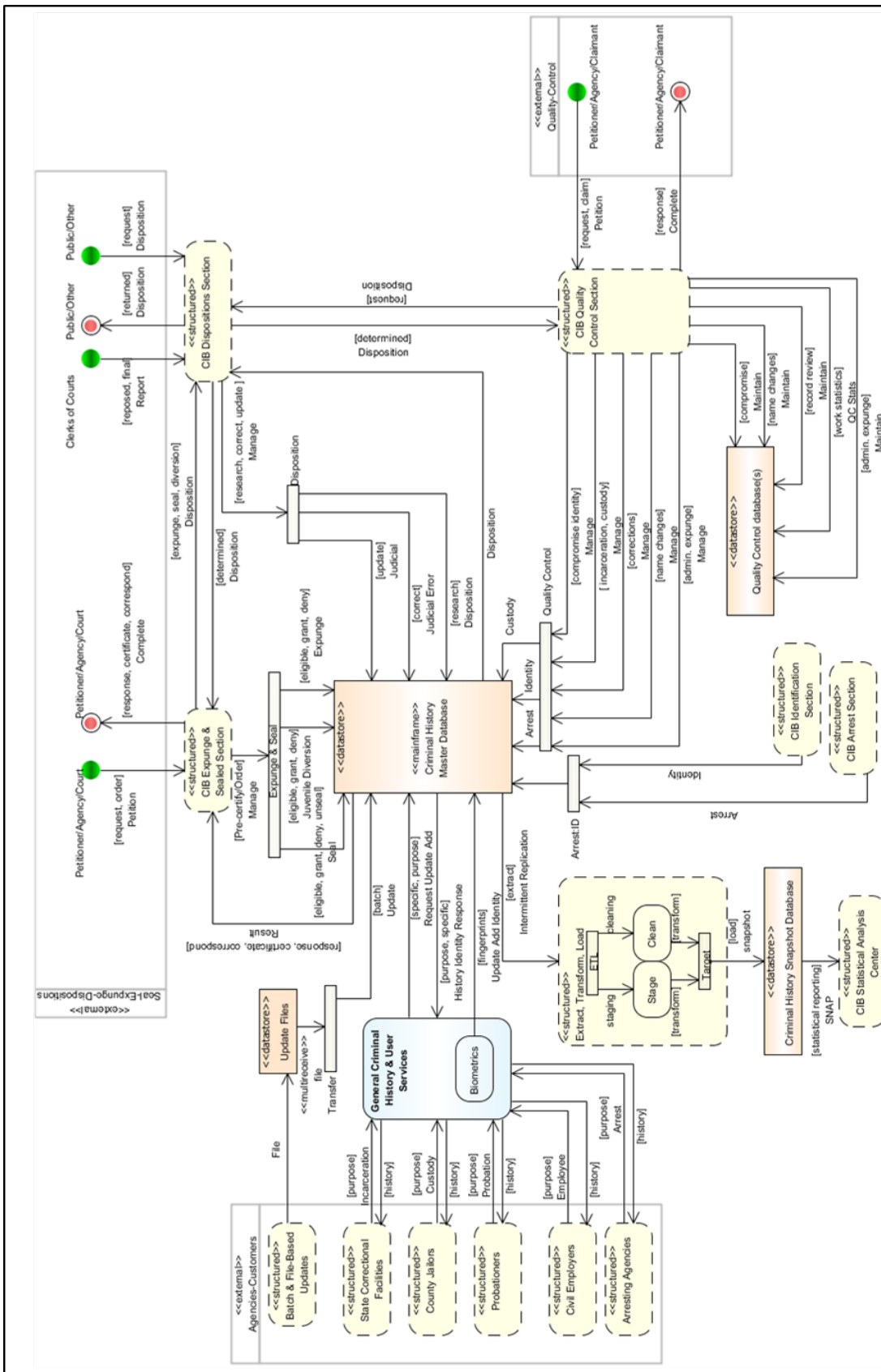


Figure 2. CCH Processing Diagram

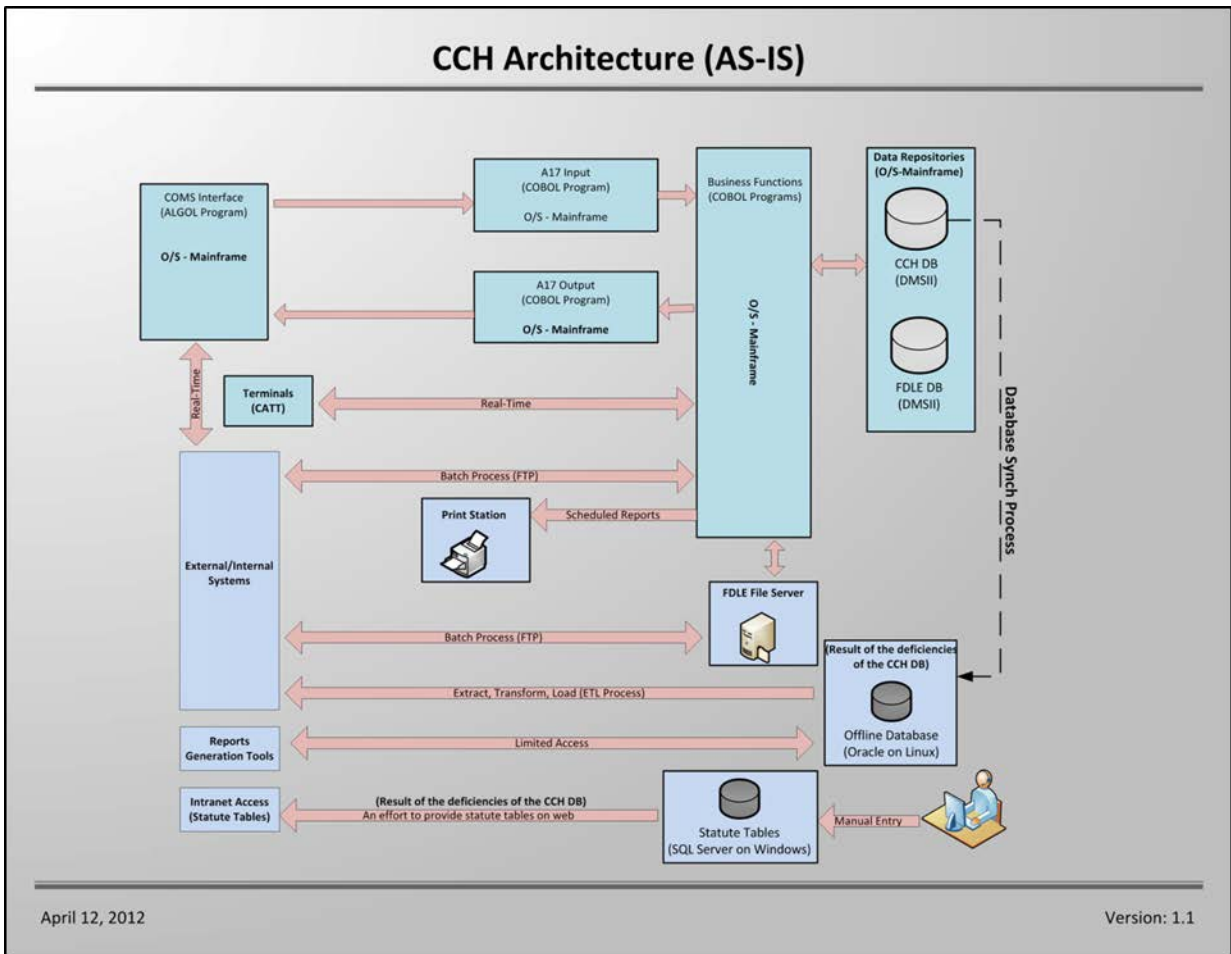


Figure 3. Existing System Architecture

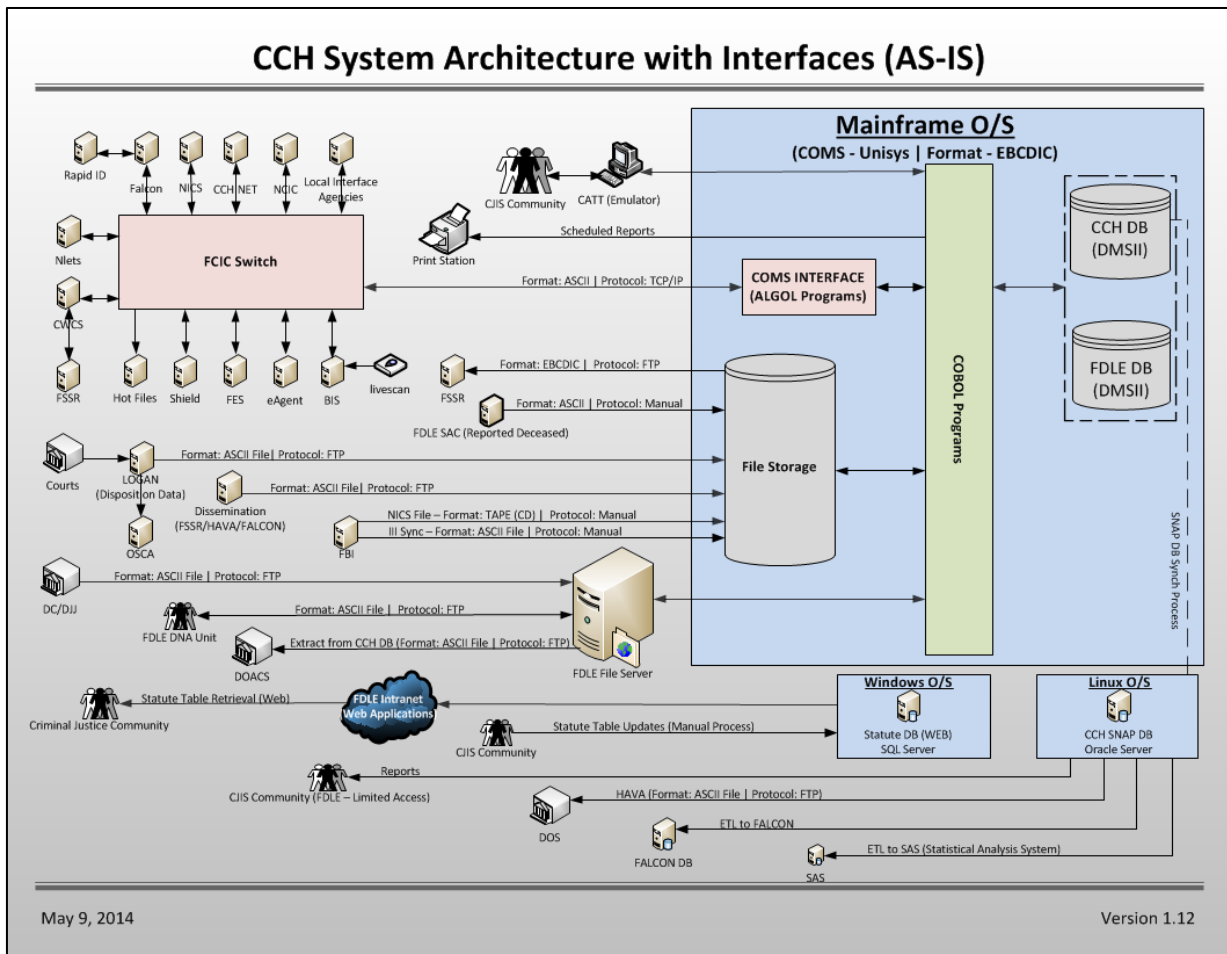


Figure 4. Existing System Architecture with Interfaces



**Appendix E - Cost-Benefit Analysis Worksheets**

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

CBA Form 1 - Net Tangible Benefits	Agency <u>FDLE</u>	Project <u>CCH Modernization</u>
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBA Form 1A															
Agency <i>(Operations Only -- No Project Costs)</i>	FY 2016-17			FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21		
	(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)	\$910,505	\$0	\$910,505	\$910,505	\$0	\$910,505	\$910,505	\$278,688	\$1,189,193	\$910,505	\$278,688	\$1,189,193	\$910,505	\$278,688	\$1,189,193
A.b Total FTE	9.00	0.00	9.00	9.00	0.00	9.00	9.00	6.00	15.00	9.00	6.00	15.00	9.00	6.00	15.00
A-1.a. State FTEs (Salaries & Benefits)	\$458,505	\$0	\$458,505	\$458,505	\$0	\$458,505	\$458,505	\$434,688	\$893,193	\$458,505	\$434,688	\$893,193	\$458,505	\$434,688	\$893,193
A-1.b. State FTEs (# FTEs)	6.00	0.00	6.00	6.00	0.00	6.00	6.00	7.00	13.00	6.00	7.00	13.00	6.00	7.00	13.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$452,000	\$0	\$452,000	\$452,000	\$0	\$452,000	\$452,000	(\$156,000)	\$296,000	\$452,000	(\$156,000)	\$296,000	\$452,000	(\$156,000)	\$296,000
A-3.b. Staff Augmentation (# of Contract FTEs)	3.00	0.00	3.00	3.00	0.00	3.00	3.00	(1.00)	2.00	3.00	(1.00)	2.00	3.00	(1.00)	2.00
B. Data Processing -- Costs	\$815,153	\$0	\$815,153	\$759,355	\$0	\$759,355	\$759,355	(\$759,355)	\$0	\$815,153	(\$815,153)	\$0	\$759,355	(\$759,355)	\$0
B-1. Hardware	\$573,874	\$0	\$573,874	\$518,076	\$0	\$518,076	\$518,076	(\$518,076)	\$0	\$573,874	(\$573,874)	\$0	\$518,076	(\$518,076)	\$0
B-2. Software	\$241,279	\$0	\$241,279	\$241,279	\$0	\$241,279	\$241,279	(\$241,279)	\$0	\$241,279	(\$241,279)	\$0	\$241,279	(\$241,279)	\$0
B-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$132,000	\$0	\$132,000	\$132,000	\$0	\$132,000	\$132,000	\$1,038,083	\$1,170,083	\$132,000	\$1,038,083	\$1,170,083	\$132,000	\$1,038,083	\$1,170,083
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$132,000	\$0	\$132,000	\$132,000	\$0	\$132,000	\$132,000	\$1,038,083	\$1,170,083	\$132,000	\$1,038,083	\$1,170,083	\$132,000	\$1,038,083	\$1,170,083
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	\$38,766	\$0	\$38,766	\$38,766	\$0	\$38,766	\$38,766	\$40,982	\$79,748	\$38,766	\$40,982	\$79,748	\$38,766	\$40,982	\$79,748
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>Expenses &amp; HR Svc for State Staff</i>	\$38,766	\$0	\$38,766	\$38,766	\$0	\$38,766	\$38,766	\$40,982	\$79,748	\$38,766	\$40,982	\$79,748	\$38,766	\$40,982	\$79,748
<b>Total of Operational Costs ( Rows A through E)</b>	\$1,896,424	\$0	\$1,896,424	\$1,840,626	\$0	\$1,840,626	\$1,840,626	\$598,398	\$2,439,024	\$1,896,424	\$542,600	\$2,439,024	\$1,840,626	\$598,398	\$2,439,024
F. Additional Tangible Benefits:		\$0			\$360,966			\$1,138,360			\$700,347			\$740,947	
F-1. <i>Items listed in FDLE CBA</i>		\$0			\$360,966			\$1,138,360			\$700,347			\$740,947	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
<b>Total Net Tangible Benefits:</b>		\$0			\$360,966			\$539,962			\$157,747			\$142,549	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBA Form 1B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input checked="checked" type="checkbox"/>	Confidence Level	10%
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input type="checkbox"/>	Confidence Level	

