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**Legislative Budget Request**

Department of Legal Affairs

September 15, 2017

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

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221 Capitol  
Tallahassee, Florida 32399-1300

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Legal Affairs 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. This submission has been approved by Attorney General Pam Bondi.

Included in this submission is the Schedule VIII B-2 as required by Article III, section 19 of the Florida Constitution and Section 216.221(5), F.S. Required targeted reductions included in the Schedule VIII B-2 would have a significant impact to the important programs that provide services to crime victims and at-risk youth. It is the General's sincere request that if reductions become necessary, that impacts are minimal.

Sincerely,

Sarah Nortelus  
Budget Director

# **Legislative Budget Request**

**FY 2018-19**



## **Department of Legal Affairs Office of the Attorney General Department Level Exhibits and Schedules**

**PL 01 The Capitol  
Tallahassee, Florida 32399-1050**

# SCHEDULE IV-B – IT MODERNIZATION PROGRAM

For Fiscal Year 2017-18



September 4, 2017

**FLORIDA DEPARTMENT OF LEGAL AFFAIRS**

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## I. Schedule IV-B Cover Sheet

<b>Schedule IV-B Cover Sheet and Agency Project Approval</b>	
Agency: Florida Department of Legal Affairs	Schedule IV-B Submission Date: September, 2018
Project Name: <i>DLA IT Modernization Program</i> (DITMP)	Is this project included in the Agency's LRPP?  _____ Yes      _____ No
FY 2017-18 LBR Issue Code:	FY 2017-18 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Sarah Nortelus, (850) 414-3414, Sarah.Nortelus@MyFloridaLegal.com	
<b>AGENCY APPROVAL SIGNATURES</b>	
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:  _____	Date:  _____
Printed Name: Attorney General Pam Bondi	
Agency Chief Information Officer (or equivalent):  _____	Date:  _____
Printed Name: Douglas Smith	
Budget Officer:  _____	Date:  _____
Printed Name: Sarah Nortelus	
Planning Officer:  _____	Date:  _____
Printed Name:	
Project Sponsor:  _____	Date:  _____
Printed Name: Chesterfield Smith	
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## Executive Summary

### Proposed DLA IT Modernization Program

The purpose of this summary is to provide an overview of the proposed Information Technology (IT) Modernization Program for the Florida Department of Legal Affairs (DLA), the business case behind it, and the costs and expected benefits of implementing the program. Further details of the proposed DLA IT Modernization Program can be found in the Schedule IV-B – IT Modernization Program.

### Current IT Environment

DLA has been operating on the same technology systems and architecture for over twenty years. Like all law offices, DLA's business model is document intensive and governed by statutes, court mandates, and other requirements of the legal profession. In addition, Florida Sunshine Laws require DLA to maintain, and have quick access to, the vast majority of documents they produce or interact with. This has become increasingly challenging in the current business and IT environments.

Over the past twenty years, DLA's data consumption has grown exponentially: DLA's Sire Database now houses 14 terabytes (approximately 164 million documents) and is growing at a rate of 1.5 terabytes per year<sup>1</sup>. This far exceeds what the system was originally designed to do. Estimates show the current infrastructure will only support four more years of continued operations, assuming the current volume growth rate continues.

Further, the current systems were not designed to collect and categorize non-traditional data types and electronic system information (e.g., text messages, social network posts), which is becoming increasingly important in legal cases. This gap and limited standards for data classification creates a risk of inadvertent disclosure of confidential or exempt information. The failure to identify and secure data may lead to accidental or intentional data breaches.

Additionally, significant amounts of information collected by units within DLA are not accessible to other business units. This regularly creates situations where employees need to re-enter information in different systems. Information related to active case files is not stored in the Electronic Document Management System which provides role based access controls and usage logging. Instead, inconsistent data collection, format, and validation rules results in inconsistent and duplicated information which is difficult to analyze. There is no integration of data to enforce information consistency or a data warehouse to provide a single, seamless view into a particular case or subject matter.

DLA currently uses IBM Lotus/Notes instead of the Microsoft based platform. This is an outdated technology that is no longer widely used by businesses today. The IBM Lotus/Notes platform is not sufficient for today's business needs, and the databases do not meet functional requirements. In addition, it is extremely difficult to find developers with experience in IBM Lotus/Notes.

Because of this antiquated system, DLA has had to rely on their IT staff to create in-house applications to solve short term business problems and this solution relies heavily on existing institutional knowledge and experienced managers who understand the processes and custom designed programs with little to no external support. Even more problematic, the obsolete technology has forced DLA developers to duplicate databases over and over, in an attempt to maintain all needed functions for the entire agency in a rapidly expanding data environment. Currently, there are over 1400 databases that have been designed to accomplish slightly over 100 business applications. This business practice will become more and more untenable over time as experienced staff transition out of DLA in the coming years.

### Proposed Solution

DLA proposes conducting a full agency-wide systems modernization project: replacing the electronic data management storage system; installing customizable and commercially available case management software, modernizing email systems, improving analytical capabilities, and providing administrative and financial upgrades.

<sup>1</sup> For context, 14 terabytes are equal to about 28,000 hours (over three years) of CD quality audio recording. By another comparison, NASA's Hubble Telescope collects and archives approximately 10 terabytes of data each year. "NASA – NASA – The Hubble Story". Nasa.gov. 2010-04-29. Retrieved 27 July 2017.

This program will also include staff training to operate and support the new technology.

The proposed IT Modernization Program takes a holistic approach to modernizing the IT environment at DLA to ensure greater efficiency, better interoperability, reduced risk, and continuity of operations. Some major changes to the IT environment include:

- Replacement of Electronic Document Management Systems. This will allow DLA to keep up with expanding data needs, and to easily search and find documents, and more easily comply with information requests.
- Implementation of a modern Case Management system which will dramatically improve the speed in which documents are produced and approved.
- Migration from an in-house solution to a commercially available, supported, and modifiable solution.
- Upgrades to support applications needed by the business units.
- Increased mobility options for DLA employees.
- A hybrid data storage solution that allows for both cloud technology and direct controlled data storage.

## Cost and Timeline

Earlier this year, an independent feasibility study for the IT Modernization Program was conducted and determined the project will result in a positive return on investment which will break-even in value after 4.59 years. The overall net present value of this project is \$0.297 million dollars over a five-year period. This represents a positive return on investment of 13 percent for the State of Florida. Below is an overview of the estimated budget for this modernization program. A detailed cost-benefit analysis can be found in Section IV of the Schedule IV-B – IT Modernization Program.

Project Years			
FY 2018-19	FY 2019-20	FY 2020-21	3-Year Totals
\$ 7,354,981.41	\$ 8,499,022.54	\$ 6,352,978.57	\$ 22,206,982.52

### Exhibit 0-1: Estimated IT Modernization Budget Overview

Based on this assessment, DLA requests a total of \$ 22.21 million to implement this modernization program, with requests for \$7,354,981 in FY 2018-2019, \$8,499,023 in FY 2019-2020, and \$6,352,979 in FY 2020-2021. A breakdown of the timeline for the proposed program plan is listed in Exhibit II-31. The study estimates six fiscal years to implement this modernization program beginning in FY2017/2018 and through FY2022/2023. The first year will be designated for design, development, and implementation and the next three years would be allocated to purchase and install the new equipment and software. In addition, DLA anticipates two years to decommission legacy technology after the data and system users have been transferred to the new system(s). In addition to the costs and benefits calculated in this report, we believe that this modernization program will have an impact on DLA's maintenance and operational costs. The long-term cost and value of this cannot fully be determined until DLA has gone through the Pre-DDI process, and determined specific IT requirements and solutions for various units at DLA. The intent is that this feasibility study serves as a "road map" to guide DLA to the solution that works best overall.



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

### **A. Background and Strategic Needs Assessment**

#### **1. Background**

The Florida Department of Legal Affairs, also referred to as the “DLA” throughout this document encompasses the Office of the Attorney General (OAG) and serves as the law firm for the State of Florida.

The DLA is pursuing the modernization of key applications used to carry out the DLA’s mission. To determine the strategy to pursue, DLA assessed existing technology systems and developed recommendations to address the issues described in RFQ DLA No: DLA – 2017.07. The assessment evaluated system components, processes, and associated technical and operational risks, and staffing requirements to support the new environment. The results of the assessment led to the development of planning and budgeting documentation, and the evaluation of a build or buy decision for replacement or redesign of systems supporting core DLA business functions.

The Attorney General is the Chief Legal Officer for the State of Florida. The OAG is composed of several units whose chief goal is to economically and efficiently provide the highest quality legal services to the State of Florida and its agencies for the benefit of all Floridians.

Specific responsibilities enumerated in Article 4, Section 4 of the Florida Constitution and in Chapter 16, Florida Statutes, have been expanded through the years by the Florida Legislature and by amendment of the Constitution, for the protection of the public’s interests. The functions of the Office of the Attorney General span the legal landscape, from Capital Appeals and Medicaid Fraud to Child Support Enforcement, Ethics, and Elections. The broad categories of the DLA’s functions are Criminal and Civil Litigation; Victim Services; and Constitutional Legal Services. Exhibit II-1: Department Organization Chart shows the structure of units and resources at DLA.

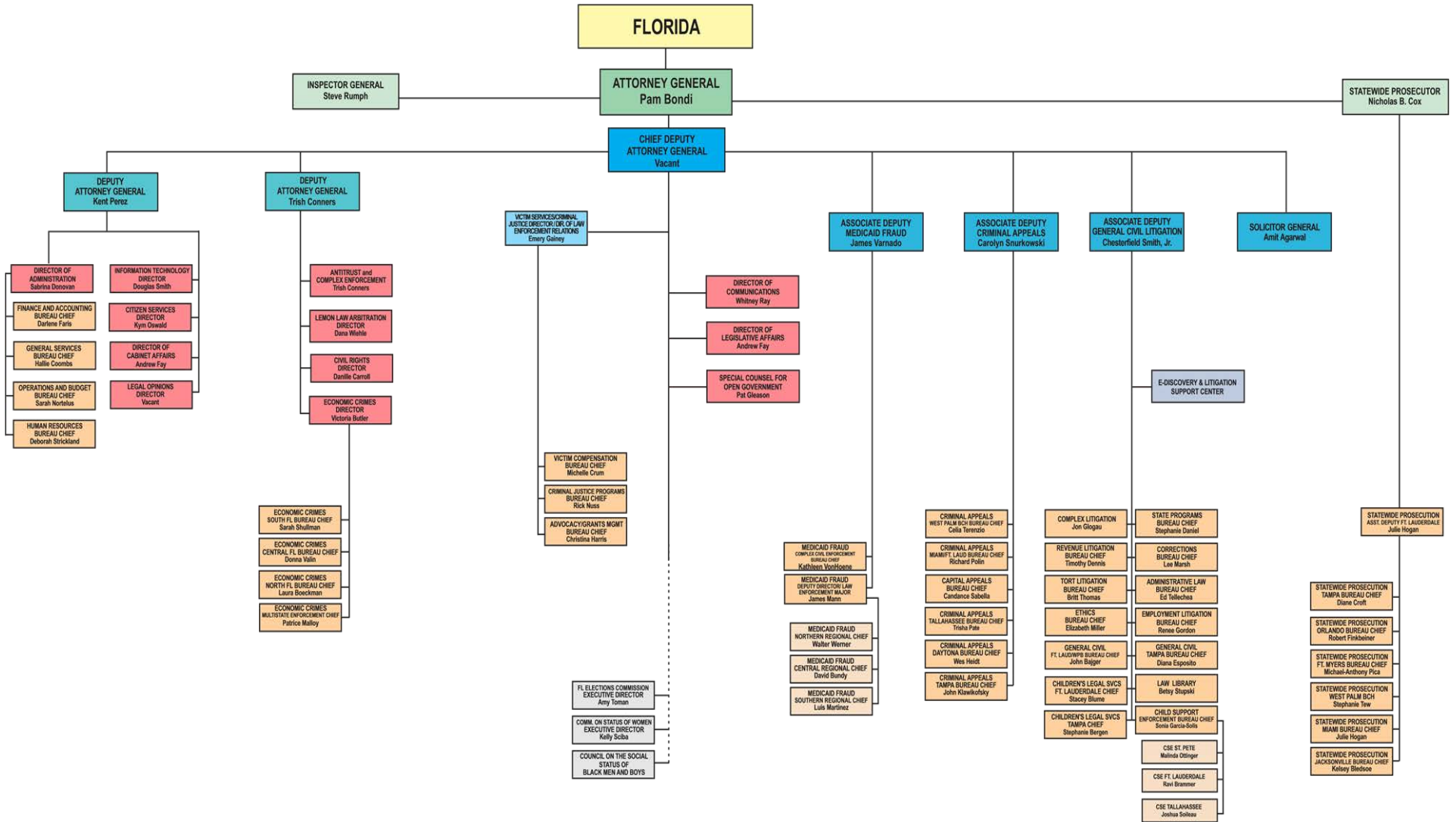


Exhibit II-1: Department Organization Chart

State law specifies that the Department of Legal Affairs (DLA) is responsible for providing all legal services required by State agencies, unless otherwise provided by law. The DLA's other statutory responsibilities include enforcing State consumer protection, antitrust, and civil rights laws, prosecuting criminal racketeering, operating the State's Medicaid Fraud Control Unit, and administering programs to assist victims of crime.

To carry out its responsibilities, the DLA operates through multiple program units, including Criminal and Civil Litigation, Victim Services, Executive Direction and Support Services, and Office of Statewide Prosecution. Exhibit II-2: Selected Program Unit Appropriations and Approved Positions for the 2014-15 Fiscal Year summarizes the 2014-15 fiscal year appropriations and approved positions for these program units.

<b>Program Unit</b>	<b>Appropriations</b>	<b>Positions</b>
Criminal and Civil Litigation	\$ 94,373,707	993
Victim Services	87,875,885	103
Executive Direction and Support Services	14,053,678	135
Office of Statewide Prosecution	6,991,130	67.5
<b>Totals</b>	<b>\$203,294,400</b>	<b>1,298.5</b>

**Exhibit II-2: Selected Program Unit Appropriations and Approved Positions for the 2014-15 Fiscal Year**

Source: Chapter 2014-51, Laws of Florida, General Appropriations Act.

## 2. Business Need

DLA processing is paper intensive and governed by statute, court mandates, and requirements of the legal profession. The systems and technologies the DLA uses are aging and the availability of people that can support these technologies is declining with approaching retirements. Using these technologies, DLA staff struggle to implement the business changes, updates and enhancements required by the DLA's business units on a timely basis. The DLA is proactively planning its future now, before information technology and staff availability further limit the DLA from adapting to the changing needs of the State and its stakeholders.

The DLA also is trying to address operational, reputational and information security risks that exist because of systems that lack an enterprise-wide strategic approach to collecting, storing, managing, or disseminating information:

- Significant amounts of data collected by units within the DLA are not accessible to other business units. Opportunities exist to reduce the need to re-enter information in different systems. Improving the enterprise use of DLA collected information presents significant opportunities to improve effectiveness.
- An integrated view across information assets (e.g. from using a single repository) would enhance the DLA's ability to determine if it is being fully responsive to public record requests and/or legal discovery processes.
- Current DLA systems, standards, policies, and procedures do not fully address non-traditional data types and electronic system information (e.g., text messages, social network posts). This gap and limited standards for data classification creates a risk of inadvertent disclosure of confidential or exempt information. The failure to identify and secure data may lead to accidental or intentional data breaches.
- There is no enterprise-wide data dictionary or metadata repository to catalog the characteristics and authoritative source of discrete data elements captured and used by the DLA.
- The DLA's current information management systems are stove piped repositories that manage data elements relevant to each unit. Inconsistent data collection, format and validation rules results in

inconsistent and duplicated information that is difficult to analyze. There is no integration of data to enforce information consistency or a data warehouse to provide a single, seamless view into a particular case or subject matter.

- Documents and electronic information related to active case files is not stored in the EDMS that provides role based access controls and usage logging.

The DLA faces a number of significant challenges to improve its information management capabilities. Analysis of the DLA's information needs identified specific initiatives to operationalize strategic improvements. Recommended activities include:

1. Evaluate content types and volume projections needed for future operations – Make a determination about the speed of paper document elimination, growth of email, growth of other types of content.
2. Define a strategy for paper document scanning – In nearly all industries, the use of paper documents is diminishing rapidly. Many organizations do not consider document processing as strategic and face significant costs to upgrade their scanning and document retention infrastructure. For this reason, outsourcing or consolidation of paper document scanning to another Agency is common and acceptable. The reasons organizations outsource paper document scanning are primarily because:
  - a. Paper document volumes are decreasing or projected to decrease rapidly
  - b. Vendors and other Agencies with large scale operations are more cost effective and secure than internal resources
  - c. There is a need to mitigate privacy and security issues
3. Implement an email archive solution to relieve volume pressure on SIRE software. An email archiving solution would eliminate manual user decisions that result in selective retention, store information in email format, reduce storage requirements, and improve the ability to search for information.
4. Update EDMS software (“SIRE”) to a vendor supported EDMS for document management. A suitable solution could be the Hyland OnBase software because there is a migration path and tools to move documents that are stored in SIRE. The content management strategy though could influence this decision. For example, if email content is removed and business processes of only storing closed case documents continue, a less comprehensive solution for EDMS hardware may be adequate. Likewise, an unstructured database solution may be adequate and provide future capabilities.
5. Change business processes to capture documents to the EDMS for active cases.

#### ***a. Applications***

The DLA currently custom develops, enhances, and maintains most of its business applications. The DLA developed applications over the past 20 years. Some business units also have procured tactical commercial-off-the-shelf (COTS) applications to meet specific needs. DLA applications reside on a technologically dated IBM Lotus Notes/Domino platform. DLA purchased and implemented IBM Lotus Notes/Domino as its main client server software platform in 1996. Since then, the DLA has used the product to develop customized applications for the DLA user database environment, as well as develop and maintain web presence and data-driven websites and capabilities. Continued use of this platform is creating challenges for the DLA. Specific issues include database size limits, lack of scalability of the Lotus Notes/Domino platform, required duplication of applications/databases, lack of integration with the document management system and issues in providing skilled people to provide support. The DLA also uses a custom developed email archive process that it built on the Notes/Domino platform. The email archive process saves email in SIRE as text and is inadequate for performing high volume policy based mail archiving. Overall, the current IBM Lotus Notes/Domino platform is not a market relevant solution, not strategic to the vendor, and represents significant architectural risk to the DLA in the future.

#### ***b. EDMS***

The current electronic document management system (EDMS) solution, SIRE, was purchased by Hyland and is obsolete from its vendor's perspective. The vendor does not sell the product to new customers, and plans no further enhancements or upgrades to the SIRE product. SIRE does not have the capabilities to process the ever-changing

suite of data content (e.g., video, social network data) found in today's technology sphere. An area of risk is the current SIRE repository is the largest SIRE has supported. It has over 14 Terabytes of data and it continues to grow every day. The DLA has seventy (70) licensed users that access SIRE.

The DLA is currently dealing with data management issues, trying to develop methodologies to address its eDiscovery and Public Records mandates. The DLA's SIRE EDMS limits the DLA's business practices.

### c. *Staffing*

An assessment of the IT staff profiles indicated an immediate skills and knowledge gap in six specific areas:

- Business Analysis
- Project Management
- Continuous Improvement
- Service Transition
- Management Information and Reporting
- Portfolio Management

## 3. Business Objectives

The business objectives of this project are to implement a technology strategy that addresses business systems issues and barriers in the areas of applications, electronic document management, and staffing that limit the effectiveness of the DLA to perform its mission.

Specifically, the DLA's business objectives for the project are to:

*Increase business agility* – Currently, technology constrains the ability of business units to make application system and business process updates to meet statutory requirements and effectiveness improvement initiatives. Improving business agility will allow DLA to respond quickly and thoroughly to short-suspense deadlines. It will also allow DLA to respond rapidly to emergency situations that might demand legal representatives on the scene of crisis situations as they unfold.

*Increase reuse of information* – Currently, technology has driven the creation of stovepipe application implementations that are not consistent. These systems often require users to spend time re-entering information from one application into another application. Further it is difficult to view and search for information across the application system boundaries. This undermines important cross unit functions and synergies. This change will dramatically free up the time of attorneys and legal professionals at DLA, allowing them to spend more time analyzing and investigating cases important to the State of Florida.

*Protect sensitive information* – An important objective of the project is to improve sensitive data protections throughout the life cycle of collection and use. Currently, documents and content for active cases are stored external from the EDMS (sometimes on workstation, server drives, or as paper) creating a risk of loss or inappropriate access. This component is critical to protect sensitive information in the coming decades.

*Support new data types and sources* – The use of new sources of electronic system information is expanding rapidly. This includes image, audio, video, social media data, web content, sensor data, and genetic data. An objective of this project is to improve collection and management of these new data types. Supporting these new data types will assist DLA attorneys in their investigations and trial presentations.

*Ensure accuracy of public information requests* – With the growing volumes of data and distributed information within units of the DLA, it is increasingly difficult to efficiently gather all relevant data that should be provided in response to a public records request. A business objective is to reduce the dependence on manual processes to preserve and provide information to satisfy records requests.

*Reduce the risk of catastrophic impact resulting from use of legacy technology* – The DLA relies on software that is no longer market relevant. In the case of SIRE the vendor supports, but no longer sells the solution to new customers. In the case of IBM Notes/Domino, industry analysts advise no new development and migration to more modern and market relevant solutions. This project aims to move DLA completely off of IBM Lotus Notes/Domino.

## B. Baseline Analysis

### 1. Current Business Process(es)

The proposed project will affect all people, business units, and functions in the DLA. The project touches a DLA-wide audience because it modernizes the core application systems, worker mail and office productivity tools, electronic document repository, and content archiving solutions. The project could also eventually affect information sharing partners. The project implementation approach would minimize impact to information sharing partners by maintaining current system interface formats during the migration to the DLA’s new integrated platform. Improved integration capabilities with the new platform would allow real-time integrations, sharing of more data sources and data types, and other changes that could eventually affect external information sharing partners.

Exhibit II-3: DLA Business Capability Model depicts an overview of the DLA business and functional capabilities. The model organizes business and functional capabilities into logical groupings. A brief definition of each capability or function follows in Exhibit II-4: DLA Business Capability Model – Business Functions, Exhibit II-5: DLA Business Capability Model – Business and Support Units, and Exhibit II 6: DLA Business Capability Model – Information Sharing Partners.

### DLA BUSINESS & FUNCTIONAL CAPABILITIES MODEL (BFCM)

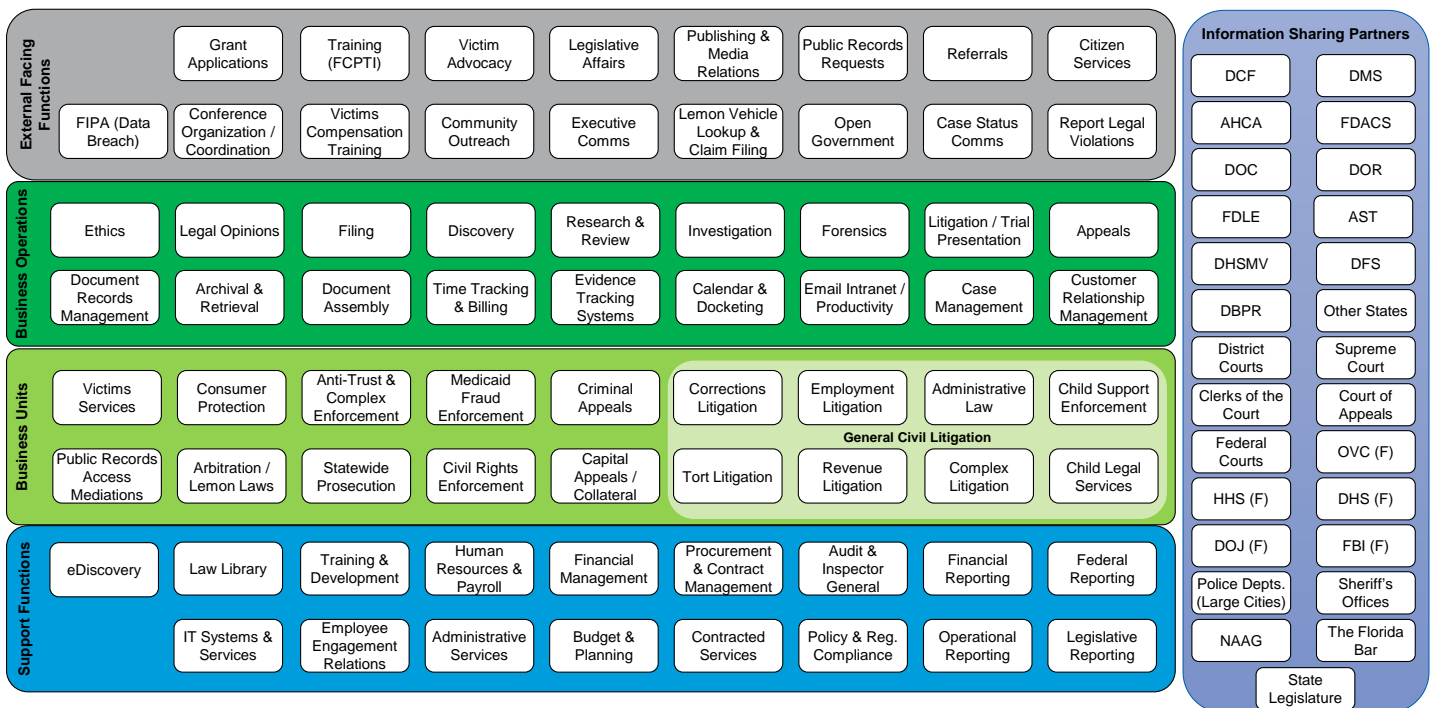


Exhibit II-3: DLA Business Capability Model

Area	Name	Definition
External Facing Functions	Grant Applications	Applications made to solicit funding (usually associated with Federal programs)
	Conference Organization & Coordination	The planning and managing of conferences for training and professional development purposes
	Training (FCPTI)	Florida Crime Prevention Training Institute



	Victims Compensation Training	Training offered to people & groups supporting victims of crime relating to compensation
	Victim Advocacy	Advocacy or representation for victims of crime undertaken by the DLA.
	Community Outreach	Activities associated with educating various communities about OAG services and assistance.
	Legislative Affairs	Activities associated with the interaction of OAG and the Florida Legislature.
	Executive Communications	Communications between OAG and the Governor/Cabinet.
	Publishing & Media Relations	Public Information Office activities and artifacts related to OAG.
	Lemon Vehicle Lookup & Claim Filing	This office manages an impartial arbitration system for faulty automobile sales.
	Public Records Requests	Management of activities associated with the public's requests for OAG records.
	Open Government	Linked to Public Records Requests and Access Mediation.
	Referrals	Processes related to the referral of cases and inquiries from or to external agencies.
	Case Status Communications	Activities associated with status reporting for ongoing cases to various interested parties.
	Citizen Services	Services provided to Florida citizens by OAG. Primary point of contact and interaction with the general public.
	Report Legal Violations	Complaints to OAG by consumers and constituents.
Business Operations	Legal Opinions	Review of legal issues in response to requests from other entities (including state agencies, local government entities and law enforcement agencies), includes Solicitor General.
	Ethics	Handles all ethics issues and cases on behalf of the State of Florida.
	Filing	Filing cases, documents, etc. with the courts.
	Discovery	The disclosure, by a party to an action, of relevant documents referred to by the other party (eDiscovery refers to information in electronic format.)
	Research & Review	Initial legal research as well as a reconsideration; second view or examination; revision; consideration for purposes of correction.
	Investigation	Investigating something or someone; formal or systematic examination or research; may utilize internal or external resources.
	Forensics	The use of science and technology to investigate and establish facts in criminal or civil courts of law.
	Litigation / Trial Presentation	The process of taking a case to a court of law.
	Appeals	An application to a higher court for a decision to be reversed.
	Document Records Management	The supervision and administration of digital or paper records, regardless of format.
	Archival & Retrieval	Moving and retrieving data that is no longer actively used to a separate storage device for long-term retention.
	Document Assembly	Systems and workflows that assist in the creation of electronic documents.
	Time Tracking & Billing	The process of tracking time and using the data to perform billing (where applicable).
	Evidence Tracking Systems	The administration and control of evidence related to an event.
	Calendar & Docketing	Management of proceedings/dates associated with judicial activities.
Email, Intranet & Productivity Software	Desktop and other general technology applications for internal users.	

**Exhibit II-4: DLA Business Capability Model – Business Functions**

Area	Name	Definition
Business Units	Victims Services	A Division of DLA that focuses on assisting victims of violent crimes through grant programs: This comprises victims' compensation, criminal justice programs and Victims Advocacy and Grants (VOCA).
	Consumer Protection	Looks into cases of alleged fraud towards consumers in Florida. They often collaborate with other states.
	Anti-Trust & Complex Enforcement	Works on anti-trust cases on behalf of the State of Florida.
	Medicaid Fraud Enforcement	This law enforcement unit investigates companies suspected of defrauding the State Medicaid program.

	Criminal Appeals	Handles all criminal appeals for the State of Florida.
	Public Records Access Mediations	Mediation in cases of public record request disputes between Florida public sector organizations and people putting in the request.
	Arbitration / Lemon Laws	Sets up and supports arbitration hearings for faulty car sale claims.
	Statewide Prosecution	Takes care of complex, criminal prosecution for the State of Florida. Often these cases cross county lines.
	Civil Rights Enforcement	Deals with cases related to alleged Civil Rights violations on behalf of the State of Florida.
	Capital Appeals/ Collateral	Covers all criminal appeals relating to capital crime cases within the state of Florida.
	Corrections Litigation	Handles with lawsuits filed against the Florida Department of Corrections by individuals currently incarcerated by the Department of Corrections.
	Employment Litigation	Focuses on litigation related to employees whose employment with the State of Florida was terminated.
	Administrative Law	Serves as council to professional licensure boards and disciplinary boards with DBPR and DOH.
	Child Support Enforcement	An office in DLA that has one client, the Department of Revenue (DOR). They engage in disputes over Child Support payments.
	State Programs	Provides legal defense to State agencies. This branch differentiates from Tort Litigation in that it focuses on litigation other than wrongful injury or death lawsuits.
	Revenue Litigation	Defends tax assessment decisions made by the DOR.
	Complex Litigation	Deals with civil litigation that is more complex or does not fit into one clearly defined category.
	Tort Litigation	Provides legal defense to State agencies and employees. This branch differentiates from State Programs as it specializes in wrongful injury or death lawsuits.
	Child Legal Services	Works to remove children from abusive or dangerous homes. These cases are due to drugs, violence, and/or mental instability.
Support Functions	eDiscovery	The disclosure, by a party to an action, of relevant electronic records referred to by the other party
	Law Library	A library designed to assist attorneys and anyone else who finds it necessary to correctly determine the state of the law.
	IT Systems & Services	Internal Information Technology and support services.
	Training & Development	Employee training and career development.
	Employee Relations	Staff Support Services and channel for grievances/complaints to be resolved, may interact with DMS to complete.
	Human Resources & Payroll	Employee management and payroll processing.
	General Services	This includes facilities management, mailroom, and print shop services.
	Financial Management	Activities surrounding customary finance and accounting operations/artifacts.
	Budget & Planning	Services around preparing and managing the DLA budget and planning cycle.
	Procurement & Contract Management	Activities associated with procuring third-party goods and services and contract management.
	Contracted Services	Third-party (external) services (e.g., outside counsel, IT support provided by vendors).
	Audit & Inspector General	Internal audits and IG activities.
	Policy & Regulatory Compliance	Oversight of DLA policy and regulatory compliance.
	Financial Reporting	Reporting associated with DLA financial management.
	Operational Reporting	Management reporting associated with internal processes.
	Federal Reporting	Federally mandated reporting (e.g., Medicaid fraud, crime statistics, Uniform Grant Guidance).
	Legislative Reporting	Reporting associated with requests/mandates from the Florida Legislature.

**Exhibit II-5: DLA Business Capability Model – Business and Support Units**

Area	Name	Definition
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Information Sharing Partners	Department of Children and Families (DCF)	Provides social services to children, adults, refugees, domestic violence victims, human trafficking victims, homeless community, and child care providers.
	Department of Management Services (DMS)	Supports other Florida agencies through business and workforce operations
	Agency for Health Care Administration (AHCA)	Administers the Florida Medicaid program, licenses and regulates Florida's health facilities.
	Florida Department of Agriculture and Consumer Services (FDACS)	Supports and promotes Florida agriculture, safeguards consumers, and ensures the safety and wholesomeness of food. Many of their programs and activities extend past agriculture
	Department of Corrections (DOC)	Manages the incarceration of convicted individuals.
	Department of Revenue (DOR)	Responsible for collecting taxes for the State government. They also manage the Child Support program for the State.
	Florida Department of Law Enforcement (FDLE)	Promotes public safety and strengthens domestic security by providing services in partnership with local, state, and federal criminal justice agencies to prevent, investigate, and solve crimes while protecting Florida's citizens and visitors.
	Agency for State Technology (AST)	Oversees the state's essential technology projects. Their director serves as Florida's Chief Information Officer.
	Department of Highway Safety and Motor Vehicles (DHSMV)	Duties include oversight and services (in conjunction with county tax collectors) for the issuance of driver licenses, and registrations and titles for automobiles, trailers, boats, and mobile homes.
	Department of Financial Services (DFS)	Provides information to and from the Statewide accounting system (FLAIR).
	Department of Business and Professional Regulation (DBPR)	Responsible for licensing and regulating businesses and professionals in the State of Florida, such as cosmetologists, veterinarians, real estate agents and pari-mutuel wagering facilities.
	District Courts	General trial courts in the federal court system.
	Supreme Court	The highest court in the United States.
	Clerks of the Court	Officers of the court system responsible for administrative duties and business processes of the courts.
	Court of Appeals	The second instance court in the U.S. Federal Court system.
	Federal Courts	The judiciary branch of the U.S. government. DLA often represents the Florida government in these courts.
	Office for Victims of Crime (OVC)- Federal	This office within the U.S. Department of Justice administers State victim assistance and compensation programs through the Victims of Crime Act (VOCA). These grants supplement state funds that reimburse victims for out-of-pocket expenses resulting from the crime.
	Health and Human Services (HHS) - Federal	This department manages Medicare for the federal government.
	Department of Homeland Security (DHS) - Federal	A federal intelligence and security service. This agency cooperates with DLA on certain criminal investigations.
	Department of Justice (DOJ) - Federal	DLA's federal counterpart. They contain the FBI and the Office of Victims of Crime (OVC).
	Federal Bureau of Investigation (FBI) - Federal	A federal law enforcement agency. Works with DLA on cases that may cross State lines.
	Police Departments (large cities)	All police departments from major metropolitan areas that OAG interacts with, or exchanges data with.
	Sheriff Offices	Each County's Sheriff's offices that OAG interacts with, or exchanges data with.
	Other States	Any other states that FL OAG is interacting with to prosecute complex or multi-jurisdictional cases, etc.
	National Association of Attorneys General (NAAG)	Membership bodies that OAG interacts with.
	The Florida Bar (TFB)	Membership bodies that OAG interacts with.
State Legislature	The legislative branch of the Florida Government. Provides funding to the DLA in yearly State budgets.	

Exhibit II-6: DLA Business Capability Model – Information Sharing Partners

The DLA engaged a vendor to assess existing technology capabilities ability to support the DLA business processes and develop recommendations to address opportunities and issues. The assessment consisted of an evaluation of system components, processes, technical and operational risks, and staffing needs to support DLA business processing.

The assessment scope consisted of:

- Validation of the existing application inventory
- Analysis of the existing electronic document management system (EDMS)
- Analysis of current staffing levels and types to support legacy systems
- Market research about the technology and systems of other state-level Attorney General Offices

In conducting the assessment over the course of approximately two months, the vendor's team members:

- Met with over 75 DLA staff members to learn about their use of information technology resources provided by DLA's IT staff
- Conducted one-on-one interviews and group working sessions with technical staff, bureau chiefs/staff, and the DLA's executive leadership team
- Inventoried internal IT applications associated with major business (functional) processes
- Inventoried applications developed and procured from external sources
- Conducted in-depth interviews with DLA IT Application Development and Infrastructure Support staff to assess staffing levels and usage across the full spectrum of DLA applications
- Engaged with IT staff and archival unit staff to fully document the current Electronic Document Management System, SIRE, currently used by the DLA
- Met with the Statewide Prosecutor and his staff to discuss their plan to procure a new case management and EDMS solution
- Met with the DLA's financial team to better understand DLA's budgeting, cost, and allocation models
- Spent a week in Tampa to gain insight to operations and needs in field offices (visits included Children's Legal Services, Child Support Enforcement, Victim's Services, Medicaid Fraud, Criminal Appeals, Capital Appeals, and Lemon Law)
- Attended a Drug Court session in Tampa to better understand the actual use of IT solutions in a courtroom environment

The research, interviews, and analyses provided a foundation from which the team was able to determine and document where the DLA technology and strategy currently falls across three disparate spectrums: Buy vs. Build, Centralized vs. Federated, and Generalized vs. Specialized.

**Buy vs. Build** – At one end of this spectrum, all information technology (hardware, software, and human resources) is purchased, leased, or licensed from 3rd parties; at the other end, the DLA develops, enhances, and maintains all IT resources (includes software and human resources; hardware is purchased or leased).

**Centralized vs. Federated** – This relates to governance and funding. Centralized means all IT activities (and funding) are controlled by single, central authority within the DLA (all DLA business units rely solely on the IT unit for all information technology needs); the Federated end of the spectrum means that each DLA business unit procures its own information technology resources to meet their respective needs.

**Generalized vs. Specialized** – This spectrum has various meanings, highly dependent upon context.

For Applications, Generalized means applications are procured from a single vendor (e.g., Microsoft) which may have a suite of offerings to meet various business needs. The Specialized end of the spectrum relates to Best of Breed applications, which represent the best possible solution for a given need.

For EDMS, Generalized refers to a solution which can process many kinds of data (e.g., documents, email, and geospatial data), but does so in a manner which may restrict or limit the use of that data. For EDMS, a specialized

solution includes many Best of Breed components that are highly adept at processing specific data types (e.g., photos, videos, and social media).

For staffing, the spectrum relates to skills and knowledge. Generalized refers to a cadre of resources who possess a wide range of skills and knowledge which may be used to address DLA needs across the full suite of its IT assets. Specialized is related to resources who are highly trained on a single (or limited) technology.

Analysis and market research enabled the DLA to evaluate technology solutions and strategy changes that could better support DLA business processes for the foreseeable future.

#### *a. Analysis - Applications*

The DLA's inventory of applications was determined through two fundamental processes. The first process was empirical, based on an existing catalogue maintained by the Information Technology Application Development staff. The second methodology was anecdotal, involving personal interviews with DLA staff.

For the first process, a list of over 1,400 reported applications was "normalized" (i.e., duplicates were removed or combined, entries for non-applications were deleted) and the various applications were categorized by business function (e.g., Case Management, Time Tracking).

A parallel process was undertaken during interview sessions (group meetings of individuals from a given functional area or leadership team and one-on-one settings with key personnel) with over 75 staff members, from multiple units and locations, who were asked, "What applications do you use while performing your duties?" The results of staff feedback were compiled and compared against the normalized inventory provided by the Application Development staff (see Appendix F for a detailed list of interviewees.)

Over the last two decades, internal staff has custom-built most of the DLA applications using IBM's Lotus Notes/Domino platform. IBM Lotus Notes is the workstation application that provides email and Notes database application access. IBM Lotus Domino is the server infrastructure that provides a complete development framework to create, deploy, and manage multiple distributed Notes database applications.

Because the DLA uses the IBM Lotus Notes email platform, many instances of the current application suite are tightly coupled to the DLA's email solution. Many of the custom-built Case Management and Trouble Ticketing systems rely upon an email as the trigger to start a case or to open a support request. [Note: the high level of Notes-based email/application integration presents a significant challenge for the DLA as it attempts to migrate to a Microsoft Outlook email solution.]

Some of the key business functions being performed by these applications include:

- Calendaring and Docketing
- Customer Relationship Management (CRM)
- Case Management
- Document Records Management
- Time Tracking
- Evidence Tracking Systems
- Reporting (e.g., Federal, Financial, Management)
- Grant Management
- Trouble Ticketing

As previously noted, the full spectrum of applications includes a mixture of internally developed applications and commercial solutions.

The DLA's application inventory is a combination of commercial off-the-shelf (COTS) software packages and custom software solutions developed by both internal staff and external resources. The DLA wants to move away from custom developed applications and use more COTS solutions or services in the future.

Almost every one of the DLA’s Business Units implemented one or more applications to address their business process needs. Those applications are tailored to unit specific operational needs. Multiple instances of similar applications support the common business functions of the DLA. For example, there are 34 Case Management applications, many of which share a fundamental codebase that was modified over the years in response to specific requests made by individual business units. As a result, the applications may be considered, generically, as the same “type” of application with the same starting point, but they are different due to enhancements and modifications made over time. A summary of the DLA’s current application inventory, organized by function, is shown in Exhibit II-7: Application Instances by Function (see Appendix G for a detailed list of applications.)

Function	Instances
Accounting and Finance	3
Calendar and Docketing	8
Case Management	34
Conference Management	1
Contact Management	2
Customer Relationship Management (CRM)	16
Document Records Management	24
eDiscovery	6
Email, Intranet & Productivity Software	11
Evidence Tracking Systems	2
Federal Reporting	1
Finance Reporting	1
Grant Management and Reporting	3
Human Resources	1
Management Reporting	4
Procurement and Contract Management	2
Public Records Access Mediations	2
Time Tracking	4
Training and Development	4
Trouble Ticketing	1
Web Publishing	1

**Exhibit II-7: Application Instances by Function**

Approximately 95% of the applications are custom built and maintained/enhanced by internal staff; others were developed and are supported by external entities. The inventory also includes COTS packages purchased by various DLA business units to address specific business/technical needs.

The DLA’s heavy reliance on the Lotus Notes/Domino platform for a significant portion of its business applications/solutions has exposed some real and perceived risks:

**Database Size Limits:** Lotus Domino databases are limited to 64 Gigabytes (per instance). As a result of the vast storage volumes associated with the DLA’s work (the State’s law firm), application development staff are routinely required to create new iterations of the many databases to allow for future growth.

**Email Integration:** The tight integration of the Lotus Notes email system with many DLA applications presents a challenge as the DLA moves to an Outlook email implementation. Numerous existing Notes applications also are integrated with SIRE.

**Platform Migration:** Migration from Notes/Domino applications to other platforms or COTS solutions may be more difficult for solutions that require export/transform/load (ETL) processing for legacy data records. Generated



PDF documents use the structure of an underlying document (e.g. Microsoft Word) allowing the text to be stored as text. This allows search, copy, and content based analysis.

Most documents in the DLA EDMS are scanned PDFs. These documents allow electronic retention and distribution, but are of limited usefulness in supporting electronic discovery, content based access controls, analytics, and other types of productivity improving automation.

The DLA adds most case documents to the DLA EDMS after a case is closed. The full case file is scanned and archived. While the case is active, most units do not store documents in the EDMS. For units that do not save documents in the EDMS, the documents are maintained as electronic files stored on local workstations, on network file drives, or printed and kept in paper files. These methods limit document sharing, document access tracking, and business continuity capabilities.

## **Email**

Archiving of email records relies on users to mark specific email messages for retention. The DLA has modified the Notes email application to include an archive button. When users select this button, the specific email message is saved to an interim Notes Archive database. An asynchronous process copies emails from the Notes Archive database to the SIRE EDMS and marks records in the Notes Archive database as processed. The current email archiving process has several issues:

- It requires user discretion and thus may not be complete
- It requires user time
- It creates processing load on user workstations and notes servers
- The SIRE system saves each email message as a text document
- The SIRE system does not have storage saving and search features designed for email

The recommended process for email archiving is to store email messages at the email server level based on pre-defined information management policies. Most email archive solutions allow configuration to control archive policy based on organizational unit, account, types of message, or specific content in the message.

## **Evidence**

The DLA also uses the EDMS to retain certain electronic evidence. This can be dispositions, narratives, test results, and a variety of types of information. The growth of data sources and types will expand the need for advanced content management if electronic content is used in cases.

## **Content Organization**

The SIRE EDMS solution stores and organizes the information into categories, folders, and documents.

**Categories:** Logical groupings of content that organize multiple related folders and documents. There are approximately 120 EDMS categories. The categories are usually aligned with an organizational unit that owns and manages the data.

**Folders:** Logical groupings of documents that store content related to an activity. A folder might contain all content from a piece of mail with each document in the envelope stored separately. A folder could also contain the images of all content from a paper folder.

**Documents:** Discrete groupings of information within a folder. A document could have one or more pages. Sometimes multi-page documents are stored as a single document and sometimes the system stores each page as a separate document.

## Volumes

Exhibit II-8: EDMS Content Volumes March 2017 shows the number of categories, folders, and documents in the EDMS (SIRE) as of 3/29/2017.

Sections	Folders	Documents
94	29,657,605	163,817,215

Exhibit II-8: EDMS Content Volumes March 2017

## Sources

Exhibit II-9: Document and Content Sources shows the primary sources, format, and relative volumes for documents in the EDMS. The capabilities and licensing of the SIRE EDMS do not allow all listed document and content types to be managed in SIRE.

Document/Content Source	Format	Data Volume
Paper copy of Closed Case File	Paper	High
Postal Mail	Paper	Low
Manually Received Paper	Paper	Low
Print of Transmitted Files	Paper	Low
Fax Machine	Paper	Low
Fax Server	TIFF, jpeg	Not Installed
Public Website File Upload	Various file types (PDF, doc, XLS, ...)	Not used
Email Attachment	Various file types (PDF, doc, XLS, ...)	Low
File Transmission	Various file types (PDF, doc, XLS, ...)	Low
Electronic court records	PDF	Low
CRM system records		Not available
CRM – telephony (IVR, routing)		Not available
CRM – call, chat recordings		Not available
CRM – agent notes		Not available
Website usage history		Not installed
Website content		Not installed
Outbound Notices – paper		Low
Outbound Notices – SMS		Low
Outbound Notices – email		Low
Email Internal Usage	EML, MIME	High
Email Inbound from Public	EML, MIME	Medium
Email Inbound to DLA employee	EML, MIME	Medium
Email contracted legal provider	EML, MIME	Low

Email Outbound	EML, MIME	Low
Office Productivity Software – Internally Generated	Various file types (doc, XLS,PPT, ...)	Not available
Social Media		Not available
Evidence		Low
Filings		Low

**Exhibit II-9: Document and Content Sources**

## **System Components**

### **Capture**

DLA uses Fujitsu scanners for high volume paper document scanning. These scanners integrate with CoFax software that provides the user interface to control document scanning and metadata entry for scanned documents. DLA has 14 scanning devices used for the following purposes:

- Initial Scan – 6 (Fujitsu Fi-6800)
- Quality Control – 5 (Fujitsu Fi-6800)
- Re-scan – 1 (Fujitsu Fi-6770)
- Index – 2 (Fujitsu Fi-6800)

Scanners are used for one eight-hour shift followed by a four-hour shift each day, Monday - Friday.

DLA purchased Lexmark multifunction devices for workgroup print, fax, and scanning support. The Lexmark multifunction device-scanning interface does not currently interface with SIRE.

The overall document capture process consists of the following activities:

- Various DLA components prepare case files for archive, inserting specially formatted barcode sheets to separate the respective case file contents.
- The case files are shipped (large boxes) from the business units to the archive center in Tallahassee.
- Staff processes a box at a time, pulling out the first case folder, and scans it (500 pages at a time) into a SIRE intake drive. Once the scanning process is completed for a box of case files, the box is moved to the Quality Control (QC) workstation.
- Each page of the scanned case files is reviewed for quality against the scanned images (all files stay on the temporary SIRE storage drive). Quality errors are flagged with thin sticky notes affixed to the paper documents that correspond to the scanned images; imaged files are not modified.
- Once a full box has been reviewed for quality (QC), the box is moved to a re-scanning station, where staff looks for the sticky notes attached to physical documents, finds the corresponding scanned image, re-scans the physical document, and replaces the image errors with the new scanned image on the temporary drive. Once completed, the case file box moves to the index station.
- The indexers add indexing data and do final quality checks. Images on the temporary storage device are then loaded into the SIRE production system (the physical case files are then shredded).

### **Indexing**

As previously described, case file documents are separated using barcoded sheets. The barcoded sheets identify the case and available metadata fields. The DLA’s SIRE system stores seven metadata fields:

- AG Number

- Court Number
- Lead Council Name
- Unit Name
- Lower Court Number (not always applicable)
- Archive Date (done automatically)
- Document Type

## **Storage**

As of the date of this document, SIRE uses over 14 Terabytes of storage. The DLA has 20 Terabytes of storage that provides capacity for future usage. SIRE currently grows at approximately 1.5 Terabytes per year, which will support approximately four years of continued operation assuming the current volume growth rate.

## **Image Retrieval**

Images retrieved from the EDMS display using the application associated with the document file suffix. This is primarily a browser or Adobe application for PDF files.

## **Electronic Document Workflow**

The workflow features of the SIRE EDMS are not used to manage the document ingestion process or document lifecycle.

## **Data Type Conversion**

The DLA does not use the EDMS to convert documents to other document formats (e.g. Microsoft Word to Adobe PDF).

## **Compound Document Management**

All documents are managed as individual documents. DLA does not use compound document management capabilities.

## **User Interface**

Few users access document images from the SIRE user interface. Some Notes case data management applications store hyperlinks to document images in Notes database records associated with a case. Users click on a hyperlink to view the requested document image.

## **Hosting**

The DLA EDMS system is hosted by the DLA IT organization (infrastructure, hardware, and software). The system has 14 Fujitsu scanners in its central archive-processing center in Tallahassee and approximately 35 Fujitsu scanners located in various business units across the state.

## **Document Security and Access**

Role based access is granted to each DLA employee as needed by job responsibilities. Document access rights are primarily controlled at the category and folder level, but can be controlled by document type or document.

## **User Access Rights**

The EDMS authenticates users against the Active Directory. The system uses a role-based access policy to allow document access by each DLA employee, as needed, by job responsibilities. Most users have inquiry access allowing viewing of documents and metadata. There are two support resources with administrator access levels.

## **Network**

The DLA uses a private network for transmission and access to documents within EDMS. Some users reported response time or timeout errors that could indicate the network bandwidth or other issues may be a constraint. The file size of large scanned image format documents can be large. Other network activity may create resource contention at peak times.

## **Document Preparation**

**Preparation:** DLA scanning personnel do barcode sheet verification, document straightening, staple removal, paper clip removal, flattening, and other activities to avoid scanning errors.

**Quality Control:** DLA reviewers do quality assurance reviews on 100% of scanned images. Reviewers check for images that are missing, skewed, not readable, or incomplete. If a document contains a bad page, the document is sent for rescanning to correct the bad page(s).

## **Records Management**

### **Public Records Request**

The EDMS is not used to manage the public records request process, although it may be searched to respond to them.

### **Archival**

Documents in the EDMS are retained in the primary EDMS storage. Records are not archived to other media, lower tiered storage, or offsite storage.

### **Destruction**

Documents in the EDMS are permanently retained. There is not a formal document destruction process or policy.

### **Redaction**

The EDMS does not provide content redaction suggestions. This is currently performed manually by DLA.

## **Software**

SIRE software, (purchased from SIRE Technologies, Inc.), is the EDMS system that DLA uses. In December 2012, Hyland Software acquired the SIRE Technologies Inc. software company. Hyland merged technology from the SIRE Technologies into Hyland's EDMS product, OnBase Software, and decided to support current SIRE customers, but no longer sell the SIRE product to new customers. Hyland Software commits to provide support for the current SIRE software implementation and sell incremental SIRE user licenses, but Hyland is only implementing new development, features, upgrades, and improvements to Hyland's OnBase EDMS product that Hyland licenses separately. Hyland provides a migration path and conversion tools to migrate documents and index information from the SIRE EDMS system to an OnBase EDMS implementation. Hyland had approximately 350 SIRE

customers at the time Hyland acquired SIRE Technologies. Hyland has migrated about 60 SIRE customers to use the OnBase software. It is common for vendors that acquire products and merge functionality into a different product they offer to support the obsolete product for about 5 years before dropping support. Though Hyland publicly currently commits to support the SIRE product, the SIRE product is approaching the timeframe at which vendors routinely announce end of support.

**Product**

As of the creation of this document, the DLA is running SIRE software version 6.6.0 build 0000130.

**Maintenance and Support**

Hyland Software provides vendor support for SIRE software. Hyland has committed to provide continued support. Multiple people within DLA interact with Hyland Software to request SIRE support. Hyland provided SIRE support is maintenance only; Hyland does not provide upgrades to the SIRE software.

**EDMS Usage and Support Personnel**

The primary users of the EDMS are staff that prepare, scan, and index documents and staff that access documents as part of their normal duties. A group of approximately twenty-five centralized staff members (FTE and OPS) perform high volume document preparation, scanning, and document indexing. A centralized group located in the Collins Building performs high volume document capture activities. For documents collected in remote offices, low volume, or single page document scanning, some staff use desktop or workgroup scanners to add documents to the EDMS.

Central DLA IT supports the EDMS infrastructure and system software administration. The EDMS software vendor provides product phone support under the terms of a software maintenance agreement.

Exhibit II-10: EDMS Users and Support Personnel summarize the number of resources that interact with the EDMS.

Description	FTEs
Users performing centralized paper document scanning and capture	~25
Users performing desktop document scanning and capture	~60
Users accessing documents and content in the SIRE EDMS	150-400 est.
Users that access archived email content in the SIRE EDMS	2
Users of SIRE EDMS software application (e.g. advance scan)	<150 est.
SIRE EDMS system support personnel	2

**Exhibit II-10: EDMS Users and Support Personnel**

The EDMS as currently used plays a limited functional role in DLA’s normal business practices. EDMS primarily stores:

- Documents from closed cases that are used as business records
- Email messages that are manually marked for retention
- Electronic evidence

Many organizations use an EDMS to protect access to electronic records. Those organizations capture electronic content at the point of a business transaction. DLA is unusual in that documents are stored externally from the EDMS until the associated case closes. Most units currently store documents from open cases locally on workstations, on server file shares, or as paper documents in physical files until the case closes. Most DLA units do



not store documents from active cases in the EDMS. Because cases may be open for years, management of most documents for active cases is done external to the EDMS.

The DLA’s applications and its email system are tightly integrated with the EDMS. The SIRE software supports basic needs of the DLA, but users of the EDMS routinely experience slow response time, and dissatisfaction with the EDMS.

Exhibit II-11: Use of EDMS Capabilities shows the capabilities offered by EDMS solutions in the commercial market and highlights those portions currently used by the DLA.

Content Type	Capture Options	Indexing	Secure Storage	Access Controls	Search	Workflow	Continuity /DR
Document Images	High Speed Scanning	No Indexing	Workstation Storage	Application Access	No Search	Not Using Workflow	Data Backup / Replication
Native Documents	Work Group Scanning	Document Type	File Server	Role Based Access	Application Based Search	Document Workflow	Use of Server Virtualization
Email	Inbound Email Detachment	Case Identifier	Database	Content Type Access	Document Type Search	Application Workflow	Cold Failover
SMS	Manual File Detachment	Document Identifiers	Encrypted Database	Content Based Access	Metadata Search	Email Integration	Active / Active Failover
XML	File Transfer	Person Identities	Document Versioning	EDMS Admin Access	Full Text Search	Task list Client	Use of Virtual Servers
Photo	Inbound Fax Server	Barcode	De-Duplication	Public Access Controls	Advanced Content Types	BPEL / BPMN	Virtual Infrastructure
Voice	Web Application Upload	QR Code		External User Access			Cloud Replication
Video	Mobile App Upload	Full Text Indexing					
Social Media	OCR Field Recognition						
Sensor	Conversion						
Biometric							
Genetic							
Multi-Type							

Exhibit II-11: Use of EDMS Capabilities

### EDMS Application Integration

The EDMS is integrated with a number of important DLA applications. The primary application integrations with the EDMS are:

EDMS Application Integrations	Description
Notes email client	Custom button allows users to mark an email which is copied to another Notes DB and then uploaded to the SIRE EDMS
Notes email retention database to SIRE	After emails are marked for retention and copied to a Notes database, a Notes process will push the marked documents into SIRE
Notes DB Applications –	Link from Notes documents in notes database applications allowing retrieval of a

<b>Document Links to SIRE documents</b>	document image into a browser window.
<b>Notes DB Applications – Link to SIRE Search</b>	Link from Notes documents in Notes Database applications allowing access to SIRE content search page.
<b>Microsoft Office</b>	Email integration being evaluated
<b>Public Records Request Application</b>	Leverages the SIRE to extract information in support of the overall requests.

### Exhibit II-12: EDMS Application Integrations

Changes to the EDMS that affect application integrations are an important consideration in the modernization project plan as they highlight potential functional and technical risks due to their potential complexities.

#### **Email Archiving**

Email content is a significant volume of SIRE EDMS documents. In the SIRE system, email content represents approximately 19% of all documents in the repository. The SIRE software is designed for document storage. Email messages in SIRE are saved as text. The SIRE software stores the entire text of each complete email message independently. SIRE does not have advanced email processing, retention, and indexing features. Specialized email archive solutions store email messages efficiently and provide advanced search features. Specialized email archive solutions store a copy of an email message once and use indexes to point to the single copy in cases where the document is sent to multiple recipients, when the document contains a reply, or when it is part of a forwarded email chain. These specialized features reduce storage use dramatically. Email archive solutions also differentiate message body and message thread history allowing more advanced search capabilities. Using a separate specialized email archive product would reduce the volume and technical demands on the current SIRE system and the Notes architecture.

