



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

MIKE DEW
SECRETARY

September 15, 2017

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

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

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

RE: FISCAL YEAR 2018-19 LEGISLATIVE BUDGET REQUEST

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Transportation is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2018-19 Fiscal Year. This submission has been approved by Mike Dew, Secretary of the Florida Department of Transportation.

Sincerely,

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

Mechelle Marcum
Budget Officer

MM:jmp

Enclosure

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

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
ESTIMATED EXPENDITURES - FIXED			
CAPITAL OUTLAY			990I000
FIXED CAPITAL OUTLAY			080000
DEBT SERVICE		001	089070
TRUST FUNDS.....	174,627,566		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: DEBT SERVICE
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

- Goal 1: Provide safety and security for residents, visitors and businesses.
- Goal 2: Provide agile, resilient, and quality transportation infrastructure.
- Goal 3: Provide efficient and reliable mobility for people and freight.

TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SM CTY RESURFACE ASSIST PG		001	085575
TRUST FUNDS.....	24,999,849		2000
	=====		

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SM CTY RESURFACE ASSIST PG		001	085575

SCH VIIIA NARR 18-19 NOTES: SM CTY RESURFACE ASSIST PG
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SM COUNTY OUTREACH PROGRAM		001	085576
TRUST FUNDS.....	62,947,880		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: SM COUNTY OUTREACH PROGRAM
 Priority #001

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 COL A03
 AGY REQUEST
 FY 2018-19
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF 55000000
 CAPITAL IMPROVEMENT PLAN 9900000
 TRANSPORTATION WORK PROGRAM 990T000
 FIXED CAPITAL OUTLAY 080000
 SM COUNTY OUTREACH PROGRAM 001 085576

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TRANSPORTATION WORK PROGRAM 990T000
 FIXED CAPITAL OUTLAY 080000
 G/A-MAJOR DISASTERS - WP 001 088041

TRUST FUNDS..... 57,675,320 2000
 =====

SCH VIIIA NARR 18-19 NOTES: G/A-MAJOR DISASTERS - WP
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CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
G/A-MAJOR DISASTERS - WP		001	088041

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
COUNTY TRANSPORTATION PRGS		001	088572
TRUST FUNDS.....	55,623,524		2000

=====

SCH VIIIA NARR 18-19 NOTES: COUNTY TRANSPORTATION PRGS
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AGY REQUEST				
FY 2018-19				
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TRANSPORTATION, DEPT OF				55000000
CAPITAL IMPROVEMENT PLAN				9900000
TRANSPORTATION WORK PROGRAM				990T000
FIXED CAPITAL OUTLAY				080000
COUNTY TRANSPORTATION PRGS		001		088572
LRPP REFERENCE:				
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Goal 3: Provide efficient and reliable mobility for people and freight.				

TRANSPORTATION WORK PROGRAM				990T000
FIXED CAPITAL OUTLAY				080000
BOND GUARANTEE		001		088703
TRUST FUNDS.....	500,000			2000
	=====			

SCH VIIIA NARR 18-19 NOTES:

BOND GUARANTEE

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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TRANSP PLANNING CONSULT		001	088704
TRUST FUNDS.....	55,723,745		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: TRANSP PLANNING CONSULT
 Priority #001

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HIGHWAY MAINTENANCE CONTR		001	088712
TRUST FUNDS.....	513,857,636		2000
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SCH VIIIA NARR 18-19 NOTES: HIGHWAY MAINTENANCE CONTR
 Priority #001

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AGY REQUEST			
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HIGHWAY MAINTENANCE CONTR		001	088712

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
INTRASTATE HIGHWAY CONSTR		001	088716

TRUST FUNDS..... 3352,013,486 2000

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SCH VIIIA NARR 18-19 NOTES: INTRASTATE HIGHWAY CONSTR
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
INTRASTATE HIGHWAY CONSTR		001	088716

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
ARTERIAL HIGHWAY CONSTR		001	088717
TRUST FUNDS.....	210,149,513		2000

=====

SCH VIIIA NARR 18-19 NOTES: ARTERIAL HIGHWAY CONSTR
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CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
ARTERIAL HIGHWAY CONSTR		001	088717

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
CONSTRUCT INSPECT CONSULT		001	088718
TRUST FUNDS.....	447,812,027		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: CONSTRUCT INSPECT CONSULT
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
AVIATION DEV/GRANTS		001	088719
TRUST FUNDS.....	234,475,770		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: AVIATION DEV/GRANTS
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
PUBLIC TRANSIT DEV/GRANTS		001	088774
TRUST FUNDS.....	513,091,870		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: PUBLIC TRANSIT DEV/GRANTS
 Priority #001

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CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
PUBLIC TRANSIT DEV/GRANTS		001	088774

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RIGHT-OF-WAY LAND ACQ		001	088777
TRUST FUNDS.....	482,733,074		2000

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SCH VIIIA NARR 18-19 NOTES: RIGHT-OF-WAY LAND ACQ
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 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RIGHT-OF-WAY LAND ACQ	001		088777

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

TRUST FUNDS..... 15,000,000 2000

=====

SCH VIIIA NARR 18-19 NOTES: SEAPORT - ECONOMIC DEV
 Priority #001

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

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORTS ACCESS PROGRAM		001	088791
TRUST FUNDS.....	10,000,000		2000
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SCH VIIIA NARR 18-19 NOTES: SEAPORTS ACCESS PROGRAM
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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORT GRANTS		001	088794
TRUST FUNDS.....	98,072,632		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: SEAPORT GRANTS
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Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

- Goal 1: Provide safety and security for residents, visitors and businesses.
- Goal 2: Provide agile, resilient, and quality transportation infrastructure.
- Goal 3: Provide efficient and reliable mobility for people and freight.

TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HIWAY SAFETY CONSTR/GRANTS		001	088796
TRUST FUNDS.....	179,431,332		2000
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SCH VIIIA NARR 18-19 NOTES: HIWAY SAFETY CONSTR/GRANTS
 Priority #001

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HIWAY SAFETY CONSTR/GRANTS		001	088796

 Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

- Goal 1: Provide safety and security for residents, visitors and businesses.
- Goal 2: Provide agile, resilient, and quality transportation infrastructure.
- Goal 3: Provide efficient and reliable mobility for people and freight.

TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RESURFACING		001	088797

TRUST FUNDS..... 548,313,548 2000

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SCH VIIIA NARR 18-19 NOTES: RESURFACING
 Priority #001

 Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RESURFACING		001	088797
Total Debt Service (990T000+990I000):\$ 209,073,047			
Total Work Program: \$8,882,809,682			

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BRIDGE CONSTRUCTION		001	088799
TRUST FUNDS.....	193,149,698		2000

SCH VIIIA NARR 18-19 NOTES: BRIDGE CONSTRUCTION
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

- Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
- Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
- Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

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COL A03				
AGY REQUEST				
FY 2018-19				
POS	AMOUNT	PRIORITY	CODES	

TRANSPORTATION, DEPT OF			55000000	
CAPITAL IMPROVEMENT PLAN			9900000	
TRANSPORTATION WORK PROGRAM			990T000	
FIXED CAPITAL OUTLAY			080000	
BRIDGE CONSTRUCTION		001	088799	

timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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TRANSPORTATION WORK PROGRAM			990T000	
FIXED CAPITAL OUTLAY			080000	
SEAPORT INVESTMENT PRG		001	088807	
TRUST FUNDS.....	12,255,813		2000	

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SCH VIIIA NARR 18-19 NOTES: SEAPORT INVESTMENT PRG
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

- Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
- Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
- Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

Total Debt Service (990T000+990I000):\$ 209,073,047
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- Goal 3: Provide efficient and reliable mobility for people and freight.

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                                COL A03
                                AGY REQUEST
                                FY 2018-19
                                POS      AMOUNT      PRIORITY      CODES
                                -----
TRANSPORTATION, DEPT OF                                55000000
CAPITAL IMPROVEMENT PLAN                                99000000
TRANSPORTATION WORK PROGRAM                            990T0000
FIXED CAPITAL OUTLAY                                    080000
RAIL DEVELOPMENT/GRANTS                                001      088808

TRUST FUNDS.....                                272,455,546      2000
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SCH VIIIA NARR 18-19 NOTES: RAIL DEVELOPMENT/GRANTS
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

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- Goal 3: Provide efficient and reliable mobility for people and freight.

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TRANSPORTATION WORK PROGRAM                                990T000
FIXED CAPITAL OUTLAY                                    080000
INTERMODAL DEVELOP/GRANTS                                001      088809

TRUST FUNDS.....                                61,204,142      2000
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SCH VIIIA NARR 18-19 NOTES: INTERMODAL DEVELOP/GRANTS
 Priority #001

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
INTERMODAL DEVELOP/GRANTS		001	088809

 Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
CONTRACT MAINT W/ DOC		001	088810
TRUST FUNDS.....	19,646,000		2000

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SCH VIIIA NARR 18-19 NOTES: CONTRACT MAINT W/ DOC
 Priority #001

 Requests \$8,882,809,682 in budget authority for the department's Work Program.

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 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 COL A03
 AGY REQUEST
 FY 2018-19
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
CONTRACT MAINT W/ DOC	001		088810

Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
PRELIMINARY ENGR CONSULT	001		088849
TRUST FUNDS.....		660,986,315	2000

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SCH VIIIA NARR 18-19 NOTES: PRELIMINARY ENGR CONSULT
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

 Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

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COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
PRELIMINARY ENGR CONSULT		001	088849

timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

- Goal 1: Provide safety and security for residents, visitors and businesses.
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- Goal 3: Provide efficient and reliable mobility for people and freight.

TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HWY BEAUTIFICATION GRANTS		001	088850
TRUST FUNDS.....	1,000,000		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: HWY BEAUTIFICATION GRANTS
 Priority #001

 Requests \$8,882,809,682 in budget authority for the department's Work Program.

- Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
- Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
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COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RIGHT-OF-WAY SUPPORT		001	088853
TRUST FUNDS.....	52,254,139		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: RIGHT-OF-WAY SUPPORT
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

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 Goal 3: Provide efficient and reliable mobility for people and freight.

TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TRANSPORT PLANNING GRANTS		001	088854
TRUST FUNDS.....	29,989,583		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: TRANSPORT PLANNING GRANTS
 Priority #001

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TRANSPORT PLANNING GRANTS		001	088854

 Requests \$8,882,809,682 in budget authority for the department's Work Program.

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 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
MATERIALS AND RESEARCH		001	088857
TRUST FUNDS.....	17,206,568		2000

=====

SCH VIIIA NARR 18-19 NOTES: MATERIALS AND RESEARCH
 Priority #001

 Requests \$8,882,809,682 in budget authority for the department's Work Program.

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 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
MATERIALS AND RESEARCH		001	088857
Total Debt Service (990T000+990I000):\$ 209,073,047			
Total Work Program: \$8,882,809,682			

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BRIDGE INSPECTION		001	088864
TRUST FUNDS.....	12,967,000		2000

SCH VIIIA NARR 18-19 NOTES: BRIDGE INSPECTION
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

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COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BRIDGE INSPECTION		001	088864

timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
ECON DEV/TRANSP PROJECTS		001	088865
TRUST FUNDS.....	15,800,000		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: ECON DEV/TRANSP PROJECTS

Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring

Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring

Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

Total Debt Service (990T000+990I000):\$ 209,073,047

Total Work Program: \$8,882,809,682

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COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TRAFFIC ENGR CONSULTANTS		001	088866
TRUST FUNDS.....	174,922,800		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: TRAFFIC ENGR CONSULTANTS
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
LOCAL GOVERNMENT REIMBURSE		001	088867
TRUST FUNDS.....	17,785,351		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: LOCAL GOVERNMENT REIMBURSE
 Priority #001

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
LOCAL GOVERNMENT REIMBURSE		001	088867

 Requests \$8,882,809,682 in budget authority for the department's Work Program.

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 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

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TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TOLL OPERATION CONTRACTS		001	088876

TRUST FUNDS..... 191,732,474 2000

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SCH VIIIA NARR 18-19 NOTES: TOLL OPERATION CONTRACTS

Priority #001

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 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 COL A03
 AGY REQUEST
 FY 2018-19
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TOLL OPERATION CONTRACTS	001		088876

Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

- LRPP REFERENCE:
 Goal 1: Provide safety and security for residents, visitors and businesses.
 Goal 2: Provide agile, resilient, and quality transportation infrastructure.
 Goal 3: Provide efficient and reliable mobility for people and freight.

TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TURNPIKE SYS EQUIP & DEVEL	001		088920
TRUST FUNDS.....		25,070,000	2000

=====
 =====

SCH VIIIA NARR 18-19 NOTES: TURNPIKE SYS EQUIP & DEVEL
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TURNPIKE SYS EQUIP & DEVEL		001	088920

timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

- Goal 1: Provide safety and security for residents, visitors and businesses.
- Goal 2: Provide agile, resilient, and quality transportation infrastructure.
- Goal 3: Provide efficient and reliable mobility for people and freight.

TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TOLLS SYS EQUIP & DEVELOP		001	088922
TRUST FUNDS.....	52,890,000		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: TOLLS SYS EQUIP & DEVELOP

Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring

Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring

Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

Total Debt Service (990T000+990I000):\$ 209,073,047

Total Work Program: \$8,882,809,682

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

- Goal 1: Provide safety and security for residents, visitors and businesses.
- Goal 2: Provide agile, resilient, and quality transportation infrastructure.
- Goal 3: Provide efficient and reliable mobility for people and freight.

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
DEBT SERVICE		001	089070
TRUST FUNDS.....	34,445,481		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: DEBT SERVICE
 Priority #001

Requests \$8,882,809,682 in budget authority for the department's Work Program.

Issue Code: 990T000 - Work Program - \$8,673,736,635 Nonrecurring
 Issue Code: 990T000 - Debt Service - \$ 34,445,481 Recurring
 Issue Code: 990I000 - Debt Service - \$ 174,627,566 Recurring

 Total Debt Service (990T000+990I000):\$ 209,073,047
 Total Work Program: \$8,882,809,682

Requests the second year of the FY 2018-22, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

- Goal 1: Provide safety and security for residents, visitors and businesses.
- Goal 2: Provide agile, resilient, and quality transportation infrastructure.
- Goal 3: Provide efficient and reliable mobility for people and freight.

AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
TRANSPORTATION WORK PROGRAM			
INTEGRATION INITIATIVE		002	36233C0
TRUST FUNDS.....	17,000,000		2000
	=====		

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
TRANSPORTATION WORK PROGRAM			
INTEGRATION INITIATIVE		002	36233C0

SCH VIIIA NARR 18-19 NOTES:

Priority #002

Requests \$17,000,000 of nonrecurring budget authority to continue the Work Program Integration Initiative (WPPII) project. The WPPII is a multi-year FDOT project to modernize the department's core financial systems used to develop the Work Program, ensure continued financial integrity, address changing partner demands and account for the uses of vital state and federal funding. WPPII impacts every office within the department. The project ultimately seeks to optimize the Work Program's production capabilities by aligning business processes to a common strategic objective and operational standard, aided by modernized system solution.

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

PROGRAM OR SERVICE-LEVEL			
INFORMATION TECHNOLOGY			3630000
CONSTRUCTION MANAGEMENT SYSTEM			
(CMS) UPDATES		003	36344C0
TRUST FUNDS.....	1,470,264		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:

Priority #003

Requests \$1,470,264 budget authority for the final year of the implementation process to migrate the Construction Management Software from AASHTOWare Project/Site Manager client server based application to a web based version. The current software will not to be supported after FY 2019-20.

The software manages all department construction contracts, with a consistent value of over \$10 billion. There are 4,500 users of the current software who manage approximately 500 construction contracts at any given time and process \$250 million in monthly contractor payments. The software facilitates the operations of the construction management program while maintaining full auditability of each individual user and contract. The system is the primary method the department uses to generate monthly invoice estimates for contractors on statewide construction projects, ensuring contractors are paid for work performed and materials used in a timely and highly efficient fashion.

The Construction Management Software increases user efficiency and saves time, allowing staff to focus on adding value instead of processing contracts. Modern solutions automate workflows while eliminating the need for manual and paper processes.

COL A03 AGY REQUEST FY 2018-19			
PROGRAM OR SERVICE-LEVEL INFORMATION TECHNOLOGY CONSTRUCTION MANAGEMENT SYSTEM (CMS) UPDATES	POS	AMOUNT	PRIORITY

			CODES
			55000000
			3630000
			36344C0
<p>LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure. *****</p>			
PROGRAM REDUCTIONS			33V0000
VACANT POSITION REDUCTIONS			33V0550
	63.00-		
TRUST FUNDS.....		1,999,864-	2000
		=====	
<p>*****</p>			

SCH VIIIA NARR 18-19 NOTES:
 Priority #004

Deletes 63 positions, 1,065,950 in Salary Rate and \$1,999,864 in the Salaries and Benefits category to reflect management reductions for organizational efficiencies being implemented by the department. Efficiencies include improvements to processes, systematic enhancements, consolidation of activities in functional areas, and increased use of technology to automate manual tasks and improve speed of task completion. The department continues to restructure its workforce to leverage private sector support where cost effective. The department continues to transition its workforce to a knowledge-based organization while outsourcing non-core functions.

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

OPERATING REQUIREMENTS			5500000
TOLLING OPERATIONAL EFFICIENCY			5507000
			2000
TRUST FUNDS.....		32,500,000-	
		=====	
<p>*****</p>			

SCH VIIIA NARR 18-19 NOTES:
 Priority #005

Requests a permanent \$32,500,000 reduction of operating budget in the Contracted Services category coupled with a new appropriation in the Toll Operation Contracts category in the Work Program.

With the increase in All-Electronic Tolling (AET) where customers pay with a transponder and through license plate

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
OPERATING REQUIREMENTS			5500000
TOLLING OPERATIONAL EFFICIENCY		005	5507000

image-based tolling (Toll-by-Plate) the cost of processing card payments continues to increase. It is estimated that the revenue collections in FY 2018-19 will be \$1.8 billion. The cost for collection will be approximately \$40.1 million. This process is directly connected to toll operations, therefore we request this function be moved to the Toll Operation Contract category. The same work would take place but the accounting and the activities would be easier to track and audit.

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
COMMUNICATION HARDWARE UPGRADES		006	36244C0

TRUST FUNDS.....	2,253,000		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:

Priority #006

Requests \$2,253,000 to replace core network equipment in the district headquarters, department headquarters in Tallahassee and the State Lab locations that will be reaching the End of Service Life in FY 2018-19. The equipment is responsible for high speed routing of data. The replacement will integrate security protocols and technologies to minimize outside cyber threats and attacks that would steal sensitive data such as road and bridge plans.

Within the past six months the department has experienced two security breaches. If sensitive information is obtained by unauthorized sources the result could be serious damage to roads, bridges, airports and seaports in Florida. Updated equipment will reduce the risk of cyber attacks and litigation due to loss of data and provide employees with appropriate security defenses against inappropriate use or unauthorized access.

LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors, and businesses.