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

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.				FY2016-17			FY2017-18			FY2018-19			FY2019-20			FY2020-21			TOTAL
			\$ 5,905,139	\$ 5,759,665		\$ 5,137,592		\$ 2,264,377		\$ -		\$ -		\$ -		\$ 19,066,773			
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	FY2016-17			FY2017-18			FY2018-19			FY2019-20			FY2020-21			TOTAL
				YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	
Costs for all state employees working on the project.	FTE	S&B	\$ 513,807	7.00	\$ -	\$ 437,744	7.00	\$ -	\$ 437,744	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 1,389,295
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ 1,718,194	3.00	\$ 534,000	\$ -	3.00	\$ 534,000	\$ -	3.00	\$ 133,500	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 2,919,694
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ 335,294	0.00	\$ 342,353	\$ -	0.00	\$ 342,353	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 1,020,000
Project oversight (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ 105,385	0.00	\$ 210,769	\$ -	0.00	\$ 210,769	\$ -	0.00	\$ 158,077	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 685,000
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ 251,128	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 251,128
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Hardware purchases not included in Primary Data Center services.	Hardware	OCO	\$ 200,355		\$ 440,332	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 640,687
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ 1,412,537		\$ 1,188,988	\$ -		\$ 685,000	\$ -		\$ 1,410,000	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 4,696,525
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ 1,154,602		\$ 1,901,676	\$ -		\$ 2,023,923	\$ -		\$ 562,800	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 5,643,001
All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ 45,000	\$ -		\$ 225,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 270,000
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	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ 151,485		\$ 619,743	\$ -		\$ 639,743	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 1,410,971
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	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Other project expenses not included in other categories.	Other Expenses	Expense	\$ 62,352		\$ 39,060	\$ -		\$ 39,060	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 140,472
<b>Total</b>			\$ 5,905,139	10.00	\$ 5,321,921	\$ 437,744	10.00	\$ 4,699,848	\$ 437,744	3.00	\$ 2,264,377	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 19,066,773

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

CBAForm 2 - Project Cost Analysis

Agency	<u>FDLE</u>	Project	<u>CCH Modernization</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	
TOTAL PROJECT COSTS (*)	\$5,759,665	\$5,137,592	\$2,264,377	\$0	\$0	\$19,066,773
CUMULATIVE PROJECT COSTS <small>(includes Current &amp; Previous Years' Project-Related</small>	\$11,664,804	\$16,802,396	\$19,066,773	\$19,066,773	\$19,066,773	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$5,309,312	\$5,137,592	\$2,264,377	\$0	\$0	\$12,711,281
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input checked="" type="checkbox"/>	\$450,353	\$0	\$0	\$0	\$0	\$450,353
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$5,759,665	\$5,137,592	\$2,264,377	\$0	\$0	\$13,161,634
CUMULATIVE INVESTMENT	\$5,759,665	\$10,897,257	\$13,161,634	\$13,161,634	\$13,161,634	

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

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

CBAForm 3 - Project Investment Summary

Agency	<u>FDLE</u>	Project	<u>CCH Modernization</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	TOTAL FOR ALL YEARS
Project Cost	\$5,759,665	\$5,137,592	\$2,264,377	\$0	\$0	\$19,066,773
Net Tangible Benefits	\$0	\$360,966	\$539,962	\$157,747	\$142,549	\$1,201,223
Return on Investment	(\$11,664,804)	(\$4,776,626)	(\$1,724,415)	\$157,747	\$142,549	(\$17,865,550)
Year to Year Change in Program Staffing	0	0	6	6	6	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$17,351,814)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

**Appendix F - Current System Cost**

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

**FY 2014-15 Schedule IV-B Feasibility Study for CCH**

<b>Current CCH System - Operating Costs</b>													
Updated: 8/30/2015													
Category	Item Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Totals
<b>Staff</b>													
	State Staff:												
	DP Manager (180)	\$49,540	\$49,540	\$49,540	\$49,540	\$49,540	\$49,540	\$49,540	\$49,540	\$49,540	\$49,540	\$49,540	\$49,540
	Sys Programmer (380)	\$42,457	\$42,457	\$42,457	\$42,457	\$42,457	\$42,457	\$42,457	\$42,457	\$42,457	\$42,457	\$42,457	\$42,457
	SPA (2185)	\$65,418	\$65,418	\$65,418	\$65,418	\$65,418	\$65,418	\$65,418	\$65,418	\$65,418	\$65,418	\$65,418	\$65,418
	SPC (1966)	\$61,144	\$61,144	\$61,144	\$61,144	\$61,144	\$61,144	\$61,144	\$61,144	\$61,144	\$61,144	\$61,144	\$61,144
	ASP II (2013)	\$28,774	\$28,774	\$28,774	\$28,774	\$28,774	\$28,774	\$28,774	\$28,774	\$28,774	\$28,774	\$28,774	\$28,774
		\$0	\$0										\$0
	DB Consultant (205)	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039
	DB Consultant (609)	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039	\$23,039
		\$0	\$0										\$0
	Sys Programmer III (000286)	\$91,000	\$91,000	\$91,000	\$91,000	\$91,000	\$91,000	\$91,000	\$91,000	\$91,000	\$91,000	\$91,000	\$91,000
	Sys Programmer III (001353)	\$74,094	\$74,094	\$74,094	\$74,094	\$74,094	\$74,094	\$74,094	\$74,094	\$74,094	\$74,094	\$74,094	\$74,094
		\$0	\$0										\$0
	Contract Staff:	\$0	\$0										\$0
	DB Analyst (KR)	\$156,000	\$156,000	\$156,000	\$156,000	\$156,000	\$156,000	\$156,000	\$156,000	\$156,000	\$156,000	\$156,000	\$156,000
	App Development Analyst (VC)	\$152,000	\$152,000	\$152,000	\$152,000	\$152,000	\$152,000	\$152,000	\$152,000	\$152,000	\$152,000	\$152,000	\$152,000
	App Development Analyst (JV)	\$0	\$0	\$148,000	\$148,000	\$148,000	\$148,000	\$148,000	\$148,000	\$148,000	\$148,000	\$148,000	\$148,000
	App Development Analyst (PK)	\$0	\$0	\$58,500	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Systems Analyst (MC)	\$0	\$0	\$156,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	App Development Analyst (LM)	\$140,000	\$140,000	\$51,840.00	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	<b>Subtotal - Staff</b>	<b>\$906,505</b>	<b>\$906,505</b>	<b>\$1,180,845</b>	<b>\$914,505</b>	<b>\$914,505</b>	<b>\$914,505</b>	<b>\$914,505</b>	<b>\$914,505</b>	<b>\$914,505</b>	<b>\$914,505</b>	<b>\$914,505</b>	<b>\$10,309,894</b>
<b>Hardware</b>													
	Unisys Libra 450 System												
	CEFP - Installment Payments	\$375,597											
	End pmts 2013 Q1												
	Sys SW License Extension	\$142,496	\$284,992										
	(May 2013 - Oct 2013)												
	Unisys Libra 460 System												
	Installation		\$55,789			\$55,798			\$55,798				\$55,798
	CEFP - Installment Payments		\$388,923	\$518,076	\$518,076	\$518,076	\$518,076	\$518,076	\$518,076	\$518,076	\$518,076	\$518,076	\$518,076
	11/1/2013 - 10/31/2016 and extended												
	<b>Subtotal - Hardware</b>	<b>\$518,093</b>	<b>\$729,704</b>	<b>\$518,076</b>	<b>\$518,076</b>	<b>\$573,874</b>	<b>\$518,076</b>	<b>\$518,076</b>	<b>\$573,874</b>	<b>\$518,076</b>	<b>\$518,076</b>	<b>\$573,874</b>	<b>\$6,077,875</b>

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

<b>Current CCH System - Operating Costs</b>													
Updated: 8/30/2015													
<b>Category</b>	<b>Item Description</b>	<b>FY 12-13</b>	<b>FY 13-14</b>	<b>FY 14-15</b>	<b>FY 15-16</b>	<b>FY 16-17</b>	<b>FY 17-18</b>	<b>FY 18-19</b>	<b>FY 19-20</b>	<b>FY 20-21</b>	<b>FY 21-22</b>	<b>FY 22-23</b>	<b>Totals</b>
<b>Software</b>													
	Unisys Libra 460 Systems Software (OS, Database, Compilers, Print Mgt, etc)												
	Ops Sentinel Add-on & MCP Comm Svc	\$358	\$358	\$358	\$358	\$358	\$358	\$358	\$358	\$358	\$358	\$358	
	3rd Party Products:												
	B&L (Tape / Source / Library / Robo)	\$87,000	\$87,000	\$87,000	\$87,000	\$87,000	\$87,000	\$87,000	\$87,000	\$87,000	\$87,000	\$87,000	
	DBA Tools	\$6,270	\$6,270	\$6,270	\$6,270	\$6,270	\$6,270	\$6,270	\$6,270	\$6,270	\$6,270	\$6,270	
	Jampack / Supervisor	\$15,356	\$15,356	\$15,356	\$15,356	\$15,356	\$15,356	\$15,356	\$15,356	\$15,356	\$15,356	\$15,356	
	DBControl	\$3,600	\$3,600	\$3,600	\$3,600	\$3,600	\$3,600	\$3,600	\$3,600	\$3,600	\$3,600	\$3,600	
	Progeni	\$26,441	\$26,441	\$26,441	\$26,441	\$26,441	\$26,441	\$26,441	\$26,441	\$26,441	\$26,441	\$26,441	
	Printview	\$2,429	\$2,429	\$2,429	\$2,429	\$2,429	\$2,429	\$2,429	\$2,429	\$2,429	\$2,429	\$2,429	
	Databridge	\$11,871	\$11,871	\$11,871	\$11,871	\$11,871	\$11,871	\$11,871	\$11,871	\$11,871	\$11,871	\$11,871	
	Terminal Emulation	\$1,934	\$1,934	\$1,934	\$1,934	\$1,934	\$1,934	\$1,934	\$1,934	\$1,934	\$1,934	\$1,934	
	CCHSNAP:												
	Oracle SW for Production Server	\$80,960	\$80,960	\$80,960	\$80,960	\$80,960	\$80,960	\$80,960	\$80,960	\$80,960	\$80,960	\$80,960	
	Oracle SW for Test Server	\$5,060	\$5,060	\$5,060	\$5,060	\$5,060	\$5,060	\$5,060	\$5,060	\$5,060	\$5,060	\$5,060	
	<b>Subtotal - Software</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$241,279</b>	<b>\$2,654,069</b>
<b>Services</b>													
	Libra 450 System Maintenance												
	July 2012 - April 2013	\$103,160											
	May 2013 - Oct 2013	\$24,362	\$48,724										
	Libra 460 System Maintenance												
	Nov 2013 Pmt		\$19,237										
	Dec 2013 forward		\$79,030	\$132,000	\$132,000	\$132,000	\$132,000	\$132,000	\$132,000	\$132,000	\$132,000	\$132,000	
	<b>Subtotal - Services</b>	<b>\$127,522</b>	<b>\$146,991</b>	<b>\$132,000</b>	<b>\$132,000</b>	<b>\$132,000</b>	<b>\$132,000</b>	<b>\$132,000</b>	<b>\$132,000</b>	<b>\$132,000</b>	<b>\$132,000</b>	<b>\$132,000</b>	<b>\$1,462,513</b>
<b>Other</b>													
	Standard Expenses for State pos.	\$36,642	\$36,642	\$36,642	\$36,642	\$36,642	\$36,642	\$36,642	\$36,642	\$36,642	\$36,642	\$36,642	
	HR Service Fee	\$2,124	\$2,124	\$2,124	\$2,124	\$2,124	\$2,124	\$2,124	\$2,124	\$2,124	\$2,124	\$2,124	
	<b>Subtotal - Other</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$38,766</b>	<b>\$426,426</b>
<b>TOTALS</b>		<b>\$1,832,165</b>	<b>\$2,063,245</b>	<b>\$2,110,966</b>	<b>\$1,844,626</b>	<b>\$1,900,424</b>	<b>\$1,844,626</b>	<b>\$1,844,626</b>	<b>\$1,900,424</b>	<b>\$1,844,626</b>	<b>\$1,844,626</b>	<b>\$1,900,424</b>	<b>\$20,930,777</b>



**Appendix G - Project Cost Estimate**

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

**FY 2014-15 Schedule IV-B Feasibility Study for CCH**

FDLE Project Cost Estimate CCH Modernization Project Updated: 8/25/2015						CCH Contract Eff. Date 9/1/2015	CCH System Complete / Accepted 7/28/2018				
		<u>Actual</u>				<u>Planned</u>					
Category	Item Description	FY 12-13	FY 13-14	FY 14-15	Actual Total	FY 15-16	FY 16-17	FY 17-18	FY 18-19	Planned Total	Totals
<b>DEVELOPMENT / IMPLEMENTATION</b>											
<b>Staff</b>											
	State										
	Project Manager					\$84,956	\$84,956	\$84,956			
	Government Analyst II (PG 26)					\$48,557	\$64,742	\$64,742			
	Government Analyst II (PG 26)					\$48,557	\$64,742	\$64,742			
	Govt Ops Consultant II (PG 23)					\$41,870	\$55,826	\$55,826			
	Govt Ops Consultant II (PG 23)					\$41,870	\$55,826	\$55,826			
	Govt Ops Consultant II (PG 23)					\$41,870	\$55,826	\$55,826			
	Govt Ops Consultant II (PG 23)					\$41,870	\$55,826	\$55,826			
	Outgoing PM		\$30,261	\$123,608		\$10,391					
	<b>Subtotal - State Staff</b>	\$0	\$30,261	\$123,608		\$359,938	\$437,744	\$437,744	\$0		
	Contract										
	Project Manager	\$100,359	\$82,047	\$0							
	Project Leader	\$0	\$0	\$163,030		\$170,000	\$170,000	\$170,000	\$42,500		
	QA Analyst	\$0	\$0	\$121,088		\$176,000	\$176,000	\$176,000	\$44,000		
	Data Analyst	\$0	\$0	\$158,672		\$188,000	\$188,000	\$188,000	\$47,000		
	Business Consultant	\$92,055	\$129,931	\$0							
	Tech Writer	\$110,408	\$59,658	\$0							
	System Architect	\$120,935	\$0	\$0							
	Systems Analyst	\$46,011	\$0	\$0							
	<b>Subtotal - Contract Staff</b>	\$469,768	\$271,636	\$442,790		\$534,000	\$534,000	\$534,000	\$133,500		
	<b>Subtotal - Staff</b>	<b>\$469,768</b>	<b>\$301,897</b>	<b>\$566,398</b>	<b>\$1,338,063</b>	<b>\$893,938</b>	<b>\$971,744</b>	<b>\$971,744</b>	<b>\$133,500</b>	<b>\$2,970,927</b>	<b>\$4,308,990</b>
<b>Software Development</b>											
	CCH System Customization										
	FY 1					\$1,042,837					
	FY 2						\$1,576,758				
	FY 3							\$1,251,405			
	<b>Subtotal - SW Development</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$1,042,837</b>	<b>\$1,576,758</b>	<b>\$1,251,405</b>	<b>\$0</b>	<b>\$3,871,000</b>	<b>\$3,871,000</b>

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

FDLE Project Cost Estimate CCH Modernization Project Updated: 8/25/2015		CCH Contract Eff. Date 9/1/2015		CCH System Complete / Accepted 7/28/2018							
		<u>Actual</u>				<u>Planned</u>					
Category	Item Description	FY 12-13	FY 13-14	FY 14-15	Actual Total	FY 15-16	FY 16-17	FY 17-18	FY 18-19	Planned Total	Totals
<b>Commercial Software</b>											
	GCOM CRRMS										
	Dev & Test Systems					\$350,000					
	Prod / Backup / DR Systems							\$440,000			
	System Acceptance								\$1,410,000		
	Other SW - GCOM										
	Development Environment					\$86,171					
	Test Environment					\$222,193					
	Production Environment						\$68,442				
	On-Site Back-up						\$85,335				
	DR Site+Oracle						\$231,961				
	Alfresco ECM					\$95,000	\$125,000	\$125,000			
	Maintenance - 3rd Party SW - GCOM					\$6,500	\$85,000	\$105,000			
	Other SW specified by FDLE										
	ID Resolution					\$129,750	\$389,250				
	SILK Test			\$53,834							
	Data Quality Software			\$291,789							
	DQ Web Services					\$63,000					
	JIRA Project & Issue Tracking					\$4,000	\$2,000	\$2,000			
	Business Intelligence / Jasper Reports					\$70,000	\$70,000	\$70,000			
	SILK Test (add'l users)					\$45,000					
	SILK Performer Upgrade						\$121,000				
	Maintenance - Other SW - FDLE										
	ID Resolution					\$28,545	\$115,000	\$115,000			
	Data Quality Software			\$14,489		\$60,000	\$60,000	\$60,000			
	SILK Test					\$9,450	\$9,450	\$9,450			
	SILK Performer						\$25,500	\$25,500			
	Oracle					\$2,501	\$94,793	\$94,793			
	Alfresco					\$30,000	\$30,000	\$30,000			
	Contingency					\$1,800	\$96,000	\$48,000			
	<b>Subtotal - Commercial SW</b>	<b>\$0</b>	<b>\$0</b>	<b>\$360,112</b>	<b>\$360,112</b>	<b>\$1,203,910</b>	<b>\$1,608,731</b>	<b>\$1,124,743</b>	<b>\$1,410,000</b>	<b>\$5,347,384</b>	<b>\$5,707,496</b>

