FDLE

Florida Department of Law Enforcement

Richard L. Swearingen
Commissioner

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

LEGISLATIVE BUDGET REQUEST

Florida Department of Law Enforcement

Tallahassee, Florida

September 15, 2017

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

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

Mike Hansen, Staff Director
Senate Committee on Appropriations
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Florida Department of Law Enforcement is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2018-19 Fiscal Year.

Sincerely,

Richard L. Swearingen
Commissioner

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

Request for Approval
Temporary Special Duty – General Pay Additives Implementation Plan
For Fiscal Year 2018-19

In accordance with previous rule authority established in 60L-32.0012, Florida Administrative Code, the Florida Department of Law Enforcement has used existing rate and salary appropriations to grant pay additives when warranted based on the duties and responsibilities of the position.

Temporary special duty additives are a valuable management tool which allows agencies to compensate employees for identified additional duties which are not permanent in nature.

Pay Additive – General
The agency requests approval to continue to grant a pay additive up to 15 percent of employee base salary or agency minimum, whichever is greater to staff who are temporarily assigned higher level duties and responsibilities not customarily associated with a position.

Pay Additive – Absent Coworker
The agency requests approval to continue to grant a pay additive up to 15 percent of employee base salary or agency minimum, whichever is greater to staff who are temporarily assigned duties and responsibilities of a coworker who is absent from work due to authorized Family and Medical Leave Act or military leave.

For both pay additive scenarios addressed in this plan, the additive will begin on the first day of special duties being assumed and continue for up to 90 days. After this 90-day period, the agency will reassess the need for the additive and address accordingly.

During fiscal year 2016-17, the agency implemented a total of seven temporary special duty additives, all of which would fall within the scenarios described above. The positions granted included the following classes; Special Agent Supervisor, Special Agent, Senior Crime Intelligence Analyst I, and Senior Management Analyst Supervisor. The agency expended approximately $43,278 on these seven additives. The agency anticipates expenditures to be comparable to those in prior years.

The following Collective Bargaining Agreements contain language regarding Temporary Special Duty:

State of Florida and the Police Benevolent Association – Law Enforcement
Article 21 Compensation for Temporary Special Duty in Higher Level Position, Section 1
Article 25 Wages, Section 3

State of Florida and the Police Benevolent Association – Special Agent
Article 21 Compensation for Temporary Special Duty in Higher Level Position, Section 1
Article 25 Wages, Section 3

AFSCME Master Contract
Article 21 Compensation for Temporary Special Duty in Higher Level Position, Section 1
Article 25 Wages, Section 1

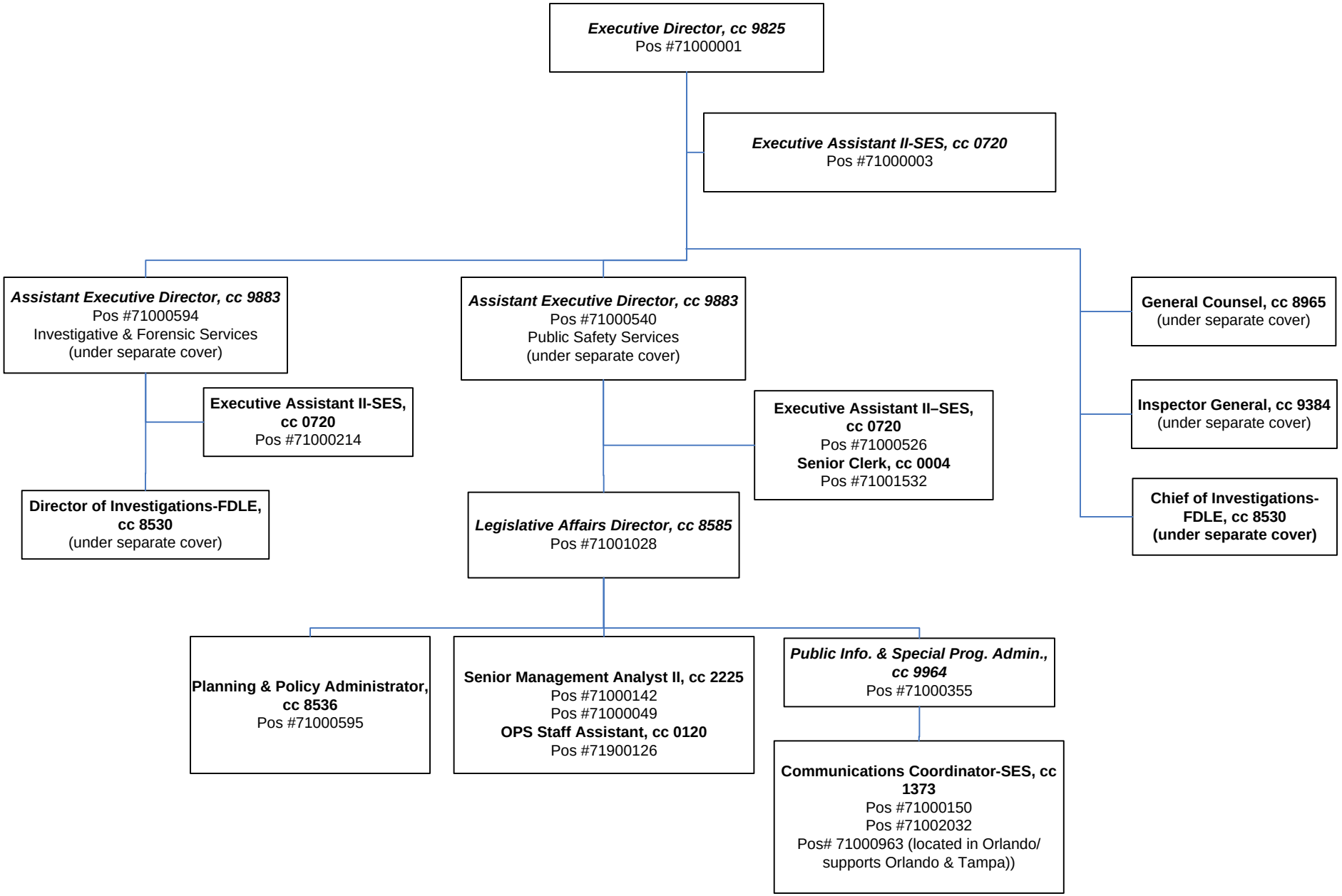
Schedule VII: Agency Litigation Inventory

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

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

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Delgado et al vs. Richard L. Swearingen John Doe vs. Richard L. Swearingen	
Court with Jurisdiction:	United States District Court. Northern District of Florida United States District Court, Northern District of Florida	
Case Number:	4:16-cv-00501-RH-CAS 4:16-cv-00459-RH-CAS	
Summary of the Complaint:	Declaratory and Injunctive action related to law allowing FDLE collection of sex offenders internet identifiers for the Florida Sex Offender Registry Declaratory and Injunctive action challenging the sex offender registration law.	
Amount of the Claim:	$ N/A	
Specific Statutes or Laws (including GAA) Challenged:	Sections 943.0435(4)(e), 775.21(2)(i), Laws of FL Chapter 2016-104 Section 943.0435(1)(a)1.b.	
Status of the Case:	Amended Complaint Filed Motion for Summary Judgment – Order Staying Proceedings	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
	X	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).	Valerie Jonas, Esq. of Weitzner and Jonas, P.A., Miami, FL Randall C. Berg, Esq. of Florida Justice Institute, Miami, FL Richard Greenberg, Esq. of Rumberger, Kirk & Caldwell, P.A. Tallahassee, FL	

Florida Department of Law Enforcement
Office of the Executive Director



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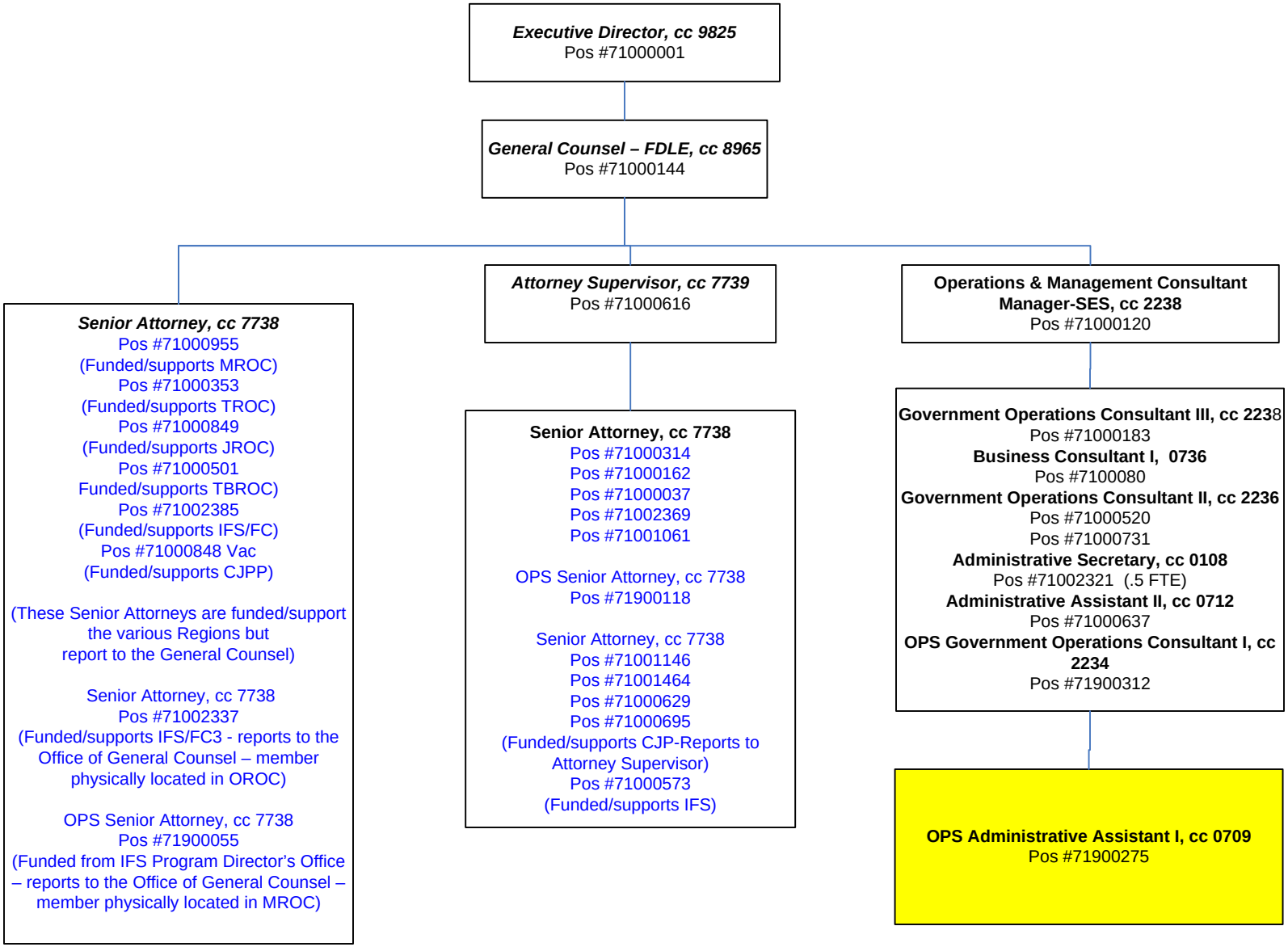
Florida Department of Law Enforcement
Office of the General Counsel



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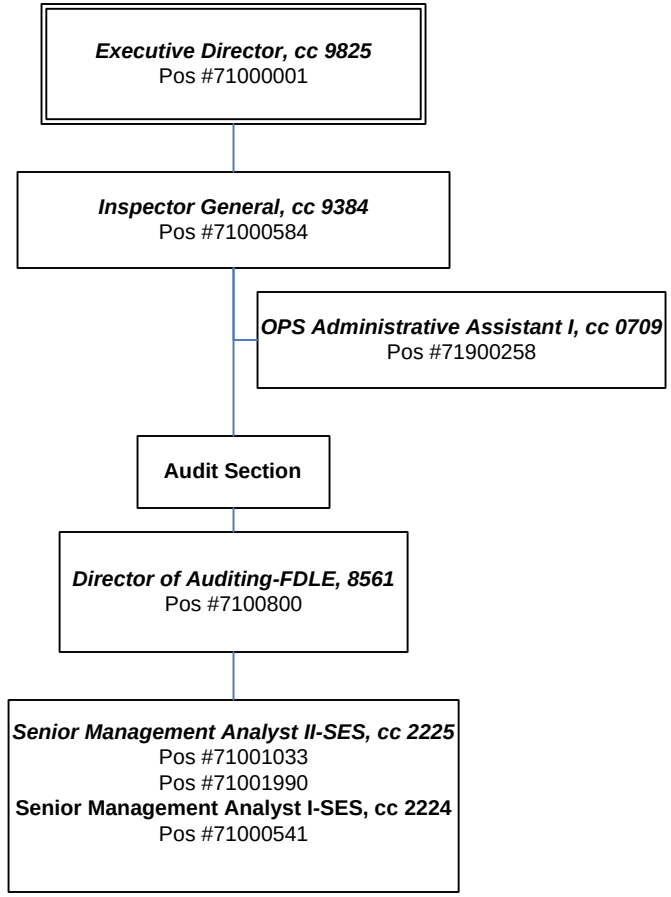
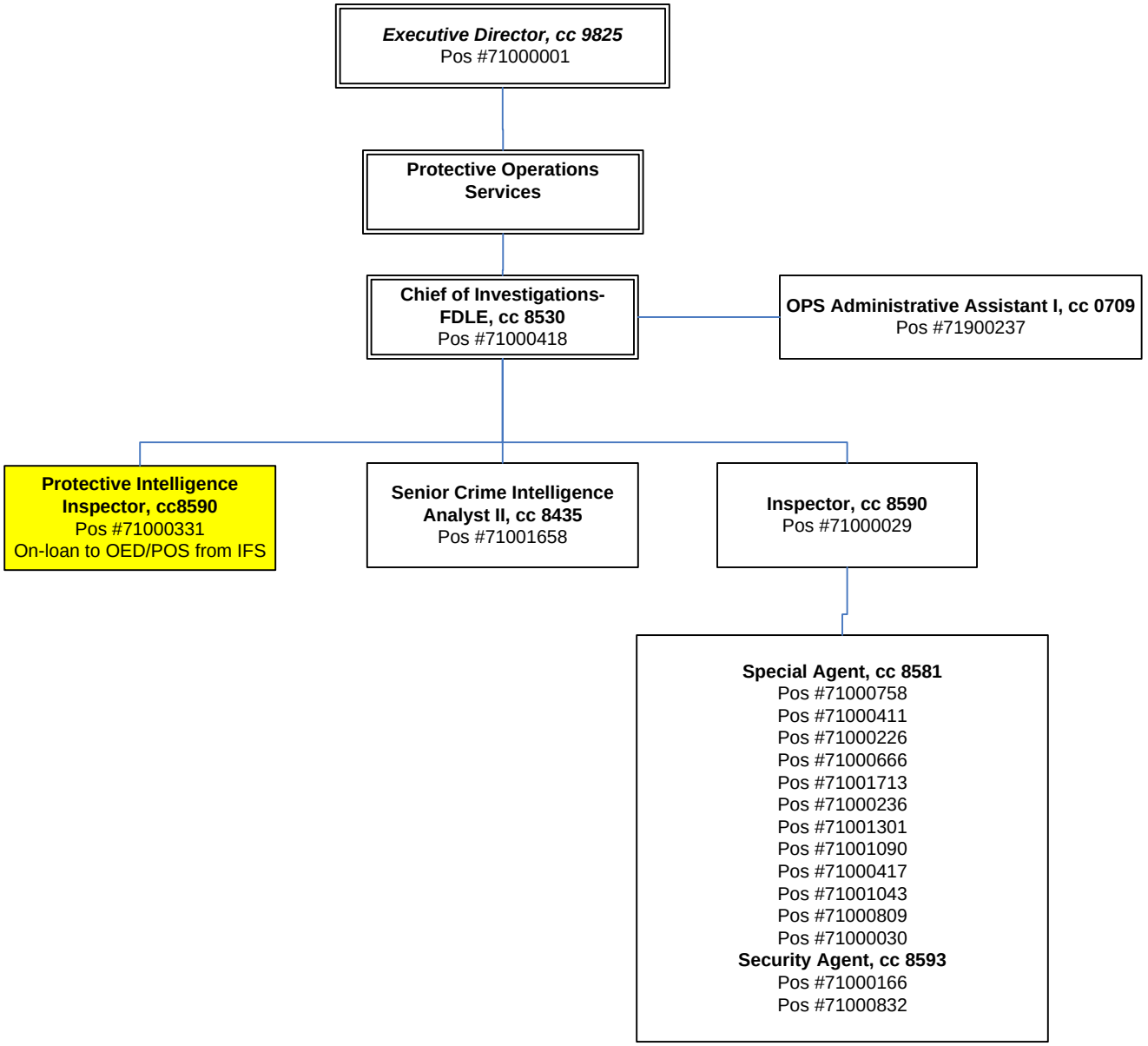
Florida Department of Law Enforcement
Office of Inspector General



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



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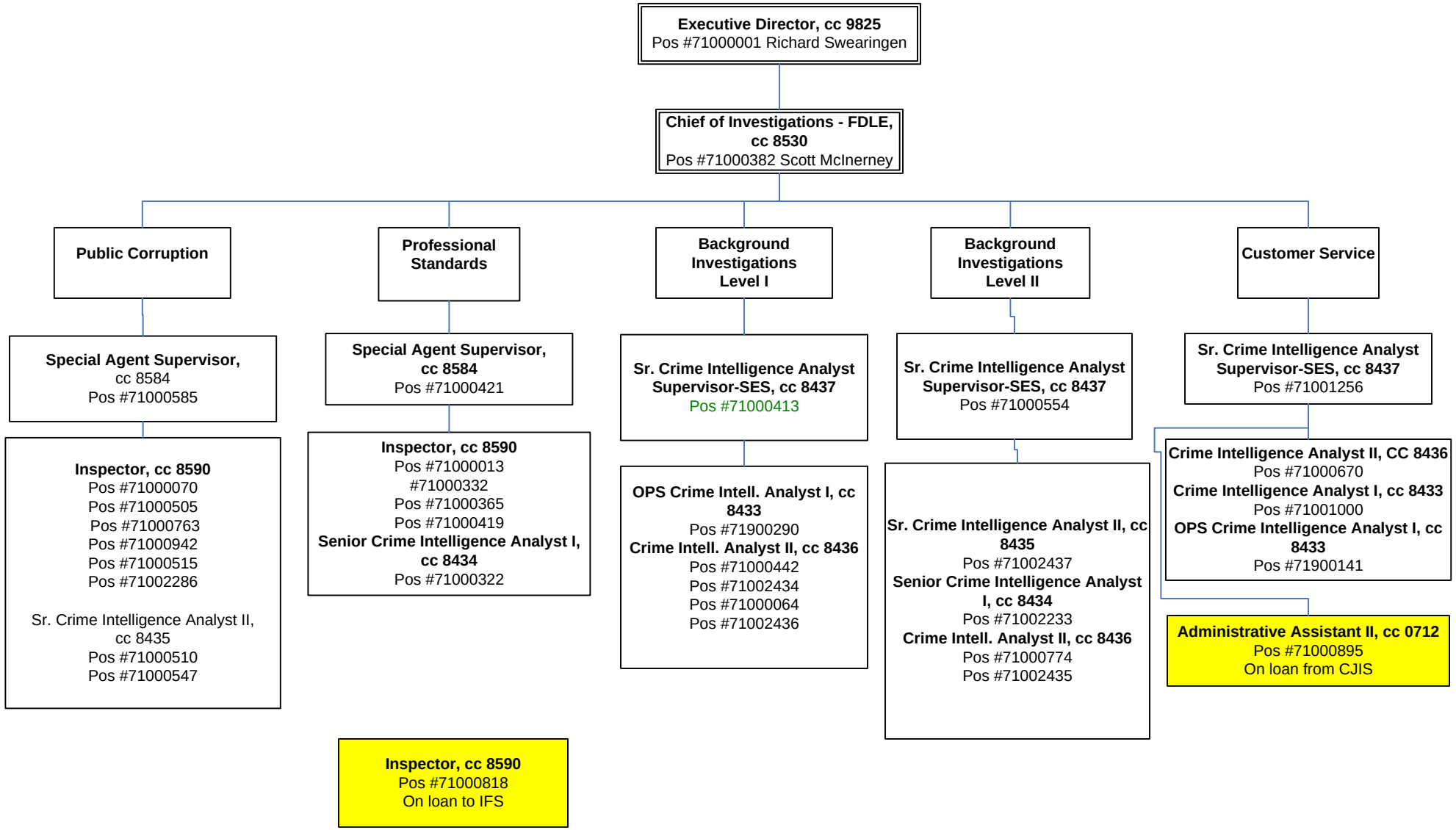
Florida Department of Law Enforcement

Office of Executive Director
Office of Executive Investigations



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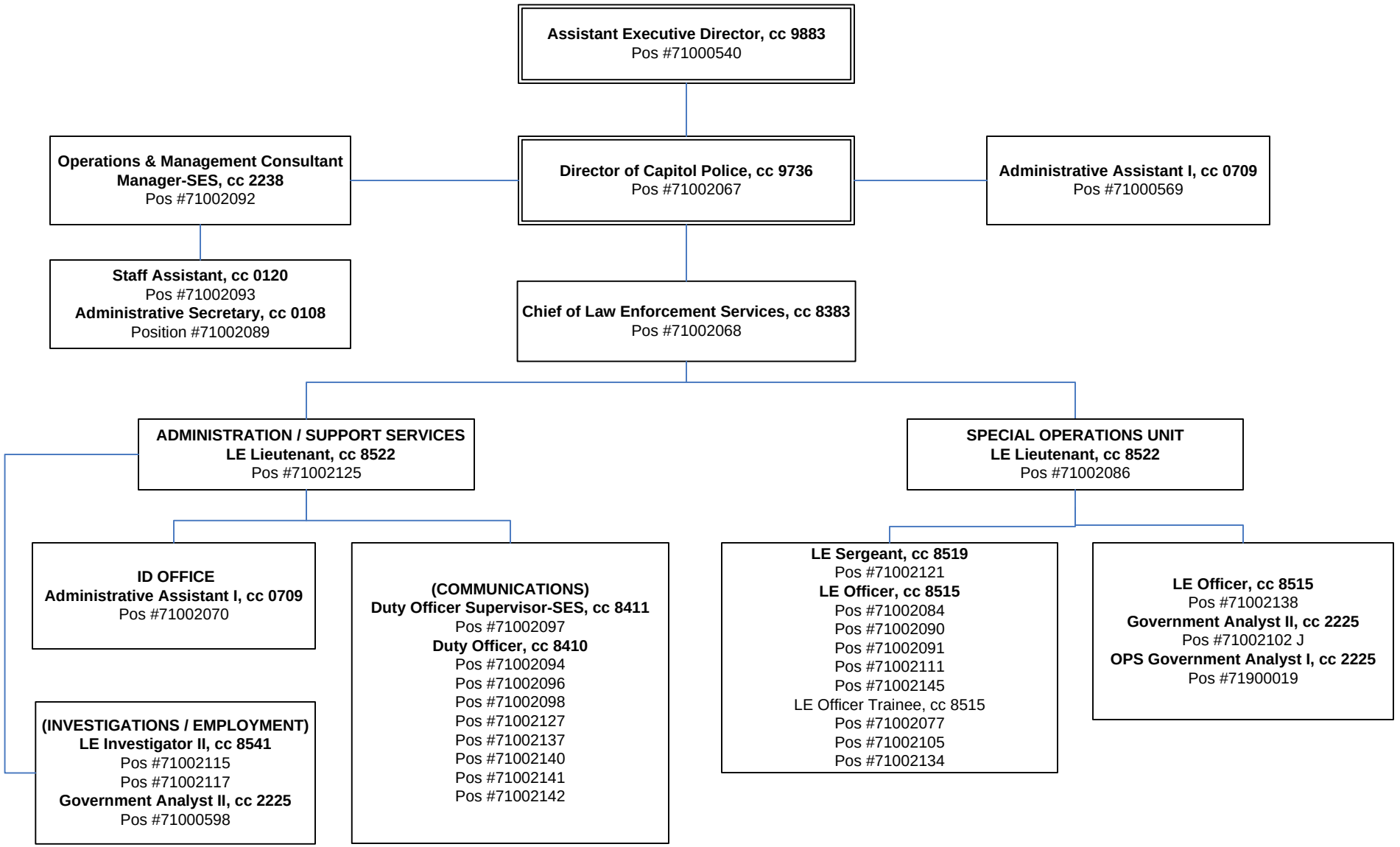
Florida Department of Law Enforcement
Capitol Police



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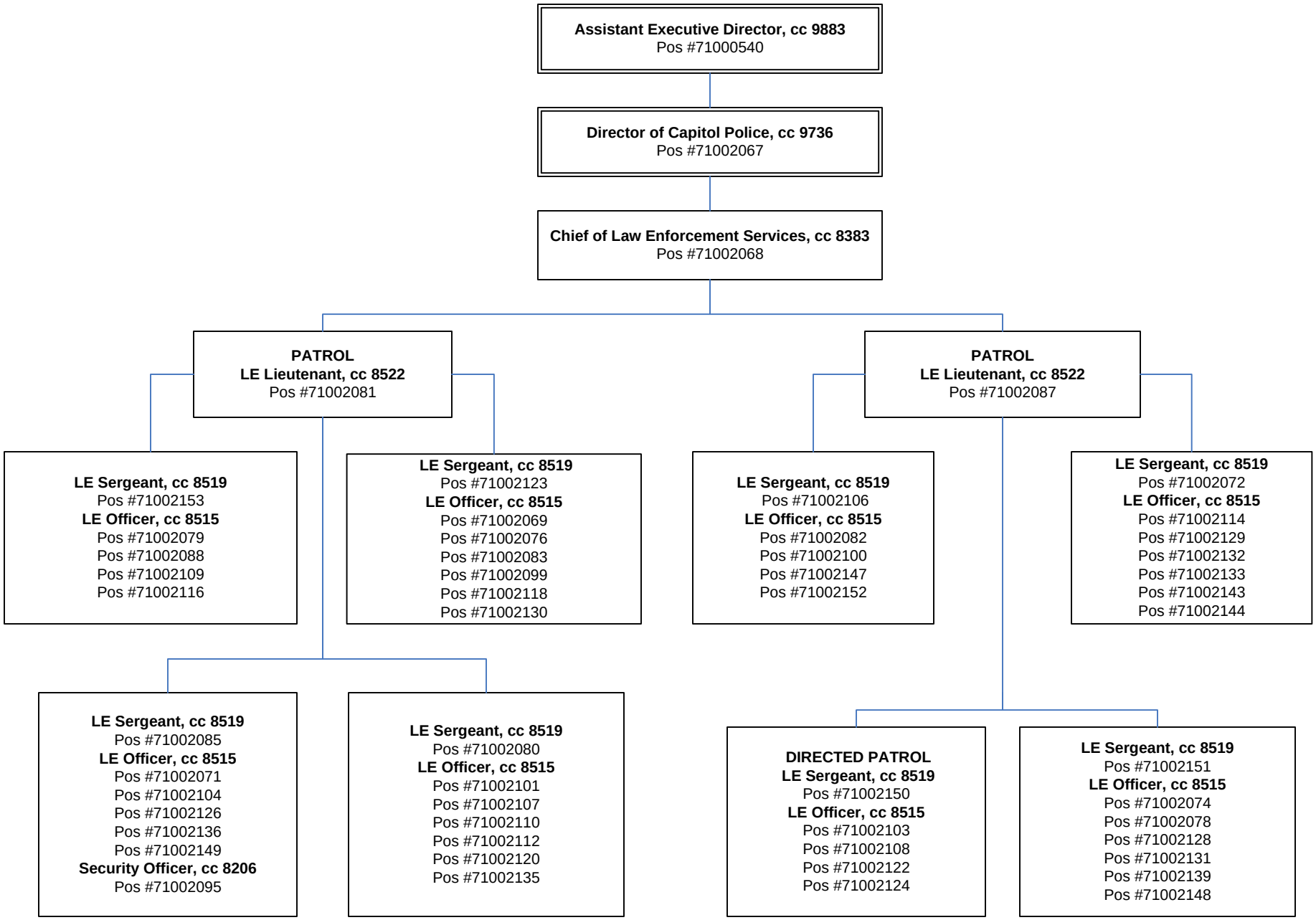
Florida Department of Law Enforcement
Capitol Police



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Florida Department of Law Enforcement
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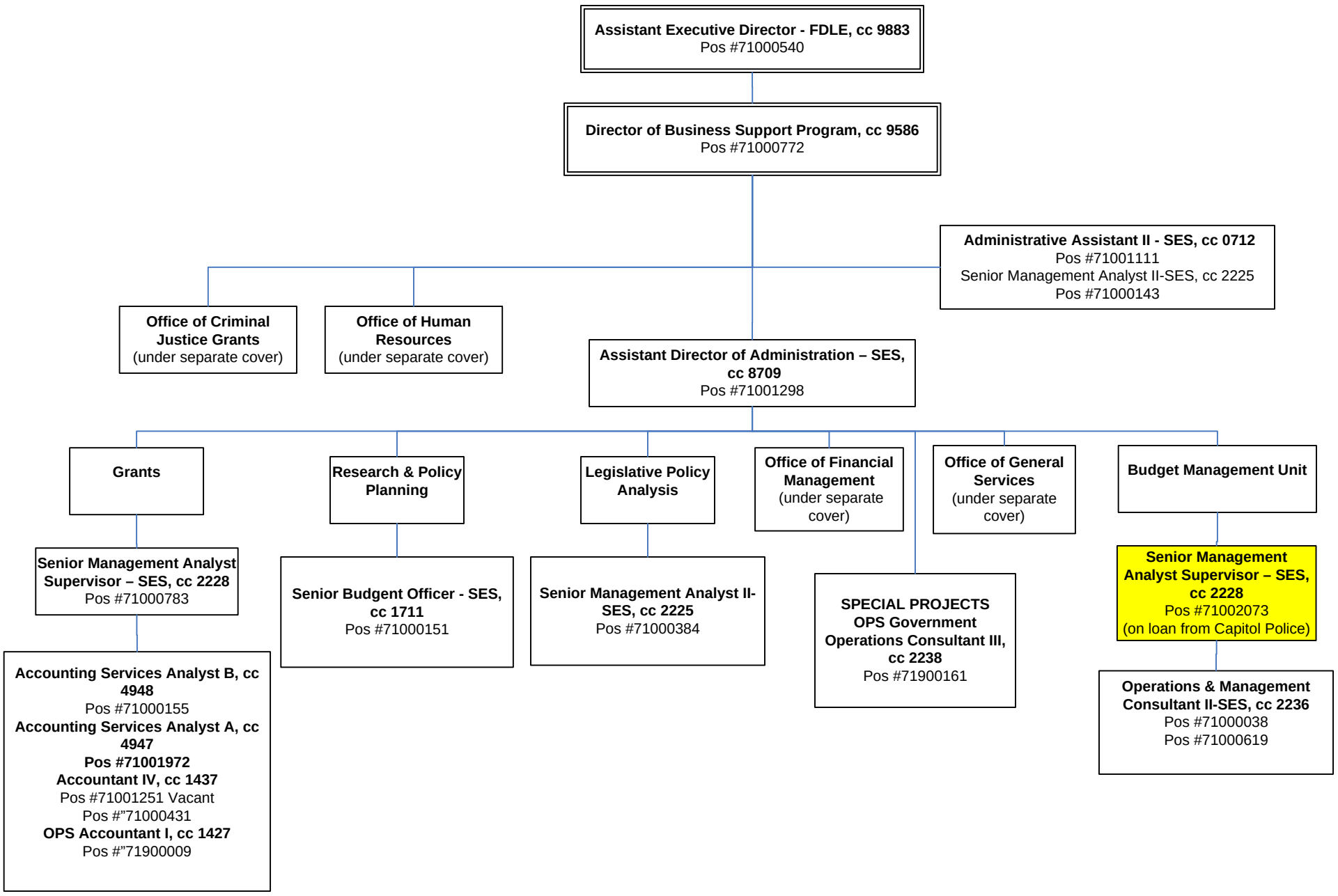
Director's Office



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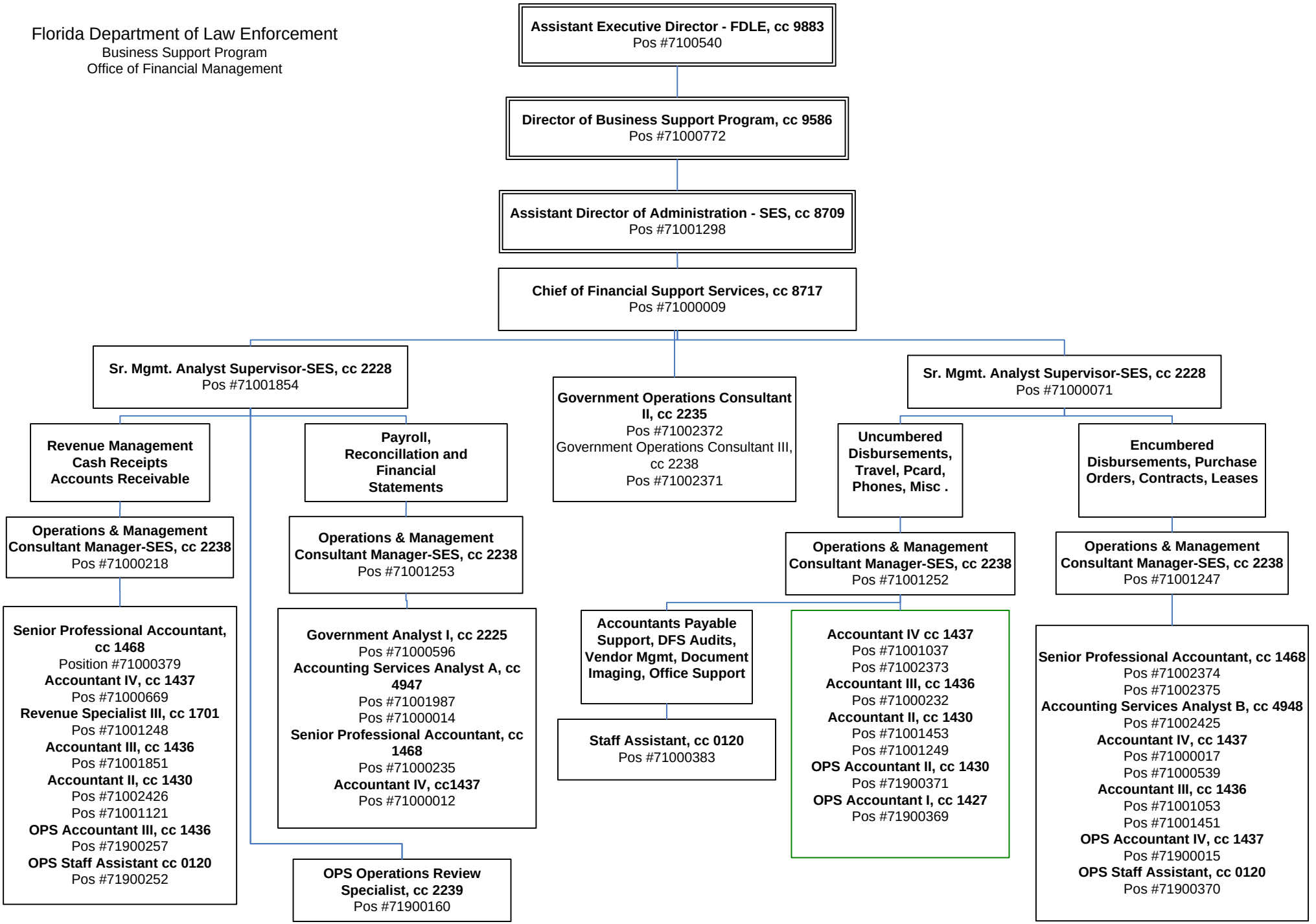
Florida Department of Law Enforcement
Business Support Program
Office of Financial Management



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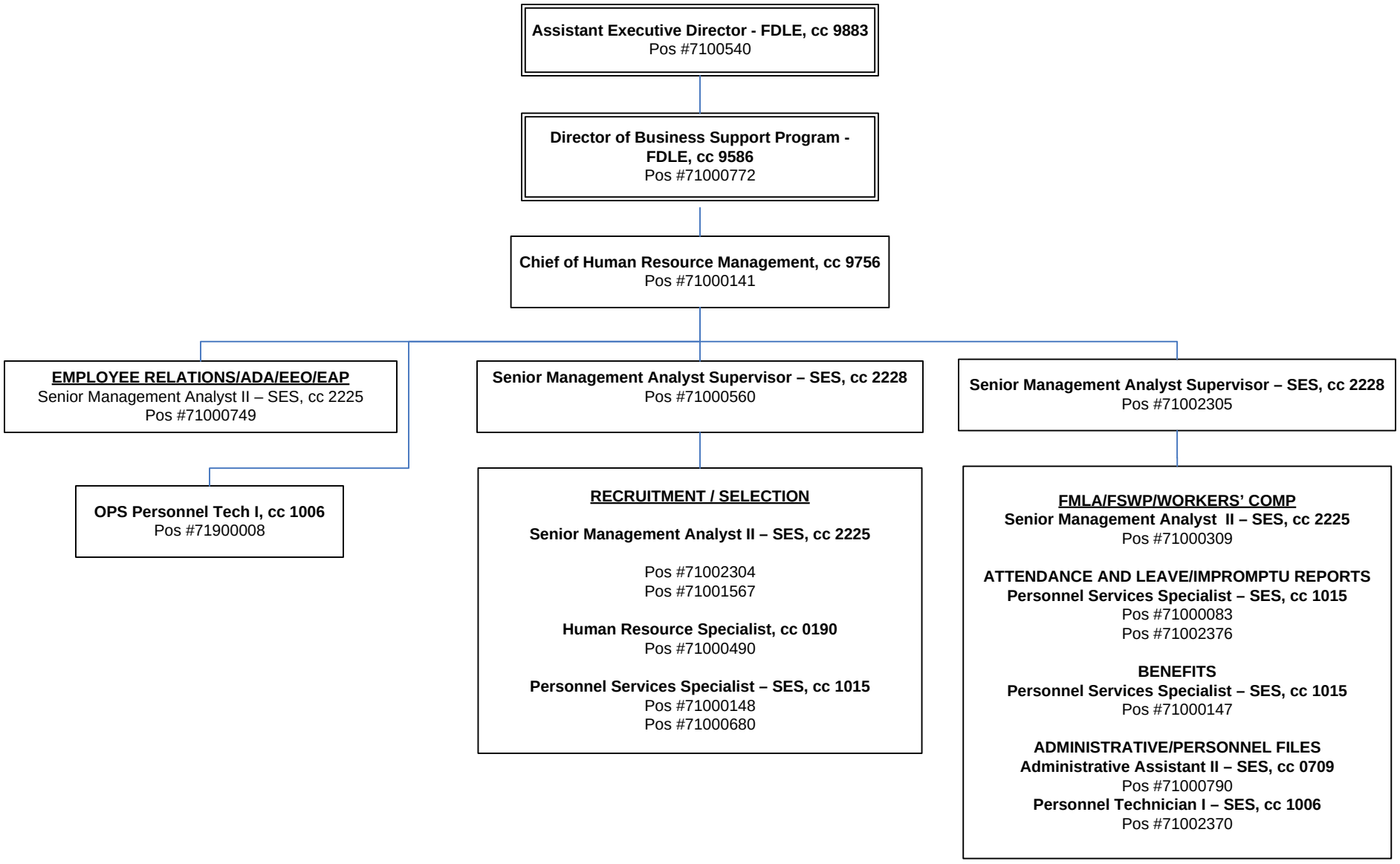
Office of Human Resources



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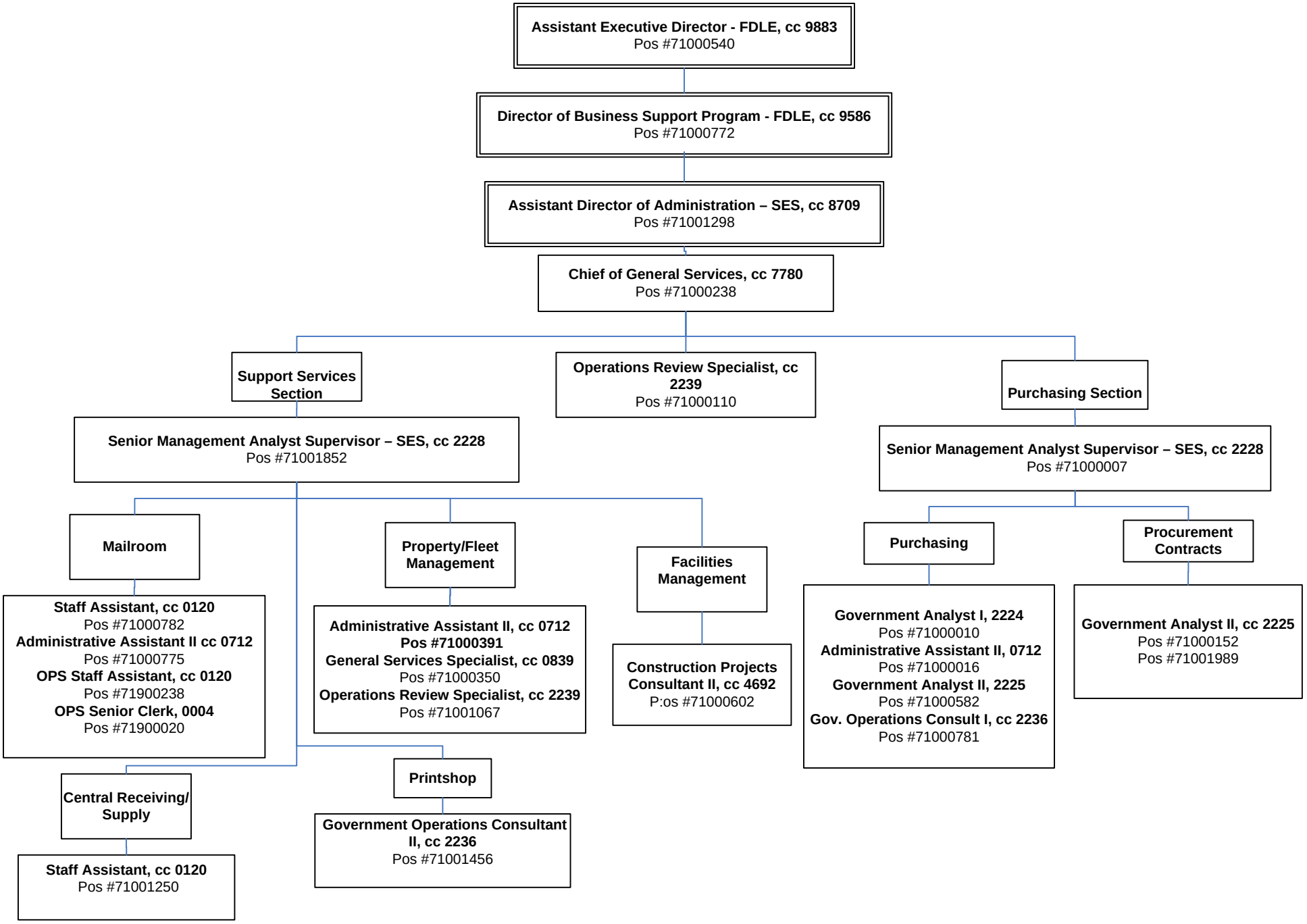
Florida Department of Law Enforcement

Business Support Program
Office of General Services



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Florida Department of Law Enforcement
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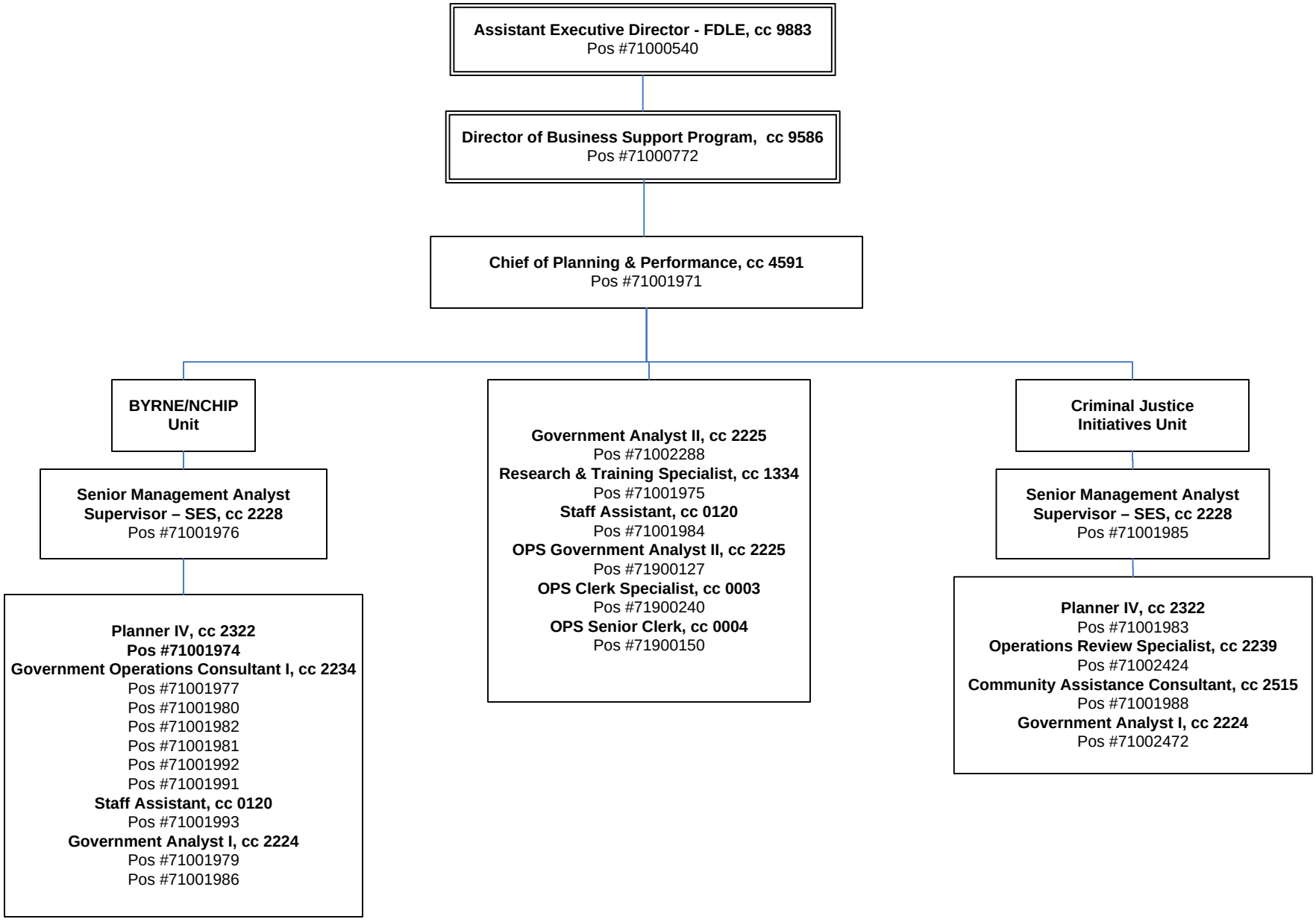
Office of Criminal Justice Grants



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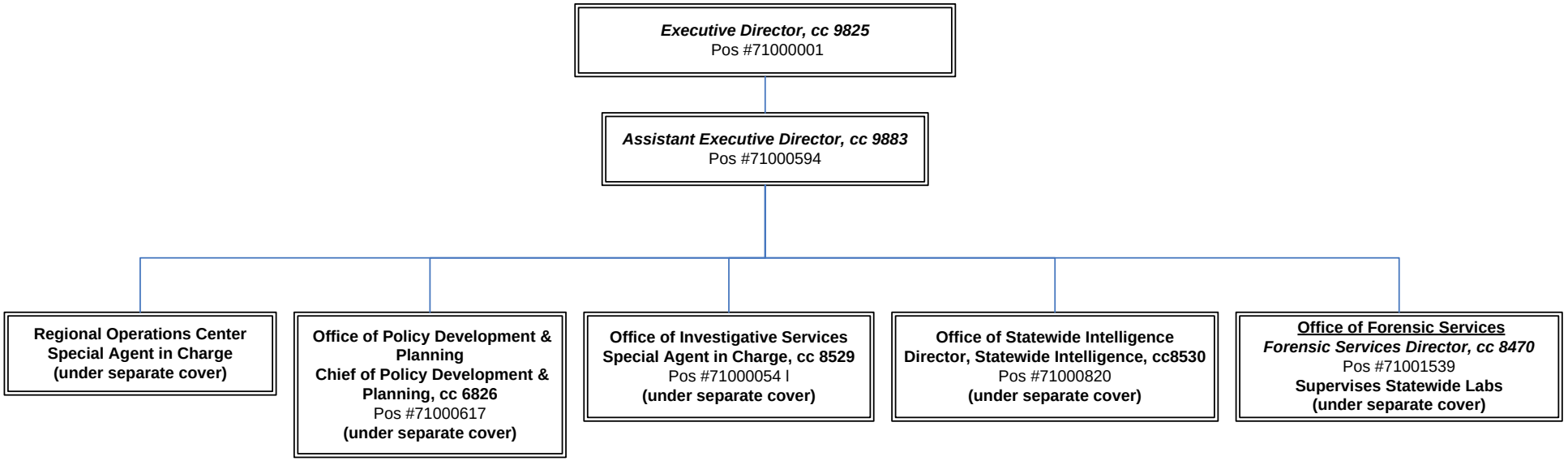
Florida Department of Law Enforcement
Investigations and Forensic Science Program



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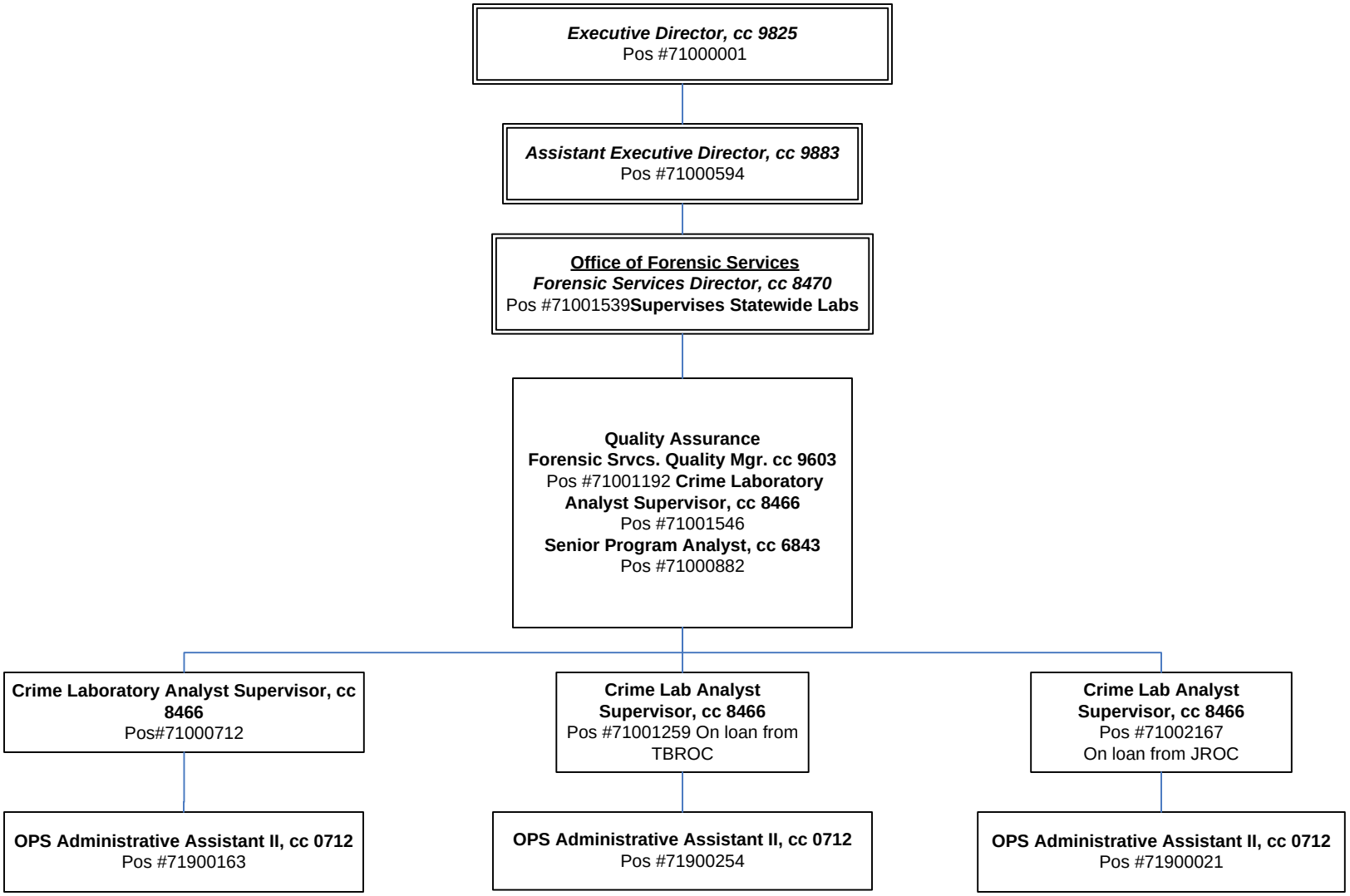
Florida Department of Law Enforcement
Investigations and Forensic Science Program



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Florida Department of Law Enforcement

Investigations and Forensic Science Program

Executive Director, cc 9825
Pos #71000001

Assistant Executive Director, cc 9883
Pos #71000594

Office of Policy Development & Planning
Chief of Policy Development & Planning, cc 6826
Pos #71000617

Domestic Security Preparedness
Sr. Mgt. Analyst Supervisor, cc 2228
Pos #71000661
Government. Analyst II, cc 2225
Pos #71000615
Pos #71000095
Planner IV, cc 2322
Pos #71002287
OPS Govt Analyst I, cc 2224
Pos #71900333

Business Support
Sr. Mgt. Analyst Supervisor, cc 2228
Pos #71000211
Government Analyst II, cc 2225
Pos #71000445
Oper. Review Specialist, cc 2239
Pos #71002021
Pos #71001277
Gov. Oper. Consultant III, cc 2238
Pos #71000107
Gov. Oper Consultant II, cc 2236
Pos #71000998
Business Consultant I, cc 0736
Pos #71000633
OPS Staff Assistant, cc 0003
Pos #71900276
OPS Clerk Specialist, cc 0003
Pos# 71900176

Policy & Planning
Sr. Mgt. Analyst Supervisor, cc2228
Pos #71001520
Senior Program Analyst, cc 6843
Pos #71001804
Government Analyst II, cc 2225
Pos #71000330
Pos #71000149
Pos #71001850
Pos #71001050
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OPS Govt Analyst I, cc 2224
Pos #71900327

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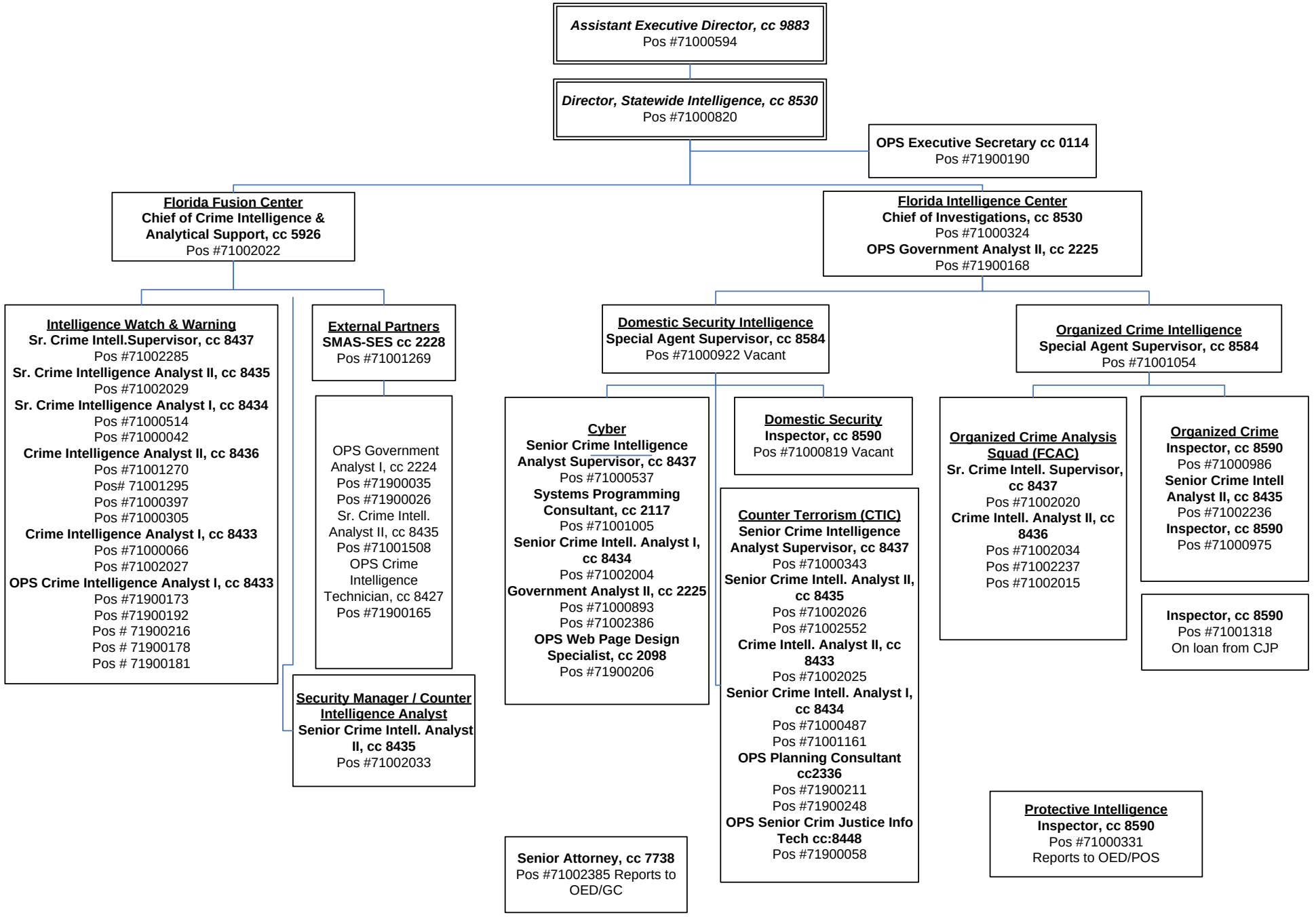
Florida Department of Law Enforcement
Investigations and Forensic Science Program
Office of Statewide Intelligence



9/14/2017

Florida Department of Law Enforcement

Investigations and Forensic Science Progrm

Field Services

Assistant Executive Director, cc 9883
Pos #71000594 Don Ladner

Director, cc 8529
Pos #71000054

Field Services
Chief of Investigations, cc 8530
Pos #71000304

Administrative Assistant II, cc 0712
Pos #71002338

Law Enforcement Services
Special Agent Supervisor, cc 8584
Pos# 71001276

Mutual Aid
Inspector, cc 8590
Pos #71000021

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

Special Agent, cc 8581
Pos #71002329
Pos #71000767
Pos #71000354

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

Inspector, cc 8590
Pos #71002286
Position on loan to EI from IFS

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

Cyber High Tech Crime
Training & Outreach
Special Agent Supervisor, cc 8584
Pos. #71000061
Inspector, cc 8590
Pos #71001099
Pos. #71000818
Systems Programming Consultant, cc 2117
Pos #71002005
Pos #71002031
Pos #71000328
Telecommunications Consultant, cc 2113
Pos #71000773
Senior Information Technology Business Consultant, cc 2114
Pos #71002016
Senior Crime Intelligence Analyst II, cc 8435
Pos #71002205
Pos #71002003

Inspector, cc 8590
Pos #71000818
On loan from OEI

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

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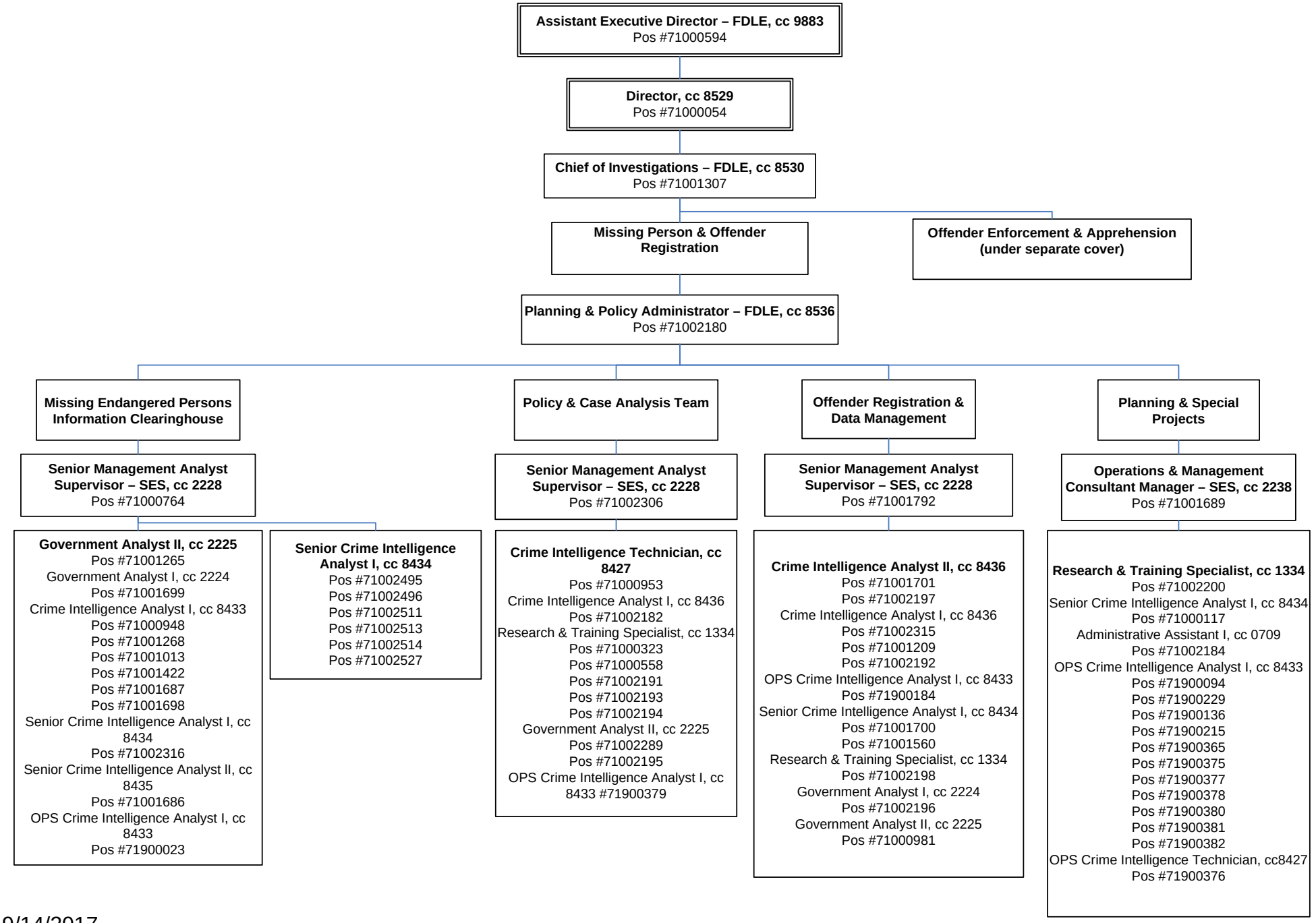
Florida Department of Law Enforcement

Investigations and Forensic Sciences

Office of Enforcement & Investigative Support Page 1



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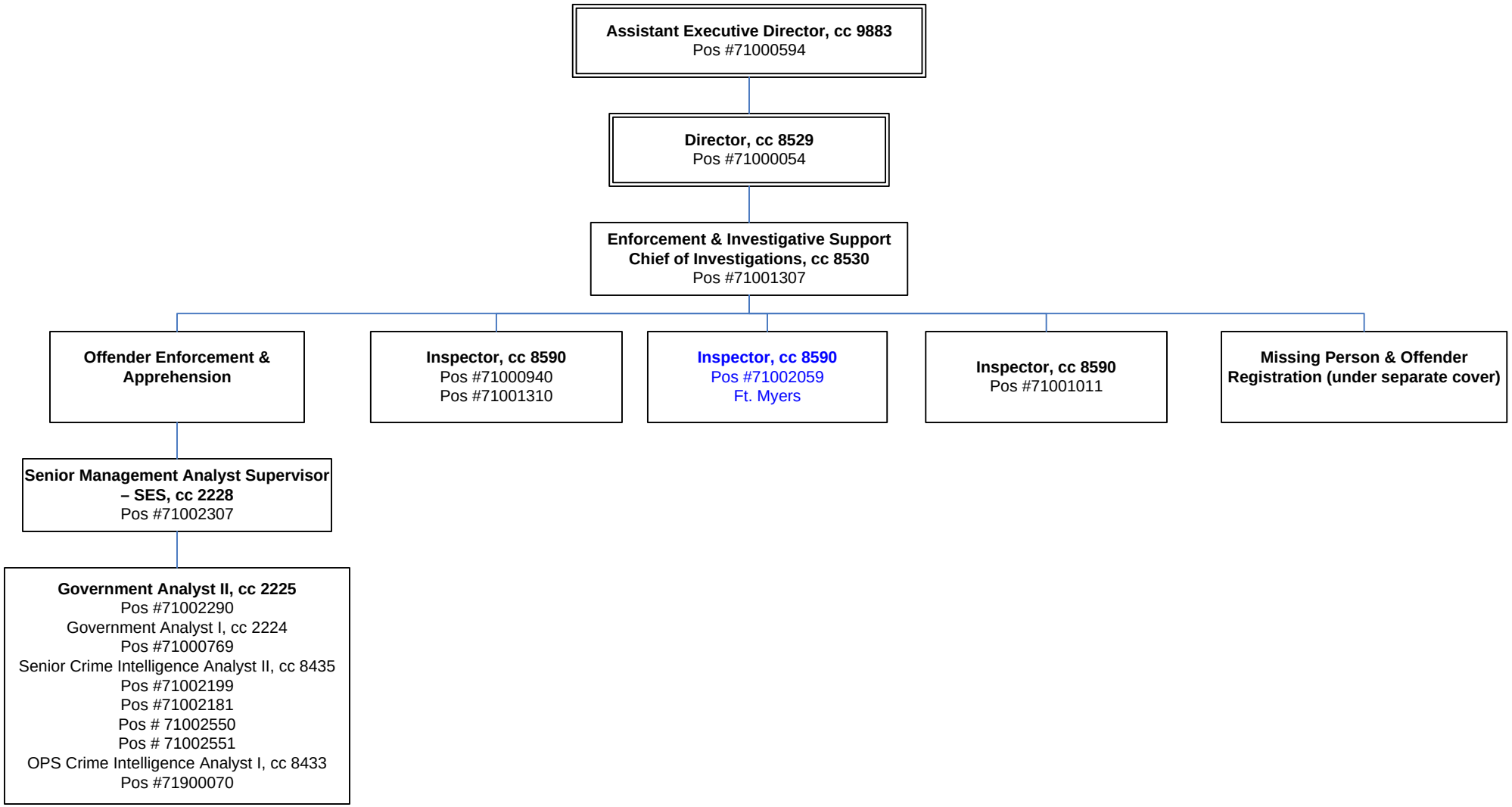
Florida Department of Law Enforcement
Investigations and Forensic Sciences
Office of Enforcement & Investigative Support – Page 2



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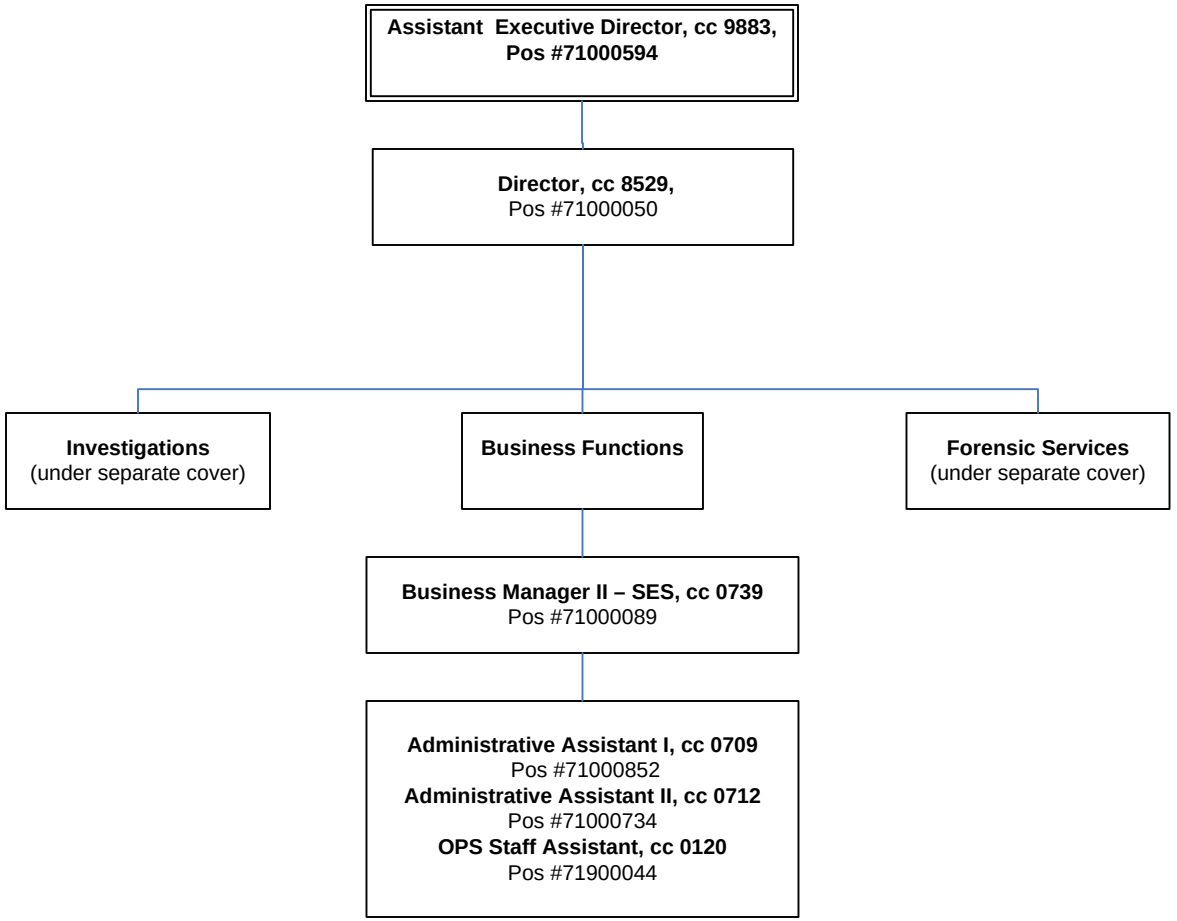
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Pensacola Regional Operations Center



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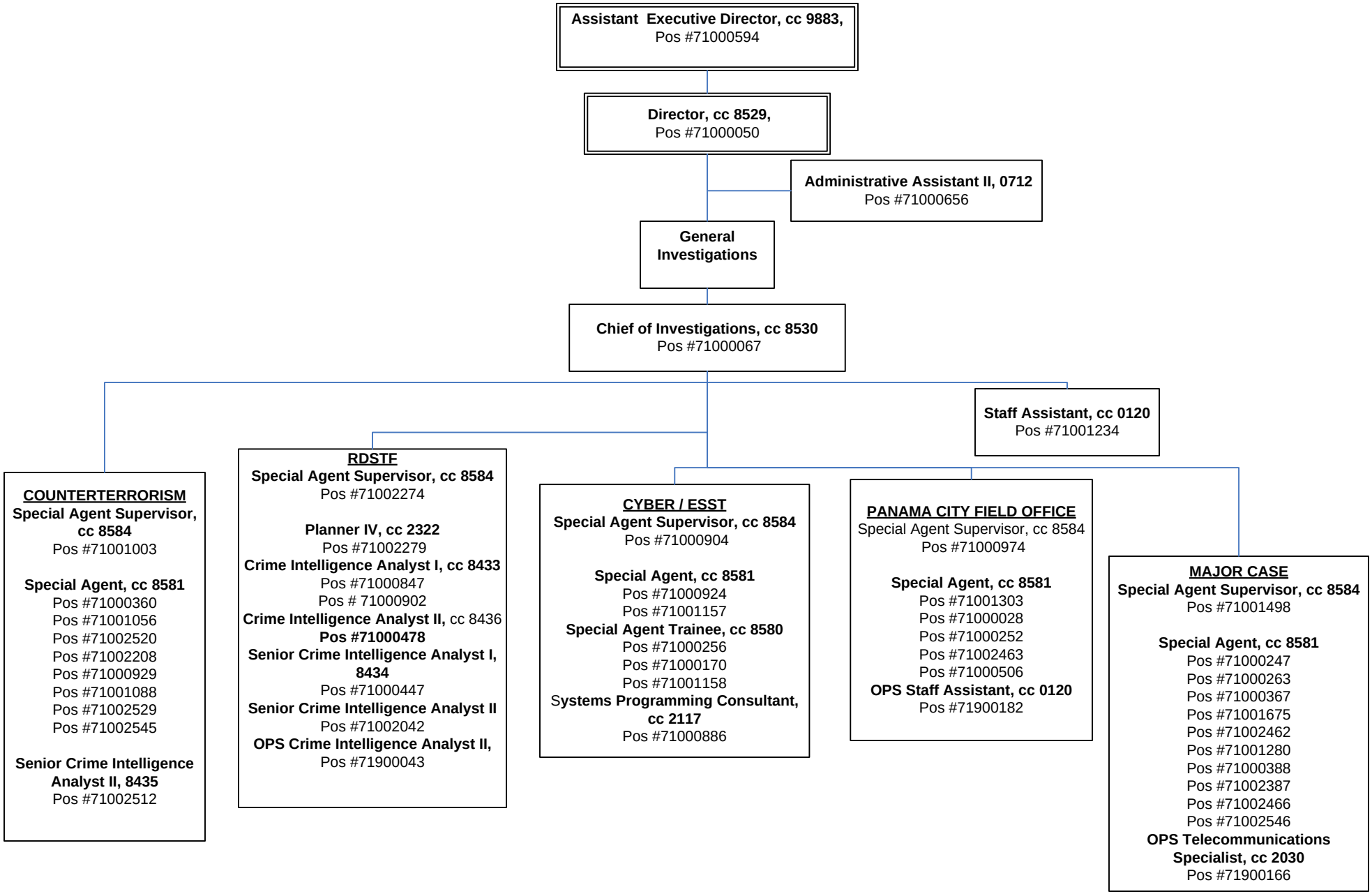
Florida Department of Law Enforcement

Investigations & Forensic Science Program
Pensacola Regional Operations Center



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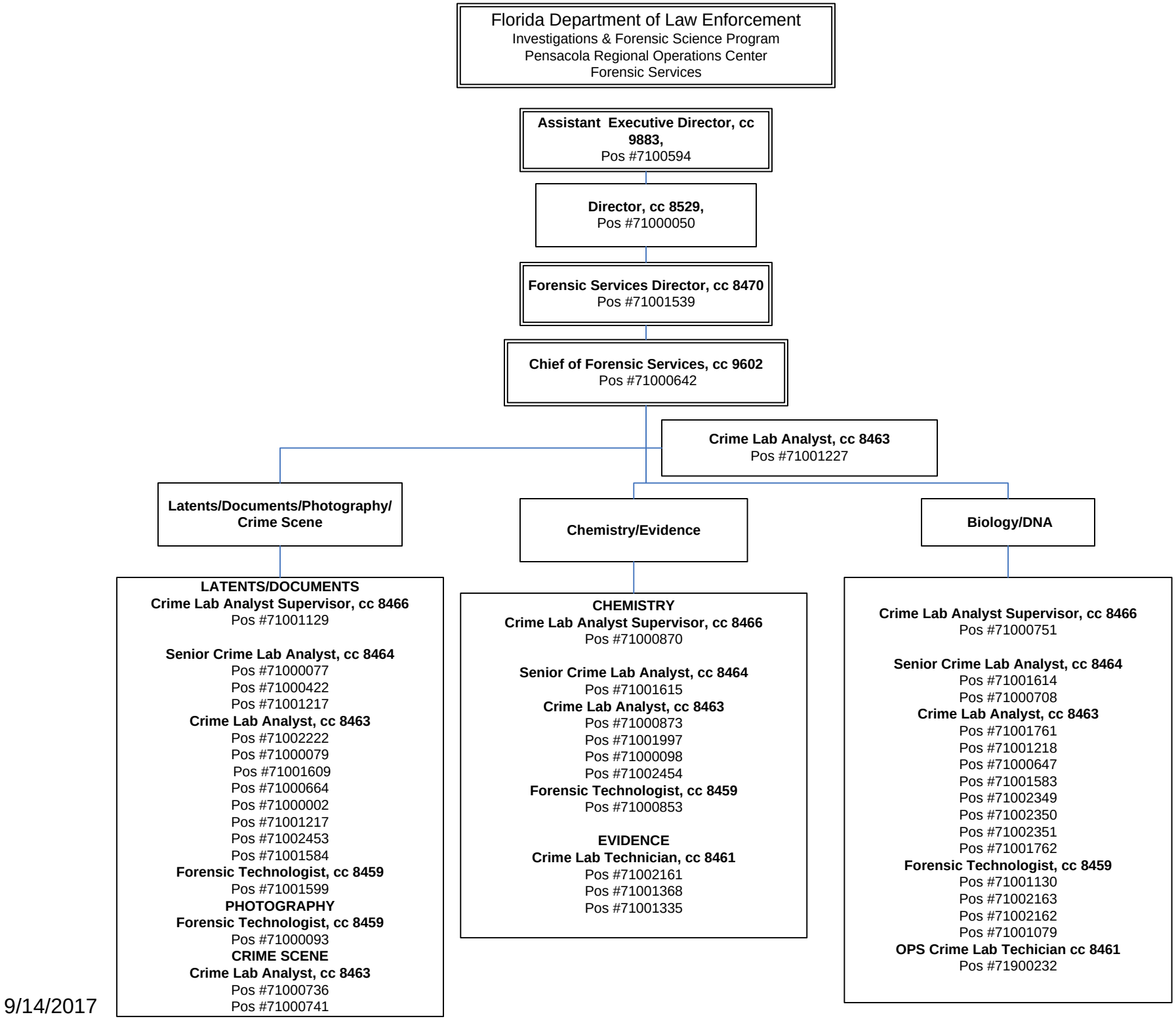
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Pensacola Regional Operations Center
Forensic Services
Assistant Executive Director, cc 9883,
Pos #7100594
Director, cc 8529,
Pos #71000050
Forensic Services Director, cc 8470
Pos #71001539
Chief of Forensic Services, cc 9602
Pos #71000642
Crime Lab Analyst, cc 8463
Pos #71001227
Latents/Documents/Photography/ Crime Scene
Chemistry/Evidence
Biology/DNA
LATENTS/DOCUMENTS
Crime Lab Analyst Supervisor, cc 8466
Pos #71001129
Senior Crime Lab Analyst, cc 8464
Pos #71000077
Pos #71000422
Pos #71001217
Crime Lab Analyst, cc 8463
Pos #71002222
Pos #71000079
Pos #71001609
Pos #71000664
Pos #71000002
Pos #71001217
Pos #71002453
Pos #71001584
Forensic Technologist, cc 8459
Pos #71001599
PHOTOGRAPHY
Forensic Technologist, cc 8459
Pos #71000093
CRIME SCENE
Crime Lab Analyst, cc 8463
Pos #71000736
Pos #71000741
CHEMISTRY
Crime Lab Analyst Supervisor, cc 8466
Pos #71000870
Senior Crime Lab Analyst, cc 8464
Pos #71001615
Crime Lab Analyst, cc 8463
Pos #71000873
Pos #71001997
Pos #71000098
Pos #71002454
Forensic Technologist, cc 8459
Pos #71000853
EVIDENCE
Crime Lab Technician, cc 8461
Pos #71002161
Pos #71001368
Pos #71001335
Crime Lab Analyst Supervisor, cc 8466
Pos #71000751
Senior Crime Lab Analyst, cc 8464
Pos #71001614
Pos #71000708
Crime Lab Analyst, cc 8463
Pos #71001761
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Pos #71001583
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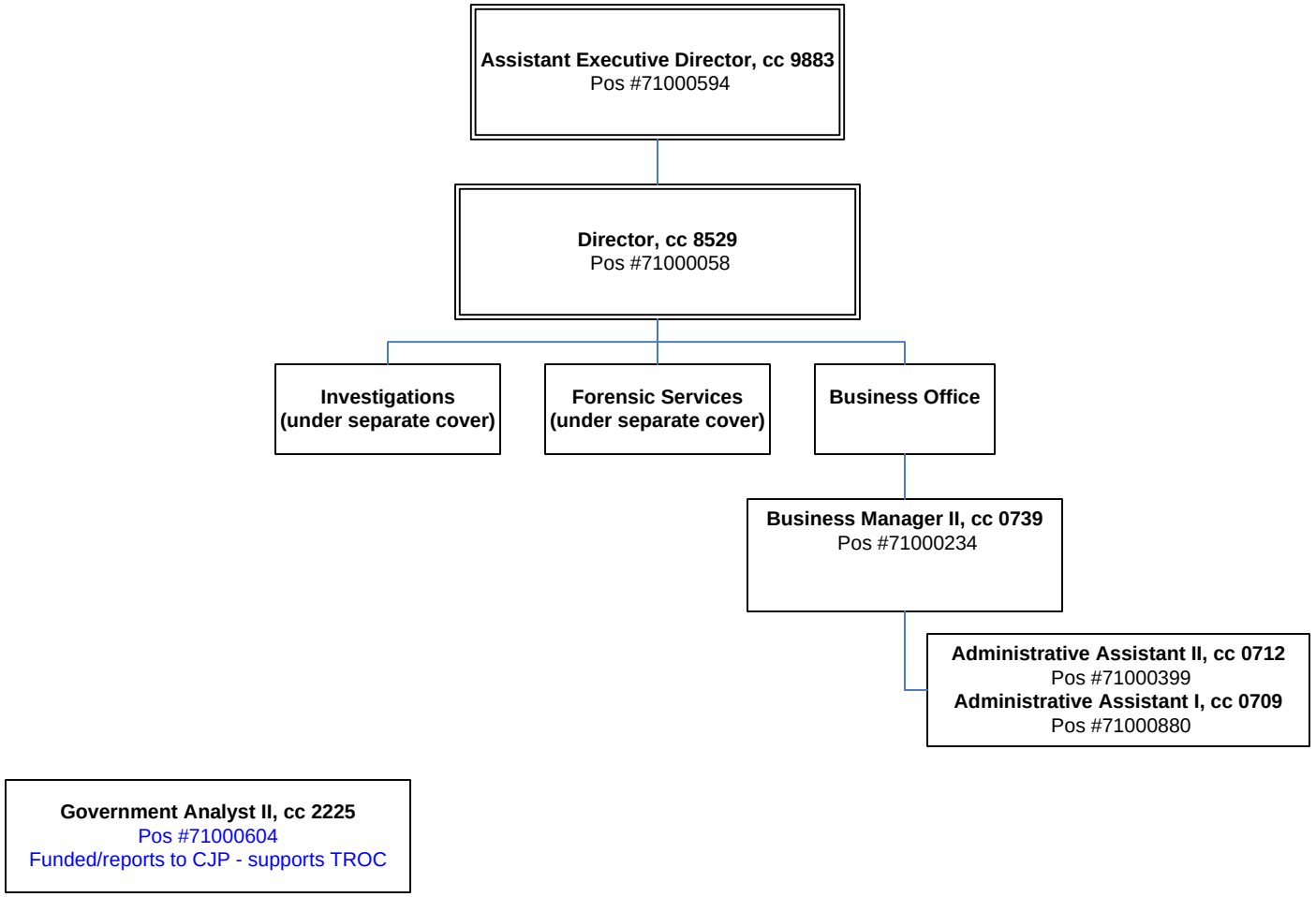
Pos #71002350
Pos #71002351
Pos #71001762
Forensic Technologist, cc 8459
Pos #71001130
Pos #71002163
Pos #71002162
Pos #71001079
OPS Crime Lab Techician cc 8461
Pos #71900232