SECURE ENTERPRISE SERVER			
CONSOLIDATION		007	36229C0

TRUST FUNDS.....	335,000		2000
	=====		

 COL A03
 AGY REQUEST
 FY 2018-19
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF 55000000
 AGENCY-WIDE INFORMATION TECHNOLOGY 3620000
 SECURE ENTERPRISE SERVER
 CONSOLIDATION 007 36229C0

SCH VIIIA NARR 18-19 NOTES:

Priority #007

Requests \$335,000 to consolidate 13 separate domains into a single structure to efficiently manage computing resources and security permissions for the department's technology resources statewide. This consolidation project will provide improved security from external threats by allowing the faster deployment of security updates and upgrades. It will also allow the department to prepare the computing environment for improved services with an automated identity management system which will increase security through the use of a single sign-on.

The department will partner with Microsoft's consolidation professionals to develop and implement a documented plan that works best for the agency, its application installation, and core business functions as well as provide troubleshooting support during the consolidation process.

LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors, and businesses.

SECURE ACCESS MANAGEMENT 008 36238C0
 TRUST FUNDS..... 1,000,000 2000
 =====

SCH VIIIA NARR 18-19 NOTES:

Priority #008

Requests \$1,000,000 to fund Secure Access Management, also known as, Identity and Access Management (IAM) technology. The department will restructure access into the computer systems by consolidating the framework of all department computers onto a single framework or entry point with the use of this technology. This system will use a single user identification to manage access to department computer systems to prevent security breaches. When unauthorized entry is made into department computer systems, sensitive information can be obtained that could be used to inflict serious damage to roads, bridges, airports, and seaports in Florida; and two phishing and security breaches have occurred within the past six months.

LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors, and businesses.

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
MIGRATION TO THE CLOUD		009	36225C0
TRUST FUNDS.....	4,209,625		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:

Priority #009

Requests \$4,209,625 to procure a Cloud mainframe environment to house FDOT's mission critical core applications currently housed on the Agency for State Technology (AST) mainframe. Cloud services are not available through the current mainframe provider. The request includes purchasing of management services such as hosting, staffing and shifting/transferring to the Cloud. This is the next step in the department's goal to move the data and applications to a more secure and robust cloud environment.

LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors, and businesses.

PROGRAM PLAN SUPPORT			6000000
PAYMENTS TO EXPRESSWAY AUTHORITIES		010	6009910
TRUST FUNDS.....	1,900,000		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:

Priority #010

Requests \$1,900,000 recurring funding in the Payment to Expressway Authority appropriation category. This request enables the Florida Turnpike Enterprise to meet contractual agreements with the Expressway Authorities across the state for revenues collected on toll roads. The Florida Turnpike Enterprise has utilized available base budget to make its required payments in the past, but due to the depletion of available resources, the department is requesting an increase in the Payment to Expressway Authorities category.

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
OPERATING REQUIREMENTS			5500000
SUPPORT COSTS FOR REGIONAL			
TRANSPORTATION MANAGEMENT CENTER		011	5504600
TRUST FUNDS.....	445,328		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:

Priority #011

Requests \$445,328 for the ongoing operational needs of the Regional Transportation Management Center (RTMC) that is currently under construction in District Five and will be fully operational in April 2019. Currently, the Orlando Urban Office (OUO) houses the functions for the Intelligent Transportation System (ITS) program and will relocate to the new RTMC along with the Department of Highway Safety and Motor Vehicles (DHSMV) and the Florida Highway Patrol (FHP) in FY 2019-20.

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
PAPERLESS REENGINEERING		012	36236C0
TRUST FUNDS.....	2,942,631		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:

Priority #012

Requests \$2,942,631 to fund a multi-year paperless processing initiative. Paperless Reengineering will reduce the use of physical resources including paper, toner, storage space and postage. Processing paper documents and the electronic routing through streamline processes allows for better customer service and elimination of redundant efforts. Automation and electronic storage offer greater security and reliability of documents and enable staff to focus on production and job duties.

The department began a pilot project in 2016 in the Equal Opportunity Office (EOO) by automating one of the office's processes. The EOO office avoided approximately \$68,000 in letter preparation, printing, signing and mailing in the pilot project. Since then, the Human Resources Office (HR) analyzed the new employee onboarding and Request for Pay Action (RPA) appointment package and the HR office could avoid approximately \$610,000 per year on manual data entry and document routing. The department expects an even higher return on investment after all the transactional processes within HR are reviewed, along with the other offices within the department (Support Services, Procurement and Organizational Development). Based on the benefits identified in the EOO and HR offices, the department can expect an annual cost avoidance/efficiency of approximately \$678,000 per year.

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
PAPERLESS REENGINEERING		012	36236C0

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

CAPITAL IMPROVEMENT PLAN			9900000
ENVIRONMENTAL PROJECTS			990E000
FIXED CAPITAL OUTLAY			080000
ENVIRON SITE RESTORATION		013	088763
TRUST FUNDS.....	525,000		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: ENVIRON SITE RESTORATION
 Priority #013

Requests \$525,000 of nonrecurring Fixed Capital Outlay budget authority to continue the cleanup of contaminated soil and groundwater at various FDOT facilities statewide to restore those sites to an environmentally uncontaminated, clean and safe condition. Failure to perform the needed cleanup will result in violation of the Federal Resource Conservation and Recovery Act.

LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors, and businesses.

CODE CORRECTIONS			990C000
FIXED CAPITAL OUTLAY			080000
MINOR REPAIRS/IMPROV-STATE		014	080002
TRUST FUNDS.....	3,312,549		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: MINOR REPAIRS/IMPROV-STATE
 Priority #014

Requests \$3,312,549 of nonrecurring Fixed Capital Outlay budget authority to fund building and grounds projects department-wide which are necessary to meet federal, state, or local building code requirements. This issue is presented annually so FDOT can extend the life of facilities and create a safe working environment. Relevant projects include:

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
CODE CORRECTIONS			990C000
FIXED CAPITAL OUTLAY			080000
MINOR REPAIRS/IMPROV-STATE		014	080002
<p>-Americans with Disabilities Act (ADA) bathroom renovations, covered ADA ramp. -Life Safety: fire alarm panels -Environmental: fuel tank painting/removal, removal of laboratory fumes/dust collection, noise mitigation -Building Critical: special need building transformer/switch gear, security, chiller/boiler/HVAC replacement, roof replacement, building envelope, drainage, safety, building wiring/emergency generator.</p> <p>LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors, and businesses.</p> <p>*****</p>			
EQUIPMENT NEEDS			2400000
REPLACEMENT EQUIPMENT FOR MATERIALS AND TESTING LABORATORIES		015	2401170
TRUST FUNDS.....	1,930,587		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:

Priority #015

Requests \$1,930,587 in budget authority to replace specialized equipment in the Gainesville Material and Testing Laboratory and District Six. The equipment has exceeded its useful life, is in constant need of repair or is no longer supported by the manufacturer. These specialized pieces of equipment are needed to ensure roads and bridges meet contract specifications and are safe to travel. FDOT conducts a combination of in-sourced and outsourced testing of road construction materials. Title 23 CFR 637.203 requires verification sampling, product testing and quality assurance on highway products. Proper testing equipment is needed to assure compliance with Section 334.046(4)(a), F.S., which requires the department to meet 80 percent pavement and 90 percent bridge compliance. Replacing the aging equipment ensures timely completion of testing, feedback of results and final acceptance of the project.

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM PLAN SUPPORT			6000000
SUPPORT FOR MINORITY TRAINING AND RECRUITMENT INTO CONSTRUCTION INDUSTRY		016	6001050
TRUST FUNDS.....	200,000		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:
 Priority #016

 Requests \$200,000 of budget authority to support the establishment of the Road to Jobs Preparatory Institute (Institute) to introduce jobseekers and the unemployed with journeyman employment opportunities and life skills training for road and bridge construction employment. The purpose of the grant is to seek out and educate underserved communities, specifically the unemployed or underemployed, about the opportunities and benefits in the transportation construction industry. The Institute will prepare individuals for successful careers in the road and bridge construction industry with classroom instruction for on-the-job training as heavy equipment operators, skilled work as carpenters, electrician and equipment technicians, heavy equipment operators, landscapers, etc.

Once the training is complete and the requirements are met, the student will receive a certificate of completion. Students completing the certification will be prepared to apply for road and bridge construction jobs, which will give them an advantage during the screening process.

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

CAPITAL IMPROVEMENT PLAN			9900000
SUPPORT FACILITIES			990F000
FIXED CAPITAL OUTLAY			080000
MINOR REPAIRS/IMPROV-STATE		017	080002
TRUST FUNDS.....	1,667,400		2000
	=====		

SCH VIIIA NARR 18-19 NOTES: MINOR REPAIRS/IMPROV-STATE
 Priority #017

 Requests \$1,667,400 of budget authority to fund nonrecurring Fixed Capital Outlay minor projects for new minor construction, installation of equipment storage units, modifications and renovations for additional work space, and protection of mechanical equipment at department-owned facilities. These projects are necessary to protect and preserve the value of assets (i.e., equipment and materials), reduce financial risk and to meet facility and space needs.

COL A03			
AGY REQUEST			
FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
SUPPORT FACILITIES			990F000
FIXED CAPITAL OUTLAY			080000
MINOR REPAIRS/IMPROV-STATE		017	080002

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

PROGRAM OR SERVICE-LEVEL			
INFORMATION TECHNOLOGY			3630000
APPLICATION DEVELOPMENT - ANNUAL			
OPERATING REPORTING SYSTEM (AOR)		018	36339C0
TRUST FUNDS.....	904,574		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:
 Priority #018

Requests \$904,574 of budget authority in the Contracted Services category to replace, maintain and support the Annual Operating Reporting system. This project will enhance the Commission on Transportation Disadvantaged's ability to report their funding and activities in a timely manner.

LRPP REFERENCE: Goal 2: Provide agile, resilient, and quality transportation infrastructure.

PROGRAM PLAN SUPPORT			6000000
SUPPORT FOR TRANSPORTATION			
DISADVANTAGED		019	6002400
TRUST FUNDS.....	350,000		2000
	=====		

SCH VIIIA NARR 18-19 NOTES:
 Priority #019

Requests an increase in recurring budget authority in the Expenses and Contracted Services categories for oversight activities of Planning Agencies. In addition, requests non-recurring budget authority in Contracted Services category to conduct a rate model study on the current rate-modeling tool.

COL A03
 AGY REQUEST
 FY 2018-19
 POS AMOUNT

PRIORITY

CODES

TRANSPORTATION, DEPT OF
 PROGRAM PLAN SUPPORT
 SUPPORT FOR TRANSPORTATION
 DISADVANTAGED

55000000
 6000000
 6002400

019

LRPP REFERENCE: Goal 3: Provide efficient and reliable mobility for people and freight.

AGENCY-WIDE INFORMATION TECHNOLOGY
 SECURE VIDEO CONFERENCE EQUIPMENT

3620000
 36242C0

020

TRUST FUNDS.....

464,120

2000

=====

SCH VIIIA NARR 18-19 NOTES:

Priority #020

Requests \$464,120 of budget authority to replace and upgrade currently installed video teleconference units that are becoming obsolete and will reach the end of their service life in 2018. Since they will no longer be supported by the manufacturer through maintenance contracts, patches, or software upgrades they will be vulnerable to outside security breaches. Video conferencing equipment is used both in day to day operations and mission critical functions by facilitating statewide meetings throughout the state in lieu of travel and therefore increasing employee productivity. In the event of a disaster, up-to-date video teleconferencing equipment plays a key role in facilitating and coordinating emergency operations.

Video teleconferencing equipment is essential to be compliant with statutory responsibilities (Ch. 2015-103, L.O.F.) which required the department to provide space and video conference capability at each district office to enable a person requesting a hearing to appear remotely before the review board, regardless of the physical location of the board proceedings.

LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors and businesses.

PROGRAM PLAN SUPPORT
 TRANSFER TO SOUTH FLORIDA WATER
 MANAGEMENT DISTRICT

6000000
 6001190

021

TRUST FUNDS.....

1,875,192-

2000

=====

SCH VIIIA NARR 18-19 NOTES:

Priority #021

COL A03 AGY REQUEST FY 2018-19			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM PLAN SUPPORT			6000000
TRANSFER TO SOUTH FLORIDA WATER MANAGEMENT DISTRICT		021	6001190

 Requests a \$1,875,192 decrease in budget authority in the Transfer to South Florida Water Management District (SFWMD) category in order to comply with the terms of the Memorandum of Agreement (MOA) between the Florida Department of Transportation (FDOT) and SFWMD.

In accordance with the MOA approved on August 5, 2016, FDOT will transfer excess toll revenues collected on Alligator Alley remaining after payment of all items required by the resolution of the Division of Bond Finance for the issuance of the Bonds, as is may be amended from time to time, reimbursement of FDOT of the cost of repair, renewal, restoration, and reconstruction costs otherwise paid from FDOT funds and the payment of all other costs required by law through June 30, 2019, to the District's Everglades Fund. Such transfers shall be made annually by August 15th representing the excess revenues from the previous state fiscal year and shall be subject to and limited to the annual Legislative Appropriation.

Based on the current Sources and Uses Schedule for Alligator Alley, it is projected that revenues will decrease by \$1,875,192 in FY 2019.

LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors and businesses.

TOTAL: TRANSPORTATION, DEPT OF BY FUND TYPE			55000000
TRUST FUNDS.....	63.00- 8887,344,704 =====		2000


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*****
* NEADLP01                               STATISTICAL INFORMATION                09/14/2017 09:38 *
* BUDGET PERIOD: 2008-2019              EXHIBIT A, D AND D-3A LIST REQUEST        MAK 55   SP   *
*                                                                                       PAGE:    3 *
*****
*
* BUDGET ENTITIES SELECTED:
*   1-9: 55 _____
*  10-18: _____
*  19-27: _____
*
*****

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Florida Department of Transportation

Temporary Special Duty – General Pay Additive Implementation Plan for Fiscal Year 2018-2019

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

Based on the department's historical data captured for Fiscal Year 2016-17 and current Fiscal Year 2018-19 (detailed spreadsheet attached), the *temporary special duty additive – general* is utilized conservatively when the need is well documented, justified and consistent with the provisions stated in Article 21 of the AFSCME Master contract, "each time an employee is designated by the employee's immediate supervisor to act in a vacant established position in a higher broadband level than the employee's current broadband level and performs a major portion of the duties of the higher level position."

Since it cannot be predicted in advance when these situations will occur, the department can only rely on historical data, the latest of which includes a total of five issued temporary special duty pay additives. One was related to assuming higher-level duties of a vacant position and four were for assuming duties of a position whose incumbent was out due to illness. The estimated average cost per bi-weekly pay period to the department for TSD-Vacancy is \$215.39 and \$146.32 for TSD-Family Medical Leave Act. Employees in varied job classes received the pay additive.

**Florida Department of Transportation
Temporary Special Duty – General Pay Additive**

Fiscal Year	EFFECTIVE DATE	ENDING DATE	DISTRICT	COST CENTER	EMPLOYEE NAME	POSITION #	TYPE OF ACTION	CLASS TITLE	FOR	CURRENT BIWEEKLY SALARY	PERCENTAGE INCREASE/DECREASE	NEW BIWEEKLY SALARY	BIWK TSD AMOUNT	ANNUAL TSD AMOUNT
2016-17	06-20-16	08-01-16	6	South Dade Maintenance	Lorenzo Williams, Jr.	55007773	Temporary Special Duty - FMLA	Highway Maintenance Tech Coordinator	07822-Highway Maintenance Supervisor II-SES	991.88	10.00000	1,091.07	99.18	2,578.68
2016-17	07-05-16	09-09-16	6	Construction	Katherine McLendon	55005224	Temporary Special Duty - Vacancy	Information Specialist III	06307-Public Information Director-SES	2,153.99	10.00000	2,369.38	215.39	5,600.14
2016-17	01-25-17	04-25-17	6	South Dade Maintenance	Teisha Goode	55007810	Temporary Special Duty - FMLA	Engineering Specialist I	07852-Engineering Specialist Supervisor I-SES	1,395.77	10.00000	1,535.34	139.57	3,628.82
2016-17	04-21-17	06-19-17	4	Traffic Operations	Jonathan Ford	55006902	Temporary Special Duty - FMLA	Engineering Specialist IV	06716-Professional Engineer Administrator-SES	2,352.77	10.00000	2,588.04	235.27	6,117.02
2016-17	06-14-17	07-28-17	4	District Secretary	Tatiana Mitchell	55007626	Temporary Special Duty - FMLA	Senior Clerk	07298-Administrative Assistant II	1,112.76	10.00000	1,224.04	111.27	2,893.02



**LEGISLATIVE
BUDGET REQUEST
2018-2019**

**Department Level Exhibits and
Schedules**



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

MIKE DEW
SECRETARY

MEMORANDUM

TO: Mechelle Marcum
Budget Officer

FROM: Erik Fenniman *EF*
General Counsel

DATE: August 23, 2017

SUBJECT: Schedule VII: Agency Litigation Inventory
2019 Legislative Budget Request

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

If you have any questions, or need additional information, please feel free to contact me at 414-5263.