**FY 2014-15 Schedule IV-B Feasibility Study for CCH**

FDLE Project Cost Estimate CCH Modernization Project Updated: 8/25/2015						CCH Contract Eff. Date 9/1/2015	CCH System Complete / Accepted 7/28/2018				
		<u>Actual</u>				<u>Planned</u>					
Category	Item Description	FY 12-13	FY 13-14	FY 14-15	Actual Total	FY 15-16	FY 16-17	FY 17-18	FY 18-19	Planned Total	Totals
<b>Hardware</b>											
	Development Environment					\$22,462					
	Test Environment					\$34,035					
	POC Environment					\$43,858					
	Production Environment						\$166,476				
	On-Site Back-up						\$134,332				
	DR Site						\$139,524				
	Shared Components										
	Contingency					\$100,000	\$0				
	<b>Subtotal - Hardware</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$200,355</b>	<b>\$440,332</b>	<b>\$0</b>	<b>\$0</b>	<b>\$640,687</b>	<b>\$640,687</b>
<b>Services</b>											
	Project Management										
	FY 1					\$335,294					
	FY 2						\$342,353				
	FY 3							\$342,353			
	Data Conversion / Migration										
	FY 1					\$111,765					
	FY 2						\$264,118				
	FY 3							\$134,118	\$350,000		
	Test Plan & Execution										
	FY 1					\$0					
	FY 2										
	FY 3							\$304,000			
	Production Cutover							\$91,200	\$212,800		
	Training										
	POC Training						\$45,000				
	CCRMS Training							\$225,000			
	DR System Setup						\$60,800	\$243,200			
	IV&V					\$105,385	\$210,769	\$210,769	\$158,077		
	Contingency					\$251,128	\$200,000	\$200,000			
	<b>Subtotal - Services</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$803,571</b>	<b>\$1,123,040</b>	<b>\$1,750,640</b>	<b>\$720,877</b>	<b>\$4,398,128</b>	<b>\$4,398,128</b>

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

FDLE Project Cost Estimate CCH Modernization Project Updated: 8/25/2015						CCH Contract Eff. Date 9/1/2015	CCH System Complete / Accepted 7/28/2018				
		<u>Actual</u>				<u>Planned</u>					
Category	Item Description	FY 12-13	FY 13-14	FY 14-15	Actual Total	FY 15-16	FY 16-17	FY 17-18	FY 18-19	Planned Total	Totals
<b>Other</b>											
	Standard Expenses - Year 1					\$60,288					
	Standard Expenses - subsequent years						\$36,996	\$36,996			
	HR Service Fee					\$2,064	\$2,064	\$2,064			
	<b>Subtotal - Other</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$62,352</b>	<b>\$39,060</b>	<b>\$39,060</b>	<b>\$0</b>	<b>\$140,472</b>	<b>\$140,472</b>
<b>Totals - Development</b>		<b>\$469,768</b>	<b>\$301,897</b>	<b>\$926,510</b>	<b>\$1,698,175</b>	<b>\$4,206,964</b>	<b>\$5,759,665</b>	<b>\$5,137,592</b>	<b>\$2,264,377</b>	<b>\$17,368,598</b>	<b>\$19,066,773</b>
	CCH Contractor Amount					\$1,839,896	\$2,289,029	\$3,031,276	\$1,972,800	\$9,133,000	
<b>OPERATIONS &amp; MAINTENANCE</b>											
	Start O&M 8/1/2018										
<b>Staff</b>											
	State										
	DP Manager								\$47,775		
	Sys Programmer (380)								\$40,710		
	SPA (2185)								\$62,413		
	SPC (207)								\$29,694		
	ASP II (1448)								\$55,894		
	DB Consultant (205)								\$22,121		
	DB Consultant (609)								\$22,121		
	DB Consultant (New)								\$81,900		
	Sys Programmer III (000286)								\$87,355		
	Sys Programmer III (001353)								\$17,718		
	Government Analyst II								\$64,742		
	Government Analyst II								\$64,742		
	Government Operations Consultant II								\$55,826		
	Government Operations Consultant II								\$55,826		
	Government Operations Consultant II								\$55,826		
	Government Operations Consultant II								\$55,826		
	OPS					\$0	\$0	\$0	\$0		
	Contract										
	DB Analyst								\$0		
	App Development Analyst								\$152,000		
	App Development Analyst								\$144,000		
	<b>Subtotal - Staff</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$1,116,489</b>	<b>\$1,116,489</b>	<b>\$1,116,489</b>

**FY 2014-15 Schedule IV-B Feasibility Study for CCH**

FDLE Project Cost Estimate CCH Modernization Project Updated: 8/25/2015						CCH Contract Eff. Date 9/1/2015	CCH System Complete / Accepted 7/28/2018				
		<u>Actual</u>				<u>Planned</u>					
Category	Item Description	FY 12-13	FY 13-14	FY 14-15	Actual Total	FY 15-16	FY 16-17	FY 17-18	FY 18-19	Planned Total	Totals
<b>OPERATIONS &amp; MAINTENANCE</b>											
<b>Hardware</b>											
						\$0	\$0	\$0	\$0		
	<b>Subtotal - Hardware</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Software</b>											
	CCH Software Maintenance										
	Other Licensed SW Maintenance+Oracle								\$295,000		
	Informatica ID Resolution Maint.								\$115,000		
	IDQ SW Maintenance								\$60,000		
	Alfresco ECM SW Maintenance								\$125,000		
	Jasper Reports Maintenance								\$70,000		
	SILK Software Maintenance								See Note		
	<b>Subtotal - Software</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$665,000</b>	<b>\$665,000</b>	<b>\$665,000</b>
<b>Services</b>											
	Transition Services								\$275,000		
	Maintenance & Tech Support										
	Year 1								\$230,083		
	Year 2, 3, 4, 5										
	<b>Subtotal - Services</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$505,083</b>	<b>\$505,083</b>	<b>\$505,083</b>
<b>Other</b>											
	Standard Expenses for State pos.								\$75,534		
	HR Service Fee								\$4,214		
	<b>Subtotal - Other</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$79,748</b>	<b>\$79,748</b>	<b>\$79,748</b>
<b>Totals - Ops &amp; Maintenance</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$2,366,320</b>	<b>\$2,366,320</b>	<b>\$2,366,320</b>
<b>TOTALS</b>		<b>\$469,768</b>	<b>\$301,897</b>	<b>\$926,510</b>	<b>\$1,698,175</b>	<b>\$4,206,964</b>	<b>\$5,759,665</b>	<b>\$5,137,592</b>	<b>\$4,630,697</b>	<b>\$19,734,918</b>	<b>\$21,433,093</b>

Appendix H – Project Risk Assessment

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

Project	Computerized Criminal History (CCH) Modernization	
Agency	FDLE	
FY 2016-17 LBR Issue Code:	FY 2016-17 LBR Issue Title:	
24010C0	Replace CCH System	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Renee Strickland, 410-8195, reneestrickland@fdle.state.fl.us		
Executive Sponsor	Charles Schaeffer	
Project Manager	Renee Strickland	
Prepared By	Renee Strickland	7/21/2015
<b>Risk Assessment Summary</b>		
Business Strategy	Most Aligned	Least Risk
	Least Aligned	Most Risk
Level of Project Risk		
<b>Project Risk Area Breakdown</b>		
Risk Assessment Areas		Risk Exposure
Strategic Assessment		MEDIUM
Technology Exposure Assessment		MEDIUM
Organizational Change Management Assessment		HIGH
Communication Assessment		MEDIUM
Fiscal Assessment		MEDIUM
Project Organization Assessment		MEDIUM
Project Management Assessment		LOW
Project Complexity Assessment		HIGH
<i>Overall Project Risk</i>		HIGH

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

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



**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

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

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

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

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

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

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

Agency: FDLE		Project: Computerized Criminal History (CCH) Modernization	
Section 5 – Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% – None or few defined and documented	81% to 100% – All or nearly all defined and documented
		41% to 80% – Some defined and documented	
		81% to 100% – All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	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%)	Order of magnitude – estimate could vary between 10-100%
		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	Requested and received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	All or nearly all project benefits have been identified and validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	More than 5 years
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Yes, bid response did/will include 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	

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

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

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

Agency: FDLE		Project: Computerized Criminal History (CCH) Modernization	
Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	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	81% to 100% – All or nearly all have been defined and documented
		41 to 80% – Some have been defined and documented	
		81% to 100% – All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% – None or few have been defined and documented	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	41 to 80% – Some are traceable
		41 to 80% – Some are traceable	
		81% to 100% – All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	All or nearly all deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
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	Yes
		No	

**FY 2016-17 Schedule IV-B Feasibility Study for CCH**


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	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	



**FY 2016-17 Schedule IV-B Feasibility Study for CCH**

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

Appendix I – Document Completeness and Correctness Checklist



**CCH Modernization Project**  
**Document Completeness and Correctness Checklist**

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**Document Completeness and Correctness Checklist**

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

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

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

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

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

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

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



CCH Modernization Project  
Document Completeness and Correctness Checklist

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

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



CCH Modernization Project  
Document Completeness and Correctness Checklist

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

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

\*Classifications are identified in the table below

Classification	Description
1	Severe <ul style="list-style-type: none"> <li>Major error or approach that requires immediate solution prior to final delivery to customer.</li> <li>Content or direction is wrong and will cause incorrect results or project execution, with no known workaround if the defect is not corrected.</li> <li>Contradicts current approach or is not in compliance with reference documents (precedents).</li> <li>The defect must be resolved for document acceptance.</li> </ul>
2	Moderate <ul style="list-style-type: none"> <li>Content is correct but has referential conflict with other project documents and/or has major formatting, spelling, grammatical issues that could affect the interpretation of the content or cause incorrect project execution.</li> <li>Waiver of this defect is permitted for document acceptance at the discretion of the Project Manager.</li> </ul>

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




Classification	Description
3	Minor <ul style="list-style-type: none"> <li>Content is correct but has minor formatting, spelling, grammatical issues that do not affect information interpretation or cause incorrect project execution.</li> <li>Defect could be overlooked without impact on document acceptance.</li> <li>Waiver of this defect permitted for document acceptance with FDLE-defined closure plan.</li> </ul>

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

SAMPLE

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

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



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

**Hardware/Software/Service Completeness and Correctness Checklist**

Part 1 – Deliverable Description				
Project Title:		Contract #:		
Deliverable Title:				
Deliverable Type:	<input type="checkbox"/> Hardware <input type="checkbox"/> Software <input type="checkbox"/> Service			
Project Phase:		Deliverable Version #:		Deliverable Date:
Submitted by:			Date Deliverable Submitted to FDLE for Review:	
(Note: Date submitted required for each review cycle – enter additional rows as needed)				

Part 2 – FDLE Receipt			
Contracts Manager:		Date Received by FDLE for Review:	
FDLE Reviewer:		Date Returned to Contractor:	
(Note: Date submitted required for each review cycle – enter additional rows as needed)			

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

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

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




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

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

Part 4 – Comment Table		
Classification*	FDLE Comment	Contractor Resolution

*\*Classifications are identified in the table below*

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



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

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Classification	Description
1	<p>Severe</p> <ul style="list-style-type: none"> <li>Major error or approach that requires immediate solution prior to final delivery to customer.</li> <li>Content or direction is wrong and will cause incorrect results or project execution, with no known workaround if the defect is not corrected.</li> <li>Contradicts current approach or is not in compliance with reference documents (precedents).</li> <li>The defect must be resolved for deliverable acceptance.</li> </ul>
2	<p>Moderate</p> <ul style="list-style-type: none"> <li>Content is correct but has conflict with other project deliverables and/or has major functional issues that could affect the interpretation of the content or cause incorrect project execution.</li> <li>Waiver of this defect is permitted for deliverable acceptance at the discretion of the Project Manager.</li> </ul>
3	<p>Minor</p> <ul style="list-style-type: none"> <li>Content is correct but has minor functional issues that do not affect information interpretation or cause incorrect project execution.</li> <li>Defect could be overlooked without impact on deliverable acceptance.</li> <li>Waiver of this defect permitted for deliverable acceptance with FDLE-defined closure plan.</li> </ul>

**Part 5 – Review Summary**  
 (Summarize observations and recommendations)

Observations:

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Recommendation of the FDLE Reviewer:

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

Page 3 of 3

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



Appendix K – Deliverable Acceptance Form

		<b>CCH Modernization Project Deliverable Acceptance Form</b>
<b>Deliverable Acceptance Form</b>		
<b>CONTRACTOR</b> (complete this section)		
Project Title:		
Contract #:		
Date:		
Deliverable Title:		
FDLE Document Number (if applicable):		
Deliverable Version (if applicable):		
Milestone Phase:		
Specify the activities performed to ensure the work can be accepted (e.g. testing, data migration, training)		
<b>CONTRACTOR SIGNATURE</b>		
The Contractor affirms that the deliverable indicated above and delivered to FDLE is complete per the Contract requirements.		
Authorized Signature:		
Name (Typed or Printed):		
Title:		
Date:		
<b>FDLE</b> (complete this section)		
Decision	<input type="checkbox"/> Accepted <input type="checkbox"/> Accepted with Modifications *	
Date of ESC approval documented in meeting minutes:		
<b>* If Accepted with Modifications, indicate date modifications due and any comments</b>		
Date modifications due:		
Comments:		
Authorized Signature:		
Name (Typed or Printed):		
Title:		
Date:		
Deliverable Acceptance Form Ver-1.1 09-24-13.docx <span style="float: right;">Page 1 of 1</span>		

Appendix L - Historical Growth Rates

Table 1. Historical Growth Rates							
Type of Records	FY 2009-10	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-2015	Average Historical Growth Rate Percentage
Arrest	32,782,002	34,192,205	35,569,964	36,894,977	38,160,158	39,361,569	3.91%
Identity	6,816,608	6,981,018	7,135,791	7,287,108	7,429,681	7,566,912	2.20%
Dissemination	266,061,908	278,500,105	291,185,689	304,513,025	318,773,574	334,584,571	4.71%
Disposition, Judicial	19,131,199	20,182,921	21,240,607	23,018,375	24,609,879	25,712,524	6.52%
Custody	1,312,320	1,372,513	1,428,723	1,484,457	1,539,476	1,592,615	4.14%
Registrations	904,442	983,334	1,060,000	1,133,657	1,203,280	1,273,729	7.63%
Totals	327,008,479	342,212,096	357,620,774	374,331,599	391,716,048	410,091,920	4.69%

SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM  
For Fiscal Year 2016-17



September 2015

**Florida Department  
of  
Law Enforcement**

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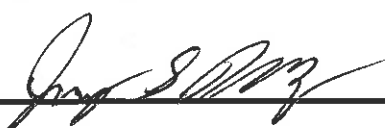



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**I. Schedule IV-B Cover Sheet**

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	Schedule IV-B Submission Date:
Project Name: Automated Training Management System Rewrite and Upgrade	Is this project included in the Agency's LRPP? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
FY 2016-17 LBR Issue Code: 36116C0	FY 2016-17 LBR Issue Title: Upgrade Automated Training Management System (ATMS)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): <b>Becky Lackey, 850-410-8459, beckylackey@fdle.state.fl.us</b>	
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: Richard Swearingen	Date: 9/8/15
Agency Chief Information Officer (or equivalent):  Printed Name: Joey Hornsby	Date: 9/4/15
Budget Officer:  Printed Name: Cynthia Barr	Date: 9/3/15
Planning Officer:  Printed Name: Michelle Pyle	Date: 9/3/15
Project Sponsor:  Printed Name: Dean Register	Date: 9/3/15
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Glen Hopkins, 410-8660, glenhopkins@fdle.state.fl.us
Cost Benefit Analysis:	Becky Lackey, 410-8459, beckylackey@fdle.state.fl.us
Risk Analysis:	Glen Hopkins, 410-8660, glenhopkins@fdle.state.fl.us

## SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Technology Planning:	Joey Hornsby, 410-8455, joeyhornsby@fdle.state.fl.us
Project Planning:	Sonja Guthrie, 410-8359, sonjaguthrie@fdle.state.fl.us

### General Guidelines

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

Schedule IV-B is not required for requests to:

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

### Documentation Requirements

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

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

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

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

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

The revised Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their

**SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM**

own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

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



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

### A. Background and Strategic Needs Assessment

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

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

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

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

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

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

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

The operations of the Criminal Justice Standards and Training Commission are

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

ATMS is used by employing agencies to manage employment registrations and separations and to enter mandatory retraining completion information; for example, the completion of required firearms training. Commission-certified training schools also enter information about classes scheduled at their facilities and attended by law enforcement, correctional and correctional probation officers. In addition, system users can retrieve reports on-line to assist them in managing officer records for their internal local or state agency needs and they can access the current curriculum of all Commission certified training courses.

