



**Florida Department of Transportation**

**RICK SCOTT**  
GOVERNOR

605 Suwannee Street  
Tallahassee, FL 32399-0450

**JIM BOXOLD**  
SECRETARY

September 15, 2015

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

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

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

RE: FISCAL YEAR 2016-17 LEGISLATIVE BUDGET REQUEST

Dear Directors:

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

Sincerely,

A handwritten signature in blue ink that reads "Greg E. Patterson".

Greg E. Patterson  
Budget Officer

GEP:jmp

Enclosure

BUDGET ENTITY	D3A ISSUE CODE	COLUMN NUMBERS	CODE	ERROR MESSAGE	PAGE
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THERE WERE 0 ERRORS DETECTED

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
ESTIMATED EXPENDITURES - FIXED			
CAPITAL OUTLAY			990I000
FIXED CAPITAL OUTLAY			080000
DEBT SERVICE		001	089070
TRUST FUNDS.....	166,414,920		2000
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SCH VIIIA NARR 16-17 NOTES: DEBT SERVICE  
 Priority #1

Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
 -----  
 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SIB LOAN REPAYMENTS		001	080047
TRUST FUNDS.....	9,000,000		2000
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SCH VIIIA NARR 16-17 NOTES: SIB LOAN REPAYMENTS  
 Priority #1

Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SIB LOAN REPAYMENTS		001	080047

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SM CTY RESURFACE ASSIST PG		001	085575
TRUST FUNDS.....	25,674,727		2000
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SCH VIIIA NARR 16-17 NOTES: SM CTY RESURFACE ASSIST PG  
 Priority #1  
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POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SM CTY RESURFACE ASSIST PG		001	085575

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SM COUNTY OUTREACH PROGRAM		001	085576

TRUST FUNDS.....	57,873,572		2000
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SCH VIIIA NARR 16-17 NOTES: SM COUNTY OUTREACH PROGRAM  
 Priority #1  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
COUNTY TRANSPORTATION PRGS		001	088572
TRUST FUNDS.....	37,792,965		2000
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SCH VIIIA NARR 16-17 NOTES: COUNTY TRANSPORTATION PRGS  
 Priority #1  
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BOND GUARANTEE		001	088703
TRUST FUNDS.....	500,000		2000
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SCH VIIIA NARR 16-17 NOTES: BOND GUARANTEE  
 Priority #1  
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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BOND GUARANTEE	001		088703

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TRANSP PLANNING CONSULT	001		088704
TRUST FUNDS.....		54,112,986	2000

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SCH VIIIA NARR 16-17 NOTES: TRANSP PLANNING CONSULT

Priority #1  
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AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TRANSP PLANNING CONSULT		001	088704

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HIGHWAY MAINTENANCE CONTR		001	088712
TRUST FUNDS.....	487,528,515		2000
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SCH VIIIA NARR 16-17 NOTES: HIGHWAY MAINTENANCE CONTR  
 Priority #1  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
INTRASTATE HIGHWAY CONSTR		001	088716
TRUST FUNDS.....	2593,417,859		2000
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SCH VIIIA NARR 16-17 NOTES:           INTRASTATE HIGHWAY CONSTR  
 Priority #1  
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
ARTERIAL HIGHWAY CONSTR		001	088717
TRUST FUNDS.....	132,773,741		2000
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SCH VIIIA NARR 16-17 NOTES:           ARTERIAL HIGHWAY CONSTR  
 Priority #1  
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 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
ARTERIAL HIGHWAY CONSTR	001		088717

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
CONSTRUCT INSPECT CONSULT	001		088718
TRUST FUNDS.....		311,999,841	2000

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SCH VIIIA NARR 16-17 NOTES: CONSTRUCT INSPECT CONSULT

Priority #1  
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AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
CONSTRUCT INSPECT CONSULT		001	088718

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
AVIATION DEV/GRANTS		001	088719
TRUST FUNDS.....	241,268,606		2000
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SCH VIIIA NARR 16-17 NOTES: AVIATION DEV/GRANTS  
 Priority #1

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
PUBLIC TRANSIT DEV/GRANTS		001	088774
TRUST FUNDS.....	398,820,837		2000
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SCH VIIIA NARR 16-17 NOTES: PUBLIC TRANSIT DEV/GRANTS  
 Priority #1

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RIGHT-OF-WAY LAND ACQ		001	088777
TRUST FUNDS.....	493,574,245		2000
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SCH VIIIA NARR 16-17 NOTES: RIGHT-OF-WAY LAND ACQ  
 Priority #1

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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RIGHT-OF-WAY LAND ACQ	001		088777

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORT - ECONOMIC DEV	001		088790

TRUST FUNDS.....	15,000,000		2000
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SCH VIIIA NARR 16-17 NOTES: SEAPORT - ECONOMIC DEV

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AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORT - ECONOMIC DEV		001	088790

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORTS ACCESS PROGRAM		001	088791
TRUST FUNDS.....	10,000,000		2000

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SCH VIIIA NARR 16-17 NOTES: SEAPORTS ACCESS PROGRAM  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORT GRANTS		001	088794
TRUST FUNDS.....	57,067,705		2000
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SCH VIIIA NARR 16-17 NOTES: SEAPORT GRANTS  
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HIWAY SAFETY CONSTR/GRANTS		001	088796
TRUST FUNDS.....	154,465,943		2000
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SCH VIIIA NARR 16-17 NOTES: HIWAY SAFETY CONSTR/GRANTS  
 Priority #1

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 Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HIWAY SAFETY CONSTR/GRANTS	001		088796

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RESURFACING	001		088797
TRUST FUNDS.....		517,258,516	2000
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SCH VIIIA NARR 16-17 NOTES: RESURFACING

Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening



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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RESURFACING	001		088797

of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BRIDGE CONSTRUCTION	001		088799
TRUST FUNDS.....		736,615,979	2000

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SCH VIIIA NARR 16-17 NOTES: BRIDGE CONSTRUCTION  
 Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORT INVESTMENT PRG		001	088807
TRUST FUNDS.....	11,405,612		2000
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SCH VIIIA NARR 16-17 NOTES: SEAPORT INVESTMENT PRG  
 Priority #1

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 Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823

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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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 Goal #2: Enhance Florida's economic competitiveness, quality of life and transportation safety.  
 Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RAIL DEVELOPMENT/GRANTS		001	088808
TRUST FUNDS.....	268,875,923		2000
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SCH VIIIA NARR 16-17 NOTES: RAIL DEVELOPMENT/GRANTS  
 Priority #1

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 Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RAIL DEVELOPMENT/GRANTS	001		088808

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE: Goal #1: Preserve and manage a safe, efficient transportation system.  
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
INTERMODAL DEVELOP/GRANTS	001		088809
TRUST FUNDS.....		75,958,858	2000

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SCH VIIIA NARR 16-17 NOTES: INTERMODAL DEVELOP/GRANTS

Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
INTERMODAL DEVELOP/GRANTS		001	088809

of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
CONTRACT MAINT W/ DOC		001	088810
TRUST FUNDS.....	19,146,000		2000

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SCH VIIIA NARR 16-17 NOTES: CONTRACT MAINT W/ DOC  
 Priority #1

Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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 Goal #2: Enhance Florida's economic competitiveness, quality of life and transportation safety.  
 Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
PRELIMINARY ENGR CONSULT		001	088849
TRUST FUNDS.....	516,449,370		2000
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SCH VIIIA NARR 16-17 NOTES:           PRELIMINARY ENGR CONSULT  
 Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program:   \$7,633,271,362  
 Total Debt Service(990T000+990I000):   \$ 170,141,823

Total Work Program:   \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HWY BEAUTIFICATION GRANTS		001	088850
TRUST FUNDS.....	1,000,000		2000
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SCH VIIIA NARR 16-17 NOTES:           HWY BEAUTIFICATION GRANTS  
 Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HWY BEAUTIFICATION GRANTS	001		088850

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RIGHT-OF-WAY SUPPORT	001		088853
TRUST FUNDS.....		57,937,767	2000

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SCH VIIIA NARR 16-17 NOTES: RIGHT-OF-WAY SUPPORT

Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RIGHT-OF-WAY SUPPORT		001	088853

of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TRANSPORT PLANNING GRANTS		001	088854
TRUST FUNDS.....	21,147,401		2000

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SCH VIIIA NARR 16-17 NOTES: TRANSPORT PLANNING GRANTS  
 Priority #1

Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
MATERIALS AND RESEARCH		001	088857
TRUST FUNDS.....	14,115,195		2000
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SCH VIIIA NARR 16-17 NOTES: MATERIALS AND RESEARCH  
 Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823

Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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 Goal #2: Enhance Florida's economic competitiveness, quality of life and transportation safety.  
 Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BRIDGE INSPECTION		001	088864
TRUST FUNDS.....	13,758,505		2000
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SCH VIIIA NARR 16-17 NOTES: BRIDGE INSPECTION  
 Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.



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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BRIDGE INSPECTION	001		088864

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823

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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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 Goal #2: Enhance Florida's economic competitiveness, quality of life and transportation safety.  
 Goal #3: Organizational excellence by promoting and encouraging continuous improvement.

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
ECON DEV/TRANSP PROJECTS	001		088865

TRUST FUNDS.....	15,500,000		2000
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SCH VIIIA NARR 16-17 NOTES: ECON DEV/TRANSP PROJECTS

Priority #1  
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Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823

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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
ECON DEV/TRANSP PROJECTS		001	088865

of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TRAFFIC ENGR CONSULTANTS		001	088866
TRUST FUNDS.....	145,255,289		2000

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SCH VIIIA NARR 16-17 NOTES:           TRAFFIC ENGR CONSULTANTS  
 Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program:   \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program:   \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
LOCAL GOVERNMENT REIMBURSE		001	088867
TRUST FUNDS.....	153,750		2000
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SCH VIIIA NARR 16-17 NOTES: LOCAL GOVERNMENT REIMBURSE  
 Priority #1

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 Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823

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 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE: Goal #1: Preserve and manage a safe, efficient transportation system.  
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TOLL OPERATION CONTRACTS		001	088876
TRUST FUNDS.....	78,775,000		2000
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SCH VIIIA NARR 16-17 NOTES: TOLL OPERATION CONTRACTS  
 Priority #1

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 Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TOLL OPERATION CONTRACTS	001		088876

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TURNPIKE SYS EQUIP & DEVEL	001		088920
TRUST FUNDS.....		24,963,050	2000
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SCH VIIIA NARR 16-17 NOTES: TURNPIKE SYS EQUIP & DEVEL

Priority #1  
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Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
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 Total Work Program: \$7,803,413,185

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TURNPIKE SYS EQUIP & DEVEL		001	088920

of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TOLLS SYS EQUIP & DEVELOP		001	088922
TRUST FUNDS.....	34,083,605		2000
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SCH VIIIA NARR 16-17 NOTES: TOLLS SYS EQUIP & DEVELOP  
 Priority #1

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 Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
 -----  
 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
DEBT SERVICE		001	089070
TRUST FUNDS.....	3,726,903		2000
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SCH VIIIA NARR 16-17 NOTES: DEBT SERVICE  
 Priority #1

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 Requests \$7,633,271,362 of nonrecurring budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program: \$7,633,271,362  
 Total Debt Service(990T000+990I000): \$ 170,141,823  
 -----  
 Total Work Program: \$7,803,413,185

This request represents the second year of the July 1, 2015 Adopted Work Program for fiscal years 2016 through 2020 and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
TRANSPORTATION WORK PROGRAM			
INTEGRATION INITIATIVE		002	36233C0
TRUST FUNDS.....	4,155,910		2000
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SCH VIIIA NARR 16-17 NOTES:  
 Priority #2

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 Requests \$4,155,910 of nonrecurring budget authority in the Contracted Services category to continue the department's Work Program Integration Initiative (WPII) project. The project is a multi-year effort to modernize the department's core

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
TRANSPORTATION WORK PROGRAM			
INTEGRATION INITIATIVE		002	36233C0

support systems used to plan, develop, program, implement and report the Work Program. Continued financial integrity is more challenging and takes more steps after years of programming and business changes in response to changing partner demands and account for the uses of state and federal funding. FDOT's annual Five-Year Work Program consists of \$10 billion in current commitments, over 9,000 active contracts, and over \$40 billion in future commitments. It is imperative the business processes and technologies which support these functions are capable of supporting financial accountability and integrity as well as being flexible enough to interface with internal and external partners (PALM and MAP-21).

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

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PROGRAM OR SERVICE-LEVEL			
INFORMATION TECHNOLOGY			3630000
GEOSPATIAL ROADWAY DATA STRATEGIC			
FRAMEWORK		003	36342C0
TRUST FUNDS.....	1,020,780		2000

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SCH VIIIA NARR 16-17 NOTES:

Priority #3  
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Requests \$1,020,780 of budget authority to continue the second year of funding in order to build and implement the Geospatial Roadway Data Strategic Framework which functions as a technology refresh of the Roadway Characteristics Inventory (RCI). This scalable framework for multidimensional roadway maps enables transition to one data source collection versus multiple dissimilar data sets and implements governance and data standards. This also incorporates light detection and ranging (LiDAR) data, video images, photography, and oblique photogrammetry to create survey quality multidimensional maps. These maps are used for design, right of way, and construction projects as well as planning, utility recording, zoning and federal MAP21 reporting requirements for asset maintenance.

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

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
SUPPORT FACILITIES			990F000
FIXED CAPITAL OUTLAY			080000
COCOA OPS CTR-REP/RENO/ADD		004	088745
TRUST FUNDS.....	4,000,000		2000
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SCH VIIIA NARR 16-17 NOTES: COCOA OPS CTR-REP/RENO/ADD  
 Priority #4

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 Requests \$4,000,000 of nonrecurring Fixed Capital Outlay budget authority for the third and final year of construction on the new 55,382 square foot Cocoa Brevard Operations Center at the existing department owned site in District Five, Brevard County. This project consolidates 26 existing maintenance and construction buildings to 7 new buildings that will house up to 62 staff and is consistent with FDOT's long-range plan to streamline maintenance and construction functions at one location.

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

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AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
STORAGE AREA NETWORK REPLACEMENT		005	36220C0
TRUST FUNDS.....	1,168,000		2000
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SCH VIIIA NARR 16-17 NOTES:  
 Priority #5

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 Requests \$1,168,000 of nonrecurring budget authority to replace the Storage Area Network (SAN) infrastructure at seven district headquarter locations and the State Materials Office. The SANs provide vital storage for the majority of the computing systems and are critical for services needed to fulfill the mission of the agency. The SANS have reached their end of technology life and pose greater threat of failure and security risks to the integrity of data. Should a hardware failure occur, data could be lost and operations would shut down.

The department is totally dependent on its districts' SANs to provide data storage and to operate systems essential to the districts' daily functions and processes. Replacing equipment is essential for continued operation and to be compliant with statutory responsibilities. (Section 119.021, F.S.).

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

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
NETWORK BANDWIDTH INCREASE		006	36217C0
TRUST FUNDS.....	301,065		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #6

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Requests \$301,065 of budget authority, of which \$65,000 is nonrecurring, for an increase in bandwidth capacity and a network management platform. Data transfer demands exceed current capacity.

Several major transportation construction projects will come online in FY 2017/18 which will place an increased demand on data analysis. Examples include planning documents, I-4 managed lanes system, aerial maps and traffic data. The department's electronic document management systems and systems supporting pre-construction activities will also require additional bandwidth. The transition to cloud-based email services provides better accessibility and data management but increases demand on the network resources by 45-60%. This has resulted in significantly slower data transfer rates and sometimes complete shutdowns.

The network management platform provides staff with tools needed to monitor network traffic and determine the top users of bandwidth. It also allows the department to achieve operational efficiency and optimize use of bandwidth.

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

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PROGRAM REDUCTIONS			33V0000
VACANT POSITION REDUCTIONS.....	75.00-	007	33V0550
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SCH VIIIA NARR 16-17 NOTES:

Priority #7

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Deletes 75 positions to implement management reductions for organizational efficiencies. Efficiencies include improvements to processes, systematic enhancements, consolidation of activities in functional areas, and increased use of technology to automate manual tasks and improve speed of task completion. This request does not include reductions in Salary Rate or the Salaries and Benefits category as the department is requesting to retain both. The department continues to restructure its workforce to leverage private sector support where cost effective. This requires a reduction in low-skilled labor while transitioning to a workforce with more highly trained contract administrators. Re-prioritizing rate to these positions will allow the department to migrate to a more knowledge-based organization while outsourcing non-core functions.

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COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT  
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TRANSPORTATION, DEPT OF			55000000
PROGRAM REDUCTIONS			33V0000
VACANT POSITION REDUCTIONS.....	007		33V0550

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

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AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
REPLACEMENT OF COMPUTER AIDED			
DRAFTING AND DESIGN FILE MANAGEMENT			
SYSTEM	008		36219C0

TRUST FUNDS.....		504,250	2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #8

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Requests \$504,250 of budget authority, of which \$189,250 is recurring, in the Contracted Services and Expenses categories to replace the existing Technical Information Management System (TIMS) with a customizable, commercial, off-the-shelf file management system. Also included is the cost of server services in support of the new CADD file management system through the Agency for State Technology Server Services, including first year provisioning and recurring operation and maintenance. The company supporting TIMS went out of business in 2015 and does not develop, support or maintain TIMS. TIMS and other document management systems function as Computer Aided Drafting and Design (CADD) file librarians that control access to project data and regulate who can view, modify/update, or enroll new data into a project. CADD is used by the Florida Department of Transportation (FDOT) and consultants to design projects and generate construction documents. Modern CADD file document management systems perform the functionality described above and add additional value through workflow automation and integration with FDOT systems and private sector partners. This reduces the cost of accomplishing the department's mission.

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

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MAINTENANCE OF ENTERPRISE SECURITY			
ACCESS CONTROL SYSTEM	009		36222C0

TRUST FUNDS.....		122,750	2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #9

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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
MAINTENANCE OF ENTERPRISE SECURITY			
ACCESS CONTROL SYSTEM	009		36222C0

Requests \$122,750 of recurring budget authority to fund the annual service and maintenance of the Enterprise Security Access Control System (ESACS). This critical multi-year request accompanies a Fixed Capital Outlay budget request to replace existing obsolete stand-alone ACS systems with a statewide integrated system that is networked and cloud-based, which also improves employee security and protects department assets and investments.

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

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CAPITAL IMPROVEMENT PLAN			9900000
CODE CORRECTIONS			990C000
FIXED CAPITAL OUTLAY			080000
IMPROVS/SECURITY SYSTEMS	009		088225

TRUST FUNDS.....	746,250		2000
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SCH VIIIA NARR 16-17 NOTES: IMPROVS/SECURITY SYSTEMS

Priority #9

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Requests \$746,250 of nonrecurring Fixed Capital Outlay (FCO) budget authority to replace obsolete access control systems (ACS) with an Enterprise Security Access Control System (ESACS). This critical multi-year request will replace obsolete stand-alone systems over the next three fiscal years with one integrated security system that is networked and cloud-based. This procurement will not only greatly enhance the safety and security of the department's personnel, resources and facilities, it will also create efficiency with regard to security management, and reduce purchase, labor, training, and maintenance costs.

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

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OPERATING REQUIREMENTS			5500000
SUPPORT COSTS FOR BUILDINGS	010		5504500

TRUST FUNDS.....	102,162		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #10

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 COL A03  
 AGY REQUEST  
 FY 2016-17  
 POS AMOUNT PRIORITY CODES  
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TRANSPORTATION, DEPT OF			55000000
OPERATING REQUIREMENTS			5500000
SUPPORT COSTS FOR BUILDINGS	010		5504500

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 Requests \$102,162 of recurring budget authority to fund operating costs for the new Sarasota Manatee Operations Center located in Manatee County. When fully constructed, this new center will be approximately 25.8% larger than the current facility. These funds are in addition to what District One pays for lawn maintenance, janitorial and pest control services as the existing facility does not have items such as: window cleaning, badge card access, fire sprinklers, fire alarm maintenance/monitoring, generator, heating, ventilation and air conditioning maintenance contract, security cameras, or a battery back-up.

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

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CAPITAL IMPROVEMENT PLAN			9900000
CODE CORRECTIONS			990C000
FIXED CAPITAL OUTLAY			080000
MINOR REPAIRS/IMPROV-STATE	011		080002
TRUST FUNDS.....		3,579,539	2000

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SCH VIIIA NARR 16-17 NOTES: MINOR REPAIRS/IMPROV-STATE

Priority #11  
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Requests \$3,579,539 of nonrecurring Fixed Capital Outlay budget authority to fund building and grounds projects department-wide which are necessary to meet federal, state, or local building code requirements. This issue is presented annually so FDOT can extend the life of facilities and create a safe working environment. Relevant projects include:

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

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

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
ENVIRONMENTAL PROJECTS			990E000
FIXED CAPITAL OUTLAY			080000
ENVIRON SITE RESTORATION		012	088763
TRUST FUNDS.....	635,000		2000
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SCH VIIIA NARR 16-17 NOTES: ENVIRON SITE RESTORATION  
 Priority #12

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 Requests \$635,000 of nonrecurring Fixed Capital Outlay budget authority to continue the cleanup of contaminated soil and groundwater at various FDOT facilities statewide to restore those sites to an environmentally uncontaminated, clean and safe condition. Failure to perform the needed cleanup will result in violation of the Federal Resource Conservation and Recovery Act.

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

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SUPPORT FACILITIES			990F000
FIXED CAPITAL OUTLAY			080000
MINOR REPAIRS/IMPROV-STATE		013	080002
TRUST FUNDS.....	838,327		2000
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SCH VIIIA NARR 16-17 NOTES: MINOR REPAIRS/IMPROV-STATE  
 Priority #13

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 Requests \$838,327 of budget authority to fund nonrecurring Fixed Capital Outlay minor projects for new minor construction, installation of equipment storage units, modifications and renovations for additional work space, and protection of mechanical equipment at department-owned facilities. These projects are necessary to protect and preserve the value of assets (i.e., equipment and materials) and to meet facility and space needs.

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

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
FLORIDA UNIFIED SYSTEM FOR			
ESTIMATING CRITICAL SYSTEM REFRESH		014	36218C0
TRUST FUNDS.....	1,275,926		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #14

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Requests \$96,223 budget authority in the Expenses category and \$1,179,703 budget authority in the Contracted Services category to perform a technology refresh of the existing Long Range Estimates (LRE) preconstruction cost estimating application which is no longer supported by the original software vendor. The refresh will move the LRE functionality into the existing Design Quantity Estimating system (DQE). The combined functionality will be called the Florida Unified System for Estimating (FUSE).

In order to reduce costs and capitalize on existing technology, the department proposes including the refresh on the same platform as DQE. The DQE is a modern platform with a framework which can be exploited to streamline business processes, eliminate data transition between disparate systems, simplify maintenance and consolidate data for increased integrity. This unification also eliminates one discrete database reducing inventory and future maintenance costs.

Developing project estimates is essential to development of the five-year Work Program. Project estimates are updated every 12 to 18 months in order to accurately reflect stage of design, project development, commodity quantities and costs. Accurate project estimates ensure the Work Program is financially feasible, balanced and maximizes resources for transportation purposes. An enhanced estimating system will ensure accurate and efficient construction project cost estimating, crucial to facilitating funds management in the department's Work Program and meeting the department's commitments to Florida's citizens. It supports competitive procurements and ensures integrity and confidentiality of the process. This information is used to analyze bids, adjust future quantities and estimates and to forecast future impacts on the department's finances.

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

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EQUIPMENT NEEDS			2400000
REPLACEMENT EQUIPMENT FOR MATERIALS			
AND TESTING LABORATORIES		015	2401170
TRUST FUNDS.....	347,611		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #15

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
EQUIPMENT NEEDS			2400000
REPLACEMENT EQUIPMENT FOR MATERIALS			
AND TESTING LABORATORIES		015	2401170

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 Requests \$347,611 of budget authority, of which \$15,000 is recurring, to replace specialized equipment in the Gainesville Material and Testing Laboratory which has exceeded its useful life, is in constant need of repair or is no longer supported by the manufacturer. These specialized pieces of equipment are needed to ensure roads and bridges meet contract specifications and system safety. FDOT conducts a combination of in-sourced and outsourced testing of materials used to construct the roadways. Title 23 Code of Federal Regulations (CFR) 637.203 requires verification sampling, product testing and quality assurance on highway products. Proper testing equipment is needed to assure compliance with Section 334.046(4)(a), F.S. requiring the department to meet 80% pavement and 90% bridge standards. Replacing the aging equipment ensures timely completion of testing, feedback of results and final acceptance of the project.

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

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INTRA-AGENCY REORGANIZATIONS			1800000
REORGANIZATION - ADMINISTRATIVE			
FUNCTION - DEDUCT		016	1800100
	1.00-		
TRUST FUNDS.....	291,564-		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #16

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Requests to redirect \$291,376 of budget authority from the Florida Rail Enterprise (FLRE) budget entity to the Transportation System Development (TSD) budget entity. This transfer will eliminate the FLRE budget entity and establish it under TSD. This transfer enables flexibility in funding projects currently within FLRE and maximizes efficiency of budget and rate associated with the single position. Eliminating the division between passenger rail and other rail projects enables the flexible use of funding and efficient management of rail projects around the state. A change to s.341, F.S. is necessary to move requirements under the TSD budget entity.

LRPP REFERENCE: Goal #1: Preserve and manage a safe, efficient transportation system.

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REORGANIZATION - ADMINISTRATIVE			
FUNCTION - ADD		016	1800110
	1.00		
TRUST FUNDS.....	291,564		2000
	=====		

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
INTRA-AGENCY REORGANIZATIONS			1800000
REORGANIZATION - ADMINISTRATIVE			
FUNCTION - ADD		016	1800110
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SCH VIIIA NARR 16-17 NOTES:

Priority #16

-----

Requests to redirect \$291,376 of budget authority from the Florida Rail Enterprise (FLRE) budget entity to the Transportation System Development (TSD) budget entity. This transfer will eliminate the FLRE budget entity and establish it under TSD. This transfer enables flexibility in funding projects currently within FLRE and maximizes efficiency of budget and rate associated with the single position. Eliminating the division between passenger rail and other rail projects enables the flexible use of funding and efficient management of rail projects around the state. A change to s.341, F.S. is necessary to move requirements under the TSD budget entity.

LRPP REFERENCE: Goal #1: Preserve and manage a safe, efficient transportation system.

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OPERATING REQUIREMENTS			5500000
EMERGENCY REPAIRS STATE BUILDINGS			
AND GROUNDS - OPERATING		017	5504800
TRUST FUNDS.....	250,000		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #17

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Requests \$250,000 of recurring budget authority in the Expenses category for unanticipated emergency repairs to the department's buildings and grounds due to unforeseen circumstances should the department encounter roof leaks, plumbing and drainage leaks, and outages in Heating, Ventilation, and Air Conditioning (HVAC) systems. Budget authority is requested to establish a base budget of approximately \$0.13 per square foot. When damage occurs to the department's buildings and grounds timely repairs are critical to mitigate additional damage and loss of occupancy or use. Having base budget available to respond to emergency repairs minimizes loss in productivity and alleviates potential for more costly repairs.

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

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COL A03			
AGY REQUEST			
FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
PROGRAM PLAN SUPPORT			6000000
SUPPORT FOR DISADVANTAGED BUSINESS ENTERPRISES		018	6001000
TRUST FUNDS.....	137,638		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #18

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Requests \$137,638 of recurring budget authority to fund Disadvantaged Business Enterprise (DBE) supportive services in the department's Equal Opportunity Office. The department contracts with a consultant who provides supportive services to DBEs conducting business with, or who are seeking to conduct business with, the department by providing information, training, and technical assistance. Funding is supported by a federal grant.

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

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SUPPORT FOR MINORITY TRAINING  
 AND RECRUITMENT INTO CONSTRUCTION  
 INDUSTRY

TRUST FUNDS.....	603,389		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #19

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Requests \$603,389 of recurring budget authority to fund On-the-Job Training, Construction Career Days, Job Fairs and Transportation and Civil Engineering (TRAC) & Roadways Into Developing Elementary Students (RIDES) outreach programs. These initiatives are funded through a federal grant requested from the Federal Highway Administration (FHWA). These programs support Disadvantaged Business Enterprises (DBE) in support of the department's efforts to increase competition, reduce costs, and increase the participation of DBEs in the transportation construction industry.

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

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COL A03 AGY REQUEST FY 2016-17			
POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
EQUIPMENT NEEDS			2400000
ADDITIONAL EQUIPMENT FOR THE			
MATERIALS AND TESTING LABORATORIES		020	2403100
TRUST FUNDS.....	206,400		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #20

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Requests \$206,400 of nonrecurring budget authority for additional specialized equipment needed at the Gainesville State Materials Laboratory to ensure roads meet contract specifications, are safe to travel, and to test material for the roads and bridges to optimize durability and cost effectiveness. FDOT conducts a combination of in-sourced and outsourced testing of materials used to construct the roadways. Title 23 Code of Federal Regulations (CFR) 637.203 requires verification sampling, product testing and quality assurance on highway products. Proper testing equipment is needed to assure compliance with Section 334.046(4)(a), F.S., requiring the department to meet 80% pavement and 90% bridge standards.

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

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PROGRAM PLAN SUPPORT			6000000
SUPPORT FOR TRANSPORTATION			
DISADVANTAGED		021	6002400
TRUST FUNDS.....	487,718		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #21

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Requests \$487,718 of nonrecurring budget authority in the Grants and Aids - Transportation Disadvantaged category for additional trips for eligible clients and aligns the budget for increased projected revenues. Also, requests increases in nonrecurring and recurring Contracted Services budget authority to support statutory requirements, such as the Quality Assurance Evaluations and Annual Performance Report, which were previously paid from Medicaid funding sources.

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

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                                COL A03
                                AGY REQUEST
                                FY 2016-17
                                POS      AMOUNT      PRIORITY      CODES
                                -----
TRANSPORTATION, DEPT OF                                55000000
OPERATING REQUIREMENTS                                5500000
CONTRACT SERVICES SUPPORT FOR
MANAGED LANES INFORMATION                                022      55015C0
TECHNOLOGY (IT) SYSTEMS
TRUST FUNDS.....                                650,219      2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #22

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Requests \$650,219 of recurring budget authority in the Contracted Services category to fund staff positions to meet specialized needs related to the expansion of the transportation system. The request includes IT support for hardware deployment, first level troubleshooting, patch implementation, network support, GIS support and Orientation and Mobility instruction.

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

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WORKLOAD                                3000000
INTELLIGENT TRANSPORTATION SYSTEMS
SUPPORT                                023      3007000
TRUST FUNDS.....                                11,128      2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #23

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Requests \$11,128 of recurring budget authority for the Regional Transportation Management Center (RTMC) in District Six. Currently, the Florida Highway Patrol (FHP), Miami-Dade Expressway Authority (MDX), and FDOT share space in the RTMC. Based on contracts between FDOT and the other agencies, the department is reimbursed for the agencies share of the operating expenditures. The department has increased the existing contract with MDX resulting from an increase in operating costs for their share of the space they occupy.

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

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COL A03  
 AGY REQUEST  
 FY 2016-17

POS	AMOUNT	PRIORITY	CODES
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TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
REPLACEMENT OF VOICE COMMUNICATION			
EQUIPMENT		024	36240C0
TRUST FUNDS.....	862,192		2000
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SCH VIIIA NARR 16-17 NOTES:

Priority #24

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Requests \$862,192 of nonrecurring budget authority to replace voice communications equipment at the end of service life (EOSL) and is no longer supported by the vendor. If a problem occurs which requires a software or hardware modification the manufacturer will not provide a solution. This causes prolonged outages while alternatives are being researched and negatively impacts the department's ability to serve the constituents of Florida.

Expenses budget is needed to purchase telephone instruments and systems for ten department remote sights. Operating Capital Outlay will be used to purchase hardware parts which are over \$1,000. Contracted Services is for the installation and configuration of the new systems.

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

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REPLACEMENT OF VIDEO CONFERENCE  
 EQUIPMENT

025

36241C0

TRUST FUNDS.....

491,250

2000

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SCH VIIIA NARR 16-17 NOTES:

Priority #25

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Requests \$491,250 of nonrecurring budget authority to replace aged video conferencing equipment which the manufacturer will no longer support through maintenance contracts and software updates. In 2016, software upgrades are necessary to prevent vulnerability as well as ensure compatibility. The department is proposing to replace 59 VSX Video Units and the Video Bridge. The department is dependent on the utilization of Video Conference units for collaboration and mitigation of travel expenses for meetings and trainings.

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

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	COL A03		
	AGY REQUEST		
	FY 2016-17		
	POS	AMOUNT	PRIORITY
	-----		CODES
TRANSPORTATION, DEPT OF			55000000
TOTAL: TRANSPORTATION, DEPT OF			55000000
BY FUND TYPE			
TRUST FUNDS.....	75.00-		
	7825,910,689		2000
	=====		

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*****
* BPEADL01                                STATISTICAL INFORMATION                                09/14/2015 16:58:38 *
* BUDGET PERIOD: 2006-2017                EXHIBIT A, D AND D-3A LIST REQUEST                MLM 55 SP *
* COMPILE DATE: 09/09/2015                COMPILE TIME: 16:07:29                                PAGE: 1 *
*****
*                                     SAVE INITIALS:                SAVE DEPARTMENT: 07                SAVE ID: SC8A *
* ----- *
* SELECT CODES AND ACCUMULATION LEVELS WHERE ALLOWED.  WHEN NO CODE IS SELECTED, ALL CODES WILL BE REPORTED. *
* ITEMIZATION OF EXPENDITURE:                IOE ACCUMULATION LEVEL: 0 (1=OPER/FCO, 2=IOE, 0=MERGED) *
* MERGE GROUPS (Y/N): Y *
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG): *
* 1-7:                DEP *
* 8-14: *
* 15-21: *
* 22-27: *
* EXCLUDE: *
* *
* PROGRAM COMPONENT/ACCUMULATION LEVEL (1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS, 6=MERGE POLICY, 0=MERGED): *
* 0                0                0                0                0                0 *
* *
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (1=MAJOR, 2=MINOR, 0=MERGED): *
* 0                0                0                0                0                0 *
* *
* FUND GROUPS SET:                OR FUND:                FUNDING SOURCE IDENTIFIER:                MERGE FSI (Y/N): Y *
* FCO (Y/N): Y                FTE (Y/N): Y                SALARY RATE (Y/N): N *
* ----- *
* ISSUE CODE OR GROUP/ACCUMULATION LEVEL (1, 2 OR 3 FOR 1, 3 OR 7 CHARACTERS, 0=MERGED): *
* 3 *
* *
* REPORT OPTION: 4                COLUMN SELECTION:                A03                CODES *
* 1=EAD REPORT *
* 2=SCHEDULE IV/IT ISSUES                REPORT COLUMNS WITH CALCULATION DIFFERENCE ONLY (Y/N): N THAT EXCEED: *
* 3=STATEWIDE ISSUES *
* 4=SCHEDULE VIIIA ISSUES *
* SCHEDULE VIIIA ISSUES SPREADSHEET (Y/N): N *
* *
* LEVELS OF TOTALS: (N=NO TOTAL, L=LINE TOTAL, T=BY FUND TYPE, D=BY DETAIL FUND, B=BY DETAIL FUND AND FUND TYPE, *
* G=FUND GROUP LINE TOTALS, E=BY DETAIL FUND AND FUND GROUP) *
* RUN: N                ITEM OF EXP: N                GROUP: N                DEPARTMENT: T                DIVISION: N                BUREAU: N *
* SUB-BUREAU: N                LBE: T                POLICY AREA: N                PROG COMP: N                D3A SUM ISSUE: N                D3A DETAIL ISSUE: T *
* MAJOR APP CAT: N                MINOR APP CAT: N *
* *
* APPROPRIATION CATEGORY TITLES: S (S=SHORT, L=LONG)                REPORT SEQUENCE: DEPT/BUDGET ENTITY: N A=ALPHABETICAL *
* PROGRAM COMPONENT: N N=NUMERICAL *
* ----- *
* DEPARTMENT NARRATIVE SET: *
* BUDGET ENTITY NARRATIVE SET:                PROGRAM COMPONENT NARRATIVE (Y/N): N *
* *
* ISSUE/ACTIVITY NARRATIVE SET: P1                PRIORITY ISSUE NARRATIVE SET (1-9): 1 *
* *
* INCLUDE POSITION DATA (Y/N): N *
* *
* INCLUDE COLUMN CODES (Y/N): Y *
* *
* OUTPUT FORMAT: L                PAGE BREAKS: DEP *
* L=LANDSCAPE                (IOE, GRP, DEP, DIV,                REPORT HEADING:                SCHEDULE VIIIA *
* P=PORTRAIT                BUR, SUB, LBE, PRC,                PRIORITY LISTING OF AGENCY BUDGET ISSUES *
*                SIS, ISC)                REQ EXPENDITURES OVER BASE BUDGET *
* ----- *

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* BPEADL01                               STATISTICAL INFORMATION                09/14/2015 16:58:38 *
* BUDGET PERIOD: 2006-2017                EXHIBIT A, D AND D-3A LIST REQUEST          MLM 55      SP   *
* COMPILE DATE: 09/09/2015                COMPILE TIME: 16:07:29                      PAGE:      2   *
*****
*
* TOTAL RECORDS READ FROM SORT:           139
* TOTAL RECORDS READ FROM CARD:           43
* TOTAL PAF RECORDS READ:                 0
* TOTAL OAF RECORDS READ:                 0
* TOTAL IEF RECORDS READ:                 0
* TOTAL BGF RECORDS READ:                 0
* TOTAL BEF RECORDS READ:                 1
* TOTAL PCF RECORDS READ:                 0
* TOTAL ICF RECORDS READ:                 37
* TOTAL INF RECORDS READ:                 988
* TOTAL ACF RECORDS READ:                 59
* TOTAL FCF RECORDS READ:                 1
* TOTAL FSF RECORDS READ:                 0
* TOTAL PCN RECORDS READ:                 0
* TOTAL BEN RECORDS READ:                 0
* TOTAL DPC RECORDS READ:                 0
* TOTAL RECORDS IN ERROR:                 0
*
*****
*
* BUDGET ENTITIES SELECTED:
*   1-9: 55
*  10-18:
*  19-27:
*
*****

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## **Florida Department of Transportation**

### **Temporary Special Duty – General Pay Additive Implementation Plan for Fiscal Year 2016-2017**

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

Based on the department’s historical data captured for Fiscal Year 2014-15 and current Fiscal Year 2015-16 (detailed spreadsheet attached), the temporary special duty additive – general is utilized conservatively when the need is well documented, justified and consistent with the provisions stated in Article 21 of the AFSCME Master contract, “each time an employee is designated by the employee’s immediate supervisor to act in a vacant established position in a higher broadband level than the employee’s current broadband level and actually performs a major portion of the duties of the higher level position.”

Since it cannot be predicted in advance when these situations will occur, the department can only rely on historical data. Combined data illustrates that in the last and current fiscal years, a total of three temporary special duty pay additives have been issued. Two were related to assuming higher-level duties of a vacant position and one was for assuming duties of a position whose incumbent was out due to illness. The average total cost to the department was \$164.29 bi-weekly per incident. Employees in varied job classes received the pay additive; however, the data shows that the Intermodal Systems Development area of the Department is where the temporary special pay additives have been issued.



### Temporary Special Duty - General Pay Additive

Emp Id	Start Date	End Date	Wage Type	Wage Type Desc	Reason	Pos Num	Wage Type Amount	Full Name	Class Code	Class Title	District	Cost Center
178967	2/5/2015	5/6/2015	2019	TSD - ABSENT COWORKER	VACANT POSITION	008207	157.62	DEFORGE, DANIEL	4812	ENVIRONMENTAL SPECIALIST III	D7	701
756273	11/7/2014	1/30/2015	2019	TSD - ABSENT COWORKER	VACANT POSITION	000073	80.00	MAZILI, HAYAT	0105	SECRETARY SPECIALIST	D7	701
780243	7/4/2014	9/25/2014	2019	TSD - ABSENT COWORKER	FMLA	007101	255.24	MEI, FANG	4660	PROFESSIONAL ENGINEER II	D6	601



# **LEGISLATIVE BUDGET REQUEST 2016-2017**

## **Department Level Exhibits and Schedules**



*Florida Department of Transportation*


RICK SCOTT  
GOVERNOR

605 Suwannee Street  
Tallahassee, FL 32399-0450

JIM BOXOLD  
SECRETARY

**MEMORANDUM**

TO: Greg Patterson  
Budget Officer

FROM: Tom Thomas   
General Counsel

DATE: August 28, 2015

SUBJECT: Schedule VII: Agency Litigation Inventory  
2015/2016 Legislative Budget Request

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We have attached an inventory of the Department's current litigation in accordance with the Planning and Budgeting Instructions. Based on the July 17, 2015, request, we have exercised due diligence by requesting that each attorney assigned to the Office of the General Counsel in Tallahassee and each of the District Chief Counsels, including the Chief Counsel for the Turnpike Enterprise, identify any litigation cases known to them that may require additional appropriations in excess of \$500,000, may increase revenues by more than \$500,000, may impact enforceability of a current state law, or are otherwise required to be reported pursuant to section 216.023(5).