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Denise Johnson	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Bay Drum Superfund Site		
Court with Jurisdiction:	United States District Court, Middle District		
Case Number:	97-1564-CIV-T-26(A)		
Summary of the Complaint:	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT has entered into a consent decree that requires it to clean this site.		
Amount of the Claim:	Potential exposure is estimated to be \$10,000,000.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	FDOT has responded to EPA’s information request and has joined a Potential Responsible Party group. FDOT is a major participant due to its allocation. On 01/21/05, EPA agreed to amend the Record of Decision to provide for monitoring and natural attenuation as the remedy for the deep Floridian Aquifer. No additional assessment was made in 2014/15 and 2015/16. An additional assessment of \$73,634.47 was made on 03/02/2017 based upon projected costs for sediment removal activities. No invoice for the actual costs has been received by FDOT.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Butler Carpet Company, d/b/a Bob’s Carpet Mart, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	District Court of Appeal, 2 nd DCA		
Case Number:	2012-CA-2404; 2D15-2030		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT’s reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	FDOT filed a Motion for Summary Judgment on 08/05/13. FDOT’s Motion for Summary Judgment was denied 06/12/14. Trial court found for the Plaintiff and final judgment for \$2,807,000 was entered 04/07/15. FDOT appealed on 05/06/15. On 05/21/17, the 2nd DCA reversed the trail court as to the award of severance damages, damages for substantially diminished access, and loss of visibility; attorney’s fees are also to be reconsidered and prejudgment interest is to be recalculated. Butler has filed a motion for rehearing, and FDOT filed its response on 06/30/17.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	CHK, LLC, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	District Court of Appeal, 2 nd District		
Case Number:	06-730-CI-8; 2D15-3075		
Summary of the Complaint:	This is an inverse condemnation case. CHK seeks damages for an alleged loss of access and physical invasion attributed to FDOT’s reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The Complaint was served on 02/09/06. The Court abated the case pending the outcome of the appeal of Fisher v. FDOT in which a private property owner asserted similar claims. FDOT received a favorable decision in Fisher on 10/11/07. On 08/18/09, Plaintiff amended its complaint to add a count for physical invasion. FDOT’s Motion for Summary Judgment was denied on 10/21/13. Trial court found for the Plaintiff and a final judgment in the amount of \$3,101,670 was entered 06/8/15. FDOT appealed on 07/07/15. On 5/21/17, the 2nd DCA reversed the trial court as to the award of severance damages, damages for substantially diminished access, and loss of visibility; attorney’s fees are also to be reconsidered and prejudgment interest is to be recalculated. CHK has filed a motion for rehearing, and FDOT filed its response on 06/30/17.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Crosspointe Baptist Church, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	District Court of Appeal, 2 nd District		
Case Number:	2D 10-4254		
Summary of the Complaint:	This is an inverse condemnation case. Plaintiff seeks damages for physical invasion of its property, flooding, and loss of access attributed to FDOT’s reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The Summons and Complaint were served on 07/28/08. On 02/16/10, after a trial the Court entered an Order of Taking, concluding that FDOT was liable only for a temporary taking for periodic ponding during significant rain events. Court specifically found there was no taking of access. On 08/18/10, a Stipulated Final Judgment was entered for the temporary taking in the amount of \$20,000. On 09/01/10, Crosspointe appealed the Court’s denial of its other claims. The case was affirmed on 09/16/11. The Mandate issued on 10/07/11. Crosspointe’s motion to re-open the case was granted on 09/21/12. Mediation resulted in impasse on 02/13/14. Trial court found for FDOT regarding access but found minimal new takings on 02/21/15. Plaintiff insists on damages for an access taking. Mediation resulted in impasse. Since FDOT v. Butler Carpet Company (Case No. 2D15-2030) and FDOT v. CHK, LLC (Case No. 2D15-3075) will be dispositive for this matter, FDOT is awaiting the final outcome before setting for trial.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5367
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Ann Esterson, Eric Esterson, and Henry Shumacher, Jr., Plaintiffs v. FDOT		
Court with Jurisdiction:	18th Judicial Circuit, Seminole County		
Case Number:	2013-CA-170		
Summary of the Complaint:	Plaintiff has filed a 3-count complaint for inverse condemnation, breach of contract, and declaratory relief.		
Amount of the Claim:	\$1,200,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Complaint and answer have been filed. On 06/29/16, trial court found a taking of Plaintiff's property. Discovery is ongoing in reference to a compensation trial.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	FDOT, Petitioner/Counter Defendant, v. Kings Avenue Redevelopment, Defendant/Counter Plaintiff.		
Court with Jurisdiction:	4th Judicial Circuit, Duval County		
Case Number:	2012-CA-10824; 2014-CA-002882		
Summary of the Complaint:	Plaintiff sued FDOT alleging inverse condemnation for interference with Public Private Partnership lease with JTA in regards to transportation improvements made to the Interstate 95 overland bridge project in Jacksonville. The original inverse case was consolidated as part of a pending eminent domain action.		
Amount of the Claim:	\$3,500,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed its complaint against FDOT on 04/13/14 alleging oppressive pre-condemnation conduct, due process, civil conspiracy and inverse condemnation. FDOT’s motion to dismiss granted to due process, civil conspiracy and oppressive conduct counts on 11/18/14. Plaintiff’s filed second amended complaint 07/15/15. The matter was consolidated with the underlying eminent domain action. The taking trial for the inverse count occurred during the week of 05/22/17. On 06/13/17, the trial court entered its finding of fact and conclusions of law as to the takings and found a single temporary construction easement for 42 months consisting of 1,660 square feet. Case will proceed forward with the pending eminent domain action.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Fellsmere Water Control District, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	19th Judicial Circuit, Volusia County		
Case Number:	2012-CA-001295		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of use of canal and banks attributed to FDOT’s design build reconstruction of Interstate 95. The Plaintiff has also moved for an injunction of all construction activities due to FDOT’s failure to get a permit from the special district. Pursuant to Section 335.02(4), Florida Statutes, FDOT asserts it does not have to get a permit from Fellsmere WCD.		
Amount of the Claim:	\$1,800,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The pending Complaint was filed on 08/01/12 in Indian River County. FDOT’s motion for judgment on the pleadings denied 05/02/13. Mediation reached an impasse on 06/04/14. Plaintiff has noticed for trial. Plaintiff filed amended complaint on 02/25/15. FDOT’s answer filed 06/22/16. Discovery and motion practice ongoing. FDOT filed Motion for Summary Judgment and the hearing is set on 01/23/18.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Karin Gobel, et. al., Plaintiffs, v. FDOT and Central Florida Regional Transport Authority, Defendants.		
Court with Jurisdiction:	18th Judicial Circuit, Seminole County		
Case Number:	2016 CA 001829; 1D16-4586		
Summary of the Complaint:	Inverse condemnation claim for taking of homeowners' properties caused by the operation of the SunRail Vehicle Storage and Maintenance Facility.		
Amount of the Claim:	\$7,000,000 (est.)		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Complaint was served on 07/28/16. FDOT filed answer on 11/29/16. Discovery is ongoing. Case is set for a taking hearing on 11/2/17.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Hudson Parkside LLP, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	2014-CA-011031		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT’s reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	FDOT filed its Answer on 06/09/14. Plaintiff filed second amended complaint. Both FDOT and Hudson filed Motion for Summary Judgment, and both motions were denied. FDOT is renewing its motion for summary judgment based on the authority of FDOT v. Butler (Case No. 2D15-2030) and FDOT v. CHK (Case No. 2D-3075), decided on 05/31/17.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Kapsch Traffic Com IVHS Inc., Plaintiff, v. FDOT, Turnpike Enterprise, Neology, Inc., and Smartrac, N.C., Defendants		
Court with Jurisdiction:	District Court of Appeal, 1 st District		
Case Number:	2015-CA-2387; 1D17-743		
Summary of the Complaint:	On 10/5/2015, Plaintiff filed three count complaint against Defendants seeking to set aside patent license agreement between FDOT, Neology, and Smartrac.		
Amount of the Claim:	\$7,000,000 (est.)		
Specific Statutes or Laws (including GAA) Challenged:	Section 287.057, Florida Statutes		
Status of the Case:	After filing an answer on 4/1/2016, FDOT moved for and was granted summary judgment on all counts. Final judgment in favor of Defendants was entered on 01/23/17. Plaintiff filed their initial brief on 06/02/17 and FDOT’s brief is due on 08/16/17.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5367
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Leisure Resorts, LLC, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	15th Judicial Circuit, Palm Beach County		
Case Number:	2017-CA-000085		
Summary of the Complaint:	Plaintiff filed a one count inverse condemnation claim for taking Plaintiff's leasehold sovereign land interest during the construction of a bridge.		
Amount of the Claim:	\$6,000,000 (est.)		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed action on 01/5/17; Department filed answer and defenses on 04/21/17. Discovery is ongoing. Matter is set for taking trial between 09/11/17 and 11/03/17.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Murphy Auto Group, Inc., Plaintiff, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	10th Judicial Circuit, Polk County		
Case Number:	2015-CA-001614		
Summary of the Complaint:	Two count claim against FDOT for unlawful exaction and unlawful compensation arising from Plaintiff’s use of FDOT’s right of way.		
Amount of the Claim:	\$900,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	FDOT obtained summary judgment as to Count I. Plaintiff has sought several amendments to Complaint. Discovery is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	New Testament Missionary Baptist Church, Inc., Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	15th Judicial Circuit, Palm Beach County		
Case Number:	2016-CA-007900		
Summary of the Complaint:	Inverse condemnation claim based on substantial loss of access.		
Amount of the Claim:	\$900,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Complaint was served on 08/29/16, and FDOT filed a motion to dismiss on 09/30/16. Each time FDOT moves for hearing, opposing counsel withdraws.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Northstar Contracting Group, Inc., Plaintiff, v. FDOT, Defendant		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County		
Case Number:	2016-CA-001964		
Summary of the Complaint:	This is a breach of contract action. Northstar seeks damages for not receiving a percentage of District environmental work that was performed in District 7.		
Amount of the Claim:	\$5,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Initial complaint was served on 09/08/16. FDOT filed a motion to dismiss pending final agency action and action was abated on 01/25/17. Agency heard matter on 05/04/17. Notice of final agency action was filed with the trial court, and the circuit court matter has resumed. Discovery is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Denise Johnson	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Peak Oil Superfund Site		
Court with Jurisdiction:	United States District Court, Middle District		
Case Number:	97-1564-CIV-T-26(A)		
Summary of the Complaint:	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT has entered into a consent decree that requires it to clean this site.		
Amount of the Claim:	In excess of \$10,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	FDOT has responded to the EPA’s information request. FDOT made payment pursuant to consent decree in 03/98. Implementation of remedial design in progress. Evaluation of the need for remedy in wetlands and deep aquifer is ongoing. No assessments for cleanup costs were made in 2014/15, 2015/16, 2016/17 and no assessment is expected for 2017/18.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Gerald T. Prescott, The Gerald T. Prescott Revocable Inter Vivos Trust, Mary Lou Prescott, and The Mary Lou Prescott Revocable Inter Vivos Trust, Plaintiff, v. FDOT, Defendant.		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	2016-CA-005293		
Summary of the Complaint:	Inverse condemnation claim based on FDOT voiding a parcel in lieu of condemning it.		
Amount of the Claim:	\$1,500,000 (est.)		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The case is in the initial pleadings stage. Complaint served on 08/08/16, and FDOT’s answer filed 2/9/17. Discovery is ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Rowstar, LLC, Plaintiff, v. FDOT and Secretary Dew, Defendants.		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County		
Case Number:	2017-CA-1453		
Summary of the Complaint:	On 7/13/17, Plaintiff filed a 3 count action (2 counts for declaratory judgment and one count preliminary injunction) based upon a lease of right of way for wireless facilities.		
Amount of the Claim:	Indeterminate		
Specific Statutes or Laws (including GAA) Challenged:	Section 337.401, Florida Statutes		
Status of the Case:	Complaint served on 07/17/17 and FDOT's responsive pleading is due on 08/28/17. The matter is scheduled for mediation on 08/30/17.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Nicholas R. Sayat, Plaintiff, Plaintiff v. FDOT, Defendant.		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	2010-CA-13468		
Summary of the Complaint:	Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT’s reconstruction of US 19 from an at grade divided highway to grade separated interchanges with one-way frontage roads.		
Amount of the Claim:	\$2,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed a Notice of Voluntary Dismissal of a prior Complaint, without prejudice, on 11/23/09. The pending Complaint was filed on 09/16/10. FDOT filed its Answer on 06/13/11. On 5/20/15 trial court found liability for FDOT. Based on the authority of FDOT v. Butler (Case No. 2D15-2030) and FDOT v. CHK (Case No. 2D-3075), decided on May 31, 2017, FDOT is moving for reconsideration of the Order of Taking previously entered by the trial court.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Office of Policy and Budget – July 2017

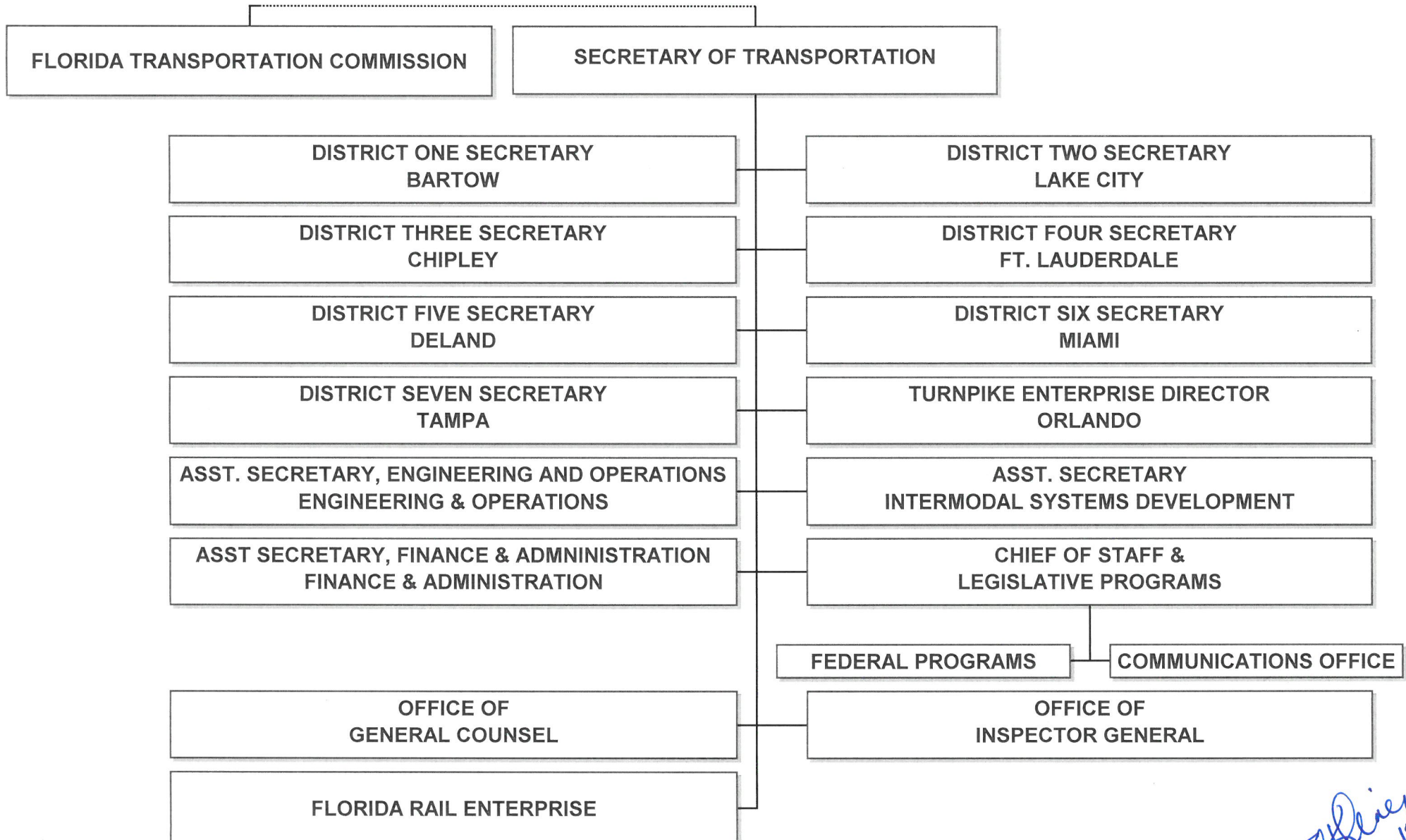
Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Tropical Trailer Leasing, LLC, Inc., Plaintiff, v. FDOT and Secretary Dew, Defendants.		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County		
Case Number:	2014-CA-0002706; 1D16-4586		
Summary of the Complaint:	Plaintiff claims it was charged incorrect amounts for tolls via the “toll by plate” method on trailers towed on the Florida Turnpike. The plaintiff alleges Section 316.003(21), Florida Statutes before 2012 did not include trailer in the definition of motor vehicle. FDOT’s position is Chapter 316 is for enforcement of toll violations only and FDOT has broad and diverse statutory powers to collect tolls in Chapter 338 of the Florida Statutes.		
Amount of the Claim:	Indeterminate, but the alleged class members could be in the millions.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff served the complaint for class certification on 01/08/15. FDOT served its Answer and Defenses 06/09/15. After discovery, Plaintiffs’ moved for class certification 03/09/16. On 09/12/16 Order granting class certification issued. The issue has been briefed and argued. Awaiting decision from 1st DCA.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Lawsuit is a class action and a class was certified 09/12/16. The class is represented by Lawrence Silverman, Esquire Rodger Traynor, Esquire Akerman LLP One SE Third Avenue Suite 1200 Miami, Florida 33131		

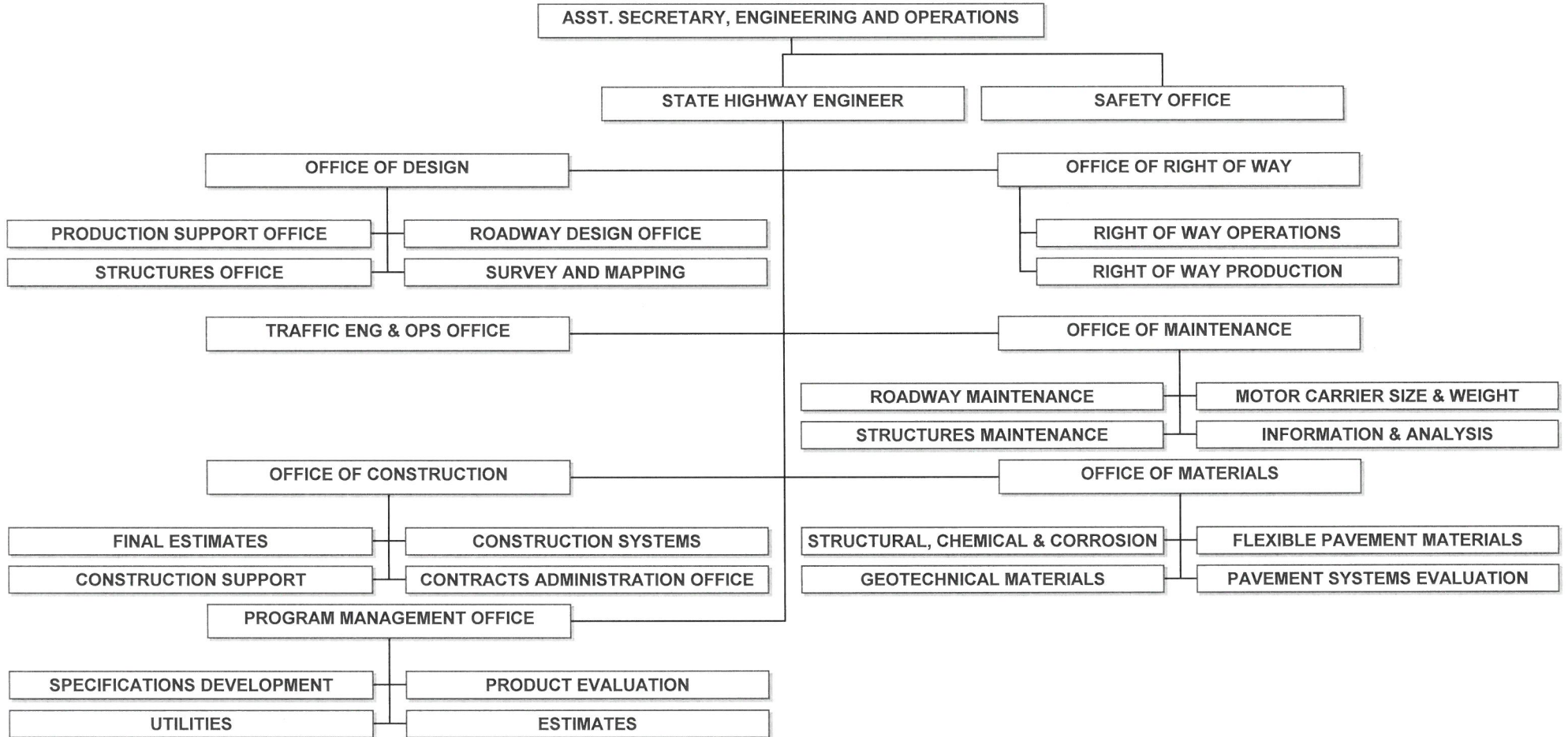
Office of Policy and Budget – July 2017

FLORIDA DEPARTMENT OF TRANSPORTATION OFFICE OF THE SECRETARY



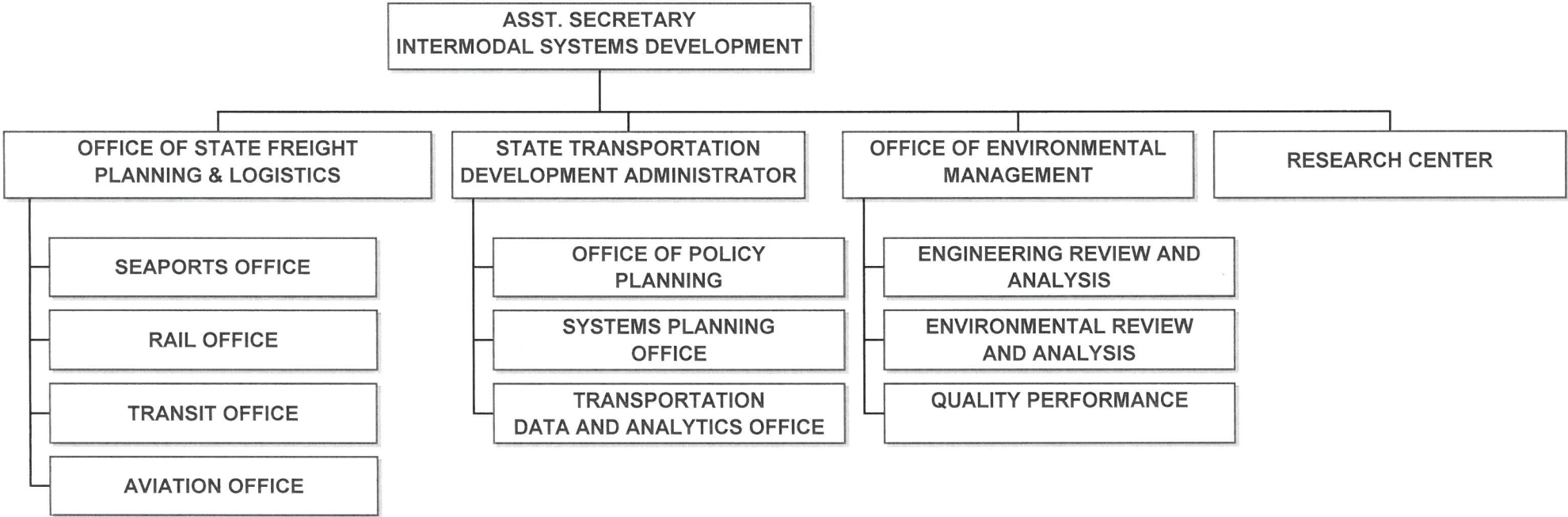
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FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR ENGINEERING AND OPERATIONS