The FDLE Professionalism Division utilizes the records contained within ATMS for a majority of its business operations and receives approximately 600 calls per week in reference to issues relevant to records within this system. In addition, high liability sections, such as the Alcohol Testing Program, depend upon the records contained within ATMS regarding currently certified Breath Test Operators and Agency Inspectors.

### **1. Business Need**

ATMS is critical for the support, management, and integrity of criminal justice officer information across the State of Florida.

ATMS is a legacy system that was designed and built in the mid to late nineties using architecture and code that was based on the state of internet technology that existed at that time. Unfortunately, this technology is now nearing obsolescence and is no longer able to be modified easily to meet the ever changing needs of the criminal justice community.

The following issues will be addressed by updating ATMS:

As the need to capture officer related information evolved over the last 15 years, FDLE has compensated by creating a number of utilities and subsystems. ATMS Search is an Access-based system utilizing data stored

in ATMS to assist with detailed officer discipline case tracking, scheduling, and member performance. It is stored outside of ATMS and is accessed via an internal FDLE server. The certification of patrol canine teams continues to be a manual process, and is maintained in a separate database. This process involves criminal justice employing agency personnel submitting paper forms to members in Tallahassee who input the data into the database and produce a certificate for the canine team. Canine teams must be recertified on an annual basis which duplicates the amount of labor intensive data entry. Incorporating this process into a new program would allow the process to include more automation, thus reducing internal and external members' time. Maintaining disparate systems can become unwieldy because changes to ATMS must be coded into the various subsystems as well. All of the supporting utilities and subsystems should be fully integrated into ATMS.

ATMS is heavily dependent on paper documents, such as officer backgrounds and proof of education, which cannot currently be stored or attached to an officer's record in the system. A new system design would allow for emerging technology that encourages the use of electronic submission of documentation and more seamless updates to records in the system based on training requirements. The ability to maintain these documents will allow the department to streamline auditing procedures as an officer changes employment.

The new design will help automate some of the steps necessary to manage officer certification records. The current system lacks the ability to integrate system data into form letters and reports that we are required to prepare. Currently, form letters are created and printed by manually merging the data into letter templates. Data is often manually typed from paper-based sources. Many of the statistical reports are hand tallied and manually entered into Word documents. The limited reporting abilities of ATMS have necessitated the creation and use of several systems/processes external to ATMS. For example, the Commission's officer discipline process involves the creation of many pieces of correspondence, hearing agendas, and quarterly reports. Numerous pieces of correspondence associated with the process are created as a Microsoft Word mail merge utilizing a document created manually as the data source, much of which is stored in ATMS. Additionally, ATMS houses much of the data used to create agendas for each of the 8 yearly hearings related to the Commission's disciplinary process. This ATMS data must be gathered manually and merged into a Microsoft Word

document. Several statistical reports are also created involving the discipline process. Quarterly statistics are created and presented to the Commission detailing the number of cases processed, the outcome of the cases, and the number and types of violations charged. The data maintained in ATMS is accessed via queries that are run in Crystal Reports. The results are then formatted in a Microsoft Word document and provided to the Commission. A more detailed statistical report is prepared each quarter and made available on FDLE's public website. These reports provide information related to the frequency specific charges that are levied against the categories of officers certified by the Commission. Information is also broken down by other ATMS demographics, such as; race, gender, and education level. These statistics are frequently used by students and researchers interested in officer discipline issues. For many years this process was entirely manual. However, FDLE developed a reporting program external to ATMS which can tabulate these statistics.

Currently, FDLE Information Technology Services (ITS) members produce reports from ATMS on an ad hoc basis when filling public records requests, research questions, and other inquiries concerning officer data. These reports are used to fill such requests as how many officers are in a given county; how many officers statewide have completed their mandatory retraining; and specific requests such as providing the names, employing agencies, and Commission-issued discipline related to officers charged with a specific offense during a given time period. Because of the limited reports that are maintained in ATMS, these reports become necessary because typically the parameters of the individual reports are too specific to make a permanent report in ATMS practical. Expanded reporting capabilities in a new program could allow these types of reports to be produced without the involvement of ITS members.

ATMS has an aging and non-intuitive user interface that is lacking in stability and design. Occasionally, the user interface results in user frustration, and portrays an external appearance that is not consistent with FDLE's professional image. The system often forces users to jump between pages and does not notify users to save information when paging-off of an entry screen which can result in lost data. In addition, ATMS will only work with older versions of Internet Explorer (IE), and is not compatible with any other types of web browsers. Because of the outdated technology and architecture, the system is difficult to maintain and upgrade and with each new version of Internet Explorer, new

incompatibilities arise that make it difficult for agencies to access and use ATMS. FDLE has been able to find workarounds for many of the issues, but if the system is not upgraded it will reach a point where it will no longer function on modern computers and browsers.

## 2. Business Objectives

In order to meet the demands and complexities of quality law enforcement service in Florida, today's criminal justice officer must be able to respond and react in a competent and capable manner. FDLE provides career development and customized training for criminal justice officers to enhance their ability to effectively deal with victims and perpetrators of crime.

FDLE is directly involved in establishing training standards, identifying appropriate training curricula/materials, and initiating focused training for criminal justice "first responders" to prepare them to respond to potential and actual terrorist incidents.

To ensure that Florida's citizens and criminal justice agencies receive the highest quality criminal justice officers, FDLE develops and administers approximately 7000 certification examinations annually. The examinations are administered to basic recruit applicants seeking to become certified correctional officers, correctional probation officers, and law enforcement officers.

The State of Florida is recognized as a national leader in addressing officer discipline issues. This FDLE function provides a valuable public service that helps ensure ethical behavior of officers. The identification of serious officer misconduct provides valuable insight in addressing these issues as additional officer training needs.

FDLE's primary objectives for this project are to:

- Improve the methods of receiving, storing, processing, and displaying data
- Provide a flexible database structure to allow new data elements to be added
- Improve the connection between disciplinary cases

- Provide the ability to process and accurately record the certifications, training, and employment information for actively certified criminal justice officers
- Provide an electronic method for agencies to submit changes or corrections to errors for their own records
- Provide a modern, role-based access control system, with effective logging
- Provide improved business processes through automated workflows and document management for CJP sections
- Eliminate ancillary systems
- Provide proactive notifications of actions and discrepancies
- Improve system performance and flexibility of the database, programs, and reports
- Meet FDLE's high availability requirements
- Meet FDLE's information technology (IT) standards and policies
- Maintain compliance with the State of Florida and FDLE security rules
- Support the current Criminal Justice Professionalism Division processes, such as:
  - Creating and updating criminal justice records
  - Receiving, determining eligibility, and complying with the Criminal Justice Standards and Training Commission rules and statutes
  - Managing record consolidation requests
  - Disseminating selected data/records based on the customer and purpose
  - Logging of disseminations
  - Receiving and processing personal review requests
  - Providing statistical analysis of ATMS data
  - Providing support to external customers.

## **B. Baseline Analysis**

### **1. Current Business Processes**

Under the guidance of the FDLE Information Technology Services (ITS) Division, a detailed analysis was performed on ATMS application to identify the core business functions.

The high-level findings of that analysis are as follows.

**ATMS Modules/Processes**

The chart below identifies the primary modules/processes of the current ATMS system along with a description of the functions within the module.



SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Module	Description	Functions
<b>Notifications and CJSTC Information</b>	Notifications and CJSTC information is provided for ATMS users.	<ul style="list-style-type: none"> <li>• Notifications</li> <li>• CJSTC rules and forms</li> </ul>
<b>Member Information</b>	Information is maintained for any individual that has information stored in ATMS. This includes students, officers and ATMS users.	<ul style="list-style-type: none"> <li>• Demographics</li> <li>• Contact information</li> <li>• Search</li> </ul>
<b>Officer Certification and Employment</b>	Track officer employment and certification and salary incentives.	<ul style="list-style-type: none"> <li>• Certification</li> <li>• Employment and separation</li> <li>• Mandatory retraining</li> <li>• Salary incentive</li> </ul>
<b>Professional Compliance</b>	Manages the officer complaints process including hearing scheduling and manages the officer discipline process.	<ul style="list-style-type: none"> <li>• Complaint processing</li> <li>• Complaint monitoring</li> <li>• Hearings</li> <li>• Hearing rosters</li> </ul>
<b>Training</b>	Tracks officer certification training and examination results	<ul style="list-style-type: none"> <li>• Curriculum</li> <li>• Courses</li> <li>• Class roster</li> <li>• Examination results</li> </ul>
<b>Audits</b>	Manages training center audits.	<ul style="list-style-type: none"> <li>• Training Center</li> </ul>
<b>Alcohol Testing Program (ATP)</b>	Manages ATP certifications and permits.	<ul style="list-style-type: none"> <li>• Certifications</li> <li>• Permits</li> </ul>
<b>Administrative Functions</b>	Administrative functions are provided to change and update application data such as agencies and system codes as well as providing standard reports for all functional areas of ATMS.	<ul style="list-style-type: none"> <li>• Agencies</li> <li>• Attorneys</li> <li>• System codes</li> <li>• Overrides</li> <li>• Reports</li> </ul>



**Stakeholders** - The primary duties of the stakeholders will be to ensure that the system successfully supports all of their business functions and work processes. A small group of representatives from each section and from identified external users will be included in Joint Application Design (JAD) sessions and system discussions to ensure that their requirements are taken into consideration. The Division representatives need to have a working familiarity with the business needs within their work unit(s), good communication skills, and a receptive attitude towards change. The stakeholders are comprised of the following groups:

- Statewide Certified Criminal Justice Selection and Training Centers
- State and local criminal justice agencies
- The Florida Department of Law Enforcement

## **2. Assumptions and Constraints**

### **a. Assumptions -**

ATMS is mission critical to FDLE and criminal justice agencies to support, manage, and maintain the integrity of criminal justice officer information across the State of Florida. A central repository for criminal justice officers' certifications, training and employment records will continue to be necessary to support criminal justice professionals and Florida's overall public safety and security for the foreseeable future.

The demand for certifications, training and employment information records will continue to grow and laws associated with officer certification and professional compliance will continue to evolve and change. Requests to collect and report on specific data will change as policy issues emerge and change.

### **b. Constraints -**

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

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

The new system must continue to comply with the state of Florida security policy (Chapter 71A-1), and FDLE's security policy.

### C. Proposed Business Process Requirements

#### 1. Proposed Business Process Requirements

At a minimum, the proposed business solution will be required to have a central security application which manages user access, full audit tracking of records, record management, content management, imaging, workflow, searchable indexing, ad hoc query reporting, customized reports, full automation and complete integration using the most current technology possible.

All existing and future data must be easily accessible from any location in the system and be retrievable by the user from a single access point. The system must be user-friendly with minimal end user training required and have a disaster recovery and backup procedure at the server level.

Prior to implementation, ITS members will perform an analysis of Division requirements and ensure that all activities that are currently automated in the ATMS systems can be migrated into the new system with minimal configuration. The Division recognizes that some programming changes will be required to match the new system to FDLE's specific requirements.

These general changes may include the following items:

- Database field names

- Customizing data types

- Screen layouts that do the following:

  - Identifying and programming reporting criteria

  - Ensuring the work flow processes have been programmed to follow established business processes.

ITS and CJP members will provide full system documentation and training at the end user, application administrator, and system administrator levels.

## 2. Business Solution Alternatives

Option # 1 – Develop a new in-house system using a combination of existing programming members in addition to hiring several additional programmers to develop a fully customized in house solution which meet all of the system requirements as outlined in this document. This approach is the most feasible. FDLE has undertaken a number of IT projects using this approach such as the Firearm Eligibility System and Automated Investigative Management System. FDLE has Subject Matter Experts (SMEs) in areas of the ATMS system (business and IT) and members experienced in managing IT projects. The State Term Contract for IT consulting provides a large number of consulting firms from which to choose. By developing in house FDLE can incorporate the enhancements requested and perform the ongoing maintenance and support once in production.

Option # 2 – Maintain current system continuing to support business process changes with the current programming members. This option was ruled out because the current systems were built using technology that will no longer be supported in the near future, the cost of continuously making programming changes is not feasible, and operational process efficiency will not be realized. Past programming changes to the current system have already complicated the daily technical support and additional changes will only continue to increase this complication. This would require additional resources and costs. Some requested enhancements may be difficult, time consuming and/or have excessive costs associated with the current technology.

Option # 3 –Purchase Commercial Off the Shelf Software (COTS) with customization) which can track training, employment, and certification records to meet FDLE’s business requirements. Currently we are not aware of a product available that can meet all of our business needs without a substantial amount of customization. However we are issuing a request for information (RFI) to determine if any such product would come close to meeting the core requirements and requested enhancements outlined in this document for the new ATMS.

## 3. Rationale for Selection

Evaluating the options to make a final selection took several important key factors into consideration: unabridged internal project oversight, cost, staff time, operational functionality, efficiency, data accuracy, security, maximized utilization of resources, and reporting.

#### 4. Recommended Business Solution

Based on the many factors that were taken into consideration, management made the decision that it would be in FDLE's best interests to pursue an in-house solution for the rewrite of the ATMS system for the reasons listed above.

#### D. Functional and Technical Requirements

##### Functional Requirements

- All existing functionality will be maintained in the new system. This functionality is described in detail in VI. *Schedule IV-B Technology Planning, A. Current Information Technology Environment, 1. Current Systems.*
- Central Security Application which manages user access, full audit tracking of records, record management, content management, imaging, workflow, searchable indexing, ad hoc query reporting, customized reports, full automation and complete integration using the most current technology possible.
- Automate the integration of data into form letters and reports.
- Maintain static documentation required for officer background and employment purposes, such as proof of required educational requirements.
- All existing and future data must be easily accessible from any location in the system and be retrievable by the user from a single access point.
- The system must be user-friendly with minimal end user training required and have a disaster recovery and backup procedure at the server level.
- ITS and CJP members will provide full system documentation and training at the end user, application administrator, and system administrator levels.

##### Technical Requirements

- Any system selected for implementation would use technology to provide the flexibility for future data sharing initiatives with other state and federal law enforcement agencies.
- Use electronic submission of documentation by uploading electronic documents and submitting forms through the document management system.
- This document management system should provide for centralized data storing of many types of data sets.
- The system should be accessible 24 hours per day 7 days a week.
- The system should support an unlimited number of concurrent users.
- The system should be architecturally sound enough to share data at the Federal, State, and local level.

- The system technology needs to be as current as possible to sustain a maximum support life.

### **Existing Functionality by Functional Area**

#### **a. Alcohol Testing Program (ATP)**

- a. ATP Certification (Operator and Instructor) - Track and maintain Breathalyzer operator and instructor certification information.
- b. Reporting - Standard reports for tracking certification information as well as ATP case related information.
- c. Standard Forms (pre-filled) - Standard forms used by ATP can be pre-populated with existing data from the database.
- d. Certificate Printing - Print ATP certificates on demand as certifications are created or renewed.