#### **Legal Acceptance**

One of the most important aspects for the legal defensibility of a records management system is the integrity of the business process that governs its operation. Setting up guidelines and policies and abiding by those guidelines is more important than the EDMS technology used. Ultimately, the document management system must adhere to all the records management policies set forth by the DLA (e.g., retention schedules).

#### **Strengths**

- The DLA performs high volume document capture and management using the EDMS
- Content is organized into logical categories aligned with business operations
- Role based access controls are used to enforce access policies
- Storage was recently upgraded
- Manual quality control (QC) review processes verify image quality of content stored in EDMS

#### **Weaknesses**

- Few units store documents from active cases in the EDMS, (DLA primarily uses SIRE to archive closed cases)
- SIRE software is no longer sold to new customers and is not being enhanced by the vendor
- Scanned content is stored in scanned PDF or TIFF image formats that cannot be searched or analyzed
- Only seven fields of metadata are saved for search indexing
- User action and discretion are required to archive email message to SIRE
- Email archive messages are stored in raw text format without format and structure
- System uses premise-based infrastructure

- SIRE software is not designed for email retention and saves each mail message and history as full document in a text based format
- Document retention practices do not allow for the destruction of content

### **Opportunities**

- Reduction of paper document scanning
- Reduction or elimination of printing electronic documents and rescanning as images
- Eliminate the scanning of entire paper case files when documents are added
- Integration of SIRE and Lexmark multifunction scanner printers
- Integration of Optical Character Recognition (OCR) to enable full text indexing and search
- Increase indexing of documents
- Investigation and possible implementation of SIRE product workflow capabilities
- Increasing integration with other agency data sources
- Reduction of document scanning preparation activities
- Usage of faster scanners or integrated scanning stations
- Engage in Business Process Analysis to evaluate, improve, or eliminate functional activities within all DLA business units

### **Threats**

- Documents of open cases may not have the security and access protections of EDMS documents because documents can be stored on workstations and server file shares that have less protection than an EDMS
- Documents of open cases may not have the disaster recovery protections of EDMS documents
- Unknown ability to recover EDMS and processing from alternate site if there were a disaster
- Ongoing risk of Hyland's continued support for the SIRE product
- Increased size and number of documents per case
- Increase in business activity that drives increased document capture
- The DLA's inability to identify and retrieve data within its purview makes it difficult to determine if it is fully responsive to public record requests
- Data that is incorrectly categorized may lead to inadvertent disclosure of Confidential or Exempt information
- The failure to identify and secure DLA data may lead to accidental or intentional data breaches
- Personal computing devices and a vast array of communication methodologies (e.g., Twitter, Facebook, text messaging, personal email) have become pervasive in our society. The use of smart phones and personal computing devices in the performance of state business is subject to statutorily mandated disclosure. Failure to adequately understand and address technical platforms may result in the inadvertent compromise of DLA IT assets and the creation of inappropriate data repositories

### **Disadvantages and Risks**

Though EDMS and document imaging solutions offer great potential for efficiency gains, the technology, and more importantly, the imaging process, can have some drawbacks if not designed and implemented properly. Some of the possible areas of concern include:

- Potential poor quality images
- Incorrectly indexed documents
- Time investment for document preparation, capture, and indexing
- Capital investment for technology
- Changing technology standards
- Training of personnel

- Risk associated with poorly planned implementation
- Security and confidentiality compromises

### **Analysis - Staffing**

The vendor undertook a systematic approach to the analysis of current staffing levels and types that are in place within the DLA's IT unit to support current operations and application development.

Using staff data collected from PeopleFirst and the application portfolio list, interviews and working sessions were held with members of the DLA IT leadership team. The purpose of those meetings was to validate the data and then to apportion staff to specific IT infrastructure and application support activities.

The staffing analysis used a vendor provided best practice IT operating model as a reference to categorize the IT staff and their roles within the model.

One way of representing the decomposition of a best practice IT operating model, is shown in Exhibit II-13: Best Practice – Operating Model below. There are four major component parts to this model, each with a number of sub-components (some of which may have cross-functional boundaries):

**Shape** – All activities relating to Technology Strategy and Architecture, along with demand management of the business customers and end users' future technology needs

**Build** – Any activities relating to the delivery of projects to design build and configure future solutions, including project management and business analysis

**Run** – The overall operations and maintenance of the IT function, including all break/fix support such as the helpdesk, 2<sup>nd</sup>/3<sup>rd</sup> line support and other activities involved in Testing and Service Transition

**Govern** – Consists of all necessary support functions, to ensure the smooth running of the IT function (in conjunction with services provided by third party vendors)

There is a further grouping of sub-functions described in this model as “Business Engagement,” which represents customer-facing IT activities and require interactions with end users or business stakeholders such as demand management, business readiness and communication, and training. These are separated out because they will often drive the end user perception of the strength, value, and responsiveness of an IT function and necessitate robust lines of communication and effective governance to be successful.

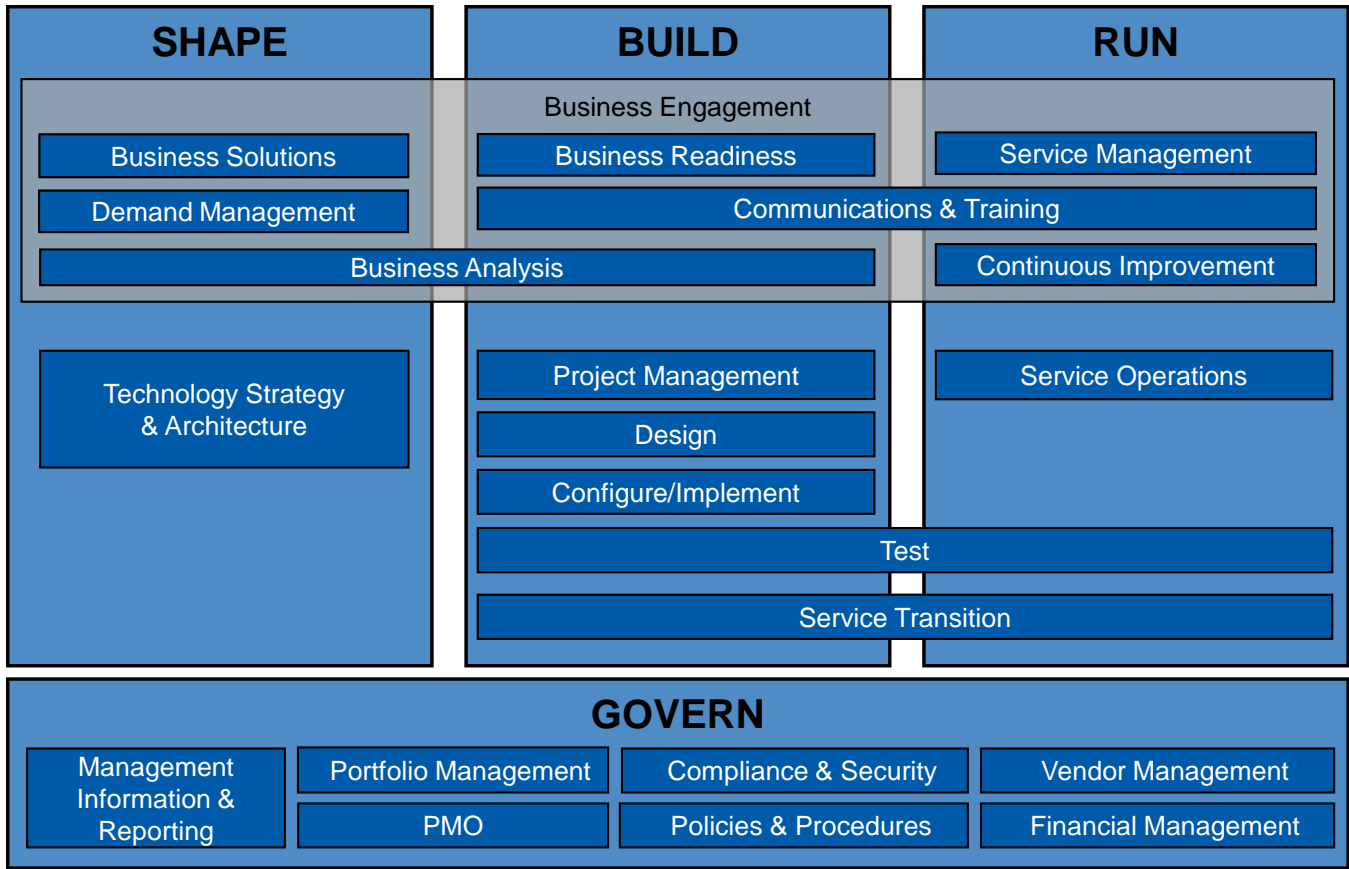


Exhibit II-13: Best Practice – Operating Model

The staff skills and knowledge items represented by the model were used to assess the DLA’s staff profile and to inform future planning when migrating to a new or modified approach to information technology management and operations.

Area	Description
<b>Business Engagement</b>	Any function in which the IT team engages with business stakeholders or end users to shaping needs, building and deploying systems, and running ongoing operations.
<b>Business Solutions</b>	Manage relationship with the business, develop high level IT solution design with business units
<b>Demand Management</b>	Creates the longer-term demand roadmap and future view of resource needs based on the organization Strategic Plan, and goals, liaising with relevant teams to prioritize
<b>Business Analysis</b>	Review, assess, and document changes to processes and procedures, define functional and non-functional requirements for projects, assist with UAT, track benefits realization
<b>Technology Strategy &amp; Architecture</b>	Recommend new uses of IT to enable the organization’s vision and goals, defines and maintains the DLA-wide Information and Technology Architecture
<b>Business Readiness</b>	Undertake Impact / Risk Assessments, Organizational Change Management
<b>Communications &amp; Training</b>	Assessing training needs, planning, and delivering training to end users impacted by system changes, communicate solution availability and capability within IT and to the business
<b>Project Management</b>	Delivering projects to time, budget, quality and within scope, monitoring progress, managing risks and issues and escalating with the business when necessary
<b>Design</b>	System and application design, prototyping and specifications
<b>Configure / Implement</b>	Any changes to COTS packages or configuration on agreed platforms

<b>Test</b>	System & Integration Testing, User Acceptance Testing
<b>Service Transition</b>	Introduce and transition new services: Change, release & deployment management, solution evaluation, configuration & asset management, service validation & testing
<b>Service Management</b>	Service Desk, including Incident Management, Problem Management and Service Request, Remote / telephone and “On the ground” user support, KPIs and metrics
<b>Continuous Improvement</b>	Post Project Reviews, Lessons learned, knowledge transfer, business process redesign
<b>Service Operations</b>	Infrastructure support, 2nd/3rd line application support, availability, capacity management
<b>Management Information &amp; Reporting</b>	End-to-end provision of Management Information on behalf of Business Units, including operational reporting, federal reporting, and performance of KPIs
<b>Portfolio Management</b>	Maintaining the prioritized IT project portfolio
<b>PMO</b>	Project Management Office. Tracks and reports on project progress
<b>Compliance &amp; Security</b>	Ensuring adherence to policies and procedures, managing and testing IT security
<b>Policies &amp; Procedures</b>	Reviewing and managing updates to IT policies, reference guides and operating procedures
<b>Vendor Management</b>	Oversee IT procurement & contract management process, responsible for complex vendor negotiations, create and maintain vendor scorecards across projects and operations
<b>Financial Management</b>	Management and reporting of operational (Operations Expenditures) and project (Capital Expenditures) spending and ensure integrity of IT budgets and forecasting

**Exhibit II-14: Best Practice – Operating Model Definitions**

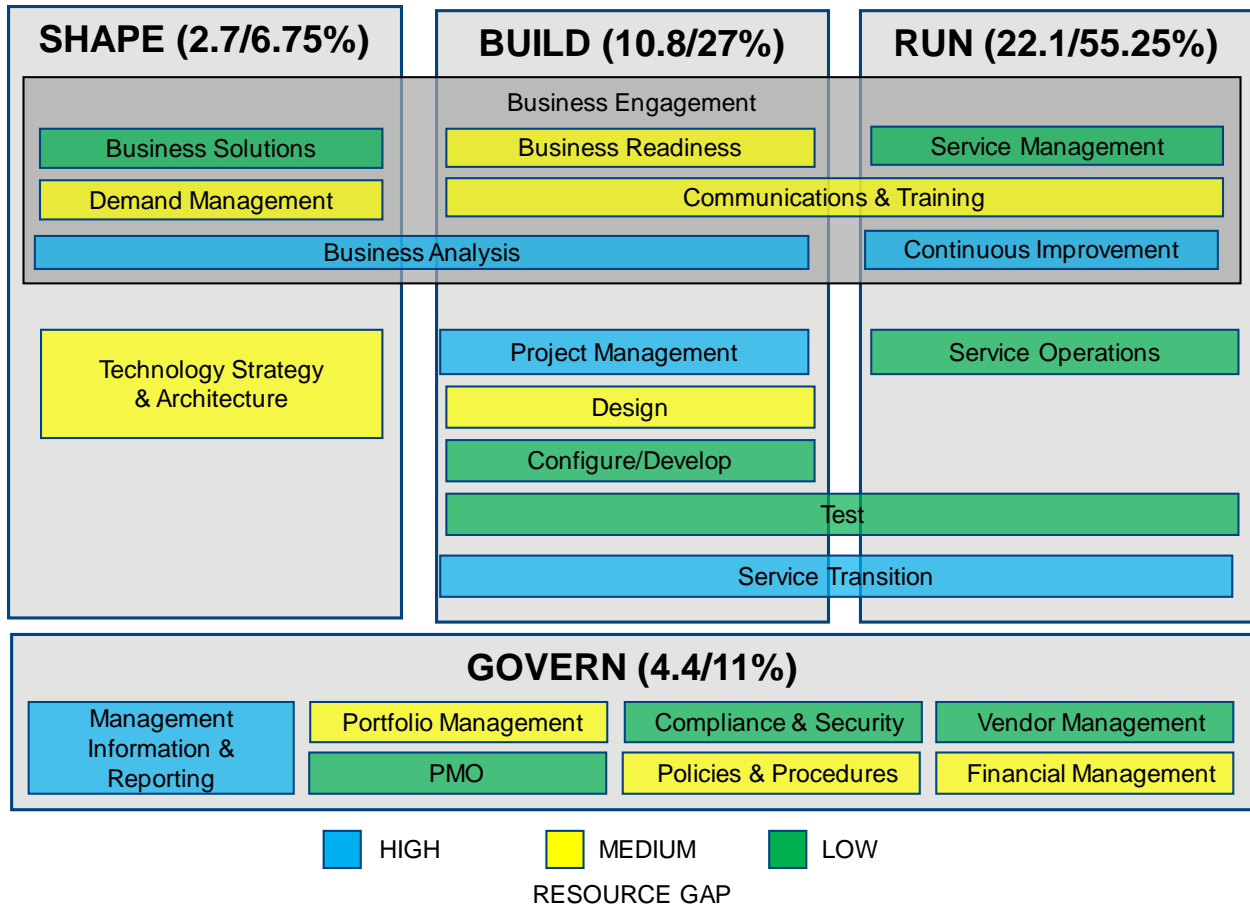
The implementation of new technologies and processes requires the right capability and capacity, from a staffing perspective, to implement the DLA’s business Modernization strategy. For the project to be successful, the appropriate (and necessary) skills and knowledge to move forward must be provided by DLA staff, or procured from external resources.

A high-level diagram shows the gaps between current (“As Is”) and likely needed (“To Be”) capability and capacity to highlight how the current staffing profile changes to support future DLA activities (both technical and functional).

**Staffing – Current State**

As depicted in Exhibit II-15: Best Practice – Resource Gaps below, DLA’s current IT staff of 40 is allocated across a number of different areas (some current staff perform more than one specific area). The activities involved with the initial phase of the modernization project were limited to the IT staff positions and did not include a full organizational assessment. The interviews and staff assessments undertaken did highlight a number of current gaps. The actual number of personnel (and percentage of their allocation) is shown below.





**Exhibit II-15: Best Practice – Resource Gaps**

The initial assessment of the IT staff profile indicated a need to bolster skills and knowledge in six specific areas shown as “High” on the diagram:

- Business Analysis
- Project Management
- Continuous Improvement
- Service Transition
- Management Information and Reporting

The “Medium” gaps address more global issues related to business process improvement activities:

- Demand Management
- Portfolio Management
- Business Readiness
- Communications and Training
- Technology Strategy and & Architecture
- Design
- Policies and Procedures
- Financial Management

The DLA’s leadership team has recognized some of the issues and is currently trying to address the high-level gaps.

### Current IT Staffing by Function

Working with the DLA team, an analysis of the proportion of the 40 FTE and OPS staff directly involved in IT related activities and the time spent in each of the areas of the best practice functional model was undertaken is shown in the exhibit below. The key takeaways are that particularly in the Shape and Govern functions, approximate 50% of the resources across the IT function are involved in the activities in these areas, but in general, it is only a small proportion of their overall responsibilities.

Functional Area	# Roles	% Staff	# FTE	% Total
<b>Shape</b>	19	48%	2.6	7%
<b>Build</b>	26	65%	10.8	27%
<b>Run</b>	36	90%	22.1	55%
<b>Govern</b>	22	55%	4.4	11%

Exhibit II-16: IT Staff by Function

A further analysis was undertaken to map the level of direct support across each for the 100+ applications that is supported by the 11 IT application staff. The results are listed below.

Function	# of Applications	Direct Support FTEs
<b>Accounting and Finance</b>	3	0.31
<b>Calendar and Docketing</b>	8	0.21
<b>Case Management</b>	34	5.57
<b>Conference Management</b>	1	0.05
<b>Contact Management</b>	2	0.02
<b>Customer Relationship Management (CRM)</b>	16	0.69
<b>Document Records Management</b>	24	1
<b>eDiscovery</b>	6	.01
<b>Email, Intranet &amp; Productivity Software</b>	11	0.32
<b>Evidence Tracking Systems</b>	2	0.2
<b>Federal Reporting</b>	1	0.1
<b>Finance Reporting</b>	1	0.25
<b>Grant Management and Reporting</b>	3	1.1
<b>Human Resources</b>	1	0.05
<b>Interface</b>	3	0.31
<b>Management Reporting</b>	4	0.31
<b>Procurement and Contract Management</b>	2	0.06
<b>Public Records Access Mediations</b>	2	.01
<b>Time Tracking</b>	4	0.31
<b>Training and Development</b>	4	0.12
<b>Trouble Ticketing</b>	1	0.01
<b>Web Publishing</b>	1	0.1

Exhibit II-17: IT Staffing Support by Application Type

## 2. Assumptions and Constraints

This section highlights the assumptions and constraints that could limit the available solution alternatives or affect the overall outcomes from the recommended solution.

Assumptions:

<b>Assumption</b>	Total project costs will increase with project timelines due to the need to maintain and operate the current DLA environment over a longer period of time.
<b>Assumption</b>	Annual Legislative appropriation for the project will be under \$10M.
<b>Assumption</b>	Funding to maintain and operate current systems and applications will continue until the new system is fully implemented.
<b>Assumption</b>	Vendors can implement the solution in the designated time frame, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
<b>Assumption</b>	DLA plans to increase operational efficiencies and effectiveness and to eliminate manual processes that rely upon the use of ad-hoc tools.
<b>Assumption</b>	Any operational efficiencies and resource gains that DLA realizes from the modernization activities and solutions will be allocated to activities that directly support the DLA's mission.
<b>Assumption</b>	A suitable architecture model exists to facilitate rapid and scalable deployment of the technical and functional initiatives outlined in the proposed solution.
<b>Assumption</b>	DLA will employ the Organizational Change Management (OCM) activities required to implement the recommended solution in the most successful fashion.
<b>Assumption</b>	The project team (DLA and vendor) will be staffed appropriately to complete deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and to ensure proper testing.
<b>Assumption</b>	The solution will emphasize establishing and improving automated data interfaces with other Agencies to facilitate automated data exchange.
<b>Assumption</b>	Labor rates for contracted staff are assumed to align with the IT Consulting and Management Consulting Services State Term Contracts for staff augmentation and will be comparable to similar projects recently undertaken by other Florida state agencies.
<b>Assumption</b>	The project leadership team (which includes executive leadership) will enable stakeholder involvement needed to support the project.
<b>Assumption</b>	The DLA will host data storage and application processing solutions as appropriate.
<b>Assumption</b>	User workstations are current and able to use browser based, graphical applications.
<b>Assumption</b>	Technologies (workstations or mobile devices) used to enter data without using paper can be used in DLA offices around the state.
<b>Assumption</b>	The DLA desires a multi-year rollout, implementing technology and functionality phased in over time.
<b>Assumption</b>	Operational continuity is mandatory; there can be no break in meeting the mission of the DLA.

**Exhibit II-18: Business Case Assumptions**

Constraints:

<b>Constraint</b>	Project activities, schedules, and milestones depend on the continual availability of appropriated funds.
<b>Constraint</b>	State statutory changes, changes in administrative rules, and DLA policy changes could affect the project.
<b>Constraint</b>	Specific software tools supporting desired capabilities will be determined based on the solutions proposed by the market.
<b>Constraint</b>	Project funding is appropriated annually and may be subject to periodic releases throughout the year.
<b>Constraint</b>	There is a limit to current staffing levels support with respect to initiative implementation within a given year.
<b>Constraint</b>	Legacy DLA solutions will require ongoing operation of the legacy systems for some units during the rollout period of the new system and possibly beyond for access and recovery purposes.
<b>Constraint</b>	During concurrent operations of the new and old systems, both the old and new systems may need temporary bridging interfaces to transport information between the old and new systems to retain the operational integrity of each system.
<b>Constraint</b>	There is a high level of coordination (functional, cost, and technical) associated with a phased implementation, which necessitates a heavy emphasis on mitigation strategies.

**Exhibit II-19: Business Case Constraints**

## C. Proposed Business Process Requirements

### 1. Proposed Business Process Requirements

The specific business process requirements for each of the discrete program components will be defined as part of the Pre-DDI activities shown on the program roadmap. However, most, if not all of the procurement efforts will include the following general requirements:

<b>Requirement</b>	Vendor must fully analyze all statutory, regulatory, contractual, and other external requirements impacting DLA's system environment.
<b>Requirement</b>	Vendor must fully analyze relevant DLA business processes, workflows, and business needs per applicable facility, division, bureau, or other work section with regards to DLA's systems.
<b>Requirement</b>	Vendor must review, validate, and update existing DLA environment documentation to ensure documentation is comprehensive and accurately reflects the existing DLA system environment. Supporting documentation includes any questionnaires and/or interview documentation available per DLA division/business unit, and industry best practices, standards, guidelines, and frameworks used in determinations and comparisons.
<b>Requirement</b>	Vendor must fully analyze any documented, operational, managed, or measured DLA processes relevant to the systems modernization.
<b>Requirement</b>	Vendor must provide an overall complete summary assessment of all existing DLA environment components, including vendors, contract terms, identified gaps between existing environment and future state options, etc.

<b>Requirement</b>	Vendor must document the gaps between ‘as-is’ and ‘future state’ environment with prioritizations of each ranked by importance relative to DLA business objectives.
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**Exhibit II-20: Business Case Requirements**

**2. Business Solution Alternatives**

The DLA has many options to improve its business applications, EDMS, and staffing for the future. Market trends, the experiences of its state peers, and industry best practices provided context for alternatives the DLA considered in defining its approach to modernize information technology and systems to meet its business needs over the coming years.

The alternatives, as represented by the spectrum diagrams included and discussed in this document, were assessed in light of prevailing and projected DLA resources and assets. The results demonstrated what is possible; the final spectrum positions (recommendations) reflect what is viable given the DLA’s technology and business profiles. The DLA, through additional analysis and discussion, will determine precisely where it ends up across the various application, EDMS, and staffing spectrums that will define its future state. Circumstances may change over the next three years and along the way, decisions, technologies, resources, or statute may alter where the DLA eventually ends up on the spectrums, but today, the DLA has decided to proceed in the manner outlined in this document.

Each position along the spectrums represents a potential alternative; our recommendations were based on current circumstances by DLA stakeholders. Any decision to align in different positions across the spectrums requires additional research, analysis, and informed, strategic decision making along with financial support and the commitment of DLA leadership.

It is envisioned and described in this document that the DLA will engage in further analysis to define and validate specific requirements for EDMS and within each of the application categories (e.g., Case Management), leading to an eventual procurement. The staffing alternatives revolve around the issue regarding whether or not the DLA will continue its application development activities and the staff associated with those activities or some combination of development and configuration of COTS solutions. Those various combinations are discussed in light of the spectrums along which the hybrid options were contemplated. The DLA has decided to move to a COTS-centric application environment.

**Approach**

To evaluate potential solution options and staff profiles, the vendor team performed market research to gain insight to other state Attorney General operations and to discover the core application technologies used to support their business processes. The research highlighted common attributes found in other Attorney General offices and emerging trends in information technology that may affect the DLA in the future. The goal was to identify solutions in use by other state AG offices, the current solutions in the marketplace, and emerging future solutions.

The market research for this project consisted of two areas of focus. The first area examined other state Attorney General offices across the country to determine their scope of service, size, organization, the technology they use, and how their IT environment is structured. The second focus area examined vendor products in the marketplace today, evaluating them based on their strengths and weaknesses, and their overall capabilities.

***a. Other State Attorneys General Office Market Research***

The market research into other state Attorney General offices was designed around the DLA Business Capability Model. It looked at both the Business Units that other AG offices have (or did not have) and the tools they used for comparable business operations. The market research revealed what is commonly known in the DLA; every state’s Attorney General Office was different. Some were large with many responsibilities, while others were small with narrow, focused duties.

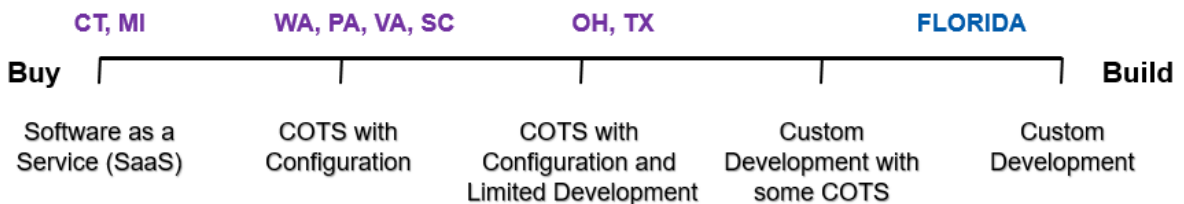
Florida’s Department of Legal Affairs is among the largest and most complex in the country. Because of this, DLA was compared to a “core” group of states that had similar staff size, budget size, and organizational responsibilities. While no state was a perfect match with DLA, the Attorney General offices of Texas, Washington, and Ohio had attributes that made them good models for comparison. The market research also looked at the Attorney General offices of Pennsylvania, California, Illinois, Georgia, New York, Virginia, and Michigan, providing a wider range of data.

Several state Attorney General offices are trying to unify their existing case management and Electronic Document Management Systems. Some states have also begun to focus more on data management and governance. Others have expressed concerns about data security and privacy protection.

The respective state data was analyzed and placed along three different spectrums: Buy vs. Build, Centralized vs. Federated, and Generalized vs. Specialized. The current (“As Is”) assessment for the DLA is shown for comparison purposes.

**Buy vs. Build:**

- Software as a Service – Complete information technology support is procured from an external vendor; the respective agency has no internal IT resources, everything resides outside the agency; business practices conform to pre-defined technical and functional processes
- COTS with Configuration – Commercial products are purchased and configured to meet the needs of the agency
- COTS with Configuration and Limited Development – Commercial products are procured and configured with some customization; customization is performed and maintained by internal IT staff
- Custom Development with some COTS – Most of the agency’s applications are developed by internal staff; a modicum of COTS solutions are used to address specific business needs
- Custom Development – All IT applications are developed, enhanced, and maintained by internal staff



**Exhibit II-21: Buy vs Build – Market Research**

**Centralized vs. Federated:**

- Department-wide Solution – All IT applications are provided from a central IT authority; no external procurements or non-IT development is permitted
- Mandatory Department-wide Standards – Business units are permitted to procure their own IT applications, but the applications must conform to established IT standards, policies, and guidelines
- Optional Department-wide Standards – IT application standards are established by a central IT unit, but the respective business units are permitted to procure or develop applications which do not conform to those standards (usually involves a waiver process)
- No Standards – No IT application standards exist; department components are free to procure any IT applications they feel are necessary to meet their missions

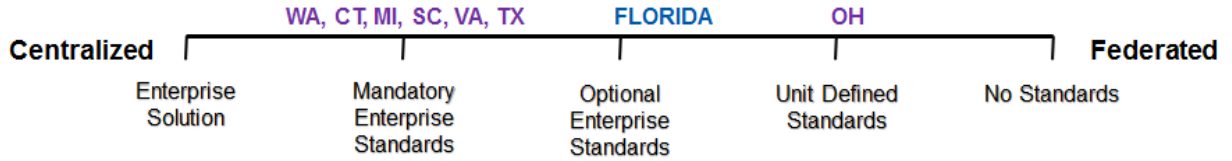


Exhibit II-22: Centralized vs Federated – Market Research

**Generalized vs. Specialized:**

- Common – Applications meet general business requirements without modification; usually for applications such as email or word processing
- Mostly Common – Applications which have some measure of specialization (e.g., Microsoft Word with specialized macros to insert common legal text in a document using a variety of special keystrokes)
- Even Mix – Combination of common and specialized application solutions
- Mostly Best of Breed – A mix of common and specialized applications which represent the best solution for a given need among many options
- Best of Breed – Applications which represent the best solution for a given business need; may be procured or developed internally; requires the least amount of business process modification

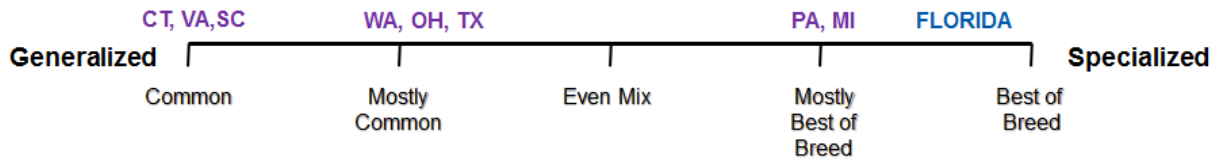


Exhibit II-23: Generalized vs Specialized – Market Research

**Core States**

**Texas**

Texas has one of the largest Offices of the Attorney General in the country with over 4,000 full time employees and a budget roughly twice the size of DLA’s. Texas has similar public records and transparency statutes to Florida’s Sunshine Laws. The Texas government operates under the Texas Public Information Act, which states that every Texan “is entitled, unless otherwise expressly provided by law, at all times to complete information about the affairs of government and the official acts of public officials and employees.”<sup>2</sup> The Texas Office of the Attorney General has a similarly structured business model as DLA, consisting of offices for Corrections Litigation, Tort Litigation, Complex Litigation, Victim’s Services, Anti-Trust Enforcement, Statewide Prosecution, Civil Rights Enforcement, Criminal Appeals, Lemon Law, Medicaid Fraud, Consumer Protection, Children’s Legal Services, and Child Support Enforcement. The Texas Attorney General’s large size, large budget, similar responsibilities, Public Records laws, and decentralized operational structure make it comparable to DLA.

They have a custom developed application that runs on an IBM stack of software for their case management needs.

**Washington**

<sup>2</sup> Texas Government Code, Sec. 552.001, Added by Acts 1993, 73rd Leg., Ch. 268, Sec. 1, eff. Sept. 1, 1993.

Although Washington State has a population one-third the size of Florida, their Office of the Attorney General has approximately the same number of staff (1,250) and a similar budget (\$250,000,000). Unlike Florida, however, Washington State operates under a more centralized IT model and relies heavily on COTS applications.

They use a product called "LawTrac" from a company called Mitratach. This product provides most of their case management needs. They use Microsoft Outlook for email and calendaring. They are much less uniform with their archival and retrieval, using unstructured files for storage, and a product by Symantec for email archival. They have also built an in-house product for time tracking.

## **Ohio**

The Ohio Attorney General Office has about the same number of staff and a budget similar to Florida's, though they support a smaller population. Ohio has many of the same duties as DLA. The Ohio AG supports Corrections Litigation, Employment Litigation Administrative Law, Tort Litigation, Revenue Litigation, Complex Litigation, Victim's Services, Anti-Trust Enforcement, Statewide Prosecution, Civil Rights Enforcement, Criminal Appeals, and Consumer Protection.

The State of Ohio AG office uses OnBase for storage and archival of data and multiple applications, some commercial and some custom built, for their case management needs.

## **Other States**

### **Pennsylvania**

The Pennsylvania Office of the Attorney General has a staff size of about 800 full-time employees and a yearly budget of approximately \$95 million. Pennsylvania's Attorney General Office is moderately sized when compared to other offices nationwide and has a similar structure to Florida. Like Florida, Pennsylvania has a federated, decentralized structure.

They are currently using four different products for case management, three for document records management, and no dedicated archival and storage system, utilizing the four different case management systems instead. The Pennsylvania Office of the Attorney General is currently undergoing an IT centralization plan, with the goal of unifying their case management under one system. They are interested in working with other Attorney General offices on this issue.

### **California**

The California Attorney General Office has the largest staff, largest budget, and one of the most diverse missions in the country. With well over 100 active programs and many offices, the California Attorney General's Office has a wide range of responsibilities. They have recently opened a new center for cybercrime and programs for cyber exploitation (the non-consensual publication of personal data online), and an identity theft task force.

They operate under a decentralized model with unit-based standards for technology usage, a mixture of COTS and in-house built products, and a "Best of Breed" approach to product acquisition.

### **Connecticut**

Connecticut has a small Office of the Attorney General, with 300 full-time employees. The Connecticut OAG office is centralized and limited in their business functions. They deal almost exclusively with civil litigation and not criminal law.

They use LawBase and their EDMS affiliated program iManage for their case management, electronic document management, and archival and storage functions. They use Microsoft Outlook for email and calendaring.

### **Virginia**



Virginia has a small, centralized Office of the Attorney General office with 500 full-time employees and a budget of over \$50 million. Virginia has a wide and diverse mission and focus, with divisions dedicated to transportation law, construction law, and debt collection.

They use LawBase as their agency wide case management system and Worldox for their EDMS needs. They use Microsoft Outlook for email/Intranet productivity.

## **Michigan**

With a population of over 10 million residents in the State, Michigan has an Attorney General's Office with slightly less than 600 employees. Recently, the office assigned many resources to the Flint Water Investigation. In addition, they have units that cover social issues like Environmental Litigation, and Human Trafficking.

The Michigan AG does not have their own IT unit and relies on Statewide IT resources for IT support. They currently use LawBase for case management and SharePoint for limited EDMS functions.

## **South Carolina**

With a population of over 5 million residents in the State, South Carolina has an Attorney General's Office with approximately 250 full-time employees. The office is highly centralized, and has offices that cover many of the functions that DLA covers.

South Carolina has no in-house programming capabilities and buys everything commercial. They use LawBase for their case management, calendaring and docking, and Worldox for their EDMS, archival and retrieval. They use Microsoft Outlook for email services.

### ***b. Application Alternatives - Market Research***

Core applications are the most important applications used to support Attorney General legal service processing. These applications support the common business processes performed by most units even for decentralized organizations. The market research identified vendor offerings and market direction for the following core applications:

- Electronic Document Management System
- Case Management
- Email Archiving and Discovery
- Platforms for Custom Application Development

## **Customer Relationship Management (CRM)**

Organizations use customer relationship management (CRM) as a foundational building block in their customer experience strategy to better engage with customers throughout their end-to-end journeys<sup>3</sup>. Focused CRM software is a key to this strategy. Gartner predicts that, by 2018, 60% of large organizations will develop in-house customer journey mapping capabilities.<sup>4</sup> This need for focused products is moving the industry in the opposite direction of other IT fields. While Case Management software may be moving toward enterprise-based solutions, companies rarely deploy the same CRM solution in all customer-facing units.<sup>5</sup>

Because of this, characteristics like industry and firm size are important when selecting a CRM product. Forrester Research recommends the following CRM products for firms with more than one thousand employees: Infor CRM,

<sup>3</sup> Kate Leggett, "Navigate The Future Of CRM In 2016", Forrester Research, February 3, 2016

<sup>4</sup> Gartner, "The Gartner CRM Vendor Guide, 2016", Jim Davies, and others, 9 May 2016, pp 4.

<sup>5</sup> Kate Leggett, "Navigate The Future Of CRM In 2016", Forrester Research, February 3, 2016

Microsoft Dynamics CRM, NetSuite, Oracle Siebel CRM, Pegasystems CRM, Salesforce, SAP Cloud for Customer, SAP CRM, and SugarCRM.<sup>6</sup>

### **Case Management Systems**

Case Management is the coordination of services surrounding an individual, group, or specific issue. Case Management is the primary business process in the health care, legal professions, and other industries. In the legal field, case management software allows firms to track their cases through the legal process, conduct internal and external coordination, and efficiently leverage knowledge and technology.

The market research focused on five case management systems to give the DLA an idea of available market products.

### **eProsecutor Case Management System**

eProsecutor is a web browser-based case management system created by Journal Technologies, Inc. It is used by the Montana Attorney General's office and Manatee and Walton counties in Florida. eProsecutor can run completely in-house or cloud hosted. Journal Technologies offers compatible products, including eCourt, eDefender, and eProbation. Their web-based, COTS allows eProsecutor to run on mobile devices. Journal Technologies estimates that it will take 9-12 months to fully implement their product in an organization the size of DLA.

### **LawBase Case Management**

LawBase is a hybrid, customizable, ".net" product that provides configurable security settings. Ten different state Attorney General offices use LawBase for case management. LawBase integrates with Microsoft Outlook and other products. It requires Microsoft Windows to run. The elapsed setup time for a large enterprise is about six months. Gartner Consulting classifies LawBase as a "Matter- or case-centric" product, as it tracks legal cases, but does not focus on document management or billing management<sup>7</sup>.

### **Legal Files Case Management Software**

Legal Files Software is a small firm in Springfield, Illinois. Their case management software is used in five Attorney General Offices. Legal File is a COTS system that works with the Crystal Reports business intelligence/document generation program. Legal Files provides custom programming solutions for its clients. It also has customizable security settings and access controls. Legal Files estimates that it will take 6-8 months to get their product operational in an organization the size of DLA.

### **Mitratech Legal Matter Management: eCounsel**

Mitratech's Legal Matter Management is a COTS case management system. It incorporates document management, spending management, electronic billing, reporting, and analytics. It is now operating in the Attorney General's offices in Washington, Illinois, New York, and Vermont. LawTrac is their entry-level solution. Their eCounsel product has more reporting and analytical power and more configuration possibilities. Additionally, the products have an "event forensics" function, which allows the client to unwind events relating to a document and figure out who did what and when in a manner that will withstand judicial scrutiny<sup>8</sup>. Gartner Consulting defines Mitratech as a true "enterprise legal management solution," a product class they recommend to large law firms because it can

<sup>6</sup> Kate Leggett, "The Forrester Wave™: CRM Suites

For Large Organizations, Q1 2015", Forrester Research, March 27, 2015

<sup>7</sup> Gartner, Market Guide for Enterprise Legal Management Solutions, Jie Zhang and Jeffrey Wheatman, 13 February 2017, pp 4-5,10

<sup>8</sup> Greg Masters "Legal matters: Aon Corp. and Mitratech", SC Media online.

<https://www.scmagazine.com/legal-matters-aon-corp-and-mitratech/article/558180/3/>

support matter/case tracking, legal document tracking, billing issues, spending analytics, and workflow management<sup>9</sup>. Mitratech could not provide a firm setup timeline, but previous installs with fortune 500 companies have lasted 12 months.

**c. EDMS Alternatives – Market Research**

For EDMS, more discrete and defined alternatives were assessed, primarily surrounding technological capabilities and their functional import to the overall DLA mission. Those alternatives are discussed in the following material.

The market research leveraged a recent assessment made by Gartner Consulting that resulted in the 2016 Magic Quadrant for Enterprise Content Management that may be responsive to DLA’s strategic IT goals.



**Exhibit II-24: Gartner, Magic Quadrant for Enterprise Content Management, 2016<sup>10</sup>**

Gartner identified four leaders in the marketplace (only three remain, as Dell EMC’s Enterprise Content Division was bought by OpenText in September 2016) discussed below.

<sup>9</sup> Gartner, Market Guide for Enterprise Legal Management Solutions, Jie Zhang and Jeffrey Wheatman, 13 February 2017, pp 2-4,10

<sup>10</sup> Gartner, Magic Quadrant for Enterprise Content Management, Karen Hobert, Gavin Tay, Joe Mariano, 31 October 2016.

## Hyland’s OnBase

Hyland’s OnBase EDMS supports digital capture of documents, workflow automation, and data capture technology. It has customizable security options and cloud capabilities. OnBase is built to provide “enterprise solutions” to larger firms. OnBase is known for providing vertical, enterprise solutions that provide strong content protection.<sup>11</sup>

## Laserfiche

Laserfiche is an EDMS/case management system that has had success with government customers, in part because they provide a secure offline document access capability. The company has an array of products that allow records analytics and case management. Laserfiche is a highly configurable platform with a drag and drop scripting tool that enables users to build out business processes without learning a new scripting language.<sup>12</sup>

## IBM EDMS Solutions

IBM has an array of EDMS solutions, most targeting large organizations. It includes Content Foundation Content Manager OnDemand, Datacap, Enterprise Records, Connections Enterprise Content Edition, Watson Explorer Enterprise Edition, and Case Manager. IBM products are known for their excellent data analytics capability and their many customizable options.<sup>13</sup>

## OpenText

OpenText is a Canadian firm that recently acquired Dell/EMC’s Enterprise Content Division. It has wide utility, and can be operated as a cloud service or as a hybrid. They recently released version 16 of OpenText Suite and OpenText Cloud. These updates can be used by legal professionals with the recent release of eDOCS 16. Known for its strong analytics functions, OpenText Suite allows flexible access between users, allowing increased collaboration.<sup>14</sup>

	Scanner Compatibility	email Archiving	Workflow Management	Public Records	Data Security
OnBase	✓		✓	✓	✓
LaserFiche	✓		✓	✓	✓
IBM (FileNet)	✓	✓	✓	✓	✓
OpenText	✓	✓	✓	✓	✓

Exhibit II-25: EDMS Comparison Table

Exhibit II-26: EDMS Solution Alternatives summarizes EDMS capabilities and EDMS solution options. The SIRE software provides some EDMS capabilities that are not currently licensed, implemented, or used by the DLA. EDMS software products support many types of client installations and vendors can charge more if their products have more features. It is common for organizations to have multiple products with workflow capabilities and role base access controls. In evaluating EDMS software features, if workflow processing in case management and business processing uses other workflow solutions, the EDMS workflow features should only be evaluated in the context of their use, if the capabilities are used at all.

A specific example of an EDMS capability not currently in use, is workflow. Many EDMS products have a workflow management solution to manage the process of ingesting, storing, and verifying documents. Some EDMS vendors suggest using the EDMS workflow engine to manage other types of business processes. For DLA, business

<sup>11</sup> Ibid.

<sup>12</sup> Ibid.

<sup>13</sup> Ibid.

<sup>14</sup> Ibid.

workflows are currently managed in the Notes applications using Notes workflows. The Notes workflows use emails to communicate and track activity as people perform tasks and various process steps.

The types of electronic content that organizations use has evolved. Organizations store and access more detailed elements of information and more metadata (metadata is information which describes a particular item rather than the information itself). Electronic information capture has evolved from page level image scans, to electronic text, to structured content and now to advanced content types with extensive metadata about the information. With page level scans, a user can only read and share the paper version of documents. With the storage of electronic text, systems can search across content types. With the storage of electronic metadata, systems can analyze the creator, date, time, location, and quality of information opening up new search and analysis options.

As methods to capture and store new types of information and metadata electronically have become cost effective, the variety of content types has expanded. This trend will continue. EDMS solution vendors are expanding capabilities and trying to support management of all content types. For advanced content types, specialized content solutions can provide effective storage, indexing, and search capabilities. Document management solutions are shown below:

	Desktop Storage	File Server Directory	Text Document Repository	Document Catalog Repository	Enterprise Document Repository	Document Repository & Application Platform	High End Content Management	Unstructured Database	In Use
Content Types	Many	Many	Docs Only	Mainly Docs	Many	Mainly Docs	Many	Unlimited	
Capture Options	Limited	Limited	Some	Good	Very Good	Good	Very Good	Very Good	
Indexing	None	None	Some	Good	Good	Good	Advanced	Advanced	
Secure Storage	Weak	Weak	Good	Good	Strong	Strong	Strong	Strong	
Access Control	Weak	Weak	Good	Good	Strong	Strong	Strong	Strong	
Search	Minimal	Minimal	Good	Good	Very Good	Good	Very Good	Very Good	
Workflow	n/a	n/a	Good	Good	Very Good	App / EDMS	Very Good	n/a	
Continuity / DR	None	Weak	Fair	Good	Good	Good	Very Good	Very Good	
Advanced Content	n/a	n/a	n/a	n/a	Fair	n/a	Fair	Fair	

Representative Products: Local Drive, USB Storage Drive, Mapped Server Drive, WorldDox, iManage, ImageAPI, OnBase, Laserfiche, SIRE, SharePoint, IBM Notes, FileNet, MongoDB

**Exhibit II-26: EDMS Solution Alternatives**

The infrastructure and hosting options for EDMS solutions is changing with increased market interest and demand to use cloud-based solutions. Vendors provide EDMS solutions as Software as a Service (SaaS), using cloud based infrastructure and traditional premise based infrastructure. For example, cloud based email archiving solutions are widely available. Cloud based email archiving is offered on a per user basis for a couple dollars per month. Cloud based solutions are also available for document management allowing customers to scan and save documents to cloud based EDMS solutions.

To support the current needs and support current operations, the DLA should perform additional analysis leading to possible document and content processing changes such as:

- Using the EDMS to store documents of active cases
- Migrating documents from the obsolete SIRE software to a more robust vendor supported EDMS product

- Removing email archival based on user discretion by archiving email at the system level using defined retention policies
- Discouraging printing and manual scanning of printed documents
- Managing electronic case files in structured searchable formats instead of as paper image scans of complete case files

In looking beyond the fundamental EDMS improvements, the following EDMS strategy alternatives focus on improving DLA effectiveness and support emerging content management needs.

**Best of Breed content management tools** – This strategy uses specialized content management tools for specific advanced content types. These tools improve storage, indexing, and searching specific to the type of content. Some examples of content types for which specialized tools could provide advanced features are:

- Documents
- Email
- SMS (text)
- Social media
- Images and photo
- Video
- Voice
- GIS tracking data
- Sensor data
- Genetic data
- Medical records
- Website Content

If the DLA uses a best of breed strategy, additional analysis and effort would be required to fully integrate the various applications leading to a view of all content related to a specific subject or issue. eDiscovery tools may provide this capability.

**Unstructured database technology** – Unstructured database technologies store virtually any type of content in a database without the need to define data relationships. This technology is referred to as Not Only SQL (NOSQL) because it handles relational database needs along with other data forms and structures. When a user inserts or updates any type of content in a NOSQL database, the system analyzes content and asynchronously updates indexes that enable rapid search for information. Content analyzers can look at narrative text to organize and find content. These databases can include master data management features in their index processes that link records together based on master data management rules. For example, if records contain name synonyms like Bob and Robert, the software can automatically create these linkages. This type of database is widely used to support “big data” and analytic processing. The technology is widely used by social media providers and federal agencies that deal with large volumes of information.

**Enterprise Content Management Tool** – With this approach, the DLA may select an enterprise content management tool vendor and use that tool to store all types of content. Over time, market competition will encourage the vendors of leading document management tools to expand the features and capabilities to support additional content types. This evolution will allow document management solutions to stay relevant.

**Applications Manage Content** – With this approach, applications own and manage all content related to their application area. The applications handle storage, indexing, and search capabilities within the application system. Most case management software vendors use this approach. Case management vendors try not to rely on features and functionality of EDMS products so there are no specific-product dependencies. As virtualization and use of cloud continue, this approach is appealing, particularly if the only function required of an EDMS implementation is content storage.

Again, the DLA's modernization approach includes significant additional analysis to fully define and validate specific technical and functional requirements that will be used to support an EDMS procurement (and procurements for the various functional applications).

### **Email Archiving and Discovery**

Email Archiving platforms serve as essential systems of record, providing the infrastructure and context services for the information that fuels core business missions in any industry. Most IT firms are now moving to consolidate all email records in a single database. However, only 38% of IT firms are using a single database for archiving all forms of content. Discovery and search are considered the most important components of a professional archival system. This includes identification, collection, preservation, and analysis phases of investigative processes.<sup>15</sup>

Increasingly, organizations are seeking cloud solutions for email archiving and eDiscovery. In 2016, Forrester Research reported that 78% of CIOs were already using cloud solutions for their email archiving or were planning to implement a solution within the next 12 months.<sup>16</sup> Cloud providers are investing heavily in these capabilities, which include eDiscovery and search functions as core components of their products. Forrester Research identified Global Relay Archive, HPE Digital Safe Suite, Actiance Alcatraz, Microsoft Information Archiving, Smarsh Archiving Platform, Bloomberg Vault, and Veritas Enterprise Vault as leaders in this industry.<sup>17</sup>

### **Emerging Trends**

The legal services industry now relies heavily on document based evidence and the knowledge and ability of legal professionals. Advancements in electronic data sharing, artificial intelligence, natural language analytics, and overall technology storage and processing power will provide disruptive capabilities that will change the status quo. The primary areas where emerging trends will create opportunities, change, and disruption are in the areas of technology enablement, technology platforms, data management, and service delivery models related to lawyering services. In areas where the emerging technologies create significant value, emerging trends are likely to occur quickly. The highly decentralized organizational structure of law offices increases the likelihood that early adopters will experiment with small-scale evaluations that provide justification for many organizations that seek improved productivity and outcomes.

### **Technology Enablement**

Technology automation will provide support and enablement of current processes. Workflow automation and standardization will reduce manual processing, decrease the amount of human review, and use rule based quality checks to achieve improved efficiency. The primary areas where emerging technology will have the most impact are:

- Document automation
- Decisions engines
- E-discovery tools
- Communication and collaboration tools
- Legal research tools
- Legal expert systems

Another area that offers potential is self-learning "bots", programs that can be set up to perform automated tasks. While there may be some pushback from private law firms, whose billable hours can be reduced by these "bots", the

<sup>15</sup> Cheryl McKinnon, Market Overview: Information Archiving, Q2 2015", Forrester Research, May 12<sup>th</sup>, 2015

<sup>16</sup> Cheryl McKinnon, " The Forrester Wave™: Information Archiving Cloud Providers, Q4 2016", Forrester Research, December 14<sup>th</sup>, 2016

<sup>17</sup> Ibid.

idea of designing programs that can do automated tasks may be more applicable in Attorney General offices, where “billable hours” play a smaller role in overall mission success. Self-learning “bots” can support eDiscovery, as increasingly sophisticated programs can improve their search criteria based on feedback from past searches.<sup>18</sup>

## Technology Platforms

As with all industries, the trend in technology platforms is to provide on-demand, real time access to information, analytics, and decision support capabilities from anywhere at any time. This is being pursued in five arenas:

- Hardware, operating system independence – Most applications and systems must run on any of the leading hardware or operating systems
- Virtualization – Server virtualization technology is already mature, widely used and highly preferred compared to use of dedicated or native servers. Virtualization of network and infrastructure technologies so that they can be provided by a cloud provider or as a service offering are in use in many government business areas and expanding to others rapidly
- Browser based – Web browsers are the preferred user interface for most applications the browser reduces security and desktop management concerns. Client-server and native desktop-based applications are obsolete for most systems
- Mobile platform – the use of mobile devices continues to grow with the expectation that user interfaces and connectivity will allow information and processing to occur from anywhere, anytime on any device
- Cloud Usage – The federal government and most states have policy of “cloud first” implementation. The improved cost effectiveness and reduced security risks compared to premise or data center hosted solutions are the primary drivers

### 3. Data Management

#### a. Big Data / Analytics

Since the introduction of Hadoop, an open source big data analytics tool by Apache software in 2006, organizations have been able to analyze large volumes of data and manage semi-structured data that had previously proved too burdensome for SQL databases. Initially, most organizations used on premise infrastructure.

Now the trend in Big Data is to use cloud computing services for data storage, analytics, deployment, and management services. Cloud-based infrastructure reduces costs for companies and minimizes the need for technical staff to manage data. The two biggest vendors in the industry are Amazon Web Services (AWS) and Microsoft’s Azure.

In the past, potential users of cloud-based solutions expressed concerns about security and data privacy. Users also have concerns about cloud service providers storing vast amounts of data at centralized locations.<sup>19</sup> However, there is growing consensus amongst IT professionals that cloud services are actually more secure than on-site systems, as the physical location of data is less important than the security features protecting that data.<sup>20</sup>

The National Institute for Standards and Technology has argued that cloud computing offers greater uniformity in structure, which hardens security management activities, and providing greater specialization of security staff and

<sup>18</sup> Blair Janis, “How Technology Is Changing the Practice of Law”, GP SOLO, ABA Online. [http://www.americanbar.org/publications/gp\\_solo/2014/may\\_june/how\\_technology\\_changing\\_practice\\_law.html](http://www.americanbar.org/publications/gp_solo/2014/may_june/how_technology_changing_practice_law.html), last accessed 27 March 2017

<sup>19</sup> To put the size of these facilities in perspective, five years ago, it was estimated that one-third of all daily internet usage accesses sites were running on AWS.

<sup>20</sup> David Linthicum, “Clouds are more secure than traditional IT systems -- and here's why”, Techtarget.com, <http://searchcloudcomputing.techtarget.com/opinion/Clouds-are-more-secure-than-traditional-IT-systems-and-heres-why>, accessed 3 April 2017.



improved redundancy and disaster recovery. Additionally, the concentration of data could reduce the risk of unauthorized leakage through loss or theft of removable media, mobile devices or embedded data<sup>21</sup>.

A 2012 report by Alert Logic showed that while service provider services receive slightly more attack *attempts* than on premise environments, on premise environments suffer significantly more security incidents than service providers do<sup>22</sup>.

Cloud service providers are now offering additional security features that give government institutions data protection, flexibility, and physical isolation of information. One example of this is AWS's introduction of GovCloud in 2017.<sup>23</sup>

#### ***b. Internet of Things***

The explosion in sensors and devices that capture data provides new data sources and types for evidence. Data volumes, retention and information structure differences create the most pressing challenges.

#### ***c. Unstructured Databases***

Unstructured or Not only SQL (NOSQL) databases store multiple types of information securely and efficiently. These technologies provide automated redundancy and replication. Most importantly, this technology performs real time indexing of all content whether structured or unstructured, allowing rapid eDiscovery and analysis of information buried in documents. These technologies eliminate the need for dedicated EDMS and manual indexing to link relevant data.

#### ***d. Data Sharing***

Integration and data sharing is improving rapidly between government and non-government organizations. In the area of Medicaid, CMS is pushing states to share data across programs, systems, Departments, states, and the private sector. Participating in the expanded data sharing structure creates new opportunities and challenges.

### **4. Master Data Management (MDM)**

In conjunction with data sharing improvements, states are improving master data management capabilities to standardize and link information across programs, systems, departments, and states. Master Data Management technologies perform rules based data standardization and business rules to link data that is related to the same person or organization. For example, if the name of a person in some documents is Joe Smith and Joseph Smith in other documents, the MDM software will identify if Joe and Joseph Smith are the same person based on other information. Another example of functionality provided by an MDM is identifying the most accurate data about a person. If two different systems have different contact information for the same person, the MDM system will present the most accurate information based on business rules. Using MDM technologies for person and organization identity matching improves eDiscovery effectiveness.

<sup>21</sup> Wayne Jansen and Timothy Grance, "Guidelines on Security and Privacy in Public Cloud Computing". National Institute of Standards and Technology Special Publication 800-144, September 2011, U.S. Department of Commerce,

<sup>22</sup> David Linthicum, "Clouds are more secure than traditional IT systems -- and here's why", Techtargget.com, <http://searchcloudcomputing.techtarget.com/opinion/Clouds-are-more-secure-than-traditional-IT-systems-and-heres-why>, accessed 3 April 2017.

<sup>23</sup> GovCloud (US), Amazon Web Services, <https://aws.amazon.com/govcloud-us/>, last accessed March 31 2017.

### *a. Court System Electronic Record Integration*

Though slow moving, the standardization enabled by electronic court records continues to expand. Electronic data exchange is not the exclusive information-sharing channel yet, but is likely to be in the future.

### *b. eDiscovery*

The world is becoming more paperless every day and the legal profession is not exempt from this trend. Electronic discovery, or eDiscovery, performs the traditional discovery role in the litigation process for records stored in electronic format. Law firms face the challenge of searching through increasingly vast amounts of data to find the necessary information for their case.

Technology assisted electronic searches save attorneys time. eDiscovery is now more effective than the traditional discovery process, according to a 2011 report.<sup>24</sup> In this area, “bots” (discussed in “Technology Enablement” above) can continuously refine their search parameters based on human feedback from previous searches.<sup>25</sup> As self-learning technology continues to evolve, the eDiscovery process will get more advanced, reducing labor hours, and producing better results.

## **5. Security and Privacy**

Security and privacy concerns continue to be top concerns for most organizations. Increased adoption of consent based data access policies will create new restrictions, responsibilities and challenges on data sharing and access to personal and sensitive data.