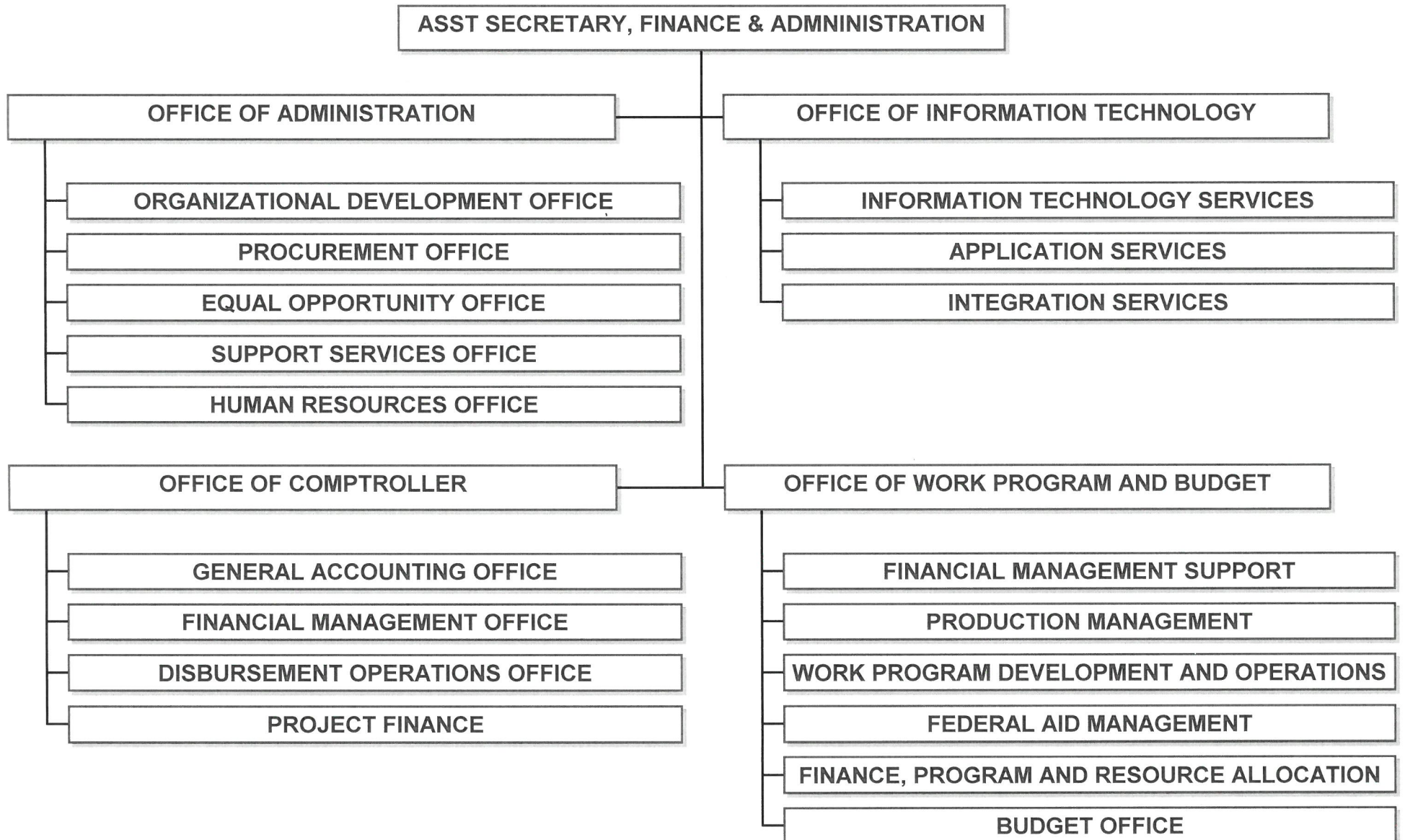
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**FLORIDA DEPARTMENT OF TRANSPORTATION
ASSISTANT SECRETARY FOR INTERMODAL SYSTEMS DEVELOPMENT**



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4.12.17

FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR FINANCE AND ADMINISTRATION



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7.12.17

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2017 Submission

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

Activity/Measure	Number of Units	Unit Cost	FY 2016/17 Expenditures		
			Allocated	FCO	Total
Exec Direction and Info Tech					
Intrastate Highways (Intrastate highways lane miles contracted for highway capacity improvements)	223	13,450,998.59		2,999,572,686	2,999,572,686
Arterial Highways (Arterial highways lane miles contracted for highway capacity improvements)	19	7,059,115.74		134,123,199	134,123,199
Resurface Roads (Number of lane miles contracted for resurfacing)	1,947	298,683.42		581,536,611	581,536,611
Repair and Replace Bridges (Number of bridges contracted for repair or replacement)	79	7,790,084.81		615,416,700	615,416,700
Preliminary Engineering (Number of projects with preliminary engineering provided)	966	1,069,937.66	135,697,154	897,862,623	1,033,559,777
Material Testing and Research (Number of projects with materials and testing provided)	44	1,163,775.75	38,353,168	12,852,965	51,206,133
Construction Engineering Inspection (Number of projects with Construction Engr provided)	405	1,128,411.66	78,445,209	378,561,515	457,006,724
Planning (Number of projects with planning provided)	314	392,188.38	25,244,806	97,902,345	123,147,151
Right of Way Land (Number of Right-of-Way parcels acquired)	1,257	348,244.88		437,743,811	437,743,811

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2017 Submission

Activity/Measure	Number of Units	Unit Cost	FY 2016/17 Expenditures		
			Allocated	FCO	Total
Right of Way Support (Number of projects with right-of-way support provided)	830	109,326.41	28,949,384	61,791,533	90,740,917
Aviation (Number of aviation projects)	302	800,972.77		241,893,777	241,893,777
Transit (Number of public transit passenger trips provided)	146,973,089	1.87		274,842,880	274,842,880
Transportation Disadvantaged [Number of trips provided (transportation disadvantaged)]	6,553,856	8.57	56,158,563		56,158,563
Rail (Number of rail projects)	129	1,105,703.74		142,635,783	142,635,783
Intermodal (Number of intermodal projects)	40	1,034,881.13		41,395,245	41,395,245
Seaports (Number of Seaport projects)	36	3,150,771.61		113,427,778	113,427,778
Public Transportation Operations (Number of projects in public transportation operations)		See Note 3			0
Bridge Inspection (Number of bridges inspected)	5,779	2,316.79		13,388,721	13,388,721
Routine Maintenance (Lane miles maintained on the State Highway System)	41,833	19,171.44	211,615,186	590,383,563	801,998,749
Traffic Engineering (Number of projects with traffic engineering provided)	55	3,206,364.84	31,592,545	144,757,521	176,350,066
Motor Carrier Compliance (Number of commercial vehicles weighed)	23,937,358	0.54	13,025,385		13,025,385
Toll Operations (Number of toll transactions)	1,038,243,726	0.25	75,517,775	184,279,665	259,797,440
Total			694,599,175	7,964,368,921	8,658,968,096

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2017 Submission

2. The expenditures exception of \$6,237,651 noted at the end of Section III relates to the Carry Forward budget for the Rail Enterprise & Turnpike budget entities. It shows that Sections II and III (expenditures plus reversions) do not account for \$6,237,651 of budget that was available in 2016/17 as reflected in Section I. Rail Enterprise & Turnpike operating budget that was eligible to be retained as Carry Forward budget in 2017/18 is not reflected as either a reversion in Column G69 nor as an expenditure in Column A01. Therefore, it is not captured in either Section II or III totals. However, it is appropriate that this amount not be counted as a 2016/17 expenditure in Section II because this budget was neither disbursed nor committed at June 30, 2017.

3. The measure "Number of projects in public transportation operations" no longer adequately reflects the public transportation operations unit/cost performance. The FDOT is moving away from 'number of projects' and is moving towards 'revenue hours' as this unit of measure better reflects Florida's transit systems operations.

Schedule XIV Variance from Long Range Financial Outlook

Agency: Department of Transportation

Contact: Mechelle Marcum

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	Work Program	Y	\$8.8 Billion	\$8.8 Billion
b				
c				
d				
e				
f				

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

The Department of Transportation develops a Work Program, which is the list of transportation projects planned for the following five years. It is supported by a balanced five-year finance plan and a three-year cash forecast of receipts and expenditures. Funding projections for each year are based on Revenue Estimating Conferences (REC) held throughout the year. The August 2017 REC revenues will be programmed into the Tentative Work Program and be used by the Governor and Legislature for consideration. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

* R/B = Revenue or Budget Driver

Office of Policy and Budget - July 2017



**LEGISLATIVE
BUDGET REQUEST
2018-2019**

**Budget Entity Level
Exhibits and Schedules**



**LEGISLATIVE
BUDGET REQUEST
2018-2019**

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

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

	Balance as of 6/30/2017	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	486,592 (A)		486,592
ADD: Other Cash (See Instructions)			0
ADD: Investments	22,245,333 (C)		22,245,333
ADD: Outstanding Accounts Receivable	35,089 (D)		35,089
ADD: Anticipated revenues for future commitments	46,156,708 (E)		46,156,708
Total Cash plus Accounts Receivable	68,923,722 (F)	0	68,923,722
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards	68,901,228 (H)		68,901,228
LESS: Other Accounts Payable (Nonoperating)	22,494 (I)		22,494
LESS: FCO not included on Sch I			0
Unreserved Fund Balance, 07/01/17	0 (K)	0	0 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2018 - 2019

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/17
 Total all GLC's 5XXXX for governmental funds; 84,336,212 (A)
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Approved "E" Carry Forward Total (FCO) per LAS/PBS (68,901,228) (D)

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

Anticipated revenues for future commitments 46,156,708 (D)

FCO - Long-Term Assets (62,799,957) (D)

FCO - Account Payable 1,208,264 (D)

ADJUSTED BEGINNING TRIAL BALANCE: (0) (E)

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

DIFFERENCE: (0) (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2018 - 2019
Trust Fund Title:	Department of Transportation
Budget Entity:	Turnpike General Reserve TF
LAS/PBS Fund Number:	2326

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,155,333	(A)			2,155,333
ADD: Other Cash (See Instructions)		(B)	2,656,511		2,656,511
ADD: Investments	862,428,896	(C)			862,428,896
ADD: Outstanding Accounts Receivable	34,155,256	(D)	91,183		34,246,439
ADD: Anticipated revenues for future commitments	167,901,832	(E)			167,901,832
Total Cash plus Accounts Receivable	1,066,641,317	(F)	2,747,694		1,069,389,011
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards		(H)			0
LESS Approved "B" Certified Forwards		(H)			0
LESS Approved "FCO" Certified Forwards	1,025,373,351	(H)			1,025,373,351
LESS: Other Accounts Payable (Nonoperating)	31,993,118	(I)			31,993,118
LESS: Unearned Revenue	12,022,542	(J)			12,022,542
LESS: _____		(J)			0
Unreserved Fund Balance, 07/01/17	(2,747,694)	(K)	2,747,694		(0)**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2018 - 2019
Department Title: Department of Transportation
Trust Fund Title: Turnpike General Reserve TF
LAS/PBS Fund Number: 2326

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/17	
Total all GLC's 5XXXX for governmental funds;	8,471,079,478 (A)
GLC 539XX for proprietary and fiduciary funds	
Subtract Nondspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :	
SWFS Adjustment # B5500002 See Narrative	2,802,909 (C)
SWFS Adjustment # B5500008 See Narrative	(9,947) (C)
SWFS Adjustment # B5500021 See Narrative	(45,269) (C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	(1,025,373,351) (D)
A/P not C/F-Operating Categories	(D)
A/P not C/F-FCO	43,241,971 (D)
Long-Term Receivables	(386,510,857) (D)
Deferred Charges	(D)
Supply Inventory	(4,103,840) (D)
Goods Purchased for Resale	(951,626) (D)
Prepays	(247,139) (D)
Non-Spendable Investments	(2,002,622) (D)
Current Bonds Payable	140,640,000 (D)
Deferred Inflows on Service Concession Arrangements	147,927,644 (D)
Long-Term Unearned Revenue	401,091 (D)
Long-Term Payables from Restricted Assets	32,399,521 (D)
Long-Term Bonds Payable	2,619,726,304 (D)
Fixed Assets GLC 26xxx	(7,722,143,797) (D)
Fixed Assets GLC 27xxx	(2,478,071,841) (D)
Fixed Assets GLC 28xxx	(6,660,462) (D)
Anticipated revenues for future commitments	167,901,832 (D)
Other Restricted	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	(0) (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	0 (F)
DIFFERENCE:	(0) (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: TRANSPORTATION **Budget Period:** 2018 - 19
Program: OUTDOOR ADVERTISING
Fund: 2540

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

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

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

<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2016 - 17	FY 2017 - 18	FY 2018 - 19
Receipts:			
<u>Permit Renewals/New Tags</u>	\$1,282,561.75	\$1,285,000.00	\$1,273,030.00
<u>Licenses</u>	\$172,200.00	\$175,000.00	\$175,000.00
<u>Reinstatements/Delinquent Fees</u>	\$18,991.00	\$13,500.00	\$7,142.39
<u>Other Receipts</u>	\$71,531.00	\$103,716.56	\$64,990.72
Total Fee Collection to Line (A) - Section III	\$1,545,283.75	\$1,577,216.56	\$1,520,163.11

<u>SECTION II - FULL COSTS</u>			
Direct Costs:			
<u>Salaries and Benefits</u>	\$418,818.21	\$438,000.00	\$440,000.00
<u>Other Personal Services</u>			
<u>Expenses</u>	\$1,029,498.98	\$1,079,996.00	\$1,045,593.99
<u>Operating Capital Outlay</u>			
<u>Deficiency Recapture</u>	\$0.00	\$0.00	\$0.00
<u>Indirect Costs Charged to Trust Fund</u>			
Total Full Costs to Line (B) - Section III	\$1,448,317.19	\$1,517,996.00	\$1,485,593.99

Basis Used: _____

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	\$1,545,283.75	\$1,577,216.56
TOTAL SECTION II	(B)	\$1,448,317.19	\$1,485,593.99
TOTAL - Surplus/Deficit	(C)	\$96,966.56	\$59,220.56

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2018 - 2019
Trust Fund Title:	Department of Transportation
Budget Entity:	State Transportation Trust Fund
LAS/PBS Fund Number:	2540

	Balance as of 6/30/2017	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	51,986,249 (A)		51,986,249
ADD: Other Cash (See Instructions)	121,547 (B)		121,547
ADD: Investments	295,735,091 (C)		295,735,091
ADD: Outstanding Accounts Receivable	607,395,574 (D)	1,443,667	608,839,241
ADD: Estimated cash forecast for FCO projects	9,926,539,449 (E)		9,926,539,449
Total Cash plus Accounts Receivable	10,881,777,910 (F)	1,443,667	10,883,221,577
LESS Allowances for Uncollectibles	1,999,023 (G)		1,999,023
LESS Approved "A" Certified Forwards	18,534,423 (H)		18,534,423
LESS Approved "B" Certified Forwards	23,026,460 (H)		23,026,460
LESS Approved "FCO" Certified Forwards	10,384,757,009 (H)		10,384,757,009
LESS: Other Accounts Payable (Nonoperating)	11,991,855 (I)	2,803,697	14,795,552
LESS: Unearned Revenue	333,320,723 (J)		333,320,723
LESS: Deferred Inflows - Current Portion	106,788,388 (J)		106,788,388
Unreserved Fund Balance, 07/01/17	1,360,030 (K)	(1,360,030)	(0) **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

	Budget Period: 2018 - 2019
Department Title:	Department of Transportation
Trust Fund Title:	State Transportation Trust Fund
LAS/PBS Fund Number:	2540

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/17	
Total all GLC's 5XXXX for governmental funds;	1,656,730,565 (A)
GLC 539XX for proprietary and fiduciary funds	

Subtract Nonspendable Fund Balance (GLC 56XXX)	(7,489,969) (B)
---	-----------------

Add/Subtract Statewide Financial Statement (SWFS)Adjustments :

SWFS Adjustment # B5500001 See Narrative	(1,461,132) (C)
--	-----------------

SWFS Adjustment # B5500007 See Narrative	101,101 (C)
--	-------------

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

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(23,026,460) (D)
---	------------------

Approved "E" Carry Forward Total (FCO) per LAS/PBS	(10,384,757,009) (D)
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A/P not C/F-Operating Categories	10,895,689 (D)
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FCO not C/F	278,938,241 (D)
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Compensated Absences	138,468 (D)
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Deferred Outflows	(58,650,460) (D)
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Advances and Receivables- L/T	(802,683,821) (D)
-------------------------------	-------------------