9/14/2017

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



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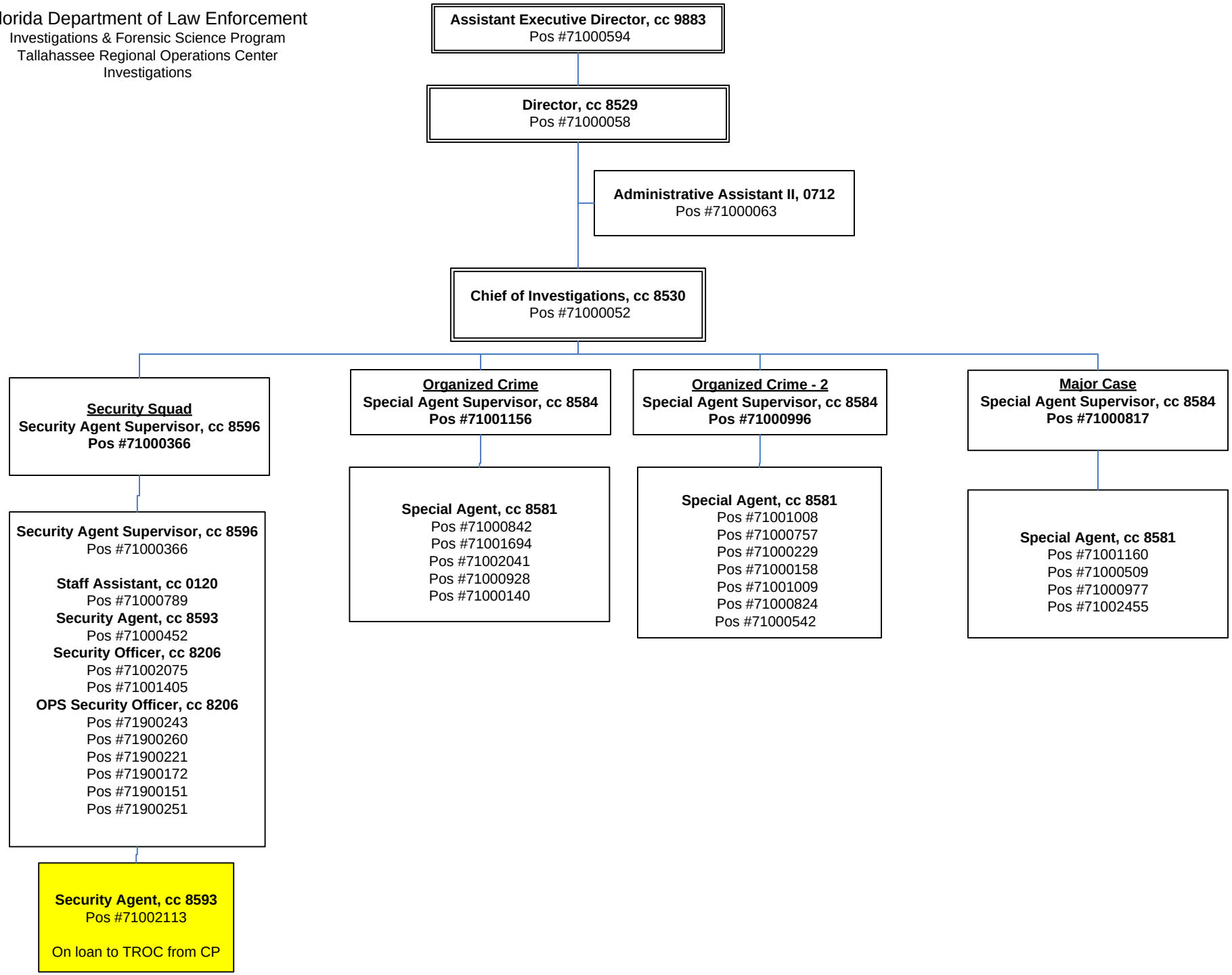
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Investigations



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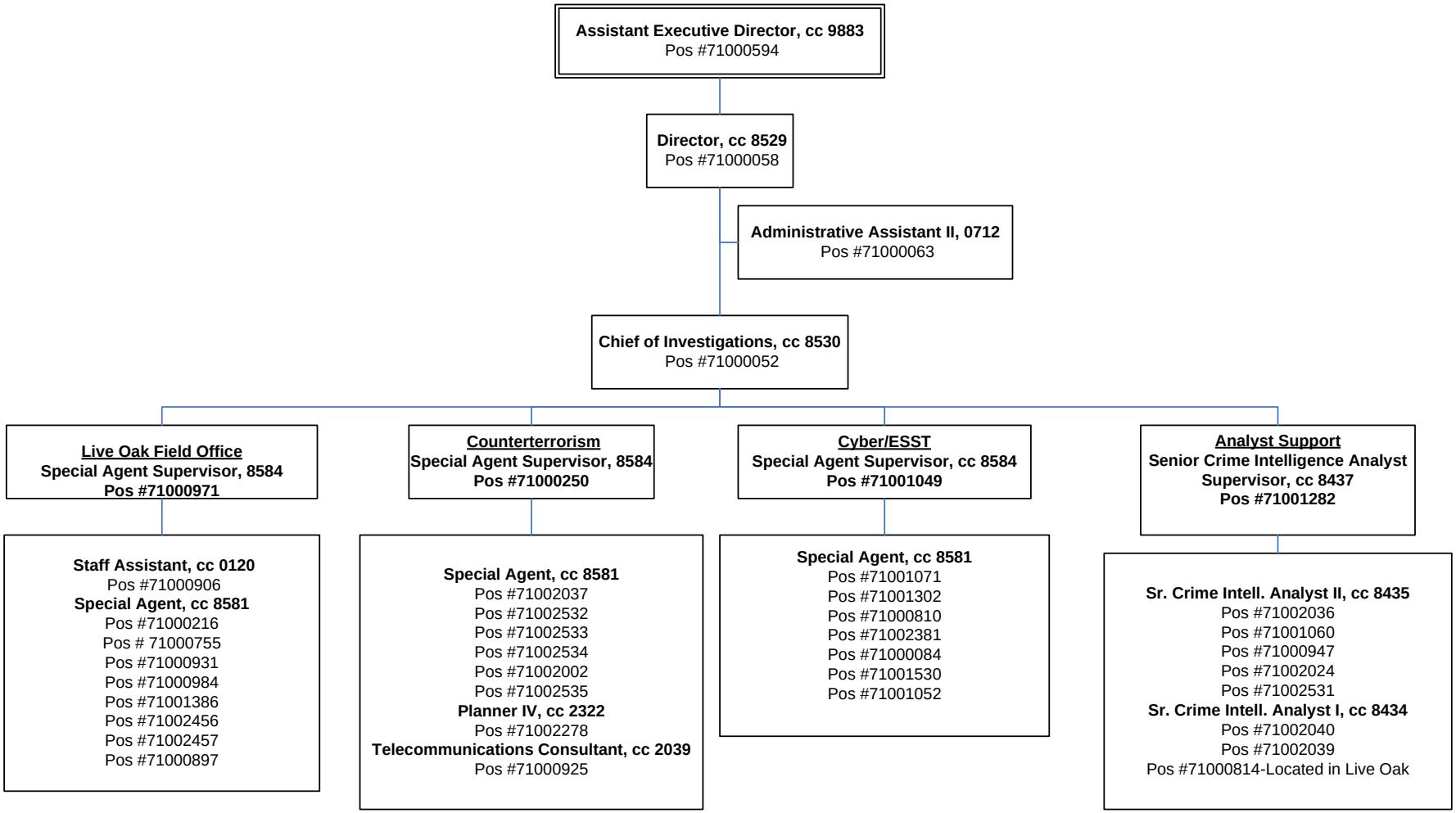
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Investigations



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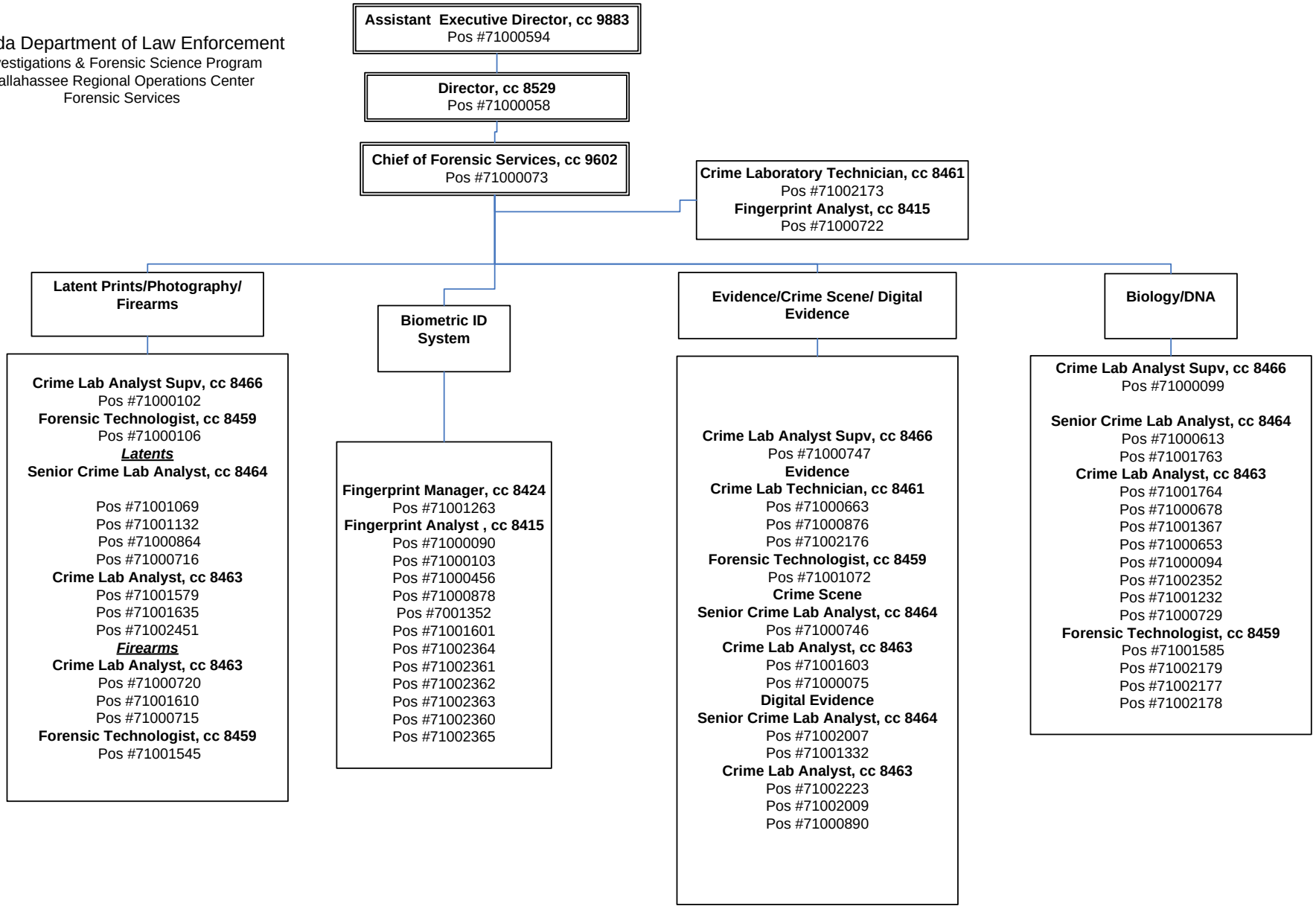
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Forensic Services



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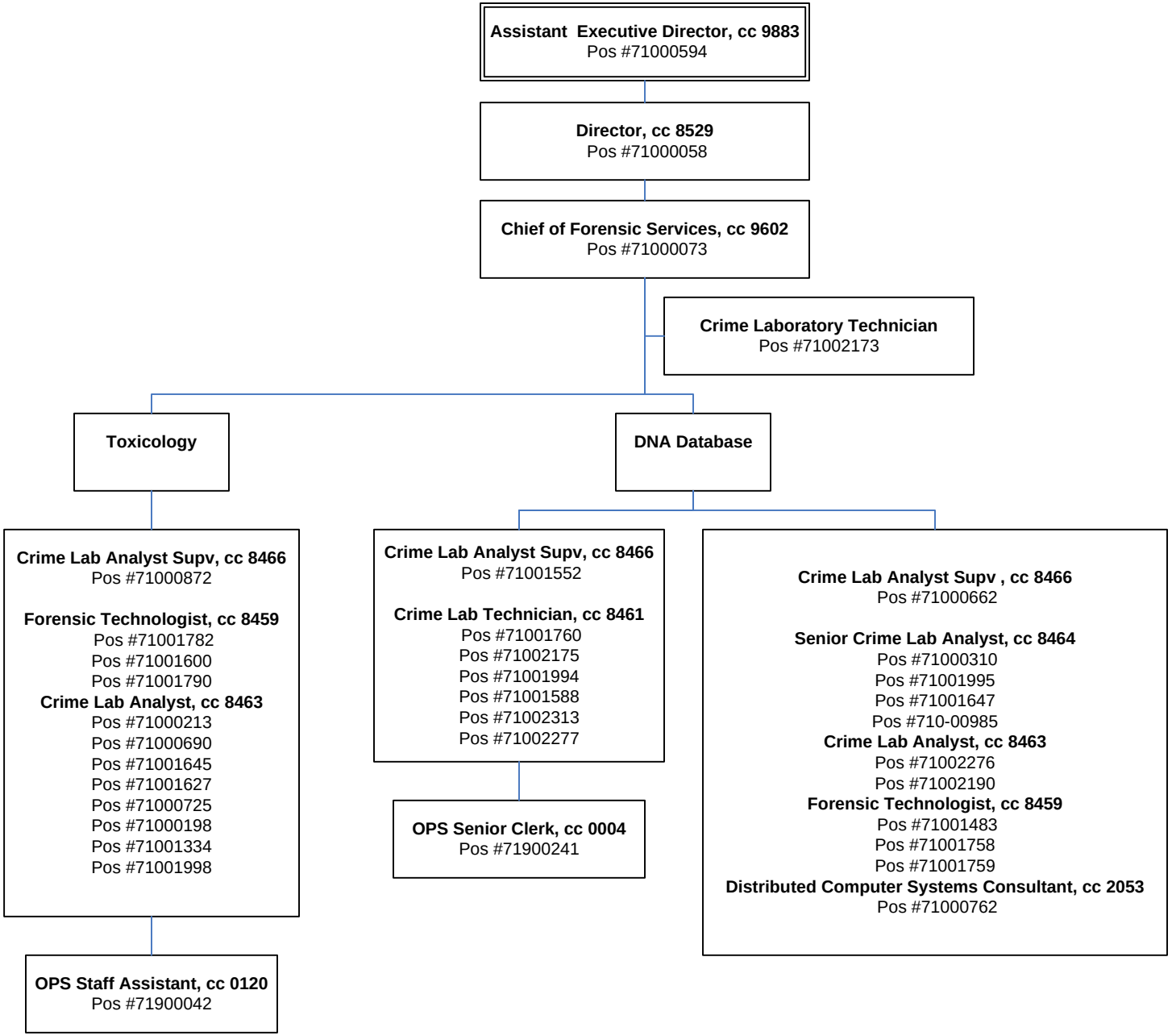
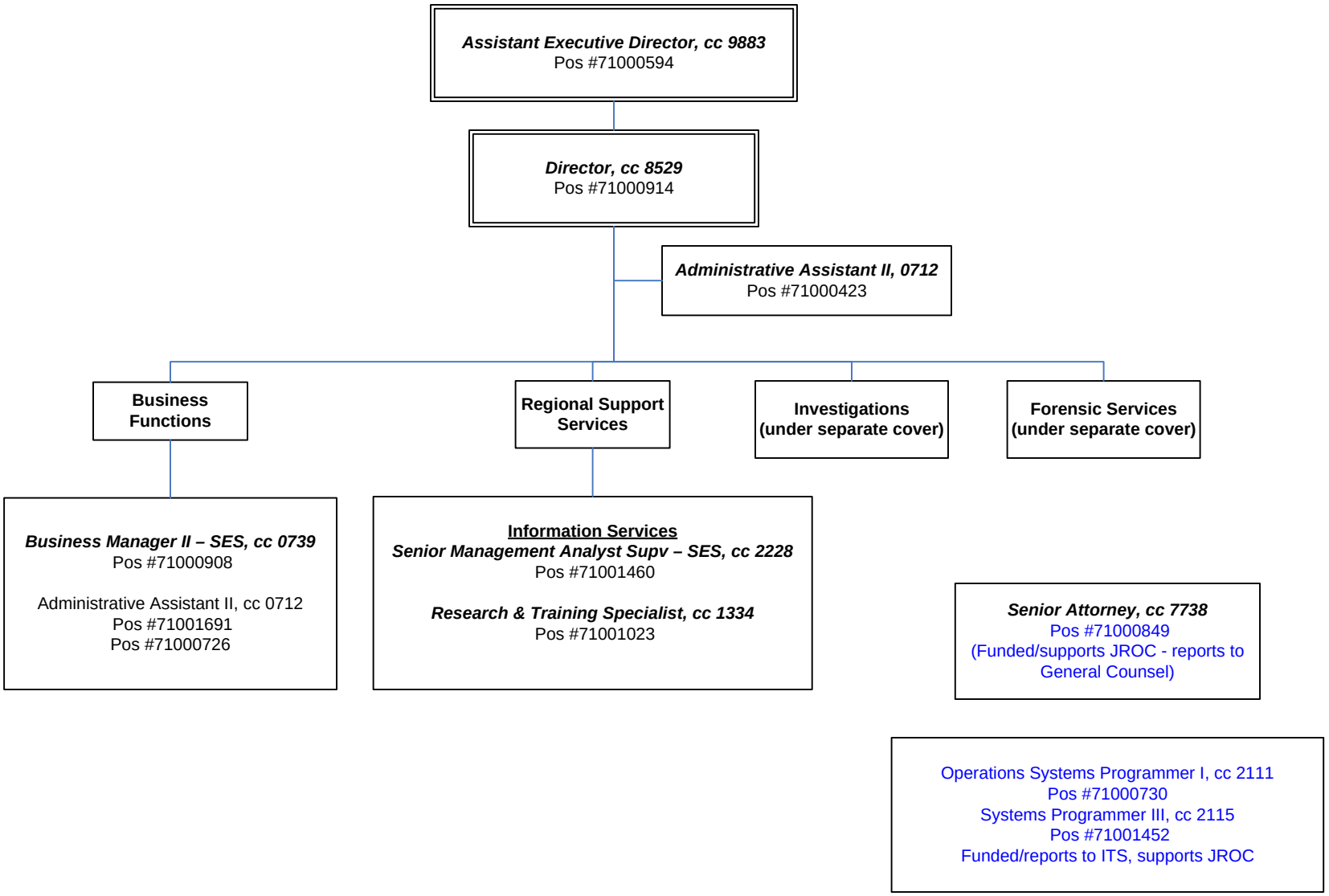
Florida Department of Law Enforcement

Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Forensic Services



9/14/2017

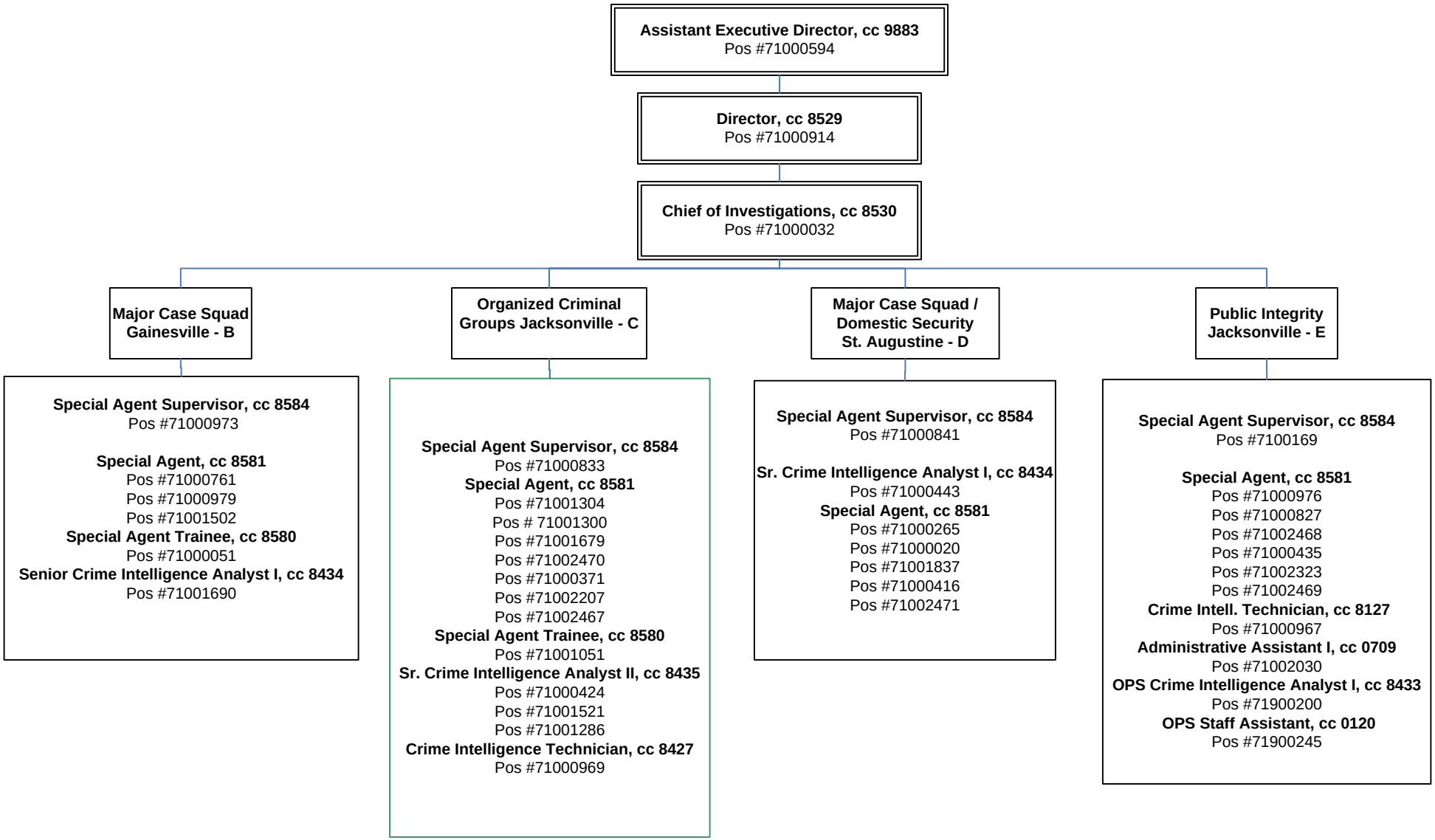
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Jacksonville Regional Operations Center



9/14/2017

Florida Department of law Enforcement

Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Investigations



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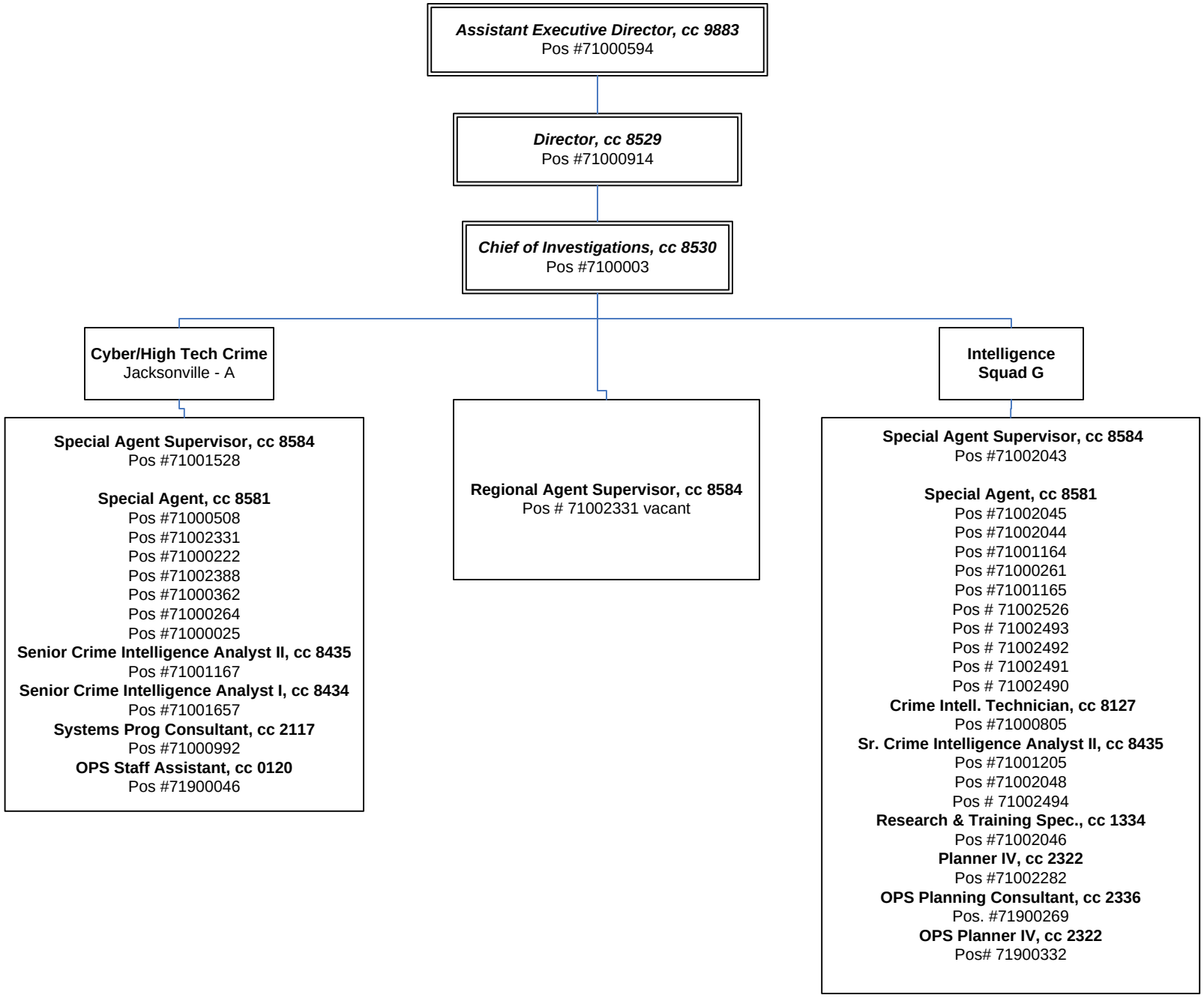
Florida Department of law Enforcement
Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Investigations



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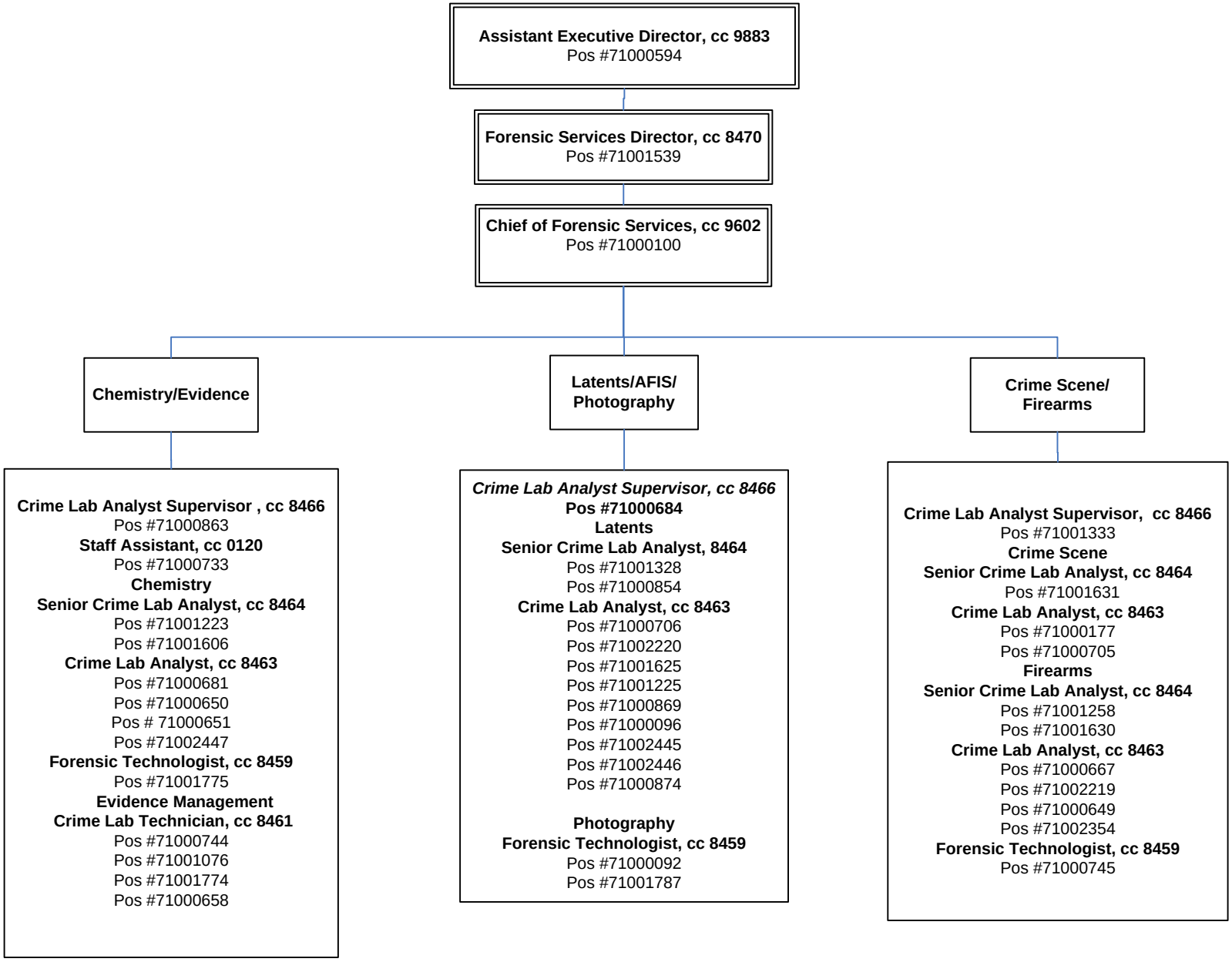
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Forensic Services



9/14/2017

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

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000100

Biology

Crime Lab Analyst Supervisor , cc 8466
Pos #71000714

Senior Crime Lab Analyst, cc 8464
Pos #71001766
Pos #71002165
Pos #71000682
Pos #71001632
Crime Lab Analyst, cc 8463
Pos #71001634
Pos #71001776
Pos #71002221
Pos #71000707
Pos # 71002510
Forensic Technologist, cc 8459
Pos #71002166
Pos #71001593
OPS Forensic Technologist, cc 8459
Pos #71900268
Crime Lab Technician, cc 8462
Pos #71002164

Biology

Crime Lab Analyst Supervisor, cc 8466
Pos #71001261

Senior Crime Lab Analyst, cc 8464
Pos #71001074
Crime Lab Analyst, cc 8463
Pos #71001633
Pos #71000659
Pos #71001999
Pos #71001073
Pos #71001765
Pos #71002355
Pos #71001581
Pos #71000739
Forensic Technologist, cc 8459
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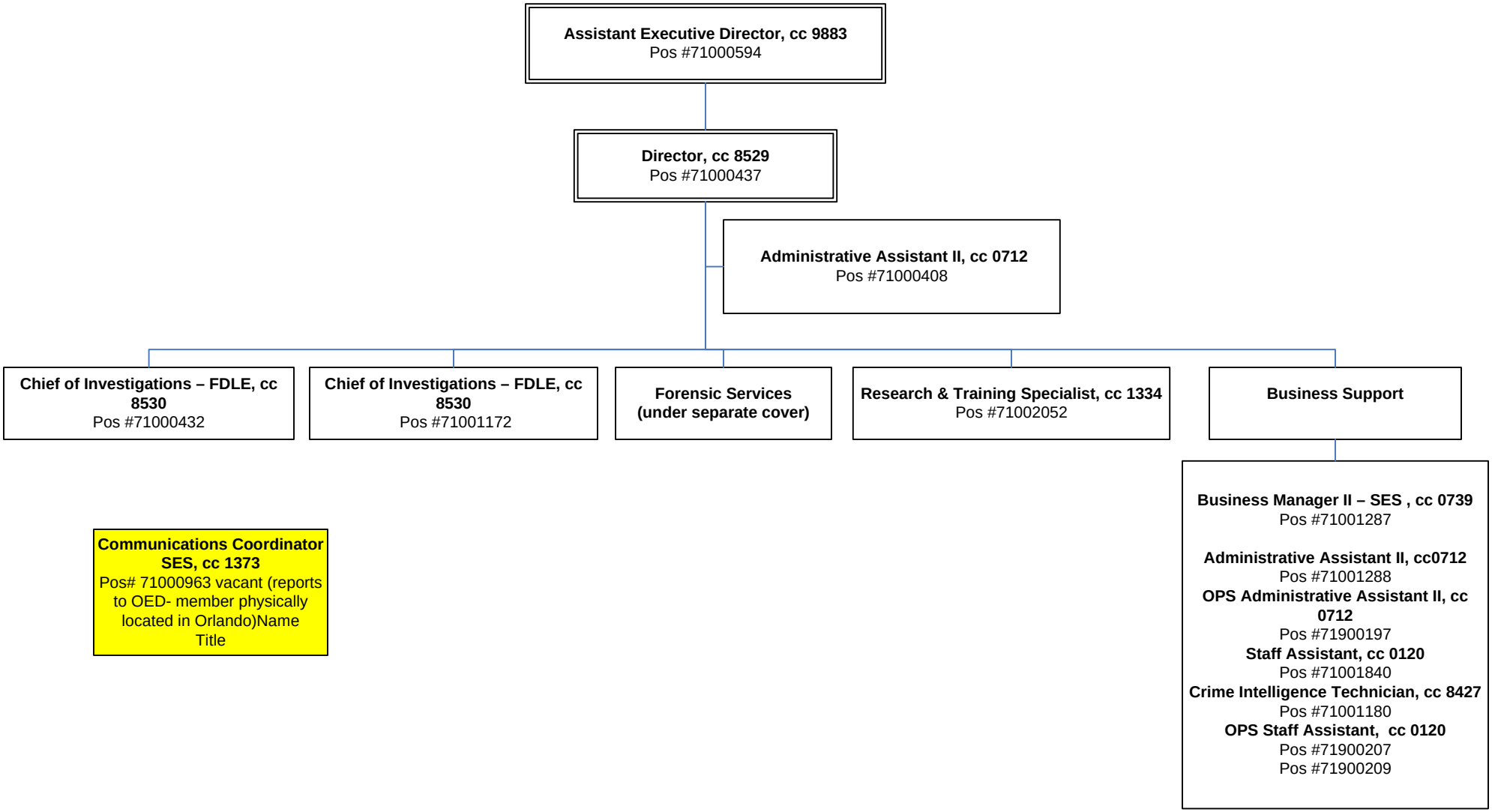
Pos #71001773
Pos #71001128

9/14/2017

Florida Department Of Law Enforcement

Investigations & Forensic Science Program
Orlando Regional Operations Center



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

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000437

Chief of Investigations – FDLE, cc 8530
Pos #71001172

Squad A
Domestic Security Intelligence

Special Agent Supervisor, cc 8584
Pos #71000336

Special Agent, cc 8581
Pos #71000519
Pos #71000621
Pos #71001832
Pos #71001833
Pos #71002051
Pos #71001505
Pos #71000221
Pos #71002497
Pos #71002498
Pos #71002499
Pos #71002500
{ps #71002501
Pos #71002502

Sr. Crime Intelligence Analyst II, cc 8435
Pos #71001285
Pos #7102503

Crime Intelligence Analyst I, cc 8433
Pos #71000524

Squad B
ESST

Special Agent Supervisor, cc 8584
Pos #71000055

Special Agent, cc 8581
Pos #71000472
Pos #71001823
Pos #71000816

Sr. Crime Intelligence Analyst I, cc 8434
Pos #71001313

Sr. Crime Intelligence Analyst II, cc 8435
Pos #71001838

Squad J
Cyber Crime Task Force

Special Agent Supervisor, cc 8584
Pos #71000227

Special Agent, cc 8581
Pos #71002325
Pos #71002380
Pos #71000313
Pos #71002334
Pos #71001059

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

Investigative Intelligence and Analytical Services

Sr. Crime Intelligence Analyst Supervisor-SES cc 8437
Pos #71000356

Sr. Crime Intelligence Analyst II, cc 8435
Pos #71002053
Pos #71000179

Sr. Crime Intelligence Analyst I, cc 8434
Pos #71002054
Pos #71001337

Crime Intelligence Analyst II, cc 8436
Pos #71001222
Pos #71001839

Crime Intelligence Analyst I, cc 8433
Pos #71000027
Pos #71000989

Systems Programmer I, cc 2111
Pos #71000233

Systems Programmer III, cc 2115
Pos #71000295
Funded/reports to IRM - supports OROC

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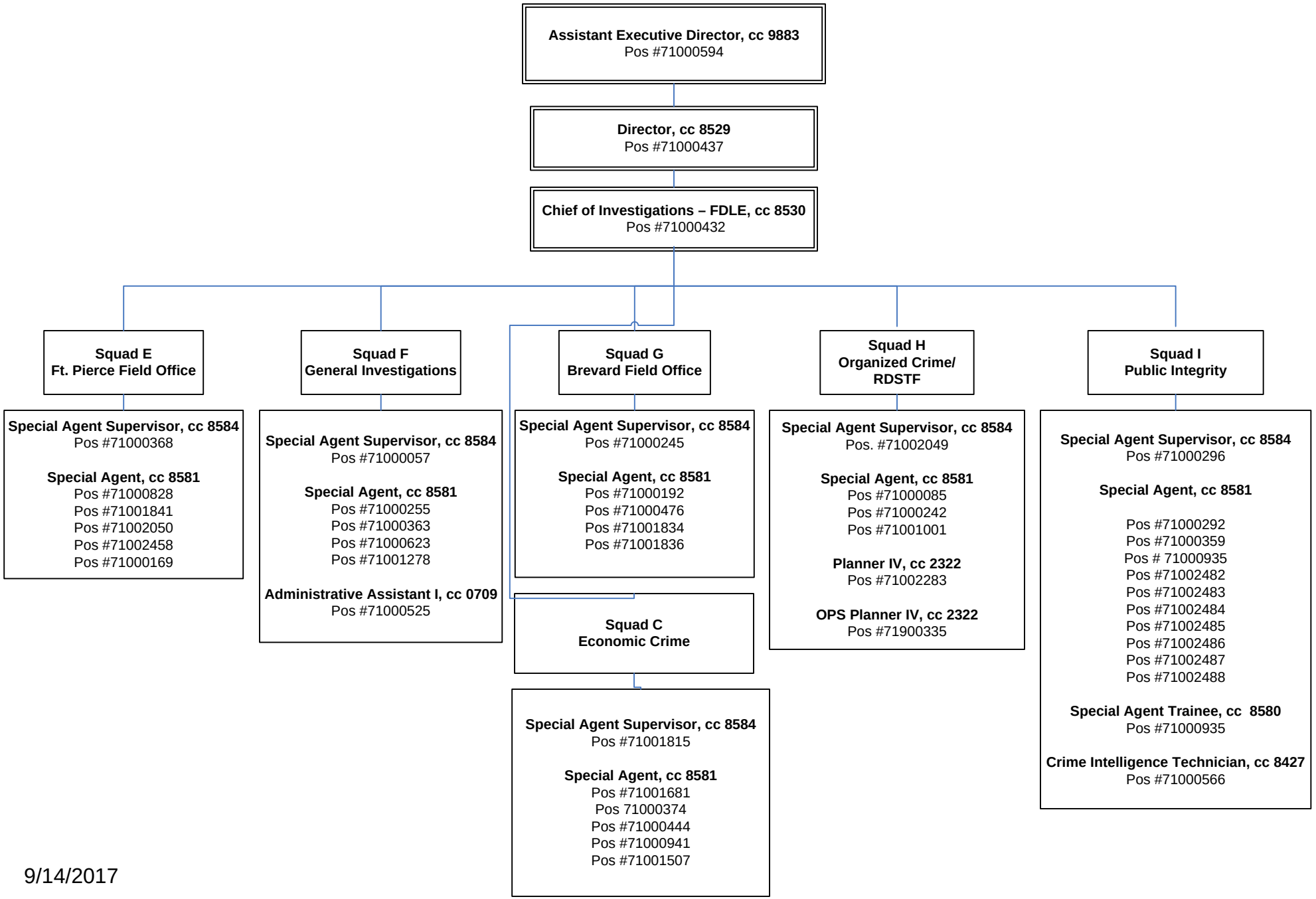
Florida Department of Law Enforcement

Investigations & Forensic Science Program
Orlando Regional Operations Center
Investigations - Page 2 of 2



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Florida Department of Law Enforcement

Investigations & Forensic Science Program
Orlando Regional Operations Center
Forensic Services - Page 1 of 2

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000709

Chemistry

Chemistry
Crime Lab Analyst Supv, cc 8466
Pos #71001078

Senior Crime Lab Analyst, cc 8464
Pos #71001260
Pos #71001363
Pos #71001623

Crime Lab Analyst, cc 8463
Pos #71001360
Pos #71001624
Pos #71000694
Pos #71002211
Pos #71000686
Pos #71001473
Pos #71002444

Forensic Technologist, cc 8459
Pos #71000074

Trace Evidence

Crime Lab Analyst Supv, cc 8466
Pos #71000740

Senior Crime Lab Analyst, cc 8464
Pos #71001083
Pos #71001472
Pos #71001085

Crime Lab Analyst, cc 8463
Pos #71001574
Pos #71000654
Pos #71001230
Pos #71000737

Forensic Technologist cc 8459
Pos #71000665
Pos #71001551
Pos #71002596

Evidence

Crime Lab Analyst Supv, cc 8466
Pos #71000641

Crime Lab Technician, cc 8461
Pos #71001324
Pos #71000685
Pos #71000373
Pos #71001063
Pos #71002168

OPS Clerk Specialist, cc 0003
Pos #71900120

OPS Staff Assistant, cc 0120
Pos #71900291

Firearms

Crime Lab Analyst Supv, cc 8466
Pos #71000721

Senior Crime Lab Analyst, cc 8464
Pos #71001620
Pos #71001474
Pos #71000679

Crime Lab Analyst, cc 8463
Pos #71001597
Pos #71002213
Pos #71001621
Pos #71001364
Pos #71000644
Pos #71000727
Pos #71001549

Forensic Technologist, cc 8459
Pos #71002010
Pos #71001279
Pos #71001779
Pos #71002169

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

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000709

Biology / DNA

Crime Lab Analyst Supv, cc 8466
Pos #71001084

Senior Crime Lab Analyst, cc 8464
Pos. #71000859
Pos #71001767

Crime Lab Analyst, cc 8463
Pos #71000088
Pos #71001126
Pos #71001336
Pos #71002217
Pos #71002214
Pos #71000648

Forensic Technologist, cc 8459
Pos #71002170
Pos #71001548
Pos #71001777

Crime Lab Analyst, cc 8463
Pos #71000636 on loan to TBROC

Crime Lab Analyst Supv, cc 8466
Pos #71000752

Senior Crime Lab Analyst, cc 8464
Pos #71001619
Pos #71001646
Pos #71001768

Crime Lab Analyst, cc 8463
Pos #71002218
Pos #71001081
Pos #71001770
Pos #71002345
Pos #71002216
Pos #71002170

Forensic Technologist, cc 8459
Pos #71002171
Pos #71001481

OPS Forensic Technologist, cc 8459
Pos #71900274

Crime Lab Analyst Supv, cc 8466
Pos #71002172

Senior Crime Lab Analyst, cc 8464
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Pos #71000711

Crime Lab Analyst, cc 8463
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Pos #71001626
Pos #71001769
Pos #71000732

Forensic Technologist cc 8459
Pos #71000104
Pos #71001598
Pos #71001580

Crime Lab Technician, cc 8461
Pos #71000731

Forensic Technologist cc 8459
Pos #71001544 on loan to JROC

Toxicology

Crime Lab Analyst Supv, cc 8466
Pos #71000655

Senior Crime Lab Analyst, cc 8464
Pos #71000646
Pos #71000866
Pos #71001329

Crime Lab Analyst, cc 8463
Pos #71000691
Pos #71001365
Pos #71001213
Pos #71001082
Pos #71002212
Pos #71001617
Pos #71000779

Forensic Technologist, cc 8459
Pos #71001322
Pos #71001369
Pos #71001591

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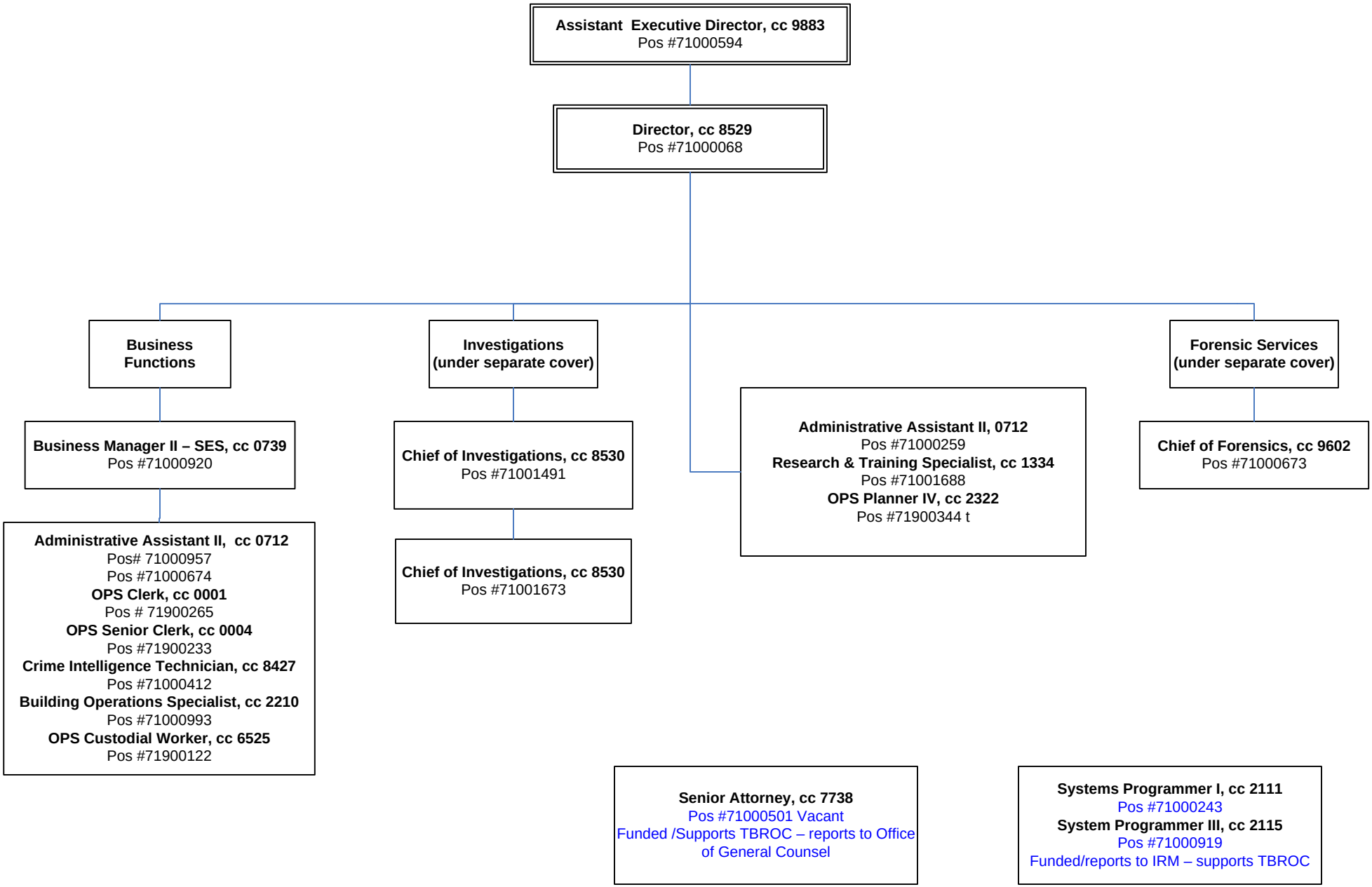
Florida Department of Law Enforcement

Investigations & Forensic Science Program
Tampa Regional Operations Center



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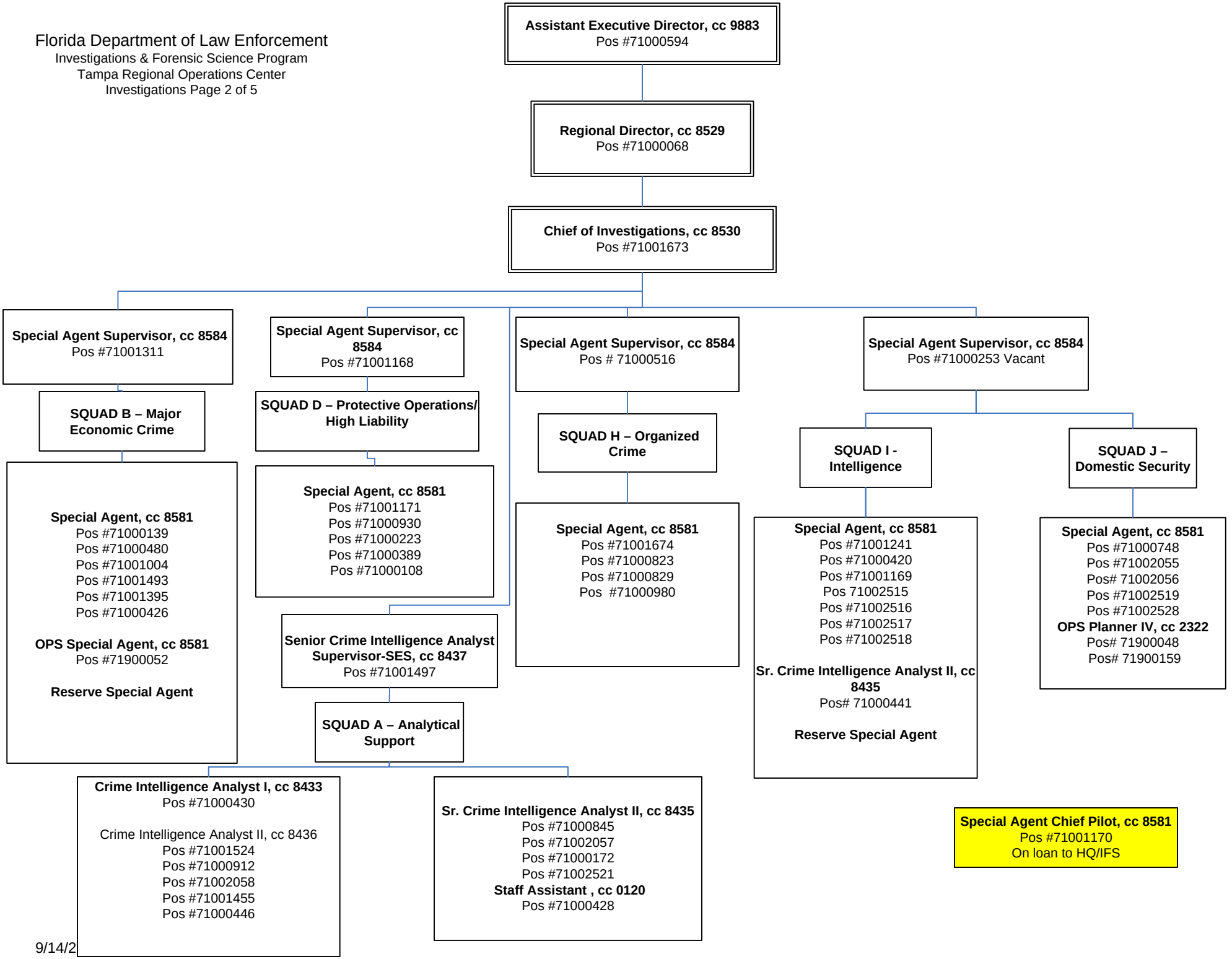
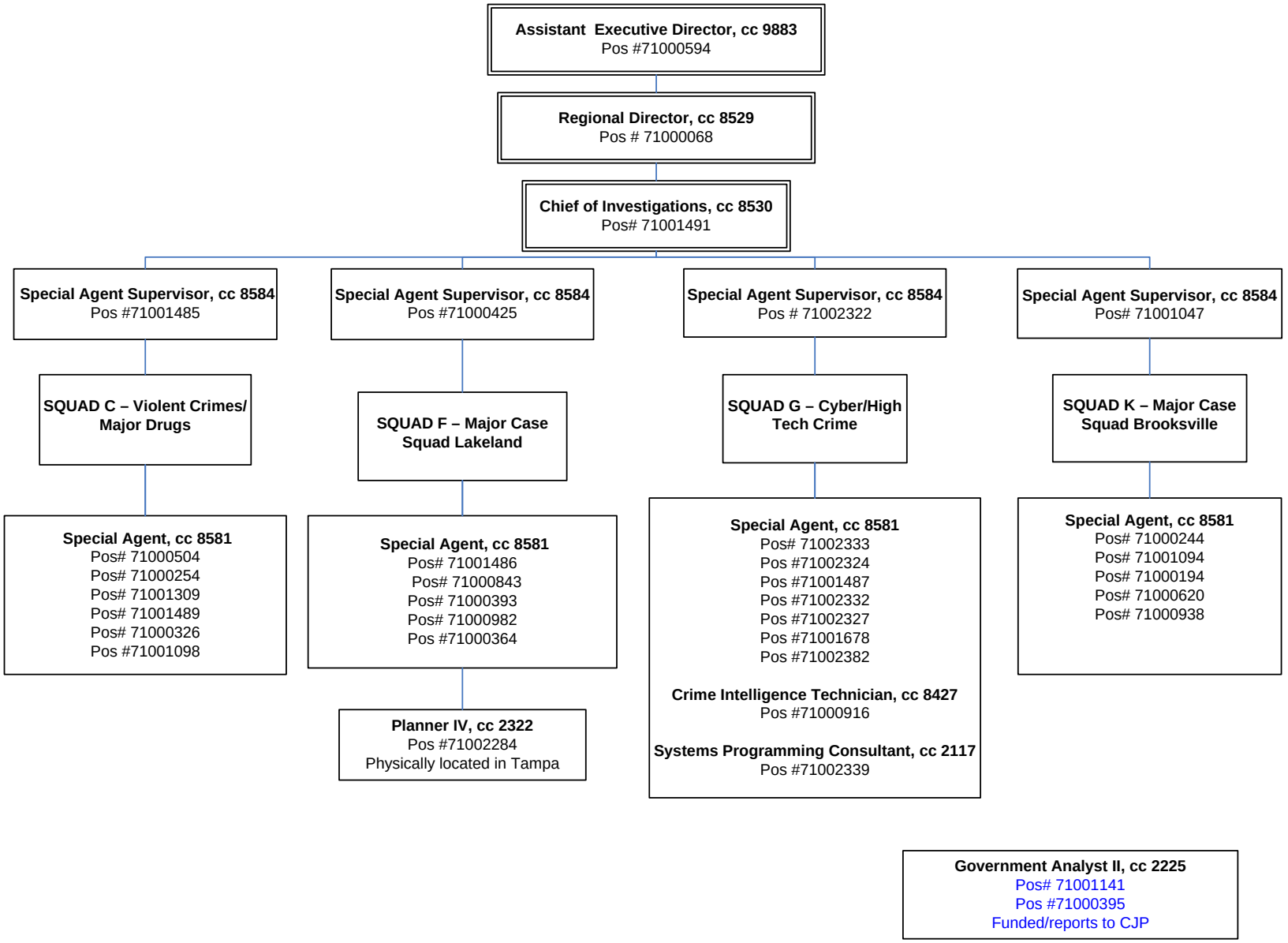
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tampa Regional Operations Center



Florida Department of Law Enforcement

Investigations & Forensic Science Program

Tampa Regional Operations Center



Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tampa Regional Operations Center
Forensic Services Page 4 of 5

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000673

Firearms

Crime Lab Analyst Supv , cc 8466
Pos #71001228

Senior Crime Lab Analyst, cc 8464
Pos #71000080
Pos #71001477
Pos #71000865

Crime Lab Analyst, cc 8463
Pos #71001338
Pos #71001541
Pos #71001607
Pos #71000018
Pos #71000210
Pos #71001608
Pos #71001643
Pos #71001540
Pos #71001480
Pos #71002156

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

Latent Prints/ Impression Evidence

Crime Lab Analyst Supv, cc 8466
Pos #71000645

Senior Crime Lab Analyst, cc 8464
Pos #71000078
Pos #71000161
Pos #71000154
Pos #71001327

Crime Lab Analyst, cc 8463
Pos #71001613
Pos #71002226
Pos #71001127
Pos #71001125
Pos #71000657
Pos #71000719
Pos #71002448

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

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

Crime Lab Analyst, cc 8463
Pos #71001257

Chemistry/Trace

Crime Lab Analyst Supv, cc 8466
Pos #71000743

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

Crime Lab Analyst, cc 8463
Pos #71000652
Pos #71001361
Pos #71002449
Pos #71000724
Pos #71001326
Pos #71000713

Forensic Technologist, cc 8459
Pos #71001602

Trace
Senior Crime Lab Analyst, cc 8464
Pos #71001642

Digital Evidence/ Evidence Management

Crime Lab Analyst Supv, cc 8466
Pos #71000862

Digital Evidence
Staff Assistant, cc 0120
Pos #71001484
Pos #71001819

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

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

OPS Crime Lab Analyst, cc 8464
Pos #71900264

Crime Lab Analyst, cc 8463
Pos #71002009
On loan to TROC

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Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tampa Regional Operations Center
Forensic Services Page 5 0f 5

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000673

BIOLOGY

Crime Lab Analyst Supervisor, cc 8466
Pos #71002154

Senior Crime Lab Analyst, cc 8464
Pos #71001644
Pos #71000742
Pos #71001636
Pos #71002228

Crime Lab Analyst, cc 8463
Pos #71001476
Pos #71002000
Pos #71002227
Pos #71002229
Pos 71002160
Pos #71002522

Forensic Technologist, cc 8459
Pos #71000668
Pos #71001068
Pos #71002158

Crime Lab Analyst Supervisor, cc 8466
Pos #71001259
On loan to IFS/Forensic Services/Quality Assurance
OPS Administrative Assistant II, cc 0712
Pos #71900254

Crime Lab Analyst Supervisor, cc 8466
Pos #71001479

Senior Crime Lab Analyst, cc 8464
Pos #71001475
Pos #71002230

Crime Lab Analyst, cc 8463
Pos #71000672
Pos #71000856
Pos #71001366
Pos #71001542
Pos #71001637
Pos #71001639
Pos #71002348
Pos #71002523

Forensic Technologist, cc 8459
Pos #71002155

Crime Lab Analyst, cc 8463
Pos #71000636
On loan from OROC

Crime Lab Analyst Supervisor, cc 8466
Pos #71001220

Senior Crime Lab Analyst, cc 8464
Pos #71001629
Pos #71001785
Pos #71002001

Crime Lab Analyst, cc 8463
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Pos #71002225
Pos #71001604
Pos #71002524

Forensic Technologist, cc 8459
Pos #71001086
Pos #71002159
Pos #71002157

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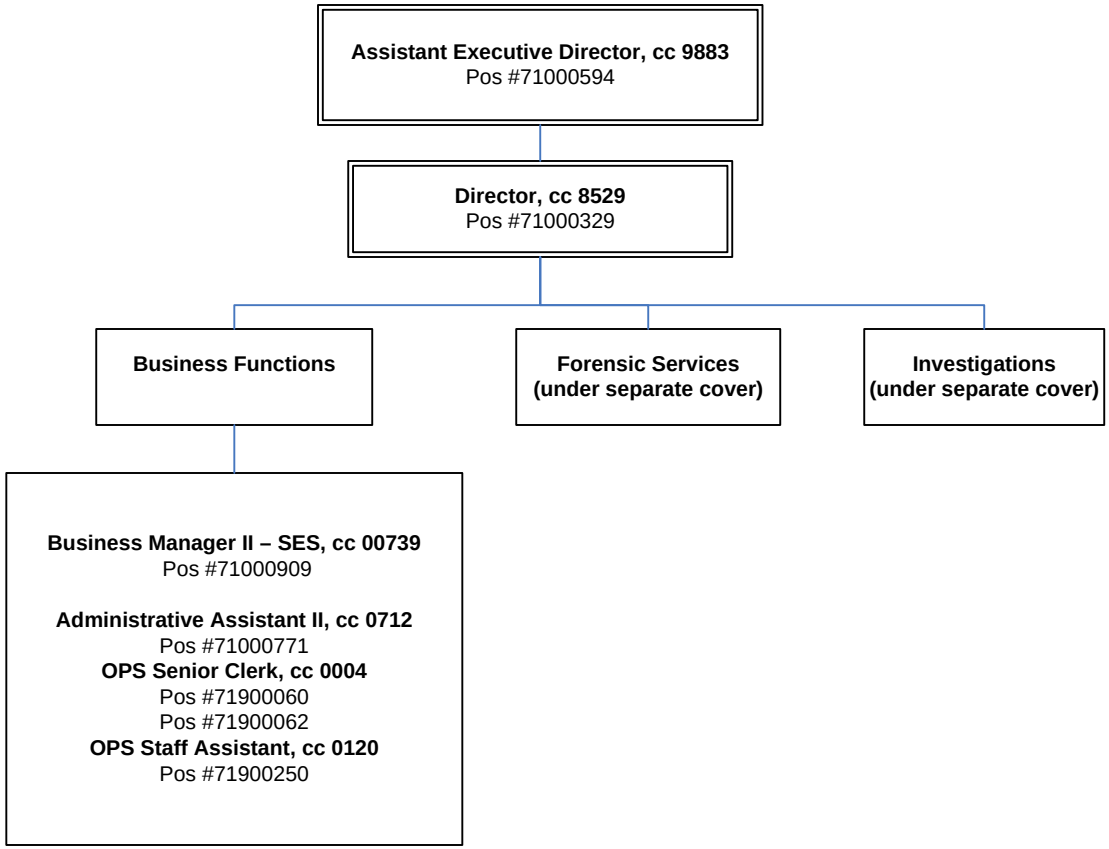
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Ft. Myers Regional Operations Center



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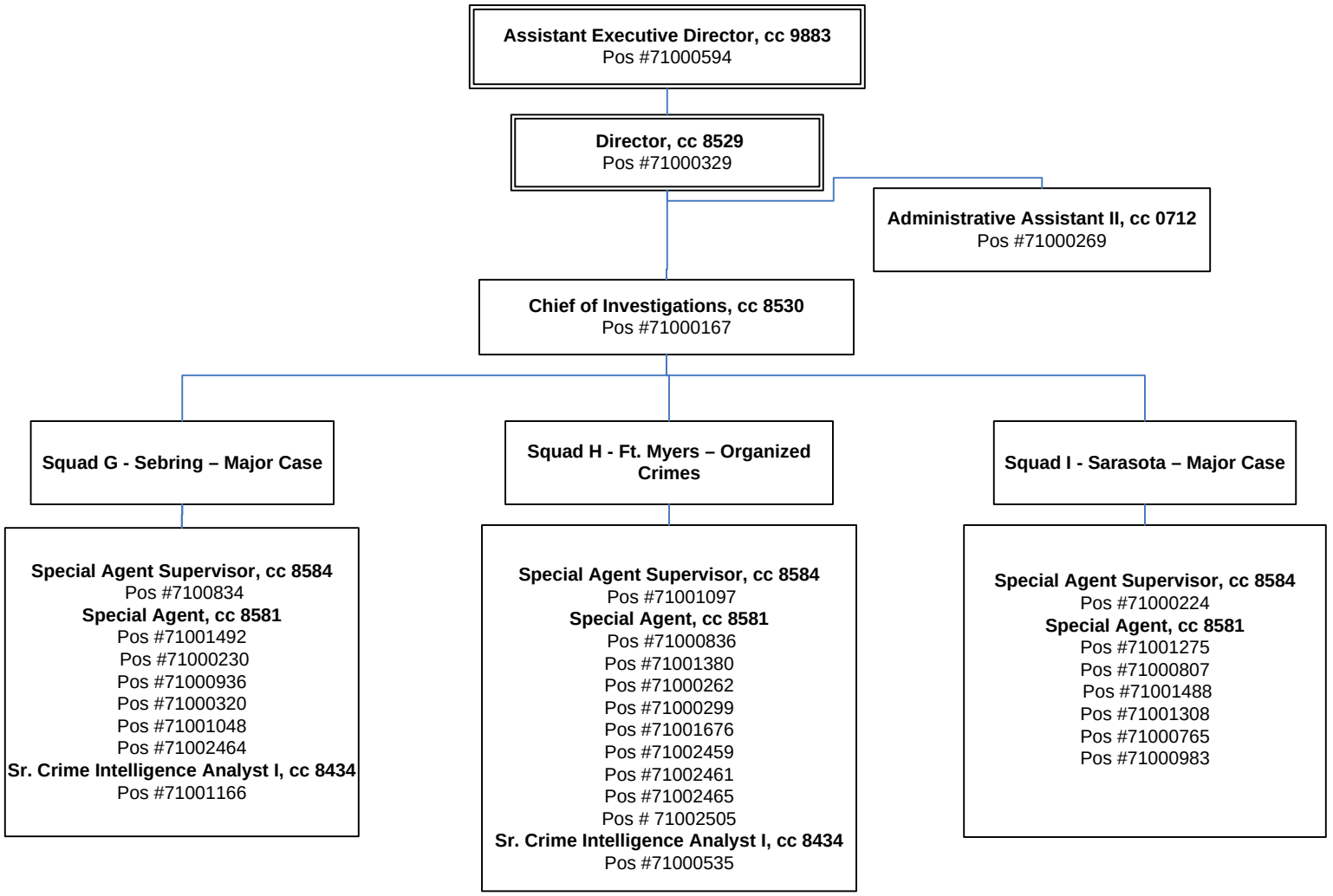
Florida Department of Law Enforcement

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



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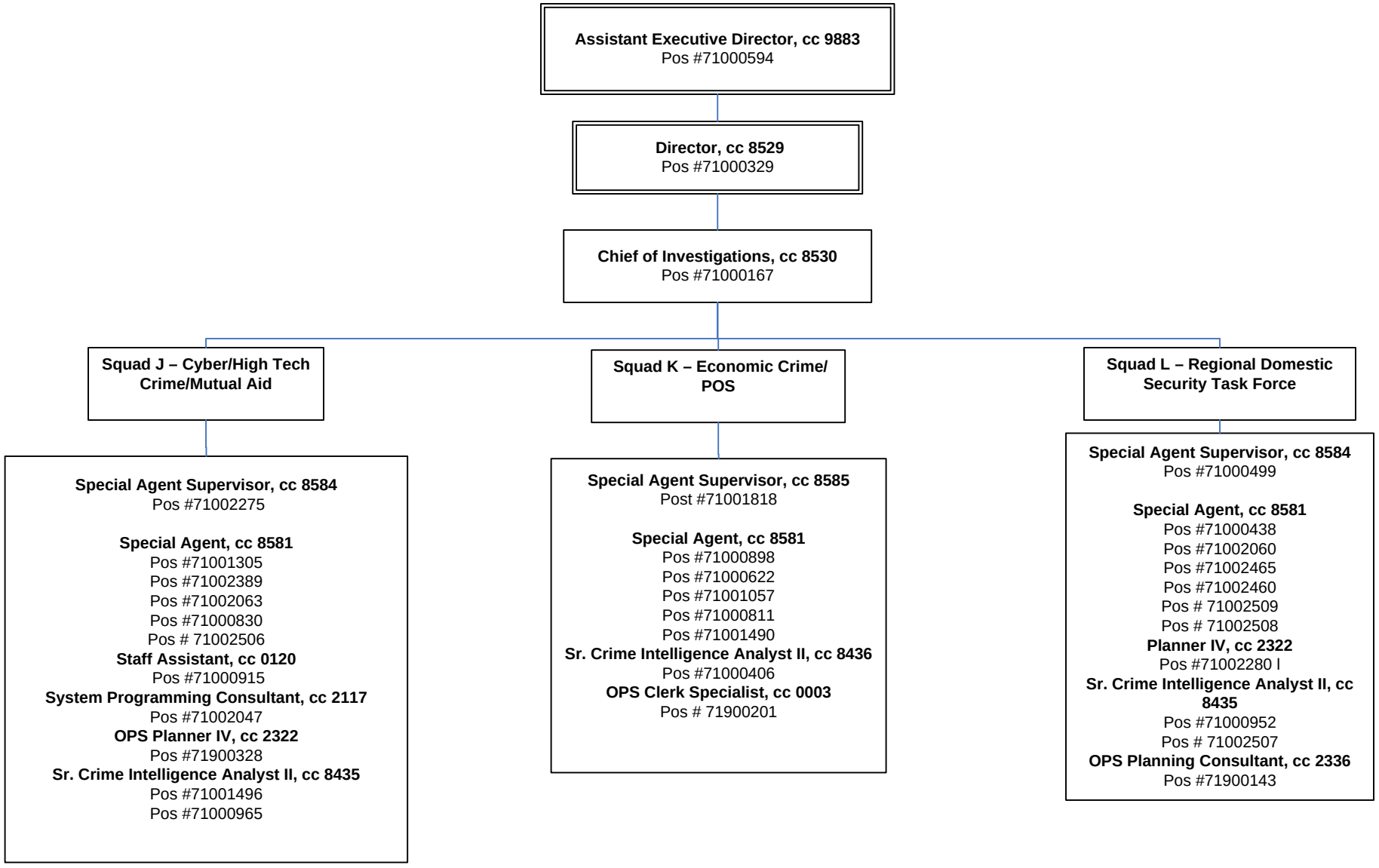
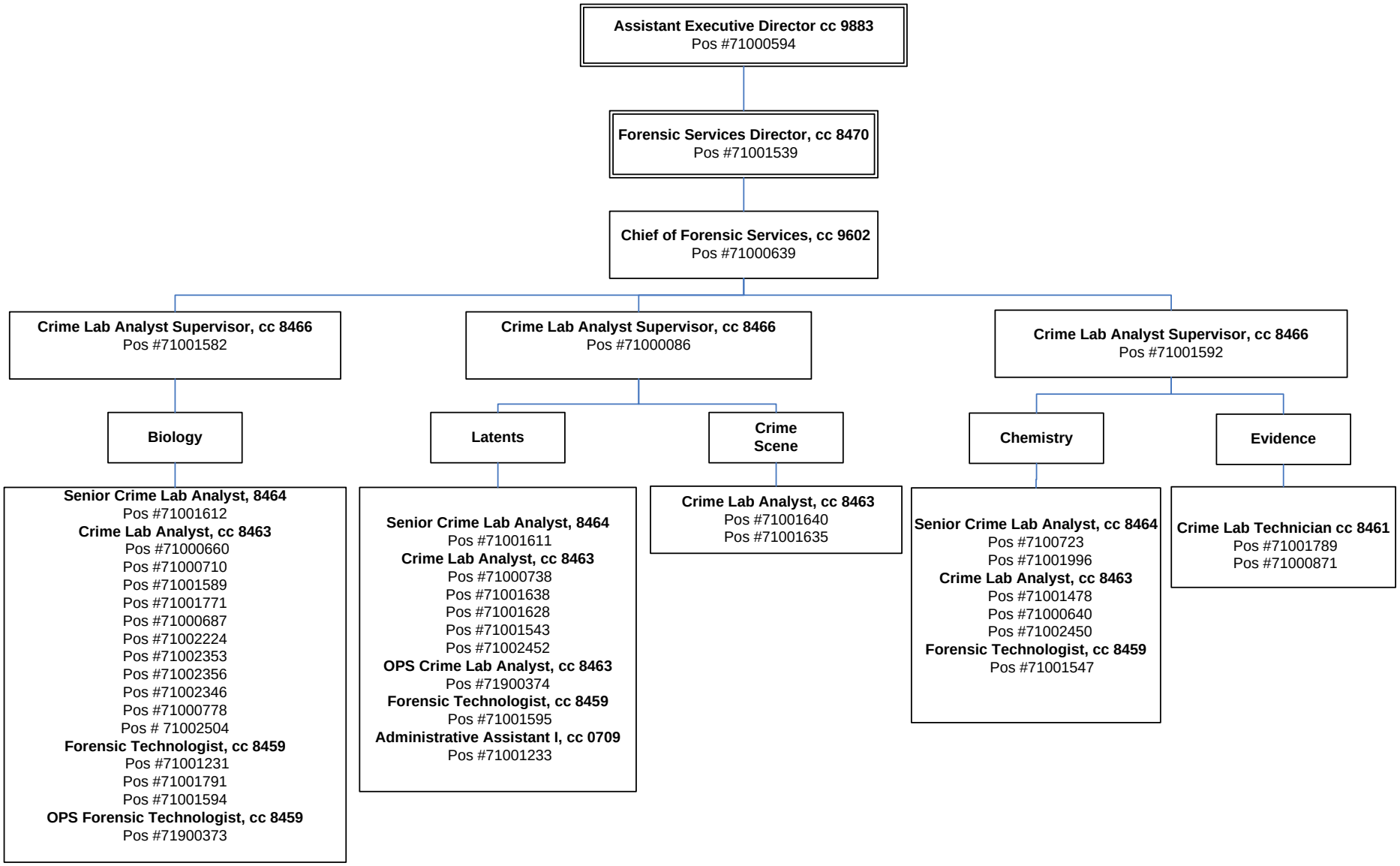
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Ft. Myers Regional Operations Center
Investigations



9/14/2017

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



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Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director – FDLE, cc 8529
Pos #71000024

Administrative Assistant II, 0712
Pos #71001314

Information Services IT & Training

Research and Training Specialist, cc 1334
Pos # 71001408
Administrative Assistant II, cc 0712
Pos # 71000239
OPS Staff Assistant, cc0120
Pos #71900336

Chief of Investigations – FDLE, cc 8530
Pos #71001006

Chief of Investigations, cc 8530
Pos #71000962

Business Manager II – SES, cc 0739
Pos #71000241

Business Office

Administrative Assistant II, cc 0712
Pos # 71000159
Crime Intelligence Technician, cc 8427
Pos #71000433
OPS Staff Assistant, cc 0120
Pos #71900031
OPS Sr. Clerk, cc 0004
Pos #71900034
OPS Clerk Specialist, cc 0003
Pos #71900036

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

Sr. Management Analyst Supervisor – SES, cc 2228
Pos #71000317
Research & Training Specialist, cc 1334
Pos #710002064
(Funded from IFS Program Director's Office – reports to CJIS – members physically located in MROC)
Government Analyst II, cc 2225
Pos #71000632
(Member physically located in FMROC)

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

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Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director – FDLE, cc 8529
Pos #71000024

Chief of Investigations – FDLE, cc 8530
Pos #71001006

Special Agent Supervisor, cc 8584
Pos #71000035

Domestic Security/ Intelligence Squad A

Senior Crime Intelligence Analyst II, cc 8435
Pos #71002544
Senior Crime Intelligence Analyst I, cc 8434
Pos #71000523
Crime Intelligence Analyst II, cc 8436
Pos #71000138
Planner IV, cc 2322
Pos #71002281
Special Agent, cc 8581
Pos #71001826
Pos #71001182
Intelligence
Special Agent, cc 8581
Pos #71001393
Pos #71000939
Pos #71000398
Pos #71002335
Pos #71002541
Pos #71002542
Pos #71002543

Senior Crime Intelligence Analyst Supervisor-SES, cc 8437
Pos #71000844

Intelligence Center Squad C

Senior Crime Intelligence Analyst II, cc 8435
Pos #71001820
Pos #71002243
Senior Crime Intelligence Analyst I, cc 8434
Pos #71000449
Crime Intelligence Analyst II, cc 8436
Pos #71000135
Pos #71002066
Crime Intelligence Analyst I, cc 8433
Pos #71001809

Special Agent Supervisor, cc 8584
Pos #71002540

Counter Terrorism Squad K

Special Agent, cc 8581
Pos #71002536
Pos #71002537
Pos #71002538
Pos #71002539
Special Agent Trainee, cc 8580
Pos #71002548

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Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director – FDLE, cc 8529
Pos #71000024

Chief of Investigations – FDLE, cc 8530
Pos #71001006

Special Agent Supervisor, cc 8584
Pos #71000618

Major Case
West Palm
Squad E

Special Agent, cc 8581
Pos #71001811
Pos #71001812
Pos #71000168
Pos #71001810
Pos #71001825
Crime Intelligence Analyst II, cc 8436
Pos #71000532
Staff Assistant, cc 0120
Pos #71000988

Special Agent Supervisor, cc 8584
Pos #71000972

Major Case
West Palm
Squad I

Special Agent, cc 8581
Pos # 71001677
Pos #71001526
Pos #71001101
Pos #71000370

Special Agent Supervisor, cc 8584
Pos #71000932

Major Case
Key West
Squad J

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

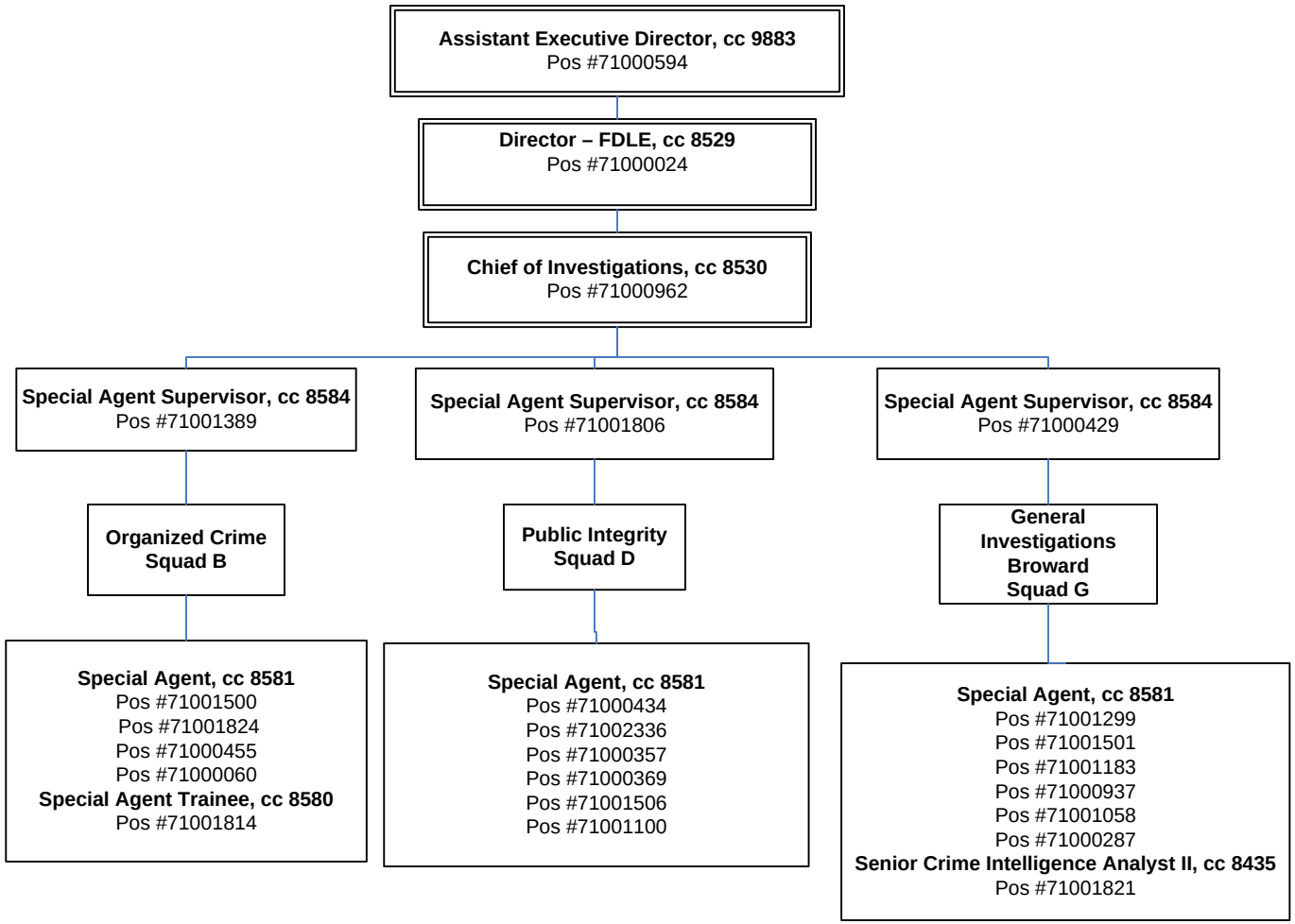
Special Agent Supervisor, cc 8584
Pos #71001306