The Florida Department of Legal Affairs is authorized by law to receive Criminal Justice Information, National Crime Information Center (NCIC) and non-NCIC information for purposes consistent with the Department’s responsibilities. The receipt and use of these types of information is subject to Criminal Justice Information Services (CJIS) Security Policy. The CJIS Security Policy provides a minimum set of security requirements for access to Federal Bureau of Investigation (FBI) Criminal Justice Information Services (CJIS) Division systems and information and to protect and safeguard Criminal Justice Information (CJI). This minimum standard of security requirements ensures continuity of information protection. The essential premise of the CJIS Security Policy is to provide the appropriate controls to protect Criminal Justice Information (CJI), from creation through dissemination; whether at rest or in transit. As a user of CJI, the Department is obligated to develop, disseminate, and maintain formal, documented procedures to facilitate the implementation of the CJIS Security Policy and, where applicable, the state and local security policy. The policies and procedures shall be consistent with applicable laws, executive orders, directives, policies, regulations, standards, and guidance.

### *a. Service Delivery Models*

The emerging technologies that increase connectivity and collaboration will allow use of legal and supporting services that are outside the boundaries of the permanent organization. Increased collaboration with other states, other government units, private sector organizations, and non-lawyer service providers is a continuing trend that distributes services beyond a tightly controlled organization and dedicated support systems.

<sup>24</sup> Maura R. Grossman & Gordon V. Cormack, Technology-Assisted Review in E-Discovery Can Be More Effective and More Efficient Than Exhaustive Manual Review, XVII RICH. J.L. & TECH. 11 (2011), <http://jolt.richmond.edu/v17i3/article11.pdf>.

<sup>25</sup> Blair Janis, “How Technology Is Changing the Practice of Law”, GP SOLO, ABA Online. [http://www.americanbar.org/publications/gp\\_solo/2014/may\\_june/how\\_technology\\_changing\\_practice\\_law.html](http://www.americanbar.org/publications/gp_solo/2014/may_june/how_technology_changing_practice_law.html), last accessed 27 March 2017

### *b. Collaborative Legal Communities*

Other technology trends will allow solo and small firm attorneys to access more information less expensively, to create and join communities of attorneys, and to collaborate within these communities in a way that is similar to having the networking and support that attorneys enjoy in large firms. The net effect of these trends will empower the use of small attorney firms to meet fluctuations in demand and capacity.

### *c. Non-Attorney Service Providers*

Law practice will see a continued influx of non-attorney service providers enter the legal market. Some of which will be exclusively consumer focused, some attorney focused, and others will sell their wares to both consumers and lawyers.

#### *d. Attorney Service Alternatives*

Non-traditional organizations with expertise in data analytics and artificial intelligence are likely to provide work products that have traditionally required an attorney stamp of approval. Use of non-attorney based service alternatives presents an opportunity to increase the effectiveness, increase the speed, and reduce the cost of services.

### **6. Changes to Government Service Delivery**

Changes in operational responsibility including the changes from fee-for-service to managed care and the use of performance-based contracts in the Medicaid area have moved the responsibility for fraud reduction increasingly to managed care providers. The change in organizational responsibilities affects the State Attorney office and changes the legal services and processes.

#### *a. Staffing*

The DLA has assessed its internal staff profile and, commensurate with its peers and industry trends, decided to move away from internal development activities towards a more COTS-centric approach. As part of the initial analysis, the vendor assisted the DLA in reviewing the cost and risk factors associated with the DLA's current staff resources (primarily surrounding the difficulty hiring and retaining the skills and knowledge required to maintain its current Lotus Notes/Domino platform and application suite).

The plan outlined in this document contemplates and includes additional research and analysis activities (Workforce Planning, Organizational Change Management) to more fully define the future state from a staffing perspective.

### **7. Rationale for Selection**

The rationale for selecting the recommended technology project strategy and implementation direction is to proactively address the issues and business drivers that affect current DLA business processes and the business agility to meet the future needs of the State and stakeholders of the DLA. Specifically, these factors are the drivers of the project recommendation:

**Dated Technology:** The DLA's application inventory is built on technology that is two decades old (Lotus Notes/Domino). While the technology is still supported by a major vendor (IBM), few organizations choose to use the Lotus Notes platform when considering internal development options. The technology has constraints such as database size limits that prevent use of common applications and create barriers to integration and data sharing. This results in duplicate data entry between systems consuming valuable worker time.

**Specialization:** Most organizations have opted for commercial products rather than coding their own solutions. Embracing a COTS-based application suite will reduce personnel-related risks to the DLA, as it would negate the need for internal resources who specialize in a particular technology.

**Loss of Institutional Skills and Knowledge:** The rules, policies, procedures, and functions are embodied in DLA staff rather than in the systems and solutions that support its operations. There is a risk that loss of key staff members could affect the DLA's ability to meet its mission. In addition, the use of dated technology makes it increasingly difficult to find and hire people with the requisite platform skills and knowledge. The workforce currently possesses the necessary skills in the Notes/Domino technology. Many have attained, or will soon reach, retirement age. The DLA will eventually find itself without a cadre of Notes/Domino professionals to maintain its applications. While loss of skills and knowledge cannot be prevented, the impact of these losses can be mitigated with a system that allows easy storage and access to information, as well as improved case management systems that reduce the time needed to learn how to process paperwork.

**Inability to Meet Department Needs:** The DLA's IT functions are currently aligned to a federated model with a central IT organization providing support to DLA business units. This works fine for some functions like network

and Help Desk support. However, when application development or modification is called for, some business units have found it necessary to go outside the IT unit for support. The IT unit has limited capacity to develop and maintain large applications. Often applications can be procured in the commercial market, much faster and at significantly less cost than can be custom developed using internal staff.

**Data Security, Access, and Management:** The DLA, as part of the initial analysis and in consideration of its statutory obligations and mission, has reviewed the potential risk and benefits of a cloud-based approach for its data storage and management needs. In light of significant historical and business-driven requirements, DLA has concluded that a solution that provides full data security and access control, managed by the DLA, is most appropriate to meet its needs.

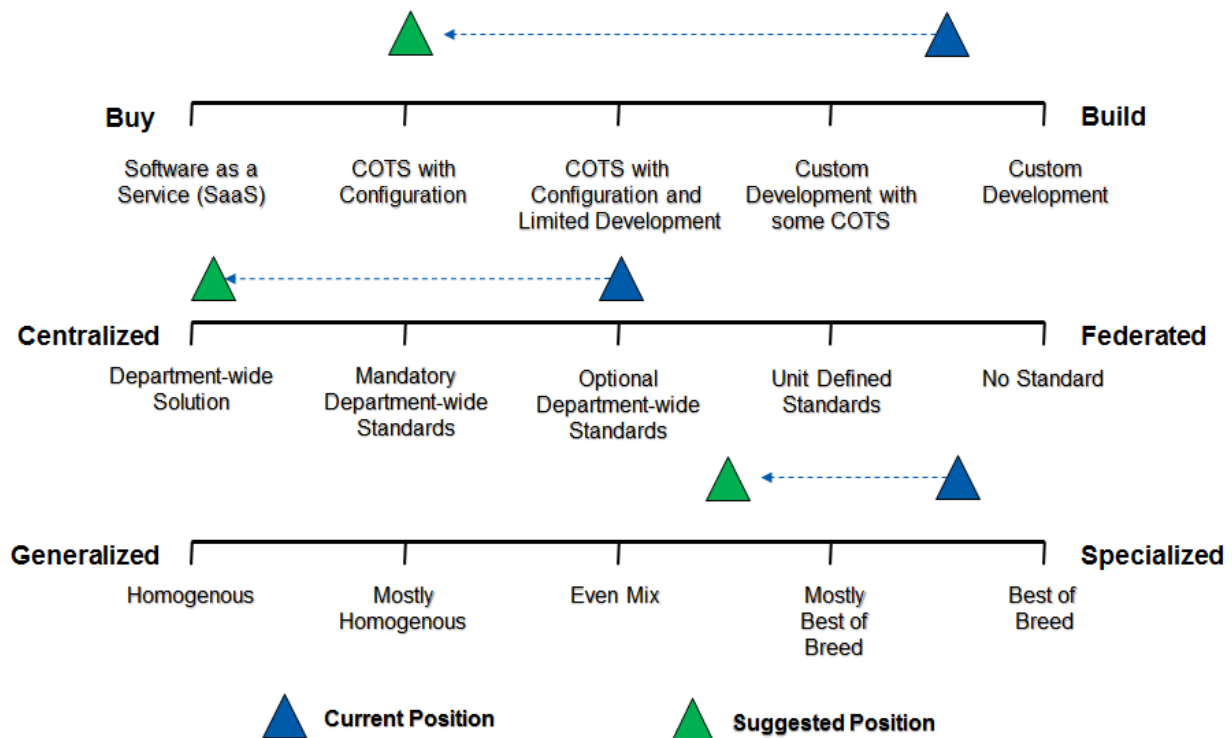
## 8. Recommended Business Solution

The recommended business solution is to implement an integrated application platform that aligns with changes in technology strategy in the areas of applications, EDMS, and IT staffing. The sections that follow describe the recommended changes in technology and application strategy followed by a business implementation recommendation to move to the “To-Be” state.

### a. Applications Recommendation

Currently, the DLA develops, enhances, and maintains most of its business applications, written over the past 20 years, with a small number of COTS packages procured by various business units to meet specific needs. As described earlier in this document, its applications reside on a technologically dated Lotus Notes/Domino platform with a dwindling resource pool of developers. Furthermore, the DLA has used its Notes/Domino toolbox to solve problems for which the tools were never intended. That approach represents significant risk to the DLA in the near future.

The data suggest the DLA move to a more COTS-centric IT applications approach, governed by appropriate IT standards and oversight, taking advantage of market offerings tailored to meet specific business needs.



**Exhibit II-27: Applications Recommendation**

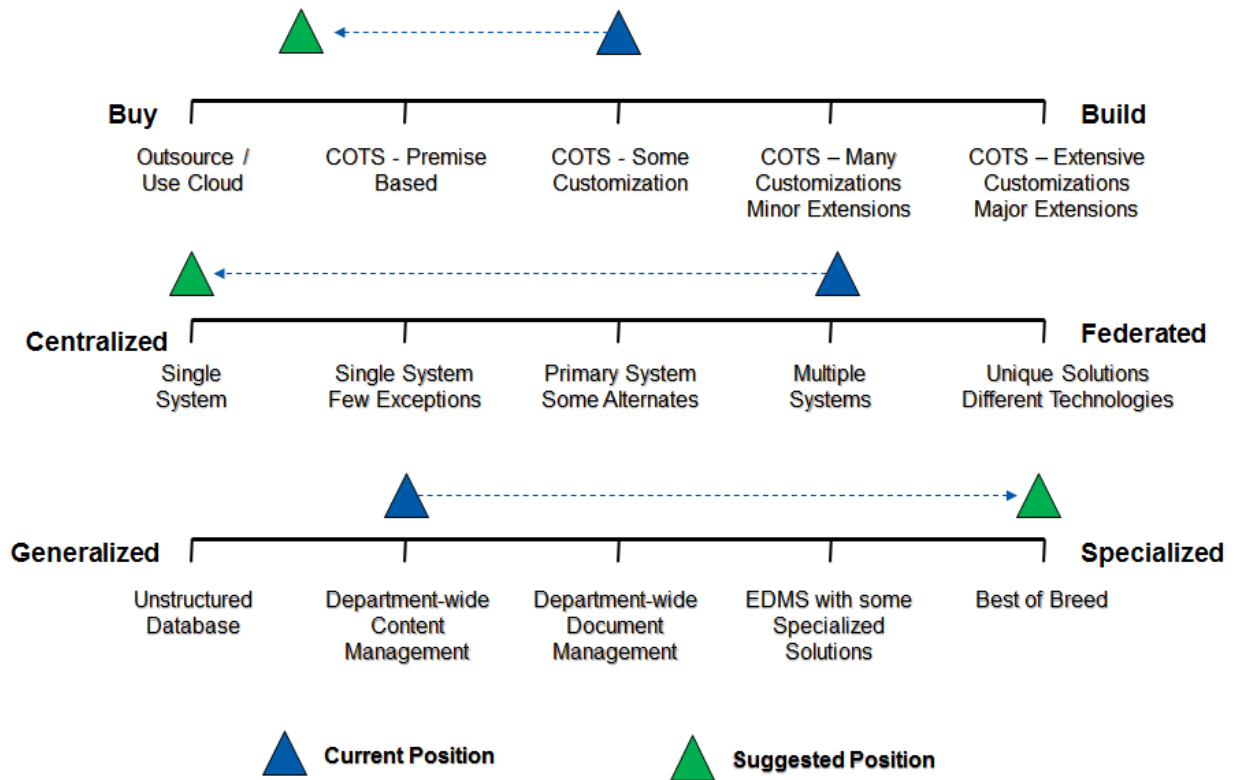
As shown in Exhibit II-27: Applications Recommendation, the DLA will dispense with internal application development activities and move toward the procurement and configuration of commercial software solutions (COTS). In addition, the DLA will provide applications from a central IT authority; no external procurements or non-IT development will be permitted. Finally, the DLA will, in most cases, strive to identify and procure the best possible solution (“Best of Breed”) for a given business need

**b. EDMS Recommendation**

The current EDMS solution (SIRE) is obsolete from its vendor’s perspective. No further enhancements are planned, nor will any be entertained. SIRE does not have the appropriate capabilities to process the ever-changing suite of data content (e.g., video, social network data) found in today’s technology sphere. Of real portent is that the current repository is the largest SIRE has supported, with over 14 Terabytes of data and growing every day.

The DLA is currently wrestling with data management issues, trying to develop methodologies to address its eDiscovery and Public Records mandates, and faces the reality that current business practices cannot be met utilizing the components currently available in the SIRE implementation.

Based on this reasoning, the data suggest a significant change in the DLA’s EDMS approach that uses a hybrid solution with an emphasis on highly specialized content management tools and options.



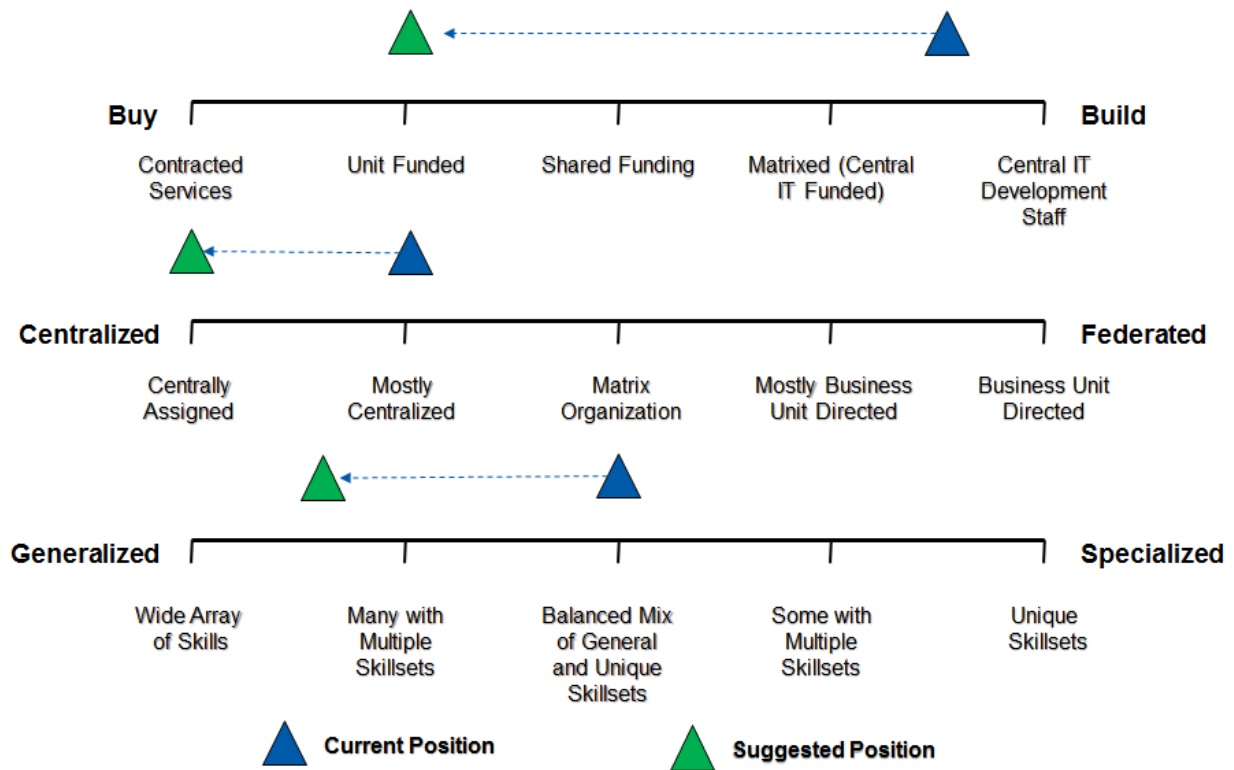
**Exhibit II-28: EDMS Recommendation**

Exhibit II-28: EDMS Recommendation portrays the recommended approach/solution for EDMS. The DLA should purchase a single, enterprise-wide solution, which is centralized (controlled/supported by IT staff), and which contains highly specialized (“Best of Breed”) data and information management tools to address specific content types (e.g., email).

The DLA may also choose to take advantage of cloud-based eDiscovery vendors (outsourcing) and tools to process large data assets, as dictated by need, on a case-by-case basis. In these cases, data security and protection needs are of paramount importance.

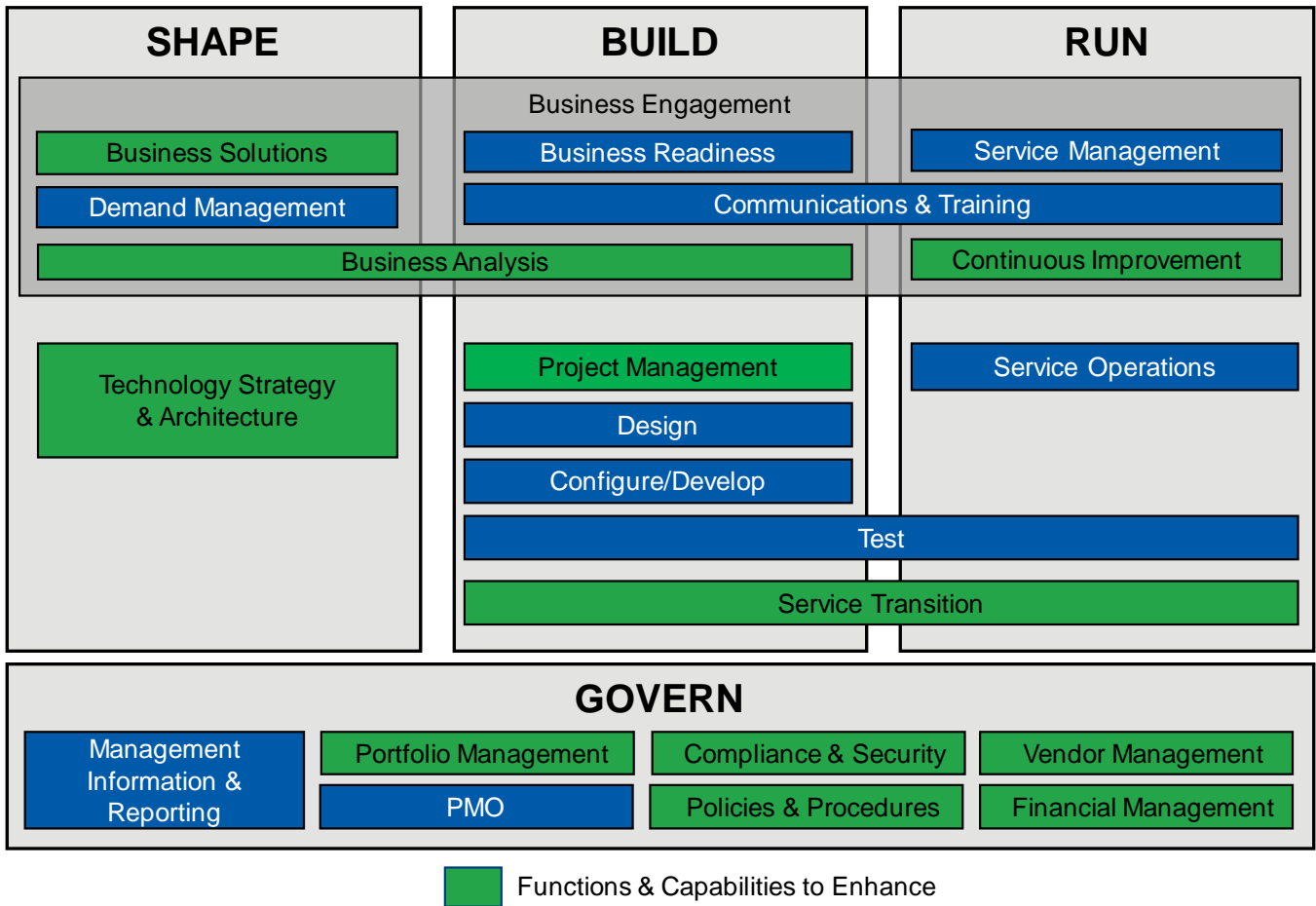
**c. Staffing Recommendation**

To align with a migration from an internal development model to a more commercial-off-the-shelf (COTS) future state, the DLA’s staff will have to shift, as well. Primarily, staff will need to become highly adept in areas that are more closely associated with business analysis, vendor management, and project management. DLA IT resources will be increasingly called upon to manage vendors and to oversee the procurement and implementation of vendor products to meet the functional needs of the DLA business units. Rather than creating new applications, staff will configure COTS offerings instead of building new applications from scratch (“coding”).



**Exhibit II-29: Staffing Recommendation**

Exhibit II-29: Staffing Recommendation depicts the recommended positions along each of the spectrums. The DLA should allocate actual IT costs on a per unit basis (financial consideration). Staff would best be tasked from a central IT authority and IT staff should be hired or retrained to present a wider range of skills and disciplines, to support the future environment.



**Exhibit II-30: Best Practice – Future Staffing Needs**

As shown in the diagram, if the DLA chooses to adopt the suggestions in this document (for applications and EDMS), IT hiring should be modified to address future state staffing needs more closely in alignment with the DLA’s migration away from custom developed applications. As an example, the ability to work closely with the DLA’s business units, to manage vendors, and to manage multiple concurrent projects will be critical to future success. The DLA is encouraged to include the following staff characteristics when considering hiring or retraining efforts:

- Business Solutions
- Business Analysis
- Project management
- Continuous Improvement
- Service Transition
- Portfolio Management
- Compliance and Security
- Vendor Management
- Policies and Procedures
- Financial Management

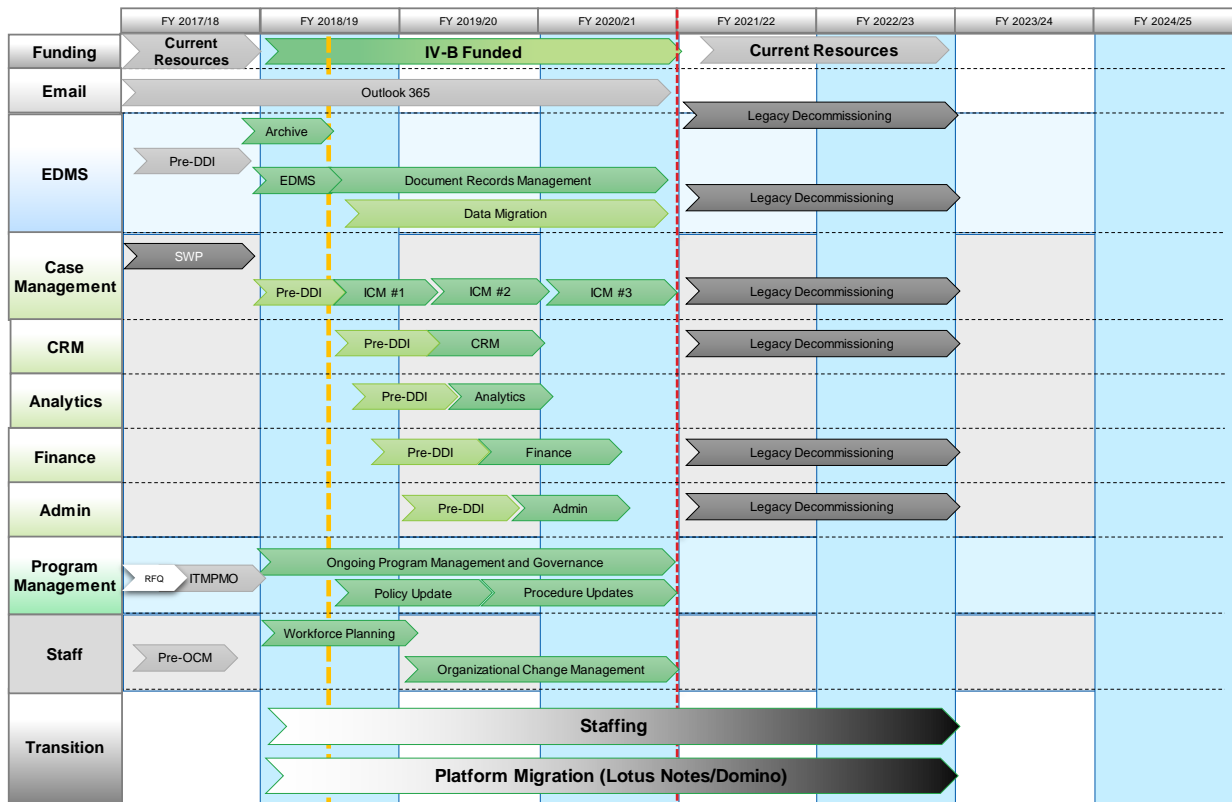


**d. Modernization Plan Recommendation**

The directional strategies defined in the area of applications, EDMS and staffing recommend the DLA move to a more COTS-centric IT applications approach, governed by appropriate IT standards and oversight, taking advantage of market offerings that may be tailored to meet specific business needs. The data suggest a significant change in the DLA’s EDMS approach that uses a hybrid cloud-based solution with an emphasis on highly specialized content management tools and options.

Exhibit II-31: Modernization Program Roadmap shows the overall program components, milestones, and durations, which comprise the modernization strategy over a three-year period.

**DLA ITMS Roadmap – Plan on a Page (3yr)**



**KEY:** Current Resources (grey arrow), IV-B Funded (green arrow), Iterative (light green arrow), Legacy Systems (dark grey arrow)

**Exhibit II-31: Modernization Program Roadmap**

**Note:** The DLA is currently migrating from Lotus Notes to Outlook 365 for email. Although this initiative is not part of the IV-B funding/effort (i.e., it is using current resources), it is a component of the overall modernization strategy and represents significant technical and functional challenges due to the tight integration of Lotus Notes email with the DLA’s current application suite and its email archival processing (Notes email is currently archived into the SIRE EDMS). The new email system will be eventually integrated with the new EDMS platform using a highly-specialized COTS solution. In addition, the office of the Statewide Prosecutor (SWP) is currently in the process of procuring a case management solution integrated with an electronic document management system. The SWP activity shown in Exhibit II 32: Modernization Program Roadmap is for informational purposes only, but there remains the possibility that the outcomes of that procurement effort may influence or inform the DLA’s eventual

strategy for IT modernization, specifically related to case management. The SWP solution will need to integrate with the new EDMS system.

Cost Element	Project Years			3-Year Totals
	FY 2018-19	FY 2019-20	FY 2020-21	
Pre-DDI BPR/Reqs./User Stories	\$ 717,522	\$ 400,478	\$ -	\$ 1,118,000
Internal (Agency) Project Team	\$ 800,800	\$ 1,029,600	\$ 572,000	\$ 2,402,400
Workforce Planning/Transition & OCM	\$ 357,760	\$ 366,704	\$ 366,704	\$ 1,091,168
Hardware	\$ 72,917	\$ 141,667	\$ 41,667	\$ 256,250
Commercial Software	\$ 1,809,380	\$ 1,764,380	\$ 1,184,380	\$ 4,758,140
Project Deliverables - Solution Services	\$ 1,380,957	\$ 2,660,901	\$ 2,219,783	\$ 6,261,640
Project Deliverables - Consulting Services	\$ 1,272,036	\$ 1,272,036	\$ 1,272,036	\$ 3,816,107
Training	\$ 50,000	\$ 71,667	\$ 113,333	\$ 235,000
Equipment	\$ 110,000	\$ 55,000	\$ -	\$ 165,000
Disaster Recovery	\$ -	\$ 72,000	\$ 48,000	\$ 120,000
Maintenance & Operations	\$ 160,000	\$ 130,000	\$ 145,000	\$ 435,000
Other Expenses	\$ 623,610	\$ 534,592	\$ 390,076	\$ 1,548,278
<b>Total</b>	<b>\$ 7,354,981.41</b>	<b>\$ 8,499,022.54</b>	<b>\$ 6,352,978.57</b>	<b>\$ 22,206,982.52</b>

**Exhibit III-32: Estimated IT Modernization Budget**

As shown in Exhibit II-31: Modernization Program Roadmap, the primary modernization project components fall into five major work streams:

- **EDMS** – Electronic Document Management System, Document Records Management, and Data Migration (Extract, Transform, and Load (ETL) processing to move legacy data to the new EDMS platform).
- **Applications** – Integrated Case Management (ICM), Customer Relationship Management (CRM), Analytics, Finance, and Administration.
- **Project Management** – Development, execution, and oversight of project management strategies and procurement activities to acquire applications and support services for the new technical and functional environment. Includes project governance and manages the development, modification, or elimination of DLA Policies and Procedures that must be aligned with and guide the future IT profile. The DLA is currently expanding its Program Management Office (PMO) staffing to prepare for the modernization effort. Refer to additional discussion for the **RFQ** task below.
- **Transition** – Migration from existing Lotus Notes/Domino development and application platform (technical) and transformation of existing IT staff resources to support the new systems and environment.
- **Staff** – Workforce Planning, Organizational Change Management (OCM).

Because of the complexity of the program and the wide-ranging nature of business units, DLA will initiate a phased rollout instead of a single pilot program. Many of the initiatives are preceded by **Pre-DDI** (Design, Develop, and Implement) activities that include planning, business process standardization, requirements definition, and procurement strategies associated with various goods (COTS) and services. These activities ensure products and services meet the DLA’s business needs and govern the procurement processes.

The Pre-DDI activities associated with EDMS are critical to the success of this project as EDMS provides the underlying functional and technical capabilities required to support the entire application suite and serves as the data/information repository for the DLA. Once the EDMS is in place, most project activities may proceed in parallel fashion over the life of the program.

There are multiple formal procurements envisioned to support the modernization program. Formal procurements are defined here as solicitations issued to a number of vendors using a Request for Quote (RFQ), Request for Proposal (RFP), or Invitation to Negotiate (ITN). Potentially, the DLA may simply purchase COTS solutions from a state or

General Services Administration (GSA) contract. The specific procurement methodologies will be determined as part of the Pre-DDI activities, but it is anticipated that solicitations for EDMS, a DLA-wide Case Management solution, and the Customer Relationship Management (CRM) suite will involve formal solicitations.

The DLA has made a strategic decision to move away from internally developed software solutions and has embraced a goal to use COTS applications/packages to meet its business needs. The DLA will rely upon inherent COTS capabilities to configure and integrate various applications (e.g., analytical tools, time tracking) into the future environment. In many cases, these applications may be purchased or licensed without the need to engage in formal procurement activities. Again, the appropriate procurement strategies will be determined during the Pre-DDI phase for the respective functional solutions.

**RFQ (Request for Quote)** – The approach outlined anticipates a solicitation to procure the services of a vendor to support the PMO and to perform the Pre-DDI tasks. Vendor staff will require the necessary skills and knowledge to complete the following:

- **PMO Support** – Vendor personnel will assist the DLA’s PMO staff with overall project management and governance tasks.
- **Analysis** – Vendor analysts, in close concert with DLA staff, will engage in Business Process Analysis activities to fully define and document existing (“As-Is”) DLA business functions; the outcome of the analysis will include the identification and validation of potential process improvements for the future environment (“To-Be”).
- **Requirements Definition** – Following the analysis activities, the vendor and the DLA will define and validate specific functional and technical requirements for the respective solutions (e.g., EDMS, Case Management) which will be used to support the procurement of products or services that will meet those needs.
- **Procurement** – The vendor will assist the DLA in the development of the appropriate procurement strategy for the respective goods or services required for the modernization project. These tasks include the selection of the procurement methodology, preparation of all procurement documents and assisting the DLA during the procurement process.

In addition to the Pre-DDI support, the selected vendor will work in conjunction with DLA staff to achieve the goals and objectives for various on-going tasks shown in Exhibit II-32: Modernization Program Roadmap. Specifically, the selected vendor will perform and/or support the following:

- **Document Records Management** – Define and implement the processes necessary to manage DLA information resources; may include automated/manual workflow processes
- **Data Migration** – Assist in the creation and execution of a data migration plan to move existing EDMS, F-drive, eDOC, and other data assets to the new EDMS platform; includes all functional application data/information (e.g., Case structures and financial information).
- **Policy and Procedure Updates** – Assist in the creation/update of DLA policies and procedures to reflect the new business/IT environment; tasks may include Public Records, eDiscovery, and Archive/Retention of DLA information assets.
- **Workforce Planning** – Create, implement, and manage a detailed Workforce Transition Plan to align staff with the new business strategies. The workforce transition plan also describes how to manage, develop, and motivate talent while ensuring any major business and technology changes effectively serve business needs.
- **Organizational Change Management** – Develop and execute a stakeholder and organizational impact analysis to quantify the types and levels of required change management efforts. Includes a communication strategy and plan to inform all stakeholders of on-going and anticipated project activities.
- **Transition (Staffing and Lotus Notes/Domino Platform Migration)** – Assist the DLA IT staff during the transition from the current application development environment to a COTS-centric approach and ensure all necessary automated business functions are migrated from the Notes platform to the various functional applications and solutions.

The procurement strategy to implement the DLA's vision for the Information Technology Modernization Strategy (ITMS) is to approach the planning, procurement, and implementation in three phases.

- Phase I – Solicit and engage a professional services vendor to perform the tasks outlined above.
- Phase II – Complete Pre-DDI activities for the various work stream components. Acquire and implement ITMS solutions. Complete data/information migration.
- Phase III – Complete on-going project life-cycle activities (Project Management, Workforce Planning, Organizational Change Management, and Transition), Decommission Legacy applications and platforms.

Funding for Phase I of the program (procurement of the professional services vendor) is expected to be provided within the current DLA budget; the actual work performed by the vendor will be funded through the IV-B, as will the tasks and activities for Phases II and III.

#### *e. Functional and Technical Requirements*

The specific detailed functional requirements for each of the discrete program components is defined as part of the Pre-DDI activities shown on the modernization program roadmap. The technical requirements will be defined concurrently and used to inform the eventual procurement activities undertaken to meet the DLA's needs for information technology assets and solutions. At a minimum, the systems will adhere to the following high-level requirements.

#### **Email Archival**

- The system must have the ability to link documents via the e-mail system to eliminate multiple copies of the same document.
- The system must be able to save e-mails from Outlook and/or the attachment(s) only into the Email Archive System.
- The system should be able to inform the user if the e-mail was saved previously, especially when several people have received the same e-mail, to eliminate extra copies of the e-mail.

#### **Electronic Document and Records Management**

- The system must provide automated recognition and capture of data fields from DLA forms.
- The system must provide the ability to collect all forms and associated correspondence.
- The system should record the location of imaged documents to allow locating physical documents after scanning.
- The system must allow the capture of statistical information at each processing stage to support statistical analysis and HR performance.
- The system must allow secure access to retrieve reports on-line.
- The system must have the capability to work with any file format, i.e. Word Documents, Excel Spreadsheets, PDFs, Photographs, Voice/Wave files, etc.
- The system must use unique identifier in order to easily store, search, and retrieve documents.
- The system must have a disaster recovery capability.
- The system must have the ability to provide Extranet/Portal capabilities for purposes of sharing documents on a secured basis with outside experts or outside counsel.
- The system must have the ability to copy/move document(s) from one library/cabinet to another across separate divisions within proper security controls and tracking.
- The system must have the ability to provide a records management (dead file system) along with the ability to provide archival retention capabilities.
- This system should have the capability of providing bar-coding functionality.
- The system must have the ability to open a document from within the Case Management System.
- The system must have the ability to convert an existing document into PDF for ease of use with the Electronic Court Filing System.
- The system must have the ability to create unlimited versions.

- The system must be able to integrate with Case Management Systems.
- The system must be able to Import selected file(s) or to be able to mass import documents into a Case.
- The system must have a full-text search engine and a query-by-example form in order to facilitate completing document searches.
- The system must be able to search by all fields and be able to create reports based on search results.
- The system will keep track of every expandable file folder and document inserted therein via bar-coding, which will provide the current location of the file, previous locations, and comments about the contents of the file.
- The system must be able to print labels with bar-coding.
- The system must have optical character recognition capabilities.
- The system must have Electronic Workflow.
- The Workflow must have the ability to provide several layers of approval with or without comments.
- The Workflow will have an easy-to-use form development tool so the DLA can generate new forms as needs arise.
- The Workflow must be able to update other parts of the system upon the approval process to eliminate rekeying of data.
- The Workflow will provide several standard reports by User and Statuses of the Form submitted.
- The Workflow will provide a standard History Report of Forms.

#### **Case Management**

- The system must have the ability to configure and tailor unique Case Screens per business units.
- The system must be able create unique folders for paperless case files; have workflow capabilities; have access controls.
- The system must allow for secure transmission (incoming and outgoing) of files (documents, pictures, audios, videos, etc.) that can handle large data files, have access controls and activity logs.
- The system must accommodate several hundred concurrent users at multiple sites throughout the State; be compatible with our other IT products (i.e.: Windows 10, Windows 7, Microsoft Office 2016, Microsoft Office 365, Outlook email, Internet Explorer 11).
- The system must possess defined workflow processes with tracking functions, both for users as well as sections.
- The system must possess the capability to reassign tasks.
- The system must be able to run on premise or be cloud based. If on premise, it should be Microsoft SQL Server back-end (current version), on a Microsoft O/S (also current version) environment.
- The system must be able to be accessed via a web browser.
- The system must allow each division to have its own secure area within the case management system.
- The system should have address validation and review with pre-population of fields capabilities.
- The system must allow the import and export of data in delimited text files, MS Excel, and other standard data formats.
- The system must provide a range of query and report options, including ad-hoc, custom and user-defined reports (online and web enabled).
- The system should integrate with Microsoft Outlook e-mail and calendars in order to integrate with both personal e-mails and personal calendars.
- The system should have the ability to produce e-mail reminders prior to the deadline date and to do so on a flexible scheduled basis for those reminders.

#### **CRM (Customer Relationship Management)**

- The system should allow users to add, edit, view, or print Contacts.
- Contacts in the system should be able to be linked to one or many Cases.
- The system should provide Specialty, Relationship, and Categories for Mailing List generation.
- The system should allow the importing of contacts from online address book.

- The system should provide a place to store all types of contacts, i.e. opposing party names, opposing counsel names, attorney and paralegal names, judges' names, witnesses, expert witnesses, etc.
- The system should have a contact directory for each office.
- The system should provide address validation and review with pre-population of fields' capabilities.

#### **Technical Requirements**

- The system must employ defined data standards (e.g., consistent data schema, data elements, data class, field lengths, and data tables, naming conventions).
- The system must provide the ability to associate supporting documentation (e.g., scanned documents) with a system record.
- The system must be upgradeable to support vendor supported hardware versions.
- The system must employ a data model that enforces referential integrity.
- The system must provide a mechanism for recording and viewing system errors and warnings.
- The system must provide a mechanism to notify the system administrator when definable performance and storage thresholds are exceeded.
- The system must allow for maintenance and support activities to be carried out while the application and supporting systems are online (e.g., "Hot" backup procedures).
- The system must provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, and failures).
- The system must include tools for monitoring and reporting capacity for all system components.
- The system must include tools for monitoring and reporting performance for all system components.
- The system must include tools for customizing the system (e.g., adding functionality, modifying existing functionality, modifying configurable settings).
- The system must support the latest encryption standards for the transmission of data.
- The system must provide the ability to transmit the scanned data through multiple methods (e.g., FTP, web-service).
- The system must provide data security with regard to electronic privacy and regulations.
- The system must provide approved end-users with the appropriate access to modify report queries on-line.
- The system must provide the ability to generate reports based on report specific user-defined parameters.
- The system must provide the ability to search a range of data values.
- The system must provide the ability to identify users by User ID.
- The system must limit a user's access to reports based on the user's security profile.
- The system must have access controls.
- The system must retain the security that all data stored or accessed through the solution belongs to OAG.
- The system must allow each division to have its own secure area within the case management software.
- The system must allow for secure transmission (incoming and outgoing) of files (documents, pictures, audios, videos, etc.) that can handle large data files, have access controls and activity logs.
- The system must provide user security and screen level access integrated with Active Directory.
- The system should be configurable without programming
- The system should allow the import and export data in delimited text files, MS Excel, and other standard data formats.

### III. Success Criteria

The success of the IT Modernization Program will be based on a number of quantitative and qualitative factors. Each of these factors are in alignment with the business objectives and proposed business process requirements, as well as the overall vision and mission of the Department.

The major success criteria for the project, along with the Key Performance Indicators (KPIs), are listed in the table below. The success criteria and the KPIs form the basis of any contracts pursued to implement the new solution. The Department anticipates the project management team responsible for the implementation of the solution will develop a benefit realization strategy and plan. The benefit realization plan will be designed to complete baseline measurement and several interim measurements before the final benefit realization report is complete.

Success Criteria		
#	Description of Success Criteria	Key Performance Indicator
1	The solution will enable the Department to improve its internal operating efficiency.	<ul style="list-style-type: none"> <li>• Reduce turnaround time on document production</li> <li>• Reduce percentage of duplicate entries</li> <li>• Reduce time spent correcting data errors</li> </ul>
2	The solution will enable the Department to adapt more quickly to legislative and end-of-year changes.	<ul style="list-style-type: none"> <li>• Time to implement mandated changes</li> </ul>
3	The solution will mitigate the potential risk associated with on-going support and maintenance of the system.	<ul style="list-style-type: none"> <li>• On-going support and maintenance costs</li> <li>• Number of old systems eliminated</li> </ul>
4	The solution will present program data in an integrated view.	<ul style="list-style-type: none"> <li>• Process efficiencies/performance</li> <li>• Staff efficiencies/performance</li> </ul>
5	The solution will provide value to the Department through additional automated options.	<ul style="list-style-type: none"> <li>• Percent of automated v. manual processes</li> <li>• Efficiencies/performance increases</li> </ul>
6	The solution will create a unified electronic document management system (EDMS).	<ul style="list-style-type: none"> <li>• Installation of new EDMS system</li> <li>• Usage of new EDMS agency-wide</li> </ul>
7	The solution will provide an underlying data structure that is scalable to meet future growth.	<ul style="list-style-type: none"> <li>• Data storage capacity after installation of new EDMS</li> <li>• Long-term capability to augment data storage capacity</li> </ul>
8	The solution will allow DLA to develop a more comprehensive public records request process.	<ul style="list-style-type: none"> <li>• Ability to quickly pinpoint requests to the correct office</li> <li>• Ability to quickly determine if there is material available</li> </ul>
9	The solution will provide a positive financial Return on Investment (ROI) and Internal Rate of Return (IRR) to the State of Florida.	<ul style="list-style-type: none"> <li>• Project ROI</li> <li>• Project IRR</li> </ul>
10	The project will be completed on-schedule, in accordance with an approved project plan.	<ul style="list-style-type: none"> <li>• Interim project milestones</li> </ul>
11	The project will be completed within the prescribed budget constraints defined in advance of project initiation.	<ul style="list-style-type: none"> <li>• Project financial data</li> </ul>

Success Criteria		
#	Description of Success Criteria	Key Performance Indicator
12	The project will achieve anticipated Cost Benefits.	<ul style="list-style-type: none"> <li>• Cost Benefit Analysis outcomes</li> </ul>
13	The project will facilitate data exchange with external stakeholders	<ul style="list-style-type: none"> <li>• Maintain data exchange with key systems</li> </ul>

Exhibit III-1 Project Success Criteria



## IV. Benefits Realization and Cost Benefit Analysis

The purpose of this section is to describe and compare the costs and the expected benefits for the proposed IT Modernization Program. The Cost Benefit Analysis (CBA) forms presented in this section identify:

- Estimated program costs
- Estimated program benefits, both tangible and intangible
- Fiscal metrics associated with implementing the program

The IT Modernization Program will enable substantial improvements in the remittance and document processing activities of the DLA. The IT Modernization Program proposes a phased implementation of specific opportunities to reduce the cost of current practices that are labor intensive and inefficient. These opportunities – when realized – will yield an economic benefit for the DLA.

The IT Modernization Program benefits described in this analysis will be the result of aligning the DLA’s business processes with technology best practices to maximize return on investment. Benefits will accrue as updated imaging functionality is implemented, in combination with targeted improvements in existing business processes. The expected benefits are described in **Exhibit IV-1: Benefits Realization Table**.

### A. Benefits Realization Table

The following table provides a breakdown and explanation of the expected benefits, both tangible and intangible of the program<sup>26</sup>. (See Appendix D for detailed information on benefit calculations.)

#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be assessed / measured?	Realization Date
1	Reduction in Archiving Costs	Tangible	DLA/State of Florida	A new IT system that replaces SIRE will absorb these functions into an agency-wide, full spectrum, EDMS platform, should enable the agency to repurpose the duties of the Records Office. The full spectrum EDMS platform should reduce the burden of printing out copies, organizing them, mailing them, and scanning them into SIRE.	(unit operating budget + unit space leasing costs) * 100% efficiency gain  Est. Annual Benefit Value: \$343,094	FY 2021-2022

<sup>26</sup> Tangible benefits refer to any benefit that can be measured in dollars. They do not necessarily mean revenue producing benefits.

2	Reduced Employee Time on Public Records Requests	Tangible	DLA/State of Florida	A unified EDMS and case management system will allow agency wide data searches, which can immediately determine if DLA has the data requested, ending fruitless searches and focusing attention on the remaining searches and the specific unit(s) that have the information. This result will be a significant decrease in personnel hours to process Public Records Requests (PRQs).	(# of attorney hours spent on PRQs * average hourly DLA attorney salary) * 25% efficiency gain  Est. Annual Benefit Value: \$182,223	FY 2021-2022
3	Improved Data Sharing between Units	Tangible	DLA/State of Florida	The new EDMS and case management system, with improved OCR technology, will reduce the frequency of data error, reducing the need for staff to manually key in the correct data.	(\$ in work hours spent per employee (weighted by job title and salary) per year) * 50% efficiency gain  Est. Annual Benefit Value: \$2,260,924.49	FY 2021-2022
4	Increased Efficiency to System Changes in Support of Business Needs	Tangible	DLA/State of Florida	With a simplified IT environment, the IT application development team will spend less time modifying, repairing, and replacing existing unit-specific programs. The result will be more time that the IT staff can spend on other projects, or trouble shooting larger issues.	(# of IT staff members that support business needs * average salary for IT personnel) * 20% efficiency gain  Est. Annual Benefit Value: \$243,190	FY 2021-2022
5	Efficiency Savings from Document Assembly and Court e-Filings	Tangible	DLA/State of Florida	Survey data shows that DLA employees spend significant time preparing documents for e-Filing in State and Federal Courts. A modernized, adaptable case management system will allow for tailoring- processes for individual courts, or even individual judges, dramatically reducing the time needed to submit documents to courts.	(\$ in work hours spent per employee (weighted by job title and salary) per year) * 50% efficiency gain  Est. Annual Benefit Value: \$899,012	FY 2020-2021

6	Reduced Duplicate Entry	Tangible	DLA/State of Florida	Our survey data shows that DLA employees also spend significant time manually entering documents in databases that already exist in another database (either inside or outside DLA). An agency wide solution will reduce this worktime significantly.	(\$ in work hours spent per employee (weighted by job title and salary) per year) * 30% efficiency gain  Est. Annual Benefit Value: \$1,318,961.60	FY 2021-2022
7	Reduce Employee Onboarding Costs	Tangible	DLA/State of Florida	The byzantine, fragmented nature of the current business environment results in additional time required to train new employees or unit-to-unit transfers when they arrive at a new DLA office. A modern, unified system can reduce the training time needed.	estimated time saved to train new employee * average employee salary * number of new employees per year  Est. Annual Benefit Value: \$292,144	FY 2021-2022
8	Increased Data Security and Protection	Tangible	DLA/State of Florida	Because of the outdated design of the IT security environment, the application development team spends significant time controlling and maintaining access to different programs and databases. A modernized and unified system will enable access control management to be delegated to individual business units, reducing the time needed to protect critical data.	(amount of time spent by IT staff on data security and protection * average hourly IT salary) * 60% efficiency gain Est. Annual Benefit Value: \$79,589	FY 2021-2022
9	Improved Citizen Services Efficiency	Tangible	DLA/State of Florida	The call center in Citizen Services currently does not employ a modern Customer Relations Management program to allow quick, accurate responses. Installing a Customer Relations Management program will improve the time and efficiency in which an employee in Citizen Services can respond to citizens' requests.	(operating budget for Citizen Services) *10% efficiency gain  Est. Annual Benefit Value: \$154,485	FY 2020-2021

10	Transfer of Institution Knowledge from Workforce to System	Tangible	DLA/State of Florida	Due to the decentralized structure of the current IT environment and the numerous internally built programs, a lot of the knowledge in document management and process flow is retained by a select few people. A more centralized, automated COTS system will remove a “single point of failure” from the process.	estimated reduced time to recover after an employee separates from their office * average employee salary * number of employee separations per year  Est. Annual Benefit Value: \$319,533	FY 2021-2022
11	Reduced Time for Training Transferred Employees	Tangible	DLA/State of Florida	Currently, when an employee moves from one business unit to another at DLA, the IT environment changes dramatically. It can be as if they are moving to another agency. With an updated IT environment, the time needed to retrain transferring employees will be significantly reduced.	estimated time saved to train a transferred employee * average employee salary * number of transferred employees per year  Est. Annual Benefit Value: \$41,793	FY 2021-2022
12	Timely Tracking and Invoicing/ Collections	Tangible	DLA/State of Florida	Because of the antiquated and decentralized nature of DLA's business environment, the invoicing and collections process (which is centralized) is extremely inefficient. A modern system could dramatically increase efficiency.	(estimated time spent on tracking, invoicing, and collection * salary of select employees) * 33% efficiency gain  Est. Annual Benefit Value: \$42,786	FY 2021-2022

13	Efficiency Gain from Better Leveraged IT Staffing	Tangible	DLA/State of Florida	Currently, the IT staff has numerous backlogged projects that they plan to spend considerable resources on. The IT modernization program will remove the need for a great number of these projects, creating significant savings for DLA.	# estimated workhours for backlogged projects that will be redundant after modernization efforts * average IT salary  Est. Annual Benefit Value: \$244,465 (this is a one-time benefit)	FY 2020-2021
14	Increased Efficiency from Mobile Computing	Tangible	DLA/State of Florida	The ability for managers, attorneys and other staff members to work on mobile devices will dramatically improve workplace productivity, according to recent data by the American Productivity & Quality Center. Allowing mobile computing will give managers the ability to complete approvals and facilitate other day-to-day decision making tasks.	average time saved using mobile computing * # of employees not currently using mobile computing * average DLA salary  Est. Annual Benefit Value: \$830,786	FY 2021-2022
15	Reduced Employee Time to Extract Data from SIRE	Tangible	DLA/State of Florida	Because of the limited user operability of the current document archiving system, retrieving data from SIRE requires a large amount of time. A new EDMS system will have more advanced, user friendly search functions, creating efficiency savings.	# of SIRE extractions * average time spent on a SIRE extraction * average DLA salary  Est. Annual Benefit Value: \$28,669	FY 2020-2021
16	Improved Accuracy and Completeness of Public Records	Intangible	DLA/State of Florida	A more centralized system will reduce the risk of any issue related to public records request occurring.	- Not measured for the purposes of this analysis.  Est. Annual Benefit Value: NA	Upon Implementation

17	Improved IT Security Conditions	Intangible	DLA/State of Florida	A more modern IT environment will reduce the risk of any IT Security issue occurring, and limit fallout from an issue, if it does occur.	- Not measured for the purposes of this analysis.  Est. Annual Benefit Value: NA	Upon Implementation
18	Improved Crisis Reaction Time	Intangible	DLA/State of Florida	Modern, centralized IT, with mobile computing capabilities will allow DLA employees to respond quickly to crisis or high profile situations.	- An estimated reduction in effort involved in supporting applications associated with the imaging environment.  Est. Annual Benefit Value: NA	Upon Implementation
19	Improved Staff Capture/Retention	Intangible	DLA/State of Florida	Updated, current technology will make it easier to attract and retain talented employees to DLA.	- Not measured for the purposes of this analysis.  Est. Annual Benefit Value: NA	Upon Implementation

**Exhibit IV-1: Benefits Realization Table**

This section contains the CBA forms that present the cost and benefit analyses for the IT Modernization Program. Given that the first year of the program is dedicated to pre-DDI work, the typical five-year timeline established in the CBA forms has been extended to six years. This allows for a better picture of the program's true financial value, as evidenced by the Internal Rate of Return (IRR), the Net Present Value (NPV), the Payback Period, and the Breakeven Fiscal Year. The following spreadsheets provide the CBA forms and detailed cost and benefits calculations (See Appendix A for detailed information on benefit calculations.)

CBAForm 1 - Net Tangible Benefits

Agency	Florida Department of Legal Affairs	Project	IT Modernization Program
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits - CBAForm 1A																		
Agency (Operations Only - No Project Costs)	FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel Costs - Agency Managed Staff	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634
A.b. Total Staff	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5
A-1.a. State FTEs (Salaries & Benefits)	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634
A-1.b. State FTEs (# FTEs)	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
B. Application Maintenance Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-4. Other <span style="font-style: italic;">Specify</span>	\$0	\$0	\$0	\$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	\$0	\$0	\$0
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$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	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$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	\$0	\$0	\$0
C-5. Other <span style="font-style: italic;">Specify</span>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility - Costs (including PDC services)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others - Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <span style="font-style: italic;">Specify</span>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total Recurring Operational Costs</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>
<b>F. Additional Tangible Benefits:</b>		\$0			\$1,079,755			\$3,659,866			\$6,295,155			\$7,037,190				\$7,037,190
F-1. Data Quality/ Access/ Duplication		\$0			\$404,289			\$1,070,723			\$1,212,867			\$1,347,630				\$1,347,630
F-2. Organizational Effectiveness		\$0			\$248,702			\$983,502			\$1,820,044			\$2,260,924				\$2,260,924
F-3. IT/ Administrative Efficiencies		\$0			\$46,789			\$169,264			\$543,396			\$365,565				\$365,565
F-4. Improved Knowledge Management		\$0			\$55,305			\$172,621			\$281,965			\$333,937				\$333,937
F-5. Operational Responsiveness		\$0			\$47,378			\$174,897			\$307,552			\$336,708				\$336,708
F-6. Operational Efficiencies		\$0			\$277,293			\$1,148,865			\$2,129,330			\$2,392,425				\$2,392,425
<b>Total Net Tangible Benefits:</b>		\$0			<b>\$1,079,755</b>			<b>\$3,659,866</b>			<b>\$6,295,155</b>			<b>\$7,037,190</b>				<b>\$7,037,190</b>

**Exhibit IV-2: Operational Costs & Tangible Benefits**

Florida Department of Legal Affairs			IT Modernization Program			CBA Form 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 CBA Form 1A.																						
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	FY2017-18		FY2018-19		FY2019-20		FY2020-21		FY2021-22		FY2022-23		TOTAL						
				YR 0 #	YR 0 LBR	YR 0 Base Budget	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
Activities performed in advance of the design, development and implementation (DDI) of the actual system. Primary activities include developing system requirements, developing the associated user stories, and procurement-related activities prior to a DDI vendor being selected.	Pre-DDI BPR/Reqs./User Stories	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	717,522	\$ -	0.00	400,478	\$ -	0.00	-	\$ -	0.00	-	\$ -	0.00	-	\$ -	\$ 1,118,000
State resources required for solution implementation that are beyond existing state resources (i.e., additional state capacity required).	Internal (Agency) Project Team	OPS/Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	800,800	\$ -	0.00	1,029,600	\$ -	0.00	572,000	\$ -	0.00	-	\$ -	0.00	-	\$ -	\$ 2,402,400
Services in support of the workforce successfully transitioning to the new way of doing business resulting from implementing the project (e.g., assessing the readiness of staff for impending change).	Workforce Planning/ Transition & OCM	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	357,760	\$ -	0.00	366,704	\$ -	0.00	366,704	\$ -	0.00	-	\$ -	0.00	-	\$ -	\$ 1,091,168
Hardware purchases required to support the selected solution(s).	Hardware	OCO	\$ -	0.00	\$ -	\$ -	0.00	72,917	\$ -	0.00	141,667	\$ -	0.00	41,667	\$ -	0.00	-	\$ -	0.00	-	\$ -	\$ 256,250
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	1,809,380	\$ -	0.00	1,764,380	\$ -	0.00	1,184,380	\$ -	0.00	-	\$ -	0.00	-	\$ -	\$ 4,758,140
Professional services with fixed-price costs (i.e., software development, installation, project documentation).	Project Deliverables - Solution Services	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	1,380,957	\$ -	0.00	2,660,901	\$ -	0.00	2,219,783	\$ -	0.00	-	\$ -	0.00	-	\$ -	\$ 6,261,640
Professional services with fixed-price costs (i.e., project management, governance, other consulting services).	Project Deliverables - Consulting Services	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	1,272,036	\$ -	0.00	1,272,036	\$ -	0.00	1,272,036	\$ -	0.00	-	\$ -	0.00	-	\$ -	\$ 3,816,107
All first-time (i.e., not ongoing) training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ 50,000	\$ -	\$ -	\$ 71,667	\$ -	\$ -	\$ 113,333	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 235,000
Costs for non-state data center equipment required by the project and the proposed solution.	Equipment	Expense	\$ -	\$ -	\$ -	\$ -	\$ 110,000	\$ -	\$ -	\$ 55,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 165,000
Services to Integrate New Solution with Department Disaster Recovery, backup and Recovery Infrastructure and Processes	Disaster Recovery	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 72,000	\$ -	\$ -	\$ 48,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 120,000
Equipment maintenance.	Maintenance & Operations	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ 160,000	\$ -	\$ -	\$ 130,000	\$ -	\$ -	\$ 145,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 435,000
Other project expenses not included in other categories, such as office expenses in support of the project, leased space, etc.	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ -	\$ 623,610	\$ -	\$ -	\$ 534,592	\$ -	\$ -	\$ 390,076	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,548,278
<b>Totals</b>			\$ -	0.00	\$ -	\$ -	0.00	7,354,981	\$ -	0.00	8,499,023	\$ -	0.00	6,352,979	\$ -	0.00	-	\$ -	0.00	-	\$ -	\$ 22,206,983



**Exhibit IV-3: Baseline Program Budget**

CBAForm 2 - Project Cost Analysis	Agency <u>Florida Department of Legal Affairs</u>	Project	<u>IT Modernization Program</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)						TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$0	\$7,354,981	\$8,499,023	\$6,352,979	\$0	\$0	\$22,206,983
CUMULATIVE PROJECT COSTS <i>(Includes Current &amp; Previous Years' Project-Related Costs)</i>	\$0	\$7,354,981	\$15,854,004	\$22,206,983	\$22,206,983	\$22,206,983	\$22,206,983
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	FY 2023-24	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL INVESTMENT</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>CUMULATIVE INVESTMENT</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0

**Exhibit IV-4: Program Cost Analysis**

<b>CBAForm 3 - Project Investment Summary</b>	Agency <u>Florida Department of Legal Affairs</u>	Project <u>IT Modernization Program</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>							
	0	1	2	3	4	5	
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	Project Totals
Project Cost	\$0	(\$7,354,981)	(\$8,499,023)	(\$6,352,979)	\$0	\$0	(\$22,206,983)
Tangible Benefits	\$0	\$1,079,755	\$3,659,866	\$6,295,155	\$7,037,190	\$7,037,190	\$25,109,155
Return on Investment	\$0	(\$6,275,226)	(\$4,839,157)	(\$57,824)	\$7,037,190	\$7,037,190	\$2,902,173

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	4.59	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	FY 2022-23	Fiscal Year during which the project's investment costs are recovered.
ROI	13.07%	Return on Investment is the measure of a project's net benefits relative to it's total costs.
Net Present Value (NPV)	\$297,438	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	7.85%	IRR is the project's Internal Rate of Return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>						
Fiscal Year	FY 2017-18	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%	6.16%

**Exhibit IV-5: Investment Summary**

## 1. The Cost-Benefit Analysis Results

The projected net benefits for the IT Modernization Program are significant and compelling. The estimated NPV from the IT Modernization Program over the next six years is **\$1,147,923**. The NPV calculation includes an estimate of **\$25,981,422** in total Program benefits and total program costs of **\$22,191,983**. Because benefits continue after the six-year period, the calculated NPV is conservative, potentially understating benefits of the program to the DLA and Florida stakeholders.