Allowance for Uncollectibles - L/T	8,143,448 (D)
------------------------------------	---------------

Nonstate & Cu Investments with Stat	(1,051,005,878) (D)
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Deferred Inflows	447,587,768 (D)
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Estimated Cash Forecast for FCO Projects	9,926,539,449 (D)
--	-------------------

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

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

DIFFERENCE:	(0) (G)*
--------------------	-----------------

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2018 - 2019
Trust Fund Title:	Department of Transportation
Budget Entity:	Right of Way Acquisition/Bridge Construction TF
LAS/PBS Fund Number:	2586

	Balance as of 6/30/2017		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	546,187	(A)		546,187
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments	42,426,174	(C)		42,426,174
ADD: Outstanding Accounts Receivable	81,301	(D)		81,301
ADD: Anticipated revenues for future commitments	196,449,481	(E)		196,449,481
Total Cash plus Accounts Receivable	239,503,143	(F)	0	239,503,143
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
LESS Approved "B" Certified Forwards		(H)		0
LESS Approved "FCO" Certified Forwards	239,497,867	(H)		239,497,867
LESS: Other Accounts Payable (Nonoperating)	5,276	(I)		5,276
LESS:		(J)		0
Unreserved Fund Balance, 07/01/17	0	(K)	0	0 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2018 - 2019

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/17	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	40,245,806 (A)
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment #	(C)
SWFS Adjustment #	(C)
SWFS Adjustment #	(C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	(239,497,867) (D)
A/P not C/F-FCO Categories	2,802,580 (D)
Anticipated revenues for future commitments	196,449,481 (D)
FCO Account Payables	(D)
	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	0 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	0 (F)
DIFFERENCE:	0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2018 - 2019
Trust Fund Title:	Department of Transportation
Budget Entity:	Transportation Disadvantaged TF
LAS/PBS Fund Number:	2731

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	363,487	(A)			363,487
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	27,868,367	(C)			27,868,367
ADD: Outstanding Accounts Receivable	881,017	(D)			881,017
ADD:		(E)			0
Total Cash plus Accounts Receivable	29,112,870	(F)	0		29,112,870
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	36,039	(H)			36,039
Approved "B" Certified Forwards	15,049,417	(H)			15,049,417
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	3,127	(I)			3,127
LESS:		(J)			0
Unreserved Fund Balance, 07/01/17	14,024,288	(K)	0		14,024,288 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2018 - 2019

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/17

Total all GLC's 5XXXX for governmental funds; 27,357,504 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # B55000021 (C)

SWFS Adjustment (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (15,049,417) (D)

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

A/P not C/F-Operating Categories 1,716,369 (D)

CF - Operating Category paid out of CY Funds (168) (D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 14,024,288 (E)

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

DIFFERENCE: 14,024,288 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

For Fiscal Year 2018-19



September 15, 2017

FLORIDA DEPARTMENT OF TRANSPORTATION

Contents


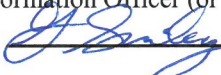

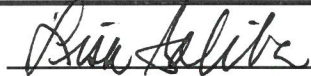

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SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Transportation	Schedule IV-B Submission Date: September 15, 2017
Project Name: Work Program Integration Initiative	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2018-19 LBR Issue Code: 36233C0	FY 2018-19 LBR Issue Title: Transportation Work Program Integration Initiative (WPPII)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lisa Saliba, (850) 414-4649, Lisa.Saliba@dot.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 14 SEP 17
Printed Name: Michael Dew	
Agency Chief Information Officer (or equivalent): 	Date: 9/13/17
Printed Name: Greg Smiley	
Budget Officer: 	Date: 9/13/17
Printed Name: Mechelle Marcum	
Planning Officer: 	Date: 9/13/17
Printed Name: Lisa Saliba	
Project Sponsor: 	Date: 9/14/17
Printed Name: Rachel Cone	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Lisa Saliba, 414-4649, Lisa.Saliba@dot.state.fl.us
Cost Benefit Analysis:	Greg Patterson, 414-4637, Greg.Patterson@dot.state.fl.us
Risk Analysis:	Tom McCullion, 445-9065, Tom.McCullion@dot.state.fl.us
Technology Planning:	Brian Toppel, 410-5566, Brian.Toppel@dot.state.fl.us
Project Planning:	Tom McCullion, 445-9065, Tom.McCullion@dot.state.fl.us

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

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

A. Background and Strategic Needs Assessment

1. Business Need

The Florida Department of Transportation (FDOT) manages over \$10 billion a year in transportation projects in various stages of the project lifecycle. Functional activities include managing over 9,000 active contracts valued at over \$11 billion, planning for over \$40 billion in future commitments, implementing \$10 billion in current year commitments and monitoring transportation systems and infrastructure performance for critical information inputs into planning activities. These activities are spread across the broad spectrum of transportation modes including: roads, bridges, airports, seaports, rail systems, spaceports, bus transit, and bicycle and pedestrian facilities. Not only does FDOT contribute to Florida's economy through infrastructure investments, it also contributes to the traveling public's quality of life and supports the movement of commercial goods and services.

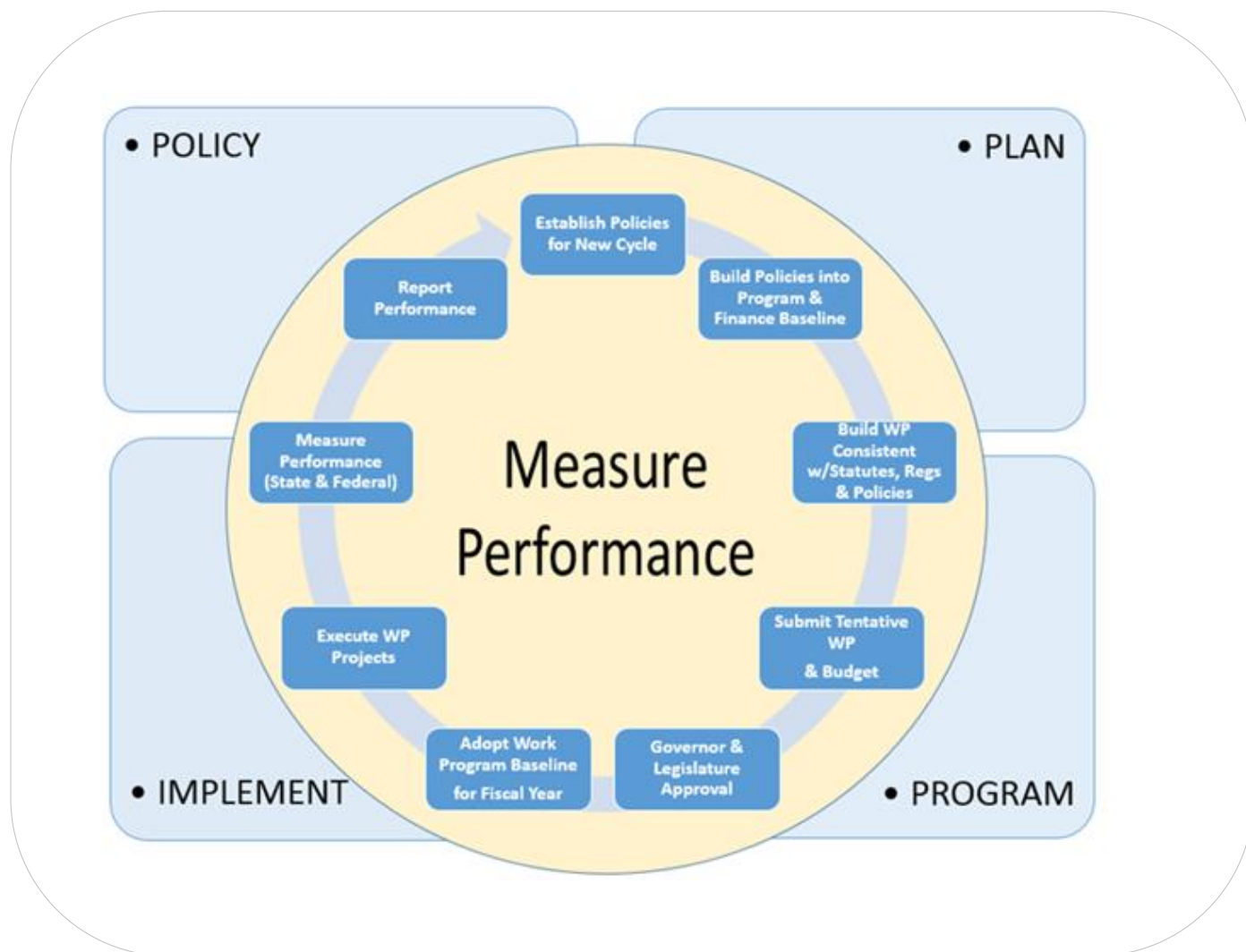
FDOT is entrusted by Florida's taxpayers to deliver a safe, viable and balanced transportation system serving all regions of the state and to assure the compatibility of all components (s. 334.044, F.S.). FDOT works diligently to protect the public's interest through established policies, procedures, technology systems and processes. The Work Program Administration (WPA) system supports core activities related to planning for future projects, programming projects within resources, implementing planned commitments, managing and monitoring projects and associated contracts and measuring performance for compliance with legal mandates. It is also the tool for reporting the five-year list of projects which FDOT plans to undertake (s. 339.135, F.S.) and is used to manage the projects in their various lifecycle states. (See Exhibit 1 below).

The Financial Management (FM¹) suite of systems and the 150 plus system interfaces present tangible risks to the FDOT's ability to continue supporting its core operations essential to managing its multi-billion dollar transportation business. This suite is a complex aggregation of business processes and supporting systems which are disjointed and brittle, are costly to maintain, and demand significant manual intervention to meet new business needs. Its intricacies often obscure the usefulness of data resulting in duplication in other systems. The systems are supported by a small team of functional experts, who each possess singular institutional knowledge and are reaching retirement, which increases the risks and potentially shortens these systems useful lives. It is imperative that FDOT continues efforts to develop an enterprise-based solution with a consolidated information base and the flexibility to meet the organization's requirements in order to mitigate impacts to potential project production or financial failures.

¹ A complete glossary of terms can be found in Appendix C.

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

Exhibit 1: Work Program Lifecycle



The WPA system is one of four major systems used to support transportation projects and their financial lifecycle. The other primary systems are the Federal Authorization Management System (FAMS), the Federal Program Management (FPM) system and the Project Cost Management system (PCM). These support systems and related business processes are referred to as the FM suite of systems and are critical to carrying out FDOT's core business functions as every line of business uses some combination of or all components.

The FM Suite has been modified over time in response to federal and state laws, internal and external partner business needs and changes in technology solutions and standards. The result is a collection of systems requiring multiple interfaces, manual intervention where processes are insufficient, intensive data management and expert support in order to function together (See Exhibit 2 below).

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

several years. Discounting the situation and waiting for the brittle architecture to break compromises existing commitments totaling over \$11 billion, future project commitments of over \$10 billion per year, as well as the public trust placed in FDOT.

The Work Program Integration Initiative (WPII) was launched to immediately consider technology alternatives to the current situation and to address the following risks:

- Discrete Systems Needing Integration
Various applications manage duplicative data and require manual intervention to reconcile and convert the data into strategic decision-making information. Aggregating and correlating data across systems is time consuming, introduces additional risk of error and is dependent upon a few expert staff. This heightens the risk of information inaccuracy and prevents timely data retrieval.
- Externally Mandated Changes
Systems have been modified over the years due to changes to or the implementation of new state statutes, federal regulations and mandates. These changes have triggered changes to business rules and processes, systems and/or system interfaces. Maintaining consistent business rules across these systems is difficult at best and creates the opportunity for missing, conflicting and inaccurate data.
 - New business processes create new lines of code. The existing programming logic does not clearly identify the business rules being implemented.
 - Lack of system documentation exists across the enterprise, creating failures in system updates and maintenance. This increases risks associated with succession planning and training due to near-term retirement of long-term subject matter experts.
 - Redundant processes and 'work-arounds' create inefficiencies by requiring additional reconciliation steps. These steps create increased data storage costs and data retrieval response times.
 - System architectures have evolved over time rather than being intentionally designed and implemented.
- Institutional Knowledge
As the primary system code is uncommon, there are few experts in the market able to make immediate contributions in the operating environment. Thus, processes and systems development projects rely on staff with long-term institutional knowledge to support daily break-fix requests, bridge gaps and manage work-around processes. This approach is not sustainable and exposes the department to risks which must be addressed to avoid triggering a financial crisis similar to the one of the late 1980s. Additionally, FDOT processes and supporting computer systems are not conducive for training the next generation of FDOT staff.
- Access to Information
The absence of consistent, predictable and repeatable information is preventing FDOT from acting as an integrated whole and sharing information across its enterprise. Because the various operating units within FDOT do not know what information is available in other units or how it is stored, it is not shared in the most effective manner.

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

WPII is in its third year of project development. The Fiscal Year 2017-18 budget request is needed to continue development of “To-Be” business processes, development of detailed business requirements sufficient for procurement, staff augmentation to support functional areas, refine project Return on Investment (ROI) calculations, support project management and change management, and development of a procurement strategy leading up to selecting a solution and systems integration services. FDOT is requesting funding to engage sufficient resources to accomplish these tasks.

2. Business Objectives

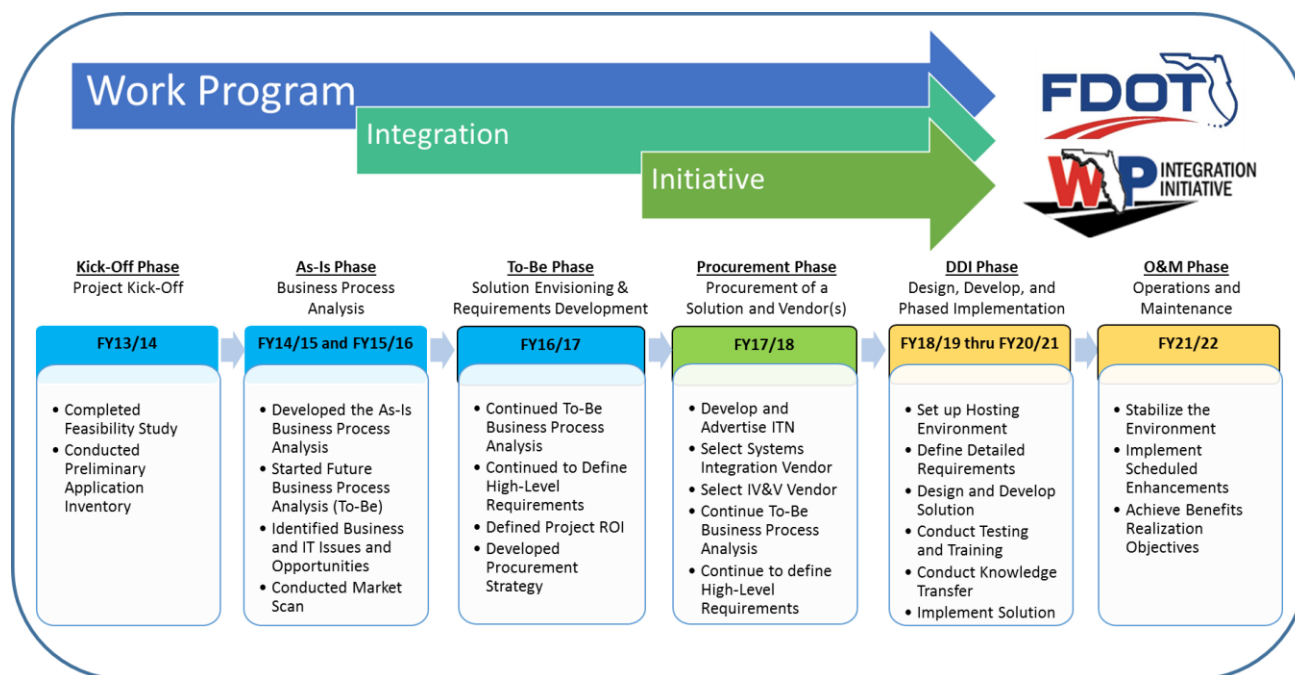
WPII is the department’s effort to re-engineer the Work Program’s business processes and leverage new technology to support the delivery of the \$40 billion, annual 5-Year Work Program. This is fundamentally a business process reengineering effort which impacts every office within the department. This project is not a technology refresh with a sole focus on upgrading the technical infrastructure. Funding this initiative is necessary to mitigate the risks identified from the Strengths/Weakness/Opportunities/Threats analysis (SWOT – Exhibit 4) and ensure FDOT’s continued successful management of the Work Program.

WPII will integrate the financial aspects of Work Program projects with key contract management information and reduce manual user interfaces between its systems. This integration and automation of information processes will ensure the department’s continued financial integrity, address changing partner demands and account for the use of vital project funding sources. New system logic will be established based on a principled set of business rules and seamlessly convert data from various sources into decision-making information to all stakeholders.

The project ultimately seeks to optimize the Work Program’s production capabilities by aligning business processes to a common set of strategic objectives and operational standards, aided by modernized system solution, which will reduce redundancy, increase efficiency and mitigate risks. The Initiative is comprised of a series of related phases (see Exhibit 3 below).

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

Exhibit 3: Funded WPII Phases



The WPII initiative seeks to enhance FDOT’s ability to meet its statutory goals and objectives for financial integrity and accountability through improved business processes and modernized technologies. The Initiative is comprised of a series of related projects.