Cyber/High Tech Crime
Broward (Plantation)
Squad S

Special Agent, cc 8581
Pos #71002330
Pos #71000225
Pos #71002383
Pos #71002328
Special Agent Trainee, cc 8580
Pos #71002326
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71002340
Systems Programming Consultant, cc 2117
Pos #71002065

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations



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

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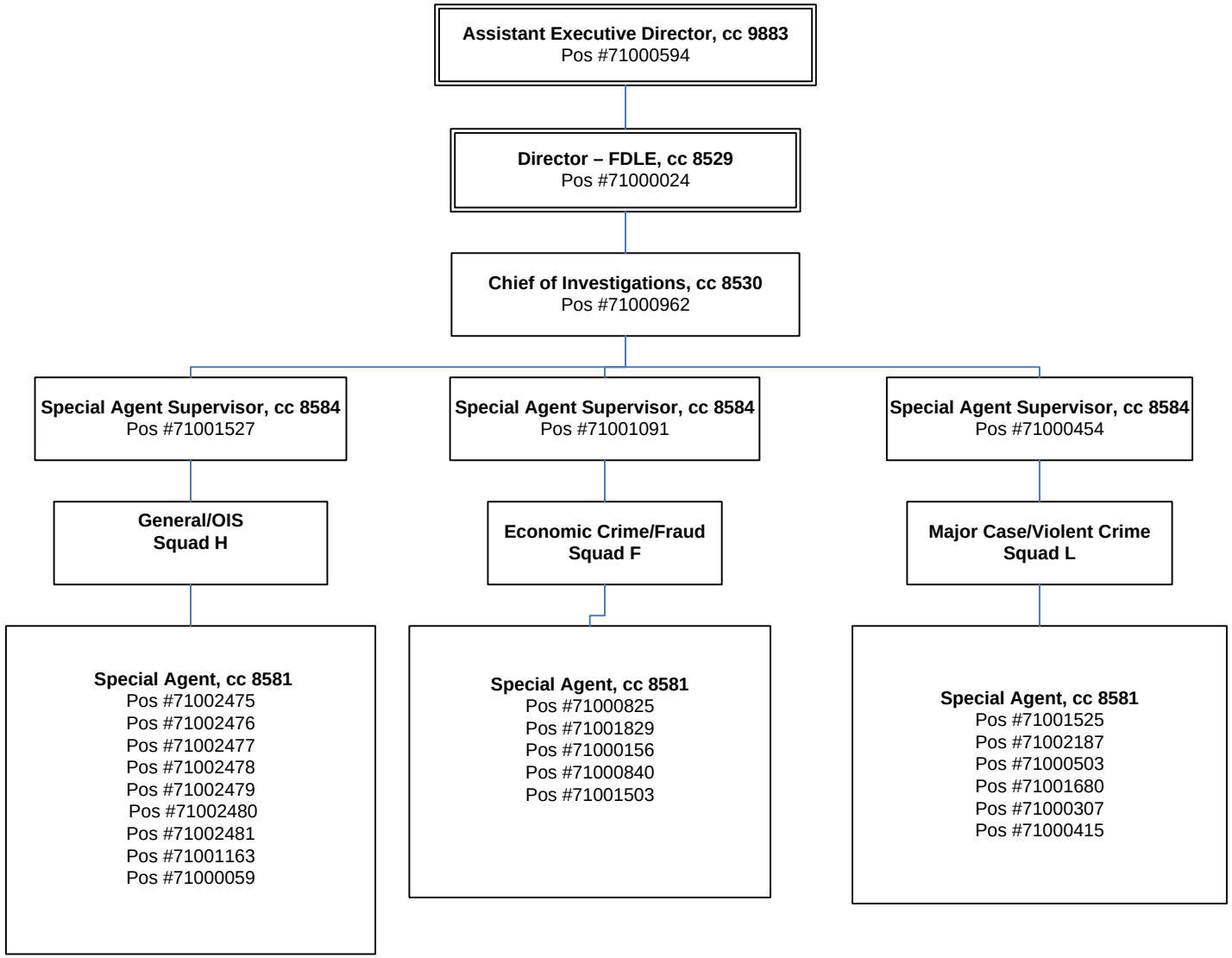
Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations



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

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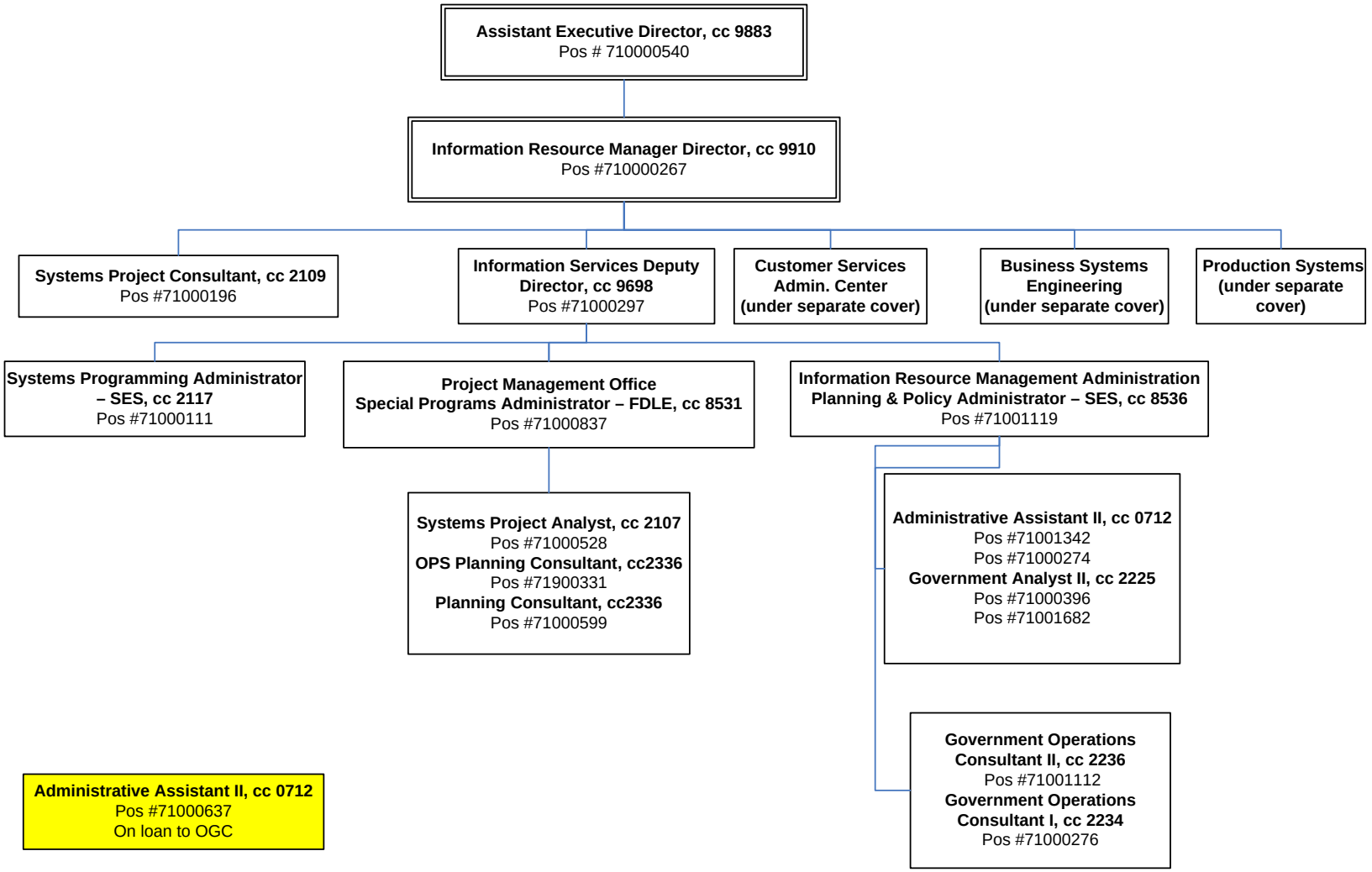
Florida Department of Law Enforcement
Information Technology Services



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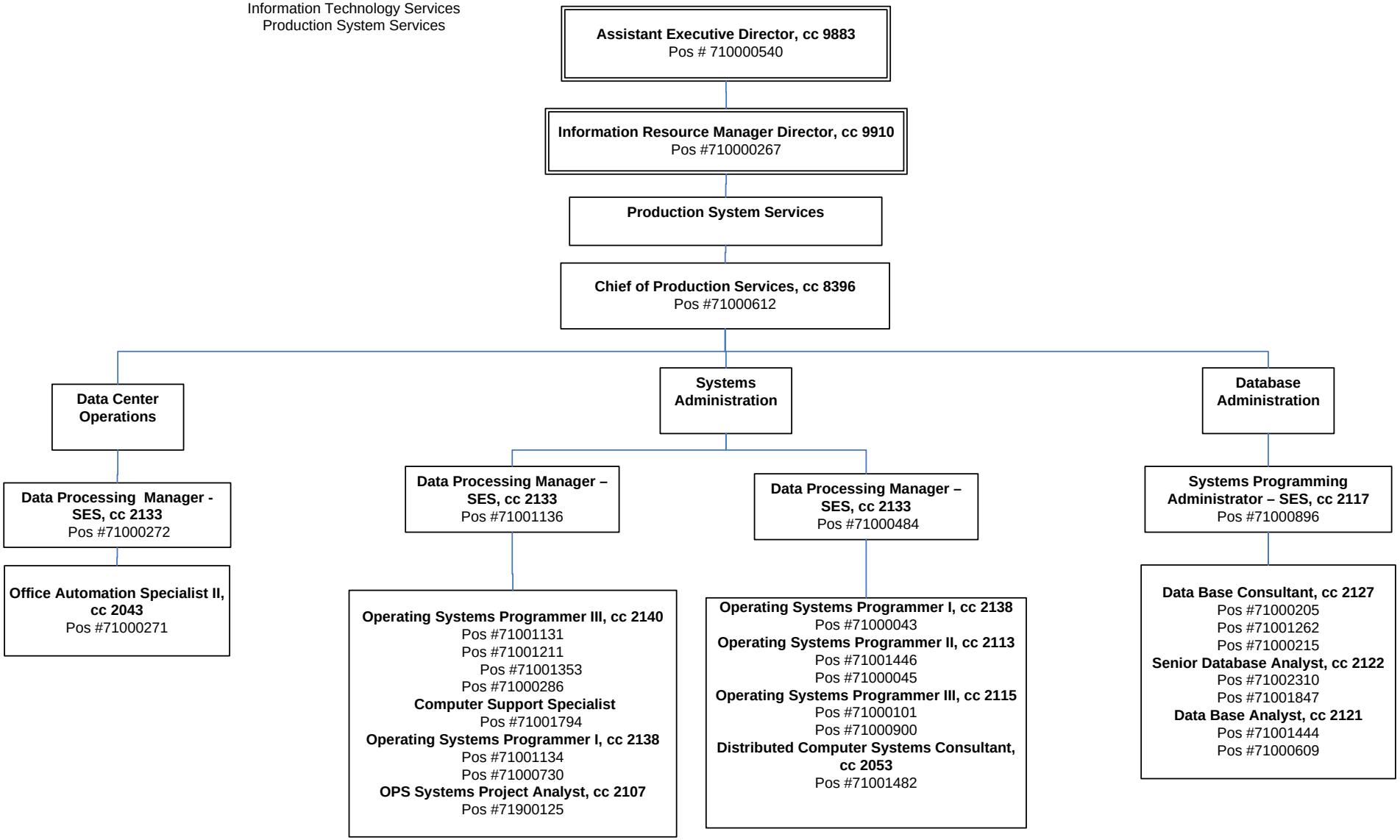
Florida Department of Law Enforcement
Information Technology Services
Production System Services



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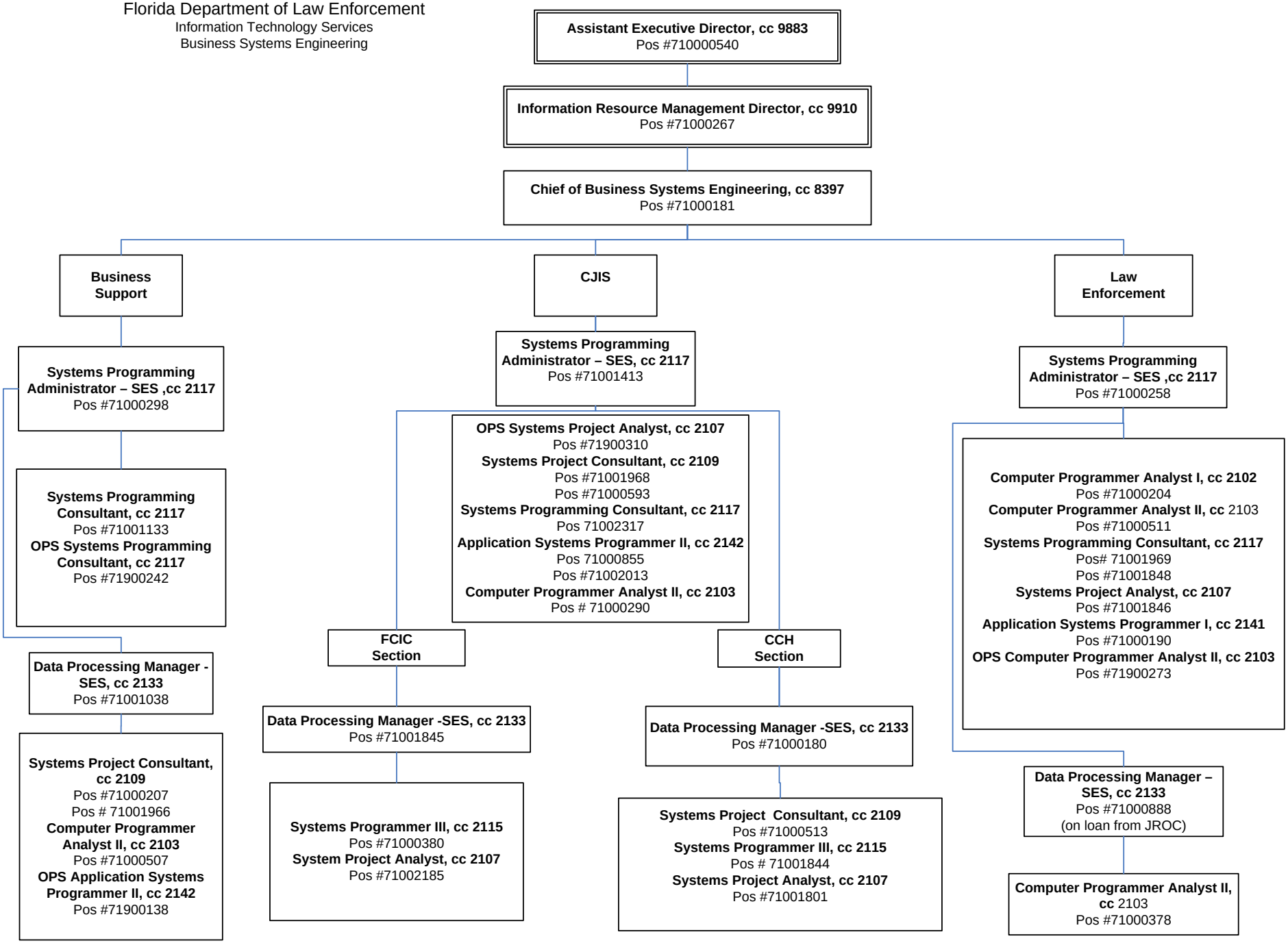
Florida Department of Law Enforcement
Information Technology Services
Business Systems Engineering



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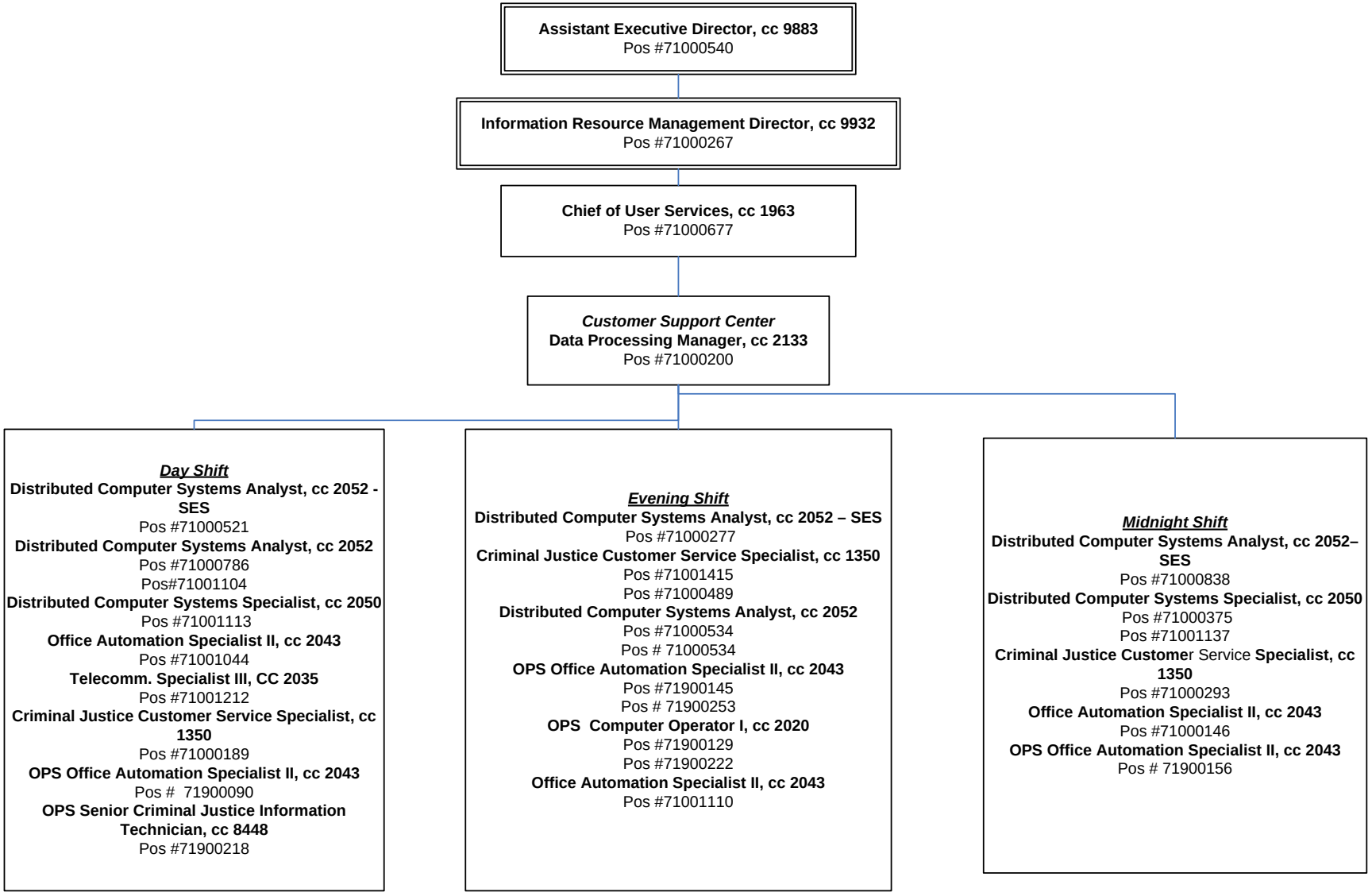
Florida Department of Law Enforcement
Information Technology Services
Customer Service Administration Center
1 of 2



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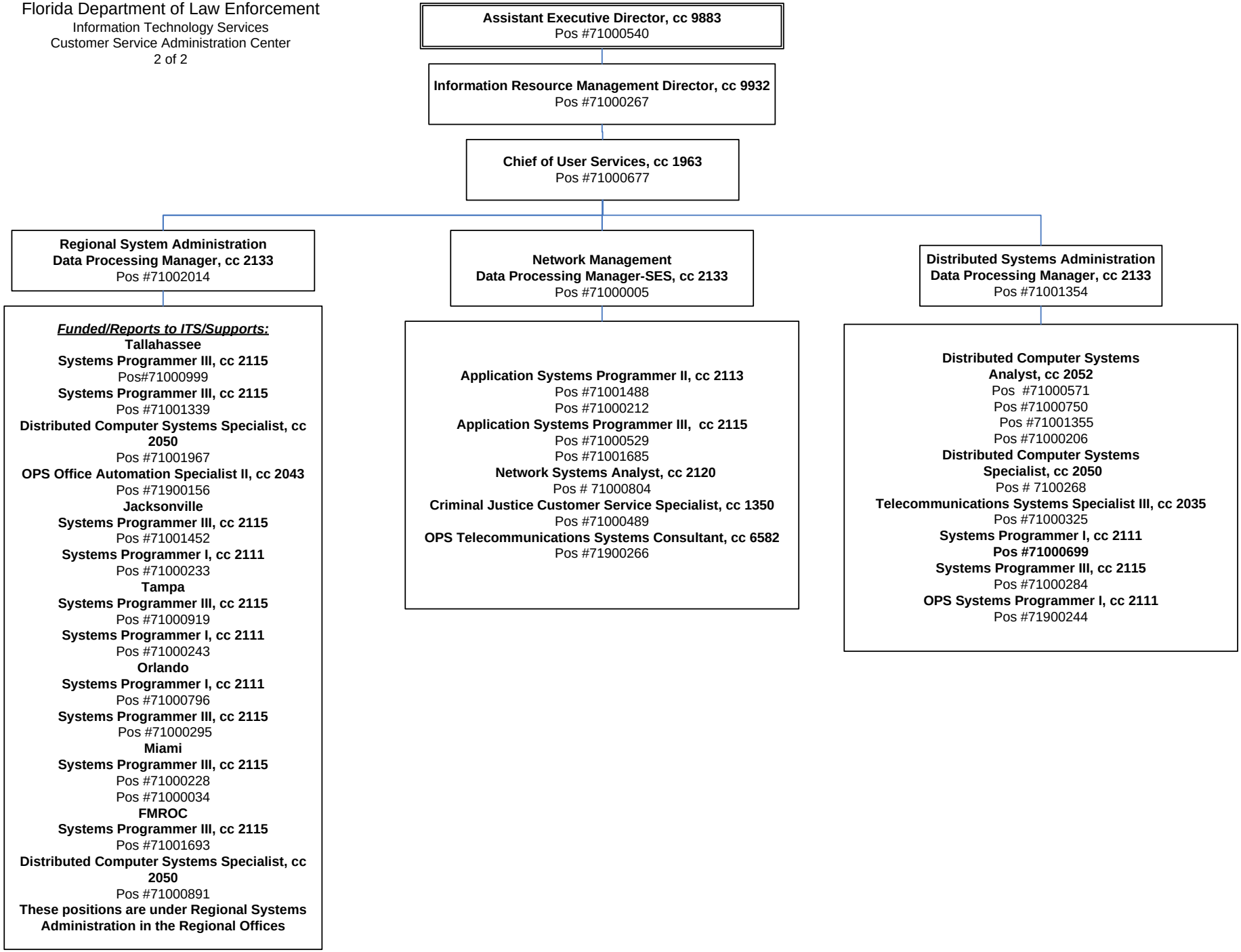
Florida Department of Law Enforcement
Information Technology Services
Customer Service Administration Center
2 of 2



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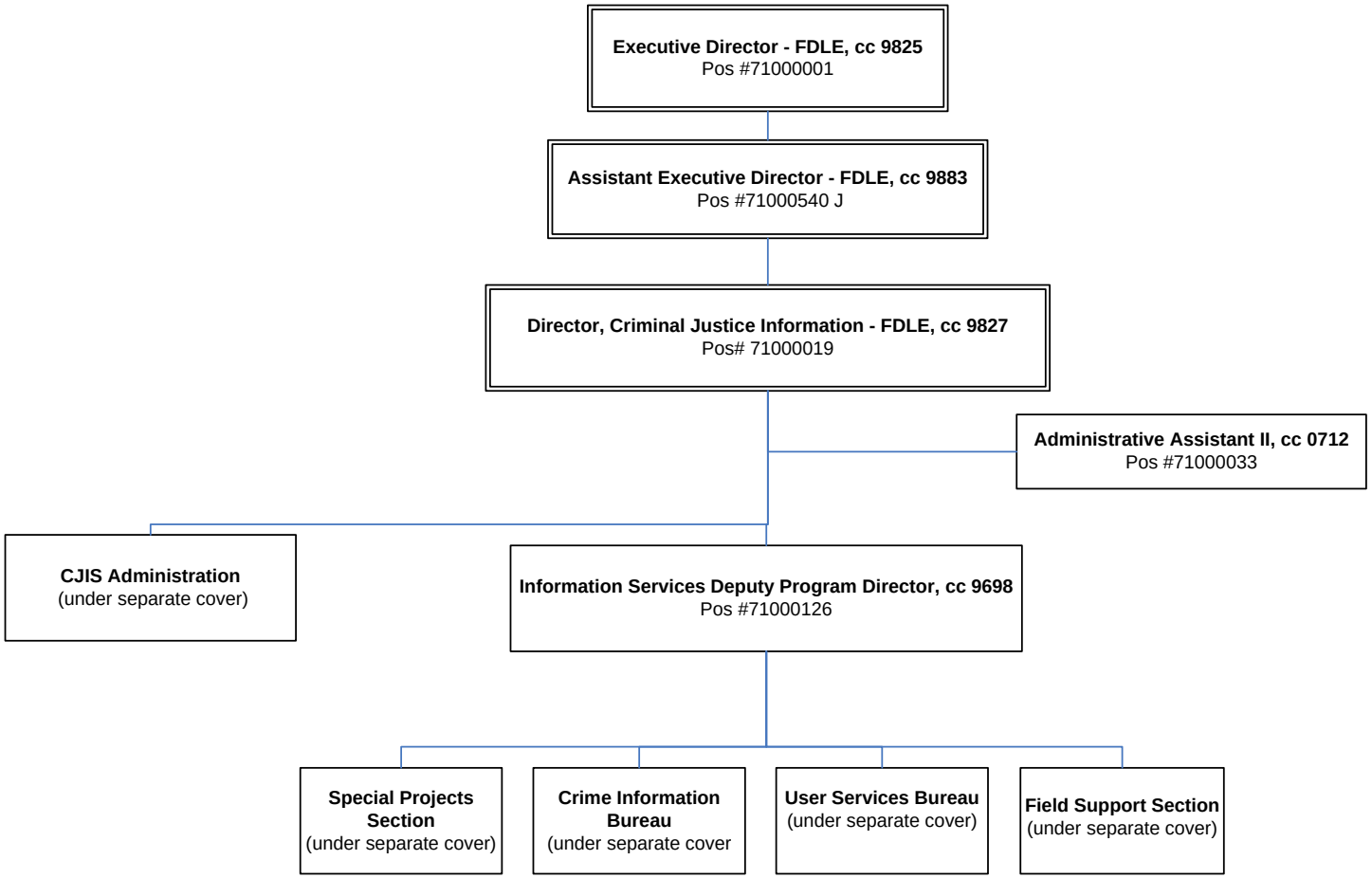
Florida Department of Law Enforcement
Criminal Justice Information Services



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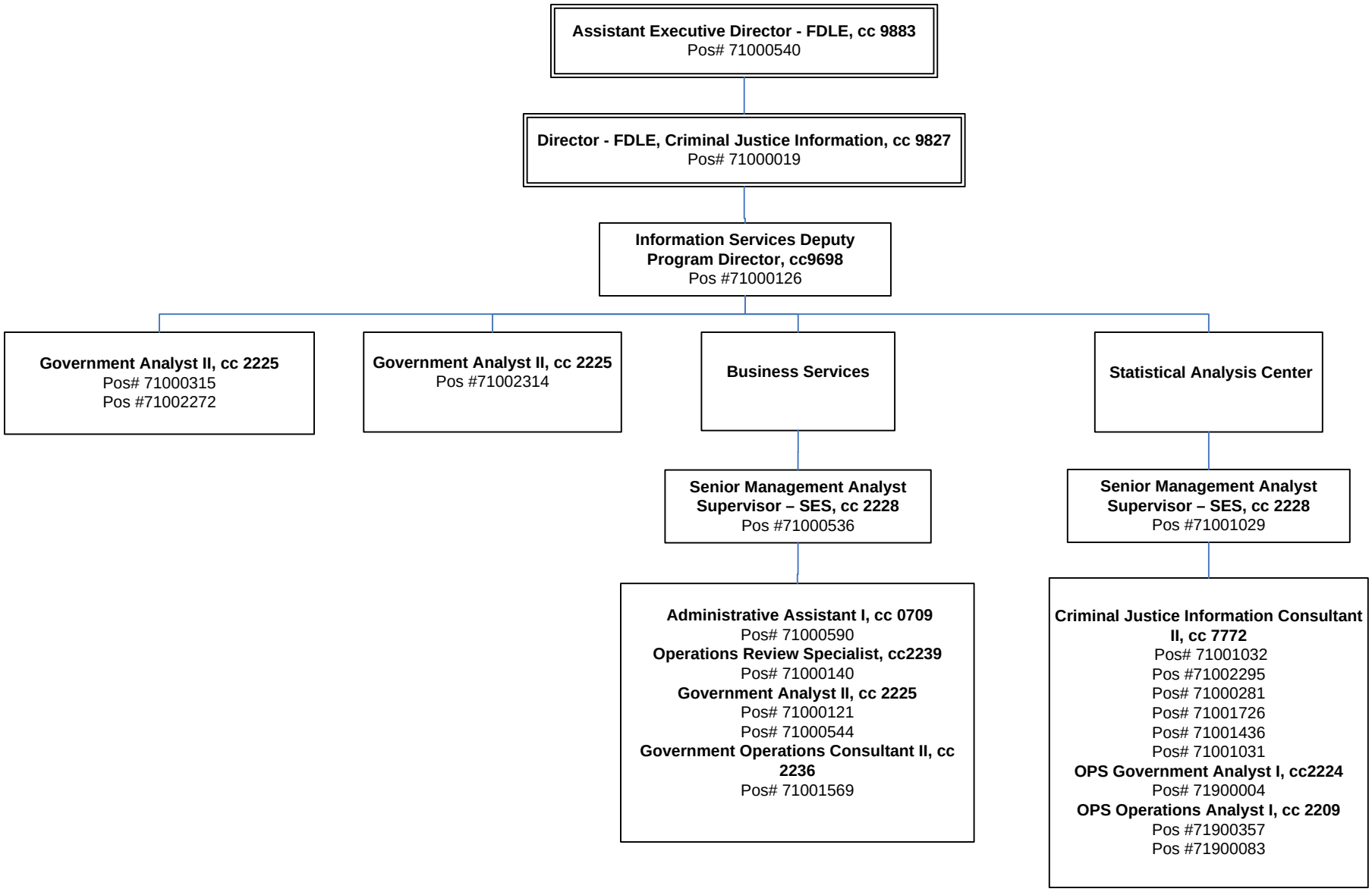
Florida Department of Law Enforcement
Criminal Justice Information Services
Administration



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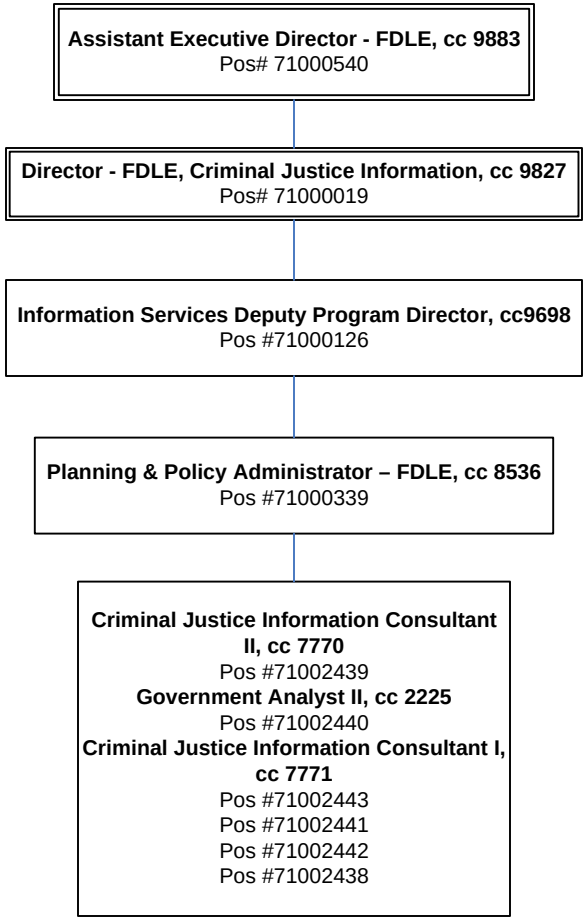
Florida Department of Law Enforcement
Criminal Justice Information Services
Special Projects Section



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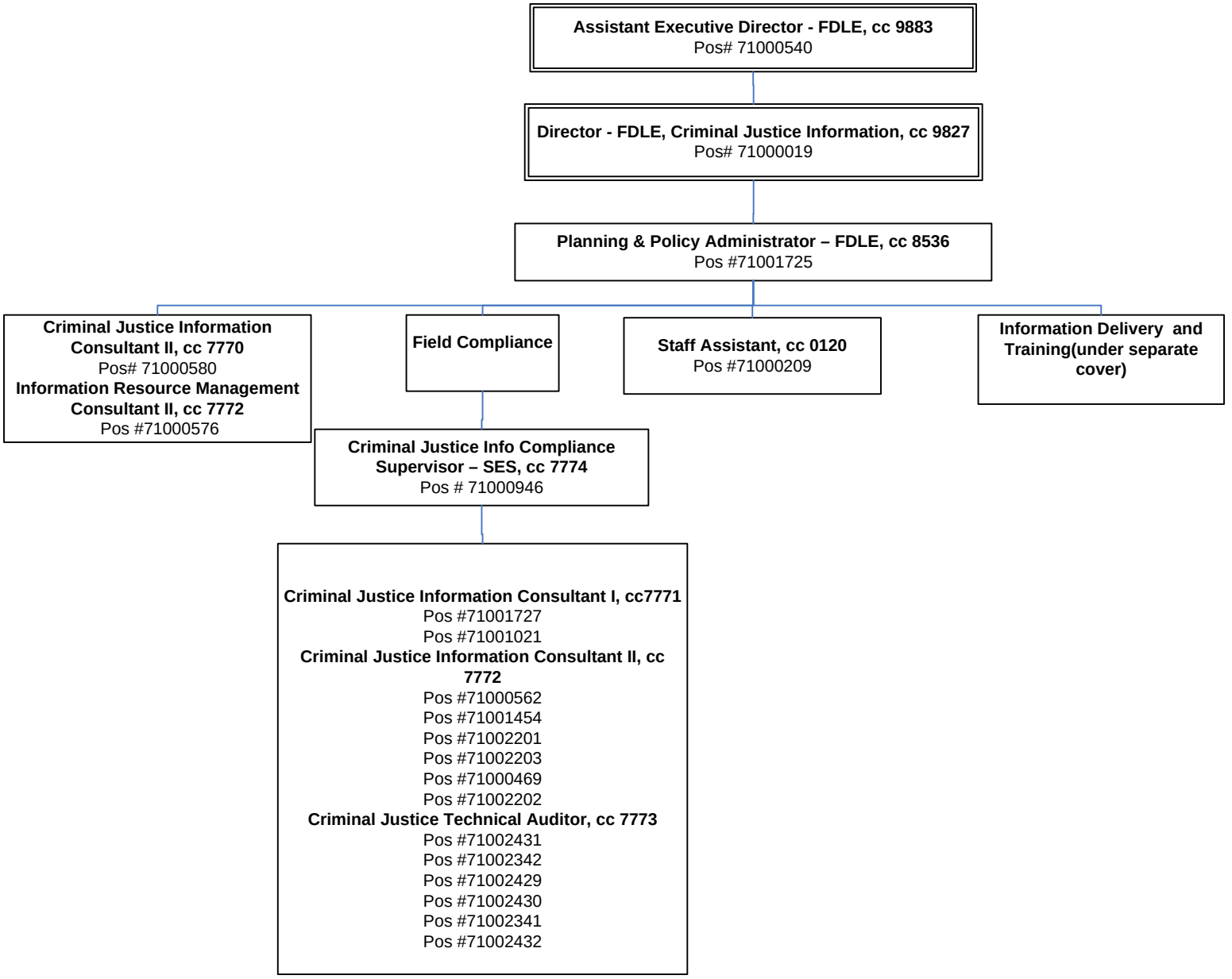
Florida Department of Law Enforcement
Criminal Justice Information Services
Field Support



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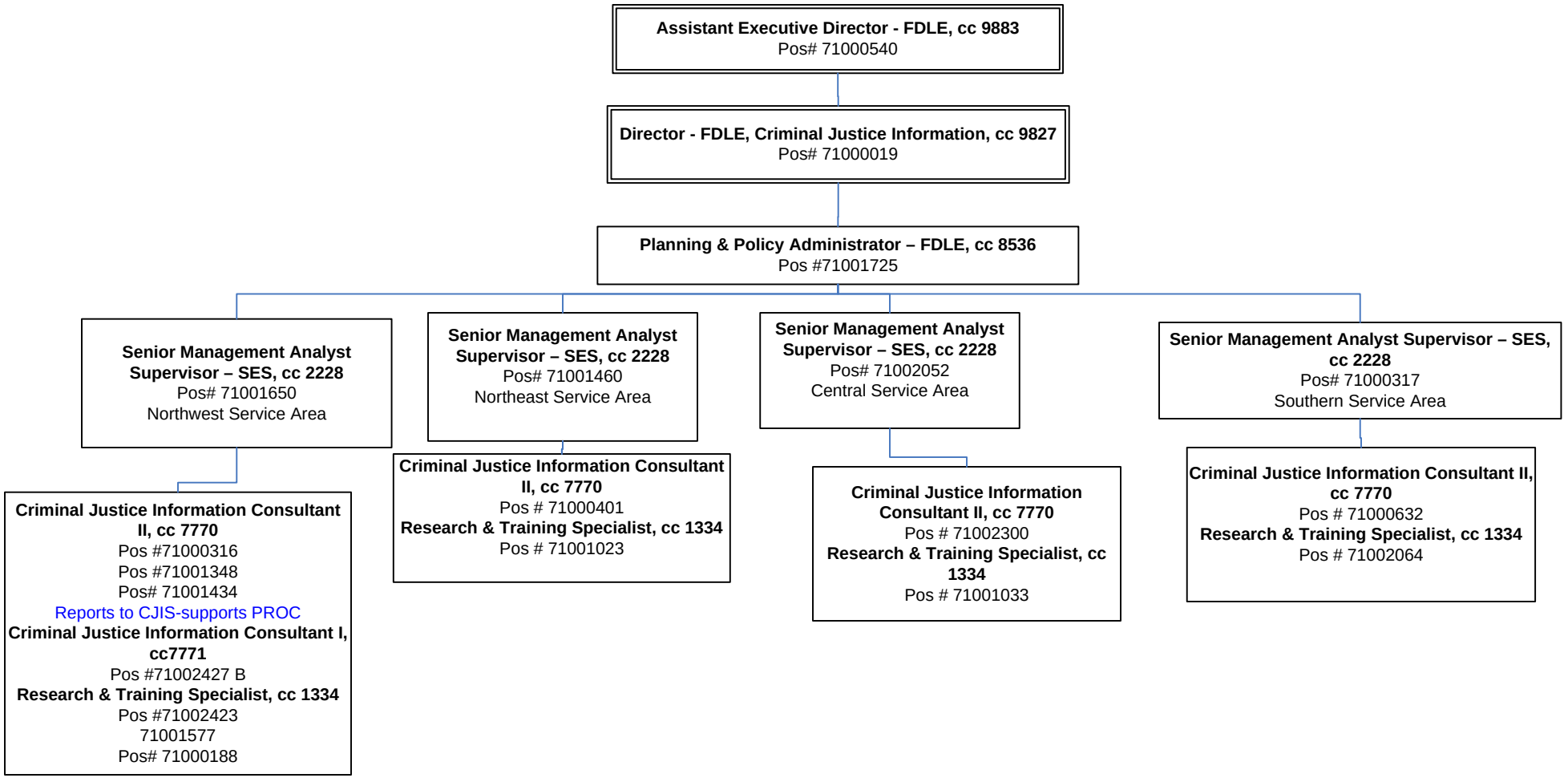
Florida Department of Law Enforcement

Criminal Justice Information Services

Field Support



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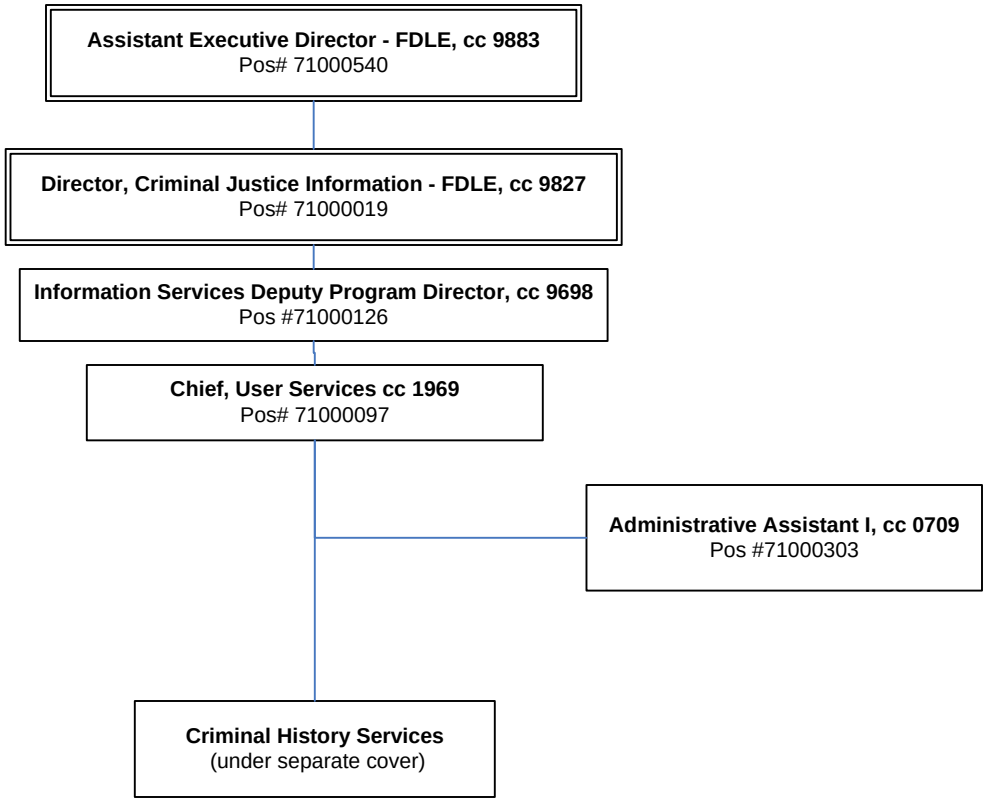
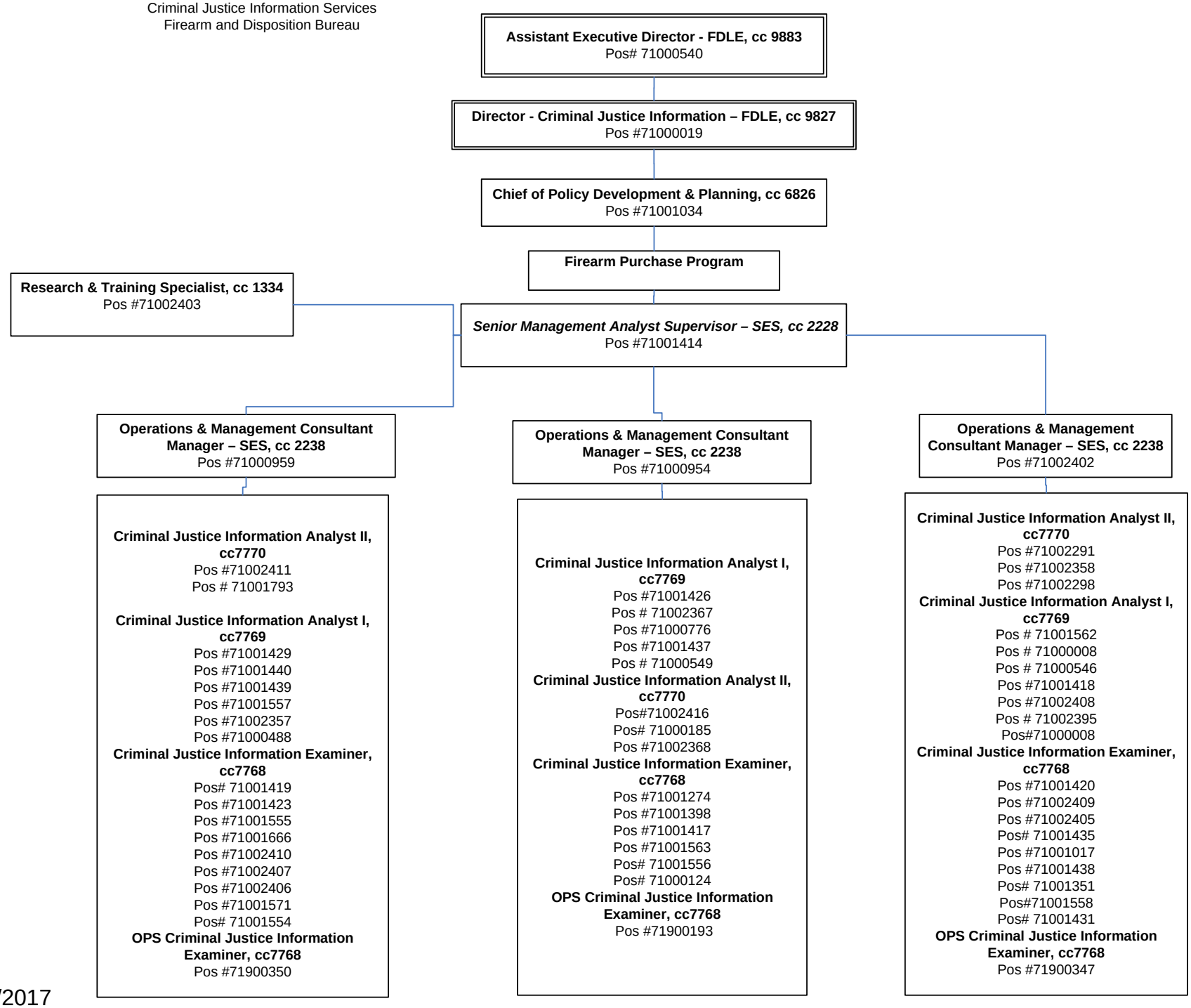
Florida Department of Law Enforcement
Criminal Justice Information Services
User Services Bureau



Florida Department of Law Enforcement
Criminal Justice Information Services
Firearm and Disposition Bureau



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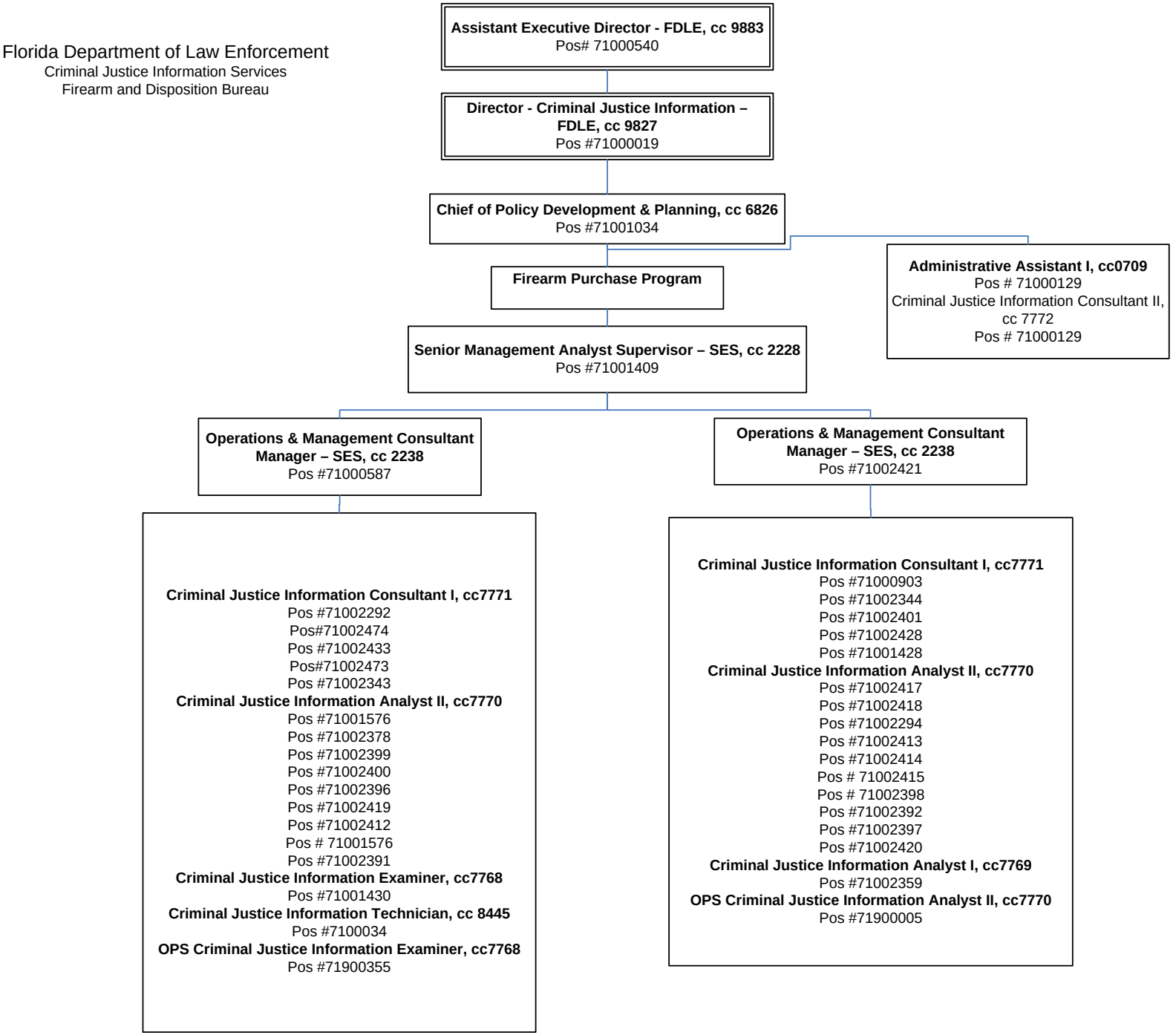
Florida Department of Law Enforcement
Criminal Justice Information Services
Firearm and Disposition Bureau



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

Assistant Executive Director - FDLE, cc 9883
Pos# 71000540

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

Information Services Deputy Program Director, cc 9698
Pos #71000126

Chief, User Services, cc 1969
Pos #71000097

Criminal History Services

Administrative Assistant I, cc 0709
Pos#71000303

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

Criminal Justice Information Consultant II, cc 7770
Pos #71002393
Pos#71000340
Research & Training Specialist, cc 1334
Pos #71001803

Government Analyst II, cc 2225
Pos #71001207
Position on loan to CJP

Government Anaylst II, cc2224
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On loan to Professionalism

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

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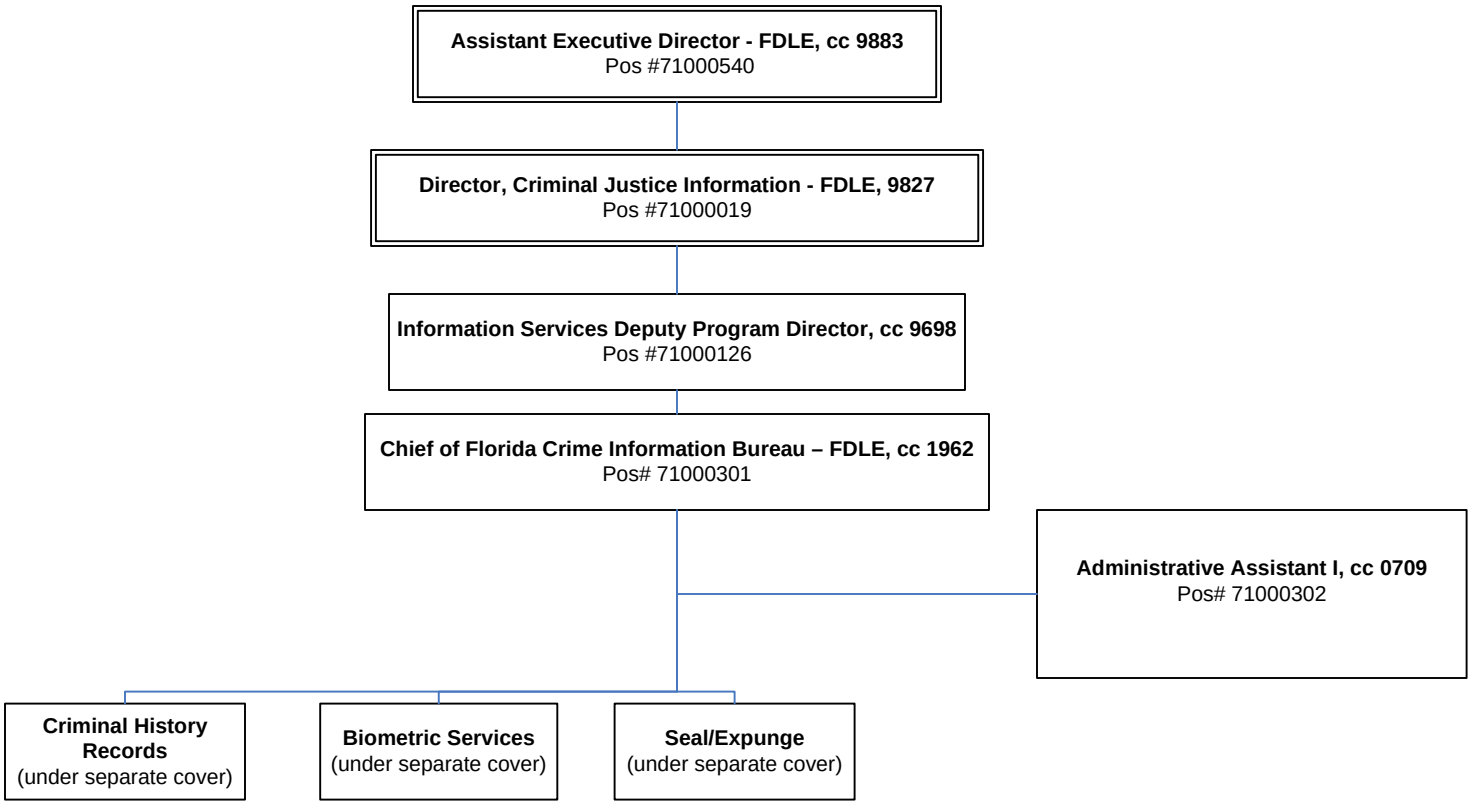
Florida Department of Law Enforcement
Criminal Justice Information Services
Florida Crime Information Bureau – 1 of 4



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

Assistant Executive Director - FDLE, cc 9883
Pos# 71000540

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

Information Services Deputy Program Director, cc 9698
Pos #71000126

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

Criminal Justice Information Consultant I, cc7771
Pos # 71000574

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

Senior management Analyst Supervisor – SES, cc 2228
Pos# 71001202

Operations & Management Consultant Manager – SES, cc 2238
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Florida Department of Law Enforcement

Criminal Justice Information Services

Florida Crime Information Bureau – 3 of 4

Assistant Executive Director - FDLE, cc 9883
Pos #71000540

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

Information Services Deputy Program Director, cc 9698
Pos #71000126

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

Senior Management Analyst Supervisor – SES, cc 2228
Pos# 71000045

Operations & Management Consultant Manager – SES, cc 2238
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Operations & Management Consultant Manager – SES, cc 2238
Pos #71000458

Research & Training Specialist, cc 1334
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Pos #71002186

Senior Criminal Justice Information Technician, cc 8448
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Florida Department of Law Enforcement
Criminal Justice Information Services
Florida Crime Information Bureau – 3 of 4

Assistant Executive Director - FDLE, cc 9883
Pos #71000540

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

Information Services Deputy Program Director, cc 9698
Pos #71000126

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

Senior Management Analyst Supervisor – SES, cc 2228
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Operations & Management Consultant Manager – SES, cc 2238
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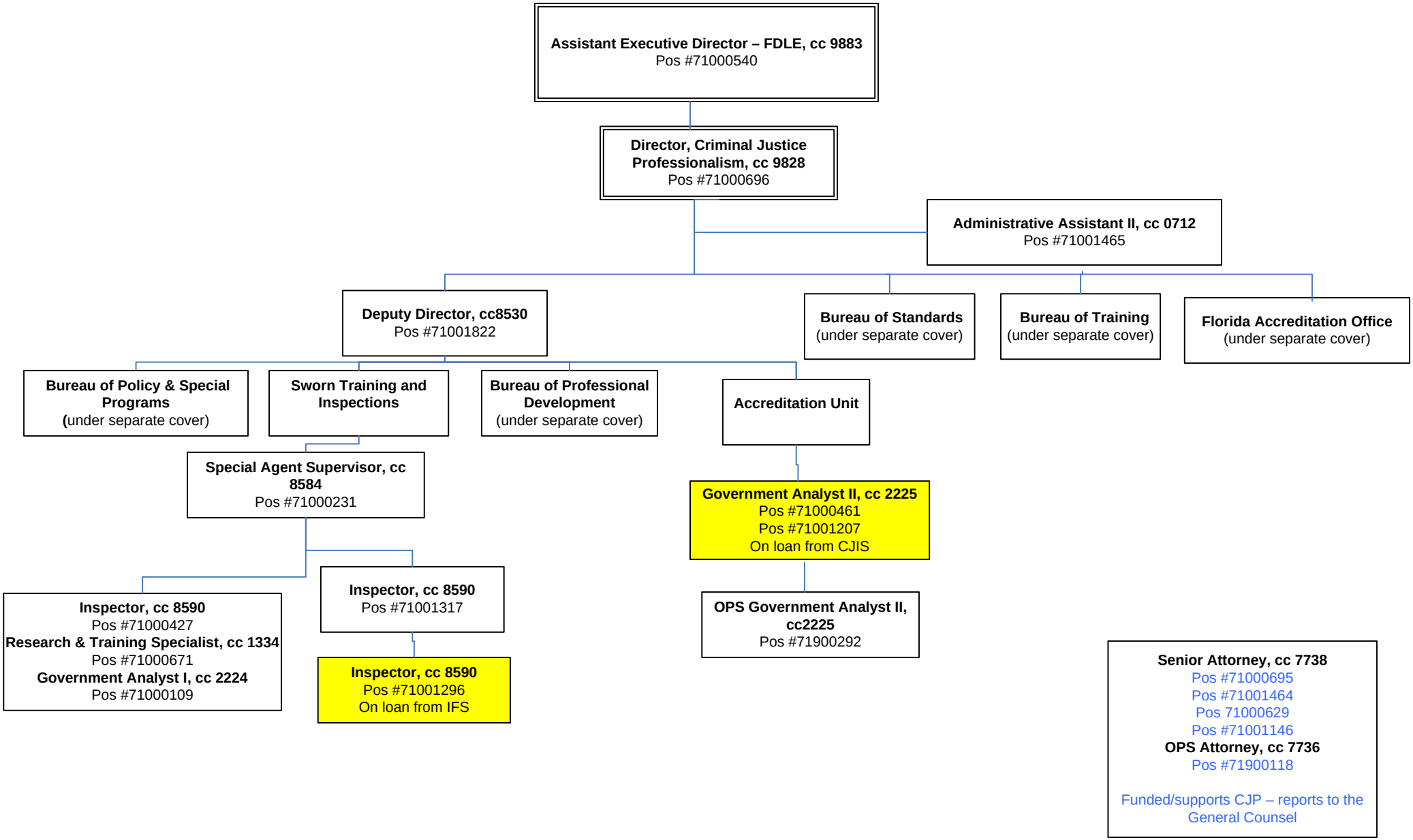
9/14/2017

Florida Department of Law Enforcement

Criminal Justice Professionalism

Director's Office



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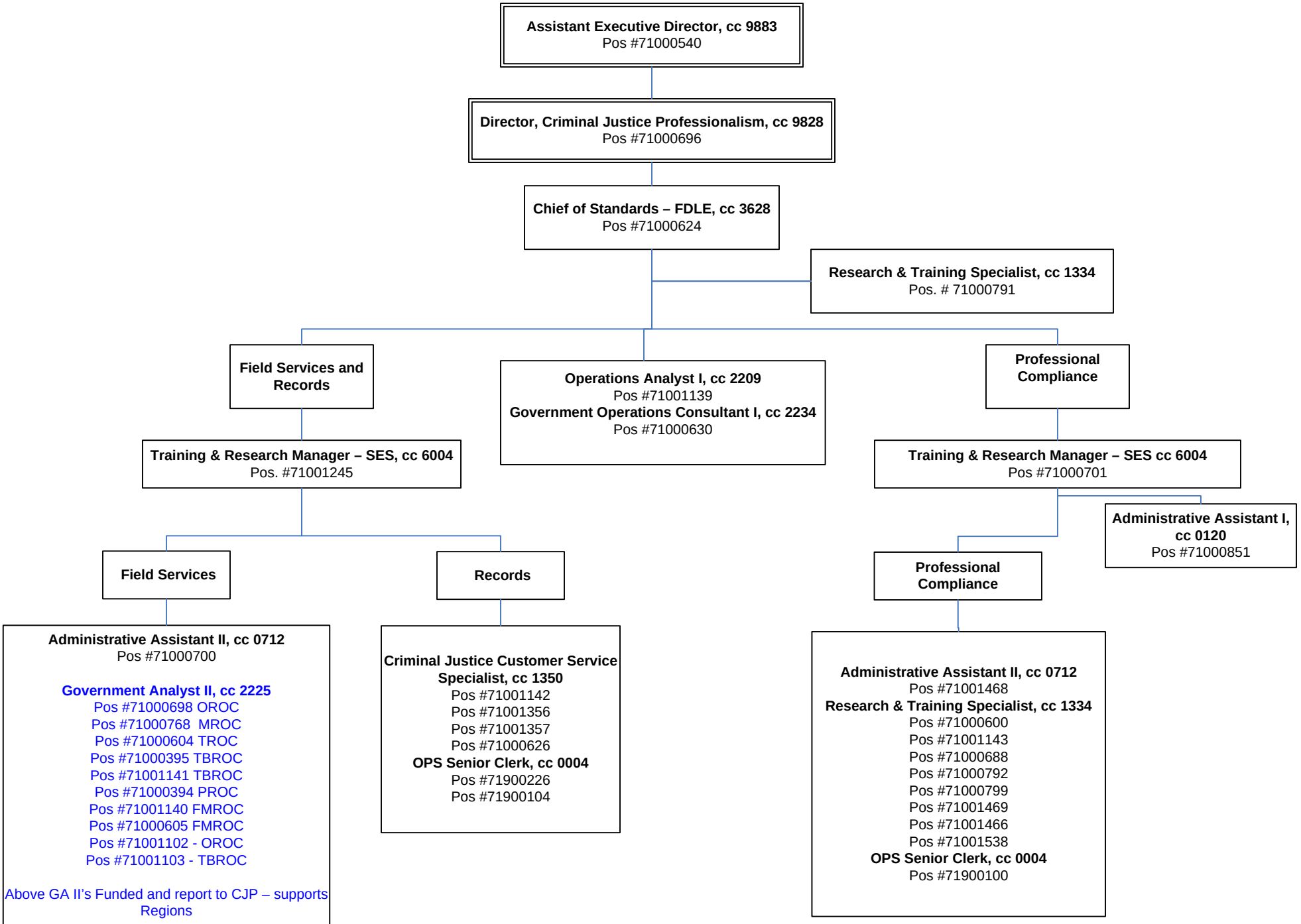
Florida Department of Law Enforcement

Criminal Justice Professionalism
Bureau of Standards



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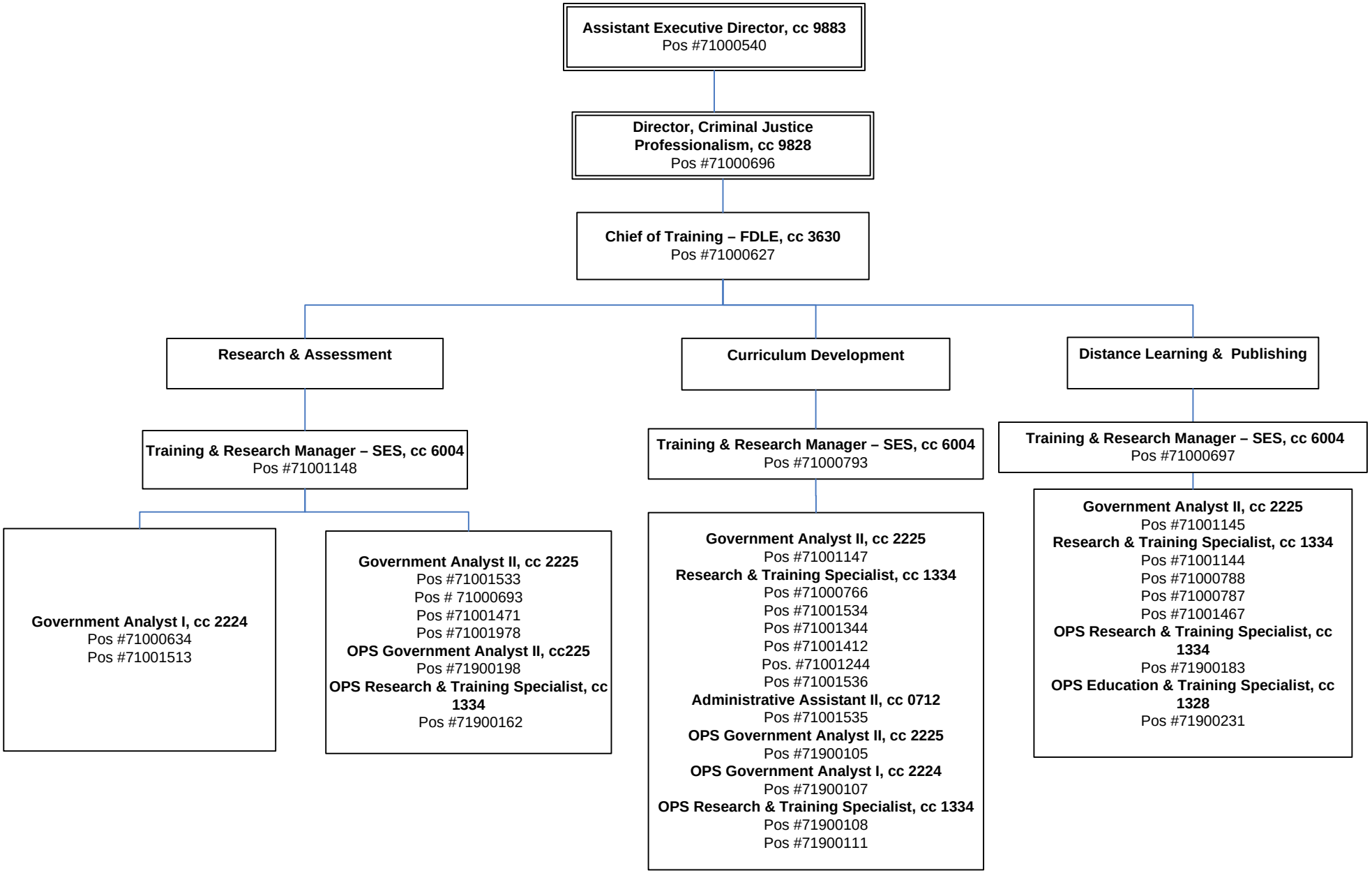
Florida Department of Law Enforcement
Criminal Justice Professionalism
Bureau of Training



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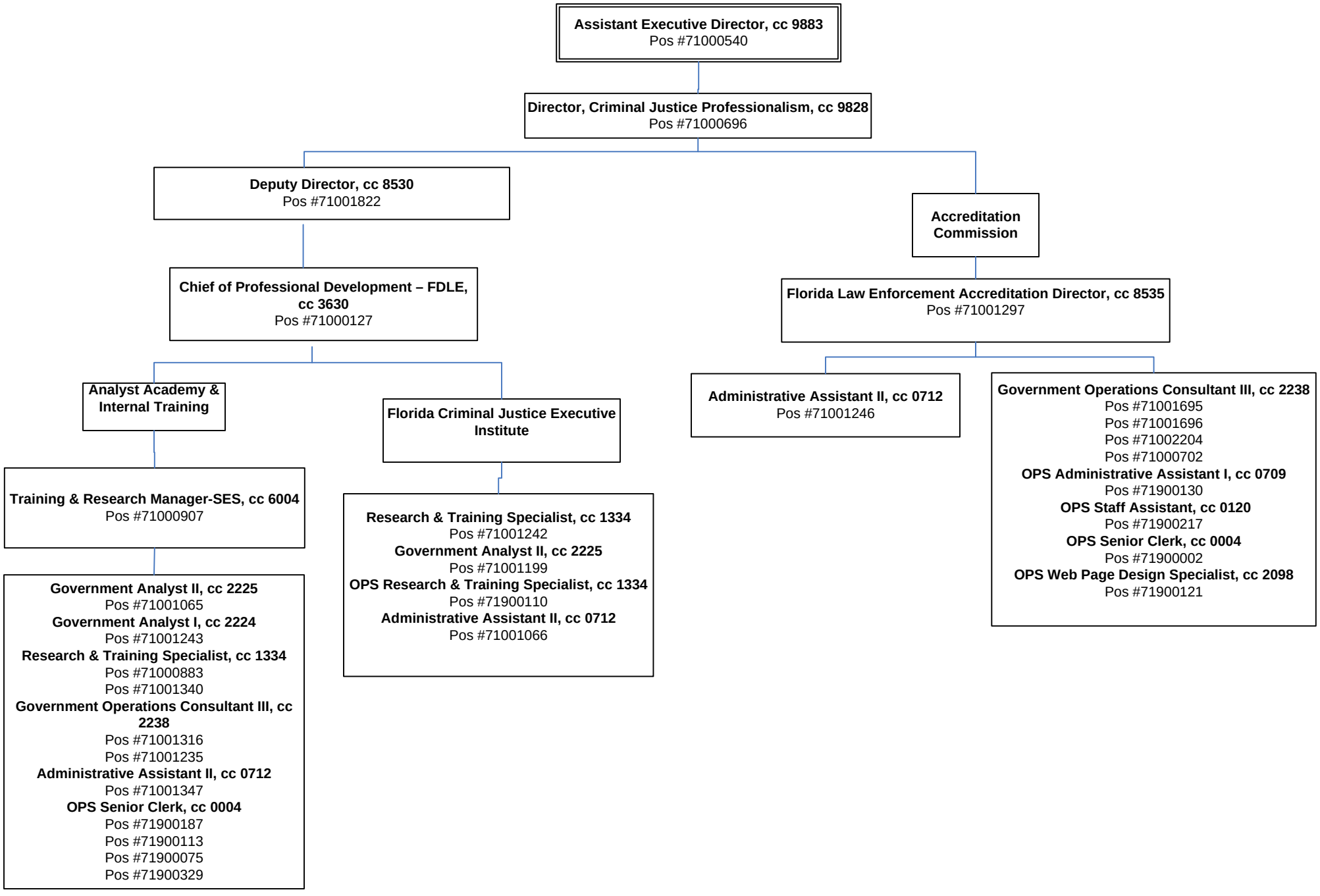
Florida Department of Law Enforcement

Criminal Justice Professionalism
Bureau of Professional Development



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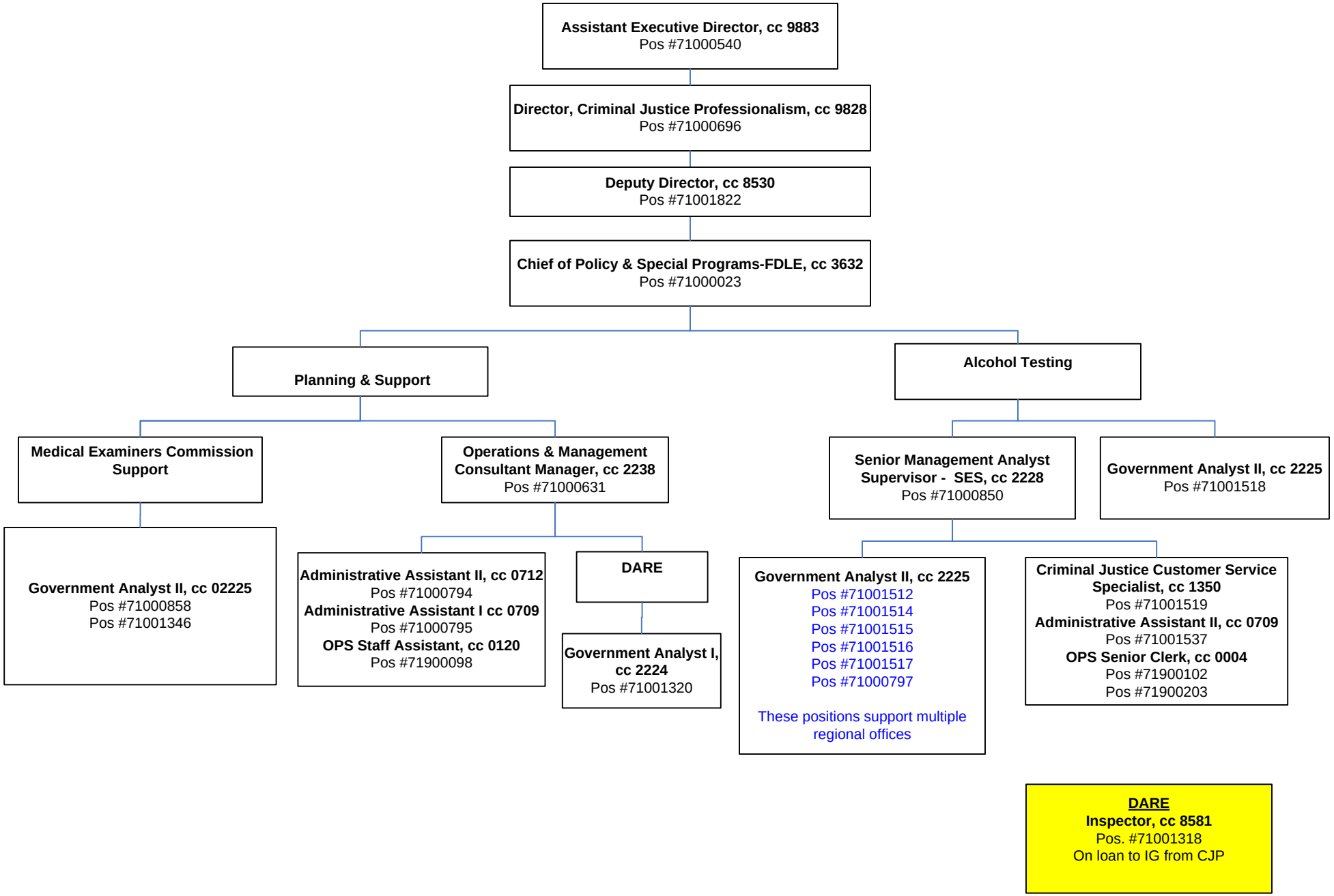
Florida Department of Law Enforcement

Criminal Justice Professionalism

Bureau of Policy & Special Programs



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LAW ENFORCEMENT, DEPARTMENT OF

SECTION I: BUDGET	FISCAL YEAR 2016-17 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	290,101,318	3,000,000
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	15,089,701	0
FINAL BUDGET FOR AGENCY	305,191,019	3,000,000

SECTION II: ACTIVITIES * MEASURES	Number of Units	*(1) Unit Cost*	*(2) Expenditures (Allocated)*	*(3) FCO*
Executive Direction, Administrative Support and Information Technology (2)				3,000,000
Capitol Complex Security * Number of calls for Capitol Police services	4,888	1,860.23	9,092,784	
Dna Database * Number of DNA samples added to the DNA Database	66,807	55.59	3,713,495	
Crime Laboratory Services * Number of lab service requests completed	85,028	738.29	62,775,100	
Investigative Services * Number of criminal investigations	2,406	32,614.43	78,470,313	
Domestic Security * Number of domestic security activities	1,289	5,160.66	6,652,096	
Intelligence Initiatives * Number of intelligence products	1,311	4,716.33	6,183,111	
Missing Persons * Number of missing persons cases	4,366	430.71	1,880,464	
Sexual Predator Tracking And Information * Number of registered sexual predators/offenders identified to the public	71,436	42.93	3,066,749	
Criminal History Information * Number of criminal history record checks processed	3,826,862	4.57	17,505,719	
Criminal History Creation And Maintenance * Number of arrest records created and maintained	27,442,997	0.38	10,298,513	
Officer Compliance * Number of criminal justice officer disciplinary actions.	462	7,061.45	3,262,391	
Officer Records Management * Number of professional law enforcement certificates issued	18,340	131.98	2,420,517	
Criminal Justice Training * Number of individuals who pass the basic professional certification examination	6,741	927.61	6,253,043	
TOTAL			211,574,295	3,000,000

SECTION III: RECONCILIATION TO BUDGET		
PASS THROUGHS		
TRANSFER - STATE AGENCIES		
AID TO LOCAL GOVERNMENTS		
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS		
OTHER	26,125,030	
REVERSIONS	67,491,954	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)	305,191,279	3,000,000

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

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

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

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

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

Schedule XIV
Variance from Long Range Financial Outlook

Agency: **Florida Department of Law Enforcement** **Contact:** **Cynthia Barr**

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

1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2017 contain revenue or expenditure estimates related to your agency?

Yes [ ] No [X]

2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2018-2019 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2018-2019 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a				
b				
c				
d				
e				
f				

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

* R/B = Revenue or Budget Driver

SCHEDULE IV-B FOR COMPUTERIZED CRIMINAL HISTORY MODERNIZATION

For Fiscal Year 2018-19

September 15, 2017

Florida Department
of
Law Enforcement

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	**Schedule IV-B Submission Date:**
Project Name: Computerized Criminal History Modernization Project	**Is this project included in the Agency's LRPP?** __X_ Yes ____ No
FY 2018-19 LBR Issue Code: 24010C0	**FY 2018-19 LBR Issue Title:** Replace Computerized Criminal History System
Agency Contact for Schedule IV-B (Name, Phone #, and email address): **Becky Lackey, 410-8459, BeckyLackey@fdle.state.fl.us**	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: **Printed Name: Richard L. Swearingen**	**Date:** 9/14/17
Agency Chief Information Officer (or equivalent): **Printed Name: Joey Hornsby**	**Date:** 9/14/17
Budget Officer: **Printed Name: Cynthia Barr**	**Date:** 9-14-17
Planning Officer: **Printed Name: Michelle Pyle** Michell B Pyle	**Date:** 9/14/17
Project Sponsor: **Printed Name: Charles Schaeffer**	**Date:** 9/14/17

Schedule IV-B Preparers (Name, Phone #, and Email address):	
Business Need:	Charles Schaeffer, 410-7969, CharlesSchaeffer@fdle.state.fl.us
Cost-Benefit Analysis:	Becky Lackey, 410-8459, BeckyLackey@fdle.state.fl.us
Risk Analysis:	Renee Strickland, 410-8195, ReneeStrickland@fdle.state.fl.us
Technology Planning:	Joey Hornsby, 410-8455, JoeyHornsby@fdle.state.fl.us
Project Planning:	Mark Scharein, 410-8515, markscharein@fdle.state.fl.us

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

A. Background and Strategic Needs Assessment

1. Business Need

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

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

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

Florida's Computerized Criminal History (CCH) system originated more than 45 years ago, and aspects of the original system still remain unchanged. The significantly outdated processes and technology result in excessive development time and maintenance of the system. Over the years, FDLE has revised code and stretched the system to do things it was never intended to perform. The technology of the current CCH system was state-of-the-art when it was initially implemented. However, today it is limited and it is difficult to provide the services and scalability required of criminal justice systems.

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

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

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

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

In the fiscal year 2016-17 there were over 3.8 million criminal history record checks processed. The Legislature has recognized the vital role in background screening for people who will be employed to work with vulnerable populations or in positions of trust. There are more than 125 laws that require criminal history checks. In Florida last year, more than 1.7 million mandated criminal history checks for licensing and employment were processed, more than 1,000,000 checks on gun buyers were processed, and more than 140,000 checks were processed under the National Child Protection Act. Criminal history checks are acknowledged as a valuable resource by the public, as evidenced by more than 1,000,000 criminal history checks performed. As a result of the large number of criminal record checks, FDLE collects approximately $50 million per year in statutorily mandated fees.

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

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

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

felonies. Rearrests, including Violations of Probation (VOP) and Failures to Appear (FTA), are not easily linked to the original charge and can be confusing on a Record of Arrest and Prosecution (RAP) sheet. Providing better RAP sheets with images, more detailed information, and more user-friendly formats will further assist decision-makers within the criminal justice community.

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

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

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

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

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

A new CCH system will be able to maintain service to all of these functions. In addition, there will be a reduction in the time that the system is down due to planned and unplanned outages through the use of two (2) production environments (i.e., a primary site and a remote disaster recovery site). Both environments will use fault tolerant hardware configurations as well as application and database clustering within all tiers.

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

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

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

The CCH system synchronizes data with other systems. These synchronization processes are performed manually due to the current CCH system limitations. The Federal Bureau of Investigation (FBI)

requires audits/synchronizations with the states at least every six (6) months. In the current CCH system, this audit/synchronization is a manual process. The CCH system, the Florida Sexual Offenders/Predators System (SOPS), and Career Offender Application for Statewide Tracking (COAST) maintain registration information for sex offenders and career offenders. The CCH, SOPS, and COAST systems do not routinely reconcile their records. Periodically, a manual process is conducted to research and reconcile any differences between the systems.