If you have any questions, or need additional information, please feel free to contact me at 414-5270.

## Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Paul J. Martin	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Angie's Transportation, Inc., Plaintiff, v. FDOT, and Secretary Prasad, Defendants.		
Court with Jurisdiction:	2 <sup>nd</sup> Judicial Circuit, Leon County		
Case Number:	2014-CA-000489		
Summary of the Complaint:	Plaintiff claims that it is being charged incorrect amounts for tolls in using a SunPass Account to pay for tolls on roads throughout Central Florida, some roads owned by the Department and others owned and operated by local expressway authorities. It further alleges that these overcharges are rampant through the toll system, the number of potential plaintiffs number in the millions, and classwide relief should be awarded against the Department for damages and other equitable relief.		
Amount of the Claim:	Indeterminate, but the alleged class members could be in the millions.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff served the class action complaint for class certification on 2/25/14. Department served its Motion to Dismiss 4/18/14. Department's Motion to Dismiss was granted and case dismissed with leave to amend within 20 days by Order dated 9/16/14. Department answered amended complaint 10/16/14. Discovery ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>Lawsuit is a class action and a class has not been certified.</p> <p>Cory S. Feinman Caddell &amp; Chapman Houston, Texas</p> <p>Jack Scarola, Searcy Denney Scarola Barnhart &amp; Shipley, P.A. Tallahassee, FL (Co-counsel)</p>
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*Office of Policy and Budget – July 2015*

## Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Roger B. Wood	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Bay Drum Superfund Site		
Court with Jurisdiction:	US DC Middle District		
Case Number:	97-1564-CIV-T-26(A)		
Summary of the Complaint:	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT has entered into a consent decree that requires it to clean this site.		
Amount of the Claim:	Potential exposure is estimated to be \$10,000,000.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	FDOT has responded to EPA's information request and has joined a Potential Responsible Party group. FDOT is a major participant due to its allocation. On 01/21/05, EPA agreed to amend the Record of Decision to provide for monitoring and natural attenuation as the remedy for the deep Floridian Aquifer. An assessment for cleanup costs was made and paid in 2011 in the amount of \$79,558.30. No additional assessment was made in 2014 and no additional assessment is expected in 2015.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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*Office of Policy and Budget – July 2015*

### Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Butler Carpet Company, d/b/a Bob's Carpet Mart, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	Second District Court of Appeal		
Case Number:	2012-2404-CI-11; 2D15-2030		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed a Notice of Voluntary Dismissal without prejudice on 05/03/10. The new Complaint was filed on 05/07/12. The Court denied FDOT's Motion to Dismiss on 08/17/2012. FDOT answered on the complaint 08/24/12. FDOT filed a Motion for Summary Judgment on 08/05/13. Department's Motion for Summary Judgment was denied 06/12/14. Trial court found for the Plaintiff and final judgment for \$2,807,000 was entered 4/7/15. Department appealed on 5/6/15. Case being briefed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	



If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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*Office of Policy and Budget – July 2015*

## Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	CHK, LLC, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	Second District Court of Appeal		
Case Number:	06-730-CI-8; 2D15-3075		
Summary of the Complaint:	This is an inverse condemnation case. CHK seeks damages for an alleged loss of access and physical invasion attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The Complaint was served on 02/09/06. The Court abating the case pending the outcome of the appeal of Fisher v. FDOT in which a private property owner asserted similar claims. FDOT received a favorable decision in Fisher on 10/11/07. On 08/18/09, Plaintiff amended its complaint to add a count for physical invasion. FDOT filed its Answer on 04/02/10. FDOT filed a Motion for Summary Judgment on 06/04/10. Plaintiff filed a Motion to Abate on 06/04/10. Plaintiff's Motion to Abate was granted on 10/05/10, pending the outcome of the appeal of Hakki v. FDOT, in which a private property owner asserted similar claims. FDOT received a favorable decision in the Hakki case on 09/20/11. Department's Motion for Summary Judgment was denied on 10/21/13. Trial court found for the Plaintiff and a final judgment in the amount of \$3,101,670 was entered 6/8/15. Department appealed on 7/7/15. Case being briefed.		
Who is representing (of record) the state in this lawsuit? Check all that	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	

apply.		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

*Office of Policy and Budget – July 2015*

### Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Erik Fenniman	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Crosspointe Baptist Church, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	2nd District Court of Appeal		
Case Number:	2D 10-4254		
Summary of the Complaint:	This is an inverse condemnation case. Plaintiff seeks damages for physical invasion of its property, flooding, and loss of access attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The Summons and Complaint were served on 07/28/08. FDOT filed its Answer on 11/24/08. On 02/16/10, the Court entered an Order of Taking, concluding that FDOT was liable only for a temporary taking for periodic ponding during significant rain events. On 08/18/10, a Stipulated Final Judgment was entered for the temporary taking. On 09/01/10, Crosspointe appealed the Court's denial of its other claims. The case was affirmed on 09/16/11. The Mandate issued on 10/07/11. Crosspointe's motion to re-open the case was granted on 09/21/12. The Complaint was served on 12/11/12. FDOT's Motion for a More Definite Statement was denied on 04/01/13. FDOT filed its Answer on 04/11/13. Mediation resulted in impasse on 02/13/14. Trial court found for the Department regarding access but found minimal takings on 02/21/15. Final Judgment is pending.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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*Office of Policy and Budget – July 2015*

### Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	FDOT, Plaintiff, v. Anchorage Inn, Defendant.		
Court with Jurisdiction:	7th Judicial Circuit, St. Johns County		
Case Number:	CA03-0753		
Summary of the Complaint:	FDOT brought an eminent domain action to acquire certain property owned by Anchorage. Anchorage responded to the eminent domain petition by filing a counterclaim seeking damages for an alleged inverse condemnation. Anchorage seeks damages for alleged loss of riparian view resulting from the reconstruction of the Bridge of Lions.		
Amount of the Claim:	\$ 3,500,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Anchorage filed its Fourth Amended Counterclaim on 04/16/10. FDOT moved to dismiss the fourth counterclaim on 04/29/10. Mediation was held on 09/20/10, resulting in impasse. FDOT filed its Answer on 02/11/11. FDOT's Motion for Summary Judgment was scheduled for hearing on 09/14/12. Trial was held on 11/26/12, awaiting a ruling by the court. Court issued order of taking on 12/26/13 denying landowner claims of riparian rights taking and granting claims of submerged land lease and upland beach takings. Notice of Appeal filed by plaintiff 1/27/14. Department's Motion to Dismiss Plaintiff's Appeal granted on 05/01/14. Plaintiff filed Motion to Set remaining issues for Trial. All claims settled at mediation for \$1,800,000 on 4/17/15.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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*Office of Policy and Budget – July 2015*

### 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>	Department of Transportation		
<b>Contact Person:</b>	Erik R. Fenniman	<b>Phone Number:</b>	414-5265
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Lamar Co., LLC, Plaintiff, v. FDOT and Collier County, Defendants		
<b>Court with Jurisdiction:</b>	20th Judicial Circuit, Lee County		
<b>Case Number:</b>	2013-CA-001307-1		
<b>Summary of the Complaint:</b>	The Plaintiff alleges compensable damages due to a noise attenuation wall blocking a billboard’s visibility.		
<b>Amount of the Claim:</b>	If successful against the Department, the claim would likely exceed \$750,000.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Section 479.24, Florida Statutes		
<b>Status of the Case:</b>	Complaint was served on 5/06/13. The Department’s Motion to Dismiss was denied on 09/18/13. Plaintiff filed amended complaint 04/17/14. Department’s Motion to Dismiss was denied on 08/11/14. Plaintiff’s filed voluntary dismissal with prejudice on 4/17/15.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	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>			



## Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Mallards Cove LLP, Plaintiff, v. Clerk of the Pasco County Circuit Court and FDOT, Defendants.		
Court with Jurisdiction:	6th Judicial Circuit, Pasco County		
Case Number:	51-2008-CA-7689ES, Division Y		
Summary of the Complaint:	The Plaintiff claims that Section 74.051(4), Florida Statutes, unlawfully deprives landowners of the interest earned on deposits with the Clerks of the Circuit Courts in eminent domain cases. Under the law, FDOT and other condemning authorities receive 90% of the interest earned on deposits made with the Court for the value of property they acquire through eminent domain.		
Amount of the Claim:	Unknown, if a class is certified will likely exceed \$1,000,000.		
Specific Statutes or Laws (including GAA) Challenged:	Section 74.051(4), Florida Statutes		
Status of the Case:	The Complaint was served on 08/19/09. FDOT served its Answer on 07/12/10. On 07/15/10, FDOT filed a Motion for Summary Judgment. On 02/22/11, the Court granted FDOT's Motion for Summary Judgment as to liability for inverse condemnation. On 04/26/11, the Court granted Plaintiff's Motion for Summary Judgment to declare the challenged statute unconstitutional. On 08/18/11, the Pasco Clerk served a crossclaim against FDOT. On 11/07/11 Plaintiff's Motion for Reconsideration of Order granting FDOT's Motion for Summary Judgment was granted and FDOT's Motion to Deposit Interest in court registry was granted. Plaintiff's Motion for Class Certification was granted on 08/24/12. FDOT filed a notice of appeal of the class certification on 01/11/13. On 03/11/13, the appeal was stayed pending the disposition of the appeal in Livingston v. Frank, Case No. 2012-5616, which appeal was set for oral argument on 09/17/13. Oral Argument held 08/06/14. Favorable opinion by 2 <sup>nd</sup> DCA in the Livingston appeal was issued on 07/28/14. On 3/17/15 2 <sup>nd</sup> DCA reverses Plaintiffs; Department wins class certification question and liability		

	determination. Review by Florida Supreme Court was denied 5/13/15.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Christa L. Collins, Esquire Jackson Bowman, Esquire	

*Office of Policy and Budget – July 2015*

### 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>	Department of Transportation		
<b>Contact Person:</b>	Roger B. Wood	<b>Phone Number:</b>	414-5265
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Peak Oil Superfund Site		
<b>Court with Jurisdiction:</b>	US DC Middle District		
<b>Case Number:</b>	97-1564-CIV-T-26(A)		
<b>Summary of the Complaint:</b>	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT has entered into a consent decree that requires it to clean this site.		
<b>Amount of the Claim:</b>	In excess of \$10,000,000.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>	FDOT has responded to the EPA's information request. FDOT Made payment pursuant to consent decree in 03/98. Implementation of remedial design in progress. Evaluation of the need for remedy in wetlands and deep aquifer is ongoing. No assessments for cleanup costs were made in 2014 and no assessment is expected for 2015.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	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>			

### Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Nicholas R. Sayat, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	6 <sup>th</sup> Judicial Circuit, Pinellas County		
Case Number:	2010-13468-CI-11		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed a Notice of Voluntary Dismissal of a prior Complaint, without prejudice, on 11/23/09. The pending Complaint was filed on 09/16/10. The Court denied FDOT's Motion to Dismiss on 06/03/2010. FDOT filed its Answer on 06/13/11. Discovery is ongoing. On 5/20/15 trial court found liability for the Department. Pursuant to the court order, the appraisal of the property taking is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

### Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Marc Peoples	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Dorothy Schwefringhaus, Plaintiff, v. CSX Transportation, Inc., Defendant/Third Party Plaintiff/Appellee, v. FDOT, Third Party Defendant/Appellant		
Court with Jurisdiction:	2 <sup>nd</sup> District Court of Appeal		
Case Number:	2D12-1097		
Summary of the Complaint:	Plaintiff sued CSX for injuries arising from an accident near a rail crossing. CSX sued FDOT for both contractual and common law indemnity for any loss or liability it incurred to Plaintiff and CSX settled the underlying claim against CSX and CSX obtained judgment against FDOT for the amount it paid Plaintiff and its attorneys' fees. FDOT is appealing the judgment in favor of CSX.		
Amount of the Claim:	\$502,462.22		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	This appeal arises from a case that was previously covered by the Division of Risk Management. On 01/18/12, the Court entered judgment on CSX's claim for contractual indemnity in favor of CSX and against FDOT in the amount of \$502,462.22. FDOT filed its Notice of Appeal on 02/14/12. FDOT filed its Initial Brief on 05/29/12. CSX's Answer Brief was filed on 09/04/12. FDOT's Reply Brief was filed on 12/05/12. Oral argument was held on 02/19/13. Second District Court of Appeal affirmed decision 2-1 and certified questions of great public importance to Supreme Court of Florida on 12/11/13. Supreme Court accepted jurisdiction on 4/3/14. Department's Initial Brief filed on 5/28/14. CSX's Answer Brief filed on 7/17/14. Department's Reply Brief filed on 9/5/14. Oral argument heard 11/4/14. Awaiting Opinion.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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*Office of Policy and Budget – July 2015*

### Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Erik R. Fenniman	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Fellsmere Water Control District, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	19 <sup>th</sup> Judicial Circuit, Volusia County		
Case Number:	12-CA-001295		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of use of canal and banks attributed to FDOT's design build reconstruction of Interstate 95. The Plaintiff has also moved for an injunction of all construction activities due to the department's failure to get a permit from the special district.		
Amount of the Claim:	\$1,800,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The pending Complaint was filed on 08/01/12 in Indian River County. The Court denied FDOT's Motion to change venue on 09/28/12. Plaintiff stipulated to change of venue to Indian River. Department's motion for judgment on the pleadings denied 05/02/13. Mediation reached an impasse on 06/04/14. Plaintiff has noticed for trial. Injunction hearing held 09/30/14 and trial court denied motion. Plaintiff filed amended complaint on 2/25/15. Department's motion to dismiss set to be heard 9/18/15.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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*Office of Policy and Budget – July 2015*



### 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.*

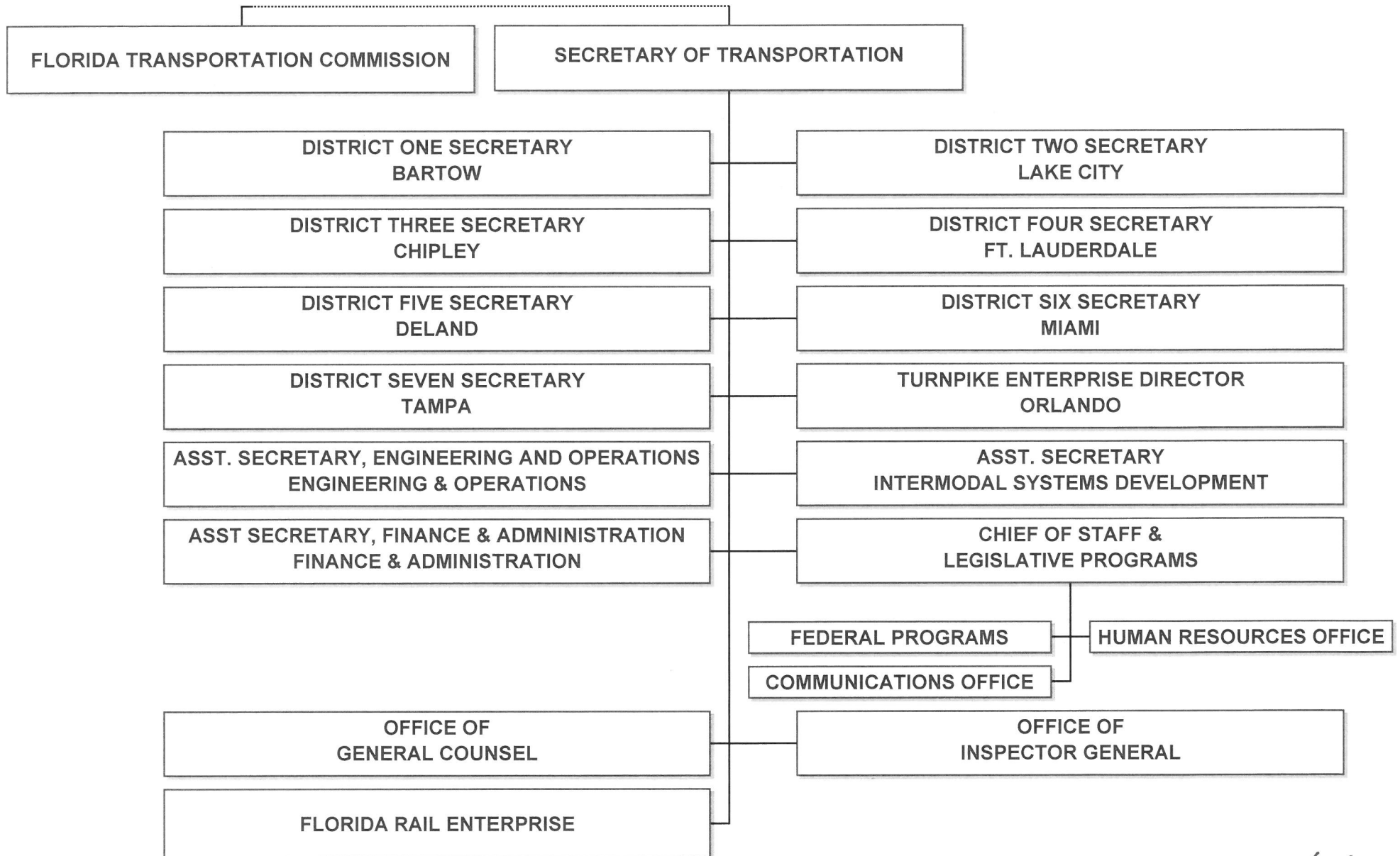
<b>Agency:</b>	Department of Transportation		
<b>Contact Person:</b>	Erik R. Fenniman	<b>Phone Number:</b>	414-5265
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Hudson Parkside LLP, Plaintiff v. FDOT, Defendant.		
<b>Court with Jurisdiction:</b>	6 <sup>th</sup> Judicial Circuit, Pinellas County		
<b>Case Number:</b>	2014-011031-CI		
<b>Summary of the Complaint:</b>	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT's reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
<b>Amount of the Claim:</b>	\$2,000,000		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>	FDOT filed its Answer on 06/09/14. Plaintiff filed second amended complaint. FDOT motion to dismiss was denied 4/7/15. Discovery ongoing.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	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>			

## 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.*

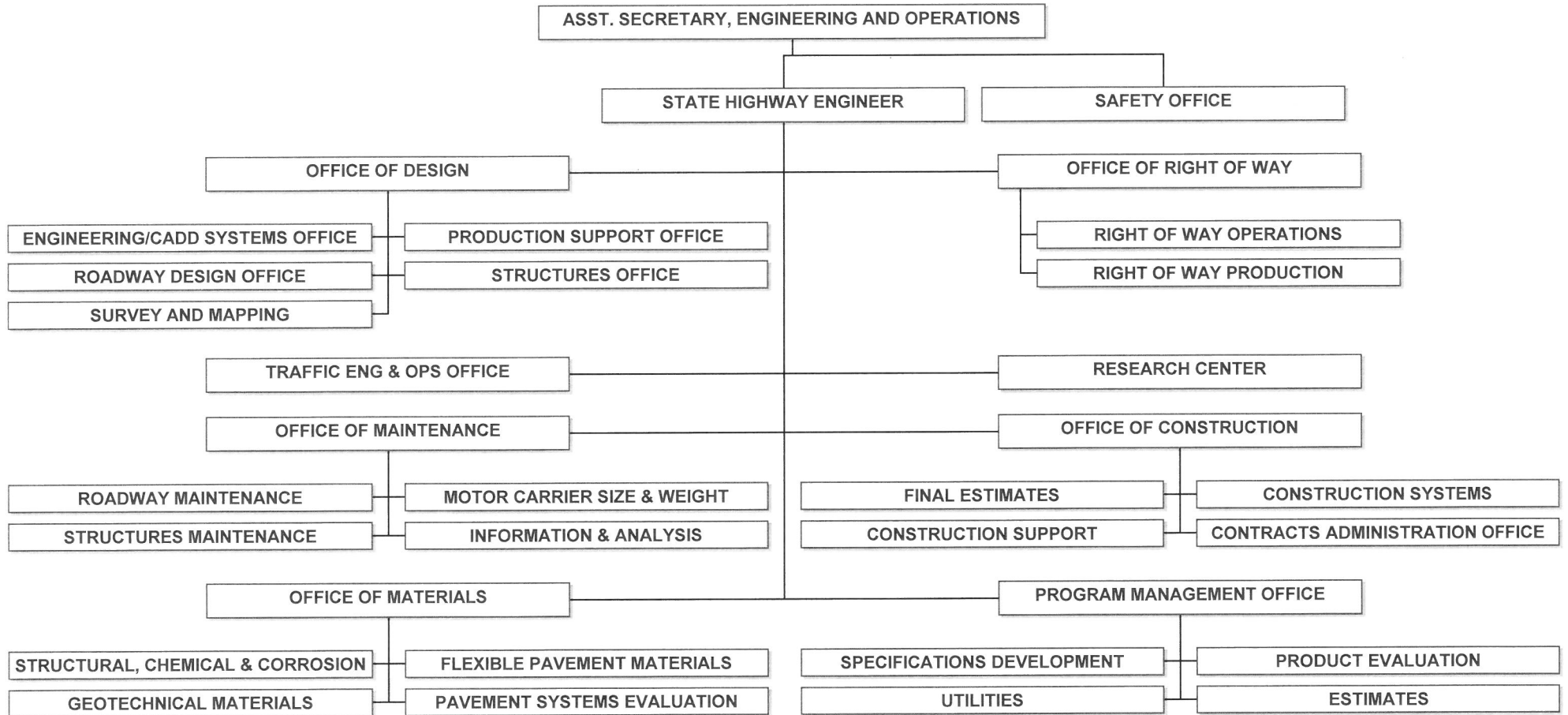
<b>Agency:</b>	Department of Transportation		
<b>Contact Person:</b>	Clint Doud	<b>Phone Number:</b>	414-5367
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Kings Avenue Redevelopment, Plaintiff v. Department of Transportation, co-defendant and Jacksonville Transportation Agency, co-defendant.		
<b>Court with Jurisdiction:</b>	4 <sup>th</sup> Judicial Circuit, Duval County		
<b>Case Number:</b>	2014-CA-2882		
<b>Summary of the Complaint:</b>	Plaintiff sued the Department alleging inverse condemnation for interference with Public Private Partnership lease with JTA in regards to transportation improvements made to the Interstate 95 overland bridge project in Jacksonville.		
<b>Amount of the Claim:</b>	\$3,500,000		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>	Plaintiff filed its complaint against the Department on 4/13/14 alleging oppressive pre-condemnation conduct, due process, civil conspiracy and inverse condemnation. Department's motion to dismiss granted to due process, civil conspiracy and oppressive conduct counts on 11/18/14. Plaintiff's filed amended complaint 12/15/14. Plaintiff's filed second amended complaint 7/15/15. Department filed motion to dismiss 7/29/15.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	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 TRANSPORTATION OFFICE OF THE SECRETARY



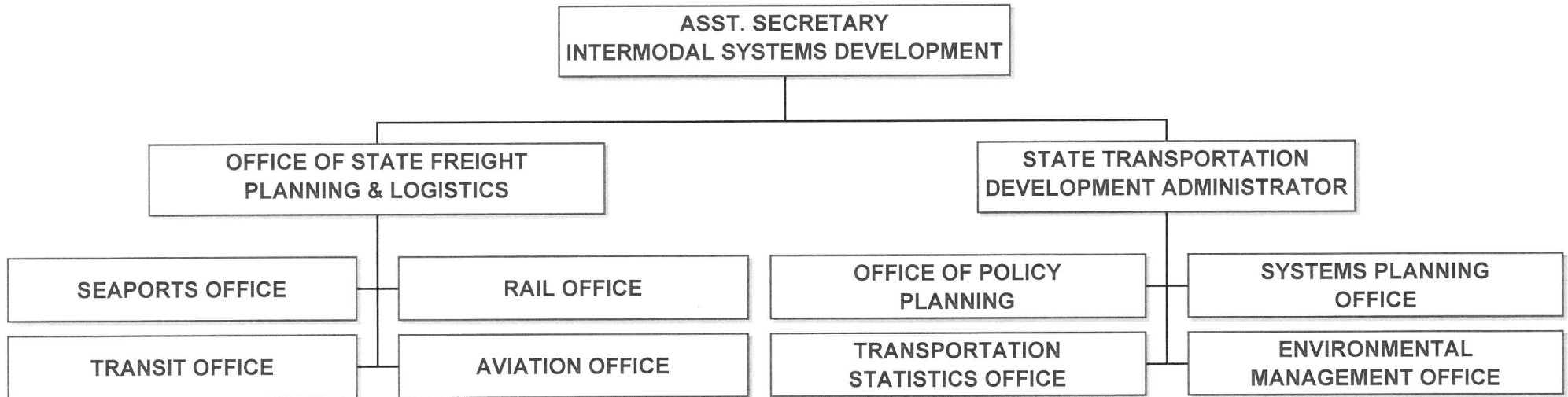
*ACB 7/29/15*

# FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR ENGINEERING AND OPERATIONS

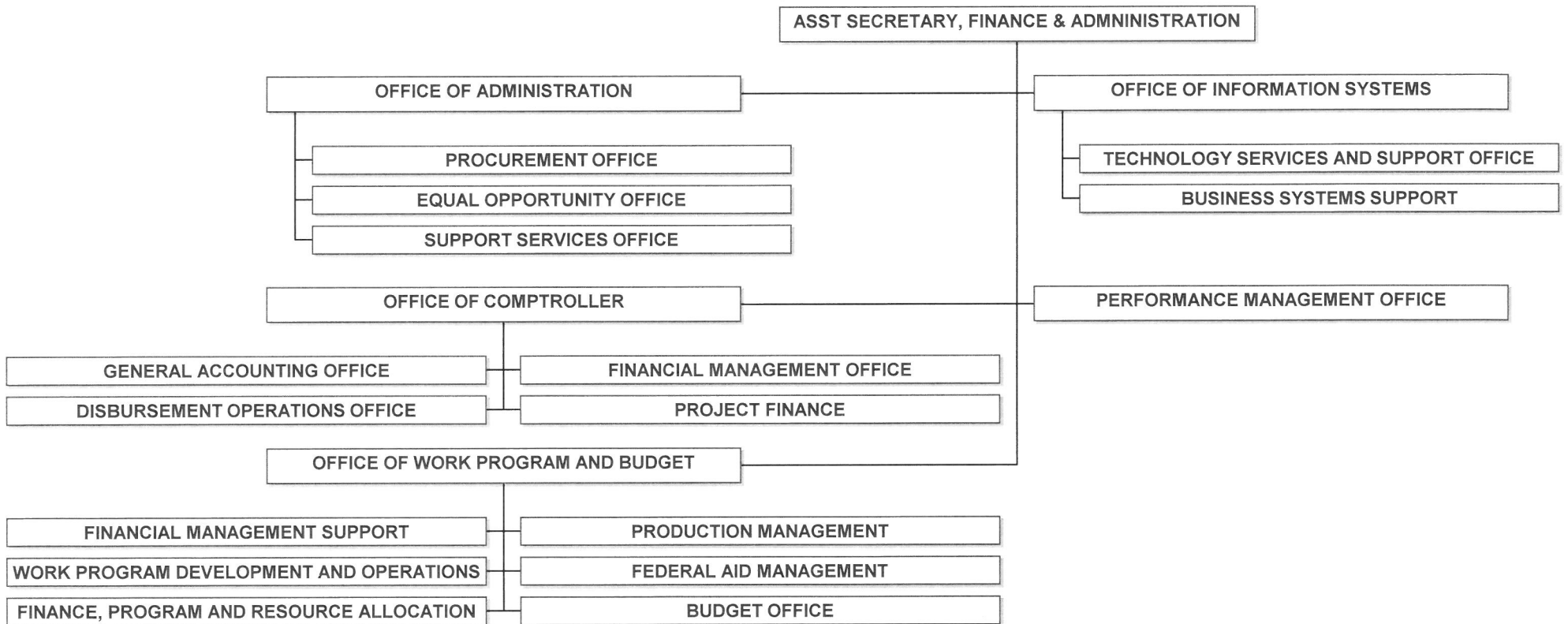


*ACB 7/29/15*

# FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR INTERMODAL SYSTEMS DEVELOPMENT



# FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR FINANCE AND ADMINISTRATION



TRANSPORTATION, DEPARTMENT OF		FISCAL YEAR 2014-15			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		745,955,031		9,374,163,237	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		1,413,536		992,045,868	
FINAL BUDGET FOR AGENCY		747,368,567		10,366,209,105	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					0
Intrastate Highways * Intrastate highway lane miles contracted for highway capacity improvements.		329	0.00		3,049,437,705
Arterial Highways * Arterial highway lane miles contracted for highway capacity improvements.		11	0.00		187,424,048
Resurface Roads * Number of lane miles contracted for resurfacing.		3,060	0.00		594,002,672
Repair And Replace Bridges * Number of bridges contracted for repair or replacement.		85	0.00		186,730,791
Preliminary Engineering * Number of projects with preliminary engineering provided.		1,038	124,233.02	128,953,877	772,597,990
Materials Testing And Research * Number of projects with materials and research provided.		46	823,586.11	37,884,961	11,067,856
Construction Engineering Inspection * Number of projects with construction engineering inspection provided.		483	163,875.86	79,152,040	366,035,696
Planning * Number of projects with planning provided.		321	77,004.59	24,718,472	86,119,155
Right Of Way Land * Number of Right-of-Way parcels acquired.		1,318	0.00		385,774,538
Right Of Way Support * Number of projects with right of way support provided.		861	33,838.51	29,134,954	49,813,491
Aviation * Number of aviation projects.		247	0.00		319,368,475
Transit * Number of public transit passenger trips provided.		277,450,034	0.00		286,563,327
Transportation Disadvantaged * Number of trips provided (transportation disadvantaged).		8,000,000	8.15	65,200,291	
Rail * Number of rail projects.		142	0.00		160,441,100
Intermodal * Number of intermodal projects.		28	0.00		35,234,589
Seaports * Number of seaport projects.		28	0.00		109,205,144
Bridge Inspection * Number of bridge inspections conducted.		5,771	0.00		12,717,576
Routine Maintenance * Lane miles maintained on the State Highway System.		43,665	4,958.75	216,523,628	466,088,076
Traffic Engineering * Number of projects with traffic engineering provided.		41	765,635.07	31,391,038	100,288,976
Motor Carrier Compliance *		23,030,259	0.57	13,235,474	
Toll Operations * Number of toll transactions.		893,280,513	0.08	75,925,111	136,925,005
TOTAL				702,119,846	7,315,836,210
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				10,003,665	429,473,237
REVERSIONS				29,088,084	2,620,899,659
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				741,211,595	10,366,209,106

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

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

Footnotes to Schedule XI, Agency Level Unit Cost  
Summary - September 2015 Submission

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

Activity/Measure	Number of Units	Unit Cost	FY 2014/15 Expenditures		
			Allocated	FCO	Total
Exec Direction and Info Tech					
Intrastate Highways (Intrastate highways lane miles contracted for highway capacity improvements)	329	9,268,807.61		3,049,437,705	3,049,437,705
Arterial Highways (Arterial highways lane miles contracted for highway capacity improvements)	11	17,038,549.82		187,424,048	187,424,048
Resurface Roads (Number of lane miles contracted for resurfacing)	3,060	194,118.52		594,002,672	594,002,672
Repair and Replace Bridges (Number of bridges contracted for repair or replacement)	85	2,196,832.84		186,730,791	186,730,791
Preliminary Engineering (Number of projects with preliminary engineering provided)	1,038	868,547.08	128,953,877	772,597,990	901,551,867
Material Testing and Research (Number of projects with materials and testing provided)	46	1,064,191.67	37,884,961	11,067,856	48,952,817
Construction Engineering Inspection (Number of projects with Construction Engr provided)	483	921,713.74	79,152,040	366,035,696	445,187,736
Planning (Number of projects with planning provided)	321	345,288.56	24,718,472	86,119,155	110,837,627
Right of Way Land (Number of Right-of-Way parcels acquired)	1,318	292,696.92		385,774,538	385,774,538



Footnotes to Schedule XI, Agency Level Unit Cost  
Summary - September 2015 Submission

Activity/Measure	Number of Units	Unit Cost	FY 2014/15 Expenditures		
			Allocated	FCO	Total
Right of Way Support (Number of projects with right-of-way support provided)	861	91,693.90	29,134,954	49,813,491	78,948,445
Aviation (Number of aviation projects)	247	1,292,989.78		319,368,475	319,368,475
Transit (Number of public transit passenger trips provided)	277,450,034	1.03		286,563,327	286,563,327
Transportation Disadvantaged (Number of trips provided (transportation disadvantaged))	8,000,000	8.15	65,200,291		65,200,291
Rail (Number of rail projects)	142	1,129,866.90		160,441,100	160,441,100
Intermodal (Number of intermodal projects)	28	1,258,378.18		35,234,589	35,234,589
Seaports (Number of Seaport projects)	28	3,900,183.71		109,205,144	109,205,144
Public Transportation Operations (Number of projects in public transportation operations)		#DIV/0!			0
Bridge Inspection (Number of bridges inspected)	5,771	2,203.70		12,717,576	12,717,576
Routine Maintenance (Lane miles maintained on the State Highway System)	43,665	15,632.93	216,523,628	466,088,076	682,611,704
Traffic Engineering (Number of projects with traffic engineering provided)	41	3,211,707.66	31,391,038	100,288,976	131,680,014
Motor Carrier Compliance (Number of commercial vehicles weighed)	23,030,259	0.57	13,235,474		13,235,474
Toll Operations (Number of toll transactions)	893,280,513	0.24	75,925,111	136,925,005	212,850,116
<b>Total</b>			<b>702,119,846</b>	<b>7,315,836,210</b>	<b>8,017,956,056</b>

Footnotes to Schedule XI, Agency Level Unit Cost  
Summary - September 2015 Submission

1. The expenditures exception of \$6,156,972 noted at the end of Section III relates to the Carry Forward budget for the Rail Enterprise & Turnpike budget entities. It shows that Sections II and III (expenditures plus reversions) do not account for \$6,156,972 of budget that was available in 2014/15 as reflected in Section I. Rail Enterprise & Turnpike operating budget that was eligible to be retained as Carry Forward budget in 2015/16 is not reflected as either a reversion in Column G69 nor as an expenditure in Column A01. Therefore, it is not captured in either Section II or III totals. However, it is appropriate that this amount not be counted as a 2014/15 expenditure in Section II because this budget was neither disbursed nor committed at June 30, 2015.
2. The measure "Number of projects in public transportation operations" no longer adequately reflects the public transportation operations unit/cost performance. The FDOT is moving away from 'number of projects' and is moving towards 'revenue hours' as this unit of measure better reflects Florida's transit systems operations. A formal request for performance measure wording change is forthcoming in the next few months.