B. Baseline Analysis

1. Current Business Processes

The WPII FY 2017-18 Schedule IV-B documented the department’s accomplishments in assessing the current business processes during the As-Is Phase of the project. In summary, given the high number of complex business processes FDOT supports, it was imperative the team focus its efforts on defining the highest-level functions within FDOT’s TFLC. These functional areas are Policy, Plan, Program, Implement and Measure. While the first four functions are sequential, the Measure “oversight” function is present throughout the TFLC, tracking FDOT’s progress toward attaining goals and objectives. Some of the highest-level processes within these functional areas are characterized as follows:

- **Policy** - Executive-level decisions that provide a methodology to align department resources to its long-term objectives and obligations. Sub-processes include:
 - Review of the Florida Transportation Plan - The department engages its partners and establishes its policy directives and goals setting the direction for transportation for the 50-year planning horizon.
 - Development of the Strategic Intermodal System (SIS) Strategic Plan – Providing an assessment of investment needs, a project prioritization process and a finance plan based on reasonable projections of anticipated revenues

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

- Inputs to Policy Development include:
 - State statutes
 - Federal regulations
 - Federal, state and local partners and stakeholders
 - The public
 - Previous statewide and local plans.
- Outputs from Policy Development include:
 - Guidance for transportation decisions and investments made based upon the prevailing principles of providing for the safety of the public
 - Preserving the existing transportation infrastructure
 - Enhancing economic competitiveness
- Improving travel choices to ensure mobility
- Plan - Processes related to the planning of projects, particularly with respect to the anticipated funding and financing of the Tentative Work Program. Sub-processes include:
 - Development of the Multimodal Unfunded Needs Plan
 - Development of the SIS Cost Feasible Plan
 - Development of modal master plans (airports, seaports, rail, and transit)
 - Development of safety plans
 - Development of the Preliminary Program and Resource Plan
 - Inputs to Planning include:
 - Florida Transportation Plan
 - Policy decisions
 - Legislative bill impacts
 - Current transportation needs
 - Outputs from Planning include:
 - Project scoping and feasibility
 - Initial project cost estimating
 - Project prioritization
 - Funding allocations (Schedule A)
 - Program Targets (Schedule B)
 - 10-Year Preliminary Program and Resource Plan
- Program and Implement functional areas are closely related and have been combined in this bullet – Processes are related to aligning financial resources to planned products based on prioritized lists. This includes submission of a budget request and development of the five-year work program of projects. Sub-processes include:
 - Developing the Tentative Work Program
 - Financing the Tentative Work Program
 - Adoption of the Work Program
 - Budget Allocation
 - Funding Authorization
 - Project funds approvals
 - Management and monitoring of projects and associated contracts

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

- Closeout of projects and associated contracts
- Inputs into programming and implementation processes include:
 - State statutes
 - Federal regulations
 - Input from federal, state and local partners and stakeholders
 - The Florida Transportation Plan (FTP)
 - The Cost Feasible Plan
 - System plans
 - Metropolitan planning organization, county and city prioritized plans
 - Direct input from the public
- Outputs from programming and implementation processes include:
 - Balanced Tentative Work Program
 - Tentative Program and Resource Plans
 - Public Private Partnership financing details
 - Statewide and district program planned commitments
 - Finance Plan
 - Cash Forecast
 - Financing strategies
 - LBR
 - Adopted projects
 - Letting Plan
 - Budget Allocations
 - Adopted Finance Plan and Adopted Cash Forecast
 - Project Work Plans
 - Authorized Financial Projects
 - Approved Federal Authorization Requests
 - Local Funds Deposits
 - Advertised Contracts
 - Memo Encumbrances
 - Approve Project Funding
 - Contract funds approvals
 - Project encumbrances
 - Work Program amendments
 - Contract modifications
 - Contract funds approvals
 - Reviewed and approved invoices
 - Cost allocations
 - Funding reimbursement requests
 - Monthly Cash Forecast
 - Closing packages
- Measure - The department measures product, finances, performance and conformity with policies and goals across the Work Program Lifecycle. Lessons learned are used to improve future operations and programs. Sub-processes include:

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

- Performance Monitoring
- Performance Reporting
- Inputs to measurement include:
 - Data from active projects
 - Data from funds and program management
- Outputs of measurement include:
 - Florida Transportation Commission (FTC) assessment
 - Monthly Performance Report
 - Work Program reviews and results
 - Quality Assurance Review results
 - Audit Findings
 - Finance Plan and Cash Forecast variance analysis
 - Cash Management Improvement Act (CMIA) submission
 - Schedule of Expenditures for Federal Awards details

FDOT analyzed and documented the current business and technology environments' strengths, weaknesses, opportunities and threats (SWOT). The results are captured in this graphic below.

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

Exhibit 4: Strengths/Weaknesses/Opportunities/Threats (SWOT) Matrix



2. Assumptions and Constraints

This section identifies key assumptions that may influence WPII. It also outlines potential constraints which could impact the outcome of the proposed solutions recommended as a result of the department’s needs assessment project.

Assumptions

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

Adequate funding and resource availability are primary drivers of the department’s WPII initiative.

The department will continue to satisfy the information needs and address system interface

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

requirements with its external partners. Some of these key areas include:

- Legislative Appropriation Systems/Planning Budgeting Subsystem (LAS/PBS), the state's budgeting and appropriation subsystem, will continue to be used for developing, preparing, analyzing and evaluating agency budget requests
- The department will continue to maintain the interface to LAS/PBS for the Work Program plan of projects in addition to Legislative Budget Request submittals
- The department must continue to interact with Financial Management Information System (FMIS 5.0), the Federal Highway Administration's (FHWA) major financial information system for tracking Federal-Aid projects, to manage the obligation of federal funds to specific projects and to submit periodic billings to FHWA for the reimbursement of expended federal funds
- FDOT will continue to update its supporting applications to provide geospatial information, improvement types and other new project attributes as required by FHWA

Per s. 215.94 F.S., the Department of Financial Services (DFS), will continue to be the owner of the state of Florida's statewide accounting system (currently the Florida Accounting Information Resource [FLAIR] system, soon to be the Florida Planning, Accounting, and Ledger Management [FloridaPALM] system) and will continue to perform the accounting, financial reporting and treasury functions commonplace for modern core financial management systems

- DFS is in the process of replacing FLAIR and the Cash Management System with the FloridaPALM project, which will support the general accounting and financial management needs of Florida's agencies, including: general ledger, accounts payable, accounts receivable and payroll functionality
- FloridaPALM Phase I is scheduled for deployment in FY 2020-21 and will not encompass the unique financial requirements of FDOT, meaning FDOT must continue to actively engage and collaborate with DFS prior to pre-implementation to ensure the continued functionality of approximately 50 incoming and outgoing interface points between the two agencies

Constraints

- Funding constraints may impact the specific timing and deployment of the proposed solutions recommended in the Detailed or High-Level Requirements
- Due to the magnitude of TFLC, hiring consultant augmentations to support WPPI is essential for the department's continuity of operations, however, limited resources could have an impact on the timing and scope of recommended solutions
- WPPI must be able to interface with systems outside of the scope of the project, many of which are based on technology that is either outdated or considered non-strategic
- As the department continues to refine business processes and seek technological solutions in response to customer driven needs resources may be dedicated to other strategic initiatives

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

During the To-Be Phase of the Project, it was readily apparent that the core functionality of FM (the “What”) would not be changing, the department would still need to deliver its core mission. What was apparent however was the “How” would need to change to meet the challenges for the department moving forward. Based upon that analysis, a key decision was made to advance procurement up in the project lifecycle. That would allow the project team to benefit from the knowledge and expertise of a qualified systems integrator and also to be able to make decisions regarding the To-Be requirements based upon the solution proposed.

The improvements to the business processes and modernizing technologies will address the following requirements:

- Achieve the common goals and objectives identified in the Strategic Articulation Map (see Exhibit 5 below)
- Establish a comprehensive set of functional and technical requirements which FDOT can use to identify the long-term solution for the modernized suite of applications

2. Business Solution Alternatives

FDOT has considered the following business solution alternatives:

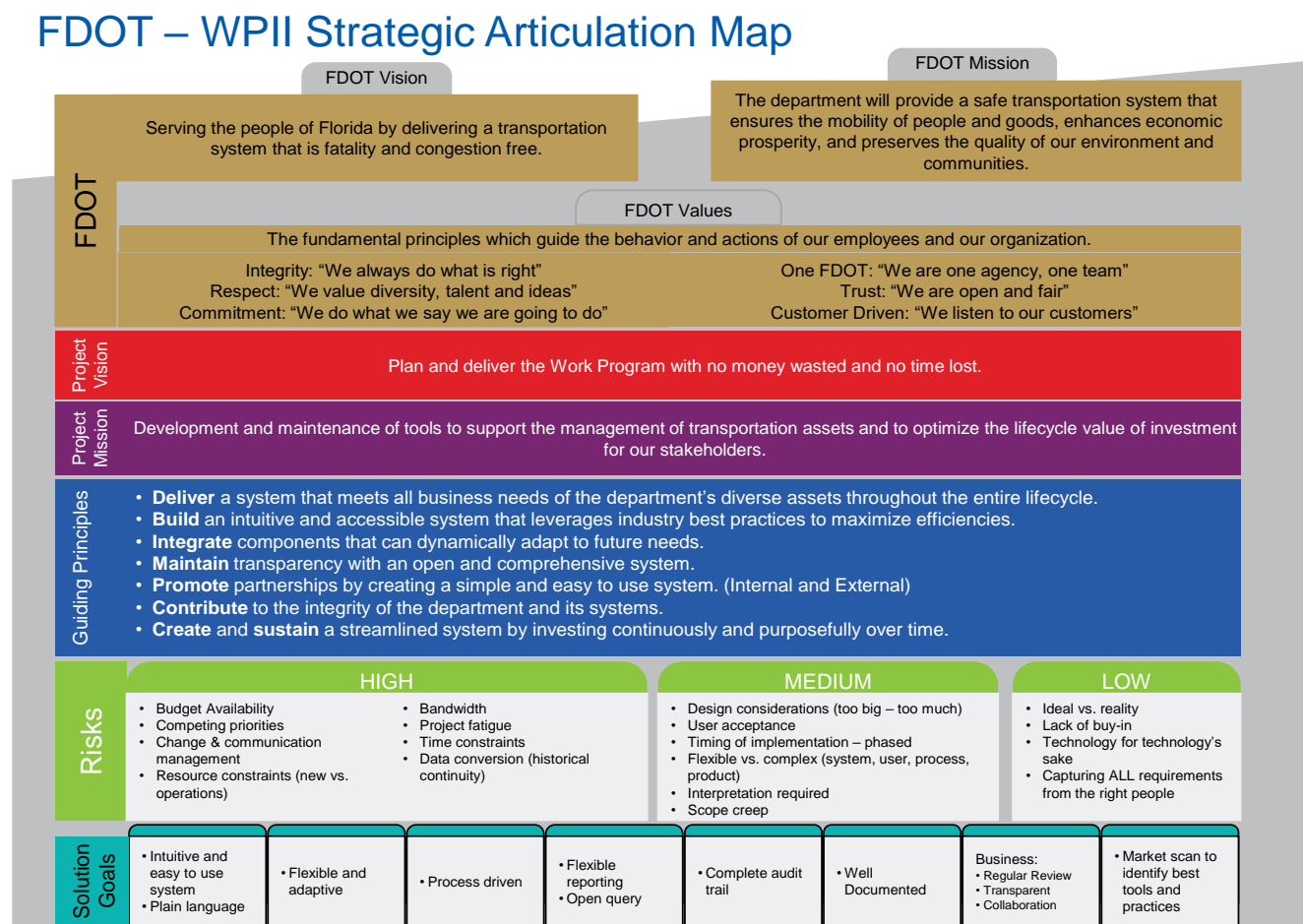
- Maintain existing systems and processes – maintaining the status quo presents the greatest risk to ongoing operations. Given the risks (i.e., loss of staff with institutional knowledge, aging systems demanding increasing support costs, adjusting business to changing laws and statutes and discrete or disconnected business solutions requiring extensive interfaces and manual interventions) this is not a viable solution.
- Incremental business process and system changes – segmenting the project by business function continues the risk of replicating discrete or disconnected business solutions and systems. FDOT initiated a proof of concept of this approach in the Federal Reimbursements areas. Each level of the business processes were evaluated and documented resulting in clear and significant ROI. However, the parallel stream of approach demanded full-time attention of the same staff resources. FDOT determined proceeding with the incremental approach placed greater risk on each of the parallel efforts.
- Full business process and system changes – the current project activities focus on integration of work flows which will result in improved business reporting and reconciliation, elimination of manual work processes, data integration and/or sharing, improved business intelligence and provide the best overall support of FDOT’s financial functions. This bullet refers to the options proposed in the Technical Solution Alternative Section (VI C.1).

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

3. Rationale for Selection

The WPPI Strategic Articulation Map below includes a project vision statement, along with four solution goals and their associated business value. The vision provides direction on the achievements of any potential solution and also provides a basis for future planning. The Solution Goals (see Exhibit 5 below) provide a minimum set of capabilities which must be met by any potential solution. Establishing a minimum set of capabilities is critical in order to ensure all options are compared to a common standard. This common base will allow option costs, timelines and capabilities to be compared in a consistent manner.

Exhibit 5: WPPI Strategic Articulation Map



SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

4. Recommended Business Solution

In FY 2017-18 during the To-Be Phase of the Project, the department decided that nothing less than a full business process reengineering effort and a replacement of its core underlying systems was required to meet its business objectives. This decision was based on the Market Scan conducted during the As-Is Phase and documented in the WPII FY 2017-18 Schedule IV-B that noted several of the DOTs which have reengineered their Work Program areas selected a Commercial Off The Shelf (COTS or package) solution. The cost for those efforts ranged widely from \$8 million to \$100 million but do not have a consistent basis for comparison of those costs. For FY 2017-18 planning and budgetary purposes, the department used a \$50 million COTS estimate as a model as it seems to be a reasonable target. The approach and cost estimate was also confirmed in the industry's response and dialog during the Request for Information conducted by the department during the To-Be Phase. Once the responses to the Invitation to Negotiate on the new system have been proposed, and the Define Detailed Requirements and Design Activities of the project are complete, the final recommendation and a more refined ROI will be determined.

5. Approach to the Functional Solution

Innovative Approach

In preparation for the selection of a Systems Integrator and the subsequent Design, Development, and Implementation (DDI) phases of WPII, FDOT employed an innovative approach for analyzing the department's in-scope business processes. Understanding FDOT's business processes and their dependencies on the current Financial Management (FM) suite of applications is critical to successfully executing this transformational initiative. The WPII project is truly an enterprise-wide endeavor with thousands of impacted FDOT stakeholders and far-reaching implications to the delivery of the multibillion dollar Work Program. As such, the department adopted a value-based strategy to effectively assess its business processes and inform all remaining project phases. The strategy is based on the following tenets:

- Assemble a dedicated team of FDOT expert practitioners to create the vision and guide the design of the department's future state business processes.
- Identify the department's core business needs versus detailed solution requirements.
- Engage FDOT stakeholders and prospective vendors proactively and transparently.

To date, this strategy has proven to be effective in maximizing the value of the team's outputs and positioning the department for a productive procurement and DDI journey. The strategy is described in more detail below.

Dedicated Team

For WPII, FDOT strategically invested in a dedicated team of leading practitioners from the Office of Work Program and Budget (OWPB) and the Office of Comptroller (OOC). This team assessed the current process environment, and it will design the department's future business processes and ensure the successful modernization of the supporting FM solution capabilities.

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

The dedicated team represents a comprehensive cross-section of departmental business functions at both the Central Office and the districts. Their shared insights and focus enable the project to produce high-value outputs in an accelerated timeframe. The team's collective knowledge with respect to the WPII scope is immense, and moreover, the members' passion and vision for positioning the department for long term success is clearly evident.

Many projects of similar size and scope lack a dedicated team of this nature, instead relying on an external vendor and/or a piecemeal assembly of partially-allocated staff to execute the engagement. In most cases, the projects suffer and oftentimes fail as a result. Conversely, FDOT's dedicated WPII staff are a key to the project's success as evidenced by the initiative's achievements to date.

A Focus on Business Needs over Detailed Requirements

Historically, a conventional approach for engaging an enterprise systems integrator (SI) meant developing an exhaustive list of functional and technical requirements by which to evaluate and ultimately engage an SI. The operating premise being, an organization should know its full complement of requirements to effectively select a vendor and solution to meet its project objectives. FDOT is thoughtfully pursuing a different approach for WPII. Instead of focusing on the development of requirements at this point in the project, the WPII team determined the greatest value would be realized by understanding the department's business processes and overarching solution needs. FDOT will then partner with the most capable SI to define the detailed requirements once the future FM platform is known.

To fully understand the future state business needs, the WPII team performed a comprehensive review of five primary functional categories: Funds and Program Management, Project Management, Cash Management, Contract Management, and Budget Management. Within these categories, the team assessed 56 core business processes and identified and mapped the relationships among 317 process inputs and 214 process outputs. These elements have been pulled together in Exhibit 6: SIPOC Map (Suppliers, Inputs, Process, Outputs, and Customers – although this Map focuses on the Inputs and Outputs of each Process). The analysis enabled the team to identify operational challenges with each process and specific opportunities for improvement in the future state. In addition, the evaluation of business processes yielded the documentation of over 160 core capabilities FDOT seeks in a modernized FM solution.

The emphasis on business process analysis and needs identification is rooted in the team's belief that FDOT's primary business processes will fundamentally remain the same in the future. Regardless of the chosen technology platform, the department will continue to perform the same core functions and produce the same primary outputs. However, what will change is the detailed method by which the processes are performed and the outputs created. In short, the "what" and "why" remain generally consistent, and the "how" will be optimized. Instead of hypothesizing the "how" at this point with no specific knowledge of the supporting technologies, the WPII team is committed to identifying the business needs and the corresponding goals for the future. This approach will enable FDOT to engage the most capable vendor to assist in developing the detailed requirements and designs tailored to a proven technology platform.

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

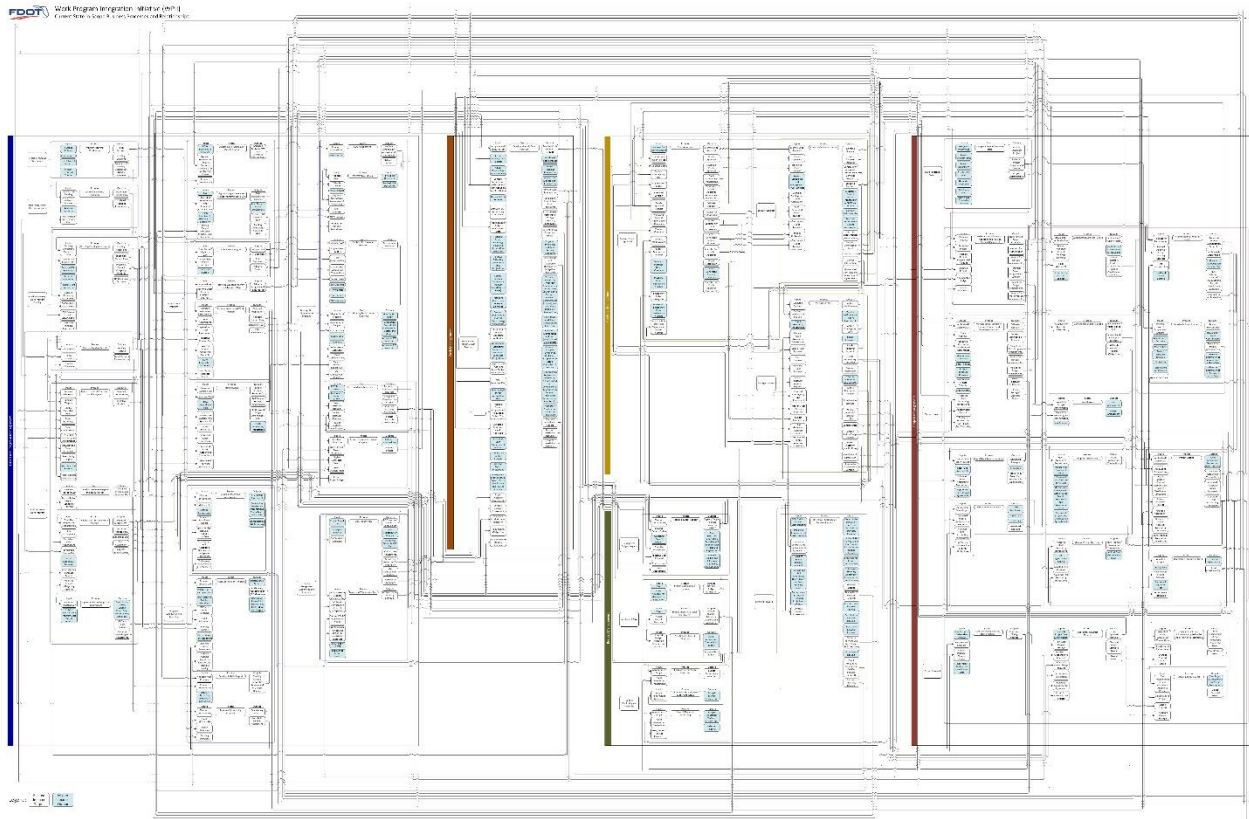
Stakeholder and Vendor Engagement

In the continued spirit of innovation, the analysis of the current state business processes enabled the WPPII team to complete a series of valuable pre-procurement activities. The most obvious of which was a natural progression to contemplating future state process designs. Armed with the business needs and documented opportunities for process improvement, the WPPII team is actively developing the high-level business use cases to leverage with the eventual SI in developing detailed solution requirements and system designs. The future state designs reflect the vision and insights of the immediate WPPII team as well as feedback from FDOT stakeholders across the state. Future state designs are being developed using the department's Enterprise Architect application which will allow for efficient refinement, traceability, and translation to the SI community.