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

2. Business Objectives/Scope

FDLE's primary objectives for this project are to:

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

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

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

- Receiving, determining eligibility, and complying with seal and expunge orders
- Receiving, determining eligibility, and complying with other court orders
- Managing record consolidation requests
- Disseminating selected data/records based on the customer and purpose
- Logging of disseminations
- Receiving and processing personal review requests
- Providing statistical analysis of CCH data

B. Baseline Analysis

1. Current Business Processes

a. FDLE Processing

The FDLE CJIS division is responsible for creating and maintaining Florida's criminal history and fingerprint repository and responding to requests for criminal history information. Three (3) Bureaus in CJIS carry out this work; the Crime Information Bureau (CIB), Firearm Eligibility Bureau (FEB) and the User Services Bureau (USB).

The CIB is tasked with the maintenance of the State's CCH Repository as required by Florida Statute 943.05. FDLE's BIS provides near real-time positive identifications of fingerprints of arrested persons and an automatic update of criminal history files. The Bureau also provides criminal identification screening services to criminal justice agencies and non-criminal justice agencies to identify persons with criminal warrants, arrests, and convictions. Fingerprints maintained by the CIB are used by crime labs for comparisons of latent crime scene fingerprints for identification. The Bureau is made up of three (3) sections that are crucial to the overall maintenance, completeness, and accuracy of the database and services provided in accessing information from the database: Biometric Services, Criminal History Record Maintenance, and Seal and Expunge, , each discussed below.

- The Biometric Services section is responsible for making fingerprint comparisons on all applicant and arrest fingerprints received. It determines if an individual has a record to which new arrests may be added or if a new record will be created and added to CCH. This section is also responsible for responding to fingerprint-based queries made to the CCH files. In the criminal and applicant processes, fingerprints provide positive identification of a subject to a criminal history record.

- The Criminal History Record Maintenance section serves criminal and non-criminal justice agencies and the public. The section performs a variety of activities that support the accuracy and completeness of the criminal history files. This section consolidates CCH records, processes records for unknown and deceased individuals, makes corrections to records that are requested by submitting agencies, and acts to ensure that Florida records are synchronized with those of the FBI and the retained applicant system. It also provides services to citizens for personal record reviews, voter appeals, denial of firearm purchases appeals, and compromised identity. The section is responsible for working with the Clerks of the Court and other sources to gather and process disposition data contained in the judicial segment of the CCH file. The judicial segment contains the final court disposition pertaining to a subject's particular date of arrest/charges. Additionally, the section is responsible for receiving and entering arrest data, received in a hard card format, from the law enforcement agencies throughout the state of Florida. This information, based on whether the person has a previous arrest, will become the basis of a new computerized criminal history or will be added to an existing record.
- The Seal and Expunge section is responsible for processing applications for certificates of eligibility by determining if subjects meet statutory criteria for having a criminal history record sealed or expunged in compliance with sections 943.0585 and 943.059, F.S., and for complying with court orders issued under these statutes. The section also processes Juvenile Diversion Expunctions under section 943.0582, F.S.

The FEB is responsible for responsible for record check related to the transfer or purchase of firearms in Florida. It is responsible for collecting the fees for this service.

- Firearm Purchase Program (FPP) section conducts record checks on individuals attempting to transfer or purchase firearms in Florida. The FPP acts as the point of contact for firearm dealers. The dealers contact the FPP using a toll-free phone line or submit requests online through the Firearm Eligibility System. Using the subject's demographics, state and national files are searched and a determination is made regarding whether the purchaser is ineligible.
- The Eligibility Research Unit (ERU) section conducts research on missing or unclear data in the judicial segment of a record as well as reviewing police reports for domestic violence indicators or controlled substance abuse. The completed

research is used to update the criminal history (where possible) and make a determination as to whether the customer is eligible for the transfer of a firearm. ERU researches appeals from individuals who received a non-approval as a result of a firearm transfer transaction or those who received a non-approval for a concealed weapon permit due to a NICS record. ERU also manages the mental competency automated database (MECOM) of persons who are prohibited from purchasing a firearm based on court records of adjudications of mental defectiveness or commitments to mental institution.

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

- The Criminal History Services section is responsible for responding to public requests for Florida criminal history information. This section completes requests using required demographic information upon tender of fees as established in section 943.053, F.S. The Criminal History Services section also processes record requests that are submitted electronically for state and national criminal history record checks required by state or federal statute. Florida statutes either require or allow the review of an applicant's criminal history before licensing, employing, or certifying that individual.
    - Applicant fingerprint requests are submitted from criminal justice agencies, governmental (non-criminal justice) entities, private industry, entities under Public Law 92-544 and the National Child Protection Act/Volunteers for Children Act (NCPA/VCA), or facilities regulated under various non-criminal justice agencies. Record requests from these entities are searched by fingerprint-based information for a state and national screening, and are typically forwarded to the FBI for a national screening. Livescan processes are strictly statute driven, meaning all requests must have a corresponding statutory authority and be labeled appropriately.
    - Some Criminal History Services customers participate in the Applicant Fingerprint Retention and Notification

Program (AFRNP). These customers are notified by Criminal History Services when a subject's retained fingerprints are positively identified as an individual who has subsequently been arrested in Florida. Arrests made in other states or by the federal government do not result in notification.

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

b. Business Process Participants

- 67 Florida county sheriff's offices and jails, and 13 Florida juvenile assessment centers report approximately 58,000 records of arrest per month (based on 2016-17 arrests)
- 350 (approximately) Florida police departments, 20 State Attorney Offices and 20 Judicial Circuits use criminal record information
- 67 Florida county clerks of court report disposition records
- 6 Florida Department of Corrections (DC) reception and DC headquarters report custody records
- Arresting agencies/Clerks of Court submit orders for expunction and sealing of records
- The FBI maintains a national index of persons arrested, supported by fingerprints. More than 70 million records are contained within the Interstate Identification Index (III), and the National Instant Criminal Background Check System (NICS) Index, to which Florida contributes criminal history record information
- Law enforcement/criminal justice agencies including Florida state agencies with law enforcement divisions (such as Florida Fish and Wildlife Conservation Commission Law Enforcement, Department of Environmental Protection Law Enforcement, etc.) access criminal records online
- Florida licensing/regulatory agencies submit requests for fingerprint-based criminal history record checks
- Licensing and employing agencies, including school boards, members of the public, and firearm dealers conducted

3,826,862 criminal history record checks during fiscal year 2016-17

- More than 4,900 private employers and volunteer organizations submit requests for criminal history record checks

c. Criminal Record Inputs

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

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

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

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

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

The fiscal year 2016-17 record statistics in the CCH system are as follows:

- Arrest charges – 744,894
- Requests for fingerprint-based criminal history record checks (Civil Workflow Control System (CWCS)) – 1,742,499
- Requests for record checks to determine eligibility to purchase firearms – 1,030,662
- Online requests for criminal history record checks (CCHInet) – 806,820

- FCIC and International Justice and Public Safety Network (Nlets) on-line CCH checks by criminal justice agencies – 1,900,760 per month
- Florida criminal history record checks in (SHIELD – 176,229)
- Florida criminal history record checks using correspondence (paper submissions) – 22,103
- Disposition records – 898,821
- Dissemination records – 365,316,289
- Custody records – 49,423
- Identity records – 7,821,826
- Court orders and applications to Expunge/Seal criminal records – 30,150

d. Criminal Record Outputs

The primary output from these processes is accurate and complete criminal history records, which are maintained in the central criminal records repository of more than six (6) million active subjects. The CCH system must be able to provide the current outputs such as the following:

- Identifying criminals to ensure public safety, protect law enforcement officers, and investigate crimes
- Describing arrest charges (in plain English) in criminal history record information
- Conducting criminal history record checks on jurors
- Conducting criminal history record checks on individuals applying for professional and business licenses
- Performing criminal history record checks on individuals applying to carry concealed weapons
- Performing criminal history record checks for employment
- Providing non-criminal justice agencies, individuals, and private organizations access to criminal history records
- Conducting notification of employee arrest(s) to employers, as allowed by Florida law
- Providing criminal record information so decisions can be made for:
    - Establishing grounds to appropriate penalties at sentencing

- Setting bail and pre-trial and post-trial sentencing decisions
- Preventing those who are legally ineligible from purchasing firearms
- Identifying potentially ineligible voters
- Identifying ineligible individuals applying for licenses and employment
- Improving the ability to protect the vulnerable population such as children, elderly persons, and disabled persons

e. Reports Generation

The CCH database has limited capabilities for generating reports without negatively impacting the operation of the system. There are scheduled mainframe jobs that print reports at dedicated printing stations and allow online reporting through the ClearPath A Series Terminal Tool (CATT) system. As a result of the limited mainframe reporting capability, an offline, "snapshot" (SNAP) Oracle database (DB) has been created to enable and enhance criminal history reporting capabilities. In order to keep the SNAP database updated with the CCH database, a synchronizing process runs multiple times a day. Additionally, the FSAC imports data extracted from the SNAP database to a Statistical Analysis System (SAS) database in order to perform a more sophisticated analysis. Further use of the data is used for ad hoc reporting for internal FDLE departments and external agencies.

f. Current Performance/Operational Issues

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

The current CCH system lacks the flexibility to reflect the daily operations of the state's criminal justice system. As a result, FDLE business units find it difficult to implement improvements in business processes due to technical limitations of the current system. While the Benefits Realization Table (Table 5) provides a robust description of the value to be gained by modernizing the system, the most significant limitations that inhibit the ability to efficiently maintain criminal history are as follows:

- Local agencies are not able to add additional charges to an arrest submitted to FDLE without a manual process.

- Rearrests, including violations of probation and failures to appear, are not easily linked to the original charge and can be confusing to read on a RAP sheet.
- Charge reclassifiers, such as enhancers or reducers which are used to raise or lower the severity of a charge, are not a part of the data structure and are difficult to populate.
- Maintenance of the statute table, which provides the basic structure for identifying the specific arrest and/or disposition charges, is limited due to the database design and architecture, with its lack of ability to incorporate complex data structures and relationships; the overall archaic implementations of the database design; and, the relative maintenance complexities associated with implementation modifications.
- Notice to Appear citations, Direct Files, or other instances where an "arrest event" occurs but fingerprints are not captured, thus leaving the database incomplete.
- Integration with different technologies is very difficult to achieve with the current system.
- Current system does not have failover and disaster recovery mechanisms in place.
- Current system is based on a hierarchical database, which is limited when compared to the features that are available through a relational database management system.
- Current system uses a hierarchical database management system coupled with a technologically rigid database design.
- Current system does not have an identity management system.
- Current system has limitations regarding compliance with federal information standards (e.g., NIEM).
- Current system has limitations in handling images efficiently.

g. Problems and Recommended Improvements to Existing Processes

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

1. Agencies are not able to add additional charges or modifications to the data they submitted to FDLE without a manual process. They must fingerprint the subject again or complete a form with the requested changes and submit it to FDLE via email, fax, or mail. A new CCH system will allow local

agencies to submit additional charges or corrections to errors electronically, thus improving the timeliness of the data updates.

2. Today, not all agencies submit added charges or modifications to the data they previously submitted to FDLE. This can result in incomplete RAP sheets and problems matching court data to the arrests. It is anticipated that more agencies will submit their changes due to the ability of the new CCH system to allow agencies to electronically submit the changes through an easier, quicker, and more efficient manner. This will greatly improve the completeness of the criminal history data.

ii. Statute Table and Statute Data

1. Limitations of the Statute Literal Description

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

2. Difficulty of Storing and Displaying Reclassifiers

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

iii. RAP Sheets

1. Inability to provide RAP sheets with images

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

Images are helpful in verifying individuals, especially those with common names.

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

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

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

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

4. Limited RAP sheet presentation

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

5. RAP sheets not using a modern delivery system

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

6. Lack of RAP sheet summaries based on business needs

The CCH system displays all the charges and counts for an arrest on the RAP sheet. However, if someone has hundreds of charges for something such as check fraud, the RAP sheet

can be extremely long. The modernized summaries of the RAP sheet will be able to generate total charges (e.g., 101 charges of check fraud). This will reduce the length of the RAP sheet, but still maintain the accuracy of the data.

7. Inability to link rearrests, including VOP and FTA

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

8. Inability to provide links to other agencies

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

9. Text-based RAP sheets

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

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

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

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

v. Difficult Access Control Management

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

vi. Inability to Clearly Distinguish Compromised Identity Information

The CCH system does not have a clear way to indicate what precise false information a subject may have used for a specific event. For example, a subject may use another person's name, date of birth, or social security number when he or she is arrested. The new CCH system will provide a more efficient manner for distinguishing what information may have been compromised, which will be useful to both the users of the RAP sheets and the victims of the compromised identity.

vii. Inability to Send Automatic Notifications to the Submitting Agency

1. Agencies send requests through a manual process to add charges or make modifications to their data. The legacy system does not provide any notification to agencies, so the only way an agency can validate that a change has been made is to query the record. If information is attached to the wrong person, it is critical to get the information fixed and verified in a timely manner as it could impact criminal justice decisions. By providing automatic notifications back to the agencies, the quality of the data is improved by allowing the agencies the ability to review its modification requests, research them, and, when necessary, re-submit its requests with corrected information. The improved communication allows the corrections to be made in a timelier manner.

2. Currently it can take up to three (3) to five (5) days to complete the added charges or modifications. As a result, some counties submit duplicate requests. It can lead to wasted time researching a request that has already been completed or multiple people working on the same request at the same time. The new CCH system will eliminate this issue through validation and the ability for the counties to check the status of their requests on-line. The reduction of duplicates in conjunction with the time saved will

improve the turnaround time of agency added charges and modifications.

viii. Inability to Easily Integrate with Different Technologies

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

ix. Difficulty with the Configuration of Reports and Letters

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

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

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

xi. Required Use of Other Databases for Workarounds

The CCH system cannot provide some very important features needed by FDLE. As a result, FDLE has created a process to periodically extract data from the CCH system and import the data into modern databases. By importing the data into modern

technology, FDLE is able to perform specific functions with the data that are difficult and time consuming with the current CCH system. Workarounds require additional resources to support the processes and ultimately the CCH system. A new CCH system will be able to provide all the functionality in one (1) cohesive system.

xii. Improving the Process of Communication with the Courts

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

xiii. Manual Synchronization of Data with the FBI

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

xiv. Limited System Performance

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

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

xv. Poorly Designed or Outdated Database Structure

The design of the CCH database has caused the re-use and re-purposing of fields and has contributed to the difficulty of maintaining the database. A new CCH system will have a new database structure that will improve data storage. A relational database will allow for online maintenance of the database data. Additionally, the ease of maintenance and the movement to a

new design will allow FDLE to avoid the re-use or re-purpose technique that it has used in its hierarchical database.

xvi. Unreliable Reporting and Statistics

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

xvii. No Disaster Recovery (DR) Site

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

xviii. Manual Processes Required to Maintain Registration Information

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

xix. Limited Data Fields for Subjects

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

xx. Labor Inefficiencies

1. Inefficiencies Regarding Performance Monitoring and Tracking of Customer Requests

Work logs have been created to keep track of customer work requests and to document their receipt and completion. Some logs are in the form of Microsoft Access databases. They were created to act as an audit log. Each piece of paper was logged

multiple times (e.g., it is logged each time a section receives it and sends it out). In order to find a specific piece of paper the person must call each section to see if they have it. Workflow in the new CCH system remarkably reduces the current tasks of logging and eliminated the use of the Microsoft Access databases. Efficiencies are also gained by maintaining data in one (1) consistent place that is accessible through permissions.

2. Inefficient Management of Manual Processes

Customer requests must be managed throughout their processing. Paper customer requests were physically moved from section to section for processing. The task of physically moving paper was greatly reduced with the implementation of workflow in the new CCH system. FDLE CJIS sections no longer rely heavily on physically moving paper packets between sections through interoffice mail resulting in the paper sitting somewhere for hours before it is transported to the appropriate section and then returned later once the paper has been worked. The result of this inefficiency was a negative impact on external customers as well as internal CJIS personnel.

3. Unnecessary Time Spent in Scanning Paper

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

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

Many times, paper packets were printed and scanned before they are worked and after they are completed. A modernized CCH system helps automate processes and reduces the reliance on paper, which allows the respective sections to become more efficient. Savings in the usage of toner and drums is realized since the amount of printing required is greatly reduced.

5. Excessive Shredding

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

Lack of Workflow

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

6. Lengthy Compromised Identity Processing

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

h. Current Performance Metrics and Performance Data Requirements

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

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

i. Process Mapping

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

2. Assumptions and Constraints

a. Assumptions

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

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

b. Constraints

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

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

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

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

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

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

2. Business Solution Alternatives

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

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

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

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

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

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

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

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

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

3. Rationale for Selection

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

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

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

a. Assessment Results

The results of this assessment are outlined in this section.

i. Alternative One (1) – Maintain Current System

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

Assumptions

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

Cost

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

Risks

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

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

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

Table 1. Alternative One – Maintain Current System

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

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

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

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

It is based on the following:

Assumptions

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

Cost

- Total project cost will be approximately $21 million (includes staffing, software, hardware, and services). Refer to Appendix G for details.

Risks

Some of the risks include:

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

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

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

Table 2. Alternative Two – Vendor Product with Customization

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

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

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

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

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

It is based on the following:

Assumptions

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

Cost

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

Risks

Some of the risks include:

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

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

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

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

4. Recommended Business Solution

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

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

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

a. Reduced risks to the state

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

b. Higher level of experience

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

c. Better evaluations

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

d. Reduction of organizational stress

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

e. Achieve compliance to FDLE IT standards

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

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

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

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

D. Functional and Technical Requirements

The CCH Modernization Business Requirements can be found in the Statement of Work (SOW).

III. Success Criteria

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

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

Table 4. Success Criteria				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1.	Elimination or reduction of manual processes	It will be measured by a reduction in printing supplies and paper consumption. It will also be measured by a reduction in paper packets being moved between sections.	✓ FDLE	10/16 Completed
2.	Elimination of ancillary systems used for logging	It will be measured by the data migration of the MS Access databases for Name Change, Quality Control, and Dispositions.	✓ FDLE	10/16 Completed
3.	Modern foundation and architecture which allows for newer technologies and supports the system	It will be measured by evaluating if the system is running on current industry defined modern hardware and software products. In addition it will be measured by improved integration with current technologies and systems, e.g., BIS, FCIC, Informatica Name Search.	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	11/18
4.	Automate and improve turnaround times for identified services and tasks	It will be measured by calculating the time it takes to process quality control requests.	✓ Public	11/18
5.	Successful migration of CCH data	It will be measured by the system containing the all data from the legacy CCH system.	✓ FDLE	11/18
6.	Implementation of a DR system	It will be measured by the existence of a DR system for the CCH production system.	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	01/19

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

A. Benefits Realization Table

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

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

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

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

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

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

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

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

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

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

The following pages contain a summary of tangible and intangible benefits for a new CCH system. The estimates for the tangible benefits were developed conservatively, and were based on actual workload and other relevant statistics. Benefit calculations totaling **$3,858,001** have been prepared over a five-year cost period. The benefits realization began in FY 2016-17 with the implementation of document management and workflow. The remaining benefits will be realized beginning in FY 2018-19 following the implementation of the CCH functionality.

Many of the estimates represent improvements and efficiencies in work processes that will allow FDLE to add new services and maintain productivity in the face of growing workload demands. The current growth rate is an average of 4% (refer to Appendix L – Historical Growth Rates). It should be noted that these numbers do not represent actual positions that would be eliminated but are cost avoidance. By redeploying these resources, FDLE will be able to address the ever-increasing legislatively mandated workload requirements, provide additional services demanded by customers, and reduce the need to request additional staffing. This is a significant benefit for both the agency and the state of Florida – increasing service and high availability (through use of a DR) without increasing staff.

Table 5 provides a robust description of the value gained by modernizing the system.

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
1.	Modern system for the 21st century	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	The current CCH system originated more than 45 years ago and it was designed to respond to criminal justice agencies allowing them to share criminal history data via teletype. The system has been modified to add different functionalities that it was never intended to perform. A modernized CCH system will be designed with modern needs considered and utilizing modern technology. It will have a framework that is scalable and extensible allowing it to respond and adapt to the Internet age, provide new functions and services, and comply with new laws.	A modern system for the 21st century will be measured by the implementation of at least one of the desired "modern" functionalities, efficiencies, or improvements.	11/ 18
2.	Improved public safety	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The "cost of a life" is priceless. A new CCH system will be able to improve the speed in which data is updated from the source agency and thus improving the integrity and completeness of the data. The public as well as criminal justice officers benefit from decisions made based on the most current data available. The decisions of the officers on the street and of the FDLE Firearm Purchase Program can impact the life of an officer or a citizen.	Improved public safety is not easily measured.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
3.	More complete and timely data for the criminal history checks *(Non-criminal Justice)*	Intangible	✓ Public ✓ Vulnerable populations ✓ DCF ✓ DJJ ✓ AHCA ✓ DOH ✓ APD ✓ DOACS ✓ DBPR ✓ Elder Affairs	Today, the Florida legislature has required criminal history checks in more than 125 Florida Statutes for more than 130 different groups. These checks are mandated to protect the public at large and, in some cases, specific populations. Many professions, occupations, positions, and licenses require a state and national criminal history checks performed for suitability to practice and for the safety of the public. The legislature sees the value in criminal history data by requiring criminal history checks. For example, criminal history checks are required for concealed weapon/firearm licenses and public school employees. The ability to receive complete and timely Florida criminal history check information is crucial as it directly influences employment and licensing decisions for groups that provide services to vulnerable populations such as doctors and nurses, day care workers and nursing home employees. While the listed agencies benefit by more streamlined screening, the true benefits are for the populations they service who are more protected.	More complete and timely data for the criminal history checks *(Non-criminal Justice)* use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	11/ 18
4.	More complete and timely data for the criminal history checks *(Public)*	Intangible	✓ Public	The general public has the ability to run Florida criminal history record checks and receive responses in minutes. They can run criminal record checks on other people such as employees, home contractors, or childcare providers. Having complete and timely criminal history information can make the difference in protecting one's business, home, and family.	More complete and timely data for the criminal history checks *(public)* use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
5.	Improve the impact to the economy	Tangible	✓ Public	Many companies perform criminal record checks on individuals before they extend an employment offer. If the CCH system were to be unavailable for an extended period of time, public record checks would not be available, thus potentially delaying the hiring of people. This could impact private employers who may require criminal record checks for specific personnel. External customers indicate that receiving the information on a timely basis is one of the most critical requirements in order to avoid hiring individuals who may have to be let go later due to their criminal history. If the current CCH were to be unavailable for an extended period of time, these external customers would be impacted. They may choose to hire and train an individual and wait for the criminal history check results. Mitigating the risk of the system being unavailable for a week could save employers an estimated $77,700 by not hiring more than 51 disqualified people. The numbers are significant, but the assumptions used were very conservative. Several studies have shown the cost of hiring the "wrong" employee is very high, as much as one (1) to three (3) times the annual salary when all costs are factored. The new CCH system will provide disaster recovery which will help mitigate a major system outage and thus allowing employers to make better hiring decisions.	The benefit of improved impact to the economy will be measured by the implementation of a disaster recovery site.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
6.	More complete and timely information for criminal justice use	Intangible	✓ Public ✓ Law Enforcement Agencies ✓ Department of Corrections ✓ Courts ✓ State Attorneys ✓ Jails	The completeness and timeliness of criminal data have a significant impact on criminal justice decisions which increase public safety. Examples are: • Investigations • Arrests and booking decisions • Pre-trial release (bail and bond) decisions • Charging decisions • Jail classification decisions • Sentencing and disposition decisions • Custody classification decisions A new CCH would provide improved methods of receiving data, storing data, and displaying data. These improvements will provide more complete and timely data.	More complete and timely information for criminal justice use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new CCH system.	11/ 18
7.	Improved statute literal description	Intangible	✓ Criminal Justice Agencies ✓ State Attorneys ✓ Courts ✓ Judges ✓ All CCH Customers	The term statute table refers to a library of Florida Statutes. Today, there are separate tables in use at different agencies, which have created the problem of inconsistency across the state of Florida. One of the reasons for the different tables stems from a size limitation in the current CCH design for the statute literal description. It is important to display the full statute description to eliminate confusion and provide more complete data.	The improved statute literal description will be measured by the displaying of the full literal description in the new CCH system.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
8.	Improved statute table management	Tangible	✓ Criminal Justice Agencies ✓ State Attorneys ✓ Courts ✓ Judges ✓ All CCH Customers ✓ FDLE	A new CCH system will provide a more flexible statute table by improving the management of the statute data and provide the ability to export the statute data for external customers. Over time, local state attorneys will be able to save time by using the FDLE CCH statute table. They cannot use the table due to the table's limitations, but in the future, a modernized CCH system will resolve the issues. Note: this benefit may be tangible in the future, but it may be a long time before all courts, state attorneys, etc. use the improved statute table. The management of the statute data will be improved by eliminating the disconnect that requires updates to multiple statute tables in the current CCH system. In the current CCH system, a user must update multiple tables to add new active statutes and to disable statutes. The new CCH system will provide one central repository and mechanism for managing statute data, which will make it easier to update. In order to provide statute data to external users, through data exports, other databases have been created outside the current CCH system. To maintain the statute data in these other databases, programmers must run scripts to update them and keep them in sync with the CCH statute data. Over the first five (5) years of the new system, it is estimated to save $6,700 and 100 hours.	The improved statute table management will be measured by efficiencies realized from the streamlined management of the statue table in a modernized CCH system.	11/ 18 Realization began with the implementation of statue maintenance module

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
9.	Improved method for storing and displaying reclassifiers, such as enhancers and reducers *(charge enhancers or modifiers)*	Intangible	✓ Criminal Justice Agencies ✓ State Attorneys ✓ Courts ✓ Judges ✓ All CCH Customers	Charge reclassifiers, such as enhancers or reducers that raise or lower the severity of a charge, are not a part of the data structure and are difficult to populate in the current CCH system. The ability to record the enhancing and reducing factors for statutes, such as wearing a mask or with a gun and attempted or conspiracy to, fails to present a full picture for everyone who uses the CCH data. The modernized CCH repository will create separate fields that apply to the principal charge that will better reflect the incident that led to the arrest and will have fields for enhancing or reducing factors.	The improved method for storing and displaying reclassifiers will be measured by how they are displayed on the RAP sheet.	11/ 18
10.	Criminal history information will be enhanced with images	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ Courts ✓ State Attorneys ✓ Corrections ✓ Jails	The ability to display images on the RAP sheet can be an important tool. Images are helpful in verifying individuals, especially those with common names. Public safety is impacted as judges can use them to verify the criminal history they are reviewing is associated with the person standing in front of them in court.	The criminal history information will be enhanced with images and will be measured by the ability to display images on the RAP sheet.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
11.	Improved modernized RAP sheets – ability to display name and descriptors for each arrest event	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ Courts ✓ State Attorneys ✓ Jails	The current CCH system records all the descriptors, such as name, height, weight, hair color, eye color, etc., regarding an individual. All of the descriptors are listed for the individual, but they are not associated with the event when they were reported. As a result, it is not possible to display which descriptors of the person were used for each arrest. When someone has used a lot of names, it is even more critical to know the name used at a specific event. It is important to associate the name arrested under and the name at the time a subject was charged or convicted.	The improved modernized RAP sheets will be measured by how displaying the name and descriptors used at each event.	11/ 18
12.	Improved modernized RAP sheets – ability to filter or group data	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	New defined RAP sheets will be created based on business needs. The new RAP sheets will enable the customer the flexibility they need such as applying filters and grouping to the data. This can save customers valuable time by allowing them to display the data in a way that best suits their needs. One example is the ability to filter felony convictions or type of crime for licensing.	The improved modernized RAP sheet will be measured by the ability to filter or group data.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
13.	Updated and improved RAP sheet presentation	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The new CCH system will provide updated style sheets for the RAP sheets. The style sheets will provide enhancements to the presentation such as highlighting/color coding for specific items for emphasis and readability. It is important to offer these enhancements to help the reader identify key items quickly and to prevent the reader from overlooking a critical decision making item. FDLE will provide its style sheets to customers to allow them to take advantage of the enhanced RAP sheet presentation and the ability to create their own.	The updated and improved RAP sheet presentation will be measured by the ability to provide customers with style sheets containing the enhancements.	11/ 18
14.	Customizable RAP sheets using a modern delivery system	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The new CCH system will be able to provide the RAP sheet in a flexible delivery method. This will allow customers to use the data in a more efficient manner. They will be able to extract the data and store locally. The modern versions of the RAP sheets can save time and provide more complete results to large volume external customers. Many large volume external customers are screen scraping the RAP sheet to get the data. This is not an efficient method for these customers to capture and store data. Examples of the large volume customers are: • State agencies • Theme parks • Background companies Criminal justice agencies, such as the Department of Corrections, will be able to integrate data from the RAP sheet into their data systems.	The customizable RAP sheets that conform to national standards by using a modern delivery system will be measured by the ability to provide the modern versions of the RAP sheets in a more flexible method to customers.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
15.	More readable RAP sheet summaries based on business needs	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The current CCH displays all the charges and counts for an arrest on the RAP sheet. However, if someone has hundreds of charges for something such as check fraud, the RAP sheet can be extremely long. The modernized summaries of the RAP sheet will be able to generate total counts (e.g., 101 charges of check fraud). This will reduce the length of the RAP sheet, but still maintain the accuracy of the data.	The variety of RAP sheet summaries based on business needs will be measured by the ability of the new CCH system to provide a variety of RAP sheet summaries.	11/ 18
16.	Improved linkage of rearrests, including violations of probation and failures to appear	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ Courts ✓ FDLE	Rearrests, including violations of probation and failures to appear, are not easily linked to the original charge and can be confusing on a RAP sheet. It is important that the link be made on the RAP sheet especially for pre-trial services. It will give judges complete information for making the right decision for the individual. A new CCH system will resolve the issue of how violations of probation and failures to appear are stored and displayed, thus enhancing its presentation on the RAP sheet.	The improved linkage of rearrests will be measured by displaying rearrests on the RAP sheets.	11/ 18
17.	Provide customers with "hot links" to other agencies	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The CCH system is unable to provide links to other external data sources on the RAP sheets. If a user needs more detail, he or she must take the time to access each data source (or agency) separately. The new CCH system will be able to provide links to other external data sources on modernized RAP sheets.	The ability to provide customers with "hot links" to other agencies will be measured by the ability of the RAP sheets to display them.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
18.	Improved readability of RAP sheets	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	The current text-based RAP sheet was developed many years ago. It was designed to work on green screens and teletype. The green screen was limited to 24 lines of text. The current RAP sheet prints the page numbers after 24 lines. As a result, items like page numbers and continue lines do not line up with 8 ½ x 11 sheets of paper, which can display more than 24 lines. The result is new page numbers printing in the middle of pages. The modernized RAP sheet will be able to resolve these issues, because it will be designed for modern technology.	The improved readability of RAP sheets will be measured by a redesigned RAP sheet.	11/ 18
19.	A portal for electronic submission of added charges and modifications by agencies	Tangible	✓ Criminal Justice Agencies ✓ FDLE	Agencies are not able to add additional charges or modifications to the data they submitted to FDLE without a manual process. Currently, they must re-fingerprint the subject or complete a form with the requested changes and submit it to FDLE via email, fax, or mail. A new CCH system will allow local agencies to submit additional charges or corrections to errors electronically, thus improving the timeliness of data updates. The process is anticipated to realize a five (5) minute savings per set of added charges submitted, which is a 42% increase in efficiencies to correct data and make it available for use. The total estimated cost avoidance for the agency corrections labor efficiencies during the first five (5) years of the new CCH system is $270,393 and a total of 16,763 hours of labor efficiencies saved. Today, not all agencies submit added charges or modifications to the data they previously submitted to FDLE. This can result in incomplete RAP sheets and problems matching court data to the arrests. It is anticipated more agencies will submit their changes due to the ability of the new CCH system to allow agencies to submit the changes through an easier, quicker, and more efficient process. This will greatly improve the completeness of the criminal history data.	Agencies will be able to submit added charges and corrections to errors electronically. FDLE will measure the cost avoidance by calculating the time it takes to process an agency's added charge or correction to data.	06/23

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#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
20.	Improved quality assurance and accountability (full audit logging)	Intangible	✓ FDLE	The CCH system does not provide full record auditing and can only provide the name of the person and the date of the most recent change. The current auditing functionality is a manual process that could be manipulated and it has steps that could contribute to inadvertent errors. It does not have the ability to provide historical research of changes to a record over time. To create a more complete audit, the Criminal History Record Maintenance section scans the records before and after each transaction to create an audit log because the system cannot provide this feature. External ancillary databases are also created to maintain a log. The new CCH system will provide full audit logging for every transaction including what it was before and after the change, who made the change, and when the change was made. This will improve the visibility to the change process and provide greater accountability for those who maintain the repository.	The improved quality assurance and accountability will be measured by the ability of the new CCH system to have full audit logging.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
21.	Improved performance monitoring and tracking of customer requests	Tangible	✓ FDLE	Another benefit from the new CCH system is the reduction in manual logging of paper. To keep track of customer work requests and to document their receipt and completion, work logs have been created. Some logs are in the form of Microsoft Access databases. They were created to act as an audit log. Each piece of paper is logged multiple times (e.g., it is logged each time a section receives it and sends it out). In order to find a specific piece of paper the person must call each section to see if they have it. Workflow in the new CCH system remarkably reduces the current tasks of logging and eliminated the use of the Microsoft Access databases. Efficiencies are gained by maintaining data in one (1) consistent place that is accessible through permissions. The total estimated cost avoidance from logging during the first five (5) years of the new CCH system is $589,915 and a total of 34,414 hours of labor efficiencies saved. FDLE has realized benefits beginning in FY 2016-2017 with the implementation of the workflows. The benefits of $21,381 have been realized.	The reduction in logging will be measured by calculating the time saved by not logging.	06/23 Realization began with implementation of workflows

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#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
22.	Improved method for recording compromised identity information	Intangible	✓ Public ✓ Criminal Justice Agencies	Improving the method of recording compromised identity is important for all users of CCH data, especially the victim. As more identities are stolen, the need to precisely record this information in the Florida criminal history repository is critical to the integrity of the data. The current CCH system does not have a clear way to indicate what specific false information a subject may have used for a specific event. For example, a subject may use another person's name, date of birth, or social security number when he or she is arrested. The new CCH system will provide a more efficient manner for distinguishing what information may have been compromised. A victim of compromised identity may encounter issues when trying to get hired or in an interaction with law enforcement. If the victim of potential compromised identity reports the issue to FDLE, FDLE will research the claim to confirm if the potential victim's identity was compromised. FDLE in the new system will be able to indicate exactly what data was compromised and during exactly what event. For example, when an officer or employer runs a RAP sheet, the information will display exactly what was compromised. This will help both the victim and the people relying on the RAP sheets for decision-making.	The ability to improve how compromised identity information is stored will be measured by the ability to display exactly what data was compromised and for exactly what event on the RAP sheet.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
23.	Enhanced management of manual processes	Tangible	✓ FDLE	Customer requests in the form of paper must be managed throughout their processing. These papers are physically moved from section to section for processing. The task of physically moving paper would be greatly reduced with the implementation of workflow in the new CCH system. FDLE CJIS sections rely heavily on physically moving paper between sections through interoffice mail. This can result in the paper sitting somewhere for hours before it is transported to the appropriate section and then returned later once the paper has been worked. The result of this inefficiency is a negative impact on external customers as well as internal CJIS personnel. An example of a delay is a FDLE staff member could finish working on a Firearm Purchase Program disposition decision and complete it at 4:15 p.m. However, the interoffice mail last picked up for the day was at 4:00 p.m. in his or her section. The decision would not be received to the Firearm Purchase Program until the next morning. Since the Firearm Purchase Program works beyond 5 p.m. to make decisions on firearm purchases, they would have been able to work the final decision. As a result, the customer would be impacted. The new CCH system will have a workflow built-in allowing the requests to be automated and electronic. This will eliminate the need to send paper through interoffice mail thereby reducing delays and increasing responses to FDLE customers. The reduction in time spent physically moving paper would be 1,300 hours and a cost avoidance of $18,369 over the first five (5) years of the new CCH system. FDLE has realized benefits beginning in FY 2016-2017 with the implementation of the workflows. The benefits of $1,836.90 have been realized.	The amount of paper will be greatly reduced. As a result, the time taken to pick up and deliver paper from section to section will be measured by calculating the time it takes to deliver the interoffice mail.	06/ 23 Realization began with implementation of workflows

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
24.	Reduction in scanning paper	Tangible	✓ FDLE	A major operational benefit is the ability to reduce the need to scan significant amounts of paper. The paper items consist of information (e.g., various forms, court orders, hard cards) that creates a "work effort" for respective FDLE members. The documents support actions/changes in a criminal history record. Currently, several CIB sections scan paper. The reason paper is scanned is to create an audit trail and an electronic copy of the received documents. The tasks of scanning paper would be substantially reduced by the workflow in a modernized CCH system. The total estimated cost avoidance from scanning paper for all CIB sections for five (5) years is $1,909,916 and a total of 136,524 hours of efficiencies saved. Most of the scanning of paper is performed by using funds from federal grants, which are not a reliable source of ongoing funding. FDLE has realized benefits beginning in FY 2016-2017 with the implementation of the workflows. The benefits of $57,011 have been realized.	The reduction in scanning paper will be measured by calculating the amount of scanning that is required after the implementation of the new CCH system.	06/ 23 Realization began with implementation of workflows
25.	Reduction in paper usage *(including toner and drums)*	Tangible	✓ FDLE	A large reduction in paper and toner would be realized since it is anticipated the amount of printing required would be reduced with a new CCH system. FDLE identified the percentage of specific printers and faxes used for CCH activities that would be either eliminated or reduced due to a new CCH system. Many times, packets are printed and scanned before they are worked and after they are completed. A modernized CCH system will help automate processes, which will allow the respective sections to become more efficient. It is estimated that the cost savings for paper, toner, and drums from a new CCH system will be $49,516 over five (5) years starting in FY 2018-19. However, FDLE has realized benefits beginning in FY 2016-2017 with the implementation of the workflows. The benefits of $8,383 have been realized.	FDLE will use less paper, toner, and drums. As a result, the expenses for these items will be down. The invoices for the five (5) years will be added together to analyze the cost savings.	06/ 23 Realization began with implementation of workflows

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
26.	Reduction in shredding costs	Tangible	✓ FDLE	Once a paper packet is scanned, a hard copy is no longer needed. A majority of the data in the paper packets are confidential. As a result, the paper packets are shredded. FDLE's FY 2013-2014 contract for shredding is with Confidential Shredding & Recycling for document destruction. The reduction in printing as a result of the new system efficiencies will also allow FDLE to realize a savings in shredding costs. The total estimated cost savings for shredding is $1,626 for five (5) years starting in FY 2017-18 (savings not realized in FY 2016-17 based on contractual obligations). Due to the sensitivity of the data, a FDLE clerk must watch the company shred the paper. It takes an average of 30 minutes for the company to shred the paper each time it is picked up. Over five (5) years starting in FY 2017-18 it is estimated to be $1,212 and 130 hours. This is additional time saved through the reduction in shredding. The estimated total combined shredding savings is $2,838.	FDLE will call the shredding vendor less and as a result, the invoices will be less. FDLE will be able to add the invoices for the five (5) years to develop the cost savings.	06/ 23

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
27.	Improved efficiencies for the quality assurance activities	Tangible	✓ FDLE	The Criminal History Record Maintenance section would realize the biggest efficiencies from a new CCH system. The Criminal History Record Maintenance section identified nine (9) quality assurance activities that would see a significant impact either from the new workflow or to FDLE's customers from a new CCH system. The nine (9) activities were used for the cost benefit; however, it is important to note that other activities may realize a savings as well. Two of the quality assurance activities have a significant impact with a new CCH system. They are "A Portal for Electronic Submissions of Added Charges and Modifications by Agencies" and "Compromised Identity." They have been singled out and are described as separate benefits. The total estimated cost avoidance for the Criminal History Maintenance labor efficiencies for the seven (7) activities during the first five (5) years of the new CCH system is $470,389 and a total of 24,862 hours saved.	FDLE will calculate the time it takes to complete the quality assurance activities after the implementation of the new CCH system and compare it to the time it takes with the current CCH system to determine the cost avoidance for the five (5) years.	06/ 23

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
28.	Improved processing time for compromised identity claims	Tangible	✓ Public ✓ Individuals who have had identity compromised ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	Offenders can provide someone else's information when arrested. This creates a criminal history record that contains the victim's information. As a result, FDLE has dedicated staff that must research claims of compromised identities. This is a very time consuming and laborious process to research. Utilizing the current Microsoft Access database and current CCH system FDLE staff spends an average of 14 hours and 50 minutes on each claim. The new CCH system will incorporate the Microsoft Access database with compromised identity data with the CCH system to alleviate working in multiple systems. In addition, the new CCH system will provide workflow and other system efficiencies to help reduce the time it takes to complete a compromised identity claim. It is critical to the potential victims due to issues he or she may face while the research is being conducted, but also to FDLE as claims increase each year. The total estimated cost avoidance for the compromised identity efficiencies during the first five (5) years of the new CCH system is $63,550 and a total of 3,382 hours of efficiencies saved.	FDLE will calculate the time it takes to complete a compromised identity claim after the implementation of the new CCH system and compare it to the time it takes with the current CCH system to determine the cost avoidance for the five (5) years.	06/ 23

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
29.	Ability to send notifications to the submitting agency	Intangible	✓ Criminal Justice Agencies	During the 2012 Needs Assessment Work Group meetings with other external law enforcement agencies, the agencies indicated receiving notifications when their agency modifications had been made would be a great benefit to them. The current CCH system does not provide any notification to agencies, so the only way an agency can validate a change has been made is to query the record again). A new CCH system would be able to provide the notifications to them on the status (e.g., successful or unsuccessful) of their requested agency correction. A law enforcement representative from the work group meetings indicated that it is important to receive feedback regarding the changes; otherwise, the agencies will have to continue checking the system to verify the change has been made. Additionally, if information is attached to the wrong person, it is critical to get the information verified and fixed in a timely manner. It could impact criminal justice decisions. Currently, it can take up to three (3) to five (5) days to complete the added charges or modifications. As a result, some counties submit duplicate requests. It can lead to wasted time researching a request that has already been completed or multiple people working on the same request at the same time. The new CCH system will eliminate this issue through validation and the ability for the counties to check the status of their requests on-line. The reduction of duplicates in conjunction with the time saved will improve the turnaround time of agency added charges and modifications.	The ability to send agency corrections notifications to the submitting agency will be measured when the new CCH system can successfully send notifications to the submitting agency.	11/ 18 Realization began with implementation of workflows

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
30.	Improved post-judicial data	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ Courts ✓ State Attorneys ✓ Jails ✓ FDLE	While there are multiple types of post-judicial events in Florida, only Specific Authority to Own, Possess or Use Firearms and Full Pardon ordered by the Governor and Cabinet acting as the Clemency Board are recorded in CCH today. A new CCH system will have a separate post-judicial event to record such things as Restoration of Firearm Rights, Exoneration, and Pardons. This will improve the completeness of the CCH data.	The improved post-judicial data will be measured by the ability of the new CCH system to receive and store post-judicial events.	11/ 18
31.	Improved data through data cleansing	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	Part of the process of implementing a new CCH system will be a migration and conversion of data from the current CCH system to the new one. The data migration/conversion will provide the opportunity for data cleansing. Data will be analyzed as part of the cleansing process.	The improved data through data cleansing will be measured by the data conversion/ migration process.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
32.	Modern architecture will provide the ability to integrate with different technologies	Intangible	✓ Criminal Justice Agencies ✓ FDLE	The current CCH system originated more than 40 years ago, and aspects of the original system still remain unchanged. The system was not designed to perform all of the tasks it does today. The significantly outdated processes and technology result in excessive time for development and maintenance of the system. A new CCH system would improve maintainability and facilitate needed modifications (e.g., due to new statutory requirements), as well as being more user-friendly, complete, and timely. Some examples of technology improvements are: • The use of GRA and NIEM will enable the new CCH to share data with partner agencies in a standard form such as the current National RAP sheet. • The new CCH will provide open systems technology that is compatible with emerging technology to improve integration with current technologies such as livescan and the Internet. • The new CCH will be able to manage growth in criminal arrests and court data, as well as tremendous growth in background screening and criminal justice inquiries.	The ability of the modern technology to integrate with different technologies will be measured by the use of NIEM, the open architecture, and the ability to manage growth/capacity of the system.	11/ 18
33.	Configurable reports and letters	Intangible	✓ FDLE	Changes to reports and letters will be a simple process in the new system. For example, a change to an expunction letter to increase the time limit from six (6) months to (12) months due to a change in statute required a change in the current CCH system. This is a CCH system generated letter from a template that is hard coded and required a programmer to make the change. This type of change in the new CCH system would be able to be completed by the business unit and would not require a programmer.	The configurable reports and letters will be measured by the ability of the business unit to modify letters and reports without a programmer in the new CCH system.	11/ 18 Realization began with implementation of workflows

Table 5. Benefits Realization Table

#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be measured?	Realization Date (MM/YY)
34.	Improved usability of the system and reduction in training	Intangible	✓ FDLE	The current CCH system's interface is a green screen terminal (terminal emulator). Today in the Internet age, people are accustomed to and know how to use web applications. However, they do not know how to use green screens (terminal emulators), and as a result, the learning curve is greater for the current CCH system than other FDLE web-based applications. It uses codes and numbers to represent words and phrases and it is not intuitive. When new FDLE members are hired, they must learn the codes and how to use the green screens. A modernized CCH system will eliminate codes and instead utilize drop-down menus and auto-fills, it will be web-based, and it will provide an on-line help feature. This will: • Reduce training • Minimize errors Ultimately, it will lead to more complete data.	The improved usability of the system and reduction in training will be measured by the ability of new users to learn how to use the system faster and the reduction in user errors.	11/ 18
35.	Elimination of other databases used as workarounds	Intangible	✓ FDLE	The current CCH system cannot provide some very important features needed by FDLE. As a result, FDLE has created a process to periodically extract data from the CCH system and import the data into modern databases. By implementing the data into a system with modern technology, FDLE will be able to perform specific functions with the data that are difficult and time consuming to accomplish with the current CCH system. Workarounds require additional resources to support the processes and ultimately the current CCH system. A new CCH system will be able to provide all the functionality in one cohesive system, which will reduce time spent synchronizing data and maintaining separate systems.	The elimination of other databases used as workarounds will be measured by the ability of the new CCH system to provide the functionality in one cohesive system.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
36.	Improved process of communication with the Courts	Intangible	✓ Public ✓ Courts ✓ FBI (NICS) ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	Dispositions submitted by the courts are validated before they are processed by the current CCH system. The validation and processing are performed by two (2) different systems. When there are validation issues, they are reported back to the Clerks of Court. However, if the current CCH system has an issue processing the data, the problem is not always able to be reported to the Clerks of Court. The issues are researched, but they are labor intensive and time consuming. A new CCH system will incorporate the validation and processing of the data together, thus providing improved and timelier error reporting and communication with the Clerks of Court. The result will be improved quality of information in the criminal history repository.	The improved process of communication with the Clerks of Court will be measured by an improved validation and processing of court data and timelier error reporting.	11/ 18
37.	Improved synchronization of data with the FBI	Intangible	✓ FBI ✓ FDLE	The FBI requires audits/synchronizations with the states at least every six (6) months. In the current CCH system, this audit/synchronization is a manual process. A new CCH system will have an automated audit/synchronization. This will save hours performing the audit and it will allow FDLE to perform the audit/synchronization with the FBI on a quarterly basis. This will improve the data in both the FDLE and the FBI systems.	The improved synchronization of data with the FBI will be measured by the ability of the new CCH system to provide automated audit/ synchronization mechanisms with the FBI.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
38.	Improved system performance	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	The current CCH system has a limited ability to make large-scale updates to a large number of records per day (24-hour period) without degradation in performance to all users and subsequent timeouts to other external interface queries to the CCH system. For instance, if there are two (2) million records that must be modified or updated, only a small portion of records can be changed per day (1 per second or 86,400 changes per day). At this rate, it would take more than 23 days to make the desired change. This is due primarily to the impact on the Rapid ID system. A recent large-scale update in July 2013 took 30 days to complete the update to more than 2.6 million records. As additional workload increases through additional queries from existing systems such as the Rapid ID system or new services that come on-line, they can create additional stress on the current CCH system. The external users could be impacted by a delayed response or no response to their queries. This could be extremely critical and the impact could be the same as if the CCH system is unavailable. A modern CCH system must have built-in mechanisms to handle large-scale updates more efficiently. This will enhance FDLE's ability to maintain and provide complete and timely criminal history data.	The improved system performance will be measured by the ability for the new CCH system to provide mechanisms for handling large-scale updates more efficiently.	11/ 18
39.	Improved database structure	Intangible	✓ FDLE	A new CCH system will have a new database structure that will improve data storage. A relational database will allow for online maintenance of the database data. Additionally, the ease of maintenance and the movement to a new design will allow FDLE to avoid the re-use or re-purpose technique that it has used in its hierarchical database. This will improve data integrity, improve performance of database updates, and improve the database structure.	The improved database structure will be measured by improved data integrity through improved data storage and improved performance of the database updates.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
40.	Broader hiring pool for technical staff	Intangible	✓ FDLE	The current CCH system has many long-time members who work on the system day-to-day to ensure continued service to FDLE's customers. As these members reach retirement, FDLE will lose a tremendous amount of institutional knowledge. The new CCH system will use modern technology. This will benefit FDLE as web-based applications utilizing modern technology is the focus of the curriculum of colleges and universities today. Individuals educated on the most recent web-based application technology would then meet FDLE's hiring requirements. This will provide a broader hiring pool.	The ability to have a broader hiring pool for technical staff will be measured by the responses received from technical position advertisements with modern technical skills.	11/ 18
41.	Improved reporting and statistics	Intangible	✓ FDLE	The current CCH system provides a monthly statistics report on the number of records by type. In some areas, the numbers are not reliable or useable. In those cases, staff must turn to a secondary group to validate or provide the correct number. A new CCH system will alleviate this issue through the use of a relational database it will be able to provide better reports for specific needs.	The improved reporting and statistics will be measured by running reports and statistics from the system and comparing the results with the reports and statistics generated from the current system.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
42.	High availability of the system *(reduction in planned and unplanned outages)*	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	The new CCH system will come with high availability. It will have two (2) production environments, which will include a primary site and a remote DR site. These sites will help mitigate the risk of the system being unavailable for an extended period of time and the redundant systems ensure there is no single point of failure. It is critical that the CCH data be available and the new system would ensure the continuity of operations should a disaster occur. While it is unlikely to occur, events that could trigger such an outage include, but are not limited to, hurricanes, fires, or a domestic security incident. FDLE does not currently have a configured DR site for the CCH mainframe. The new CCH system will be able to maintain service to all these functions. In addition, there will be a reduction in the time the system is down due to planned outages through the use of the three (3) production environments.	The ability to provide high availability of the system will be measured by the implementation of a remote disaster recovery site.	11/ 18
43.	Improved availability of CCH services to other systems	Intangible	✓ Criminal Justice Agencies ✓ FDLE	There could be a significant negative impact to other ancillary systems if the current CCH system is unavailable. One of the potentially affected systems is the BIS, which is directly tied to CCH. The BIS system identifies fingerprints and the CCH system provides details about the person. They cannot stand alone. CCH is part of an enterprise-wide network of systems. If the CCH system is down, the performance of the ancillary systems, such as BIS, will be degraded and/or may have diminished capacity depending on the length of time that the CCH system is not operational. A modernized CCH system will provide redundancy through the use of a primary site, a local standby site, and a remote disaster recovery site. This will reduce the time the CCH system is unavailable.	The improved availability of CCH services to other systems will be measured by the implementation of a remote disaster recovery site.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
44.	Improved registration information	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies	Registration information for sex offenders and career offenders are maintained by the CCH system, SOPS, and COAST. The CCH, SOPS, and COAST systems routinely reconcile their records manually. This manual process is conducted to research and reconcile any differences between the systems. The new CCH system will eliminate this manual process by providing automated mechanisms to validate and synchronize the systems through real-time notifications. Timely correction of the data through role-based workflows will help ensure consistency and completeness of the data.	The improved registration information will be measured by the ability of the new CCH system to provide an automated mechanism to validate and synchronize the system with SOPS and COAST.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
45.	Uninterrupted service to customers	Tangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	It is critical to CCH customers that the CCH system not be interrupted. An interruption to the current CCH system would impact criminal history record checks. Criminal history record checks are processed for multiple reasons: • Criminal (officer and public safety decisions) • Non-criminal (employment decisions) Criminal justice agencies would be unable to receive criminal history data from CCH. The licensing or employment of individuals processed through fingerprints would be delayed if the CCH system were interrupted. The criminal history checks are vital to the safety of the citizens and visitors to the state of Florida. If the service were interrupted, there would be a significant impact to public safety. FDLE would also be impacted from interrupted services. Fees are collected from the criminal history record checks. If the CCH system were to go down, CCH on the Internet (CCHInet) would realize a significant decrease in revenue for FDLE. FDLE does not log CCHInet users and does not know who runs checks through this process. If the current CCH system goes down for one (1) week, the total decrease in revenue would be $253,035.	The benefit of uninterrupted service to customers will be realized by the implementation of a disaster recovery site.	11/ 18
46.	Continual updates to CCH data and timely service to customers	Tangible	✓ FDLE	It is essential that the data in CCH be updated in a timely manner and that customers receive the most up-to-date data. If the current CCH system experienced an interruption in service, updates to the data would be impacted. The impact can be calculated through the lost time of the CIB and the USB sections. If the current CCH system were unavailable for one (1) week, the total time lost for both groups would be 3,840 hours or $77,094. A modernized CCH system will reduce the risk of an extended CCH outage. The new CCH system will have redundant failover systems to provide high availability.	The benefit of continual updates to the CCH data and timely service to customers will be realized by the implementation of a disaster recovery site.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
47.	Reduce the potential for overtime situations – due to a system outage	Tangible	✓ FDLE	The USB section provides services and data to customers such as criminal history checks. For the USB section, there would be substantial overtime costs associated with catching up after the unavailability of the system lasting one (1) week. When back in normal operations, customers of the CCH system would still be impacted because of the time it would take to catch up from the outage. The costs for the catching up can be calculated in terms of overtime for USB. In this scenario, the total costs for overtime would be $49,420.	The benefit of the reduced potential for overtime situations will be realized by the implementation of a disaster recovery site.	11/ 18
48.	Avoid the possibility of firearms being released to prohibited individuals	Intangible	✓ Public ✓ Criminal Justice Agencies	A safety risk could occur if the current CCH system were to be unavailable for a period longer than one (1) business day. According to Florida Statute 790.065, licensees (firearm dealers) may legally release firearms to buyers without a final response from FDLE for the criminal history check after one (1) business day. This means that if the system were to be unavailable on a Sunday and a dealer requested a firearm check, the dealer could legally release the firearm after 5 p.m. on Monday, if that is the close of the dealer's business day, due to not receiving a response from FDLE. This could result in potentially 256 firearms per week released to individuals who are prohibited from possessing them. Even one (1) firearm weapon in the hands of someone prohibited from possessing one puts the safety of the public and law enforcement at risk. The new CCH system will provide disaster recovery, which will help mitigate a major system outage.	The ability to avoid the possibility of firearms being released to prohibited individuals will be measured by the implementation of a disaster recovery site.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
49.	Lessen the risk to officer safety and reduce the impact to law enforcement workloads to retrieve firearms released to prohibited individuals	Tangible	✓ Criminal Justice Agencies	The risk of a firearm getting into the hands of a person who is prohibited from possessing one adds to the dangers that police officers face. Upon the system returning to normal operation after a system outage extending more than a day, the dealers would then need to notify law enforcement officials of any released firearm to prohibited individuals. The most significant aspect of this is that it places a significant risk to those police officers who must locate and retrieve the firearms. In many cases, for officer safety, multiple officers must go out to retrieve the firearms. It is estimated to take an average of four (4) hours for a Sheriff's department to retrieve each firearm. To retrieve more than 256 firearms released during a seven (7) day outage, the estimated retrieval cost would be $19,164, and a total of 1,027 person-hours. In addition, it may take many days or weeks to research, find, and retrieve all of the firearms released to ineligible individuals. This will place a significant burden on law enforcement agencies and public safety.	The benefit of lessened risk to officer safety and reduced impact to law enforcement workloads for retrieving firearms released to prohibited individuals will be realized by the implementation of a disaster recovery site.	11/ 18
50.	New data fields for subjects	Intangible	✓ Public ✓ Criminal Justice Agencies ✓ Non-criminal Justice Agencies ✓ FDLE	Today in CCH, limited information is stored about a person's identity. A new CCH system will enhance the data elements and information stored about a person including information about his or her biometrics. The identity information will also be stored at the event-level (e.g., arrest, booking, incarceration, and disposition). These changes will improve the records stored in CCH, and they provide complete data for better decision making.	The new data fields for subjects will be measured by the ability of the new CCH system to be able to store and display new data fields for each subject and for each event.	11/ 18

Table 5. Benefits Realization Table						
#	**Description of Benefit**	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be measured?**	**Realization Date (MM/YY)**
51.	FDLE will be more Eco-Friendly	Intangible	✓ Public ✓ FDLE	One of the many benefits of a new CCH system is that FDLE will be more environmentally friendly. The reduction in paper, toner for printers, and printer drums will allow FDLE to be more Eco-Friendly and improve its Go Green initiatives. It is estimated that a new CCH system will potentially save FDLE from consuming more than 4.8 million sheets of paper or 973 boxes of paper during five (5) years starting in FY 2017-18.	The ability for FDLE to be more Eco-Friendly will be measured by FDLE's ability to save paper and reduce the number of boxes of paper it consumes.	06/ 23 Realization began with workflow implementation

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B. Cost-Benefit Analysis

1. Cost-Benefit Analysis Results

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

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

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

FDLE processed more than 3.8 million criminal history record checks for non-criminal justice purposes in fiscal year 2016-17. Of the requests, 1,053,701 were for state-only name searches, 1,030,662 were for FPP checks, and 1,742,499 were for fingerprint-based state and national checks. It is critical for the criminal history checks to be processed timely, the data complete, and the responses efficient. These can all be improved through a modernized CCH system.

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

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

The future viability of FDLE's criminal history record checks depends largely on the completeness and timeliness of the records in the central repository. It also depends on the efficiency with which services are delivered. If the CCH system is operated and maintained effectively, FDLE can enhance the services that its customers want and need. This means that revenue will need to be in place to sustain the central repository into the future. Table 6 provides the estimated costs associated with the new CCH system.

Table 6. New CCH System Costs	
New CCH System Development (FY12-13 to FY18-19)	$21,227,009
New CCH System Average Annual Operations & Maintenance	$2,654,038
New CCH System Lifecycle Cost (FY12-13 to FY18-19)	$23,881,047
Status Quo (FY12-13 to FY18-19)	$13,440,677
Difference	$10,440,370
Average Annual Cost Difference	$1,491,481

See Appendix E for the Cost-Benefit Analysis Worksheets.

Table 7 breaks out the anticipated project costs for each applicable fiscal year.

Table 7. Project Development/Implementation Cost Estimates

Category	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Total
Staff								
State	$0	$30,261	$123,608	$305,599	$430,609	$442,154	$331,615	$1,663,846
Contract	$469,768	$271,636	$442,790	$444,258	$405,662	$558,800	$419,100	$3,012,014
Hardware	$0	$0	$0	$526,242	$55,427	$100,000	$0	$681,669
Commercial Software	$0	$0	$360,112	$1,377,850	$1,295,764	$1,002,830	$2,050,000	$6,086,557
Custom Software	$0	$0	$0	$1,042,837	$2,349,758	$1,645,780	$540,000	$5,578,375
Services	$0	$0	$0	$598,915	$777,238	$1,166,351	$1,556,740	$4,099,244
Other	$0	$0	$0	$53,856	$12,388	$39,060	$0	$105,304
Totals	**$469,768**	**$301,897**	**$926,510**	**$4,349,558**	**$5,326,847**	**$4,954,974**	**$4,897,455**	**$21,227,009**

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

See Appendix G for Project Cost Estimate details.

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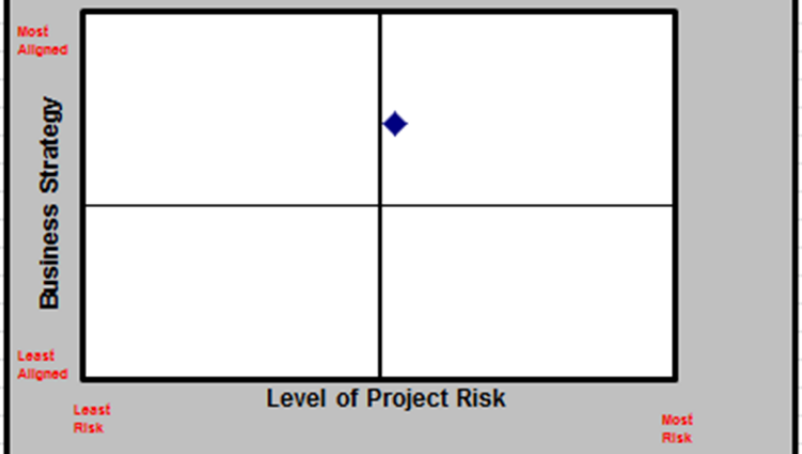
V. Schedule IV-B Major Project Risk Assessment

A. Risk Assessment Summary Table

Project	omputerized Criminal History (CCH) Modernizatio	
Agency	FDLE	
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title:	
Issue Code	Replace CCH System	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Renee Strickland, 850.410.8195, reneestrickland@fdle.state.fl.us		
Executive Sponsor	Charles Schaeffer	
Project Manager	Renee Strickland	
Prepared By	Renee Strickland	8/3/2017

Risk Assessment Summary



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

Figure 1. Risk Assessment Summary Table

See Appendix H for the complete risk assessment.

B. Risk Assessment Summary

The overall risk is medium due to factors listed below:

- Strategic – The agency has partially documented its vision for how changes to the proposed technology will improve its business processes.
- Technology – External technical resources will be needed for implementation and operations (1st year).
- Change management –Not all of the process changes are defined and documented.
- Communication Area – The Communication Plan does not include all desired messages, outcomes, and success measures.
- Fiscal – The estimated project lifecycle costs are more than $10 million.
- Project Organization – Half of the in-house resources have the necessary knowledge, skills and abilities to staff the project team.
- Project Management – Not all of the Design Specifications have been defined or documented.
- Complexity – Business process changes may be statewide or to multiple agencies.

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

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

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

The CCH system was developed more than 45 years ago and it runs on a Unisys mainframe computer. It uses a 4th generation programming language that produces compiled COBOL programs and stores the criminal records in a DMSII hierarchical database. Completeness, effectiveness, and timeliness are major factors for updates and disseminations of criminal history records. It is a central part of the Florida Criminal Justice Information System, and it supports a large portion of the information services provided by FDLE. Over the years, mandated functionality has been added and this has resulted in a patchwork of code in the system. The original system architecture was never designed to be used in the manner that it is required to do today. This results in added manual processes in ancillary systems since the current system cannot provide these functions. The current system is accessible through emulation software by modern desktops but this does not equate to a friendly user experience. The learning curve is much greater for new personnel when current staff retires since most people do not know how to use emulation software. The major activities on the CCH system are as follows:

1. Current System

a. Description of Current System

i. Direct User and User Types

- FDLE users (internal) – 170 direct users
- LOGAN (Clerk Disposition System) – 325 users
- Certified FCIC Operators – 74,231

ii. Number and Percent of Transactions

Currently the system contains active records on approximately six million, nine hundred (6.9)[4] subjects. Table 8 has the following minimum performance metrics:

[4] The total number of subject records (Active and Inactive) is over seven and one half (7.5) million

Table 6. Volume and Response Times (FCIC to CCH & CCH to FCIC)	
Metric	**Measurement**
Average Daily FCIC to CCH messages	47,097 messages
Peak FCIC to CCH messages	1.60 messages/per second
Average Daily CCH to FCIC messages	68,670 messages
Peak Hourly CCH to FCIC messages	2.40 messages/per second
FCIC to CCH Query Response Time:	
<1 second	80.98%
1-2 seconds	8.99%
2-10 seconds	8.88%
>10 seconds	1.15%

In addition to the transactions listed in Table 8, it should be noted that an artificial limit on batch data transactions is imposed to prevent performance degradation. Batch data-change transactions are limited to 86,400 per 24-hour period (or 1 per second).

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

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

iv. Hardware Characteristics

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

v. Software Characteristics

- Operating System:
  - Master Control Program (MCP) 12.0 System Software Release (SSR) 53.1
  - Red Hat Enterprise Linux Server 5.8 (SNAP DB)
- Database Management System:
  - DMSII SSR 53.1
  - Oracle Server (SNAP DB)
  - Microsoft Structured Query Language (SQL) Server (Clerk Disposition System)
  - Microsoft Access (sunset with workflow implementation)
- Database Utility Tools:
  - Tool for Oracle Application Developers (TOAD)
  - Databridge (Attachmate Software)
  - Crystal Reports
  - dbaTOOLS
  - Ergo
  - Jampack/Supervisor
  - Printview
  - DBControl
  - B&L (Tape/Source/Library/Robo)
- Programming Languages:
  - ALGOrithmic Language (ALGOL)
  - COBOL
  - Progeni
  - PL/SQL
  - .NET (LOGAN – Clerk Disposition System)
- Commercial Product:
  - CATT (terminal emulation software)

vi. Existing System or Process Documentation

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

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

vii. Internal and External Interfaces

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

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

Criminal Data Queries

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

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

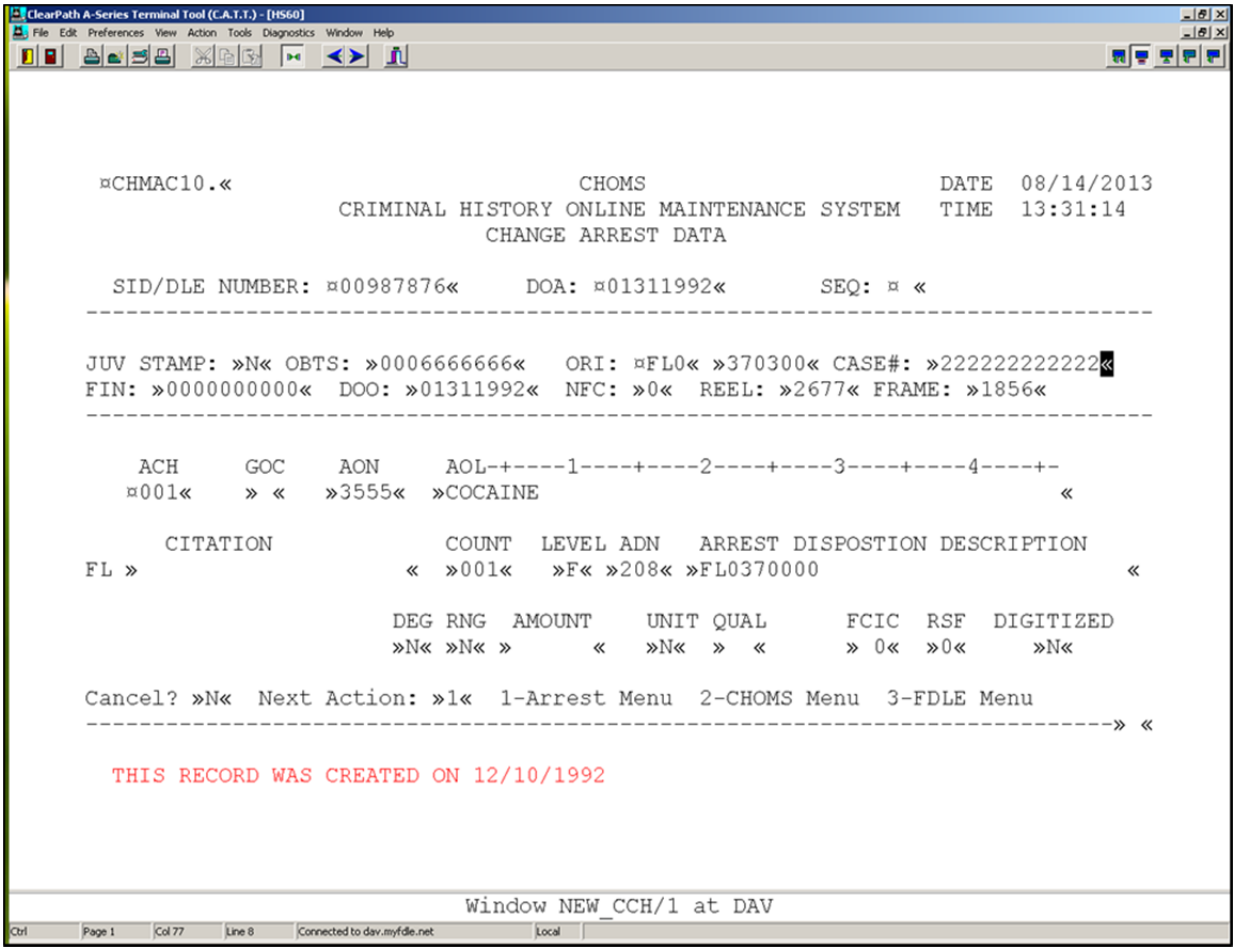


Figure 2. CATT – Legacy Green Screen

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

Criminal Data Inserts/Updates

The CCH inserts and updates occur in the following manner:

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

Statute Tables (Web)

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

Agencies and Systems Communicating with the CCH System

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

Agencies, Organizations, and Public

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

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

Systems (currently communicating with the CCH system)

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

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

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

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

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

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

System Availability

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

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

Data Metrics

The current system metrics are detailed in Tables 9 and 10.

Table 7. Current System Metrics

Type of Records	Total Average Historical Growth Rate Percentage
Criminal History Subject Records (as of July 2017)	7,821,826
Database Size (as of September 2016)	152 GB
Total Average Historical Growth Rate Percentage (FY 2008-09 through 2015-16)	4.38%

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

FCIC to CCH Query Transaction Volume and Response Times

The current volume of FCIC to CCH and CCH to FCIC daily transactions and CCH to FCIC query response times are shown in Table 10.

Table 8. Volume and Response Times (FCIC to CCH & CCH to FCIC)

Metric	Measurement
Average Daily FCIC to CCH messages	47,097 messages
Peak FCIC to CCH messages	1.60 messages/per second
Average Daily CCH to FCIC messages	68,670 messages
Peak Hourly CCH to FCIC messages	2.40 messages/per second
FCIC to CCH Query Response Time:	
<1 second	80.98%
1-2 seconds	8.99%
2-10 seconds	8.88%
>10 seconds	1.15%

NOTE: The numbers in Table 10 were measured as of July 2017.

b. Current System Resource Requirements

i. Hardware and Software Requirements

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

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

Refer to Table11 for details.

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

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

Key roles are as follows:

- Project Manager

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

Refer to Table 11 for cost details.

iv. Summary of Cost to Operate Existing System

The legacy CCH Annual operating cost (average) is listed in Table 11.

Table 9. Existing System Operating Cost

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

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

c. Current System Performance

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

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

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

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

The current CCH system has a limited ability to make large-scale updates to a large number of records per day (24-hour period)

without degradation in performance to all users and subsequent timeouts to other external interface queries to the CCH system.

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

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

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

The FDLE staff maintains redundant data in ancillary repositories that are not part of the criminal history. In general, the FDLE staff is dissatisfied with constraints and impediments imposed upon the organization by the current mainframe CCH system. The lack of modern platforms and technologies is cumbersome, which is a major point of dissatisfaction. Integration, scalability, and modern information management techniques are absent from the tools used to manage criminal history. A major concern is the difficulty to change and upgrade the current system. The practice of creating new, ancillary databases or systems to compensate for the difficulties presented with the current mainframe system is no longer acceptable as it creates inefficiency and is labor intensive.

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

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

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

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

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

2. Strategic Information Technology Direction

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

- Architecture – Promote the use of a multi-tier architecture that allows flexibility, scalability, and reusability.
- Server Operating Systems – Utilize server operating systems that will be either Red Hat Linux or Microsoft Windows Server.
- Server Hardware – Promote the use of server virtualization
- Database Management Systems – Store data in relational database(s) using either Oracle Relational Database Management System (RDBMS) or Microsoft SQL Server.
- Application Software – Develop application software using Java Platform Enterprise Edition (Java EE).
- Storage – Promote the use of SAN.
- System Reliability and Availability – Provide information systems and network services that give end users high (99.5+ %) reliability and availability/redundancy.
- Integration and Efficiency – Create modular, integrated systems that can be maintained by FDLE staff and can be easily modified to meet changing business needs of the agency.
- High Availability and Disaster Recovery – Provide a modular, integrated system that provides high availability through local and remote disaster recovery sites.

3. Information Technology Standards

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

a. Architecture

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

b. Servers

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

c. Storage

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

d. Network

- Criminal justice information systems will use CJNet.

e. Database

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

f. Application Software

- Software development standards are specified in FDLE Development Standards Version 1.0.
- Application software will be developed using Java EE.
- Java development standards are specified in Java Development Standards Version 1.0.
- Web-based application standards are specified in Web Application Architecture Version 1.0.

- JBoss is the preferred application server platform used for FDLE information systems.

g. Security

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

- 28 CFR Part 20 and Public Law 92-544, which regulate sharing criminal justice information with criminal justice and non-criminal justice governmental agencies.
- The system shall meet the FBI CSP, state of Florida, and FDLE security policy.
- FBI's CSP provides detailed requirements for reporting, handling, and auditing security incidents.
- Requirements of Florida Statutes Chapters 943.05, 943.051, 943.0515, 943.052, 943.053, 943.054, 943.0542, 943.0543, 943.055, 943.056, 943.057, 943.0575, 943.0581, 943.0582, 943.0583, 943.0585, 943.059, in addition to a variety of other statutes detailing background screening requirements, which describe FDLE's duties as the State's central repository for criminal record information and gateway to the Federal repository.
- FDLE information security requirements are specified in FDLE Policies 1.4 – Use of FDLE Resources, 2.5 – Information Resources, and 3.1 – Background Investigations.
- Rule 71A-1, F.A.C. Some of the key topics are:
  - Access Control
  - Awareness and Training
  - Audit and Accountability
  - Contingency Planning and Disaster Recovery
  - Identification and Authentication
  - Incident Response
  - Maintenance
  - Methodology used to develop and maintain software used for the service, including secure coding guidelines and standards to protect the site from unauthorized access and use
  - Physical and Environmental Protection
  - System and Communications Protection
  - System and Information Integrity

Compliance with the following standards is preferred:

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

h. Availability

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

i. Data Communication Standards

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

j. Usability

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

B. Current Hardware and/or Software Inventory

1. Purchase and Warranty Expiration Dates

The current system lease for the Unisys 460 system is expected to run until October 2018. In addition, 350 CATT (terminal emulation software) licenses are used. FDLE is currently in the process of extending this lease to November 2018.

The following software items listed below contain a single license:

- dbaTOOLS
- Databridge (Attachmate Software)
- Jampack/Supervisor
- Printview

- DBControl
- B&L (Tape/Source/Library/Robo)
- Progeni
- CATT (terminal emulation software)

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

2. Current Performance Issues or Limitations

a. Technology Issues

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

3. Business Purpose of the Items to be Replaced

FDLE wants to invest in new technology for Florida's criminal history repository that will provide a scalable and sustainable system allowing it to provide improved services to its customers. The new system will provide high availability for the production environment through the use of modern technologies such as clustering, virtualization, and having failover capabilities with a disaster recovery environment.

4. Annual Maintenance Costs

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

The current system hardware and software maintenance cost is listed in Table 12.

Table 10. Current Hardware and Software Maintenance Costs	
	Average Annual Amount
Hardware	$ 556,282
Software	$ 241,279
Services	$ 133,502
Total	**$ 931,063**

C. Proposed Technical Solution

1. Technical Solution Alternatives

FDLE issued an Invitation to Negotiate (ITN) 1406 in 2014. FDLE evaluated the proposals and selected a contractor.

2. Rationale for Selection

GCOM was selected through the ITN process.

3. Recommended Technical Solution

FDLE selected GCOM's CRRMS product that can be customized to meet Florida's requirements.

D. Proposed Solution Description

1. Summary Description of Proposed System

FDLE's has acquired a commercial product which is proven in other state(s) that can meet FDLE's information technology strategic direction and meet the FBI CJIS Security Policy requirements.

a. System Type

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

b. Connectivity

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

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

c. Security, Privacy, Confidentiality, Access

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

d. Development or Procurement Approach

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

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

e. Interfaces

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

f. Maturity and Life Expectancy of the Technology

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

changes and upgrades, which will contribute to the longevity of the system.

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

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

- Jasper Reports Server
- Name Search Server
- FDLE's Enterprise Document Management System (Alfresco and Ephesoft)

2. Resource and Summary Level Funding Requirements for Proposed System

a. Anticipated Technical

Refer to Table 13.

Table 13 A. Anticipated Implementation Costs

Category	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	Planned Total	Total
Staff									
State	$0	$30,261	$123,608	$305,599	$430,609	$442,154	$331,615	$773,769	$1,663,846
Contract	$469,768	$271,636	$442,790	$444,258	$405,662	$558,800	$419,100	$977,900	$3,012,014
Hardware	$0	$0	$0	$526,242	$55,427	$100,000	$0	$100,000	$681,669
Commercia	$0	$0	$360,112	$1,377,850	$1,295,764	$1,002,830	$2,050,000	$3,052,830	$6,086,557
Custom Sof	$0	$0	$0	$1,042,837	$2,349,758	$1,645,780	$540,000	$2,185,780	$5,578,375
Services	$0	$0	$0	$598,915	$777,238	$1,166,351	$1,556,740	$2,723,091	$4,099,244
Other	$0	$0	$0	$53,856	$12,388	$39,060	$0	$39,060	$105,304
Totals	**$469,768**	**$301,897**	**$926,510**	**$4,349,558**	**$5,326,847**	**$4,954,974**	**$4,897,455**	**$9,852,429**	**$21,227,009**

b. Data Center

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

c. Software

Refer to Table 13.

d. Staffing

Refer to Table 13.

e. Operating Costs

Table 13 B. New System Annual Operating Costs						
Category	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
Staff						
State	$260,573	$874,695	$874,695	$874,695	$874,695	$3,759,353
Contract	$296,000	$296,000	$296,000	$296,000	$296,000	$1,480,000
Hardware	$0	$0	$530,000	$0	$200,000	$730,000
Software Subscriptions	$465,000	$465,000	$465,000	$465,000	$465,000	$2,325,000
Software Maintenance	$366,000	$366,000	$366,000	$366,000	$366,000	$1,830,000
Gcom Maintenance & Support	$229,583	$578,542	$622,243	$640,037	$647,381	$2,717,786
Other	$88,614	$84,859	$84,859	$84,859	$84,859	$428,050
Totals	**$1,705,770**	**$2,665,096**	**$3,238,797**	**$2,726,591**	**$2,933,935**	**$13,270,189**

* State Staff are shared between Implementation and Operating Costs in FY 18-19

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

E. Capacity Planning

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

1. Historical and Current Information

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

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

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

2. Projected Requirements

The section below demonstrates historical growth of records in some important data segments of the DMSII database. The historical data was captured based on the nine (9) previous fiscal years (2008-09 through 2016-17) and the average growth rate was then calculated. The projected/anticipated growth in volume is demonstrated over the next three (3) fiscal years (2017-18 through 2019-20) and is based on the calculated average growth rate.

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

a. Projected Network Capacity

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

b. Projected Storage Capacity

i. Arrest

Figure 3 depicts the actual and projected growth of the cumulative number of arrest records in the criminal history database. The projection is based on an average growth rate (3.61%) of annual record volume from fiscal years 2008-09 through 2016-17.

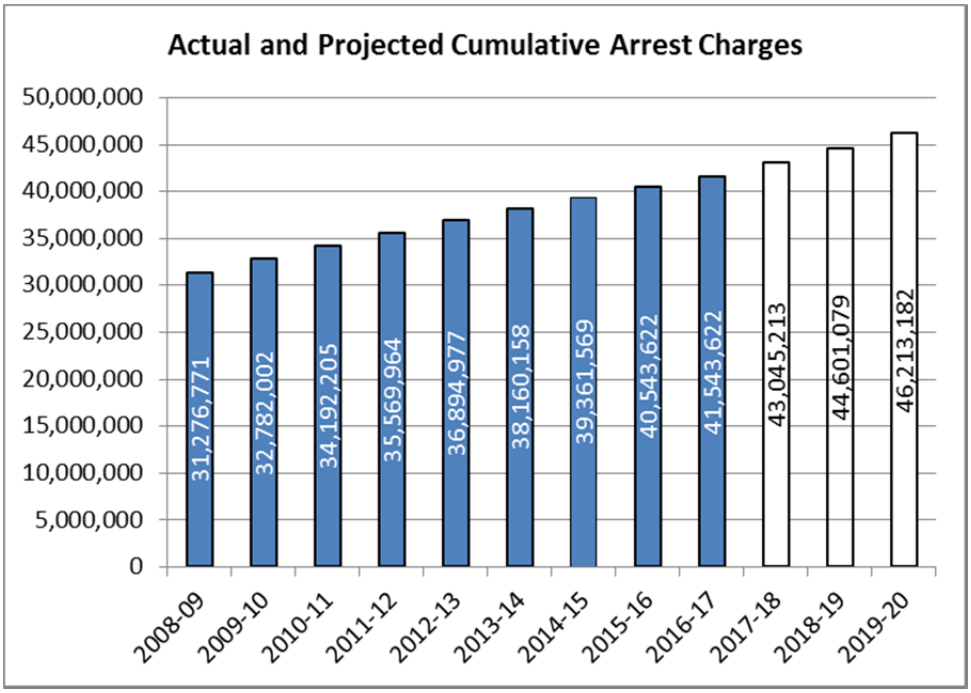


Figure 3. Actual and Projected Storage Capacity for Cumulative Arrest Charges

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

ii. Identity

Figure 4 depicts the actual and projected growth of person or identity records in the criminal history database. The projection is based on an average growth rate (2.07%) of annual record volume from fiscal years 2008-09 through 2016-17.