# **LEGISLATIVE BUDGET REQUEST 2016-2017**

## **Budget Entity Level Exhibits and Schedules**



**LEGISLATIVE  
BUDGET REQUEST  
2016-2017**

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2016 - 2017**

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

	Balance as of 6/30/2015	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	505,241 (A)		505,241
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	19,936,842 (C)		19,936,842
ADD: Outstanding Accounts Receivable	18,490 (D)		18,490
ADD: Anticipated revenues for future commitments	(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>20,460,573 (F)</b>	<b>0</b>	<b>20,460,573</b>
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	(H)		0
Approved "B" Certified Forwards	(H)		0
Approved "FCO" Certified Forwards	12,716,640 (H)		12,716,640
LESS: Other Accounts Payable (Nonoperating)	38,981 (I)		38,981
LESS: FCO not included on Sch I	7,704,952 (J)		7,704,952
<b>Unreserved Fund Balance, 07/01/15</b>	<b>0 (K)</b>	<b>0</b>	<b>0</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2016 - 2017**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/15**

Total all GLC's 5XXXX for governmental funds; 81,294,399 (A)  
 GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment # and Description   (C)

SWFS Adjustment # and Description   (C)

**Add/Subtract Other Adjustment(s):**

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

Approved "E" Carry Forward Total (FCO) per LAS/PBS (12,716,640) (D)

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

FCO not included on Schedule 1 (7,704,952) (D)

FCO - Long-Term Assets (61,758,252) (D)

FCO - Account Payable 885,445 (D)

**ADJUSTED BEGINNING TRIAL BALANCE:** (0.00) (E)

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

**DIFFERENCE:** (0) (G)\*

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2016 - 2017
<b>Trust Fund Title:</b>	Department of Transportation
<b>Budget Entity:</b>	Turnpike General Reserve TF
<b>LAS/PBS Fund Number:</b>	2326

	Balance as of 6/30/2015	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	1,420,336 (A)		1,420,336
ADD: Other Cash (See Instructions)	1,908,471 (B)		1,908,471
ADD: Investments	627,207,252 (C)		627,207,252
ADD: Outstanding Accounts Receivable	43,102,482 (D)		43,102,482
ADD: Anticipated revenues for future commitments	573,815,892 (E)		573,815,892
<b>Total Cash plus Accounts Receivable</b>	<b>1,247,454,433 (F)</b>	<b>0</b>	<b>1,247,454,433</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
LESS Approved "B" Certified Forwards			0
LESS Approved "FCO" Certified Forwards	1,206,933,717 (H)		1,206,933,717
LESS: Other Accounts Payable (Nonoperating)	38,210,863 (I)		38,210,863
LESS: Unearned Revenue	2,309,853 (J)		2,309,853
LESS: _____			0
<b>Unreserved Fund Balance, 07/01/15</b>	<b>0 (K)</b>	<b>0</b>	<b>0 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

	<b>Budget Period: 2016 - 2017</b>
<b>Department Title:</b>	Department of Transportation
<b>Trust Fund Title:</b>	Turnpike General Reserve TF
<b>LAS/PBS Fund Number:</b>	2326

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/15**  
 Total all GLC's 5XXXX for governmental funds; 7,249,287,802 (A)  
 GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment # (C)

SWFS Adjustment # and Description (C)

**Add/Subtract Other Adjustment(s):**

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

Approved "E" Carry Forward Total (FCO) per LAS/PBS (1,206,933,717) (D)

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

A/P not C/F-FCO 32,865,189 (D)

Long-Term Receivables (397,193,439) (D)

Deferred Charges (D)

Goods Purchased for Resale (1,550,176) (D)

Prepays (234,143) (D)

Non-Spendable Investments (156,342,439) (D)

Current Bonds Payable 127,045,000 (D)

Deferred Inflows on Service Concession Arrangements 137,108,410 (D)

Long-Term Unearned Revenue 500,330 (D)

Long-Term Payables from Restricted Assets 110,661,820 (D)

Long-Term Bonds Payable 2,767,374,296 (D)

Fixed Assets GLC 26xxx (7,119,533,950) (D)

Fixed Assets GLC 27xxx (2,103,209,721) (D)

Fixed Assets GLC 28xxx (13,661,155) (D)

Anticipated revenues for future commitments 573,815,892 (D)

Other Restricted (D)

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

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

**DIFFERENCE:** (0) (G)\*

**\*SHOULD EQUAL ZERO.**



**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** TRANSPORTATION **Budget Period:** 2016 - 17  
**Program:** OUTDOOR ADVERTISING  
**Fund:** 2540  
**Specific Authority:** Chapter 479, Florida Statutes  
**Purpose of Fees Collected:** To offset the total cost of the outdoor advertising program

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2014 - 15</b>	<b>FY 2015 - 16</b>	<b>FY 2016 - 17</b>
<b>Receipts:</b>			
Permit Renewals/New Tags	\$1,284,754.25	\$1,285,100.00	\$1,285,100.00
Licenses	\$177,600.00	\$175,000.00	\$175,000.00
Reinstatements/Delinquent Fees	\$8,661.60	\$8,739.81	\$7,261.75
Other Receipts	\$14,554.58	\$36,944.58	\$16,033.71
<b>Total Fee Collection to Line (A) - Section III</b>	<b>\$1,485,570.43</b>	<b>\$1,505,784.39</b>	<b>\$1,483,395.46</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<b>Direct Costs:</b>			
Salaries and Benefits	\$432,829.96	\$435,000.00	\$440,000.00
Other Personal Services			
Expenses	\$1,021,427.38	\$1,060,362.00	\$1,050,052.39
Operating Capital Outlay			
Deficiency Recapture	\$0.00	\$0.00	\$0.00
Indirect Costs Charged to Trust Fund			
<b>Total Full Costs to Line (B) - Section III</b>	<b>\$1,454,257.34</b>	<b>\$1,495,362.00</b>	<b>\$1,490,052.39</b>

Basis Used: \_\_\_\_\_

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	\$1,485,570.43	\$1,505,784.39
TOTAL SECTION II	(B)	\$1,454,257.34	\$1,490,052.39
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>\$31,313.09</b>	<b>(\$6,656.93)</b>

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2016 - 2017
<b>Trust Fund Title:</b>	Department of Transportation
<b>Budget Entity:</b>	State Transportation Trust Fund
<b>LAS/PBS Fund Number:</b>	2540

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	130,452,204	(A)		130,452,204
ADD: Other Cash (See Instructions)	172,470	(B)		172,470
ADD: Investments	547,389,179	(C)		547,389,179
ADD: Outstanding Accounts Receivable	512,826,975	(D)	(1,902,525)	510,924,450
ADD: Estimated cash forecast for FCO projects	8,151,962,993	(E)		8,151,962,993
<b>Total Cash plus Accounts Receivable</b>	<b>9,342,803,821</b>	(F)	<b>(1,902,525)</b>	<b>9,340,901,296</b>
LESS Allowances for Uncollectibles	1,438,022	(G)		1,438,022
LESS Approved "A" Certified Forwards	12,904,541	(H)		12,904,541
LESS Approved "B" Certified Forwards	15,016,376	(H)		15,016,376
LESS Approved "FCO" Certified Forwards	8,948,041,350	(H)		8,948,041,350
LESS: Other Accounts Payable (Nonoperating)	9,553,253	(I)		9,553,253
LESS: Unearned Revenue	288,424,818	(J)		288,424,818
LESS: Deferred Inflows - Current Portion	65,522,935	(J)		65,522,935
<b>Unreserved Fund Balance, 07/01/15</b>	<b>1,902,525</b>	(K)	<b>(1,902,525)</b>	<b>0</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

	<b>Budget Period: 2016 - 2017</b>
<b>Department Title:</b>	Department of Transportation
<b>Trust Fund Title:</b>	State Transportation Trust Fund
<b>LAS/PBS Fund Number:</b>	2540

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/15</b>	
Total all GLC's 5XXXX for governmental funds;	1,886,759,022 (A)
GLC 539XX for proprietary and fiduciary funds	

<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	(516,685,932) (B)
---	-------------------

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

SWFS Adjustment #	
-------------------	--

SWFS Adjustment #	
-------------------	--

SWFS Adjustment # B5500001	505,588,608 (C)
----------------------------	-----------------

**Add/Subtract Other Adjustment(s):**

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(15,016,376) (D)
---	------------------

Approved "E" Carry Forward Total (FCO) per LAS/PBS	(8,948,041,350) (D)
--	---------------------

A/P not C/F-Operating Categories	13,077,405 (D)
----------------------------------	----------------

FCO not C/F	347,532,660 (D)
-------------	-----------------

Compensated Absences	5,687,280 (D)
----------------------	---------------

Deferred Outflows	(68,145,676) (D)
-------------------	------------------

Advances and Receivables- L/T	(1,201,422,991) (D)
-------------------------------	---------------------

Allowance for Uncollectibles - L/T	9,499,296 (D)
------------------------------------	---------------

Nonstate & Cu Investments with Stat	(937,350,364) (D)
-------------------------------------	-------------------

Deferred Inflows	766,555,425 (D)
------------------	-----------------

Estimated Cash Forecast for FCO Projects	8,151,962,993 (D)
--	-------------------

<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>(0)</b> (E)
--	----------------

<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>0</b> (F)
--	--------------

<b>DIFFERENCE:</b>	<b>(0)</b> (G)*
--------------------	-----------------

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2016 - 2017
<b>Trust Fund Title:</b>	Department of Transportation
<b>Budget Entity:</b>	Right of Way Acquisition/Bridge Construction TF
<b>LAS/PBS Fund Number:</b>	2586

	Balance as of 6/30/2015		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	2,005,138	(A)		2,005,138
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments	79,175,891	(C)		79,175,891
ADD: Outstanding Accounts Receivable	59,721	(D)		59,721
ADD: Anticipated revenues for future commitments	5,599,804	(E)		5,599,804
<b>Total Cash plus Accounts Receivable</b>	<b>86,840,553</b>	(F)	<b>0</b>	<b>86,840,553</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
LESS Approved "B" Certified Forwards		(H)		0
LESS Approved "FCO" Certified Forwards	86,834,245	(H)		86,834,245
LESS: Other Accounts Payable (Nonoperating)	6,308	(I)		6,308
LESS:		(J)		0
<b>Unreserved Fund Balance, 07/01/15</b>	<b>0</b>	(K)	<b>0</b>	<b>0</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2016 - 2017**

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

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/15</b>	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	75,917,941 (A)
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	(B)
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>	
SWFS Adjustment #	(C)
SWFS Adjustment #	(C)
SWFS Adjustment #	(C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	(86,834,245) (D)
A/P not C/F-Operating Categories	(D)
Anticipated revenues for future commitments	5,599,804 (D)
FCO Account Payables	5,316,499 (D)
	(D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	(0) (E)
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	0 (F)
<b>DIFFERENCE:</b>	(0) (G)*

**\*SHOULD EQUAL ZERO.**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2016 - 2017</b>
<b>Trust Fund Title:</b>	Department of Transportation
<b>Budget Entity:</b>	Transportation Disadvantaged TF
<b>LAS/PBS Fund Number:</b>	2731

	Balance as of 6/30/2015		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	1,138,425	(A)			1,138,425
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	21,752,046	(C)			21,752,046
ADD: Outstanding Accounts Receivable	3,764,953	(D)	(2,124,711)		1,640,242
ADD:		(E)			0
<b>Total Cash plus Accounts Receivable</b>	<b>26,655,425</b>	(F)	<b>(2,124,711)</b>		<b>24,530,714</b>
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	42,619	(H)			42,619
Approved "B" Certified Forwards	20,723,179	(H)			20,723,179
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	2,297	(I)			2,297
LESS:		(J)			0
<b>Unreserved Fund Balance, 07/01/15</b>	<b>5,887,329</b>	(K)	<b>(2,124,711)</b>		<b>3,762,618</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2016 - 2017**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/15**

Total all GLC's 5XXXX for governmental funds; 19,799,667 (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment  (C)

SWFS Adjustment # B5500003 (2,124,711) (C)

**Add/Subtract Other Adjustment(s):**

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (20,723,179) (D)

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

A/P not C/F-Operating Categories 6,798,648 (D)

Compensated Absences 12,193 (D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 3,762,618 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 3,762,618 (F)

**DIFFERENCE:** (0) (G)\*

**\*SHOULD EQUAL ZERO.**

# SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WP11)

For Fiscal Year 2016-17



September 15, 2015

FLORIDA DEPARTMENT OF TRANSPORTATION



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### I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Transportation	Schedule IV-B Submission Date: September 15, 2015
Project Name: Work Program Integration Initiative	Is this project included in the Agency's LRPP? <input type="checkbox"/> Yes <input type="checkbox"/> No
FY 2015-16 LBR Issue Code: 36233CO	FY 2016-17 LBR Issue Title: Work Program Integration Initiative
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Ms. Lisa Saliba, 840-414-4622, <a href="mailto:Lisa.Saliba@dot.state.fl.us">Lisa.Saliba@dot.state.fl.us</a>	
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: Jim Boxold, Secretary of Transportation	Date:
Agency Chief Information Officer (or equivalent):  Printed Name: April Blackburn, Chief Information Officer	Date:
Budget Officer:  Printed Name: Greg Patterson	Date:
Planning Officer:  Printed Name: Michelle Marcum	Date:
Project Sponsor:  Printed Name: Rachel Cone, Assistant Secretary of Finance and Administration	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Sharon Jackson, 850-414-4469 <a href="mailto:Sharon.Jackson2@dot.state.fl.us">Sharon.Jackson2@dot.state.fl.us</a>
Cost Benefit Analysis:	Stephanie Tanner, 850-410-5563 <a href="mailto:Stephanie.Tanner@dot.state.fl.us">Stephanie.Tanner@dot.state.fl.us</a>
Risk Analysis:	Stephanie Tanner, 850-410-5563 <a href="mailto:Stephanie.Tanner@dot.state.fl.us">Stephanie.Tanner@dot.state.fl.us</a>
Technology Planning:	Stephanie Tanner, 850-410-5563 <a href="mailto:Stephanie.Tanner@dot.state.fl.us">Stephanie.Tanner@dot.state.fl.us</a>
Project Planning:	Stephanie Tanner, 850-410-5563 <a href="mailto:Stephanie.Tanner@dot.state.fl.us">Stephanie.Tanner@dot.state.fl.us</a>

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

### A. Background and Strategic Needs Assessment

#### 1. Business Need

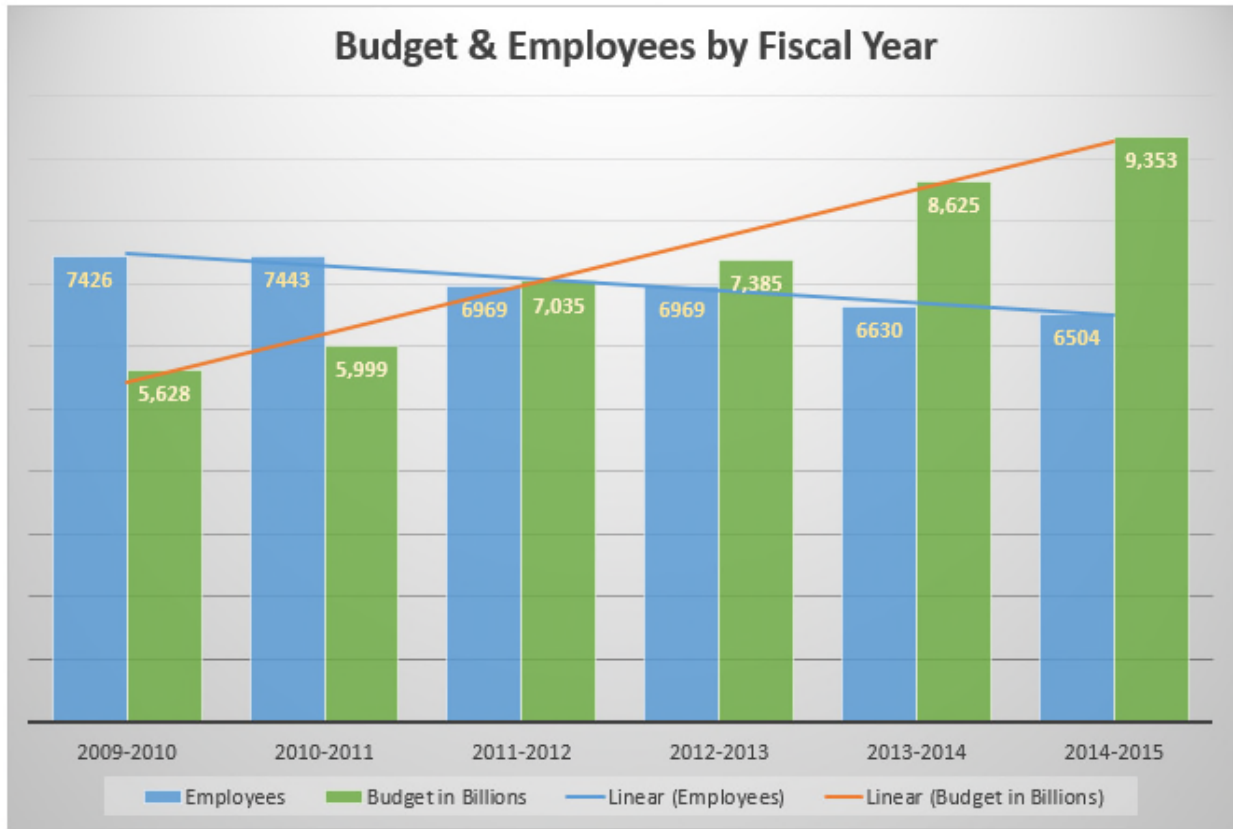
The Florida Department of Transportation (FDOT or Department) is an executive branch agency with primary statutory responsibility to coordinate the planning and development of a safe, viable, and balanced state transportation system serving all regions of the state, and to assure the compatibility of all components, including multimodal facilities. Florida’s transportation system includes roadway, air, rail, sea, spaceports, bus transit, and bicycle and pedestrian facilities.

Pursuant to Florida Statute 339.135, the Department is authorized to develop the State’s Transportation Adopted Five-Year Work Program. Transportation improvements and activities are planned and built to meet the objectives and priorities of the 2060 Florida Transportation Plan (FTP). The Work Program contains the specific transportation projects and services to be undertaken during each of the next five fiscal years.

The Five-Year Work Program is financed primarily through dedicated transportation revenues. The Legislature approves the Work Program each year, authorizing a commitment budget for the upcoming fiscal year through the General Appropriations Act, and oversees amendments throughout the fiscal year. All transportation projects administered by the Department must be incorporated into the FDOT Work Program. The purpose of the Work Program is to effectively and efficiently administer, on a project-specific basis, Florida’s long-term strategic transportation needs.

FDOT is one of the State of Florida’s largest agencies, with a \$9.8 billion appropriation for FY 2015-2016 and Five-Year Adopted Work Program for FY 2016 through FY 2020 totaling \$42.2 billion. In addition, over \$10.2 billion was included in FDOT’s certification forward request for FY 2016. FDOT currently has 6,404 employees statewide. The Department’s budget and funding has increased over recent years while the number of state staff has progressively decreased. Changes in business functions and implementation of process efficiencies has contributed to these changes.

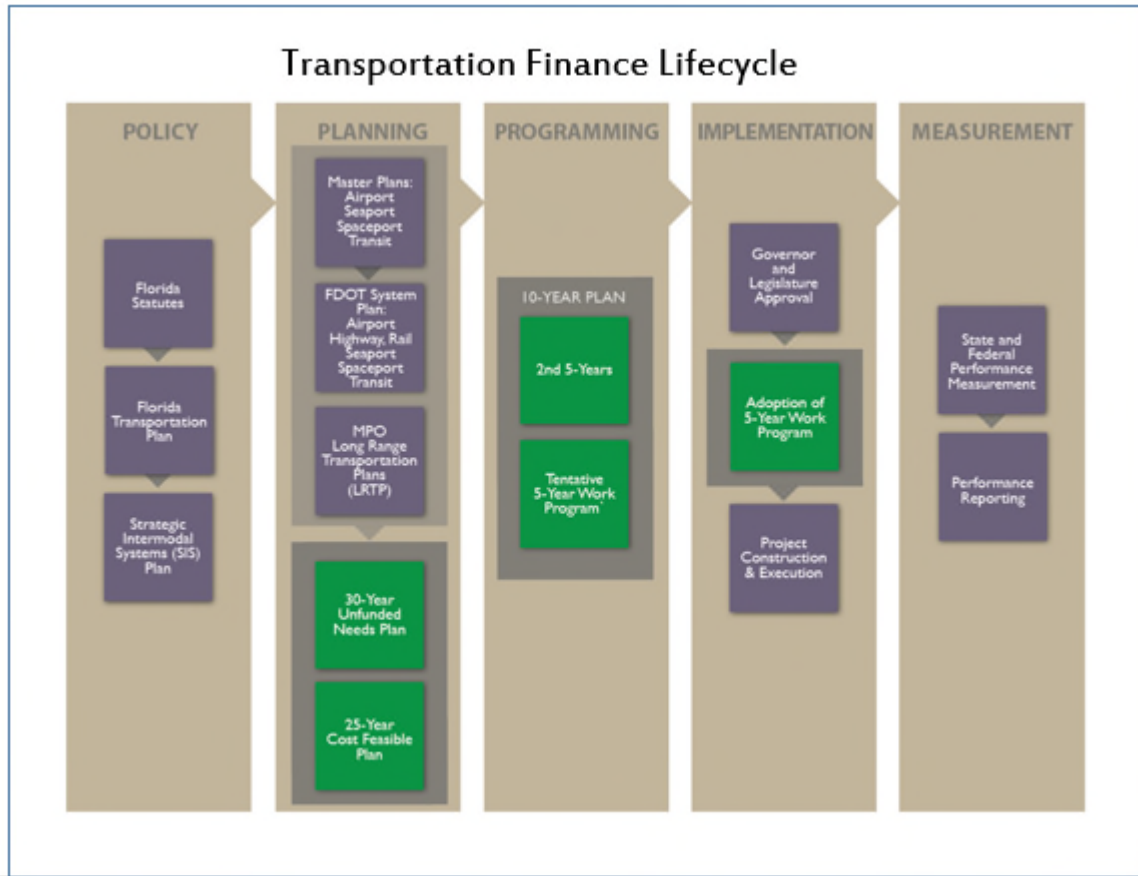
Fiscal Year	Work Program Funding	FDOT Number of Employees
15/16	9,285,185,214	6454
14/15	9,353,760,490	6504
13/14	8,625,523,508	6630
12/13	7,385,811,120	6939
11/12	7,032,925,835	6939
10/11	5,999,917,693	7443
09/10	5,628,465,184	7426
Variance	3,656,720,030	972



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

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

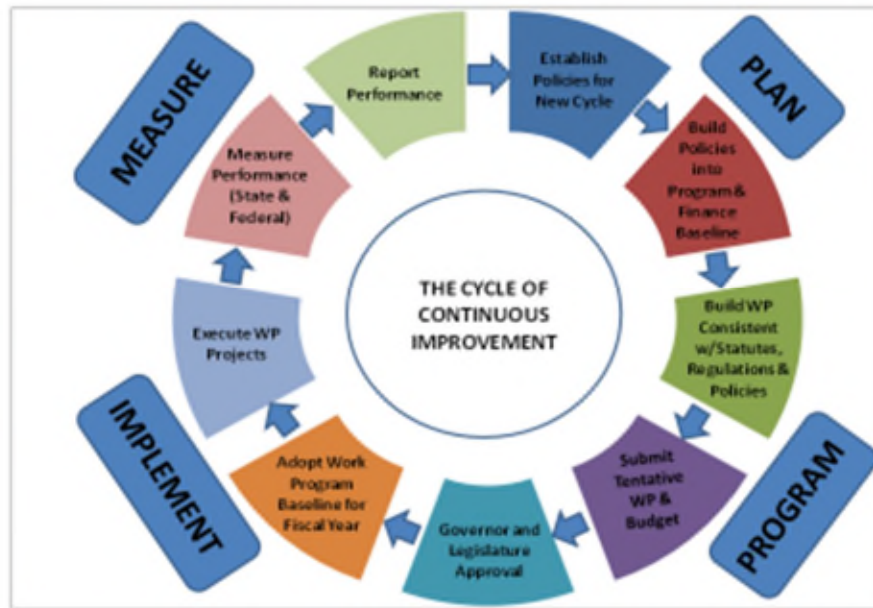
Exhibit II-1: Transportation Program Process



FDOT has a framework for transforming policies and plans into action. The framework also facilitates transportation investment decisions. This transportation finance lifecycle framework is illustrated in Exhibit II-2 below.

Exhibit II-2: Transportation Finance Lifecycle

### TRANSPORTATION FINANCE LIFECYCLE



To plan, program, implement and measure the life cycle of its projects, an expansive range of data must be available on demand and presented from multiple points of view to build and show the full transportation picture. The essential need for instantaneous availability of large amounts of data from various platforms and systems has reached a critical stage. Currently, the department’s information management efforts are not completely integrated which creates complexity and adds risks to the business environment. Issues with the current information management systems include:

- Discrete systems manage data with no effective means to provide seamless views into the vast array of department information assets. Aggregating data across systems is manually time consuming, dependent on a few expert staff. This heightens the risk of information accuracy and timeliness of data retrieval is growing as the systems age.
- The absence of consistent, predictable, and repeatable information management disciplines is preventing FDOT from acting as an integrated whole and sharing information across its enterprise. Because the various operating units within FDOT do not know what information is available in other units or how it is stored, it may not be shared, internally or externally, in the most effective manner.

This information is invaluable to the many tasks that comprise the creation and implementation of the Annual Five-Year Work Program.

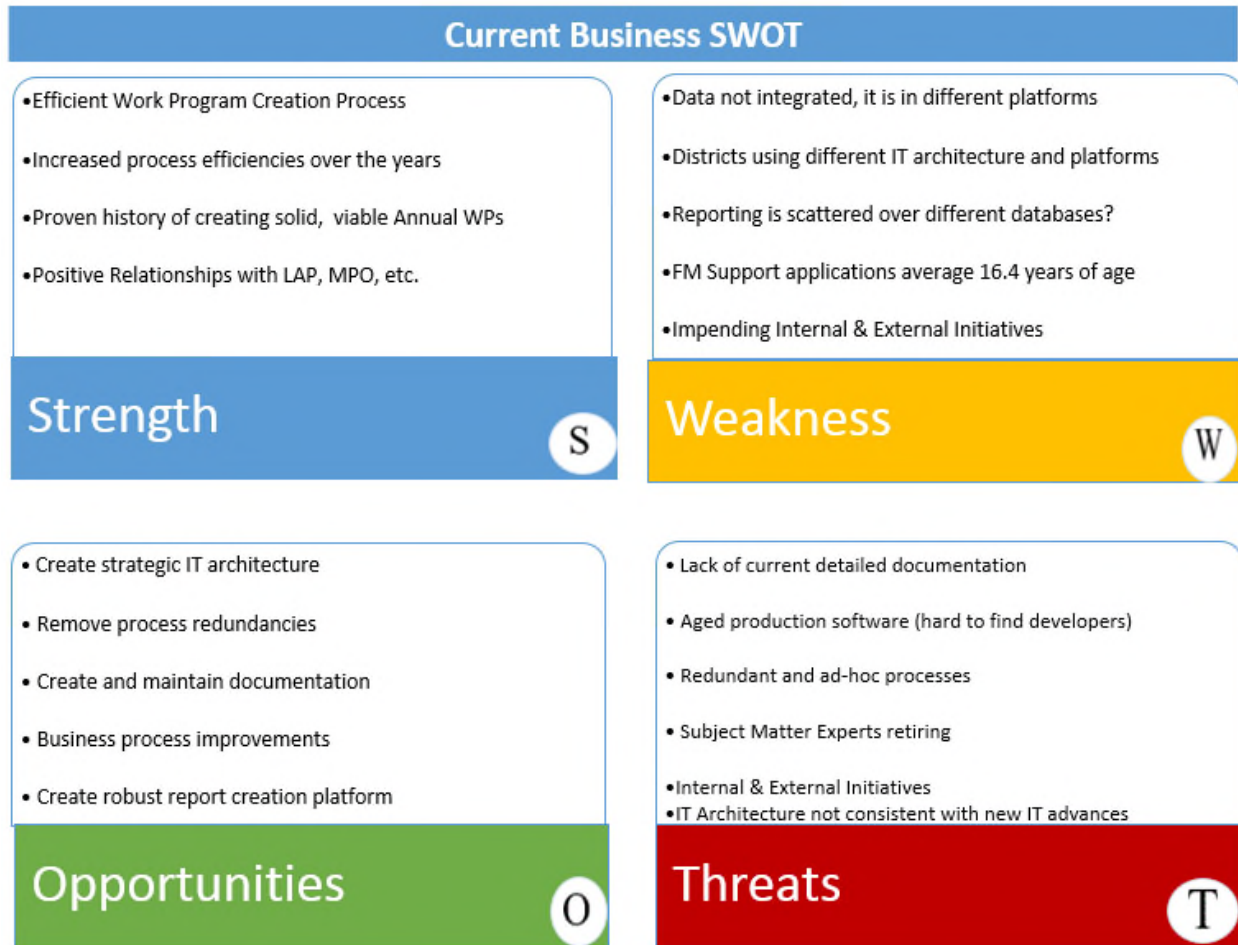
The FDOT Offices of Comptroller and Work Program & Budget partner to deliver the continuum of the Department's financial services to include planning, development, finance, administration, quality assurance and quality control. Functions support the primary mission to develop, finance and implement the Annual Five-Year Work Program. Currently the Department utilizes custom-written applications comprising the Financial Management (FM) Suite that automates critical business processes which address:

- Development, monitoring and management of the Department's Work Program
- Authorization, Program Management, Billing and Reimbursements of Federal Funding
- Management of Grant related funds
- Management of the Department's Cost Accounting functions
- Monitoring of the actual financial commitments of the Department's Work Program.

The Financial Management Suite consisting of four applications have the foundational role in the transportation finance lifecycle. The support functions of FM were developed in response to a disconnection between budget appropriations, funding sources, project estimates and actual commitment information which resulted in a cash shortfall. Every line of FDOT business uses some component of the FM Suite and many business unit program-specific computer applications access or exchange data with FM Suite's applications.

There are many risks and concerns that led FDOT Management to examine modernizing the FM Suite and supporting applications. These risks include:

- Systems have been modified over the years due to changes to or the implementation of new state statutes, federal regulations, and mandates. These initiatives have triggered changes to rules related to basic business processes, systems and/or system interfaces. These changes were vital to the continuity of FDOT business, however, maintaining consistent business rules across these systems is difficult at best and creates the opportunity for missing, conflicting and inaccurate data.
  - Varying degrees of system documentation exist across the enterprise causing maintenance difficulties for staff. The lack of documentation also present risks as succession planning and training is needed to fill positions due to retirement of long-term subject matter experts.
- Extraneous or redundant processes and 'work-arounds' have been created in an attempt to alleviate inefficiencies that may be resolved with updated technology and providing a decrease in data storage cost and data retrieval response times.
- Central Office and District Offices' architectures have evolved over time rather than being intentionally designed and implemented.



**The Work Program Integration Initiative** is the Department’s effort to leverage new technology to support the delivery of the \$40 billion dollar, Annual 5-Year Work Program. Funding is necessary to ensure FDOT’s continued successful management of the Work Program. It is critical for the Department to establish an overall enterprise architecture which links the financial aspects of its projects and grants with key contract management data, business processes and all financial related information.

In 2013, the Department undertook the first portion of the WPII project with an effort which inventoried the full scope of the Department’s systems and applications which are a part of the transportation finance lifecycle. The project team conducted stakeholder interviews with the business owners and/or key users of FDOT’s systems, then conducted follow-up work sessions as required with business users, FDOT Office of Information Technology (OIT) staff supporting the system or business unit staff responsible for supporting the current systems.

This significant stakeholder outreach effort resulted in 317 FDOT staff providing vital information regarding applications representing various offices which included FDOT Central Office, cross functional groups from each of the seven districts and the Florida Turnpike Enterprise. The deliverables provided through this engagement gave the Department a full-scale analysis of the systems involved in the transportation finance lifecycle. For the systems identified in the financial management inventory, many utilize a technology that is either outdated or considered non-strategic by the department. It also provided guidance as to which applications should be included



in the scope of the WPII Business Process Analysis (BPA) Project. Numerous critical details regarding each individual application were compiled along with Context and Entity Relationship Diagrams comprising *the FDOT Financial Management Suite Scope Study*. This project was completed in August 2014.

In September 2014, the WPII Business Process Analysis (BPA) Project began. The objective of the project was to document the current state (As-Is) of the core and related business processes supporting the Work Program. A focal point of the effort was on the core processes performed within FDOT's Finance and Administration Divisions' Office of Comptroller and Office of Work Program and Budget. Other offices were included as their work related to the planning, programming, implementation and reporting of Work Program.

In addition, other relevant processes performed by operational units throughout the Department were analyzed and documented as well, namely:

- Construction,
- Maintenance,
- Planning and Specifications,
- Procurement Office,
- Safety,
- Strategic Intermodal Systems
- Traffic Operations
- Work Program
- Right of Way

The approach encompassed a three-part cycle which included interview sessions, document preparation and process validation sessions to compile accurate process details. A portion of the team documented business processes with the Central Office staff while a second team travelled to three district offices to capture processes using the same method. The Districts interviewed were Three (Chipley), Four (Ft. Lauderdale) and Seven (Tampa) which covers a cross section of both rural and urban areas served by the department

Following the interviews, interview notes, FDOT procedural documents, and sample FDOT work products were leveraged to construct the detailed process maps. Process maps for the core detailed processes, and any corresponding sub-processes, were illustrated using the Business Process Modeling Notation (BPMN) which is a graphical representation for specifying business processes in a business process model.

Additionally, process narratives were written to explain each processes' activities and related actors, inputs, and outputs. The final element of the documentation exercise captured reported process issues and/or opportunities for improvement. The As-Is Documentation deliverable detailing 74 business processes including BPMN and process narratives were provided to FDOT project team on May 15, 2015.

Two phases of the WPII are complete.

1. Identification of the full scope of the financial management applications in use by the

department

2. Documentation of the current business processes and reported issues/opportunities have been documented and presented to the department

Continuing the WPII's To-Be and the High-Level Requirements Phases, in Fiscal Year 15-16 there are numerous issues to include in proactive planning and incremental improvements which FDOT will thoughtfully consider and strategically prioritize to optimize operational efficiency and cost savings. These areas include, but are not limited to, the following:

- System Risks
- Business Rules
- Process Efficiencies
- Momentum and Succession Planning
- External and Internal Impacts

The design of the To-Be business processes and subsequent requirements definition will assist FDOT in addressing these needs by completing the critical due diligence to guide FDOT decisions and support future project phases.

Armed with the project findings, FDOT can more effectively develop and implement an information management plan, make informed decisions regarding the possible modifications, replacement or rewrite of applications to meet its business needs, mitigate financial risks, facilitate enhanced data sharing, perform IT Infrastructure enhancements and ensure continuity of operations.

FDOT is entering into a phase of increasing risks with its ability to ensure continuity of operations and fiscal integrity due to the combination of increasing system and process complexities, slow succession planning, and impending external and internal changes which will impact FDOT operations.

For nearly 20 years, the Department has expanded its IT applications to meet short term needs and ensure compliance with statutory and other changes which required timely implementation. The immediate or unfunded requirements resulted in the development of independent, single-function systems without the benefit of being retroactively integrated with existing enterprise systems. As a result, the systems continue to grow in complexity as new functionality and disparate, oftentimes redundant, systems are added. The resulting proliferation of applications has led to increased overall support costs, duplicate data sources, and complexities that makes data and software integration difficult or costly.

Additionally few FDOT staff understand the full lifecycle of the Work Program, and those who do, gained this understanding over long, multi-decade careers. Several key FDOT resources are nearing retirement, and the Department is at risk of losing the rich, institutional knowledge which to this point has buoyed FDOT's operations and compensated for the system deficiencies /inefficiencies. This is true on the business and IT sides of the Work Program and within related business units.

FDOT is able to operate because of the talented people who understand the processes and legacy technologies. The systems and processes are too complex and unsustainable for staff to effectively manage over the long run. This is compounded by the fact FDOT systems and process complexities

make training a significant investment of time and resources. Turnover has stymied efforts to transition knowledge to the next generation of FDOT staff. When key resources leave, it will be too late. The potential for a negative impact and cost of doing nothing will be high.

Furthermore, the impact of impending FDOT internal and external initiatives, listed below, could put the FDOT Work Program's stability at risk due to resource contention including human, time, financial and IT.

The **Work Program Integration Initiative** is the Department's effort to leverage new technology to support the delivery of the \$40 billion dollar, 5-year Work Program. Funding is necessary to ensure FDOT's continued successful management of the Annual 5-Year Work Program and to prevent negative economic repercussions to the state.

Aside from WPPII, the Department is planning to initiate an Information Technology Strategic Plan (ITSP). The ITSP initiative will document, implement and maintain a single technology enterprise architecture across the Department.

Conditions that mandate the continuation of the Work Program Integration Initiative project fall into four major categories: Technology, Business Process Improvement, Human Resources Management and External/Internal Impacts.

### **Technology**

- The Department's ITSP will address Enterprise Architecture specific issues that will also benefit the WPPII project schedule
- The Department has a mixture of Central Office and District architectures that have evolved over time rather than being intentionally designed and implemented according to a directed standard
- Many Department systems utilize technology that is either outdated or considered non-strategic based on established standards
- System Architecture - one of the most concerning non-strategic technologies in use by FDOT is CA-Gen. CA-Gen is a Case Tool used to generate COBOL code. The Department's dependency on this tool for critical applications, presents a concern. Developers with CA-Gen skills are increasingly harder to staff, and in general have a higher bill rate than developers of more modern coding languages. In fact, a search of the Internet job site Indeed.com found the salaries for CA-Gen developers to be 11 – 12% higher than a comparable .NET developer. FDOT will leverage the To-Be process development and requirements exercises to develop plans to standardize the core platforms on modern, lower cost technologies.
- The CA-Gen application systems at FDOT that are related to the Work Program business processes include (\*FM Suite Components):
  - Federal Authorization Management (FAMS)\*
  - Federal Programs Management (FPM-Bill)\*
  - Project Cost Management (PCM)\*
  - Work Program Administration (WPA)\*
  - Accounts Receivable Invoicing (ARI)
  - Cash Forecasting (CFS)

- Consultant Invoice Transmittal (CITS)
- Project Suite Enterprise Edition (PSEE)
- The average age of the four primary systems that support the Work Program process Financial Management Suite is 16.4 years. While others systems have undergone technology refreshes; the size and complexity of these systems means a simple technology refresh has not been an option.

The Work Program processes consume significant system resources and sometimes result in degraded performance, particularly during the development of the tentative Work Program. In fact, FDOT staff not involved in the development of the tentative Work Program are often asked to delay their mainframe processing to ensure availability of mainframe resources necessary to complete actions. Such limitations on system availability can directly result in lost productivity and delayed process completion. The capacity and bandwidth issues should be addressed in the To-Be and requirements analysis to identify solutions for better system

### **Business Process Improvement**

The As-Is phase of the Work Program Integration Initiative – Business Process Analysis (WPPII – BPA) Project yielded a number of key findings which FDOT should address in continuing the To-Be process and functional/technical requirements definition initiatives. Given the complexity and diversity of FDOT’s operations, there is no single, overarching functional deficiency or technical shortcoming. To the contrary, there are numerous areas for proactive planning and incremental improvement which FDOT should thoughtfully and strategically prioritize to optimize operational efficiency and cost savings.

### **Human Resources Management**

While all offices must deal with succession planning of key staff, this becomes more critical in situations where staff are supporting aging systems. Succession planning must take precedence. Several key FDOT resources are nearing retirement, and the Department is at risk of losing rich, institutional knowledge which has buoyed FDOT’s operations

### **Internal/External Impacts**

**Florida PALM** is the transition from the current Florida Accounting Information Resource System (FLAIR). DFS is the functional owner of FLAIR and will continue to manage Florida’s statewide accounting system, Section 215.94 F.S. Specifically, DFS will continue to perform the accounting, financial reporting, and treasury functions commonplace for modern core accounting management systems. DFS is undertaking the Florida Planning Accounting and Ledger Management (PALM) Project.

**FHWA MAP 21 Initiative** - Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP 21) is a federal transportation law effective July 2012. This initiative covers five core highway programs including National Highway Performance Program, Surface Transportation Program, Congestion Mitigation and Air Quality, Highway Safety Improvement Program and Metropolitan Planning. Requirements set forth in MAP 21 affect how FDOT receives and allocates funding, identifies projects for the Work Program, and reports progress. These requirements have a major effect on the operations of the department.

**Roadway Characteristics Inventory (RCI) Modernization** - RCI is the department's detailed inventory of highway assets, including items such as bridges, signs, culverts, etc. During 2013 a Data Gap Analysis was done which identified major deficiencies and additional functionality desired in the system. RCI data is critical to many areas of Work Program development including planning, estimates, maintenance, construction and asset management. Revisions to the RCI application are underway.

**Geographic Information Systems (GIS) Enterprise View** - The geographic nature of FDOT projects leads to endless FDOT systems which can benefit from a geographically-based presentation of data. FDOT's GIS Enterprise View provides all department employees with a view of key geo-spatial data; as well as providing Districts/Offices with a framework on which to base their own GIS development efforts. GIS development efforts also take place outside of the Enterprise View. Offices strive to make existing systems and new systems utilize an easy-to-use geographic presentation. GIS systems often utilize Work Program data for presentations in public forums. Ensuring that GIS System utilize accurate Work Program data is key to the department's success. Understanding the needs to present GIS-based data is a key component of the Work Program Integration Initiative. Currently enhancements are being added to the GIS framework to upgrade to HTML and the ArcGIS server infrastructure.

**Reliable, Organized, Accessible Data Sharing (ROADS) Project** - The ROADS Project is the first phase in implementing FDOT's Information Technology Strategic Plan. Developed in 2014, the ITSP identified Enterprise Information Management (EIM) as an element of the overall IT Strategic Plan. The ROADS project includes steps to interview statewide staff on their needs, problems and uses of data. As a result of these interviews and analysis, a roadmap will be developed to identify the steps to providing improved data to the Department. The roadmap was developed in June 2015.

Continuation of the WPII Project will allow for needed technology advancements which can reduce the Department's dependence on outdated technology, reduce dependence on hard-to-find skills, increase the overall performance and management of the Annual Work Program, increase opportunities to integrate with newer systems and technology and enhance the infrastructure to provide for greater data sharing between business units and applications.

Various issues and opportunities for improvement identified during the BPA Phase I can be addressed through changes in specific business activities, with few if any required technology changes. Oftentimes, breakdowns or absences of efficient interactions between stakeholders and/or manual activities create process challenges. The table below lists the business, or functional, issues and opportunities FDOT will evaluate for potential resolution. The table includes the following attributes:

- Process – Specifies the As-Is business process(es) in which the issue or opportunity was identified
- Actor(s) – Specifies the FDOT stakeholder(s) most directly impacted by the issue or opportunity
- Issue/Opportunity – Lists a description of the issue or opportunity
- Impact/Benefit – Lists the anticipated impact or benefit to be realized by addressing the issue or opportunity

**Exhibit 3: Business Issues and Opportunities**

ITEM	PROCESS	ACTOR(S)	ISSUE/OPPORTUNITY	IMPACT/BENEFIT
1	Track Non-Budgeted Projects – Other Modes	Partner Entities FDOT WP	Increased coordination is needed with partner entities for communication of status changes such as notice of authorization by agencies in US DOT (e.g. FAA, FTA, FRA, etc.).	Efficiencies could be gained from the prevention of unnecessarily rolling forward projects into the next fiscal year and increased communication.
2	Track Non-Budgeted Projects – Other Modes	Partner Entities FDOT WP	Significant amount of continual re-education is needed for partners due to the high turnover rates and lack of standardized training.	A standardized curriculum for partners would result in time savings and improve training consistency.
3	Develop State Maintenance Budget	Office of Maintenance	Normalize the unit costs for pressure washing noise barrier walls across the state.	Uniform costs could be used for planning purposes across the state, thus improving cost estimations.
4	Develop State Maintenance Budget	Office of Maintenance	Ensure that in-house targets are accurate and the allocation allows for consistent programming for the operating budget.	Provides the ability to properly program against allocations and fully utilize Department resources.
5	Manage FLAIR Allocations	Districts	Adoption of technology usage to allow OOC to execute scripts to load district budgets systematically has been slow. There is a skillset gap and potential lack of trust at the district level, which results in districts spending unneeded time manually configuring data in FLAIR.	Change management activities such as training and communications may bolster the adoption of scripting data into FLAIR and additional technologies as they become available.
6	Manage Certification Forward	Districts/ Central Office Program Areas Office of Comptroller	A need exists for improved coordination in ensuring districts are reviewing funding of projects. If budget is released, then an alternative method to obtain budget is required. At that point, either current year budget must be consumed or the amount will have to be rolled forward.	Improved coordination will potentially lead to lower roll forward levels as well as increased budget flexibility by keeping all financial tools available to request budget.

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

<b>ITEM</b>	<b>PROCESS</b>	<b>ACTOR(S)</b>	<b>ISSUE/OPPORTUNITY</b>	<b>IMPACT/BENEFIT</b>
7	Manage Roll Forward	Districts	Properly assess and lower the percentage of contingency levels in January to better align with usage expectations for the remainder of the fiscal year. For example, if the fiscal year began with an 8% contingency level, by January that should be approximately 4%. Therefore, districts above 4% should thoroughly review and determine whether to release some of the percentage.	Process changes would allow for better planning throughout the fiscal year and will translate into lower roll forward amounts at the end of the year thus allowing the Department to more efficiently utilize resources.
8	Request Reimbursements	<p>OOC – General Accounting</p> <p>OOC – Financial Management</p> <p>FDOT Emergency Management</p>	Dedicate the resources to properly deploy and motivate adoption of the new FDOT platform to manage the FEMA reimbursements process. Development of the new platform is underway; implementation date is TBD.	The new platform is expected to improve the OOC and FDOT Emergency Management teams' ability to manage and track the FEMA reimbursements process. Its success is dependent upon a well-executed deployment and change management strategy.
9	Develop Package for Central Office Lettings	<p>District Project Manager/PS&amp;E</p> <p>Central Office Production Management</p>	Enforce policies to minimize the occurrences of incomplete contract package submissions to Central Office Production Management. Performance measures could be implemented to support this effort.	Minimizing incomplete submissions will reduce contract packages being reviewed multiple times in the letting cycle, thus saving labor and rework.