### a. Program Costs

The estimated total cost of implementing the proposed IT Modernization Program is \$22.192 Million over the program life.

### b. Program Financial Return Analysis

The DLA has computed the following values for the IT Modernization program.

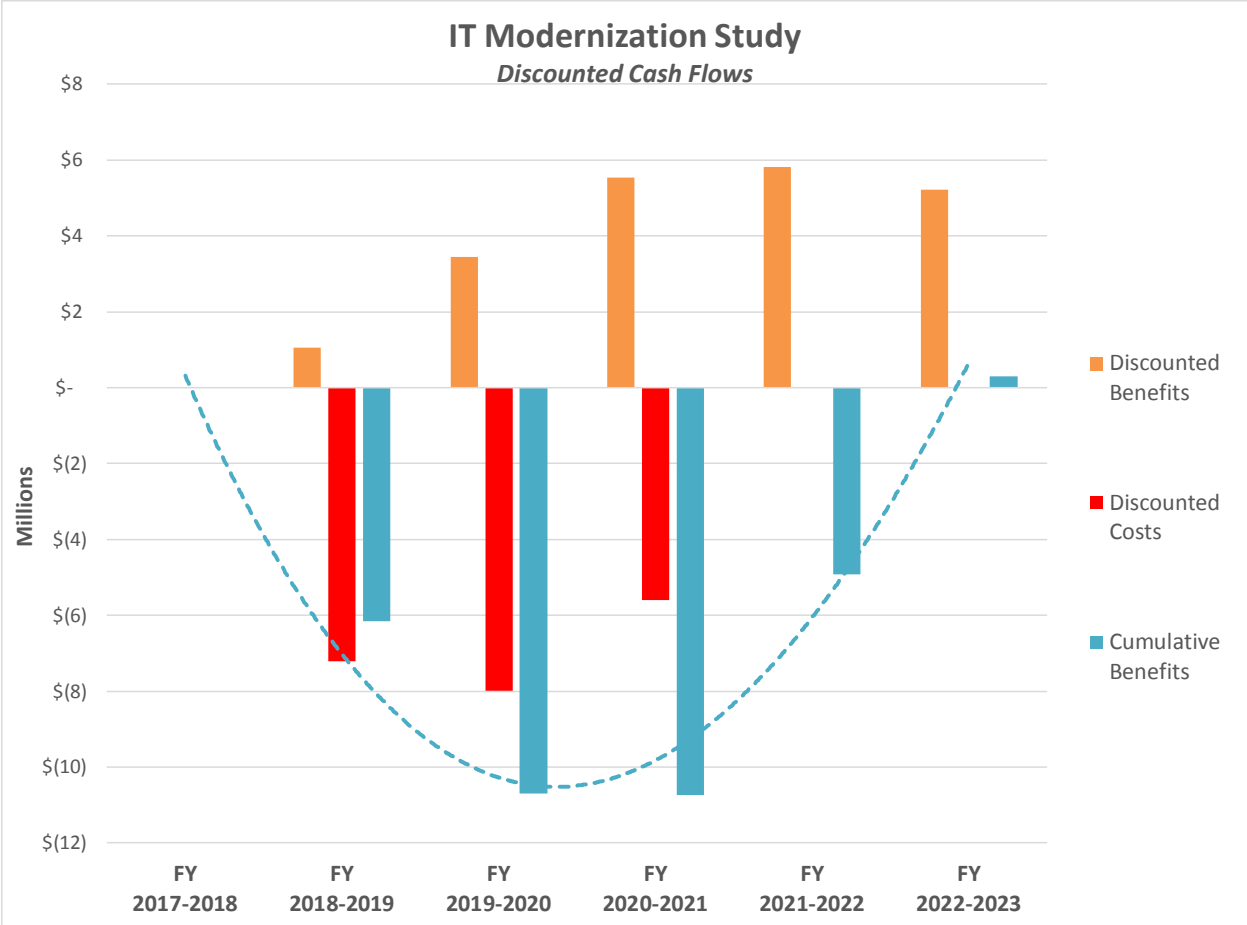
Investment Term	Computed Value
Total Cost	\$22.207 M distributed over six fiscal years
Benefits	\$25.109 M in total benefits
Payback Period	4.59 years
Payback Date	SFY 2022-2023
<b>6 Year Analysis</b>	
Net Tangible Benefits	\$7.037 M (total benefits minus total costs)
NPV	\$0.297M
IRR	7.85%

**Exhibit IV-6: Financial Return Analysis**

The breakeven year is SFY 2022-23. This rapid breakeven indicates a strong program that pays for itself quickly.

- The six-year NPV is \$0.297Million. By this measure, the IT Modernization Program is a sound investment.
- The IRR is 7.85percent. The Florida Legislature’s Office of Economic and Demographic Research (EDR) estimates the cost of capital for investment analysis purposes to be 6.16 percent at the end of the six-year timeline. Given that the IT Modernization Program’s IRR significantly exceeds the forecasted cost of capital, the program would provide a positive impact to the DLA’s financial position.

**Exhibit IV-7: Cumulative Discounted Cash Flow** displays the cumulative discounted cash flow from the Program’s costs and benefits over the six-year period. This figure depicts the solid performance of program as an investment.



**Exhibit IV-7: Cumulative Discounted Cash Flow**

As the data shows, the tangible benefits of this program significantly outweigh the upfront costs, making this program a sound investment for the Florida Legislature to approve. In addition, the intangible benefits are significant. The minimized risk of mistakes related to public records requests, the reduced risk of a cyber security incident impacting the Department of Legal Affairs, the increased ability to respond quickly and competently when crises occur anywhere in the State, and the increased ability to hire and retain top tier talent, all have real-world beneficial impacts on State government and Florida citizens. The intangible benefits should be considered as well.

The DLA recommends that the proposed IT Modernization Program be approved and authorized to proceed with the initiation of the program’s pre-implementation and procurement activities, and that the required funding be requested by the Executive Office of the Governor and approved by the Legislature. The DLA, to get the program moving forward in SFY 2017-2018 and to evidence its confidence that the investment required to fund the IT Modernization Program will produce the identified benefits, is planning to utilize current resources to fund a portion of the pre-DDI activities. The recommended next step is to secure funding of \$ 7,354,981 for FY 2018-2019 to move forward with the IT Modernization Program.

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

A project risk assessment of the IT Modernization Program was performed using the assessment tool provided as part of the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool involves answering 89 questions about the project being considered, divided into eight assessment categories. The results of the assessment in Appendix B are summarized in the following sections. Questions in this assessment were answered with the expectation that many of the foundational tasks will be formulated in the next year as the DLA ramps up processes and documentation to prepare for the first year of implementation.

For the purposes of the Project Risk Assessment section, the IT Modernization Program will be referred to as a single “project”.

### A. Risk Assessment Summary

The overall risk assessment of the project is rated as “High” based on the risk assessment tool. This rating reflects assessment ratings of “Low” in one of the eight assessment areas, “Medium” in five of the eight assessment areas and “High” in two of the eight assessment areas. Risk is the highest during the earliest preplanning phases of any project.

As would be expected at this early stage, the project carries some risk. It is expected that overall project risk will decrease during the upcoming “Year Zero” as DLA begins preparation for the first year of the program. Overall project risk is expected to diminish significantly by the conclusion of the first year when the project structure is fully in place and the foundational process and technology elements have been implemented. Exhibit V-1 is a graphical representation of the results computed by the risk assessment tool.

The categories assessed as “high risk” and primary causes of that assessment level include:

- Organizational Change Management – because the new system will enable cross organization integration, the change related to the system is considered extensive. Extensive change can be a significant risk. For IT staff and business unit staff, we expect the changes and time saving improvements will be acceptable.
- Project Management –until funding is approved and the project started, the full project management team can’t be assembled and governance structure won’t be clearly defined and documented within an approved project plan. The DLA is hiring for an additional PM staff position that will be dedicated to establishing the foundational structure that they currently are lacking at the time of this study.

The overall risk assessment rating aligns with expectations for a project of this scope and type regardless of solution or approach. In the areas classified as “High Risk”, the risks are manageable and unlikely to undermine expected success or benefits of the program. Many of the areas with high classification risks will see a reduction in risk within months after the project start date, when a formal project management organization is created, a Communications Plan is developed, stakeholder sign-off is completed, and requirements finalization activities are finished. Until project approval and funding is approved, it is unlikely that additional effort to reduce identified risks would be prudent or appropriate.

Exhibit V-1 Project Risk Assessment Summary is a graphical representation of the results computed by the risk assessment tool.

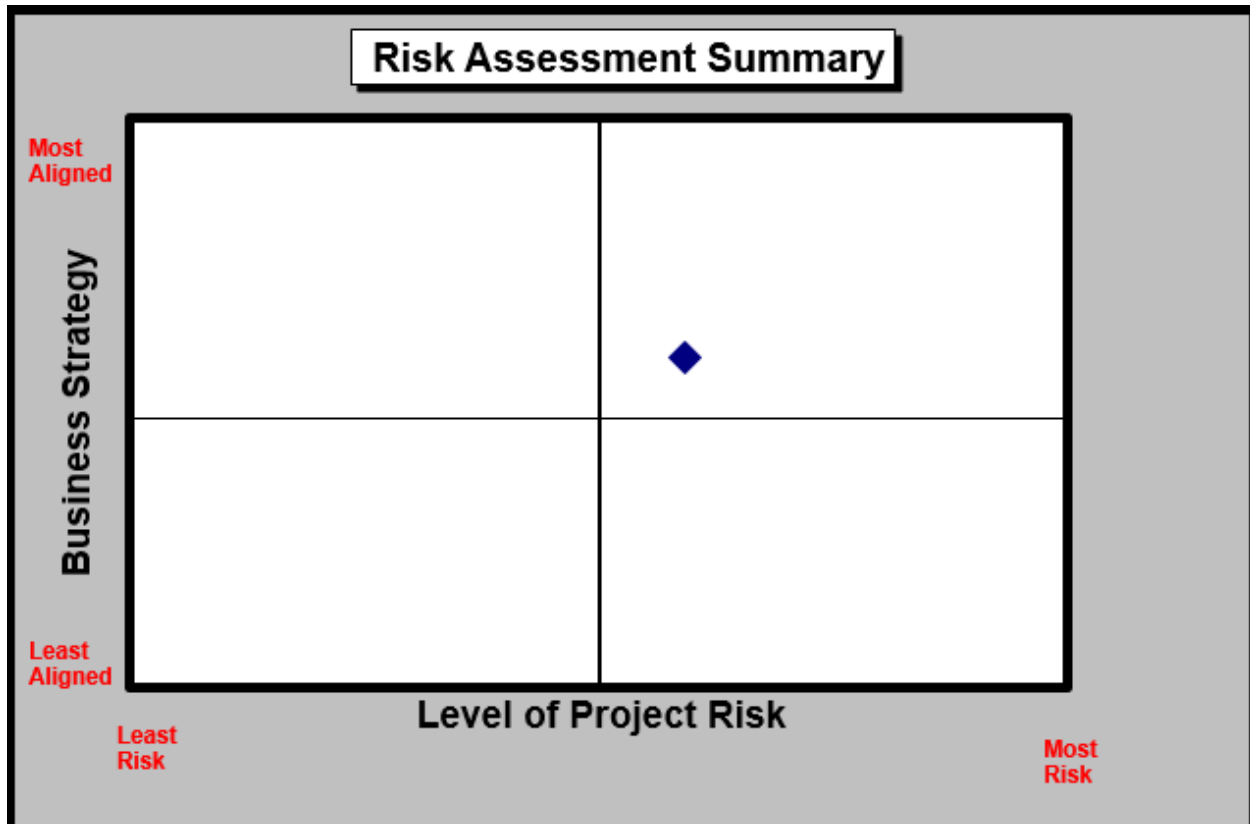


Exhibit V-1 Project Risk Assessment Summary

Factors that contributed to the project’s risk assessment level of “High” and its placement in the upper-right quadrant of the Risk Assessment Summary in Exhibit V-1 Project Risk Assessment Summary will be addressed within the first year of the project. These include:

- Strategic Risk
  - a. The project objectives will be clearly documented and signed off by the stakeholders
  - b. The project charter will be signed by the executive sponsor
  - c. All of the project requirements, assumptions, constraints and priorities will be defined
- Technology Risk
  - a. The internal staff will gain sufficient experience during the first year of implementation
- Change Management Risk
  - a. All of the business process changes will be defined and documented
  - b. An Organizational Change Management Plan will be developed early in the project
- Communication Risk
  - a. A Communication Plan will be approved
  - b. The Communication Plan will promote the routine use of feedback (at a minimum)
  - c. All affected stakeholders will be included in the Communication Plan
  - d. All key messages will be documented in the Communication Plan
  - e. The Communication Plan will identify and assign needed staff
- Fiscal Risk
  - a. A Spending Plan will be documented and approved for the project lifecycle
  - b. All project expenditures will be identified and documented in the Spending Plan
  - c. The cost estimates for the project will be accurate within +/- 10%
  - d. Funds will be available within existing resources to complete the project

- e. The procurement strategy will be reviewed and approved
- Project Organization
  - a. The project organization and governance structure will be defined and documented
  - b. A project staffing plan will identify and document all staff roles and responsibilities
  - c. The Change Review and Control Board will include representation from all stakeholders
- Project Management Risk
  - a. All requirements and specifications will be defined and documented
  - b. All requirements and specifications will be traceable to specific business rules
  - c. All project deliverables and acceptance criteria will be identified
  - d. The Work Breakdown Structure will be defined to the work package level
  - e. The project schedule will specify all project tasks, go/no-go decision points, milestones and resources
  - f. Formal project status reporting will be in place
  - g. All planning and reporting templates will be available
  - h. All known project risks and mitigation strategies will be identified

The overall project risk level will decrease from “High” when many of the above items are addressed. Additionally, addressing these items will shift the current placement of the project in the risk quadrant (Exhibit V-1 Project Risk Assessment Summary) to reflect a more accurate alignment with the business strategy not currently represented in the risk assessment tool.

Exhibit V-2 Project Risk Assessment Summary Table illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure assessed in each area. As indicated above, the overall project risk should diminish significantly by the conclusion of the first year when the project structure is in place, business processes and requirements are fully mapped and defined, and the foundational technology elements have been implemented.

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

*Exhibit V-2 Project Risk Assessment Summary Table*

The DLA’s plan to continually identify, assess, and mitigate risk throughout the life of the project is discussed in Section VII, Project Management Planning.



# VI. Schedule IV-B Technology Planning

## A. Current Information Technology Environment

### 1. Current System

#### a. Description of Current System

The current DLA processing platform technology consists primarily of IBM Notes/Domino databases and applications, an older COTS Electronic Document Management System (EDMS), limited COTS applications for workforce productivity and other COTS products that provide common architecture processing. The current application systems are primarily business unit specific implementations that have been custom built using IBM Notes/Domino as an application development, data storage and execution platform. SIRE is the COTS Electronic Document Management System used to archive closed case files and archive email records. Microsoft Office is a COTS product used for worker productivity processing including word processing, spreadsheets, presentations, graphics, and work planning. Other COTS products and cloud based services support specific business processing functions including eDiscovery, fraud analytics, and other areas. Exhibit II-1: Department Organization Chart depicts the major technology of the current processing platform.

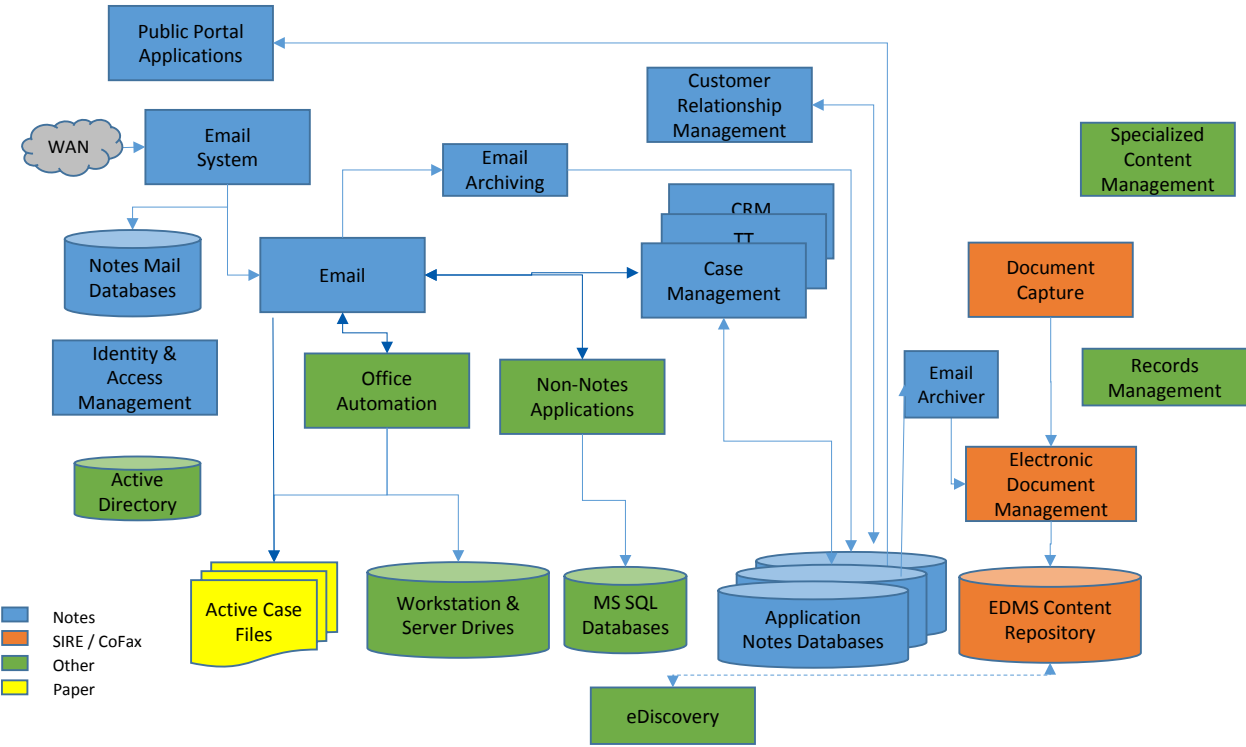


Exhibit VI-1: Current Processing Platform Overview

#### b. Technical Architecture

The current platform uses tightly integrated functionality and processing services of the IBM Notes/Domino platform. Specific technical architecture services provided by the IBM Notes/Domino platform include:

1. Email
2. Custom application data entry, maintenance, and validation
3. User authentication and access controls
4. Application data storage
5. Task management

6. Workflow
7. Custom application mail integration
8. Public portal applications

The Department has also built custom architecture services with the IBM Notes/Domino platform including:

9. Manual email archiving from the Notes Mail client to archive user specified emails to a Notes Mail Archive database (DB)
10. Integration from the customer Notes Mail Archive DB to the SIRE EDMS

The SIRE system is an EDMS system that supports:

11. Document Ingestion (via CoFAX)
12. Document Indexing
13. Document Retrieval
14. Document Storage
15. Document Search
16. Email Archive (from a Notes Mail Archive DB)

The COTS applications used for worker productivity are primarily:

17. Microsoft Office – word processing, spreadsheets, presentations, etc.
18. Microsoft SQL Server
19. eDocs – used for active case document storage
20. Other unit specific COTS products

The following table lists the DLA hardware and the technical architecture:

Equipment	Host	Usage
<b>Cisco OAG Firewall</b>	N/A	Firewall
<b>Department Server</b>	TLH07	Public Portal
<b>Department Server</b>	TLH04	RX
<b>Department Server</b>	TLH02	Primary Production 1
<b>Department Server</b>	TLH08	Production 1 Replica
<b>Department Server</b>	TLH14	Primary Production 2
<b>Department Server</b>	TLH27	Production 2 Replica
<b>Department Server</b>	TLH11	Victims
<b>Department Server</b>	TLH12	Victims Replica
<b>Department Server</b>	TLH05	Notes Mail Backup
<b>Department Server</b>	TLH09	Notes Mail Backup Orlando
<b>Department Server</b>	STP01	Notes Mail Backup St. Pete
<b>Department Server</b>	OAGNT41	SIRE EDMS
<b>Department Server</b>	TLH25	OAG Development
<b>Department Server</b>	TLH26	OAG Development

**Exhibit VI-2: Department Technical Architecture - Hardware**

The following diagram illustrates the technical architecture of the Notes/Domino Application Systems:

### IBM DOMINO/APPLICATION SERVERS

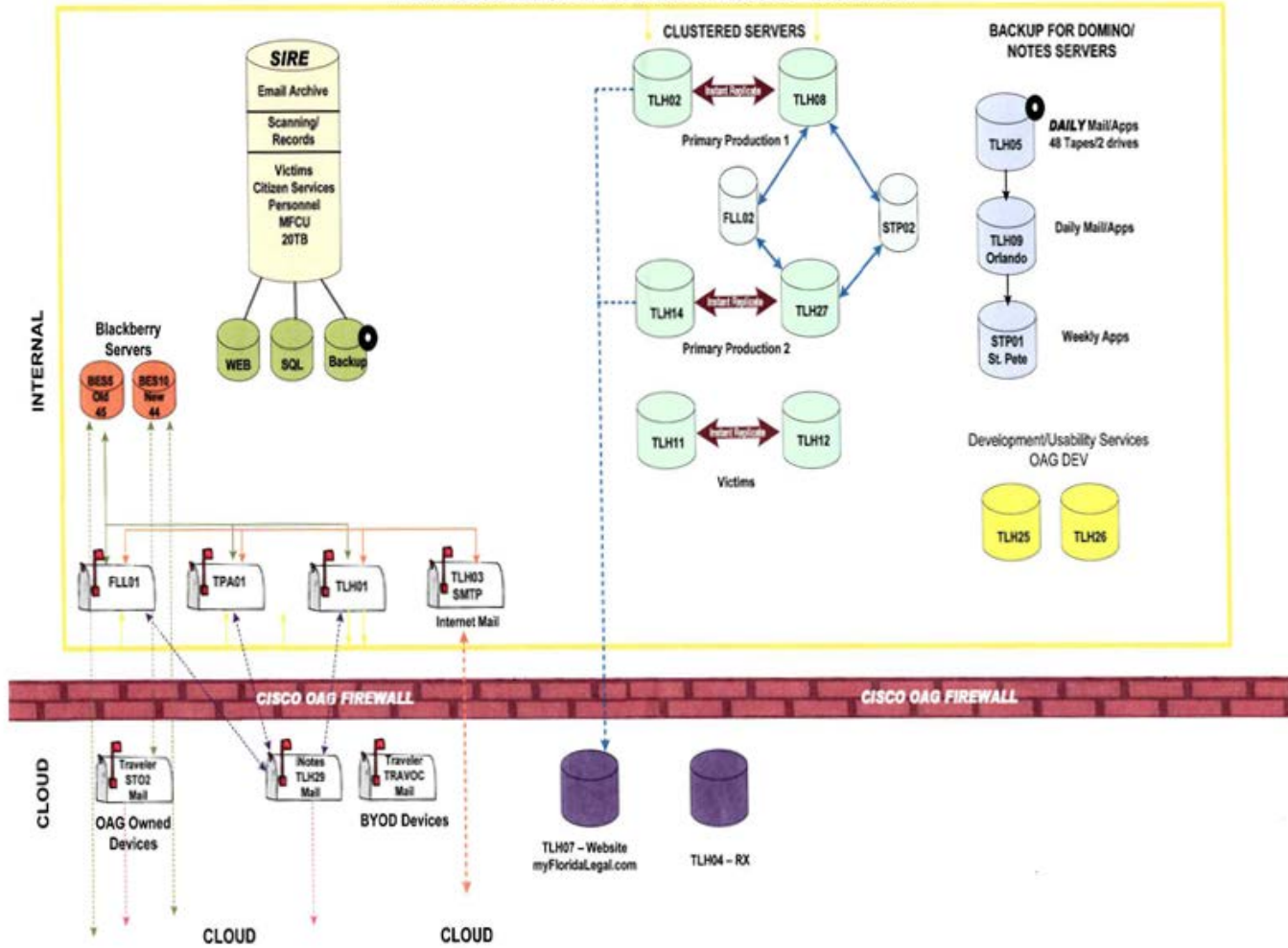


Exhibit VI-3: Notes/Domino Application Technical Architecture

*c. Custom Application Software*

The DLA manages over 130 instances of custom developed and maintained Notes/Domino applications that use the Notes/Domino platform. Included in the total count are replica copies of a Notes database that are created to get past Notes storage size limits for each instance. Exhibit VI-4: Application Instances by Processing Function lists the number of application instances for each major DLA processing function.

<b>Function</b>	<b>Application Instances</b>
Accounting and Finance	3
Calendar and Docketing	8
Case Management	34
Conference Management	1
Contact Management	2
Customer Relationship Management (CRM)	16
Document Records Management	24
eDiscovery	6
Email, Intranet & Productivity Software	11
Evidence Tracking Systems	2
Federal Reporting	1
Finance Reporting	1
Grant Management and Reporting	3
Human Resources	1
Interface	3
Management Reporting	4
Procurement and Contract Management	2
Public Records Access Mediations	2
Time Tracking	4
Training and Development	4
Trouble Ticketing	1
Web Publishing	1
<b><i>Total Application Instances</i></b>	<b>134</b>

**Exhibit VI-4: Application Instances by Processing Function**

**d. Current System Resource Requirements**

<b>Electronic Document Management System - SIRE</b>	Operating System: Windows Server 2008 R2 Standard Installed RAM: 96GB, 32GB Usable Processor: Dual 2.60 GHz Hard Drives: 8 Total A Drive – 100MB, 84.5MB Free – System Reserve Drive C Drive – 600GB, 470GB Free – OS Drive D Drive – 220GB, 116GB Free – SIRE Install Drive E Drive – 7.62TB, 4.04TB Free – Data Drive F Drive - 7.62TB, 5.00TB Free – Data Drive G Drive – 7.62TB, 5.04TB Free – Data Drive H Drive – 7.62TB, 4.70TB Free – Data Drive I Drive – 5.86TB, 5.09Tb Free – Data Drive Software Installed: Microsoft RichCopy 4.0 SIRE Solutions Suite 6.0.130.0 SIRE Solutions Suite 6.6.130.0 TeraCopy 2.3
<b>Notes/Domino System</b>	8 Production Application Servers 3 Email Servers 2 Domino Web Servers 2 Development Servers
<b>Notes/Domino Backup Servers</b>	Three Servers Tape Backup – 2 Drives 48 Tapes

**Exhibit VI-5: Current Resource Requirements**

**e. Current System Performance and Issues**

**Current System Performance:** Most of the existing DLA Notes/Domino database applications perform responsively for users in the Tallahassee Collins Building that access the Notes/Domino databases from a local area network. Users in remote field offices away from the Tallahassee Collins Building can experience less responsive application access when accessing Notes/Domino databases instances hosted in Tallahassee using the DLA’s private Wide Area Network (WAN). Slower response time is attributable to WAN latency and periodic contention for bandwidth. Notes/Domino databases do have replica feature that allows creation of a database copy that synchronizes local and remote copies of a Notes/Domino database. The use of replicas allows users to create and access information from the local replica database on a local network much faster than accessing the Notes database in another location. User updates to the database synchronize to the master database copy asynchronously. As long as users avoid concurrent updates to the same record in the master and replica databases, replication conflicts are avoided.

The DLA creates backup copies of Notes/Domino databases and SIRE system locally and over the WAN to a remote location. Backups to remote locations for disaster recovery purposes occur nightly on a rotating schedule. WAN bandwidth and latency factors can limit the speed of remote backups.

**Impact of Notes/Domino Database Application Storage Limitations:** IBM Notes/Domino has a maximum size limit of 64 Gb per physical database file. If a Notes/Domino database grows larger than 64 Gb, the DLA creates a new copy of the Notes/Domino database to store new information. The Notes/Domino size limitation requires units to maintain multiple Notes/Domino databases that otherwise would be in a single database. Use of multiple copies of a Notes/Domino database complicates search, workflow processes, and cross database integrations. Notes/Domino databases can store attached files to Notes database records. Use of attached files is a primary reason for rapid growth in database size.

**SIRE Product Market Relevance, Support, and Limitations:** SIRE software, (purchased from SIRE Technologies, Inc.), is the EDMS system that DLA uses. In December 2012, Hyland Software acquired the SIRE Technologies Inc. software company. Hyland merged technology from the SIRE Technologies into Hyland’s EDMS product, OnBase Software, and decided to support current SIRE customers, but no longer sells the SIRE product to new customers. Hyland Software commits to provide support for the current SIRE software implementation and sell

incremental SIRE user licenses, but Hyland is only implementing new development, features, upgrades, and improvements to Hyland’s OnBase EDMS product that Hyland licenses separately. Hyland provides a migration path and conversion tools to migrate documents and index information from the SIRE EDMS system to an OnBase EDMS implementation. Hyland had approximately 350 SIRE customers at the time Hyland acquired SIRE Technologies. Hyland has migrated about 60 SIRE customers to use the OnBase software. It is common for vendors that acquire products and merge functionality into a different product they offer to support the obsolete product for about 5 years before dropping support. Though Hyland publicly currently commits to support the SIRE product, the SIRE product is approaching the timeframe at which vendors routinely announce end of support.

DLA’s SIRE implementation is one of the largest remaining uses of SIRE software. The Department has experienced various product issues that required Hyland software support. The use of EDMS software that is not sold in the market and is not being enhanced increases the risk that DLA will encounter issues. These can be addressed by market relevant and supported EDMS products.

## 2. Information Technology Standards

The DLA follows the technology standards necessary to protect sensitive information that it accesses and manages. This includes the technology and security standards and requirements documented in the:

- Florida Information Technology Standards described in Florida Administrative Rule 74.100 through 71.1009
- Florida Administrative Code (FAC), and the Florida Cybersecurity Standards described in Florida Administrative Rule 74.2001 through 74.2006, F.A.C.
- HIPAA Security and Privacy Rule
- National Institute of Standards and Technology (NIST) Initiatives
- Health Information Technology for Economic and Clinical Health (HITECH) Act
- Criminal Justice Information Services (CJIS) Security Policy
- Federal Tax Information (FTI) Protection I.R.C. § 6103
- Federal Regulations on Civil Procedures (FRCP)

Additional DLA specific technology and security standards could apply for information access and data protection that occurs in the DLA’s role of supporting State agencies.

The DLA has a waiver releasing it from compliance with AST application standards and guidance.

## B. Current Hardware and/or Software Inventory

### 1. Software Maintenance Costs

Vendor	Product	Qty	2017 Annual Cost
Hyland	SIRE (server and client capture licenses)	60+	\$ 60,372.26
Microsoft	Microsoft Office365 subscription	1250	\$150,000
IBM	Lotus Notes Client License	1350	\$ 83,653
IBM	Lotus Notes/Domino Server	280	\$3,220
IBM	IBM Xworks Server	2	\$1,792
Team Studio	Team Studio	8	\$12,100
TechSmith	Camtasia/SnagIt Bundle	16	\$2,098
	<b>Total Software Maintenance</b>		\$576,721.26

Exhibit VI-6: Current Software Maintenance Costs

## C. Proposed Technical Solution

### 1. Technical Solution Alternatives

#### a. Background – To-Be Integrated Processing Platform

The DLA has defined a To-Be integrated processing platform direction that accomplishes the following technology objectives:

- Use market relevant vendor supported software products
- Migrate from custom developed applications built with the IBM Notes/Domino platform to configurable platform solutions supporting case management, CRM and other business processes
- Enable real time storage, management and sharing of document and electronic content management
- Use content type and electronic system information specific ingestion, indexing, storage, archiving and search capabilities
- Support content type specific “best of breed” processing (e.g. email, photo, video, sensor data types) to improve storage efficiency, automated indexing, content analysis, and content analytics
- Maintain security and protection of sensitive data

The new Integrated Platform migrates from software products specified in the current platform to software solutions

Capability	Current	To-Be Integrated Platform	
Worker Productivity	Microsoft Office 2010	Microsoft 365	
Email	IBM Notes	Microsoft Outlook 365	
Case Management Applications	Custom IBM Notes/Domino Database Applications	Configurable Case Management on Application Platform	Integrated Application Platform
Customer Relationship Management	Custom Notes/Domino	Configurable CRM on Application Platform	
Administrative Systems	Custom Notes/Domino	Configurable Admin Systems on Application Platform	
Email Archiving	Custom IBM Notes/Domino integration to SIRE	COTS Email Archive	
Document Management	SIRE	COTS EDMS	
eDiscovery	Outsourced	Cloud / Outsourced	

specified in the To-Be Integrated Platform below.

**Exhibit VI-7: To-Be Integrated Processing Platform Components**

Exhibit VI-8: Future Integrated Processing Platform Overview below shows the new platform components and the integration between components.

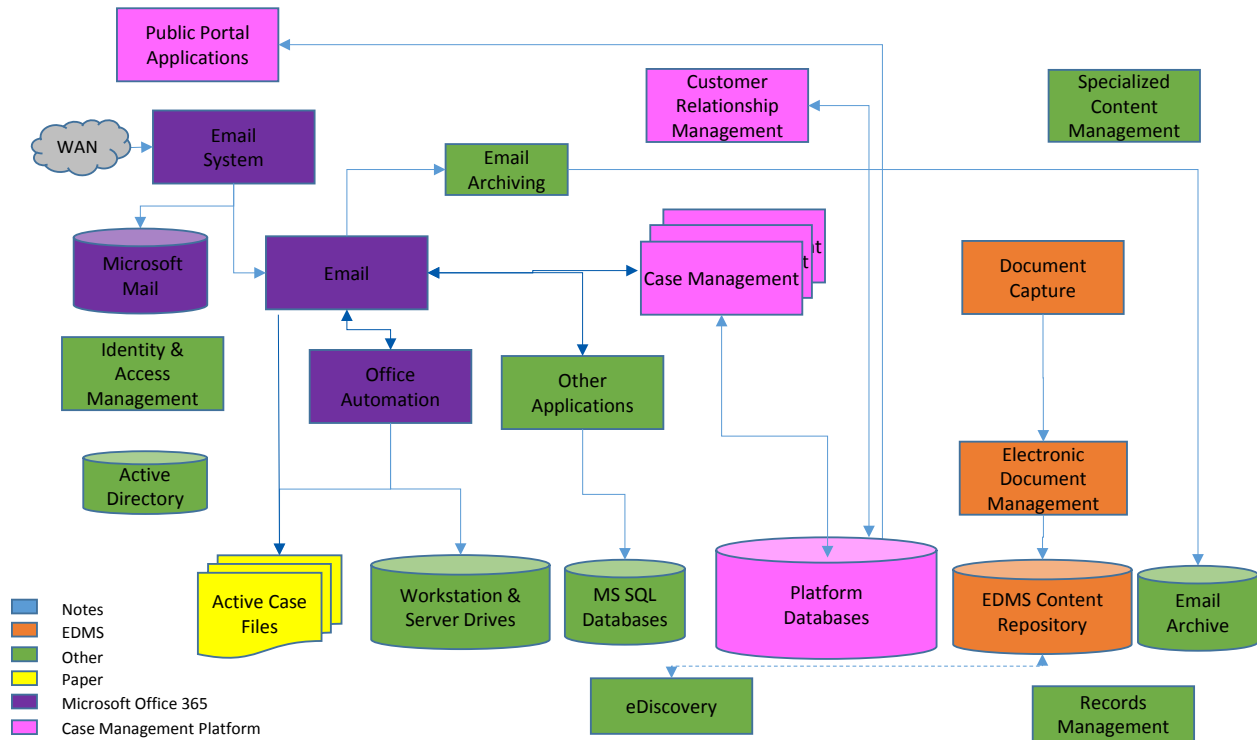


Exhibit VI-8: Future Integrated Processing Platform Overview

### b. Implementation Alternatives

Following are a description, benefits, and risks of each implementation alternative to migrate from the current state to the To-Be Integrated Platform:

- Implement by technology component
- Phased implementation of fully integrated platform
- Implement by business process
- Big bang implementation

### c. Implement by Technology Component

The Implement by Technology Component alternative replaces each major technology component of the DLA processing platform until all new technology components replace current components to create the new fully integrated platform. This approach minimizes the concurrent use of different technology components that perform the same function. During the implementation period, the implementation team integrates each new technology components with the other old and new technology components. For example, under this scenario the DLA would implement the new EDMS system to replace SIRE and migrate all processing to use the new EDMS quickly.

Benefits:

- Reduces period of duplicated operations costs of legacy systems and technology support
- Reduces overall demand on technical support resources
- Improves processing consistency across units
- Spreads technology changes requiring training and affecting users across a longer elapsed time

Drawbacks:



- Requires development of integrations to legacy case management Notes applications and new platform
- Higher level of business unit disruption because of multiple implementations and changes to legacy applications

**d. *Phased Implementation of Fully Integrated Platform***

The Phased Implementation of Fully Integrated Platform alternative establishes the new fully integrated platform comprised of all new solution components that replace legacy components. In this approach, the new Microsoft Office 365 email client integrates to the new email archiving solution. The EDMS solution that replaces SIRE will integrate with the new case management platform. After email archive and EDMS integrations with the case management platform, the approach rolls out the fully integrated platform in multiple phases to groupings of business units. The units that migrate to the new fully integrated platform stop using the legacy technology components. The rollout of the fully integrated platform would begin with a defined group of units. Groups included in the first implementation would include groups with limited requirements to migrate data from legacy systems. The units that need data migration would follow in subsequent phases. Implementation phases could be sequential or overlapping.

**Benefits:**

- Minimizes disruption to business units to a single period of migration
- Increases consistency of business processing because units leverage work of other units
- Phased implementation allows learnings from previous releases to benefit later units
- Ability to schedule and migrate to the new platform during non-critical business periods

**Drawbacks:**

- Concentrated period of change in technology products and processing for business units
- Reduces engagement of organizational leadership and unit specific focus on the implementation

**e. *Implement by Business Process***

The Implement by Business Process alternative is the approach of implementing replacement technologies based on business process. The implementation team configures and integrates the new technology components to support a business process and then rolls out updates of that business process across all units. Using this approach, users would use the new platform to perform the implemented case management functions. During implementation, users would use the legacy applications and legacy technologies to perform case management functions scheduled for later implementation on the new platform.

**Benefits:**

- Implements functionality in smaller chunks
- Avoids investment to mitigate current system risks and establish new system
- Reduces fixed cost allowing savings if mail volumes are reduced

**Drawbacks:**

- More integration work where business functions share data or hand-off between people
- Users within one unit may use both old and new platforms until full implementation
- May be difficult to align unit specific requirements for a business function

**f. *Big Bang Implementation***

The Big Bang Implementation alternative is the approach of implementing the new integrated platform to all units as part of a single cutover. Developers collect requirements and build the new platform based on processing input from all units. All units cut over to use the new system starting on a single day. The migration of data from the legacy systems of all units occurs as part of the cutover process.

**Benefits:**

- Requires high engagement by leadership and all unit stakeholders
- Reduces period of duplicated operations costs of legacy systems and technology support

**Drawbacks:**

- High risk of business disruption

- Requires greatest amount of unit coordination
- Greater risk of delayed implementation of processing improvements
- Requires high peak number of resources for development, testing, change management and other coordination activities
- All units experience the defects and issues resulting from the implementation

















## 2. Rationale for Selection

The primary factors considered in the selection of a technology implementation approach include:

- *Speed to Implementation* – The elapsed time to complete implementation of the solution for selected units of the DLA and the elapsed time to complete implementation for the entire DLA.
- *Timing of Benefits* – The amount and elapsed time from project initiation until benefits of the integrated platform occur.
- *Business agility* – The extent the solution provides flexibility and speed to adapt to business changes within units of the DLA, to establish new units or to modify existing units of the DLA.
- *Technology agility* – The extent the solution provides flexibility and speed to adapt to technology changes within the DLA, State, or marketplace.
- *Integration Complexity Reduction* – The extent the solution reduces complex or time consuming interim integrations between the new solution components and components of the old solution.
- *Data security and protection* – The extent the solution maintains and enhances data security and data protection of DLA managed data.
- *Overall Implementation Cost* – The total cost to implement a solution.
- *Risk* – The level of risk that is attributable to a solution.
- *Business Disruption* - The extent of business disruption to units within the DLA. This considers the total amount of time, the number of times, and the percent of a unit’s resources that spend time on the implementation of a solution.
- *Rework* – The amount of resources spent on rework and change to interim or existing components during the implementation of the solution.
- *Change Management* – The amount of organizational change management required to implement a solution.

Exhibit VI-9: Solution Implementation Approach Factors below depicts the alignment of each implementation alternative with the alternative selection rationale criteria.

Evaluation Criteria	Implement by Technology Component	Phased Implementation of Integrated Platform	Implement by Business Function	Big Bang Implementation
Speed to implement				
Timing of Benefits				
Business agility				
Technology agility				
Integration Complexity				
Data security and protection				
Overall Implementation Cost				
Risk				

Evaluation Criteria	Implement by Technology Component	Phased Implementation of Integrated Platform	Implement by Business Function	Big Bang Implementation
Business Disruption				
Rework				
Change Management				
<b>Legend</b>				
Solution alignment	<b>Best</b>	<b>Some</b>	<b>Slight</b>	<b>None</b>

**Exhibit VI-9: Solution Implementation Approach Factors**

Below is analysis for each of the implementation approach factors.

- *Speed to Implementation* – The implement by technology component approach implements specific technology components faster than other approaches. The phased implementation of integrated platform strategy should implement the integrated platform of all new technology to select business units and full implementation to all business units faster than other approaches. The implement by business process would cause the slowest full implementation. The big bang implementation approach is the slowest to implement components to any unit.
- *Timing of Benefits* – The implement by technology approach is the first to cause benefits to occur. The phased implementation of integrated platform strategy gets the most benefits faster than other approaches. The implement by business process and big bang implementation have long periods until benefits occur.
- *Business agility* – The phased implementation of integrated platform provides the best agility because it establishes the new integrated platform that can be used to establish new units or change processing of business units the soonest. The big bang implementation approach provides the least agility because it requires a freeze of business change during design and development that precedes implementation and is the slowest to implement for any units.
- *Technology agility* – The implement by technology component provides the most technical agility allowing change of technical components before, during, and after integration with new platform. The phased implementation of integrated platform also provides a high level of technology agility because once integrated to the new platform technology, the DLA can make changes easily.
- *Integration Complexity Reduction* – The phased implementation of integrated platform simplifies integration the most. The initial work to establish the integrated platform and then repeated roll-out of the integrated platform eliminates most integration with legacy components while the legacy components are being used by a unit.
- *Data security and protection* – All of the solutions will maintain data security and protections. The implement by technology component and implement by business process require slightly more work to maintain security levels because they cause a mix of new and legacy security capabilities and processes to be in use concurrently.
- *Overall Implementation Cost* – The big bang implementation conceivably could be the lowest implementation cost if the costs of unit governance and requirement agreement are small. The phased implementation of integrated platform is lower than the other options because it has reduced integration costs with legacy components.
- *Risk* – The big bang implementation approach would be the riskiest. The phased implementation of integrated platform reduces risk by doing integration once and using multiple phases to limit impact and to build on lessons learned from earlier implementation phases.

- *Business Disruption* - The big bang and phased implementation of integrated platform create low business disruption because the business only engages in design and implementation activities once. The other approaches require repeated engagement of business units as additional technology components are implemented or additional business functions are implemented.
- *Rework* – The implement by technology component and implement by business process have the most rework because they require more integration with legacy solutions and rework to shift to the new components.
- *Change Management* – The implement by technology component and implement by business process require the most change management because they have repeated integrations with business units as components are implemented and integrations change. The big bang implementation approach has more change management than the phased implementation because it requires more resources to concurrently support DLA wide change.

### 3. Recommended Technical Solution

The recommended approach to modernize the DLA technology platform is to use a phased implementation of the fully integrated platform. The first step is to implement new replacement technology components and integrate those replacement components to create a new integrated DLA processing platform. Prior to rollout to DLA units the implementation team validates the integration of new components including:

- Microsoft Office 365 Mail with the new email archiving solution
- Case processing platform with the new EDMS solution that replaces SIRE
- Case processing platform with CRM platform
- Case processing platform with Microsoft Office 365 products
- Closed case scanning with the new EDMS solution

Migration from the legacy Notes-based processing platform to the new DLA processing platform would occur using a phased rollout. The migration phases include a pilot group of units followed by three subsequent implementation phases to remaining units. Work performed in each implementation phase includes design, configure and testing of unit specific business rules and processing in the new integrated platform. The implementation process migrates or converts unit data to the new integrated platform and trains users to use the new DLA platform. Following the phased rollout of the new processing platform, the team would implement the added advanced capabilities (e.g. Analytics, eDiscovery) followed by common administrative (e.g. HR, Accounting) capabilities<sup>27</sup>.

The benefits of creating the new integrated platform and then rolling out the platform in three phases are:

- DLA will quickly have a platform that supports rapid establishment of new business units or types of processing, if needed
- The pilot implementation phase will identify and resolve issues and implement unforeseen opportunities that benefit units in subsequent implementation phases
- Units that follow the pilot phase are able to leverage processes defined by earlier units increasing processing consistency
- Phased roll-out reduces overall business disruption compared to a big bang
- Provides additional scheduling flexibility for units to implement at non-peak business periods
- Phased implementation allows units without data migration and complex data conversion issues to use the system in early phases

## D. Proposed Solution Description

### 1. Summary Description of Proposed System

The proposed solution to replace the SIRE EDMS and IBM Notes/Domino platform will include the following components:

*Email Replacement System* – The DLA email solution will use Microsoft Office 365 as a replacement of IBM Notes Mail. The new email system replaces custom application integrations and workflow tools provided by the Lotus

<sup>27</sup> In the project roadmap, eDiscovery is included as part of the analytics work stream.

Notes Email platform. The Department is actively planning and implementing Microsoft Office 365.

*Email Archiving System* – The email archiving solution is a specialized solution or service that is optimized to archive email. There are many alternatives including cloud based solutions and appliance options that perform this function. The replacement email archiving solution allows processing to change from manual user driven decisions by email message to a policy based decision making of which emails are archived. The new solution saves time and improves the efficiency of storage, search, and retrieval. The replacement solution eliminates the inefficient process of storing email documents in a Notes Archive DB and then transferring the content to the SIRE document management system.

*Electronic Document Management System (EDMS) Replacement System* – The electronic document management system replaces the SIRE system that stores images of closed case files. The replacement solution will store electronic system information which includes document images and native document formats. Increased storage of documents in native formats reduces manual scanning effort and increases the ability to use search and eDiscovery capabilities more efficiently. The solution will continue to be a COTS solution as opposed to a Cloud based EDMS service.

*Case Management Processing Platform* – The case management processing platform replaces all custom developed Notes/Domino case management processing. The case management processing platform will support unit specific configuration of pages, field labels, dropdown values, data entry validation rules, business rules and workflows. Users will use browser based pages of unit specific configurations and implementation for data entry, maintenance validation, configuration, business rules engine determinations, and workflow processing management.

*Analytics and Reporting* – The Analytics and Reporting solution provides dashboards, standard reporting, ad-hoc reporting, and drill down reporting and descriptive reporting capabilities primarily about DLA case data.

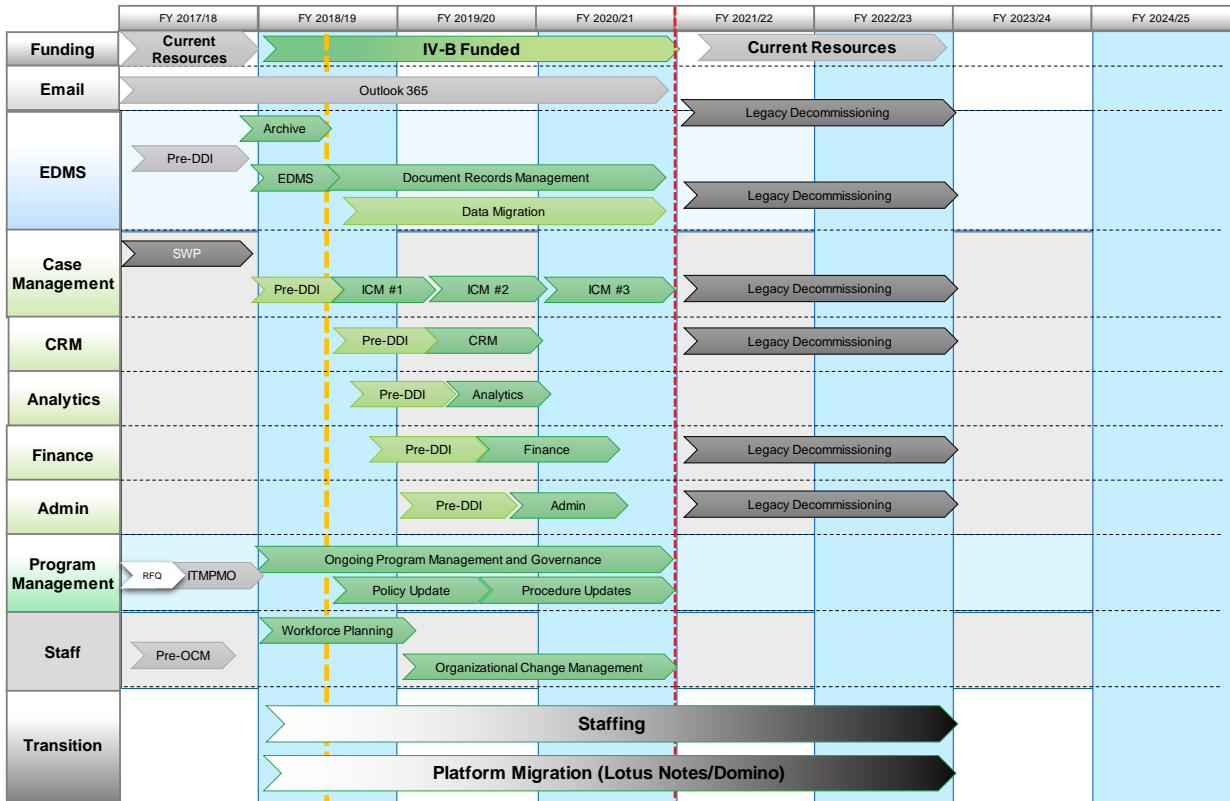
*eDiscovery* – The eDiscovery process is a search and analysis tool to identify relevant content, documents, records, and evidence related to a case.

*Customer Relationship Management (CRM) Platform* – Customer representatives use the CRM platform to record and manage interactions with the public. The platform manages customer contact information, contact history, and provides tools to start interactions with the DLA and support case status inquiry. Customer relationship management platform capabilities may be available with the case management processing platform potentially providing simplifying integration.

*Public Records Request Management* – The public records request management tool tracks the requestor and internal workflow to fulfill public records requests.

Exhibit VI-10: Proposed Implementation Roadmap for the New Integrated Platform shows the Gantt chart of the proposed implementation approach. This approach shows pre-DDI activities that elaborate requirements and perform procurements of the specific technology component solution of the new integrated platform. This plan depicts implementation to DLA units occurring in three phases staggered over a period of three years. The units included in the first phase will be those units that have limited data conversion requirements. Later phases configure and implement the new integrated platform to business units that have more complexity or increasing data conversion complexities to migrate from the existing systems. Examples of more complex data migrations might include units that have multiple replicas, data conflict and values that conflict with values of other units.

## DLA ITMS Roadmap – Plan on a Page (3yr)



**KEY:** Current Resources (grey arrow) IV-B Funded (green arrow) Iterative (light green arrow) Legacy Systems (dark grey arrow)

**Exhibit VI-10: Proposed Implementation Roadmap for the New Integrated Platform**

### 2. Requirements for Proposed Solution (if any)

Technical Requirements are those items needed to support and operate the information technology processes of the DLA. The requirements specify capabilities and processes the solution must support, from a technical perspective, to meet the DLA’s technical environment needs.

#### Technical Requirements

- The system must be operable and available with high availability during the hours of 06:00 a.m. to 11:00 p.m., with scheduled maintenance conducted during Department approved maintenance windows between the hours of midnight and 06:00 am. The system must use defined data standards (e.g., consistent data schema, data elements, data class, field lengths, data tables, viewing naming conventions).
- The system must provide the ability to associate supporting documentation (e.g., scanned documents) with a case record.
- The system must use market relevant vendor supported software technologies and versions (e.g., programming languages, application frameworks, hosting models).
- The system must support the ability to perform ongoing maintenance and modifications using configuration tools that are part of the solution or extensions using programming languages used by the DLA.
- The system must be upgradeable to vendor supported hardware versions.
- The system must expedite the ingestion of documents and electronic system information. (e.g., same-day or hours).
- The system must use a data model that enforces referential integrity.
- The system must provide a mechanism for recording and viewing system errors and warnings.
- The system must provide a mechanism to alert the system administrator when definable performance and

storage thresholds are exceeded.

- The system must allow for maintenance and support activities to be carried out while the application and supporting systems are online (e.g., "Hot" backup procedures).
- The system must provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, and failures).
- The system must include tools for monitoring and reporting capacity for all system components.
- The system must include tools for monitoring and reporting performance for all system components.
- The system must include tools for customizing the system (e.g., adding functionality, modifying existing functionality, modifying configurable settings).
- The system must support the latest encryption standards for the transmission of data.
- The system must provide the ability to send the scanned data through multiple methods (e.g., FTP, web-service).
- The system must provide data security to meet electronic privacy and regulations.
- The system must provide approved end-users with the authorized access to data and system resources.
- The system must provide the ability to generate reports based on report specific user-defined parameters.
- The system must provide the ability to search a range of data values.
- The system must provide the ability to uniquely identify users by User ID.
- The system must limit a user's access to reports based on the user's security profile.
- The system must provide the ability to issue notifications or restrictions as reminders to users to key in required fields.
- The system must record and archive logs of system usage.

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

### 1. Document Repository Usage and Growth

The SIRE EDMS solution stores and organizes the information into categories, folders, and documents.

*Categories:* Categories are logical groupings of content that organize multiple related folders and documents. SIRE has content organized into approximately 120 defined categories. Each category aligns with an organizational unit that owns and manages the content in the category.

*Folders:* Folders are logical groupings of documents that store content related to an activity. A folder might contain all content from a piece of mail with each document in the envelope stored separately. A folder could also contain the images of all content from in a paper folder.