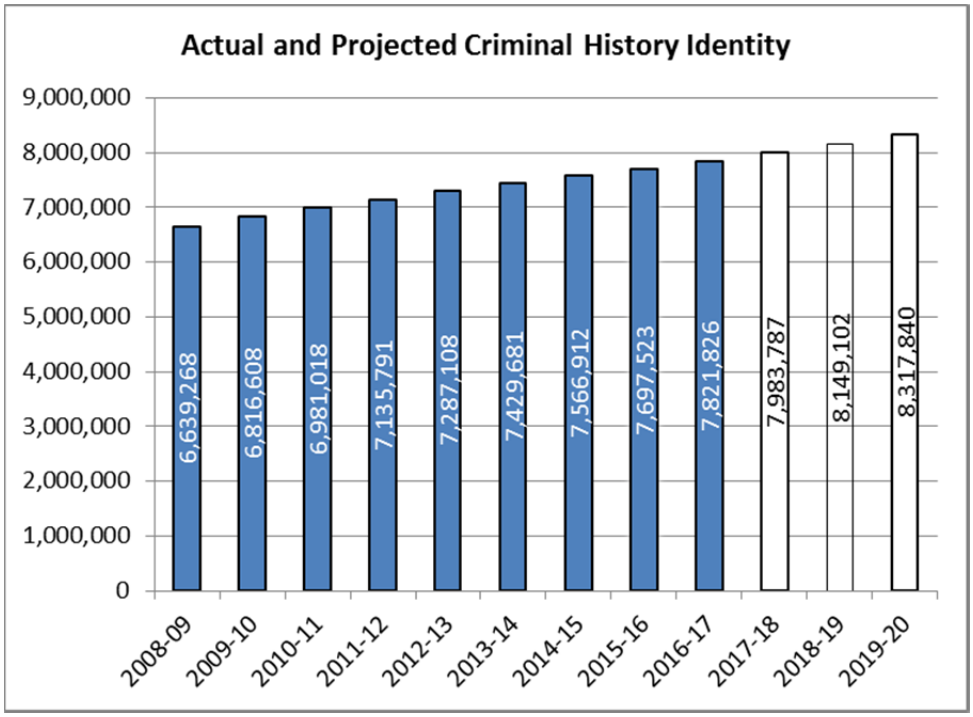


Figure 4. Actual and Projected Storage Capacity for Criminal History Identity

iii. Dissemination

Figure 5 depicts the actual and projected growth of dissemination records[5] in the criminal history database. The projection is based on an average growth rate (4.66%) of annual record volume from fiscal years 2008-09 to 2016-17.

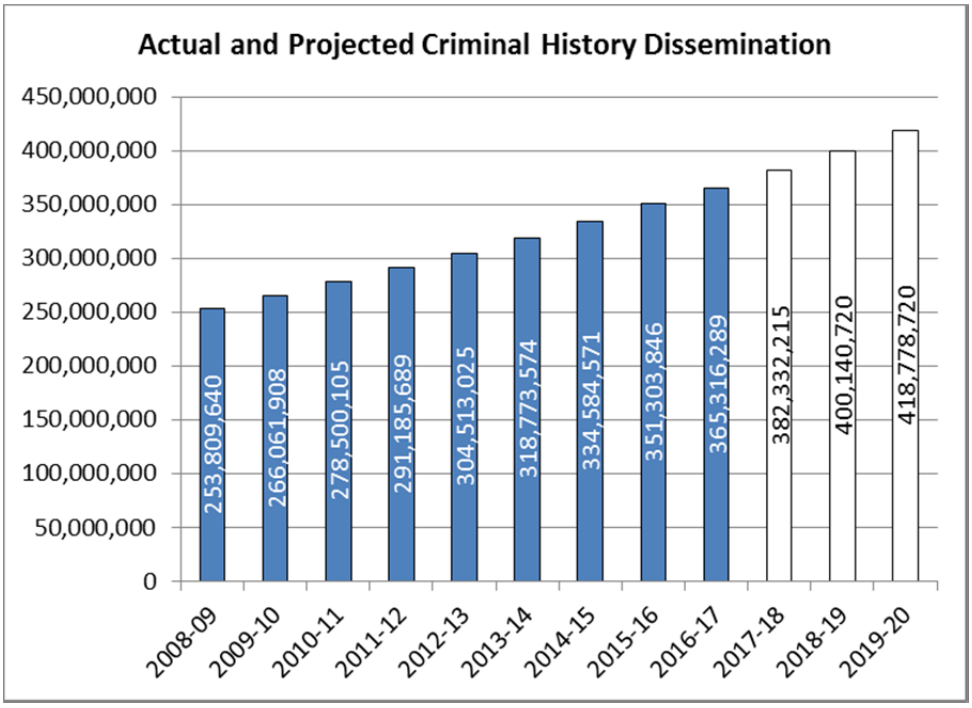


Figure 5. Actual and Projected Storage Capacity for Criminal History Dissemination

[5] This data was obtained from the ITS CCH Support Team

iv. Disposition, Judicial

Figure 6 depicts the actual and projected growth of disposition judicial records in the criminal history database. The projection is based on an average growth rate (5.87%) of annual record volume from fiscal years 2008-09 to 2016-17.

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

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

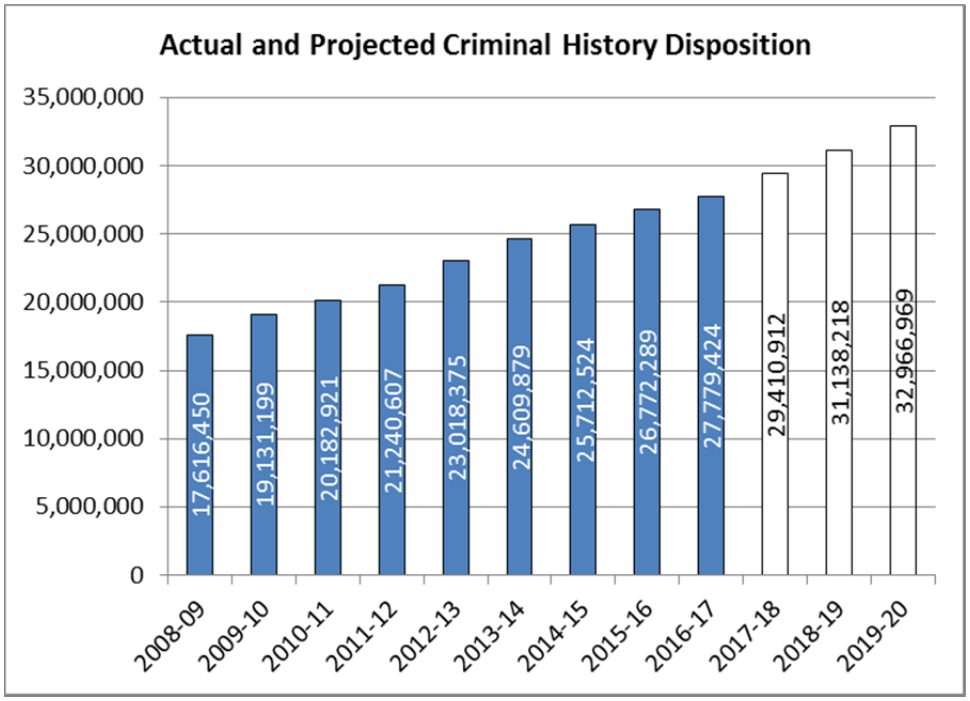


Figure 6. Actual and Projected Storage Capacity for Criminal History Disposition

v. Custody

Figure 7 depicts the actual and projected growth of custody records in the criminal history database. The projection is based on an average growth rate (3.88%) of annual record volume from fiscal years 2008-09 to 2016-17.

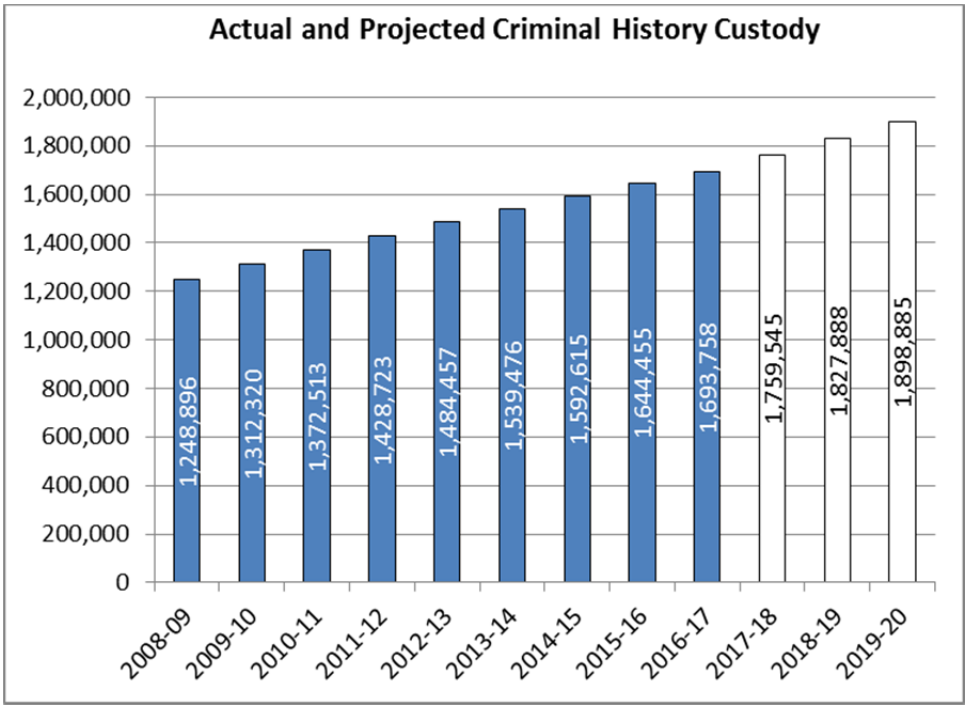


Figure 7. Actual and Projected Storage Capacity for Criminal History Custody

vi. Registrations

Figure 8 depicts the actual and projected growth of registration records in the criminal history database. The chart includes criminal, sexual predator, sexual offender, and career offender registrations. The projection is based on an average growth rate (6.98%) of annual record volume from fiscal years 2008-09 to 2016-17.

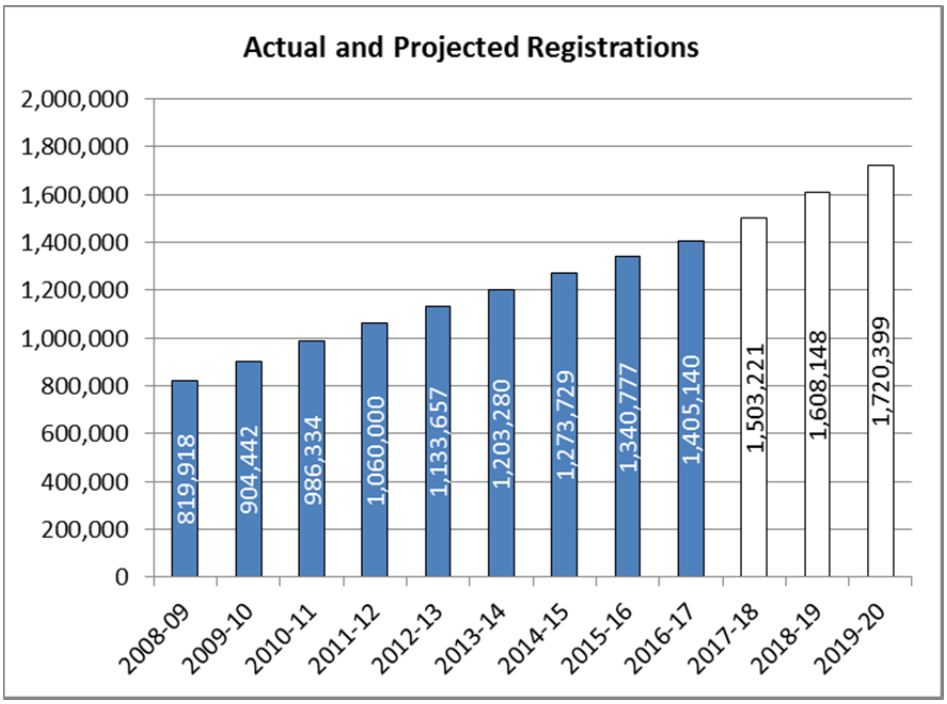


Figure 8. Actual and Projected Registrations Entered

VII. Project Management Planning

A. Project Scope

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

FDLE's primary objectives for this project are to:

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

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

B. Project Phasing Plan

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

1. CCH Modernization Phase I

Phase I of the project transitioned from a procurement effort to a signed vendor contract with the selected vendor. Phase I performed the activities to identify customizations deemed necessary by FDLE to the vendor's commercial CCH product. The following activities were included in the scope of Phase I:

FDLE

- Obtain funding and statutory approvals, and issue a vendor contract to procure and implement the new system.

- Procure the awarded vendor's commercial CCH product.

Vendor

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

FDLE completed an open competitive procurement process (Invitation to Negotiate) and established a contract with GCOM Software, Inc. (based in Albany, NY). GCOM's Criminal Records Repository Management System (CRRMS) is a commercial product being customized to meet Florida-specific requirements.

2. CCH Modernization Phase II

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

Vendor

- Customize the identified components that must be tailored to meet FDLE's business requirements.
- Migrate and cleanse data from existing source databases to the new system repository.
- Define and implement improvements identified in statements of objectives and in the requirements.
- Acquire and install hardware, third-party software, and commercial product.
- Identify changes and adapt existing business processes to streamline work to maximize the functions of the commercial product.
- Implement data inputs and outputs needed to maintain existing integration with dependent systems and among CJIS sections.
- Create new data input and output processes for new integration needs, as identified.
- Produce, execute, and maintain robust test plans.
- Produce and implement end-user deployment plans.

- Track and monitor all change requests to system implementation plans.
- Author technical documentation for end-users.
- Design and conduct end-user training.
- Author the help screens and self-help mechanisms to be integrated in the new system.

FDLE

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

C. Baseline Schedule

The baseline Schedule can be found in Appendix M.

D. Project Organization

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

The CCH Modernization Project organization consists of the Project Steering Committee (PSC), the Project Manager, and the Project Team. FDLE SME's and a number of other groups provide additional support. Each group performs a particular role for the project and is comprised of members of ITS, CJIS, and FDLE leadership. The CCH project organization is shown in Figure 9, CCH Project Organization.

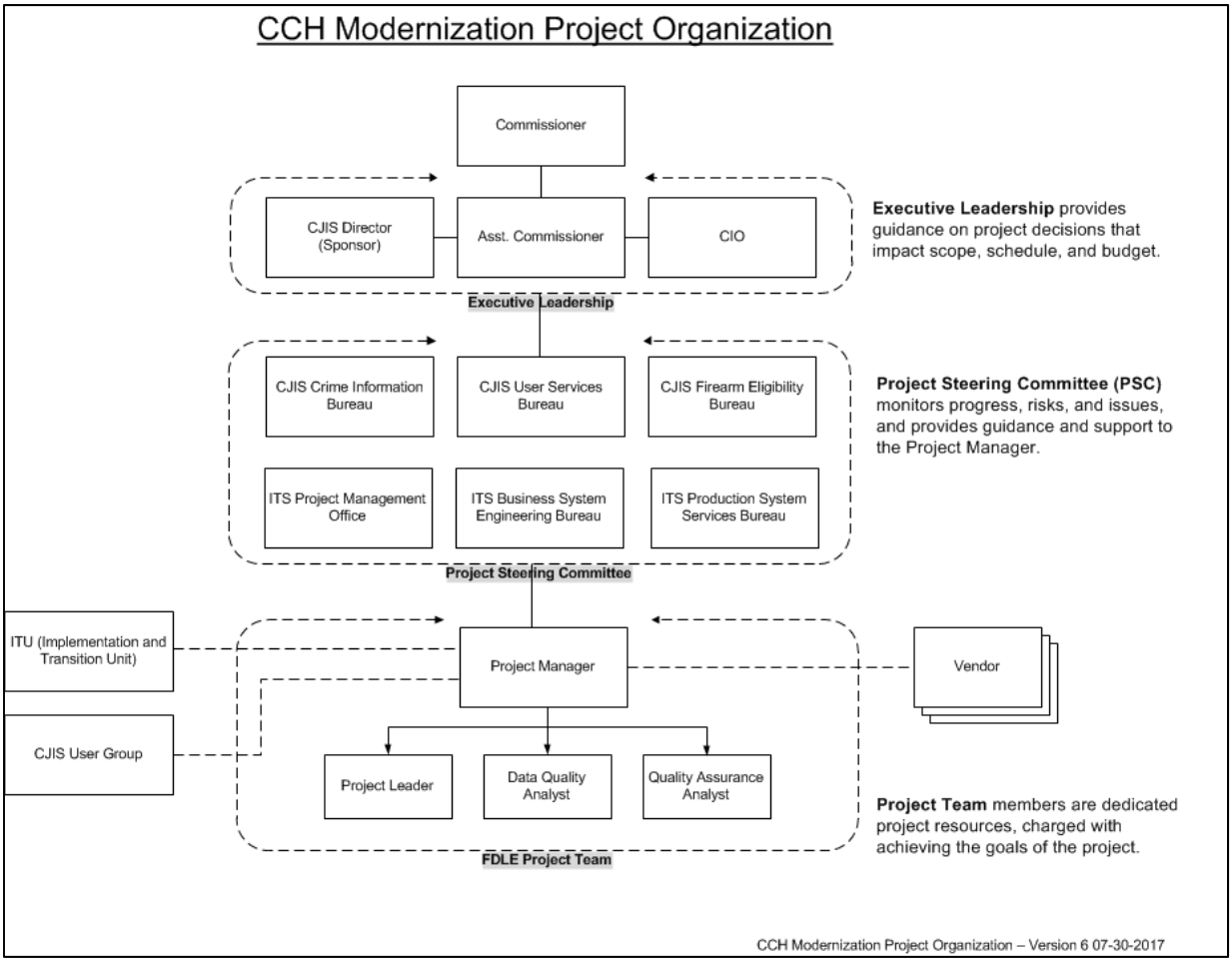


Figure 9. CCH Project Organization

1. FDLE Executive Leadership

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

2. FDLE Project Steering Committee

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

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

The PSC provides assessment and analysis, ensuring that supporting initiatives are based upon knowledgeable and informed decisions.

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

- CJIS Crime Information Bureau (Chief of Florida Crime Information)
- CJIS User Services Bureau (Chief of User Services)
- CJIS Firearm Eligibility Bureau (Chief of Firearm Eligibility Bureau)
- IT Services Business Systems Engineering (Chief of Business Systems Engineering)
- IT Services Project Management Office (Special Programs Administrator)
- IT Services Production System Services (Chief of Production System Services)

3. FDLE Project Management Office

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

4. FDLE Project Team

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

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

a. FDLE Project Team Responsibilities

FDLE Project Manager – Responsible for the overall management and coordination of the work effort and successful completion of the

CCH project. This includes establishing and maintaining the project management plan, assigning, directing, and monitoring the work of project staff, serving as FDLE's primary point of contact for the prime contractor, managing issues and risks, monitoring and reporting project status, and reviewing contract deliverables prior to delivery to the PSC for approval.

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

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

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

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

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

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

FDLE Data Analyst– Responsibilities include:

- Serves as the FDLE project team's central point of contact regarding CCH database planning
- Identifies and catalogs comprehensive inventory of CCH data sources
- Develops and documents comprehensive data dictionary of CCH data
- Develops and documents comprehensive logical and physical data model of CCH data
- Develops and documents data profiling and cleansing strategy
- Conduct analysis of, and recommend, suitable data analysis and data cleansing tools needed to conduct the work and produce the deliverables herein
- Performs data profiling of CCH data sources
- Develops and documents detailed data cleansing activities based on data profiling results
- Analyzes data requirements, application and processing architectures, data dictionaries, and database schema(s)
- Assists vendor with data conversion/migration related requests such as questions, required information, resources, etc.
- Reviews and provides feedback on data conversion/migration artifacts such as data conversion/migration plan and data conversion/migration implementation plan
- Writes and reviews test cases
- Reviews and verifies vendor data conversion/migration test strategy, plans and subsequent test results
- Performs data conversion/migration testing and documents findings
- Assists FDLE UAT testers during data conversion/migration testing, verification, and data validation

FDLE Quality Assurance Analyst – Responsibilities include:

- Serves as the FDLE project team's central point of contact regarding CCH requirements and testing
- Ensures that products, applications, and systems are in compliance with established quality standards, and meet customer requirements

- Develops and executes test plans for comprehensive testing of CCH application
- Writes and executes test cases/scripts to ensure delivery of quality software
- Analyzes requirements, application and processing architectures, data dictionaries, and database schema(s)
- Assists vendor with requirements and testing related requests such as questions, required information, resources, etc.
- Reviews and provides feedback on testing artifacts such as the solution test plan and data conversion/migration plan
- Reviews and verifies vendor testing strategy, plans and subsequent test results
- Ensures that quality methods and procedures are executed
- Performs testing, analyzes results, and documents findings
- Assists FDLE User Acceptance Testing (UAT) testers during testing, verification, and data validation
- Coordinates testing efforts with various system stakeholders and other applications
- Monitors, documents, manages, and reports on defects and resolutions
- Provides status reports regarding the progress of testing tasks.

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

F. Quality Assurance Plan

Quality assurance techniques focus on the preventative steps used to manage and deliver the solution and to eliminate any variances in the quality of the deliverable produced from the established quality targets. The assurance of quality during the project does not fall on just one (1) team

member but all project members. Table 14 provides types of quality assurance techniques, which will be used:

Table 11. Quality Assurance Techniques

Technique	Description	Frequency
Quality Reviews	The FDLE Project Team will review and assess the overall quality of each deliverable. The Project Team evaluates each deliverable prior to delivery to the FDLE PSC for approval. The Project Team performs quality reviews on deliverables by: 1. Performing reviews of all created documentation for the project prior to release/publishing. 2. Reviewing conformity to requirements for all deliverables by the vendor. 3. Discussing quality during each weekly team meeting.	Throughout Project
Skilled Staff	Using skilled staff for the Project Team and requiring them by the vendor will directly affect the quality of the deliverables produced. Skilled staff should have the knowledge, skills, and experience required to undertake the specific task or tasks allocated in the Project Plan with minimal training in order to achieve the level of quality desired. Hired Project Team members will assure quality by: 1. Having a satisfactory level of experience in similar projects for their job duties.	Throughout Project
Project, Contract, and System Change Control	A clear project change control process ensures the level of quality is not impacted for any deliverable. The Project Manager and the vendor will use the established project change control process to assure quality.	When changes in scope, contract, or system are identified
Project Management	The Project Manager will ensure consistent application of project management processes and techniques by both the FDLE Project Team and the vendor Project Team. The PM assigned to this project will be certified as a Project Management Professional (PMP).	Throughout Project
Requirements Definition	A well-defined set of requirements provides the vendor with a clear understanding of what they have to achieve in order to deliver customer satisfaction. Detailed business requirements are used during the procurement effort. Once a vendor is selected, a requirements traceability effort is used to track system requirements and those requirements are used to complete the project. The Project Team and vendor will assure all system requirements are documented so there is no question or vagueness in what the requirement attempts to accomplish.	During development of any requirements (initial or through change control)

Table 11. Quality Assurance Techniques		
Technique	**Description**	**Frequency**
Mapping of Requirements	The vendor will map all requirements to a function of the commercial product to assure quality of the delivered product and compliance with the requirements; the Project Team will verify and validate.	During development reviews, functional testing, and user acceptance testing
Document Standards	The FDLE Project Team will use templates for Microsoft Office products to ensure that all documentation follows the same layout. Each document will go through team reviews sufficient to assure quality prior to submission to the customer or to the PSC. The vendor is expected to follow the same method to ensure all documentation provided is consistent with previously delivered documents. The FDLE Project Team will review all delivered vendor documentation prior to release to the PSC. In addition to templates, the FDLE Project Team will ensure that all documentation complies with established document standards, established version control, and requirements. The Project Team will also ensure that all documentation is accurate and timely. For example, reports should identify potential problems early so they can be avoided or resolved.	During the creation of any document deliverable
Adequate Testing	The vendor team will map all system requirements to system functionality for functional and user acceptance testing. The test cases and system will also have adequate sample record data sufficient for determining level of compliance with quality. The Project Team will verify and validate.	During development, functional, and user acceptance testing
FDLE Team Peer Reviews	The FDLE Project Team will perform peer reviews on each other's deliverables by: 1. Performing team reviews of all deliverables for the project prior to release/publishing to the PSC or others. 2. Discussing quality at every review and during each weekly team meeting.	Throughout Project
Historical Data	Understanding other related projects (either currently underway or recently completed) and the quality issues encountered will enable the team to plan for potential quality issues.	Throughout Project

Project Communications

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

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

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

1. Vendor Quality Assurance

a. Quality Management Plan

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

- Data management, such as acquiring, storing, and controlling data, data integrity, documentation of data, analytical methods, and data validation.
- Software development, such as the processes for software design, coding, source code control, code reviews, code documentation, change management, configuration management, testing, release management, and product integration.
- Document delivery, such as version control.
- Testing, such as the methods and tools.

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

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

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

G. Risk Management

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

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

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

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

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

H. Implementation Plan

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

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

1. Implementation Approvals

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

2. Implementation Communications Plan

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

The Implementation Communications Plan will identify the various project audiences. It will describe the types (subject, format, content, etc.) of communications that need to be sent directly and/or as a courtesy copy to each audience member and the frequency with which they will be sent.

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

3. Go-Live Schedule

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

4. Dependencies List

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

5. Resource Requirements

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

6. Data Conversions/Migrations Go-Live Plan

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

7. Failback Plan

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

- Potential Risks to trigger a Failback
- Communications – e.g., who should be contacted in the event of a failback and who makes the decision to failback
- Tasks – what steps and tasks need to be done to complete the failback
- Resources – what resources will be required for a failback

The vendor shall perform the implementation of the production system and the data conversions/migrations according to Implementation Plan approved by FDLE. The implementation of the production system shall include the production primary site, production local standby site, and the remote DR standby site. FDLE expects all three production sites to be implemented at the same time. The implementation shall not begin until the Implementation Approvals required by FDLE are received. The

successful production system implementation of the CCH and its DR system must be up and operational the day of implementation, including all user groups operational, the completed data and file conversions/migrations, customizations installed, and all project deliverables and artifacts submitted to FDLE.

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

8. Training and Knowledge Transfer

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

- Instructional Methods
  - Training Methodology – identifies how the various users will be trained and the overall strategy. The vendor will define how users will be trained (e.g., web training). FDLE prefers to use the "train the trainer" approach.
  - Training Tools – identifies hardware and software necessary for providing the training.
  - Testing and Evaluation – describes the methods used to establish and maintain quality assurance over the training effectiveness and course materials (e.g., evaluation surveys).
- Training Resources
  - Course Administration – describes the methods used to administer the training program, including procedures for class enrollment, monitoring the training, security, etc.
  - Resources and Facilities – describes the resources required by both instructors and students for the training, including classrooms, equipment, materials, etc.
  - Schedules – presents a schedule for implementing the training strategy and indicating responsible parties, when to schedule

the training facilities, schedule participants, dependencies and constraints, etc.

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

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

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

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

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

9. Organizational Change Management

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

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

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VIII. Appendices

Appendix A – Abbreviations and Acronyms

Appendix B – Standards and Definitions

Appendix C – Florida Statutes 943.05 & 943.051

Appendix D – Business Process and System Diagrams

Appendix E – Cost-Benefit Analysis Worksheets

Appendix F – Current System Cost

Appendix G – Project Cost Estimate

Appendix H – Risk Assessment Worksheets

Appendix I – Document Completeness and Correctness Checklist

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

Appendix K – Deliverable Acceptance Form

Appendix L – Historical Growth Rates

Appendix M – Baseline Schedule

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SCHEDULE IV-B FOR SEXUAL OFFENDER/ PREDATOR REGISTRY IMPROVEMENT

For Fiscal Year 2018-19

September 15, 2017

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

Contents

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	Schedule IV-B Submission Date:
Project Name: Sexual Offender/Predator Registry Improvement	Is this project included in the Agency's LRPP? __X__ Yes ____ No
FY 2018-19 LBR Issue Code: 36118C0	FY 2018-19 LBR Issue Title: Improve Sexual Offender and Predator Registry Database
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Becky Lackey, 850-410-8459, beckylackey@fdle.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name:	Date: 9/7/17
Agency Chief Information Officer (or equivalent): Printed Name: Joseph Hornsby	Date: 9/1/17
Budget Officer: Printed Name: Cynthia Barr	Date: 8/31/17
Planning Officer: Printed Name: Michelle B. Pyle	Date: 8/31/17
Project Sponsor: Printed Name: Seth Montgomery	Date: 9/6/17
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Mary Coffee, 850-410-8784, marycoffee@fdle.state.fl.us
Cost Benefit Analysis:	Becky Lackey, 850-410-8459, beckylackey@fdle.state.fl.us
Risk Analysis:	Pamela Bullard, 850-410-8584, pamelabullard@fdle.state.fl.us
Technology Planning:	Becky Lackey, 850-410-8459, beckylackey@fdle.state.fl.us
Project Planning:	Mark Scharein, 850-410-8515, markscharein@fdle.state.fl.us

General Guidelines

The Schedule IV-B contains more detailed information on information technology (IT) projects than is included in the D-3A issue narrative submitted with an agency's Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the agency during the initiation and planning phases of the proposed IT project. A Schedule IV-B must be completed for all IT projects when the total cost (all years) of the project is $1 million or more.

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements that are similar to the service level agreements currently in use, or
- Replace desktop units ("refresh") with new technology that is similar to the technology currently in use.
- Contract only for the completion of a business case or feasibility study for the replacement or remediation of an existing IT system or the development of a new IT system.

Documentation Requirements

The type and complexity of an IT project determines the level of detail an agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Technical Solution
- Proposed Solution Description
- Project Management Planning

Compliance with s. 216.023(4) (a) 10, F.S. is also required if the total cost for all years of the project is $10 million or more.

A description of each IV-B component is provided within this general template for the benefit of the Schedule IV-B authors. These descriptions and this guidelines section should be removed prior to the submission of the document.

Sections of the Schedule IV-B may be authored in software applications other than MS Word, such as MS Project and Visio. Submission of these documents in their native file formats is encouraged for proper analysis.

The Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

Submit all component files of the agency's Schedule IV-B in their native file formats to the Office of Policy and Budget and the Legislature at IT@LASPBS.STATE.FL.US. Reference the D-3A issue code and title in the subject line.

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

A. Background and Strategic Needs Assessment

Purpose: To clearly articulate the business-related need(s) for the proposed project.

1. Business Need

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

Through the Public Safety Information Act of 1997, Florida became the first state to list its registry of sexual predators and offenders on the Internet and to make the public safety information it contained also available through a 24-hour/7-day hotline. This Act allowed FDLE to give citizens access to information and enhance their ability to protect themselves and their families against known sexual offenders. Since that time, Florida has continued to lead the nation in legislating strong registration and related sexual offender laws, and in effectively implementing these laws through the dedicated efforts of criminal justice partners across the state.

In 1997, Florida's statewide database included the records of 471 registered sexual predators and approximately 8,000 registered sexual offenders. Since then Florida registration laws have been significantly modified more than 17 times and today, nineteen years later, registry numbers have grown to more than 11,819 registered predators and 58,024 registered offenders, an overall growth rate of 724%*. Despite the increased volume of registrants, by leveraging technological solutions and a strong network of criminal justice partnerships, Florida has adapted skillfully to both the frequent changing demands of state and federal laws, as well as the logistical requirements that come with this much larger and continually growing registrant population. (*1997 to August 30, 2016)

Most importantly, because of these focused and integrated efforts, Florida's public is advised of offenders/predators in a timely fashion, and offenders/predators are more readily identified, easily located, and closely monitored. Ultimately, this information makes Florida's citizens, especially our children, elderly, and vulnerable populations, much safer. However, despite enacting and successfully enforcing the most stringent sexual offender criminal and registration laws, there is clearly more work to be done. Florida continues to see a steady population of new sexual offenders convicted here in Florida and also coming from other states. Of the seventeen (17) victims memorialized by name in the federal Adam Walsh Child Protection and Safety Act of 2006 (Public Law 109-248) six (6): Jessica Lunsford, Jimmy Ryce, Carly Bruscia, Adam Walsh, Sarah Lunde, and Amanda Brown, were Florida's children.

Across numerous statutes, Florida laws detail the intent, process, and information dissemination specifications relating to registration. F.S. 775.21.3(a) specifically states: "Repeat sexual offenders, sexual offenders who use physical violence, and sexual offenders who prey on children are sexual predators who present an extreme threat to the public safety. Sexual offenders are extremely likely to use physical violence and to repeat their offenses, and most sexual offenders commit many offenses, have many more victims than are ever reported, and are prosecuted for only a fraction of their crimes. This makes the cost of sexual offender victimization to society at large, while incalculable, clearly exorbitant." Florida's registration strategy includes: requiring detailed and regularly updated registration of sexual predators and sexual offenders; including complete and accurate information maintained and accessible for use by law enforcement authorities, service providers, and the public; and providing certain mandatory community and public notifications concerning the presence of sexual predators. Registrants, state and local law enforcement agencies, corrections, probation, and parole officials, and incarceration and treatment centers all share in the responsibilities to report, collect, maintain, and enforce this strategy. All of this effort directly impacts and/or is supported by Florida's Sexual Offender Registry System.

Over time, Florida's sexual offender laws have evolved to meet and, in many cases, exceed the minimum federal requirements. All sexual offenders required to register have been convicted of one or more specific qualifying felonies set forth in Florida statutes or have registration requirements in other states. Some sexual offenders deemed to present an extreme threat to public safety as demonstrated through repeated sexual offenses, the use of physical violence, or preying on child victims are further designated by the court as sexual predators.

The 2005 Florida Legislature passed the Jessica Lunsford Act, requiring sexual offenders to re-register twice a year in person with the Sheriff of the county in which they reside. In 2007, the Legislature further required sexual predators and offenders convicted of certain more egregious crimes to re-register four times a year, required

offenders to report email addresses and instant message names, and required driver licenses and identification cards issued to registrants display distinctive markings. In 2014, the Legislature increased the information an offender must report, including detailed information about vehicles owned by the offender and by any person residing with the offender, and expanded the requirement to report internet identifiers prior to their use. The law also specified registration requirements for offenders with transient addresses, requiring them to report to the Sheriff within 48 hours after establishing a transient residence and then every 30 days while they maintain a transient residence.

Florida's monitoring of sexual offenders/predators consists of four main activities.

Registration. Certain sexual offenders/predators who are released from prison or placed on supervision must register in-person with the Sheriff in the county where they live within 48 hours of establishing a residence or experiencing any change in information required to be provided pursuant to statute. These offenders also must re-register two or four times a year based on their conviction(s) and status.

Identification. All sexual offenders required to register also must obtain a driver license or identification card from the Florida Department of Highway Safety and Motor Vehicles (DHSMV) within 48 hours of registration and notify that agency within 48 hours of any change of address.

Address Verification. The Florida Department of Corrections (FDC) and local law enforcement agencies are responsible for verifying registrant addresses in a manner that is consistent with federal laws and standards. FDC is responsible for conducting address verifications for offenders/predators under its supervision. Local law enforcement is responsible for verifying the addresses of all other sexual offenders/predators and additionally may verify addresses for supervised offenders should they choose to do so.

Community Notification. FDLE is responsible for statewide public notification efforts. FDLE informs the public of the location of sexual offenders/predators and provides information via the Sexual Offender Registry System online and via a toll-free, nationwide hotline. Additionally the Registry system supports an electronic subscription service that notifies agencies and citizen subscribers of any updates to address information in their communities or updates to specific sexual offenders and predators. During Fiscal Year 2014-15, FDLE handled approximately 16,500 incoming calls to the hotline, had over 5.6 million sexual offender-related searches on its website, and sent over 2.6 million email notifications regarding the addresses of sexual offenders/predators.

Local law enforcement agencies are also required to notify the public of the presence of sexual predators living in their communities. Within 48 hours, law enforcement agencies must notify licensed child care centers and schools within a one-mile radius of the predator's residence. In addition, local law enforcement agencies, or FDC if an offender is on community supervision, are also required to notify institutions of higher learning when a sexual offender/predator enrolls, is employed, or volunteers at that institution of higher learning, including technical schools, community colleges, and state universities.

Some registrants are supervised in the community by FDC. Most of these offenders are subject to high levels of supervision by specialized probation officers. Some sexual offenders/predators also are subject to statutorily defined conditions of supervision, including a mandatory curfew and submitting to a warrantless search of their person, residence, or vehicle. Further, some sexual offenders are subject to electronic monitoring that provides 24-hour location surveillance.

FDLE maintains the Sexual Offender Registry System which is a statewide system for collecting and disseminating sexual offender and sexual predator information to both the public and law enforcement agencies. The Sexual Offender Registration System is continually updated and produces information and data sets in multiple manners. Information and images are submitted, both hard copy and electronically, from agencies across the state via secure internet and intranet interfaces, through federal communications systems, and by various intelligence and investigative protocols. The system generates website search results and dynamic maps for the public, provides an email notification system for citizens giving notifications regarding local registrant changes and updates to residence and status changes of specific registrants. Citizens can search to identify if an email address or internet identifier belongs to a registrant, and can search any college campus to identify registrants enrolled, working, or volunteering on campus. The system regularly processes and documents large volume batch data from DHSMV, FDC, and Florida's Department of Juvenile Justice (DJJ). FDLE's Sexual Offender Registry System also manages regular electronic feedback reporting with these agencies to insure record matching and updates are synced across the multiple agency networks.

Law enforcement and criminal justice agencies have the ability to conduct ad-hoc searches against the database, use several standardized address verification and jurisdiction specific reports, add field notes, and flag one or more registry records as part of any ongoing investigation or prosecution matter.

Since the time the Registry began, not only has the number of sexual offenders/predators in Florida increased approximately 8% each year, but the statutory reporting requirements of the sexual offenders/predators have also increased. For example, legislation from 2014 added a requirement that all sexual offenders/predators who have registered a transient address in Florida must meet their biannual or quarterly in-person registration requirements, as well as requiring them to report in-person to the Sheriff's Office every 30 days. With 2,333 registered transients, the daily registration workload on the Sheriff's Offices with large transient populations has grown significantly. This expansion of registration requirements along with the steadily increasing population of registrants with responsibilities for law enforcement to gather, report, verify, monitor, and enforce the requirements is an excellent example of the need to address this responsibility in a technologically efficient way at both the local and state level for this unique population.

The Sexual Offender Registry System is critical for the support, management, and integrity of registration information across the State of Florida. The components of this system and the information it contains contribute to public safety and law enforcement safety in Florida and across the country. FDLE is responsible for maintaining the Registry system that is used by all of Florida's Sheriffs' Offices and numerous police departments. In order to complete statutory obligations of registering sexual offenders/predators and verifying addresses, these law enforcement agencies rely on FDLE's systems to be accurate, timely, and accessible 24/7.

From November 2015 to February 2016, the Enforcement and Investigative Support (EIS) Bureau at FDLE hosted 18 meetings with law enforcement across the state to identify their needs for the Sexual Offender Registry System. Through these meetings, EIS learned that Florida's law enforcement agencies and state partners find several of the current functions of the system effective for registering and tracking offenders. However, local law enforcement partners also identified a number of modifications that will improve their ability to be proactive in managing their offender populations, and significantly reduce time and effort tracking offenders especially given the growth of sexual offenders/predators populations in Florida communities.

As new reporting requirements have been added over the years, the volume of information collected and managed has increased. This increase in information and the layering of new programming code to process it has resulted in an increased workload to manually ensure the integrity of the data entered into the system. The Registry has reached a state where business processes and supporting information technologies need to be reevaluated and redesigned so that quality control measures are addressed through automation and not by adding staff.

In addition to addressing the needs of Florida's Sheriffs, FDLE must address a significant technology issue with the Registry. The last major upgrade to the Registry was completed in 2006. At that time, FDLE used the Apache Struts foundation framework to develop application software used in the Sexual Offender Registry System. In 2013, the version of the Struts framework used for the Registry (v1.x) reached its "end of life." This means that the framework is no longer officially supported. Security patches and bug fixes are no longer being issued for this framework version. As a result, the application software framework needs to be upgraded. FDLE must upgrade the application software framework or run the risk of extended periods of downtime due to software failure(s). This is an unacceptable risk given the reliance of law enforcement agencies and benefits to public safety.

Certain federal requirements and regulations have been tied to various federal funding sources. Beginning in 1994, the Federal Government passed multiple laws to establish guidelines and requirements for states to track sexual offenders and inform the public of their presence. The Federal Sexual Offender Registration and Notification Act (SORNA) provides a comprehensive set of minimum standards for sexual offender registration and notification in the United States. These minimum standards include directives such as the immediate transfer of registration information, requirements to maintain registry websites, and community notification. Jurisdictions who fail to substantially implement or who fall out of a substantial implementation status with SORNA requirements risk losing a portion of their Federal Edward Byrne Memorial Justice Assistance Grant (JAG) funds. In Florida, these grant funds are distributed throughout the criminal justice community and are expended by criminal justice programs such as law enforcement programs, prosecution and court programs, and crime victim and witness programs for technical assistance, training, public information, and other purposes. Both the State of Florida and the Seminole Tribe of Florida are currently substantially implemented with the requirements of the Federal act. Florida is 1 of only 17 states that has a substantially implemented status with SORNA. If the Sexual Offender Registry System runs in an unsupported software framework and experiences extended periods of downtime, Florida may be at risk of losing its

substantial implementation status, and federal funding to our criminal justice community could be adversely impacted.

The opportunity to improve the Registry based on input from Florida's law enforcement agencies and the need to upgrade the application software are driving this business case proposal.

2. Business Objectives

NOTE: For IT projects with total cost in excess of $10 million, the business objectives described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.

The business objectives of the proposed project are:

- Continue to provide law enforcement agencies with an enterprise level system to register and track sexual offenders/predators in the State of Florida.
- Continue to provide electronic notifications to the public regarding sexual offenders/predators who reside in their communities.
- Continue to provide updated information electronically on sexual offenders/predators to criminal justice agencies.
- Continue to provide the public and criminal justice agencies with geocoding and mapping services regarding location of sexual offenders/predators.
- Implement business processes and supporting technologies that enable FDLE to ensure data quality.
- Continue to share offender information with other government agencies.
- Improve investigative support services and tools for law enforcement agencies.
- Leverage technology to effectively manage the increase in sexual offenders/predators and, specifically, growth in information collected about each registrant.
- Provide key improvements in the Registry based on input from law enforcement agencies around the state. Over 80 improvements were identified and comprise seven major themes:
    - Registration Process
    - Addresses and Address Verification Process
    - Contacts, System Notifications, and Alerts to Law Enforcement
    - Electronic Document Management System (EDMS)
    - Data Entry, Updates, and Registrant Management
    - Reporting
    - Equipment, Technology and Mobile Platforms
- Provide a more intuitive and versatile Sexual Offender Registry System for users.
- Simplify the 30-day transient registrant check-in process.
- Implement mobile functionalities for public searches and law enforcement searches.
- Implement document management features to make documents related to registrants more readily available to law enforcement.
- Provide officer safety alerts including warrants and cautions.
- Improve consistency in reporting transient population across the state.
- Improve law enforcement user communication options.
- Implement customization and improved reporting by each user, especially in the area of legal status.
- Create ability to indicate Residency Restrictions and provide supporting documentation.
- Provide Sheriffs' Offices with increased capabilities to update Registry information related to the information they collect first-hand.
- Provide identification of certified documents and generation of documents provided by FDLE to local law enforcement.
- Provide electronic notification reminders to registrants of their next registration due time to augment notice printed on registration forms.
- Improve intake and tracking of non-traditional addresses such as cruise or truck driver itineraries.

- Use the information developed during the Sexual Offender/Predator Registry project to identify improvements for the Career Offender Application for Statewide Tracking Registry.
- Implement a supported technology architecture related to the programming framework.

And, the Business Objectives of this project support FDLE's Long Range Program Plan (LRPP) for fiscal years 16-17 through 20-21:

Objective IX: Provide improved public access to information about crime and criminals

Goal 1: Ensure the detection of crime, investigation of criminal activity and apprehension of suspected criminals

Goal 3: Prevent Crime and Promote Public Safety

B. Baseline Analysis

Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

1. Current Business Process(es)

NOTE: If an agency has completed a workflow analysis, include through file insertion or attachment the analyses documentation developed and completed by the agency.

a. FDLE Processing

FDLE's Enforcement and Investigative Support (EIS) Bureau maintains several major information collection repositories to support local law enforcement in their duties of protecting Florida citizens. These repositories include the Florida Sexual Offender Registry, Career Offender Application for Statewide Tracking (COAST), and the Missing & Endangered Persons Information Clearinghouse (MEPIC). EIS staff provides analytical and investigative support to local, state, federal, and international law enforcement agencies. In regards to the Sexual Offender Registry System, analysts and sworn agents continually utilize the information supplied in Florida's registry to keep the registry as complete and up-to-date as possible, identify and investigate those individuals who fail to register as required or pose higher risks for violating registration laws, and develop intelligence on difficult-to-track registration violation cases. EIS also uses the registry system to conduct legal reviews, process case law impact and court orders, and fulfill public records and certified document requests.

The primary business functions of the Sexual Offender Registry System are described in more detail below.

<u>Registration</u>

Individuals who have been designated as sexual offenders and sexual predators are required to register with a Sheriff's Office in a time cycle required by Florida statute. The information collected at the Sheriff's Office is entered in FDLE's Sexual Offender Registry System computer application. In July 2016 when the LBR was being assembled, there were over 68,000 registrants in the database with an average of around 3,000 new registrants added to the registry each year since 2010.

Of those sexual offenders/predators released from prison and living in Florida there are over 29,000 sexual offenders required to register with the Sheriff's Office two times per year. There are approximately 10,000 sexual offenders and sexual predators that are required to register with the Sheriff's Office four times per year. There are approximately 2,333 sexual offenders/predators that are registered as transient and are required to report to the Sheriff's Office every 30 days. This adds up to a total of a minimum of 119,000 in-person contacts with the Sheriffs'

Offices every year. The statistics are indicative of the volume of workload that local Sheriffs' Offices are performing each year with increases of convicted sexual offenders/predators expanding that workload each year too.

The Sexual Offender Registry information is accessed directly by law enforcement to assist with managing their registrant populations. It provides them with the mechanism to collect all of the legislatively required information for each registration in the Sheriff's Office. It provides them with the history of that registrant so they can ensure the information is accurate while the sexual offender/predator is at their office. All of this information is at their fingertips to support them in getting their job done in a timely fashion for each registrant given the volume they must process. The information is then pushed out as appropriate through different types of notifications to the community and other law enforcement to comply with the Public Safety Information Act of 1997.

Statutory Registration Requirements at the Sheriff's Office

Some of the information and deadlines imposed on the Sheriffs' Offices by Florida Statutes (943.0435, 775.21, and 775.261) include in-person registrations either two times or four times per year (for sexual offenders and sexual predators). Additionally, sexual offenders and predators who have registered as transient must report in-person to the Sheriff's Office every 30 days. Information required to be gathered or confirmed at the Sheriffs' Offices during registration includes:

- Name
- Date of birth
- Social security number
- Race
- Sex
- Height and weight
- Hair and eye color
- Scars, Identifying Marks, Tattoos
- Fingerprints
- Palm prints
- Photograph
- Occupation and place of employment (effective October 1, 2016, this will be required to be reported within 48 hours of any change)
- Vehicle information (must be reported within 48 hours of any change)
- All home telephone numbers and cellular telephone numbers (effective October 1, 2016, this will be required to be reported within 48 hours of any change)
- All electronic mail addresses and internet identifiers (must be reported prior to use)
- Conviction information
- Passport information
- Immigration status/documentation
- Professional license information
- Residential address(es) including transient (i.e. homeless)
- International addresses (must be reported 21 days prior to departure)
- Out-of-state addresses (must be reported within 48 hours prior to departure)
- Higher education information (must be reported within 48 hours of any change)

Community Notifications

The community can receive information in several ways about sexual offenders/predators. Any public citizen can sign-up to receive automatic notifications when a sexual offender/predator registers with a Florida address in an area they want to monitor, such as their home, workplace, school, daycare, etc. They can also perform searches anytime on FDLE's public website for specific sexual offenders/predators by name; by their registered Florida address; by the University and campus they are enrolled, employed or volunteer at; or by an email address or internet identifier of someone they suspect may be a sexual offender/predator. The automatic notifications and the name, address, and

University searches will provide the public citizen with sexual offenders/predators that meet the criteria giving a registration photo, basic demographic information, their address(es), legal status, aliases they may be using, and the sexual offense conviction information. The email address or internet identifier search will notify the public citizen whether or not that particular email address or internet identifier has been registered. The public citizen even has the ability to keep track of sexual offenders/predators that they specify to ensure they know where that person is located. Today, there are over 180,000 people signed up to receive sexual offender/predator alerts through the Florida Offender Alert System. In 2015, over 3 million email notifications were sent to citizens signed up to receive these alerts.

Criminal Justice Notifications

Within the Sexual Offender Registry System, criminal justice users can be notified of the information they need through several avenues. The users can receive automated email notifications when an offender's information changes (much like the public) or track specific sexual offenders/predators within their jurisdiction. The difference between criminal justice notifications and the public notifications is that criminal justice users can search and receive more detailed Criminal Justice Information (CJI). In addition, reports are available to help law enforcement manage their address verifications or certain information about their offender populations in general.

The Sexual Offender Registry also works closely with other state and jurisdictional registries and federal agencies to provide information about the movements of sexual offenders/predators across state and country borders. This information assists the other registries to be aware of sexual offenders/predators moving into their jurisdictions and helps with registration compliance issues.

Data Management/Sharing

The Sexual Offender Registry requires a great deal of data management. In addition to the direct data entry of registration information by the Sheriffs' Offices, there are automated processes which receive and provide information. The FDLE Sexual Offender Registry analysts are responsible for quality control of the data that comes in to the system. They rely on reports, searches, and online review to accurately assess the data.

The Sexual Offender Registry provides information to the Florida Crime Information Center (FCIC) which in turn sends the information to the National Crime Information Center (NCIC) so that law enforcement agencies across the country have access to sexual offender/predator information. In addition, the U.S. Department of Justice (DOJ) links to all of the states' public registry websites. Data is shared between state agencies regarding sexual offenders/predators through secured data transfers. The Registry receives biographical, address, and crime information as data transfers from the Florida Department of Corrections (FDC) and the Florida Department of Juvenile Justice (DJJ). The Florida Department of Highway Safety and Motor Vehicles (DHSMV) also provide address information as well as driver license and identification card information.

Every new offender that is entered into the Registry from FDC, DJJ, or directly through an initial registration at a Sheriff's Office is reviewed by a Registry analyst to check for accuracy, completeness, and registration criteria prior to being made available for public access. Due to differences in state registration laws, often, the person's information is also reviewed by case review specialists and FDLE's attorneys to determine if that person meets the criteria for registration in Florida.

In addition to the initial review of criteria when the registrant's information changes through amended court documents, vacated convictions, or termination of another state's registration requirements, the same type of specialist/legal review as described in the paragraph above will be completed. In 2015, 931 cases were sent for this second level of review.

Document Management

The Sexual Offender Registry currently has the ability for registry personnel to upload documents that are required to determine registration requirements or are related to registrants. These documents include registrations, conviction documents, and confirmations of registration requirements from other state registries, correspondence, case review forms, arrest/incident reports, and more. There are currently over 1.2 million registration forms and registration related documents uploaded directly into

the sexual offender/predator registry's database. In addition, FDLE has scanned and uploaded approximately 61,000 registrant files each containing multiple documents.

In the Sexual Offender Registry, law enforcement can view the registration forms to help them with monitoring the compliance of the offenders in their areas. In the Registry, analysts use the documents to determine registration requirements and update the information in the Registry where needed.

In order to obtain warrants or to prosecute for failure to register cases, State Attorneys' Office, Sheriffs' Offices, Police Departments, and the United States Marshal Service submit requests to FDLE for certified registration forms. These registration packets are completed by Registry analysts who manually create certification forms for each registration form requested. FDLE received 709 requests for certified registration packets in 2015, and as of August 2016, had received over 600 requests. Requests continue to grow every year.

Mapping/Geocoding

Addresses of individuals who are required to register as sexual offenders/predators are mapped so that public citizens and law enforcement can search and locate individual offenders/predators or locate offenders/predators within a radius of a certain address (a neighborhood search). In addition to mapping offender/predator addresses, FDLE works with the Florida Department of Children and Families to map daycare centers so that law enforcement can notify those daycare centers of sexual predators in the vicinity as required by statute.

Reporting and Searches

Several types of reports are available through the FDLE's Sexual Offender Registry to assist law enforcement with managing their registrant populations. These types of reports include a list of registrants who are due for their next registration or the next address verification.

The Sexual Offender Registry offers a customizable search feature to help law enforcement agencies with investigations. In the case of a missing child or the search for an unknown suspect, law enforcement can use this search to enter in any combination of several features including, but not limited to: height, weight, eye color, hair color, age, and vehicle make/model/color.

On the public side, in March of 2016, there were over 904,000 searches on the sexual offender/predator registry website.

b. Current Performance/Operational Issues

The FDLE's current Sexual Offender Registry System has evolved over the years with numerous legislative bills to capture more information about registrants as well as improvements to notify the public relating to that information. As technology has improved, so have the functional capabilities (such as the mapping/geocoding and document management). The statistics stated above indicate the growth rate in Florida's Registry. By conducting the statewide meetings with law enforcement, FDLE was able to identify improvements in areas most beneficial to them in the performance of registration duties with a growing registry.

The **computer application** which provides all of the Registry's functionality is a legacy system that is in need of a software version upgrade. The system programming is written in a version of Java Apache Struts open source software foundation framework that is no longer officially supported because it has technically reached its end of life. The needed framework upgrade requires substantial re-programming. The enhancements requested by local law enforcement to support the Registry touch almost every area of the computer application. This combination provides an opportunity to address these areas as well as an opportunity to address some of the system's areas that have out-grown its capabilities. Some of the most critical areas are:

Document Management: A new system design would allow documents to be uploaded, stored, and retrieved in FDLE's enterprise document management system rather than the limited custom-built file share. By the end of FY16/17, there will be over one terabyte of documents stored related to sexual offenders/predators. A more robust document management system is needed to manage the growing volume of documents. Several of the requested enhancements are related to sharing documents between jurisdictions for residency restrictions, court documents, and certified documents for requested diligent searches.

Mobility: The current system is web based and therefore not fully adaptable for use by mobile devices. The new

system design would be in a programming framework that enables the application to adapt to websites or mobile devices. This would allow the presentation of the sexual offender/predator information to be more readable in mobile devices as well as the mapping capabilities being further exposed for public and law enforcement for locational information on registrants. Other organizations link to FDLE's public website from their mobile websites. In 2016, the U.S. Department of Justice (DOJ) implemented a mobile version of the Dru Sjodin National Sex Offender Public Website (NSOPW) as an enhanced public safety resource. The DOJ provides links to all of the states' public registry sites. Their new mobile site allows search by name with "near me" functionality. Once the name search is complete, the user can drill-down several times to receive more information with the end result being FDLE's Public website flyer. While the flyer will display in a mobile device's browser now, it is not a "mobile friendly" version because it requires zooming and scrolling. Once this project is complete, FDLE will be able to render the Public website flyer in a "mobile friendly" version for better use by the DOJ mobile site.

Processing Transients: The transient population in Florida has increased and the law requires they "check-in" to their local Sheriff's Office every 30 days. There is a need to have an abbreviated type of registration for these "check-ins." The current system was built for a full registration accounting for many areas that are not applicable to transients, like permanent addresses and vehicles. This is an area of functionality that can save a lot of time when redesigned for law enforcement to process these transients each month.

Reporting: Law enforcement agencies requested the ability to filter more data to zone in on their jurisdictions to help them in some of the work they must do related to registrants, such as address verifications. Some of the south Florida cities have many zip codes that an officer is responsible for. Several of the enhancements are related to identifying who is in their zip code or county and legal status such as county incarcerated so they can organize their work more optimally in the time it takes to do address verifications.

Pre-registration: This is a new concept being asked for that will enable Sheriffs' Offices to set up in-office kiosks or develop functionality in the current Cyber Communication System (CCS) for registrants to self-report changes just prior to meeting in person with registration personnel and signing their registration form. The registrant would be able to update any new scars/marks/tattoos, vehicle changes, vessel changes, or other registration information other than residential addresses. They would update the information just prior to their appointment in the Sheriff's Office which would make for quicker processing by law enforcement.

2. Assumptions and Constraints

Assumptions

FDLE is legislatively mandated to serve as the central repository for registered sexual offenders and predators in Florida. Since the Registry's implementation in 1997, FDLE has been a leader nationally in having a comprehensive and progressive Registry to meet the needs of law enforcement and the public in addition to the federal requirements. FDLE's Registry is known to be reliable in data quality and availability. The assumption is that an automated, centralized repository for an increasing sexual offender/predator population will continue to be necessary to support law enforcement in their duties. This repository will be necessary to provide information to the public for the safety of our communities.

Another basic assumption is that FDLE will continue to have responsibility for maintaining the central repository for the growing sexual offender/predator population in Florida. Each year, legislation will likely continue to introduce more sexual offender/predator registration changes and restrictions. FDLE must be able to quickly incorporate and support these changes. Automation is a necessary function to streamline the workload processes in the Sheriffs' Offices. Automation is also needed for the data quality/analysis services provided by FDLE's Enforcement and Investigative Support Bureau.

It is also assumed that the demand by public citizens for mobile applications will continue to grow. Use of mobile devices by law enforcement is increasing in their daily operations too. FDLE is facing the demands of both public citizens and law enforcement agencies to provide greater services of information delivery and technology.

Constraints

Given the increase in the sexual offender/predator population in Florida, the Sheriffs' Offices must absorb the workload associated with registration requirements typically with no additional staffing to assist. And, likewise, FDLE must implement any new legislative requirements associated with the registration process in the Sexual

Offender Registry System which is written in a programming framework that is no longer supported. The current unsupported technology design of the Registry makes it difficult to implement improvements or adapt to the use of newer technology, such as mobile devices.

The number of improvements identified by local law enforcement in the statewide meetings would involve a long timeline to deliver with the current Information Technology System (ITS) staff without additional resources. The long timeline would perpetuate the need for local law enforcement to perform the Registry processes outside of the automated, centralized system.

C. Proposed Business Process Requirements

Purpose: To establish a basis for understanding what business process requirements the proposed solution must meet in order to select an appropriate solution for the project.

1. Proposed Business Process Requirements

Through this project, the primary business processes (described above in II, Section B.) will continue to be supported. However, improvements recommended by Florida law enforcement agencies will also be provided. They are defined as:

- Provide the ability to capture and display electronic thumbprint and/or fingerprints on electronic and paper registration forms at a significant enough quality for identification purposes.
- Provide the ability to capture and display electronic signatures or initials on multiple parts of the registration form including, but not limited to, the individual registration requirements and upcoming registration dates and/or times.
- Develop an abbreviated registration or check-in process for transient subjects' 30-day mandated check-in and capture the check-in information in a statewide system.
- Allow local law enforcement to specify future registration or check-in dates and times for subjects, specifically those who report transient addresses.
- Capture and pre-populate consistent data such as probation officer and location information, crime information, and victim information.
- Allow for dynamic registration forms allowing for the printing of all information reported during a registration with an indication for what new/updated information was reported.
- Provide the ability to denote any special residency information such as an address that was grandfathered in under statute, is court ordered or allowed, or that has been verified as compliant with state and/or local ordinance restrictions.
- Map and track registrants subject to statewide residency restrictions and/or local residency restrictions with notification of potential violation of a restricted area.
- Allow and encourage greater use of self-reporting tools such as the Cyber Communication System (CCS) or in-office kiosks to include the insertion, modification, and removal of all registration information other than residential addresses.
- Provide ability to capture additional information/intelligence associated with address records such as directions to a specific location, descriptive information, officer safety information, transient information, or photographs.
- Provide ability to use alternate and mobile technologies to conduct address verifications and propagate information collected into the Registry.
- Provide ability to use mobile technologies when reporting Field Intelligence.
- Provide customizable alerts or notifications sent to users when an individual's record is accessed or updated by another user or the subject themselves through CCS; including who accessed the records and what, if any, updates were made.
- Provide updates on legal status changes such as incarceration or deportation.
- Integrate the Registry with the Florida Crime Information Center (FCIC) and Florida's Integrated Criminal History System (FALCON) to provide notifications on changes in criminal histories, warrants and wants, or non-sexual offense related arrests/contacts.
- Provide notifications of cautions or warnings related to specific offenders leading to greater law

enforcement safety across jurisdictions; with ability to update cautions and warnings by local users.

- Allow contact lists for local, state, and national agencies including primary contact and functions that are maintainable by local agencies.
- Provide methods for users to communicate information and intelligence across jurisdictions either related to specific offenders or as general information such as message board topics.
- Allow local agencies to upload, view, and download arrest, registration, court documents, and reports for subjects into the secure application EDMS.
- Allow local agencies to upload, store, and retrieve documents specifically related to a subject's status pertaining to residence restrictions and the statewide 1,000 foot rule.
- Allow local agencies to upload, store, and retrieve documents related local ordinance language.
- Allow local agencies to upload documents and photographs (vehicles, homes, scars, marks, and tattoos) related to intelligence collected on subjects in their jurisdiction thus allowing for the sharing of intelligence information across jurisdictions.
- Provide the ability for Registry users to select and print "all documents" in a subject profile.
- Incorporate a form for internal FDLE analysts to use with certified documents for requested diligent searches by local agencies.
- Identify documents that are certified and incorporated into the system, allowing for the saved certified documents to be certified from FDLE.
- Allow for direct update of address information and vehicle data without reliance on the field intelligence process.
- Provide the ability to record associated non-public intelligence information and/or investigative notes such as:
    - Family and friend affiliations
        - Address information,
        - Phone information,
        - Vehicle information,
    - Gang and corrupt organization affiliation
    - Shelter/Emergency relocation information
    - Additional descriptors such as piercings and missing teeth/limbs
    - Past criminal activity and Modus Operandi
    - Victim profile data
- Provide ability to store non-public emergency contact information for registrants.
- Allow for local law enforcement to update and edit field intelligence notes and/or make changes to registrant's profiles directly from the application.
- Determine better controls for outdated/invalid addresses and information sent from external systems.
- Allow for filtering of address verification due report by zip codes.
- Allow users to set default parameters for the Address Verification Due Report which would be maintained each time the report is accessed.
- Allow users to establish zones within their jurisdiction, utilizing zip codes and city fields, for report filtering purposes.
- Develop reports that allow for offenders to be searched by specific legal statuses (i.e. county incarcerated).
- Provide the ability to run reports for a specific user that shows all activity related to the user's profile during a specific period of time.
- Allow users to exclude some subject types and legal statuses on reports.
- Enable ease of county to county comparison in reporting.
- Allow for address related reports to include all types of addresses for an offender and allow for customization by the user.
- Expand search and sort capabilities beyond the county level; allowing for city or zip code searches.
- Provide the ability to use Rapid ID to tie in with the Registry and notify relevant agencies when registrant's fingerprints are run.
- Support the use of a kiosk system for updating registration data or completing transient check-in.
- Change the business rules so they do not allow registrants to have open temporary addresses; require a registrant to check in and out of temporary residences.
- Provide indications if a subject qualifies under the state's 1,000-foot residence restriction rule and also

provide the ability to save documents related to the residency restrictions for viewing by other jurisdictions.
- Provide indications that show active alerts, warrants, and cautions for registrants.
- Provide an easier method of recording address verifications in the Registry.
- Simplify the navigation required by the Registry system in the registration process.

There are other improvements which were identified, but will require further requirements analysis regarding their feasibility:

- Prepopulate standard Address Verification forms with data already captured and stored in the database.
- Provide the ability to generate and send notifications to the public and/or schools and daycares regarding offender and predator addresses.
- Develop customizable flyer to include agency contact information/logo and subject information specified by the user.
- Create links between the current application and other systems and databases like:
  - FCIC/NCIC for warrant and wanted information
  - Justice Exchange and LiveScan for arrest data
  - Pawn data for potential address updates
  - 3M for registrant GPS data
  - Comprehensive Case Information System (CCIS) for updated judgment and sentence data
- Add ways to capture, store and display a variety of biometric data.
- Incorporate a better, more seamless process for the use of 2-finger reader for identification.
- Allow the Registry to function with non-proprietary equipment and software; the system should function with tablets and smartphones for image capture and signature.
- Allow the Registry to populate standard information into forms such as user names.

2. Business Solution Alternatives

As mentioned earlier in this document, FDLE conducted a series of meetings with law enforcement across the state to identify their needs to register and track sexual predators and offenders. Three options were considered. Continuing to operate the Sexual Offender Registry in its current configuration is not an option.

Option #1 – Upgraded Solution with Current Functionality

This option would have FDLE redesign and develop a new Sexual Offender Registry based on the latest technology. The new system would offer some improvements (primarily appearance and navigation) for end users. However, most of the improvements would be in the design, infrastructure, and technical administration, elements not readily visible to end users. Functional requirements would be based on current business processes.

Option # 2 – Custom Solution with New Functionality

This option would have FDLE redesign and enhance the Sexual Offender Registry System incorporating improvements recommended by Florida law enforcement agencies. The new system would offer current capabilities (with improved appearance and navigation) and new functions such as access to the registry through mobile devices (such as smartphones and tablets) and others described in the Proposed Business Process Requirements section of this document.

Option # 3 – Customized Commercial Solution

This option would have FDLE procure, through a competitive solicitation a commercial product and/or service from a vendor that would be customized to meet FDLE and local law enforcement requirements for a centralized Registry.

3. Rationale for Selection

Each alternative was analyzed using the following criteria.

- Benefit to FDLE customers
- Effort to implement
- Cost (Short and Long Term)
- Risk
- Impact to Business and IT units in FDLE

Option #1 – Upgraded Solution with Current Functionality

To implement this option, FDLE would organize a team of subject matter experts, EIS staff, and IT professionals operating under the direction of a full-time Project Manager. The Project Manager would, in turn, report to a Project Steering Committee. All design and development work would be performed by the project team at FDLE headquarters in Tallahassee.

Estimated Duration – 24 months

Estimated Cost - $3.7 million

Advantage	**Disadvantage**
Lowest cost and fastest to implement.	Does not meet significant needs of the local law enforcement. Improvements identified by Florida law enforcement agencies in late 2015 and early 2016 are not addressed.
Provides upgraded technology that is fully supported.	Does little to address offender management services or integration with local systems.
Provides a redesigned “look and feel” in the Sexual Offender Registry System computer application that is more intuitive and easier to use.	
Lowest risk of the three alternatives.	

Option # 2 – Custom Solution with New Functionality

As with Option 1, a team of subject matter experts, EIS staff, and IT professionals would be assembled. The team would operate under the direction of a full-time Project Manager. The Project Manager would, in turn, report to a Project Steering Committee. All design and development work would be performed by the project team at FDLE headquarters in Tallahassee.

The original LBR referenced contracting with a private firm (or possibly multiple firms) to provide offender management services for local law enforcement agencies. After further analysis, the Florida Sheriff’s Association workgroup along with FDLE determined that most of the functionality could be addressed internally by the project team with the other enhancements. The items which could not be addressed (ex. integration with local records management applications; mobile notifications to offenders) would require much more time and resources that could be reasonably addressed with this LBR. The length of time to complete the offender management type enhancements by the LBR project team is still within the LBR. The duration and cost represents those items.

Estimated Duration - 36 months

Estimated Cost - $7.1 million; revised to $5.7 million

Advantage	Disadvantage
Most of the improvements identified by Florida law enforcement agencies in late 2015 and early 2016 are provided.	Highest cost and longest duration.
Enables local law enforcement agencies to customize their offender management functions and streamline work processes.	More research is needed to define the scope of work for the Offender Management component and control the expenditure of funds equitably among Florida's 67 counties (if state funded).
Provides mobile capabilities to law enforcement officers responsible for verifying addresses and registering sexual offenders/predators which will assist them in performing their job functions while on patrol.	Higher risk than Option 1.
Lower risk than Option 3.	
Responsiveness to statutory changes. With in-house staff, FDLE can react quickly to changes in Florida Statutes that affect registration of sexual offenders.	

Option #3 - Customized Commercial Solution

This option also involves forming a team of subject matter experts, EIS staff, and IT professionals that would operate under the direction of full-time Project Manager. The Project Manager would, in turn, report to a Project Steering Committee. The Steering Committee would be comprised of FDLE business unit and IT managers.

FDLE would undertake one (or more) competitive procurement(s) to acquire products and/or services that would need to be customized to address current functions of the registry as well as improvements identified by Florida law enforcement agencies.

Instead of managing a software development effort, FDLE would be managing one or more IT firms working under contract to customize and implement their registry product. With appropriate controls, software development work could be performed outside of Tallahassee.

Estimated Duration – 36 months

Estimated Cost - $4.7 million

Advantage	Disadvantage
Off-loads some of the work associated with running a large IT project.	Offers little reduction in time to implement. FDLE would need to undertake a competitive procurement process to identify a supplier. These processes typically run from 6 to 12 months to complete.
Depending on the product, this option could reduce risk and complexity associated with software development.	FDLE will have to undertake a high dollar competitive procurement process, which will introduce risks for delay.
	Product availability in the market is uncertain.

	Once deployed, depending on the ownership of the system FDLE could potentially have to work with a third party vendor for support.
	Highest risk of the three alternatives.

4. Recommended Business Solution

NOTE: For IT projects with total cost in excess of $10 million, the project scope described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.

FDLE recommends Option # 2 – Custom Solution with New Functionality

FDLE implemented the original state-level sexual offender database in the late 1990's and has effectively managed the Sexual Offender / Predator Registry for nearly twenty years. In that time, FDLE has developed deep institutional knowledge in business and IT operations associated with the registry. To date, major upgrades to the registry have been managed as in-house development efforts. Option 2 is the best fit for FDLE's experience and skills.

While this option is estimated to be the highest cost and longest duration, it most closely meets the needs identified by Florida's law enforcement agencies.

D. Functional and Technical Requirements

Purpose: To identify the functional and technical system requirements that must be met by the project.

Include through file insertion or attachment the functional and technical requirements analyses documentation developed and completed by the agency.

1. Functional Requirements

In the updated system, the following functional areas along with the specified items in each area need to be captured. This list is intended to depict a majority of the functions, but is not exhaustive.

Note: The Sexual Offender Registry System at FDLE has several system components. The actual component that the Sheriffs' Offices use to register is referred to as the "Sexual Offender/Predator System (SOPS)." The system component that sexual offenders/predators use to identify their online accounts and campus information is referred to as the "Cyber Communication System (CCS)." And, the websites that allow the public and law enforcement to search for more information is referred to as the "Public Website" and "CJNet Website", respectively. They will be referenced in the remainder of the document in order to identify necessary details associated with this LBR.

Registration Improvements

1. Allow offenders to "pre-register" (self-report) by updating their basic information that might have changed (like address, vehicles, etc.) just prior to their visit to the Sheriff's Office. This is expected to expedite the registration time for each offender. Local Sheriffs' Offices can set up kiosks to facilitate this process or the offender can use the Cyber Communication System (CCS) to do it from home if they desire.
2. Ability to capture electronic signatures or initials on multiple parts of the registration form.
3. Abbreviated registration or transient 30-day check-in process.
4. Ability to specify future registration or check-in dates and times at the discretion of local law enforcement; especially useful with transients.
5. Pre-populate data that remains the same, like probation officer, crime information, victim information.
6. Print of all information reported during registration with indication of what is new/updated info.

Address and Address Verification Improvements

1. Ability to denote any special residency information such as an address that was grandfathered in under statute, is court ordered or allowed, or that has been verified as compliant with state and/or local ordinance restrictions.
2. Capture of additional information/intelligence associated with address records such as directions to a specific location, descriptive information, officer safety information, transient information, or photographs.
3. Provide a way to track statewide residency restrictions and/or local residency restrictions with notification of potential violation of restricted area that is available to other Sheriffs' Offices so that the information is not gathered by each office.

Contacts, System Notifications, and Alerts to Law Enforcement

1. Provide alerts or notifications to LE users when an offender's record is accessed or updated by another user (including the offender) along with identifying the changes that were made.
2. Provide updates on legal status changes such as incarceration or deportation.
3. Provide notifications of cautions or warnings related to specific offenders leading to greater law enforcement safety across jurisdictions; with ability to update cautions and warnings by local users.
4. Provide contact lists for local, state, and national agencies including primary contact and functions.
5. Provide methods for users to communicate information and intelligence across jurisdictions
6. Collect and store non-public emergency contact information for registrants.

Data Entry, Data Updates, and Registrant Management Improvements

1. Ability for external users to add/modify/remove data in Registry.
2. Ability to record associated non-public intelligence information and/or investigative notes such as:
   - Family and Friends affiliations;
   - Address information;
   - Phone information;
   - Vehicle information;
   - Gang and corrupt organization affiliation;
   - Shelter/Emergency relocation information;
   - Additional descriptors such as piercings and missing teeth/limbs;
   - Past criminal activity and Modus Operandi;
   - Victim profile data.

Reporting Improvements

1. Set person defaults for reporting (like MyReports).
2. Allow more report filters, such as zip codes, subject types, legal statuses, county, etc.
3. Enable ease of county to county comparison.

2. Technical Requirements

1. System will use technology to provide the flexibility for future data sharing initiatives with other state and federal law enforcement agencies.
2. System will use electronic submission of documentation by uploading electronic documents and submitting forms through the document management system.
3. System will provide ability to store many types of documents in a centralized location.
4. System will be accessible 24 hours per day, 7 days a week.
5. System should be architecturally sound enough to share data at the Federal, State, and local level.
6. System technology will be as current as possible to sustain a maximum support life.

III. Success Criteria

Purpose: To identify the critical results, both outputs and outcomes, that must be realized for the project to be considered a success.

FDLE plans to upgrade and improve the Sexual Offender Registry System using the latest technologies within FDLE's infrastructure. The new system components will allow scalability in the foreseeable future as legislative or business process improvements change. A redesigned system will allow FDLE to avoid system failure as well as increased efficiencies and improvements for local law enforcement. A modernized system will also improve relationships with those having to perform the Registry.

The incorporation of a document management system will enable storing documents within the context of usage in the Registry making available for others. Document management tools will significantly improve the ability to access the documents without re-researching each time the documents are needed. They will be available for use by the multiple end-users of the Registry.

Local and state criminal justice agencies will be able to better update information within the system and will be able to better filter information they need from the system with a modern user-friendly reporting interface. Agencies will also have more autonomy with their information technology devices.

Success Criteria Table				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
1	Update of programming technology framework	FDLE will measure by having supported patches for security vulnerabilities that can be installed; decreased complexity of maintenance efforts	FDLE, local law enforcement, public	6/30/2019
2	An extensible and scalable document management storage solution	FDLE will measure by the reduction of calls and the time it took to prepare paper documents given they are available online	FDLE, Local Law Enforcement	6/30/2020
3	Local law enforcement will be able to better update information within the system	FDLE will measure by calculating the time reduced to perform thorough Field Intelligence review	FDLE, local Law Enforcement	6/30/2020
4	Use of mobile devices (tablets, smartphones)	Measured by verbal and online feedback and visual presence of the mobile devices	Public, local law enforcement, FDLE, sexual offenders/predators	6/30/2018; fully by 6/30/2020
5	Expanded reporting capabilities without programming assistance	FDLE will measure by the reduction in ad hoc reporting requests for ITS staff to provide	Local law enforcement, FDLE	6/30/2020

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

A. Benefits Realization Table

Purpose: To calculate and declare the tangible benefits compared to the total investment of resources needed to support the proposed IT project.

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

BENEFITS REALIZATION TABLE					
#	**Description of Benefit**	**Who receives the benefit?**	**How is benefit realized?**	**How is the realization of the benefit measured?**	**Realization Date (MM/YY)**
1	Improved user experience and FDLE image	Public, Local Law Enforcement, FDLE	Redesigned user interface for the web application	Feedback from users	6/30/2019; fully by 6/30/2020
2	Electronic records documentation	Local Law Enforcement, FDLE	Standard documents will not have to be researched repeatedly between jurisdictions	Growth rate in the number of the various documents	Post 6/30/2020
3	Expanded Reporting Capabilities without programming assistance	Local Law Enforcement, FDLE	Expanded reporting capabilities and each of creating reports will streamline ad hoc reporting	Reduction in programming requests to ITS staff to provide routine reports with special filtering	Post 6/30/2020
4	Supported Programming Software Foundation Framework	FDLE	Security patches will be able to be applied; open-source Apache software foundation will be supported	Mainstream maintenance support	6/30/2019; fully 6/30/2020
5	Enable some of the Registry components to be run on a variety of mobile devices	Public, Local Law Enforcement, FDLE	Use of Smartphones and tablets in addition to the personal computers and	Measured by verbal feedback and visual presence of the mobile devices	6/30/2018; fully by 6/30/2020

BENEFITS REALIZATION TABLE					
			laptops		
6	Improved system security	The named users for the Registry components of SOPS and CCS applications	Use of FDLE's central security application (ASM) which manages user access and full audit tracking	Security audit results	Post 6/30/2020

B. Cost Benefit Analysis (CBA)

Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed source(s) of funding.

Service is one of FDLE's four core values. The focus of this project is to provide high quality services via complete information, current and timely data, efficient processes and intuitive, easy-to-use computer application. Consumers of Sexual Offender Registry System depend on the integrity, completeness, and quality of the data to register Sexual Offender/Predators as legislatively mandated.

The SOPS improvement will advance the quality of the Sexual Offender/Predator system, in effect improving the quality of the decisions, and ultimately providing a safer Florida for its citizens, visitors, and criminal justice officers.

The planned improvements and efficiencies in the work processes will enable FDLE to add new services and maintain sufficient productivity in the face of growing demands.

The future viability of FDLE's Sexual Offender Registry System depends largely on the completeness and timeliness of the records in the central repository. It also depends on the efficiency with which services are delivered. If SOPS is operated and maintained effectively, FDLE can enhance the services that its customers want and need.

1. The Cost-Benefit Analysis Forms

The chart below summarizes the required CBA Forms which are included as Appendix B on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

Cost Benefit Analysis	
Form	**Description of Data Captured**
CBA Form 1 - Net Tangible Benefits	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project. Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.

Cost Benefit Analysis	
Form	**Description of Data Captured**
CBA Form 2 - Project Cost Analysis	Baseline Project Budget: Estimated project costs. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants. Characterization of Project Cost Estimate.
CBA Form 3 - Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

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

NOTE: All multi-year projects must update the Risk Assessment Component of the Schedule IV-B along with any other components that have been changed from the original Feasibility Study.

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix E on the Florida Fiscal Portal and must be completed and submitted with the agency's Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

A. Risk Assessment Summary

The initial risk exposure in the Strategic Assessment area is High is due to the preliminary stage of the project. More detailed objectives will be documented and communicated to the 67 counties of law enforcement. The Project Sponsor and Senior Management at FDLE have committed to keeping local law enforcement informed of the progress of the project at periodic intervals during the 36-months of the project since they were the ones that identified the improvements and will benefit once implemented. Detailed requirements will be prepared along with a list of decisions that must be made in law, rule, or policy.

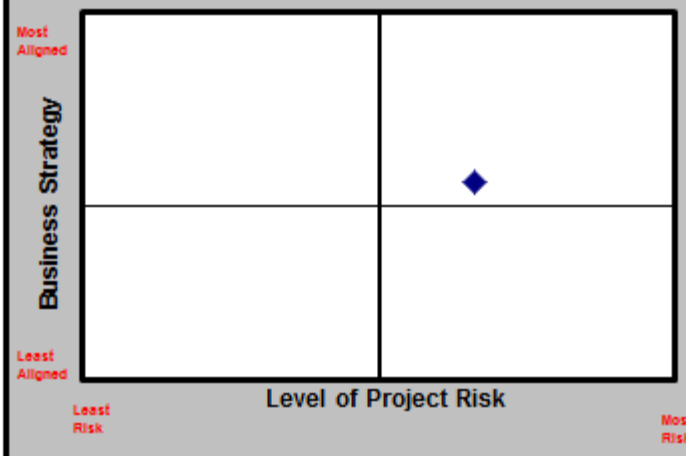
The initial risk exposure for the Project Complexity Assessment area is High mostly because of the involvement of 67 counties of local law enforcement; they were counted as separate entities instead of one entity of users. FDLE has confidence in this project due to its adherence to FDLE ITS standards and have performed similar types of projects recently.

The Risk and Complexity Assessment using the Agency for State Technology form categorizes this project as a "2" meaning it is Medium Risk and Low Complexity.

RAForm 1 / Project Assessment

Project	Sexual Offender / Predator Registry Improvement	
Agency	Florida Department of Law Enforcement	
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title:	
36118CO	Sexual O/P Registry Improvement	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Becky Lackey, 850-410-8459, beckylackey@fdle.state.fl.us		
Executive Sponsor	Donna Uzzell, Special Agent in Charge	
Project Manager	Mary Coffee, Planning and Policy Administrator	
Prepared By	Pamela Bullard/Brian Browning	8/9/2017

Risk Assessment Summary



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

VI. Schedule IV-B Technology Planning

Purpose: To ensure there is close alignment with the business and functional requirements and the selected technology.

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The current Sexual Offender Registry System was developed more than 10 years ago. It is a 3-tier web-based application using an open source Java framework and Oracle database. Process improvements, data quality and application reliability are major factors for the improvement project. Over the years, Legislative mandated functionality has been added in a patchwork of programming code using the same software foundation framework it was written in to meet the required deadlines. The original system architecture worked effectively with a smaller base of sexual offenders/predators, but as their growth rate has risen exponentially, it does not accommodate the necessary process improvements to perform registrations faster. In addition, the full expansion of document management and reporting cannot be completed within the current architecture of the system. The current system is accessible through modern desktops/laptops, but this does not equate to a friendly user experience. The learning curve for new personnel is frustrating because of the restrictions on the current system.