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

ITEM	PROCESS	ACTOR(S)	ISSUE/OPPORTUNITY	IMPACT/BENEFIT
10	Manage Safety Engineering	District Work Program  Central Office Work Program Development	Ensure district staff proactively log candidate projects in WPA.	<p>Currently, it is very difficult for the Central Office Work Program Development staff to efficiently validate the districts' programming of approved safety improvement projects because the financial project numbers are not always available when the project is initially approved. By having the financial project numbers available and logged in SharePoint at the outset, Central Office Work Program Development would be able to complete their validation exercise more quickly and potentially with less interaction with the district staff.</p> <p>Per the districts, inclusion of the financial project numbers in the SharePoint submissions could be improved if the districts were provided notification/information from Central Office earlier than what is given in the current cycle time.</p>
11	Manage Safety Engineering	District Work Program	<p>Enforce/create policies to ensure the District Work Program Development staff enter in WPA the full complement of applicable Safety Item Group Identifiers and Work Mix data. Oftentimes this information is incomplete and/or incorrect, thus presenting challenges for accurate federal reporting.</p>	Improvements in the data entry with respect to Safety Item Group Identifiers and Work Mix data will alleviate challenges with federal HSIP reporting.



**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

ITEM	PROCESS	ACTOR(S)	ISSUE/OPPORTUNITY	IMPACT/BENEFIT
12	Manage NHTSA Highway Traffic Safety Grants	SSO Grants	The SSO Grants team is currently understaffed and is unable to optimize the program's potential benefits. The team commenced an analysis of similar state safety organizations around the country to compare to Florida, and efforts should continue to establish and communicate the business case for improving the SSO Grants team's organizational structure and size.	Addition of SSO Grants FTE(s) will enable the staff to more comprehensively execute value-added aspects of their role to improve the overall effectiveness of the Highway Traffic Safety Grants Program.
13	Manage Motor Carrier Size and Weight	MCSAW  Central Office Work Program Development	MCSAW staff are often unaware of programming changes with respect to MCSAW project funding. Funding changes are oftentimes detected by MCSAW staff with no prior notification from Central Office Work Program Development, thus impacting MCSAW's project planning. A greater level of communication and expectation-setting between MCSAW and Central Office Work Program Development is needed.	Enhanced communication and education from Central Office Work Program Development to MCSAW would likely alleviate the confusion and minimize risks introduced by unexpected changes to project programming.
14	Execute Statewide Structures	Districts 3, 4, 7	Duplicate manual entry into PONTIS Bridge Work Plan and BRRP occurs. It is unclear why manual entry of data needs to be entered separately. The only difference in the required fields is the FM#, "type," and "year added" which are used in the BRRP Annual report.	Reduction in duplicate entries would result in more efficient use of data and potential reduction in staff workload.
15	Execute Statewide Structures	Office of Maintenance Structures Operations	It is very difficult to transfer funds between districts without running into multiple roadblocks. WP Amendments are very difficult and everyone avoids it if possible.	A more efficient way to transfer funds between districts could improve programming efficiency and accuracy.

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

<b>ITEM</b>	<b>PROCESS</b>	<b>ACTOR(S)</b>	<b>ISSUE/OPPORTUNITY</b>	<b>IMPACT/BENEFIT</b>
16	Perform Final Materials Certification	State Materials Lab	Improve planning and timing of state materials lab invoicing to districts for required input on materials certification.	Better management of project costs and impact on project contingency box would be realized.
17	Support Distributions	Office of Comptroller	Implement incentives to ensure Department staff are properly submitting timesheets in a timely manner.	Properly incentivizing FDOT staff to correctly submit timesheets will result in decreased time spent performing follow-up activities by OOC staff as well as an increase in accuracy when performing payroll cost distributions.
18	Develop Finance Plan – Turnpike Enterprise Revenue and Bond Funds	FPRA – Finance	Develop a more robust method/capability to derive the rates used in the Turnpike Finance Plan. Currently, the rates used do not take into account the nuances of specialized flows and different types of Turnpike projects.	A greater level of sophistication and specialization in developing the rates used in the Turnpike Finance Plan will improve forecast accuracy.
19	Develop Monthly Cash Forecasts	Office of Comptroller	The Program Plan snapshot and Monthly Commitment snapshot are not performed at the same time. Therefore, a manual effort is required to reconcile the two snapshots. Optimally, the Department would have a monthly balanced WP that could be utilized.	Changes would allow for the elimination of manual and time-consuming process that is prone to errors as well as greater ease of use and more timely information for stakeholders.

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

ITEM	PROCESS	ACTOR(S)	ISSUE/OPPORTUNITY	IMPACT/BENEFIT
20	Manage Monthly Performance Reporting	Production Management  OWPB – Financial Management Support	A report exists that provides capabilities similar to the reporting done with the Lockdown Plan Excel file process. The Cost Difference Report uses data from WPA, PCM, and PSM to report contract awards (amounts and dates) with less manual interaction/intervention, especially for district staff. There are issues, which are currently being resolved, that have prevented changing the processes to utilize this report instead of the current manual processes. Significant savings in manual efforts could be realized if the issues that have prevented changing to the use of this report continue to be investigated and resolved.	Reduction in manual entries will lead to a reduction in the chance of errors as well as time savings for stakeholders performing the manual activities.

**Exhibit 3: Business Issues and Opportunities**

Business Issues and Opportunities Similar to the business-related issues and opportunities listed above the table below lists the IT, or systems-related, issues and opportunities identified during the As-Is analysis. The items in the table span a wide spectrum of IT-related requests, ranging from the simple addition of discrete data fields and reports, to full-scale replacement of named systems. FDOT will evaluate the issues and opportunities to validate business relevance, assess technical feasibility, and ultimately prioritize for resolution.

**Exhibit 4: IT Issues and Opportunities**

ITEM	PROCESS	ACTOR(S)	ISSUE/OPPORTUNITY	IMPACT/BENEFIT
1	Track Non-Budgeted Projects – Other Modes	Partner Entities FDOT WP	Increased coordination is needed with partner entities for communication of status changes such as notice of authorization by agencies in US DOT (e.g. FAA, FTA, FRA, etc.).	Efficiencies could be gained from the prevention of unnecessarily rolling forward projects into the next fiscal year and increased communication.
2	Develop State Maintenance Budget	Office of Maintenance	Ensure that in-house targets are accurate and the allocation allows for consistent programming for the operating budget.	Provides the ability to properly program against allocations and fully utilize Department resources.
3	Manage FLAIR Allocations	OWPB – Budget Office Office of Comptroller	Due to the varying levels in which the budget is posted, the Central Office is unable to use the current budget year for the indirect component of project overhead. Instead, prior year actuals must be used resulting in a less accurate indirect component.	Utilizing current budget year for the indirect component of project overhead will increase accuracy.
4	Manage FLAIR Allocations	Districts	Adoption of technology usage to allow OOC to execute scripts to load district budgets systematically has been slow. There is a skillset gap and potential lack of trust at the district level, which results in districts spending unneeded time manually configuring data in FLAIR.	Change management activities such as training and communications may bolster the adoption of scripting data into FLAIR and additional technologies as they become available.

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

<b>ITEM</b>	<b>PROCESS</b>	<b>ACTOR(S)</b>	<b>ISSUE/OPPORTUNITY</b>	<b>IMPACT/BENEFIT</b>
5	Manage Certification Forward	Districts/ Central Office Program Areas  Office of Comptroller	A need exists for improved coordination in ensuring districts are reviewing funding of projects. If budget is released, then an alternative method to obtain budget is required. At that point, either current year budget must be consumed or the amount will have to be rolled forward.	Improved coordination will potentially lead to lower roll forward levels as well as increased budget flexibility by keeping all financial tools available to request budget.
6	Manage Certification Forward	Office of Comptroller	A need exists for an increased, centralized point of view for monitoring activity within projects. For example, to make sure Department staff certify budgets that are needed in association with FIRE report activities.	Changes will reduce potential redundancies in transmitting duplicative information to the same recipient which leads to time savings.
7	Request Reimbursements	OOO – General Accounting  OOO – Financial Management  FDOT Emergency Management	Dedicate the resources to properly deploy and motivate adoption of the new FDOT platform to manage the FEMA reimbursements process. Development of the new platform is underway; implementation date is TBD.	The new platform is expected to improve the OOO and FDOT Emergency Management teams’ ability to manage and track the FEMA reimbursements process. Its success is dependent upon a well-executed deployment and change management strategy.
8	Develop Package for Central Office Lettings	District Project Manager/PS&E  Central Office Production Management	Enforce policies to minimize the occurrences of incomplete contract package submissions to Central Office Production Management. Performance measures could be implemented to support this effort.	Minimizing incomplete submissions will reduce contract packages being reviewed multiple times in the letting cycle, thus saving labor and rework.

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

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9	Manage Safety Engineering	District Work Program  Central Office Work Program Development	Ensure district staff proactively log candidate projects in WPA.	<p>Currently, it is very difficult for the Central Office Work Program Development staff to efficiently validate the districts' programming of approved safety improvement projects because the financial project numbers are not always available when the project is initially approved. By having the financial project numbers available and logged in SharePoint at the outset, Central Office Work Program Development would be able to complete their validation exercise more quickly and potentially with less interaction with the district staff.</p> <p>Per the districts, inclusion of the financial project numbers in the SharePoint submissions could be improved if the districts were provided notification/information from Central Office earlier than what is given in the current cycle time.</p>
10	Manage Safety Engineering	District Work Program	<p>Enforce/create policies to ensure the District Work Program Development staff enter in WPA the full complement of applicable Safety Item Group Identifiers and Work Mix data. Oftentimes this information is incomplete and/or incorrect, thus presenting challenges for accurate federal reporting.</p>	Improvements in the data entry with respect to Safety Item Group Identifiers and Work Mix data will alleviate challenges with federal HSIP reporting.

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

<b>ITEM</b>	<b>PROCESS</b>	<b>ACTOR(S)</b>	<b>ISSUE/OPPORTUNITY</b>	<b>IMPACT/BENEFIT</b>
11	Manage NHTSA Highway Traffic Safety Grants	SSO Grants	The SSO Grants team is currently understaffed and is unable to optimize the program's potential benefits. The team commenced an analysis of similar state safety organizations around the country to compare to Florida, and efforts should continue to establish and communicate the business case for improving the SSO Grants team's organizational structure and size.	Addition of SSO Grants FTE(s) will enable the staff to more comprehensively execute value-added aspects of their role to improve the overall effectiveness of the Highway Traffic Safety Grants Program.
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**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

<b>ITEM</b>	<b>PROCESS</b>	<b>ACTOR(S)</b>	<b>ISSUE/OPPORTUNITY</b>	<b>IMPACT/BENEFIT</b>
15	Perform Final Materials Certification	State Materials Lab	Improve planning and timing of state materials lab invoicing to districts for required input on materials certification.	Better management of project costs and impact on project contingency box would be realized.
16	Support Distributions	Office of Comptroller	Implement incentives to ensure Department staff are properly submitting timesheets in a timely manner.	Properly incentivizing FDOT staff to correctly submit timesheets will result in decreased time spent performing follow-up activities by OOC staff as well as an increase in accuracy when performing payroll cost distributions.
17	Develop Finance Plan – Turnpike Enterprise Revenue and Bond Funds	FPRA – Finance	Develop a more robust method/capability to derive the rates used in the Turnpike Finance Plan. Currently, the rates used do not take into account the nuances of specialized flows and different types of Turnpike projects.	A greater level of sophistication and specialization in developing the rates used in the Turnpike Finance Plan will improve forecast accuracy.
18	Develop Monthly Cash Forecasts	Office of Comptroller	The Program Plan snapshot and Monthly Commitment snapshot are not performed at the same time. Therefore, a manual effort is required to reconcile the two snapshots. Optimally, the Department would have a monthly balanced WP that could be utilized.	Changes would allow for the elimination of manual and time-consuming process that is prone to errors as well as greater ease of use and more timely information for stakeholders.



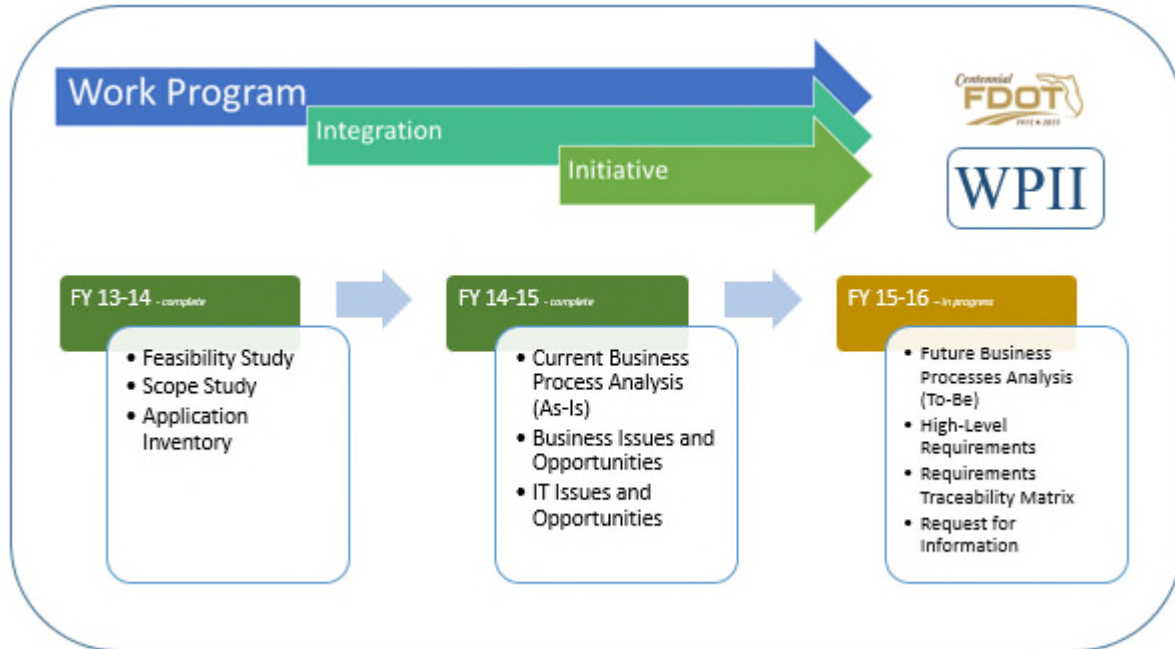
**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

ITEM	PROCESS	ACTOR(S)	ISSUE/OPPORTUNITY	IMPACT/BENEFIT
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**Exhibit 4: IT Issues and Opportunities**

2. Business Objectives

Exhibit 5: Funded Work Program Integration Initiative Phases



The WPII initiative seeks to enhance FDOT’s ability to meet its statutory goals and objectives for financial integrity and accountability through improved business processes and modernized technologies. The Initiative is comprised of a series of related projects. During the BPA Phase I the team completed an analysis of the As-Is business processes related to the Work Program.

Following the As-Is phase, the BPA project continued with the definition of the To-Be, or future state, business processes and the development of the functional and technical requirements to support the Annual Work Program and project financial management functions. The WPII BPA project is expected to produce the following benefits in the form of tangible project outputs to properly position FDOT for improving its business processes and modernizing its FM technologies:

- Produce a comprehensive set of transportation finance lifecycle As-Is business process documents and opportunities for improvement which FDOT can evaluate for implementation (completed as of June 2015)
- Support FDOT through a visioning exercise to establish common goals and objectives for the future state processes and modernized technologies
- Produce a comprehensive set of transportation finance lifecycle To-Be business process documents based upon the As-Is findings and the goals and objectives established during the visioning exercise

- Establish a comprehensive set of functional and technical requirements which FDOT can use to identify the long-term solution for the modernized FM Suite. High-level requirements will be developed first (FY15-16), followed by a vendor solution analysis, which will support the development of the detailed requirements (FY16-17)

Following the BPA project, the WPPII initiative is expected to continue with solution procurement activities and the Design, Develop, and Implement phases of the FM modernization.

The project work will continue into FY 15-16 and activities include documentation of the To-Be Business Processes and High-Level Requirements. These items were originally planned to be completed in FY 14-15, however additional analysis of the As-Is Business Processes was warranted.

The To-Be Business Processes and High Level Requirements Deliverables will allow the project to move forward be undertaken during FY 15-16. The documentation of the To-Be Business Processes and High Level Requirements definition will be the springboard for the next steps of the project. These deliverables will address the following needs:

- Identify the business processes that are needed to support the transportation finance lifecycle into the future. (Known as To-Be or Future Business State)
- Identify the high-level requirements that support the To-Be Business Processes.
- Development of a Request for Information (RFI) to gather market data which will assist in identifying options available to meet high-level requirements. This information will also support future funding requests.
- Provide details needed to update the WPPII Business Case.
- Further focus on areas of project concern such as:
  - Florida PALM Transition Planning
  - Succession Planning
  - WPPII Process Efficiencies
  - Identify IT System Risks

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

- Support project scoping studies and feasibility studies to further define the scope of potential candidate transportation projects.
- Support preparation of initial cost estimates for candidate transportation projects.
- Facilitate the development of the Florida Transportation Plan (FTP), a long term plan which defines Florida's future transportation vision and identifies goals, objectives and strategies to guide transportation decisions over the next 50 years.
- Provide support for the prioritization of candidate projects and the selection of a preliminary list of projects.
- Facilitate the Program and Resource allocation of funds planning process beginning in May of each year.
- Facilitate the allocation of resources and establishment of program targets for the Districts,

Turnpike Enterprise, Rail Enterprise and Central Office Program Areas based on:

- Prior Year Program and resource planning results
- Available funding (over 300 funds and nearly 40 sources of revenue)
- Statutory formulas and funding requirements
- Provides the ability to build the Preliminary Tentative Work Program, Final Tentative Work Program, and the Adopted Work Program based on allocations, Work Program instructions, funding policies, legislation and appropriations. The Work Program includes all proposed project commitments classified by major program and appropriation category and following phases:
  - Planning—the department engages in activities necessary to identify, select, define, and develop a project. Planning activities are achieved through either in-house planning or planning consultants and planning grants. Planning for a new project is usually undertaken along with the department’s strategic and policy planning process.
  - Environmental Assessment and Engineering—the department studies environmental, economic, social, and historic impacts of the project. The department also studies alternative concepts and project alignments, always considering a no-build option. The public is invited to communicate ideas through workshops and is also invited to comment on the final report at a public hearing held after all requisite due diligence is completed. If the project is financed in part through federal funds, the final report is sent to the Federal Highway Administration for location and design approval.
  - Design—The department actually designs the project during this phase which also includes the drainage, utilities, permits, median openings, access connections, and identifying the right-of-way needs of the project.
  - Right-of-Way Acquisition—the state must own the land on which a project is constructed. The state pays full and just compensation for all acquired property, including relocation expenses for existing homes and businesses.
  - Construction—this phase includes costs of building the transportation project including the department’s costs for overseeing the construction known as Construction Engineering Inspection (CEI).
- Provides ability to capture a status of the Work Program at a point in time know as a "snap shot" as it is being developed or as needed.
  - Facilitate the creation of a Program and Resource Plan
  - Captures Work Program information by Program Plan, Category and Sub-Category
- Produce a balanced financial plan projecting resource need. Essentially, the department compares transportation revenues to the expected cash flows from the department’s “commitments” to ensure an on-going balanced Five-Year Work Program. In developing the Work Program, the department must take into consideration the following:
  - The Tentative and Adopted Work Programs shall be based on a complete, balanced financial plan for State Transportation trust Fund (STTF) and other funds managed by the FDOT - s. 339.135(3)(a), F.S.  
The Tentative and Adopted Work Programs must be planned to deplete the estimated resources available - s 339.135(3)(b), F.S.
  - The Work Program must include a balanced 36-month forecast of cash and expenditures and a Five-Year finance plan supporting the Work Program, section. 339.135(4)(b), F.S.

- In the operation of the State Transportation Trust Fund, a cash balance of not less than \$50 million or 5 percent of the unpaid obligation balance (whichever is less) must be maintained at the closing of each quarter – s. 339.135(6)(b), F.S. From experience of swings in the cash balance, a working minimum of \$250 to \$300 million is required.
- The budget for the turnpike system shall be so planned as to provide for a cash reserve at the end of each fiscal year of not less than 5 percent of the unpaid balance of all turnpike system contractual obligations, excluding bond obligations, to be paid from revenues. S.338.241, F.S.
- Facilitates the presentation, communication and feedback from Public hearings, Central Office reviews, Secretary’s Review, Transportation Commission Review of the Tentative Work Program and adjustments to the Work Program as appropriate.
- Provides the ability to create the Legislative Budget Request (LBR) and submission of the Preliminary Tentative Work Program, Tentative Work Program, and the Adopted Work Program.
- Manage the federal program and produce the vital information necessary to support the partnership with the Federal Highway Administration (FHWA). Facilitate the financial administration of federally funded projects, develop the annual Obligation Authority Plan and obtain FHWA approval for federal participation in eligible costs on individual transportation projects. Perform Financial Integrity Review and Evaluation Reporting (FIRE) and provide other required support to monitor FHWA mandated tier analysis which is a national performance measure and could lead to the forced release of federal funds. Support Federal Funding Accountability and Transparency Act (FFATA) reporting.
- Provide for the on-going managing and monitoring of the execution of the entire 5-Year Work Program for each program area, including making required adjustments to the planned number and mix of projects based on actual performance.
- Provides for the interfaces and validations to manage the federal authorization of projects through the Federal Highway Administration’s system.
- Provide fund approval documentation for FDOT contracts and purchase orders, prior to agreement execution, in order to comply with section 339.135 (6) (a), F.S., which states “The department, during any fiscal year, shall not expend money, incur any liability, or enter into any contract which, by its terms, involves the expenditure of money in excess of the amounts budgeted as available for expenditure during such fiscal year. Any contract, verbal or written, made in violation of this subsection is null and void, and no money may be paid on such contract. The department shall require a statement from the comptroller of the department that funds are available prior to entering into any such contract or other binding commitment of funds.....”;
- Ability to interface with numerous systems to validate the department’s FLAIR (or Florida PALM) interface to include but not limited to:
  - Data validations in processing approved consultant invoices and approved construction contractor pay estimates from other department programmatic systems;
  - Accounting and disbursement related internal control validations;
  - Format the FLAIR/FL PALM transactions for the construction contractor estimates. The FLAIR transaction formatting is done within FDOT's Consultant Invoice Transmittal System (CITS) for the engineering and planning consultant invoices; and
  - Interface the numerous other types of accounting and budgeting transactions to FLAIR from over 25 systems through a scripting process or directly interfacing to the new

Florida PALM

- Ability to interface daily FLAIR transactions data and update projects' financial information in the system to accurately reflect the revenue and expenditures of the department in accordance with Generally Accepted Accounting Principles while:
  - Supporting the full range of departmental level project cost accounting requirements including:
    - The cost allocation process to the department's projects and funding classifications
    - Development of the department's indirect cost allocation plan
    - Management of cost transfers/re-distributions between projects
    - Interfacing with the Florida Accounting Information Resource (FLAIR) system for correcting transactions
  - Providing the ability to validate and generate the periodic billing for federal reimbursement from FHWA and other funding partners;
  - Creating the Federal Cash Management Improvement Act (CMIA) quarterly reporting; and
  - Providing status of the department's partner billings through various dashboards and management reports.
- Provide interfacing capabilities and validations to manage the federal billing of projects through the Federal Highway Administrations' system.
- Interface with FLAIR to serve as the source of information for the department's multibillion dollar annual certification forward request per section 339.135(6)(c), F.S. which states "Notwithstanding the provisions of section 216.301(2) and 216.351 F.S., any unexpended balance remaining at the end of the fiscal year in the appropriations to the department for special categories; aid to local governments; lump sums for project phases which are part of the adopted Work Program, and for which contracts have been executed or bids have been let; and for right-of-way land acquisition and relocation assistance for parcels from project phases in the adopted Work Program for which appraisals have been completed and approved, may be certified forward as fixed capital outlay at the end of each fiscal year, to be certified by the head of the state agency on or before August 1 of each year to the Executive Office of the Governor, showing in detail the commitment or to whom obligated and the amount of such commitment or obligation."
- Provide the foundational information required for the Florida Accountability Contract Tracking System (FACTS) per section 215.985, F.S. to facilitate transparency in FDOT contracting. This interface requires an upload of a vast amount of data to the Department of Financial Services' (DFS) Florida Accounting Information Resource (FLAIR) and FACTS systems in order to title contracts, set up appropriate budget records for payment, and encumber funds for the reservation of budget.
- Facilitate the management and monitoring of the three disciplines of project, grant and contract management including management of funding and project associations, creation of required data holdings and reporting and analytics capabilities, including:
  - The management and monitoring of federal awards and state financial assistance agreements to ensure recipients have sound financial practices to reduce the risk of

fraud, waste and abuse per 2 CFR Part 200 and section 215.97 F.S. In addition, section 215.971 F.S. requires each agreement funded with federal and state financial assistance to include specific contract language (scope of services, deliverables and financial consequences) and be managed by a certified contract manager.

- The management of funding agreements with other Federal agencies, State agencies and local governments including:
  - Support the establishment, modification, and ongoing management of agreements with local partners to participate in the cost of developing a project within FDOT's Work Program;
  - Support FDOT oversight of federally funded projects which have been delegated for management/execution to local public agencies (LPAs);
  - Provide FDOT with a centralized data and file repository for local agency program allowing the various FDOT functional area experts to be able to review Local Agency submittals for projects which have been delegated to a local partner for delivery; and
  - Support required reporting by local agencies to FDOT, as well as support reporting required to be done by FDOT to FHWA.
- Monitor the overall performance in accomplishing the annual FDOT Work Program and providing performance reporting to executive level and policy-maker audiences (Transportation Commission, Governor, Legislators, legislative staff, etc.) These performance measures may be found at:  
<http://www.dot.state.fl.us/agencyresources/performance.shtm>
- Provide a broad range of business Intelligence and analytics capabilities including:
  - Provide support for GASB 34 and Infrastructure Reporting Perform analysis to support accounting entries for infrastructure. This yearly entry is between \$900 million and \$1 billion each year.
  - Provide standard reports, ad-hoc reports, business analytics and decision support capabilities for Work Program projects and other FDOT financial management information;
  - Provide enterprise-wide GIS integration and spatial display and reporting for Work Program projects and other financial information;
  - Provide program specific reporting to FHWA in key areas such as Safety, Transit and Rail Operations;
  - Provide project specific information to determine if the objectives are being fulfilled, budget is not exceeded, schedule is being met and overall quality meets or exceeds standards.

## B. Baseline Analysis

### 1. Current Business Process(es)

The primary objective of the initial phase of the WPII BPA project was to document the As-Is, or current state, of the transportation finance lifecycle business processes. This included the core Work Program processes performed by the FDOT Office of Work Program and Budget's Work Program Development unit. The analysis also included transportation finance lifecycle business

processes performed by other FDOT units such as the Finance, Program, and Resource Allocation Office, Office of Comptroller, Budget Office, Federal Aid Management Office, and Production Management Office. In addition, the team documented relevant processes performed by such operational units as Maintenance, Safety, Traffic Operations, Construction, Planning and Specifications, and Strategic Intermodal Systems. The sections below describe the team's multi-phase approach to successfully identify the scope, document the processes, validate with the functional teams, and finalize the processes for FDOT.

To maximize the project's value and achieve FDOT's stated objective, the combined North Highland and FDOT project teams coordinated to define an accurate project scope. Given the high number of complex business processes FDOT supports, it was imperative the team focus its efforts on analyzing and documenting the most relevant, impactful processes. To do this, the team first identified four primary stages of the Work Program cycle. These stages, or "functional areas" as they became known, were Plan, Program, Implement, and Manage, Monitor, and Report. The functional areas are characterized as follows:

- Plan – Processes related to the planning of projects, particularly with respect to the anticipated funding and financing of the Tentative Work Program.
- Program – Processes related to the programming of future projects, with a particular emphasis on the five-year Tentative Work Program.
- Implement – Processes related to the execution of approved projects in the current, or adopted, year.
- Manage, Monitor, and Report – Processes related to the measurement and reporting of current and future projects, including in-depth financial and cash forecasting analysis.

With the four functional areas defined, the team coordinated to identify the high level core transportation finance lifecycle business processes for each. This approach allowed the team to consider more critically the relevant processes and align them to a common categorization. Most importantly, the identification of the 18 "Core Processes" provided the foundation to ultimately identify the final business processes to be analyzed and documented in detail.



## As-Is Phase Overview



To determine the final detailed business processes to represent the project’s scope for As-Is documentation, the team identified FDOT process owners for each of the 18 Core Processes. The North Highland team then facilitated high-level process discussions with the process owners to identify the discrete business processes encompassed within each Core Process. After capturing a comprehensive list of candidate business processes for the Core Processes, the North Highland team presented the list to the FDOT leadership team for prioritization. FDOT collectively designated each candidate process as in or out of scope, and the final tally of in-scope business processes became the designated project scope. The resulting list included 84 unique business processes. An FDOT process owner(s) at the Central Office and/or districts was also specified for each.

The scope of the WPII project touches nearly all parts of the Department. The scope includes 54 of the 74 business processes identified during the As-Is phase and more than 150 IT systems identified during the Scope Study.

The table below identifies the 74 business process from the As-Is phase and highlights which business processes are considered in scope for the WPII project moving forward. If a process is out of scope, a justification is provided.

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)

Process	Scope Determination	Justification
<b>Plan</b>		
Develop Program Resource Plan	In Scope	-
Develop Report to Transportation Commission	In Scope	-
Develop Schedule A - State Allocations	In Scope	-
Develop Schedule A - Federal Allocations	In Scope	-
Execute Program Planning Workshops	In Scope	-
Generate Relevant Revenue Estimates	In Scope	-
Develop Schedule B - Program Targets	In Scope	-
Maintain the Resurfacing Monitor	In Scope	-
<b>Program</b>		
Develop SIS 5-Year Plan	In Scope	-
Build Tentative WP/Execute Tentative WP Development Cycle	In Scope	-
Develop Florida Rail Enterprise Program	In Scope	-
Develop Non-SIS 2 Year Plan Rail-Central	In Scope	-
Develop Non-SIS 5 Year Plan Rail-Districts	In Scope	-
Develop Non-SIS 5 Year Plan Aviation and Spaceports	In Scope	-
Develop Non-SIS 5 Year Plan Intermodal	In Scope	-
Develop Non-SIS 5 Year Plan Transit	In Scope	-
Develop Non-SIS 5 Year Plan Seaport-Central	In Scope	-
Develop Non-SIS 5 Year Plan Seaport-Districts	In Scope	-
Develop SIS 10-Year Plan	In Scope	-
Develop Lockdown Plan	In Scope	-
Administer Statewide Planning and Research Program (SPR)	In Scope	-
Conduct Statewide Annual Program Review	In Scope	-
Develop State Maintenance Budget	In Scope	-
Process STIP Amendments	In Scope	-
Process TIP Amendments	In Scope	-
Authorize State Funded Projects	In Scope	-
Manage Certification Forward Process	Out of Scope	This process should be covered as a part of the PALM Project and is not a part of FDOT unique needs
Amend WP	In Scope	
Develop Legislative Budget Request (LBR)	Out of Scope	This process should be covered as a part of the PALM Project and is not a part of FDOT unique needs
Manage FLAIR Allocations	Out of Scope	This process should be covered as a part of the PALM Project and is not a part of FDOT unique needs
Manage Governor and Legislative Approval Process	Out of Scope	This process should be covered as a part of the PALM Project and is not a part of FDOT unique needs
Manage Roll Forward Process	In Scope	-

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

<b>Process</b>	<b>Scope Determination</b>	<b>Justification</b>
Track Non-Budgeted Projects	In Scope	-
Manage Current Year of Adopted Work Program	In Scope	-
Validate Highway Landscape Installation	In Scope	-
<b>Implement</b>		
Conduct CVISN Grant Management	Out of Scope	The work program component of this process is sufficiently covered in other processes and does not require a unique To-Be process
Manage Safety Engineering	In Scope	-
Execute Contracts - Acquisition of Professional Services	In Scope	-
Execute Contracts - Road and Bridge Construction Contracts	In Scope	-
Execute Contracts - Maintenance Contracts	In Scope	-
Manage Maintenance Schedule B	Out of Scope	The work program component of this process is sufficiently covered in other processes and does not require a unique To-Be process
Develop Consultant Acquisition Plan	In Scope	-
Develop ROW Expenditure Plan	In Scope	-
Develop ITS Cost Feasible Plan	Out of Scope	The work program component of this process is sufficiently covered in other processes and does not require a unique To-Be process
Manage Motor Carrier Size and Weight (MCSAW)	Out of Scope	The work program component of this process is sufficiently covered in other processes and does not require a unique To-Be process
Manage RISC Program	Out of Scope	This process is too small to cover uniquely
Execute Pavement Management	In Scope	-
Execute Statewide Structures	In Scope	-
Develop Initial Work Program Estimates	In Scope	-
Manage Federal Funds Authorization	In Scope	-
Manage Fleet Assets	Out of Scope	This process does not involve the work program; it is operations budget
Project Costing	In Scope	-
Manage NHTSA Grants Program	Out of Scope	The work program component of this process is sufficiently covered in other processes and does not require a unique To-Be process
Manage Project Overhead	In Scope	-
Process Funds Approval	In Scope	-
Support Distributions	In Scope	-
Develop Package for Central Office Lettings	In Scope	-

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPPII)**

<b>Process</b>	<b>Scope Determination</b>	<b>Justification</b>
Perform Final Materials Certification	Out of Scope	The work program component of this process is sufficiently covered in other processes and does not require a unique To-Be process
Perform Project Close Out - Federal Funds	In Scope	-
Perform Project Close Out - State Funds	In Scope	-
Request Reimbursements	In Scope	-
<b>Manage, Monitor, and Report</b>		
Develop Finance Plan - State Transportation Trust Fund	In Scope	-
Develop Finance Plan - Turnpike Enterprise Revenue and Bond Funds	In Scope	-
Develop and Evaluate Stability Reporting	In Scope	-
Develop Cash Forecasts	In Scope	-
Execute Budget Amendments	Out of Scope	This process should be covered as a part of the PALM Project and is not a part of FDOT unique needs
Manage Advance Construction Program (AC)	In Scope	-
Develop Program Objectives and Accomplishments (POA) Report	In Scope	-
Create Annual Obligation Authority Plan	In Scope	-
Develop Quarterly Performance Measures Summary Report	Out of Scope	This report is unique to production
Monitor Financially Inactive Projects	In Scope	-
Support MAP-21 Performance Reporting	In Scope	This process should be in scope if the federal requirements are define by the To-Be phase, otherwise should be covered in the requirements phase
Revise/Refine Budget Estimates	Out of Scope	This process should be covered as a part of the PALM Project and is not a part of FDOT unique needs
Manage Monthly Performance Reporting	In Scope	-

**Exhibit 1: Summary of WPPII BPA Processes**

**2. Assumptions and Constraints**

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

Adequate funding and resource availability are primary drivers in the Pre-Implementation, Implementation and Maintenance phases of the department’s WPPII initiative. Funding constraints may impact the specific timing of the proposed solutions recommended in the Detailed or High Level Requirements.

The availability of key resources in a number of functional areas within FDOT Central Office, the Districts, Turnpike and Rail Enterprises will also be essential for successful implementation of proposed solutions. Due to the magnitude of the transportation finance lifecycle, from policy

development to project closure, hiring consultant augmentation resources to support this effort is essential for the department's continuity of operations. As with the availability of funding, limitations in resourcing may have an impact on timing and scope of recommended solutions.

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

The range of feasible solutions may be different for various applications supporting the functions within the department's initiative. Of the 150 systems inventoried for the FDOT Financial Management Systems Inventory prepared in June 2014, the age of the systems range from 1 year to 30 years. Many of these systems utilize a technology that is either outdated or considered non-strategic by the department. To help address this challenge, FDOT has conducted a needs assessment which will provided a third-party view of improvements of existing business processes and any additional processes that should be included as a part of any future system modernization efforts. These findings will be available as results of the WPII BPA Phase 2 project.

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

- a. LAS/PBS is the State's budgeting and appropriation subsystem. LAS/PBS is used for developing, preparing, analyzing, and evaluating agency budget requests. EOG's Office of Policy and Budget (OPB) uses LAS/PBS to develop the Governor's budget recommendations and to allocate and control appropriations. The Legislature uses the subsystem to create the appropriations bills, including the proviso and other controlling language used to document legislative intent and create the foundation to enable the agencies to manage and perform legislatively authorized or required services and activities consistent with such legislative intent. The budgeting and appropriations process produces the GAA, its supplements and amendments. The department provides specific budget requests to LAS/PBS for the Work Program plan of projects in addition to LBR submittals. After the GAA act is approved, the Work Program is adjusted as necessary to mirror the appropriations and is then adopted in preparation for the beginning of the state fiscal year.
- b. FMIS is the Federal Highway Administration's (FHWA) major financial information system for tracking Federal-Aid projects. The department must continue to interface with FMIS to manage the obligation of federal funds to specific projects. RASPS is FHWA's system for reimbursing states for the federal share of highway construction and highway-related projects. The additional interface is necessary to submit periodic billings to FHWA for the reimbursement of expended federal funds. This reimbursement totals approximately \$2 billion annually. FHWA has a significant initiative underway for the enhancement of the FMIS system. In the new version of FMIS, FMIS and RASPS will become one application under the FMIS name. The department is also making changes to its supporting applications to provide geospatial information, improvement types and other new project attributes as required by FHWA. This FMIS effort is slated to continue throughout the current federal fiscal year.
- c. DFS is the functional owner of FLAIR and will continue to be the owner of the state of Florida's statewide accounting system. (Section 215.94 F.S.) DFS will continue to perform the accounting, financial reporting and treasury functions commonplace for modern core financial management systems.

DFS is proceeding with the acquisition of a core Enterprise Resource Planning (ERP) application to replace the existing functionality of FLAIR and the Cash Management System (CMS) to address the accounting, financial reporting and treasury functions. The Florida PALM project will begin with functionality which supports the broad general accounting and financial management needs of State of Florida agencies including general ledger, accounts payable, accounts receivable and payroll functionality. There is no consideration by DFS to encompass the unique needs of FDOT in their project. PALM Phase I is scheduled to be deployed in stages to all agencies by the end of Fiscal Year 2020-21. FDOT will continue to actively engage and collaborate with the DFS in pre-implementation planning for the Florida PALM project. There are approximately 50 specific incoming and outgoing interface points between the department and DFS, which from a business functionality perspective, will not change.

## C. Proposed Business Process Requirements

### 1. Proposed Business Process Requirements

Throughout the lifecycle of the WPII Project, each project phase has yielded components which supplied valuable input to the next phase. The results of the Business Process Analysis determined in the Fiscal Years 14-15 (As-Is Business Processes) and 15-16 (To-Be Business Processes, High Level Requirements) will allow the department to identify the proposed business process requirements, alternatives, rationale for selection and the final recommended solution.

### 2. Business Solution Alternatives

To be determined.

### 3. Rationale for Selection

To be determined.

### 4. Recommended Business Solution

To be determined.

## D. Functional and Technical Requirements

Detailed functional and technical requirements are to be determined during the work being requested as a part of this budget requests.