#### **b. Curriculum**

- a. Provide course information for officer training - Tracks and maintains courses offered for mandatory retraining as well as elective courses.
- b. Provide training course content for instructors - Digital curriculum content is provided for download by instructors.
- c. Allow course content and other documentation to be uploaded to ATMS - Provides functionality for digital content and documents to be uploaded, downloaded and curated within ATMS.

#### **c. Drug Abuse Resistance Education (DARE)**

- a. ATMS officer profile - Make officer profile information (certification and employment information) available to the DARE program.
- b. Officer information - Allow DARE to access officer information as necessary for program compliance.
- c. Agency information - All DARE to access agency information as required.

#### **d. Officer Certification Examination**

- a. Integration with Pearson VUE for computer based testing - Integrate ATMS certification course and class information, such as exam eligibility, with a computer-based testing (CBT) system.
- b. Class scheduling - Provide for class scheduling and tracking of student registration for certification courses.

- c. Course information - Track and maintain course information required for certification and mandatory retraining courses.
  - d. Exam results - Maintain exam results records for basic abilities tests (BAT) and state officer certification exams (SOCE).
  - e. Person information - Maintain personal information, including demographics and contact information, for students, officers and support personnel.
  - f. School information - Track and maintain information for certified training academies throughout the State of Florida.
  - g. Officer information - Maintain officer information including details about certification, employment and salary incentives.
  - h. Reports - Provision for all types of standardized reports including required forms and statistical reports.
- e. Executive Institute**
- a. Person/officer records - Maintain officer records that are relevant to the Executive Institute.
  - b. Instructor certification - Track and maintain Executive Institute instructor certification.
  - c. Certificate printing - Print certificates on demand after the successful completion of training.
- f. Field Services**
- a. Officer information - Access and update officer information, including employment and certification information from the field.
  - b. Certification information - Provide the necessary functionality to evaluate certification eligibility.
  - c. Agency information - Provide functionality to access and update agency information from the field.
  - d. New hire audit - Provide functionality to help automate new hire audits.
  - e. Forms - Provide all necessary forms online and on-demand.
  - f. Reporting - Provide Field Services reports as necessary.
- g. Canine**
- a. N/A - not a functionality in the current ATMS
- h. Officer Records**

- a. ASM security integration - Integrate login security with the Automated Security Management (ASM) system.
  - b. Notifications of officer and agency related events and activities.
  - c. Person/officer personal information - Maintain officer/person demographic and contact information as well as demographics.
  - d. Person search - Provide search functionality by first name, last name, date of birth etc.
  - e. Officer profile - Provide an officer profile that indicates certification and employment status.
  - f. Employment - Maintain officer employment information.
  - g. Salary Incentive - Maintain officer salary incentive information for use by employing agencies.
  - h. Certification - Maintain officer certification information and automate revocation of certification when certification requirements are not met.
  - i. Certificate printing - Print certificates on demand when certification requirements are met.
  - j. Training records - Maintain officer training records, including basic training and mandatory retraining records required for officer certification.
  - k. Administrative functions (overrides, codes, reports, courses, attorney and agency search) - Provide for administrative oversight and maintenance features.
  - l. Agency information tracking - Track employment and training agency information.
  - m. Attorney information tracking - Track and maintain attorney information.
  - n. CJST Regions - represents the various criminal justice standards and training regions in Florida.
- i. Professional Compliance (Officer Discipline)**
- a. Case creation - Create disciplinary cases as necessary for case processing.
  - b. Case activity and status - Automate case activity tracking and case status.
  - c. Hearing information - Maintain hearing information and locations.
  - d. Hearing schedule - Maintain hearing schedules and hearing rosters.
  - e. Complaint expenses - Track expenses related to specific cases.
  - f. Attorney information - Track and maintain attorney information.

**j. Trust Fund Audit**

- a. Course listings manually created by ITS programming members from basic recruit, advanced, and specialized courses contained in ATMS.

**III. Success Criteria**

FDLE plans to re-write ATMS using the latest technologies to provide improvements, efficiencies, and enhancements. The new system will eliminate many manual processes and allow extensibility and scalability of the system as business needs change due to mandates and rule changes that govern Florida's Criminal Justice Standards and Training Commission. A redesigned system will allow us to avoid system failure as well as increase efficiencies and improvements in the areas of the officer certification process, the training center auditing process, and the officer discipline process and curriculum updates. A modernized system will also improve relationships and transactions with local and state law enforcement and correctional agencies.

The incorporation of a document management system will enable us to track all mandatory retraining completed by every officer throughout the state, and allow us to streamline the method in which we generate and maintain agency correspondence. Increased efficiencies in the officer certification process will allow our ten (10) field representatives across the state more time to spend monitoring classes in our forty (40) training centers in order to ensure their compliance with statute and rule. Document management tools and automation of disciplinary records will significantly improve the timeliness and reporting of officer disciplinary actions.

Local and state criminal justice agencies will be able to better update information within the system and will be able to extract information they need from the system with modern user-friendly reporting interfaces. Agencies will also have more autonomy with their information technology as they will be able to choose which browser is best for their agency, rather than being required to use older versions of Internet Explorer. In addition, providing individual access for all Florida criminal justice officers will enable more efficient management of all records contained in the system. FDLE will be able to better manage updates and rewrites to CJSTC curriculum and to reconcile the records of trainings delivered by the 40 training centers statewide.



Expected results:

- Prevent system failure due to obsolescence
- Improve efficiencies using newer technologies such as document management and reporting
- Process and workflow improvements by leveraging newer technologies to replace manual and duplicative tasks
- User interface and usability improvements
- Allow the use of a wide range of browsers and computing devices
- Integrate various subsystems and supporting applications
- Improve the ability to maintain and upgrade the system over time
- Successful migration of ATMS data
- Implementation of a Disaster Recovery (DR) system

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

##### A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Improved user experience and FDLE image.	ATMS users	Improve efficiency, stability functionality and appearance of the ATMS user interface	The improved design of ATMS will be measured by feedback from users.	Post 6-30-2017
2	Electronic submission of documentation	ATMS users FDLE members	Current paper forms and letters will be	FDLE will measure by calculating the	Post 6-30-2017

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	and more seamless updates to records		maintained in electronic form within the system.	time it saves due to having the ability to submit documentation electronically.	
3	Improved statistical reporting	FDLE members External criminal justice customers and others inquiring about data contained in system	This system will automate the current practice of hand tallying and manually entering statistical reports into Word documents.	FDLE will measure by calculating the time it saves correcting errors and decreased amount of time to produce statistical reports.	Post 6-30-2017
4	Integration of various independent systems into a single ATMS	ATMS users FDLE members	A number of utilities and subsystems that were created for specific purposes will be integrated into the new ATMS.	FDLE will measure by calculating the time it saves by having a centralized system which will have less duplication of data stored in various systems.	Post 6-30-2017
5	Inclusion of patrol canine team certification in ATMS	ATMS users FDLE members	The process of certifying canine teams will be included in	Having canine team information in ATMS will allow teams to	Post 6-30-2017

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			ATMS. This will also include the automation of agency input (currently a paper process).	better manage certifications of both the instructors and the teams.	
6	Expanded reporting capabilities (without programming assistance)	FDLE members	Expanded reporting capabilities and ease of creating reports in ATMS will streamline ad hoc reporting.	FDLE will measure by calculating the time it saves due to the reduction of programming funds required for producing reports.	Post 6-30-2017
7	Improve ease of upgrade and maintenance of ATMS	FDLE members	Update of technology and architecture will result in decreased complexity of maintenance efforts.	FDLE will measure by calculating the time it saves from being able to easily upgrade and maintain ATMS.	Post 6-30-2017
8	Enable ATMS to run on a variety of browsers, operating systems and devices	ATMS users FDLE members	Current closed standards and interoperability problems will be eliminated. For example, agencies will have more autonomy with	Users will not be forced to use unsupported, error-prone browsers resulting in positive user feedback.	Post 6-30-2017

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			their information technology as they will be able to choose which browser is best for their agency, rather than being restricted to older versions of Internet Explorer.	FDLE will measure by calculating the time it saves being able to use a tablet in the field to work.	
9	Allow new data items to be added as the system progresses	ATMS users FDLE members	A flexible database structure will allow for future extension of system information.	FDLE will measure by calculating the time it saves from being able to easily upgrade and maintain ATMS.	Post 6-30-2017
10	Improve system security	ATMS users FDLE members	ATMS will provide a central security application which manages user access and full audit tracking of records	FDLE will measure by calculating the time it saves from being able to use a central security application to manage users and audit the tracking of records.	Post 6-30-2017

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11	Improve access to all data	ATMS users FDLE members	All existing and future data will be easily accessible from any location in the system and be able to be retrieved by the user from a single access point. In addition, the system will support an unlimited number of concurrent users.	FDLE will measure by calculating the time it saves by accessing data from any location in the system.	Post 6-30-2017
12	Improve system disaster operations	ATMS users FDLE members	ATMS will have disaster recovery and backup procedure at the server level.	The new system will be similar in architecture as the majority of IT systems at FDLE making disaster recovery faster and more effective.	Post 6-30-2017
13	Improved access to criminal justice officers	ATMS users Florida CJ Officers FDLE members	ATMS will provide individual access for all Florida criminal justice	FDLE will measure by calculating the time it saves for criminal justice officers	Post 6-30-2017

**SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM**

			officers, enabling more efficient management of all system records.	managing system records.	
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**B. Cost Benefit Analysis (CBA)**

*Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed source(s) of funding.*

Service is one of FDLE’s four core values. The focus of this project is to provide high quality services via complete information, current and timely data, efficient processes and intuitive, easy-to-use computer application. Consumers of ATMS information depend on the integrity, completeness, and quality to make decisions on hiring, certification status, and any pending or resolved disciplinary actions meeting specific criteria in Chapter 943 of the Florida Statutes.

The ATMS rewrite will improve the quality of the ATMS system, in effect improving the quality of the decisions, and ultimately providing a safer Florida for its citizens, visitors, and criminal justice officers.

The planned improvements and efficiencies in the work processes will enable FDLE to add new services and maintain sufficient productivity in the face of growing demands.

The future viability of FDLE’s training curricula; certification and employment information for certified criminal justice officers depends largely on the completeness and timeliness of the records in the central repository. It also depends on the efficiency with which services are delivered. If ATMS is operated and maintained effectively, FDLE can enhance the services that its customers want and need. This means that revenue will need to be in place to sustain the central repository into the future.

**1. The Cost-Benefit Analysis Forms**

The chart below summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the

Cost Benefit Analysis	
Form	Description of Data Captured
	<p>proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> <li>• Return on Investment</li> <li>• Payback Period</li> <li>• Breakeven Fiscal Year</li> <li>• Net Present Value</li> <li>• Internal Rate of Return</li> </ul>

## V. Schedule IV-B Major Project Risk Assessment

*Purpose: To provide 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.*

*NOTE: All multi-year projects must update the Risk Assessment Component of the Schedule IV-B along with any other components that have been changed from the original Feasibility Study.*

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency's Schedule IV-B.

### A. Risk Assessment Summary

Appendix B on the Florida Fiscal Portal includes the Risk Assessment Summary. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

The initial assessment of Communications as High is due to the preliminary stage of the project. A more detailed Communications Plan with all items specified in this risk assessment will be completed later in the project planning phase.

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This is also the case in many other Risk Assessment areas. The Schedule IV B contains the initial, high-level, information on all project factors (cost, procurement, schedule, organization, resources, stakeholders, etc.) that will be further defined as the project progresses.



## VI. Schedule IV-B Technology Planning

*Purpose: To ensure there is close alignment with the business and functional requirements and the selected technology.*

### A. Current Information Technology Environment

#### 1. Current System

The ATMS system was developed more than 15 years ago. ATMS is a 3-tier web based application using HTML, ASP, and SQL, operating on Windows-based application servers. Completeness, effectiveness, and timeliness are major factors for updates and disseminations of criminal justice training records. It is a central part of the Florida Criminal Justice Standards and Training Commission (CJSTC) and it supports a large portion of the FDLE Professionalism Division. Over the years, Legislative mandated functionality has been added and this has resulted in a patchwork of code in the system. The original system architecture was never designed to be used in the manner that it is required to do today. In addition, document management and the automation of multiple Professionalism functions cannot be completed within the current architecture of the system. The current system is accessible through modern desktops but this does not equate to a friendly user experience. The learning curve is much greater for new personnel when current members retire because of the manual processes that are not included in the current system.

The following chart provides a comparison between the current and proposed systems.

a. DESCRIPTION OF SYSTEM		
	Current System	Proposed Solution
System Type	ATMS II is a 3-tier web based application. The client tier, user-interface consists of html pages that are dynamically generated. The middle-tier consists of ASP pages running on IIS server. The middle tier also utilizes some third party components. The backend tier and persistence layer has SQL Server databases.	<p>The new solution will use the latest technologies.</p> <p>The client-tier, user-interface will be a web browser that displays HTML pages.</p> <p>The back-end tier will be Microsoft SQL Server database.</p> <p>The middle-tier will be Red Hat® JBoss.</p>

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Number of users & types	Accessed by 2,800 internal and external users. Users include instructors, training centers, system administrators, management, records and employing agencies.	The number and type of users will mirror that of the current system but will be able to handle additional users due to the improved technical solution.
Records	Approximately 1.6 million records overall Over 400,000 person records are maintained	The system will import the existing records into the new one after transforming the data to meet the new database requirements.
Security access requirements	The ATMS uses the standard FDLE internal network, Application Security Model (ASM) layer for windows on FDLE network to authenticate the user and determine user rights on the ATMS application.	The proposed solution will continue to use the standard FDLE internal network, Application Security Model (ASM) layer for windows on FDLE network to authenticate the user and determine user rights.
Hardware characteristics	1 web server, 1 application server	<ul style="list-style-type: none"> <li>• Production, Test and Development Web Servers</li> <li>• Production, Test and Development Database Servers</li> </ul>
Software characteristics	ATMS application written in ASP (ASP3.0), compatible with IIS Server and Microsoft Internet Explorer.	Linux operating system, JBOSS application server, Database operating System, Database Management Software (SQL Server) for Production, Test and Development databases.
Internal and external interfaces	The ATMS system interfaces include FDLE ASM, OCETS, Online registration, BAT upload, and Online Curriculum.	The ATMS system interfaces include FDLE ASM, OCETS, Online registration, BAT upload, and Online Curriculum.
Consistency with FDLE standards	ATMS was consistent with standards when it was originally developed, but since (.asp) is no longer supported, all FDLE	The technology for development will adhere to FDLE's application

**SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM**

	applications are moving towards other technology.	development standards.
Scalability	The current solution is not scalable.	The recommended solution has the ability to handle a growing amount of work in a capable manner and can be enlarged to accommodate that growth.
Connectivity requirements	CJNet and Internet	CJNet and Internet
Development and Maintenance approach	Currently the equivalent of 2 full-time programmers supports the programming changes that are necessary to meet business changes or resolve application problems.	6 application developers and 1 project manager will be used to develop the new system. Once it is built, it will be maintained by existing FDLE members.
Maturity of the technology	System brought online in January 1998 and relies on outdated technology.	The solution is proven technology used by FDLE and other organizations world-wide.
Flexibility to incorporate changes	Yes, but with severe limitations due to old architecture.	The solution is fully-customizable to meet the needs of FDLE.
Future data sharing with other entities	No	Yes.

**b. SYSTEM RESOURCE REQUIREMENTS**

	<b>Current System</b>	<b>Proposed Solution</b>
Technical platform	Windows 2000, I.I.S. 5.0, SQL Backend	JAVA, SQL Server database
Hardware requirements	(1) internet/application server and (1) database server	<ul style="list-style-type: none"> <li>• Production, Test and Development Web Servers</li> <li>• Production, Test and Development Database Servers</li> </ul>
Software requirements	Windows operating system, Internet Explorer	Linux operating system, JBOSS application server, Database operating System, Database

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		Management Software (SQL Server) for Production, Test and Development databases.
Staffing requirements	Equivalent of 2 programmers	6 application developers and 1 project manager will be used to develop the new system. Once it is built, it will be maintained by existing FDLE members.