The following provides a breakdown of the current system:

System Type	All of the Sexual Offender Registry System components (except batch jobs) follow the same type of 3-tiers: 1. The presentation tier is presented in a web browser. 2. The business tier uses the Red Hat JBoss application server. 3. The data-tier is the Oracle database.
Number of Users & Types	• SOPS have over 1,400 named users which are internal FDLE staff as well as external law enforcement staff. • CCS has over 54,000 named users (the actual registered sexual offenders/predators) • The Public Website is an internet application. The exact number of users cannot be determined, but there are over 226,000 subscribers for Alerts. Subscribers are signed up through the Public Website. • The CJNet Website is on FDLE's internal CJNet network (our secured firewall). It is one of the many resources on the CJNet network used by FDLE staff and law enforcement staff.
Records	There are approximately 96,707 active, qualifying and non-qualifying records overall with 69,843 qualifying offense sexual offenders/predators.
Security Access Requirements	SOPS and CCS use a custom built login solution
Hardware Characteristics	SOPS consists of development, system test, and production areas. Development & System Test Servers: • 5 (shared) web application servers • 1 process server (batch jobs) • 1 database server Production Servers: • 5 (some shared with load balancing) web application servers

	• 1 process server (batch jobs) • 1 database server
Software Characteristics	Operating system: Linux Application Server: Redhat JBoss Java Foundation Framework: Struts v.1.3.10 (SOPS, Public & CJNet Websites) and 2.3.29 (CCS) 3rd Party Tools: Melissa Data Cloud Service, Google API, JXI Gateway Database: Oracle 11G 11.2.0.3
Internal & External Interfaces	• JXI Gateway to interface with FCIC • Appriss WatchList for Alert E-Mails • National Sexual Offender / Predator Website (NSOPW) • Parse batch jobs for Department of Corrections (DC), Department of Highway Safety and Motor Vehicles (DHSMV), Department of Juvenile Justice (DJJ), Law Enforcement Exchange (LinX), Help America Vote Act (HAVA), Department of Children & Families (DCF), Palm Prints, Public Data Files, Secure Data Files (CJNet), High Risk Sexual Offenders (HRSO)
Consistency with FDLE Standards	SOPS was consistent with standards when it was originally developed.
Scalability	The current system is not fully scalable in its end-of-life programming version of software, custom-written document management solution, and reporting solution.
Connectivity Requirements	CJNet and Internet
Development and Maintenance Approach	The support of the current application components follow FDLE's approved maintenance and project governance rules.
Maturity of the Technology	The current application components were implemented in 2006 and rely on outdated technology.
Flexibility to Incorporate Changes	Programming changes can still be made to the application components, but they must be made in the outdated technology which places it at risk in the future for security vulnerabilities for which the open source Apache software foundation recommends to upgrade to the latest framework.
Future Data Sharing with other Entities	Information is shared by the current application in the form of extract files produced by the batch jobs.

Note: Statistics are as of 8/30/2016.

b. Current System Resource Requirements

Technical Platform	Java Foundation Framework (open source) Oracle Database 11G (11.2.03)

Hardware Requirements	Production, Test, and Development Web Application Servers Production, Test, and Development Java Process Servers Production File Share to store the electronic documents Production, Test, and Development Database Servers
Software Requirements	Operating system: Linux Application Server: Redhat JBoss Java Foundation Framework: Struts v.1.3.10 (SOPS, Public & CJNet Websites) and 2.3.29 (CCS) 3rd Party Tools: Melissa Data Cloud Service, Google API, JXI Gateway Database: Oracle 11G 11.2.0.3
Staffing Requirements	1 State Developer/Programmer 3 Contract Developers/Systems Analysts

c. Current System Performance

Ability of System to Meet Current and Project Workload	Supports current operations but increasingly difficult to adapt to changes requested by customer
Level of User Satisfaction	The SOPS Maintenance Application is used because it is the legislatively mandated central repository for sexual offender/predator registration. The statewide meetings with law enforcement indicated improvements and desire for it to be more intuitive. The current application was written with rigid rules to navigate the application.
Level of Technical Satisfaction	The Java Struts v.1.3.10 is the maximum framework foundation in the 1.x series and has reached its end of life with the Apache. It needs to be rewritten and moved to a newer application framework so that it can continue in mainstream support for security vulnerabilities.
Anticipated Failures	Each time Homeland Security's United States Computer Emergency Readiness Team or the software bulletins provide a list of security vulnerabilities, the later versions of the Struts framework have patches to address. The current version no longer is receiving security patches. Failures to any of the application components would put the automated Registry and the ability to effectively communicate for public safety in jeopardy.
Network & System Availability	24 hours per day/7 days a week with limited scheduled maintenance windows
Network & System Reliability	The system is brought down for scheduled maintenance when needed. These times are communicated with the customer and performed during non-peak business hours so as not to adversely impact registrations.
Backup & Disaster Recovery	Backups are performed nightly and the disaster recovery plan follows FDLE established procedures for IT systems.

2. Information Technology Standards

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

a. Architecture

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

b. Servers

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

c. Storage

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

d. Network

- The Sexual Offender Registry System uses the CJNet and Internet.

e. Database

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

f. Application Software

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

g. Security

- The Registry data is of vital importance to FDLE and must meet the following system security requirements:
- The system shall meet the state of Florida and FDLE security policy.
- FDLE information security requirements are specified in FDLE Policies 1.4 – Use of FDLE Resources, 2.5 – Information Resources, and 3.1 – Background Investigations.
- Rule 74-2, F.A.C. Some of the key topics are:
  - Access Control
  - Awareness and Training
  - Audit and Accountability
  - Contingency Planning and Disaster Recovery
  - Identification and Authentication
  - Incident Response
  - Maintenance
  - Methodology used to develop and maintain software used for the service, including secure coding

guidelines and standards to protect the site from unauthorized access and use
- Physical and Environmental Protection
- System and Communications Protection
- System and Information Integrity
- Compliance with the following standards is preferred:
- Lightweight Directory Access Protocol (LDAP)/Active Directory (AD)

h. Availability

- The system will follow FDLE's standards on availability for the Sexual Offender Registry System: minimum 99.5% uptime

i. Usability

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

B. Current Hardware and/or Software Inventory

NOTE: Current customers of the state data center would obtain this information from the data center.

The Sexual Offender Registry System application components are a 3-tier web based application. The presentation tier consists of static Java web pages. The business tier consists of stored procedures running on a Linux server. The business tier also utilizes some third party components (Google API, Melissa Cloud Web Service, JXI gateway). The database tier connects to the Oracle database.

C. Proposed Technical Solution

1. Technical Solution Alternatives

The proposed system upgrade with improvements would continue to run in the Linux operating system environment utilizing a JBoss application server. The system will still be written in Java except with the latest application foundation framework which is referred to as Java Server Faces (JSF). The database will continue to be Oracle without a re-design of the tables except additional attributes (or tables) necessary to support the requested improvements. There will be Production, System Test, and Development servers. The proposed system would utilize FDLE's approved standard security application called "Application Security Model (ASM)" to authenticate and authorize users. The proposed system would utilize FDLE's enterprise document management system (Alfresco). The current documents will be converted to the Alfresco data storage in order to optimize document management functionality. New documents will be added directly to Alfresco. Reports will also utilize a true reporting tool called Jasper Reports thereby making them more functional. Mobility will be available by utilizing the Primefaces JSF toolkit to create a mobile responsive user interface. Some components will be added to FDLE's public mobile application (yet to be developed) based on need.

2. Rationale for Selection

The redesigned and improved application will follow FDLE standard products and methods used by ITS. This will ensure it is on the latest architecture technology and can be fully supported.

3. Recommended Technical Solution

Since the version of programming framework is the technical impact of this project, it will use more up-to-date FDLE standards of:

- ASM
- JSF

- Jasper Reports
- Alfresco

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed system upgrade with improvements would continue to run in the Linux operating system environment utilizing a JBoss application server and Java process servers. The system will still be written in Java except with the latest foundation framework of Java Server Faces (JSF). The database will continue to be Oracle without a re-design of the tables except additional attributes (or tables) necessary to support the requested improvements. There will be Production, System Test, and Development servers. The proposed system would utilize FDLE's approved standard security application called "Application Security Model (ASM)" to authenticate and authorize users. The proposed system would utilize FDLE's enterprise document management system (Alfresco). The current documents will be converted to the Alfresco data storage in order to optimize document management functionality. New documents will be added directly to Alfresco. Reports will also utilize a true reporting tool called Jasper Reports thereby making them more functional. Mobility will be available by utilizing JSF and PrimeFaces which has a mobile responsive user interface. Some components will be added to FDLE's public mobile application (to be developed) based on need.

2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)

Cost Elements	2017-18	2018-19	2019-20	Totals
Staff	$1,584,000	$2,060,000	$1,465,000	$5,109,000
Hardware	$102,200	$98,400	$5,400	$206,000
Software	$251,980	$62,280	$62,280	$376,540
Services	$0	$0	$0	$0
Other	$0	$0	$0	$0
Total	**$1,938,180**	**$2,220,680**	**$1,532,680**	**$5,691,540**

E. Capacity Planning
(historical and current trends versus projected requirements)

The Sexual Offender Registry System is the central repository for identification and tracking of sexual offenders and predators in Florida. It is also used nationwide. The architecture will remain the same except for the upgrade of the software framework foundation. It will remain as a 3-tier web based application, written in the Java framework, compatible with Microsoft Internet Explorer. The Registry is accessed by over 1,400 internal and external named users to maintain over 70,000 sexual offenders/predators.

The legacy of the framework creates availability and usability concerns for the 1,400+ users as well as the public citizens that perform searches or receive the offender alerts. One example of the concerns relate to security vulnerabilities that can no longer be addressed with the end-of-life framework. Any system failures would be detrimental to the FDLE business operations to provide the Registry as legislatively required.

	FY 1011	FY 1112	FY 1213	FY 1314	FY 1415	FY 1516	FY 1617	FY 1718	FY 1819	FY 1920
Subjects	56,880	58,825	61,596	64,252	66,930	69,391	72,396	72,396	72,396	74,567
Change		1,945	2,771	2,656	2,678	2,461	3,005	0	0	2,171
% Change		3%	5%	4%	4%	4%	4%	0%	0%	3%

Stats for FY1011 through FY1516 are from agency performance metrics and FY1617 through FY1920 are from LRPP. If available, include historical stats and then project change thru 2020.

Additional data collected in 2015:

	2015
Subjects that Register 2x Yr.	29,000
Subjects that Register 4x Yr.	10,000
Transient – Register 12x Yr.	2,333
Individuals signed up for email alerts	180,000
Email alerts transmitted	2,300,000
Website Searches	5,600,000
Hotline Calls	16,500

VII. Schedule IV-B Project Management Planning

Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity.

Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

NOTE: For IT projects with total cost in excess of $10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.

FDLE will prepare a Project Management Plan. This plan will include:

Project Scope

The scope of this project is to:

Build an IT infrastructure to support new applications and projected expansion of processing and data storage needs related to the management of Sexual Offenders and Predators in the State of Florida.

Redesign and develop SOPS, CCS, and the Public and CJNet Search websites in the JSF 2.0 supported framework, maintaining the current functionality, which includes:

- Ability for law enforcement agencies to register and track sexual offenders and predators
- Electronic notifications to the public regarding sexual offenders and predators who reside in their communities.
- Updated information on sexual offenders and predators electronically to criminal justice agencies.
- Geocoding and mapping services that identify the residential location of sexual offenders and predators.

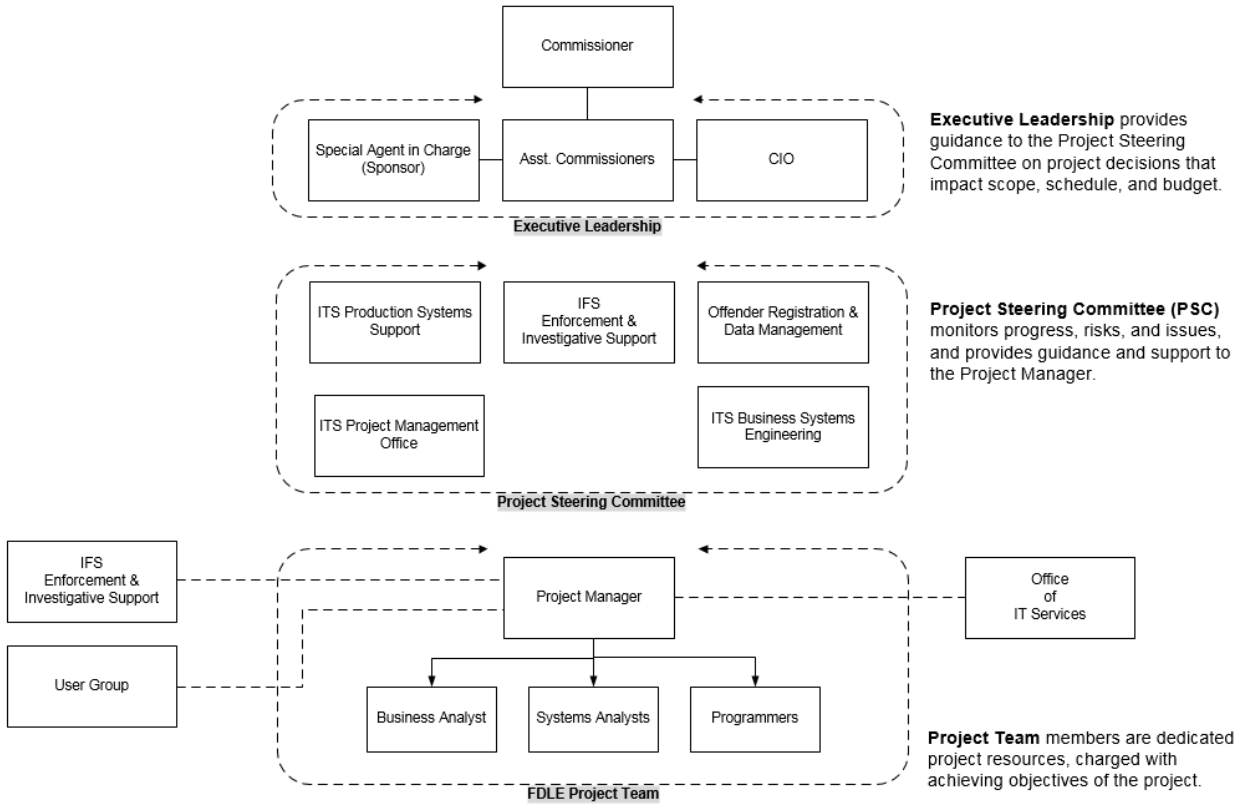
Work with local LE via the Florida Sheriff's Association, to identify and implement improved functionality currently included in a list of over 80 specific functions organized under the following topics:

- Registration Process
- Addresses and Address Verification Process
- Contacts, System Notifications, and Alerts to Law Enforcement
- Electronic Document Management System (EDMS)
- Data Entry, Updates, and Registrant Management
- Reporting
- Equipment, Technology and Mobile Platforms

Further definition and refinement of requirements was completed during the 2016-17 fiscal year between FDLE and the Florida Sheriff's Association designated workgroup. Several items categorized as "offender management" can be completed internally without additional procurement of those services.

Project Organization & Governance

The Sexual Offender / Predator Registry Improvement Project organization will include agency Executive Management, a Project Steering Committee (PSC), a Project Manager, the Project Team, and the Project Management Office. FDLE subject matter experts and other groups will provide additional support. Each group performs a particular role for the project and is comprised of members of Investigations and Forensic Services, Information Technology Services and FDLE leadership. The project organization is shown below.



FDLE Executive Leadership

The Executive Leadership consists of the Assistant Commissioners, Special Agent in Charge – Office of Statewide Investigative Services (also the project sponsor), and the Chief Information Officer (CIO). Executive Leadership provides guidance on project decisions that impact scope, schedule, and budget.

Project Steering Committee

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

A status report is prepared for each meeting and is distributed to each attendee. Minutes are taken during each meeting and made available to the attendees. Composition of the Steering Committee will be determined at a later date.

Project Management Office

The PMO is responsible for providing guidance to the PM in using project management requirements, principles, and processes used in the agency and confirm compliance with 74-1 F.A.C. In addition, the PMO assists in the reporting of critical issues and risks related to the project.

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

FDLE Project Team

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

Project Schedule Management

The initial project schedule is developed starting with a Work Breakdown Structure which identifies the work and activities that will be conducted, at a summary level. As the planning phase of the project progresses, those work packages are elaborated with more detail, captured in project phases or by milestones based on the PM's preference. The task dependencies and durations are identified, resulting in the estimation of planned start and finish dates for each task. For schedules that are created using MS Project® the planned dates are auto-scheduled based on those dependencies and durations. Some schedules are created in a MS Word® table or in an MS Excel® spreadsheet, in which case the planned dates are manually calculated by the PM.

The schedule is baselined when it is approved by the Project Steering Committee and the project sponsor. The schedule is re-baselined only when a significant change occurs, usually resulting in a Project Change Request (PCR) and only with approval of the project sponsor. Re-baselining a schedule is reported in the monthly status report.

The schedule status is reported in monthly status reports. The variances of planned versus actual dates are calculated, evaluated and reported upon in the status reports, when required

Schedule Maintenance

The project schedule is updated by the PM bi-weekly, based on input from the resources that are assigned the work. As tasks start or finish, the actual start and actual finish dates are posted in the schedule. When updates are posted to the schedule, the percentage complete is provided for in-progress tasks so that the current state of the project can be determined. If dates pass and become "stale", those tasks are re-planned so that planned start and planned finish dates are accurate in the schedule.

In rare cases, the schedule may be cost-loaded so that SPI and CPI can be automatically calculated, but for this low-to-medium risk and complexity project, that degree of detail is not required.

The baselined schedule is evaluated against current progress. For status reporting, the PM identifies overdue tasks and computes the percentage of last tasks related to total tasks to date. (Formula: number of overdue tasks / number of total tasks to date.) If this analysis indicates a variance of 10% or more, an explanation is provided in the status report.

Project Cost Management

The Project Budget describes costs associated with defined project activities and procurements. The Budget is developed by the PM and IT Services Budget staff, and includes the following information:

- Source of funds, which may include grants, general revenue or trust funds
- Costs for the project by major category (Hardware, Software, Contract Services, Staffing, etc.]
- Schedule for expending project funds
- Planned costs and Actual costs, by fiscal year, over the life of the project, including FY Total-to-Date

The Budget and Spend Plan document is update monthly, and reported in the status report.

Project Change Management

During the project lifecycle, changes are expected, and may be identified or requested by anyone involved in the project. Any change impacting scope, time, or cost initiates the Project Change Request (PCR) process.

Changes that are needed, identified, or requested are submitted to the PM in writing. The PM, with the appropriate project team members and/or FDLE resources, will assess the change request and analyze the potential impact to the approved schedule, budget, scope and deliverables.

The PM will then confer with the Project Sponsor and customer to obtain approval to accept the change and integrate the additional work and costs into the appropriate plans.

The PM will log and track PCR's in the Project Workbook. Changes that require re-planning the Schedule and/or the Budget may also result in re-baselining those respective plans. Changes to the project, and subsequent adjustments to the Schedule and Budget are all reported in the Monthly Status Report.

Risk Management

The Risk & Complexity Assessment provided by the Agency for State Technology is conducted at three different stage-gates throughout the first phases of the project, and then again anytime a significant change is introduced and accepted into the project. This assessment is conducted by the PM, Project Sponsor or designee, and PMO at a minimum; other participants are permitted as well. A copy of the Risk & Complexity Assessment with the scores is stored in the centralized project repository. The Assessment produces the Category assigned to the project.

The PM is the lead in managing risks, which includes risk identification, risk analysis, prioritization or level of importance, and mitigation strategies or risk response. At the beginning of the Project, the PM will conduct an exercise with the project team to identify any known risks and document those in the Risk Register, located in the Project Workbook. As the project progresses, any risks that are identified are added to the Risk Register.

Risks are evaluated for Probability and Impact, and are prioritized based on the resulting score. High priority risks are monitored and managed with a high degree of attention. Mitigations plans are determined and documented in the Risk Register.

When a risk is added to the Risk Register and on a periodic basis throughout the project, the PM and project team will conduct a review of risks. This review will confirm the description of the risk, the owner, a mitigation strategy, the probability, impact, and criticality of the risk.

Risks are monitored by the PM; new risks and updates to Risk data are reported in the Monthly Status Report.

Issue Management

The PM is responsible for managing project issues. When an issue is identified, it is logged in the Issues List in the Project Workbook. On a periodic basis throughout the project, the PM and project team will conduct a review of issues. This review will confirm the description of the issue, the owner, the status and priority of the issue. When appropriate, Issues are assigned due dates. The PM monitors issues, actively works to resolve issues so that they do not have a negative impact on the project, and reports on issues in the Monthly Status Report.

Quality Management

Quality assurance focuses on preventative steps used to manage and deliver the solution and to eliminate any variances in the deliverable produced from the established quality targets. The table below describes some of the quality assurance processes that will be used.

Quality Assurance Processes		
Topic	**Description**	**Frequency**
Quality Reviews	The FDLE Project Team will review and assess the overall quality of each deliverable. The Project Team evaluates each deliverable prior to delivery to the Project Steering Committee for approval. The Project Team performs quality reviews on deliverables by: 1. Performing reviews of all created documentation for the project prior to release/publishing. 2. Reviewing conformity to requirements for all deliverables by the vendor. 3. Discussing quality during each weekly team meeting.	Throughout Project
Skilled Staff	Using skilled staff for the Project Team will directly affect the quality of the deliverables produced. Skilled staff should have the knowledge, skills, and experience required to undertake the specific task or tasks allocated in the Project Plan with minimal training in order to achieve the level of quality desired. Hired Project Team members will assure quality by: 1. Having a satisfactory level of experience in similar projects for their job duties.	Throughout Project
Project, Contract, and System Change Control	A clear project change control process ensures the level of quality is not impacted for any deliverable. The Project Manager and the vendor will use the established project change control process to assure quality.	When changes in scope, contract, or system are identified
Project Management	The Project Manager will ensure consistent application of project management processes and techniques by both the FDLE Project Team.	Throughout Project
Requirements Definition	A well-defined set of requirements provides the vendor with a clear understanding of what they have to achieve in order to deliver customer satisfaction. Detailed business requirements are used during the procurement effort. Once a vendor is selected, a requirements traceability effort is used to track system requirements and those requirements are used to complete the project. The Project Team and vendor will assure all system requirements are documented so there is no question or vagueness in what the requirement attempts to accomplish.	During development of any requirements (initial or through change control)

Quality Assurance Processes		
Topic	**Description**	**Frequency**
Mapping of Requirements	The Project Team will map all requirements to work packages to assure quality of the delivered product and compliance with the requirements; the Project Manager will verify and validate.	During development reviews, functional testing, and user acceptance testing
Document Standards	The FDLE Project Team will use templates for Microsoft Office products to ensure that all documentation follows the same layout. Each document will go through team reviews sufficient to assure quality prior to submission to the customer or to the Project Steering Committee. The vendor is expected to follow the same method to ensure all documentation provided is consistent with previously delivered documents. The FDLE Project Team will review all delivered vendor documentation prior to release to the Steering Committee. In addition to templates, the FDLE Project Team will ensure that all documentation complies with established document standards, established version control, and requirements. The Project Team will also ensure that all documentation is accurate and timely. For example, reports should identify potential problems early so they can be avoided or resolved.	During the creation of any document deliverable
Testing	The team will map all system requirements to system functionality for functional and user acceptance testing. The test cases and system will also have adequate sample record data sufficient for determining level of compliance with quality. The Project Team will verify and validate.	During development, functional, and user acceptance testing
FDLE Team Peer Reviews	The FDLE Project Team will perform peer reviews on each other's deliverables by: 1. Performing team reviews of all deliverables for the project prior to release/publishing to the end users. 2. Discussing quality at every review and during each weekly team meeting.	Throughout Project
Inspection and Verification of Deliverables	The Project Manager is responsible for ensuring that project deliverables are inspected at the appropriate time, by qualified staff, and documented. Then the Project Manager reports to the Project Steering Committee with a recommendation regarding acceptance.	Throughout the Project

Procurement Management

Products and services needed for the project are procured by the ITS Administration Section. An Information Resource Request (IRR) form is submitted to the ITS Administration team for review and is reviewed and approved by the Chief Information Officer. After CIO approval, ITS Administration staff coordinates the acquisition of approved products and services following FDLE Policy and State of Florida Contract and Procurement rules and laws.

All procurement artifacts (IRRs, quotes, copies of Purchase Orders, Contracts, deliverable acceptance documents, etc.) are maintained and stored with ITS Administration.

Because the most of the project staff will be hired IT consultants, human resource (staff) management will incorporated into the procurement plan.

Communications Management

The PM is responsible for planning project-related communications to ensure that the project team, stakeholders and customers are kept informed of project status and critical information on a timely basis. This plan will serve as a guide for communications throughout the life of the project and will be updated as communication needs change.

The communications plan is outlined in the Project Workbook. It identifies the following:

- The audience of communications (including key stakeholders, organizations and individuals affected by the project or interacting with the project team)
- The type, frequency and medium of delivery for those communications
- The author or person responsible for delivering the communications.

The communications plan includes, but is not limited to meetings and meeting summaries, project governance meetings, stakeholder communications and project status reports.

Stakeholder management will incorporate into the Communications Plan.

Organizational Change Management

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

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

A preliminary, high-level schedule has been developed and is in Appendix F based on a 3-point estimate of the current system plus the improvements identified by local law enforcement. A detailed project schedule will be developed by the Project Manager once the project is approved.

VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Appendix A – Standards and Definitions

1. **Chapter 74-2, the State of Florida Information Technology Security**

   https://www.flrules.org/gateway/ChapterHome.asp?Chapter=74-2

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

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

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

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

4. **Chapter 74-1, the State of Florida Project Management and Oversight**

   https://www.flrules.org/gateway/ChapterHome.asp?Chapter=74-1

Appendix B – Cost Benefit Analysis Forms

CBAForm 1 - Net Tangible Benefits | **Agency** FDLE | **Project** SOPR Improvement

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 *(Recurring Costs Only -- No Project Costs)*	FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	**$557,600**	**$0**	**$557,600**	**$557,600**	**$0**	**$557,600**	**$557,600**	**$0**	**$557,600**	**$557,600**	**$0**	**$557,600**	**$557,600**	**$0**	**$557,600**
A.b Total Staff	**4.50**	**0.00**	**4.50**	**4.50**	**0.00**	**4.50**	**4.50**	**0.00**	**4.50**	**4.50**	**0.00**	**4.50**	**4.50**	**0.00**	**4.50**
A-1.a. State FTEs (Salaries & Benefits)	$97,600	$0	$97,600	$97,600	$0	$97,600	$97,600	$0	$97,600	$97,600	$0	$97,600	$97,600	$0	$97,600
A-1.b. State FTEs (#)	1.50	0.00	1.50	1.50	0.00	1.50	1.50	0.00	1.50	1.50	0.00	1.50	1.50	0.00	1.50
A-2.a. OPS Staff (Salaries)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)	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)	$460,000	$0	$460,000	$460,000	$0	$460,000	$460,000	$0	$460,000	$460,000	$0	$460,000	$460,000	$0	$460,000
A-3.b. Staff Augmentation (# of Contractors)	3.00	0.00	3.00	3.00	0.00	3.00	3.00	0.00	3.00	3.00	0.00	3.00	3.00	0.00	3.00
B. Application Maintenance Costs	**$223,250**	**$0**	**$223,250**	**$143,250**	**$0**	**$143,250**	**$143,250**	**$67,680**	**$210,930**	**$143,250**	**$67,680**	**$210,930**	**$143,250**	**$67,680**	**$210,930**
B-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-2. Hardware	$80,000	$0	$80,000	$0	$0	$0	$0	$5,400	$5,400	$0	$5,400	$5,400	$0	$5,400	$5,400
B-3. Software	$143,250	$0	$143,250	$143,250	$0	$143,250	$143,250	$62,280	$205,530	$143,250	$62,280	$205,530	$143,250	$62,280	$205,530
B-4. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. Data Center Provider Costs	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
C-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Infrastructure	$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. Disaster Recovery	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-5. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
E. Other Costs	**$9,779**	**$0**	**$9,779**	**$9,779**	**$0**	**$9,779**	**$9,779**	**$0**	**$9,779**	**$9,779**	**$0**	**$9,779**	**$9,779**	**$0**	**$9,779**
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 HR fees and standard FTE expenses	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779
Total of Recurring Operational Costs	**$790,629**	**$0**	**$790,629**	**$710,629**	**$0**	**$710,629**	**$710,629**	**$67,680**	**$778,309**	**$710,629**	**$67,680**	**$778,309**	**$710,629**	**$67,680**	**$778,309**
F. Additional Tangible Benefits:		**$0**			**$0**			**$0**			**$0**			**$0**	
F-1. Specify		$0			$0			$0			$0			$0	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		**$0**			**$0**			**($67,680)**			**($67,680)**			**($67,680)**	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☑	Confidence Level	10%
Order of Magnitude	☐	Confidence Level	
Placeholder	☐	Confidence Level	

FDLE	SOPR Improvement			CBAForm 2A Baseline Project Budget															
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**				FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL
			$ 1,938,180		$ 2,220,680			$ 1,532,680			$ -			$ -			$ -		$ 5,691,540
Item Description *(remove guidelines and annotate entries here)*	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
Costs for all state employees working on the project.	**FTE**	S&B	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
Costs for all OPS employees working on the project.	**OPS**	OPS	$ -	0.00		$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
Staffing costs for personnel using Time & Expense.	**Staff Augmentation**	Contracted Services	$ 1,394,000	11.00	$ 1,870,000	$ -	11.00	$ 1,275,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 4,539,000
Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ 190,000	1.00	$ 190,000	$ -	1.00	$ 190,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 570,000
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	**Project Oversight**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
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	$ -	$ -	$ -
Separate requirements analysis and feasibility study procurements.	**Project Planning/Analysis**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
Hardware purchases not included in data center services.	**Hardware**	OCO	$ 83,000		$ 93,000	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 176,000
Commercial software purchases and licensing costs.	**Commercial Software**	Expense	$ 210,300		$ 21,800	$ -		$ 21,800	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 253,900
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	**Project Deliverables**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
All first-time training costs associated with the project.	**Training**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	**Data Center Services - One Time Costs**	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
Other contracted services not included in other categories.	**Other Services**	Contracted Services	$ 43,180		$ 45,880	$ -		$ 45,880	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 134,940
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	**Equipment - Staff Computers**	OCO	$ 16,500		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 16,500
Include costs associated with leasing space for project personnel.	**Leased Space**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
Other project expenses not included in other categories.	**Other Expenses**	Expense	$ 1,200		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 1,200
	Total		$ 1,938,180	12.00	$ 2,220,680	$ -	12.00	$ 1,532,680	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 5,691,540

CBAForm 2 - Project Cost Analysis	Agency	FDLE	Project	SOPR Improvement

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	$2,220,680	$1,532,680	$0	$0	$0	$5,691,540
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$4,158,860	$5,691,540	$5,691,540	$5,691,540	$5,691,540	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	$0	$0	$0	$0	$0	$0
Trust Fund	$2,220,680	$1,532,680	$0	$0	$0	$3,753,360
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$2,220,680	$1,532,680	$0	$0	$0	$3,753,360
CUMULATIVE INVESTMENT	$2,220,680	$3,753,360	$3,753,360	$3,753,360	$3,753,360	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	x	Confidence Level	15%
Order of Magnitude		Confidence Level	
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary	Agency	FDLE	Project	SOPR Improvement

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	$2,220,680	$1,532,680	$0	$0	$0	$5,691,540
Net Tangible Benefits	$0	$0	($67,680)	($67,680)	($67,680)	($203,040)
Return on Investment	($4,158,860)	($1,532,680)	($67,680)	($67,680)	($67,680)	($5,894,580)
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)	($5,723,027)	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 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix C – Current System Cost

Click to zoom in on the PDF copy of the current system cost table.

Current Operating Costs
Sex Offender / Predator Registry
Updated: 7/25/2017

Category	Item Description	Notes	2017-18	2018-19	2019-20	2020-21	2021-22	Totals
Staff								
	State Staff:							
	DP Mgr (Bullard)		$47,800	$47,800	$47,800	$47,800	$47,800	
	CPA II (Gorijavolu)		$49,800	$49,800	$49,800	$49,800	$49,800	
			$0	$0	$0	$0	$0	
	Contract Staff:							
	Systems Analyst (Dasari)		$150,000	$150,000	$150,000	$150,000	$150,000	
	Systems Analyst (Gupta)		$160,000	$160,000	$160,000	$160,000	$160,000	
	Systems Analyst (More)		$150,000	$150,000	$150,000	$150,000	$150,000	
			$0	$0	$0	$0	$0	
	Subtotal - Staff		**$557,600**	**$557,600**	**$557,600**	**$557,600**	**$557,600**	**$1,672,800**
Hardware		Assume 5 year replacement cycle						
	Production							
	Web Servers	Shared		$10,000				
	Process Server	Shared		$2,500				
	Storage Server	Dedicated		$10,000				
	JXI Gateway Server	Shared		$5,000				
	Database Server	Dedicated		$10,000				
	Report Server	Shared		$2,500				
	Document Server	Shared		$2,500				
	Fail-over Server	Shared		$2,500				
	Development							
	Web Servers	Shared		$5,000				
	Process Server	Shared		$2,500				
	Storage Server	Dedicated		$10,000				
	JXI Gateway Server	Shared		$5,000				
	Database Server	Shared		$2,500				
	Test							
	Web Servers	Shared		$5,000				
	Process Server	In Dev		$0				
	Storage Server	In Dev		$0				
	JXI Gateway Server	Shared		$5,000				
	Database Server	In Dev		$0				
	Storage							
	Enterprise SAN (Shared)	In Server cost		$0				
	Subtotal - Hardware		**$0**	**$80,000**	**$0**	**$0**	**$0**	**$80,000**
Software								
	Red Hat Enterprise Linux	Physical & Virtual	$3,350	$3,350	$3,350	$3,350	$3,350	
	JBOSS EAP		$13,000	$13,000	$13,000	$13,000	$13,000	
	Apache Tomcat		$0	$0	$0	$0	$0	
	VMWare		$5,000	$5,000	$5,000	$5,000	$5,000	
	JXI Gateway		$12,000	$12,000	$12,000	$12,000	$12,000	
	Oracle DBMS		$79,200	$79,200	$79,200	$79,200	$79,200	
	Subtotal - Software		**$112,550**	**$112,550**	**$112,550**	**$112,550**	**$112,550**	**$337,650**
Services								
	Google MAP API		$19,200	$19,200	$19,200	$19,200	$19,200	
	Melissa Data Cloud Service		$11,500	$11,500	$11,500	$11,500	$11,500	
	Subtotal - Services		**$30,700**	**$30,700**	**$30,700**	**$30,700**	**$30,700**	**$92,100**
Other								
	Standard Expenses for State pos.		$9,263	$9,263	$9,263	$9,263	$9,263	
	HR Service Fee		$516	$516	$516	$516	$516	
	Subtotal - Other		**$9,779**	**$9,779**	**$9,779**	**$9,779**	**$9,779**	**$29,336**
TOTALS			$710,629	$790,629	$710,629	$710,629	$710,629	$2,211,886

Appendix D – Project Cost Estimate

Click to zoom in on the project cost estimate table.

Title: Sex Offender/ Predator System Improvement — Planned Costs:

Cost Elements		Year 1	Year 2	Year 3	Planned Total
A. Personnel		$1,584,000	$2,060,000	$1,465,000	$5,109,000
1	**State Staff**				
2	**OPS Staff**				
3	**Contract Staff**				
3.1	Project Manager	$190,000	$190,000	$190,000	
3.2	Business Analyst	$170,000	$170,000	$170,000	
3.3	Yr 1 - Systems Analysts / Programmers	$1,224,000			
3.3	Yr 2 - Systems Analysts / Programmers		$1,700,000		
3.3	Yr 3 - Systems Analysts / Programmers			$1,105,000	
B. Hardware		$102,200	$98,400	$5,400	$206,000
1	**Servers**				
1.1	Application servers		$40,000		
1.2	Process servers		$10,000		
1.3	Storage servers	$10,000	$10,000		
1.4	DB servers	$15,000	$15,000		
1.5	Report server	$10,000			
1.6	Document server	$10,000			
1.7	DEV server	$10,000			
1.8	TEST server	$10,000			
2	**Storage Systems**				
3	**Network Equipment**				
3.1	Load Balancing Appliance	$18,000	$18,000		
3.2	Maintenance - Load Balancing Appliance	$2,700	$5,400	$5,400	
4	**PCs / Workstations**				
4.1	PCs for Developers	$16,500			
5	**Other Equipment (Describe)**				
C. Software		$251,980	$62,280	$62,280	$376,540
1	**Software - Application**				
2	**Software - Systems**				
2.1	RHEL Server OS	$8,800	$8,800	$8,800	
2.2	JBOSS Enterprise Application Platform	$13,000	$13,000	$13,000	
3	**Software - Database**				
3.1	Oracle DB Enterprise Edition	$160,000			
3.2	Oracle DB Enterprise Maintenance	$35,200	$35,200	$35,200	
3.3	Oracle Diagnostics Pack License	$12,000			
3.4	Oracle Diagnostics Pack Maintenance	$2,640	$2,640	$2,640	
3.5	Oracle Tuning Pack License	$12,000			
3.6	Oracle Tuning Pack Maintenance	$2,640	$2,640	$2,640	
3.7	Oracle DB Enterprise Edition	$1,500			
3.8	Oracle Diagnostics Pack	$1,500			
3.9	Oracle Tuning Pack	$1,500			
4	**Other Software**				
	Microsoft Office				
	Microsoft Project	$1,200			
	Eclipse IDE				
D. Services		$0	$0	$0	$0
1	**Consulting**				
2	**Training**				
3	**Subscriptions**				
4	**Hardware Maintenance**				
5	**Software Maintenance**				
6	**Other (Describe)**				
E. Other		$0	$0	$0	$0
TOTAL		$1,938,180	$2,220,680	$1,532,680	$5,691,540

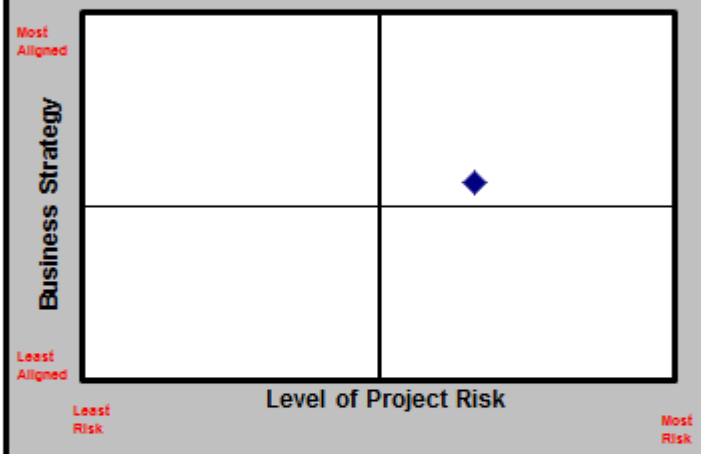
Appendix E – Risk Assessment Worksheets

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

RAForm 1 / Project Assessment

Project	Sexual Offender / Predator Registry Improvement	
Agency	Florida Department of Law Enforcement	
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title:	
36118CO	Sexual O/P Registry Improvement	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Becky Lackey, 850-410-8459, beckylackey@fdle.state.fl.us		
Executive Sponsor	Donna Uzzell, Special Agent in Charge	
Project Manager	Mary Coffee, Planning and Policy Administrator	
Prepared By	Pamela Bullard/Brian Browning	8/9/2017

Risk Assessment Summary



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

Strategic

Agency: Florida Department of Law Enforcement Project: Sexual Offender / Predator Registry Improvement			
Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is partially documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	0% to 40% -- Few or none defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified in concept only
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Moderate external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Technology

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

Change Management

Agency: Florida Department of Law Enforcement Project: Sexual Offender / Predator Registry Improvement

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	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	41% to 80% -- Some 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 similar change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Communication

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

Fiscal

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

Fiscal Continued

Agency: Florida Department of Law Enforcement		Project: Sexual Offender / Predator Registry Improvement	
Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Firm Fixed Price (FFP)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Purchase all hardware and software at start of project to take advantage of one-time discounts
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the procurement manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation not planned/used for procurement
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding $10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Project Organization

Agency: Florida Department of Law Enforcement Project: Sexual Offender / Predator Registry Improvement

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
	within an approved project plan?	No	Yes
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Few or no staff from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Project Management

Agency: Florida Department of Law Enforcement	Project: Sexual Offender / Predator Registry Improvement		
Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No Project Management team will use the methodology selected by the systems integrator Yes	Yes
7.02	For how many projects has the agency successfully used the selected project management methodology?	None 1-3 More than 3	More than 3
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None Some All or nearly all	Some
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all have been defined and documented	0% to 40% -- None or few have been defined and documented
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all have been defined and documented	0% to 40% -- None or few have been defined and documented
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable 41 to 80% -- Some are traceable 81% to 100% -- All or nearly all requirements and specifications are traceable	0% to 40% -- None or few are traceable
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented Some deliverables and acceptance criteria have been defined and documented All or nearly all deliverables and acceptance criteria have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required Only project manager signs-off Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables

Project Management Continued

Agency: Florida Department of Law Enforcement	Project: Sexual Offender / Predator Registry Improvement		
	Section 7 -- Project Management Area		
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	41 to 80% -- Some have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

Complexity

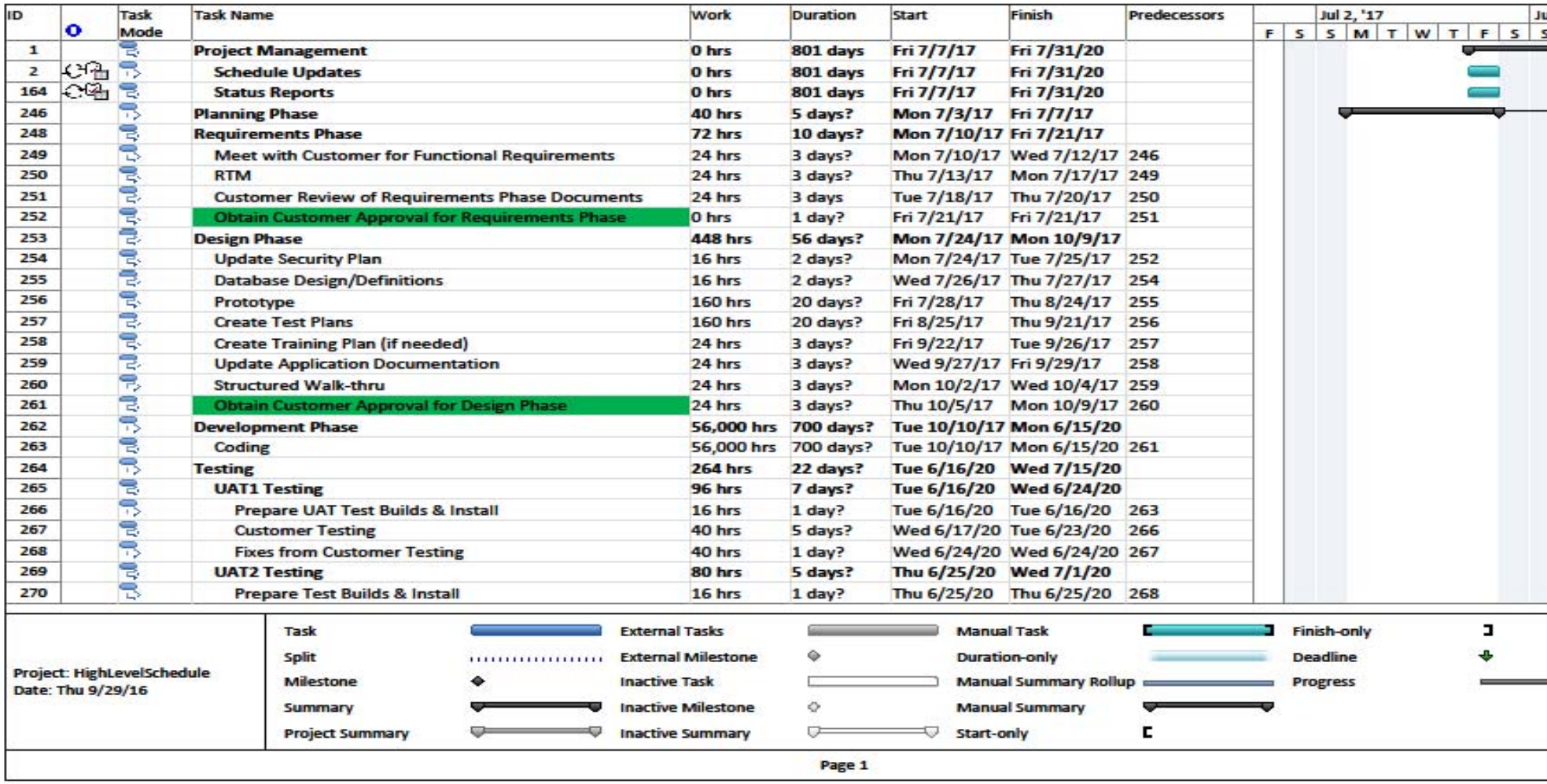
Agency: Florida Department of Law Enforcement Project: Sexual Offender / Predator Registry Improvement

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	More than 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	9 to 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Business process change in single division or bureau
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

Appendix F – Preliminary High-level Schedule

A link to the PDF copy of the Preliminary High-level Schedule is provided in the following page.

ID	Task Mode	Task Name	Work	Duration	Start	Finish	Predecessors
1		**Project Management**	**0 hrs**	**801 days**	**Fri 7/7/17**	**Fri 7/31/20**	
2		**Schedule Updates**	**0 hrs**	**801 days**	**Fri 7/7/17**	**Fri 7/31/20**	
164		**Status Reports**	**0 hrs**	**801 days**	**Fri 7/7/17**	**Fri 7/31/20**	
246		**Planning Phase**	**40 hrs**	**5 days?**	**Mon 7/3/17**	**Fri 7/7/17**	
248		**Requirements Phase**	**72 hrs**	**10 days?**	**Mon 7/10/17**	**Fri 7/21/17**	
249		Meet with Customer for Functional Requirements	24 hrs	3 days?	Mon 7/10/17	Wed 7/12/17	246
250		RTM	24 hrs	3 days?	Thu 7/13/17	Mon 7/17/17	249
251		Customer Review of Requirements Phase Documents	24 hrs	3 days	Tue 7/18/17	Thu 7/20/17	250
252		Obtain Customer Approval for Requirements Phase	0 hrs	1 day?	Fri 7/21/17	Fri 7/21/17	251
253		**Design Phase**	**448 hrs**	**56 days?**	**Mon 7/24/17**	**Mon 10/9/17**	
254		Update Security Plan	16 hrs	2 days?	Mon 7/24/17	Tue 7/25/17	252
255		Database Design/Definitions	16 hrs	2 days?	Wed 7/26/17	Thu 7/27/17	254
256		Prototype	160 hrs	20 days?	Fri 7/28/17	Thu 8/24/17	255
257		Create Test Plans	160 hrs	20 days?	Fri 8/25/17	Thu 9/21/17	256
258		Create Training Plan (if needed)	24 hrs	3 days?	Fri 9/22/17	Tue 9/26/17	257
259		Update Application Documentation	24 hrs	3 days?	Wed 9/27/17	Fri 9/29/17	258
260		Structured Walk-thru	24 hrs	3 days?	Mon 10/2/17	Wed 10/4/17	259
261		Obtain Customer Approval for Design Phase	24 hrs	3 days?	Thu 10/5/17	Mon 10/9/17	260
262		**Development Phase**	**56,000 hrs**	**700 days?**	**Tue 10/10/17**	**Mon 6/15/20**	
263		Coding	56,000 hrs	700 days?	Tue 10/10/17	Mon 6/15/20	261
264		**Testing**	**264 hrs**	**22 days?**	**Tue 6/16/20**	**Wed 7/15/20**	
265		**UAT1 Testing**	**96 hrs**	**7 days?**	**Tue 6/16/20**	**Wed 6/24/20**	
266		Prepare UAT Test Builds & Install	16 hrs	1 day?	Tue 6/16/20	Tue 6/16/20	263
267		Customer Testing	40 hrs	5 days?	Wed 6/17/20	Tue 6/23/20	266
268		Fixes from Customer Testing	40 hrs	1 day?	Wed 6/24/20	Wed 6/24/20	267
269		**UAT2 Testing**	**80 hrs**	**5 days?**	**Thu 6/25/20**	**Wed 7/1/20**	
270		Prepare Test Builds & Install	16 hrs	1 day?	Thu 6/25/20	Thu 6/25/20	268



SCHEDULE IV-B FOR FLORIDA INCIDENT BASED REPORTING SYSTEM (FIBRS) IMPLEMENTATION

For Fiscal Year 2018-19

September 15, 2017

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

Contents

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	Schedule IV-B Submission Date: September 15, 2017
Project Name: Florida Incident Based Reporting System (FIBRS)	Is this project included in the Agency's LRPP? ____ Yes __X__ No
FY 2018-19 LBR Issue Code: 44002C0	FY 2018-19 LBR Issue Title: Prepare Florida for National Incident Based Reporting System
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Andrew Branch, 850-410-7978, andrewbranch@fdle.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Richard Swearingen	Date: 9/13/17
Agency Chief Information Officer (or equivalent): Printed Name: Joey Hornsby	Date: 9/14/17
Budget Officer: Printed Name: Cynthia Barr	Date: 9/13/17
Planning Officer: Printed Name: Michelle Pyle	Date: 9/13/17
Project Sponsor: Printed Name: Charles Schaeffer	Date: 9/13/17
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Charles Schaeffer, 850-410-7100, charlesschaeffer@fdle.state.fl.us
Cost Benefit Analysis:	Andrew Branch, 850-410-7978, andrewbranch@fdle.state.fl.us
Risk Analysis:	Andrew Branch, 850-410-7978, andrewbranch@fdle.state.fl.us
Technology Planning:	Charles Schaeffer, 850-410-7100, charlesschaeffer@fdle.state.fl.us
Project Planning:	Andrew Branch, 850-410-7978, andrewbranch@fdle.state.fl.us

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

A. Background and Strategic Needs Assessment

Purpose: To clearly articulate the business-related need(s) for the proposed project.

1. Business Need

Florida has participated in the Uniform Crime Reporting (UCR) program since 1971, collecting crime data and providing the information to the Federal Bureau of Investigation's (FBI) UCR program. There are approximately 400 Florida state and local agencies UCR reporting summary data to FDLE.

As the FBI's UCR program is phasing out the Summary Reporting System (SRS) in 2021 in favor of incident-based crime reporting, it is necessary for states that report UCR summary data, such as Florida, to make the transition to incident-based crime reporting to participate in national crime reporting statistics and analytics.

Florida's state and local law enforcement agencies' eligibility for certain federal grant funds is dependent on submission of crime statistics to the FBI's "Crime in the U.S. Report". Beginning in 2021, the FBI will only accept incident-based crime data; therefore, Florida will need to submit the state's data in this new format in order to enable the law enforcement agencies to continue to be eligible for annual federal funding.

To accommodate incident-based data, Florida's UCR Program must have a system that is capable of receiving and processing the data, as well as able to report in the National Incident Based Reporting System (NIBRS) format to the FBI.

Florida also generates and publishes crime statistical information for the state. While the current UCR Summary data could continue to be used for state statistics, summary data does not include the same level of detail, nor does it include all crimes that are included in NIBRS. Therefore, using summary data in Florida while all other states and the federal government transition to NIBRS would mean that Florida information cannot be accurately compared or consolidated with data from other states. Additionally, NIBRS provides higher quality and more accurate information along with additional context that agencies need to understand crime problems internally as well as to explain crime trends to their constituents.

NIBRS provides a mechanism to combine data from various law enforcement agencies to study multi-jurisdictional patterns and trends. While most law enforcement agencies have their own information systems with their data structures and codes, NIBRS standardizes the data across agencies so they can be combined easily for multi-jurisdictional analyses. While a law enforcement agency with a sophisticated information system will not need NIBRS to support its internal work, if its analysts are interested in what is happening in neighboring or similar jurisdictions across the country, NIBRS data will expedite the analysis.

The current data collection, analysis, validation, and dissemination processes are a mixture of manual and automated activities performed by many agency staff members that require the use of multiple, disparate information systems. Many of the processes associated with the summary reports are obsolete by technological standards due to age and inflexible design characteristics. There are several areas where current processes do not meet end user needs. The FDLE staff depends greatly on manual processes to achieve business goals. Success depends on staff in approximately 400 agencies

performing interdependent tasks in a timely and correct manner. Manual processes always carry the potential of introducing human error. Due to historical design constraints, it is not possible to upgrade the current disparate systems to meet the new requirements that would bring modern benefits in terms of both efficiency and timeliness of information to FDLE and its customers, such as elected officials, government agencies, the general public, and the media.

Florida state and local agencies currently submit separate data sets for UCR Summary, hate crime, domestic violence, human trafficking, and cargo theft information based on Florida requirements. In addition, the FBI has recently established a process for collecting use of force information from law enforcement agencies. Many agencies also submit data to the Florida Data Sharing Project (FDSP) repositories, and the FDSP data set has significant overlap with these other data sets. Each of these data streams has its own data formats and processes for submitting data, and these disparate requirements add to the burden placed upon the staff at these agencies. While NIBRS includes human trafficking, cargo theft, hate crime, and domestic violence information, Florida collects additional information on hate crimes and domestic violence beyond what is required by NIBRS, and NIBRS does not include a significant portion of the necessary use of force data. Therefore, rather than requiring separate data streams to support NIBRS and non-NIBRS data requirements, Florida can use this opportunity to consolidate data submission to simplify the process and reduce the burden on state and local agencies.

2. Business Objectives

In order to provide incident-based data to the FBI, continue grant eligibility for local agencies, and meet other state requirements, Florida must support the following business objectives.

- Provide a state-level repository for NIBRS data elements and for Florida-specific data elements received from state and local law enforcement agencies
- Provide a mechanism for agencies that do not have a records management system (RMS) or whose RMS is not capable of reporting NIBRS data so that those agencies can provide incident data to the state
- Ingest data from state and local law enforcement agencies
- Perform data quality checks on received data to ensure it meets NIBRS business rules plus additional state-defined business rules
- Generate agency-level statistics from the received data for agency review, and for an appropriate period of time also provide statistics equivalent to the UCR Summary for comparison purposes
- Provide a mechanism for an agency to review the generated statistics, allowing the agency to update their data if necessary
- Generate NIBRS data for submission to the FBI

In addition to the objectives that are geared towards the submission of incident-based data to the FBI, Florida intends to support the following business objectives.

- Automate data quality checks
- Eliminate or improve manual and/or obsolete processes in the collection of data, formatting/reformatting of data, generation of statistics and reports, maintenance of agency information and points of contact, data review and cleanup, and data approval
- Consolidate and streamline data submission from state and local agencies to state, regional, and federal data repositories so that agencies are not responsible for multiple, disparate data

submission processes
- Eliminate standalone stovepipe data collection websites currently maintained by FDLE for collection of hate crime, human trafficking, and cargo theft information
- Provide an integrated mechanism for agencies to submit data to the recently established FBI Use of Force repository
- Provide web-based mechanisms to disseminate state and local crime data and statistics to the public, media, and government officials in a timely manner.

B. Baseline Analysis

Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

1. Current Business Process(es)

Background

The Department of Justice's (DOJ) Federal Bureau of Investigation (FBI) is responsible for the Uniform Crime Reporting (UCR) program. The DOJ's Bureau of Justice Statistics (BJS) uses the data from the UCR program to generate national crime statistics. BJS is tasked with generating a representative sample of national crime data as part of the National Crime Statistics Exchange (NCS-X) program. The UCR program includes both Summary Reporting System (SRS) data as well as the National Incident Based Reporting System (NIBRS). Summary data has been collected since the 1930s, while NIBRS came online nationally in 1988.

Florida has participated in the UCR program since 1971, collecting crime data and providing the information to the FBI UCR program. While Florida once reported incident-based data, for the last twenty years Florida has been reporting UCR summary data.

Approximately 400 state and local agencies report summary data to FDLE, with some agencies reporting data for their jurisdiction as well as other jurisdictions. The state and local law enforcement agencies submit summary data to FDLE; FDLE checks, compiles, and verifies the information, and then submits the State's summary data to the FBI UCR Program. The overall business process includes not just data submission to FDLE or the FBI, but also the management of agencies and users who submit data through the FDLE UCR Summary system, data validation, and report generation. In addition, FDLE prepares state crime data and statistics for release to the public and media through their public website. The details for the current business process are described below.

User and Agency Management

UCR summary data in Florida is reported for approximately 400 jurisdictions, and each jurisdiction has been assigned at least one unique ORI code[1]. UCR summary data is reported by ORI code. Some jurisdictions have multiple ORI codes; for example, the Florida Highway Patrol (FHP) is a single reporting agency, but has a unique ORI for each county in the state and submits data for each ORI code. Overall, UCR Summary data is reported for 627 ORI codes; this could vary slightly in the future due to the establishment of new agencies or the addition of ORI codes within agencies.

[1] An ORI code (Originating Agency Identifier) is a unique nine-character identifier assigned by the FBI to a law enforcement agency.

Each agency that reports UCR data designates one or more users who have access to the FDLE UCR system. These users are assigned specific roles: AGENCY_ADMIN, CARGOTHEFT_USER, HATECRIME_USER, HUMAN_TRAFFICKING_USER, and UCR_USER. The AGENCY_ADMIN role permits access to all of the input modules while the others are limited to their respective modules. Each user is assigned the ORI code(s) that indicate what data he/she is allowed to access. Each agency may have multiple users, and each user may have access to multiple agencies. Agencies are configured as a regular agency or a contract agency. A contract agency's data is submitted by another agency. For example, Broward County Sheriff's Office reports county data as recorded by the Sheriff's Office, but also data for some cities in the county, such as the Pembroke Park Police Department. Therefore, a Pembroke Park user would be configured as a contract agency user.

Users access FDLE's UCR system either through Florida's Criminal Justice Network (CJNET) or through the public Internet. While every agency has access to CJNET, only specific terminals and systems are connected to CJNET. Each user gains access via a username and password.

FDLE manages agencies and users as described below.

Creating and Managing Users

New users are manually added by FDLE administrators through a user management tool. Any user who inputs or manages UCR summary data for an agency is assigned an AGENCY_ADMIN role. Users may be assigned other roles, such as for cargo theft. Each user is also assigned at least one ORI code. The user role of AGENCY_ADMIN is assigned to new users by default unless limited duties are indicated by the agency as part of the request.

FDLE also manages users, including updating user information, resetting passwords, removing user accounts, or adding or deleting ORI codes for an account.

New user accounts are created as requested by agencies in the state via the agencies' designated contacts. Agencies notify FDLE when users are terminated or when someone will no longer be performing UCR-related tasks. The timeliness of the notification is dependent upon the agency; however, occasionally FDLE receives notifications via return messages from disabled email accounts.

Managing Agencies

FDLE maintains information for each jurisdiction in the UCR Input Module. The data fields include basic agency information (ORI, agency name, address, and vendor) and contact information fields for the commanding officer, UCR contact person, and Human Trafficking contact. The contact fields include the person's name, title, email, phone number, and fax number. Agencies can update this information themselves using the AGENCY_ADMIN role, but normally the change is made by FDLE personnel when notified to ensure that the information is updated.

Updating agency population values in UCR Input Module

FDLE has used population data generated by the University of Florida (UF) Bureau of Economic and Business Research (BEBR), not U.S. Census data, to generate statistics since 1971. The population information is generated annually and includes data for each city, town, and unincorporated area. Since FDLE does not receive data from cities and towns that do not have a police force, FDLE must manually

combine cities and towns with unincorporated areas as necessary to be able to generate accurate crime rates. This population data is entered manually into the UCR Input Module.

Updating information in agency contact list spreadsheet

In addition to the agency information maintained in the UCR Input Module as described above, FDLE manually maintains an agency contact list spreadsheet that includes most of the same information plus contact information for hate crimes and annual employee counts. The spreadsheet includes worksheets with contact information for specific uses, such as email addresses for agencies in each of the seven FDLE regions, state agencies, sheriff's offices, police chiefs, and points of contact for hate crimes.

Activities for Each Reporting Cycle

There are two reporting cycles, semi-annual and annual. The semi-annual cycle covers the first six months of the year, and the annual cycle covers the entire year. Agencies may submit updated information for the first half of the year during the second half, which is incorporated in the annual report. Because of the potential for updated data affecting the first six months, one cannot assume that the difference between the data submitted during the semi-annual period and the annual period represents crime in the second half of the year.

Unless otherwise noted, documentation in this section applies to both annual and semi-annual reports.

Setting Up New Reporting Period

At the beginning of each reporting period, FDLE manually creates and opens a new reporting period in the UCR system. FDLE creates a new version of a tracking spreadsheet that logs if and when each agency has submitted its data, what kind of agency it is, whether FDLE has sent a summary verification package(s) to the agency head, whether each agency has provided a signed verification of its data, and whether an agency is in the process of adjusting/correcting its data following an initial submission.

Once the initial setup is complete, FDLE manually emails a notification that the reporting period is open, which prompts agencies to start their entry of data.

Agency Entry of Data

UCR Summary Data

Users submit UCR summary data to FDLE either by uploading seven mandatory and two optional data files per ORI code as text files or by filling in an online form. The Agency UCR upload files contain comma separated text fields. In either case, the data indicates the ORI code for the data, the report period, and report year. A user who reports for multiple ORI codes must upload multiple sets of files or fill in multiple forms.

The UCR system, including the input web site, is written, hosted, and maintained at and by FDLE's Information Technology Services (ITS).

Submitted UCR summary data undergoes a number of validations to ensure the consistency of numeric data, the ORI is correct, the reporting period is accurate, etc. If all validations pass, the data is ingested into the UCR summary system.

Hate Crime and Cargo Theft Data

Hate crime and cargo theft data are only reported annually (not semi-annually) to the FBI. Although FDLE submits this data to the FBI only on an annual basis, local agencies report the data to FDLE as incidents occur.

Hate crime and cargo theft information is supplied by agencies to FDLE solely through forms that must be filled out manually on a web page. While some field-level validation is performed on this data, there is no cross-field validation logic on either the hate crime or cargo theft forms. There is not a designed input module to collect this data; instead, online survey forms are used which include drop-down menus for fields where the response is limited to a list of select codes. Since all data is entered in free-form fields, FDLE personnel must manually review and test for errors, and correct formatting and typographical errors.

Human Trafficking Data

Human Trafficking data is only reported annually (not semi-annually) to the FBI. Although FDLE submits this data to the FBI only on an annual basis, local agencies report the data to FDLE as incidents occur.
Human Trafficking data is entered by agency users via a dedicated web-based input module. The system performs cross-validation logic that checks Human Trafficking data for internal validation errors. It works similarly to the UCR error checks. Human Trafficking data is only reported for occurrences and is incident-based rather than statistics for a specified time period as with UCR summary data.

Employee Count Data

Employee count data is only reported annually (not semi-annually) to the FBI.

The FBI requires statistics on the number of full-time employees in law enforcement in the state, designated by the number of males and females in two categories: law enforcement officers and civilian employees. This data includes employees from all law enforcement agencies but not Department of Corrections employees.

FDLE maintains a database that can generate an accurate count of sworn officers since all have to be approved by the State, and this data can provide the number of male and female officers. However, the civilian employee count includes anyone else employed by law enforcement agencies in a civilian capacity, which is not available through existing FDLE databases.

FDLE has a web-based survey form for the collection of data for both the sworn and civilian personnel at each agency. The data collection for the current cycle is launched around October 31st through an email notification to the agencies. At the completion of the survey in December, FDLE manually compiles a spreadsheet of the results which is provided to the FBI.

Data Validation and Updates

Submission tracking and verification

FDLE manually maintains a tracking spreadsheet to note when data submissions occurred, whether submissions are pending, if and when FDLE has sent a summary verification package(s) to the agency, whether each agency has provided a signed verification of its data, and whether an agency is in the process of adjusting or correcting its data following an initial submission. There are situations when an agency will report to FDLE that it will not be submitting data for a particular reporting period, and these situations are tracked as well. The tracking spreadsheet is used to manually generate reports for managers to show the status of the current submission cycle. If an agency submits data but is unable to

verify and complete the submission process for a specific submission cycle, in addition to updating the tracking spreadsheet to note this, that agency's data must be manually removed from the database.

FDLE creates a copy of the UCR Database twice daily. This process performs data cleanup such as standardizing formats and generates reports.

FDLE generates several reports that are saved in portable document format (PDF) and then manually e-mailed to the agencies following data submission for review and verification purposes. These reports can also be run at the county and statewide level and are used to generate reports that are placed on the website or run on an ad hoc basis to provide data to outside requestors.

FDLE uses statistical analytical software (SAS) to manually generate a Verification Checklist Packet for each ORI that provides the verification details for that agency's submission, as well as for re-submissions if changes are made. There are numerous detailed validations that are performed, primarily with regard to values being consistent, such as that specific numeric counts add up to the supplied total. The checklist provides a comparison of the currently reported data to the previous year. Each agency receives the summarized data in the form of a "Crime in Florida Report." The checklist includes a signature block that must be signed by the agency head or designee and returned to FDLE to document that the agency approves of the final data as reported. FDLE coordinates with each agency, following up as needed to ensure data is submitted, corrections are completed when necessary, and the verification checklist form is signed. Signed verification forms are returned to FDLE via fax or email, and FDLE collects and tracks the signed forms.

FDLE manually sends out reminders to agencies that have not yet submitted or verified data.

Use of Detail/Error Warning Report

Once a user has entered data into the system, either by manual data entry or upload of data files, the Detail/Error Warning Report is available and must be accessed by the user as part of the submission process. When users access the Detail/Error Warning Report, they receive a list of reported errors and warnings. Warnings reflect data that is atypical but not necessarily wrong. If any errors are displayed, they must be corrected or submission is not possible. When the report indicates no errors are present, users may then complete the submission of their data.

In addition to the Detail/Error Warning Report, a test environment version of the UCR Input Module is available for agencies to submit partial data (i.e., less than the full cycle) to identify any errors. This has been provided to allow agencies to correct errors during the course of a reporting period rather than having to wait until submitting for the full cycle when agencies would then have six or twelve months of errors to fix at once.

FDLE actively works with agencies by phone and email to correct any errors preventing submission or any errors revealed during verification.

Finalizing Submissions and Locking Data

Once an agency signifies that its submission is complete, their data record is locked. If the agency determines that corrections are required, or if FDLE data verification reveals an issue, the agency can request that its record be unlocked. FDLE manually unlocks the record so the agency can make necessary corrections.

Agency Download of Data Tables

Once data has been input by agencies, an agency user may view a summary of the entered data for each data table (offense, arrest, etc.). When viewing a table in the input program, the user has the option to download the table in Microsoft Word, Microsoft Excel, or PDF format. This can be helpful if errors are present that need to be resolved, or if they would like to make a copy of their submitted data for their records.

Finalizing Data and Submitting to FBI

Closing of Reporting Period in UCR Input Module

Once data submission is complete and the data has been verified and approved, FDLE manually closes the reporting period so reports can be generated.

Federal Report Generation and Submission to the FBI

FDLE manually generates the Human Trafficking report as an XML file per the FBI National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) specification.

The hate crime and cargo theft data have historically been provided as Microsoft Excel spreadsheets, where the data is collected in online forms and FDLE generates a spreadsheet for each data set. At the request of the FBI, FDLE provides those as flat files per the respective FBI technical specification, and the flat files are generated from the spreadsheets.

Employee count data is compiled by FDLE into a spreadsheet which is provided to the FBI.

Currently, data files are emailed to the FBI.

Reporting Activities for Florida

Once data is available for the reporting period, FDLE prepares reports for publication on the FDLE website. It is important to release the correct information on the FDLE website in a timely manner as FDLE typically gets requests for the semi-annual and annual information releases.

In addition, FDLE prepares a Hate Crimes spreadsheet for the Florida Office of the Attorney General. Florida Statute 877.19, the Hate Crimes Reporting Act, outlines Hate Crime reporting requirements for the state, asserting that law enforcement agencies report Hate Crimes to FDLE and the Florida Attorney General's Office publishes an annual hate crime report.

Differences Between UCR and Florida Reports

FDLE collects some data elements that are not defined by the FBI's UCR Summary specification. Some are collected as required by Florida statute, others because of state Attorney General requirements or requests. These data elements are primarily for hate crimes and domestic violence.

There are some values for data elements defined in the FBI's UCR Summary specification that FDLE does not collect. For example, Florida's data lacks the same level of granularity for victim and offender ages, race by age and sex of offender, types of drugs associated with an arrest, or types of felonies associated with homicides.

Data Format

The format for the agencies' UCR Summary reporting files does not follow the UCR format defined by the FBI, but is an FDLE-specific comma-delimited text file format. The data files uploaded by agencies into the UCR input system are the same for the semi-annual cycle as for the annual cycle.

Drivers for Change

The top driver for change is that the FBI is scheduled to stop accepting UCR Summary data in the year 2021 and will only accept NIBRS data afterwards. Florida's current processes and systems cannot effectively be upgraded to meet national standards. States that only report UCR Summary data, including Florida, must make the transition to NIBRS to participate in national crime reporting statistics and analytics.

The current data collection, analysis, validation, and dissemination processes are a mixture of manual and automated activities performed by many agency staff members at all levels of government that require the use of multiple, disparate information systems. Many of the processes associated with the summary reports are obsolete by technological standards due to age and inflexible design characteristics. There are several areas where current processes do not meet the needs of the users of the systems and/or data. The FDLE staff depends greatly on manual processes. Success depends on staff in approximately 400 agencies performing interdependent tasks in a timely and correct manner. Manual processes always carry the potential of introducing human error. Due to historical design constraints, it is not possible to upgrade the current disparate systems to new requirements that would bring modern benefits in terms of both efficiency and timeliness of information to FDLE and its customers such as elected officials, government agencies, the general public, and the media.

NIBRS Benefits to State and Local Agencies

NIBRS provides a number of benefits to state and local agencies.

The June 2014 NCS-X bulletin includes a frequently asked question "How will participating in NIBRS benefit a local agency's needs?" It is answered as follows: "In today's environment of open access to data, NIBRS provides a national standard for crime reporting to which local agencies can point when interacting with elected officials, the media, and the public. The editing and validation checks built into the NIBRS reporting standard provide agencies with higher quality and more accurate incident-based data. The additional data collected through NIBRS also provides the context that agencies need to understand crime problems internally and to help explain crime problems and trends to their constituents. Finally, agencies collecting NIBRS data can track crimes based on the attributes of the crime incident, not just on the limited number of crime types captured by the standard UCR Part I offenses. For example, NIBRS will allow an agency to talk about gangs, drugs, and firearms related crimes at a level of detail not possible with summary UCR data. "

In addition to a significant improvement in the details and context of the reported data, the data will also be more timely. Florida UCR Summary data is submitted twice per year, so it is somewhat out-of-date before it is compiled into crime statistics and published. NIBRS data is generally submitted monthly and is, therefore, much more current. This means that statistics can be published more frequently, providing more timely data not only to law enforcement, but to the public and elected officials as well.

NIBRS also provides a mechanism to combine data from various law enforcement agencies to study multi-jurisdictional patterns and trends. While most law enforcement agencies have their own information systems with their data structures and codes, NIBRS standardizes the data across different agencies so that they can be combined easily for multi-jurisdictional analyses. While a law enforcement agency with a sophisticated information system will not need NIBRS to support its internal work, if its analysts are interested in what is happening in neighboring or similar jurisdictions across the country, NIBRS data will expedite the analysis.

Support for Small Local Agencies

There are agencies in Florida that do not have a records management system (RMS), or do not have one capable of reporting UCR Summary (or NIBRS) data. These agencies either do not provide data to FDLE, or have to manually type in their entire data set using the FDLE UCR Input Module. Manual data entry increases the risk of data entry errors and is time-consuming. Agencies that do not have an RMS must rely on paper forms, or electronic forms stored potentially on a local computer.

Support should be provided for agencies that do not have the budget and resources to buy or maintain a NIBRS-compatible RMS, which could include providing access to a basic RMS system that is capable of NIBRS reporting. This would not only increase the statistical or incident data available to the State, but would also streamline incident management at the local level.

National Crime Statistics Exchange (NCS-X) Program

The National Crime Statistics Exchange (NCS-X) program, led by BJS and the FBI, is an effort to expand NIBRS into a nationally representative system of incident-based crime statistics. The goal of NCS-X is to enroll a sample of 400 scientifically selected law enforcement agencies to submit data to NIBRS. When these 400 new NIBRS-reporting agencies are combined with the more than 6,800 agencies that already reported to NIBRS as of 2013, the nation will have a nationally representative system of incident-based crime statistics drawn from the operational data systems of local and state law enforcement agencies. These incident-based data will draw upon the attributes and circumstances of criminal incidents and allow for more detailed and transparent descriptions of crime in communities. Thirty-one of those 400 sample agencies are in Florida. NCS-X provides funding to states and sample agencies to offset at least some portion of the costs of transitioning to NIBRS.

Consolidate and Simplify Data Submission for State and Local Agencies

Florida's state and local agencies currently submit separate data sets for UCR Summary, hate crime, domestic violence, human trafficking, and cargo theft information based on Florida requirements.[2] In addition, the FBI is piloting a process for collecting use of force information from law enforcement agencies. Many agencies also submit data to the Florida Data Sharing Project (FDSP) repositories, and the FDSP data set has significant overlap with these other data sets. Each of these data streams has its own data formats and processes for submitting data, and these disparate requirements add to the burden placed upon the staff at these agencies.

While NIBRS includes human trafficking, cargo theft, hate crime, and domestic violence information, Florida collects additional information on hate crimes and domestic violence beyond what is in NIBRS, and NIBRS does not include a significant portion of the necessary Use of Force data. Therefore, rather

[2] Florida Statute 943.05 outlines program requirements for crime reporting.

than requiring separate data submission processes to support NIBRS and non-NIBRS data requirements, Florida can use this opportunity to consolidate data submission to simplify the process and reduce the burden on state and local agencies.

Current Metrics

Note that performance metrics are not applicable for the current business process given that:

- the current system takes input submissions only twice per year,
- the first submission covers a six month period; the second submission covers a twelve month period,
- each submission contains 7-9 files, and
- each file consists of a limited set of numerical statistics.

2. Assumptions and Constraints

Assumptions

- The collection of statistical information is mission critical to FDLE which analyzes criminal justice data and prepares statistical reports for policy makers, planners, and program developers, in addition to supporting local law enforcement agencies in crime analysis and grant eligibility.
- Detailed requirements need to be documented before moving forward with the project.
- Requirements and requests for data collection from the federal government, as well as requirements from the Florida legislature and/or Attorney General will evolve over time.
- The system will comply with state of Florida and FBI Criminal Justice Information Services (CJIS) Security Policies.

Constraints

- NIBRS data submissions to the FBI must conform to the FBI NIBRS technical specification and must be certified by the NIBRS program.
- Florida must continue to collect hate crime and domestic violence data beyond what is required for NIBRS.
- Use of force data submissions to the FBI must conform to the FBI Use of Force technical specification.

C. Proposed Business Process Requirements

Purpose: To establish a basis for understanding what business process requirements the proposed solution must meet in order to select an appropriate solution for the project.

1. Proposed Business Process Requirements

1) Establish a Florida Incident-Based Reporting System (FIBRS) data repository for incident-based data from state and local agencies
2) Collect all NIBRS data elements on a monthly basis (or more frequently) from state and local agencies for all NIBRS-reportable incidents and arrest

3) Continue to collect all Florida-specific data elements (i.e., not included in NIBRS) for hate crime and domestic violence on a monthly basis (or more frequently) from state and local agencies
4) Collect use of force data on a monthly basis (or more frequently) from participating state and local agencies
5) Collect FDSP data from participating state and local agencies
6) Collect employee count data from state and local agencies annually, designating law enforcement or civilian employees and male or female
7) Ensure that statistical incident data (e.g., NIBRS, hate crime) is cleanly separated from more sensitive investigative data
8) Minimize the number of separate and unique data submission processes and data sets that state and local agencies must support
9) Eliminate and/or streamline current manual processes for collecting, reviewing, tracking, and updating data submissions
10) Maintain information on state and local agencies, including one or more designated reporting coordinators for each agency, referred to as a Reporting Agency Coordinator (RAC), and his/her contact information
11) Maintain information for one or more designated data approvers for each agency, referred to as an Agency Data Approver (ADA), and his/her contact information
12) Provide training and support for each agency's RACs and ADAs
13) Provide a user management capability to allow the addition, deletion, and modification of FIBRS users, including FDLE and state/local agency users, providing the ability to manage user authorization and privilege management so that each user only has access to the data he/she are authorized to view, update, or approve
14) Support state and local agencies to generate data for submission to the state repository to ensure the data is accurate, complete, timely, and of high quality
15) Provide a mechanism for agencies that do not have an RMS or whose RMS is not capable of reporting NIBRS data so that those agencies can provide incident data to the state
16) Perform automated and manual data quality checks on received data to ensure it meets NIBRS and use of force business rules plus state-defined business rules
17) Provide a mechanism to alert an agency of any data quality problems in the received data, along with a way for the agency to update its data
18) Generate agency-level data and statistics from the received data for agency review, and for an appropriate period of time also provide statistics equivalent to the UCR Summary for comparison purposes
19) Provide a mechanism for an agency to review and download the generated statistics, and to update its data if the review indicates any issues with the data provided by the agency
20) Provide a mechanism for a RAC to indicate to FDLE that the agency's data is not to be included in the state's NIBRS submission, which may occur for reasons such as concerns with the statistics resulting from the agency's data, data quality issues, RMS issues, etc.
21) Provide a mechanism for the ADA to explicitly approve the submitted data based on agency review of the data and the corresponding generated statistics, and where approval is mandatory for semi-annual and annual data compilations and optional for all other monthly data submissions
22) Provide an automated mechanism to track data submissions and approvals to show the status of the current submission cycle, including agencies who have submitted data, are revising data, or that will not be able to submit data, that have indicated that the data is not to be included in the state's NIBRS submission, and that have formally approved their data

23) Provide automated reminders to RACs if his/her agency has not submitted its data, and to RACs and ADA(s) if the agency has not provided one of the mandatory formal approvals of its data
24) Accept UCR Summary data submissions from state and local agencies until FDLE determines that a sufficient number of agencies are submitting data to FIBRS
25) Manage agency population data for use in developing statistics
26) Generate NIBRS data for monthly submission to the FBI for the entire state
27) Submit data to FDSP for those agencies that want their data included in FDSP
28) Submit use of force data to the FBI for those agencies that want their data submitted
29) Submit employee count information to the FBI annually
30) Generate state crime data and statistics for publication and distribution
31) Publish state crime data and statistics for dissemination to the public, media, and government stakeholders

2. Business Solution Alternatives

In 2016, FDLE received funding from the NCS-X program to develop an implementation plan for transitioning from UCR Summary to NIBRS. As part of that project, FDLE developed an online readiness assessment survey to collect information from Florida state and local agencies. In addition, FDLE participated in a number of on-site readiness assessments conducted directly by the NCS-X program.

These assessments provided a statewide snapshot with the following data points:

- Incident data collection processes and systems currently in place across the state
- NIBRS data elements currently being collected at each agency
- Vendor and agency-developed RMS products in use, as well as short-term plans for upgrading or replacing products
- Readiness of deployed vendor and agency-developed RMS products for NIBRS data collection, quality checks, and submission to the state
- Number of officers and staff potentially impacted by the NIBRS transition

The project was also intended to conduct the following tasks:

- Document AS-IS and TO-BE high-level business processes and technical functionality for Florida's statistical reporting at the state level.
- Determine the use of RMS products and the changes and costs required to implement and deploy a statewide incident reporting system that can support NIBRS.
- Determine data elements that state and local agencies are required to submit to the state beyond what is defined by NIBRS.
- Research data that is submitted to other state and federal programs, and evaluate the potential for simplifying the current disparate data submission processes state and local agencies must support.
- Develop cost and schedule estimates for a new Florida system that supports NIBRS at a minimum.
- Develop and research alternative approaches for implementing a new statewide NIBRS reporting system that also supports Florida-specific data elements, and the potential for consolidating the current disparate data submissions to other programs.

Four approaches were evaluated as follows:

Approach 1 – Develop a basic NIBRS capability based on the existing NIBRS technical specification.
Approach 2 – Leverage the existing Florida Data Sharing Project (FDSP) systems in the state.
Approach 3 – Develop a system based on the existing FBI National Data Exchange (N-DEx) data submission specification.
Approach 4 – Develop a hybrid system that accounts for the strengths and weaknesses of FDSP and N-DEx.

3. Rationale for Selection

FDLE applied several criteria to compare alternatives and recommend a business solution that best meets the business and strategic needs of the agency, as well as state and local agency stakeholders.

These criteria include:

- Initial and future workload for state and local agencies
- Support for multiple data sets used by the state and/or the FBI
- Ability to automate or streamline data collection processes
- Ability to disseminate crime data and statistics to public, media, and government stakeholders
- Impact to vendor and agency RMS systems
- Impact to FDLE IT services and systems
- Costs

4. Recommended Business Solution

After evaluation of several approaches, the recommended business solution is to replace the current UCR Summary system with a new hybrid solution, based on Approach 4, above. This system will meet Florida's needs for collecting NIBRS, FDSP, use of force, and the Florida-specific data elements required for hate crime and domestic violence reporting, while also supporting FDLE's need for a state-owned crime data and analysis repository. The new FIBRS system will be based on Commercial Off-The-Shelf (COTS) products that are customizable to meet current and future business needs and integrate with existing FDSP systems.

FIBRS will be able to process and store all required high level data constructs and all detailed data contents to meet both current needs and anticipated future upgrades. This approach will define business rules to ensure the data is consistent and of high quality, so that crime data can be used for both statistical and investigative purposes.

To realize the business solution, FDLE plans a competitive procurement process to determine and acquire commercially available systems that can be customized to meet FDLE's business requirements.

The contracted systems will include, but are not limited to:

- Commercial NIBRS repository
- Commercial RMS product
- Integration with existing FDSP systems
- Contracted services to upgrade local agencies' RMS products
- Computer hardware (e.g., servers, storage, and network)

- Commercial systems software (e.g., operating system, database management system, and application server platform)
- Project management services
- Software customization services
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)

D. Functional and Technical Requirements

[A functional requirement describes how the business process requirement shall be accomplished, i.e., accept customer payment via the Web or accept customer payment via the phone.]

This section documents the functional and technical requirements of the system. These functional requirements are mapped to the corresponding business process requirement numbers documented in "Section II.C.1 – Business Process Requirements" of this document using the notation (BPR #X).