### III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Review of the To-Be (i.e. future state) analysis of relevant business processes and the high-level requirements	<ul style="list-style-type: none"> <li>• Identification of in-scope processes</li> <li>• High-level requirements were included in Requirements Traceability Matrix</li> <li>• Deliverables met the criteria established in the Deliverable Expectations Documents</li> </ul>	FDOT	07/16
2	Kickoff Meeting is conducted to provide high level direction and introduction for all key FDOT and vendor team members	<ul style="list-style-type: none"> <li>• Communication of project roles expectations</li> <li>• Rational behind the project approach</li> <li>• Techniques that will be used to elicit information</li> </ul>	FDOT	07/16
3	Submission of a Project Management Plan detailing a consistent and disciplined approach for managing the project	<ul style="list-style-type: none"> <li>• Details communication of project status and progress reporting</li> <li>• Defines how issues and risks will be documented and managed</li> <li>• Incorporates feedback received during the Kickoff Meeting</li> </ul>	FDOT	08/16
4	Proposed high-level schedule, including milestones and deliverables	<ul style="list-style-type: none"> <li>• Modified to reflect actual project funding and FDOT directives</li> <li>• Includes resource-loaded activities</li> <li>• Predecessor and successor dependencies are identified with critical path established</li> <li>• Projected FDOT resource allocation</li> <li>• Includes FDOT review time periods</li> </ul>	FDOT	08/16
5	Submission of the Deliverable Expectations Documents outlining the acceptance criteria for each deliverable	<ul style="list-style-type: none"> <li>• Common, well-aligned expectations are set</li> <li>• Basis is established against which to consider deliverable feedback</li> </ul>	FDOT	08/16

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
6	Reconfirmation of project scope	<ul style="list-style-type: none"> <li>• Documentation of processes identified during To-Be phase is complete</li> <li>• Justification for out-of-scope processes is provided</li> <li>• High-level requirement deliverable adheres to Deliverable Expectation Document</li> <li>• Recommendations for managing anticipated changes to internal and external stakeholders are documented</li> </ul>		09/16
7	Development of Detailed requirements	<ul style="list-style-type: none"> <li>• Assessment of high-level technical requirements is completed</li> <li>• Updated Requirements Traceability Matrix</li> <li>• Confirmation to the overall FDOT business and IT strategy, platforms, and standards</li> <li>• Ground rules provided for technical selection criteria during vendor procurement process</li> <li>• Validation completed by process owners and subject matter experts</li> </ul>	FDOT	01/17
8	Completion of Detailed Requirements Traceability Matrix	<ul style="list-style-type: none"> <li>• Document includes requirement number, core and sub process definitions, process descriptions, prioritization measure, FDOT owner</li> <li>• Detailed requirements are associated with the in-scope To-Be processes</li> <li>• Detailed requirements include identification of application interfaces, data and information management needs, and required computing infrastructure needs</li> </ul>	FDOT	01/17



SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
9	Formalized ROI based on completed detailed requirements	<ul style="list-style-type: none"> <li>Sufficient detail must be available from the Detailed Requirements to identify potential benefits of the project, which are inputs in calculations for the ROI.</li> <li>The Request for Information must be developed in a way that FDOT receives examples of net benefits from recent, similar, implementation of projects such as this.</li> </ul>	FDOT	01/17
10	Develop implementation strategy	<ul style="list-style-type: none"> <li>Final specifications needed to assess the capability of vendor solutions</li> <li>Evaluation criteria established to meet the objectives of the To-Be processes and satisfy functional and technical requirements</li> </ul>	FDOT	02/17
11	Development of Invitation to Negotiate	<ul style="list-style-type: none"> <li>Vendor response process has been detailed</li> <li>Scope of work is defined</li> <li>Acceptance and grading criteria has been established</li> <li>Adherence to State of Florida procurement statutes and FDOT policies and procedures</li> </ul>	FDOT	05/17
12	Identification of risks throughout project	<ul style="list-style-type: none"> <li>Probability measures have been established</li> <li>Mitigation strategies are detailed</li> </ul>	FDOT	06/17

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

### A. Benefits Realization Table

Tangible benefit realization numbers are not available at this point in the project. Completion of the To-Be Business Processes and Detailed Requirements will provide the detail that will allow for calculation of benefit realization.

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	Unavailable at this point in project.				

## B. Cost Benefit Analysis (CBA)

### 1. The Cost-Benefit Analysis Forms

The Cost Benefit Analysis Forms for WPII are included as Appendix A. As this project is in a planning phase, which will uncover detailed requirements and benefits, complete Cost Benefit information is not available. .

Cost Benefit Analysis	
Form	Notes Regarding WPII Project
CBA Form 1 - Net Tangible Benefits	The Net Tangible Benefits for the Work Program Integration Initiative are unknown at this time. It is expected that information can be fully detailed at the end of Detailed Requirements.
CBA Form 2 - Project Cost Analysis	Baseline Project Budget: Estimated project costs totaling <b>\$4,155,910</b> are included.
CBA Form 3 - Project Investment Summary	The Net Tangible Benefits for the Work Program Integration Initiative are unknown at this time. It is expected that information can be fully detailed at the end of Detailed Requirements. This information will then support calculation of Investment Summary numbers such as Return on Investment, Payback Period, Breakeven Fiscal Year, Net Present Value and Internal Rate of Return.

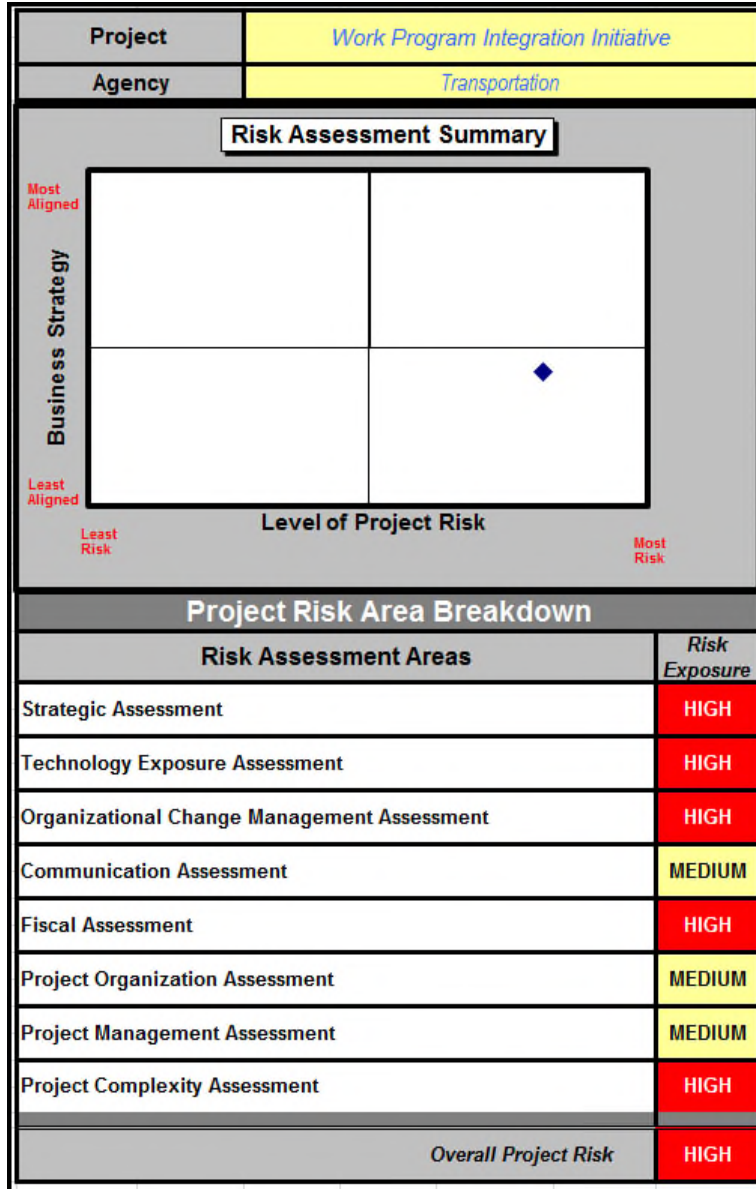
## V. Schedule IV-B Major Project Risk Assessment

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

### A. Risk Assessment Summary

The risk assessment completed for this project indicates an overall project risk of “High”. Please note that the risk assessment represents a snapshot of the risk portfolio of the project as of the date of the submission of the Schedule IV-B. Several of the items reviewed in the Risk Assessment are contributing to this “High” rating because the project has not yet reached the point in which some of these items should be complete. For example, the project is in the Planning stages and has not yet chosen a Technology. The risk questions within the Technology area assume a technology has been chosen and provide no answer to indicate otherwise.

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)



## VI. Schedule IV-B Technology Planning

### A. Current Information Technology Environment

#### 1. Current System

##### a. Description of current system

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

- 1) **Total Number of Users and User Types:** The systems that support the transportation finance lifecycle are utilized by a broad range of FDOT Offices. It is estimated that 4500 employees/consultants use the various systems in this life cycle. Of those, 2% (90) are administrative level users; 10% (450) are data entry users and 88% (3960) are read only users.
- 2) **Number/Percent of Transactions:** The systems in the life cycle utilize both online and batch transactions. While the majority are online transactions, batch transactions are particularly important as they are utilized to download FDOT-specific data from FLAIR. In addition, batch transactions are also used to transmit data to many of the department's system interfaces with external partners.
- 3) **Requirements for Public Access, Security, Privacy and Confidentiality.** This life cycle is primarily inward-facing. Very few components require input by external, non-FDOT users. This life cycle has very specific rules regarding input and usage. While the majority of information is available as read-only data for all departmental users; data entry, power user, and administrative access is limited in number and strictly controlled. Private and confidential data does exist within this life cycle. Access to this data is managed through database and access controls. Those systems within this life cycle that are maintained on hardware provided by the Office of Information Technology adhere to and utilize established department access procedures for computer security, and access to department resources through the FDOT Automated Computer Security Access Request (AARF) system. Systems which are produced locally using tools such as Excel or Access typically are not controlled by the standard processes.
- 4) **Hardware Characteristics:** The systems in this lifecycle include a mixture of hardware. A number of the systems are hosted on FDOT's mainframe which is housed at the Southwood Shared Resource Center (SSRC) in Tallahassee. Many of the systems are web-based systems that exist on Microsoft Server-based systems also housed at the SSRC. Finally, some of these systems are locally maintained desktop systems developed using tools such as Microsoft Excel or Access. These systems are run on FDOT standard desktop computers.
- 5) **Software Characteristics:** The systems in this lifecycle are developed using a mixture of software, programming languages, databases and protocols.

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

**6) Existing System or Process Documentation:** The availability of system documentation is varied among the systems. The systems within the FM Suite have an average age of 16.4 years.<sup>1</sup> If system documentation is not available, staff often rely on experts within their office for information. Many of the staff with the technical knowledge are within retirement age or are no longer with the department; and often the knowledge they have is often not written down.

During FY 14-15, the WPII project team created detailed documentation of all As-Is business processes involved in the transportation finance lifecycle. The documentation includes extensive information including the inputs, outputs, participants, and text description of the process; in addition to diagrams of the process. During FY 15-16 the team will document the future state (or To-Be) business processes. These processes will set the foundation of any future enhancements and/or modernizations to the systems that support the transportation finance lifecycle.

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

	Average Number of Internal Interfaces	Average Number of External Interfaces
All Systems Core to Transportation Finance Lifecycle	3.5	1.6
FM Suite Only	8.5	2.7

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

**SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE (WPII)**

	<b>Average Number of Internal Interfaces</b>	<b>Average Number of External Interfaces</b>
Non-FM Suite Systems	3.0	1.2

The systems with the largest number of interfaces<sup>2</sup> include:

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

**8) Consistency with Agency Standards:** Over the years these systems performing some level of financial management functionality have undergone updates to handle changes in business processes or state/federal mandates. However the underlying development platform is still very similar to that when originally implemented. Additional systems have been implemented to extend and supplement this life cycle, each of varying technology. Many of these systems utilize a technology that is either outdated or considered non-strategic<sup>3</sup> by the department.

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

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

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

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

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

*b. Current system resource requirements*

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

System Component	Estimated Usage Attributed to Transportation Finance Lifecycle Systems
CICS Processing	>30%
Z/OS Processing	>60%
DB2 Processing	>60%
Mainframe Storage	>60% of DB2 Application Space.

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

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

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

FDOT’s Enterprise Application environment is hosted by the Southwood Shared Resource Center (SSRC) in Tallahassee. The department was billed \$7.2 million for these services in FY 14-15. Analysis of the bill by experienced FDOT staff estimates that the systems which comprise this life cycle account for 16% of the billable costs to FDOT. This results in an annual cost to FDOT of \$1.16 million.

- 3) **Staffing Requirements.** Staff within the Business Systems Support Office are responsible for the maintenance and support of Enterprise Applications. The transportation finance lifecycle also includes systems supported by office-level staff that are heavily dependent on customized systems to supplement detailed analysis, decision making and reporting functions. These needs have continued to grow as changes and mandates have been made over the years. As an example, the Office of the Comptroller and Office of Work Program and Budget are heavily involved in the financial portions of this life cycle and incur a large amount of the support of these systems. Those numbers are reflected in the summary section below.
- 4) **Summary of Cost to Operate Existing System.** The following are the costs to maintain the known elements of the life cycle during recent fiscal years. Cost is unavailable for those systems maintained by the Districts.

	FY 13-14	FY 14-15
Hosting: Hardware and Software Provided by SSRC	\$ 1,440,000	\$ 1,159,770
Support Staff - Business Systems Support Office	\$ 857,383	\$ 738,546
Support Staff - Office of Comptroller and Office of Work Program and Budget.	\$ 1,326,291	\$ 1,375,968
<b>TOTAL</b>	<b>\$ 3,597,689</b>	<b>\$ 3,274,284</b>

*c. Current system performance*

The systems involved in the transportation finance lifecycle are major contributors to usage on



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

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

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

**2. Information Technology Standards**

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

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

**1. Current Hardware**

The systems supporting the transportation finance lifecycle exist on both mainframe and web environments. The department’s mainframe environment consists of a z/Enterprise server housed at the Southwood Shared Resource Center. It also includes multiple instances of Microsoft Internet Information Services (IIS) Servers for hosting internet, intranet and end user applications. Web applications hosted by a District will reside on local web servers maintained by District or user-office support staff.

The FDOT Information Technology Strategic Plan, completed by the department in August 2014, highlighted the wide variance in Enterprise Architecture as an issue to be addressed.

**2. Current Software**

Four of the most prominent systems currently supporting the FDOT transportation finance lifecycle

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

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

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

Examples of these systems include:

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

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

### **C. Proposed Solution Description**

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

The proposed solution is not known at this time.

#### **4. Resource and summary level funding requirements for proposed solution (if known)**

The proposed solution is not known at this time.

### **D. Capacity Planning**

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

## **VII. Schedule IV-B Project Management Planning**

The Work Program Integration Initiative Project utilizes a detailed Project Management Plan developed in accordance with standards of the Project Management Book of Knowledge. This plan addresses common project management topics including: Scope, Schedule, Project Organization, Deliverables Acceptance, Change Management, Risk Management and Status Reporting. See Appendix C – Work Program Integration Initiative (WPII) Project Management Plan.

## **VIII. Appendices**

Appendix A – Cost Benefit Analysis Spreadsheet

Appendix B – Risk Assessment Spreadsheet

Appendix C – Work Program Integration Initiative – Project Management Plan

CBAForm 1 - Net Tangible Benefits

Agency <u>Transportation</u>	Project <u>Work Program Integration Initiative</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 -- CBAForm 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
<b>A. Personnel -- Total FTE Costs (Salaries &amp; Benefits)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>A.b Total FTE</b>	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>B. Data Processing -- Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <span style="float: right;">Specify</span>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C. External Service Provider -- Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <span style="float: right;">Specify</span>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>D. Plant &amp; Facility -- Costs (including PDC services)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E. Others -- Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <span style="float: right;">Specify</span>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total of Operational Costs ( Rows A through E)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>F. Additional Tangible Benefits:</b>		\$0			\$0			\$0			\$0			\$0	
F-1. <span style="float: right;">Specify</span>		\$0			\$0			\$0			\$0			\$0	
F-2. <span style="float: right;">Specify</span>		\$0			\$0			\$0			\$0			\$0	
F-3. <span style="float: right;">Specify</span>		\$0			\$0			\$0			\$0			\$0	
<b>Total Net Tangible Benefits:</b>		\$0			\$0			\$0			\$0			\$0	

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

A	B		C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	
1	<b>Transportation</b>		<b>Work Program Integration Initiative</b>																		
<p><i>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.</i></p>					<i>CBA Form 2A Baseline Project Budget</i>																
2					FY2016-17			FY2017-18			FY2018-19			FY2019-20			FY2020-21			TOTAL	
3				\$ 3,354,951	\$ 4,155,910			\$ -			\$ -			\$ -			\$ -	\$ 7,510,861			
4	<b>Item Description</b> <i>(remove guidelines and annotate entries here)</i>	<b>Project Cost Element</b>	<b>Appropriation Category</b>	<b>Current &amp; Previous Years Project-Related Cost</b>	<b>YR 1 #</b>	<b>YR 1 LBR</b>	<b>YR 1 Base Budget</b>	<b>YR 2 #</b>	<b>YR 2 LBR</b>	<b>YR 2 Base Budget</b>	<b>YR 3 #</b>	<b>YR 3 LBR</b>	<b>YR 3 Base Budget</b>	<b>YR 4 #</b>	<b>YR 4 LBR</b>	<b>YR 4 Base Budget</b>	<b>YR 5 #</b>	<b>YR 5 LBR</b>	<b>YR 5 Base Budget</b>	<b>TOTAL</b>	
5	Costs for all state employees working on the project.	FTE	S&B	\$ 314,408	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 314,408
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ 198,174	0.00	\$ 1,205,300	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 1,403,474
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
9	Project oversight (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
11	Scope Study & Business Process Analysis	Project Planning/Analysis	Contracted Services	\$ 2,842,369																	\$ 2,842,369
12	Requirements Development	Project Planning/Analysis	Contracted Services	\$ -		\$ 1,728,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 1,728,000
13	Implementation Strategy & Execution	Project Planning/Analysis	Contracted Services			\$ 844,800															\$ 844,800
14	Hardware purchases not included in Primary Data Center services.	Hardware	OCO	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
15	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
16	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
17	All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
18	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	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
19	Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
20	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	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
21	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
22	Project Reserves/Contingency (10% of project costs)	Other Expenses	Expense	\$ -		\$ 377,810	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 377,810
23	<b>Total</b>			\$ 3,354,951	0.00	\$ 4,155,910	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 7,510,861

CBAForm 2 - Project Cost Analysis

Agency	<u>Transportation</u>	Project	<u>Work Program Integration Initiative</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 (*)	\$4,155,910	\$0	\$0	\$0	\$0	\$7,510,861
CUMULATIVE PROJECT COSTS <i>(includes Current &amp; Previous Years' Project-Related Costs)</i>	\$7,510,861	\$7,510,861	\$7,510,861	\$7,510,861	\$7,510,861	
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	\$4,155,910	\$0	\$0	\$0	\$0	\$4,155,910
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$4,155,910	\$0	\$0	\$0	\$0	\$4,155,910
CUMULATIVE INVESTMENT	\$4,155,910	\$4,155,910	\$4,155,910	\$4,155,910	\$4,155,910	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level		
Order of Magnitude	Confidence Level	x	75%
Placeholder	Confidence Level		

CBAForm 3 - Project Investment Summary

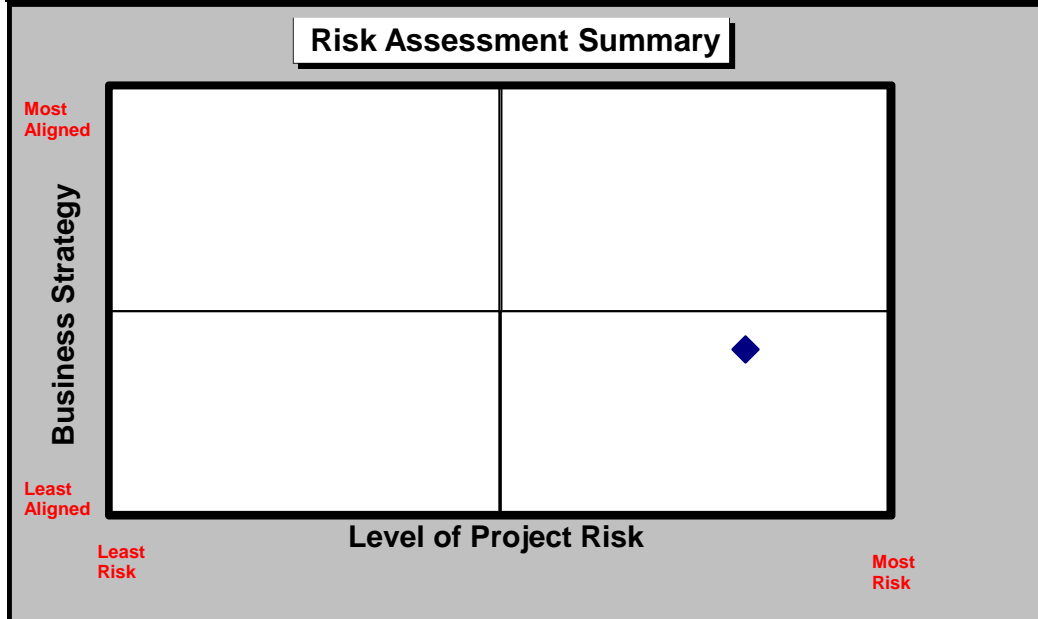
Agency	<u>Transportation</u>	Project	<u>Work Program Integration Initiative</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	TOTAL FOR ALL YEARS
Project Cost	\$4,155,910	\$0	\$0	\$0	\$0	\$7,510,861
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$7,510,861)	\$0	\$0	\$0	\$0	(\$7,510,861)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$7,367,923)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 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%

<b>Project</b>	<i>Work Program Integration Initiative</i>	
<b>Agency</b>	<i>Transportation</i>	
<b>FY 2016-17 LBR Issue Code:</b>	<b>FY 2016-17 LBR Issue Title:</b>	
<i>Issue Code</i>	<i>Work Program Integration Initiative</i>	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
<i>Stephanie Tanner, 850-410-5563, Stephanie.Tanner@dot.state.fl.us</i>		
<b>Executive Sponsor</b>	<i>Lisa Saliba</i>	
<b>Project Manager</b>	<i>Stephanie Tanner</i>	
<b>Prepared By</b>	<i>Stephanie Tanner</i>	<i>7/23/2015</i>



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



Agency: Transportation

Project: Work Program Integration Initiative

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	41% to 80% -- Some 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	Changes unknown
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 3 and 5 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Transportation

Project: Work Program Integration Initiative

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

Agency: Transportation

Project: Work Program Integration Initiative

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Moderate changes to organization structure, staff or business processes
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	Yes
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	0% to 40% -- Few or no process changes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	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 fewer change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	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	All or nearly all messages are documented
		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	Yes
		No	

Agency: Transportation

Project: Work Program Integration Initiative

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	No
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	0% to 40% -- None or few defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
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	No
		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	Neither requested nor received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Project benefits have not been identified or validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
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)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

Agency: Transportation

Project: Work Program Integration Initiative

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Timing of major hardware and software purchases has not yet been determined
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
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	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	Procurement strategy has not been developed
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Transportation

Project: Work Program Integration Initiative

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	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	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	Needed staff and skills have not been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	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	Moderate impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: Transportation

Project: Work Program Integration Initiative

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	0% to 40% -- None or few are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	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	81% to 100% -- All or nearly all have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	



Agency: Transportation

Project: Work Program Integration Initiative

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting 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	

Agency: Transportation

Project: Work Program Integration Initiative

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Unknown at this time
		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	More than 3 sites
		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	Greater than 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Agency-wide business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	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	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	



**FLORIDA DEPARTMENT OF TRANSPORTATION**

**WORK PROGRAM INTEGRATION INITIATIVE – BUSINESS  
PROCESS ANALYSIS**

**PROJECT MANAGEMENT PLAN**

**northhighland**<sup>®</sup>

WORLDWIDE CONSULTING

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Phone – 850.222.4733

Date:	9/14/2015
Version:	302
Approved By:	Lisa Saliba
Approval Date:	9/15/2015

**Revision History**

DATE	AUTHOR	VERSION	CHANGE REFERENCE
10/02/14	North Highland	001	Developed Draft of PMP Template
10/16/14	North Highland	002	Updated to Reflect the Acceptance of Deliverable 10
10/20/14	North Highland	003	Updated Based on Client Walkthrough
10/29/14	North Highland	004/100	Final updates
11/19/14	North Highland	004/101	Made updates to Governance and Project Title
1/22/15	North Highland	005/200	Updated based on Change Request WP11-BPA-002
5/18/15	North Highland	006/300	Updated based on Change Request WP11-BPA-003, New CIO
7/30/15	FDOT and North Highland	301	Updated based on Change Request WP11-BPA-004 which established Scope of Work for FY 15-16. Incorporation of new version numbering scheme.
9/14/15	FDOT and North Highland	302	Updated based on Project Team review.

**Quality Review**

NAME	ROLE	DATE
Wayne Messina	Engagement Manager	10/23/14
Wayne Messina	Engagement Manager	1/28/15

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## SECTION 1 EXECUTIVE SUMMARY

### 1.1 BACKGROUND

#### 1.1.1 BUSINESS NEED

The Florida Department of Transportation (FDOT) is an executive branch agency with primary statutory responsibility to coordinate the planning and development of a safe, viable, and balanced state transportation system serving all regions of the state, and to assure the compatibility of all components, including multimodal facilities. Florida's transportation system includes roadway, air, rail, sea, spaceports, bus transit, and bicycle and pedestrian facilities.

The Department is authorized to develop the State Transportation Five-Year Work Program. The Five-Year Work Program is financed primarily through dedicated transportation revenues. The Legislature approves the Work Program each year, authorizing a commitment budget for the upcoming fiscal year through the General Appropriations Act, and oversees amendments throughout the fiscal year. All transportation projects administered by the Department must be incorporated into the FDOT Work Program. The purpose of the Work Program is to effectively and efficiently administer, on a project-specific basis, Florida's long-term strategic transportation needs.

The Office of Comptroller and the Office of Work Program & Budget partner to deliver the continuum of the Department's financial services to include planning, development, finance, administration, quality assurance and quality control. These Offices support the primary mission of the Department to develop, finance and implement the Five-Year Work Program. Currently the Department utilizes a custom-written application, the Financial Management (FM) Suite, to automate many of the critical business processes to address:

- Development, monitoring and management of the Department's Work Program;
- Authorization, Program Management and Billing of Federal Funding; and
- Management of the Department's Cost Accounting function and monitoring of the actual financial commitments of the Department's Work Program.

The Financial Management Suite of computer applications, herein referred to as FM or the FM Suite, has a foundational role in the Transportation Finance Life Cycle. The support functions of FM were developed in response to a disconnect between budget appropriations, funding sources, project estimates and actual commitment information which resulted in a cash shortfall. Every line of FDOT business uses some of the foundational components of FM and many program-specific computer applications access and/or exchange data with FM. There are many risks and concerns that have led FDOT Management to begin discussing the potential modernization efforts related to FM and other supporting applications.



### 1.1.2 PURPOSE

This project will provide FDOT with detailed current state business processes, opportunities for improvement (both short-term and long-term), and plans for future phases.

## 1.2 PROJECT SCOPE

### 1.2.1 IN SCOPE

The scope of this project includes the following items:

#### Phase I

- Complete Business Process Analysis (BPA) of the FDOT Transportation Finance Lifecycle. The lifecycle includes:
  - The preparation of funding allocations and revenue and expenditure forecasts (Cash Forecast and Finance Plan) to support the preparation of the Work Program
  - Conducting project scoping and feasibility studies
  - Initial project cost estimating
  - Project prioritization
  - Conduct of the “gaming” process to select projects for and preparation of the FDOT five- year Work Program
  - Development and Submittal of FDOT’s Legislative Budget Request to Legislature
  - The funds approval process
  - Authorization of funding for specific projects with the Federal Highway Administration (FHWA) and other Federal, state and local funding partners
  - The on-going managing and monitoring of the execution of the entire Work Program and each individual program area including making required adjustments to the planned number and mix of projects based on actual project performance
  - Monitoring of the actual financial commitments of the Department’s Work Program
  - Management of the Department’s cost accounting function
  - Coordination of reimbursement activities with the Department’s funding partners
- Document the As-Is business processes.
- Provide diagrams to demonstrate the As-Is business processes.
- Prepare and present a Report to explain the outcome of the BPA.
- Lead in-person presentation and review of key deliverable(s), allowing the FDOT Project Team and Vendor Team an opportunity to review and discuss the deliverables.
- Develop the To-Be and Requirements Plans

- As needed by FDOT, for a period of 60 calendar days after completion of the WPPII-BPA Report, the Vendor shall be available to address questions and follow-up.

**Phase II**

- Document the To-Be Business Processes, including any possible constraints.
- Obtain verification, confirmation and sign-off of To-Be Business Processes
- Document High Level Requirements based on confirmed To-Be Business Processes
- Document Requirements Verification Traceability Matrix (RTVM)
- Create and advertise a Request for Information (RFI) to support the gathering of information on potential solutions.
- Support the Request for Information Process

**1.2.2 OUT OF SCOPE**

For the purpose of this project, the following are out of scope:

- The implementation of operational and process improvements for FDOT
- The direct testimony to the legislative bodies without explicit FDOT approval
- The implementation of any policy and legal authority changes

**1.3 DELIVERABLES AND MILESTONES**

Exhibit 1-1 below provides a high-level summary of key dates over the lifecycle of this project. Deliverables will be developed in collaboration with the FDOT project team and include periodic reviews of the work products as a normal part of the project status meetings.

DELIVERABLES AND MILESTONES	DELIVERABLE DESCRIPTION	DELIVERABLE DUE DATE
<b>Phase I</b>		
1	Vendor Introduction Meeting	10/28/14
2	Project Management Plan and Project Schedule	11/03/14
3	As-Is of PLAN portion of the WPPII	04/15/15
4	As-Is of PROGRAM portion of the WPPII	04/15/15

<b>DELIVERABLES AND MILESTONES</b>	<b>DELIVERABLE DESCRIPTION</b>	<b>DELIVERABLE DUE DATE</b>
5	As-Is of the IMPLEMENT portion of the WPII	04/15/15
6	As-Is of MANAGE, MONITOR, AND REPORT portion of the WPII	04/15/15
7	WPII As-Is Report (All Sections Combined)	04/15/15
8	Vendor Presentation	06/30/15
9	Deliverables Warranty & Follow Up	07/01/15
10	To-Be and Requirements Plan	06/30/15
11	Contractual Hold Back on Deliverables 1 - 9	NA
12	Updated Project Schedule	5/29/15
13	Deliverables Expectation Document for Deliverable 14, FY 15-16 Assessment Report.	5/29/15
14	WPII FY15-16 Assessment Report	06/30/15
15	Contractual Hold Back on Deliverables 12 - 14	NA
<b>Phase II</b>		
16	To-Be Vendor Kick Off Meeting	07/24/2015
17	To-Be Objectives/Visioning Session	09/11/2015
18	To-Be Business Process Report	02/24/2016
19	Requirements Verification Traceability Matrix (RTVM) with High Level Requirements	04/15/2016
20	Request for Information	05/02/2016
21	To-Be Business Process and Requirements Vendor Presentation	06/30/2016
22	Deliverables Warranty & Follow Up	09/02/2016
23	Contractual Hold Back on Deliverables 16 - 21.	NA

**Exhibit 1-1: Deliverable Summary**

## 1.4 CONSTRAINTS

For the purposes of the project, constraints are defined as the conditions or circumstances limiting the project relative to scope, quality, schedule, budget, and resources. North Highland has identified the following constraints for the FDOT WPII-BPA Project:

- FDOT will be the final approver of the deliverables contemplated in this project

- The project will be completed as a fixed price, deliverable-based engagement
- The project schedule is based on a single cycle deliverable review and revision prior to acceptance by FDOT. Additional cycles of review and revision may impact project schedule and budget

## SECTION 2 ABOUT THIS DOCUMENT

The Project Management Plan describes the background, objectives, project management approach, key deliverables, assumptions, governance structure and framework for risk management associated with the project. This document has been tailored for this project from “A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fifth Edition” published by the Project Management Institute (PMI).

### 2.1 WHO SHOULD USE THIS DOCUMENT?

The North Highland (NH) and FDOT Project Teams involved in the project should use this document for guidance on project procedures.

### 2.2 INTERDEPENDENCE AND RELATED DOCUMENTS

This document should be used in conjunction with the following project documents:

- Request for Quote (RFQ)
- WPII Schedule IV-B
- North Highland Response to the FDOT RFQ
- Project Schedule
- Project Tracking Book (PTB)
- WPII Project Change Requests

### 2.3 DISTRIBUTION

This document shall be distributed to FDOT and NH Project Team Members and any other personnel as required or otherwise authorized by FDOT. Notifications of changes to this document will be circulated per the communication management process outlined in this document.

### 2.4 ASSUMPTIONS

North Highland identified the following assumptions for the FDOT WPII-BPA Project:

- The project start date is October 15, 2014 and the project schedule submitted with the North Highland proposal will be the baseline for scheduling on-going tasks/activities.
- Deliverable acceptance criteria will be mutually agreed upon and approved prior to the development of the deliverables. The criteria will be documented in the Deliverable Expectations Document along with specifications as to the reasonable level of detail to be captured in each deliverable commensurate with the required schedule.

- FDOT personnel will be available for necessary process mapping sessions. These sessions will be scheduled by FDOT in coordination with North Highland personnel.
- North Highland will raise issues and risks in a timely manner, follow established communication protocols, and be prepared for formal meetings, and working sessions.
- FDOT resources will be managed by the FDOT Project Manager, and the North Highland team resources will be managed exclusively by the North Highland Project Manager.
- FDOT and North Highland teams will have a checkpoint following the Define phase to agree on processes to be documented.
- FDOT and North Highland teams will have a checkpoint following the To-Be Processes to verify and validate the processes to be included in the Requirements Phase.

## 2.5 ORGANIZATIONS AFFECTED OR IMPACTED

The following organizations will be impacted by this project.

ORGANIZATION	HOW ARE THEY AFFECTED, OR HOW ARE THEY PARTICIPATING?
FDOT Districts/ Turnpike Enterprise	<ul style="list-style-type: none"> <li>▪ Participate in interviews and provide information on the current and future state business processes</li> </ul>
Office of the Comptroller	<ul style="list-style-type: none"> <li>▪ Participate in interviews and provide information on the current and future state business processes</li> </ul>
Office of Work Program & Budget	<ul style="list-style-type: none"> <li>▪ Participate in interviews and provide information on the current and future state business processes</li> </ul>
Engineering and Operations	<ul style="list-style-type: none"> <li>▪ Participate in interviews and provide information on the current and future state business processes</li> </ul>
Intermodal	<ul style="list-style-type: none"> <li>▪ Participate in interviews and provide information on the current and future state business processes</li> </ul>
Program Management Administration	<ul style="list-style-type: none"> <li>▪ Participate in interviews and provide information on the current and future state business processes</li> </ul>
Procurement Management Office	<ul style="list-style-type: none"> <li>▪ Provide direction as needed in development of Request for Information</li> </ul>
OIS	<ul style="list-style-type: none"> <li>▪ Participate in interviews and provide information on the current and future state business processes and how the technology supports the business</li> </ul>
BSSO	<ul style="list-style-type: none"> <li>▪ Participate in interviews and provide information on the current and future state business processes</li> </ul>

**Exhibit 2-1: Organizations Affected or Impacted**

## SECTION 3 PROJECT GOVERNANCE & ORGANIZATION

Ensuring that our project stakeholders and team members have a common understanding of the project governance and organization, including project roles and responsibilities, is key to effective project management. Exhibit 3-1 provides a description of the roles and responsibilities of the proposed staff. Exhibit 3-2 illustrates the project organizational structure for the project.

\* Project Team

ROLE	NAME	RESPONSIBILITIES
FDOT Executive Steering Committee	Rachel Cone Richard Biter Brian Blanchard Diane Gutierrez-Scaccetti District Secretary (TBD)	<ul style="list-style-type: none"> <li>Provides guidance on overall strategic direction</li> </ul>
FDOT Management Steering Committee	April Blackburn Tom Byron Robin Naitove Lisa Saliba Annette Lapkowski Stacy Miller Nicola Liquori	<ul style="list-style-type: none"> <li>Reviews and approves deliverables</li> <li>Resolves issues, risks, and decisions raised by functional coordinators</li> <li>Process visionaries assisting functional coordinators</li> <li>Reviews and approves external project communication</li> <li>Provides support to the Project Managers</li> <li>Serves as a champion of the project within the department</li> <li>Provides guidance on overall scope and project direction</li> </ul>
FDOT Executive Sponsor	Rachel Cone	<ul style="list-style-type: none"> <li>Ensures cross-functional FDOT alignment</li> <li>Has ultimate responsibility for the project</li> <li>Provides support for the Project Manager</li> <li>Serves as an escalation point for the Project Manager</li> </ul>
FDOT Project Sponsor*	Lisa Saliba	<ul style="list-style-type: none"> <li>Serves as a champion of the project within the department</li> <li>Provides guidance on overall scope and project direction</li> <li>Acts as a point of escalation for issues, risks, and decisions</li> <li>Serves as a member of the FDOT deliverable review team</li> <li>Provides input and guidance on issues brought to the Management Steering Committee</li> </ul>

ROLE	NAME	RESPONSIBILITIES
FDOT Chief Information Officer*	April Blackburn	<ul style="list-style-type: none"> <li>▪ The Chief Information Officer coordinates and manages the information resources, management policies, and activities within the FDOT</li> </ul>
FDOT Project Manager*	Stephanie Tanner	<ul style="list-style-type: none"> <li>▪ Oversees the work of the combined project team</li> <li>▪ Provides daily leadership and direction for the project</li> <li>▪ Leads project to ensure contracted deliverables are met</li> <li>▪ Serves as an escalation point for the FDOT Project Team</li> <li>▪ Provides verbal status updates to the project sponsorship</li> <li>▪ Monitors performance against the schedule and PMP</li> <li>▪ Serves as member of FDOT deliverable review team</li> </ul>
FDOT Contract Manager	Don SanGregorio	<ul style="list-style-type: none"> <li>▪ Provides formal acceptance of project deliverables</li> <li>▪ Ensures overall adherence to the contract (SOW)</li> <li>▪ Coordinates communications/meetings with FDOT</li> <li>▪ Serves as member of FDOT deliverable review team</li> <li>▪ Monitors project deliverable deadlines</li> <li>▪ Prepares change order reports for Management Steering Committee approval</li> <li>▪ Prepares weekly updates on action items and reports progress</li> <li>▪ Prepares, tracks, and coordinates paperwork for issues, risk, and decisions</li> <li>▪ Monitors performance against the project schedule and PMP</li> <li>▪ Interfaces daily with NH and FDOT Project Managers to assist with logistics</li> </ul>



ROLE	NAME	RESPONSIBILITIES
Functional Coordinators*	Lisa Evans Chuck Rohling Doug T Martin Annette Lapkowski Stacy Miller Mike Soto Freddie Simmons Sharon Jackson Trey Tillander Greg Davis	<ul style="list-style-type: none"> <li>▪ A dedicated resource from the Functional Office assigned to serve as liaison between the Vendor, Office of Information Systems and the Functional Office</li> <li>▪ Acts as an agent for the Project Sponsor(s)</li> <li>▪ Provides guidance on overall scope and project direction</li> <li>▪ Provides verbal status updates to Project Sponsor, project members, NH Project Manager and FDOT Project Manager</li> <li>▪ Acts as a point of escalation for issues, risks, and decisions</li> <li>▪ Process Visionaries for specialized line of business</li> <li>▪ Coordinates functional activities and ensures employee participation as needed</li> <li>▪ Assists in preparing internal and external project communication</li> <li>▪ Reviews work products with Management Steering Committee and recommends course of action on items under consideration</li> </ul>
North Highland Client Exec.	Barbara Ray	<ul style="list-style-type: none"> <li>▪ Has local signature authority for North Highland</li> <li>▪ Acts as executive escalation for the Department</li> </ul>
North Highland Engagement Manager	Wayne Messina	<ul style="list-style-type: none"> <li>▪ Has responsibility for client satisfaction and ensures required tasks, services, and project objectives are met</li> <li>▪ Acts as the point of escalation after the North Highland Project Manager</li> <li>▪ Provides consultation/support as required</li> </ul>
North Highland Project Manager (Full Time, Onsite)	Jeremy Segers, PMP	<ul style="list-style-type: none"> <li>▪ Acts as primary liaison to FDOT Project and Contract Managers</li> <li>▪ Has day-to-day responsibility for the project</li> <li>▪ Responsible for the successful completion and the quality of the project deliverables</li> <li>▪ Oversees the work of the North Highland Project Team</li> <li>▪ Acts as a point of escalation for the project</li> <li>▪ Manages the project schedule, risks, action items, issues, and decisions</li> <li>▪ Reports project status and maintains project plan</li> <li>▪ Ensures that the processes in the PMP are followed</li> </ul>

ROLE	NAME	RESPONSIBILITIES
North Highland Process Analysts (Full-Time Onsite)	Drew Evers Colin Hood Becky Tolnay Jennifer Nichols	<ul style="list-style-type: none"> <li>▪ Responsible for creating the project deliverables (As-Is, To-Be, and Gap Analysis, etc.)</li> <li>▪ Organize and facilitate stakeholder activities, including interviews, deliverable reviews, and presentations</li> <li>▪ Document high-level requirements and final reports</li> <li>▪ Provide status updates to project management</li> <li>▪ Identify and resolve projects issues and risks</li> </ul>
North Highland Domain Expert	Anna Danegger, Scott Rainey, PMP	<ul style="list-style-type: none"> <li>▪ Provide DOT and process subject matter expertise</li> <li>▪ Conduct market analysis on DOT best practices and conduct a facilitated session</li> <li>▪ Provide guidance for the development of deliverables</li> <li>▪ Support the quality review of work products</li> </ul>

**Exhibit 3-1: Project Governance – Roles and Responsibilities**

## SECTION 4 PROJECT RISK MANAGEMENT PLAN

### 4.1 OVERVIEW

Risk management will be an on-going process conducted throughout the life of the project. The process begins with identifying, assessing, and developing response plans for significant risks. It continues with regular risk monitoring, ongoing identification of new risks, and timely implementation of mitigation plans.