In addition to the future state process designs, the business process analysis findings and core capabilities directly contributed to a unique series of interactions with prospective SI vendors. The WPPII team solicited preliminary vendor insights through a Request for Information (RFI) exercise, followed by a series of in-person meetings with four prospective vendors to informally exchange ideas and gather information in advance of releasing the WPPII Invitation to Negotiate (ITN). The process analysis artifacts were invaluable in educating the vendors, setting the proper context for WPPII, and managing expectations for the potential WPPII technology solutions (i.e., enabling the team to understand which solution areas may require greater deliberation versus others which are customary in the industry tools).

Throughout the project, the WPPII team has openly shared the relevant business process analysis insights with internal stakeholders, legislative staff, other state Departments of Transportation, and prospective vendors. The team's demonstrated commitment to transparency and open dialog only serves to strengthen the value of the overall WPPII solution.

Exhibit 6: Current Business Process Map and Applications Architecture



D. Functional and Technical Requirements

Functional and technical requirements will be developed during the Define Detailed Requirements and Design Activities to provide a solution that satisfies the following criteria:

- Intuitive and easy to use system
- Flexible and adaptive
- Process driven
- Flexible reporting and open query
- Complete audit trail
- Well documented
- Enforces transparent and collaborative business practices

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III. Success Criteria

The criteria below apply to the successful implementation of the business initiative:

SUCCESS CRITERIA TABLE I – NEW SYSTEM				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Certification of the new system by the FHWA	Approval from the FHWA that the new system has been certified for use	FDOT	Just prior to system implementation
2	Complete project scoping and feasibility studies for potential projects	Definition of scope for candidate projects completed	FDOT and transportation stakeholders	At system implementation
3	Preparation of initial cost estimates for candidate projects for potential inclusion in the Work Program	Completed cost estimates based on the department's cost estimate handbook and guidelines	FDOT and transportation stakeholders	At system implementation
4	FTP	Contains specific long and short-range components; major programs of the department; products to be delivered; resources required.	FDOT and transportation stakeholders	At system implementation
5	Prioritize candidate projects	Preliminary list to be considered during Work Program gaming process	FDOT and transportation stakeholders	At system implementation

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SUCCESS CRITERIA TABLE I – NEW SYSTEM				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
6	Development of the Program and Resource Plan Summary	Adheres to guidance by the FTP; consistent with established performance measures; compliant with funding policies	FDOT	At system implementation
7	Completion of funding allocations	Consumes all available funding and revenue sources; adheres to the department’s program objectives	FDOT	At system implementation
8	Build the tentative and adopted Work Programs	Compliance with allocations, Work Program Instructions, funding policies, legislation and appropriations.	FDOT	At system implementation
9	Capture a “snap shot” in time of the versions of the Work Program	Creation of the Program and Resource Plan Summary; Work Program information by Program Plan, Category and Sub-category	FDOT	At system implementation

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SUCCESS CRITERIA TABLE I – NEW SYSTEM				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
10	Produce a balanced financial plan projecting cash needs for the Program and Resource Plan Summary	Work Program is planned to deplete estimated resources; includes a balanced Cash Forecast and Finance Plan; estimated cash balances are above working minimums	FDOT	At system implementation
11	Create the Legislative Budget Request	Submission of tentative and adopted Work Programs; compliance with statutory due dates	FDOT	At system implementation
12	Manage the federal funds program and support the department’s partnerships with federal agencies	Review of mandated federal project tier analysis; adherence to Federal Funding Accountability and Transparency Act reporting requirements	FDOT	At system implementation
13	Develop the annual Obligation Authority Plan	Consumption of federal appropriation by September 30 th of each federal fiscal year	FDOT	At system implementation
14	Obtain FHWA approval for federal participation in eligible costs on individual transportation projects	Successful acknowledgment and approval of FDOT authorization requests	FDOT	At system implementation

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SUCCESS CRITERIA TABLE I – NEW SYSTEM				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
15	Managing and monitoring of the execution of the Five-Year Work Program	Required adjustments to the planned number and mix of projects based on performance measures	FDOT	At system implementation
16	Provide funds approval documentation for contracts and purchase orders prior to agreement execution	Compliance with Section 339.135(6)(a),F.S.	FDOT	At system implementation
17	Validation of the FDOT’s interface with the state of Florida accounting system	Data validation for approved invoices; internal control validations; successful interface of accounting and budgeting transactions; completion of the project cost allocation process for department projects	FDOT	At system implementation
18	Validate and generate the period billing for reimbursement from FHWA	Successful transmission and receipts of cash; completion of the quarterly CMIA requirements; status of outstanding billings	FDOT	At system implementation

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SUCCESS CRITERIA TABLE I – NEW SYSTEM				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
19	Satisfy the department’s certification forward and carry forward statutory requirements	Tested and approved functionality	FDOT	At system implementation
20	Provide required information for the Florida Accountability Contract Tracking System (FACTS).	Tested and approved functionality	FDOT	At system implementation
21	Management and monitoring of project, grant and contract functions concurrently	Adherence to 2 CFR Part 200, 215.97 F.S., 215.971 F.S; establishment, modification and ongoing management of agreements; oversight and reporting of locally funded agreements	FDOT	At system implementation
22	Monitor the overall performance in accomplishing the annual FDOT Work Program	Performance reporting to FTC, legislators, legislative staff, EOG; FDOT management, etc.	FDOT	At system implementation

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SUCCESS CRITERIA TABLE I – NEW SYSTEM				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
23	Provide a broad range of business intelligence and analytics capabilities	Adherence to Government Accounting Standards Board and financial statement reporting requirements; ad-hoc, business analytics and decision support for department projects and other financial related information; enterprise-wide geographic information system integration and spatial display for department projects and other financial related information	FDOT	At system implementation

The criteria below apply to the successful completion of the project itself:

SUCCESS CRITERIA TABLE II – PROJECT MANAGEMENT				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Establish a comprehensive governance model for the WPPI project	<ul style="list-style-type: none"> Variance analysis of project progress points and scheduled due dates versus actual results 	FDOT	From project initiation

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SUCCESS CRITERIA TABLE II – PROJECT MANAGEMENT				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
2	Review of the To-Be (i.e. future state) analysis of relevant business processes and the high-level requirements	<ul style="list-style-type: none"> • Identification of in-scope processes • High-level requirements were included in Requirements Traceability Matrix • Deliverables met the criteria established in the Deliverable Expectations Documents 	FDOT	At conclusion of the Define Detailed Requirements Activities
3	Maintenance of a Project Management Plan detailing a consistent and disciplined approach for managing the project	<ul style="list-style-type: none"> • Details communication of project status and progress reporting • Defines how issues and risks will be documented and managed • Incorporates feedback received during the Kickoff Meeting 	FDOT	From project initiation
4	Maintenance of a high-level schedule, including milestones and deliverables	<ul style="list-style-type: none"> • Modified to reflect actual project funding and FDOT directives • Includes resource-loaded activities • Predecessor and successor dependencies are identified with critical path established • Projected FDOT resource allocation • Includes FDOT review time periods 	FDOT	From project initiation
5	Submission of the Deliverable Expectations Documents outlining the acceptance criteria for each deliverable	<ul style="list-style-type: none"> • Common, well-aligned expectations are set • Basis is established against which to consider deliverable feedback 	FDOT	From project initiation

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SUCCESS CRITERIA TABLE II – PROJECT MANAGEMENT				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
6	Reconfirmation of project scope	<ul style="list-style-type: none"> • Documentation of processes identified during To-Be phase is complete • Justification for out-of-scope processes is provided • High-level requirement deliverable adheres to Deliverable Expectation Document • Recommendations for managing anticipated changes to internal and external stakeholders are documented 	FDOT	At conclusion of the Define Detailed Requirements Activities
7	Development of requirements sufficient for procurement	<ul style="list-style-type: none"> • Assessment of high-level technical requirements is completed • Updated Requirements Traceability Matrix • Confirmation to the overall FDOT business and IT strategy, platforms, and standards • Ground rules provided for technical selection criteria during vendor procurement process • Validation completed by process owners and subject matter experts 	FDOT	Completed 06/17

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SUCCESS CRITERIA TABLE II – PROJECT MANAGEMENT				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
8	Completion of Requirements Traceability Matrix	<ul style="list-style-type: none"> • Document includes requirement number, core and sub process definitions, process descriptions, prioritization measure, FDOT owner • Detailed requirements are associated with the in-scope To-Be processes • Detailed requirements include identification of application interfaces, data and information management needs, and required computing infrastructure needs 	FDOT	At conclusion of the Define Detailed Requirements Activities
9	Formalized ROI based on completed detailed requirements	<ul style="list-style-type: none"> • Sufficient detail must be available from the Detailed Requirements to identify potential benefits of the project, which are inputs in calculations for the ROI. • The Request for Information must be developed in a way that FDOT receives examples of net benefits from recent, similar, implementation of projects such as this. 	FDOT	This will be done at the completion of each Phase of the project.

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SUCCESS CRITERIA TABLE II – PROJECT MANAGEMENT				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
10	Develop implementation strategy	<ul style="list-style-type: none"> • Final specifications needed to assess the capability of vendor solutions • Evaluation criteria established to meet the objectives of the To-Be processes and satisfy functional and technical requirements 	FDOT	At conclusion of the Implementation Planning Activity
11	Development of Invitation to Negotiate	<ul style="list-style-type: none"> • Vendor response process has been detailed • Scope of work is defined • Acceptance and grading criteria has been established • Adherence to state of Florida procurement statutes and FDOT policies and procedures 	FDOT	Completed 08/17
12	Identification of risks throughout project	<ul style="list-style-type: none"> • Probability measures have been established • Mitigation strategies are detailed 	FDOT	From project initiation

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

A. Benefits Realization Table

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

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	User interface efficiencies	Users of FM Suite and systems to be integrated	Reduced staff time spent on support activities associated with data entry and manipulation	Percentage of charges to direct projects as compared to indirect projects.	At conclusion of the Design Activity
2	Increased deployment of funds on transportation infrastructure	Traveling Public	Increased amount of transportation infrastructure accomplished with the same resources	Infrastructure measurements of lane miles, bridges, seaports, rail lines, airports, spaceports, and transit options	06/22
3	Reduced risk in federal funding impacts	Traveling Public	Little or no impact to apportionments, redistribution, or reimbursements	Apportionment levels, redistribution levels, and reimbursement amounts	06/21

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BENEFITS REALIZATION TABLE					
4	Seamless view into the department's vast information assets	FDOT and transportation stakeholders	<p>Ability to more quickly convert data into information for decision-making</p> <p>More efficient development of ROI analyses for transportation projects</p>	<p>Quicker response on requests for information</p> <p>Quicker response with improved variables when developing ROI profiles of transportation investments</p>	06/21
5	Ability to act as an integrated system and efficiently share data across the department and externally	FDOT and transportation stakeholders	<p>Ability to more efficiently transition between phases of a transportation project</p> <p>More effectively and efficiently reply to requests for information with data that is more consistently reported</p>	Reduced operating cost and improved cost effectiveness in service delivery	06/22

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BENEFITS REALIZATION TABLE					
6	Enhance performance reporting	FDOT and transportation stakeholders	<p>More efficient reporting of performance data</p> <p>Consistent data reporting from one integrated system</p> <p>Eliminates cross-checking due to multiple systems' performance data</p>	<p>Compliance with state and federal law concerning performance reporting (ex. S. 334.045, F.S., 334.046, F.S., S. 150 Title 23 of USC)</p>	06/21

B. Cost Benefit Analysis (CBA)

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

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>

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Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 3 - Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: <ul style="list-style-type: none">• ROI• Payback Period• Breakeven Fiscal Year• Net Present Value• Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

The risk assessment completed for this project indicates an overall project risk of “High.” See Exhibit 7.

Note that the risk assessment represents a snapshot of the project’s risk portfolio as of the date of the Schedule IV-B submission. Several items are contributing to the “High” rating because the project has not reached the point where these items can be completed. For example, the project is in the planning stages, therefore, a technology has not been chosen. The risk questions within the Technology area assume a technology has been chosen and provide no option to indicate otherwise.

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Exhibit 7: WPII Project Risk Assessment Summary

Project	Work Program Integration Initiative	
Agency	Transportation	
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title:	
36233C0	Work Program Integration Initiative	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Tom McCullion, 850.445.9065, Tom.McCullion@dot.state.fl.us		
Executive Sponsor	Rachel Cone	
Project Manager	Tom McCullion	
Prepared By	Tom McCullion	8/24/2017
Risk Assessment Summary		
Business Strategy	Most Aligned	
	Least Aligned	
Level of Project Risk		
Least Risk		Most Risk
Project Risk Area Breakdown		
Risk Assessment Areas		Risk Exposure
Strategic Assessment		MEDIUM
Technology Exposure Assessment		HIGH
Organizational Change Management Assessment		MEDIUM
Communication Assessment		LOW
Fiscal Assessment		HIGH
Project Organization Assessment		MEDIUM
Project Management Assessment		MEDIUM
Project Complexity Assessment		HIGH
Overall Project Risk		HIGH

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of Current System

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

- 1) **Total Number of Users and User Types:** The systems that support the transportation finance lifecycle are utilized by a broad range of FDOT Offices. It is estimated that 4,500 employees and contractors use the various systems in this lifecycle. Of those, 2 percent (90) are administrative level users, 10 percent (450) are data entry users, and 88 percent (3960) are read only users.
- 2) **Number/Percent of Transactions:** The systems in the lifecycle utilize both online and batch transactions. While the majority are online transactions, batch transactions are particularly important as they are utilized to download FDOT-specific data from FLAIR. In addition, batch transactions are also used to transmit data to many of the department's system interfaces with external partners.
- 3) **Requirements for Public Access, Security, Privacy, and Confidentiality.** The finance lifecycle is primarily inward-facing, and very few components require input by external, non-FDOT users. The current system has very specific rules regarding input and usage. While the majority of information is available as read-only data for all departmental users, data entry, power user, and administrative access is limited in number and strictly controlled. Private and confidential data does exist within this lifecycle. Access to this data is managed through database and access controls. Those systems within the lifecycle that are maintained on hardware provided by the Office of Information Technology (OIT) adhere to and utilize established department access procedures for computer security and access to department resources through the FDOT Automated Computer Security Access Request system. Systems which are produced locally using tools such as Excel or Access typically are not controlled by the standard processes.
- 4) **Hardware Characteristics:** The systems in the lifecycle include a mixture of hardware. A number of the systems are hosted on FDOT's mainframe that is housed at the Southwood Shared Resource Center (SSRC) in Tallahassee. Many of the systems are web-based and exist on Microsoft Server-based systems also housed at the SSRC. In addition, some of these systems are locally maintained desktop systems developed using tools such as Microsoft Excel or Access. These systems are run on FDOT standard desktop computers.

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5) **Software Characteristics:** The systems in the lifecycle are developed using a mixture of software, programming languages, databases and protocols including:

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

6) **Existing System or Process Documentation:** The availability of system documentation is varied among the systems. The systems within the FM suite have an average age of 16.4 years. If system documentation is not available, staff often rely on experts within their office for information whom have been working with the system(s) for a long period of time. Many of the staff with the technical knowledge are within retirement age or are no longer with the department. Often the knowledge possessed by these subject matter experts has not been properly recorded to ensure continuity of operations should there be a change in staffing.

During FY 2015-16, the WPII project team created detailed documentation of all future state (or To-Be) business processes involved in the transportation finance lifecycle. The documentation includes extensive information on the inputs, outputs, participants, and text description of processes as well as visual diagrams of each process. Opportunities for improvement were documented including the perceived benefits and constraints for each opportunity. During the fiscal year, the WPII project team decided to focus efforts on FHWA Billings and Reimbursements, an area within the transportation finance lifecycle. This decision was made because this area is a centralized function, had many known pain points, and could be used to develop a basis of estimation for ROI. Detailed As-Is and To-Be documentation were created and potential ROI inputs identified.

During FY 2016-17, a team of 11 dedicated FDOT resources will focus primarily on the WPII project. This team will leverage documentation from the prior fiscal year, finalize To-Be processes, and develop requirements to support future procurement efforts.

More information can be found in Appendix C: WPII Process Summary.

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7) **Internal and External Interfaces:** On average, the systems closely aligned with the financial aspects of the lifecycle have 3.5 internal interfaces and 1.5 external interfaces. External interfaces include other state agency and federal systems, such as FLAIR and FHWA’s FMIS 5.0. When looking at the interface count for FM suite only, the number of interfaces increases, as these systems are critical to information needed by this lifecycle.

	Average Number of Internal Interfaces	Average Number of External Interfaces
All Systems Central to TFLC	3.5	1.6
FM Suite Only	8.5	2.7
Non-FM Suite Systems	3.0	1.2

The systems with the largest number of interfaces include:

System Name	Number of Internal Interfaces
WPA	18
Cash Forecast System	9
Integrated Enterprise Information Data Warehouse	9
Project Cost Management	7
ProjectSuite Enterprise Edition	7
System Name	Number of External Interfaces
PCM	4
FAMS	2
Batch Error Management	2
Financial Statement Infrastructure Report	2
CMIA	2
Contract Funds Management	2

8) **Consistency with Agency Standards:** Over time, the systems performing some level of financial management functionality have undergone updates to handle changes in business processes or state and federal mandates; however, the underlying development platform is still very similar to what was originally implemented. Additional systems have been implemented to extend and supplement this lifecycle, each with varying kinds of technology. Many of these systems use a technology that is either outdated or considered non-strategic² by the department.

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

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One of the most troubling non-strategic technologies is CA-Gen. CA-Gen is a Case Tool used to generate COBOL code. The department's dependency on this tool, for some critical applications, presents a concern to management. CA-Gen is a case tool that was popular in the mid-1990s to develop mainframe-based applications. The tool is a proprietary model based tool that was designed to improve COBOL coding efficiency by creating models that could then be used to reuse and generate code. Even at its peak the tool struggled to be competitive because it required a very long lead time (3-6 months) for developers to become proficient and the tool required a significant fixed amount of support resources to administer the tools and manage configuration and deployment.

Because the tool generates COBOL code, some may think that the dwindling market of COBOL developers that are charging increasing premium rates could be used to maintain and support the system. This is unlikely because the COBOL code generated by the case tool is very long and by maintaining the COBOL code directly there is great risk that ongoing use of the case tool would be undermined or that later tool generated code would conflict with direct manual COBOL modifications

Developers with CA-Gen skills are harder to find, and in general have a higher bill rate compared to other developers. According to internet job site Indeed.com, the salaries for CA-Gen developers are 11 to 12 percent higher than a comparable .NET developer. The CA-GEN rate differential could change in the future due to changes in supply and demand. There is unlikely to be any significant increase in supply of CA-Gen available resources and because most developers are approaching retirement age a decrease in supply is possible. Demand, however, is likely to be constant or decreasing as CA-Gen systems are modernized.