Data Collection and Storage

- The FIBRS repository will be hosted at the FDLE data center with a backup repository hosted at the FDLE backup data center. (BPR #1)
- The FIBRS backup repository does not require a real-time failover capability, but the backup repository must be capable of being brought online within 8 hours and have access to the most current data from the primary repository. (BPR #1)
- The FIBRS repository will be capable of supporting data elements and their cardinality as defined by the FIBRS Extensible Markup Language (XML) data specification. (BPR #1) Where equivalent data elements are included in more than one data source or external specification listed below, the FIBRS XML data specification will have a single data element. The FIBRS XML data specification will include the data elements described below (BPR #2, #3, #4, #5, #9):
    - All data elements and their corresponding cardinality as defined in the most recent FBI NIBRS specification
    - All data elements and their corresponding cardinality as defined in the most recent FBI Use of Force specification
    - Multiple occurring text element for the state statute corresponding to the offense(s)
    - Multiple occurring text element for the local statute corresponding to the offense(s)
    - All data elements currently available in the FDSP
    - All existing Florida hate crime (bias motivation) code values
    - All existing Florida domestic violence relationship categories
- The FIBRS technical specification will include markings so that an agency can indicate that the data for a specific incident may be included in NIBRS submissions, use of force submissions, forwarded to the FDSP, or any combination. For example, an agency may indicate that an incident is to be included in NIBRS submissions but not forwarded to the FDSP. (BPR #8, #20, #26, #27, #28)
- The FIBRS repository will be capable of supporting employee count data elements, including (BPR #6, #29):
    - Agency name
    - Agency ORI
    - Report year
    - Number of law enforcement personnel

  - Number of civilian employees
  - Number of male employees
  - Number of female employees
- The FIBRS repository will provide an interactive mechanism for agencies to submit their annual employee count information. (BPR #6)
- The FIBRS repository will accept agency data submissions that conform to the FIBRS XML data specification. (BPR #14)
- The FIBRS repository will retain the original data submission as provided based on the FIBRS XML data specification. (BPR #2, #3, #4, #5)
- An agency data submission to FIBRS will consist of one or more files, where each file contains a single incident. (BPR #14)
- FIBRS will provide a mechanism for an agency to indicate it has no reportable incidents for a particular month. (BPR #14)
- Agencies will submit data to FIBRS through a secure web service accessible via CJNET or over the Internet. (BPR #14)
- The FIBRS repository will store the following information for each agency and contact information for appropriate personnel designated by the agency (BPR #10, #11):
  - Agency name
  - Agency ORI(s)
  - Agency region
  - Code indicating whether sheriff's office, police department, state agency or other agency head name
  - Agency head phone number(s)
  - Agency head fax number(s)
  - Agency head email address
  - RAC name
  - RAC phone number(s)
  - RAC fax number(s)
  - RAC email address
  - ADA name
  - ADA phone number(s)
  - ADA fax number(s)
  - ADA email address
  - Personnel contact name
  - Personnel contact phone number(s)
  - Personnel contact fax number(s)
  - Personnel email address
  - Date agency information updated
- The FIBRS repository will support the import of population data from University of Florida (UF) Bureau of Economic and Business Research (BEBR). FIBRS will automate the consolidation of population data to combine cities and towns with unincorporated areas as necessary to allow accurate calculation of crime rates for all jurisdictions. (BPR #9, #25)
- FDLE will acquire an RMS for use by agencies that do not have an RMS, whose RMS is not capable of reporting NIBRS data, or who desire to transition to a state-supported solution. FDLE will work with interested agencies to define requirements for the RMS, evaluate RMS products, and to collect feedback on the recommended product. (BPR #9, #15)
- The state-provided RMS will be accessible over the Internet from an officer's desktop computer, laptop, or Mobile Data Terminal. Regardless of where the officer is and whether he/she has

network access, the officer must be able to access all functions of the software and all code lists in order to be able to enter complete incident data. However, if the officer is at a location without network access, the software must temporarily store the data and be capable of uploading the data to the RMS when network access becomes available. (BPR #15)

- The state-provided RMS may be hosted at the FDLE data center with a backup RMS hosted at the FDLE backup data center, or FDLE may utilize an RMS hosted at a secure site such as International Justice and Public Safety Network. (BPR #15)
- The state-provided backup RMS does not require a real-time failover capability. However, if a real-time failover is not available, the system must support officer entry of data into his/her desktop computer, laptop, or MDT at all times with the ability to transmit the input data to the RMS when the backup RMS comes online or the primary RMS returns to service. (BPR #15)
- FDLE will provide technical assistance to RMS vendors and developers to provide training on the FIBRS technical specification and functional and technical requirements, as well as to provide implementation and testing support, to ensure that all implementers understand the requirements and are able to develop products that will interoperate with FIBRS. (BPR #14)
- FDLE will provide technical and financial support for agencies to upgrade their RMS systems in order to ensure that as many agencies as possible are able to participate, providing the jurisdictional and population coverage necessary for representative crime statistics for the state and the nation. (BPR #14)
- Agencies will submit their data at least monthly; however, the FIBRS repository will support accepting data on a more frequent basis. Agencies that desire their incident data to be available to the FDSP will submit their data to FIBRS on a daily basis. (BPR #1, #2, #3, #4, #5)
- The FIBRS repository will perform automated checks on submitted data to ensure it adheres to all NIBRS and use of force business rules, as well as any rules defined by FDLE. (BPR #9, #14, #16)
- The FIBRS repository will provide a mechanism for FDLE personnel to view submitted data in order to perform manual checks on the data to ensure it adheres to business rules that cannot be automated. (BPR #14, #16)
- Agencies will be able to update their data to correct errors or to incorporate more recent information. (BPR #14, #17, #19)
- The FIBRS repository will calculate UCR Summary statistics from agency data submissions and provide to each agency so staff can compare with earlier statistics. This provides continuity with historical data, and also provides an extra check that submitted data accurately reflects crime in the jurisdiction. The agency can download the generated statistics or view through FIBRS. (BPR #18, #19)
- An agency that submits FIBRS data will not be required to also submit UCR Summary data. (BPR #18, #24)
- FDLE will continue to accept UCR Summary data from agencies that have not transitioned to the use of the FIBRS technical specification until FDLE determines that a sufficient number of agencies are submitting data to FIBRS. Depending on the capabilities of the product selected for the FIBRS repository, UCR Summary submissions may continue through the existing UCR Input Module, or may be submitted through FIBRS. (BPR #24)

Administration and Management

- An agency can designate one or more persons to be an agency RAC, and one or more persons to be an agency ADA. A RAC and an ADA may be the same person(s). (BPR 10, #11)
- RACs and ADAs will be provided training on their roles and on any software tools available to them to support their tasks. New RACs and ADAs must receive training prior to being granted

access to FIBRS. Existing RACs and ADAs will receive periodic refresher training, with the frequency of refresher training to be determined by FDLE. (BPR #12)

- The FIBRS repository will provide a web-based interface to RACs and FDLE users, accessible via CJNET or over the Internet. Access requirements will follow FDLE security policy.(BPR #9, #13, #17, #18, #19, #20, #23)
- A RAC is the only agency representative that can update information in FIBRS, review agency-level data or generated statistics, or review error and warning reports for their data. (BPR #12)
- The FIBRS repository will support the following agency user roles (BPR #6, #10, #11):
    - RAC
    - ADA
- The FIBRS repository will support an FDLE administrator role. (BPR #13)
- A RAC may only review data and generated statistics, review error and warning reports for their data, or update information for their designated agency. (BPR #7, #12)
- An ADA may only provide formal approvals for data from their designated agency.
- A RAC or ADA may view the contact information for other agencies. (BPR #9, #7, #10, #11)
- The FIBRS repository will provide a mechanism for FDLE personnel, RACs, and ADAs to search agency and contact information by agency name, agency ORI, or person name. Wildcards will be supported so that users can search by partial names or ORIs. (BPR #9, #10, #11, #12)
- The FIBRS repository will provide an interactive mechanism for an ADA to formally approve monthly data, semi-annual statistics generated by FIBRS, and annual statistics generated by FIBRS. (BPR #9, #21)
- The FIBRS repository will require an ADA to approve data used for NIBRS submission both semi-annually and annually in keeping with the current process. However, the approval process will be done interactively through FIBRS, rather than through the use of a physical or electronic copy of a manually signed form as is currently done for UCR Summary data. Approval of monthly data submission is optional but also performed interactively through FIBRS. (BPR #9, #21)
- The FIBRS repository will provide an interactive mechanism for a RAC to indicate for a particular reporting period that the agency is planning to update their data, or will not be able to submit their data, or that their data should not be used for the generation of Florida statistics or supplied to the FBI. (BPR #20)
- The FIBRS repository will automatically notify the agency RAC(s) and ADA(s) when mandatory agency approvals of data are required. These notifications will be emailed to RACs and ADAs once per workday via email, and will also display on the screen when the RAC or ADA logs into FIBRS. FIBRS will automatically notify designated FDLE personnel if an agency does not approve their data in a timely fashion. (BPR #9, #23)
- The FIBRS repository will automatically track and update the following status information for each agency, which will be available to designated FDLE personnel (BPR #2, #3, #4, #5, #6, #9, #22):
    - Has the agency submitted their monthly data?
    - Has the agency provided a mandatory semi-annual or annual approval of their data?
    - Has the agency provided an optional monthly approval of their data?
    - Has the agency indicated that they will be revising their data, including the reporting period(s) they will be updating?
    - Has the agency indicated that the data for a reporting period(s) is not to be used for the generation of Florida statistics or submitted to the FBI?
    - Has the agency indicated that they will not be able to submit data for a reporting period(s)?
    - Has the agency submitted their annual employee count data?

- The FIBRS repository must be sufficiently flexible to accommodate FBI and State updates to NIBRS, Use of Force, and employee count specifications and/or published templates. (BPR #26, #28, #29)
- Data must be explicitly marked in FIBRS to logically and/or physically separate statistical data from the more sensitive investigative data to ensure that the only users who can access sensitive data are those who have the explicit authorization to do so. Different user roles will determine the type of data accessible; user roles will have different attributes for those working with investigative versus statistical data. (BPR #7, #13)
- The FIBRS repository will automatically notify the agency RAC(s) when errors are found in the submitted data, either through automated or manual checks performed by FDLE, or through checks performed by the FBI NIBRS or use of force programs. These notifications will be emailed to the RACs once per workday via email, and will also display on the screen when the RAC logs into FIBRS. FIBRS will also automatically notify designated FDLE personnel of these errors and will update the status of the agency's submission to reflect the errors. (BPR #9, #17, #22)
- By default, all NIBRS data submitted to FIBRS will be included in the state's NIBRS submission. However, a RAC can use the FIBRS user interface to indicate to FDLE that their agency's data is not to be included in the state's NIBRS submission, which may occur for various reasons such as concerns with the statistics resulting from the agency's data, data quality issues, RMS issues, etc. FIBRS will update the status of the agency's data submission process and will alert the appropriate FDLE personnel. When the agency is ready, they can use the FIBRS user interface to indicate that their data may be submitted to NIBRS. (BPR #9, #20, #22)

Report Generation and Data Submission to Other Organizations and Systems

- The FIBRS repository will generate and submit NIBRS data for state and local agencies to the FBI NIBRS repository monthly, adhering to the published FBI NIBRS XML specification. (BPR #26)
- The FIBRS repository will forward FDSP data to the FDSP repositories daily. (BRP #27)
- The FIBRS repository will generate and submit use of force data to the FBI on a monthly basis, or more often if desired by an agency, adhering to the published FBI Use of Force specification. (BPR #28)
- The FIBRS repository will generate and submit employee count data to the FBI annually, in the format documented by the FBI. (BPR #29)
- The FIBRS repository will automatically generate state crime data and statistics for publication and distribution where possible, and provide interactive access and/or download of data where necessary. FDLE will publish the data and/or provide access to it for the public, media and government stakeholders. (BPR #30, #31)
- The FIBRS repository will be capable of generating ad hoc reports in response to requests from agencies or public record requests or state policymakers. (BPR #30, #31)

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	More detailed and accurate crime data (Incident-based) available in FIBRS from state and local agencies	Agencies submit data using FIBRS technical specification instead of UCR Summary	FDLE Local agencies State policymakers	01/21 (initial agencies) 07/23 (remainder)
2	More detailed and accurate crime data available – data validation performed on submitted data with reports on errors/discrepancies reported to agency	Agencies submit data to FIBRS repository will perform automated data validation and report results to agency, which can update data in FIBRS	FDLE Local agencies State policymakers NIBRS FBI	01/21 (initial agencies) 07/23 (remainder)
3	More complete crime data available – additional agencies using Records Management Systems	State-supported RMS available to agencies without an RMS or whose RMS cannot submit incident-based data	FDLE Local agencies NIBRS State policymakers	01/21 (initial agencies) 07/23 (remainder)
4	More timely crime data available	Agencies submit data daily or monthly instead of every six months	FDLE Local agencies	01/21 (initial agencies) 07/23 (remainder)
5	Incident-based data from Florida available for generation of nationwide crime reporting through FBI NIBRS	Data from FIBRS submitted to FBI NIBRS	FDLE Local agencies NIBRS	01/21 (initial agencies) 07/23 (remainder)
6	Incident-based data from Florida available for use by FBI Use of Force	Data from FIBRS submitted to FBI Use of Force repository	FDLE Local agencies FBI	01/21 (initial agencies) 07/23 (remainder)
7	Law enforcement data available in FDSP repositories	Data from FIBRS submitted to FDSP repositories	Local agencies FDSP	01/21 (initial agencies) 07/23 (remainder)
8	Reduction in number of different and overlapping data submissions processes supported by agencies and FDLE	Agencies submit data using FIBRS technical specification instead of separate UCR Summary, FDSP, cargo theft, hate crime, and	FDLE Local agencies	01/21 (initial agencies) 07/23 (remainder)

SUCCESS CRITERIA TABLE				
		domestic violence interfaces		
9	Incident-based crime reports available in Florida	Florida crime reports generated using FIBRS data	FDLE Local and state agencies/officials State policymakers Public	01/21 (initial agencies) 07/23 (remainder)
10	Automate existing manual processes	Data verification information generated by FIBRS and available online to agency users	FDLE Local agencies	01/21 (initial agencies) 07/23 (remainder)
11	Eliminate multiple, overlapping data submissions	State and local agencies submit a single data set to FIBRS rather than using multiple overlapping data submission processes	FDLE Local agencies	01/21 (initial agencies) 07/23 (remainder)
12	Leverage new technology	Use of standards such as NIEM, NIBRS, Use of Force, web services	FDLE Local agencies	01/21
13	Decommission legacy systems	UCR Input Module, and web input forms for Hate Crime, Cargo Theft, and Domestic Violence taken out of service	FDLE	TBD

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

A. Benefits Realization Table

Purpose: To calculate and declare the tangible benefits compared to the total investment of resources needed to support the proposed IT project.

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

BENEFITS REALIZATION TABLE					
#	**Description of Benefit**	**Who Receives benefit**	**How is the benefit realized?**	**How will the realization of the benefit be measured**	**Realization Date (MM/YY)**
1	More detailed and accurate crime data	• Criminal Justice Agencies • State and local policymakers • State and local governments • FDLE • Public • FBI	• Florida UCR data does not currently meet all FBI UCR specifications due to a lack of data granularity. The new FIBRS system will collect compliant data. • Florida's current UCR system collects aggregate crime data; specific descriptive data about victim, offender, location, weapon, time-of-day, drug/alcohol involvement is not collected. The new FIBRS system will collect this information providing analytical value to influence policy. • Incident geolocation data, not currently collected, will allow for the creation and utilization of statewide crime-mapping. • Currently, agencies are presented with their aggregate crime data statistics twice annually. The new FIBRS system will provide immediate feedback for data error/validity correction and comparison as well as providing for continuous corrections/updates to previously submitted data.	• More detailed and accurate crime data will be measured by the implementation of new methods for receiving, validating, updating, correcting, storing, and displaying data in the new FIBRS system.	06/22
2	More complete crime data available (due to more agencies using Records Management System)	• Criminal Justice Agencies • State and local policymakers • State and local governments • FDLE • Public • FBI	• Agencies currently not able to participate in Florida's UCR program because of an outdated/obsolete system will be able to participate by using the state-provided RMS system and thereby eliminate the need to manually count, record, and submit their UCR data. This will both increase the completeness and accuracy of the UCR data and increase the number of agencies participating. • Agencies that use the state-provided RMS will be able to participate in Florida's UCR program.	• FDLE will measure the number of local criminal justice agencies utilizing the state-provided RMS system to collect and submit compliant UCR data.	06/22
3	Availability of more timely crime data	• Criminal Justice Agencies • State and local policymakers • State and local governments	• Currently, Florida's crime data is collected and provided on a twice annual basis. With the new FIBRS system, data will be collected and made available on at least a monthly basis with the ability to report more frequently. • Agencies can provide incident data to the	• The availability of more timely crime data will be measured by the implementation of new methods for receiving,	06/22

		• FDLE • Public • FBI	state program without having to wait for classification, clearance, closure, prosecution, etc. of an incident because the new FIBRS system will allow for continuous updates to previously submitted data. • Florida will be able to provide statewide UCR data to the national program on a monthly basis as required by the FBI.	validating, updating, correcting, storing, and displaying data in the new FIBRS system on at least a monthly basis. • The availability of more timely crime data will be measured by FDLE's ability to provide the FBI with monthly UCR data.	
4	Reduction in the number of different and overlapping data submission processes supported by agencies and FDLE	• FDLE • Criminal Justice Agencies • FBI	• Criminal justice agencies are required to provide four separate data submissions, twice annually, as part of the UCR submission requirements. The current submission process requires these data submissions to be entered in separate places. • A new FIBRS system will be able to provide all the functionality in one cohesive system, which will reduce the time spent synchronizing data and maintaining separate systems. • Currently, FDLE manually generates separate files for submitting statewide UCR data to the national program at the FBI. A new FIBRS system will generate file(s) that conform to the national program standards.	• The reduction of the number of different and overlapping data submissions will be measured by the ability of the new FIBRS system to provide the functionality in one cohesive system. • The FBI will be able to ingest Florida's statewide crime data file(s) without modification.	06/22
5	Automate existing manual processes	• FDLE • Criminal Justice Agencies • FBI	• Currently, Florida's UCR program requires the manual management of several processes: setting the system to the current year and reporting period, combine population values for overlapping jurisdictions, setting every agency (ORI) to the correct population, create/manage user accounts for system access, unlock agencies in system when need to resubmit/edit data, send notifications to agencies about submission cycles, generate and distribute agency verification packets, log and track submissions and verification progress, and direct contact delinquent agencies regarding submissions/verifications. • Currently, agencies receive verification packets to review and verify their submitted data. Generating and distributing these packets is a manually triggered and monitored process. The new FIBRS system will automatically generate and display these immediately upon data submission.	• The reduction of time for manual management of processes will be measured by the added functionality to the FIBRS system.	06/22

B. Cost Benefit Analysis (CBA)

Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed source(s) of funding.

The focus on this project is to implement the agency's strategy to comply with the Federal Bureau of Investigation's (FBI) deadline to convert Uniform Crime Reporting (UCR) from summary data to incident-based data from Florida's local and state law enforcement agencies by standing-up the state program and assisting Florida law enforcement agencies to transition to incident-based crime reporting.

NIBRS also provides a mechanism to combine data from various law enforcement agencies to study multi-jurisdictional patterns and trends. While most law enforcement agencies have their own information systems with their data structures and codes, NIBRS standardizes the data across different agencies so that they can be combined easily for multi-jurisdictional analyses. While a law enforcement agency with a sophisticated information system will not need NIBRS to support its internal work, if its analysts are interested in what is happening in neighboring or similar jurisdictions across the country, NIBRS data will expedite the analysis.

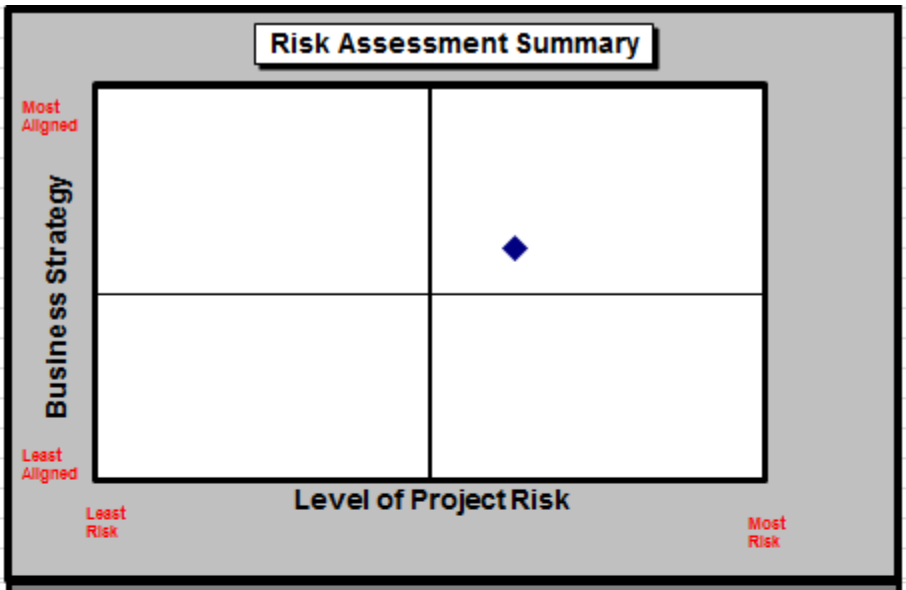
The planned improvements and efficiencies in the work processes will enable FDLE to add additional data sharing services and maintain sufficient productivity in the face of growing demands.

Cost Benefit Analyst spreadsheets are in appendix H.

V. Schedule IV-B Major Project Risk Assessment

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

A. Risk Assessment Tool



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

The complete risk assessment worksheets are in appendix I.

VI. Schedule IV-B Technology Planning

Purpose: To ensure there is close alignment with the business and functional requirements and the selected technology.

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The current UCR Summary system is comprised of a number of automated, semi-automated, and manual processes and systems developed over twenty years. Requirements for UCR Summary data have evolved over time, and new data collection requirements have been added, such as for human trafficking. At this time, the following data is collected from state and local agencies through the mechanisms indicated:

- UCR Summary data either through manual entry on a dedicated web-based input form, or by uploading multiple text data files to the UCR Input Module,
- Hate crime data through manual entry on a Kentico survey form available on a web page,
- Cargo theft data through manual entry on a Kentico survey form available on a web page,
- Human trafficking data through manual entry on a dedicated web-based input form, and
- Employee count data through manual entry on a web-based survey form.

The current system performs some automated validation of the supplied data, while other validation is performed manually by FDLE personnel.

The current system also includes artifacts that are managed manually by FDLE personnel rather than through an automated system or process, and these artifacts include:

- Agency Contact List spreadsheet
- Data Submission Tracking spreadsheet

Local agencies collect summary, hate crime, cargo theft, and human trafficking data primarily through officers dispatched to calls for service. In most cases, an officer enters data into the Mobile Data Terminal (MDT) which then transfers the data to the agency's automated RMS, although some agencies still use paper forms or have officers take notes that are then called in to data entry personnel for transcription into an RMS.

User and User Types
The current FDLE system includes the following user types and user numbers.

User Type for State System	# of users
Agency Data Entry Users	694
FDLE Administrators	16
Total	**710**

Number of Transactions

UCR Summary data is currently received from approximately 400 state and local agencies. Some agencies report data for their jurisdiction as well as other jurisdictions; over 400 jurisdictions are represented.

The number of internal transactions, such as for FDLE personnel to add or update an agency user, are not tracked. It should also be noted that under the current reporting requirements, data submission transactions are very limited given that:

- Agencies submit UCR Summary data to FDLE twice per year
- The first submission covers a six month period; the second submission covers a twelve month period
- Each summary submission contains 7-9 files consisting of a limited set of numerical statistics
- FDLE submits summary data to the FBI twice per year
- Agency submissions to FDLE for hate crime, cargo theft, and human trafficking contain limited data and totaled only 265 for an entire year
- FDLE submits hate crime, cargo theft, and human trafficking data to the FBI once per year
- Agency personnel counts are submitted to FDLE and compiled for submission to the FBI once per year.

However, some transaction information is available or can be estimated as noted below based on the 2016 Crime in Florida Reports.

- Total number of UCR Summary crimes reported by state and local agencies: 641,014
- Highest number of UCR Summary crimes reported by a county: 111,219
- Lowest number of UCR Summary crimes reported by a county: 73
- Number of hate crimes reported: 104
- Number of cargo thefts reported: 26
- Number of human trafficking incidents reported: 134
- Employee data is supplied once per year per agency

Requirements for Public Access, Security, Privacy, and Confidentiality

The UCR systems are not open to the public. Reports generated from the data are available to the public via FDLE's Florida Statistical Analysis Center's public web site. Currently, reports are generated twice a year with additional ad-hoc reports generated as needed.

Hardware Characteristics

The overall FDLE system may consist of two (2) production servers, two (2) test servers, and two (2) development servers. There are separate network interfaces for users accessing via CJNET versus the Internet, and each interface includes a network load balancer. Most storage is internal to the servers, although the development server may use the FDLE Storage Area Network (SAN).

The hardware used by state and local agencies that submit data to FDLE varies by jurisdiction.

Software Characteristics

The overall FDLE system uses a number of different software and data based components that have been developed over the years. The system uses a SQL Server database housing the in-process data that has been submitted by state and local agencies as well as a separate database that houses data once it has been validated and edited for consistency. Data is copied to a Microsoft Access database where data is generated for submission to the FBI. Data is also copied to a set of SAS data sets which

are used for quality analysis, generating reports for publication, and making the data available to other users/public. Some data transformation has to occur outside of the current system to accommodate legacy issues for historical data.

Agency users upload some data through dedicated web forms, while Summary data is submitted either by an agency user typing the information into a form in the UCR Input Module or by uploading a set of files. Some data validation is performed as part of a regular batch process. Some components use Microsoft Windows while others use Linux. Internally developed software generally uses the Java programming language, although a number of utilities have been developed over the years using SAS software. Some SAS programs are run automatically, while others are initiated manually.

The characteristics for software used by state and local agencies that submit data to FDLE vary by agency.

Existing System and Process Documentation

The current processes and software products and tools in use at FDLE have evolved over the years. Documentation for the total system as a whole does not exist, although some individual processes and software products have been documented.

System and process documentation available at state and local agencies that submit data to FDLE are unknown.

User Interfaces

The current systems include a number of user interfaces for FDLE and/or agency personnel to access various components of the current system as described below.

- FDLE personnel use the UCR user management tool to manage agency user accounts.
- FDLE personnel use the UCR Input Module to manage information for each jurisdiction.
- Agency users enter UCR Summary data into the UCR Input Module through a web-based input form.
- Agency users upload UCR Summary data into the UCR Input Module.
- Agency users enter hate crime, cargo theft, and employee count data through Kentico survey forms on a web page.
- Agency users enter human trafficking data through web-based input forms.
- Agency users access the Detail/Error Warning Report through the UCR Input Module.
- Once an agency signifies the submission is complete, the Input Module locks the data record.
- FDLE personnel use the UCR Input Module to unlock an agency's data record so the agency can manually enter or upload corrected data.
- FDLE personnel use SAS programs to extract the data.
- FDLE personnel use macro-enabled Microsoft Excel templates to present the data as reports in PDF format.
- FDLE personnel use the Microsoft Access database to populate data for internal status reports, including which agencies have submitted, are pending, have verified, etc., and the respective percentage of the population falling into each category.
- FDLE personnel manually enter population data into the UCR Input Module.
- State and local agency officers generally enter incident data via MDT into their agency's RMS.
- State and local agency supervisors, data transcribers, and records personnel generally access incident data through the user interface provided by their RMS.

System Interfaces

The current systems include a number of internal and external interfaces as described below.

- Agency users can interface to the current systems either through Florida's CJNET or through the public Internet.
- SAS interfaces with the UCR Database to copy the data which is used to generate reports and perform some data cleanup on agency submissions.
- A Microsoft Access database interfaces with the UCR Database via ODBC.
- Data entered or uploaded by agency users goes into the UCR Web Database.
- Once data in the UCR Web Database has been checked and any errors corrected, data is copied to the UCR Database.

Report Generation

FDLE generates six UCR Summary data files for submission to the FBI from a Microsoft Access database that is linked via ODBC to the UCR data tables on the UCRDB database running under SQL Server.

FDLE manually generates the human trafficking report as an XML file per the FBI National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) specification.

The hate crime and cargo theft data have historically been provided as Microsoft Excel spreadsheets, where the data is collected in online forms and FDLE generates a spreadsheet for each data set. At the request of the FBI, FDLE provides those as flat files per the respective FBI technical specification, and the flat files are generated from the spreadsheets.

Employee count data is compiled by FDLE into a macro-enabled Microsoft Excel template, which generates a flat file to provide to the FBI.

Currently, data files are emailed to the FBI. The FBI has instituted a new electronic upload process using an FTP server which FDLE will use once the FBI authorizes its use.

Once data is available for a reporting period, FDLE prepares reports for publication on the FDLE website. In addition, FDLE prepares a hate crimes spreadsheet for the Florida Office of the Attorney General.

Consistency with Agency Software Standards and Hardware Platforms

Many of the processes associated with the summary reports are obsolete by technological standards due to age and inflexible design characteristics. As the overall system has evolved over the years, additions and changes have adhered to FDLE's software standards and hardware platforms available at the time. The format of Summary data submitted to the FBI does not adhere to the current FBI specification.

Scalability to Meet Long-Term and Network Requirements

The current system is specifically geared towards UCR Summary data collection, processing, and submission. The new incident-based system and processes will be put into place, and agencies will transition over a period of time. The current systems and processes must remain in place while the state and approximately 400 Florida agencies make the transition. FDLE will collect and report both UCR Summary and NIBRS information until sufficient agencies make the transition for the state and FBI to have representative NIBRS data for Florida. The current system is not capable of scaling to support NIBRS data submissions.

b. Current System Resource Requirements

FDLE Systems

The following hardware is part of the FDLE system:

- 2 load balancers (one for the CJNET interface, one for the Internet interface)
- 2 production physical servers (each with 2 CPUs, 4 cores, 16GB RAM, 150GB internal storage)
- 2 test physical servers (each with 1 CPU, 4 cores, 8GB RAM, 150 GB internal storage)
- 2 development virtual servers (1 CPU, 2 cores, 1GB RAM, 50 GB on Storage Area Network)

The following software is part of the FDLE system:

- Microsoft Windows 2012
- Linux
- JBoss
- Microsoft SQL Server 2014
- Commvault Enterprise back-up
- Java programming language
- Apache Wicket framework
- SAS software
- Kentico
- Microsoft Excel
- Microsoft Access
- FDLE in-house developed authentication and authorization Application Security Module (ASM)

The FDLE UCR systems are hosted and maintained by the FDLE ITS. There are annual maintenance contracts in place on hardware and software. It is estimated that the equivalent of two full-time ITS personnel provide operations and maintenance support to the FDLE UCR systems. In addition to support staff, there are five (5) personnel that support data collection, agency assistance, report generation, data management, training, and agency liaison services as part of the overall FDLE system. These five personnel include one fulltime position assigned specifically to UCR, and four positions with duties outside of the UCR program.

State and Local Agency Systems

The hardware used by state and local agencies that submit data to FDLE varies by jurisdiction.

The software used by state and local agencies that submit data to FDLE varies by agency. Based on a survey performed by FDLE, there are at least 36 different commercial RMS systems in use in Florida, seven (7) in-house RMS products, and 11 agencies that do not have an automated RMS. Specific RMS systems used in the state are documented in the “Current Hardware and Software Inventory” section of this document.

FDLE does not currently fund the acquisition or maintenance of agency RMS software or hardware.

c. Current System Performance

The UCR system is a collection of servers, operating systems, databases, software products, and numerous interfaces that is specifically geared towards data collection, processing, and submission of UCR Summary, hate crime, cargo theft, and human trafficking data, as well as agency personnel counts. While the current system is capable of handling the current data storage, data processing, and user

interfaces requirements, extensive changes are required in order to go from the current UCR Summary requirements to NIBRS. The data to be submitted by agencies to FDLE, and by FDLE to the FBI, will change from being a very small set of numerical statistics submitted twice per year to a detailed set of incident-based data submitted monthly.

The current data collection, analysis, validation, and dissemination processes are a mixture of manual and automated activities performed by many agency staff members at all levels of government that require the use of multiple, disparate information systems. Many of the processes associated with the summary reports are obsolete by technological standards due to age and inflexible design characteristics. There are several areas where current processes do not meet end user needs. The FDLE staff depends greatly on manual processes to achieve business goals. Success depends on staff in approximately 400 agencies performing interdependent tasks in a timely and correct manner. Manual processes always carry the potential of introducing human error. Due to historical design constraints, it is not possible to upgrade the current disparate systems to new requirements that would bring modern benefits in terms of both efficiency and timeliness of information to FDLE and its customers such as elected officials, government agencies, the general public, and the media.

In addition, the FBI is piloting a process for the submission of Use of Force data to the FBI. This encompasses any use of force that results in the death or serious bodily injury of a person, as well as when a law enforcement officer discharges a firearm at or in the direction of a person. Given the potential benefit of such information based on recent incidents, the accompanying publicity, and the current lack of representative data, it is anticipated that submission of such data to FDLE and then to the FBI will provide significant benefit at both the state and federal levels. However the current systems and processes cannot support the collection of this data from Florida agencies, or the submission of data to the FBI.

2. Information Technology Standards

The current system is based upon the standards and specifications provided by FBI CJIS, there are some deviations from the standard in use in Florida.

- UCR Summary data is provided by FDLE to the FBI based on the FBI UCR Summary Reporting Technical Specification, with some Florida-specific deviations.
- Summary data files uploaded by Florida agencies are based on an FDLE-defined flat-file specification derived from the FBI Summary Reporting Technical Specification.
- Hate crime data is provided by FDLE to the FBI using the FBI Hate Crime Technical Specification.
- Cargo theft data is provided by FDLE to the FBI using the FBI Cargo Theft Specification.
- Human trafficking data is provided by FDLE to the FBI using the FBI National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) specification.
- Employee count data is provided by FDLE to the FBI using a spreadsheet template provided by the FBI which produces a flat file per the FBI technical specification.

B. Current Hardware and/or Software Inventory

The current hardware and software systems were designed to support the UCR Summary reporting system, which only reports on a small set of data (originally designed more than a half century ago) and no longer meets new federal requirements and state needs for a significantly larger data set, collected more frequently, and analyzed and reported more thoroughly. The existing software cannot be upgraded to the new data standards being used in the law enforcement community, and the existing hardware is

inadequate to handle the new data sizes and processing power required to meet current and future law enforcement practices.

The current hardware is no longer under purchase or warranty coverage. Software has primarily been developed in-house over the years and is not covered by maintenance contracts. All production hardware is supported through maintenance contracts.

The current processes, hardware, and software must remain operational while the state transitions to NIBRS reporting. This will allow FDLE to continue to generate crime reports for Florida and submit summary data to the FBI until a sufficient number of state and local agencies have transitioned for the state to have representative incident-based data available.

UCR Web Application Architecture

The current UCR web application architecture is hosted at FDLE Information Technology Services (ITS) and consists of:

- Firewall protecting FDLE user access
- Firewall protecting UCR Admin/User access
- JBoss middle-ware enterprise application server
- F5 load balancer for FDLE users
- F5 load balancer for UCR Admin/Users
- Internet-accessible DMZ Windows server cluster (FDLE users)
- CJNET-accessible Windows server cluster (UCR Admin/Users)
- Web server architecture, including:
    - Presentation Layer – User Interface Components
    - Service Layer – Spring Beans
    - Database Layer – DAO Components
    - Application Layer – Java SE, SQL Server 2008/2014, Authentication and Authorization Framework (ASM)
- SQL Server Database, including
    - FDLE ASM
    - UCR Transactions on UCRDBWEB SQL server
    - UCR Report on UCRDB SQL server
    - UCR data tables are housed in SQL Server 2014; the database resides in a clustered 2 node environment; the OS for the 2 nodes are Windows 2012 R2.
- Reporter – SAS Reporting Application

Network connections from the FDLE users and state and local agency users (i.e., UCR Admin/User) to the FDLE site is either through the existing Internet connection or the Florida Criminal Justice Network (CJNET).

The system hardware of the current UCR summary system consists of legacy CPUs, memory, and internal data storage devices:

- Production System: 2 physical servers – each with 2 CPUs 4 Cores, 16 GB RAM, 150 GB internal storage.
- Testing System: 2 physical servers – each with 1 CPU 4 Cores, 8GB RAM, 150 GB internal storage.
- Development System: 2 virtual servers – 1 CPU, 2 Cores, 1 GB RAM, 50 GB on SAN

The current UCR system is backed up by Commvault (enterprise back-up system).

Current User Groups and RMS Applications

State and local agency users are from approximately 400 Florida law enforcement agencies and include:

- All Police departments (including all cities, counties, schools, colleges, universities, airports, beach patrols, etc.)
- All sheriff's offices (SO)
- The Florida Fish and Wildlife Conservation (FWC) Commission
- The Florida Department of Corrections Inspector General (IG) Office
- The Florida Department of Law Enforcement (FDLE)
- The Florida Highway Patrol (FHP)
- The Florida Department of Business and Professional Regulation Division of Alcoholic Beverages and Tobacco (DABT)
- The Florida Department of Financial Services Division of Insurance Fraud

FDLE surveyed of all agencies currently submitting UCR Summary data to the state to determine which agencies have an RMS, what RMS is used, what NIBRS data elements are collected, how many officers in the agency report incident data, whether the agency shares their RMS with any other agencies, the age of their hardware and software, and whether there are plans to update or replace the RMS hardware or software. Over 85% of the agencies (311) responded. Based on this data, there are at least 36 different commercial RMS products in use in Florida, seven (7) in-house RMS products, and 11 agencies that do not have an automated RMS. There are also approximately 18 RMS products, including both commercial and in-house systems, which are used by only one agency in the state. Details from that survey are shown below. Note that the numbers shown are from the survey and do not include every agency in the state.

The following commercial Records Management Systems (RMS) are being used throughout Florida:

Commercial RMS	# of agencies
ACISS Systems RMS	9
ARMS Records Management	2
AssetWorks BOSSCOPS	1
Beacon Software Solutions RMS	3
Caliber Public Safety Global Software	1
Capers Software RMS	1
Cohero CommandPoint RMS/AFR	1
Competitive Edge Software Report Exec	1
Computer Information Systems RMS	4
Crime Star RMS	1
Delphi Enterprises Code 3	3
eForce Software RMS	3

Executive Information Services RMS	7
Florida State Univ. TRACS	2
Hexagon Safety & Infrastructure I/LEADS	3
Informant Technologies Informant PS	1
Logisys Systems Data Trak	1
MobileTec International InMotion RMS	1
Motorola Solutions InfoTrak	1
Motorola Solutions PremierOne	3
Pamet RMS	1
Pulsiam SafetyNet RMS	1
QED Web/Partner	1
SmartCOP SmartRMS	42
Southern Software RMS	4
Spillman Flex	11
Sungard Naviline	3
Sungard ONESolution	52
TriTech Inform RMS	3
TriTech Tiburon Total Command RMS	26
TriTech VisionRMS	2
Tritier WinGS Direct RMS	2
Tyler New World Records Management	24
USA Software CrimeFile IMS	20
Versaterm Versadex	2

In addition to the above commercial RMS applications, the following Florida agencies have developed and support their own in-house RMS, with several of these agencies also providing RMS services to sister agencies:

In-House Developed	**# of agencies**
Bay County SO	5
FDLE/Capitol Police	1
Florida Department of Law Enforcement	1
Jacksonville SO	2
Palm Beach County SO	1

Seminole County SO	11
University of Central Florida PD	1

Current Agency Data Collection Practices

This section describes the process for collecting and recording incident data used by state and local agencies for crimes that occur within their jurisdiction. While details vary from agency to agency, the general process described here provides a high level, general view of the current process.

Citizen calls for service and officer dispatch are initiated through a staff of call takers, generally using a Computer Aided Dispatch (CAD) product that provides call information to an officer's Mobile Data Terminal (MDT). Officers input additional incident data into their MDT, which in general automatically populate the agency's RMS system. RMS systems currently used in the state are configured for Florida's UCR Summary data collection and submission and perform very limited, if any, data validations geared towards UCR Summary on the data entered by the officer. Incident data is generally reviewed by a supervisor to ensure it meets agency and UCR Summary business rules. Supervisors can approve the incident report or send it back to the officer for corrections; in some cases supervisors can make limited changes to the data themselves. Once the supervisor has approved the incident report, the report goes to records department staff, who also perform business rule checks and can also send a report back for corrections, and who may also be able to make some updates to the report themselves. UCR Summary data submissions are generated semi-annually by the agency, generally through the use of UCR Summary reporting capabilities built into the agency's RMS, and submitted to FDLE.

Note that some agencies do not have automated CAD systems and/or MDTs. Some agencies have a very limited automated RMS system, while some do not have an automated RMS system at all and rely on paper forms. These agencies generate UCR Summary data submissions manually and submit to FDLE through an online web form.

Most current vendor and some in-house developed RMS systems used in the state include NIBRS capabilities. In some cases, all NIBRS data elements are already included in the RMS database and displayed to the officers on their MDTs. However, NIBRS business rule data validation is not performed on input data since the state is not currently reporting NIBRS data. In other cases, the RMS database does not include all the NIBRS data elements. Therefore these agencies would need changes to their RMS database and to the screens displayed to officers on their MDTs.

C. Proposed Technical Solution

The current information technology environment supporting UCR Summary reporting is significantly different from the proposed environment required to support incident-based reporting. While the processes are comparable in some cases, incident-based reporting requires daily and monthly data collection, processing, and submission versus semi-annual data collection and submission for summary reporting. Keeping the current systems and processes in place indefinitely is not an option based on the FBI's plan to discontinue accepting summary data in January 2021.

The processing power and storage capacity required for the new FIBRS repository is much greater than the current summary system due to the larger number of data elements required for incident-based reporting, and because detailed information for each incident is reported rather than a statistical summary of the total data for six months or a year. It requires increased storage capacity plus the processing

power to manage the increased data handling and analysis. However, similar to the current system, the incident-based reporting system does not require real-time transaction processing for data collection or reporting. Although FDSP data requires much more timely data collection and data forwarding, it is still on a daily basis versus real-time. The proposed state-provided RMS system will also operate on a non-real-time basis, accounting for officers not having internet or cell phone connectivity for limited time periods. Therefore, the new system does not need to be able to handle peak loads without degrading response time; as long as data submissions can be consumed, processed, and passed along in a timely fashion, performance would be considered sufficient.

Hosting of FIBRS Repository
The FIBRS repository is the backbone storage and processing system and may consist of several machines hosting a database server, application server, web server, and associated network and software systems. The systems must be hosted at a secure site with redundant power supplies and must be protected from unauthorized access and environmental events.

State-provided RMS
FDLE intends to provide an RMS for agencies that do not have their own RMS, have an RMS that cannot be reasonably upgraded to support incident-based reporting, or that desire to use a state-supported RMS rather than maintain their own. The RMS must meet the requirements of the agencies that intend to use it and FDLE will develop requirements, evaluate candidate products, and make a final selection.

Hosting of State-provided RMS
The state-provided RMS will be the incident management system for Florida law enforcement agencies and may consist of several machines hosting a database server, application server, web server, and associated network and software systems. The systems must be hosted at a secure site with redundant power supplies and must be protected from unauthorized access and environmental events.

Develop FIBRS Repository In-House or Acquire Customized COTS FIBRS Repository
The FIBRS repository will be based on the NIBRS specification with customized functionality added to meet Florida requirements. The NIBRS specification is well documented. FDLE intends to write the additional FIBRS specification documentation that must be developed. The deployed FIBRS repository must meet the FIBRS specification as published by FDLE.

Develop State-provided RMS In-House or Acquire Customized COTS RMS
The state-provided RMS must meet the needs determined by FDLE. The RMS will be based on the NIBRS specification with customized functionality added to meet Florida's documented FIBRS requirements. The deployed RMS must meet the FIBRS specification as published by FDLE.

1. Technical Solution Alternatives

Based on the business process requirements and the recommended business solution as documented in section II.C – Proposed Business Process Requirements, a number of different aspects of the overall solution were reviewed as documented below.

Hosting of FIBRS Repository
The alternative implementations for the FIBRS repository are to host at the FDLE data center, or to use a repository hosted at a third-party site. Note that some repository vendors offer hosting, while others do not.

State-provided RMS
The alternative implementations are for the state to provide an RMS for agencies that do not have their own RMS, have an RMS that cannot be reasonably upgraded to support FIBRS incident-based reporting, or that desire to use a state-supported RMS rather than maintain their own.

Hosting of State-provided RMS
The alternatives for the state-provided RMS are to host at the FDLE data center, use a repository hosted at a vendor-site, or use an RMS that already exists at NLETS.

Develop FIBRS Repository In-House or Acquire Customized COTS FIBRS Repository
The alternatives are to develop the FIBRS repository at FDLE, or to acquire a COTS product and contract with the vendor to customize for Florida's needs.

Develop State-provided RMS In-House or Acquire Customized COTS RMS
The alternatives are to develop the state-provided RMS at FDLE, or to acquire a COTS product and contract with the vendor to customize for Florida's needs.

2. Rationale for Selection

FDLE applied several criteria to compare alternatives and recommend a solution that best meets the business and strategic needs of the agency, as well as state and local agency stakeholders. These criteria include:

- Impact to state and local agencies
- Impact to vendor and agency RMS systems
- Impact to FDLE IT services and systems
- Resource requirements
- Costs

3. Recommended Technical Solution

Hosting of FIBRS repository
FDLE will host the FIBRS repository at the FDLE data center.

While some vendors provide hosting support, many do not, and those that do only provide it as an alternative for states that do not have the data center support necessary. The time and cost required to ensure that a vendor-hosted repository meets state policy requirements makes a vendor-hosted solution more expensive than hosting at FDLE. A vendor would still have to acquire hardware upon which to host the repository given that there are few vendor-hosted state incident data repositories in the country. FDLE would also have to conduct periodic audits of the vendor site to ensure ongoing adherence to state and agency policy requirements since the site is not under the control of FDLE or a trusted organization such as NLETS.

The repository could also be hosted at a site such as NLETS if FDLE provided the hardware. But the installation of hardware and software at a remote site, and the management of such a remote system would make this solution more expensive and less secure than hosting at FDLE. FDLE already has the network, power, space, and support capabilities necessary to support the FIBRS repository without significant impact.

State-provided RMS

The state will provide a state-supported RMS in order to ensure that incident-based data is available from a sufficient number of jurisdictions in the state to provide representative data for crime statistics.

Some of the reasons for this are below.

- There are a number of agencies that do not have an RMS and manage incident data through paper forms. Without a state-provided RMS, those agencies would not be able to participate in FIBRS.
- There are a number of agencies that maintain incident data in local computer systems that cannot support data submission to FIBRS, or that have systems that cannot be upgraded to support any new requirements. Without a state-provided RMS, those would not be able to participate in FIBRS.
- Given the number of commercial and in-house developed RMS systems used by only one or two agencies, the cost of upgrading all those systems is quite high. Given the option of using a state-provided system, at least some of these agencies will switch to the state-provided RMS, saving the costs of upgrading their existing RMSs.
- For small and some medium-size agencies, the cost of maintaining the existing RMS is a strain on budgets, data centers, and support staff. By using a state-provide RMS, these agencies can liberate resources for other mission critical needs.

Hosting of State-provided RMS

FDLE will host the state-provided RMS at the FDLE data center.

While some vendors provide hosting support, most do not. The time and cost required to ensure that a vendor-hosted RMS meets state and agency policy requirements makes a vendor-hosted solution more expensive than hosting at FDLE. FDLE would also have to conduct periodic audits of the vendor site to ensure ongoing adherence to state and agency policy requirements since the site is not under the control of FDLE or a trusted organization such as NLETS.

NLETS provides a number of services for state and local jurisdictions across the country, so this facility has the necessary security and resources in place to meet Florida's needs. The NLETS-hosted RMS would not require the acquisition of hardware and software, but would incur an ongoing monthly or annual subscription fee per officer. An FDLE-hosted RMS would not have subscription fees, but would require initial expenditures for hardware and software as well as ongoing support and maintenance costs.

The final decision on whether to use the commercial RMS at NLETS or to host the state-provided RMS at FDLE will be determined based on evaluations performed by FDLE and agencies interested in using a state-provided RMS. Usability, functionality, support and cost will be the primary factors in determining which RMS to use, and the NLETS-hosted product is one of the candidates.

Develop FIBRS Repository In-House or Acquire Customized COTS FIBRS Repository

FDLE will acquire a vendor-customized COTS repository product for the FIBRS repository.

The market for a state-level incident-based repository consists of the 50 states; this is not a large number of COTS state-level repository products. In addition, some states have developed their own. Virtually every installed COTS repository has been customized to some degree to meet state requirements for additional data elements, business rules, code values, data export formats, etc. Therefore, all vendors are capable of, and have the expectation that any customer will require customizations to the base

product. Therefore in this realm, the customization of a COTS product is a standard approach. Vendors typically charge license, installation, and training fees for their base product plus any additional modules that are required, then charge an additional amount for customization. Ongoing maintenance fees cover the base product plus any customizations. Therefore, when the base product is updated to add features, improve usability, or to address any security issues, the vendor provides those changes to the customized products as well.

While the state-level repository is not as complex a product as an RMS, there is still a significant level of requirements analysis, design, and development. Given the number of data elements that are expected to be in the FIBRS repository, and the number of business rules that will be inherited from NIBRS and use of force, the repository would not be a small, simple project. Development of such a product from scratch in FDLE would be a significant undertaking requiring subject matter experts (SMEs), system engineers, business analysts, software developers, and technical writers. Developing a Florida-specific repository product from scratch would be an extremely complex and costly endeavor, and doing it while transitioning the entire state to incident-based reporting would be onerous. Therefore, development of the FIBRS repository at FDLE is not a practical alternative.

Develop State-provided RMS In-House or Acquire Customized COTS RMS
FDLE will acquire a vendor-customized COTS RMS product as the state-provided RMS.

There are dozens of COTS RMS products currently available since the market consists of every law enforcement agency in the country, if not the world. Virtually every installed product has been customized to some degree to meet state or agency requirements for additional data elements, business rules, code values, screen layout, etc. Therefore, all vendors are capable of, and have the expectation that any customer will require customizations to the base product. Therefore in this realm, the customization of a COTS product is a standard approach. Vendors typically charge license, installation, and training fees for their base product plus any additional modules that are required, then charge an additional amount for customization. Ongoing maintenance fees cover the base product plus any customizations. Therefore, when the base product is updated to add features, improve usability, or to address any security issues, the vendor provides those changes to the customized products as well.

Development of an RMS product entails a significant level of requirements analysis, design, and development. Complexities of a simple RMS product that can support an entire agency throughout the lifecycle of an incident from initial reporting to final disposition is a significant undertaking requiring subject matter experts (SMEs), system engineers, business analysts, software developers, and technical writers. Most existing RMS products have taken years to design, develop, and evolve into fully functional and usable products. Developing a Florida-specific RMS product from scratch would be an extremely complex and costly endeavor, and doing it while transitioning the entire state to incident-based reporting would be onerous. Therefore, development of a state-provided RMS at FDLE is not a practical alternative.

D. Proposed Solution Description

The proposed solution is to replace the current UCR Summary system with a new hybrid solution (i.e., Approach 4 as selected in Section II.C.4) that is geared toward meeting Florida's needs for NIBRS, FDSP, use of force, and the Florida-specific data elements required for hate crime and domestic violence reporting. The hybrid approach is intended to allow state and local agencies to submit a FIBRS message to FDLE, and FDLE will extract the data necessary to support data submissions to the FBI for NIBRS and the Use of Force, for Florida's state-wide crime statistics plus hate crime and domestic violence reporting,

and to FDSP repositories. FDLE could also submit data directly to the N-DEx program if desired.

The technical requirements are mapped to the corresponding business process requirement numbers shown in "Section II.C.1 – Business Process Requirements" of this document using the notation (BPR #X).

To meet these requirements, FDLE intends to implement a Florida Incident Based Reporting System (FIBRS) data repository to collect, store, and distribute incident based data from state and local agencies. (BPR #1)

Data collection will consist of the following types of data from state and local agencies in Florida:

1. Collect all NIBRS data elements on a monthly-basis or more frequently, for all NIBRS-reportable incidents and arrests. (BPR #2)
2. Collect all Florida-specific data elements (i.e. not in standard NIBRS) for hate crime and domestic violence on a monthly-basis or more frequently. (BPR #3)
3. Collect Use of Force data on a monthly basis or more frequently (BPR #4).
4. Collect FDSP data on a daily basis. (BPR #5)

Additional data collection consists of law enforcement agencies' employee count data, which is provided by FDLE to the FBI. FDLE will maintain a web-based survey form for the annual collection of data for the count of sworn and civilian employees at each agency (BPR #6). This data is formatted using a spreadsheet template provided by the FBI to produce a flat file per the FBI technical specification (BPR #29).

The following section describes the technical aspects of the collected information.

Data Contents Overview

The hybrid solution includes approximately 250 data elements, including all NIBRS, FDSP, Florida hate crime, Florida domestic violence, and use of force data elements.

The high level data constructs include: (BPR #2, #5)

- Address/location
- Event (incident, arrest, citation, booking, field contact, case record or CAD record)
- Image
- Narrative
- Offense/charge
- Pawn
- Person (including whether subject, victim, witness, etc.)
- Organization (including agency information)
- Phone number
- Vehicle
- Property (non-vehicle)
- Scars/marks/tattoos for a person
- Warrant
- Weapon

The hybrid solution's data contents are summarized below.

- Location information includes individual address elements such as street number, street name, city, and latitude and longitude. (BPR #5)
- Organization information includes organization name, organization type, and agency ORI code for law enforcement agencies. (BPR #2, #5)
- Person information includes both a full name and name separated into first/middle/last, date of birth, identifiers such as social security number, race, sex, ethnicity, and descriptors such as hair color, height, weight, etc. (BPR #5)
- Property information includes the identical set of property status values as in NIBRS, but property is organized by the piece of property as in the FDSP. (BPR #2, #5)
- Includes equivalents for all of the additional hate crime data fields that Florida currently collects. (BPR #3)
- Includes equivalents for all domestic violence offense codes and relationship types currently collected by Florida. (BPR #3)
- Includes equivalents for all use of force data elements. (BPR #4)

The hybrid approach provides the capability to include sensitive data in a data submission by including explicit dissemination criteria as defined by the N-DEx program. This allows accurate and complete NIBRS data to be extracted from the Florida FIBRS repository since sensitive data can be marked appropriately to restrict sharing (BPR #7). Data marked as sensitive can be used to generate NIBRS statistics, which do not include any personally identifiable information. Data marked as non-sensitive can be forwarded to the FDSP, which does not collect sensitive data. By leveraging the N-DEx data markings, the Florida system can potentially forward data to N-DEx with the appropriate markings for that system.

The design of the hybrid solution includes all data elements for the various data sets (i.e., NIBRS, FDSP, hate crime, domestic violence, etc.) that must be supported by Florida. Previously, these data sets were reported separately with numerous overlapping data elements. Some of the reporting was done manually by personnel at the agencies and at FDLE. These manual processes required extra work and increased chances for data entry errors. Therefore, one of the goals of the hybrid solution is to minimize the number of data sets and data submission processes that must be supported by state and local agencies (BPR #8) and this approach will also eliminate manual steps in the data submissions process (BPR #9).

This approach will define and implement business rules to ensure the data is consistent and of high quality, and will incorporate the required NIBRS business rules (BPR #16).

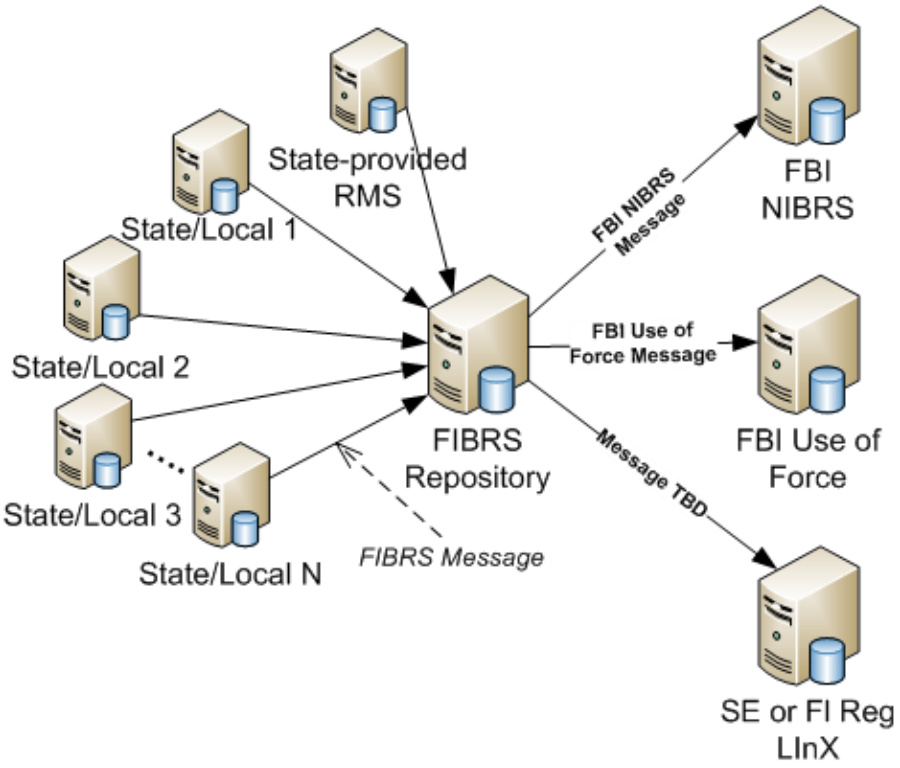
Data Submission

The hybrid data specification will be defined in the form of a National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD), which includes extensive information for mapping the hybrid data model to NIBRS. The hybrid data specification will extend the NIBRS data model so that existing RMS and repository vendor products, software tools, and documentation can be leveraged for implementation and interoperability. NIBRS and NIEM also provide a number of free-to-use tools that can be used by vendor and agency implementers for testing, to ensure conformance to the business rules, and to simplify development; these tools can be modified to support the Florida implementation rather than developing comparable tools from scratch.

Data will be submitted to the FDLE FIBRS repository (BPR #1) by state and local agencies. FIBRS will extract the raw data and generate the formatted data to submit incident data to NIBRS, investigative data

to the FDSP and incident data to Use of Force (BPR #18). During these steps, the data will be checked against all applicable business rules as well as any other data quality requirements. In case of data quality issues, the submitting agency will be notified so that errors can be corrected (BPR #17).

The data submission process is outlined in the conceptual diagram below. "State/Local" refers to state and local law enforcement agencies across Florida. They may send their data to the FIBRS repository located at FDLE, where data collection, validation, and state reporting will occur (BPR #14). Furthermore, data is submitted in various formats to other analytical and investigative law enforcement programs.



Administration and Data Functions

The FIBRS repository includes an application server and web interface to implement agency and user management, data upload, review, validation, and other miscellaneous administrative functions:

- Collect and store all incident data submitted by state and local agencies (BPR #1)
- Store state and local agencies, including their names, locations, ORI code, etc. (BPR #10)
- Store authorized agency FIBRS users (BPR #13)
- Store authorized FDLE FIBRS users (BPR #13)
- Add, delete, and edit users in the system; modify authorizations and privileges (BPR #13)
- Assign roles to users, such as Administrator, Reporting Agency Coordinator (RAC), Agency Data Approver (ADA), data entry, etc. (BPR #10, #11)
- Download and review the generated agency crime statistics by Reporting Agency Coordinator or Agency Data Approvers (BPR #19)
- Examine any data quality issues and allow Reporting Agency Coordinator or Agency Data Approvers to update the data (BPR #17)
- Approve agency data submission for submission to the FBI (BPR #21)
- Designate that agency data is not to be included in a data submission to the FBI (BPR #20)

- Track data submissions and approvals by individual agency; show status of progress, error correction, and approvals; provide reminders to agencies to complete their required tasks in a timely manner (BPR #22, BPR #23)
- Collect agency/jurisdiction population data to be used for statistical analysis in the annual Crime in Florida report and other reports (BPR #25)
- Accept UCR Summary data submissions from state and local agencies until FDLE determines that a sufficient number of agencies are submitting data to FIBRS (BPR #24)
- Generate state crime data and statistics (i.e., Crime in Florida report, etc.) to be published (BPR #30)
- Publish and disseminate state crime data and statistics to the public, media, and government officials (BPR #31)
- Provide training and support to the agencies' administrative personnel (RAC, ADA, etc.) in the use of the above functions (BPR #12)

1. Summary Description of Proposed System

There are two major components that are part of the planned approach: (a) the FIBRS system that receives data from agencies, stores and processes the data, and generates data submissions for transmission to other systems such as NIBRS at the FBI, and (b) a state-provided RMS for agencies that do not have their own RMS, have an RMS that cannot be reasonably upgraded to support incident-based reporting, or that desire to use a state-supported RMS rather than maintain their own.

System Type

FIBRS will be a data warehouse hosting all data submitted by state and local agencies to FDLE, and will include a machine-to-machine web service for agencies to upload data to FIBRS.

FIBRS will include an application server and web server, and potentially a database server, with a web-based interface to perform numerous administrative and managerial functions related to user management and data handling, as described above.

The state-provided RMS will be a data warehouse hosting all data submitted by officers at agencies using the RMS (BPR #15). Depending on the vendor selected, the RMS will consist of an applications server and web server, and potentially a database server.

Operating system, database management system, storage, programming language, etc. for both the FIBRS repository and state-provided RMS will be determined based on negotiation between FDLE and the vendor selected through a competitive procurement process.

Connectivity

FIBRS will interface with the FBI and FDSP systems over existing secure connections. FDLE personnel will connect to FIBRS over the FDLE intranet. State and local agency representatives will connect to the system over existing secure connection (CJNET) with the agencies.

The state-provided RMS will be accessible over a secure Internet connection to allow officers to enter data from incident locations as well as their offices. Officers will be able to enter data into their mobile data terminals (MDTs) or office computers for transmission to the RMS. In locations where Internet service is not available, the data will be stored on the MDT until Internet service is available, at which time the data will be transmitted. Agency supervisors and records management personnel will be able to review and approve data from their office computers. The RMS will submit data to FIBRS over a wired

connection at FDLE, if the RMS is hosted at FDLE. If the RMS is hosted at a location such as the International Justice and Public Safety Network (NLETS), the data will be transmitted over the available secure connection from the host site.

Security, Privacy, Confidentiality, Access

These standards will be the same as the current security standards used by FDLE.

Since FIBRS will contain personally identifiable information, data controls will be established to ensure that access to sensitive data is restricted to appropriate personnel, while allowing the data necessary for crime statistics reporting to be accessible by the Florida Statistical Analysis Center (FSAC).

Development and Procurement Approach

To realize the business solution, FDLE plans a competitive procurement process to acquire commercially available systems that can be customized to meet FDLE's business requirements. The contracted systems will include, but are not limited to:

- Commercial NIBRS repository
- Commercial RMS product
- Contracted services to upgrade local agencies' RMS products
- Computer hardware (e.g., servers, storage, and network)
- Commercial systems software (e.g., operating system, database management system, and application server platform)
- Project management services
- Software customization services
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)

Internal and External Interfaces

FIBRS will communicate with the following external systems:

- FBI NIBRS (outgoing) (BPR #26)
- Florida Southeastern FDSP (outgoing) (BPR #27)
- Florida Regional FDSP (outgoing) (BPR #27)
- FBI Use of Force (outgoing) (BPR #28)
- Florida state-provided RMS (incoming)
- All Florida state and local agency RMS systems (incoming)

The state-provided RMS will communicate with the following systems:

- FIBRS (outgoing)
- Officer MDTs at agencies using the RMS (incoming)
- Officer, supervisor, and records management personnel desktop systems (incoming)

Maturity and Life Expectancy of the Technology

FDLE intends to procure a vendor solution which is mature and used in other states. The systems will be updated by the vendor when upgrades are available for the underlying vendor product. The vendor solutions will be flexible to facilitate future changes and upgrades.

Other Systems to be Integrated With

The systems will interface with the systems indicated in the "Internal and External Interfaces" section above. These systems will not be tightly integrated since system-to-system data submissions will be accomplished via the transmission of data files through a web services interface. Agency and FDLE users will interface via web applications.

2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)

FIBRS will be hosted at the FDLE data center. The state-provided RMS may be hosted at the FDLE data center. The FDLE data center will provide hardware and software support for systems hosted there. Hardware requirements and whether the systems are hosted on virtual systems or dedicated hardware will be determined during negotiations with the selected vendor.

Anticipated total project costs are summarized in the table below:

Project Budget	Planned					
Cost Elements	Year 1	Year 2	Year 3	Year 4	Year 5	Totals
Staff						
State Staff	$980,059	$2,110,799	$2,110,799	$2,110,799	$2,110,799	$9,423,255
OPS	$0	$0	$0	$0	$0	$0
Expenses						
Project Deliverables	$600,000	$1,371,100	$1,271,100	$1,271,100	$1,271,100	$5,784,400
Software	$0	$0	$0	$0	$0	$0
Other Expenses	$121,127	$287,790	$214,962	$214,962	$214,962	$1,053,803
OCO	$415,000	$225,000	$0	$0	$500,000	$1,140,000
Contract Services						
Contract Staff	$755,200	$755,200	$755,200	$755,200	$0	$3,020,800
Project Deliverables	$0	$79,000	$79,000	$41,000	$41,000	$240,000
Maintenance	$0	$205,665	$190,665	$190,665	$190,665	$777,660
Other IT Services	$115,000	$115,000	$115,000	$115,000	$115,000	$575,000
Other	$0	$6,386,000	$6,311,000	$141,000	$141,000	$12,979,000
Total	**$2,986,386**	**$11,535,554**	**$11,047,726**	**$4,839,726**	**$4,584,526**	**$34,993,918**

E. Capacity Planning

(historical and current trends versus projected requirements)

The overall process of the planned system includes agencies processing and submitting data to FDLE as well as FDLE processing and analyzing data for internal and public use and subsequently submitting data to the FBI. However, for the purposes of this section, only components under the control of FDLE are included since agency RMS systems already collect and store incident data and the transition to incident-based reporting by FDLE does not significantly impact agency RMS system capacities or capabilities.

There are two major components that are part of the planned approach:

1. The FIBRS repository that receives data from agencies, stores and processes the data, and generates data submissions for transmission to other systems such as FBI NIBRS, and
2. A state-provided RMS system for agencies that do not have their own RMS or that desire to use a state-supported RMS rather than maintaining their own.

Each of these major components is covered separately below.

Historical and Current Information

FIBRS

Current data submission transactions from state and local agencies are limited due to the restrictive design of the UCR Summary data collection. Most data is submitted twice per year, with some data only collected once per year. Limited data is submitted more frequently; in 2016 this data consisted of fewer than 300 reports. UCR Summary data reporting was originally designed more than a half century ago to be suitable for paper reporting and has not been significantly updated since then. The data is statistical in nature so the size of the data sets and the number of records is relatively small by modern standards. The number of agencies submitting data directly to FDLE is approximately 400. Therefore data capacity, network bandwidth, and processing power requirements are currently low.

State-provided RMS

The state does not currently provide such a service.

Projected Requirements

FIBRS

The required transition from a UCR Summary statistical reporting process to a FIBRS incident-based process means that data set size will increase significantly, and the frequency of data submissions will go from semi-annual to daily and monthly. Therefore, the historical capacity and capabilities of the existing hardware, software, and network do not provide a foundation for determining projected requirements. However the information available regarding the number of agencies and number of incidents does provide input into projected requirements.

The inclusion of FDSP data that will be forwarded to the FDSP repository(ies) means that FIBRS must be capable of receiving, processing, and transmitting data on a daily basis. When errors or other issues are identified in submitted data, or when additional information regarding an incident becomes available, an agency can update and then resubmit the data to FDLE, meaning that some incident data may be submitted multiple times.

The transition from UCR Summary to NIBRS for statistical analysis of incident data will increase reporting frequency from twice annually to monthly, with a significantly larger data set requiring application of a complex business rule set to enforce much higher data quality. Additionally, NIBRS supports more frequent reporting than monthly, so some agencies may report weekly or by any other desired schedule.

While the actual capacity planning can only be done after the detailed design of the system is completed, some generalizations can be made.

- Over 600,000 offenses were reported during the previous annual reporting cycle, for an average of almost 1,700 per day or 50,000 per month.
- Some incidents may be submitted more than once either due to the availability of additional data or to make corrections and/or updates to an earlier submission. Assuming ten percent (10%) are resubmitted, the average number of incidents submitted would increase to over 1,800 per day or 55,000 per month.
- All incident data is expected to be retained indefinitely.
- Original data submission files will be retained indefinitely.

- While there is not an expectation that agencies will submit historical (i.e., pre-FIBRS) data to FIBRS, some agencies may submit all data that has not previously been submitted, which would include historical data.
- Some agencies may submit data weekly or monthly rather than daily, requiring greater capacity to handle larger data files. It is expected that these larger file submissions would occur over a short period of time at the beginning of the month, increasing the maximum capacity required to accept data submissions.

In addition to the primary FIBRS system, a back-up system must also be acquired, so operations can continue if the primary system is down for a period of time. While FIBRS will forward incident data on a daily basis to FDSP, a slowdown or short delay in submitting data to FDSP is not catastrophic. Data submissions to the FBI for NIBRS and Use of Force will occur monthly; a slowdown or short delay in submitting this data does not create issues with these programs. This means that FIBRS does not require a redundant system to be running in parallel for immediate switchover, so the back-up system can be a passive back-up activated as necessary, with the current data available to the back-up. Additionally, the back-up hardware for FIBRS does not need to have the processing or network capacity of the primary system, although the back-up system should have equivalent storage capacity.

State-provided RMS

Based on the online survey conducted by FDLE, it appears that fewer than 15 agencies currently lack an RMS, totaling fewer than 600 officers. However, it is anticipated that as many as 100 small and medium agencies totaling as many as 4,000 officers may switch to a state-provided RMS in order to upgrade to a modern system, simplify operations, and lower costs. Therefore, the hardware must be sufficient to support the larger user base. While the details will depend on the user pricing model of the selected product, licensing and upgrades must support adding additional users as new agencies come online. RMS software licensing prices and capacity requirements are driven by the number of officers and agencies rather than the number or frequency of incident data collected. Therefore, detailed estimates for the number of incidents, transaction frequency, peak transactions, etc., are not required.

A large percentage of the data elements that must be supported by the FIBRS RMS are already included in all basic RMS products. Additional system processing and storage capacity required to support data elements that are not already part of the “base” RMS will be determined during negotiations with the selected vendor, but are expected to be minimal.

In addition to the primary state-provided RMS system, a back-up system must also be acquired so operations can continue if the primary system is down for a period of time. Since the RMS is used in real-time by officers, data entry and access responsiveness for the back-up system must be equivalent to that of the primary system, requiring the back-up system to have equivalent processing power, networking capacity, and storage capacity as the primary system. Even though the RMS system will be used operationally by officers in the field, a redundant system is not required, so the back-up system can be a passive back-up activated as necessary, although the current data will have to be available to the back-up.

VII. Schedule IV-B Project Management Planning

Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity.

FDLE will prepare a Project Management Plan. This plan will include:

Project Scope

The scope of this project is to design, develop and deploy processes and systems for Florida to collect and process incident-based crime data from participating local and state criminal justice agencies and provide the data to national programs. In addition, build and administer an IT infrastructure to support new applications and projected expansion and data storage needs related to the management of crime data.

FDLE's primary objectives for this project are to:

- Continue to assess the current status of all local and state law enforcement agencies to provide incident-based crime data to the state's UCR program
- Handle the increased burden to the state's UCR program for accepting incident-based data from participating agencies
- Determine the technical capacity for the state's UCR program to support incident-based crime data submitted to the state
- Obtain additional staffing for FDLE needed during the transition period required to implement an incident-based reporting(IBR) program including the institutionalization of new functions required as part of establishing the new IBR program
- Hire and train the training staff that will need during the transition period and after
- Overcome obstacles to enable the reporting of NIBRS-compliant data to the FBI
- Collaborate with the NCS-X Implementation team, using their technical assistance and expertise in areas such as outreach to stakeholders, project management guidance, and the development of the capabilities and products
- Develop a technical specification for IBR in Florida that supports the needs of NIBRS, Use of Force, FDSP, and any additional data required by Florida for hate crime and domestic violence reporting in the state
- Acquire a state repository for the incident-based crime data that can extract and submit data to NIBRS, Use of Force and FDSP
- Acquire a state-provided RMS system for use by agencies that do not have an RMS, or have an RMS that cannot reasonably be updated to support Florida's IBR needs
- Assist state and local agencies to upgrade their RMS systems to support Florida's IBR needs
- Coordinate public awareness communications and project strategies with Sheriffs' Association, Police Chiefs' Association and Criminal and Juvenile Justice Information Services Council
- Provide training and technical assistance to state and local agencies in the transition, upgrades, and/or modifications to local systems or business processes

Project Phasing Plan

This project consists of three high-level phases: detailed planning, procurement/contracting, and implementation and deployment. Given the number of state and local agencies that will interface to the FIBRS repository, and the number of initial and future agencies that are anticipated to use the state-provided RMS, the overall timeframe for this project is relatively long. In addition, FDLE needs to have

systems in place and at least a partial set of agencies reporting NIBRS data by the time the FBI stops accepting UCR Summary data in January 2021. Therefore, all phases of the project will overlap so at least partial functionality is in place by then.

Phase 1 - Detailed Planning

The detailed planning phase involves designing and developing the FIBRS technical specification and technical requirements, assembling the project team, and establishing mechanisms for FDLE to collaborate with state and local law enforcement agencies and with vendors. The technical specification and technical requirements documentation will be provided to state and local agencies that have developed their own RMSs to gain their feedback. FDLE will identify agencies that are interested in using the state-provided RMS to assemble a working group to review requirements defined by FDLE and to review product offerings. During this phase, FDLE will also continue to collect and update information collected during readiness assessments to fill in missing information and to make updates as agencies change their RMSs.

Phase 2 - Contracting

This phase of project will include obtaining funding and statutory approvals to move forward with procurement process. The specifications and requirements developed during the detailed planning phase will be used to develop competitive procurements (Invitation to Negotiate (ITNs)) for both the FIBRS repository and state-provided RMS. FDLE will procure a vendor(s) commercial product for FIBRS repository and state-provided RMS.

Phase 3 - Implementation and Deployment

The implementation and deployment phase starts as soon as the technical specification and requirements are available since agencies and vendors can begin efforts to upgrade their existing RMS products. In addition, FDLE can start development of a test plan and various documentation and software tools to simplify development and testing of products. Once the procurement/contracting phase is complete, vendors can start customizations to the products that will be used for the FIBRS repository and state-provided RMS.

FDLE will work with agencies and vendors to determine the first set of vendor and in-house RMS products to upgrade, and FDLE will provide technical assistance to those agencies and vendors to aid with the rapid adjustment, to answer questions, and to provide support to ensure a successful upgrade and deployment. FDLE will focus primarily, but not exclusively, on agencies that are part of the NCS-X sample agencies that the FBI needs to be able to generate accurate nationwide NIBRS crime statistics. Once the first set of RMS upgrades is well underway, FDLE will start work with additional vendors and agencies. FDLE will work with the FIBRS repository and state-provided RMS vendors to provide similar technical assistance. FDLE will also work with the state-provided RMS vendor to interface the RMS to the FIBRS repository.

Once the state-provided RMS is deployed, FDLE will work with an initial set of agencies to onboard them to the RMS. FDLE will focus primarily, but not exclusively, on agencies that are part of the NCS-X sample agencies that the FBI needs to be able to generate accurate nationwide NIBRS crime statistics. Once the initial set is operational, additional agencies will be brought onboard with the state-provided RMS.

During this phase, FDLE will also work with the NCS-X Implementation Team and FBI NIBRS programs

to start submitting data to NIBRS. FDLE will work with the FBI to submit data to the Use of Force repository once the FBI's system is ready to accept data. FDLE will coordinate with the state FDSP repositories to forward appropriate data to FDSP. Work will be done on an agency-by-agency approach as agencies submit data to FIBRS.

Toward the end of this phase, the FIBRS repository and state-provided RMS will have been deployed for approximately two years. While it is anticipated that FDLE will still be bringing agencies online with both the FIBRS repository and the state-provided RMS, the number of agencies being brought online will have slowed. However, by this time, desirable additional features or requirements may have been identified, technology advances may be available that would improve the process and related systems, user requests may have been received, new features may be available in the various products, etc. Therefore it is anticipated that a round of feature enhancements and technology refreshes will be beneficial to improve services, stay current with technology, and continue to improve the overall process. These enhancements and refreshes will be conducted in parallel to any ongoing work to bring agencies online with the FIBRS repository and the state-provided RMS. In addition to defining operational processes and procedures, FDLE will retire and decommission outdated business process, tools, methods, and functions that no longer add value FIBRS process.

Baseline Schedule

A baseline scheduled can be found in Appendix G. A more detailed baseline schedule will be prepared after a contract is established with FIBRS and RMS vendors

Project Organization

[define in narrative and chart formats the project's governance structure, to include the sponsor, executive steering committee, oversight entities, and project management and implementation teams]

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

The FIBRS Project organization consists of the Project Steering Committee (PSC), the Project Manager, and the Project Team. FDLE SME's and a number of other groups provide additional support. Each group performs a particular role for the project and is comprised of members of ITS, CJIS, and FDLE leadership.

FDLE Executive Leadership

The Executive Leadership consists of the Assistant Commissioner (Public Safety Services), Director of CJIS (also the project sponsor), Special Agent in Charge (SAC) of Office of Statewide Investigative Services and the Chief Information Officer (CIO). The CJIS Director and CIO report to the Assistant Commissioner of Public Safety Services. The SAC reports to the Assistant Commissioner of Investigations and Forensic Sciences. The Executive Leadership provides guidance on project decisions that impact scope, schedule and budget.

FDLE Project Steering Committee

The PSC monitors and resolves risks and issues, and provides direction to the PM for the day-to-

day operations, to minimize impact to project scope, schedule, and budget.

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

A status report is prepared for each meeting and is distributed to each attendee. The member of the PSC will be represented by the following organizations:

- Florida Sheriffs Association
- Florida Police Chiefs Association
- State Law Enforcement Agency
- Florida Attorney General's Office
- FDLE - Information Technology Services
- FDLE - Criminal Justice Information Services
- FDLE - Investigations and Forensic Sciences

Project Manager

The PM is responsible for the overall management and coordination of the work effort and successful completion of the FIBRS project. The PM monitors the day-to-day status of project team efforts. This includes establishing and maintaining the project management plan, assigning, directing, and monitoring the work of project staff, serving as FDLE's primary point of contact for the prime contractor, managing issues and risks, monitoring and reporting project status, and reviewing contract deliverables prior to delivery to the PSC for approval.

Project Team

The FIBRS Project Team consists of a core group of FDLE members responsible for the day-to-day tasks associated with the project. This team will be comprised largely of members of Criminal Justice Information Services, Information Technology Services and any other positions (FTE or Contract) deemed necessary for the successful completion of the project.

Contract Manager

As a member of the Project Team, the Contract Manager is responsible for gathering the necessary information for developing the SOW and other contracting vehicles, monitoring the award of those contracts, ensuring performance delivery as required by the contract and closing out contracts when the tasks are completed. The Contract Manager works closely with FDLE contract and legal members to ensure that all work is accomplished within State and FDLE contracting rules and guidelines. The Contract Manager will coordinate budget issues and maintain awareness of all expenditures and accounts payable.

FDLE Implementation and Transition Unit (ITU)

Workgroups will assist the Project Team in ensuring that the FIBRS project meets the operational needs. SMEs, representatives from business operations, and IT will be assigned to the project. FDLE is requesting a total of 27 additional state positions; nine in FY2018-2019 to serve as the FIBRS ITU and a remaining 18 positions as the system is implemented for auditing and training purposes. Business staff consisting of management, Criminal Justice Information Consultants,

Government Analyst, Criminal Justice Information Analysts and Operations Review Specialist will be assembled to improve the collection and reporting of criminal data through the state's FIBRS repository and RMS. The unit will be responsible for implementation and transition of external agencies to the new system, as well as for stakeholder and customer communication, education/training, preparation and readiness for the new technology. They will evaluate existing policies and determine whether modifications are needed, or if new policies need to be created, to mitigate privacy or other risks related to new services and business processes.

The ITU will serve as the conduit through which user community stakeholders and program personnel communicate, ensuring the resulting services are compliant with the mission. This includes policy identification/coordination for new services, questions for the record, and public inquires. This project will require extensive coordination with loyal agencies as they make modifications to their systems to become compliant with state specifications.

Quality Assurance Plan

[describe the agency's approach to quality measurement and control. Tools may include a deliverable acceptance plan, phase gate process, project change/contract management plan, status reporting, testing plans, and independent verification & validation (IV & V)]

The focus of the quality management process is to build effective processes that enable the production of high quality deliverables that meet the specified business requirements. The qualify management procedure consists of two principal processes: Quality Assurance (QA) and Quality Control (QC).

Quality Assurance

QA is the practice of adhering to planned, established and systematic approaches designed to ensure the high caliber of the deliverables and the detection and correction of any errors. It provides information about a common set of guidelines and standards to be applied by the Project Team. The primary aspect of a QA review is to ensure that the processes established for the project are being followed. If new processes are required, a group will be formed to establish the quality procedure. The benefits of following quality assurance processes include the following:

- Improved communication
- Improved planning and requirement gathering/definition processes
- Improved development process
- Improved product quality
- Better criteria for hardware and software testing
- Easier transition to production for hardware and software

The most effective QA activity is a formal QA review. The Project Team will conduct these reviews of project processes. Using results generated by this review, the PM will direct follow-up actions to ensure that the project uses sound processes. Additionally the ESC will advise the PM of any observed deficiencies in processes and the PM will take corrective action to resolve the deficiency in the future.

Quality Control

QC activities are those focused on the inspection and/or testing of the deliverable produced. The QC Team will verify that the deliverables are of acceptable quality and that they are technically

accurate. QC is the responsibility of the Project Team and the PM or Task Lead responsible for a deliverable. The PM will monitor the activities associated with the acceptance of deliverables. QC is conducted before a deliverable is submitted as final to be approved by the PM. The Project Manager is responsible for developing and maintaining a Quality Plan. The Quality Plan will document major deliverables of the project, completeness and correctness criteria, quality control activities and quality assurance activities.

Topics Addressed in the Quality Plan:

Quality Control activities associated with project deliverables:

- Document Deliverables
- Hardware and Software Deliverables
- Service Deliverables

Quality Assurance activities:

- QA processes (Requirements Traceability, Testing, Data Migration, etc.)
- Responsibility for QA processes

Quality Metrics for the project such as:

- Customer Satisfaction
- IT Satisfaction
- Vendor Satisfaction
- Changes in Scope
- Changes to Schedule
- Changes in Cost
- Number and Type of Issues
- Number and Type of Defects
- Preparedness of customer to assume production responsibilities
- Preparedness of IT to assume production responsibilities
- Solution “Fitness for Use”

System testing and operational acceptance testing will be the primary QC processes used to assure that deliverables meet FDLE’s documented requirements. System testing will involve specific testing and measurement at a technical level to verify compatibility, usability, performance, accuracy, and content of results.