**c. SYSTEM PERFORMANCE**

	<b>Current System</b>	<b>Proposed Solution</b>
Ability of system to meet current and project workload	Supports current operations only, could not support expansion	The system is making use of the latest hardware and proven software that is scalable to exceed any anticipated workload increases.
Level of user satisfaction	The system requires additional programming to meet current and future user business needs. As business rules change, programming changes are implemented that occasionally have a negative impact on other operations within the system.	Users will be involved with system design and will have user input to all new functionality and usability.
Level of Technical satisfaction	The technology is outdated. It needs to be rewritten and moved to a newer server version.	The solution will provide for a user-friendly experience and automate many manual processes throughout the system.
Anticipated failures	Active Server Pages (ASP) is no longer supported. Any failures of the application or server would be extremely detrimental to business operations.	None anticipated. This technology solution was chosen because of its longevity and past success.
Network & system availability	24 / 7	24 / 7
Network & system	Seldom goes down except for routine server maintenance.	Seldom goes down except for

reliability		routine server maintenance.
Backup & disaster recovery	Backups are performed nightly and the disaster recover follows FDLE's established procedures for IT systems.	Backups are performed nightly and the disaster recover follows FDLE's established procedures for IT systems.

## 2. Information Technology Standards

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

### a. Architecture

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

### b. Servers

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

### c. Storage

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

**d. Network**

- ATMS will use CNet and Internet.

**e. Database**

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

**f. Application Software**

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

**g. Security**

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

- The system shall meet the state of Florida and FDLE security policy.
- FDLE information security requirements are specified in FDLE Policies 1.4 - Use of FDLE Resources, 2.5 - Information Resources, and 3.1 - Background Investigations.
- Rule 71A-1, F.A.C. Some of the key topics are:
  - Access Control
  - Awareness and Training
  - Audit and Accountability
  - Contingency Planning and Disaster Recovery
  - Identification and Authentication
  - Incident Response

- Maintenance
- Methodology used to develop and maintain software used for the service, including secure coding guidelines and standards to protect the site from unauthorized access and use
- Physical and Environmental Protection
- System and Communications Protection
- System and Information Integrity

Compliance with the following standards is preferred:

- Lightweight Directory Access Protocol (LDAP)/Active Directory (AD)

**h. Availability**

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

**i. Usability**

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

**B. Current Hardware and/or Software Inventory**

*NOTE: Current customers of the state data center would obtain this information from the data center.*

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ATMS is a 3-tier web based application. The client tier, user-interface consists of HTML pages that are dynamically generated. The middle-tier consists of ASP pages running on IIS server. The middle tier also utilizes some third party components. The backend tier and persistence layer has SQL Server databases.

**C. Proposed Solution Description**

**1. Summary description of proposed system**

The proposed system will be run on a Linux operating system utilizing a JBOSS application server. The system will be written in JAVA while the backend database will be Microsoft SQL Server. There will be Production, Test and Development servers along with Production, Test and Development Web Servers. The proposed system will also make use of document management functions that will enable us to track all mandatory retraining completed by every officer throughout the state.

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

Category	2015-16	2016-17	Total
Staff			
State	\$0	\$0	\$0
Contract	\$1,220,000	\$1,220,000	\$2,440,000
Hardware	\$103,000	\$0	103,000
Software			
Custom	\$0	\$0	\$0
Commercial	\$207,440	\$107,400	\$314,840
Services	\$0	\$200,000	\$200,000
Other	\$0	0	0
<b>Totals</b>	<b>\$1,530,440</b>	<b>\$1,527,400</b>	<b>\$3,057,840</b>

**D. Capacity Planning**

*(historical and current trends versus projected requirements)*

The ATMS system is critical for the support, management, and integrity of criminal justice officer information across the State of Florida. ATMS is a 3-tier web based application, written in ASP (ASP3.0), compatible with IIS Server and older versions of Microsoft Internet Explorer. ATMS is accessed by 2,800 internal



and external users today with approximately 1.6 million records which include over 400,000 person records being maintained.

The legacy of the code creates availability and usability concerns for the 2,800 users. One example of availability concerns is the ASP code that the system is written in is no longer supported. Any system failures would be detrimental to the FDLE business operations.

## 1. Projected Requirements

### a. Projected Network Capacity

It is anticipated that there will be no change to network capacity for the new system.

### b. Projected Storage Capacity

The database size has remained steady for the last few years and it is anticipated that there will be minimal growth for the new system.

## VII. Schedule IV-B Project Management Planning

*Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity.*

Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

FDLE plans to re-write the existing ATMS system using latest technologies to provide improvements, efficiencies, enhancements, eliminate manual processes and allow extensibility and scalability of the system as business needs change due to mandates and or rule changes that govern Florida's Criminal Justice Standards and Training Commission.

The ATMS rewrite will directly address several of FDLE's goals: "to promote availability and effective use of criminal justice information, promote professionalism in the criminal justice community and ensure that Florida's citizens are served by well-trained criminal justice professionals." This will be primarily accomplished by providing a centralized system to track and manage several types of data sets which can be accessed through one point of entry. The direct result will be improved data accuracy, increased efficiency, and better customer support to all officers and criminal justice agencies within the State of Florida.

An updated ATMS will:

- Improve data accuracy - having all of the data in one system will reduce duplication and errors.
- Improve business efficiency - the new system will save time for members having to validate records and reduce the number of system problems which impact

their workload. It will also streamline and automate numerous manual business processes for the Division and its customers.

- Technology – moving to the new system will bring the program current with information technology and provide a solid foundation for future data sharing and technology initiatives.
- Flexibility – the new system will provide a wider range of flexibility in regards to reporting, data capture and increased automation.
- Reporting – the new system will provide a full range of searchable data criteria which can be sorted, reported, and printed quickly and efficiently.
- Data Sharing – the technology used to develop the system will afford data sharing opportunities at the state and local levels.
- Improved accessibility to records – records will be much easier to access, store and retrieve.
- Reduction in Travel Expenses – While the system cannot completely eliminate the need for travel; it will reduce some expenses currently incurred by the field representatives through the automation of business processes related to academy inspections and processing forms. This will also provide them with more time for performing other critical business functions.
- Improved support for customers – The new system will provide better support to the Division's external customers.

A redesigned and architected system will allow Florida to avoid system failure as well as increase efficiencies and improvements in the areas of the officer certification process, the training center auditing process, and the officer discipline process and curriculum updates. A modernized system will increase ATMS customer satisfaction and improve agency relationships.

The proposed system will be run on a Linux operating system utilizing a JBOSS application server. The system will be written in JAVA while the backend database will be Microsoft SQL Server. There will be Production, Test and Development servers along with Production, Test and Development Web Servers.

At a minimum, the proposed business solution will be required to have a central security application which manages user access, full audit tracking of records, record management, content management, imaging, workflow, searchable indexing, ad hoc query reporting, customized reports, full automation and complete integration using the most current technology possible.

All existing and future data must be easily accessible from any location in the system and be able to be retrieved by the user from a single access point. The system must be user-friendly with minimal end user training required and have a disaster recovery and backup procedure at the server level.

#### A. Scope Management

Scope management is necessary to ensure that the ATMS project includes all work required (and only the work required) to successfully complete the project. This includes but is not limited to: functional and non-functional requirements, contract deliverables, contract payments and project objectives.

As part of Project Planning, the PM documents the Scope of the project. These documents will be monitored by the PM as the project progresses and any changes in scope are identified.

Any ATMS project team member or stakeholder can request a change to project scope. The PM must determine the magnitude and the impact of the change. If the change is minor, the PM may determine that the change can be met within current project parameters. The PM or designee will review the request and estimate the impact on the project.

Unless the change is minor, the PM will submit a formal Project Change Request form to the Project Steering Committee. This effort will follow the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

The ATMS project is expected to be completed in FY 16-17. The project will be broken into major functional sections for rewrite.

#### FY 15-16 – Rewrite ATMS - Existing Functionality

- Officer Records
- Professional Compliance

#### FY 16-17 – Continue Rewrite of ATMS - Existing Functionality

- Alcohol Testing Program
- Curriculum
- Examination
- Field Services

#### Enhancements to ATMS

- Canine - Maintain canine information

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- Canine - Maintain canine team information
- Canine - Maintain canine instructor information
- Canine - Maintain evaluator information
- Canine - Capture evaluator documentation
- Canine - Track canine certifications
- Officer Records - Document Management and Workflow
- Officer Records - Update certificate print service
- Officer Records - Make Officer profile available online
- Professional Compliance - Document Management and Workflow
- Professional Compliance - Automate creation of hearing agendas
- Professional Compliance - Automate form letter creation

The Officer Records and Professional Compliance functions are the largest and most critical of the ATMS functions. These will be completed first. The formal division of these functional units into formal project phases will be completed with the development of the detailed schedule.

**SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM**

A detailed schedule for the ATMS project has not been completed at this time; however, a preliminary schedule has been developed based on a three point estimate of similar efforts in the past:

Task Name	Start	Finish
Requirements Gathering & Documentation	7/1/15	7/31/15
Application Design and Documentation	8/3/15	9/17/15
Application Design Meetings	8/3/15	8/21/15
Design Documentation	8/24/15	9/17/15
Programming (Year 1) Current Functionality	9/18/15	7/7/16
Officer Records	9/18/15	4/22/16
Professional Compliance	4/25/16	7/7/16
Programming (Year 2) Current and New Functionality	7/8/16	5/17/17
Officer Records (New Functionality)	7/8/16	8/22/16
Professional Compliance (New Functionality)	8/23/16	11/10/16
Alcohol Testing Program	11/11/16	1/17/17
Curriculum (Current Functionality)	1/18/17	2/13/17
Examination	2/14/17	3/28/17
Field Services	3/29/17	5/17/17
Testing	5/18/17	6/28/17
Round 1	5/18/17	6/8/17
Round 2	6/9/17	6/21/17
Round 3	6/22/17	6/28/17
Implementation to Production	6/29/17	6/30/17
Deployment - Prod	6/29/17	6/30/17

## B. Schedule Management

Schedule management is necessary to ensure that all activities required to successfully complete the project are:

- Documented
- Reviewed for accuracy and date constraints
- Based upon accurate and realistic work estimates
- Sequenced and dependencies established
- Assigned to the appropriate project resource(s)
- Monitored for slippage
- Updated as necessary

Schedule estimates are first formulated in the Initiation stage for inclusion in the ATMS Project Charter / Project Brief. This estimate is used by FDLE management or other oversight entities to approve or disapprove the Project.

During the Project Planning stage, the Project Manager is responsible for developing the detailed project schedule. This schedule must include sequenced tasks, resource assignments, milestone or deliverable identification, and appropriate task dependencies.

Following adoption of the project schedule by the PM and the PSC, the schedule will be baselined to allow for future “planned vs. actual” monitoring and reporting.

Any ATMS project team member or stakeholder can request a change to the project schedule. The PM must determine the magnitude and the impact of the change. If the change is minor, the PM may determine that the change can be met within current project time parameters (lead, lag time). If the request requires a change to the formal schedule, the Project Manager will submit a formal request to modify the project schedule. Such a request will be documented in an FDLE-approved Project Change Request form. This effort will follow the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

The schedule will be closely monitored by the PM and the schedule status will be included in all oversight meetings or communications (including status reports).

### **C. Cost Management**

Cost management is necessary to ensure that project costs are appropriately planned, estimated, budgeted, monitored and controlled so that the project can be completed within the approved budget.

Cost estimates are first formulated in the Initiation stage for inclusion in the Project Charter or Project Brief. This estimate is used by FDLE management or other oversight entities to approve or disapprove the Project.

During the ATMS Project Planning stage, the Project Manager is responsible for planning and estimating the detailed project budget. The project budget will be entered and maintained in the Project Spend Plan. Planned and actual spending for each fiscal year will be entered and maintained in a fiscal year (FY20NN-NN) spend plan. The fiscal year spend plan will be reviewed and updated each month.

Any ATMS project team member or stakeholder can request a change to the Project Spend Plan. The PM must determine the magnitude and the impact of the change. If the change is minor, the PM may determine that the change can be met within current project cost parameters. These minor changes may be completed at the discretion of the PM.

If the request requires a change to the formal budget or Project Spend Plan, the Project Manager will submit a formal request to modify the Project Spend Plan documented in an FDLE-approved Project Change Request form. This effort will follow the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

### **D. Project Organization**

The ATMS Project organization consists of the Project Steering Committee (PSC), the Project Manager (PM), and the ATMS Project Team. FDLE Subject Matter Experts (SMEs) and a number of other groups will provide additional support. Each group performs a particular role for the project and is comprised of members of Information Technology Services (ITS), the Criminal Justice Professionalism Division (CJP), external customer agencies, and FDLE leadership.

The PM is responsible for the overall process for the development of the ATMS project. The PM has three main functions:



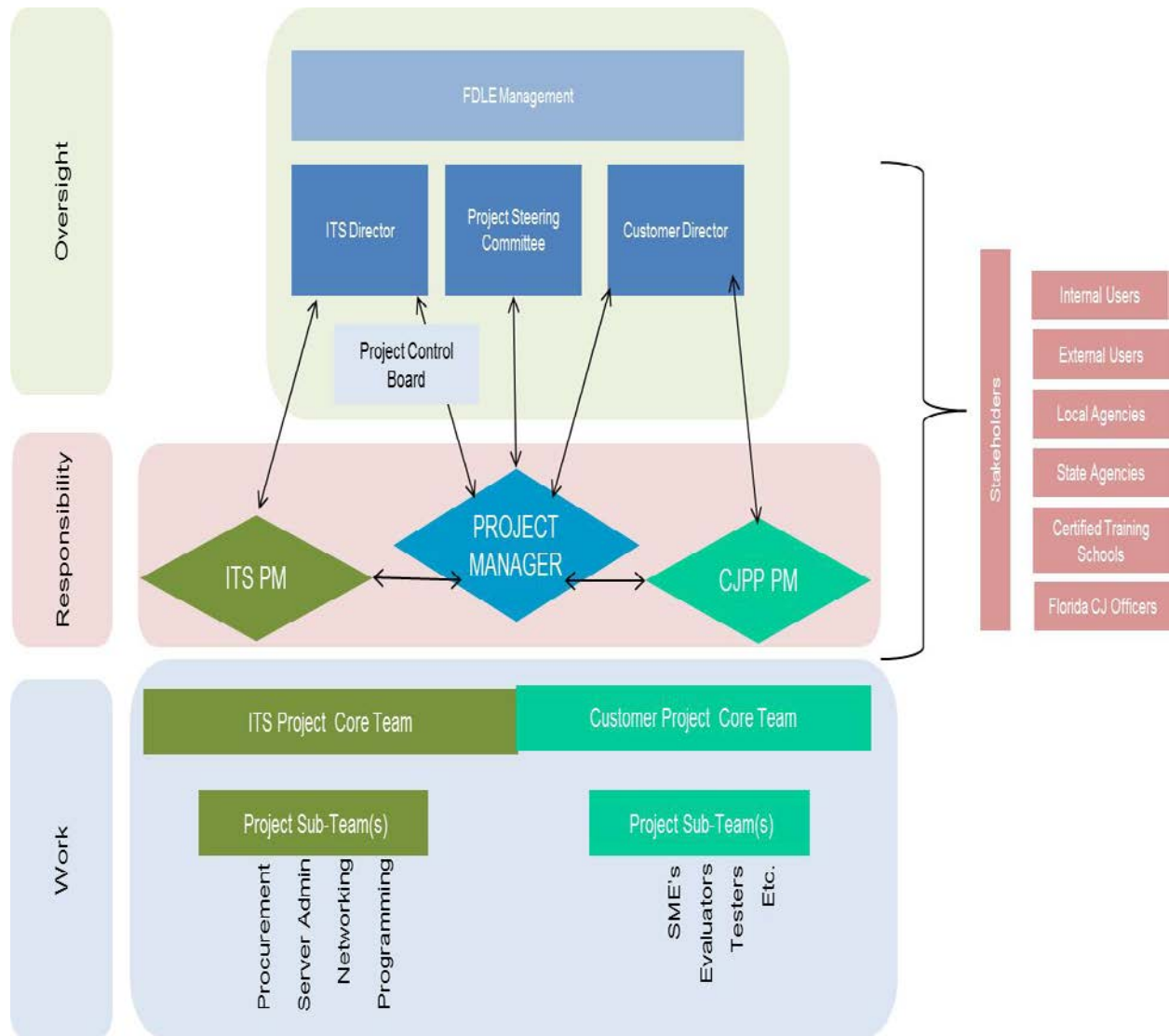
- The PM partitions the project into logical efforts, determines the individual efforts which will comprise the ATMS project, and recommends resource(s) to perform this work. This includes creation of a Work Breakdown Structure, and a Project Schedule (including tasks, deliverables, milestones, resources and work estimates).