This Risk Management Process addresses identified risks that require visibility at the highest levels of the project and will be managed by the combined Project Management teams of FDOT and North Highland.

The project team will use a straightforward method that includes identifying and categorizing project risks (Identify), assessing and prioritizing the risks (Analyze) so they are manageable, developing a response strategy and assigning responsibility (Plan), tracking the risks by reviewing them at key project milestones (Track), implementing the defined response strategies as required (Control) and most importantly, communicating the risks and strategies on an ongoing basis throughout the life of the project. Risk management processes address internal risks (those under the control or influence of the project team, such as quality of deliverables, cost, schedule, or technical risks) as well as external risks (those outside the control of the project team such as governmental legislation or weather).

The Exhibit below illustrates the high-level Risk Management Process Flow (Exhibit 4-1: Risk Management Lifecycle).



**Exhibit 4-1: Risk Management Lifecycle**

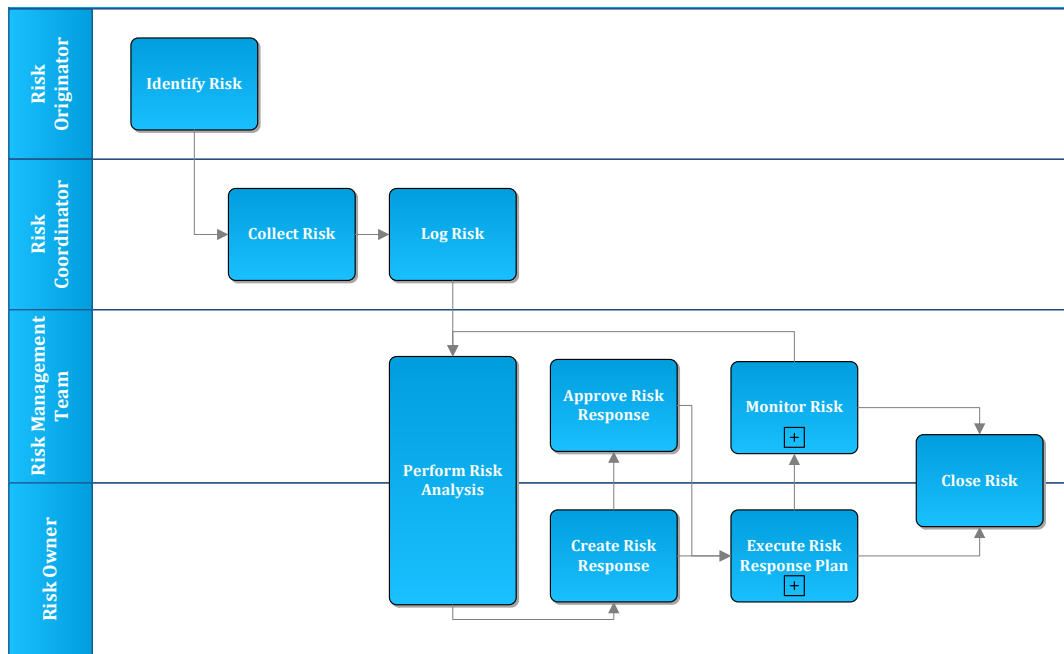
## 4.2 ROLES AND RESPONSIBILITIES

The roles and responsibilities relating to Risk Management are presented as follows in Exhibit 4-2: Risk Management Roles and Responsibilities. In many cases, the FDOT and NH Project Managers will play one or more of these roles:

ROLE	RESPONSIBILITIES
Risk Originator (anyone)	<ul style="list-style-type: none"> <li>▪ Identifies risk</li> </ul>
Risk Coordinator (NH Project Manager)	<ul style="list-style-type: none"> <li>▪ Collects, formats and registers risks in the Risk Log (eliminates duplicates as identified)</li> <li>▪ Manages and facilitates risk mitigation acceptance, and resolution</li> <li>▪ Maintains the Risk Log in the PTB</li> </ul>
Risk Management Team (FDOT Contract Manager, FDOT Project Manager and NH Project Management or designees)	<ul style="list-style-type: none"> <li>▪ Performs risk analysis</li> <li>▪ Approves risk response plans</li> <li>▪ Monitors risk</li> <li>▪ Approves closure of risk</li> </ul>
Risk Owner (Assigned by Risk Management Team)	<ul style="list-style-type: none"> <li>▪ Formulates and executes risk response plan</li> </ul>

**Exhibit 4-2: Risk Management Roles and Responsibilities**

The exhibit below (Exhibit 4-3: Risk Management High-Level Workflow) is a graphical representation of the risk management workflow. The exhibit depicts the processes that a risk will proceed through during risk management as well as the identification of the individual or team responsible for the process step.



**Exhibit 4-3: Risk Management High-Level Workflow**

#### 4.2.1 RISK ANALYSIS

Once project risks have been identified, analysis will be performed to determine relative priorities and to develop a prioritized risk list for planning the appropriate level of response to the risks. An analysis will be performed on each risk using a probability and impact rating.

#### 4.2.2 RISK RESPONSE

Risk Response Planning is the process for determining the set of actions intended to reduce the negative and adverse impact on the objectives of the FDOT WP11-BPA Project. The risk responses must be relevant to the significance (probability and impact) of the impact.

#### 4.2.3 RISK MONITORING

Risk monitoring is an iterative process of reviewing, re-assessing, and tracking risks as well as maintaining risk response plans. The objective of this step is to regularly reassess the disposition of identified risks and to verify the project team is actively managing and controlling risks. The Risk Coordinator and Risk Management Team will discuss risks in the weekly status meetings, and ad-hoc as necessary, to review and re-examine risks and review mitigation effectiveness.

---

#### **4.2.4 RISK ESCALATION**

The Risk Management Team will work together, during the weekly status meeting, to identify risks that warrant escalation to Project Sponsors. Risks that are either increasing in their likelihood (i.e., becoming imminent) will automatically be raised to the Project Sponsors.

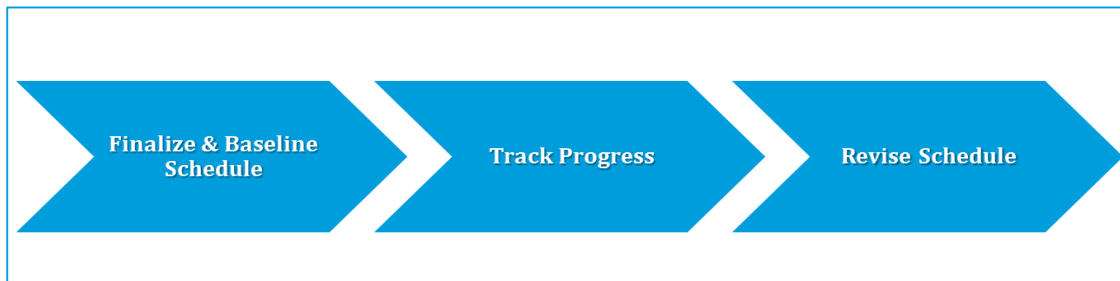
#### **4.2.5 RISK CLOSURE**

The Risk Management Team will be responsible for approving the closure of any identified risks. Once the Risk Management Team determines that a risk has occurred causing the risk to become an issue or considers a risk to have been sufficiently mitigated or no longer a factor, the risk owner may close the risk on the Risk Log. The Risk Coordinator can then remove it from future status reports if currently listed. Closed risks will remain on the Risk Log to provide a historical record.

## SECTION 5 SCHEDULE MANAGEMENT

### 5.1 OVERVIEW

Consistent, high-quality schedule management processes allow the project team to understand the current situation, accurately assess the impact of changes, correctly prioritize team efforts, and effectively communicate the schedule health of the project. A structured process allows the team to develop a baseline and report progress against the planned project schedule.



**Exhibit 5-1: Schedule Management Lifecycle**

### 5.2 FINALIZE SCHEDULE

During the project initiation phase, a key objective for the project team is to revise, finalize, and communicate the project's scope and schedule.

The steps that constitute the final schedule activities include :

- Review existing draft schedules and plans
- Review and finalize the Work Breakdown Structure (WBS)
- Review and finalize the activity durations
- Review and finalize activity dependencies including the creation of milestones
- Review the overall schedule and integration of tasks between teams including incorporating external dependencies
- Approve schedule

FDOT and NH Project Managers will only consider changes to the project schedule with approved change requests (see Section 6.3: Manage Change Control). Any approved changes to the project schedule will be made by the NH Project Manager or designee.

### 5.3 TRACK PROGRESS

OIS and North Highland Project Managers will utilize the weekly status meetings and status reports to track and communicate progress against the schedule. This process consists of the following steps:

- Track, review and document progress updates
- Review the schedule and report progress
- Analyze progress and determine corrective actions
- Document corrective actions
- Update the project schedule as needed to reflect corrective action

Tracking progress against the schedule is a continuous process that occurs weekly in order to collect and report accurate information in a timely manner.

To build consistency in how Deliverable progress is reflected in the schedule and weekly status report, tasks will be tracked using the following Percent Complete definitions as weekly tracking occurs. Project tasks contained in the project schedule will have their progress reflected using the Percent Complete definitions below (Exhibit 5-2: Task Percent Complete Definitions).

Deliverables will be tracked according to the actual percent complete in the project schedule.

PERCENT COMPLETE	DEFINITION
0%	Task not started
25%	Task started and in-progress
50%	Draft Complete
75%	Internal Review Complete
100%	Task complete

**Exhibit 5-2: Task Percent Complete Definitions**

The project schedule also reflects milestones. Milestones are binary – they are either not complete or complete. A completed milestone will be reflected as 100%. Otherwise, a milestone will be reflected as 0%.

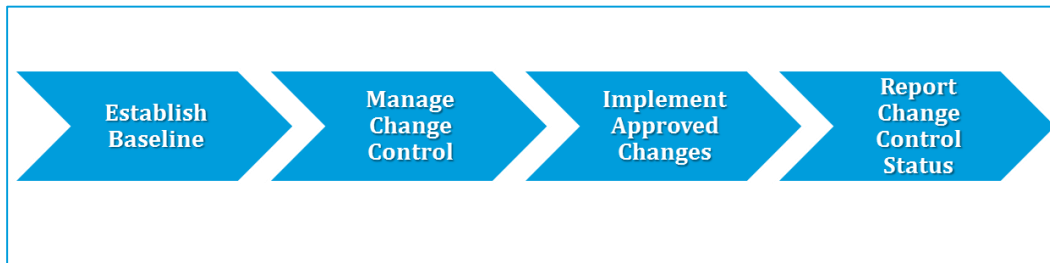
## SECTION 6 SCOPE MANAGEMENT

### 6.1 OVERVIEW

Throughout the life of the project, any change to the current scope will follow the Change Control process. In order to control these changes, the project team will utilize a formal change control management process for identifying, reviewing, approving, coordinating, archiving, and reporting the status of these change requests.

Project members have a role in this process that is based on analysis of the change and the implication of the proposed change on project scope, schedule, budget, and benefit.

**Note:** The WPII-BPA Project is a fixed price project. Budget changes are not anticipated and would only result if new or revised scope was introduced to the project.



**Exhibit 6-1: Change Control Management Lifecycle**

### 6.2 ESTABLISH BASELINE

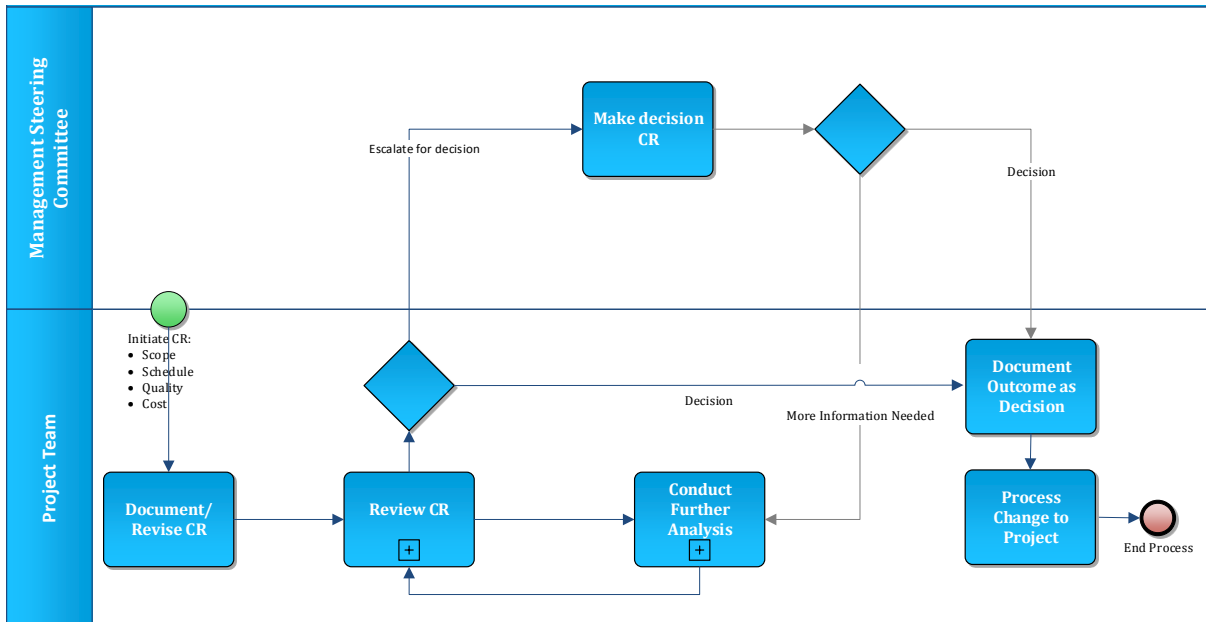
The scope defines the boundaries of the project (e.g. project goals and objectives, requirements, work products, schedule, quality, resources, etc.).

The purpose of establishing and maintaining baselines is to provide a reference point to control the risk that the scope, budget, or schedule of the project will be adversely impacted by a potential change. The Project Management Plan and Project Schedule documents will establish the project's initial baseline. From that point forward, the NH Project Manager will not allow a change without an approved change request.

### 6.3 MANAGE CHANGE CONTROL

A Change Request (CR) is a request to modify the established project schedule. The following flowchart outlines the process for how changes are requested, analyzed, and either authorized or denied (Exhibit 6-2: Change Control Flow).





**Exhibit 6-2: Change Control Flow**

FDOT and NH Project Managers can provide the final disposition of a CR, without going to the FDOT Project Sponsor or NH Engagement Manager, if the change is considered to have no impact to contract, schedule, budget or quality. If a difference of opinion exists between the FDOT Project Manager and the NH Project Manager, or the CR is of the nature there is an impact to the contract (e.g., schedule budget or quality), the CR will be escalated for review and disposition.

Throughout the project, the project team will document CRs in the project change order log (Exhibit 6-3: Sample Change Order Log). The disposition and status of submitted CRs will be captured in the Change Order Log.

CHANGE ORDER LOG												
Definition: A CHANGE Item is a requested addition, deletion, or modification of the contracted services or deliverables.												
Legend: <span style="display: inline-block; width: 15px; height: 10px; background-color: #ccc; border: 1px solid #000;"></span> Closed Item <span style="display: inline-block; width: 15px; height: 10px; background-color: #ffff00; border: 1px solid #000;"></span> Pending Item <span style="display: inline-block; width: 15px; height: 10px; background-color: #0000ff; border: 1px solid #000;"></span> New Item												
Item #	Change Description	Category	Date Raised	Raised by	Priority	Impacts	Status	Date Closed	Risk Log #	Linkage to Other Logs		
										Action Log #	Issue Log #	Decision Log #
C-001												
C-002												
C-003												
C-004												
C-005												
C-006												
C-007												
C-008												
C-009												
C-010												

**Exhibit 6-3: Project Tracking Book - Sample Change Order Log**

#### **6.4 IMPLEMENT APPROVED CHANGES**

Once a CR has been approved, the FDOT and NH Project Managers are responsible for implementing the change. Key activities to complete (as needed) are:

- North Highland will update the Project documentation baseline, including Project Schedule (archive previous baseline version)
- North Highland and FDOT Contract Manager will update project budget as it relates to the contract
- FDOT Project Manager will update master project budget (if new scope introduced)
- FDOT Contract Manager will oversee the appropriate change to the project purchase order in MyFloridaMarketPlace
- FDOT Project Manager will communicate disposition of CR to FDOT team and stakeholders

#### **6.5 REPORT CHANGE CONTROL STATUS**

The FDOT and NH Project Managers will include the status of open CRs and number of CRs closed in the current reporting period on the weekly status report. The Project Managers will also track and monitor that project team members are incorporating approved CRs in their project activities and documentation.

#### **6.6 PROJECT SCOPE CHANGE REQUEST FORM**

The Change Request Form provided by the FDOT Project Management Office, and associated components, will be used to capture any project CR's.

---

## SECTION 7 DOCUMENT MANAGEMENT

### 7.1 OVERVIEW

The Document Management section describes the document management practices for this project. Document management includes document creation, document revision, delivery approach, and version control. A standard process will be used for project related documents and applies to the creation and management of documentation including minutes, notes, deliverables and other outputs for this phase of the project.

### 7.2 DOCUMENT CREATION AND DELIVERY APPROACH OBJECTIVES

This approach is designed to ensure:

- Defined objectives are met
- Expectations of the major stakeholders of the project are fulfilled to the extent appropriate
- Approved principles, measures, standards, and methods are applied uniformly
- Consistency and continuity is maintained for project artifacts

### 7.3 PURPOSE OF DOCUMENT MANAGEMENT

The purpose of Document Management is to define the process for how documents developed by NH will be managed and submitted to FDOT for approval.

This document identifies the steps in the document creation and update processes, from the initial creation of a document through approval by the FDOT Project Team (if applicable), including any revisions or updates necessary throughout the document's useful life.

### 7.4 DOCUMENT MANAGEMENT STRATEGY

FDOT and NH will work together to ensure quality in the documents submitted to FDOT for review and approval. To support this goal, several tactical actions are planned or have already been performed:

- The project will use the Microsoft SharePoint product. SharePoint helps to organize large, complex information sources and manage documents with multiple authors and approvers. SharePoint provides for version tracking, check-in and check-out to ensure that only one person works on a document at a time, controlled document access based on user roles, and automated routing of documents to reviewers.
- NH will create an internal SharePoint site to manage and maintain working documents. FDOT will create and maintain a FDOT SharePoint (WP11-BPA Team) site and grant NH the ability to add and update folders and documents.

- As the standard protocol for the project, the following documents will be maintained on the WPII-BPA Team site:
  - Interview Guides
  - Status Reports
  - Submitted deliverable documents for review and the associated companion documents consisting of: deliverable review workbooks, deliverable expectation document, and deliverable acceptance forms
  - Working documents defined as those artifacts created to support the project such as milestone documents, data analysis models, inventory spreadsheets and artifacts collected from state scan or agency interviews
  - Meeting agenda and summaries
- The approach and the document naming standards defined in this plan will be adhered to for documents that will be maintained by NH and submitted to FDOT.
- 
- As relevant project documentation, including hard copy documents (i.e. charts, graphs, and other supporting documents) are gathered, to the extent practicable and as determined appropriate, documents will be scanned and stored in SharePoint following standards and processes defined in this plan.
- Each project document will have a NH owner who is responsible for the creation of and updates to the document throughout its useful life.

#### **7.4.1 DOCUMENT NAMING STANDARDS**

Artifacts will use a standard naming convention to provide consistency in the way project related artifacts are named. The file naming conventions used on this project include:

- yymmdd-ABCD12-DEFG-Artifact-Name-V###-FINAL (Example: 140604-FDT02-Deliverable1-Document-Management-Plan-DRAFT) where
  - ABCD12 is the NH project code
  - DEFG –Artifact-Name is a short description of the deliverable
  - V### is the version tracking number. Minor updates are indicated by changes to the third digit. Major updates are indicated by changes to the first digit.
  - DRAFT/FINAL identifies the document state

Note: Artifact Name – Replace this value with the deliverable name and always use hyphens instead of spaces. Additional text or details to the name of the file (no initials, change details, etc.) will not be added. The Revision History table included in each document template will be used to include the details of what was changed in each version.

### **7.4.2 DOCUMENT REPOSITORY**

The Document Repository is established in Microsoft SharePoint and will contain current and previous versions of deliverable and work product documents. The FDOT and NH project team members will use Microsoft's SharePoint software as the collaboration tool. This tool provides version control and many additional features that may be implemented to maximize project communications.

### **7.4.3 VERSION CONTROL**

The project will standardize version control for project artifacts. This will provide consistent document version control. The following steps will be followed for each project artifact:

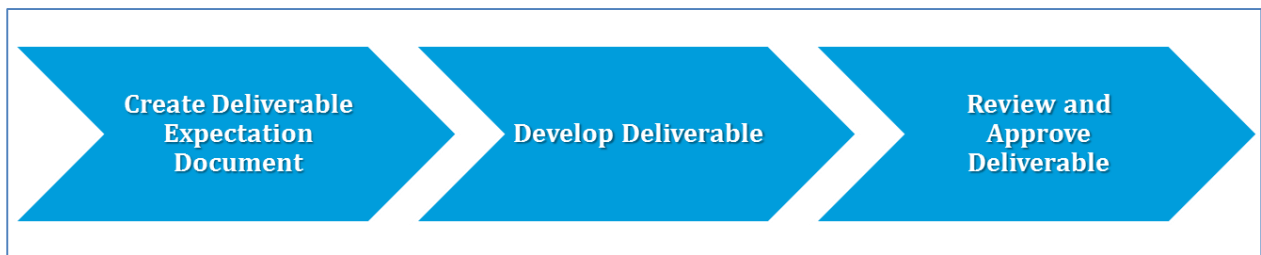
- Documents will have a consistent name throughout the update process, with versioning being indicated through a version number and date listed within the document, and as part of the document name.
- Each new document will start at version 001
- The version number will be incremented by 1 until the FDOT Project Team has approved the document
- The first digit of the three digit version identifier will be used for approved deliverables. Example: Version 002 will become Version 100 after being approved and accepted.
- If revisions are made after the initial acceptance, the version number will be incremented by 001 until another approval. Minor updates will keep the incremental version number (Example: 103). Major updates will increment to the next full number (Example 200).
- All versions (incremental and approved) will be documented in the Revision History table.
- Version number and date will be indicated on the cover page of each document, or alternate location as appropriate based on the type of document.
- Final, approved documents will also be indicated by appending FINAL to the end of the file name.

Continue this pattern as necessary

## SECTION 8 QUALITY MANAGEMENT

### 8.1 OVERVIEW

Quality Management is an integral component to project success and needs to be integrated into the project approach and schedule. To support a quality outcome, there are several activities that need to be carried out over the life of a project to make sure that expectations are met and aligned. The Exhibit below illustrates the high-level Quality Management Components (Exhibit 8-1: Quality Management Components).



**Exhibit 8-1: Quality Management Components**

### 8.2 DELIVERABLE EXPECTATION DOCUMENT

The Deliverable Expectation Document (DED) is used to record mutually agreed acceptance criteria, and it will facilitate an efficient and effective process to obtain final approval on deliverables. Also recorded in the DED is NH’s general approach to meeting the deliverable requirements through the development process.

The deliverable acceptance criteria are recorded in the DED. The acceptance criteria must be clearly defined and absent of subjectivity and ambiguity wherever practical. Recorded in the document are the specifics of how the criteria will be measured, and any comments pertinent to further clarifying the criteria or assessment.

Once agreement is reached with FDOT on the expectations and acceptance criteria, NH will finalize the draft and submit the DED to the FDOT Project Manager and FDOT Contract Manager with the Deliverables. The FDOT Contract Manager will send it to the deliverable reviewers to ensure their understanding of the expected content in the associated deliverables.

### 8.3 DELIVERABLE DEVELOPMENT PROCESS

The key, at a high level, to making sure surprises are minimized during the deliverable review process is the involvement of FDOT Project leadership and Project Sponsors in the deliverable development process. Sharing working drafts of deliverables in a collaborative manner throughout the project facilitates the identification of issues, differences of opinions, and misunderstandings.

During the Deliverable Development process decisions may be agreed upon by the FDOT Project Manager or FDOT Project Sponsor and the NH Project Manager that impacts the DED. When this occurs the NH Project Team is responsible for making the updates to the current version of the DED and submitting the revised document to the FDOT Project Manager. The FDOT Project Manager is responsible for managing the dissemination of the updated DED.

#### 8.4 INTERNAL NH DELIVERABLE REVIEW

In alignment with the project schedule, each project deliverable will go through an internal NH quality assurance review. During this review, NH Project Manager and members of the NH team will review the deliverable and assess whether it meets its intended scope, is clear and concise, and meets expectations. The internal NH review team will focus on content but will also review the deliverable to ensure consistent and proper document formatting. Deliverables will not be submitted to FDOT for approval until the deliverable has been subject to this internal NH review. See Section 3, Project Governance and Organization and Exhibit 3-3 for resource assignment options for the internal NH review team.

#### 8.5 DELIVERABLE REVIEW AND APPROVAL

Once a deliverable has been developed and completed the internal NH deliverable review process, it is ready to enter the deliverable review and approval process. The deliverable review and approval process follows a predefined set of steps and set of time standards detailed in the sections below.

##### 8.5.1 ROLES AND RESPONSIBILITIES

The roles and responsibilities relating to the Deliverable Review and Approval process are presented in the table below (Exhibit 8-2: Deliverable Review and Approval Roles and Responsibilities).

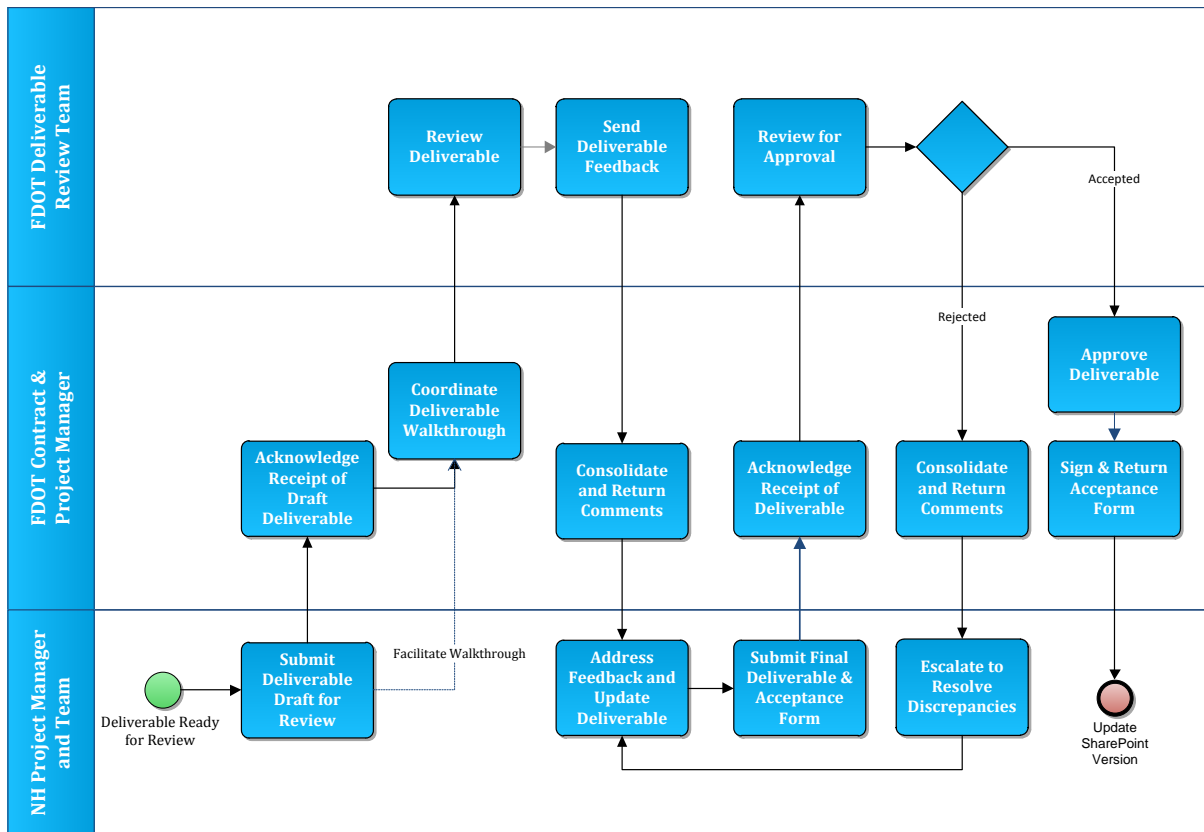
ROLE	RESPONSIBILITIES
FDOT Deliverable Review Team	<ul style="list-style-type: none"> <li>▪ Actively participate in Draft Deliverable Walkthrough session</li> <li>▪ Review draft deliverables for review consistent with deliverable acceptance criteria</li> <li>▪ Participate in Escalation Process, if needed</li> </ul>

ROLE	RESPONSIBILITIES
FDOT Contract Manager and FDOT Project Manager	<ul style="list-style-type: none"> <li>▪ Acknowledge receipt of deliverables</li> <li>▪ Coordinate a draft deliverable walkthrough (optional)</li> <li>▪ Distribute draft deliverable, review feedback spreadsheet and review instructions to Deliverable Review Team</li> <li>▪ Coordinate a feedback review meeting to review and consolidate comments (optional).</li> <li>▪ Consolidate draft Deliverable Review Team comments and return them to the NH Project Manager</li> <li>▪ Notify NH Project Manager whether deliverable is accepted or rejected</li> <li>▪ Coordinate issue escalation of a Deliverable not approved</li> <li>▪ Sign the Deliverable Acceptance Statement</li> </ul>
NH Project Manager	<ul style="list-style-type: none"> <li>▪ Submit draft deliverable to FDOT Contract Manager for FDOT review consistent with acceptance criteria</li> <li>▪ Facilitate Draft Deliverable Walkthrough session</li> <li>▪ Address FDOT feedback and revise deliverable</li> <li>▪ Submit final deliverable to FDOT Contract Manager</li> <li>▪ Participate in Escalation Process, if needed</li> </ul>

**Exhibit 8-2: Deliverable Review and Approval Roles and Responsibilities**

Each deliverable submitted to FDOT for review and approval will follow the process flow illustrated below in Exhibit 8-3: Deliverable Review and Approval Process. The exhibit depicts the process that a deliverable will proceed through as well as identify the team responsible for the process step.





**Exhibit 8-3 – Deliverable Review and Approval Process**

As depicted above, once a deliverable has been fully developed and drafted, it is ready to be submitted to the FDOT Contract Manager to acknowledge receipt of the deliverable and to disseminate the document to the FDOT Deliverable Review Team for review. The FDOT Project Manager will coordinate a Deliverable Walkthrough session facilitated by NH to complete the deliverable handoff and familiarize the FDOT Deliverable Review Team. The session is important, since it allows the NH project team to provide an overview of the submitted draft and its content. It also enables the FDOT Deliverable Review Team members to ask clarifying questions prior starting their review. The FDOT Project Team and NH will identify which deliverables require a Deliverable Walkthrough meeting.

Once the Walkthrough session concludes, the FDOT Deliverable Review Team will start their review of the deliverable. FDOT will evaluate the deliverable content and compare it to the pre-defined acceptance criteria within the prescribed turnaround time denoted see section 8.5.2.

The FDOT Project Manager and FDOT Contract Manager will consolidate FDOTs feedback on the deliverable into a single document and submit it to the NH Project Manager. The FDOT Project Manager may choose to hold a Feedback Review Meeting to aid in review and consolidation of feedback on select deliverables. The NH Project Manager will deploy the NH project team to develop a resolution and address the FDOT feedback within the predefined turnaround time.

Once all FDOT feedback has been resolved, the NH Project Manager will re-submit the deliverable as final to the FDOT Contract Manager. The FDOT Review Team will review the deliverable again to confirm the comments were addressed and determine whether the deliverable is approved or rejected. The FDOT Contract Manager is responsible for communicating the review team’s decision to the NH Project Manager.

If the deliverable is not accepted, the project escalation procedure will be launched. The NH Project Manager will work with the FDOT Project Manager and the FDOT Contract Manager to define the appropriate next steps and review contractual obligations.

### 8.5.2 DELIVERABLE REQUIREMENTS AND TURNAROUND TIME STANDARDS

The steps in the Deliverable Review and Approval process will depend on the deliverable being submitted. These requirements and time standards are as follows:

- Each deliverable will be submitted to the FDOT Project Manager, in electronic format. The FDOT Project Manager will ensure the deliverables are distributed as necessary.
- Along with each deliverable submission, NH will provide a Deliverable Review Form to capture comments and revisions.
- Once the deliverable has been submitted, FDOT will complete their review (see Exhibit 8-4: FDOT Draft Deliverable Review Expectations)
  - FDOT will provide one consolidated written summary of recommended changes for revisions, utilizing the Deliverable Review Form. Feedback should be clear and actionable.
  - The turnaround time for deliverable reviews may be extended on an exception basis by agreement between the NH Project Manager and the FDOT Contract Manager unless the change in the review period requires an amendment to the contract.

DELIVERABLE NAME	FDOT BUSINESS DAYS TO REVIEW
Phase I	
1 - Vendor Introduction Meeting	3
2 - Project Management Plan and Project Schedule	3
3 - As-Is of PLAN portion of the WPII	5
4 - As-Is of PROGRAM portion of the WPII	5
5 - As-Is of the IMPLEMENT portion of the WPII	5
6 - As-Is of MANAGE, MONITOR, AND REPORT portion of the WPII	5
7 - WPII As-Is Report (All Sections Combined)	5
8 - To-Be and Requirements Plans	5
9 - WPII-BPA Vendor Presentation	2
10 - Deliverables Warranty & Follow Up	n/a
14 - WPII FY15-16 Assessment Report	5

DELIVERABLE NAME	FDOT BUSINESS DAYS TO REVIEW
Phase II	
16 - To-Be Vendor Kick Off Meeting	3
17 - To-Be Objectives/Visioning Session	10
18 - To-Be Business Process Report	5
19 - Requirements Verification Traceability Matrix with High Level Requirements	5
20 - Request for Information (RFI)	5
21 - To-Be and Requirements Vendor Presentation	2
22 - Deliverables Warranty & Follow Up	n/a

**Exhibit 8-4 - FDOT Draft Deliverable Review Expectations**

Any conflict arising from the deliverable review and acceptance process will be addressed via the Issue Escalation Process outlined in Section 9.3.

**8.5.3 FDOT APPROVAL**

A Deliverable Acceptance Form will be submitted, to the FDOT Contract Manager, along with any deliverable being submitted as final to FDOT. This form captures the signature of the FDOT Contract Manager signifying acceptance of the associated deliverable document.

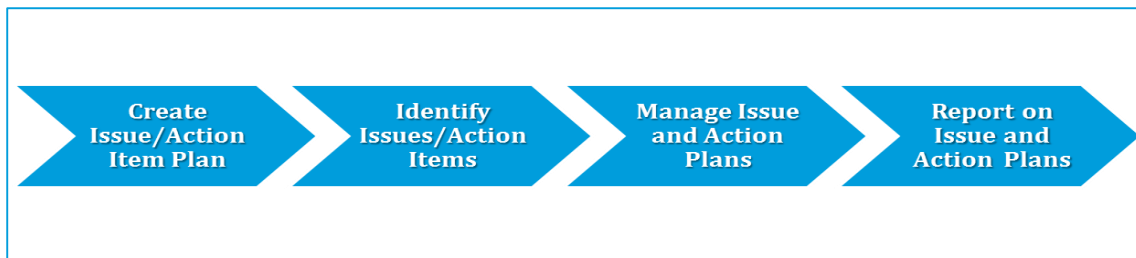
## SECTION 9 PROJECT ISSUE/ACTION ITEM/DECISION MANAGEMENT

Disciplined management of Issues and Action Items enables a project team to effectively resolve the issues and complete action items in a timely manner in order to keep a project on track. A formal Issue / Action Item Management process provides the mechanism throughout the life cycle of the project to bring issues and action items to resolution.

Issue - An ISSUE is an existing constraint that is negatively impacting project timeliness, quality, resources, or budget.

Action item - An ACTION is a proactive task identified by the project team to address a known issue, problem or situation. Actions may also come from a risk or issue item. Incomplete or overdue action items may create additional issues.

The Issue / Action item high-level workflow depicted in the exhibit below (Exhibit 9-1: Issue / Action Item Management Process) shows the various stages of the Issue/Action Item management process.



**Exhibit 9-1: Issue/Action Item Management Process**

### 9.1 PLAN ISSUE/ACTION ITEM MANAGEMENT

The first step in creating an effective Issue/Action Item (IA) management process is defining how the process should work. The following table (Exhibit 9-2: Issue /Action Item Roles and Responsibilities) describes the Project Team’s roles and responsibilities for reporting issues and action items:

TEAM ROLE	ISSUE AND ACTION ITEM RESPONSIBILITIES
FDOT Project Manager	<ul style="list-style-type: none"> <li>▪ Make decisions to resolve issues or escalate to the FDOT Project Sponsor.</li> </ul>
IA Coordinator (NH Project Manager)	<ul style="list-style-type: none"> <li>▪ Ownership of Issue / Action Item Tracking Logs in the PTB</li> <li>▪ Monitoring and management of open issues and action items</li> <li>▪ Logging action items identified during the course of the project</li> <li>▪ Including issues and action item status within the Project Status Report</li> <li>▪ Reviewing issues and action items to prevent duplication</li> </ul>

TEAM ROLE	ISSUE AND ACTION ITEM RESPONSIBILITIES
IA Item Identifier	<ul style="list-style-type: none"> <li>▪ Identifying an issue requiring resolution</li> <li>▪ Defining the issue / action item further as required</li> <li>▪ Reviewing and approving action plan/resolution to ensure issue as originally defined will be resolved</li> </ul>
IA Item Named Owner	<ul style="list-style-type: none"> <li>▪ Participating in discussions with the Issue or Action Item Originator to fully understand the issue or action item</li> <li>▪ Researching and drafting the Action plan/resolution</li> <li>▪ Driving the issue / action items to resolution and closure</li> </ul>

**Exhibit 9-2: Issue/Action Item Management Roles and Responsibilities**

## 9.2 IDENTIFY ISSUE/ACTION ITEMS

The first step in the IA process starts with the identification of a project issue by an Identifier. The Identifier contacts the Issue Coordinator (NH Project Manager) who will review the issue for structure and verify the issue has not already been reported and possibly resolved.

The Identifier must describe the issue and include any other information that could be helpful to whoever is assigned the issue to resolve. Updates to issues or action items already captured in the PTB can be made by project team members or issue/action named owners; and, the Issue Coordinator (NH Project Manager) or designee is the responsible for maintenance of items in the PTB.

An issue may be identified in any number of ways for example:

- A problem for which there is no apparent answer.
- A risk that has escalated into an issue.
- A current situation or event that cannot be answered immediately but requires some research and analysis to provide insight into actions that should be taken.
- An inability of two project entities or functional groups to come to an agreement on a particular item or process.
- The need for information external to the project inhibits or stops the development of the project solution until resolved.

The Issue Coordinator will enter the pertinent information about the issue into the PTB issue tracking log. The information will include but not be limited to:

- Detailed description of the issue.
- Assessment of the potential impact to the project if the issue is not resolved.
- Resolution due date.
- Information identifying the Owner of the issue.

- Assignment of the resolution plan as the named owner.

### 9.3 ISSUE ESCALATION PROCESS

In the event an issue or issues remain unresolved at a certain level of project governance responsibility, an escalation process is to be used. The issue escalation levels are shown in the following table:

LEVEL	FDOT	NH
1	Project Manager, Stephanie Tanner	Project Manager, Jeremy Segers
2	Functional Coordinator(s), Lisa Evans, Chuck Rohling, Doug T Martin, Annette Lapkowski, Stacy Miller, Mike Soto, Freddie Simmons, Sharon Jackson, Trey Tillander, Greg Davis	Project Manager, Jeremy Segers
3	Project Sponsor, Lisa Saliba	Engagement Manager, Wayne Messina
4	Management Steering Committee, April Blackburn, Tom Byron, Robin Naitove, Lisa Saliba, Annette Lapkowski, Stacy Miller, Nicola Liquori	Engagement Manager, Wayne Messina
5	Executive Steering Committee, Brian Peters, Richard Biter, Brian Blanchard, Diane Gutierrez-Scaccetti, District Secretary (TBD)	Account Executive, Barbara Ray

**Exhibit 9-3: Issue Escalation Levels**

Project issues that cannot be resolved within a reasonable timeframe or deemed to cause project delay will need to be escalated to the next level in the governance structure. For the Levels identified in Exhibit 9-3, the project will follow the following escalation trigger timeframes when an issue resolution plan is not agreed:

- Level 1 to Level 2 – 2 business days
- Level 2 to Level 3 – 4 business days

Exhausting options for resolution at the project level can also be considered a reason to escalate. The FDOT Project Manager and NH Project Manager will agree to escalate the given issue or issues prior to escalation. Issues that are not resolved within 5 calendar days of their due date will automatically result in a specific discussion between the NH Project Manager and the FDOT Project Manager on whether the issue warrants being escalated to the Project Sponsor, even only for awareness. Escalated issues are to be documented in the Issue Log, should indicate “Escalated” under the Status column, and the appropriate name of the assigned new owner is entered under the “Named Owner” column.