*Documents:* Documents are discrete groupings of information within a folder. A document could have one or more pages. Sometimes multi-page documents are stored as a single document and sometimes the system stores each page as a separate document.

Exhibit VI-11: EDMS Content Volumes March 2017 shows the number of categories, folders, and documents in the EDMS (SIRE) as of 3/29/2017.

Categories	Folders	Documents
94	29,657,605	163,817,215

Exhibit VI-11: EDMS Content Volumes March 2017

As of the date of this document, SIRE consumes over 14 Terabytes of storage. The DLA has 20 Terabytes of storage which provides some capacity for future usage.

Email content is a significant volume of SIRE EDMS documents. In the SIRE system, email content represents

approximately 19% of all documents in the repository.

#### *Growth Rate*

SIRE currently grows at approximately 1.5 Terabytes per year. The current infrastructure will support approximately four years of continued operation assuming the current volume growth rate.



## VII. Schedule IV-B Project Management Planning

The following section includes the DLA's project management plan and any associated planning tools/documents that will be used for the modernization program, which includes numerous projects.

### A. Program Charter

The program charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the program purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for the future of the program. It includes the following:

#### 1. Program Name

This overall activity is referred to as the IT Modernization Program (ITMP). Several projects exist within this program.

#### 2. Purpose

The purpose of the ITMP is to select a technology solution and vendors to modernize the business environment at the Florida Department of Legal Affairs (DLA) that will meet the DLA's strategic objectives by implementing modern system functions and infrastructure over a three-year period, with the year prior to IV-B funding (referred to as "year 0") scheduled for Pre-Design, Direction and Implementation (DDI) activity. This will be done through multiple procurements to replace specific products with Commercial-Off-the-Shelf (COTS) products.

The tangible benefits for the ITMP can be broken down into six different categories:

#### **Organizational Effectiveness**

- Improve Data Sharing between Business Units

#### **Data Quality/ Access/ Duplication**

- Reduce Duplicate Entry
- Reduce Employee Time Extracting Data

#### **Operational Efficiencies**

- Reduction in Archiving Costs
- Efficiency Gains from Document Assembly and Court e-Filing
- Efficiency Gains from Mobile Computing

#### **Improved Knowledge Management**

- Transfer Institutional Knowledge from Workforce to Systems
- Reduce Training Time
- Reduce Employee Onboarding Costs

#### **Administrative/IT Efficiencies**

- Improved tools that increase the ability to support Business needs
- Increase Data Security and Protection
- Efficiency Gains from Tracking/Invoicing/Collections
- Efficiency Gains from Leveraged IT Staffing

#### **Operational Responsiveness**

- Quicker Turnaround for Public Records Request
- Increased efficiency within Citizen's Services

In addition, there are four intangible benefits of the ITMP:

- Improve Accuracy and Completeness of Public Records
- Improve IT Security Conditions

- Improve Crisis Reaction Time
- Improve Staff Recruitment/Retention

### 3. Objectives

The DLA's Information Technology Division, in partnership with North Highland, created a list of overall objectives for the ITMP. The DLA defined their business and technology objectives to be addressed as part of the Modernization effort. The objectives will be used to assess the viability of replacement options, future implementation schedules, and to ensure any future system and implementation strategy aligns with the needs of the DLA.

Objectives include:

- Move away from a Lotus Notes Development Shop to a COTS system
- Pursue agency-wide solutions
- Pursue a best-of-breed approach to new technology
- Replace Sire with an agency-wide EDMS system that covers both current casework and closed case archiving
- Provide a unified case management system that allows sharing of information
- Increase eDiscovery and analytics capabilities
- Provide a system with customer relationship management systems
- Modernize financial and administrative processes

### 4. Individual Projects

The enhancement/replacement of DLA's business system will encompass specific and clearly defined projects which will include:

- Email Archive Project
- EDMS and Data Migration Project
- Document Records Management Project
- Integrated Case Management System Transformation Project
- Customer Relations Management (CRM) Implementation Project
- Analytics Project
- Finance Support System Project
- Administrative Support System Project

In addition, there are several items that will not be considered full projects, but will be structured activities necessary for completion of the program. They include:

- Ongoing Project Management and Governance Activity
- Policy and Procedure Updates Activity
- Workforce Planning Activity
- Organizational Change Management Activity

The program is envisioned to include a phased rollout of technical and functional capabilities. Many projects will happen simultaneously or overlap at points.

The DLA will invest internal resources and funds to begin several of these projects prior to the first official year (FY 2018/19) of funding requested in this IV-B. These activities will accelerate the implementation timeline and allow benefits to be achieved sooner. Prior to the first year of funding the DLA will identify and establish the program management and governance structures, business process re-engineering activities and organizational change management. Activities providing ongoing control, monitoring, support and staff for the overall program will be established prior to starting individual projects implementation. This allows the DLA to establish a sound foundation to effectively manage the program.

### 5. Management Methodology

The preferred management methodology used by the DLA is based on the PMI's Project Management Framework. The Program Director or Executive Sponsor may consider changes to the methodology at any point, as deemed

appropriate, including the use of Agile methodologies that focus on customer satisfaction through the early and continuous delivery of working software, close cooperation between business users and software developers, quality improvement, and continuous attention to technical excellence and good design.

Regardless of the specific program management methodology employed, management and control mechanisms along with appropriate project artifacts will be relevant to all projects of this program, including:

- Program Charter
- Project Charters
- Project Contracts
- Program Management Plan
- Baseline project schedule
- Program Change Management
- Program Issues Management
- Program Risk Management
- Financial Management
- Reporting

The use of the program control framework indicated above, together with the application of the Program Management Plan, will assist both the Program Manager and the Executive Sponsor in planning, executing, managing, administering, and controlling all projects of the program. Control activities will include, but may not be limited to:

- Monitoring program progress; identifying, documenting, evaluating, and resolving project related issues that may arise
- Reviewing, evaluating and making decisions with regard to proposed changes; changes to project scope will be tightly controlled according to a documented change management process which includes a formal request along with a stakeholder review and approval process
- Monitoring and taking appropriate actions with regard to risks as required by the risk management plan
- Monitoring and tracking issues as required by a documented issue reporting and management process
- Monitoring the quality of program deliverables and taking appropriate actions with regard to any program deliverables that are deficient in quality

## 6. “Year Zero” Pre-Work

Beginning prior to July 2018, DLA will allocate significant resources to setting the stage for a successful ITMP. The DLA will establish the Program Management Office, perform all the initial requirements definition and procurement activities to allow for the EDMS solution to be purchased as soon as July 2018. These activities along with several others will allow for the DLA to complete the project within 3 years (starting July 2018).

Some of the activities to be completed in this “Year Zero” include:

- EDMS and Email Archive Functional and Non-Functional Requirements development
- Develop PMO templates, process and organizational structure procurement
- Workforce planning
- Communications planning
- Activities leading to the procurement of EDMS and Email Archive Solutions

The table below summarizes the activities to support the future modernization effort:

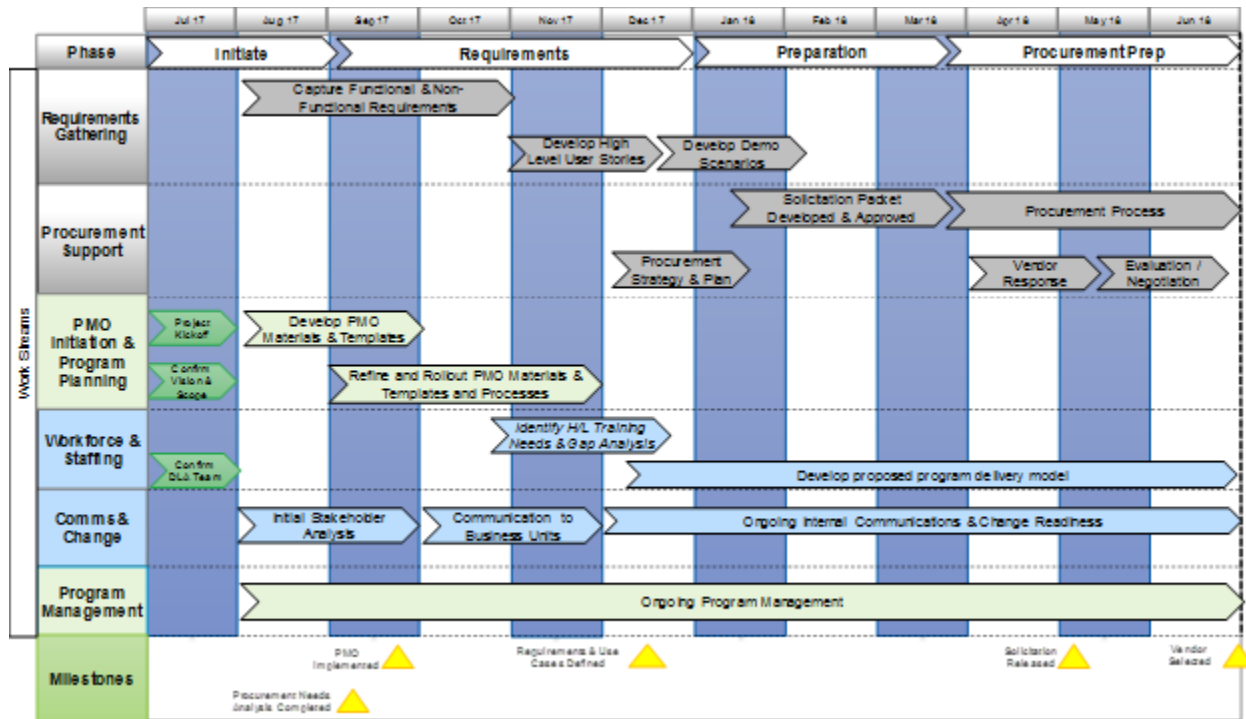


Exhibit VII-1: DLA "Year 0" ITMS Roadmap – Plan on a Page

## 7. Deliverables

The following table contains a preliminary list of program deliverables. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected systems implementation vendor(s) and will be appropriate to the technology solution chosen.

Name	Deliverable Description
<b>Program Level</b>	
Program Management Status Reports	Weekly status reports to program management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the program.
Meeting Minutes	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Schedule IV-B Feasibility Study (Updates)	Incorporates information to be submitted with the DLA's Legislative Budget Request for follow on projects.
Program Charter	Issued Executive Sponsor that formally authorizes the existence of the project and provides the Program Manager with the authority to apply organizational resources to program activities.
Program Management Plan	Includes the following documents as required by the DLA Program Director and/or the PMO: <ul style="list-style-type: none"> <li>• Work Breakdown Structure</li> <li>• Resource Loaded Project Schedule</li> </ul>

	<ul style="list-style-type: none"> <li>• Change Management Plan</li> <li>• Communication Plan</li> <li>• Document Management Plan</li> <li>• Scope Management Plan</li> <li>• Quality Management Plan</li> <li>• Risk Management Plan</li> <li>• Risk Response Plan</li> <li>• Issue Management Plan</li> <li>• Resource Management Plan</li> <li>• Conflict Resolution Plan</li> <li>• Baseline Project Budget</li> </ul>
As-Is Business Process Flows	Represents, graphically, the current state of business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
To-Be Business Process Flows	Represents the future state of business processes. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Organizational Change Management (OCM) Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project.
OCM Status Reports	Weekly status reports to program management team.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.
<b>Project Level</b>	
Program Management Status Reports	Weekly status reports to project management team.
Training Plan	Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to “go live” with the program and identifies action plans to remedy any lack of readiness.
Data Migration Plan	Plan for migration of data from existing systems to new databases (as required).
Test Plans	Detailed test plans for unit testing, system testing, load testing, and user acceptance testing.
Test Cases	Documented set of actions to be performed within the system to determine whether all functional requirements have been met.
Implementation Plan	Detailed process steps for implementing the new business system agency wide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for post-

	implementation support.
Functional Business System	Final production version of the new business system.
System Operation and Maintenance Plan	Detailed plan for how the finished system will be operated and maintained.

**Exhibit VII-2: Project Deliverables**

## 8. Milestones

It is anticipated that the program will be managed according to the following milestones. Go/no-go checkpoints may be added to the program schedule, or individual project schedules where appropriate based on the chosen solution. Checkpoints will require Executive Sponsor sign-off prior to commencing the next activity.

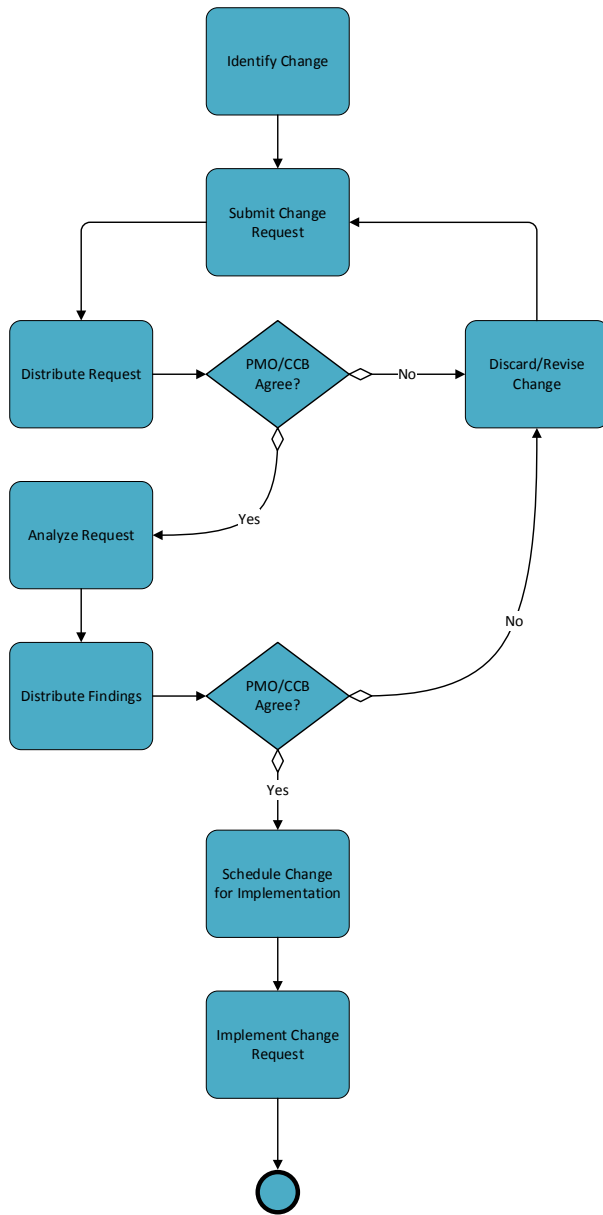
Milestone	Deliverable(s) to Complete
<b>Legislative Approval</b>	Updated Schedule IV-B
<b>Program Kick-Off</b>	Program Charter
<b>Program Management Documents Completed</b>	Various (See deliverable list)
<b>Business Process Analysis Completed</b>	As-Is Business Process Flows To-Be Business Process Flows
<b>Acceptance of Functional and Technical Requirements</b>	System Requirements Document Public Assistance Requirements Document
<b>Program Management Documents Completed</b>	Various (See deliverable list)
<b>Acceptance of Validated Requirements</b>	Validated Functional Requirements Document
<b>Acceptance of User Interface Prototypes</b>	User Interface Prototypes
<b>Acceptance of Functional and Technical Design Specifications</b>	Functional and Technical Design Specification documents
<b>User Acceptance Testing Completed</b>	Sign Off
<b>End User Training Completed</b>	On-site training sessions Training materials
<b>System Deployment</b>	Functional system released into production
<b>Program &amp; Project Close-out</b>	Lessons Learned Knowledge Transfer Contract Compliance Checklist Project Close-out Checklist

**Exhibit VII-3: Program & Project Milestones and Go/No-Go Decision Points**

## 9. Change Request Process

Programs of this magnitude should expect change as the program progresses through the design, development, and implementation projects. All change requests will be formally documented and validated by the PMO and the Change Control Board (CCB), which will be comprised of key project stakeholders according to the Change Management Plan. Once validation has occurred, the appropriate stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request and its validation by the PMO, the tasks to implement the change will be incorporated into the program plan and a project change order will be initiated. A priority will be assigned and the request will be scheduled accordingly. Exhibit VII-5 illustrates the proposed change request process.



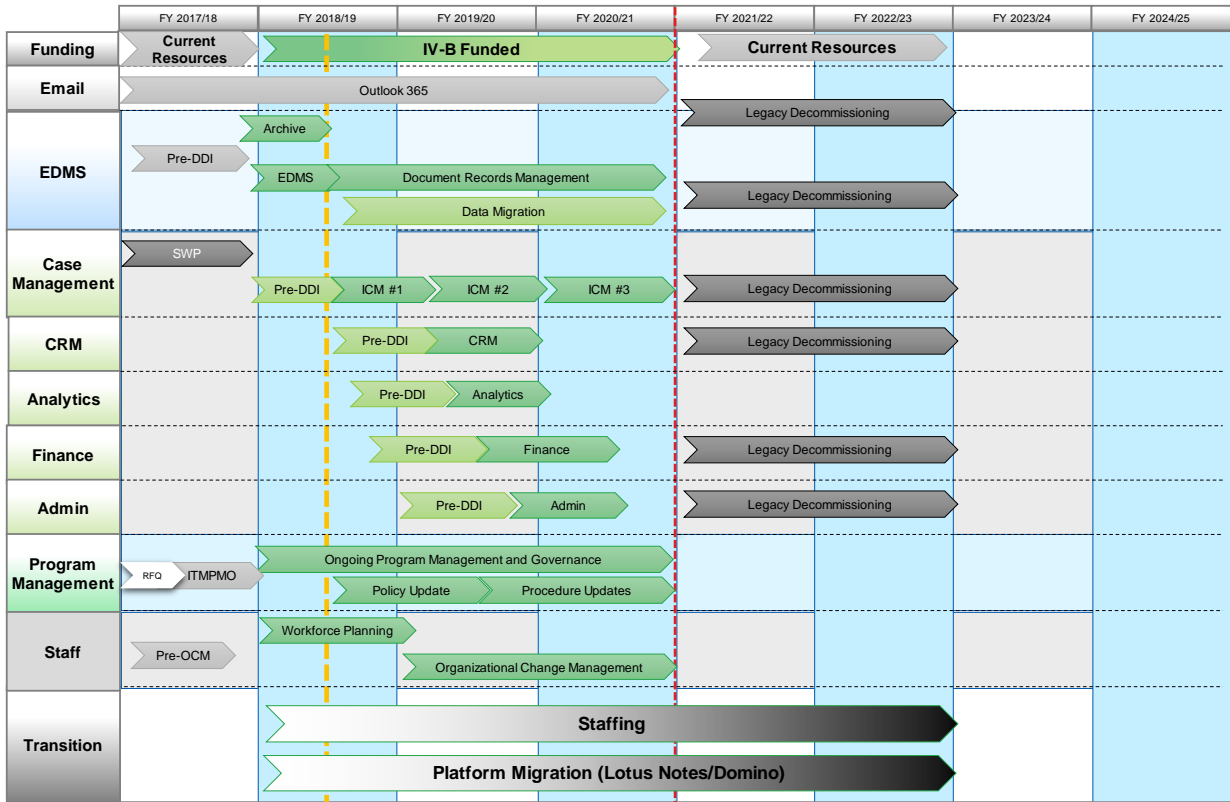
**Exhibit VII-4: Proposed Change Request Process**



## B. Schedule

The actual program schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual program schedule will be the responsibility of the DLA Program Manager and implementation vendor(s). The figure below represents the high-level program schedule that reflects the planned three-year approach to the enhancement or replacement of the system.

**DLA ITMS Roadmap – Plan on a Page (3yr)**



**KEY:** Current Resources (grey arrow), IV-B Funded (green arrow), Iterative (light green arrow), Legacy Systems (dark grey arrow)

**Exhibit VII-5: DLA ITMS Roadmap – Plan on a Page (3yr)**

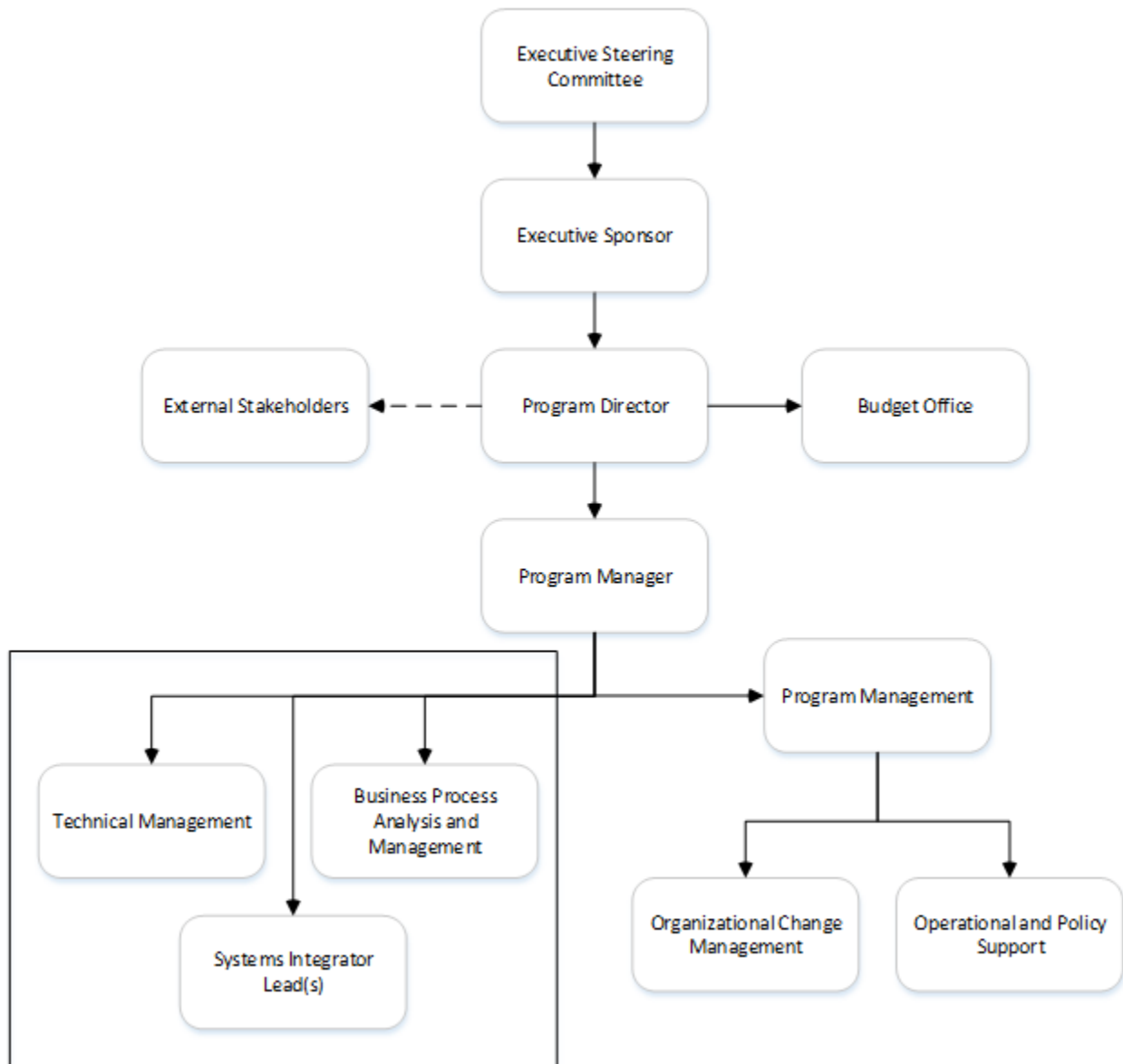
## C. Organization

The Program Management Team will be headed by the DLA Program Director and will include the Vendor Program Manager. This team will be responsible for day-to-day oversight of the program. Individual Projects will also be organized to ensure all objectives are met.

### 1. Program Organization

For a program of this size and duration, the DLA will implement a Program Management Office (PMO) to create program management plans, monitor program issues and risks, and provide general support to the Program Director throughout the project.

The program business stakeholders include seasoned DLA staff from the program’s core business areas. These key stakeholders will be instrumental in the design, development and testing of the new business system and will assist in the review and approval of all program deliverables.



**Exhibit VII-6: Proposed Program Organization**

## 2. Typical Project Organization

An implementation with multiple projects will be organized as a Program with a Program Manager that reports to a Program Director. It also includes a Program Budget Officer and an individual Systems Integrator/Project Manager for each project. The project teams will lead the day-to-day implementation of each project and communicate with the Program Management Office.

The following table identifies roles in the program organization and a summary of their responsibilities.

Role Name	Description	Assigned To
<b>Executive Sponsor</b>	Provides executive oversight to the program Acts as final escalation for all issue resolution Directs governance	TBD
<b>Program Business Sponsor</b>	Has programmatic decision making authority Champions the program within the customer's organization Provides guidance on overall strategic direction Provides business resources for program success Has responsibility for successful development and implementation of the program	TBD
<b>Program IT Sponsor</b>	Has IT decision making authority Champions the program within the customer's organization Provides guidance on overall strategic direction Provides IT resources for program success Has responsibility for successful development and implementation of the program	TBD
<b>Program Budget Officer</b>	Controls program budget Provides budget related input into program scope and contract change decision making process	TBD
<b>Program Director</b>	Has overall responsibility Oversees the development of the program Oversees the development of the Program Management Office Liaison with IT Sponsor for resources	TBD
<b>Program Management Office</b>	Responsible for day-to-day program oversight Provides overall guidance and direction to the System Integrator Coordinates with the Program Director for resources Works with System Integrator Program Manager to ensure stakeholder needs are met Has daily decision making authority Oversees and manages program plan Facilitates the Business Stakeholders Committee Coordinates program resources, budgets and contract management Reviews and provides feedback on program deliverables Responsible for program management areas including scope, risk, quality and change control	TBD

	<p>Coordinates program status communications</p> <p>Liaison with external agencies as needed</p>	
<b>Program Business Stakeholders Committee</b>	<p>Provides input on functional requirements</p> <p>Participates in program user group meetings and sessions</p> <p>Provides input on program activities</p> <p>Reviews and comments on program documents and deliverables</p> <p>Disseminates program information and updates to local internal/external stakeholders</p>	TBD
<b>Program Manager</b>	<p>Has responsibility for the successful implementation of the projects</p> <p>Oversees the Systems Integrator(s) implementation of each project</p> <p>Communicates with Program Director and Executive Sponsor</p> <p>Liaison with Program Business Sponsor for business resources and day-to-day activities</p> <p>Liaison with Program IT Sponsor</p>	TBD
<b>Project Budget Officer</b>	<p>Controls project budget</p> <p>Provides budget related input into project scope and contract change decision making process</p> <p>Liaisons with Program Budget Director</p>	TBD
<b>Systems Integrator (SI) Project Manager</b>	<p>Reports to the Program Manager</p> <p>Works with the Program Management Office to seek guidance and direction</p> <p>Responsible for systems integrator program management activities</p> <p>Leads the planning and development of project deliverables</p> <p>Develops and manages the project schedule and associated tasks</p> <p>Maintains all project documentation including detailed project plan</p> <p>Ensure adherence to the process and project management standards and guidelines</p> <p>Responsible for project management areas including scope, risk, quality and change control</p> <p>Prepare formal project reports and presentations</p> <p>Ensure deliverables conform to the DLA standards</p> <p>Facilitate project related meetings as required</p>	TBD

**Exhibit VII-7: Program & Project Organization Members - Roles & Descriptions**

**D. Quality Control**

The program will follow the PMO guidelines delineating timeline, budget, and quality specifications for each deliverable. Each deliverable will be assigned detailed acceptance criteria in the program contract. Quality will be monitored and controlled by the individual Project Management Teams and deliverables will be accepted only when

acceptance criteria have been met. The PMO will provide oversight and assistance to the entire Program Team to ensure that standards are followed.

Program Area	Description
<b>Testing Management</b>	If applicable, the vendor will follow the established standards of the DLA PMO for Testing Management. This includes unit testing, integration testing, system testing, load testing, and user acceptance testing.
<b>Approval</b>	All deliverables will require individual stakeholder approval and sign-off upon completion of the final draft.
<b>Software Configuration Management</b>	If applicable, the vendor will follow the established standards of the DLA PMO for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control.
<b>Contract Management</b>	The DLA PMO will be involved in contract management. All contracts must pass executive and legal approval. In addition, external project oversight will be required for contract negotiation.

#### **Exhibit VII-8: Quality Standards by Individual Project Area**

In addition to these formal areas of quality control, the following practices will be maintained during the life of the program.

- Peer reviews of artifacts
- Program team acceptance and approval
- Periodic program team meetings
- Program status meetings
- Periodic vendor, contract manager, program manager and program team meetings
- Change control management processes, including the creation of a change review and control board that provides representation for all affected stakeholders
- Contract manager and the DLA Program Director acceptance and approval
- Maintain detailed requirements definitions under configuration management
- Defined test plan with standard levels of technical and acceptance testing
- Risk Management and Mitigation

Quality will be monitored throughout the program by the PMO. Multiple levels of acceptance by all stakeholders will be built into the process to ensure program quality control.

## **E. Risk Management**

The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project.

The project management methodology chosen for this project will include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all projects of the program. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated, and closed throughout the lifecycle. A source of risks for the project would include items from the Risk Assessment in Section V of this IV-B Feasibility Study that were rated High, and should be mitigated in the first year of the project.

### **1. Risk Management Plan**

All projects of the program will follow the standards defined by the PMO. Standards include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all projects. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed.

Risks are tracked, mitigated, and closed throughout the lifecycle.

A Risk Management Plan (RMP) will be developed and adhered to throughout all projects. The RMP will include clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear mitigation strategies for each risk is critical to the success of the IT Modernization Program. The purpose of risk management is to identify the risk factors for each project and establish a risk management plan to minimize the probability that the risk will negatively affect the program. It is recommended that the following checkpoints be followed during the program:

Task	Recommendation
<b>Risk Management Plan</b>	Have planned semi-annual reviews and updates after the submission and approval of the Risk Management Plan with the Program Director and Executive Sponsor. More frequent or “as required” updates should be performed.
<b>Risk Management Reviews</b>	As part of a disciplined approach to addressing program risks, monthly Risk Meetings should be conducted during the program lifecycle.

**Exhibit VII-9: Program Risk Checkpoints**

## F. Organizational Change Management

Effective Organizational Change Management (OCM) will be integral to the success of this program, and will be a critical success factor for ensuring staff participation in business process improvement, implementation, and user acceptance. Significant organizational change is expected as a result of automating existing manual processes. Throughout the DLA, OCM will be effectively implemented through communication, awareness, and training. While much of the organizational change management will occur at the program level, at the individual project level there will be unique activities in each project that will require special consideration. As such, there must be continuous communication between the Program Management Team and the individual project teams on the issue of organizational change management.

A specific OCM methodology has not been identified at this Program, but will be identified in the Organizational Change Management Plan.

At a minimum, the following will be included in the final Organizational Change Management Plan:

- Description of roles, responsibilities, and communication between vendor and customer
- To-be process maps including a role oriented flowchart (swim lane view) of the organization
- Skill/Role gap analysis between the existing system and the proposed system
- Training plan including platform (classroom, CBT, etc.), schedule, and curriculum
- OCM Communication Plan

The following key roles will have varying degrees of responsibility for executing the change management plan and delivering a consistent, positive message about change throughout the life of the program:

- Organizational Change Manager (a member of the program management team dedicated to OCM)
- Program Director
- The DLA Program Manager
- Executive Sponsor
- The DLA Executive Steering Committee

All projects of the program will use communication methods proven to be effective on large-scale business modernization programs, and will follow the standards developed by the PMO. These will include a communication plan, a formal project kick off meeting, status meetings, milestone reviews, adoption of methodology in defining roles, responsibilities and quality measures of deliverables, regular status reports, regular review and evaluation of program issues and risks, periodic program evaluation, regular system demonstrations and reviews, and a program artifact repository.

Disseminating knowledge among stakeholders is essential to the program's success. Executive Sponsor and Program Director, core program team members, and key stakeholders must be kept informed of the program status and how changes to the status affect them. The more people are kept informed about the progress of the program and how it will help them in the future the more they will participate and benefit.

At this time, the specific communication needs of program stakeholders and the methods and frequency of communication have not been established. A high-level Program Communication Plan will be completed during "Year Zero".

## VIII. Appendices

Included are all required spreadsheets chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

The following supporting documents are included as part of the feasibility study:

Appendix A – Cost Benefit Analysis Tool

Appendix B –Risk Assessment Tool

### A. Cost Benefit Analysis Tool

The following embedded document represent Appendix A - Cost Benefit Analysis FY 17-18 for IT Modernization Program.



Appendix A -  
ITMS-Schedule IV-B F

### B. Risk Assessment Tool

The following embedded document represent Appendix B – ITMS-Schedule IV-B - Project Risk Assessment for IT Modernization Program.



Appendix B -  
ITMS-Schedule IV-B F)

### C. Cost Calculations Sheet

The following embedded document represent Appendix C – ITMS-Schedule IV-B - Cost Calculations Sheet for IT Modernization Program.



Appendix C –  
ITMS-Schedule IV-B -

### D. Benefit Calculations Sheet

The following embedded document represent Appendix D – ITMS-Schedule IV-B - Benefits Calculations Sheet for IT Modernization Program.





Appendix D –  
ITMS-Schedule IV-B -

## **E. Procurement Plan**

The following embedded document represent Appendix E – ITMS-Schedule IV-B - Procurement Plan for IT Modernization Program.



Appendix E –  
ITMS-Schedule IV-B -

## **F. IV-B Interview List**

The following embedded document represent Appendix F – ITMS-Schedule IV-B - Interview List for IT Modernization Program.



Appendix F –  
ITMS-Schedule IV-B -

## **G. IV-B Application Inventory**

The following embedded document represent Appendix G – ITMS-Schedule IV-B – Application Inventory for IT Modernization Program.



Appendix G –  
ITMS-Schedule IV-B -

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 Program (Operations Only -- No Project Costs)	FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22		
	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency Managed Staff	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634
A.b Total Staff	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5
A-1.a. State FTEs (Salaries & Benefits)	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634	\$200,466,634	\$0	\$200,466,634
A-1.b. State FTEs (# FTEs)	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5	1,341.5	0	1,341.5
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
B. Application Maintenance Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-4. Other <i>Specify</i>	\$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 <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs (including PDC services)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total Recurring Operational Costs</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>	<b>\$200,466,634</b>	<b>\$0</b>	<b>\$200,466,634</b>
<b>F. Additional Tangible Benefits:</b>		\$0			\$1,079,755			\$3,659,866			\$6,295,155			\$7,037,190	
F-1. Data Quality/ Access/ Duplication		\$0			\$404,289			\$1,010,723			\$1,212,867			\$1,347,630	
F-2. Organizational Effectiveness		\$0			\$248,702			\$983,502			\$1,820,044			\$2,260,924	
F-3. IT/ Administrative Efficiencies		\$0			\$46,789			\$169,264			\$543,396			\$365,565	
F-4. Improved Knowledge Management		\$0			\$55,305			\$172,621			\$281,965			\$333,937	
F-5. Operational Responsiveness		\$0			\$47,378			\$174,891			\$307,552			\$336,708	
F-6. Operational Efficiencies		\$0			\$277,293			\$1,148,865			\$2,129,330			\$2,392,425	
<b>Total Net Tangible Benefits:</b>		\$0			\$1,079,755			\$3,659,866			\$6,295,155			\$7,037,190	

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

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	AC	
1 Florida Department of Legal Affairs IT Modernization Program				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.				FY2017-18			FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL	
3 \$ -				\$ -			\$ 7,354,981			\$ 8,499,023			\$ 6,352,979			\$ -			\$ -			\$ 22,206,983	
4 Item Description (remove guidelines and annotate entries here)	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 0 #	YR 0 LBR	YR 0 Base Budget	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	Activities performed in advance of the design, development and implementation (DDI) of the actual system. Primary activities include developing system requirements, developing the associated user stories, and procurement-related activities prior to a DDI vendor being selected.	Pre-DDI BPR/Reqs./User Stories	Contracted Services	\$ -	0.00	\$ -	0.00	\$ 717,522	\$ -	0.00	\$ 400,478	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 1,118,000
6	State resources required for solution implementation that are beyond existing state resources (i.e., additional state capacity required).	Internal (Agency) Project Team	OPS/Contracted Services	\$ -	0.00	\$ -	0.00	\$ 800,800	\$ -	0.00	\$ 1,029,600	\$ -	0.00	\$ 572,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 2,402,400
7	Services in support of the workforce successfully transitioning to the new way of doing business resulting from implementing the project (e.g., assessing the readiness of staff for impending change).	Workforce Planning/Transition & OCM	Contracted Services	\$ -	0.00	\$ -	0.00	\$ 357,760	\$ -	0.00	\$ 366,704	\$ -	0.00	\$ 366,704	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 1,091,168
8	Hardware purchases required to support the selected solution(s).	Hardware	OCO	\$ -	0.00	\$ -	0.00	\$ 72,917	\$ -	0.00	\$ 141,667	\$ -	0.00	\$ 41,667	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 256,250
9	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	0.00	\$ -	0.00	\$ 1,809,380	\$ -	0.00	\$ 1,764,380	\$ -	0.00	\$ 1,184,380	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 4,758,140
10	Professional services with fixed-price costs (i.e., software development, installation, project documentation).	Project Deliverables - Solution Services	Contracted Services	\$ -	0.00	\$ -	0.00	\$ 1,380,957	\$ -	0.00	\$ 2,660,901	\$ -	0.00	\$ 2,219,783	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 6,261,640
11	Professional services with fixed-price costs (i.e., project management, governance, other consulting services).	Project Deliverables - Consulting Services	Contracted Services	\$ -	0.00	\$ -	0.00	\$ 1,272,036	\$ -	0.00	\$ 1,272,036	\$ -	0.00	\$ 1,272,036	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 3,816,107
12	All first-time (i.e., not ongoing) training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ 50,000	\$ -	\$ -	\$ 71,667	\$ -	\$ -	\$ 113,333	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 235,000
13	Costs for non-state data center equipment required by the project and the proposed solution.	Equipment	Expense	\$ -	\$ -	\$ -	\$ 110,000	\$ -	\$ -	\$ 55,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 165,000
14	Services to Integrate New Solution with Department Disaster Recovery, backup and Recovery Infrastructure and Processes	Disaster Recovery	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 72,000	\$ -	\$ -	\$ 48,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 120,000
15	Equipment maintenance.	Maintenance & Operations	Contracted Services	\$ -	\$ -	\$ -	\$ 160,000	\$ -	\$ -	\$ 130,000	\$ -	\$ -	\$ 145,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 435,000
16	Other project expenses not included in other categories, such as office expenses in support of the project, leased space, etc.	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ 623,610	\$ -	\$ -	\$ 534,592	\$ -	\$ -	\$ 390,076	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,548,278
17	Totals			\$ -	0.00	\$ -	0.00	\$ 7,354,981	\$ -	0.00	\$ 8,499,023	\$ -	0.00	\$ 6,352,979	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 22,206,983

CBAForm 2 - Project Cost Analysis

<b>Agency</b>	<u>Florida Department of Legal Affairs</u>	<b>Project</b>	IT Modernization Program
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)						TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$0	\$7,354,981	\$8,499,023	\$6,352,979	\$0	\$0	\$22,206,983
CUMULATIVE PROJECT COSTS <i>(includes Current &amp; Previous Years' Project-Related Costs)</i>	\$0	\$7,354,981	\$15,854,004	\$22,206,983	\$22,206,983	\$22,206,983	\$22,206,983
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	FY 2023-24	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL INVESTMENT</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>CUMULATIVE INVESTMENT</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0

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	Florida Department of Legal Affairs	Project	IT Modernization Program
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COST BENEFIT ANALYSIS -- CBAForm 3A							
	0	1	2	3	4	5	
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	Project Totals
Project Cost	\$0	(\$7,354,981)	(\$8,499,023)	(\$6,352,979)	\$0	\$0	(\$22,206,983)
Tangible Benefits	\$0	\$1,079,755	\$3,659,866	\$6,295,155	\$7,037,190	\$7,037,190	\$25,109,155
Return on Investment	\$0	(\$6,275,226)	(\$4,839,157)	(\$57,824)	\$7,037,190	\$7,037,190	\$2,902,173

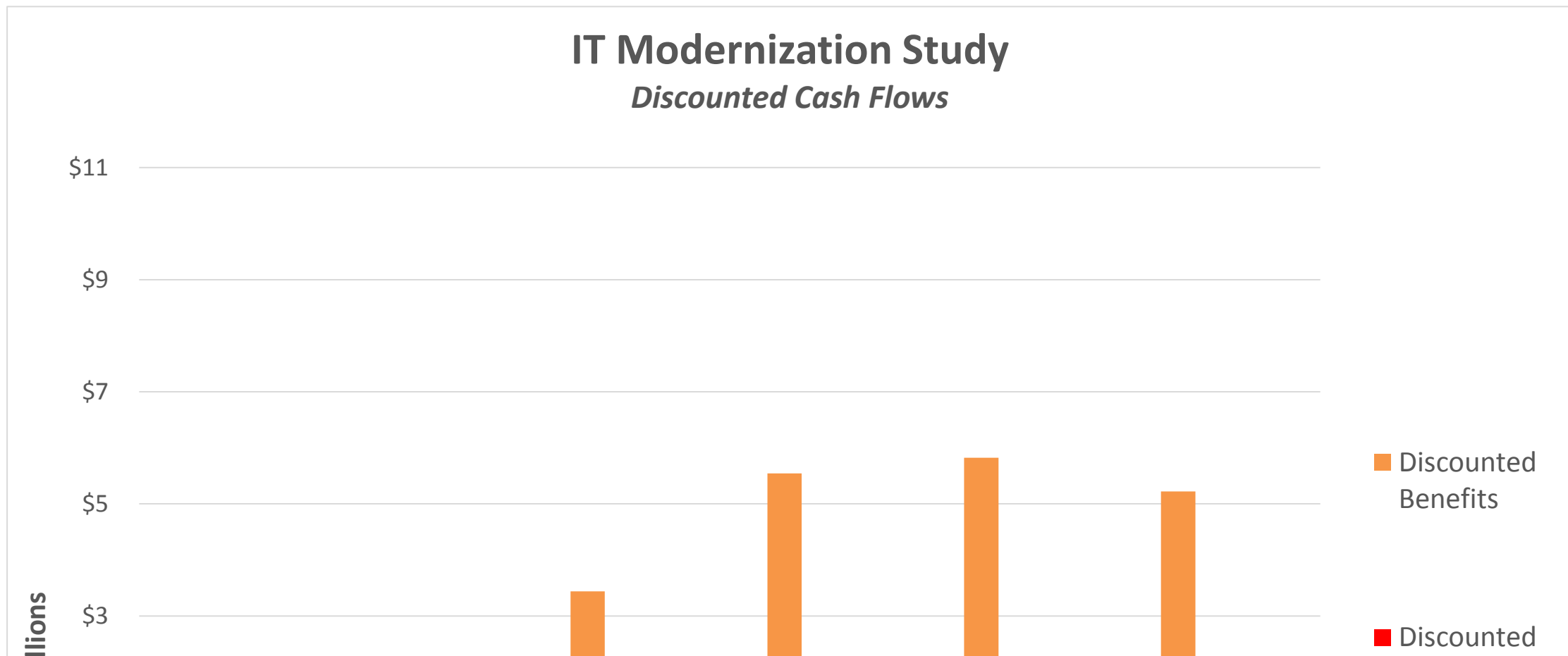
RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	4.59	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	FY 2022-23	Fiscal Year during which the project's investment costs are recovered.
ROI	13.07%	Return on Investment is the measure of a project's net benefits relative to it's total costs.
Net Present Value (NPV)	\$297,438	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	7.85%	IRR is the project's Internal Rate of Return.

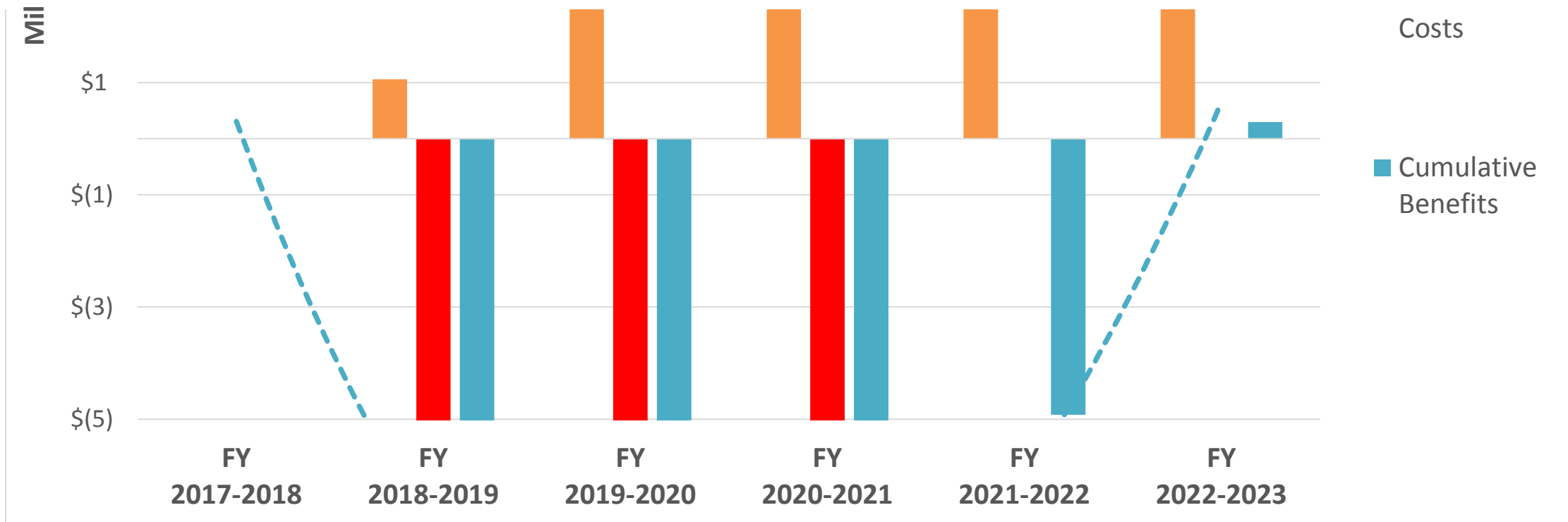
Investment Interest Earning Yield -- CBAForm 3C						
Fiscal Year	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%	6.16%

DLA IT Modernization Program

Discounted Cash Flow Overview & Graph

	Cost Benefit Analysis					
	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022	FY 2022-2023
<b>Discounted Benefits</b>	\$ -	\$ 1,057,857	\$ 3,437,749	\$ 5,545,027	\$ 5,822,715	\$ 5,219,089
<b>Discounted Costs</b>	\$ -	\$ (7,205,821)	\$ (7,983,217)	\$ (5,595,961)	\$ -	\$ -
<b>Cumulative Benefits</b>	\$ -	\$ (6,147,964)	\$ (10,693,432)	\$ (10,744,366)	\$ (4,921,651)	\$ 297,438





	B	C	D	E	F	G	H	
3	<b>Project</b>		<i>IT Modernization Program</i>					
4								
5	<b>Agency</b>		<i>Florida Department of Legal Affairs</i>					
6	<b>FY 2017-18 LBR Issue Code:</b>			<b>FY 2017-18 LBR Issue Title:</b>				
7	<i>TBD</i>			<i>TBD</i>				
8	<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>							
9	<i>Name ----- Phone # ----- E-mail address</i>							
10	<b>Executive Sponsor</b>		<i>Douglas Smith</i>					
11	<b>Project Manager</b>		<i>Cindy Rutledge</i>					
12	<b>Prepared By</b>		<i>North Highland</i>			<i>5/15/2017</i>		
14	<b>Risk Assessment Summary</b>							
15								
16	<b>Business Strategy</b>	<b>Level of Project Risk</b>						
17								<i>Most Aligned</i>
18								
19								
20								
21								
22								
23								
24								
25								
26								
27								
28								
29	<i>Least Aligned</i>							
30		<i>Least Risk</i>	<i>Most Risk</i>					
31								
32								
34	<b>Project Risk Area Breakdown</b>							
35	<b>Risk Assessment Areas</b>						<i>Risk Exposure</i>	
36	Strategic Assessment						<b>MEDIUM</b>	
37								
38	Technology Exposure Assessment						<b>MEDIUM</b>	
39								
40	Organizational Change Management Assessment						<b>HIGH</b>	
41								
42	Communication Assessment						<b>LOW</b>	
43								
44	Fiscal Assessment						<b>MEDIUM</b>	
45								
46	Project Organization Assessment						<b>MEDIUM</b>	
47								
48	Project Management Assessment						<b>HIGH</b>	
49								
50	Project Complexity Assessment						<b>MEDIUM</b>	
51								
52								
53	<b>Overall Project Risk</b>						<b>HIGH</b>	



	B	C	D	E
1	Agency: Florida Department of Legal Affairs		Project: IT Modernization Program	
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	Informal agreement 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	Most regularly attend executive 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 partially 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	41% to 80% -- Some 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	No changes needed
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	Few or none
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	Minimal or no 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	Use or visibility at division and/or bureau level only
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 1 and 3 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 Legal Affairs		Project: IT Modernization Program	
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	Read about only or attended conference and/or vendor presentation
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 through implementation only
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	Moderate 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 Legal Affairs		Project: IT Modernization Program	
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	Minimal changes to organization structure, staff or business processes structure
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	Yes
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	0% to 40% -- Few or no process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
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	Less than 1% 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	1 to 10% 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	Minor or no 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 fewer 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	No
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	All or nearly all messages are documented
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	All or nearly all messages have 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	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Department of Legal Affairs		Project: IT Modernization Program	
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	No
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	0% to 40% -- None or few defined and documented
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	Yes
16			No	
17	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%)
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	Not applicable
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	All or nearly all project benefits have been identified and 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	Within 5 years
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	Purchase all hardware and software at start of

	B	C	D	E
1	Agency: Florida Department of Legal Affairs		Project: IT Modernization Program	
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	and software at start of project to take advantage of one-time discounts
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	Yes
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 Legal Affairs		Project: IT Modernization Program	
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	No
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	Some 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	System Integrator (contractor)
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	3 or more
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	Some or most staff roles and responsibilities and needed skills have been identified
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	Half of staff 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	Minimal or no 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 Legal Affairs		Project: IT Modernization Program	
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	More than 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	0% to 40% -- None or few 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	0% to 40% -- None or few 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	0% to 40% -- None or few 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	No
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points	Yes	No



	B	C	D	E
1	Agency: Florida Department of Legal Affairs		Project: IT Modernization Program	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
35		(checkpoints), 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 uses formal 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	Some 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	No
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 Legal Affairs		Project: IT Modernization Program	
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	Less complex
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	3 sites or fewer
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	9 to 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	None
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	Agency-wide business process change
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	

	Start Date	End Date	Duration (in days)	FY 2017/18				FY 2018/19				FY 2019/20				FY 2020/21			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Mail Archive	7/1/2018	12/31/2018	183																
Pre-DDI: ICM	7/1/2018	3/31/2019	273																
Pre-DDI: CRM	4/1/2019	9/30/2019	182																
Pre-DDI: Analytics	4/1/2019	9/30/2019	182																
Pre-DDI: Finance	4/1/2019	9/30/2019	182																
Pre-DDI: Admin	7/1/2019	12/31/2019	183																
Establish New EDMS Content Baseline System	7/1/2018	3/31/2019	273																
Data Migration	4/1/2019	6/30/2021	821																
Document Records Management Migration	4/1/2019	6/30/2021	821																
Integrated Core System - Pilot Transformation	1/1/2019	12/31/2019	364																
Integrated Core System - Transformation #2	1/1/2020	9/30/2020	273																
Integrated Core System - Transformation #3	10/1/2020	6/30/2021	272																
CRM Implementation	10/1/2019	6/30/2020	273																
Analytics Implementation	10/1/2019	6/30/2020	273																
Finance Implementation	1/1/2020	9/30/2020	273																
Administrative Update Implementation	4/1/2020	12/31/2020	274																
Ongoing Project Management and Governance	7/1/2018	6/30/2021	1,095																
Policy and Procedure Updates	1/1/2019	6/30/2021	911																
Workforce Planning/Transition	7/1/2018	6/30/2019	364																
Organizational Change Management	7/1/2019	6/30/2021	730																

90	90	90
25	38	27
27.8%	42.2%	30.0%

Item Description	Project Cost Element	Mail Archive	Pre-DDI					Establish New EDMS Content Baseline System	Data Migration	Document Records Management Migration	Integrated Core System - Pilot Transformation	Integrated Core System - Transformation #2	Integrated Core System - Transformation #3	CRM Implementation	Analytics Implementation	Finance Implementation	Administrative Update Implementation	Ongoing Project Management and Governance	Policy and Procedure Updates	Workforce Planning/ Transition	Organizational Change Management	TOTALS
			Pre-DDI: ICM	Pre-DDI: CRM	Pre-DDI: Analytics	Pre-DDI: Finance	Pre-DDI: Admin															
Other contracted services not included in other categories.	Pre-DDI BPR/Reqs./User Stories	NA	\$ 357,760	\$ 223,600	\$ 178,880	\$ 178,880	\$ 178,880	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	\$ 1,118,000	
State resources required for solution implementation that are beyond existing state resources (i.e., additional state capacity required).	Internal (Agency) Project Team	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	\$ 150,150	Allocated across all 3 project years	Allocated across all 3 project years	Allocated across all 3 project years	Allocated across all 3 project years	\$ 2,402,400
Other contracted services not included in other categories.	Workforce Planning/Transition & OCM	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	\$ 357,760	\$ 733,408	\$ 1,091,168	
Hardware purchases not included in Primary Data Center services.	Hardware	NA	NA	NA	NA	NA	NA	NA	NA	\$ 72,917	\$ 72,917	\$ 41,667	NA	\$ 18,750	\$ 31,250	\$ 18,750	NA	NA	NA	NA	\$ 256,250	
Commercial software purchases and licensing costs.	Commercial Software	NA	NA	NA	NA	NA	NA	\$ 625,000	NA	NA	\$ 1,184,380	\$ 1,184,380	\$ 1,184,380	\$ 180,000	\$ 200,000	\$ 150,000	\$ 50,000	NA	NA	NA	NA	\$ 4,758,140
Professional services with fixed-price costs (i.e. software development, installation, project documentation).	Project Deliverables - Solution Services	\$ 491,920	NA	NA	NA	NA	NA	\$ 350,000	\$ 535,000	\$ 535,000	\$ 960,000	\$ 960,000	\$ 960,000	\$ 175,000	\$ 400,000	\$ 450,000	\$ 444,720	NA	NA	NA	NA	\$ 6,261,640
Professional services with fixed-price costs (i.e. project management, governance, other consulting services).	Project Deliverables - Consulting Services	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	\$ 3,219,840	\$ 596,267	NA	NA	\$ 3,816,107
All first-time training costs associated with the project.	Training	NA	NA	NA	NA	NA	NA	\$ 50,000	NA	NA	\$ 41,667	\$ 41,667	\$ 41,667	\$ 25,000	\$ 5,000	\$ 15,000	\$ 15,000	NA	NA	NA	NA	\$ 235,000
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail).	Equipment	NA	NA	NA	NA	NA	NA	\$ 110,000	NA	NA	NA	NA	NA	\$ 55,000	NA	NA	NA	NA	NA	NA	NA	\$ 165,000
Disaster recovery.	Disaster Recovery		\$ -	\$ -	\$ -	\$ -	\$ -	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 9,231	\$ 120,000
Equipment maintenance.	Maintenance & Operations	NA	NA	NA	NA	NA	NA	\$ 125,000	NA	NA	\$ 70,000	\$ 70,000	\$ 70,000	\$ 30,000	\$ 30,000	\$ 20,000	\$ 20,000	NA	NA	NA	NA	\$ 435,000
Other project expenses not included in other categories.	Other Expenses	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 77,413.90	\$ 1,548,278
<b>Totals</b>		\$ 719,484	\$ 585,324	\$ 451,164	\$ 406,444	\$ 406,444	\$ 406,444	\$ 1,496,795	\$ 771,795	\$ 771,795	\$ 2,565,758	\$ 2,565,758	\$ 2,525,277	\$ 701,795	\$ 890,545	\$ 903,045	\$ 785,265	\$ 3,306,485	\$ 682,911	\$ 444,405	\$ 820,053	\$ 22,206,983

DLA ITMS Project Cost Projections

Cost Element	Project Years			3-Year Totals
	FY 2018-19	FY 2019-20	FY 2020-21	
Pre-DDI BPR/Reqs./User Stories	\$ 717,522	\$ 400,478	\$ -	\$ 1,118,000
Internal (Agency) Project Team	\$ 800,800	\$ 1,029,600	\$ 572,000	\$ 2,402,400
Workforce Planning/Transition & OCM	\$ 357,760	\$ 366,704	\$ 366,704	\$ 1,091,168
Hardware	\$ 72,917	\$ 141,667	\$ 41,667	\$ 256,250
Commercial Software	\$ 1,809,380	\$ 1,764,380	\$ 1,184,380	\$ 4,758,140
Project Deliverables - Solution Services	\$ 1,380,957	\$ 2,660,901	\$ 2,219,783	\$ 6,261,640
Project Deliverables - Consulting Services	\$ 1,272,036	\$ 1,272,036	\$ 1,272,036	\$ 3,816,107
Training	\$ 50,000	\$ 71,667	\$ 113,333	\$ 235,000
Equipment	\$ 110,000	\$ 55,000	\$ -	\$ 165,000
Disaster Recovery	\$ -	\$ 72,000	\$ 48,000	\$ 120,000
Maintenance & Operations	\$ 160,000	\$ 130,000	\$ 145,000	\$ 435,000
Other Expenses	\$ 623,610	\$ 534,591	\$ 390,077	\$ 1,548,278
<b>Totals</b>	<b>\$ 7,354,981</b>	<b>\$ 8,499,023</b>	<b>\$ 6,352,979</b>	<b>\$ 22,206,983</b>
	33.12%	38.27%	28.61%	100.00%

FRONT LOADED VIEW

	Project Years			3-Year Totals
	FY 2018-19	FY 2019-20	FY 2020-21	
	\$ 8,053,996	\$ 6,438,211	\$ 4,635,657	\$ 19,127,863
	42.11%	33.66%	24.24%	100.00%

Project Cost Element	Description
<b>Pre-DDI BPR/Reqs./User Stories</b>	Activities performed in advance of the design, development and implementation (DDI) of the actual system. Primary activities include developing system requirements, developing the associated user stories, and procurement-related activities prior to a DDI vendor being selected.
<b>Internal (Agency) Project Team</b>	State resources required for solution implementation that are beyond existing state resources (i.e., additional state capacity required).
<b>Workforce Transition and OCM</b>	Services in support of the workforce successfully transitioning to the new way of doing business resulting from implementing the project (e.g., assessing the readiness of staff for impending change).
<b>Hardware</b>	Hardware purchases required to support the selected solution(s).
<b>Commercial Software</b>	Commercial software purchases and licensing costs.
<b>Project Deliverables - Solution Services</b>	Professional services with fixed-price costs (i.e., software development, installation, project documentation).
<b>Project Deliverables - Consulting Services</b>	Professional services with fixed-price costs (i.e., project management, governance, other consulting services).
<b>Training</b>	All first-time (i.e., not ongoing) training costs associated with the project.
<b>Equipment</b>	Costs for non-state data center equipment required by the project and the proposed solution.
<b>Disaster Recovery</b>	Allocations for establishing sufficient/effective disaster recovery capabilities.
<b>Maintenance &amp; Operations</b>	Equipment maintenance.
<b>Other Expenses</b>	Other project expenses not included in other categories, such as office expenses in support of the project, leased space, etc.