If necessary, the PM will create and oversee procurement or contracting necessary to complete the project. This could include the development of Statements of Work (SOW), Request for Quotes, and Proposals (RFQ/P) or Invitations to Negotiate (ITN) for the procurement of vendors. The PM oversees the evaluation of vendor proposals and recommends vendors to perform the work. The PM is responsible for contract negotiations with vendors.

- Monitors the project to ensure the success of efforts.  
The PMO monitors the day-to-day status of project team efforts. The PM tracks risks, approves risk mitigation strategies, tracks issues and approves action items proposed to resolve issues. The PM monitors progress on tasks and makes adjustments to schedules (approved by the PSC). The PM verifies that tasks and requirements are completed.
- Approves and generates documentation for project plans and various other project artifacts.  
The PM reports directly to the PSC. The PM updates the PSC on a routine basis regarding project status. The PM submits a project status report containing the project schedule, schedule deviations, risks, action items and issues.

The entire project is aided by the oversight of the FDLE Project Management Office (PMO) that assists the PM in creating and implementing project management documents, processes, and controls.

The ATMS Project organization is shown below.



## **1. Executive Sponsor**

The Director of the Criminal Justice Professionalism Division is the Executive Sponsor actively involved with the ATMS Project. This sponsor reports directly to the Assistant Commissioner. The Executive Sponsor represents the Commissioner and other Executive Members by providing the strategic direction and guidance for the Project. Regularly scheduled meetings are held with the Executive Sponsor for project governance, progress and risk identification or issue/change resolution.

## **2. Project Steering Committee**

The PSC committee consists of three sponsors (often including the ITS Director and the Director of the customer organization). The PSC provides direction and guidance to the ATMS PM. They monitor the project progress and assess the completed activities to achieve the final acceptance of the system.

A regular meeting is conducted (based on direction from the PSC) to provide a project update, a review of project priorities and metrics, and to address action items, scope change requests and risks. Critical project needs are addressed and guidance and direction are requested from the PSC as appropriate. The PSC provides assessment and analysis, ensuring that supporting initiatives are based upon knowledgeable and informed decisions.

A status report is prepared for each meeting and is distributed to each attendee. The PM presents action items, scope change requests and risks with budget or schedule changes, as well as any risk mitigation plans to the PSC for their guidance and direction.

## **3. Project Management Office**

The PMO is responsible assisting the PM in using project management principles and processes to manage the ATMS Project. In addition, the PMO assists the PSC in the day-to-day monitoring of the project. The PMO reports directly to the Director of Information Technology Services (ITS).

## **4. Project Manager**

The PM is responsible for the overall process for the development of the ATMS project. The PM determines the individual builds which will comprise the project and chooses resources to perform this work. The PM monitors the effort to ensure that the individual builds are successful. The PM generates documentation for project plans and various other project artifacts such as the

Status Reports.

The PM monitors the day-to-day status of project team efforts. The PM tracks risks, approves risk mitigation strategies, tracks issues and approves action items proposed to resolve issues. The PM monitors progress on tasks and makes adjustments to schedules (approved by the PSC). The PM verifies that tasks and requirements are completed.

The PM is a direct report to the PSC and updates the PSC regarding project status.

## **5. Project Team**

The ATMS Project Team consists of a core group of FDLE members responsible for the day-to-day tasks associated with the project. This team will be comprised largely of members of Information Technology Services and Criminal Justice Professionalism Division and any other positions (FTE or Contract) deemed necessary for the successful completion of the project.

## **6. Contracts Manager**

Part of the ATMS Project Team, the Contracts Manager is responsible for gathering the necessary information for developing the SOW and other contracting vehicles, monitoring the award of those contracts, ensuring performance delivery as required by the contract and closing out the contracts when the tasks are completed. The Contracts Manager works closely with FDLE contracting and legal members to ensure that all work is accomplished within State and FDLE contracting rules and guidelines. The Contracts Manager will coordinate budget issues and maintain awareness of all expenditures and accounts payable.

## **7. Technical Project Sub-Team(s)**

The technical support members serve to assist the Project Team in ensuring that the department's technical policies, security policies, and quality requirements are followed in the project. This includes the proper use of and configuration of operating system platforms and application platforms, as well as, the proper application of development methodologies and system design methodologies. The technical member ensures that designs are logical and that they have fidelity with the overall FDLE system architecture.

## **8. Business Project Sub-Team(s)**

The business support members assist the Project Team in ensuring that the

ATMS project meets the operational needs of ATMS customers. SMEs and the business members work with the Project Team to determine current business processes and identify areas where business process improvements can be made. The group works with the user community, which includes groups such as other state agencies, police departments, sheriff's offices, and certified training schools to determine the functional needs of the system.

## 9. External Oversight

None

## E. Quality Assurance

The focus of the quality management process is to build effective processes that enable the production of high quality deliverables that meet the specified business requirements. The quality management procedure consists of two principal processes: Quality Assurance (QA) and Quality Control (QC).

QA is the practice of adhering to planned, established and systematic approaches designed to ensure the high caliber of the deliverables and the detection and correction of any errors. It provides information about a common set of guidelines and standards to be applied by the Project Team. The primary aspect of a QA review is to ensure that the processes established for the project are being followed. If new processes are required, a group will be formed to establish the quality procedure. The benefits of following quality assurance processes include the following:

- Improved communication
- Improved planning and requirement gathering/ definition processes
- Improved development process
- Improved product quality
- Better criteria for hardware and software testing
- Easier transition to production for hardware and software

The most effective QA activity is a formal QA review. The Project Team will conduct these reviews of project processes.

Using results generated by this review, the PM will direct follow-up actions to ensure that the project uses sound processes. Additionally the PSC will advise the PM of any observed deficiencies in processes and the PM will take corrective action to resolve the deficiency in the future.

QC activities are those focused on the inspection and/or testing of the deliverable produced. The QC Team will verify that the deliverables are of acceptable quality and that they are technically accurate.

QC is the responsibility of the Project Team and the PM or Task Lead responsible for a deliverable. The PM will monitor the activities associated with the acceptance of deliverables. QC is conducted before a deliverable is submitted as final to be approved by the PM.

The Project Manager is responsible for developing and maintaining a Quality Plan. The Quality Plan will document major deliverables of the project, completeness and correctness criteria, quality control activities and quality assurance activities.

Topics Addressed in the Quality Plan:

Quality Control activities associated with project deliverables:

- Document Deliverables
- Hardware and Software Deliverables
- Service Deliverables

Quality Assurance activities:

- QA processes (Requirements Traceability, Testing, Data Migration, etc.)
- Responsibility for QA processes

Quality Metrics for the project such as:

- Customer Satisfaction
- IT Satisfaction
- Vendor Satisfaction
- Changes in Scope
- Changes to Schedule
- Changes in Cost
- Number and Type of Issues
- Number and Type of Defects
- Preparedness of customer to assume production responsibilities
- Preparedness of IT to assume production responsibilities
- Solution "Fitness for Use"

## F. Issue Management

FDLE PMO recognized two (2) types of issues - Project and Product. Project issues are those that will affect the schedule, cost, resources, and progress of the Project itself. Product issues are more specific and usually affect quality (although they may have an indirect effect on project schedule or cost).

## G. Project Issues

Project Issues may be problems, gaps, inconsistencies, or conflicts that project team members, contractors, or other stakeholders believe may adversely affect the project.

Any ATMS project stakeholder, team member, customer, or contractor can raise an issue at any time.

Issues will be reviewed by the PM and project team and ranked by Severity Level. An item is assigned an Issue Severity level (1-No Impact, 2- Low, 3-Moderate, 4-High or 5-Critical). The severity level will further determine the appropriate management procedure to be followed for resolution.

1. No Impact - No immediate action is required. Items with a severity level of no impact can be addressed as time allows.
2. Low - No immediate action is required. Items with a severity level of low are typically assigned to a project team member and addressed as time allows.
3. Moderate - Assigned to a project team member for resolution with assistance from the Project Manager (PM) as needed. Items with a severity level of moderate are reviewed on a case-by-case basis by the project team member and the PM to determine the level of outside help and PM involvement required for resolution.
4. High - Item is reviewed by the PM, assigned to a project team member and other appropriate stakeholders, contractors and/or FDLE members for a recommended course of action or resolution. The PM will present this resolution to the Project Steering Committee (PSC) for review and approval.
5. Critical - Review is escalated to FDLE management for immediate action. The PM will closely monitor and resolve the issue and communicate the status of the item (from inception through resolution) to the FDLE Management, the Project Steering Committee, other appropriate members and stakeholders.

Issues are reviewed by the PM, or a delegated project team member, on a bi-weekly basis to ensure they are being resolved. Items resolved and/or closed are reviewed by the PM or a delegated project team member to ensure acceptable resolution.

Issues requiring changes to the Scope, Schedule, or Cost will be handled by the PM as described in the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

#### H. Product Issues

Product issues are those that affect the quality of the product being developed. This could include bugs or other technical problems encountered throughout development, testing and implementation of an IT product or hardware / software solution.

All product issues will be documented.

The PM will assign a unique tracking identification number to each issue. Each product issue will be evaluated, classified and assigned to a specific person for monitoring and resolution.

Each issue is classified as one of the following types:

- Action Item
- Defect
- Enhancement

The classification type starts the issue on a particular course for resolution. A brief description of the classification types follows:

**Action Item:** Action items relate to an activity needed to be completed. Action items are assigned to a project team member who will serve as the Task Lead for resolution.

**Defect:** Defects relate to a defect in hardware or software. Defects are assigned to a project team member who will serve as the Task Lead for resolution.

**Enhancement:** An enhancement is a request for a change to the request system functionality.

The member assigned will document the alternatives, potential impact on budget and schedule, and will present the findings to the PM and other appropriate members or stakeholders to determine a resolution or recommended course of



action.

The PM or the Contracts Manager will make the appropriate adjustments to the Project Schedule and budget, if necessary, based on the resolution or recommended course of action.

The assigned project team member will document the status and resolution of the issue in the Issue Log or other tool.

The item and resolution statuses change throughout the lifecycle of the item. The item will be documented with the appropriate status and resolution by the assigned project team member to facilitate tracking.

Issues requiring changes to the Scope, Schedule, or Cost will be handled by the PM as described in the FDLE Change Management process that details steps required for the development, review and approval of Project Change Requests.

### **I. Monitoring and Reporting**

The PM and Project Team will track, review, report and regulate the project to meet objectives defined in the project management plan. This includes status reporting, progress measurement, and forecasting.

The Project Manager is responsible for continually monitoring activities associated with the ATMS project and reporting to project stakeholders. The PM must continually review the project progress for impact (or possible impact) on project schedule, cost, and / or scope. The PM will compare the proposed Schedule vs. the actual Schedule, the proposed Project Spend Plan vs. the actual expenditure, and the Scope, Risk, and Issue documentation to ensure that all project facets are working together to ensure success.

Monitoring Activities may include such things as:

- Daily 'stand-up' meeting with Project Team
- Daily review of Work Plan and Schedule
- Daily review of Issue Log
- Weekly meetings with the Project Team
- Monthly status reports from Project Team
- Weekly meetings with Contractor
- Monthly status reports from Contractor
- Quarterly surveys of key stakeholders

The specific activities needed for the project will be determined by the PM.

The PM will report on the current progress of the project through documents / mechanisms such as the following:

- FY Operational Work Plan
- Biweekly Status Reports to the PMO
- Monthly status reports
- Status meetings with the Project Steering Committee
- Quarterly status meetings with FDLE Executive Management
- Quarterly status reports to the Legislature

#### J. Risk Management

A risk refers to future conditions or circumstances, which will have an adverse impact on the project if they occur, that exist outside of the control of FDLE or the Project Team. In other words, a risk is a potential future problem. Risk management is performed continually over the life of the project. Risk management includes the following:

- Step 1: Identify major risks to project success
- Step 2: Assess the potential impact of each risk and its probability of occurrence
- Step 3: Determine appropriate contingency plans
- Step 4: Determine the acceptable level of tolerance for each risk
- Step 5: Specify mitigation strategies to be implemented for critical risks
- Step 6: Periodically review the effectiveness of mitigation strategies and identify any new risks.

Risk identification occurs throughout the life of the project. Any ATMS project stakeholder, Project Team member, customer or contractor can submit a risk at any time. A risk mitigation session is conducted at the start of each Build or Phase.

The ATMS PM (in consultation with the PMO and the PSC) evaluates the risk and recommends a risk level. The risk level is used to set the priority of the risk and determine how risks should be addressed.

A description of each risk level is provided in the following table:

Risk Level	Risk Level Description
High	Require immediate attention and review by the PM. High risk items are visible to FDLE management and typically require a risk mitigation plan. Invoking the risk mitigation plan may result in an impact on budget, personnel, scope or schedule.
Medium	Reviewed by the PM and PMO on a bi-weekly basis. May require a risk mitigation plan. Invoking the risk mitigation plan would not have a significant impact on the budget, personnel, scope or schedule.
Low	Monitored by the PM and/or PMO on a bi-weekly basis. Low risk items are not visible to FDLE management and typically do not require a risk mitigation plan.

The potential impact on budget, personnel, scope and schedule, along with the probability of risk occurrence are examined collectively to determine the overall risk impact level. The risk impact level is determined using the criteria provided in the following table and input from the PSC, PM, PMO, Project Team and stakeholders.

		Probability of Risk Occurrence		
		High probability to occur	Medium probability to occur	Low probability to occur
Severity of Risk Impact	High negative impact to project	High	High	Medium
	Medium negative impact to project	High	Medium	Low
	Low negative impact to project	Medium	Low	Low

Risk management includes an ongoing cycle of risk identification, analysis and monitoring. FDLE uses TenStep to perform risk management. Each risk with a risk level of medium or high is evaluated to determine if the impact is severe enough that a risk mitigation plan should be created. If a risk mitigation plan is required, the risk is investigated to determine whether or not the resolution of a risk causes the budget, personnel, scope or schedule to change. In the event a risk mitigation plan must be exercised, project change control processes will be used (if necessary) and activities associated with the risk mitigation plan will be added to the Project Schedule to ensure the work is completed. The PM monitors all risk mitigation plans to ensure they are being executed successfully.

### K. Change Management

Change management occurs throughout the lifecycle of the project. A change can be related to any facet of the project – scope creep, schedule revision, funding / cost changes, team / resource changes, issues and risks, etc.

If the change is minor, the PM may determine that the change can be met within

current project parameters and the formal change process is not necessary.

If the change could impact requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the PM (or team member assigned) will fully research the impact of the project change and formulate a resolution. The PM will complete a formal Project Change Request form and present the change to the Project Steering Committee.

The Project Steering Committee will determine if the proposed change should be approved. Members of the Project Steering Committee will signify approval or disapproval of a proposed project change by signing the Project Change Request form.

The PM and / or Project Steering Committee may consult with FDLE Executive Management if the proposed change significantly alters requirements, deliverables, payment schedule, cost, or completion date of a major milestone. FDLE Executive Management will determine if the proposed change should be approved.

If the Project Steering Committee or FDLE Management determines that the approved project change will require a Contract Amendment, the PM will work with the vendor to prepare the Contract Amendment for the PSC's review and approval. The contract amendment will then be processed according to FDLE contract procedures.

#### **L. Communication Plan**

The ATMS PM will develop a Communications Plan to provide a framework for addressing change management with customers. The Communications Plan outlines a comprehensive strategy of both communicating project and process change information to the ATMS customer base and others affected by the project as well as receiving and processing input/feedback from customers and others. The Communication Plan identifies communication strategies which will be used to target the different audience groups (users, stakeholders, advisors, media, decision-makers, etc.) via an assortment of communication methods (Internet and email, formal and informal documents, multi-media presentations, and face-to-face meetings). This document serves as the core of the ATMS change management effort and will be updated throughout the life of the project.