Issues that cannot be resolved at Level 3 will follow the Dispute Resolution process defined in the Management Consulting State Term Contract guiding this contract (973-000-14-01).

## 9.4 SAMPLE ISSUE LOG

The Project Team will utilize an Issue Log to document and track issues. In cases, the focus will be on speedy resolution of issues in order to maintain the project schedule and quality of deliverables. The Issue Log sample below (Exhibit 9-4: Project Tracking Book – Sample Issue Log) will be part of the PTB and will serve as a template for identifying and managing issues for this project:

ISSUES LOG														
<small>Definition: An ISSUE is an existing constraints that that is negatively impacting program or initiatives timeliness, quality, resources, or budget at some point in the future.</small>														
<b>Legend:</b> <span style="border: 1px solid gray; display: inline-block; width: 10px; height: 10px; margin-right: 5px;"></span> Closed Item <span style="background-color: yellow; border: 1px solid gray; display: inline-block; width: 10px; height: 10px; margin-right: 5px;"></span> Pending Item <span style="background-color: blue; border: 1px solid gray; display: inline-block; width: 10px; height: 10px; margin-right: 5px;"></span> New Item <span style="border: 1px solid gray; display: inline-block; width: 10px; height: 10px; margin-right: 5px;"></span> Open														
Item	Issue Description	Category	Priority	Identified by	Date Received	Date Due	Date Closed	Status	Update / Resolution	Owner	Named Owner	Linkage to Other Logs		
												Risk Log #	Action Log #	Decision Log #
I-001														
I-002														
I-003														
I-004														
I-005														
I-006														
I-007														
I-008														
I-009														
I-010														

**Exhibit 9-4: Project Tracking Book - Sample Issue Log**

Legend:

- *Item Number* – Issue number.
- *Issue Description* – Description of identified issue.
- *Category* – Used for any other type of categorization, such as internal vs. external, or confidential vs. non-confidential; provides a way to logically group certain issues.
- *Priority* – High, Medium, or Low.
  - High – Project scope, schedule, budget, and/or quality will be significantly impacted if not resolved.
  - Medium – Project scope, schedule, budget, and/or quality will be impacted at a noticeable level if not resolved.
  - Low – No or little impact to project scope, schedule, budget, and/or quality if not resolved.
- *Update/Resolution* – Description of how issue was resolved.
- *Owner*- Role responsible for managing issue.
- *Date Received* – Date issue was entered into the register.
- *Date Due* – Date issue is due to be resolved.
- *Date Closed* – Date issue was resolved.

- *Status* – Closed, Pending, New, Open, Escalated.
- *Identified By* – Role of Identifier who identified issue.
- *Category* – Assigned by NH PM reflecting the scope of the issue.
- *Named Owner* – Person’s name assigned with the resolution plan.
- *Linkage to Other Logs* – traceability references to related items in the Issue, Action, and Decision Logs.

## 9.5 SAMPLE ACTION LOG

An action log will be utilized to document and track action items. The Action Log sample below (Exhibit 9-5: Project Tracking Book - Sample Action Log Tab) will be part of the PTB and will serve as a template for identifying and managing action items for this project:

Action Log											Linkage to Other Logs		
<b>Definition:</b> An ACTION is a proactive task identified by the project team to address a known problem or situation. Actions may also come from a risk or issue item.													
Item	Action Description	Category	Priority	Date Assigned	Due Date	Assigned by	Status	Owner	Named Owner	Status Notes	Risk Log #	Issue Log #	Decision Log #
A-001													
A-002													
A-003													
A-004													
A-005													
A-006													
A-007													
A-008													
A-009													
A-010													

**Exhibit 9-5: Project Tracking Book - Sample Action Log Tab**

Legend:

- *Item Number* – Action Item number.
- *Action Description* – Description of Action Item.
- *Priority* – High, Medium, or Low.
  - High – Action must be taken immediately (within 3 business days) or project scope, schedule, budget, and/or quality will be impacted.
  - Medium – Action must be taken within the next 10 business day or project scope, schedule, budget, and/or quality could be impacted.
  - Low – Action must be taken at some point during the project but not within the next 10 business days.
- *Date Assigned*– Date Action Item issue was assigned.
- *Due Date* – Action Item due date.
- *Owner* – Role of person assigned the action.



- *Status* – New, Open, Working, or Closed.
- *Assigned By* – Role of the person who assigned Action Item.
- *Action Item Owner* – Project team member role that is accountable for this Action Item.
- *Named Owner* – Specific name of the person who is responsible for this Action Item.
- *Category* – Used for any other type of categorization, such as internal vs. external, or confidential vs. non-confidential; provides a way to logically group certain actions.
- *Status Notes* –Comments on Action Item.
- *Linkage to Other Logs* – traceability references to related items in the Issue, Risk, and Decision Logs.

## 9.6 PLAN ISSUE/ACTION ITEM RESPONSES

Once the IA Item has been documented NH and FDOT Project Managers will review the IA and assign responsibility for developing and implementing an action plan/resolution to an IA owner. The IA owner will analyze the IA Item and develop an IA plan/resolution that describes the activities that need to be completed in order to address the IA.

## 9.7 MONITORING AND CONTROLLING ISSUES/ACTION ITEMS

This task completes the process and involves implementing the IA Item action plan/resolution, tracking progress, identifying new IAs, and evaluating the IA management process throughout the project life cycle.

From time to time issues need to be resolved by escalating them to a more senior level. Criteria for escalating issues include:

- An issue or action item’s resolution is more than 7 calendar days past due.
- An issue has reached an impasse and cannot be resolved within the current level.
- An agreement cannot be reached on the severity of an issue.
- An issue or action item is not making adequate progress toward resolution or completion.
- An impact analysis reveals the resolution of a given issue would be costly to the project in terms of resources or potential impact to other components of the project.

The criteria above are guidelines and should be evaluated within the project context. Prior to any issue or action item being escalated, the FDOT Project Manager and NH Project Manager will discuss the item and come to consensus on the appropriate next step (i.e., escalate vs. not escalating). If an issue or action item is deemed as requiring escalation, the FDOT Project Manager will immediately escalate to the FDOT Project Sponsor– Level 2 from Section 9.3.

The levels of escalation should correspond to the Issue Escalation Process described in Section 9.3.

## 9.8 DECISION LOG

Throughout the project, the need for decisions will arise. The Decision Log will capture questions that need to be answered and may have an impact on the project’s scope, schedule, budget and/or quality depending on the answer. Questions will be recorded in the Decision Log and documented on the weekly status report, assuming that they remain unanswered or open. Questions that have been answered (i.e., decision made) will be removed from the Status Report but retained on the Decision Log with the answer documented and a reference to who provided the answer so that the information is available for future reference if needed.

The NH Project Manager (or designee) will identify and document decisions made by FDOT Project Leadership, the NH Project Team or by others using the project Decision Log (Exhibit 9-6: Project Tracking Book - Sample Decision Log). The NH and FDOT Project Managers will work together to determine how and to whom the decision needs to be communicated to minimize future surprises and at what point a decision can be marked as closed.

DECISION/QUESTION LOG									
<b>Definition:</b> An DECISION ITEM is a formal decision that must be communicated to sponsors and stakeholders			<b>Legend:</b> <input type="checkbox"/> Open Item <input type="checkbox"/> Pending Item <input type="checkbox"/> New Item <input type="checkbox"/> Closed Item						
Item #	Decision Description	Decision Maker or Answered By	Directly Impacted	Indirectly Impacted	Media / Format	Assign Date	Due Date	Key Messages	Status
D-001									
D-002									
D-003									
D-004									
D-005									
D-006									
D-007									
D-008									
D-009									
D-010									

**Exhibit 9-6: Project Tracking Book - Sample Decision Log**

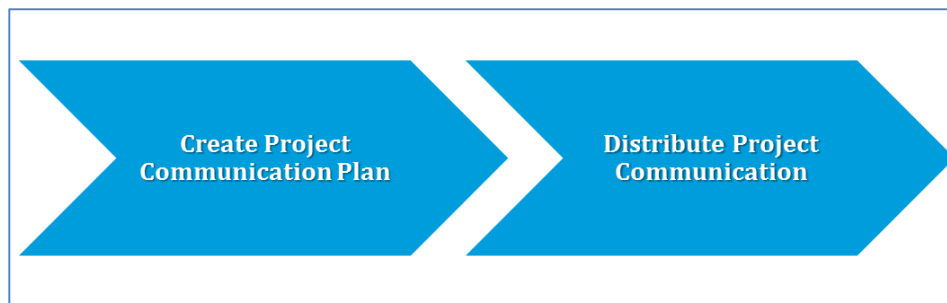
- *Item Number* – Decision Item number.
- *Decision Description* – Narrative for the decision or question.
- *Decision Maker or Answered by* – Role of person requested to make decision or answer question.
- *Key Messages* – Description of the outcome.
- *Due Date* – Due date for the decision or answer.
- *Status* – New, Pending, Open, or Closed.
- *Directly Impacted* – Role of the person who is, or may be, affected by the decision or answer.
- *Indirectly Impacted* – Role of the person may be affected by the decision or answer.
- *Named Owner* – Specific name of the person who is responsible for this Action Item.

- *Media/Format* – Descriptor of the physical item impacted.
- *Date Assigned*– Date Item was assigned.

## SECTION 10 PROJECT COMMUNICATION

### 10.1 OVERVIEW

Efficient and effective project-level communications management is critical to overall project success. Both project leadership and project team members benefit greatly from timely, accurate and predictable communications. Project communication management includes the generation, collection, storage, dissemination, and disposition of project information. At a high-level, the Project Communication Flow can be illustrated by the Exhibit below (Exhibit 10-1: Project Communication Flow).



**Exhibit 10-1: Project Communication Flow**

### 10.2 PURPOSE

The purpose of this section is to document the formal project communication process developed for the WPII-BPA Project. This plan defines:

- What needs to be communicated on the project
- Who is responsible for communicating with what audience
- When the communication needs to take place
- How information will be communicated

The project communication process ensures that project leadership and team members are kept in sync and are aligned about the status of the project and its upcoming activities.

This plan provides a framework for the information exchange within the project. This plan focuses on formal communication elements although other channels exist on informal levels and enhance those discussed within this plan. This plan does not limit, but rather enhances, communication practices. Open, on-going communication between project sponsors and project team members is vital to the success of the Project.

Changes to this plan will be coordinated by the NH Project Manager and approved by the FDOT Project Manager.

### 10.3 SCOPE

This communication plan is focused on project execution related communications to FDOT and NH project team members and participants. The scope of this plan includes identifying the requirements for each communication type, the frequency of communication, the medium of communication, and the team member or members responsible for the communication.

### 10.4 ROLES AND RESPONSIBILITIES

Communication will be an on-going function within the project and will be directed toward FDOT project leadership. Roles and responsibilities for project communications are listed in the table below (Exhibit 10-2: Project Communication Roles and Responsibilities).

ROLE	COMMUNICATION RESPONSIBILITY
Project Sponsor	<ul style="list-style-type: none"> <li>▪ Review the project status on a weekly basis</li> </ul>
FDOT Project Manager	<ul style="list-style-type: none"> <li>▪ Provide project updates to Sponsors</li> <li>▪ Actively engage in project related meetings (status meeting, risks and issues meeting)</li> <li>▪ Provide issue resolution and communications input and guidance to the project team</li> </ul>
FDOT Contract Manager	<ul style="list-style-type: none"> <li>▪ Provide project updates to Sponsors and FDOT Executive Team</li> <li>▪ Actively engage in project related meetings (status meeting, risks and issues meeting)</li> <li>▪ Provide issue resolution and communications input and guidance to the project team</li> </ul>
NH Project Manager (or designee)	<ul style="list-style-type: none"> <li>▪ Create and distribute weekly status report</li> <li>▪ Deliver status report during weekly status meetings</li> <li>▪ Participate in project leadership meetings</li> </ul>

**Exhibit 10-2: Project Communication Roles and Responsibilities**

### 10.5 REQUIRED PROJECT COMMUNICATIONS

#### 10.5.1 WEEKLY STATUS REPORTS

Status Reports will be developed and distributed to FDOT Project Leadership (FDOT Project Manager, FDOT Contract Manager, FDOT Project Sponsor, and as directed by FDOT) on a weekly basis by the NH Project Manager.

### ***10.5.2 STATUS MEETINGS***

Weekly status meetings will be conducted between the FDOT Project Manager, FDOT Contract Manager, FDOT Project Sponsor and the NH Project Manager throughout the course of the project. The result of these meetings is a published Status Report distributed to the project team members and stakeholders. Meeting attendees will be notified of changes to the time or location of these meetings via email and/or telephone as far in advance as possible.

### ***10.5.3 PROJECT MARKETING***

North Highland will assist FDOT in developing content for project marketing materials, for example quarterly newsletters.

### ***10.5.4 FDOT EXECUTIVE PROJECT STATUS***

The FDOT Project Manager will provide a monthly status update for use by the BSSO Manager for review by FDOT Executives as part of the BSSO Work Plan Review Meeting. This status is used in a monthly review of the progress of BSSO projects with the Executives. The North Highland team will assist in providing input into this status.

### ***10.5.5 FDOT EXECUTIVE WORKSHOP STATUS & PRESENTATION***

The FDOT Project Manager, BSSO Manager, CIO and Project Sponsor collaborate to develop a monthly report to the Executive Workshop on the progress of WP11. This presentation will allow open discussion regarding the project, along with an opportunity for feedback on the project. The North Highland team will assist in providing input into this status presentation. This presentation will include:

- PowerPoint presentation highlighting recent accomplishments and deliverables, upcoming tasks and critical issues.
- A one-page summary of the presentation which can be used by workshop attendees to provide updates to their staff.
- A multimedia presentation that highlights the items presented at the Executive Workshop. This will be made available within 10 business days of the Executive Workshop.

### ***10.5.6 LEGISLATIVE PROJECT STATUS***

The FDOT Project Manager will provide a monthly status report to the BSSO Manager for review and submittal to the FDOT Office of Budget. This status will then be provided to the Office of Planning and Budget. This report addresses the status of projects which are funded by Legislative Budget Request. The North Highland team will assist in providing input into this status.

### 10.5.7 AGENCY FOR STATE TECHNOLOGY (AST) PROJECT STATUS

The FDOT Project Manager will provide a monthly status report to the Agency for State Technology to support their Project Oversight effort. This report will use the Project Status Report template required by AST for all projects under Oversight. FDOT will include the required narrative status report, schedule and other documents as requested. The North Highland team will assist in providing input into this status.

### 10.5.8 ADDITIONAL COMMUNICATION

In addition to the regularly scheduled status meeting noted above, occasionally written communication related to the project’s status and progress will be required. The NH Project Team will develop the required communication and work with the FDOT Project Team to distribute the communication, on an as needed basis.

### 10.6 COMMUNICATION DISTRIBUTION

The subject matter of this plan is strictly on project team communication. The general flow of the communication will be development by the NH Project Team and then flow through the FDOT Project Team to the target audience.

Communication Event/Type	Audience/ Stakeholders	Medium	Frequency	Author/ Communicator
Status Report	Executive/Project Sponsors, Project Manager, Contract Manager	Email	Weekly by 12:00 PM on Thursday	North Highland Project Manager
Status Meeting	Project Manager, Contract Manager and other FDOT Staff are optional	Meeting	Weekly – 8:30 AM Thursday & Friday	North Highland Project Manager
Project Sponsor Pre-Status Meeting	Project Sponsor, CIO, FDOT Project Manager, and staff identified by Project Sponsor	Meeting	Weekly, Thursday	North Highland Project Manager
FDOT Executive Project Status	FDOT Secretary and Asst. Secretaries	Meeting	Monthly	BSSO Manager
FDOT Executive Workshop Presentation	FDOT Executive Workshop Attendees (Assistant Secretaries, District Secretaries, etc.)	PowerPoint Presentation, Oral Presentation, Multimedia	Monthly	Project Sponsor

Communication Event/Type	Audience/ Stakeholders	Medium	Frequency	Author/ Communicator
Legislative Project Status	Office of Planning and Budget (OPB)	Email	Monthly	FDOT Office of Work Program & Budget
AST Project Status	Agency for State Technology (AST)	Email	Monthly by 10th	FDOT Project Manager
Risks and Issues Meeting	Project Manager, Contract Manager and other FDOT Staff are optional	Meeting	As Needed and part of the weekly status meetings	North Highland Project Manager

### Exhibit 10-3: Communication Distribution

In order to better understand who is being contacted, how frequently, and the amount of time being requested, a Communication Log will be developed and maintained. The Communication Log provides a listing of planned and completed meetings and high-level project communications.

The Communication Log is not intended to be an exhaustive list of planned and completed meetings. The following high level guidelines will be used to determine which meeting events will be captured in the Communication Log:

- Included in Communication Log:
  - Meetings with one or more Project Sponsors; and
  - Formal project related meetings with key stakeholders (Required Interviewees).
  - Meetings or Communications with external entities such as the Agency for State Technology (AST) or the Office of Planning and Budget (OPB)
- Not included in Communication Log:
  - Meetings with internal FDOT staff, FDOT Project Manager and FDOT Contract Manager;

#### 10.6.1 COMMUNICATION LOG ELEMENTS

The Communication Log contains the following elements:

- Item # - reference number for the communication event.
- Communication/Meeting – title of meeting captured.
- Required Attendees – a listing of the required meeting attendees.
- Date/Time – the date and time of the meeting.
- Location – the meeting location.



- 
- Format –whether the communication event was a face-to-face meeting or a broader town hall meeting.
  - Associated Deliverable –which Deliverable, if any, the meeting related to.
  - Purpose – indication of meeting purpose.
  - Requested by – the person who was the primary requester of the meeting.
  - Topic – summary of the topic of the meeting.

## 10.7 KEY PROJECT MESSAGES

The Project Team will develop and enforce key messages throughout the life of the project. These include:

- The Work Program Integration Initiative Project has a department-wide impact. It affects multiple departments along with all Districts.
- The Work Program Integration Initiative Project focuses on the improvement of business processes. Technology improvements will be completed to support the business need.

## **SECTION 11      PROJECT CLOSEOUT**

### **11.1 OVERVIEW**

A strong project close enables future benefits to be received. Significant knowledge capital is developed over the course of a project and it needs to be captured in a manner that allows it to be leveraged in the future. North Highland will ensure all project artifacts have been uploaded to Share Point and all required project close out activities completed.

### **11.2 PROJECT ARTIFACTS**

Significant documentation will be developed over the course of the project. Project artifacts, which are defined as Project Management documents, project deliverables, supporting documents and data, interview notes, etc., need to be organized and archived for future FDOT reference and use.

NH will place project artifacts on the FDOT SharePoint site and notify the FDOT Project Manager of their location. The FDOT Project Manager will be responsible for archiving the project materials appropriately beyond this location. These documents provide historical knowledge and will be critical to answering future questions that arise.

### **11.3 LESSONS LEARNED**

Over the course of the project, the FDOT and NH teams will identify areas for improvement as well as strong practices that should be propagated in the future. Lessons Learned will be documented in the Lessons Learned log (a tab within the PTB) over the course of the project as they are identified.

A formal Lessons Learned session will be conducted with the FDOT Management Steering Committee and key FDOT stakeholders after approval of final deliverables and prior to the project closing. The Lessons Learned session will be facilitated by the NH Project Manager, and the results of the session will be documented and submitted to the FDOT Project Manager as a project work product.

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

**Budget Period** 2016 - 2017

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (A)	83,645,803	91,344,117	100,669,640
Principal (B)	82,265,000	84,000,000	91,970,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	191,624	200,135	214,809
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>166,102,426</b>	<b>175,544,252</b>	<b>192,854,449</b>

Explanation:

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

**SECTION II**

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

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		(7)	(8)	(9)
		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		(7)	(8)	(9)
		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (A)	1,620,250	1,528,750	1,432,750
Principal (B)	1,830,000	1,920,000	2,015,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,747	3,058	2,866
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>3,453,997</b>	<b>3,451,808</b>	<b>3,450,616</b>

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

**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		(7)	(8)	(9)
		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		(7)	(8)	(9)
		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (A)	1,620,250	1,528,750	1,432,750
Principal (B)	1,830,000	1,920,000	2,015,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,747	3,058	2,866
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>3,453,997</b>	<b>3,451,808</b>	<b>3,450,616</b>

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

**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>0</b>	<b>0</b>	<b>0</b>

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

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**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	0
Principal (H)	0	0	0	0
Fiscal Agent or Other Fees (I)	0	0	0	0
Other (J)	0	0	0	0
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	0
Principal (H)	0	0	0	0
Fiscal Agent or Other Fees (I)	0	0	0	0
Other (J)	0	0	0	0
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

Department: 55 Transportation  
 Budget Entity: 55150200 - Highway Operations

Budget Period 2016 - 2017

(1) <u>SECTION I</u>	(2) ACTUAL FY 2014-2015	(3) ESTIMATED FY 2015-2016	(4) REQUEST FY 2016-2017
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>0</b>	<b>0</b>	<b>0</b>

Explanation:

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

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

**SECTION II**

(1) **ISSUE:** \_\_\_\_\_

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2016	(6) June 30, 2017
(7) ACTUAL FY 2014-2015	(8) ESTIMATED FY 2015-2016	(9) REQUEST FY 2016-2017		
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) **ISSUE:** \_\_\_\_\_

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2016	(6) June 30, 2017
(7) ACTUAL FY 2014-2015	(8) ESTIMATED FY 2015-2016	(9) REQUEST FY 2016-2017		
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

Department: 55 Transportation  
 Budget Entity: 55150200 - Highway Operations

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>0</b>	<b>0</b>	<b>0</b>

Explanation: Total debt service requirements for outstanding GARVEE bonds.

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**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
		(7)	(8)	(9)
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>



**SCHEDULE VI: DETAIL OF DEBT SERVICE**

Department: 55 Transportation  
 Budget Entity: 55150200 - Highway Operations

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>0</b>	<b>0</b>	<b>0</b>

Explanation: Total debt service for proposed GARVEE bond sales, as authorized by Section 215.616, Florida Statutes.  
\*Note: Does not include interest credited from Debt Service Reserve Account.

**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

**Budget Period** 2016 - 2017

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (A)	72,634,146	81,035,461	91,011,734
Principal (B)	68,205,000	70,985,000	78,935,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	177,069	179,114	195,090
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>141,016,215</b>	<b>152,199,575</b>	<b>170,141,823</b>

Explanation:

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

**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

**Budget Period** 2016 - 2017

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (A)	72,634,146	68,216,461	66,848,734
Principal (B)	68,205,000	67,125,000	71,410,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	177,069	153,476	146,764
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>141,016,215</b>	<b>135,494,937</b>	<b>138,405,497</b>

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

**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

**Budget Period** 2016 - 2017

(1)	(2)	(3)	(4)
	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
<b>SECTION I</b>	<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (A)	0	12,819,000	24,163,000
Principal (B)	0	3,860,000	7,525,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	25,638	48,326
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>0</b>	<b>16,704,638</b>	<b>31,736,326</b>

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

**SECTION II**

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

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
5.000%	7/1/2045	256,380,000	252,520,000	252,330,000
		(7)	(8)	(9)
		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (G)		0	12,819,000	12,626,000
Principal (H)		0	3,860,000	4,050,000
Fiscal Agent or Other Fees (I)		0	25,638	25,252
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>16,704,638</b>	<b>16,701,252</b>

(1) **ISSUE:** Proposed Right-of-Way and Bridge Construction bond sale 7/1/2016 (ROW2016A)

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
5.000%	7/1/2046	230,740,000	0	227,265,000
		(7)	(8)	(9)
		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2014-2015</b>	<b>FY 2015-2016</b>	<b>FY 2016-2017</b>
Interest on Debt (G)		0	0	11,537,000
Principal (H)		0	0	3,475,000
Fiscal Agent or Other Fees (I)		0	0	23,074
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>15,035,074</b>

## TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Advanced Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.
2. The source of repayment of the debt or obligation: Funded from monies transferred from the State Transportation Trust Fund, pursuant to Section 206.46 and 215.605, Florida Statutes.
3. The principal amount of the debt or obligation: \$256,380,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$5,127,600</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$1,175,000</u>

## TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$256,380,000 of debt or obligation for the purpose of the Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$243,966,500.

The proposed issuance date is 7/1/2015.

SBA-FDOT

Dated: 07/01/2015

ROW2015A

Delivered: 07/01/2015

Construction Draws  
\$256,380,000.00

Drw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Requirement	Draw Debt Service	Net Balance	Ending
<i>ROW2015A ROW2015A yielding 2.00000000% : Net-Funded</i>										
0	07-01-2015		DEPOSIT						249,999,992.55	
1	07-01-2015	0.0	DRAWS			250,000,000.00		250,000,000.00	-7.45	
<b>Totals For ROW2015A</b>				<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>250,000,000.00</b>	<b>250,000,000.00</b>		
<b>Prior Project Costs:</b>				<b>0.00</b>						
<b>Grand Totals For All Projects:</b>					<b>0.00</b>	<b>0.00</b>	<b>250,000,000.00</b>	<b>250,000,000.00</b>		
<b>Total Prior Costs:</b>				<b>0.00</b>						

Sizing Debt Service Schedule

\$256,380,000.00

Dated:

07/01/2015

Delivered:

07/01/2015

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
16	1/1/2016				6,409,500.00	6,409,500.00				6,409,500.00	
16	7/1/2016	N	5.000	3,860,000.00	6,409,500.00	10,269,500.00				10,269,500.00	16,679,000.00
17	1/1/2017				6,313,000.00	6,313,000.00				6,313,000.00	
17	7/1/2017	N	5.000	4,050,000.00	6,313,000.00	10,363,000.00				10,363,000.00	16,676,000.00
18	1/1/2018				6,211,750.00	6,211,750.00				6,211,750.00	
18	7/1/2018	N	5.000	4,255,000.00	6,211,750.00	10,466,750.00				10,466,750.00	16,678,500.00
19	1/1/2019				6,105,375.00	6,105,375.00				6,105,375.00	
19	7/1/2019	N	5.000	4,465,000.00	6,105,375.00	10,570,375.00				10,570,375.00	16,675,750.00
20	1/1/2020				5,993,750.00	5,993,750.00				5,993,750.00	
20	7/1/2020	N	5.000	4,690,000.00	5,993,750.00	10,683,750.00				10,683,750.00	16,677,500.00
21	1/1/2021				5,876,500.00	5,876,500.00				5,876,500.00	
21	7/1/2021	N	5.000	4,925,000.00	5,876,500.00	10,801,500.00				10,801,500.00	16,678,000.00
22	1/1/2022				5,753,375.00	5,753,375.00				5,753,375.00	
22	7/1/2022	N	5.000	5,170,000.00	5,753,375.00	10,923,375.00				10,923,375.00	16,676,750.00
23	1/1/2023				5,624,125.00	5,624,125.00				5,624,125.00	
23	7/1/2023	N	5.000	5,430,000.00	5,624,125.00	11,054,125.00				11,054,125.00	16,678,250.00
24	1/1/2024				5,488,375.00	5,488,375.00				5,488,375.00	
24	7/1/2024	N	5.000	5,700,000.00	5,488,375.00	11,188,375.00				11,188,375.00	16,676,750.00
25	1/1/2025				5,345,875.00	5,345,875.00				5,345,875.00	
25	7/1/2025	N	5.000	5,985,000.00	5,345,875.00	11,330,875.00				11,330,875.00	16,676,750.00
26	1/1/2026				5,196,250.00	5,196,250.00				5,196,250.00	
26	7/1/2026	N	5.000	6,285,000.00	5,196,250.00	11,481,250.00				11,481,250.00	16,677,500.00
27	1/1/2027				5,039,125.00	5,039,125.00				5,039,125.00	
27	7/1/2027	N	5.000	6,600,000.00	5,039,125.00	11,639,125.00				11,639,125.00	16,678,250.00
28	1/1/2028				4,874,125.00	4,874,125.00				4,874,125.00	
28	7/1/2028	N	5.000	6,930,000.00	4,874,125.00	11,804,125.00				11,804,125.00	16,678,250.00
29	1/1/2029				4,700,875.00	4,700,875.00				4,700,875.00	
29	7/1/2029	N	5.000	7,275,000.00	4,700,875.00	11,975,875.00				11,975,875.00	16,676,750.00
30	1/1/2030				4,519,000.00	4,519,000.00				4,519,000.00	
30	7/1/2030	N	5.000	7,640,000.00	4,519,000.00	12,159,000.00				12,159,000.00	16,678,000.00
31	1/1/2031				4,328,000.00	4,328,000.00				4,328,000.00	
31	7/1/2031	N	5.000	8,020,000.00	4,328,000.00	12,348,000.00				12,348,000.00	16,676,000.00
32	1/1/2032				4,127,500.00	4,127,500.00				4,127,500.00	
32	7/1/2032	N	5.000	8,425,000.00	4,127,500.00	12,552,500.00				12,552,500.00	16,680,000.00
33	1/1/2033				3,916,875.00	3,916,875.00				3,916,875.00	
33	7/1/2033	N	5.000	8,845,000.00	3,916,875.00	12,761,875.00				12,761,875.00	16,678,750.00
34	1/1/2034				3,695,750.00	3,695,750.00				3,695,750.00	
34	7/1/2034	N	5.000	9,285,000.00	3,695,750.00	12,980,750.00				12,980,750.00	16,676,500.00
35	1/1/2035				3,463,625.00	3,463,625.00				3,463,625.00	
35	7/1/2035	N	5.000	9,750,000.00	3,463,625.00	13,213,625.00				13,213,625.00	16,677,250.00
36	1/1/2036				3,219,875.00	3,219,875.00				3,219,875.00	
36	7/1/2036	N	5.000	10,240,000.00	3,219,875.00	13,459,875.00				13,459,875.00	16,679,750.00
37	1/1/2037				2,963,875.00	2,963,875.00				2,963,875.00	
37	7/1/2037	N	5.000	10,750,000.00	2,963,875.00	13,713,875.00				13,713,875.00	16,677,750.00
38	1/1/2038				2,695,125.00	2,695,125.00				2,695,125.00	
38	7/1/2038	N	5.000	11,290,000.00	2,695,125.00	13,985,125.00				13,985,125.00	16,680,250.00
39	1/1/2039				2,412,875.00	2,412,875.00				2,412,875.00	
39	7/1/2039	N	5.000	11,855,000.00	2,412,875.00	14,267,875.00				14,267,875.00	16,680,750.00
40	1/1/2040				2,116,500.00	2,116,500.00				2,116,500.00	
40	7/1/2040	N	5.000	12,445,000.00	2,116,500.00	14,561,500.00				14,561,500.00	16,678,000.00
41	1/1/2041				1,805,375.00	1,805,375.00				1,805,375.00	
41	7/1/2041	N	5.000	13,065,000.00	1,805,375.00	14,870,375.00				14,870,375.00	16,675,750.00
42	1/1/2042				1,478,750.00	1,478,750.00				1,478,750.00	
42	7/1/2042	N	5.000	13,725,000.00	1,478,750.00	15,203,750.00				15,203,750.00	16,682,500.00

SBA-FDOT

ROW2015A

Sizing Debt Service Schedule

\$256,380,000.00

Dated: 07/01/2015

Delivered: 07/01/2015

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
43	1/1/2043				1,135,625.00	1,135,625.00				1,135,625.00	
43	7/1/2043	N	5.000	14,410,000.00	1,135,625.00	15,545,625.00				15,545,625.00	16,681,250.00
44	1/1/2044				775,375.00	775,375.00				775,375.00	
44	7/1/2044	N	5.000	15,130,000.00	775,375.00	15,905,375.00				15,905,375.00	16,680,750.00
45	1/1/2045				397,125.00	397,125.00				397,125.00	
45	7/1/2045	N	5.000	15,685,000.00	397,125.00	16,282,125.00				16,282,125.00	16,679,250.00
				256,380,000.00	243,966,500.00	500,346,500.00	0.00	0.00	0.00	500,346,500.00	
<i>True Interest Cost (TIC)</i> .....						5.1769642	<i>Arbitrage Yield Limit (AYL)</i> .....				5.0000000
<i>Net Interest Cost (NIC)</i> .....						5.1050882	<i>Arbitrage Net Interest Cost (ANIC)</i> .....				5.0000000



Summary of Sizing Inputs  
\$256,380,000.00

General Information

1st Month in FY: 1  
Denomination: 5000.  
Rate scale: 5.00%  
Issue type: REVENUE  
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.  
-> Proportionally level debt service in stub period.

Dates

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

Gross Construction Costs

Total project costs	250,000,000.00
Total prior costs	
Less: interest earned & applied to project draws	-7.45
Net total project costs:	249,999,992.55
Total number of projects = 1	

Restricted Accounts

DSR rule: No debt service reserve fund	
No capitalized interest	
Restricted yield = 2.000000%	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	2,406.47

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-5,127,600.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	1,250,000.00

ROW2015A

## Summary of Sizing Calculations

\$256,380,000.00

Sources of Funds

Par amount of bonds	256,380,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	250,000,000.00
Less: interest earned in fund & applied to project draws	-7.45
Prior costs to be paid from bond proceeds	
Gross Construction Costs	249,999,992.55

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	2,406.47

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-5,127,600.00
Bond insurance: 0.000%	
Other issuance costs	1,250,000.00

Calculations

Net Interest Cost (NIC)	5.1050882
True Interest Cost (TIC)	5.1769642
All-Inclusive TIC:	5.2209493
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0000000
Total Bond Years (delivery date)	4,879,330,000.00
Average Bond Years (Delivery date)	19.03
Level debt service calculation	16,677,748.10

## TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Advanced Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.
2. The source of repayment of the debt or obligation: Funded from monies transferred from the State Transportation Trust Fund, pursuant to Section 206.46 and 215.605, Florida Statutes.
3. The principal amount of the debt or obligation: \$230,740,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$4,614,800</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$1,050,000</u>

## TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$230,740,000 of debt or obligation for the purpose of the Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$219,565,250.

The proposed issuance date is 7/1/2016.

SBA-FDOT

Dated: 07/01/2016

ROW2016A

Delivered: 07/01/2016

Construction Draws  
\$230,740,000.00

Drw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Requirement	Draw Debt Service	Net Balance	Ending
<i>ROW2016.A ROW2016.A yielding 2.00000000% : Net-Needed</i>										
0	07-01-2016		DEPOSIT						224,999,993.29	
1	07-01-2016	0.0	DRAWS			225,000,000.00	225,000,000.00		-6.71	
<b>Totals For ROW2016A</b>				<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>225,000,000.00</b>	<b>225,000,000.00</b>		
<b>Prior Project Costs:</b>				<b>0.00</b>						
<b>Grand Totals For All Projects:</b>					<b>0.00</b>	<b>0.00</b>	<b>225,000,000.00</b>	<b>225,000,000.00</b>		
<b>Total Prior Costs:</b>				<b>0.00</b>						

Sizing Debt Service Schedule

\$230,740,000.00

Dated: 07/01/2016

Delivered: 07/01/2016

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
17	1/1/2017				5,768,500.00	5,768,500.00				5,768,500.00	
17	7/1/2017	N	5.000	3,475,000.00	5,768,500.00	9,243,500.00				9,243,500.00	15,012,000.00
18	1/1/2018				5,681,625.00	5,681,625.00				5,681,625.00	
18	7/1/2018	N	5.000	3,645,000.00	5,681,625.00	9,326,625.00				9,326,625.00	15,008,250.00
19	1/1/2019				5,590,500.00	5,590,500.00				5,590,500.00	
19	7/1/2019	N	5.000	3,830,000.00	5,590,500.00	9,420,500.00				9,420,500.00	15,011,000.00
20	1/1/2020				5,494,750.00	5,494,750.00				5,494,750.00	
20	7/1/2020	N	5.000	4,020,000.00	5,494,750.00	9,514,750.00				9,514,750.00	15,009,500.00
21	1/1/2021				5,394,250.00	5,394,250.00				5,394,250.00	
21	7/1/2021	N	5.000	4,220,000.00	5,394,250.00	9,614,250.00				9,614,250.00	15,008,500.00
22	1/1/2022				5,288,750.00	5,288,750.00				5,288,750.00	
22	7/1/2022	N	5.000	4,430,000.00	5,288,750.00	9,718,750.00				9,718,750.00	15,007,500.00
23	1/1/2023				5,178,000.00	5,178,000.00				5,178,000.00	
23	7/1/2023	N	5.000	4,655,000.00	5,178,000.00	9,833,000.00				9,833,000.00	15,011,000.00
24	1/1/2024				5,061,625.00	5,061,625.00				5,061,625.00	
24	7/1/2024	N	5.000	4,885,000.00	5,061,625.00	9,946,625.00				9,946,625.00	15,008,250.00
25	1/1/2025				4,939,500.00	4,939,500.00				4,939,500.00	
25	7/1/2025	N	5.000	5,130,000.00	4,939,500.00	10,069,500.00				10,069,500.00	15,009,000.00
26	1/1/2026				4,811,250.00	4,811,250.00				4,811,250.00	
26	7/1/2026	N	5.000	5,390,000.00	4,811,250.00	10,201,250.00				10,201,250.00	15,012,500.00
27	1/1/2027				4,676,500.00	4,676,500.00				4,676,500.00	
27	7/1/2027	N	5.000	5,655,000.00	4,676,500.00	10,331,500.00				10,331,500.00	15,008,000.00
28	1/1/2028				4,535,125.00	4,535,125.00				4,535,125.00	
28	7/1/2028	N	5.000	5,940,000.00	4,535,125.00	10,475,125.00				10,475,125.00	15,010,250.00
29	1/1/2029				4,386,625.00	4,386,625.00				4,386,625.00	
29	7/1/2029	N	5.000	6,235,000.00	4,386,625.00	10,621,625.00				10,621,625.00	15,008,250.00
30	1/1/2030				4,230,750.00	4,230,750.00				4,230,750.00	
30	7/1/2030	N	5.000	6,550,000.00	4,230,750.00	10,780,750.00				10,780,750.00	15,011,500.00
31	1/1/2031				4,067,000.00	4,067,000.00				4,067,000.00	
31	7/1/2031	N	5.000	6,875,000.00	4,067,000.00	10,942,000.00				10,942,000.00	15,009,000.00
32	1/1/2032				3,895,125.00	3,895,125.00				3,895,125.00	
32	7/1/2032	N	5.000	7,220,000.00	3,895,125.00	11,115,125.00				11,115,125.00	15,010,250.00
33	1/1/2033				3,714,625.00	3,714,625.00				3,714,625.00	
33	7/1/2033	N	5.000	7,580,000.00	3,714,625.00	11,294,625.00				11,294,625.00	15,009,250.00
34	1/1/2034				3,525,125.00	3,525,125.00				3,525,125.00	
34	7/1/2034	N	5.000	7,960,000.00	3,525,125.00	11,485,125.00				11,485,125.00	15,010,250.00
35	1/1/2035				3,326,125.00	3,326,125.00				3,326,125.00	
35	7/1/2035	N	5.000	8,360,000.00	3,326,125.00	11,686,125.00				11,686,125.00	15,012,250.00
36	1/1/2036				3,117,125.00	3,117,125.00				3,117,125.00	
36	7/1/2036	N	5.000	8,775,000.00	3,117,125.00	11,892,125.00				11,892,125.00	15,009,250.00
37	1/1/2037				2,897,750.00	2,897,750.00				2,897,750.00	
37	7/1/2037	N	5.000	9,215,000.00	2,897,750.00	12,112,750.00				12,112,750.00	15,010,500.00
38	1/1/2038				2,667,375.00	2,667,375.00				2,667,375.00	
38	7/1/2038	N	5.000	9,675,000.00	2,667,375.00	12,342,375.00				12,342,375.00	15,009,750.00
39	1/1/2039				2,425,500.00	2,425,500.00				2,425,500.00	
39	7/1/2039	N	5.000	10,160,000.00	2,425,500.00	12,585,500.00				12,585,500.00	15,011,000.00
40	1/1/2040				2,171,500.00	2,171,500.00				2,171,500.00	
40	7/1/2040	N	5.000	10,665,000.00	2,171,500.00	12,836,500.00				12,836,500.00	15,008,000.00
41	1/1/2041				1,904,875.00	1,904,875.00				1,904,875.00	
41	7/1/2041	N	5.000	11,200,000.00	1,904,875.00	13,104,875.00				13,104,875.00	15,009,750.00
42	1/1/2042				1,624,875.00	1,624,875.00				1,624,875.00	
42	7/1/2042	N	5.000	11,765,000.00	1,624,875.00	13,389,875.00				13,389,875.00	15,014,750.00
43	1/1/2043				1,330,750.00	1,330,750.00				1,330,750.00	
43	7/1/2043	N	5.000	12,350,000.00	1,330,750.00	13,680,750.00				13,680,750.00	15,011,500.00

SBA-FDOT

ROW2016A

Sizing Debt Service Schedule

\$230,740,000.00

Dated: 07/01/2016

Delivered: 07/01/2016

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	Dbt Svc Rev Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
44	1/1/2044				1,022,000.00	1,022,000.00				1,022,000.00	
44	7/1/2044	N	5.000	12,970,000.00	1,022,000.00	13,992,000.00				13,992,000.00	15,014,000.00
45	1/1/2045				697,750.00	697,750.00				697,750.00	
45	7/1/2045	N	5.000	13,615,000.00	697,750.00	14,312,750.00				14,312,750.00	15,010,500.00
46	1/1/2046				357,375.00	357,375.00				357,375.00	
46	7/1/2046	N	5.000	14,295,000.00	357,375.00	14,652,375.00				14,652,375.00	15,009,750.00
				230,740,000.00	219,565,250.00	450,305,250.00	0.00	0.00	0.00	450,305,250.00	
<i>True Interest Cost (TIC)</i> .....						5.1769659	<i>Arbitrage Yield Limit (AYL)</i> .....				5.0000000
<i>Net Interest Cost (NIC)</i> .....						5.1050895	<i>Arbitrage Net Interest Cost (ANIC)</i> .....				5.0000000

Summary of Sizing Inputs

\$230,740,000.00

General Information

1st Month in FY: 1  
Denomination: 5000.  
Rate scale: 5.00%  
Issue type: REVENUE  
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.  
-> Proportionally level debt service in stub period.