External Project Oversight

Criminal and Juvenile Justice Information Systems Council (CJJIS)
The CJJIS Council was created by section 943.08, F.S., with the purpose to develop and implement a statewide strategy for identification, sharing, and coordination of criminal and juvenile justice data among federal, state and local criminal justice agencies. The Council is comprised by 14 members, consisting of representatives from the Attorney General, State Attorneys, Department of Law Enforcement, Department of Corrections, Parole Commission, Department of Juvenile Justice, Department of Highway Safety and Motor Vehicles, Public Defenders and the Office of State Court Administrators. The Governor of Florida appoints two sheriffs, two police chiefs, and one clerk of court to the Council. With this broad representation of the criminal justice community, all issues receive a full and fair hearing from all perspectives.

Pursuant to Rule 74-1.009 F.A.C., this project will include the contracting of an independent verification and validation vendor to provide additional project oversight.

Change Management

Change management occurs throughout the lifecycle of the project. A change can be related to any facet of the project – scope creep, schedule revision, funding / cost changes, team / resource changes, issues and risks, etc.

If the change is minor, the PM may determine that the change can be met within current project parameters and the formal change process is not necessary. If the change could impact requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the PM (or team member assigned) will fully research the impact of the project change and formulate a resolution. The PM will complete a formal Project Change Request form and present the change to the Project Steering Committee.

The Project Steering Committee will determine if the proposed change should be approved. Members of the Project Steering Committee will signify approval or disapproval of a proposed project change by signing the Project Change Request form.

The PM and/or Project Steering Committee may consult with FDLE Executive Management if the proposed change significantly alters requirements, deliverables, payment schedule, cost, or completion date of a major milestone. FDLE Executive Management will determine if the proposed change should be approved.

If the Project Steering Committee or FDLE Management determines that the approved project change will require a Contract Amendment, the PM will work with the vendor to prepare the Contract Amendment for the PSC's review and approval. The contract amendment will then be processed according to FDLE contract procedures.

Communications Plan

The PM will develop a Communications Plan to provide a framework for addressing change management with customers. The Communications Plan outlines a comprehensive strategy of both communicating project and process change information to the FIBRS customer base and others affected by the project as well as receiving and processing input/feedback from customers and others. The Communication Plan identifies communication strategies which will be used to target the different audience groups (users, stakeholders, advisors, media, decision-makers, etc.) via an assortment of communication methods (Internet and email, formal and informal documents, multi-media presentations, and face-to-face meetings). This document serves as the core of the FIBRS change management effort and will be updated throughout the life of the project.

Effective communication and outreach, both internal and external to FDLE is critical to the overall new repository and statewide RMS during the design, development and implementation phase of the project and to ensure increased understanding, involvement, and buy-in from all stakeholders. The objectives of the Communications Plan include the following:

- To ensure that target audiences are aware of and understand the purpose and mission of FDLE, particularly as it relates to crime statistics reporting, understand the rationale for development of a new system, and know what will and what will not change as a result of this project.

- To ensure that all audiences and stakeholder groups recognize the benefits of an updated reporting method, and how it will help organizations achieve their criminal justice objectives.
- To provide information to external customers on how implementation of the updated FIBRS may affect current and future work processes and what will be done to mitigate any perceived negative effects, address and clarify any unrealistic user expectations, and achieve "buy-in" from the internal and external user community.
- To maintain a dynamic and proactive communications campaign, in which information is updated and continuously provided for the benefit of the entire user community, and to establish a culture in which feedback is encouraged and is gathered and evaluated to ensure that project objectives will be met and project goals achieved.

The Project Manager is responsible for developing and maintaining a Communication Management Plan. This plan will document how and in what format information will be communicated, when and where communication will be made, and who is responsible for providing each type of communication.

Topics included in the Communication Management Plan:

1. Target Audience - Identification of all possible audience groups in as much detail as possible:
   - Specific stakeholder groups (Police Departments, Sheriff's Offices, etc.)
   - Project Team
   - Project Steering Committee
   - FDLE management
   - FDLE customers
   - Legislature
   - Oversight agencies

2. Communication Method Communications may be formal, such as status reports, Operational Work Plans, newsletters, and quarterly meetings or informal such as notices or announcements through email or website. Communications may also be in written form or face-to-face. Examples include such things as:
   - Status reports
   - Operational Work Plans
   - Stakeholder /customer surveys
   - Project newsletters
   - Pamphlets
   - Project website
   - Ad Hoc notices
   - Project Steering Committee meetings
   - Project Team meetings
   - FDLE Executive Management briefs

3. Method of Delivery - Methods of delivery could be such things as:
   - Emails
   - Presentations

- Reports
- Website
- Documents (electronic or paper)
- Meetings

4. Frequency

Some communications could be set at regular intervals such as meetings or reports required annually, quarterly, biweekly, etc. or upon specific project milestone or phase timelines according to project needs. Some communication could also be random and event-specific such as notices dealing with specific issues.

5. Responsibility

Each type of communication must be assigned to the PM or a specific member of the Project Team.

Risk Management

[describe the agency's process for identifying, documenting, and mitigating project issues and risks]

The selected vendor(s) will provide a Risk Management Plan that describes the plan to manage risks throughout the life of the project. A risk refers to future conditions or circumstances, which will have an adverse impact on the project if they occur, that exist outside of the control of FDLE or the Project Team. In other words, a risk is a potential future problem. Risk management is performed continually over the life of the project. Risk management includes the following:

Step 1: Identify major risks to project success
Step 2: Assess the potential impact of each risk and its probability of occurrence
Step 3: Determine appropriate contingency plans
Step 4: Determine the acceptable level of tolerance for each risk
Step 5: Specify mitigation strategies to be implemented for critical risks
Step 6: Periodically review the effectiveness of mitigation strategies and identify any new risks.

Risk identification occurs throughout the life of the project. Any project stakeholder, Project Team member, customer or contractor can submit a risk at any time. A risk mitigation session is conducted at the start of each build or phase. The PM will manage the FDLE risk documents which one of the artifacts maintained throughout the life of the project. Distribution of the risk document will be agreed upon between the FDLE and the vendor PM at the beginning of the engagement. The risk document will be an electronic document and available to the Project Team at all times during the project.

The PM (in consultation with the PSC) evaluates the risk and recommends a risk level. The risk level is used to set the priority of the risk and determine how risks should be addressed.

Risk management includes an ongoing cycle of risk identification, analysis and monitoring. FDLE uses TenStep to perform risk management. Each risk with a risk level of medium or high is evaluated to determine if the impact is severe enough that a risk mitigation plan should be created. If a risk mitigation plan is required, the risk is investigated to determine whether or not the resolution of a risk causes the budget, personnel, scope or schedule to change. In the event a risk mitigation plan must be exercised, project change control processes will be used (if necessary) and activities associated with the risk

mitigation plan will be added to the Project Schedule to ensure the work is completed. The PM monitors all risk mitigation plans to ensure they are being executed successfully.

Implementation Plan

One of the most important goals of the entire implementation plan is to ensure that state and local agencies do not have to bear the cost of the transition to incident-based reporting. Therefore, significant assistance will be provided to agencies and vendors to educate them on the new specifications, and to simplify development, testing, deployment, and training. FDLE will provide funding to agencies to upgrade their vendor or in-house RMS products, to deploy the upgraded versions, and to train-the-trainer for these products. FDLE will also provide tools and software so vendors and agencies do not have to duplicate each other's efforts. This assistance is part of all aspects of the implementation plan described below.

As noted previously, there are two major components that are part of the planned approach: the FIBRS repository and the state-provided RMS system for agencies that do not have their own RMS or that desire to use a state-supported RMS rather than maintaining their own. Both systems will be based upon a FIBRS technical specification that is geared towards meeting Florida's needs for NIBRS, FDSP, use of force, and the Florida-specific data elements required for hate crime and domestic violence reporting.

At the highest level, the implementation plan consists of the following:

- Develop and publish the technical specification,
- Acquire, customize, and deploy a commercial customized repository and a customized RMS system to meet FDLE's business requirements,
- Update existing RMS systems in use by state and local agencies to adhere to the technical specification,
- Test with agencies to work with the FIBRS repository,
- Test with agencies to submit NIBRS and use of force data to the FBI,
- Forward FDSP data to the state FDSP system, and
- Retire the existing UCR Summary systems.

FDLE will develop the FIBRS technical specification using the existing FBI NIBRS specification as the foundation. This specification will include complete documentation, data elements listings, diagrams, and sample data submission messages. FDLE will also establish a developer portal where vendors and agencies can download the technical specification, access documentation and software/tools, ask questions, and request assistance.

FDLE will develop and release an competitive procurement to all interested vendors for both the FIBRS repository and the state-provided RMS. The RFI will include the technical specification so that vendors have complete technical information on the data to be submitted and/or stored, and they will be able to review the specification and provide feedback on errors or potential places of improvement. The technical specification will also be released to agencies that have developed their own RMS so they can review the specification and provide feedback.

Vendors will be able to provide information on their solutions, and vendors and agencies will provide feedback on the technical specification. Feedback on the technical specification will be used to revise the technical specification, if necessary.

Based on the results of the RFI, FDLE will undertake a competitive procurement process Intent to Negotiate (ITN) to acquire the FIBRS repository and state-provided RMS. Depending on the results of the ITN, FDLE may acquire both products from the same vendor, or from different vendors.

Once the procurement contract is in place for the FIBRS repository and state-provided RMS, the vendor(s) will modify their products to meet FDLE's needs, including:

- Conformance to the FIBRS technical specification for data coming into FIBRS,
- Conformance to the FBI NIBRS and Use of Force technical specification for data going from FIBRS to the FBI,
- Ability to submit data to the FDSP repositories in the state, and
- Adherence to the business process requirements and the functional and technical requirements defined by FDLE.

FDLE intends to establish a small working group of agencies interested in using the state-provided RMS to assist in the selection of the RMS. This group will help to establish requirements, review information on available products, participate in demonstrations, and rate the products under consideration.

In parallel with the acquisition, customization, and deployment of the FIBRS repository and state-provided RMS, FDLE will work with vendors and agencies to update their RMS products to conform to the FIBRS technical specification. For each vendor RMS product currently in use, FDLE will work with the vendor and agencies to identify a single agency to conduct testing for that product. Initial efforts will focus on vendor and in-house RMS products in use by sample agencies identified by the NCS-X project. FDLE will provide technical assistance to vendors and agencies regarding the various specifications and requirements to simplify implementation and to ensure interoperability. FDLE will start with a small set of RMS products and the selected test agency to educate and support the vendor and agency. As vendors and agencies make progress and need reduced technical assistance, FDLE will start to provide assistance to additional vendors and agencies. Given the number of different RMS products in use in the state, the upgrade process will be a multi-year undertaking and is expected to continue beyond January 1, 2021, when the FBI is scheduled to cease accepting UCR Summary data.

As noted previously, FDLE will provide funding to agencies to upgrade their vendor or in-house RMS products, to deploy the upgraded versions, and to train-the-trainer for these products. These upgrades will be prioritized as shown below. Note that all upgrades are dependent on the readiness of agencies and vendors to perform and use the upgraded RMS products. Some agencies and their vendors that are ready to start the upgrade process may move up the priority list over agencies and/or vendors that are not yet ready.

1. Upgrade NCS-X sample agencies to FIBRS.
2. Upgrade other agencies that use the same vendors as the NCS-X sample agencies.
3. Upgrade remaining large population agencies.
4. Upgrade remaining agencies that utilize RMS products used by multiple agencies.
5. Upgrade remaining agencies that utilize RMS products used by a single agency.

Once the FIBRS repository is deployed, each agency will test their vendor, in-house, or state-provided RMS product for interoperability for FIBRS data submission. Once FIBRS interoperability is achieved, the agency will work with FDLE and the FBI to be NIBRS and Use of Force operational.

FDLE will work with agencies and vendors to ensure that FDSP data is properly submitted to FIBRS and

forwarded as appropriate to the state FDSP repositories; there is no certification process for FDSP.

As noted previously, FDLE conducted an online survey which collected extensive information on what RMS systems are currently in use in the state. FDLE will continue to follow-up with agencies and vendors to ensure that there is accurate information on products and agencies using them, as well as to identify agencies that are interested in using the state-supplied RMS either because they do not have an RMS or would prefer to use a state-provided system. For products in use by only a few agencies, the state may also realize cost savings by encouraging agencies to switch to the state-provided RMS rather than paying the cost of upgrading the vendor's RMS system.

FDLE will continue to accept UCR Summary data during the transition to incident-based reporting. For agencies that have transitioned to FIBRS, FDLE will convert NIBRS data to the UCR Summary format to allow for comparison of statistical reports to previous years. The agencies will be able to compare their NIBRS crime numbers with what their data would have looked like if they were still submitting according to UCR Summary guidelines FDLE will generate state crime statistics using these converted UCR Summary statistics combined with UCR Summary data from agencies that have not made the transition until FDLE determines sufficient state and local agencies have transitioned for the state to have representative incident-based data available. Once a sufficient number of agencies have made the transition, FDLE will decommission the UCR Summary systems currently in use.

VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Appendix A – Acronyms and Definitions

Appendix B – Information Technology Standards

Appendix C – FBI Effects of NIBRS on Crime Statistics

Appendix D – FBI Notification of transition to IBR

Appendix E – Current System Operational Cost

Appendix F – Project Cost Estimate

Appendix G – Project Schedule

Appendix H – Cost-Benefit Analysis Worksheets

Appendix I – Risk Assessment Worksheets

Appendix A – Acronyms and Definitions

Abbreviation / Acronym	Description
ADA	Agency Data Approver
ASM	Application Security Module
BEBR	Bureau of Economic and Business Research at the University of Florida
BJS	Bureau of Justice Statistics, U.S. Department of Justice
BPR	Business Process Requirement
CAD	Computer Aided Dispatch
CBA	Cost Benefit Analysis
CJIS	Criminal Justice Information Services
CJNET	Florida Criminal Justice Network. A communications network maintained by FDLE that provides access to state and national criminal justice resources relating to Law Enforcement, Judicial, and Correctional information.
COTS	Commercial Off-The-Shelf
CPU	Central Processing Unit
DABT	Florida Division of Alcoholic Beverages and Tobacco
DAO	Data Access Object
DMZ	Demilitarized Zone
DOJ	U.S. Department of Justice
FBI	Federal Bureau of Investigation
FDLE	Florida Department of Law Enforcement
FDSP	Florida has two systems that agencies use to share record management system (RMS), jail management system (JMS), computer-aided dispatch (CAD), and other investigative data with each other and law enforcement partners outside of Florida. The Orlando region uses the Federated Integrated Network for Data Exchange and Retrieval (FINDER) and the remainder of the state uses the Naval Criminal Investigative Service's (NCIS) Law Enforcement Information Exchange (LInX) system. Both systems are integrated with each other and share data with other LInX systems around the United States including the Department of Defense Law Enforcement Defense Data Exchange (D-DEx). In both systems, the agency data is mapped into a common data format and then stored in a database that is accessible to the other agencies. Collectively known as the Florida Data Sharing Project (FDSP), these systems capture most, but not all of the data elements required for NIBRS reporting. Data in the systems is updated by the agencies on a daily basis. Florida also participates in the FBI's National Data Exchange (N-DEx) system which is a national repository for a subset of the data stored in FDSP. Data is uploaded to N-

	DEx in the FBI National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) specification format.
FHP	Florida Highway Patrol
FIBRS	Florida Incident Based Reporting System
FSAC	Florida Statistical Analysis Center
FWC	Florida Fish and Wildlife Conservation Commission
FY	Fiscal Year
GB	Gigabyte
IBR	Incident Based Reporting. A crime data collection approach consisting of details of criminal incidents, rather than summary counts as in SRS.
IEPD	Information Exchange Package Documentation. A NIEM specification for a specific data exchange. Contains data describing the structure, content, and other artifacts of the information exchange, supporting a specific set of business requirements.
IG	Inspector General
IT	Information Technology
ITS	Information Technology Services
ITN	Invitation to Negotiate
Kentico	Webpage content management system
LBR	Legislative Budget Request
MDT	Mobile Data Terminal
N-DEx	FBI National Data Exchange. An unclassified national information sharing system that enables criminal justice agencies to search, link, analyze, and share local, state, tribal, and federal records. N-DEx contains incident, arrest, and booking reports; pretrial investigations; supervised released reports; calls for service; photos; and field contact/identification records. Includes over 3,000 data elements.
NCS-X	National Crime Statistics Exchange. An effort to expand the FBI's National Incident-Based Reporting System (NIBRS) into a nationally representative system of incident-based crime statistics. Managed by BJS and the FBI.
NIBRS	National Incident Based Reporting System. The FBI IBR used by law enforcement agencies in the U.S. for collecting and reporting crime data. Includes 58 data elements.
NIEM	National Information Exchange Model. An XML-based information exchange framework that defines a common vocabulary enabling efficient information exchange across diverse public and private organizations. Supported by DHS, DoD and DOJ.
NLETS	International Justice & Public Safety Network, formerly known as the National Law Enforcement Telecommunications System. Nationwide interstate justice and public safety network for the exchange of law enforcement-, criminal justice-, and public safety-related information.
ODBC	Open Database Connectivity

ORI	Originating Agency ID
OS	Operating System
PD	Police Department
PDF	Portable Document Format
R2	Release 2
RAC	Reporting Agency Coordinator
RAM	Random Access Memory
RFI	Request for Information
RMS	Records Management System
SAN	Storage Area Network
SAS	Company name, originally known as Statistical Analysis System
SE	Standard Edition
SME	Subject Matter Expert
SO	Sheriff's Office
SQL	Structured Query Language
SRS	Summary Reporting System. A crime data collection approach consisting of counts of offenses and arrests for certain offense categories occurring over a period of time, rather than criminal incident details as in IBR.
UCR	Uniform Crime Reporting. An FBI program that compiles official data on crime in the United States. Includes SRS and NIBRS, as well as programs for Law Enforcement Officers Killed or Assaulted, Hate Crimes, Cargo Theft, and Human Trafficking reporting.
UCRDB	System name of one of FDLE's UCR database servers
UCRDBWEB	System name of one of FDLE's UCR database servers
UF	University of Florida
Use of Force	Use of Force. The FBI program to collect data on police-involved shootings and use of force, which includes any use of force that results in the death or serious bodily injury of a person, as well as when a law enforcement officer discharges a firearm at or in the direction of a person. Includes approximately 90 data elements.
XML	Extensible Markup Language

Appendix B – Information Technology Standards

A copy of the complete document is provided in the following pages.

Florida Department of Law Enforcement
Information Technology Standards

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

a. Architecture

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

b. Servers

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

c. Storage

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

d. Network

- FDLE's Criminal justice information systems will use CJNet.

e. Database

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

f. Application Software

- Software development standards are specified in FDLE Development Standards Version 2.0.
- Application software will be developed using Java EE or Microsoft .NET.
- Java development standards are specified in Java Development Standards Version 2.0.
- Web-based application standards are specified in JSF Web Framework Standards Version 2.0.
- JBoss is the preferred application server platform used for FDLE information systems.

g. Security

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

- 28 CFR Part 20 and Public Law 92-544, which regulate sharing criminal justice information with criminal justice and non-criminal justice governmental agencies.
- The system shall meet the FBI CJIS Security Policy (CSP), state of Florida, and FDLE security policy.

- FBI's CSP provides detailed requirements for reporting, handling, and auditing security incidents.
- Requirements of Florida Statutes Chapters 943.05, 943.051, 943.0515, 943.052, 943.053, 943.054, 943.0542, 943.0543, 943.055, 943.056, 943.057, 943.0575, 943.0581, 943.0582, 943.0583, 943.0585, 943.059, in addition to a variety of other statutes detailing background screening requirements, which describe FDLE's duties as the State's central repository for criminal record information and gateway to the Federal repository.
- Section 282.318, F.S. – Security of Data and Information Technology
- Rule 74.2, F.A.C. – Information Technology Security
- Rule 74.5, F.A.C. – Identity Management
- FDLE Policies -
    - 1.4 – Use of FDLE Resources,
    - 2.5 – Information Security,
    - 2.6 – Acceptable Use of Information Technology, and
    - 3.1 – Background Investigations.

Compliance with the following standards is preferred:

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

h. Availability
- The system will follow FDLE's standards on availability: minimum 99.5% uptime

i. Data Communication Standards
- NIEM 3.0 (or current version)
- Joint Task Force on RAP Sheet Standardization
- NCIC 2000
- ANSI/NIST-ITL 1-2011, NIST Special Publication 500-290 Data Format for the Interchange of Fingerprint, Facial, and Other Biometric Information (or current version)
- FBI EBTS 10.0 (or current version)
- Conformance to the National Crime Prevention and Privacy Compact Council's National Fingerprint File (NFF) specification

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

k. Project Management
- Sections 282.003 to 282.318, F.S. – Enterprise Information Technology Services Management Act
- Rule 74-1, F.A.C. – Project Management and Oversight Standards
- Project Management Institute, Project Management Body of Knowledge (PMBOK)

Appendix C – FBI Effects of NIBRS on Crime Statistics

A copy of the complete document is provided in the following pages.

Effects of NIBRS on Crime Statistics

Executive Summary

Many law enforcement agencies are hesitant about moving from the Uniform Crime Reporting (UCR) Program's Summary Reporting System (SRS) to its National Incident-Based Reporting System (NIBRS) because of the perception that reporting crime through NIBRS will appear to increase the agency's crime. The perception is based on the following reporting differences:

- The SRS collects aggregated monthly crime in ten offense categories.
- NIBRS collects disaggregated offense, victim, offender, property, and arrestee information for 49 offenses.
- The SRS employs a hierarchy rule, which NIBRS does not.
- NIBRS counts up to 10 offenses per incident.

An example of these differences can be seen in an incident involving murder, robbery, and motor vehicle theft. The Hierarchy Rule in the SRS states when more than one offense occurs within an incident, only the most serious crime contributes to the agency's monthly crime totals. Therefore, the agency would count only the homicide for the monthly totals because homicide is the highest offense on the hierarchy. When reported through NIBRS, however, the agency would count the murder, the robbery, and the motor vehicle theft.

Due to the differences between the SRS and NIBRS reporting standards, it can appear that an agency has higher levels of crime after switching to NIBRS. Agencies, of course, understand that NIBRS reporting does not actually increase crime, but often fear that the public, media, and government officials will misinterpret the *apparent* change in crime and attribute the increased crime counts to failed policing administration and leadership rather than a change in how the crime data are being reported. In spite of this concern, NIBRS participation increased from 663 reporting agencies in 1991 to 6,299 agencies in 2014.

Analysis of the NIBRS data and the data that were converted to SRS data sets showed the following effects on reported crime due to the removal of the Hierarchy Rule and to an allowance for reporting multiple offenses:

- Rape: No effect.
- Robbery: Increased 0.6 percent.
- Aggravated Assault: Increased 0.6 percent.
- Burglary: Increased 1.0 percent.
- Larceny: Increased 2.6 percent.
- Motor Vehicle Theft: Increased 2.7 percent.
- Total SRS Offenses: Increased 2.1 percent.
- Incidents that involved multiple offenses: 10.6 percent of all reported incidents.

Agencies moving to NIBRS can use this information to explain that increases in their crime rates are due, at least in part, to the elimination of the Hierarchy Rule and to the allowance of reporting up to ten offenses in a single incident. In addition, the long-term effect of using SRS data to develop policies may be negative because SRS data may not address the true nature of the crime problem.

◆

Introduction

Since 1930, the FBI's Uniform Crime Reporting (UCR) Program has collected statistics from law enforcement agencies who voluntarily submit monthly aggregate totals for seven Part I crimes through the Summary Reporting System (SRS). By the late 1970s, the FBI and its partner law enforcement agencies saw the need for a new crime reporting program which not only included a host of expanded crime categories, but which also collected more comprehensive data about crime incidents in general. After working together to develop the blueprint for a new data collection program, the UCR Program began collecting data through the National Incident-Based Reporting System (NIBRS) in 1991.

Though NIBRS was seen as a major improvement over the SRS, not all law enforcement agencies were willing to make the change to a more robust and disaggregated system for reporting crime data. The cost of changing to NIBRS electronic data submission was, and still is, an expensive transition for law enforcement agencies. Additionally, and aside from potential costs, some law enforcement agency administrators fear that transitioning to NIBRS from the SRS will make it appear that their agency has an unwarranted increase in the level of crime in their jurisdiction. However, the apparent increase in crime volume when switching to NIBRS is easily explained due to the elimination of the Hierarchy Rule. The Hierarchy Rule in the SRS requires that law enforcement agencies only report the most serious offense occurring in an incident, whereas NIBRS collects up to ten offenses for each incident of crime.

It is important to understand the value of data that law enforcement agencies release to the public. The true value of these data are realized only when the data are accurate and the integrity of the data allows for the necessary confidence to make valid conclusions about crime within communities and across the nation. UCR data are used by government entities (at all levels), businesses, and citizens to make important decisions. Administrators choose locations to target resources, businesses choose locations to conduct profitable ventures, and families chose locations to establish safe homes and send children to safe schools based on the accuracy and integrity of crime data.

Providing erroneous or incomplete crime data will yield inaccurate information and cause people to make inaccurate conclusions. This can result in ineffective policies, business practices, and

personal decisions. The harm of such inaccuracy may cost billions of dollars in ineffective policy implementation, unprofitable ventures, and loss due to crime.

The following analysis aims to evaluate the increase in crime volume reported by law enforcement agencies when using NIBRS data specifications, rather than the SRS. Further, why this change occurs and why it will not be apparent in law enforcement agency crime trends is discussed. In short, when NIBRS data are converted to the SRS for the purpose of trending, the hierarchy rule is reapplied. In spite of reporting more data, agencies do not experience an increase in crime when changing from the SRS to NIBRS reporting specifications.

To achieve the goal of evaluating the change in crime data that law enforcement agencies may experience, this study simply compares the difference in crime volume and computes the percentage difference in crime volume due to the hierarchy rule. The analysis was conducted at the national level and is used as a reasonable estimate of how changing from an SRS reporting agency to a NIBRS reporting agency affects the amount of crime submitted to the FBI's UCR Program. NIBRS data for 2014 was used to determine this effect. Law enforcement agencies reporting at least one Group A offense occurring in 2014 were represented.[1]

History: UCRs Evolution from a Socioeconomic Indicator to a Means of Transparency

These seven crimes were established in 1930 and are the nation's premier indicator of the nature of crime in the United States: murder, rape, robbery, aggravated assault, burglary, motor vehicle theft, and larceny. Together, these seven offenses were called Crime Index offenses because they were *indicators* illustrating the extent to which crime was increasing or decreasing in the United States. Since the collection and reporting of data was a completely manual process—meaning there were no computers to help account for the number of crimes occurring in the nation—the Crime Index offenses were used to determine the general level of crime in the nation. Since, in essence, these seven crimes represented nearly all types of crime, no other types of crime needed to be collected. Moreover, it also would not have been feasible to collect/report each and every crime with the manually intensive methods of collecting data in the 1930s. (An eighth index crime, arson, was added in 1979. The term Crime Index was discontinued in 2003 and the eight offenses are since referred to as Part I crimes. The ninth and tenth Part I crimes, human trafficking—commercial sex acts and human trafficking—involuntary servitude, were added in 2013.)

Computers had begun automating manual processes for UCR in 1960 which allowed for collecting more disaggregated data. By 1984, the nation was entering the information age, and technology allowed for the collection of greater amounts of crime data. NIBRS was created to

[1] The data file used to create this report was generated on 7/7/2015. Agencies are allowed to report 2014 NIBRS data until December 2015. It is assumed the majority of law enforcement agencies already reported NIBRS data for 2014, though there may be slight differences in results from NIBRS data files created after 7/7/2015 should the data be used to replicate this study. The conclusions derived from such findings are assumed to not be significantly different from the findings presented in this study.

take advantage of technological advances in order to meet the need for a more detailed crime data collection format. Rather than focus on aggregate totals inferring crime rate changes, the NIBRS collects an *accounting* of information on incidents of crime within an agency and geographic location. After all, data must reflect the true phenomenon that has taken place at a particular time and location.

To meet the public's need for accounting crime incidents, the NIBRS expanded the eight SRS offenses to 49 Group A offenses with data about victims, offenders, property, and arrests being collected along with elements for each offense. NIBRS also included arrest-only information collected for an additional 10 Group B offenses.[2]

By the new millennium, the concept of a Crime Index, which provided a total crime count based on the seven original SRS offenses, was challenged. The FBI's UCR Program began to question the validity of comparing crime rates based on the combined total count of the seven Crime Index offenses to represent an agency's overall level of criminality. For example, the Crime Index equally weighted a murder and a burglary. Therefore, a town recording two murders appeared to have the same level of crime as a town reporting two burglaries. As mentioned earlier in this article, this imprecise representation of crime levels was removed from the UCR vernacular in 2003.

The public's need for expanded victim information was realized around this same time. In 2001, the FBI UCR Program received requests to expand the definition of rape to include male victims (the legacy definition only included female victims) and victims of sodomy and sexual assault with objects. NIBRS, however, already contained this more inclusive definition of rape.

In 2014, several changes were made in NIBRS: data collection was expanded to collect data on cargo theft, new hate crime categories were added, the race category of Asian/Pacific Islander was separated into two distinct race categories, two human trafficking categories were added, an offense for purchasing prostitution was added, and a law enforcement victim type was added.

To meet the public's expanding needs for crime data, the following efforts are underway to enhance NIBRS:

- A partnership with the National Academy of Science and the Bureau of Justice Statistics (BJS) will modernize the nation's crime statistics.
- The National Crime Statistics Exchange Project, in partnership with BJS, aims to provide a valid and reliable sample of crime data used to develop national NIBRS crime estimates.
- The FBI UCR Program plans to transition to a NIBRS-only reporting system.

[2] An eleventh Group B offense, runaways, was dropped in 2011 as it is not technically a criminal offense. Runaway offenses are still collected in UCR databases as agencies may still report runaways, but it is not required and is no longer published in UCR data releases.

NIBRS data has been used in recent years to provide more transparency in law enforcement. NIBRS data can be very useful to agencies in this regard because, unlike SRS data, the public is able to examine a jurisdiction's detailed crime data. Since most records management software will report NIBRS data in an automated fashion, the public can be sure agencies are not reporting false crime numbers to make their crime rate appear to decrease when it has not. In effect, NIBRS data provides tamper-proof transparency for law enforcement agencies, which has a positive impact on law enforcement public relations.

The following are the current NIBRS record descriptions. They are indicative of the UCR Program's evolution from an indicator-based system in the 1930s, to a technological accounting-based and victim-focused system via NIBRS. (These descriptions are likely to change in the future as the need for different, better, and more detailed crime data grows; as technology capacity increases; and as the familiarity with its use makes data collection and analysis easier.)

NIBRS Segments

- Incident Information
    - Incident Date
    - Incident Hour
    - Exceptional Clearance
    - Exceptional Clearance Date
- Offense Information
    - Offense Codes
    - Attempted vs. Completed
    - Offender Suspected Use (of alcohol, drug, or computers)
    - Location
    - Type and Number of Premises Entered
    - Type of Criminal Activity
    - Weapon/Force Used
    - Bias Motivation
- Property Information
    - Loss Type
    - Property Description
    - Value of Property
    - Date Recovered

    - Number of Motor Vehicles Stolen/Recovered
    - Drug Types and Amounts
- Victim Information
    - Connection to Offenses
    - Type of Victim
    - Age/Sex/Race/Ethnicity/Resident Status of Victim
    - Assault and Homicide Circumstances
    - Injury Types
    - Relationships to Offenders
- Offender Information
    - Age/Sex/Race/Ethnicity[3] of Offender
- Arrestee Information
    - Arrest Date
    - Type of Arrest
    - Arrest Offense Code
    - Arrestee Weapons
    - Age/Sex/Race/Ethnicity/Resident Status of Arrestee
    - Disposition of Minors
- Group B Arrest Information
    - Type of Arrest
    - Arrestee Weapons
    - Age/Sex/Race/Ethnicity of Arrestee
    - Disposition of Minors

NIBRS Offenses

Group A Offenses[4]—The following offenses are reported in Group A Incident Reports. There are 23 Group A crime categories made up of 49 offenses (Offense Codes are in parentheses):

Arson (200)

Assault Offenses

[3] Ethnicity category was added in the 2013 data collection.
[4] FBI. (1/17/2013). *NIBRS User Manual*, https://www.fbi.gov/about-us/cjis/ucr/nibrs/nibrs-user-manual. pp. 14-18.

- Aggravated Assault (13A)
- Simple Assault (13B)
- Intimidation (13C)

Bribery (510)

Burglary/Breaking and Entering (220)

Counterfeiting/Forgery (250)

Destruction/Damage/Vandalism of Property (290)

Drug/Narcotic Offenses

- Drug/Narcotic Violations (35A)
- Drug Equipment Violations (35B)

Embezzlement (270)

Extortion/Blackmail (210)

Fraud Offenses

- False Pretenses/Swindle/Confidence Game (26A)
- Credit Card/Automated Teller Machine Fraud (26B)
- Impersonation (26C)
- Welfare Fraud (26D)
- Wire Fraud (26E)

Gambling Offenses

- Gambling Offenses Betting/Wagering (39A)
- Operating/Promoting/Assisting Gambling (39B)
- Gambling Equipment Violations (39C)
- Sports Tampering (39D)

Homicide Offenses

- Murder and Nonnegligent Manslaughter (09A)

- Negligent Manslaughter (09B)
- Justifiable Homicide (09C)

Kidnaping/Abduction (100)

Larceny/Theft Offenses

- Pocket-picking (23A)
- Purse-snatching (23B)
- Shoplifting (23C)
- Theft From Building (23D)
- Theft From Coin-Operated Machine or Device (23E)
- Theft From Motor Vehicle (23F)
- Theft of Motor Vehicle Parts or Accessories (23G)
- All Other Larceny (23H)

Motor Vehicle Theft (240)

Human Trafficking

- Human Trafficking/Commercial Sex Acts (64A)[5]
- Human Trafficking/Involuntary Servitude (64B)[5]

Pornography/Obscene Material (370)

- Prostitution Offenses (40A)
- Assisting or Promoting Prostitution (40B)
- Purchasing Prostitution (40C)[5]

Robbery (120)

Sex Offenses

- Rape (11A)
- Sodomy (11B)

[5] These offenses were added in the 2013 data collection.

Sexual Assault With An Object (11C)

Fondling (11D)

Incest (36A)

Statutory Rape (36B)

Stolen Property Offenses (Receiving, etc.) (280)

Weapon Law Violations (520)

Group B Offenses[6]—The following offenses are reported in Group B Arrest Reports. They include all offenses that are not Group A offenses. Group B offenses are reported using the following 10 crime categories:

1. Bad Checks (90A)
2. Curfew/Loitering/Vagrancy Violations (90B)
3. Disorderly Conduct (90C)
4. Driving Under the Influence (90D)
5. Drunkenness (90E)
6. Family Offenses, Nonviolent (90F)
7. Liquor Law Violations (90G)
8. Peeping Tom (90H)
9. Trespass of Real Property (90J)
10. All Other Offenses (90Z)

Participation

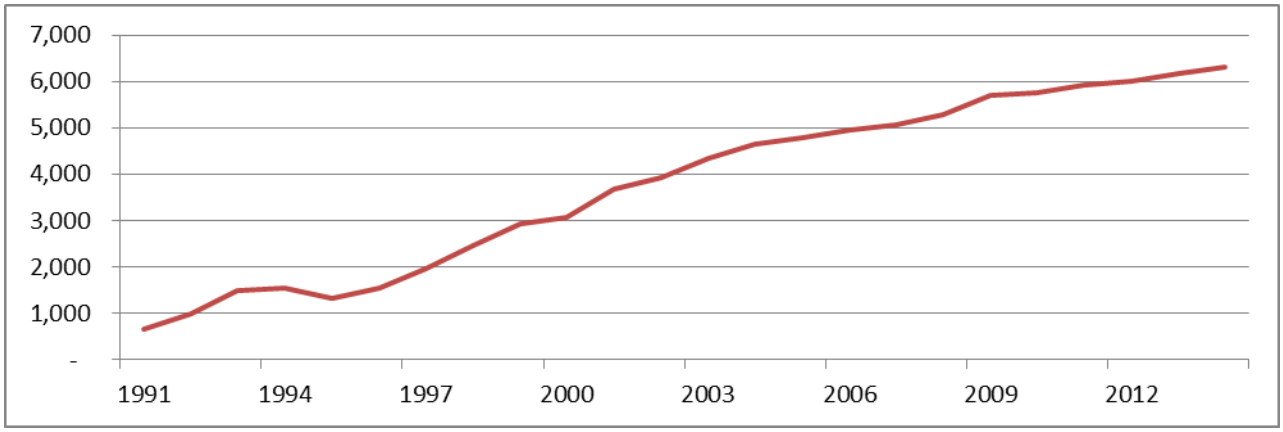
In 1991, NIBRS' first year, 663 law enforcement agencies converted from the SRS and provided crime data to the FBI in the new, highly-disaggregated NIBRS format. Twenty-five years later, more than 6,299 agencies actively participated in the NIBRS data collection. Those agencies submitted more than 76 million incidents involving Group A offenses and nearly 26 million incidents involving Group B offenses (See Table 1 and Figure 1).

[6] An 11th category, Runaway, was discontinued in 2010.

Table 1: NIBRS ORIs, Incidents Involving Group A Offenses, and Group B Offenses by Year[7]

Year	ORIs	Group A	Group B	Year	ORIs	Group A	Group B
1991	663	582,369	227,485	2003	4,344	3,597,576	1,154,498
1992	990	760,509	266,438	2004	4,648	4,036,881	1,296,557
1993	1,474	876,646	332,714	2005	4,791	4,561,703	1,457,435
1994	1,553	894,350	345,323	2006	4,947	4,847,671	1,540,038
1995	1,307	836,846	318,524	2007	5,062	4,945,692	1,588,734
1996	1,530	1,063,339	387,663	2008	5,290	4,959,971	1,648,144
1997	1,961	1,460,136	541,424	2009	5,695	4,992,094	1,746,930
1998	2,449	1,822,384	711,548	2010	5,744	4,998,914	1,753,973
1999	2,924	2,136,872	830,071	2011	5,929	5,020,791	1,720,606
2000	3,063	2,616,248	937,668	2012	6,004	5,001,060	1,713,703
2001	3,662	3,232,081	1,044,178	2013	6,178	4,927,535	1,667,350
2002	3,923	3,418,648	1,126,216	2014	6,299	4,759,438	1,565,192
				Total		**76,349,754**	**25,922,412**

Figure 1: Number of ORIs Reporting NIBRS Records by Year, 1991-2014[7]



[7] Totals for agencies and reports for 2014 may change because records may be submitted to the FBI until December 2015. (Please see footnote 1.) The number does not include zero reporting agencies which are active but report no crime.

The Hierarchy Rule in Depth

In the SRS, offenses are ranked in terms of severity, and only the highest-ranked offense is reported in incidents which have multiple offense types. The exceptions are the offenses of Arson and Human Trafficking. These offenses do not follow the Hierarchy Rule in that they are *always* reported. SRS offenses are reported in the following order:

I. Murder and Nonnegligent Manslaughter (abbreviated to Murder)
II. Rape[8]
III. Robbery
IV. Aggravated Assault
V. Burglary
VI. Larceny
VII. Motor Vehicle Theft
VIII. Arson (always reported, does not follow the Hierarchy Rule)
IX. Human Trafficking – Commercial Sex Acts (always reported, does not follow the Hierarchy Rule)
X. Human Trafficking – Involuntary Servitude (always reported, does not follow the Hierarchy Rule)

According to the Hierarchy Rule, murder, human trafficking, and arson are always counted in the SRS, however the other six Part I crimes are not always reported in multiple-offense incidents. If, for example, a murder and rape occur within the same incident, only the murder is counted in the SRS. Further, if an aggravated assault occurs in the same incident as a burglary, the burglary is not counted.

There are also a few considerations which are true to both NIBRS and the SRS. For example, aggravated assault is always inherent to robbery, so only a robbery is counted when both occur in the same incident.[9] Similarly, larceny is not reported with burglary as it is inherent to the crime.[10] NIBRS, however, would capture each crime mentioned above. Up to ten offenses of the 49 offenses reported in NIBRS can be listed in an incident's offense segments.

Table 2 shows the number of NIBRS offenses that are removed from crime counts when the data are converted to the SRS. As murder is at the top of the hierarchy, there is no reduction in the number of murder offenses when converting from NIBRS to the SRS. However, there were 12

[8] In 2011, the FBI's CJIS Advisory Policy Board changed the definition of Rape in the SRS to include male victims, sodomy, and sexual assault with objects. The change was approved by the FBI Director and implemented starting with the 2013 UCR data collections. NIBRS always collected information for these sex offense. The expanded definition of rape was used in this study.
[9] The exception in NIBRS would be if there were multiple victims in an incident and some were not robbed, but all were victims of aggravated assault.
[10] The exception in NIBRS would be if offenders committed larceny offenses outside of a structure after committing burglary offenses within the same incident.

rape victims involved in incidents where murder was also involved. Similarly, for 4,458 NIBRS burglaries, there was a murder, a rape, a robbery, or an aggravated assault which happened in the same incident. The 12 rapes and 4,458 burglaries would not be counted in the UCR SRS data collection due to conditions established by the Hierarchy Rule.

Nationally, there is a minimal percentage increase (less than 0.04%) in crime volume for rape when law enforcement agencies move from the SRS to NIBRS. Robbery increased by little more than one-half of one percent (0.6%), aggravated assault and burglary each increased by 1.0 percent, larceny increased by 2.6 percent, and motor vehicle theft increased by 2.7 percent.

Table 2: Percent Increases in Crime Volume by Removing the Hierarchy Rule

	Incidents	Offenses	Reduction to Hierarchy	Percent Increase
Murder[11]	3,418	3,650	0	-
Rape[11]	36,035	37,635	12	0.0
Robbery	75,581	75,581	382	0.6
Aggravated Assault[11]	167,992	203,740	1,154	0.6
Burglary[12]	570,470	570,470	4,458	1.0
Larceny[13]	1,666,327	1,666,327	43,248	2.6
Motor Vehicle Theft	162,652	162,652	4,689	2.7
Totals	2,682,475	2,720,055	53,743	2.1

The concern of many law enforcement agency officials is that the inclusion of these crimes, particularly property crimes, will appear as an increase in crime when switching from SRS reporting to NIBRS reporting. As previously discussed, the apparent increase is simply due to the difference between how crimes are counted in NIBRS versus the SRS and its application of the Hierarchy Rule. Further, none of the increases amount to a change greater than 2.7 percent.

No Need for Apprehension

Any increases in crime volume due to the ability to report multiple offenses in the NIBRS are eliminated when trending. For trends, NIBRS data are converted to SRS data and the Hierarchy Rule is again applied. This reduces crime counts in multiple-offense incidents to what would

[11] The number of offenses differs from the number of incidents for murder, rape, and aggravated assault because these Crimes Against Persons offense categories count one offense for each victim in the incident. Robbery, burglary, and motor vehicle theft are considered Crimes Against Property and count only one offense per incident.
[12] The Hotel Rule (see the *SRS Users Manual* at https://www.fbi.gov/about-us/cjis/ucr/nibrs/summary-reporting-system-srs-user-manual, pp 43 for explanation) and number of premises entered were not considered for burglary offense totals.
[13] NIBRS allows for the reporting of eight different types of larceny offenses per offense. Incidents with more than one larceny offense type reported were aggregated to only count one larceny per offense to simulate how this would be reported in the SRS.

have been reported if the agency was only reporting according to SRS specifications. When the FBI UCR Program starts trending NIBRS data, comparisons to pre-NIBRS data submissions would not be included in trends.

Reporting NIBRS data does not actually increase crime within jurisdictions, even though there is a slight, but visible, effect on crime rates. As shown in Table 3, approximately one in ten of NIBRS incidents have multiple offenses (10.6%), and only 1 percent (1.1%) of NIBRS incidents have multiple offenses affected by the Hierarchy Rule. NIBRS shows a small (2.1%) percentage increase from the SRS in crime volume which is easily explained by the allowance of reporting incidents with multiple offenses and the absence of the Hierarchy Rule.

Table 3: Number of Offenses per Incident, 2014

Offenses	Frequency	Percent	Cumulative Percent
1	4,253,081	89.4	89.4
2	457,479	9.6	99.0
3	43,304	0.9	99.9
4	4,778	0.1	100.0
5	688	-	100.0
6	93	-	100.0
7	14	-	100.0
8	1	-	100.0
Total	4,759,438	100.0	100.0

Conclusion

The elimination of the SRS has been discussed for some time in UCR governance meetings. In several speeches in 2015, FBI Director James B. Comey called for "more and better data related to those we arrest, those we confront for breaking the law and jeopardizing public safety, and those who confront us." The CJIS Advisory Policy Board (a joint group of law enforcement executives, academics, and data analysts who are stakeholders in the UCR Program) the International Association of Chiefs of Police, the National Sheriffs' Association, Major City Chiefs Association, Major County Sheriffs' Association have all pledged their support for that call. The result of this dialogue and agreement is the FBI and its partners undertaking the cessation of SRS reporting and the across-the-board implementation of NIBRS.

When this change is eventually made, a similar 2.1 percent increase in the number of reported crimes should be expected for agencies transitioning from SRS to NIBRS data. One strategy to ease this perceived uptick in crime is that agencies can provide a side-by-side comparison of their NIBRS data with a few years of NIBRS data that has been converted to SRS data and

demonstrate what the trend of crime rates would look like if the agency was still only reporting in the SRS. The converted data could help soften and explain the *appearance* of increased crime while lending even more transparency to the agency's crime reporting to the public.

Law enforcement agency officials can use this study to demonstrate how changing from SRS reporting to NIBRS reporting might affect their local crime counts. It is accepted that incident-based data collections will have more robust and accurate crime counts over traditional tally-based systems like the SRS. Any reports law enforcement agencies generate can show how the elimination of the Hierarchy Rule has affected the agency's data by trending and comparing data prior to the law enforcement agency's conversion to the NIBRS.

Above all, law enforcement agencies are engaged in partnerships with their communities to maximize public safety. Inaccurate information concerning crime in these communities and the nation may cause enormous social costs and waste of public and private resources. Effective policies must be enacted based on relevant and accurate information provided through NIBRS in order to meet the goal of maximizing public safety.

Though NIBRS adds a level of complexity, as well as initial costs to agencies, there is greater value for agencies who transition from the incomplete story of crime told through the antiquated SRS data to a more accurate, transparent, and complete story of crime articulated through NIBRS.

Appendix D – FBI Notification of transition to IBR

A copy of the complete document is provided in the following pages.

U.S. Department of Justice

Federal Bureau of Investigation

Office of the Director

Washington, D.C. 20535-0001

June 10, 2016

TO: State Uniform Crime Reporting (UCR) Program Managers

RE: The FBI's Transition to a National Incident-Based Reporting System (NIBRS)-Only Data Collection

Recent events across the nation have underscored the importance of having informed conversations about policing and crime policy. The FBI has a longstanding tradition of collecting and providing crime statistics for transparency and accountability in policing through its UCR Program. But we need to get better.

After careful consideration, the FBI will discontinue its Summary Reporting System (SRS) for crime statistics and fully transition the UCR Program to the data-rich NIBRS data collection. On February 9, 2016, I concurred with the following Criminal Justice Information Services (CJIS) Advisory Policy Board (APB) recommendation:

> "The FBI UCR Program will transition to a NIBRS-only data collection by January 1, 2021, and will evaluate the probability of achieving that goal on an annual basis. Federal, state, local, and tribal agencies unable to meet the five year transition and who have committed to transitioning to NIBRS will collaborate with the FBI CJIS to develop a transition plan and timeline for conversion."

This transition is supported by the CJIS APB, the International Association of Chiefs of Police, Major Cities Chiefs Association, Major County Sheriffs' Association, and the National Sheriffs' Association, as well as the Executive Branch of our government.

Transitioning to a NIBRS-only data collection will happen over the next five years. Once complete, the FBI will have faster access to more robust data that is necessary to show how safe our communities are and to help law enforcement and municipal leaders better allocate resources to prevent and combat crime. Through the NIBRS, law enforcement agencies can be more transparent and accountable to the communities they serve.

To: State Uniform Crime Reporting (UCR) Program Managers
Re: The FBI's Transition to a National Incident-Based Reporting System (NIBRS)-Only Data Collection

Already, 31 percent of participating agencies report their UCR statistics via the NIBRS. In the last few years, the FBI and the Bureau of Justice Statistics have worked to increase the number of NIBRS participants through the National Crime Statistics Exchange (NCS-X) initiative. Currently, the FBI and the NCS-X team are working with local and state agencies as well as other law enforcement organizations across the country to improve the way crime data is reported. The FBI understands this transition comes with a financial burden and is committed to helping state UCR Programs and the 400 agencies identified through the NCS-X initiative to obtain necessary resources to transition to NIBRS.

NIBRS is the pathway to richer crime statistics that can improve our ability to address the important issues we face today. As we move forward, the transition from the SRS to the NIBRS is crucial to our success in providing better, more meaningful national crime data. I'm grateful for your help.

Sincerely yours,

James B. Comey
Director

Appendix E – Current System Operational Cost

A copy of the complete document is provided in the following pages.

Current Operating Costs - UCR System
Updated: 9/13/2017

Category	Item Description	Notes	2018-19	2019-20	2020-21	2021-22	2022-23	Totals
Staff								
	State Staff:							
	1 Criminal Justice Information Consultant II (UCR)	Kennedy	$66,000	$66,000	$66,000	$66,000	$66,000	
	1 Database Admin (PSS)	Elaine	$17,500	$17,500	$17,500	$17,500	$17,500	
	1 Sys Admin (PSS)	Grant's team	$17,500	$17,500	$17,500	$17,500	$17,500	
	1 Sys Programmer (BSE)	Kevin	$17,500	$17,500	$17,500	$17,500	$17,500	
	1 Application SW Developer (BSE)	Brandon	$35,000	$35,000	$35,000	$35,000	$35,000	
	Contract Staff:							
	1 Systems Analyst	Ramanathan	$85,000	$85,000		$85,000	$85,000	
	Subtotal - Staff		**$238,500**	**$238,500**	**$153,500**	**$238,500**	**$238,500**	**$1,107,500**
Hardware								
	Production							
Assume 5 year re	Database Server	Shared	$9,000					
	Application Server	Shared	$5,000					
	Development							
	Database Server	Shared	$5,500					
	Application Server	Virtual						
	Test							
	Database Server	Shared	$5,500					
	Application Server	Virtual						
	Subtotal - Hardware		**$25,000**	**$0**	**$0**	**$0**	**$0**	**$25,000**
Software								
	Red Hat Enterprise Linux	Physical & Virtual	$2,000	$2,000	$2,000	$2,000	$2,000	
	JBOSS EAP	Physical & Virtual	$13,000	$13,000	$13,000	$13,000	$13,000	
	VMWare	Virtual	$1,000	$1,000	$1,000	$1,000	$1,000	
	MS SQL	Physical & Virtual	$2,200					
	Subtotal - Software		**$18,200**	**$16,000**	**$16,000**	**$16,000**	**$16,000**	**$82,200**
Other								
	Standard Expenses for State pos.		$13,894	$13,894	$13,894	$13,894	$13,894	
	HR Service Fee		$774	$774	$774	$774	$774	
	Subtotal - Other		**$14,668**	**$14,668**	**$14,668**	**$14,668**	**$14,668**	**$73,339**

Current Operating Costs - UCR System
Updated: 9/13/2017

Category	Item Description	Notes	2018-19	2019-20	2020-21	2021-22	2022-23	Totals
TOTALS			**$296,368**	**$269,168**	**$184,168**	**$269,168**	**$269,168**	**$1,288,039**

Appendix F – Project Cost Estimate

A copy of the complete document is provided in the following pages.

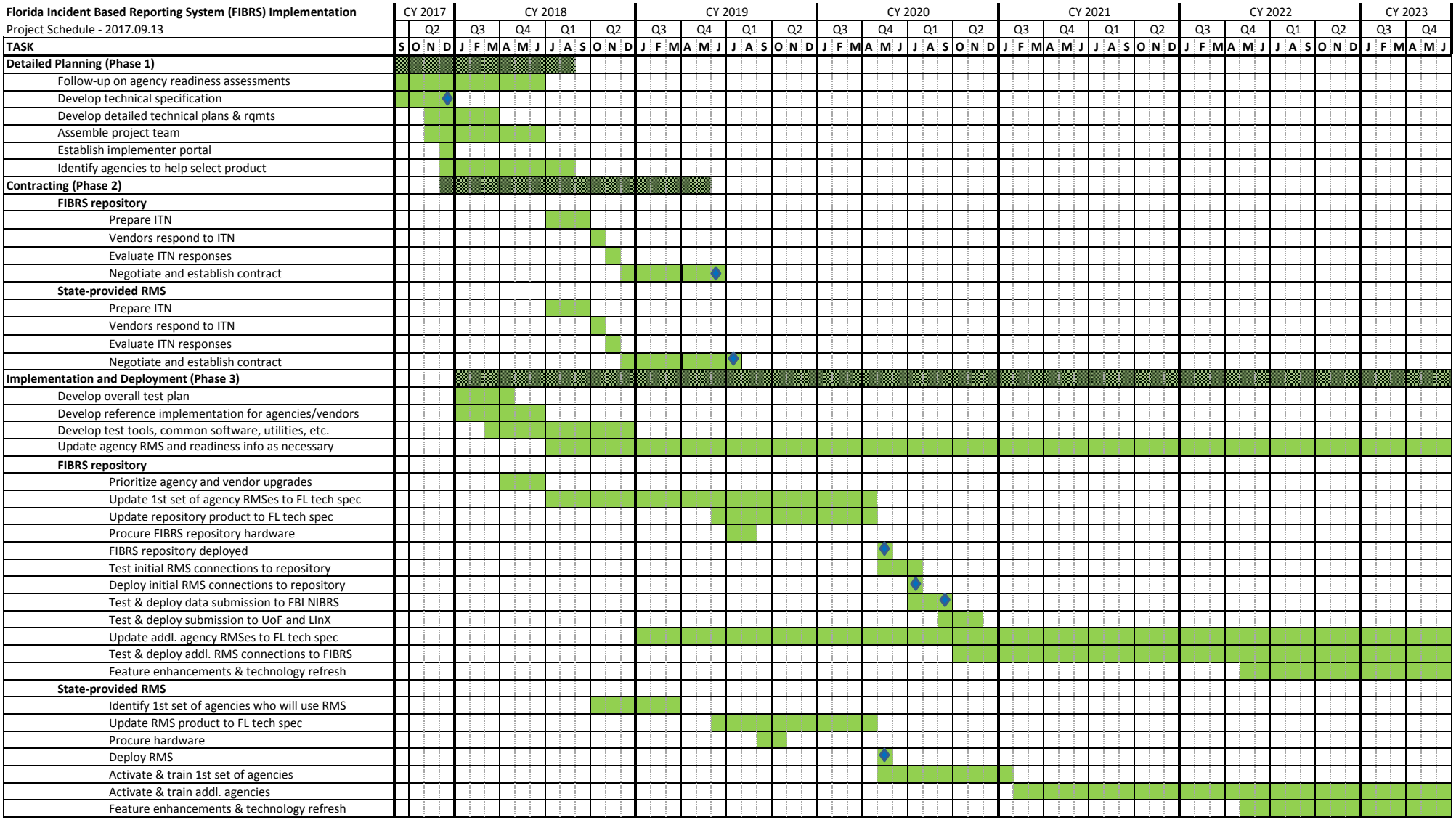
Title:	National Incident-Based Reporting System for Crime Statistics	**Planned Costs:**
Tracking #:	TBD	
Manager:	TBD	
Duration:	60.8	
Baseline Date:	8/2/2017	
Revision Date:		
Version #:		

Cost Elements	**Description**	**One Time Costs**	**Annual Recurring Costs**		**FY 18-19**	**FY 19-20**	**FY 20-21**	**FY 21-22**	**FY 22-23**	**Planned Total**
Salary & OPS										
	Project Manager		$85,020		$85,020	$85,020	$85,020	$85,020	$85,020	$425,100
	Criminal Justice Information Consultant II		$66,000		$16,500	$33,000	$33,000	$33,000	$33,000	$148,500
	Criminal Justice Information Consultant II		$66,000		$16,500	$33,000	$33,000	$33,000	$33,000	$148,500
	Criminal Justice Information Consultant I		$59,531		$14,883	$29,765	$29,765	$29,765	$29,765	$133,943
	Criminal Justice Information Consultant I		$59,531		$14,883	$29,765	$29,765	$29,765	$29,765	$133,943
	Criminal Justice Information Consultant I		$59,531		$14,883	$29,765	$29,765	$29,765	$29,765	$133,943
	Criminal Justice Information Consultant I		$59,531		$14,883	$29,765	$29,765	$29,765	$29,765	$133,943
	Criminal Justice Information Consultant II		$66,000		$66,000	$66,000	$66,000	$66,000	$66,000	$330,000
	Senior Management Analyst Supervisor		$75,243		$37,622	$37,622	$37,622	$37,622	$37,622	$188,110
	Criminal Justice Information Consultant II		$66,000		$33,000	$33,000	$33,000	$33,000	$33,000	$165,000
	Chief of Florida Crime Information		$114,890		$114,890	$114,890	$114,890	$114,890	$114,890	$574,450
	Senior Management Analyst Supervisor		$75,243		$75,243	$75,243	$75,243	$75,243	$75,243	$376,215
	Senior Management Analyst Supervisor		$75,243		$75,243	$75,243	$75,243	$75,243	$75,243	$376,215
	Operations & Management Consultant Manager		$67,544		$71,407	$67,544	$67,544	$67,544	$67,544	$341,583
	Operations & Management Consultant Manager		$67,544		$71,407	$67,544	$67,544	$67,544	$67,544	$341,583
	Criminal Justice Information Consultant II		$66,000		$66,000	$66,000	$66,000	$66,000	$66,000	$330,000
	Criminal Justice Information Consultant II		$66,000		$66,000	$66,000	$66,000	$66,000	$66,000	$330,000
	Government Analyst II		$66,000		$66,000	$66,000	$66,000	$66,000	$66,000	$330,000
	Operations Review Specialist		$59,697		$59,697	$59,697	$59,697	$59,697	$59,697	$298,485
	Research and Training Specialist		$57,042			$57,042	$57,042	$57,042	$57,042	$228,168
	Research and Training Specialist		$57,042			$57,042	$57,042	$57,042	$57,042	$228,168
	Research and Training Specialist		$57,042			$57,042	$57,042	$57,042	$57,042	$228,168
	Research and Training Specialist		$57,042			$57,042	$57,042	$57,042	$57,042	$228,168
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Criminal Justice Information Analyst II		$52,217			$52,217	$52,217	$52,217	$52,217	$208,868
	Systems Programming Consultant		$81,799			$81,799	$81,799	$81,799	$81,799	$327,196
	Database Consultant		$81,799			$81,799	$81,799	$81,799	$81,799	$327,196
	Criminal Justice Information Consultant II		$66,000			$66,000	$66,000	$66,000	$66,000	$264,000
	Criminal Justice Information Consultant II		$66,000			$66,000	$66,000	$66,000	$66,000	$264,000
										$ -
Full Time Employees	**Subtotal**	$0	$2,366,484		**$ 980,059**	**$ 2,110,799**	**$ 2,110,799**	**$ 2,110,799**	**$ 2,110,799**	**$ 9,423,255**
	None									$0
										$0
										$0
OPS	**Subtotal**	$0	$0		$ -	$ -	$ -	$ -	$ -	$ -
State Staff	**Subtotal**	**$0**	**$2,366,484**		**$ 980,059**	**$ 2,110,799**	**$ 2,110,799**	**$ 2,110,799**	**$ 2,110,799**	**$ 9,423,255**

Title:	National Incident-Based Reporting System for Crime Statistics			**Planned Costs:**						
Tracking #:	TBD									
Manager:	TBD									
Duration:	60.8									
Baseline Date:	8/2/2017									
Revision Date:										
Version #:										
Cost Elements	**Description**	**One Time Costs**	**Annual Recurring Costs**		**FY 18-19**	**FY 19-20**	**FY 20-21**	**FY 21-22**	**FY 22-23**	**Planned Total**
Expenses										
	Florida Incident Based Repository Software (TBD)	$600,000	$300,000		$600,000	$300,000	$300,000	$300,000	$300,000	$1,800,000
	Record Management System Software (TBD)	$1,071,100	$971,100		$0	$1,071,100	$971,100	$971,100	$971,100	$3,984,400
										$0
										$ -
Project Deliverables	**Subtotal**	$1,671,100	$1,271,100		**$ 600,000**	**$ 1,371,100**	**$ 1,271,100**	**$ 1,271,100**	**$ 1,271,100**	**$ 5,784,400**
										$ -
										$ -
										$ -
Software	**Subtotal**	$0	$0		$ -	$ -	$ -	$ -	$ -	$ -
	HR and Standard FTE Expenses	$0	$0		$121,127	$287,790	$214,962	$214,962	$214,962	$1,053,803
Other Expenses		$0	$0		**$ 121,126.50**	**$ 287,790.00**	**$ 214,962.00**	**$ 214,962.00**	**$ 214,962.00**	**$ 1,053,802.50**
Expenses	**Subtotal**	**$1,671,100**	**$1,271,100**		**$ 721,127**	**$ 1,658,890**	**$ 1,486,062**	**$ 1,486,062**	**$ 1,486,062**	**$ 6,838,203**
Operating Capital Outlay										
	Servers for FIBRS Repository, Record Management System, Backup Site	$0			$415,000	$225,000			$500,000	$1,140,000
										$0
										$0
Operating Capital Outlay	**Subtotal**	**$0**	**$0**		**$ 415,000**	**$ 225,000**	**$ -**	**$ -**	**$ 500,000**	**$ 1,140,000**
Contract Services										
	Data Scientist				$400,000	$400,000	$400,000	$400,000		$1,600,000
	Business Process Consultant				$192,000	$192,000	$192,000	$192,000		$768,000
	Business Analyst				$163,200	$163,200	$163,200	$163,200		$652,800
Contract Staff	**Subtotal**	$0	$0		**$755,200**	**$ 755,200.00**	**$ 755,200.00**	**$ 755,200.00**	**$0**	**$3,020,800**
	Training and Technical Support				$0	$79,000	$79,000	$41,000	$41,000	$240,000
										$0
										$0
Project Deliverables	**Subtotal**	$0	$0		**$ -**	**$ 79,000.00**	**$ 79,000.00**	**$ 41,000.00**	**$ 41,000.00**	**$ 240,000.00**
	Server Maintenance	$15,000	$190,665			$205,665	$190,665	$190,665	$190,665	$777,660
										$ -
										$ -
Maintenance	**Subtotal**	$15,000	$190,665		**$ -**	**$ 205,665.00**	**$ 190,665.00**	**$ 190,665.00**	**$ 190,665.00**	**$777,660**
	Independent Validation and Verification				$115,000	$115,000	$115,000	$115,000	$115,000	$575,000
										$ -
Other IT Services	**Subtotal**	$0	$0		**$ 115,000.00**	**$ 115,000.00**	**$ 115,000.00**	**$ 115,000.00**	**$ 115,000.00**	**$ 575,000.00**
Contract Services	**Subtotal**	**$15,000**	**$190,665**		**$ 870,200.00**	**$ 1,154,865.00**	**$ 1,139,865.00**	**$ 1,101,865.00**	**$ 346,665.00**	**$ 4,613,460.00**
Other										
	Passthrough to Local Agencies for RMS Upgrades (Software)	$6,286,000			$0	$6,286,000	$6,286,000	$116,000	$116,000	$12,804,000
	Motor Vehicle for Auditors and Trainers	$100,000	$25,000			$100,000	$25,000	$25,000	$25,000	$175,000
										$0
Other	**Subtotal**	**$6,386,000**	**$25,000**		**$0**	**$6,386,000**	**$6,311,000**	**$141,000**	**$141,000**	**$ 12,979,000.00**
Grand Total		**$8,072,100**	**$3,853,249**		**$2,986,386**	**$11,535,554**	**$11,047,726**	**$4,839,726**	**$4,584,526**	**$34,993,918**

Appendix G – Project Schedule

A copy of the complete document is provided in the following pages.



* Note: A more detailed baseline schedule will be prepared after a contract is established with FIBRS and RMS vendors. In addition, schedule does not include date for decommissioning current Summary system since FDLE will continue to accept Summary data from state and local agencies as long as deemed necessary to ensure state crime reports are accurate representations.

Appendix H – Cost-Benefit Analysis Worksheets

A copy of the complete document is provided in the following pages.

CBAForm 1 - Net Tangible Benefits

Agency: Florida Department of Law Enforcement

Project: Florida Incident Based Reporting System

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 *(Recurring Costs Only -- No Project Costs)*	FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	$238,500	$0	$238,500	$238,500	$0	$238,500	$153,500	$0	$153,500	$238,500	$1,704,097	$1,942,597	$238,500	$1,704,097	$1,942,597
A.b Total Staff	3.25	0.00	3.25	3.25	0.00	3.25	2.25	0.00	2.25	3.25	27.00	30.25	3.25	27.00	30.25
A-1.a. State FTEs (Salaries & Benefits)	$153,500	$0	$153,500	$153,500	$0	$153,500	$153,500	$0	$153,500	$153,500	$1,704,097	$1,857,597	$153,500	$1,704,097	$1,857,597
A-1.b. State FTEs (#)	2.25	0.00	2.25	2.25	0.00	2.25	2.25	0.00	2.25	2.25	27.00	29.25	2.25	27.00	29.25
A-2.a. OPS Staff (Salaries)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)	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)	$85,000	$0	$85,000	$85,000	$0	$85,000	$0	$0	$0	$85,000	$0	$85,000	$85,000	$0	$85,000
A-3.b. Staff Augmentation (# of Contractors)	1.00	0.00	1.00	1.00	0.00	1.00	0.00	0.00	0.00	1.00	0.00	1.00	1.00	0.00	1.00
B. Application Maintenance Costs	$43,200	$0	$43,200	$16,000	$0	$16,000	$16,000	$0	$16,000	$16,000	$1,577,765	$1,593,765	$16,000	$2,077,765	$2,093,765
B-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-2. Hardware	$25,000	$0	$25,000	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$500,000	$500,000
B-3. Software	$18,200	$0	$18,200	$16,000	$0	$16,000	$16,000	$0	$16,000	$16,000	$1,461,765	$1,477,765	$16,000	$1,461,765	$1,477,765
B-4. Other Software for Locals	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$116,000	$116,000	$0	$116,000	$116,000
C. Data Center Provider Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Infrastructure	$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. Disaster Recovery	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-5. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Other Costs	$14,668	$0	$14,668	$14,668	$0	$14,668	$14,668	$0	$14,668	$14,668	$354,878	$369,546	$14,668	$354,878	$369,546
E-1. Training	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$41,000	$41,000	$0	$41,000	$41,000
E-2. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other HR / FTE Pkg / Vehicle / Iv&V	$14,668	$0	$14,668	$14,668	$0	$14,668	$14,668	$0	$14,668	$14,668	$313,878	$328,546	$14,668	$313,878	$328,546
Total of Recurring Operational Costs	$296,368	$0	$296,368	$269,168	$0	$269,168	$184,168	$0	$184,168	$269,168	$3,636,740	$3,905,908	$269,168	$4,136,740	$4,405,908
F. Additional Tangible Benefits:		$0			$0			$0			$0			$0	
F-1. Specify		$0			$0			$0			$0			$0	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		$0			$0			$0			($3,636,740)			($4,136,740)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type			Estimate Confidence	Enter % (+/-)
Detailed/Rigorous			Confidence Level	
Order of Magnitude	✓		Confidence Level	20%
Placeholder			Confidence Level	

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	**Florida Department of Law Enforcement**	**Florida Incident Based Reporting System**																		*CBAForm 2A Baseline Project Budget*
2	*Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable.* ***Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.***				**FY2018-19**			**FY2019-20**			**FY2020-21**			**FY2021-22**			**FY2022-23**			**TOTAL**
3				**$ 412,000**		**$ 2,226,687**			**$ 10,780,354**			**$ 10,292,526**			**$ 4,084,526**			**$ 4,584,526**		**$ 32,380,619**
4	**Item Description** ***(remove guidelines and annotate entries here)***	**Project Cost Element**	**Appropriation Category**	**Current & Previous Years Project-Related Cost**	**YR 1 #**	**YR 1 LBR**	**YR 1 Base Budget**	**YR 2 #**	**YR 2 LBR**	**YR 2 Base Budget**	**YR 3 #**	**YR 3 LBR**	**YR 3 Base Budget**	**YR 4 #**	**YR 4 LBR**	**YR 4 Base Budget**	**YR 5 #**	**YR 5 LBR**	**YR 5 Base Budget**	**TOTAL**
5	Costs for all state employees working on the project.	**FTE**	S&B	$ -	9.00	$ 658,161	$ 314,173	27.00	$ 1,704,097	$ 406,702	0.00	$ 1,704,097	$ 406,702	0.00	$ 1,704,097	$ 406,702	0.00	$ 1,704,097	$ 406,702	**$ 9,415,530**
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	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
8	Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	**Project Oversight**	Contracted Services	$ -	0.00	$ 115,000	$ -	0.00	$ 115,000	$ -	0.00	$ 115,000	$ -	0.00	$ 115,000	$ -	0.00	$ 115,000	$ -	**$ 575,000**
10	Staffing costs for all professional services not included in other categories.	**Consultants/Contractors**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
11	Separate requirements analysis and feasibility study procurements.	**Project Planning/Analysis**	Contracted Services	$ 412,000		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 412,000**
12	Hardware purchases not included in data center services.	**Hardware**	OCO	$ -		$ 415,000	$ -		$ 225,000	$ -		$ -	$ -		$ -	$ -		$ 500,000	$ -	**$ 1,140,000**
13	Commercial software purchases and licensing costs.	**Commercial Software**	Contracted Services	$ -		$ 600,000	$ -		$ 1,371,100	$ -		$ 1,271,100	$ -		$ 1,271,100	$ -		$ 1,271,100	$ -	**$ 5,784,400**
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	**Project Deliverables**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
15	All first-time training costs associated with the project.	**Training**	Contracted Services	$ -		$ -	$ -		$ 79,000	$ -		$ 79,000	$ -		$ 41,000	$ -		$ 41,000	$ -	**$ 240,000**
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	**Data Center Services - One Time Costs**	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
17	Other contracted services not included in other categories.	**Other Services**	Contracted Services	$ -		$ -	$ -		$ 205,665	$ -		$ 190,665	$ -		$ 190,665	$ -		$ 190,665	$ -	**$ 777,660**
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	**Equipment**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
19	Include costs associated with leasing space for project personnel.	**Leased Space**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
20	Other project expenses not included in other categories.	**Other Expenses**	Expense			$ -	$ -		$ 6,386,000	$ -		$ 6,311,000	$ -		$ 141,000	$ -		$ 141,000	$ -	**$ 12,979,000**
21		**HR and FTE Expense**	Expense			$ 124,353			$ 287,790			$ 214,962			$ 214,962			$ 214,962		**$ 1,057,029**
22		**Total**		**$ 412,000**	**9.00**	**$ 1,912,514**	**$ 314,173**	**27.00**	**$ 10,373,652**	**$ 406,702**	**0.00**	**$ 9,885,824**	**$ 406,702**	**0.00**	**$ 3,677,824**	**$ 406,702**	**0.00**	**$ 4,177,824**	**$ 406,702**	**$ 32,380,619**

CBAForm 2 - Project Cost Analysis

Agency Ia Department of Law Enforce

Project Florida Incident Based Reporting System

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	$2,226,687	$10,780,354	$10,292,526	$4,084,526	$4,584,526	$32,380,619
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$2,638,687	$13,419,041	$23,711,567	$27,796,093	$32,380,619	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	$ 1,912,514	$ 10,373,652	$ 9,885,824	$ 3,677,824	$ 4,177,824	$30,027,638
Trust Fund	$ 314,173	$ 406,702	$ 406,702	$ 406,702	$ 406,702	$1,940,981
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$2,226,687	$10,780,354	$10,292,526	$4,084,526	$4,584,526	$31,968,619
CUMULATIVE INVESTMENT	$2,226,687	$13,007,041	$23,299,567	$27,384,093	$31,968,619	

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

CBAForm 3 - Project Investment Summary

Agency	rida Department of Law Enforcem	Project	Incident Based Reporting

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	$2,226,687	$10,780,354	$10,292,526	$4,084,526	$4,584,526	$32,380,619
Net Tangible Benefits	$0	$0	$0	($3,636,740)	($4,136,740)	($7,773,480)
Return on Investment	($2,638,687)	($10,780,354)	($10,292,526)	($7,721,266)	($8,721,266)	($40,154,099)
Year to Year Change in Program Staffing	0	0	0	27	27	

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)	($35,707,831)	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.

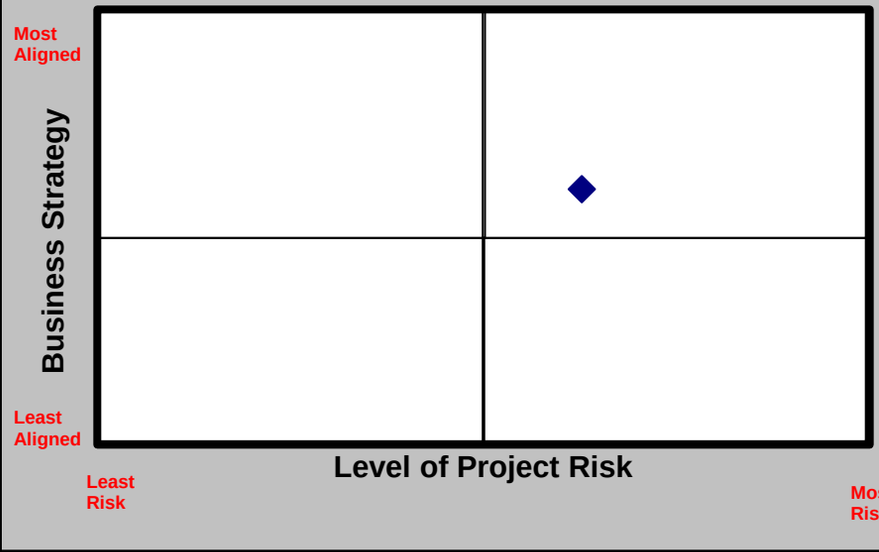
Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix I – Risk Assessment Worksheets

A copy of the complete document is provided in the following pages.

	B	C	D	E	F	G	H
3	**Project**		*Florida Incident Based Reporting System (FIBRS)*				
4							
5	**Agency**		*Florida Department of Law Enforcement*				
6	**FY 2018-19 LBR Issue Code:**			**FY 2018-19 LBR Issue Title:**			
7	*44002C0*			*Prepare Florida for National Incident Based*			
8	**Risk Assessment Contact Info (Name, Phone #, and E-mail Address):**						
9	*Andrew Branch, 850-410-7978, andrewbranch@fdle.state.fl.us*						
10	**Executive Sponsor**		*Charles Schaeffer*				
11	**Project Manager**		*Renee Strickland*				
12	Prepared By		*Andrew Branch*			*8/31/2017*	

Risk Assessment Summary



	Project Risk Area Breakdown	
35	**Risk Assessment Areas**	***Risk Exposure***
36	**Strategic Assessment**	**MEDIUM**
38	**Technology Exposure Assessment**	**LOW**
40	**Organizational Change Management Assessment**	**MEDIUM**
42	**Communication Assessment**	**MEDIUM**
44	**Fiscal Assessment**	**HIGH**
46	**Project Organization Assessment**	**MEDIUM**
48	**Project Management Assessment**	**MEDIUM**
50	**Project Complexity Assessment**	**HIGH**
53	***Overall Project Risk***	**HIGH**

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 1 -- Strategic Area			
4	#	**Criteria**	**Values**	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified in concept only
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	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	Some
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 3 and 5 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution 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
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	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
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	No
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	41% to 80% -- Some process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defiined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	1% to 10% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	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
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	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
22			Moderate changes	
23			Minor or no changes	
24	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
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with greater change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name			Project: Project Name
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	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
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	41% to 80% -- Some defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than $10 M
11			Greater than $10 M	
12			Between $2 M and $10 M	
13			Between $500K and $1,999,999	
14			Less than $500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	No
16			No	
17	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%
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Requested but not received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	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
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	hardware and software is documented in the project schedule
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the procurement manager
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	5.18	For projects with total cost exceeding $10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Yes, bid response did/will include proof of concept or prototype
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	
63				
64				
65				
66				

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	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
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	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
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	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
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
32			Moderate impact	
33			Extensive impact	
34	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
35			No	
36	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
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	1-3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	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
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	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
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	41 to 80% -- Some have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints),	Yes	No

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
35		critical milestones, and resources?	No	No
36	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
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	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
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	Greater than 15
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	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
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Business process change in single division or bureau
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	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
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS **Budget Period: 2016 - 2017**

Department: Florida Dept of Law Enforcement **Chief Internal Auditor:** Lourdes Howell-Thomas

Budget Entity: 710000 **Phone Number:** 850-410-7241

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
IA-1516-01 Audit - Alcohol Testing Program	Report dated 12/2016	Professionalism	Finding 1: The Blood Alcohol Analyst Permit Checklists were not always completed as required by procedure. Recommendation: We recommend management ensure all information required on the checklist is complete and the form is signed in accordance with procedures.	Management agreed with all findings and recommendations. The Alcohol Testing Program has reviewed all blood alcohol analyst files to ensure applicable permit checklists have been completed. The Program Manager and QA Manager will verify that new applicants' checklists are completed in accordance with the ATP Procedures Manual.	
EX-1516-01 Auditor General Operational Audit (Report # 2017-034)	Report dated 10/2016	Criminal Justice Information Services	**Finding 1:** Mental Competency Application Records. **Recommendation 1:** We recommend that Department management establish procedures to monitor the timeliness of entries into the mental competency (MECOM) application and continue to work with the Clerks to ensure that mental defectiveness adjudication and court-ordered mental institution commitment records are timely entered into the MECOM application as required by State law. **Recommendation 2:** In addition, we recommend that Department contacts with, and responses from, Clerks in counties for which no records are entered into the MECOM application are adequately documented.	Management agreed with all findings and recommendations. **Recommendation 1:** FDLE accepts this recommendation. FDLE has plans to enhance the existing procedures and commits to working in partnership with the Clerks of Court to ensure that mental defectiveness adjudication and court-ordered mental institution commitment records are timely entered into the MECOM application. In partnership with the Florida Court Clerks and Comptrollers Association, FDLE is building a Web-Service to connect the Comprehensive Case Information System (CCIS) and MECOM. The Web-Service that connects CCIS and MECOM will eliminate duplicate data entry by the Clerks of Court and enable timely submissions of court orders into MECOM and the National Instant Criminal Background Check System (NICS).	

				Additionally, FDLE is augmenting the MECOM user guide to emphasize the statutory requirement, F.S. 790.065(2)(a)4b(II)(D), for Clerks to enter mental competency records within specified timeframes and to provide detailed information on using system tools. **Recommendation 2:** FDLE accepts this recommendation. FDLE will send a formal letter from the FDLE CJIS Director requesting the status of records from Clerks of Court where no records exist in MECOM. Additionally, FDLE will continue to make periodic contact to ensure that Clerks of the Court have the information necessary to comply with FS 790.065(2)(a)4b(II)(D).	

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service):

Agency Budget Officer/OPB Analyst Name:

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

		Program or Service (Budget Entity Codes)								
	Action	71150200	71550200	71600100	71600200	71600300	71700100	71700200	71800100	71800200
1. GENERAL										
1.1	Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? **(CSDI)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:										
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.4	Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? **(CSDR, CSA)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status. **A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.**									
2. EXHIBIT A (EADR, EXA)										
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	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.	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:										
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.									
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.									
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.									
4. EXHIBIT D (EADR, EXD)										
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.									

	Action	Program or Service (Budget Entity Codes)								
		71150200	71550200	71600100	71600200	71600300	71700100	71700200	71800100	71800200
5. EXHIBIT D-1 (ED1R, EXD1)										
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:										
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences [with a $5,000 allowance] need to be corrected in Column A01.)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences [with a $5,000 allowance at the department level] need to be corrected in Column A01.)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.									
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.									
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2016-17 approved budget. Amounts should be positive. The $5,000 allowance is necessary for rounding.									
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.									
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)										
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.									
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)										
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. **(PLRR, PLMO)**	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y	Y	Y	Y

	Action	Program or Service (Budget Entity Codes)								
		71150200	71550200	71600100	71600200	71600300	71700100	71700200	71800100	71800200
7.16	Do the issue codes relating to special *salary and benefits* issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.17	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.18	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDIT:										
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? **(GENR, LBR1)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? **(GENR, LBR2)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? **(GENR, LBR3)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? **(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.									
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 72 of the LBR Instructions.									
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.									
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).									
TIP	If an appropriation made in the FY 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.									
8.	**SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level *or* SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)**									
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative**;** fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y

	Action	Program or Service (Budget Entity Codes)								
		71150200	71550200	71600100	71600200	71600300	71700100	71700200	71800100	71800200
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:										
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!									
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.									
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.									
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.									
9. SCHEDULE II (PSCR, SC2)										
AUDIT:										

Action	Program or Service (Budget Entity Codes)								
	71150200	71550200	71600100	71600200	71600300	71700100	71700200	71800100	71800200
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? **(BRAR, BRAA - Report should print "No Records Selected For This Request")** Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See *Base Rate Audit* on page 158 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)									
10.1 Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
10.2 Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y	Y	Y	Y	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)									
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.									
12. SCHEDULE VIIIA (EADR, SC8A)									
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)									
13.1 **NOT REQUIRED FOR THIS YEAR**									
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)									
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)									
15.1 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?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
15.2 Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
15.3 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?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
AUDIT:									
15.6 Do the issues net to zero at the department level? **(GENR, LBR5)**	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)									
16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. **The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.** (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:									
16.3 Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? **(GENR, ACT1)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? **(Audit #2 should print "No Operating Categories Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which should appear in Section II? (Note: **Audit #3** will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.									
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)									
17.1 Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y

	Action	Program or Service (Budget Entity Codes)								
		71150200	71550200	71600100	71600200	71600300	71700100	71700200	71800100	71800200
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.4	Does the LBR include a separate Schedule IV-B for each IT project over $1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: **IT@LASPBS.STATE.FL.US?**	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS - GENERAL INFORMATION										
TIP	Review *Section 6: Audits* of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.									
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.									
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)										
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.									
19. FLORIDA FISCAL PORTAL										
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y	Y	Y	Y