These tables address pre-DDI that is NOT self-funded by DLA.

**CASE MANAGEMENT**

Area/Position/Cost Type	Month 1		Month 2		Month 3		Month 4		Month 5		Month 6		Month 7		Month 8		Month 9		Month 10		Month 11		Month 12		TOTALS			
	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTE Years	Costs		
PM	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.75	\$ 268,320
OCM/Workforce	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Data Strategy	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
BPR/Reqs./User Stories	2.00	\$ 59,627	2.00	\$ 59,627	2.00	\$ 59,627	2.00	\$ 59,627	2.00	\$ 59,627	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.83	\$ 298,133
Procurement Support	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 14,907	0.50	\$ 14,907	0.50	\$ 14,907	0.50	\$ 14,907	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.17	\$ 59,627
Expenses		\$ 2,236		\$ 2,236		\$ 2,236		\$ 2,236		\$ 2,236		\$ 1,118		\$ 1,118		\$ 1,118		\$ 1,118		\$ -		\$ -		\$ -		\$ -		\$ 15,652
<b>Yearly Totals</b>	<b>3.00</b>	<b>\$ 91,676</b>	<b>3.00</b>	<b>\$ 91,676</b>	<b>3.00</b>	<b>\$ 91,676</b>	<b>3.00</b>	<b>\$ 91,676</b>	<b>3.00</b>	<b>\$ 91,676</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>1.75</b>	<b>\$ 626,080</b>

\$ 172.00  
173.33 hours per mo. (for 2,080 hours/year)  
2.5% expenses

\$ 357,760

**CRM**

Area/Position/Cost Type	Month 1		Month 2		Month 3		Month 4		Month 5		Month 6		Month 7		Month 8		Month 9		Month 10		Month 11		Month 12		TOTALS			
	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTE Years	Costs		
PM	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 178,880
OCM/Workforce	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Data Strategy	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
BPR/Reqs./Use Cases	2.00	\$ 59,627	2.00	\$ 59,627	2.00	\$ 59,627	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 178,880
Procurement Support	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 14,907	0.50	\$ 14,907	0.50	\$ 14,907	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.13	\$ 44,720
Expenses		\$ 2,236		\$ 2,236		\$ 2,236		\$ 1,118		\$ 1,118		\$ 1,118		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ 10,062
<b>Yearly Totals</b>	<b>3.00</b>	<b>\$ 91,676</b>	<b>3.00</b>	<b>\$ 91,676</b>	<b>3.00</b>	<b>\$ 91,676</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>1.13</b>	<b>\$ 402,480</b>

\$ 223,600

**ANALYTICS**

Area/Position/Cost Type	Month 1		Month 2		Month 3		Month 4		Month 5		Month 6		Month 7		Month 8		Month 9		Month 10		Month 11		Month 12		TOTALS			
	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTE Years	Costs		
PM	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 178,880
OCM/Workforce	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Data Strategy	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
BPR/Reqs./Use Cases	1.50	\$ 44,720	1.50	\$ 44,720	1.50	\$ 44,720	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.38	\$ 134,160
Procurement Support	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 14,907	0.50	\$ 14,907	0.50	\$ 14,907	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.13	\$ 44,720
Expenses		\$ 1,863		\$ 1,863		\$ 1,863		\$ 1,118		\$ 1,118		\$ 1,118		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ 8,944
<b>Yearly Totals</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>1.00</b>	<b>\$ 357,760</b>

\$ 178,880

**FINANCE**

Area/Position/Cost Type	Month 1		Month 2		Month 3		Month 4		Month 5		Month 6		Month 7		Month 8		Month 9		Month 10		Month 11		Month 12		TOTALS			
	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTE Years	Costs		
PM	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 178,880
OCM/Workforce	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Data Strategy	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
BPR/Reqs./Use Cases	1.50	\$ 44,720	1.50	\$ 44,720	1.50	\$ 44,720	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.38	\$ 134,160
Procurement Support	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 14,907	0.50	\$ 14,907	0.50	\$ 14,907	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.13	\$ 44,720
Expenses		\$ 1,863		\$ 1,863		\$ 1,863		\$ 1,118		\$ 1,118		\$ 1,118		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ 8,944
<b>Yearly Totals</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>1.00</b>	<b>\$ 357,760</b>

\$ 178,880

**ADMIN**

Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12	TOTALS
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Area/Position/Cost Type	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTE Years	Costs		
PM	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 178,880
OCM/Workforce	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Data Strategy	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
BPR/Reqs./Use Cases	1.50	\$ 44,720	1.50	\$ 44,720	1.50	\$ 44,720	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.38	\$ 134,160
Procurement Support	-	\$ -	-	\$ -	-	\$ -	0.50	\$ 14,907	0.50	\$ 14,907	0.50	\$ 14,907	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	0.13	\$ 44,720
Expenses		\$ 1,863		\$ 1,863		\$ 1,863		\$ 1,118		\$ 1,118		\$ 1,118		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ 8,944
<b>Yearly Totals</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>2.50</b>	<b>\$ 76,397</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>1.50</b>	<b>\$ 45,838</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ -</b>	<b>1.00</b>	<b>\$ 357,760</b>
																										\$ 178,880

**ONGOING PM AND GOVERNANCE**

3.00	\$ 29,813
	\$ 357,760
	\$ 1,073,280
	<b>\$ 3,219,840</b>

0.64	\$ 717,522	\$ 1,118,000
0.36	\$ 400,478	

**DLA ITMS Project Cost Projections**

Cost Element	Project Years			3-Year Totals	Comments
	FY 2018-19	FY 2019-20	FY 2020-21		
Pre-DDI BPR/Reqs./Use Cases	\$ 717,522	\$ 400,478	\$ -	\$ 1,118,000	Includes pre-DDI costs for ICM, CRM, Analytics, Finance, and Admin
Internal (Agency) Project Team	\$ 800,800	\$ 1,029,600	\$ 572,000	\$ 2,402,400	Starting w/7 positions in Year 1, then increasing to 9 in Year 2, and down to a team of 5 in Year 3
Workforce Transition & OCM	\$ 357,760	\$ 366,704	\$ 366,704	\$ 1,091,168	<b>Workforce</b> - covers all of Year 1 <b>OCM</b> - covers all of Year 2 and Year 3 of the project and includes an allocation for associated expenses (e.g., Change Management materials)
Hardware	\$ 72,917	\$ 141,667	\$ 41,667	\$ 256,250	Allocations for hardware associated with the ICM, Analytics, Finance, and Admin implementations
Commercial Software	\$ 1,809,380	\$ 1,764,380	\$ 1,184,380	\$ 4,758,140	Software and licensing costs
Project Deliverables - Solution Services	\$ 1,380,957	\$ 2,660,901	\$ 2,219,783	\$ 6,261,640	These are vendor costs (fixed price) for professional services including software development, installation, and project documentation
Project Deliverables - Consulting Services	\$ 1,272,036	\$ 1,272,036	\$ 1,272,036	\$ 3,816,107	Consulting services such as project management and governance
Training	\$ 50,000	\$ 71,667	\$ 113,333	\$ 235,000	Allocations for training associated with the new functionalities being implemented
Equipment	\$ 110,000	\$ 55,000	\$ -	\$ 165,000	Allocations for equipment associated with the imaging and CRM solutions
Disaster Recovery	\$ -	\$ 72,000	\$ 48,000	\$ 120,000	Allocations for establishing sufficient/effective disaster recovery capabilities
Maintenance & Operations	\$ 160,000	\$ 130,000	\$ 145,000	\$ 435,000	M&O costs associated with the new technology
Other Expenses	\$ 623,610	\$ 534,591	\$ 390,077	\$ 1,548,278	Allocations for other project expenses such as office expenses in support of the project, leased space, etc.
	<b>\$ 7,354,981</b>	<b>\$ 8,499,023</b>	<b>\$ 6,352,979</b>	<b>\$ 22,206,983</b>	



Area/Position/Cost Type	Month 1		Month 2		Month 3		Month 4		Month 5		Month 6		Month 7		Month 8		Month 9		Month 10		Month 11		Month 12		TOTALS			
	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTEs	Cost	FTE Years	Costs		
PM	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
OCM/Workforce	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 29,813	1.00	\$ 357,760
BPR/Reqs./Use Cases	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
Procurement Support	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -
<b>Expenses</b>		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 745		\$ 8,944
<b>Yearly Totals</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 30,559</b>	<b>1.00</b>	<b>\$ 366,704</b>

\$ 172.00  
173.33 hours per mo. (for 2,080 hours/year)  
2.5% expenses

\$ 366,704 annual OCM costs  
2 # of years of OCM

**\$ 733,408**

Cost Category	Establish New EDMS Content Baseline System	Integrated Core System - Pilot Transformation	Integrated Core System - Transformation #2	Integrated Core System - Transformation #3	Integrated Core System - Transformation #4	Integrated Core System - Transformation #5	CRM Implementation	Analytics Implementation	Finance Implementation	Administrative Update Implementation
M&O	Allocated \$25,000 for 5 years.	Allocated \$10,000 per year for 5 years for ongoing maintenance.	Allocated an additional \$10,000 per year for 5 years for ongoing maintenance.	Allocated an additional \$10,000 per year for 4 years for ongoing maintenance.	Allocated an additional \$10,000 per year for 4 years for ongoing maintenance.	Allocated an additional \$10,000 per year for 3 years for ongoing maintenance.	Allocated \$10,000 per year for 3 years for ongoing maintenance.	Allocated \$10,000 per year for 3 years for ongoing maintenance.	Allocated \$10,000 per year for 2 years for ongoing maintenance.	Allocated \$10,000 per year for 2 years for ongoing maintenance.
	\$ 125,000	\$ 50,000	\$ 50,000	\$ 40,000	\$ 40,000	\$ 30,000	\$ 30,000	\$ 30,000	\$ 20,000	\$ 20,000
										\$ 435,000

**Note:** M&O costs are over a 5-year period, even though the project is a 3-year project as these costs are ongoing beyond implementation.

**DLA ITMS Project Cost Projections**

Cost Element	Project Years			3-Year Totals
	FY 2018-19	FY 2019-20	FY 2020-21	
Pre-DDI BPR/Reqs./User Stories	\$ 717,522	\$ 400,478	\$ -	\$ 1,118,000
<b>Internal (Agency) Project Team</b>	<b>\$ 800,800</b>	<b>\$ 1,029,600</b>	<b>\$ 572,000</b>	<b>\$ 2,402,400</b>
Workforce Planning/Transition & OCM	\$ 357,760	\$ 366,704	\$ 366,704	\$ 1,091,168
Hardware	\$ 72,917	\$ 141,667	\$ 41,667	\$ 256,250
Commercial Software	\$ 1,809,380	\$ 1,764,380	\$ 1,184,380	\$ 4,758,140
Project Deliverables - Solution Services	\$ 1,380,957	\$ 2,660,901	\$ 2,219,783	\$ 6,261,640
Project Deliverables - Consulting Services	\$ 1,272,036	\$ 1,272,036	\$ 1,272,036	\$ 3,816,107
Training	\$ 50,000	\$ 71,667	\$ 113,333	\$ 235,000
Equipment	\$ 110,000	\$ 55,000	\$ -	\$ 165,000
Disaster Recovery	\$ -	\$ 72,000	\$ 48,000	\$ 120,000
Maintenance & Operations	\$ 160,000	\$ 130,000	\$ 145,000	\$ 435,000
Other Expenses	\$ 623,610	\$ 534,591	\$ 390,077	\$ 1,548,278
	<b>\$ 7,354,981</b>	<b>\$ 8,499,023</b>	<b>\$ 6,352,979</b>	<b>\$ 22,206,983</b>
	\$ 6,168,606	\$ 9,376,282	\$ 6,662,095	\$ 22,206,983

	7	9	5	
	\$ 800,800	\$ 1,029,600	\$ 572,000	\$ 2,402,400
Hourly Rate	\$ 55.00	\$ 55.00	\$ 55.00	
2,080 Hours	\$ 114,400	\$ 114,400	\$ 114,400	

<b>Will Sight</b>	1	1	1
CM			
Medicaid	0	0	1

CBAForm 3 - Project Investment Summary

Agency	<u>Department of Legal Affairs</u>	Project	<u>IT Modernization Study</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>							
	0	1	2	3	4	5	Project Totals
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
Project Cost	\$0	(\$7,354,981)	(\$8,499,023)	(\$6,352,979)	\$0	\$0	(\$22,206,983)
Tangible Benefits	\$0	\$1,079,755	\$3,659,866	\$6,295,155	\$7,037,190	\$7,037,190	\$25,109,155
Return on Investment	\$0	(\$6,275,226)	(\$4,839,157)	(\$57,824)	\$7,037,190	\$7,037,190	\$2,902,172

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	4.59	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	FY 2022-23	Fiscal Year during which the project's investment costs are recovered.
ROI	13.07%	Return on Investment is the measure of a project's net benefits relative to it's total costs
Net Present Value (NPV)	\$297,438	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	7.85%	IRR is the project's internal rate of return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>						
Fiscal Year	FY 2017-18	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%	6.16%

Cost Category	Mail Archive	Pre DDI	Mail Archive2	Establish New EDMS Content Baseline System	Data Migration	Document Records Management Migration	Integrated Core System - Pilot Transformation	Integrated Core System - Transformation #2	Integrated Core System - Transformation #3	Integrated Core System - Transformation #4	Integrated Core System - Transformation #5	CRM Implementation	Analytics Implementation	Finance Implementation	Administrative Update Implementation	Ongoing Project Management and Governance	Policy and Procedure Updates	Workforce Planning	Organizational Change Management
Pre-DDI: Project Management	NA	See specific initiative	NA	Self-funded	NA	NA	1 FTE for 9 months	NA	NA	NA	NA	1 FTE for 6 months	1 FTE for 6 months	1 FTE for 6 months	1 FTE for 6 months	NA	NA	NA	NA
Pre-DDI: BPR/Reqs./Use Cases	NA	See specific initiative	NA	Self-funded	NA	NA	1 FTE for 9 months	NA	NA	NA	NA	1 FTE for 6 months	1 FTE for 6 months	1 FTE for 6 months	1 FTE for 6 months	NA	NA	NA	NA
Pre-DDI: Procurement Support	NA	See specific initiative	NA	Self-funded	NA	NA	.5 FTE for 4 months	NA	NA	NA	NA	.5 FTE for 3 months	.5 FTE for 3 months	.5 FTE for 3 months	.5 FTE for 3 months	NA	NA	NA	NA
Project Management	NA	NA	NA	See PM initiative	NA	NA	See PM initiative	See PM initiative	See PM initiative	See PM initiative	See PM initiative	See PM initiative	See PM initiative	See PM initiative	See PM initiative	NA	See PM initiative	See PM initiative	See PM initiative
Organizational Change Management	NA	NA	NA	See OCM initiative	NA	NA	See OCM initiative	See OCM initiative	See OCM initiative	See OCM initiative	See OCM initiative	See OCM initiative	See OCM initiative	See OCM initiative	See OCM initiative	NA	NA	NA	See PM initiative .5 FTE per year for 2 years of DDI plus 2.5% for expenses
Project Deliverables	1 FTE for 6 months	NA	1 FTE for 3 months	Estimate from a recent Imaging IV-B. (Did NOT include System Changes.)	Allocated 2.5% of the cost for the EDMS functionality.	Allocated 2.5% of the cost for the EDMS functionality.	Allocated 20% of the total solution cost Brian N. was given to development/ installation (i.e., services).	Allocated 20% of the total solution cost Brian N. was given to development/ installation (i.e., services).	Allocated 20% of the total solution cost Brian N. was given to development/ installation (i.e., services).	Allocated 20% of the total solution cost Brian N. was given to development/ installation (i.e., services).	Allocated 20% of the total solution cost Brian N. was given to development/ installation (i.e., services).	If 3rd party vendor hired to install/ set-up Salesforce, then from \$2,000 to \$4,000.	Allocated \$400,000 for implementation of this functionality.	Allocated \$450,000 for implementation of this functionality.	Allocated \$400,000 for implementation of this functionality.	2 FTEs for 5 years of DDI	1 FTE for 22 months	1 FTE per year for 1 year	NA
Disaster Recovery	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.	Allocated across the first 2 project years.
M&O	NA	NA	NA	Allocated \$25,000 for 5 years.	NA	NA	Allocated \$10,000 per year for 5 years for ongoing maintenance.	Allocated an additional \$10,000 per year for 5 years for ongoing maintenance.	Allocated an additional \$10,000 per year for 4 years for ongoing maintenance.	Allocated an additional \$10,000 per year for 4 years for ongoing maintenance.	Allocated an additional \$10,000 per year for 3 years for ongoing maintenance.	Allocated \$10,000 per year for 3 years for ongoing maintenance.	Allocated \$10,000 per year for 3 years for ongoing maintenance.	Allocated \$10,000 per year for 2 years for ongoing maintenance.	Allocated \$10,000 per year for 2 years for ongoing maintenance.	NA	NA	NA	NA
Training	NA	NA	NA	Used 50% of a recent (similar) IV-B estimate for this category.	NA	NA	Allocated \$25,000 for training a sub-set of DLA staff.	Allocated \$25,000 for training a sub-set of DLA staff.	Allocated \$25,000 for training a sub-set of DLA staff.	Allocated \$25,000 for training a sub-set of DLA staff.	Allocated \$25,000 for training a sub-set of DLA staff.	Allocated \$25,000 for training.	Allocated \$5,000 for training.	Allocated \$15,000 for training.	Allocated \$15,000 for training.	NA	NA	NA	NA
Hardware	NA	NA	NA	NA	NA	NA	Used a \$62,500 budget allotment for this first case management initiative.	Used a \$31,250 budget allotment for this second case management initiative.	Used a \$31,250 budget allotment for this third case management initiative.	Used a \$31,250 budget allotment for this fourth case management initiative.	Used a \$31,250 budget allotment for this fifth case management initiative.	NA	Used a \$18,750 budget allotment for this fifth case management initiative.	Used a \$31,250 budget allotment for this fifth case management initiative.	Used a \$18,750 budget allotment for this fifth case management initiative.	NA	NA	NA	NA
Equipment	NA	NA	NA	Used a \$100,000 budget allotment for imaging-related equipment.	NA	NA	NA	NA	NA	NA	NA	Used a \$50,000 budget allotment for CRM-related equipment.	NA	NA	NA	NA	NA	NA	NA
Commercial Software & Licensing	NA	NA	NA	Used recent IV-B estimate for this category. This includes an ongoing \$75,000 annually for licenses.	NA	NA	Allocated 80% of the total solution cost Brian N. was given to software/licenses.	Allocated 80% of the total solution cost Brian N. was given to software/licenses.	Allocated 80% of the total solution cost Brian N. was given to software/licenses.	Allocated 80% of the total solution cost Brian N. was given to software/licenses.	Allocated 80% of the total solution cost Brian N. was given to software/licenses.	Salesforce Lightning Enterprise (Salesforces most popular product) charges \$150 per user per mo. We can assume about 20 users, so, \$150*12*20 = \$36,000 per year for 5 project years = \$180,000. Current CRM costs over the 5 years should be subtracted from the \$180,000 to arrive at actual costs.	Allocated \$200,000 to analytics software/licenses.	Allocated \$150,000 to finance software/licenses.	Allocated \$50,000 to admin software/licenses.	NA	NA	NA	NA
Other Expense	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.	Allocated across all 3 project years.

\$ 200,000 \$ 150,000 \$ 50,000

Benefits Realization Table

#	Description of Benefit	Tangible / Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Est. Annual Benefit Upon Full Implementation	Realization Date
1	<b>Elimination of Archiving Costs</b>	Tangible	DLA, Legislature	A new IT system that replaces SIRE will absorb these functions into an agency-wide, full spectrum, EDMS platform, should eliminate the need for the Records Office. The full spectrum EDMS platform should reduce the burden of printing out copies, organizing them, mailing them, and scanning them into SIRE.	The current operating budget for the Records Office, whose sole mission is uploading closed cases and emails into SIRE, is \$309,438.07. In addition, space is leased in the basement of the Collins Building at \$33,655.62 annually, starting in FY17-18. This is a combined cost of \$343,094 to DLA (\$309,438 + \$33,656 = \$343,094). Given that the Records Office can be entirely eliminated due to the new system, estimated cost savings are \$343,094.	\$ 343,093.69	Full implementation (by mid-year) beginning in Year 4
2	<b>Reduced Employee Time on Public Records Requests</b>	Tangible	DLA, Legislature	A unified EDMS and case management system will allow agency wide data searches, which can immediately determine if DLA does or does not have the data requested, immediately ending fruitless searches and focusing attention on the remaining searches and the specific unit(s) that have the information. This result is will be a significant decrease in personnel hours to process Public Records requests.	After interviewing employees with direct and repeated access to the public records requests office, it was estimated that three (3) employees spend about 50% of their time on public records requests, which make up approximately 15% of the total, agency-wide workload. That equals 10 FTE for the entire agency wide public records request workload ((3*0.5)/0.15)=10.  Attorneys overwhelmingly do this work. The average attorney salary at DLA (based on documents provided by DLA to North Highland) is \$72,889.06 with benefits. That brings the total costs of employee time for Public Records Requests at \$728,890.60 per year.  After interviewing employees with direct experience into the Public Records Process, It is assumed that an agency wide, electronic document management system, coupled with a case management system could reduce the time needed to process public records requests BY 25%, resulting in a agency-wide efficiency savings of \$182,222.65 (\$728,890.60*0.25=\$182,222.65).	\$ 182,222.65	Full implementation (by mid-year) beginning in Year 4
3	<b>Improved Shared Data between Units</b>	Tangible	DLA, Legislature	A unified EDMS and case management system will allow data to move seamlessly, and without human intervention, to all departments in individuals in DLA that have need to see the information, It will also employees to quickly identify areas of overlapping interest between their units and other units at DLA. The result will be a workforce that will spend significantly less time waiting to receive data from other units, or searching for which unit has the necessary data. It will also prevent units from unintendedly doing the same work twice, in two different offices.	Survey shows an average amount of hours saved as 4.57 per week. Weighted by position and salary, the total benefit is calculated at \$6,688,790.73. After interviewing several members of the staff, we estimate that a agency EDMS and case management system will result in a 50% reduction in cost from data sharing.	\$2,260,924.49	Full implementation (by mid-year) beginning in Year 4
4	<b>IT Responsiveness to System Changes to Support Business Needs</b>	Tangible	DLA, Legislature	With a unified IT environment, the IT application development team will spend less time modifying, repairing and replacing existing unit-specific programs. The result will be more time that the IT staff can spend on other project, or trouble shooting larger issues.	After interviewing members of the IT staff, and IT leadership, it was determined that 22 IT staff members support business needs, all of which are effected by inefficiencies caused by an extremely segregated IT environment. The average salary for IT personnel, with benefits, is \$55,270.42. After our interviews, we estimate that the IT staff can save 20% of their time if a full spectrum IT system is implemented agency wide. That leads us to conclude that DLA will experience an efficiency gain of \$251,331.96 in yearly costs for data security protection (((\$55,270.42*22) * 0.20)=\$243,189.85	\$243,189.85	Full implementation (by mid-year) beginning in Year 4

Benefits Realization Table

#	Description of Benefit	Tangible / Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Est. Annual Benefit Upon Full Implementation	Realization Date
5	Staff Time Savings from Document Assembly and Court eFilings	Tangible	DLA, Legislature	Our survey data shows that DLA employees spend a significant portion of their time preparing documents for e-filing in State and Federal Courts. A modernized, adaptable case management system will allow business units to create tailor-made processes for individual courts, or even individual judges. This will dramatically reduce the workhours needed to submit documents to courts.	Survey shows an average amount of hours saved as 1.09 per week. Weighted by position and salary, the total benefit is calculated at \$1,798,024.49. We estimate 50% of time can be saved with a unified case management system that reduces these costs.	\$899,012	Full implementation (by mid-year) beginning in Year 3
6	Improved Interface from Reduced Duplicate Entry	Tangible	DLA, Legislature	Our survey data shows that DLA employees also spend a significant portion of time manually entering documents in databases that already exist in another database (either inside or outside DLA). An agency wide IT solution will reduce this worktime significantly, as more databases can automatically exchange data.	Survey shows an average amount of hours saved as 2.64 per week. Weighted by position and salary, the total benefit is calculated at 4,396,538.66. After interviewing numerous DLA staff members, we estimate that a agencywide IT solution will reduce this cost by 30%	\$ 1,318,961.60	Full implementation (by mid-year) beginning in Year 4
7	Reduce New Employee Onboarding Costs	Tangible	DLA, Legislature	The byzantine, fragmented nature of the current IT environment results in additional time required to train new or employees or unit-to-unit transfers when they arrive at a new office at DLA. A modern, unified system can reduce the the training time needed.	average 18.01 days to train up a new employee. We can save 5 days. Average of 288 new hires a year. Average salary is 52,748.30. 260 workdays per year. $292,144.43 = (5/260) * (52432.03 * 288)$	\$ 292,144.43	Full implementation (by mid-year) beginning in Year 4
8	Increased Data Security and Protection	Tangible	DLA, Legislature	Because of the outdated design of the IT security environment, the application development team spends a significant portion of their time controlling and maintaining access to different programs and databases. A new system can push this data down to individual offices, which will reduce the amount of time needed to protect critical data.	After interviewing numerous members of the IT staff, it was determined that six(6) IT staff members spend 40% of their time managing access control lists or other activities to ensure the security of data within existing DLA systems. This equates to 2.4 full time employees ( $6 * 0.40 = 2.4$ ). The average salary for IT personnel, with benefits, is \$55270.42.  After interviewing several members of the IT staff, we estimate that a new IT environment would reduce the time needed on data security monitoring by 60%. This leads to a yearly efficiency gain of \$79,589.40 ( $(\$55270.42 * 2.4) * 0.60 = \$79,589.40$ ).	\$ 79,589.40	Full implementation (by mid-year) beginning in Year 4
9	Improved Citizen's Services Efficiency	Tangible	DLA, Legislature	The call center at citizen's services currently does not employ a modern Customer Relations Management program to allow them quick, more accurate response time. Installing a Customer Relations Management system will improve the time and efficiency in which an employee at citizen services can respond to a citizen's request.	The current operating costs for citizen's services is \$1,544,851.05. After interviewing members of their staff, we conclude that an integrated EDMS system, along with a modern Customer Relations Management Software can increase their operational efficiency by 10%. Therefore the efficiency savings for this benefit is \$154,485.11 ( $1,544,851.05 * .10 = \$154,485.11$ )	\$ 154,485.11	Full implementation (by mid-year) beginning in Year 3



Benefits Realization Table

#	Description of Benefit	Tangible / Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Est. Annual Benefit Upon Full Implementation	Realization Date
10	<b>Transfer of Institution Knowledge from Workforce to System</b>	Tangible	DLA, Legislature	Because of the over-complicated, byzantine IT environment, and lot of the knowledge in how to process work at DLA is possessed with a few select people in each office, this means that, in the case that , when someone leaves the office, a lot of business knowledge leaves with them. A clearer, unified system will allow these processes to remain in the office.	According to a survey, it takes an office at DLA an average of 46.26 days to operationally recover when someone leaves. After interviewing individuals in various offices, we estimate that DLA can reduce this number by 5 days,there are 315 seperations a year. Average salary is 52748.30. 260 workdays per year. $319,532.97=(5/260)*( 52748.30*315)$	\$ 319,532.97	Full implementation (by mid-year) beginning in Year 4
11	<b>Reduced Time for Training Transferred Employees</b>	Tangible	DLA, Legislature	Currently, when an employee moves from one business unit to another at DLA, the IT environment changes dramatically. It is almost as if there are moving to another agency. With a unified IT environment, the time need to retrain transferring employees will be significantly reduced.	Last year, there were 52 employees who transferred from one office in DLA to another. The year before it was 51. Ater interviwinging numerous offices and the IT staff, it was determined that it currently takes an average of 10 workdays for an employee transfereing to a new office to become competent their new unit's applications and programs. We estimate that, once the IT modernization project is completed, that number can be reduced to six (6) days. There are 260 workdays in a year and the average salary for DLA is \$52,748.30. That results in a efficeny savings of \$41,792.88 $((52,748.30*51.5)*(4/260)=$41,792.88 )$ .	\$ 41,792.88	Full implementation (by mid-year) beginning in Year 4
12	<b>Timely Tracking and Invoicing/Collections</b>	Tangible	DLA, Legislature	Because of the antiquated and decentralized nature of DLA's IT environment, the invoicing and collections process (which is centralized) is extremely inefficient. A modern IT system could dramatically increase efficiency.	There are two billets assigned to time tracking, incovincng and collections, with a combined loaded salary of 129,654.20. After interviews with the staff, it is estimated that a modernized IT infastructure could imprive their efficiency by 33%. Therefore, the total efficiency savings for DLA is \$42,786.88 $(129,654.20*0.33=42,786.88)$	\$ 42,785.89	Full implementation (by mid-year) beginning in Year 4
13	<b>Efficiency Gain from Better Leveraged IT Staffing</b>	Tangible	DLA, Legislature	Currently, the IT staff has numerous backlogged projects, that they intend to spend considerable resources on. The IT modernization project will remove the need for a great number of these projects, creating significant efficiency savings for DLA	After interviewing IT staff, There are 9,200 hours worth of IT projects that have not been started. The average salary for IT personnel, with benefits, is \$55,270.42. There are 2080 work hours in a year. That means that the total value of the projects that have not been started is \$244,465.32 $((9,200/2080)*55270.42=244,465.32)$ .	\$ 244,465.32	Full implementation (by mid-year) beginning in Year 3
14	<b>Increased Efficiency from Mobile Computing</b>	Tangible	DLA, Legislature	The ability or attorneys and other staff members to work on mobile devices will dramatically improve workplace productivity, according to recent data by the American Productivity & Quality Center.	According to the American Productivity & Quality Center (APQC) study in 2015, the average employee in a work envorinment saves 13 minutes every time they pull data from a mobile device, which the study says they do 8-10 times a month. There are 1400 employees at DLA and the average salaey is 52748.30.	\$ 830,785.73	Full implementation (by mid-year) beginning in Year 4
15	<b>Reduced Employee Time to Extract Data from Archived Storage</b>	Tangible	DLA, Legislature	Because of the Limited User operability of the current document archiving system, retrieving data from Sire using up a large amount of time. A new EDMS system will have more advanced, user friendly search functions, which will create a efficiency savings.	After interviewing several employees with direct experence to the Sire system, we estimate that their are 10-20 Sire pulls a day, each pull costs 15-20 minutes of non-attorney time $(15*17.5=262.5$ minutes, 4.375 hours a day) . The average non-attorney salary is 43657.98 per year. $(43657.98*(4.375/8)=28,668.84$ a year	\$ 28,668.84	Full implementation (by mid-year) beginning in Year 4



Attorney's	\$63,113
Paralegals	\$31,182
Adim Profession:	\$31,732
All Others	

IT staff \$57,121

Non-Attorneys

All employees \$ 52,432.03

# Florida Department of Legal Affairs Information Technology Modernization Program

## ITMP Procurement Management Plan

**Version:** Final

**Submitted Date:** May 25, 2017

**Submitted By:** North Highland

**Submitted To:** The Department of Legal Affairs



### Revision History

DATE	VERSION	DESCRIPTION	AUTHOR(S)
4/21/2017	001	Initial Draft	North Highland
5/15/2017	003	Updated Draft	North Highland
5/22/2017	005	Updated following DLA feedback following	North Highland

### Quality Review History

DATE	REVIEWER(S)	COMMENTS
5/12/2017	Peter Cotterrell	Internal NH QA
5/22/2017	Peter Cotterrell	Internal NH QA

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## **SECTION 1      INTRODUCTION**

### **1.1    BACKGROUND**

The Florida Department of Legal Affairs (DLA), pursuing the modernization of key applications used to carry out the DLA's mission. To determine which option to pursue, DLA assessed existing technology environments and developed recommendations to address the issues described in RFQ DLA No: DLA – 2017.07. The assessment consisted of an evaluation of system components, processes, and associated technical and operational risks, as well as staffing required to support the new environment. The results of the assessment led to the development of planning and budgeting documentation and the Schedule IV-B.

The Attorney General is the Chief Legal Officer for the State of Florida. The Office of the Attorney General is composed of several units whose chief goal is to economically and efficiently provide the highest quality legal services to the State of Florida and its agencies for the benefit of all Floridians.

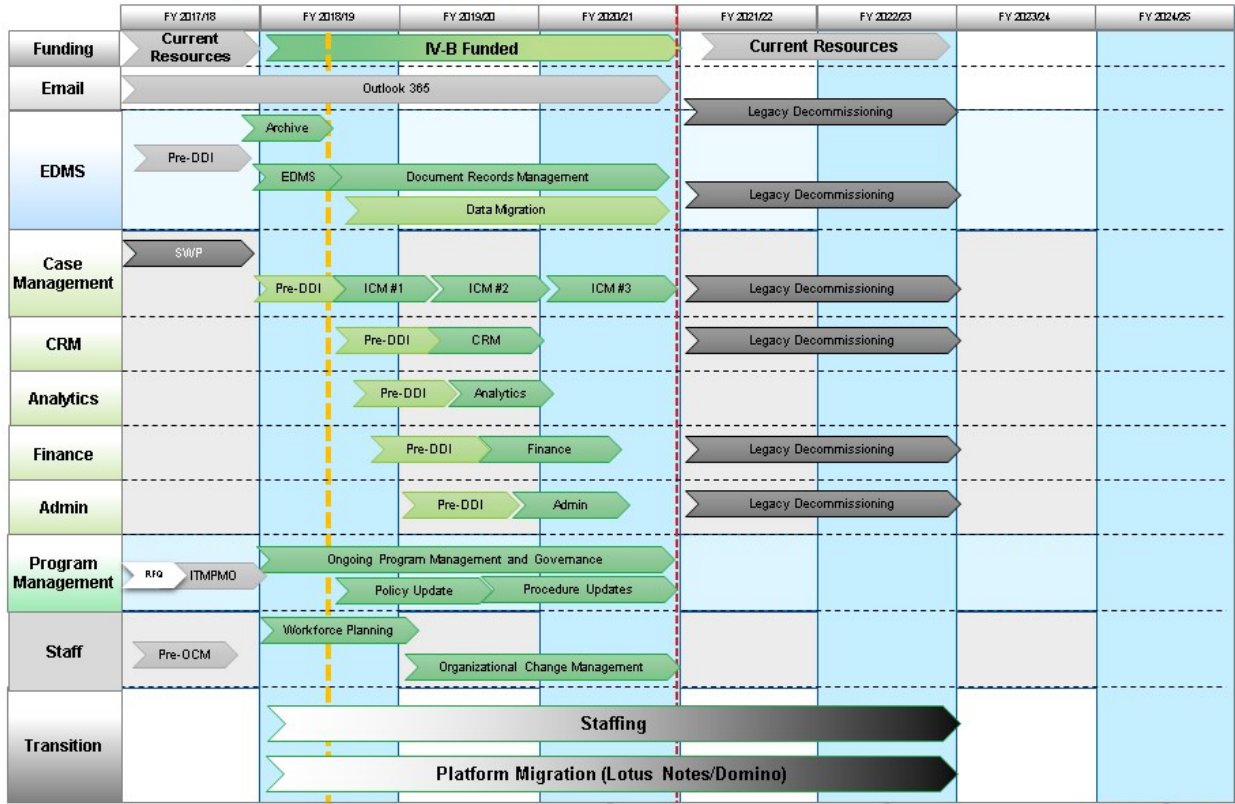
Specific responsibilities enumerated in Article 4, Section 4 of the Florida Constitution and in Chapter 16, Florida Statutes, have been expanded through the years by the Florida Legislature and by amendment of the Constitution, for the protection of the public's interests. The functions of DLA range across the legal landscape, from Capital Appeals and Medicaid Fraud to Child Support Enforcement, Ethics and Elections. However, the functions can most simply be divided into three broad categories: Criminal and Civil Litigation; Victim Services; and Constitutional Legal Services.

The DLA currently uses IBM Lotus Notes/Domino for its main client-server software platform and SIRE for its electronic document management system (EDMS). Replacement of the current EDMS is a critical first step in the modernization strategy and provides the foundational infrastructure upon which the DLA's functional applications will operate.

The Schedule IV-B includes an initial plan which outlines a multi-year approach to replace existing information technology, primarily through the procurement of services to assess, capture, and validate the DLA's business and technical requirements along with acquisitions for Commercial-Off-The-Shelf (COTS) solutions which satisfy the DLA's functional needs.

Exhibit 1 below shows the overall program components, milestones, and durations, which comprise the proposed modernization strategy over a three year period.

## DLA ITMS Roadmap – Plan on a Page (3yr)



northhighland.  
WORLDWIDE CONSULTING

1  
**KEY:** Current Resources (grey arrow) IV-B Funded (green arrow) Iterative (light green arrow) Legacy Systems (dark grey arrow)

**Exhibit 1-1: Project Roadmap**

**Note:** The DLA is currently migrating from Lotus Notes to Outlook 365 for email. Although this initiative is not part of the IV-B funding/effort, it is a component of the overall modernization strategy and represents significant technical and functional challenges due to the tight integration of Lotus Notes email with the DLA’s current application suite and its email archival processing (Notes email is currently archived into the SIRE EDMS). The new email system will eventually be integrated with the new EDMS platform using a highly specialized COTS solution. In addition, the office of the Statewide Prosecutor (SWP) is currently in the process of procuring a case management solution integrated with an electronic document management system. The **SWP** activity shown in Exhibit 1 is for informational purposes only, but there remains the possibility that the outcomes of that procurement effort may influence or inform the DLA’s eventual strategy for IT modernization, specifically related to case management.

As shown in Exhibit 1, the primary modernization program components fall into five major work streams:

- **EDMS** – Electronic Document Management System, Document Records Management, and Data Migration (Extract, Transform, and Load (ETL) processing to move legacy data to the new EDMS platform).
- **Applications** – Integrated Case Management (ICM), Customer Relationship Management (CRM), Analytics, Finance, and Administration.
- **Program Management** – Development, execution, and oversight of program management strategies and procurement activities to acquire applications and support services for the new technical and functional environment. Includes program governance and manages the development, modification, or elimination of DLA Policies and Procedures which must be aligned with and guide the future IT profile. The DLA is currently expanding its Program Management Office (PMO) staffing to prepare for the modernization effort (shown on Exhibit 1 as **ITMPMO**). Refer to additional discussion for the procurement process below.
- **Transition** – Migration from existing Lotus Notes/Domino development and application platform (technical) and transformation of existing IT staff resources to support the new systems and environment.
- **Staff** –Workforce Planning and transition activities, Organizational Change Management (OCM), to support the adoption and embedding the usage of the new systems.

Many of the initiatives are preceded by **Pre-DDI** (Design, Develop, and Implementation) activities which include planning, business process standardization, requirements definition, and procurement strategies associated with various goods (COTS) and services. These activities ensure products and services meet the DLA’s business needs and govern the procurement processes.

The Pre-DDI activities associated with EDMS are critical to the success of this program as EDMS provides the underlying functional and technical capabilities required to support the entire application suite and serves as the data/information repository for the DLA. Once the EDMS is in place, most program activities may proceed in parallel fashion over the life of the program.

There are multiple formal procurements envisioned to support the modernization program. Formal procurements are defined here as solicitations issued to a number of vendors using a Request for Quote (RFQ), Request for Proposal (RFP), or Invitation to Negotiate (ITN). Potentially, the DLA may simply purchase COTS solutions from a General Services Administration (GSA) contract or other alternate contract source. The specific procurement methodologies will be determined as part of the Pre-DDI activities, but it is anticipated that solicitations for EDMS, a DLA-wide Case Management solution, and the Customer Relationship Management (CRM) suite will involve formal procurements.

The DLA has made a strategic decision to move away from internally developed software solutions and has embraced a goal to utilize COTS applications/packages to meet its business needs. The DLA will rely upon inherent COTS capabilities to configure and integrate various applications (e.g., analytical tools, time tracking) into the future environment. In many cases, these applications may be purchased or licensed without the need to engage in formal

procurement activities. Again, the appropriate procurement strategies will be determined during the Pre-DDI phase for the respective functional solutions.

**Procurement of a Client-side Professional Services Vendor** – The approach outlined in Exhibit 1-1 reflects DLA acquiring the services of a vendor to serve as ITMPMO and to perform the Pre-DDI and DDI tasks. Vendor staff will require the necessary skills and knowledge to complete the following:

- **ITMPMO Support** – Vendor personnel will direct the overall project management and governance tasks.
- **Analysis** – Vendor analysts, in close concert with DLA staff, will engage in Business Process Analysis activities to fully define and document existing (“As-Is”) DLA business functions; the outcome of the analysis will include the identification and validation of potential process improvements for the future environment (“To-Be”).
- **Requirements Definition** – Following the analysis activities, the vendor and the DLA will define and validate specific functional and technical requirements for the respective solutions (e.g., EDMS, Case Management) which will be used to support the procurement of products and/or services which will meet those needs.
- **Procurement** – The vendor will assist the DLA in the development of the appropriate procurement strategy for the respective goods and/or services required for the modernization program. These tasks include the selection of the procurement methodology, preparation of all procurement documents, and assisting the DLA during the procurement process (see Section 2 below).

It is anticipated that the selected vendor will work in conjunction with DLA staff to achieve the goals and objectives for various on-going tasks shown in Exhibit 1-1: Project Roadmap. Specifically, the selected vendor will perform and/or support the following:

- **Document Records Management** – Define and implement the processes necessary to manage DLA information resources; may include automated/manual workflow processes
- **Data Migration** – Assist in the creation and execution of a data migration plan to move existing EDMS, F-drive, eDOC, and other data assets to the new EDMS platform; includes all functional application data/information (e.g., case structures and financial information).
- **Policy and Procedure Updates** – Assist in the creation/updating of DLA policies and procedures to reflect the new DLA-wide business environment; tasks may include Public Records, eDiscovery, and Archive/Retention of Department information assets.
- **Workforce Planning** – Create, implement, and manage a detailed Workforce Transition Plan to align staff with the new business strategies. The workforce transition plan also describes how to manage, develop, and motivate talent while ensuring any major business and technology changes effectively serve business needs.
- **Organizational Change Management** – Develop and execute a stakeholder and organizational impact analysis to quantify the types and levels of required change



management efforts. Includes a communication strategy and plan to inform all stakeholders of on-going and anticipated program activities.

- **Transition** (Staffing and Lotus Notes Platform Migration) – Assist the DLA IT staff during the transition from the current application development environment to a COTS-centric approach and ensure all necessary automated business functions are migrated from the Notes platform to the various functional applications and solutions.

The procurement strategy to implement the DLA’s vision for the Information Technology Modernization Program (ITMP) is to approach the planning, procurement, and implementation in three phases.

Phase I of the program, (“Year Zero”), includes engagement of the professional services vendor serving as the ITMPMO, responsible for pre-DDI and procurement oversight of the EDMS solution. Completion of the procurement and award of contract for the EDMS solution shall be completed in Year Zero.

Phase II of the program includes full implementation of the EDMS solution through oversight of the project and the EDMS vendor by the ITMPMO. The ITMPMO shall be responsible for completion of all pre-DDI activities for the remaining work stream components in Exhibit 1, necessary to implement a complete DLA IT modernization program, in addition to development and oversight of the procurement of one vendor to complete the DLA IT modernization program. Acquire and implement ITMS solutions, complete data/information migration.

Phase III of the program includes completing on-going life-cycle activities for each project (Project Management, Workforce Planning, Organizational Change Management, and Transition), Decommissioning Legacy applications and platforms.

## 1.2 PURPOSE

The purpose of Procurement Plan is to define how procurement activities will be conducted. However, the procurement approach for this program envisions that specific procurement methodologies will be defined as part of the Pre-DDI activities (which will not be completed until the program actually starts).

Furthermore, the modernization program includes COTS solutions, which may potentially be purchased or licensed through pre-competes frameworks (e.g. state term contract, GSA Schedule 70, etc.). Additionally, some COTS packages may integrate other functionality which may preclude the need to procure multiple products to meet the DLA’s needs. For instance, a Case Management solution may include time tracking and billing components (Finance-related functionality), which may obviate the need to purchase or license those applications.

Therefore, the intent in this iteration of the document is to present general guidelines and tasks which will be applicable for most, if not all, eventual procurement tasks. This document is meant to be an internal document for DLA to guide and shape the approach to “Year Zero” and necessary initial procurement activities. This procurement plan will be revised and updated once the “Year Zero” procurement strategy activity has been completed.

### **1.3 SCOPE STATEMENT**

The following is in scope for the Plan:

- Procurement roles and responsibilities
- Conducting the procurements
- Procurement activities (from development of the solicitation to contract award)
- Schedule with high-level timelines and milestones
- Procurement close-outs

### **1.4 GOALS AND OBJECTIVES**

Listed below are the goals and objectives for the Plan:

Goal #1 –The goal of this plan is to define and describe the general activities needed to develop, release, award, and close a procurement. This goal will be accomplished by achieving the following objectives:

Objective #1 – Identify the steps necessary to conduct a procurement

Objective #2 – Establish clear roles and responsibilities throughout the procurement

## **SECTION 2      PROCUREMENT MANAGEMENT PLAN**

### **2.1 ROLES AND RESPONSIBILITIES**

The roles and responsibilities of key groups and individuals during the procurement are addressed in Exhibit -2-1: Roles and Responsibilities.

ROLE	RESPONSIBILITY
ITMPMO and Project Team	<ul style="list-style-type: none"> <li>▪ Initiate need for solicitation</li> <li>▪ Develop solicitation</li> <li>▪ Prepare solicitation routing package</li> <li>▪ Support development of written responses to vendor questions</li> <li>▪ Support vendor conference</li> <li>▪ Develop addendum</li> <li>▪ Develop criteria for evaluation team</li> <li>▪ Develop memo for appointment of evaluation team</li> <li>▪ Support evaluation phase of the procurement</li> <li>▪ Develop criteria for negotiation team</li> <li>▪ Develop memo for appointment of negotiation team</li> <li>▪ Support negotiation phase of the procurement</li> <li>▪ Prepare contract routing package for submittal to Procurement Office</li> <li>▪ Support the overall management of the Procurement(s)</li> </ul>
Procurement Office	<ul style="list-style-type: none"> <li>▪ Prepare final solicitation documents for posting to Vendor Bid System</li> <li>▪ Post solicitation, all meetings, agenda, addendum and decisions to vendor bid system</li> <li>▪ Receive all communications from vendors</li> <li>▪ Act as conduit between General Counsel, Leadership and Project Team for all procurement activities</li> <li>▪ Develop contract management activities and processes</li> </ul>
Legal Counsel	<ul style="list-style-type: none"> <li>▪ Conduct legal review on solicitation and related documents during procurement process</li> <li>▪ Conduct legal review on contract and contract related activities</li> </ul>
Procurement Approval Team	<ul style="list-style-type: none"> <li>▪ Conduct review and approval of solicitation; final decision makers for release of the solicitation</li> </ul>
Executive Sponsor	<ul style="list-style-type: none"> <li>▪ Conduct approval of overall direction of the project</li> </ul>

### Exhibit 2-1: Roles and Responsibilities

## 2.2 CONDUCTING THE PROCUREMENT

The sections below outline the process for the procurement selection along with the activities during the pre-solicitation and post-solicitation phases of the procurement.

The solicitation phase encompasses activities which lead to the creation of a specific procurement document (e.g., RFQ, ITN, RFP), and includes activities from the posting of the procurement document to contract award as reflected in exhibits 2-4, 2-6 and 2-8.

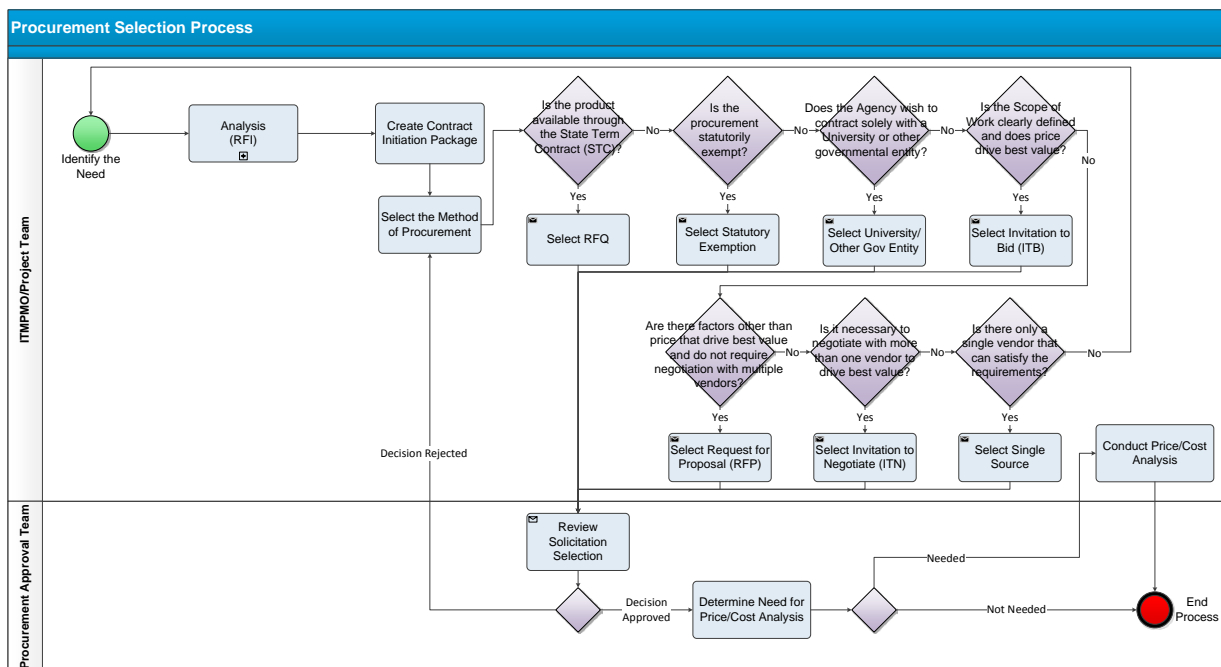
A responsibility matrix model (RACI) provides a more detailed listing of the activities during each phase. Each role within the procurement process is listed and each activity has an assignment based on the following:

- R – Responsible
- A – Accountable
- C – Consulted
- I – Informed

## 2.2.1 INITIAL PROCUREMENT PROCESS

The initial steps of a procurement process include recognizing a DLA need, conducting analysis of business processes, defining and validating functional and technical requirements, determining the appropriate method of procurement, and preparing a price or cost analysis, if appropriate.

The modernization program is comprised of many discrete components and activities (“projects”), which require procurement efforts. The overall program plan (see Exhibit 2-2 below) contains a number of “Pre-DDI” activities which include procurement efforts. The following discussion outlines various processes and decision points which demonstrate the potential procurement strategies.



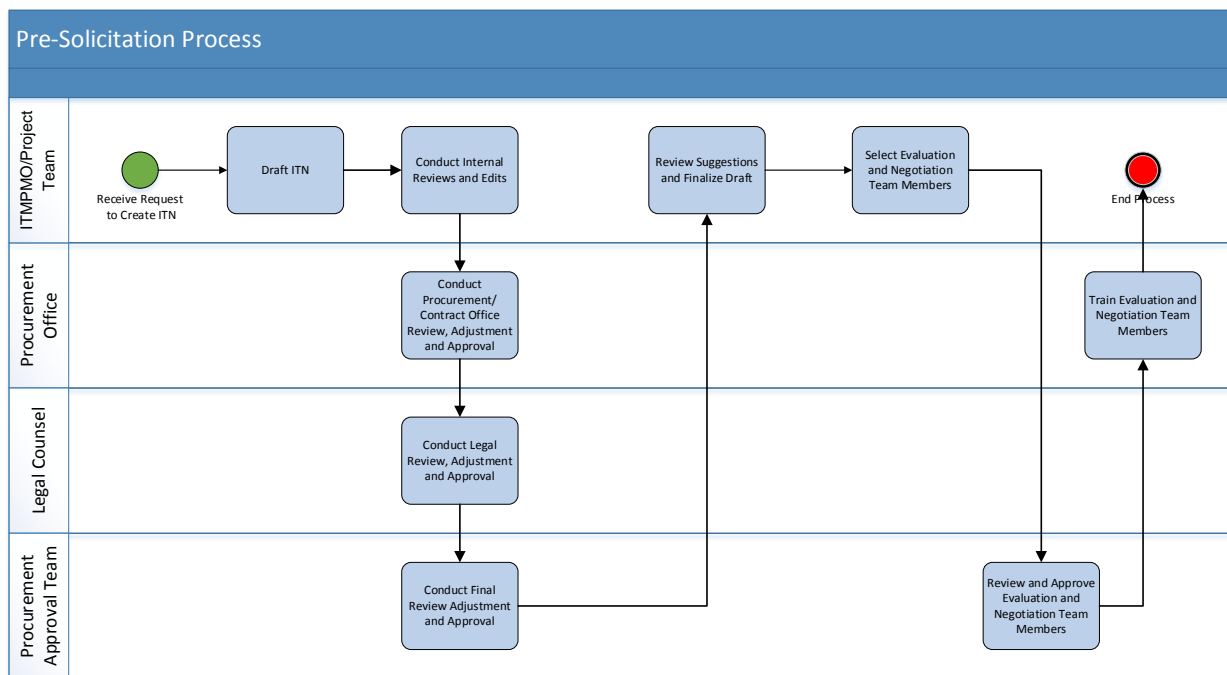
**Exhibit 2-2: Procurement Selection Process**

Exhibit 2-2: Procurement Selection Process is a workflow process depicting the various steps and decisions undertaken to determine an appropriate procurement strategy. The process flow

contemplates a solicitation (RFI) to request additional information from vendors or suppliers, as necessary. The exhibit also shows two different program staff elements (“ITMPMO, Project Team” and “Procurement Approval Team”) and which are responsible to perform the actions or make the decisions indicated in the diagram.

### 2.2.2 PRE-SOLICITATION RELEASE ACTIVITIES

Exhibit 2-3: Pre-Solicitation Key Activities below lists the key activities during the pre-solicitation phase along with the role responsible for each activity.



**Exhibit 2-3: Pre-Solicitation Key Activities**

Exhibit 2-4: Pre-Solicitation Assignments lists the activities during the pre-solicitation and shows the assignment for each activity to each role within the procurement process.

ACTIVITY	ROLES			
	ITMPMO/ PROJECT TEAM	PROCUREMENT OFFICE	LEGAL COUNSEL	PROCUREMENT APPROVAL TEAM
Submit the evaluation team memo for routing	R, A	I	I	I
Submit evaluation team memo for approval		I	I	I

ACTIVITY	ROLES			
	ITPMO/ PROJECT TEAM	PROCUREMENT OFFICE	LEGAL COUNSEL	PROCUREMENT APPROVAL TEAM
Approve evaluation team memo	I	C	C	R, A
Develop description criteria of the negotiation team, select negotiation team and develop memo for negotiator approval	R, A	C	C	C
Submit the negotiation team memo for routing	R, A	I	I	I
Submit negotiation team memo for approval		I	I	I
Approve negotiation team memo	I	C	C	R, A
Train the evaluators	I	R, A	I	
Train the negotiators	I	R, A	I	
Develop information (posting information) to post Solicitation to Vendor Bid System (VBS)		R, A	C	C
Develop agendas for meetings	R, A	C	C	I
Key	R – Responsible A – Accountable C – Consulted I - Informed			

### Exhibit 2-4: Pre-Solicitation Assignments

#### 2.2.2.1 EVALUATION PROCESS

The Pre-DDI activities will include the development of an Evaluation Process document to be followed during the Evaluation Phase.