Dates

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

Gross Construction Costs

Total project costs	225,000,000.00
Total prior costs	
Less: interest earned & applied to project draws	-6.71
Net total project costs:	224,999,993.29
Total number of projects = 1	

Restricted Accounts

DSR rule: No debt service reserve fund	
No capitalized interest	
Restricted yield = 2.000000%	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	206.62

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-4,614,800.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	1,125,000.00

## ROW2016A

## Summary of Sizing Calculations

\$230,740,000.00

Sources of Funds

Par amount of bonds	230,740,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	225,000,000.00
Less: interest earned in fund & applied to project draws	-6.71
Prior costs to be paid from bond proceeds	
Gross Construction Costs	224,999,993.29

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	206.62

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-4,614,800.00
Bond insurance: 0.000%	
Other issuance costs	1,125,000.00

Calculations

Net Interest Cost (NIC)	5.1050895
True Interest Cost (TIC)	5.1769659
All-Inclusive TIC:	5.2209517
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0000000
Total Bond Years (delivery date)	4,391,305,000.00
Average Bond Years (Delivery date)	19.03
Level debt service calculation	15,009,973.29



**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1) <u>SECTION I</u>	(2) ACTUAL FY 2014-2015	(3) ESTIMATED FY 2015-2016	(4) REQUEST FY 2016-2017
Interest on Debt (A)	6,436,300	6,329,050	6,216,550
Principal (B)	2,145,000	2,250,000	2,365,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,747	12,981	12,756
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>8,585,047</b>	<b>8,592,031</b>	<b>8,594,306</b>

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

SECTION II

(1) ISSUE:

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2016	(6) June 30, 2017
		(7) ACTUAL FY 2014-2015	(8) ESTIMATED FY 2015-2016	(9) REQUEST FY 2016-2017
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (A)	6,436,300	6,329,050	6,216,550
Principal (B)	2,145,000	2,250,000	2,365,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	3,747	12,981	12,756
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>8,585,047</b>	<b>8,592,031</b>	<b>8,594,306</b>

Explanation: Total debt service requirements for outstanding Seaport bonds.

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**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
		(7)	(8)	(9)
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE: \_\_\_\_\_

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>0</b>	<b>0</b>	<b>0</b>

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

**SECTION II**

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		0	0	0
(7)	(8)	(9)	(8)	(9)
<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (G)	0	0	0	0
Principal (H)	0	0	0	0
Fiscal Agent or Other Fees (I)	0	0	0	0
Other (J)	0	0	0	0
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		0	0	0
(7)	(8)	(9)	(8)	(9)
<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (G)	0	0	0	0
Principal (H)	0	0	0	0
Fiscal Agent or Other Fees (I)	0	0	0	0
Other (J)	0	0	0	0
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

Department: 55 Transportation  
 Budget Entity: 55150200 - Highway Operations

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (A)	2,955,106	2,450,856	2,008,606
Principal (B)	10,085,000	8,845,000	8,655,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	7,062	4,983	4,098
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>13,047,168</b>	<b>11,300,839</b>	<b>10,667,704</b>

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

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

**SECTION II**

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		(7)	(8)	(9)
		<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE: \_\_\_\_\_

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		(7)	(8)	(9)
		<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

Department: 55 Transportation  
 Budget Entity: 55150200 - Highway Operations

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (A)	2,955,106	2,450,856	2,008,606
Principal (B)	10,085,000	8,845,000	8,655,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	7,062	4,983	4,098
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>13,047,168</b>	<b>11,300,839</b>	<b>10,667,704</b>

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

**SECTION II**

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
		(7)	(8)	(9)
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
		(7)	(8)	(9)
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

Department: 55 Transportation  
 Budget Entity: 55150200 - Highway Operations

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>0</b>	<b>0</b>	<b>0</b>

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

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

**SECTION II**

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		(7)	(8)	(9)
		<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>June 30, 2016</b>	<b>June 30, 2017</b>
		(7)	(8)	(9)
		<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>0</b>

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL FY 2014-2015</b>	<b>ESTIMATED FY 2015-2016</b>	<b>REQUEST FY 2016-2017</b>
Interest on Debt (A)	137,608,826	154,805,184	162,092,076
Principal (B)	120,990,000	133,840,000	144,165,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	284,269	349,897	352,687
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>258,883,095</b>	<b>288,995,081</b>	<b>306,609,763</b>

Explanation: Combined total debt service for outstanding Turnpike bonds and proposed bond sales.  
\*Note: Does not include interest credited from Debt Service Reserve Account.  
\*Note: Amounts are not adjusted for BABs subsidies.

**SECTION II**

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
(7)	(8)	(9)		
ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
<b>Total Debt Service (K)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1) <u>SECTION I</u>	(2) ACTUAL FY 2014-2015	(3) ESTIMATED FY 2015-2016	(4) REQUEST FY 2016-2017
Interest on Debt (A)	137,608,826	138,618,850	133,315,243
Principal (B)	120,990,000	129,620,000	135,420,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	284,269	294,401	281,439
Other Debt Service (E)			
<b>Total Debt Service (F)</b>	<b>258,883,095</b>	<b>268,533,251</b>	<b>269,016,682</b>

Explanation:

Total debt service requirements for outstanding Florida Turnpike bonds.

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

\*Note: Amounts are not adjusted for BABs subsidies.

**SECTION II**

(1) ISSUE:

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2016	(6) June 30, 2017
		(7) ACTUAL FY 2014-2015	(8) ESTIMATED FY 2015-2016	(9) REQUEST FY 2016-2017
		0	0	0
		0	0	0
		0	0	0
		0	0	0
		0	0	0
		0	0	0
		0	0	0

(1) ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
		0	0	0
		0	0	0
		0	0	0
		0	0	0
		0	0	0
		0	0	0
		0	0	0



**SCHEDULE VI: DETAIL OF DEBT SERVICE**

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

Budget Period 2016 - 2017

(1) <u>SECTION I</u>	(2) ACTUAL FY 2014-2015	(3) ESTIMATED FY 2015-2016	(4) REQUEST FY 2016-2017
Interest on Debt (A)	0	16,186,333	28,776,833
Principal (B)	0	4,220,000	8,745,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	55,496	71,248
Other Debt Service (E)	0	0	0
<b>Total Debt Service (F)</b>	<b>0</b>	<b>20,461,829</b>	<b>37,593,081</b>

Explanation:

Total debt service requirements for proposed Turnpike bond sales.

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

**SECTION II**

(1) **ISSUE:** Proposed Turnpike bond sale 12/1/2015 (TPK2015B)

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2016	(6) June 30, 2017
5.000%	7/1/2045	554,960,000	550,740,000	541,995,000
		(7) ACTUAL FY 2014-2015	(8) ESTIMATED FY 2015-2016	(9) REQUEST FY 2016-2017
Interest on Debt (G)		0	16,186,333	27,429,000
Principal (H)		0	4,220,000	8,745,000
Fiscal Agent or Other Fees (I)		0	55,496	55,074
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>20,461,829</b>	<b>36,229,074</b>

(1) **ISSUE:** Proposed Turnpike bond sale 5/1/2017 (TPK2017A)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2016	June 30, 2017
5.000%	7/1/2047	161,740,000	0	161,740,000
		ACTUAL FY 2014-2015	ESTIMATED FY 2015-2016	REQUEST FY 2016-2017
Interest on Debt (G)		0	0	1,347,833
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	16,174
Other (J)		0	0	0
<b>Total Debt Service (K)</b>		<b>0</b>	<b>0</b>	<b>1,364,007</b>

## TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: The Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Turnpike System.
3. The principal amount of the debt or obligation: \$554,960,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$11,099,200</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$2,460,500</u>
<u>Deposit into DSR Account</u>	<u>\$36,183,000</u>

## TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$554,960,000 of debt or obligation for the purpose of the Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$514,533,708.

The proposed issuance date is 12/1/2015.

SBA-FDOT

Dated: 12/01/2015

TPK2015B

Delivered: 12/01/2015

Construction Draws

\$554,960,000.00

Drw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Requirement	Draw Debt Service	Net Balance	Ending
<i>TPK2015B TPK2015B yielding 2.00000000% : Net-Funded</i>										
0	12-01-2015		DEPOSIT						505,144,771.84	
1	12-01-2015	0-0	DRAWS				169,033,333.33	169,033,333.33	336,111,438.51	
2	01-01-2016	0-30	DRAWS		557,865.79		56,344,444.44	55,786,578.65	280,324,859.85	
3	02-01-2016	0-30	DRAWS		465,273.21		56,344,444.44	55,879,171.23	224,445,688.63	
4	03-01-2016	0-30	DRAWS		372,526.96		56,344,444.44	55,971,917.48	168,473,771.14	
5	04-01-2016	0-30	DRAWS		279,626.76		56,344,444.44	56,064,817.68	112,408,953.46	
6	05-01-2016	0-30	DRAWS		186,572.37		56,344,444.44	56,157,872.07	56,251,081.40	
7	06-01-2016	0-30	DRAWS		93,363.54		56,344,444.44	56,251,080.90	0.50	
<b>Totals For TPK2015B</b>				<b>0.00</b>	<b>1,955,228.63</b>	<b>0.00</b>	<b>507,099,999.97</b>	<b>505,144,771.34</b>		
<b>Prior Project Costs:</b>				<b>0.00</b>						
<b>Grand Totals For All Projects:</b>					<b>1,955,228.63</b>	<b>0.00</b>	<b>507,099,999.97</b>	<b>505,144,771.34</b>		
<b>Total Prior Costs:</b>				<b>0.00</b>						

Sizing Debt Service Schedule

\$554,960,000.00

Dated: 12/01/2015

Delivered: 12/01/2015

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
16	1/1/2016				2,312,333.35	2,312,333.35		60,055.25		2,252,278.10	
16	7/1/2016	N	5.000	4,220,000.00	13,874,000.00	18,094,000.00		361,830.00		17,732,170.00	19,984,448.10
17	1/1/2017	N	5.000	4,320,000.00	13,768,500.00	18,088,500.00		361,830.00		17,726,670.00	
17	7/1/2017	N	5.000	4,425,000.00	13,660,500.00	18,085,500.00		361,830.00		17,723,670.00	35,450,340.00
18	1/1/2018	N	5.000	4,540,000.00	13,549,875.00	18,089,875.00		361,830.00		17,728,045.00	
18	7/1/2018	N	5.000	4,650,000.00	13,436,375.00	18,086,375.00		361,830.00		17,724,545.00	35,452,590.00
19	1/1/2019	N	5.000	4,770,000.00	13,320,125.00	18,090,125.00		361,830.00		17,728,295.00	
19	7/1/2019	N	5.000	4,885,000.00	13,200,875.00	18,085,875.00		361,830.00		17,724,045.00	35,452,340.00
20	1/1/2020	N	5.000	5,010,000.00	13,078,750.00	18,088,750.00		361,830.00		17,726,920.00	
20	7/1/2020	N	5.000	5,135,000.00	12,963,500.00	18,088,500.00		361,830.00		17,726,670.00	35,453,590.00
21	1/1/2021	N	5.000	5,260,000.00	12,825,125.00	18,085,125.00		361,830.00		17,723,295.00	
21	7/1/2021	N	5.000	5,385,000.00	12,693,625.00	18,088,625.00		361,830.00		17,726,795.00	35,450,090.00
22	1/1/2022	N	5.000	5,530,000.00	12,558,750.00	18,088,750.00		361,830.00		17,726,920.00	
22	7/1/2022	N	5.000	5,665,000.00	12,420,500.00	18,085,500.00		361,830.00		17,723,670.00	35,450,590.00
23	1/1/2023	N	5.000	5,810,000.00	12,278,875.00	18,088,875.00		361,830.00		17,727,045.00	
23	7/1/2023	N	5.000	5,955,000.00	12,133,625.00	18,088,625.00		361,830.00		17,726,795.00	35,453,840.00
24	1/1/2024	N	5.000	6,105,000.00	11,984,750.00	18,089,750.00		361,830.00		17,727,920.00	
24	7/1/2024	N	5.000	6,255,000.00	11,832,125.00	18,087,125.00		361,830.00		17,725,295.00	35,453,215.00
25	1/1/2025	N	5.000	6,410,000.00	11,675,750.00	18,085,750.00		361,830.00		17,723,920.00	
25	7/1/2025	N	5.000	6,570,000.00	11,515,500.00	18,085,500.00		361,830.00		17,723,670.00	35,447,590.00
26	1/1/2026	N	5.000	6,735,000.00	11,351,250.00	18,086,250.00		361,830.00		17,724,420.00	
26	7/1/2026	N	5.000	6,905,000.00	11,182,875.00	18,087,875.00		361,830.00		17,726,045.00	35,450,465.00
27	1/1/2027	N	5.000	7,075,000.00	11,010,250.00	18,085,250.00		361,830.00		17,723,420.00	
27	7/1/2027	N	5.000	7,255,000.00	10,833,375.00	18,088,375.00		361,830.00		17,726,545.00	35,449,965.00
28	1/1/2028	N	5.000	7,435,000.00	10,652,000.00	18,087,000.00		361,830.00		17,725,170.00	
28	7/1/2028	N	5.000	7,620,000.00	10,466,125.00	18,086,125.00		361,830.00		17,724,295.00	35,449,465.00
29	1/1/2029	N	5.000	7,810,000.00	10,275,625.00	18,085,625.00		361,830.00		17,723,795.00	
29	7/1/2029	N	5.000	8,005,000.00	10,080,375.00	18,085,375.00		361,830.00		17,723,545.00	35,447,340.00
30	1/1/2030	N	5.000	8,210,000.00	9,880,250.00	18,090,250.00		361,830.00		17,728,420.00	
30	7/1/2030	N	5.000	8,415,000.00	9,675,000.00	18,090,000.00		361,830.00		17,728,170.00	35,456,590.00
31	1/1/2031	N	5.000	8,625,000.00	9,464,625.00	18,089,625.00		361,830.00		17,727,795.00	
31	7/1/2031	N	5.000	8,840,000.00	9,249,000.00	18,089,000.00		361,830.00		17,727,170.00	35,454,965.00
32	1/1/2032	N	5.000	9,060,000.00	9,028,000.00	18,088,000.00		361,830.00		17,726,170.00	
32	7/1/2032	N	5.000	9,285,000.00	8,801,500.00	18,086,500.00		361,830.00		17,724,670.00	35,450,840.00
33	1/1/2033	N	5.000	9,520,000.00	8,569,375.00	18,089,375.00		361,830.00		17,727,545.00	
33	7/1/2033	N	5.000	9,755,000.00	8,331,375.00	18,086,375.00		361,830.00		17,724,545.00	35,452,090.00
34	1/1/2034	N	5.000	10,000,000.00	8,087,500.00	18,087,500.00		361,830.00		17,725,670.00	
34	7/1/2034	N	5.000	10,250,000.00	7,837,500.00	18,087,500.00		361,830.00		17,725,670.00	35,451,340.00
35	1/1/2035	N	5.000	10,505,000.00	7,581,250.00	18,086,250.00		361,830.00		17,724,420.00	
35	7/1/2035	N	5.000	10,770,000.00	7,318,625.00	18,088,625.00		361,830.00		17,726,795.00	35,451,215.00
36	1/1/2036	N	5.000	11,040,000.00	7,049,375.00	18,089,375.00		361,830.00		17,727,545.00	
36	7/1/2036	N	5.000	11,315,000.00	6,773,375.00	18,088,375.00		361,830.00		17,726,545.00	35,454,090.00
37	1/1/2037	N	5.000	11,595,000.00	6,490,500.00	18,085,500.00		361,830.00		17,723,670.00	
37	7/1/2037	N	5.000	11,885,000.00	6,200,625.00	18,085,625.00		361,830.00		17,723,795.00	35,447,465.00
38	1/1/2038	N	5.000	12,185,000.00	5,903,500.00	18,088,500.00		361,830.00		17,726,670.00	
38	7/1/2038	N	5.000	12,490,000.00	5,598,875.00	18,088,875.00		361,830.00		17,727,045.00	35,453,715.00
39	1/1/2039	N	5.000	12,800,000.00	5,286,625.00	18,086,625.00		361,830.00		17,724,795.00	
39	7/1/2039	N	5.000	13,120,000.00	4,966,625.00	18,088,625.00		361,830.00		17,724,795.00	35,449,590.00
40	1/1/2040	N	5.000	13,450,000.00	4,638,625.00	18,088,625.00		361,830.00		17,726,795.00	
40	7/1/2040	N	5.000	13,785,000.00	4,302,375.00	18,087,375.00		361,830.00		17,725,545.00	35,452,340.00
41	1/1/2041	N	5.000	14,130,000.00	3,957,750.00	18,087,750.00		361,830.00		17,725,920.00	
41	7/1/2041	N	5.000	14,485,000.00	3,604,500.00	18,089,500.00		361,830.00		17,727,670.00	35,453,590.00
42	1/1/2042	N	5.000	14,845,000.00	3,242,375.00	18,087,375.00		361,830.00		17,725,545.00	
42	7/1/2042	N	5.000	15,215,000.00	2,871,250.00	18,086,250.00		361,830.00		17,724,420.00	35,449,965.00

SBA-FDOT

TPK2015B

Sizing Debt Service Schedule

\$554,960,000.00

Dated: 12/01/2015  
 Delivered: 12/01/2015

Fiscal Yr	Conpon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
43	1/1/2043	N	5.000	15,595,000.00	2,490,875.00	18,085,875.00		361,830.00		17,724,045.00	
43	7/1/2043	N	5.000	15,985,000.00	2,101,000.00	18,086,000.00		361,830.00		17,724,170.00	35,448,215.00
44	1/1/2044	N	5.000	16,385,000.00	1,701,375.00	18,086,375.00		361,830.00		17,724,545.00	
44	7/1/2044	N	5.000	16,800,000.00	1,291,750.00	18,091,750.00		361,830.00		17,729,920.00	35,454,465.00
45	1/1/2045	N	5.000	17,220,000.00	871,750.00	18,091,750.00		361,830.00		17,729,920.00	
45	7/1/2045	N	5.000	17,650,000.00	441,250.00	18,091,250.00		36,544,830.00		-18,453,580.00	-723,660.00
				554,960,000.00	514,533,708.35	1,069,493,708.35	0.00	57,591,025.25	6.00	1,011,902,683.10	

True Interest Cost (TIC).....	5.1802432	Arbitrage Yield Limit (AYL).....	5.0003770
Net Interest Cost (NIC).....	5.1078559	Arbitrage Net Interest Cost (ANIC).....	5.0000000

Summary of Sizing Inputs

\$554,960,000.00

General Information

1st Month in FY: 1  
Denomination: 5000.  
Rate scale: 5.00%  
Issue type: REVENUE  
Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.  
-> Proportionally level debt service in stub period.

Dates

12/01/2015-> Dated (bond issue) date  
12/01/2015-> Delivery date  
01/01/2016-> 1st coupon date  
07/01/2016-> First principal payment  
07/01/2045-> Last maturity date  
No CABS in bond issue

Gross Construction Costs

Total project costs	507,099,999.97
Total prior costs	
Less: interest earned & applied to project draws	-1,955,228.13
Net total project costs:	505,144,771.84
Total number of projects = 1	

Restricted Accounts

DSR rule: Maximum yearly debt service	
No capitalized interest	
Restricted yield = 2.000000%	
Net deposit to Debt Service Reserve Fund	36,183,000.00
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 20.000/51,000	-11,099,200.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	2,535,500.00

TPK2015B

## Summary of Sizing Calculations

\$554,960,000.00

Sources of Funds

Par amount of bonds	554,960,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	507,099,999.97
Less: interest earned in fund & applied to project draws	-1,955,228.13
Prior costs to be paid from bond proceeds	
Gross Construction Costs	505,144,771.84

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	36,183,000.00
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-11,099,200.00
Bond insurance: 0.000%	
Other issuance costs	2,535,500.00
Rounding due to denomination size	-2,471.84

Calculations

Net Interest Cost (NIC)	5.1078559
True Interest Cost (TIC)	5.1802432
All-inclusive TIC:	5.2221265
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0003770
Total Bond Years (delivery date)	10,290,674,166.67
Average Bond Years (Delivery date)	18.54
Level debt service calculation	18,087,684.73

## TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: The Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Turnpike System.
3. The principal amount of the debt or obligation: \$161,740,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$3,234,800</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$664,050</u>
<u>Deposit into DSR Account</u>	<u>\$10,527,000</u>

## TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$161,740,000 of debt or obligation for the purpose of the Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$155,250,083.

The proposed issuance date is 5/1/2017.



SBA-FDOT  
 TPK2017A  
 Construction Draws  
 \$161,740,000.00

Dated: 05/01/2017  
 Delivered: 05/01/2017

Drw #	Date	Beginning Fund Balance	Tran Type	DSR Receipts	Interest Earnings	Int. Earnings in Constr Fund	Requirement	Draw Debt Service	Net Balance	Ending
<i>TPK2017.A TPK2017.A yielding 2.00000000% : Not-Funded</i>										
0	05-01-2017		DEPOSIT						147,240,088.19	
1	05-01-2017	0-0	147,240,088.19	DRAWS			49,270,000.00	49,270,000.00	97,970,088.19	
2	06-01-2017	0-30	97,970,088.19	DRAWS	162,607.26		16,423,333.33	16,260,726.07	81,709,362.12	
3	07-01-2017	0-30	81,709,362.12	DRAWS	135,618.29		16,423,333.33	16,287,715.04	65,421,647.08	
4	08-01-2017	0-30	65,421,647.08	DRAWS	108,584.52		16,423,333.33	16,314,748.81	49,106,898.27	
5	09-01-2017	0-30	49,106,898.27	DRAWS	81,505.88		16,423,333.33	16,341,827.45	32,765,070.82	
6	10-01-2017	0-30	32,765,070.82	DRAWS	54,382.30		16,423,333.33	16,368,951.03	16,396,119.78	
7	11-01-2017	0-30	16,396,119.78	DRAWS	27,213.70		16,423,333.33	16,396,119.63	0.15	
<b>Totals For TPK2017A</b>					<b>0.00</b>	<b>569,911.94</b>	<b>0.00</b>	<b>147,809,999.98</b>	<b>147,240,088.04</b>	
<b>Prior Project Costs:</b>					<b>0.00</b>					
<b>Grand Totals For All Projects:</b>					<b>569,911.94</b>	<b>0.00</b>	<b>147,809,999.98</b>	<b>147,240,088.04</b>		
<b>Total Prior Costs:</b>					<b>0.00</b>					

Sizing Debt Service Schedule

\$161,740,000.00

Dated: 05/01/2017

Delivered: 05/01/2017

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
17	7/1/2017				1,347,833.35	1,347,833.35		34,973.68		1,312,859.67	1,312,859.67
18	1/1/2018				4,043,500.00	4,043,500.00		105,270.00		3,938,230.00	
18	7/1/2018	N	5.000	2,440,000.00	4,043,500.00	6,483,500.00		105,270.00		6,378,230.00	10,316,460.00
19	1/1/2019				3,982,500.00	3,982,500.00		105,270.00		3,877,230.00	
19	7/1/2019	N	5.000	2,555,000.00	3,982,500.00	6,537,500.00		105,270.00		6,432,230.00	10,309,460.00
20	1/1/2020				3,918,625.00	3,918,625.00		105,270.00		3,813,355.00	
20	7/1/2020	N	5.000	2,685,000.00	3,918,625.00	6,603,625.00		105,270.00		6,498,355.00	10,311,710.00
21	1/1/2021				3,851,500.00	3,851,500.00		105,270.00		3,746,230.00	
21	7/1/2021	N	5.000	2,820,000.00	3,851,500.00	6,671,500.00		105,270.00		6,566,230.00	10,312,460.00
22	1/1/2022				3,781,000.00	3,781,000.00		105,270.00		3,675,730.00	
22	7/1/2022	N	5.000	2,960,000.00	3,781,000.00	6,741,000.00		105,270.00		6,635,730.00	10,311,460.00
23	1/1/2023				3,707,000.00	3,707,000.00		105,270.00		3,601,730.00	
23	7/1/2023	N	5.000	3,105,000.00	3,707,000.00	6,812,000.00		105,270.00		6,706,730.00	10,308,460.00
24	1/1/2024				3,629,375.00	3,629,375.00		105,270.00		3,524,105.00	
24	7/1/2024	N	5.000	3,260,000.00	3,629,375.00	6,889,375.00		105,270.00		6,784,105.00	10,308,210.00
25	1/1/2025				3,547,875.00	3,547,875.00		105,270.00		3,442,605.00	
25	7/1/2025	N	5.000	3,425,000.00	3,547,875.00	6,972,875.00		105,270.00		6,867,605.00	10,310,210.00
26	1/1/2026				3,462,250.00	3,462,250.00		105,270.00		3,356,980.00	
26	7/1/2026	N	5.000	3,595,000.00	3,462,250.00	7,057,250.00		105,270.00		6,961,980.00	10,308,960.00
27	1/1/2027				3,372,375.00	3,372,375.00		105,270.00		3,267,105.00	
27	7/1/2027	N	5.000	3,775,000.00	3,372,375.00	7,147,375.00		105,270.00		7,042,105.00	10,309,210.00
28	1/1/2028				3,278,000.00	3,278,000.00		105,270.00		3,172,730.00	
28	7/1/2028	N	5.000	3,965,000.00	3,278,000.00	7,243,000.00		105,270.00		7,137,730.00	10,310,460.00
29	1/1/2029				3,178,875.00	3,178,875.00		105,270.00		3,073,605.00	
29	7/1/2029	N	5.000	4,165,000.00	3,178,875.00	7,343,875.00		105,270.00		7,238,605.00	10,312,210.00
30	1/1/2030				3,074,750.00	3,074,750.00		105,270.00		2,969,480.00	
30	7/1/2030	N	5.000	4,370,000.00	3,074,750.00	7,444,750.00		105,270.00		7,339,480.00	10,308,960.00
31	1/1/2031				2,965,500.00	2,965,500.00		105,270.00		2,860,230.00	
31	7/1/2031	N	5.000	4,590,000.00	2,965,500.00	7,555,500.00		105,270.00		7,450,230.00	10,310,460.00
32	1/1/2032				2,850,750.00	2,850,750.00		105,270.00		2,745,480.00	
32	7/1/2032	N	5.000	4,820,000.00	2,850,750.00	7,670,750.00		105,270.00		7,565,480.00	10,310,960.00
33	1/1/2033				2,730,250.00	2,730,250.00		105,270.00		2,624,980.00	
33	7/1/2033	N	5.000	5,060,000.00	2,730,250.00	7,790,250.00		105,270.00		7,684,980.00	10,309,960.00
34	1/1/2034				2,603,750.00	2,603,750.00		105,270.00		2,498,480.00	
34	7/1/2034	N	5.000	5,315,000.00	2,603,750.00	7,918,750.00		105,270.00		7,813,480.00	10,311,960.00
35	1/1/2035				2,470,875.00	2,470,875.00		105,270.00		2,365,605.00	
35	7/1/2035	N	5.000	5,580,000.00	2,470,875.00	8,050,875.00		105,270.00		7,945,605.00	10,311,210.00
36	1/1/2036				2,331,375.00	2,331,375.00		105,270.00		2,226,105.00	
36	7/1/2036	N	5.000	5,860,000.00	2,331,375.00	8,191,375.00		105,270.00		8,086,105.00	10,312,210.00
37	1/1/2037				2,184,875.00	2,184,875.00		105,270.00		2,079,605.00	
37	7/1/2037	N	5.000	6,150,000.00	2,184,875.00	8,334,875.00		105,270.00		8,229,605.00	10,309,210.00
38	1/1/2038				2,031,125.00	2,031,125.00		105,270.00		1,925,855.00	
38	7/1/2038	N	5.000	6,460,000.00	2,031,125.00	8,491,125.00		105,270.00		8,385,855.00	10,311,710.00
39	1/1/2039				1,869,625.00	1,869,625.00		105,270.00		1,764,355.00	
39	7/1/2039	N	5.000	6,780,000.00	1,869,625.00	8,649,625.00		105,270.00		8,544,355.00	10,308,710.00
40	1/1/2040				1,700,125.00	1,700,125.00		105,270.00		1,594,855.00	
40	7/1/2040	N	5.000	7,120,000.00	1,700,125.00	8,820,125.00		105,270.00		8,714,855.00	10,309,710.00
41	1/1/2041				1,522,125.00	1,522,125.00		105,270.00		1,416,855.00	
41	7/1/2041	N	5.000	7,475,000.00	1,522,125.00	8,997,125.00		105,270.00		8,891,855.00	10,308,710.00
42	1/1/2042				1,335,250.00	1,335,250.00		105,270.00		1,229,980.00	
42	7/1/2042	N	5.000	7,850,000.00	1,335,250.00	9,185,250.00		105,270.00		9,079,980.00	10,309,960.00
43	1/1/2043				1,139,000.00	1,139,000.00		105,270.00		1,033,730.00	
43	7/1/2043	N	5.000	8,245,000.00	1,139,000.00	9,384,000.00		105,270.00		9,278,730.00	10,312,460.00
44	1/1/2044				932,875.00	932,875.00		105,270.00		827,605.00	

SBA-FDOT

TPK2017A

Sizing Debt Service Schedule

\$161,740,000.00

Dated: 05/01/2017

Delivered: 05/01/2017

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
44	7/1/2044	N	5.000	8,660,000.00	932,875.00	9,592,875.00		105,270.00		9,487,605.00	10,315,210.00
45	1/1/2045				716,375.00	716,375.00		105,270.00		611,105.00	
45	7/1/2045	N	5.000	9,090,000.00	716,375.00	9,806,375.00		105,270.00		9,701,105.00	10,312,210.00
46	1/1/2046				489,125.00	489,125.00		105,270.00		383,855.00	
46	7/1/2046	N	5.000	9,645,000.00	489,125.00	10,034,125.00		105,270.00		9,928,855.00	10,312,710.00
47	1/1/2047				250,500.00	250,500.00		105,270.00		145,230.00	
47	7/1/2047	N	5.000	10,020,000.00	250,500.00	10,270,500.00		10,632,270.00		-361,770.00	-216,540.00
				161,740,000.00	155,250,083.35	316,990,083.35	0.00	16,878,173.68	0.00	300,111,909.67	
<i>True Interest Cost (TIC) .....</i>						<b>5.1765189</b>	<i>Arbitrage Yield Limit (AYL) .....</i>				<b>5.0005884</b>
<i>Net Interest Cost (NIC) .....</i>						<b>5.1041771</b>	<i>Arbitrage Net Interest Cost (ANIC) .....</i>				<b>5.0000000</b>

Summary of Sizing Inputs

\$161,740,000.00

General Information

1st Month in FY: 1  
 Denomination: 5000.  
 Rate scale: 5.00%  
 Issue type: REVENUE  
 Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.  
 -> Proportionally level debt service in stub period.

Dates

05/01/2017-> Dated (bond issue) date  
 05/01/2017-> Delivery date  
 07/01/2017-> 1st coupon date  
 07/01/2018-> First principal payment  
 07/01/2047-> Last maturity date  
 No CABS in bond issue

Gross Construction Costs

Total project costs	147,809,999.98
Total prior costs	
Less: interest earned & applied to project draws	-569,911.79
Net total project costs:	147,240,088.19
Total number of projects = 1	

Restricted Accounts

DSR rule: Maximum yearly debt service	
No capitalized interest	
Restricted yield = 2.000000%	
Net deposit to Debt Service Reserve Fund	10,527,000.00
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-3,234,800.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	739,050.00

TPK2017A

## Summary of Sizing Calculations

\$161,740,000.00

Sources of Funds

Par amount of bonds	161,740,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	147,809,999.98
Less: interest earned in fund & applied to project draws	-569,911.79
Prior costs to be paid from bond proceeds	
Gross Construction Costs	147,240,088.19

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.000%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	10,527,000.00
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 20.000/\$1,000	-3,234,800.00
Bond insurance: 0.000%	
Other issuance costs	739,050.00
Rounding due to denomination size	-938.19

Calculations

Net Interest Cost (NIC)	5.1041771
True Interest Cost (TIC)	5.1765189
All-Inclusive TIC:	5.2174912
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0005884
Total Bond Years (delivery date)	3,105,001,666.67
Average Bond Years (Delivery date)	19.20
Level debt service calculation	10,521,054.20

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2016-17**

**Department:** Transportation

**Chief Internal Auditor:** Kris Sullivan

**Budget Entity:** Transportation Systems Development

**Phone Number:** 850-410-5800

(1)	(2)	(3)	(4)	(5)	(6)
<b>REPORT NUMBER</b>	<b>PERIOD ENDING</b>	<b>UNIT/AREA</b>	<b>SUMMARY OF FINDINGS AND RECOMMENDATIONS</b>	<b>SUMMARY OF CORRECTIVE ACTION TAKEN</b>	<b>ISSUE CODE</b>
2015-166	3/30/2015	Intermodal Systems Development	<p><b>Finding: Federal Transit Cluster</b>                      FDOT procedures were not sufficient to ensure that the Federal Financial Reports (FFRs) were properly completed. As a result, the FDOT submitted FFRs during the 2013-14 fiscal year that may have included inaccurate information.</p> <p><b>Recommendation:</b> The Auditor General recommends that the FDOT enhance written procedures to ensure the amounts reported on the quarterly FFRs are accurate.</p>	<p>FDOT concurs. The new process was implemented with the FFR submitted for the 1st quarter of Federal FY 2015. Procedures have been developed and implemented to ensure appropriate supervisory review, to ensure accurate and timely submittal of reports. This item may be closed.</p> <p><b>Current Status:</b> Corrected.</p>	
2015-166-03A					

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2016-17**

**Department:** Transportation

**Chief Internal Auditor:** Kris Sullivan

**Budget Entity:** Highway Operations

**Phone Number:** 850-410-5800

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
15P-5001	6/23/2015	Engineering and Operations	<p><b>Finding: Federal Reimbursement</b>                      We determined the Emergency Management Office does not have a written procedure for custody and maintenance of federal reimbursement documentation related to disasters and emergencies.</p>	<p>Response from Secretary Boxold - June 16, 2015 - this was an overall response to this report.                      The Office of Emergency Management has advised me that it concurs with the findings and recommendations contained in your report. In order to address the identified deficiencies, I have taken the following actions:</p> <ul style="list-style-type: none"> <li>•FDOT will be retaining the services of a nationally recognized incident command training expert. Sonny Greene and his team have many years of experience in responding to disasters in Florida and across the United States. They will provide specialized training for our staff, and will assist with the development of additional policies and procedures to ensure that we are prepared in the event of an emergency.</li> <li>•New leadership has been installed to oversee the Office of Emergency Management. Irene Cabral has been tasked with ensuring that we have the right personnel in place to execute our mission, that the issues detailed in your report are resolved, and that the best practices recommended by our external expert are implemented. Ms. Cabral has an extensive background in emergency management at both the local and statewide level.</li> <li>•I have instructed my Chief of Staff to take an active role in overseeing the Office of Emergency Management. This new measure will remain in place until I am satisfied that the necessary changes have been implemented and that the office is operating effectively.</li> </ul> <p>Ms. Cabral and our consultant will be developing and implementing a detailed corrective action plan, and will be providing me with regular progress reports. I will ensure that you are included in these communications.</p>	

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2016-17**

**Department:** Transportation

**Chief Internal Auditor:** Kris Sullivan

**Budget Entity:** Highway Operations

**Phone Number:** 850-410-5800

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
15P-5001-12A			<p><b>Recommendation:</b> We recommend the ECO develop a reimbursement policy or procedure to detail FEMA-PA reimbursements and referencing appropriate Office of Comptroller (OOC) procedures for FHWA-ER reimbursements. It should identify specific documents required for FEMA-PA reimbursements and the methodology to track reimbursements. We also recommend the ECO continue working with OIS to develop requirements for a document-scanning repository for all reimbursement documents.</p>	<p><b>Current Status:</b> See above.</p>	



## Fiscal Year 2016-17 LBR Technical Review Checklist

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

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

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

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55102000	55150500	55150600	55180100

### 1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	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

### 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
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	Y	Y	Y
<b>TIP</b> 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. <b>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.</b>						

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

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

### 3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	N/A	N/A	N/A	N/A
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### AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	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

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.						
<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
<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
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
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
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
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.						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55102000	55105000	55106000	55180100
<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
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 through E-6 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A	N/A	N/A	N/A	N/A
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #16-002?	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
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A	N/A
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y
7.16 Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 28 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55102000	55105000	55106000	55180100
7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 330010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y	Y	Y
7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A	N/A
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y	Y
<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'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y	Y	Y	Y	Y
7.21 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>	N/A	N/A	N/A	N/A	N/A	N/A
7.22 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y	Y	Y
7.23 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y	Y	Y
7.24 Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y	Y	Y	Y	Y	Y
<b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.						
<b>TIP</b> 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.						
<b>TIP</b> 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.						
<b>TIP</b> 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).						
<b>TIP</b> 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).						
<b>TIP</b> 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.						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55102000	55105000	55106000	55180100

<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
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?					Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?					Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?					Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?					Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?					N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?					N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?					Y
8.10	Are the statutory authority references correct?					Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Section 215.20, Florida Statutes for appropriate general revenue service charge percentage rates.)					Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?					Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?					Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?					Y

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55102000	55105000	55106000	55180100
8.20 Are appropriate general revenue service charge nonoperating amounts included in Section II?						Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?						Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more).						Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?						Y
8.24 Are prior year September operating reversions appropriately shown in column A01?						Y
8.25 Are current year September operating reversions appropriately shown in column A02?						Not available at the time of LBR submission.
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?						Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?						Y
8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?						Y
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?						Y
<b>AUDITS:</b>						
8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).						Y
8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? ( <b>SC1R, SC1A - Report should print "No Discrepancies Exist For This Report"</b> )						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
8.33 Has a Schedule IB been provided for each trust fund and does total agree with line I ?						Y
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?						Y
TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!						
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>						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55102000	55105000	55106000	55180100
<b>AUDIT:</b>						
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.)	Those position transfer issues with the vacant positions requested to transfer at the broadband minimum.					
<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
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
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y	Y
<b>TIP</b> If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.						
<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
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
13.1 <b>NOT REQUIRED FOR THIS YEAR</b>	N/A	N/A	N/A	N/A	N/A	N/A
<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
<b>15. SCHEDULE VIIIC (EADR, S8C)</b> (LAS/PBS Web - see page 107-109 of the LBR Instructions for detailed instructions)						
15.1 Agencies are required to generate this schedule via the LAS/PBS Web.	Y	Y	Y	Y	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
15.3 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	Y	Y	Y	Y	Y	Y
15.4 Are the priority narrative explanations adequate and do they follow the guidelines on pages 107-109 of the LBR instructions?	Y	Y	Y	Y	Y	Y
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
<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
<b>16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 of the LBR Instructions for detailed instructions)</b>						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55102000	55150500	55150600	55180100
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
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR	Y	Y	Y	Y	Y	Y
<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
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
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
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
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
TIP 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
17.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y	Y
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y
17.4 Does the LBR include a separate IV-B for each IT project over \$1 million (see page 134 of the LBR instructions for exemptions to this rule)? Have all IV-B been emailed to: <b>IT@LASPBS.state.fl.us</b>	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
<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
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y



Action		Program or Service (Budget Entity Codes)					
		55100100	55100500	55150200	55150500	55150600	55180100
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?						
18.5	Are the appropriate counties identified in the narrative?	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
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