Effective communication and outreach, both internal and external to FDLE is critical to the overall success of the ATMS Project. The Communications Plan is designed to support the implementation of the new ATMS during the design, development and implementation phase of the project and to ensure increased understanding, involvement, and buy-in from all stakeholders. The objectives of

the ATMS Communications Plan include the following:

- To ensure that target audiences are aware of and understand the purpose and mission of FDLE, particularly as it relates to ATMS, understand the rationale for development of an updated ATMS system, and know what will and what will not change as a result of this project.
- To ensure that all audiences and stakeholder groups recognize the benefits of an updated ATMS, and how it will help organizations achieve their criminal justice objectives.
- To provide information to external customers on how implementation of the updated ATMS may affect current and future work processes and what will be done to mitigate any perceived negative effects, address and clarify any unrealistic user expectations, and achieve “buy-in” from the internal and external user community.
- To maintain a dynamic and proactive communications campaign, in which information is updated and continuously provided for the benefit of the entire user community, and to establish a culture in which feedback is encouraged and is gathered and evaluated to ensure that project objectives will be met and project goals achieved.

The Project Manager is responsible for developing and maintaining a Communication Management Plan. This plan will document how and in what format information will be communicated, when and where communication will be made, and who is responsible for providing each type of communication.

Topics included in the Communication Management Plan:

1. Target Audience

Identification of all possible audience groups in as much detail as possible:

- Specific Stakeholder Groups (other state agencies, police departments, sheriff’s offices, etc.)
- Project Team
- Project Steering Committee
- FDLE Management
- FDLE customers
- Legislature
- Oversight agencies

2. Communication Method

Communications may be formal, such as Status Reports, Operational Work Plans, Newsletters, and quarterly meetings or informal such as notices or announcements through email or website. Communications may also be in written form or face-to-face. Examples include such things as:

- Status Reports
- Operational Work Plans
- Stakeholder / Customer Surveys
- Project Newsletters
- Pamphlets
- Project Web Site
- Ad Hoc Notices
- Project Steering Committee Meetings
- Project Team Meetings
- FDLE Executive Management Briefs

### 3. Method of Delivery

Methods of delivery could be such things as:

- Emails
- Presentations
- Reports
- Web Site
- Documents (electronic or paper)
- Meetings

### 4. Frequency

Some communications could be set at regular intervals such as meetings or reports required annually, quarterly, biweekly, etc. or upon specific project milestone or phase timelines according to project needs. Some communication could also be random and event-specific such as notices dealing with specific issues.

### 5. Responsibility

Each type of communication must be assigned to the PM or a specific member of the Project Team.

*NOTE: For IT projects with total cost in excess of \$10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.*

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## **VIII. Appendices**

Appendix A - Standards and Definitions

Appendix B - Cost-Benefit Analysis Worksheets

Appendix C - Current System Cost

Appendix D - Project Cost Estimate

Appendix E - Risk Assessment Worksheets



## Appendix A – Standards and Definitions

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

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

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

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

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

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

**Appendix B - Cost-Benefit Analysis Worksheets**

**A copy of the cost benefit worksheets is provided in the additional excel worksheets.**

**Appendix C - Current System Cost**

**A copy of the current system cost table is provided in the following pages.**

**SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM**

FDLE  
 Current ATMS System - Operating Costs  
 Updated: 8/31/2015

Category	Item Description	Qty	Unit	Unit Cost	Annual Recurring Costs	Existing (assumes status quo)					Totals	
						FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20		
<b>Staff</b>												
	State Staff:											
	DP Manager (Browning)	0.25	FTE	\$102,787	\$25,697	\$25,697	\$25,697	\$25,697	\$25,697	\$25,697	\$25,697	
	Systems Programming Consultant (King)	0.5	FTE	\$69,595	\$34,798	\$34,798	\$34,798	\$34,798	\$34,798	\$34,798	\$34,798	
	Computer Programmer Analyst II (Colletti)	0.1	FTE	\$60,347	\$6,035	\$6,035	\$6,035	\$6,035	\$6,035	\$6,035	\$6,035	
	Systems Programming Analyst (McCoy)	0.25	FTE	\$54,912	\$13,728	\$13,728	\$13,728	\$13,728	\$13,728	\$13,728	\$13,728	
	Database Analyst (Arduini)	0.25	FTE	\$73,663.49	\$18,416	\$18,416	\$18,416	\$18,416	\$18,416	\$18,416	\$18,416	
	Systems Programmer I (Aguayo)	0.25	FTE	\$65,262.04	\$16,316	\$16,316	\$16,316	\$16,316	\$16,316	\$16,316	\$16,316	
	Systems Programmer III (Pigott)	0.25	FTE	\$76,673.21	\$19,168	\$19,168	\$19,168	\$19,168	\$19,168	\$19,168	\$19,168	
	Systems Programmer II (Tiller)	0.25	FTE	\$57,479.44	\$14,370	\$14,370	\$14,370	\$14,370	\$14,370	\$14,370	\$14,370	
	Systems Programmer II (Ruiz)	0.25	FTE	\$57,479.44	\$14,370	\$14,370	\$14,370	\$14,370	\$14,370	\$14,370	\$14,370	
	Contract Staff:											
	Systems Analyst (Duey)	0.5	FTE	\$156,000	\$78,000	\$78,000	\$78,000	\$78,000	\$78,000	\$78,000	\$78,000	
		0.5	FTE	\$164,000	\$82,000	\$82,000	\$82,000	\$82,000	\$82,000	\$82,000	\$82,000	
	<b>Subtotal - Staff</b>	<b>3.35</b>			<b>\$322,897</b>	<b>\$322,897</b>	<b>\$322,897</b>	<b>\$322,897</b>	<b>\$322,897</b>	<b>\$322,897</b>	<b>\$322,897</b>	<b>\$2,260,276</b>
<b>Hardware</b>												
	<b>Subtotal - Hardware</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Software</b>												
	Server Licensing				\$7,862	\$7,862	\$7,862	\$7,862	\$7,862	\$7,862	\$7,862	
	<b>Subtotal - Software</b>				<b>\$7,862</b>	<b>\$7,862</b>	<b>\$7,862</b>	<b>\$7,862</b>	<b>\$7,862</b>	<b>\$7,862</b>	<b>\$7,862</b>	<b>\$55,034</b>
<b>Services</b>												
	<b>Subtotal - Services</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Other</b>												
	<b>Subtotal - Other</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>TOTALS</b>					<b>\$330,759</b>	<b>\$330,759</b>	<b>\$330,759</b>	<b>\$330,759</b>	<b>\$330,759</b>	<b>\$330,759</b>	<b>\$330,759</b>	<b>\$2,315,310</b>

**Appendix D - Project Cost Estimate**

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

**SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM**

FDLE  
 Project Cost Estimate  
 A TMS re-write  
 Updated: 8/30/15

Category	Item Description	Calculations		Unit Cost	One Time Costs	Annual Recurring Costs	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	Planned Total
		Appropriations Categories	Qty									
<b>DEVELOPMENT / IMPLEMENTATION</b>												
<b>Staff</b>												
	State Staff:											
	DP Manager (Browning)	SAL	0.25	FTE	\$102,787		\$25,697	\$25,697				
	Systems Programming Consultant (King)	SAL	0.25	FTE	\$69,595		\$17,399	\$17,399				
	Subtotal State		0.5			\$0	\$43,096	\$43,096	\$0	\$0	\$0	
	Contract											
	Project Manager	CS	1	FTE	\$100	\$400,000	\$200,000	\$200,000				
	Systems Analyst	CS	1	FTE	\$85	\$340,000	\$170,000	\$170,000				
	Systems Analyst	CS	1	FTE	\$85	\$340,000	\$170,000	\$170,000				
	Systems Analyst	CS	1	FTE	\$85	\$340,000	\$170,000	\$170,000				
	Systems Analyst	CS	1	FTE	\$85	\$340,000	\$170,000	\$170,000				
	Systems Analyst	CS	1	FTE	\$85	\$340,000	\$170,000	\$170,000				
	Systems Analyst	CS	1	FTE	\$85	\$340,000	\$170,000	\$170,000				
	Systems Analyst (Duey)	CS	0.5	FTE	\$78		\$78,000	\$78,000				
	Systems Analyst (Serman)	CS	0.5	FTE	\$82		\$82,000	\$82,000				
	Subtotal - Contract Staff		8			\$2,440,000	\$160,000	\$1,380,000	\$1,380,000	\$0	\$0	\$0
	<b>Subtotal - Staff</b>		<b>4.5</b>			<b>\$2,440,000</b>	<b>\$203,096</b>	<b>\$1,423,096</b>	<b>\$1,423,096</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Commercial Software</b>												
	Linux Operating System Licensing	EXP	6	per server	\$600		\$3,600	\$3,600	\$3,600			
	Database Operating Systems Licensing	EXP	5	per server	\$7,000		\$35,000	\$35,000	\$35,000			
	JBOSS software	EXP	72	each	\$400		\$28,800	\$28,800	\$28,800			
	SQL Server Database Licensing	EXP	18	12 Core/2	\$7,780	\$140,040		\$140,040				
	Ephesoft Licensing subscription	EXP			\$40,000		\$40,000		\$40,000			
	Subtotal - Commercial SW		101			\$140,040	\$107,400	\$207,440	\$107,400	\$0	\$0	\$0
<b>Hardware</b>												
	Servers	OCO	11	each	\$8,090.91	\$89,000		\$89,000				
	Programmer PCs	OCO	7	each	\$1,392	\$9,742		\$9,742				
	Printer	EXP	1	each	\$726	\$726		\$726				
	Subtotal - Hardware		19			\$99,468	\$0	\$99,468	\$0	\$0	\$0	\$99,468
<b>Services</b>												
	Alfresco services	CS	1	each	\$200,000	\$200,000		\$200,000				
	Subtotal - Services		1			\$200,000	\$0	\$0	\$200,000	\$0	\$0	\$0
<b>Totals - Development</b>						\$2,879,508	\$310,496	\$1,730,003	\$1,730,496	\$0	\$0	\$0

Appendix E – Risk Assessment Worksheets

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

<b>Project</b>	<i>Automated Training Management System (ATMS)</i>	
<b>Agency</b>	<i>Florida Department of Law Enforcement</i>	
<b>FY 2016-17 LBR Issue Code:</b>	<b>FY 2016-17 LBR Issue Title:</b>	
<i>36116C0</i>	<i>Upgrade Automated Training Management System (ATMS)</i>	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
<i>Becky Lackey, 850-410-8459, beckylackey@fdle.state.fl.us</i>		
<b>Executive Sponsor</b>	<i>Dean Register</i>	
<b>Project Manager</b>	<i>Glenn Hopkins</i>	
<b>Prepared By</b>	<i>Angela Githens/ Glen Hopkins</i>	<i>9/15/2015</i>
<b>Risk Assessment Summary</b>		
<b>Business Strategy</b>	Most Aligned	
	Least Aligned	
<b>Level of Project Risk</b>		Least Risk <span style="margin-left: 100px;">Most Risk</span>
<b>Project Risk Area Breakdown</b>		
<b>Risk Assessment Areas</b>	<i>Risk Exposure</i>	
Strategic Assessment	MEDIUM	
Technology Exposure Assessment	LOW	
Organizational Change Management Assessment	HIGH	
Communication Assessment	HIGH	
Fiscal Assessment	MEDIUM	
Project Organization Assessment	MEDIUM	
Project Management Assessment	MEDIUM	
Project Complexity Assessment	MEDIUM	
<b>Overall Project Risk</b>		HIGH

SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

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



SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)

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

**SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM**

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

**SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM**

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

SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)

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	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Detailed and rigorous (accurate within ±10%)
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Not applicable
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	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	

SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Agency: Florida Department of Law Enforcement		Project: Automated Training Management System (ATMS)	
Section 5 – Fiscal Area			
#	Criteria	Values	Answer
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
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	Procurement strategy has not been developed
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Not yet determined
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	

SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
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	Mostly staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No, all stakeholders are not represented on the board
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)			
Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some 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	41 to 80% -- Some 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	41 to 80% -- Some are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	



SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

Agency: Florida Department of Law Enforcement Project: Automated Training Management System (ATMS)			
Section 7 -- Project Management Area			
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	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	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

SCHEDULE IV-B FOR AUTOMATED TRAINING MANAGEMENT SYSTEM

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

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2015 - 2016**

**Department:** FI Department of Law Enforcement

**Chief Internal Auditor:** Susan Cureton

**Budget Entity:** 710000

**Phone Number:** 850-410-7238

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			Audits conducted during the fiscal year 2014-2015 had no major findings.		

## Fiscal Year 2016-17 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Law Enforcement

Agency Budget Officer/OPB Analyst Name: Cynthia Barr / Kristen Manalo

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)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200

### 1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	Y	Y	Y	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? <b>(CSDI)</b>	Y	Y	Y	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. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	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. **A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.**

### 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	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	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	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	Y	Y	Y

### 3. EXHIBIT B (EXBR, EXB)

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	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
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	N/A	N/A	N/A
<b>AUDITS:</b>									
3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Generally look for and be able to fully explain significant differences between A02 and A03.									
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.									
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.									
<b>4. EXHIBIT D (EADR, EXD)</b>									
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	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.									
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>									
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>AUDITS:</b>									
5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y

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	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )	Y	Y	Y	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 2014-15 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.									
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)</b>									
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	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.									
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>									
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 33 of the LBR Instructions.)	Y	Y	Y	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	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	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	Y	Y	Y

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7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 through E-6 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	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	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 #16-002?	N/A	N/A	N/A	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. <b>(PLRR, PLMO)</b>	N/A	N/A	N/A	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?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	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	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 90 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y

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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	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	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	Y	Y	Y



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<b>AUDIT:</b>									
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	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	Y	Y	Y
7.22 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.23 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y	Y	Y	Y	Y	Y	Y
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	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 2016-17 data center costs, this can be completed by using the new State Data Center data processing services category (210001).									

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TIP If an appropriation made in the FY 2015-16 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.									
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>									
8.1 Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Section 215.20, Florida Statutes for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y	Y	Y	Y

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8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.20 Are appropriate general revenue service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions appropriately shown in column A02?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>AUDITS:</b>									

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8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? ( <b>SC1R, SC1A - Report should print "No Discrepancies Exist For This Report"</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. ( <b>SC1R, DEPT</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.33 Has a Schedule IB been provided for each trust fund and does total agree with line I ?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!									
TIP Determine if the agency is scheduled for trust fund review. (See page 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.									
<b>9. SCHEDULE II (PSCR, SC2)</b>									
AUDIT:									
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 161 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>10. SCHEDULE III (PSCR, SC3)</b>									
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 92 of the LBR Instructions.)	Y	Y	Y	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 <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y	Y	Y	Y	Y

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<b>11. SCHEDULE IV (EADR, SC4)</b>										
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	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.									

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<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>									
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	Y	Y	Y
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>									
13.1 <b>NOT REQUIRED FOR THIS YEAR</b>									
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>									
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	Y	Y	Y
<b>15. SCHEDULE VIIIC (EADR, S8C)</b> <b>(LAS/PBS Web - see page 107-109 of the LBR Instructions for detailed instructions)</b>									
15.1 Agencies are required to generate this schedule via the LAS/PBS Web.	Y	Y	Y	Y	Y	Y	Y	Y	Y
15.2 Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Y	Y	Y	Y	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	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	Y	Y	Y
15.5 Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>AUDIT:</b>									
15.6 Do the issues net to zero at the department level? <b>(GENR, LBR5)</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y

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<b>16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 of the LBR Instructions for detailed instructions)</b>									
16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>									
16.3 Does the FY 2014-15 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	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)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	Y	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: <b>Audit #3</b> 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	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.									
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>									
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	Y	Y	Y

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
17.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	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	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: <b>IT@LASPBS.state.fl.us</b>	Y	Y	Y	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	Y	Y	Y
<b>AUDITS - GENERAL INFORMATION</b>									
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.									
<b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>									
18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.									
<b>19. FLORIDA FISCAL PORTAL</b>									
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	Y	Y	Y