#### 2.2.2.2 VENDOR QUESTIONS AND ANSWERS PROCESS

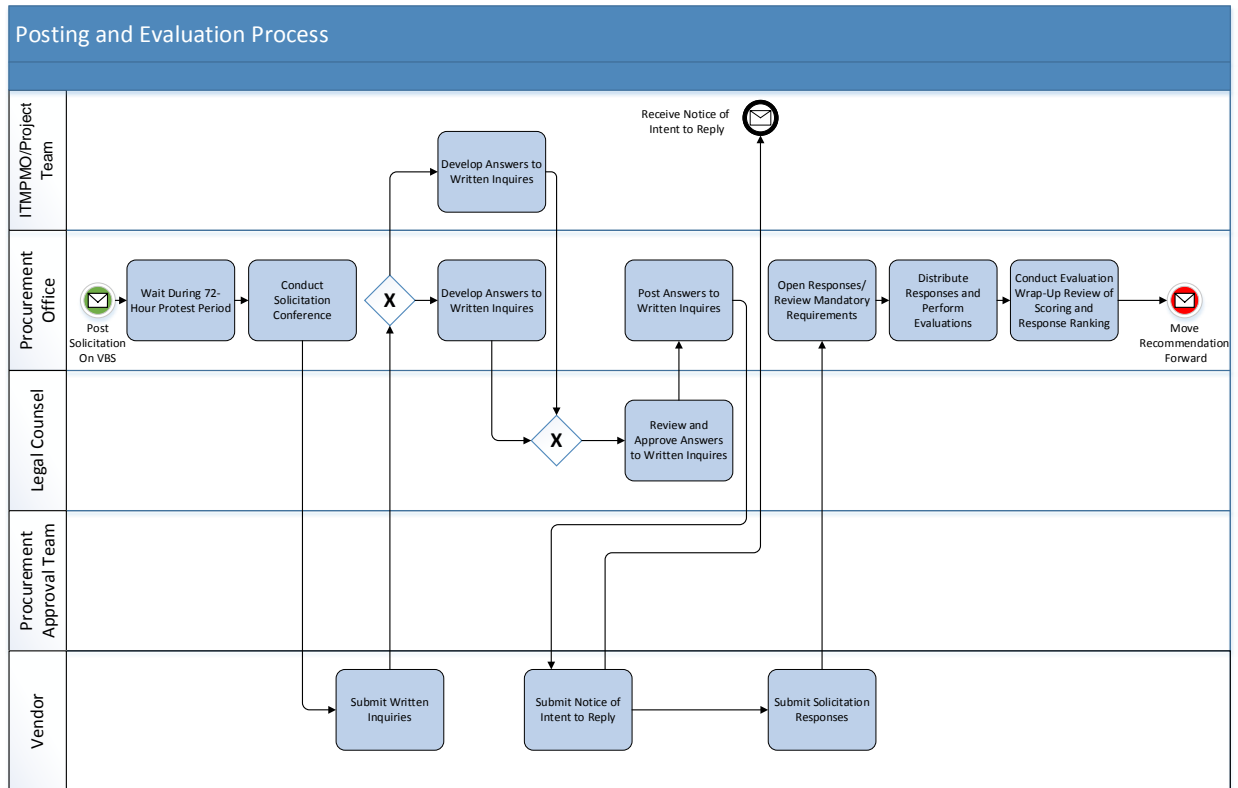
The Vendor Questions and Answers process will be developed during the procurement development.

#### 2.2.2.3 NEGOTIATION STRATEGY

A Negotiation Strategy will be developed as part of the Pre-DDI procurement documentation and will be refined prior to the Negotiation Phase.

### 2.2.3 POST-SOLICITATION RELEASE ACTIVITIES

Exhibit 2-5: Post-Solicitation Posting to Move Forward Activities lists the key activities during the post-solicitation phase along with the role responsible for each activity.



**Exhibit 2-5: Post-Solicitation Posting to Move Forward Activities**

Exhibit 2-5: Post-Solicitation Posting to Move Forward Assignments lists the activities during the post-solicitation and shows the assignment for each activity to each role within the procurement process.

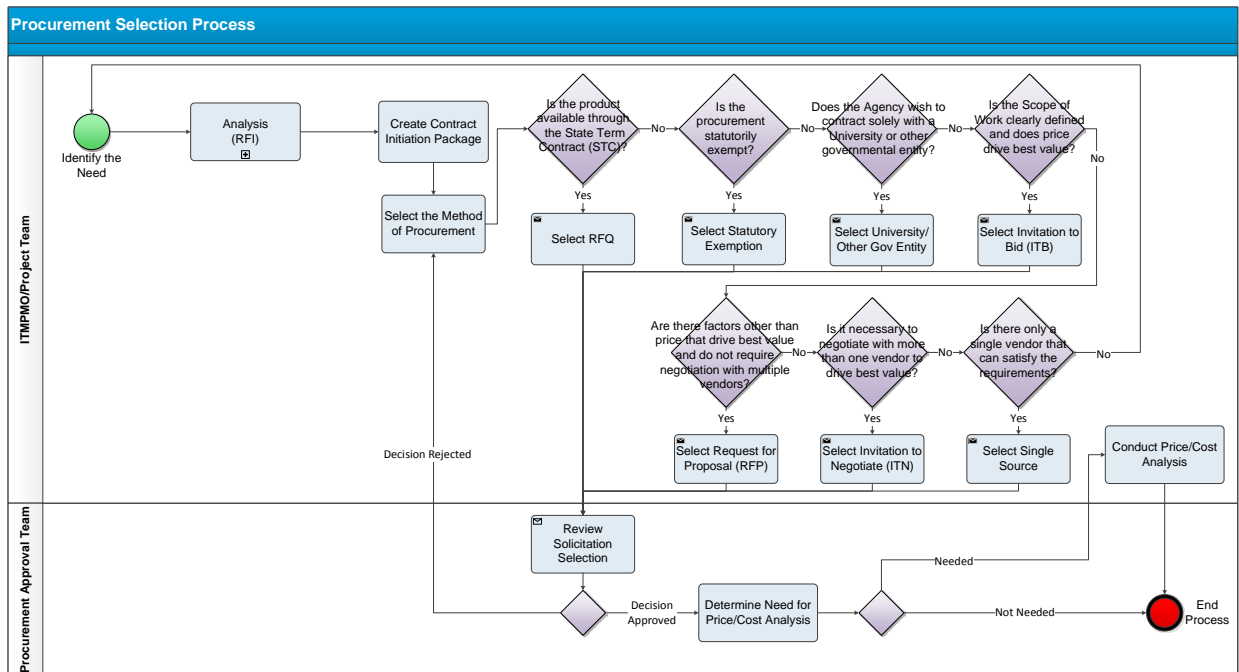
ACTIVITY	ROLES			
	ITPMO/ PROJECT TEAM	PROCUREMENT OFFICE	LEGAL COUNSEL	PROCUREMENT APPROVAL TEAM
Post the Solicitation to the Vendor Bid System (VBS) (along with Notice of Intent to Protest period)	I	R, A	I	C, I

ACTIVITY	ROLES			
	ITPMPO/ PROJECT TEAM	PROCUREMENT OFFICE	LEGAL COUNSEL	PROCUREMENT APPROVAL TEAM
Develop information for posting to Florida Administrative Weekly	R, A	C	C	
Approve information for posting to Florida Administrative Weekly	R, A	C, I	R	I
Submit posting to the Florida Administrative Weekly	I	R, A	I	I
Conduct Solicitation Conference	R, A	C	C	I
Manage the Vendor Questions and Answer Process	R, A	R	C	C
Develop any required addenda/addendum	R, A	C	C	C
Post any required addenda/addendum	I	R, A	C	I
Receive and open the replies	I	R, A	C	I
Determine Responsiveness of Replies	I	R, A	C, R	I
Conduct (Proctor) Evaluations	I, C	R, A	R, C	I
Calculate Evaluator Scores	I	R, A	I	I
Develop and communicate highest ranking vendors	C	R, A	C	C
Key	R – Responsible A – Accountable C – Consulted I - Informed			

### Exhibit 2-6: Post-Solicitation Posting to Move Forward Assignments

Exhibit 2-6: Post-Solicitation Negotiations to Contract Award lists the key activities during the post-solicitation phase along with the role responsible for each activity from the beginning of negotiations to contract award.





### Exhibit 2-7: Post-Solicitation Negotiations to Contract Award

Exhibit 2-8: Post-Solicitation Negotiation Assignments below lists the activities during the post-solicitation and shows the assignment for each activity to each role within the procurement process (assuming the procurement method chosen allows negotiation). The activities listed begin with the negotiations and end with contract award.

ACTIVITY	ROLES			
	ITMPMO/ PROJECT TEAM	PROCUREMENT OFFICE	LEGAL COUNSEL	PROCUREMENT APPROVAL TEAM
Develop Negotiation Strategy	R, A	C	C	C
Approve Negotiation Strategy	I	C	C	R, A
Conduct Negotiations	I, C	R, A	C	C
Develop award memo recommendation	R, A	C	C	I
Submit award memo	R, A	I	I	I
Submit award memo for routing and approval	I	R,A	I	I
Approve award memo	I	C	C	R, A

ACTIVITY	ROLES			
	ITPMPO/ PROJECT TEAM	PROCUREMENT OFFICE	LEGAL COUNSEL	PROCUREMENT APPROVAL TEAM
Post Intent to Award	I	R, A	C	I
Contract development	R	R, A	R	R
Approve Contract	I, C	R	R	R, A
Finalize Contract and submit to Vendor for final signatures and Execution	I	R, A	I	I
Key	R – Responsible A – Accountable C – Consulted I - Informed			

### Exhibit 2-8: Post-Solicitation Negotiation Assignments

## 2.3 SCHEDULE

The Master Project Schedule (MPS) is a separate project artifact managed by the ITPMPO. The MPS contains activities related to the procurement and is updated weekly and will be found in the project repository. Both the detailed and high level procurement schedules will be developed and include the following:

Master Project Schedule – Detailed project activities including all procurement activities

High Level Procurement Timeline – Key procurement milestones and activities

## 2.4 CLOSING THE PROCUREMENT

Following final contract award and signatures between both the Department of Legal Affairs and the selected vendor, the procurement portion of the project will close. The Procurement Office, the ITPMPO and the Project Team will upload all procurement documentation to the project repository.

Name	Department	Title/Role	Date	Time	Interview Type
Chet Smith	General Civil Litigation	Associate Deputy	2/21/2017	12:00	One-on-one
Heather Sims	General Civil Litigation	Senior Management Analyst	2/21/2017	13:00	One-on-one
Donna Moulton	Finance		2/21/2017	15:45	One-on-one
Will Sitte	IT	Sys Prog Admin	2/22/2017	9:00	Group
Kevin Gregg	IT	Sys Prog Admin App Dev	2/22/2017	9:00	Group
Tony Sullivan	IT	Dist Computer Sys Admin	2/22/2017	9:00	Group
Nick Weilhammer	Public Records	Bureau Chief	2/22/2017	13:00	Group
Caroline Spikes	Public Records		2/22/2017	13:00	Group
Roger Centriell	Public Records		2/22/2017	13:00	Group
Emery Gainey	Victim Services, CJIS, LE Relations	Director	2/22/2017	15:30	One-on-one
Stephanie Daniel	State Programs	Bureau Chief	2/23/2017	9:30	One-on-one
Trish Conners	AG/Anti-Trust	Deputy Attorney General	2/27/2017	2:30	Group
Kent Perez	AG	Deputy Attorney General	2/27/2017	2:30	Group
Cate Crutcher	AG	EA to Pam Bondi	2/27/2017	2:30	Group
Emery Gainey	Victim Services, CJIS, LE Relations	Director	2/27/2017	2:30	Group
Nick Weilhammer	Public Records	Bureau Chief	2/27/2017	2:30	Group
Kacie Prowant	Dep AG	EA to Trish Conners	2/27/2017	2:30	Group
Erica Lee	Intake		2/28/2017	9:00	One-on-one
Carolyn Snurkowski	Criminal Appeals	Associate Deputy	2/28/2017	11:00	One-on-one
Rick Nuss	Criminal Justice Programs	Bureau Chief	2/28/2017	13:00	Group
Michelle Crum	Victims Compensation	Bureau Chief	2/28/2017	13:00	Group
Anna Phillips	Division of Victim Services	Senior Management Analyst II	2/28/2017	13:00	Group
Sheri Stewart	Division of Victim Services	Operations and Management Cons	2/28/2017	13:00	Group
Trisha Meggs-Pate	Crimminal Appeals	Bureau Chief-Tallahassee	3/1/2017	9:00	One-on-one
Stephanie Daniel	State Programs	Bureau Chief	3/1/2017	10:15	One-on-one
Karen Shepherd	Criminal Appeals		3/1/2017	13:20	One-on-one
Sabrina Donovan	Administration	Director	3/1/2017	14:00	One-on-one
Jennifer Lee	Criminal Appeals	Senior Legal Assistant	3/1/2017	15:30	One-on-one
Kym Oswald	Citizen Services	Director	3/7/2017	11:00	One-on-one
Eric Deckerhoff	Medicaid Fraud	Analyst	3/7/2017	14:00	One-on-one
Dana Wiehle	Lemon Law	Director	3/8/2017	10:00	Group
Kairi Sisask	Lemon Law		3/8/2017	10:00	Group
Carmen Roebuck	Lemon Law		3/8/2017	10:00	Group
Leslie Marlowe	Lemon Law		3/8/2017	10:00	Group
Christina Harris	Advocacy and Grants Management	Bureau Chief	3/8/2017	11:00	One-on-one
James Varnado	Medicaid Fraud	Associate Deputy	3/8/2017	13:00	One-on-one
Janice Hays	Medicaid Fraud	Administrative Manager	3/8/2017	15:00	One-on-one
Lissa Flock	eDiscovery and Litigation Support	Litigation Support Administrator	3/9/2017	9:00	Group

Lynn Furiato	eDiscovery and Litigation Support	Litigation Support Administrator	3/9/2017	9:00	Group
Sonia Garcia-Solis	Child Support Enforcement Bureau	Chief Assistant Attorney General	3/9/2017	10:00	One-on-one
Ashley Brantley	Medicaid Fraud	eDiscovery	3/9/2017	13:00	One-on-one
Dana Wiehle	Lemon Law	Director	3/9/2017	14:00	Group
Kairi Sisask	Lemon Law		3/9/2017	14:00	Group
Carmen Roebuck	Lemon Law		3/9/2017	14:00	Group
Leslie Marlowe	Lemon Law		3/9/2017	14:00	Group
Roberta Cooper	Consumer Protection	eDiscovery/ Legal Coordinator	3/9/2017	15:30	One-on-one
Tammy Wade	Statewide	Executive Director	3/13/2017	13:00	Group
Joseph Spataro	Statewide	Assistant Statewide Prosecution	3/13/2017	13:00	Group
Joanne Skelton	Lemon Law	Administrative Assistant	3/13/2017	15:30	Group
Deborah Fraim	Lemon Law	Lead Attorney	3/13/2017	15:30	Group
Greg Mainolfi	IT	West Plam Beach Systems Program	3/14/2017	9:30	One-on-one
Candace Sabella	Capital Appeals	Bureau Chief	3/14/2017	11:00	Group
Guimond Cloutier	Criminal Appeals	SR. Legal Asst./Tech. Coordinator	3/14/2017	11:00	Group
John Klawikofsky	Criminal Appeals	Bureau Chief	3/14/2017	11:00	Group
Paula Montlary	Capital Appeals	Technology Coordinator	3/14/2017	11:00	Group
Stephanie Bergen	Children Legal Services	Bureau Chief	3/14/2017	14:00	Group
Bill Navas	Children Legal Services	Deputy Bureau Chief	3/14/2017	14:00	Group
Ivy Rollins	Children Legal Services	Div. S Supervisory Attorney	3/14/2017	14:00	Group
Mary Soorus	Children Legal Services	Appellate Attorney	3/14/2017	14:00	Group
Jill Adams	Children Legal Services	Attorney Trainer	3/14/2017	14:00	Group
Bethany Connelly	Children Legal Services	Div. C Supervisory Attorney	3/14/2017	14:00	Group
Kelley Silverman	Children Legal Services	Paralegal/FSFN Analyst	3/14/2017	14:00	Group
Alexa Argerious	Children Legal Services	Attorney, Drug Court	3/14/2017	15:30	Work observation
Victoria Butler	Consumer Protection	Division Director	3/15/2017	11:00	Group
Nicola Cox	Consumer Protection	Admin Assistant III	3/15/2017	11:00	Group
Sabrina Donovan	Administration	Director	3/15/2017	13:00	Group
Darlene Faris	Finance	Bureau Chief	3/15/2017	13:00	Group
Ms. Benita Fuller	Victims Services Program Specialist	Program Specialist	3/15/2017	14:00	One-on-one
Gary Cassidy	IT	IT Support (reports to Cindy)	3/15/2017	14:00	One-on-one
Eric Will	IT	IT HelpDesk Lead	3/15/2017	15:00	One-on-one
Lt. John Meyer	Medicaid Fraud	Investigator	3/16/2017	8:00	One-on-one
Karen Morter	Medicaid Fraud	Analyst	3/16/2017	9:00	One-on-one
Dennis Slattery	Child Support Enforcement Bureau	Admin Asst II	3/16/2017	11:00	One-on-one
Nicholas (Nick) Cox	Statewide Prosecution	Statewide Prosecutor	3/16/2017	14:00	Group
Tammy Wade	Statewide	Executive Director	3/16/2017	14:00	Group
Danille Carroll	Civil Rights	Director	3/24/2017	11:00	One-on-one
Betsy Stupski	Law Library	Law Librarian	4/4/2017	10:00	One-on-one

Business Unit	Function	Application	Type	Description	IT Support #FTE	Xtra Support	Number of Users	Lotus Notes (Y/N)
Administrative Services	Accounting and Finance	Telephone Billing		A repository for telephone billing data imported from Sprint. Includes a function for creating credit card billing statements that are reconciled by staff. Also included is a listing of telephone line profiles which are used to track all information about a particular phone line (including CSAs).	0.01	0.01	5	Y
Administrative Services	Document Records Management	Records Management		Provides a central index for locating records in warehouse storage.	0.01		5	Y
Administrative Services	Trouble Ticketing	Maintenance, Personnel, Records, etc...	Email Initiated Incident	Email initiated Issue intake, assignment, resolution Repository	0.01	0.2	1451	Y
Administrative Services - Finance and Accounting	Case Management	Expense Reimbursement, Travel		Used to track all expense reimbursement vouchers.	0.05		17	Y
Administrative Services - Finance and Accounting	Procurement and Contract Management	Purchasing and Requisitions		Repository of 1995 -96 Purchase Requisitions, from request to receipt of the item(s) ordered.	0.05		17	Y
Administrative Services - Finance and Accounting	Document Records Management	CTRS	Document Repository	Finance Contract Tracking and Reconciliation System	0.05		17	Y
Administrative Services - Finance and Accounting	Interface	FLAIR Import & Query	ACCESS, SQL	ACCESS, SQL	0.25		3	N
Administrative Services - Finance and Accounting	Finance Reporting	Sql ServerReporting Services	Report	All reports on SSRS	0.25	0.05	3	N
Administrative Services - Finance and Accounting	Accounting and Finance	Accounts Receivable, Check Receiving, Expense Reimbursement Upload, Invoices			0.25		3	N
Administrative Services - Finance and Accounting	Case Management	Property Transfer	Access, SQL	Access, SQL	0.25	0.05	3	N
Administrative Services - Finance and Accounting	Time Tracking	Time Processing - Angelina		This is a container used by Angelina Wai for multi-quarter billing. The attached db object is detached to her C:\Program Files\IBM\Lotus\Notes\Data\TimeAngelinaLocal.nsf *** Do not replace design from Time Template	0.05		1451	Y
Administrative Services - HR	Human Resources	Personnel Evaluation System, Leave Request, Personnel Action Request, Position Information	Utility	Evaluation System used for electronic generation and approval of employee evaluations.	0.05		9	Y
Administrative Services - HR	Case Management	Project Tracking-HR Personnel	Project Tracking	Used to track projects and tasks for agency personnel issues	0.01		9	Y
Administrative Services - Training and Development	Training and Development	Training		Tracks agency training	0.01		1451	Y
Agencywide	Time Tracking	Time Tracking - Federal		Tracks Information Services time on federal Victims and Medicaid Fraud computing activities, excluding normal operation and maintenance.	0.25		1451	Y
Agencywide	Customer Relationship Management (CRM)	Legal Profiles,	tmpProfiles	Directory of attorney profiles. Provides an index to the legal talent within the Office of the Attorney General. Identifies attorneys with special expertise and multi-jurisdictional experience to help meet the demands of specific cases and provides a resource for attorneys with common areas of interest within the practice of law to identify one another.	0.01		1451	Y
Agencywide	Document Records Management	AG Lex, General Archive,	Utility	Full text searchable legal library/knowledgebase for the agency.	0.01		1451	Y
Anti-Trust & Complex Enforcement	Case Management	Caseload-Antitrust		A repository used to manage litigation caseload workflow tracking and documentation	0.01		27	Y
Anti-Trust & Complex Enforcement	Case Management	BP/GCCF Claims	Claims Tracking	Used to track BP/GCCF Oil Spill Claims from Deepwater Horizon	0.01		27	Y
Anti-Trust & Complex Enforcement	Case Management	Caseload-Antitrust		A repository used to manage litigation caseload workflow tracking and documentation	0.01		27	Y
Arbitration / Lemon Laws	Document Records Management	eServe Mail in - Lemon Law FTL Intake	Mail in Repository	This database receives email messages directed to the division internet address. The address is published to courts and opposing counsel for legal electronic communications. Lemon Law eMail Intake Fort Lauderdale	0.01		18	Y
Arbitration / Lemon Laws	Case Management	Caseload-Lemon Law		Used to manage Lemon Law Arbitration Cases. Includes functions to monitor the status of each case, produce notices for distribution, notify Lemon Law staff (statewide) of upcoming deadlines and other date sensitive activities that need to be performed, and to comply with statutory data collection and reporting requirements. Repository for vehicle information used by Lemon Law management suite. Web enabled counterpart to Resale application that provides consumer information about vehicles reacquired under Florida's Lemon Law.	0.01		18	Y
Arbitration / Lemon Laws	Document Records Management	Lemon Law Board Decisions		Searchable index of Board Decisions by issue and subject.	0.01		18	Y
Arbitration / Lemon Laws	Customer Relationship Management (CRM)	Lemon Law Hotline	Call Tracking	Lemon Law 1-800 call tracking system.	0.01		18	Y
Capital Appeals/ Collateral	Case Management	Caseload-Capital Collateral		A repository used to manage litigation caseload workflow tracking and documentation	0.01		38	Y

Business Unit	Function	Application	Type	Description	IT Support #FTE	Xtra Support	Number of Users	Lotus Notes (Y/N)
Capital Appeals/ Collateral	Calendar and Docketing	Case Calendar-Capital Collateral	Case Calendar Template	An electronic case calendar included in the case tracking application suite. An electronic case calendar included in the case tracking application suite. Used by unit managers to assign cases based on attorney activities for past 30 days and future 90 days. Also includes some statistics reporting.	0.01		38	Y
Capital Appeals/ Collateral	Contact Management	Capital Victim Families		Directory of surviving family members of victims of Capital Crimes with logging of our contats with them. Much of this data is CONFIDENTIAL by law.	0.01		38	Y
Capital Appeals/ Collateral	Contact Management	Expert Witnesses	Utility	Contains profiles of expert witnesses in capital cases with scanned transcripts of their testimony	0.01		38	Y
Child Legal Service	Document Records Management	eDoc Library - Childrens Legal Services	Electronic Document Repository	This database contains electronic copies of documents and email messages processed through the division intake application. Documents can be flagged for visibility from the case report document in the unit case tracking application.	0.01		115	Y
Child Legal Service	Case Management	Caseload-CLS Case Tracking	Case Tracking	A repository used to manage litigation caseload workflow tracking and documentation	0.01		115	Y
Child Legal Service	Document Records Management	eServe Mail in - Childrens Legal Services Intake Broward, Shelter, Tampa Hillsborough	Mail In Repository	This database receives email messages directed to the division internet address. The address is published to courts and opposing counsel for legal electronic communications.	0.01		115	Y
Child Legal Service	Email, Intranet & Productivity Software	TampaCLS OnDuty	Email Repository	For use by on duty staff for incoming HKI email	0.01		115	Y
Child Support Enforcement	Document Records Management	eServe Mail in - Child Support Enforcement Appeals, FTL, STP, TLH	Mail In Repository	This database receives email messages directed to the CSE Appeals internet address. The address is published to courts and opposing counsel for all Appeals legal electronic communications	0.01		114	Y
Child Support Enforcement	Case Management	Caseload-CSE T1 Cases		A repository used to manage litigation caseload workflow tracking and documentation, T2 R1 CSE Case Tracking , T2 R3 CSE Case Tracking, T2 R5 CSE Case Tracking, CSE T1 Forms, Documents, profiles, etc	0.2		114	Y
Child Support Enforcement	Interface	Caseload-CSE CAMS Interface	Utility	An electronic interface between the Department of Revenue, CAMS application and OAG Child Support Enforcement case tracking application	0.01		114	Y
Child Support Enforcement	Document Records Management	eDoc Library - Child Support Enforcement	Electronic Document Repository	This database contains electronic copies of documents and email messages processed through the division intake application. Documents can be flagged for visibility from the case report document in the unit case tracking application.	0.01		114	Y
Citizen Services	Case Management	Correspondence-Active	Document Tracking	A workflow application that is used to track and respond to pending OAG General & Executive Correspondence and Internet Mail.	0.1		20	Y
Citizen Services	Document Records Management	Correspondence-Filed	Document Tracking	An archive repository for completed for General & Executive Correspondence and Internet Mail.	0.15		20	Y
Citizen Services	Customer Relationship Management (CRM)	Correspondence-Company Response	Utility	Custom mail database used by Citizen Services to receive incoming consumer complaints email from companies; other agencies; or organizations.	0.1		20	Y
Citizen Services	Document Records Management	Citizen Services eMail Intake	Mail Repository	Internet address provided by Citizen Services to agencies and businesses that will be used to direct emails to the Active Correspondence tracking application.	0.1		20	Y
Civil Rights Enforcement	Case Management	Caseload-Civil Rights		Tracks civil rights and whistleblower complaints	0.01		5	Y
Commission on the Status of Women	Email, Intranet & Productivity Software	FCSW Commissioners	Email Repository	Utility	0.01		3	Y
Consumer Protection	Document Records Management	eServe Mail in - Consumer Protection 7 Offices	Mail In Repository	This database receives email messages directed to the division internet address. The address is published to courts and opposing counsel for legal electronic communications.	0.1		3	Y
Consumer Protection	Case Management	Caseload-Consumer Protection		A repository used to manage litigation caseload workflow tracking and documentation.The purpose of this application is to summarize revenue the Consumer Protection Division has received for a specified time period, for tracking compliance with pre-established payment schedule, for statistics on the distribution of funds, and allow reporting of funds collected per attorney.	0.15		139	Y



Business Unit	Function	Application	Type	Description	IT Support #FTE	Xtra Support	Number of Users	Lotus Notes (Y/N)
Consumer Protection	Document Records Management	Consumer Protection Division eDoc Web Library	Utility	Complaints and Settlements from eDoc library are displayed online	0.1		139	Y
Consumer Protection	Management Reporting	Case Status Reporting	Utility	Utility, Local personal repository used to consolidate quarterly time	0.15		139	Y
Consumer Protection	Email, Intranet & Productivity Software	FTL EC, MIA CP, WPB CP	Email Repository	Economic Crimes Mail-in Database, This application provides a framework for managing CP projects	0.15		139	Y
Consumer Protection	Customer Relationship Management (CRM)	CP Enforcement SPAM Enforcement, PG Enforcement 2016	Mail In Repository	Mail In Repository	0.1		139	Y
Consumer Protection	Evidence Tracking Systems	SIA Inquiries		Database to be used by Tampa - EC for special investigations & assignments. Assignment may or may not be the preliminary stage of case development.	0.1		139	Y
Consumer Protection	Customer Relationship Management (CRM)	Florida Internet Fraud Tracking		Used by Economic Crimes (Orlando) to track and refer Internet Fraud complaints.	0.1		139	Y
Criminal Appeals	Document Records Management	eServe Mail in - Criminal Appeals Intake 5 Offices	Mail In Repository	This database receives email messages directed to the division internet address. The address is published to courts and opposing counsel for legal electronic communications.	0.1		171	Y
Criminal Appeals	Document Records Management	11 eDoc Library 2010 - 2017 - Criminal Appeals	Electronic Document Repository	This database contains electronic copies of documents and email messages processed through the division intake application from 2010 to 2017. Documents can be flagged for visibility from the case report document in the unit case tracking application.	0.1		171	Y
Criminal Appeals	Case Management	Caseload-Criminal Appeals		A repository used to manage litigation caseload workflow tracking and documentation	0.01		171	Y
Criminal Appeals	Calendar and Docketing	Case Calendar-Criminal Appeals	Case Calendar Template	An electronic case calendar included in the case tracking application suite. An electronic case calendar included in the case tracking application suite. Used by unit managers to assign cases based on attorney activities for past 30 days and future 90 days. Also includes some statistics reporting.	0.01		171	Y
eDiscovery & Litigation Support Center	Customer Relationship Management (CRM)	eDiscovery LitSupport Center		Request tracking for Litigation Support Center tickets, database registry, and knowledge base	0.01		5	Y
eDiscovery & Litigation Support Center	Time Tracking	Time Processing - Litigation Support		This is a container used by Litigation Support for LS Desk Ticket response. *** Do not replace design from Time Template	0.01		5	Y
Executive	Case Management	Property Rights Dispute Tracking		Used to manage Bert Harris Act complaints and land use and environmental disputes pursuant to Florida Statutes, Chapters 70.001 and 70.51, respectively.	0.01		15	Y
Executive	Email, Intranet & Productivity Software	In The Loop	Utility	User mail file used to collect and send info regarding internal agency newsletter.	0.01		15	Y
Executive	Calendar and Docketing	AG Calendar		Publishing point for AG's schedule	0.01		15	Y
Executive	Document Records Management	Prescription Drug Abuse and Newborns	CONTENT MANAGEMENT	used to collect awareness slogans from Internet	0.01		15	Y
Florida Elections Commission	Email, Intranet & Productivity Software	Florida Elections Commission Intake	Email Repository	Mail In Repository	0.01		16	Y
General Civil	Case Management	Caseload-General Legal		A repository used to manage litigation caseload workflow tracking and documentation	0.1		121	Y
General Civil	Document Records Management	eServe Mail in - General Legal Intake	Mail In Repository	This database receives email messages directed to the division internet address. The address is published to courts and opposing counsel for legal electronic communications.	0.01		121	Y
General Civil	Document Records Management	eDoc Library - General Civil	Electronic Document Repository	This database contains electronic copies of documents and email messages processed through the division intake application. Documents can be flagged for visibility from the case report document in the unit case tracking application.	0.01		121	Y
General Civil	Calendar and Docketing	Case Calendar-General Legal	Case Calendar Template	An electronic case calendar included in the case tracking application suite. Includes integration with automated tickler system.	0.01		121	Y
General Civil	Procurement and Contract Management	AG Oversight		Used to track Agency retainer contracts and outside counsel requests.	0.01		121	Y
General Civil - Admin Law	Case Management	Rule Development		Rule Tracking System. Authorized attorneys have access to edit draft rules that have been input by paralegals. Paralegals then incorporate changes to the final document.	0.01		121	Y
General Civil - Corrections	Case Management	Abusive Litigants	Document Container	Used to track Abusive/Vexatious Litigants	0.01		121	Y
General Civil - Corrections	Case Management	Corrections Active Projects		Tracks tasks for active cases in Corrections.	0.01		121	Y

Business Unit	Function	Application	Type	Description	IT Support #FTE	Xtra Support	Number of Users	Lotus Notes (Y/N)
Inspector General	Customer Relationship Management (CRM)	Inspector General Correspondence		Primarily used for Inspector General Unit only to track letter (mail) correspondence.	0.01		5	Y
Inspector General	Case Management	Megacase-FMU-Graduates	MegaCase	Record graduate complaints about Fla Metropolitan University	0.01		5	Y
IT	Web Publishing	Rxdata databases, AG LINK	Searchable	Lookup data for RX searches.	0.1		40	Y
IT	Management Reporting	AG Dashboard, OAG Welcome Page	Utility	Central portal used by agency staff to navigate internal applications.	0.01		40	Y
IT	Customer Relationship Management (CRM)	AG Computing	Forum	Help Desk: Mail enabled repository used by all staff to report problems or request assistance with technology issues. Includes tracking and notification feature for all posted requests. Upon resolution, these entries are added to a central technology knowledgebase that serves as a resource for future requests. This application is also an electronic organizer that includes an IT unit calendar, staff in/out board (How To Reach), unit announcements (Notices), library of standard operating procedures (SOP), a shared phone directory, and a directory of IT inventory and resources.	0.2		40	Y
IT	Customer Relationship Management (CRM)	Info Technology		Used by IT Unit, Notes Development staff to manage the agency Domino application environment	0.01		40	Y
IT	Case Management	Computer Security Incident	Security	Used to track Computer Security Incidents	0.01		40	Y
IT	Case Management	BB Messenger Log	Utility	Blackberry Messenger Log	0.01		40	Y
IT	Case Management	CSIRT - BlackMal	Security	Used to track machines infected with the BlackMal.e virus	0.01		40	Y
IT	Case Management	Project Tracking	Project Tracking	Project Tracking application used to facilitate modification/enhancement collaboration between OAG IT and CLS unit.	0.01		40	Y
Library Services	Customer Relationship Management (CRM)	LTW Expert Witness Directory, Legal Resources,	Utility	Used to maintain pdf files of legislation that are used for legal research	0.01		4	Y
Library Services	Document Records Management	Legal Resources, Florida Legislative History, Historical Opinions Online,			0.01		4	Y
Medicaid Fraud Enforcement	Case Management	MFCU Complaint & Case Management	MFCUCaseMgmt4-29-11	A repository used to manage litigation caseload workflow tracking and documentation, Used for tracking money that is posted in the Case in the Case Management db. Derived from MegaCase template to manage telephone complaint calls for the Medicaid Fraud Unit.	0.5		213	Y
Medicaid Fraud Enforcement	Document Records Management	MFCU Civil eIntake - eServe Mail in	Mail In Repository	This database receives email messages directed to the division internet address. The address is published to courts and opposing counsel for legal electronic communications. Mainly used to capture Emergency Suspension Order emails from DOH. But will be expanded to include other topics from various outside agencies.	0.05		50	Y
Medicaid Fraud Enforcement	Management Reporting	MFCU Manager Reports	Reports	This application will generate and hold reports of information gathered from the MFCU Complaint/Case management application.	0.1		20	Y
Medicaid Fraud Enforcement	Training and Development	MFCU Training	MFCUTraining3-30-12	Provides a simple workflow and tracking repository for employee training.	0.05		213	Y
Medicaid Fraud Enforcement	Evidence Tracking Systems	MFCU Evidence Tracking	MFCUEvidRoom4-30-09	Tracking application for MFCU evidence rooms.	0.1		150	Y
Medicaid Fraud Enforcement	Document Records Management	MFCU Attachments	MFCUAttach5-13-11	Used to store MFCU case related documents and material. Repository for field information reports.	0.1		213	Y
Medicaid Fraud Enforcement	Calendar and Docketing	Medicaid Fraud - Case Calendar	Case Calendar Template	An electronic case calendar included in the case tracking application suite.	0.1		213	Y
Medicaid Fraud Enforcement	Time Tracking	Medicaid Fraud Time Track	MFCUTimeTrk9-28-11	Repository for attorney and investigator time and expense information for specific investigations.	0		213	Y
Opinions	Case Management	Sunshine Mediation		Tracks Sunshine mediation disputes and queries.	0.01		6	Y
Opinions	Document Records Management	Sunshine Manual		A searchable repository for information from the annually updated Sunshine Manual edited by General Counsel Patricia Gleason.	0.01		6	Y
Opinions	Case Management	AGO & Slip Opinions & Legal Alerts		A searchable collection of recent legal alerts issued by the Office of the Attorney General. These include Appellate Alert, Criminal Law Alert and Crime Victims & the Law Memo.	0.01		6	Y



Business Unit	Function	Application	Type	Description	IT Support #FTE	Xtra Support	Number of Users	Lotus Notes (Y/N)
Public Records	Case Management	Public Records Request Tracking	Project Tracking	Application for Units to enter and track their Public Records Requests.	0.1		3	Y
Public Records	Customer Relationship Management (CRM)	Public Records Request Legacy		***READ ONLY*** Manages public records requests and to documents any information which has been ruled confidential, trade secret, or otherwise exempt from the public view.	0.01		3	Y
Public Records	Customer Relationship Management (CRM)	GOV-QA		Case Management and CRM in one	0		3	Y
Publishing & Media Relations	Customer Relationship Management (CRM)	Media Requests		Tracks questions from Press agencies that call in.	0.01		40	Y
Publishing & Media Relations	Customer Relationship Management (CRM)	Press Inquiry		For Capitol staff to organize thier records of press inquiries.	0.01		40	Y
Solicitor General	Case Management	Caseload-Solicitor General		A repository used to manage litigation caseload workflow tracking and documentation	0.01		8	Y
Solicitor General	Case Management	Appellate & Constitutional Challenges		Repository used to track notifications of "Appeals".	0.01		8	Y
Statewide Prosecution	Document Records Management	eServe Mail in - Statewide Prosecution 8 Offices	Mail In Repository	This database receives email messages directed to the division internet address. The address is published to courts and opposing counsel for legal electronic communications.	0.01		74	Y
Statewide Prosecution	Case Management	Caseload-OSP Case Tracking	Mega Case	A repository used to manage litigation caseload workflow tracking and documentation	0.1		74	Y
Statewide Prosecution	Calendar and Docketing	Case Calendar-OSWP		An electronic case calendar included in the case tracking application suite.	0.01		74	Y
Statewide Prosecution	Management Reporting	Caseload-OSWP Statistics		Provides statistics reporting for Office of Statewide Prosecution's case tracking repository.	0.05		74	Y
Statewide Prosecution	Calendar and Docketing	Forum-Statewide Prosecution	Forum	This is a electronic organizer that includes a unit calendar, staff in/out board (How To Reach), unit announcements (Notices), library of standard operating procedures (SOP), a shared phone directory and new releases.	0.01		74	Y
Statewide Prosecution	Training and Development	Statewide Prosecution Operations	Forum	This is a electronic organizer that includes library of standard operating procedures (SOP) and new releases.	0.01		74	Y
Victims Compensation	Case Management	VAN-FTL, VAN-ORL, Victims Assistance Net	FTLVAN	Provides claim tracking and authorization of financial assistance for victims the Ft. Lauderdale Airport incident	0.75		64	Y
Victims Compensation	Customer Relationship Management (CRM)	Victims 800 Call Tracking		Tracks 1-800 call assignments to victim comp analysts and victim advocates	0.05		64	Y
Victims Compensation	Accounting and Finance	Load File Conversion for Victims Services	Utility	Used for processing payments if the FLAIR 3 digit sequence number is not available.	0.05		64	Y
Victims Compensation	Case Management	State Institutions Claims Fund		Used by Bureau of Victim Compensation to track the authorization of claims for other state agency's compensation programs.	0.05		64	Y
Victims Compensation	Federal Reporting	VAN Statistics		An index to Victims Assistance Net (VAN) and all of its archive databases to generate statistical information required for federal reports	0.1	0.1	64	Y
Victims Compensation	Interface	Link Analysis		Index cross-linking records in victims.nsf and receives link records from the BOT agent in victims.nsf	0.05		64	Y
Victims Compensation	Email, Intranet & Productivity Software	VC Intake	Utility	This database is Victims Comp Intake mail in DB.	0.05		64	Y
Victims Services	Grant Management and Reporting	VOCA Grant Tracking v2.0		Grant tracking application for Victims of Crime Act (VOCA) This Historic Grant Data Only	0.05		21	Y
Victims Services	Customer Relationship Management (CRM)	BAGM Email Blast & Identity Theft Hotline		Utility for sending blast emails to external and/or internal contacts from a non-employee mailbox. Sender for emails is 'OAG Advocacy and Grants' and cannot be replied to because there is no inbox. Provides tracking and reporting for consumer complaints of Identity Theft	0.05		21	Y
Victims Services	Calendar and Docketing	Forum-Victims Services and CJP	Forum	This is a electronic organizer that includes a unit calendar, staff in/out board (How To Reach), unit announcements (Notices), library of standard operating procedures (SOP) and a shared phone directory.	0.05		21	Y
Victims Services	Grant Management and Reporting	Data Transfers	Utility	Finance reporting for the VOCA STARS grant application	0.05		21	Y
Victims Services	Email, Intranet & Productivity Software	Crime Stoppers Inake	Mail In Repository	Mail In Repository	0.05		21	Y
Victims Services	Training and Development	Cyber Crime EDU - emails	R85 OAG Mail Template	Mail in db that contains the CYBERCRIME emails	0.05		21	Y
Victims Services	Grant Management and Reporting	IntelliGrants		VOCA Grant Tracking	1		21	N
Victims Compensation	Case Management	VAN Next		Victims Comp - Under Development -	3	1	64	N

Business Unit	Function	Application	Type	Description	IT Support #FTE	Xtra Support	Number of Users	Lotus Notes (Y/N)
Criminal Justice Programs	Conference Management	Preventing Black Crimes	Utility	Web-based on-line registration application for the annual National Conference on Preventing Crime in the Black Community. <a href="http://www.preventblackcrime.com/">http://www.preventblackcrime.com/</a>	0.05	0.05	12	N
IT	Email, Intranet & Productivity Software	Team Studio - Build Manager		Team Studio	0.02		40	N
Agencywide	Document Records Management	Sharepoint		Collaboration	0.01	0.01	1451	N
Agencywide	Email, Intranet & Productivity Software	Citrix		Remote Access	0.01	0.25	1451	N
Medicaid Fraud Enforcement	eDiscovery	Concordance		eDiscovery mining tool	0.002		213	N
General Civil	eDiscovery	Everlaw		eDiscovery	0.002		121	N
Consumer Protection	eDiscovery	Nuix		eDiscovery case assessment	0.002		139	N
Medicaid Fraud Enforcement	eDiscovery	Relativity		eDiscovery mining tool	0.002		213	N
Public Records	Public Records Access Mediations	GOV-QA		Public Records Request Database/Management System	0.01		3	N
Consumer Protection	eDiscovery	CFIS		Financial eDiscovery system (Comprehensive Financial Investigative Service)	0.002		139	N
Consumer Protection	Email, Intranet & Productivity Software	Trial Director		Courtroom Presentation Software	0		139	N
General Civil	Email, Intranet & Productivity Software	Livenotes		Courtroom Testimony Presentation Software	0		121	N
Statewide Prosecution	eDiscovery	Proof Finder		Limited Versions of Nuix eDiscovery system	0		74	N
Agencywide	Public Records Access Mediations	Accurint	Searchable	Public Records access/search	0		61	N

		Data	
Business Unit	Function	Count of Application	Sum of IT Support #FTE
Administrative Services	Document Records Management	1	0.01
	Accounting and Finance	1	0.01
	Trouble Ticketing	1	0.01
Administrative Services Total		3	0.03
Administrative Services - Finance and Accounting	Case Management	2	0.3
	Document Records Management	1	0.05
	Finance Reporting	1	0.25
	Interface	1	0.25
	Procurement and Contract Management	1	0.05
	Time Tracking	1	0.05
	Accounting and Finance	1	0.25
Administrative Services - Finance and Accounting Total		8	1.2
Administrative Services - Training and Development	Training and Development	1	0.01
Administrative Services - Training and Development Total		1	0.01
Agencywide	Customer Relationship Management (CRM)	1	0.01
	Document Records Management	2	0.02
	Email, Intranet & Productivity Software	1	0.01
	Time Tracking	1	0.25
	Public Records Access Mediations	1	0
Agencywide Total		6	0.29
Anti-Trust & Complex Enforcement	Case Management	3	0.03
Anti-Trust & Complex Enforcement Total		3	0.03
Arbitration / Lemon Laws	Case Management	1	0.01
	Customer Relationship Management (CRM)	1	0.01
	Document Records Management	2	0.02
Arbitration / Lemon Laws Total		4	0.04
Capital Appeals/ Collateral	Case Management	1	0.01
	Contact Management	2	0.02
	Calendar and Docketing	1	0.01
Capital Appeals/ Collateral Total		4	0.04
Child Legal Service	Case Management	1	0.01
	Document Records Management	2	0.02
	Email, Intranet & Productivity Software	1	0.01
Child Legal Service Total		4	0.04
Child Support Enforcement	Case Management	1	0.2
	Document Records Management	2	0.02
	Interface	1	0.01
Child Support Enforcement Total		4	0.23

Business Unit	Function	Count of Application	Sum of IT Support #FTE
Civil Rights Enforcement	Case Management	1	0.01
Civil Rights Enforcement Total		1	0.01
Commission on the Status of Women	Email, Intranet & Productivity Software	1	0.01
Commission on the Status of Women Total		1	0.01
Consumer Protection	Case Management	1	0.15
	Customer Relationship Management (CRM)	2	0.2
	Document Records Management	2	0.2
	Email, Intranet & Productivity Software	2	0.15
	Evidence Tracking Systems	1	0.1
	Management Reporting	1	0.15
	eDiscovery	2	0.004
Consumer Protection Total		11	0.954
Criminal Appeals	Case Management	1	0.01
	Document Records Management	2	0.2
	Calendar and Docketing	1	0.01
Criminal Appeals Total		4	0.22
eDiscovery & Litigation Support Center	Customer Relationship Management (CRM)	1	0.01
	Time Tracking	1	0.01
eDiscovery & Litigation Support Center Total		2	0.02
Executive	Case Management	1	0.01
	Document Records Management	1	0.01
	Email, Intranet & Productivity Software	1	0.01
	Calendar and Docketing	1	0.01
Executive Total		4	0.04
Florida Elections Commission	Email, Intranet & Productivity Software	1	0.01
Florida Elections Commission Total		1	0.01
General Civil	Case Management	1	0.1
	Document Records Management	2	0.02
	Email, Intranet & Productivity Software	1	0
	Procurement and Contract Management	1	0.01
	Calendar and Docketing	1	0.01
	eDiscovery	1	0.002
General Civil Total		7	0.142
General Civil - Admin Law	Case Management	1	0.01
General Civil - Admin Law Total		1	0.01
General Civil - Corrections	Case Management	2	0.02
General Civil - Corrections Total		2	0.02
Inspector General	Case Management	1	0.01
	Customer Relationship Management (CRM)	1	0.01
Inspector General Total		2	0.02
IT	Case Management	4	0.04

Business Unit	Function	Count of Application	Sum of IT Support #FTE
IT	Customer Relationship Management (CRM)	2	0.21
	Email, Intranet & Productivity Software	1	0.02
	Management Reporting	1	0.01
	Web Publishing	1	0.1
<b>IT Total</b>		<b>9</b>	<b>0.38</b>
Library Services	Customer Relationship Management (CRM)	1	0.01
	Document Records Management	1	0.01
<b>Library Services Total</b>		<b>2</b>	<b>0.02</b>
Medicaid Fraud Enforcement	Case Management	1	0.5
	Document Records Management	2	0.15
	Evidence Tracking Systems	1	0.1
	Management Reporting	1	0.1
	Time Tracking	1	0
	Training and Development	1	0.05
	Calendar and Docketing	1	0.1
	eDiscovery	2	0.004
<b>Medicaid Fraud Enforcement Total</b>		<b>10</b>	<b>1.004</b>
Opinions	Case Management	2	0.02
	Document Records Management	1	0.01
<b>Opinions Total</b>		<b>3</b>	<b>0.03</b>
Solicitor General	Case Management	2	0.02
<b>Solicitor General Total</b>		<b>2</b>	<b>0.02</b>
Statewide Prosecution	Case Management	1	0.1
	Document Records Management	1	0.01
	Management Reporting	1	0.05
	Training and Development	1	0.01
	Calendar and Docketing	2	0.02
	eDiscovery	1	0
<b>Statewide Prosecution Total</b>		<b>7</b>	<b>0.19</b>
Victims Compensation	Case Management	3	3.8
	Customer Relationship Management (CRM)	1	0.05
	Email, Intranet & Productivity Software	1	0.05
	Federal Reporting	1	0.1
	Interface	1	0.05
	Accounting and Finance	1	0.05
<b>Victims Compensation Total</b>		<b>8</b>	<b>4.1</b>
Victims Services	Customer Relationship Management (CRM)	1	0.05
	Email, Intranet & Productivity Software	1	0.05
	Training and Development	1	0.05
	Calendar and Docketing	1	0.05
	Grant Management and Reporting	3	1.1

Business Unit	Function	Count of Application	Sum of IT Support #FTE
Victims Services Total		7	1.3
(blank)	(blank)		
(blank) Total			
Administrative Services - HR	Case Management	1	0.01
	Human Resources	1	0.05
Administrative Services - HR Total		2	0.06
Citizen Services	Case Management	1	0.1
	Customer Relationship Management (CRM)	1	0.1
	Document Records Management	2	0.25
Citizen Services Total		4	0.45
Public Records	Case Management	1	0.1
	Customer Relationship Management (CRM)	2	0.01
	Public Records Access Mediations	1	0.002
Public Records Total		4	0.112
Publishing & Media Relations	Customer Relationship Management (CRM)	2	0.02
Publishing & Media Relations Total		2	0.02
Criminal Justice Programs	Conference Management	1	0.05
Criminal Justice Programs Total		1	0.05
Grand Total		134	11.102

## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Clifton Cox	Phone Number:	(850) 414-3780
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Richard A. Castorri, individually and on behalf of others similarly situated v. Florida Department of Revenue		
Court with Jurisdiction:	Second Judicial Circuit		
Case Number:	2016 CA 2117		
Summary of the Complaint:	Plaintiff has filed a class action complaint on behalf of himself and all similarly-situated persons, seeking monetary, declaratory, and injunctive relief and alleged that he paid documentary stamp taxes for recordation of the deed for his purchase of real property in Florida from the Federal National Mortgage Association. The applicable federal statutes, administrative determinations, and cases hold that such transactions are entirely exempt from State taxation. The Department denied Plaintiff's request for refund, based upon its administrative rule and other administrative authorities requiring that the non-exempt party to such transactions must pay the documentary stamp taxes in such transactions.		
Amount of the Claim:	\$ Undetermined, but it might exceed the \$500,000 reporting threshold if a class is certified.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The Department filed a motion to dismiss the original complaint. The trial court granted the Department's motion to dismiss, without prejudice, based upon Plaintiff's failure to exhaust administrative remedies. The Department argued that this is a disguised rule challenge, which must first be raised in DOAH. The Plaintiff filed an amended complaint on April 20, 2017. On May 19, the Department filed a motion to dismiss the amended complaint and to strike all class allegations. A hearing on the Department’s motion to dismiss and strike has not been scheduled.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>This lawsuit is a putative class action. The putative class has not been certified.</p> <p>Steven R. Jaffe, Esquire Mark S. Fistos, Esquire Farmer, Jaffe, Weissing, Edwards, Fistos &amp; Lehrman, P.L. 425 N. Andrews Avenue, Suite 2 Fort Lauderdale, Florida 33301</p> <p>David W. Moye, Esquire Moye Law Firm 527 E. Park Avenue Tallahassee, Florida 32302</p>
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## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Stephen Masterson	Phone Number:	(850) 414-3779
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Cemex Construction Materials Pacific, LLC, successor by merger to Cemex Construction Materials, LP, a foreign limited partnership v. State of Florida, Department of Revenue, an agency of the State of Florida		
Court with Jurisdiction:	Second Judicial Circuit		
Case Number:	2017 CA 473		
Summary of the Complaint:	<p>The Plaintiff has brought a three (3) count complaint contesting a refund denial by the Department of Revenue. The Plaintiff and the Department entered into a settlement agreement to settle a tax assessment, compromising the amount due. The Plaintiff later filed a refund request, alleging the settlement was invalid, which the Department denied. This lawsuit followed.</p> <p>In Count I, the Plaintiff contends that the assessment became null and void under the holding of <i>Verizon Business Purchasing, LLC v. State of Florida, Department of Revenue</i>, 164 So. 3d 806 (Fla. 1st DCA 2015) because when the statute of limitations expired prior to the finality of the assessment.</p> <p>In Count II, the Plaintiff contends that when it executed the settlement agreement with the Department on or about October 24, 2014, the agreement was an invalid and unenforceable contract.</p> <p>Finally, in Count III, the Plaintiff contends that the settlement agreement must be rescinded under Florida law because there was a mutual mistake of material fact as to whether there was a valid and enforceable sales and use tax liability due and owing by the Plaintiff at the time the agreement was executed.</p>		
Amount of the Claim:	\$1,737,268.22 refund claim		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	The Department filed a motion to dismiss in this case on May 15, 2017. The Department’s motion to dismiss has not been set for hearing.		
Who is representing (of record) the state in this lawsuit? Check all that		Agency Counsel	
	x	Office of the Attorney General or Division of Risk Management	

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

## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Stephen Masterson	Phone Number:	(850) 414-3779
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Cemex Construction Materials Pacific, LLC, successor by merger to Cemex Construction Materials, LP, a foreign limited partnership v. State of Florida, Department of Revenue, an agency of the State of Florida		
Court with Jurisdiction:	Second Judicial Circuit		
Case Number:	2017 CA 476		
Summary of the Complaint:	<p>The Plaintiff has brought a three (3) count complaint contesting a refund denial by the Department of Revenue. The Plaintiff and the Department entered into a settlement agreement to settle a tax assessment, compromising the amount due. The Plaintiff later filed a refund request, alleging the settlement was invalid, which the Department denied. This lawsuit followed.</p> <p>In Count I, the Plaintiff contends that the assessment became null and void under the holding of <i>Verizon Business Purchasing, LLC v. State of Florida, Department of Revenue</i>, 164 So. 3d 806 (Fla. 1st DCA 2015) because when the statute of limitations expired prior to the finality of the assessment.</p> <p>In Count II, the Plaintiff contends that when it executed the settlement agreement with the Department on or about October 24, 2014, the agreement was an invalid and unenforceable contract.</p> <p>Finally, in Count III, the Plaintiff contends that the settlement agreement must be rescinded under Florida law because there was a mutual mistake of material fact as to whether there was a valid and enforceable sales and use tax liability due and owing by the Plaintiff at the time the agreement was executed.</p>		
Amount of the Claim:	\$1,377, 539.22 refund claim		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	The Department filed a motion to dismiss in this case on May 15, 2017. The Department’s motions to dismiss has not been set for hearing.		
Who is representing (of record) the state in this lawsuit? Check all that	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	

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

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	Robert Elson	<b>Phone Number:</b>	(850) 414-3786
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Continental Glass Systems, Inc. v. Florida Department of Revenue		
<b>Court with Jurisdiction:</b>	Division of Administrative Hearings		
<b>Case Number:</b>	14-1855		
<b>Summary of the Complaint:</b>	The primary and largest dollar amount at issue in this proceeding is whether the Petitioner is liable for \$1,228,098.36 in additional tax on manufacturing costs, plus interest thereon. Two other smaller audit amounts of about \$35,000 in the aggregate are also at issue.		
<b>Amount of the Claim:</b>	\$1,032,572.27		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	None		
<b>Status of the Case:</b>			
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>	This lawsuit is not a class action.		

## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Clifton Cox	Phone Number:	(850) 414-3780
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	DirecTV, Inc., and Dish Network L.L.C. v. State of Florida Department of Revenue		
Court with Jurisdiction:	United States Supreme Court		
Case Number:	17A12		
Summary of the Complaint:	<p>Plaintiffs, satellite television providers, brought this tax refund claim to challenge the facial constitutionality of provisions of the communications services tax, contained in Chapters 202 and 203, Fla. Stat., pursuant to the Commerce Clause and Equal Protection Clause of the United States Constitution. Plaintiffs seek a judgment invalidating various provisions of the communications services tax and a refund of taxes which they collected from their customers and remitted to the Department since October 1, 2001, in an amount that the Department of Revenue believes may exceed \$500 million. Plaintiffs allege that satellite television is an inherently “interstate” business, that cable television is an inherently “local” business, and that the communications services tax discriminates impermissibly against interstate satellite television by imposing a higher tax rate (10.8%) than on cable television (6.8% from 2002-July, 2010, and 6.65% beginning in August, 2010). <u>See</u> Section 202.12(1)(a) and (b), Fla. Stat.</p> <p>The Department argues that every federal court and every state appellate court that has considered Plaintiffs’ constitutional theories has rejected those claims; satellite television and cable television are both interstate businesses so Plaintiffs’ Commerce Clause arguments are inapplicable; Plaintiffs cannot state a facial challenge on any theory because the tax statutes, read <i>in pari materia</i>, actually equalize the tax burdens between satellite and cable television, and because cable television sometimes bears a higher tax rate in Florida than satellite television; and the Florida legislature had a constitutionally permissible rational basis to distinguish between satellite and cable television.</p>		
Amount of the Claim:	The amount of the refund claim has never been established. The Department has advised that the claim may exceed \$500 million.		
Specific Statutes or Laws (including GAA) Challenged:	Section 202.12, Florida Statutes.		

<p>Status of the Case:</p>	<p>On October 9, 2013, the trial court granted the Department of Revenue’s motion for summary final judgment and denied DirecTV’s and Dish Network’s cross motion for summary judgment. The final judgment found that the law does not discriminate against interstate commerce, that there is a rational basis for treating satellite communications and cable communications differently, and that satellite services actually incur a lower average effective tax rate than cable services. The satellite companies and their subscribers appealed the final judgment to the First District Court of Appeal.</p> <p>On June 11, 2015, the First District reversed by a 2-1 decision, declaring the communications services tax to be facially unconstitutional. The Department appealed that ruling to the Florida Supreme Court, which reversed the First District on April 13, 2017, and held that the communications services tax did <b>not</b> violate the dormant Commerce Clause.</p> <p>On June 28, 2017, DirecTV filed an application for an extension of time within which to file a petition for a writ of certiorari in the United States Supreme Court. On July 3, 2017, the Supreme Court granted DirecTV’s application and extended the time to file a petition until September 10, 2017.</p>	
<p>Who is representing (of record) the state in this lawsuit? Check all that apply.</p>	<input type="checkbox"/>	<p>Agency Counsel</p>
	<input checked="" type="checkbox"/>	<p>Office of the Attorney General or Division of Risk Management</p>
	<input type="checkbox"/>	<p>Outside Contract Counsel</p>
<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>This case is not a class action. A related action by certain Satellite television subscribers was brought as a class action but the putative class was never certified, and that case has been dismissed. <i>See Marcus and Patricia Ogborn on behalf of themselves and others similarly situated v. Jim Zingale, acting in his official capacity as the Director, Florida Department of Revenue</i>, case no. 1D13-5455.</p>	

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	Stephen Masterson	<b>Phone Number:</b>	(850) 414-3779
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	F&F Aviation, Inc., a Delaware corporation v. State of Florida, Department of Revenue		
<b>Court with Jurisdiction:</b>	Second Judicial Circuit		
<b>Case Number:</b>	15-2356		
<b>Summary of the Complaint:</b>	This case involves a challenge to a refund denial of a sales tax assessment on an aircraft. The Amended Complaint contains two counts: Count I seeks judicial review and reversal of the Department’s administrative determination denying an application for refund of a settlement payment, and Count II seeks declaratory relief that no taxes were owed as part of a previous settlement with the Department.		
<b>Amount of the Claim:</b>	\$466,697.23 refund claim, with interest may exceed the \$500,000 reporting threshold.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	None		
<b>Status of the Case:</b>	On April 24, 2017, the Department filed a motion to dismiss the Amended Complaint and argues that the trial court is again without subject matter jurisdiction because the amended complaint attempts to use the tax refund process to mount an improper and jurisdictionally-barred challenge to the original tax assessment. A hearing was held on June 26, 2017 on the Department’s motion to dismiss the amended complaint. The trial court denied the Department’s motion on June 28, 2017. The Department has filed an answer to the amended complaint. A final hearing in this case has not been set.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>	This lawsuit is not a class action.		



## Schedule VII: Agency Litigation Inventory

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<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	Timothy Dennis	<b>Phone Number:</b>	(850)- 414-3781
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Anne M. Gannon, in her capacity as Palm Beach County Tax Collector, et al v. Fla. Dep't of Revenue, et al.		
<b>Court with Jurisdiction:</b>	First District Court of Appeal		
<b>Case Number:</b>	1D17-2096 L.T. number 2014 CA 1217 (2nd Jud. Cir.)		
<b>Summary of the Complaint:</b>	<p>This appeal arises from Appellee Magnolia Florida Tax Certificates, LLC’s (Magnolia) Third Amended Complaint for Declaratory Relief ) which raised three counts against the Department of Revenue (DOR). Essentially, Magnolia alleged that the Department’s failure to supervise county tax collectors and failure to enact uniform rules for electronic tax certificate auctions was a breach of duty to the public, violated statutes and violated constitutional due process/ equal protection.</p> <p>At the trial level, the court granted summary judgment to the DOR on all counts. It is anticipated on appeal that Magnolia will also try to revive earlier Antitrust/Conspiracy damages claims, which were dismissed with prejudice.</p>		
<b>Amount of the Claim:</b>	\$ Although damages have never been quantified by Magnolia, in the remote event it were to successfully revive its Antitrust/Conspiracy claims on appeal and then prevail in the trial court, it is likely to claim in excess of the \$500,000 reporting threshold.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Magnolia has not challenged the constitutionality of any specific statute or law.		
<b>Status of the Case:</b>	This is an appeal from a final judgment of the trial court.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This lawsuit is not a class action.
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## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Ginette Harrell	Phone Number:	(850) 414-3787
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	International Academy of Design, Inc. v. Florida Department of Revenue  International Academy of Merchandising & Design, Inc. v. Florida Department of Revenue  (Consolidated case)		
Court with Jurisdiction:	Division of Administrative Hearings		
Case Number:	Consolidated case nos. 17-1562/17-1563.		
Summary of the Complaint:	<p>Petitioners, International Academy of Design &amp; Technology - Orlando (IADT- Orlando) and International Academy of Merchandising Design, Inc., d/b/a International Academy of Design &amp; Technology (IADT-Tampa) allege that they qualify for the exemptions provided in sections 212.0602, and 212.08(7)(o) F.S., and, as such are entitled to a refund of taxes paid to their landlords.</p> <p>The aforementioned statutes provide for a refund of sales to tax to “qualified production services” that are “directly in connection with” the making of a qualified motion picture, as defined by section 212.06(1)(b), F.S. The Petitioners claim they meet the qualifications for exemption under exemption section 212.0602, F.S., as they are engaged in teaching qualified productions services at fixed locations in this state, licensed under Chapter 1005, F.S., with at least 500 enrolled students. Petitioners also claim they qualify for the exemption under section 212.08(7)(0), F.S., because each Petitioner is a “state tax-supported school, college, or university” as they receive funding from the state of Florida via the Bright Futures Program and the Workforce Investment Act, administered by the Florida Department of Economic Opportunity.</p>		
Amount of the Claim:	\$914,097.13, plus interest (consolidated refund requests)		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	Final hearing in this consolidated case was held on June 27, 2017. Both parties have submitted Proposed Recommended Orders. The Administrative Law Judge has not yet entered a Recommended Order.		
Who is representing (of record) the state in this lawsuit? Check all that	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	

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

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	Stephen Masterson	<b>Phone Number:</b>	(850) 414-3779
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	In re: Joint Petition For Rulemaking Of Carlee Wendell, Meredith Johnson. Quantara Williams, and Taryn Brean to Amend Rule 12a-1.020, F.A.C.		
<b>Court with Jurisdiction:</b>	Second District Court of Appeal		
<b>Case Number:</b>	2D17-2847		
<b>Summary of the Complaint:</b>	<p>Appellants appeal a Final Order of the Department of Revenue rendered on June 30, 2017 in which the Department of Revenue denied the Appellants’ Petition to initiate rulemaking pursuant to Section 120.54(7), Florida Statutes, seeking to amend Rule 12A-1.020 of the Florida Administrative Code to exempt feminine hygiene products from Florida’s sales tax in compliance with the Florida and United States constitutions. The petition stated that “[t]he Department of Revenue may accomplish this by adding feminine hygiene products to the Nontaxable Medical items and General Grocery List.”</p> <p>In its Final Order the Department denied petition for two reasons: (1) Chapter 2017-36, Laws of Florida, approved by the Governor on May 25, 2017, amends section 212.08(7)(ooo), F.S., to specifically exempt the products in the Petition, effective January 1, 2018; and (2) the Department stated that it “is already in the process of amending its rules as may be necessary[sic] and appropriate to implement this legislative change at such time as when the statute is effective.”</p>		
<b>Amount of the Claim:</b>	None stated, but as noted in the concurrent circuit court litigation case also described herein, a refund claim that could exceed 25 million dollars has been sought.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Florida Administrative Code Rule 12A-1.020.		
<b>Status of the Case:</b>	The initial brief is due September 11, 2017.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>This lawsuit is not a class action, but is related to the class action lawsuit <i>Carlee Wendell, et al., individually and on behalf of those similarly situated v. Florida Department of Revenue; Leon M. Biegalski, in his official capacity as the Executive Director of the Florida Department of Revenue, et al.</i>, case no. 2016 CA 1526 (2d Jud. Cir.)</p> <p>Dana Brooks Cooper, Esquire Rose Kasweek, Esquire Barrett, Fasig &amp; Brooks 3360 Capital Circle NE, Suite B Tallahassee, Florida 32308</p> <p>Bryan S. Gowdy, Esquire Meredith A. Ross, Esquire Creed &amp; Gowdy, P.A. 865 May Street Jacksonville, Florida 32204</p>
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## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	Timothy Dennis	<b>Phone Number:</b>	(850) 414-3781
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Magnolia Florida Tax Certificates, LLC v. Fla. Dep't of Revenue, et al		
<b>Court with Jurisdiction:</b>	First District Court of Appeal		
<b>Case Number:</b>	1D17-2094		
<b>Summary of the Complaint:</b>	<p>This appeal arises from Appellant Magnolia Florida Tax Certificates, LLC’s (Magnolia) Third Amended Complaint for Declaratory Relief ) which raised three counts against the Department of Revenue (DOR). Essentially, Magnolia alleged that the Department’s failure to supervise county tax collectors and failure to enact uniform rules for electronic tax certificate auctions was a breach of duty to the public, violated statutes and violated constitutional due process/ equal protection.</p> <p>At the trial level, the court granted summary judgment to the DOR on all counts. It is anticipated on appeal that Magnolia will also try to revive earlier Antitrust/Conspiracy damages claims, which were dismissed with prejudice.</p>		
<b>Amount of the Claim:</b>	<p>\$\$ Although damages have never been quantified by Magnolia, in the remote event plaintiff successfully revived its Antitrust/Conspiracy claims on appeal and then prevailed in the trial court, it is likely to claim in excess of the \$500,000 reporting threshold.</p>		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>	The initial brief is due September 29, 2017.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>			





## Schedule VII: Agency Litigation Inventory

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

Agency:	<b>Florida Department of Business and Professional Regulation</b>		
Contact Person:	Clifton Cox	Phone Number:	(850) 414-3780
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	McLane Suneast, Inc. v. Florida Department of Business and Professional Regulation, Division of Alcoholic Beverages and Tobacco, an agency of the State of Florida; Ken Lawson, Secretary; and William Spicola, Director, etc.		
Court with Jurisdiction:	Ninth Judicial Circuit (Osceola County)		
Case Number:	2014 CA 372		
Summary of the Complaint:	<p>McLane is a major distributor of tobacco products, including cigars, cigarettes, and smokeless tobacco. The Department of Business and Professional Regulation (“DBPR”) administers tobacco taxes under chapter 210, Fla. Stat., including taxes on cigarettes and smokeless tobacco (“Other Tobacco Products” or “OTP”) but not on cigars.</p> <p>McLane alleges that the Protecting Florida’s Health Act (Ch. 2009-79, Laws of Florida) violates the dormant Commerce Clause and the Equal Protection Clause of the United States Constitution by taxing different kinds of tobacco products differently, and by increasing taxes on cigarettes and smokeless tobacco products without taxing cigars.</p> <p>McLane contends that approximately 80% of cigars in the United States originate in Florida and that the law violates the dormant commerce clause by preferring the domestic cigar industry over interstate suppliers of cigarettes and OTP. McLane relies upon <i>Div. of Alcoholic Beverages and Tobacco v. McKesson Corp.</i>, 524 So. 2d 1000 (Fla. 1988); <i>Bacchus Imports, Ltd. v. Dias</i>, 468 U.S. 263 (1984); <i>Bainbridge v. Turner</i>, 311 F.3d 1104 (11th Cir. 2002); and <i>Bainbridge v. Turner</i>, Case No. 8:99-cv-02681-JDW-TBM (Dkt. No. 196) (August 5, 2005).</p> <p>McLane filed a series of refund requests based upon its constitutional claims and upon an alleged misapplication of the tobacco tax statutes. DBPR issued a refund claim denial on December 6, 2013.</p> <p>The Amended Complaint seeks declaratory and monetary relief, including a determination that DBPR should be required to issue tax refunds in an unstated amount. The Complaint also seeks “damages” and “attorney’s fees.”</p> <p>DBPR will vigorously defend the Legislature’s prerogative to tax different classes of tobacco products differently, and the State’s interest in promoting public health by discouraging use of cigarettes and</p>		

	smokeless tobacco by increasing taxes on those products.	
Amount of the Claim:	DBPR advises that potential exposure exceeds \$3.5 billion.	
Specific Statutes or Laws (including GAA) Challenged:	Sections 210.011 and 210.276, Florida Statutes.	
Status of the Case:	<p>McLane filed the original complaint on February 3, 2014 and served the Defendants on March 19, 2014. Defendants filed their motion to dismiss the original complaint and McLane filed an amended complaint on September 20, 2014. The Defendants filed a motion to dismiss the amended complaint and motion to strike on October 6, 2014. Defendants also filed a motion to transfer venue to the Second Judicial Circuit pursuant to the agency's home venue privilege and the agency's interpretation of Florida Statutes section 72.011. McLane has served extensive discovery requests related to the Department's administration of the law. The Department has served extensive discovery requests related to venue, and McLane has objected to all those requests. The parties agreed to temporarily abate the litigation in late 2015 to explore the possibility of settlement in conjunction with potential legislation to be considered in the 2016 Florida legislative session. The parties later determined in January 2016 that the agreed abatement of litigation should cease and the case should proceed. Hearings on the pending motions and trial on the merits have not, however, yet been scheduled, and the matter remains informally abated.</p>	
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input type="checkbox"/>	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This lawsuit is not a class action.	

## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Clifton Cox	Phone Number:	(850) 414-3780
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Nissan Infiniti LT, a foreign corporation v. State of Florida, Department of Revenue, an agency of the State of Florida		
Court with Jurisdiction:	Second Judicial Circuit		
Case Number:	15-1124 - Consolidated case (with case no. 15-1125)		
Summary of the Complaint:	<p>This case is consolidated with <i>Nissan Infiniti LT, a foreign corporation v. State of Florida, Department of Revenue, an agency of the State of Florida</i>, case no. 15-1125, Second Judicial Circuit. In this case, the taxpayer challenges the denial of a \$2,770,140.33 sales tax refund, plus interest thereon, while the 1125 case involves a challenge to an assessment of \$8,342.685.41. The principal “factual” challenges for the Department are that the auditor and the audit supervisor are no longer employed by the Department and the Department is having difficulty finding certain audit-related records. The principal factual difficulty for Plaintiff is an even greater lack of business records.</p> <p>The issues in this case are as follows:</p> <p>COUNT 1: Whether all or some portion of the vehicle lease receivables which Nissan recorded as being for “Early Termination” were, in substance, taxable rental for the usage of tangible personal property, rather than payments solely for lease termination. The contractual formula for calculating early termination charges included “past due monthly payments,” amounts due to “excessive wear and tear” and “excess mileage” charges.</p> <p>COUNT 2: Whether the rationale of <i>B&amp;L Concepts, Inc. v. Dep’t of Revenue</i>, 612 So. 2d 720 (Fla. 5th DCA 1993), holding that incidental services are only taxable as “part of the sale” if the purchase of the services are “optional” applies to “Early Termination” charges? These charges were not imposed for “services,” were not “incidental” and related to the rental and usage of property. If the <i>B&amp;L</i> test did apply, were all or a portion of the payments “mandatory” for the usage of the vehicle?</p> <p>COUNT 3: Whether Nissan maintained sufficient records, as required by Florida Administrative Code Rule 12A-1.012(3)(c)1. a. - k. to establish a right to receive a sales tax refund based upon federal bad</p>		

	debt write-offs. In particular, whether Nissan can demonstrate which federal write-offs were for individual Florida customer accounts on which sales tax had been previously paid. Whether Nissan can establish that its refund claim concerning those accounts was filed within the twelve month period prescribed by section 212.17(3), F.S.	
Amount of the Claim:	Refund claim of \$2,770,140.33	
Specific Statutes or Laws (including GAA) Challenged:	None	
Status of the Case:	<p>The Department has served discovery. Nissan has dismissed Count III (the bad debt count) in the 1124 refund complaint. After various rounds of written discovery, the Department took Nissan's deposition on discovery noncompliance. Nissan agreed to provide requested discovery including key documents involving thousands or tens of thousands of pages of Sales Tax Payable Reports which are archived in a legacy system. A protective order has been entered sealing a limited amount of documents and information.</p> <p>At the case management conference on May 11, 2017 the parties stipulated that the plaintiff may submit an amended global complaint regarding the refund and assessment matters by May 31, 2017. The Court allowed the Department to submit its answer and affirmative defenses within 20 days of receiving the amended complaint. The Court scheduled non-jury trial for November 13, 2017, setting aside one week.</p>	
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input type="checkbox"/>	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This lawsuit is not a class action.	

## Schedule VII: Agency Litigation Inventory

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Agency:	<b>Florida Department of Revenue</b>		
Contact Person:	Clifton Cox	Phone Number:	(850) 414-3780
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Nissan Infiniti LT, a foreign corporation v. State of Florida, Department of Revenue, an agency of the State of Florida		
Court with Jurisdiction:	Second Judicial Circuit		
Case Number:	15-1125 - Consolidated case (with case no. 15-1124)		
Summary of the Complaint:	<p>This case is consolidated with <i>Nissan Infiniti LT, a foreign corporation v. State of Florida, Department of Revenue, an agency of the State of Florida</i>, case no. 15-1124, Second Judicial Circuit. In this case, the taxpayer challenges an assessment of \$8,342.685.41, while in case no. 1124 the taxpayer challenges the denial of a \$2,770,140.33 sales tax refund, plus interest thereon.</p> <p>The issues in this case are as follows:</p> <p>COUNT 1: Whether all or some portion of the vehicle lease receivables which Nissan recorded as being for “Early Termination” were, in substance, taxable rental for the usage of tangible personal property, rather than payments solely for lease termination. The contractual formula for calculating early termination charges included “past due monthly payments,” amounts due to “excessive wear and tear” and “excess “mileage” charges.</p> <p>COUNT 2: Whether all or some portion of the vehicle lease receivables which Nissan recorded as being for “Excessive Wear and Tear” were taxable rental for the usage of tangible personal property.</p> <p>COUNT 3 &amp; 4: Whether the rationale of <i>B&amp;L Concepts, Inc. v. Dep’t of Revenue</i>, 612 So. 2d 720 (Fla. 5th DCA 1993), holding that incidental services are only taxable as “part of the sale” if the purchase of the services are “optional” applies to “Early Termination” and “Excessive Wear and Tear” charges? These charges were not imposed for “services,” were not “incidental” and related to the rental and usage of property. If the <i>B&amp;L</i> test did apply, were all or a portion of the payments “mandatory” for the usage of the vehicle?</p>		
Amount of the Claim:	\$8,342.685.41		
Specific Statutes or Laws (including GAA) Challenged:	None		

<p>Status of the Case:</p>	<p>The Department has served discovery. Nissan has dismissed Count III (the bad debt count) in the 1124 refund complaint. After various rounds of written discovery, the Department took Nissan's deposition on discovery noncompliance. Nissan agreed to provide requested discovery including key documents involving thousands or tens of thousands of pages of Sales Tax Payable Reports which are archived in a legacy system. A protective order has been entered sealing a limited amount of documents and information.</p> <p>At the case management conference on May 11, 2017 the circuit court the parties stipulated that the plaintiff may submit an amended global complaint regarding the refund and assessment matters by May 31, 2017. The Court allowed the Department to submit its answer and affirmative defenses within 20 days of receiving the amended complaint. The Court scheduled non-jury trial for November 13, 2017, setting aside one week.</p>	
<p>Who is representing (of record) the state in this lawsuit? Check all that apply.</p>	<input type="checkbox"/>	<p>Agency Counsel</p>
	<input checked="" type="checkbox"/>	<p>Office of the Attorney General or Division of Risk Management</p>
	<input type="checkbox"/>	<p>Outside Contract Counsel</p>
<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>This lawsuit is not a class action.</p>	

## Schedule VII: Agency Litigation Inventory

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Agency:	<b>Florida Department of Revenue</b>		
Contact Person:	John Mika	(850 414-3788)	
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Pinellas Auto Brokers, Inc. v. Florida Department of Revenue		
Court with Jurisdiction:	Division of Administrative Hearings		
Case Number:	17-3183		
Summary of the Complaint:	The issue in this case is whether Pinellas Auto Brokers has (i) provided complete records; (ii) demonstrated certain assessed transactions were duplicated; (iii) provided proof it was not properly given full credit for taxes paid; and (iv) engaged in purchases for resale.		
Amount of the Claim:	\$509,216.90		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	Final hearing is scheduled for September. 14, 2017		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This lawsuit is not a class action.		

## Schedule VII: Agency Litigation Inventory

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<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	John Mika	<b>Phone Number:</b>	(850) 414-3788
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Prestige Vacation Corporation v. Florida Department of Revenue		
<b>Court with Jurisdiction:</b>	Division of Administrative Hearings (DOAH)		
<b>Case Number:</b>	17-4506 consolidated case		
<b>Summary of the Complaint:</b>	<p>This case is consolidated with <i>Stephen M. Wilkins v. Florida Department of Revenue</i>, DOAH case no. 17-4507. In this case the Department has made an assessment against Prestige Vacation Corporation (“taxpayer”), not Stephen Wilkins, although he is the 100% shareholder of the company (since dissolved). The issue in this case is whether the taxpayer has provided sufficient information and documentation to support a withdrawal of any portion of the sales and use tax assessment specifically relating to (i) sales tax collected but not remitted to the Department; (ii) sales tax due on Taxpayer's general expense purchases; (iii) sales tax due on certain fixed asset purchases with respect to the Audit period of July 2, 2002 through January 31, 2009.</p>		
<b>Amount of the Claim:</b>	\$2,561.363.41		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	None		
<b>Status of the Case:</b>	Final hearing in this case is scheduled for November 1, 2017.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>	This lawsuit is not a class action.		



## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Clifton Cox	Phone Number:	(850) 414-3780
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	PWG Florida, Inc. v. Florida Department of Revenue		
Court with Jurisdiction:	Division of Administrative Hearings		
Case Number:	16-934		
Summary of the Complaint:	<p>PWG is a fine art gallery that also sells art on cruises originating in Florida. The auditor (Yasser Olyaan) e-mailed the taxpayer's representative (Patrick Gregory CPA) on various occasions requesting records and other information. The auditor did not receive responses to his e-mails. The auditor, therefore, calculated the assessment as the product of current sales and the error ratio from a previous audit. The Department issued its NOPA and served the NOPA by e-mail, regular mail, and fax to the taxpayer's representative as stated in the Power of Attorney and Declaration of Representative. PWG claims that it never received the NOPA so due process avoids the statutory bar against late-filed claims</p> <p>The taxpayer did not respond to the NOPA within the required time, so the Department issued a Notice of Intent To Levy. The taxpayer then contested both the levy and the underlying assessment by filing an administrative petition.</p>		
Amount of the Claim:	Approximately \$500,000		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	Jurisdiction was relinquished to the Department by joint request of the parties, in order that they may conduct discovery and explore settlement. There is no immediate timeline to refer this matter back to the Division of Administrative Hearings.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This lawsuit is not a class action.
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## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	Amanda McKibben	<b>Phone Number:</b>	(850) 414-3714
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Sinapsis Trading USA, LLC v. Department of Revenue		
<b>Court with Jurisdiction:</b>	Division of Administrative Hearings		
<b>Case Number:</b>	16-4293		
<b>Summary of the Complaint:</b>	<p>For the audit period of February 1, 2012 through January 31, 2015, the years taxpayer provided a luggage-wrapping service at 19 locations throughout the Miami International Airport pursuant to a five (5) year agreement with Miami-Dade County Aviation Department (MDCAD). (Airline passengers, typically on international flights, will wrap their luggage with this method to deter theft, protect the luggage from the elements, and prevent damage to the luggage).</p> <p>The issue in this case is whether the taxpayer’s wrapping sales are subject to sales tax. The taxpayer argues that the assessment is invalid because: (1) the auditor did not sign Form DR-840, Notice of Intent to Audit Books and Records; (2) the wrapping sales represent nontaxable services; and (3) the wrapping sales are nontaxable out-of-state sales of a protection service.</p>		
<b>Amount of the Claim:</b>	\$1,856,220.28		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	None		
<b>Status of the Case:</b>	A final hearing in this case has not been scheduled.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>	This lawsuit is not a class action.		

## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Clifton Cox	Phone Number:	(850) 414-3780
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Universal Property & Casualty Insurance Company v. State of Florida, Department of Revenue		
Court with Jurisdiction:	Second Judicial Circuit		
Case Number:	2011 CA 2462		
Summary of the Complaint:	<p>The issue in this case is whether finance, service charges, and managing general agent (MGA) fees should be included in the premiums upon which premium tax is calculated under section 624.509, F.S. and State Fire Marshal regulatory assessment and surcharge are calculated under section 624.515(1)(a), F.S.</p> <p>The taxpayer has challenged the assessment sustained by the Notice of Decision attached to the complaint. In addition, the taxpayer challenged a refund denial, but did not attach documentation pursuant to Rule 1.130, Fla. R. Civ. P.</p> <p>The Amended Complaint adds a claim for refund based upon inclusion of the salary tax credit for salaries of employees of the managing general agents. Plaintiff claims that inclusion of their wages would result in a salary tax credit of approximately \$800,000 for tax year 2007 and of more than \$1,000,000 for 2009. The amount of the requested refund would significantly exceed the amount of the assessment. The Department has not verified the amount claimed.</p> <p>The Department’s Rule, 12B-8.001(1), F.A.C., has specifically directed inclusion of managing general agent fees since 2/19/1993, and of finance charges since 6/15/1994. The Amended Complaint alleges the rule is invalid but the taxpayer has not filed a rule challenge pursuant to section 120.56, Fla. Stat. DOR, however, has expressed reservations about including failure to exhaust administrative remedies as a defense.</p>		
Amount of the Claim:	\$49,278.89 assessment; approximately \$2 million refund claim.		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	The parties are engaged in discovery. A final hearing date has not been scheduled.		
Who is representing (of	Agency Counsel		

record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input type="checkbox"/>	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This lawsuit is not a class action.	

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	Clifton Cox	<b>Phone Number:</b>	(850) 414-3780
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Universal Property & Casualty Insurance Company v. State of Florida, Department of Revenue		
<b>Court with Jurisdiction:</b>	Second Judicial Circuit		
<b>Case Number:</b>	2015 CA 447		
<b>Summary of the Complaint:</b>	<p>The issue in this case is whether finance, service charges, and managing general agent (MGA) fees should be included in the premiums upon which premium tax is calculated under section 624.509, F.S. and State Fire Marshal regulatory assessment and surcharge are calculated under section 624.515(1)(a), F.S.</p> <p>The taxpayer has challenged the assessment sustained by the Notice of Decision attached to the complaint. In addition, the taxpayer challenged a refund denial, but did not attach documentation pursuant to Rule 1.130, Fla. R. Civ. P.</p> <p>The Amended Complaint adds a claim for refund based upon inclusion of the salary tax credit for salaries of employees of the managing general agents. Plaintiff claims that inclusion of their wages would result in a salary tax credit of approximately \$1.5 million/year. The amount of the requested refund would significantly exceed the amount of the assessment.</p>		
<b>Amount of the Claim:</b>	\$1,473,820.78 assessment; approximately \$1.5 million refund claimed, although not verified by the Department.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	None		
<b>Status of the Case:</b>	The parties are engaged in discovery. A final hearing date has not been scheduled.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This lawsuit is not a class action.
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## 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:	<b>Florida Department of Revenue</b>		
Contact Person:	Stephen Masterson	Phone Number:	(850) 414-3779
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Carlee Wendell, et al., individually and on behalf of those similarly situated v. Florida Department of Revenue; Leon M. Biegalski, in his official capacity as the Executive Director of the Florida Department of Revenue; Florida Department of Business and Professional Regulation; Ken Lawson, in his official capacity as the Secretary of the Florida Department of Business and Professional Regulation; Florida Department of Health; Celeste Philip, M.D., in her official capacity as the Secretary of the Florida Department of Health; CVS Pharmacy, Inc.; Holiday CVS, LLC; Publix Super Markets, Inc.; Target Corporation; Walgreen Company and Wal-Mart Stores, Inc.		
Court with Jurisdiction:	2nd Judicial Circuit		
Case Number:	2016 CA 1526		
Summary of the Complaint:	<p>This is a purported class action lawsuit based on the plaintiffs’ contention that Florida’s sales tax on feminine hygiene products, such as tampons and menstrual pads, is unconstitutional under various provisions, including the Due Process and Equal Protection clauses, of the State and Federal Constitutions. Plaintiffs’ second amended class action complaint contains five counts: (1) facial constitutional challenge – refund claim; (2) As-applied constitutional challenge – refund claim; (3) facial constitutional challenge – declaratory and injunctive relief; (4) As-applied challenge – declaratory and injunctive relief; and (5) Civil rights claim under 42 U.S.C. § 1983 – declaratory and injunctive relief.</p> <p>Each of these counts is grounded upon the allegation that section 212.08(2), Florida Statutes, has been illegally implemented by the State Defendants through Florida Administrative Code Rule 12A-1.020(5) as they attack the list of exempt products referenced in section 212.08(2) and Rule 12A-1.020.</p>		
Amount of the Claim:	The amount of the refund claim sought by plaintiffs has never been established. The refund claim may, however, exceed \$25 million.		
Specific Statutes or Laws (including GAA) Challenged:	Ch. 86-166, § 5, Laws of Fla.; § 212.08(2), Fla. Stat., and Florida Administrative Code Rule 12A-1.020(2).		
Status of the Case:	On February 2, 2017, the circuit court entered an order denying plaintiffs’ motion for partial summary judgment, granting the Department of Revenue’s motion for summary judgment, and granting the Department’s motion to dismiss plaintiffs’ second amended complaint as to the Department. That order left the case pending against the retail defendants and the other State Defendants.		



	<p>The plaintiffs appealed the February 2 order of dismissal to the First District Court of Appeal, case no. 1D17-0910. On March 27, 2017, the First District dismissed the appeal as premature.</p> <p>On June 28, 2017, the Plaintiffs filed a Motion for Leave to File a Third Amended Complaint. On July 6, 2017, the Department filed an Objection to Plaintiffs' Motion for Leave to Amend Complaint. No hearing has been set on Plaintiffs' motion, however, and the case remains pending in the circuit court. The proposed Third Amended Complaint drops the other state defendants, Department of Health and the Department of Business and Professional Responsibility.</p>	
<p>Who is representing (of record) the state in this lawsuit? Check all that apply.</p>		<p>Agency Counsel</p>
	<p><input checked="" type="checkbox"/></p>	<p>Office of the Attorney General or Division of Risk Management</p>
		<p>Outside Contract Counsel</p>
<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>This case involves a class action complaint. No class has been certified.</p> <p>Dana Brooks Cooper, Esquire  Rose Kasweek, Esquire  Barrett, Fasig &amp; Brooks  3360 Capital Circle NE, Suite B  Tallahassee, Florida 32308</p> <p>Rebecca B. Creed, Esquire  Bryan S. Gowdy, Esquire  Jessie L. Harrell, Esquire  Meredith A. Ross, Esquire  Creed &amp; Gowdy, P.A.  865 May Street  Jacksonville, Florida 32204</p> <p>Sophia Goren, Esquire  Jeffrey Kaliel, Esquire  Tycko &amp; Zavareei, LLP  1828 L Street, NW, Suite 1000  Washington, DC 20036</p>	

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Florida Department of Revenue</b>		
<b>Contact Person:</b>	John Mika	<b>Phone Number:</b>	(850) 414-3788
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Stephen M. Wilkins v. Florida Department of Revenue		
<b>Court with Jurisdiction:</b>	Division of Administrative Hearings (DOAH)		
<b>Case Number:</b>	17-4507 (consolidated with 17-4506)		
<b>Summary of the Complaint:</b>	This case is consolidated with <i>Prestige Vacation Corporation v. Florida Department of Revenue</i> , DOAH case no. 17-4506. In this case the Department has made an assessment Stephen Wilkins (“taxpayer”), the 100% shareholder of the company (since dissolved) and not against Prestige Vacation Corporation. The issue in this case is whether Stephen M. Wilkins (the “Taxpayer”) has provided sufficient information and documentation to support a withdrawal of any portion of the sales and use tax assessment specifically relating to (i) sales tax collected but not remitted to the Department; (ii) sales tax due on Taxpayer's general expense purchases; (iii) sales tax due on certain fixed asset purchases with respect to the Audit Period of June 1, 2006 through May 31, 2009.		
<b>Amount of the Claim:</b>	\$895,307.65		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	None		
<b>Status of the Case:</b>	Final hearing is scheduled for November 1, 2017.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>	This lawsuit is not a class action.		

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Department of Legal Affairs, Office of the Attorney General</b>		
<b>Contact Person:</b>	Diana R. Esposito	<b>Phone Number:</b>	813-577-4532
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Christina Paylan v. Pam Bondi, et al. (The State Defendants in this lawsuit are Pam Bondi, SA Mark Ober, ASAs Darrell Dirks and Christine Brown.		
<b>Court with Jurisdiction:</b>	U.S. Middle District-Tampa		
<b>Case Number:</b>	8:15-cv-01366-CEH-AEP		
<b>Summary of the Complaint:</b>	Christina Paylan claims that Pam Bondi’s pill mill initiative caused her arrest, conviction and incarceration because the Assistant State Attorneys were anxious to get a drug conviction against a doctor. The case is frivolous as to Pam Bondi.		
<b>Amount of the Claim:</b>	Plaintiff claims \$37 million generally out of the many defendants		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>	Case has been dismissed and is on appeal. The appeal is not likely to be successful for the plaintiff.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>			

## Schedule VII: Agency Litigation Inventory

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

Agency:	<b>Department of Education; State Board of Education; Board of Governors of the State University System</b>		
Contact Person:	Stephanie A. Daniel	Phone Number:	850-414-3666
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Alexis S. Geffin and Ryan J. Geffin v. Governor Rick Scott; Joe Negron, Florida Senate President; Richard Corcoran, Florida Speaker of the House of Representatives; Florida State Board of Education; Florida State Board of Governors of the State University System and Pam Stewart, Florida Commissioner of Education, and Thomas A. Warren and Kathleen Villacorta, individually and on behalf of a proposed Donor Class v. Governor Rick Scott; Joe Negron, Florida Senate President; Richard Corcoran, Florida Speaker of the House of Representatives; Florida State Board of Education; Florida State Board of Governors of the State University System and Pam Stewart, Florida Commissioner of Education. <b>THESE TWO CASES HAVE BEEN CONSOLIDATED</b>		
Court with Jurisdiction:	Second Judicial Circuit in and for Leon County, Florida		
Case Number:	2017-CA-1364 & 2017-CA-1526		
Summary of the Complaint:	<p>These consolidated cases are brought by two alumni of the University of Florida and two donors of scholarship and student research funds at The Florida State University respectively, on behalf of two classes of individuals. In <i>Warren</i>, Plaintiffs propose a class consisting of all persons or entities that donated money eligible for state matching funds to Florida’s public colleges or universities or their foundations from July 1, 2008 to the present. In <i>Geffin</i>, Plaintiffs propose a class consisting of all former, current, and future students who matriculated or will matriculate at any of Florida’s public colleges, community colleges, and universities, while either the students or their colleges, community colleges or universities were eligible for any funds under sections 1011.32, 1011.85, 1011.94, or 1013.79, Florida Statutes, from July 1, 2012 to the present.</p> <p>Plaintiffs challenge the failure of the executive defendants to request matching funds pursuant to four programs: the Dr. Philip Benjamin Matching Grant Program for Florida College System Institutions, established pursuant to section 1011.85, Florida Statutes; the Florida College System Facility Enhancement Challenge Grant Program, established pursuant to section 1011.32, Florida Statutes; the University Major Gifts Program, established pursuant to section 1011.94, Florida Statutes; and the University Facility Enhancement Challenge Grant Program, established in section 1013.79, Florida Statutes.</p> <p>Plaintiffs assert that the failure to request and appropriate matching funds amounts to a violation of Article III, section 12 of the Florida</p>		

	Constitution (which provides that appropriations acts shall embrace only a single subject – appropriations); that Defendants have breached the gift agreements/contracts between donors and the respective institutions and institution foundations, and that Defendants have violated Article IX, Section 1(A) of the Florida Constitution, which requires that adequate provision be made by law for, among other things, the establishment, maintenance, and operation of institutions of higher learning.
Amount of the Claim:	\$600-\$700 million
Specific Statutes or Laws (including GAA) Challenged:	2017 General Appropriation Act, Ch. 2017-70 [However, Plaintiffs challenge the failure to appropriate in General Appropriations Acts going back to 2012-2013 as well.]
Status of the Case:	The two complaints were served on defendants in late July 2017. Defendants moved to consolidate the cases, and an order was entered consolidating the two cases on 8/21/2017. The parties have agreed that the due date for a response to the consolidated complaints shall be extended to 10/11/2017.
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/> Agency Counsel
	<input checked="" type="checkbox"/> Office of the Attorney General or Division of Risk Management
	<input type="checkbox"/> Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	<p>Eugene E. Stearns  Grace L. Mead  Morgan Q. McDonough  Stearns Weaver Miller Weissler  Alhadeff &amp; Sitterson, P.A.  Museum Tower  150 West Flagler Street  Suite 2200  Miami, Florida 33130</p> <p>Glenn Burhans, Jr.  Kelly O'Keefe  Stearns Weaver Miller Weissler  Alhadeff &amp; Sitterson, P.A.  Highpoint Center  106 East College Avenue  Suite 700  Tallahassee, FL 32301</p>

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Florida Department of Corrections</b>		
<b>Contact Person:</b>	Lance Neff	<b>Phone Number:</b>	(850) 414-3633
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Carl Hoffer, et al. v. Secretary Julie Jones		
<b>Court with Jurisdiction:</b>	U.S. Dist. Ct., Northern Dist. of FL		
<b>Case Number:</b>	4:17-CV-214		
<b>Summary of the Complaint:</b>	Randall Berg of the Florida Justice Institute has brought a case in the Northern District of Florida, the Honorable Mark Walker presiding, on behalf of three inmates in the Florida Department of Corrections (“FDC”). These three inmates have Hepatitis C and are seeking the latest treatment for HCV, direct acting antiviral drugs. They seek injunctive relief under 42 U.S.C. § 1983 (deliberate indifference under the Eighth Amendment) and under the Americans with Disabilities Act and the Rehabilitation Act. The plaintiffs are also seeking class certification and a preliminary injunction.		
<b>Amount of the Claim:</b>	Depending on the size of the class (up to 20,000 inmates), if a class action is granted, up to 1 billion dollars.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	FDC Health Services Bulletin 15.03.09, Supplement #3 (April 2017)		
<b>Status of the Case:</b>	A motion to dismiss the ADA/RA claims is pending. A hearing on the preliminary injunction and class certification motions will be held on September 14, 2007 and is scheduled for four days.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>	Plaintiffs are seeking class certification. Florida Justice Institute represents the Plaintiffs.		

## 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:	<b>Florida Department of Management Services</b>		
Contact Person:	Jonathan Glogau	Phone Number:	(850) 414-3817
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Northwood Associates, LLC v. Ken Detzner, Secretary of State; Chad Poppell, Secretary, Department of Management Services; Ken Lawson, Secretary, Department of Business and Professional Regulation; Mike Carroll, Secretary, Department of Children and Families; Cissy Proctor, Executive Director , Department of Economic Opportunity; Jason M. Allison, State Chief Information Officer; and Pam Stewart, Commissioner of Education		
Court with Jurisdiction:	Florida second Judicial Circuit		
Case Number:	2016-CA-0823		
Summary of the Complaint:	Plaintiff, Northwood Assoc., owned/managed the Northwood Center which housed DBPR and other state agencies. In the 2016 Legislative session, the Legislature included a proviso in the General Appropriations Act stating that no funds were appropriated for the Northwood leases, thereby invoking the “availability of funds” provision of the lease and cancelling it. Northwood sued claiming the proviso was unconstitutional and constituted a breach of the lease.		
Amount of the Claim:	The amount of the claim has never been established but has been estimated as being up to \$48 million.		
Specific Statutes or Laws (including GAA) Challenged:	2016 GAA		
Status of the Case:	A motion to dismiss was denied, an answer with affirmative defenses was filed and discovery is ongoing in anticipation of a motion for summary judgment. Plaintiff filed an amended complaint adding another count which the agency moved to dismiss. The House of Representatives which is represented by in house counsel has now intervened in the case.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	This case is not a class action
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**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2016 - 2017**

**Department Attorney  
t: General's  
Office**

**Chief Internal Auditor:** Judy Goodman

**Budget** 41101000  
**Entity:**

**Phone Number:** 850-414-3456

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
OIG 16-18 Follow-Up to OIG 15-04	Apr-17	Procurement Management/ Contract Monitoring	<p><b>Recommendation Number One:</b></p> <p>OAG should consider centralizing Purchasing functions.</p> <p>Purchasing duties should be assigned and stabilized such that expectations are clearly communicated to staff through well-defined performance duties and job descriptions.</p>	<p>Considered, but not implemented.</p> <p>Partially implemented, job descriptions continue to be tweaked.</p>	

Purchasing related job descriptions, policies and procedures should be updated such that clear expectations are given to employees regarding their job duties. In addition, online procedures, forms, guidance should be updated such that the agency knows what is expected to carry out effective and efficient purchasing and how to accomplish a purchase. A comprehensive purchasing manual could be created for purchasing functions within the OAG including forms, guidance, TIPS, and references to rules/statutes.

**Recommendation Numbers Two:**

Purchasing should consider utilizing MyFloridaMarketPlace or modify the legacy Lotus Notes Purchasing system. Or, the OAG could purchase a stand-alone, market ready system to replace Lotus Notes Purchasing system if it can be integrated with MyFloridaMarketPlace.

**Recommendation Number Three:**

Purchasing should ensure that:  
Competitive Solicitations: purchases should always be made in accordance with F.S. and Codes;

Quotes: documentation should be maintained for all quotes in compliance with record retention laws; and

Training: The department should provide general training for all those associated with purchasing on how to access and utilize state and federal purchasing agreements.

Partially implemented, policies continue to undergo review. Purchasing has not developed a comprehensive purchasing manual because DMS publishes a comprehensive purchasing manual.

Considered and researched, but not yet implemented.

Implemented

Implemented

Implemented

Purchasing related policies and procedures should be updated to provide guidance regarding the use of federal purchasing contracts. Specific clarification regarding GSA contracts should be provided as to when they should be used.

Partially implemented

**Recommendation Number Four:**

All purchases must be approved in advance. In the event that an approved purchase requisition cannot be obtained prior to the request for goods or services, an after the fact purchase requisition or settlement agreement will be required prior to payment. When necessary, contract amendments should be used to properly authorize expenditure of contract funds in excess of the established contract amount. Blanket requisitions should be issued to cover goods and services that are procured from a specific vendor frequently or without notice.

Implemented

We recommend that the Division of Administrative Services provide training in order to give better guidance to OAG employees responsible for ordering commodities and services. We recommend that Purchasing ensure that, for all commodities or contractual services procured without a purchase requisition or contract agreement, adequate written justification is maintained to demonstrate the conditions and circumstances necessitating the settlement agreement. We also recommend Purchasing enhance its written procedures relating to documentation needed for settlement agreements to sufficiently meet the requirements of the DFS Reference Guide for State Expenditures and applicable Chief Financial Officer Memoranda.

Partially implemented

**Recommendation Number Five:**

The OAG should consider utilizing MyFloridaMarketPlace for purchasing or make system modifications to the legacy Lotus Notes Purchasing system. Purchasing could purchase a stand alone, market ready system to replace Lotus Notes Purchasing system as long as it could be integrated with MyFloridaMarketPlace.

**Recommendation Number Six:**

We recommend that Purchasing enhance policies and procedures to ensure effective performance of both programmatic and fiscal monitoring of contracts in compliance with DFS guidance. Additionally, Purchasing should appropriately document contract monitoring and review activities as well as keeping track of financial statement findings to ensure appropriate corrective action is taken.

Considered, but not yet implemented.

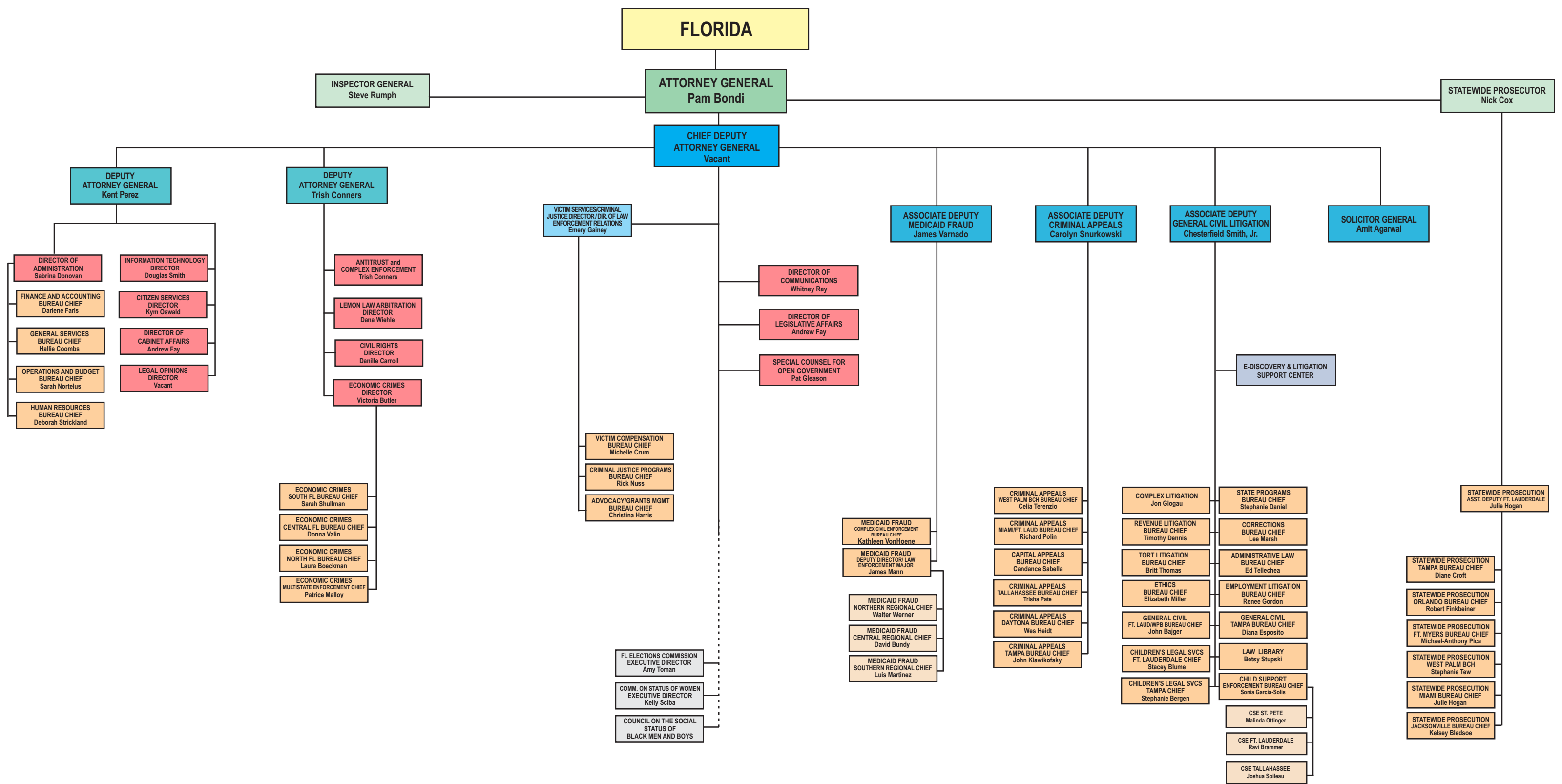
Partially implemented, the Purchasing related contract monitoring tool checklist could be further expanded to include additional fiscal monitoring aspects as detailed in Chapter 5 in the DFS State of Florida Contract and Grant User guide. In addition, audit report findings could be tracked and monitored to ensure timely corrective is action. Summary statements or conclusions could be added to the monitoring reports.

The monitoring reports in some cases should be expanded to include whether current operations were observed and an indication of personnel and key systems reviewed. A summary statement should be included as to whether grant requirements were evaluated and the conclusion.

Partially implemented regarding training, we noted 21 staff had attended FCCM training during August to October, 2016. Others are waiting to attend the training once spaces are made available by DMS.

		<p>Specifically, Purchasing site visits should verify the following and document in their monitoring report:</p> <ul style="list-style-type: none"><li>• Contracts with recipients and sub-recipients maintain both cost and programmatic records for at least five years,</li><li>• Recipients and sub-recipients have adequate cost accounting systems or require the provider to maintain separate bank accounts,</li><li>• Each state and federal financial assistance grant should be tracked separately by funding source and agreement,</li><li>• Non-expendable property acquired with state or federal funds is disposed of properly, and</li><li>• Unused funds are returned to the state.</li></ul> <p>Finally, Purchasing should encourage all contract managers to attend mandatory DFS contract manager training.</p>		
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# STATE OF FLORIDA OFFICE OF THE ATTORNEY GENERAL



LEGAL AFFAIRS, DEPARTMENT OF, AND ATTORNEY GENERAL		FISCAL YEAR 2016-17			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT				308,599,318	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)				-42,606,945	
FINAL BUDGET FOR AGENCY				265,992,373	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					0
Lemon Law * Number of Active Lemon Law Cases		591	2,847.82	1,683,064	
Child Support Enforcement * Number of final orders obtained representing the Department of Revenue in child support enforcement proceedings.		44,900	173.95	7,810,311	
Antitrust * Number of cases enforcing provisions of the Antitrust Act		118	33,058.34	3,900,884	
Racketeer Influenced And Corrupt Organization (rico) Consumer Fraud * Cases enforcing the Racketeer Influenced and Corrupt Act and Unfair and Deceptive Trade Practices Act.		450	24,850.46	11,182,708	
Commission On Ethics Prosecutions * Number of cases prosecuted before the Florida Commission on Ethics		336	872.78	293,254	
Medicaid Fraud Control * Number of cases investigated involving Medicaid fraud activities		930	20,281.50	18,861,792	
Children's Legal Services * Number of cases representing the Department of Children and Families in juvenile dependency and termination of parental rights proceedings		44,664	206.98	9,244,408	
Civil Rights * Number of cases investigated and prosecuted involving violations of civil rights		42	16,632.05	698,546	
Solicitor General And Complex Litigation * Number of cases		519	3,727.07	1,934,351	
Opinions * Number of Opinions Issued		120	6,049.83	725,980	
Cabinet Support Services * Number of Cabinet Meetings		11	46,235.82	508,594	
Eminent Domain * Cases representing the Department of Transportation and other government agencies in eminent domain proceedings.		107	4,165.97	445,759	
Sexual Predator Civil Commitment Appeals * Number of cases		40	7,068.40	282,736	
Non-capital Criminal Appeals * Number of cases - non-capital appellate litigation		25,398	623.96	15,847,289	
Capital Appeals * Number of cases - capital appellate litigation		783	3,970.74	3,109,088	
Administrative Law * Number of cases		550	4,669.91	2,568,452	
Tax Law * Number of cases enforcing, defending and collecting tax assessments		1,329	1,150.59	1,529,133	
Civil Litigation Defense Of State Agencies * Number of cases defending the state and its agents in litigation of appellate, corrections, employment, state programs and tort.		4,283	2,495.88	10,689,845	
Grants-victims Of Crime Advocacy * Number of victims served through grants.		482,363	76.48	36,891,992	
Victim Notification * Number of criminal and capital appellate services provided		10,775	184.45	1,987,467	
Victim Compensation * Number of victim compensation claims recieved		21,171	895.93	18,967,642	
Minority Crime Prevention Programs * Number of crime prevention programs and local funding initiative assisted		9	1,020,947.56	9,188,528	
Grants-crime Stoppers * Number of Crime Stopper agencies assisted		27	173,351.15	4,680,481	
Crime Prevention/Training * Number of people attending training		3,531	151.40	534,589	
Investigation And Prosecution Of Multi-circuit Organized Crime * Annual volume of investigations handled		932	8,717.47	8,124,686	
Prosecution Of Violations Of The Florida Election Code * Number of cases handled.		934	1,505.71	1,406,333	
TOTAL				173,097,912	
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER					
REVERSIONS				92,894,354	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				265,992,266	

## 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.



NUCSSP03 LAS/PBS SYSTEM  
BUDGET PERIOD: 2008-2019  
STATE OF FLORIDA

SP 09/14/2017 19:14  
SCHED XI: AGENCY-LEVEL UNIT COST SUMMARY  
AUDIT REPORT LEGAL AFFAIRS/ATTY GENERAL

-----  
ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

-----  
THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD (RECORD TYPE 5)  
AND SHOULD NOT:

\*\*\* NO ACTIVITIES FOUND \*\*\*

-----  
THE FCO ACTIVITY (ACT0210) CONTAINS EXPENDITURES IN AN OPERATING CATEGORY AND SHOULD NOT:  
(NOTE: THIS ACTIVITY IS ROLLED INTO EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION  
TECHNOLOGY)

\*\*\* NO OPERATING CATEGORIES FOUND \*\*\*

-----  
THE FOLLOWING ACTIVITIES DO NOT HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND ARE REPORTED AS 'OTHER' IN  
SECTION III: (NOTE: 'OTHER' ACTIVITIES ARE NOT 'TRANSFER-STATE AGENCY' ACTIVITIES OR 'AID TO LOCAL  
GOVERNMENTS' ACTIVITIES. ALL ACTIVITIES WITH AN OUTPUT STANDARD (RECORD TYPE 5) SHOULD BE REPORTED  
IN SECTION II.)

\*\*\* NO ACTIVITIES FOUND \*\*\*

-----  
TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 41	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	265,992,373	
TOTAL BUDGET FOR AGENCY (SECTION III):	265,992,266	
	-----	-----
DIFFERENCE:	107	
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

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

**Agency:** Department of Legal Affairs      **Contact:** Bonnie Rogers

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

- 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

## Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Legal Affairs

Agency Budget Officer/OPB Analyst Name: Sarah Nortelus / Kristen Atchley

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

Action	Program or Service (Budget Entity Codes)		
	41100000	41200000	413000000

### 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	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

### 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
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

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. <b>A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.</b>			
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### 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	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	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

### 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	N/A	N/A	N/A
-----	--	-----	-----	-----

### AUDITS:

		Program or Service (Budget Entity Codes)		
Action		41100000	41200000	413000000
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y
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.			
<b>4. EXHIBIT D (EADR, EXD)</b>				
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.			
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>				
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y
<b>AUDITS:</b>				
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column</b>	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.			

		Program or Service (Budget Entity Codes)		
Action		41100000	41200000	41300000
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			
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>				
6.1	Are issues appropriately aligned with appropriation categories?	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.			
<b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>				
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
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
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR	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
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A	N/A
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	N/A	N/A	N/A
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR PLMO)</b>	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y

Action		Program or Service (Budget Entity Codes)		
		41100000	41200000	413000000
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.	N/A	N/A	N/A
7.16	Do the issue codes relating to special <i>salary and benefits</i> 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.)	N/A	N/A	N/A
7.17	Do the issues relating to <i>Information Technology (IT)</i> 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
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	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?	N/A	N/A	N/A
<b>AUDIT:</b>				
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? ( <b>GENR, LBR1</b> )	N/A	N/A	N/A
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? ( <b>GENR, LBR2</b> )	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? ( <b>GENR, LBR3</b> )	N/A	N/A	N/A
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)</b> )	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.			
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 160XXXX0 issue amounts correspond accurately and <del>not to zero for General Revenue funds</del> .			
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.			

	Program or Service (Budget Entity Codes)		
Action	41100000	41200000	413000000

**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
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	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
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y	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
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable	Y	Y	Y
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,	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	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
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
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A	N/A	N/A
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y
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

Action		Program or Service (Budget Entity Codes)		
		41100000	41200000	413000000
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	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
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
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Y	Y	Y
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y
<b>AUDITS:</b>				
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? ( <b>SC1R, SC1A - Report should print "No Discrepancies Exist For This Report"</b> )	Y	Y	Y
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. ( <b>SC1R, DEPT</b> )	Y	Y	Y
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
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	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.			



		Program or Service (Budget Entity Codes)		
Action		41100000	41200000	41300000
<b>9. SCHEDULE II (PSCR, SC2)</b>				
AUDIT:				
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	Y	Y	Y
<b>10. SCHEDULE III (PSCR, SC3)</b>				
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A	N/A	N/A
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	N/A	N/A	N/A
<b>11. SCHEDULE IV (EADR, SC4)</b>				
11.1	Are the correct Information Technology (IT) issue codes used?	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.			
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>				
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>				
13.1	<b>NOT REQUIRED FOR THIS YEAR</b>	N/A	N/A	N/A
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)</b>				
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
<b>15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)</b>				
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
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
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
AUDIT:				
15.6	Do the issues net to zero at the department level? ( <b>GENR, LBR5</b> )	N/A	N/A	N/A
<b>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)</b>				

		Program or Service (Budget Entity Codes)		
Action		41100000	41200000	413000000
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to 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
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR	Y	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>				
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: <b>Audit #3</b> will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.			
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>				
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
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y
17.3	Are agency organization charts (Schedule X) provided and at the appropriate	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: <b>IT@LASPBS.STATE.FL.US?</b>	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) ?	N/A	N/A	N/A
<b>AUDITS - GENERAL INFORMATION</b>				
TIP	Review <i>Section 6: Audits</i> 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.			
<b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>				
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y

		Program or Service (Budget Entity Codes)		
Action		41100000	41200000	413000000
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y
18.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A
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?	N/A	N/A	N/A
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.			
<b>19. FLORIDA FISCAL PORTAL</b>				
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y