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

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

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b. Current System Resource Requirements

The section below highlights the resource requirements of the current systems that support the transportation lifecycle.

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

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

- 2) **Cost/Availability of Maintenance or Service for Existing System Hardware or Software.** Systems maintained on non-OIT infrastructure have varying times of availability. The current systems that are available on infrastructure supported by the OIT are available as listed:

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

FDOT's Enterprise Application environment is hosted by the SSRC in Tallahassee. In FY 2015-16, the department was billed \$7,070,111 for these services. Analysis of the bill estimates that the systems comprising this lifecycle account for 24.19 percent of the billable costs to FDOT. This results in an annual cost to FDOT of \$1.16 million.

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

	FY 2013-14	FY 2014-15	FY2015-16
Hosting: Hardware and Software Provided by SSRC	\$1,440,000	\$1,159,770	\$1,710,259
Support Staff - OIT Application Support	\$857,383	\$738,546	\$567,648
Support Staff - Office of Comptroller and Office of Work Program and Budget.	\$686,912	\$648,591	\$803,659
TOTAL	\$2,284,295	\$2,546,907	\$3,081,566

c. Current System Performance

The systems involved in the transportation finance lifecycle are major contributors to usage on the department's systems, in particular the Mainframe and DB2 Resources. The following represent elements provided by the SSRC in hosting the department's application environment.

System Component	Estimated Percentage of Usage Attributed to Transportation Finance Lifecycle Systems
CICS Processing	70% (1201 out of 1718 of CICS transactions processed in a month.)
Z/OS Processing	>60%
DB2 Processing	>60%
Scheduling Services	>50%
Mainframe Storage	60 % (2,120,037 out of a total 3,554,851 of DB2 Application Space.)

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

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

2. Information Technology Standards

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

B. Current Hardware and/or Software Inventory

Current Hardware

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

The FDOT Information Technology Strategic Plan, completed by the department in August 2014, highlighted the wide variance in Enterprise Architecture as an issue to be addressed, and the current Reliable, Organized, and Accurate Data Sharing (ROADS) Initiative is working to establish governance and optimal structures to resolve this issue.

Current Software

Four of the most prominent systems currently supporting the FDOT transportation finance lifecycle are a set of custom applications known collectively as the FM Suite. Originally implemented in the late 1990s, the FM Suite includes four programs:

- WPA supports the development and ongoing management of FDOT's Work Program
- FAMS manages federal appropriations and obligation authority and interfaces with FHWA's FMIS 5.0 to manage the obligation of federal funds to specific projects
- PCM is the repository of actual project cost historical information and is FDOT's primary interface with the state's FLAIR system.
- FPM manages and tracks various federal programs as well as supports and provides the tracking ability for federal billing, vouchering, and generating the periodic billing for federal reimbursement from FHWA

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

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

Examples of these systems include:

- Department-wide or enterprise systems which were developed to support and supplement the functions of the FM Suite such as various FM reporting tools, the Work Program Amendment application, the Finance Plan, the Cash Forecasting System, Schedule A and Schedule B
- Enterprise systems which support the management and execution of elements of the FDOT Work Program including:
 - Long Range Estimating System, supporting the development of conceptual estimates
 - The new Design Quantities Estimate application, which generates detailed cost estimates during preconstruction
 - Estimate Report Tracking System, which tracks the history of changes to estimates on projects
 - Primavera P6 and Project Scheduling and Management which support the development and ongoing monitoring of project schedules
 - Project Suite Enterprise Edition which is designed to provide FDOT project managers a one-stop shop for critical project financial and schedule information
 - AASHTOWare Suite which supports the preparation of specifications, the letting and award of construction contracts and the management of those construction contracts through a series of interrelated modules
 - Right of Way Management System, which supports all aspects of the acquisition of right of way in support of transportation projects
- Various mode or discipline specific systems which support the identification of needs and the development, prioritization and selection of candidate projects for inclusion in the FDOT Work Program
- Various office or district developed standalone or offline applications which support managing, tracking and executing Work Program activities

C. Proposed Technical Solution

1. Technical Solution Alternatives

The FY 2017-18 Schedule IV-B detailed multiple Solution Alternatives. The options investigated were:

- 1) COTS – e.g. a Financial Management Application
- 2) Custom Development
- 3) Maintain Current System

Information gathered from the various state Departments of Transportation as part of the 26 state Market Scan, discussions with four major IT industry firms during the Request for Information process, and several in depth queries with Gartner, Inc., a leading-edge information technology research firm, confirmed the project's approach to engage an experienced systems integrator to propose a Financial Management Package and Planning Tool.

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The department released an Invitation to Negotiate on August 14, 2017 for such a proposal and also to obtain options for a hosting/cloud environment to run the Financial Management Application.

To achieve that goal, the department will require the successful vendor to propose a methodology with the following phases (to include Phase Gates tied to fixed performance based payments):

- Define the detailed requirements (based upon the solution proposed).
- Design the solution based upon the requirements and the application/tool proposed.
- Develop a phased implementation plan.
- Develop/configure, test, train, and implement the solution per the above plan.
- Provide a Post-implementation Operations & Maintenance (O&M) plan.
- Support a One Year Warranty period (overlapping the first year of O&M).

This approach will yield the best value to the department while substantially mitigating risk since each phase will be will defined, priced, and contracted for in a Task Work Order process.

2. Rationale for Selection

The complexity of the current environment (150+ integrated systems) makes maintenance and operational improvements very difficult and expensive. Basing the required functionality on an industry proven Financial Management Application, and potentially augmented by a Planning Tool, will make support and training much more readily available.

These applications may be procured in a traditional licensing fashion or as a Software-as-a-Service (SaaS) model.

In addition, implementing these applications in a hosting or cloud environment will provide the department flexibility in support options that should provide additional cost savings in the short and long term.

Alignment to Goals

When the project originally kicked off, the Strategy Articulation Map (Exhibit 5) was developed to communicate the project's vision, mission, guiding principles, risks, and solution goals. When evaluating the potential solutions, the right solution must ensure the below goals are met:

- Goal #1: Intuitive and easy to use system
- Goal #2: Flexible and adaptive
- Goal #3: Process driven
- Goal #4: Flexible reporting and open query
- Goal #5: Complete audit trail
- Goal #6: Well documented
- Goal #7: Enforces transparent and collaborative business practices

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Ability to Meet Requirements

The ability to meet the FDOT requirements for the future solution will be a key factor for selection. The requirements will be finalized during this fiscal year. Solutions will be evaluated on the percentage of the requirements accomplished.

Cost

Overall solution cost will be a key factor in the selection of the future solution. To determine the solution's total cost of ownership, the following costs will be considered:

- **Implementation Cost:** Internal (employee time) and external (contractors/purchases) expenditures required to design and implement the solution to replace the existing Transportation Finance Lifecycle sub-system(s)
- **Hardware and Infrastructure Cost:** Expenses associated with purchasing and maintaining the necessary equipment to operate the solution.
- **Maintenance & Operations Cost:** Expenses associated with supporting the new Transportation Finance replacement solution during and after its implementation

Benefits

The three main categories of benefits identified are Risk Avoidance, Cost Avoidance, and Operational Efficiencies. Benefits will be projected and adjusted using net present value for comparison.

Level of Risk

Given the complexity and breadth of the potential solutions, many risks are shared between the options. Variability exists in the likelihood and severity of impact of each of the risks. The chart below highlights the common risks which may be encountered during the implementation regardless of the selected option:

RISK	POTENTIAL IMPACTS	MITIGATION STRATEGIES
Loss of political / executive sponsorship	<ul style="list-style-type: none">• Failure to move forward on project plan or deliverables• Competing assignments or priorities	<ul style="list-style-type: none">• Educate executive leadership on the current risks and challenges faced with current environment• Document go-forward direction and timeline in Statute• Structure implementation to achieve incremental successes

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

RISK	POTENTIAL IMPACTS	MITIGATION STRATEGIES
<p>Ineffective governance processes slow or prevent decision making</p>	<ul style="list-style-type: none"> • Higher support costs • Budget overruns • Failure to meet project deliverable timeline 	<ul style="list-style-type: none"> • Define a governance structure denoting authority to make decisions and enforce policy across WPPII Program • Establish clear definition of decisions which can be made within the project and what decisions need to be raised to a higher level • Clarify/modify Statutes to enforce process standardization • Communicate to FDOT at the beginning of the project the expectations related to process standardization and customizations – only customizations required to meet state or federal statutes will be completed
<p>Funding is slowed or not appropriated</p>	<ul style="list-style-type: none"> • Failed implementation • Benefits not realized 	<ul style="list-style-type: none"> • Establish funding mechanisms which are documented in statute • Complete the project in phases to lower fiscal commitments while still moving forward with wins and progress for FDOT
<p>Solution provider/systems integrator not able to deliver according to requirements</p>	<ul style="list-style-type: none"> • Failure to meet design requirements • Failure to meet project schedule, phase gates or deliverables • Failure to meet implementation timeline 	<ul style="list-style-type: none"> • Ensure adequate budget is available to acquire / retain the appropriate technical resources • Contract payments will occur based upon achievement of contract deliverables • A percent of payment will be held back pending performance

3. Recommended Technical Solution

The ITN solicits from the vendor community the capability to run the combined solution Financial Accounting Application and a Planning Tool in a hosted and/or cloud environment.

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D. Proposed Solution Description

1. Summary Description of Proposed System

To be determined.

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

This will be determined during the Define Detailed Requirements and Design Phases.

E. Capacity Planning

The objective of Capacity Planning is to verify that any proposed solution will be able to both absorb the current data stores and transaction loads, and provide the capability to handle the future demands of the department. The specific capacity of the proposed solution will be defined after the detailed requirements are documented. Having completed an initial analysis of the internal department infrastructure and utilization, many of the FM suites systems that support the Work Program are custom, dated, and interface with a wide range of systems of varying size and complexities. It is expected that the number of users and transactions will significantly increase in future years as the department takes advantage of expanded functionality.

As mentioned in the Current Technology Environment Section, it is estimated that 4,500 employees/consultants use the various systems in this lifecycle. Of those, 2 percent (90) are administrative level users; 10 percent (450) are data entry users and 88 percent (3960) are read-only users. The systems in the lifecycle utilize both online and batch transactions. While the majority are online transactions, batch transactions are particularly important as they are utilized to download FDOT-specific data from FLAIR. In addition, batch transactions are also used to transmit data to many of the department's system interfaces with external partners.

The Work Program processes consume significant system resources and sometimes result in a lag-time in system performance, particularly during the development of the tentative Work Program. In fact, FDOT staff not involved in the development of the tentative Work Program are often asked to delay their mainframe processing, due to soft capping, to ensure availability of mainframe resources necessary to complete actions. Such limitations on system availability can directly result in lost productivity, capacity, and bandwidth issues, and delayed process completion.

The following sections highlight some of the historical capacity trends.

1. Manage Service Units and Soft Capping

Mainframe capacity and bandwidth usage is measured in terms of manage service units. For this mainframe capacity, a soft cap will occur for any four-hour period that is greater than the average capacity of the system. This soft cap slows down the system and could require FDOT to limit user access when a four-hour period exceeds the average capacity, which is not ideal.

The exhibits below detail how the four-hour average has been distributed, over 6,183 prime intervals from 08:00AM to 4:59PM from 01/01/2014 to 08/25/2016. The data shows that there is a probability of being capped of only 5.56 percent. This percentage should actually be slightly

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

less because capping should not begin at 61, but rather just above that. If the cap were raised to 65, the probability would drop to 1.64 percent. The higher the soft cap, the less of the probability that the capping effect. If the cap is removed entirely, the probability drops to zero.

Exhibit 8: Distribution of Prime Time 4-Hour Averages³

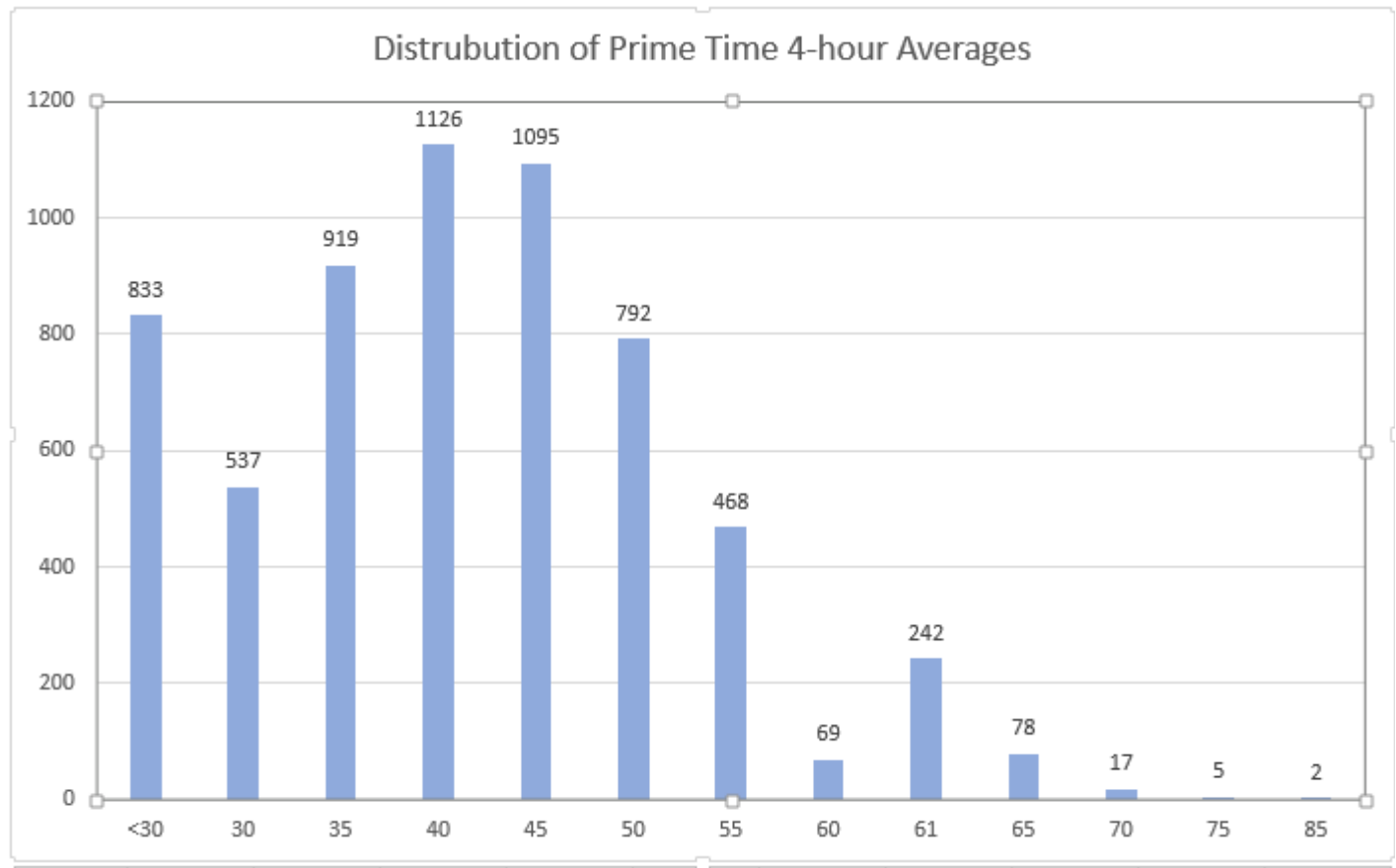
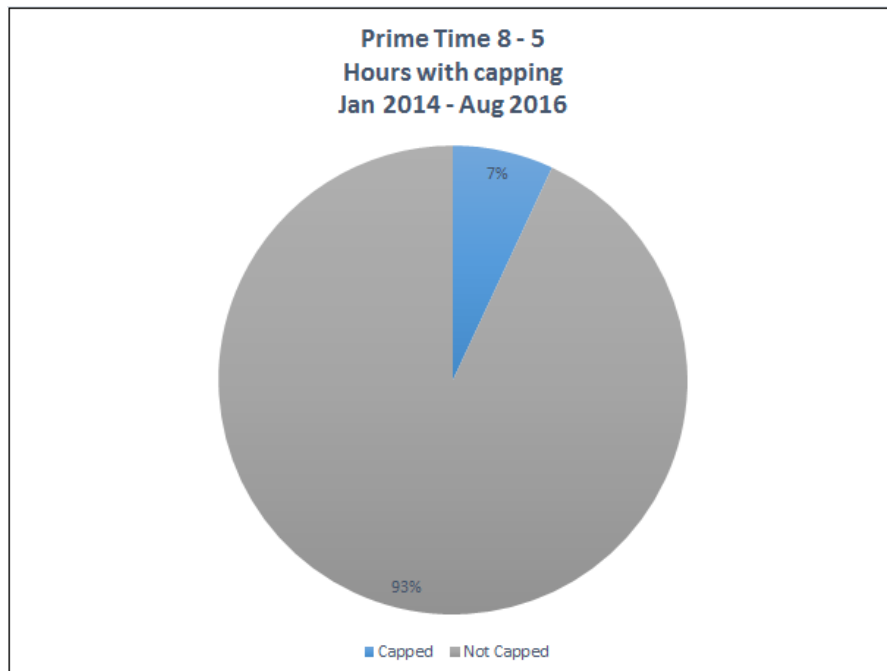


Exhibit 9 below shows that DOT has experienced capping in only seven percent (7%) of prime-time hours over the last two and a half (2.5) years.

³ Tim Hare, Hare Systems Support, personal communication, August 31, 2016.

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Exhibit 9: DOT Prime Time Capping Over Last Two and a Half Years⁴



A requirement of the new solution would be to remove the concept of the cap provide the architecture and system resources necessary to perform the work required, thus improving overall system performance.

2. Database Storage Requirements

The following Table illustrates the current database application storage requirements and ratios for the FM Suite components.⁵

FM Suite Component	Space (MB)	Percentage (%) of Total FDOT Database Storage Space
FAMS	988 MB	0.2159%
FPM	2,176 MB	0.4755%
PCM	85,188 MB	18.6158%
WPA	22,359 MB	4.8860%

It is anticipated that the required database storage space for these FM components will likely increase given expanding system functionalities.

⁴ Tim Hare, Hare Systems Support, personal communication, August 31, 2016.

⁵ David C. Clark, Office of Information Technology, Florida Department of Transportation, personal communication, August 23, 2016.

SCHEDULE IV-B FOR WORK PROGRAM INTEGRATION INITIATIVE

VII. Schedule IV-B Project Management Planning

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

VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Appendix A: Cost Benefit Analysis

Appendix B: Risk Assessment

Appendix C: Glossary of Terms

Cost Benefit Analysis
CBAForm 1 - Net Tangible Benefits

Agency	Department of Transportation	Project	Work Program Integration
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$7,088,640	\$0	\$7,088,640	\$7,088,640	\$0	\$7,088,640	\$7,088,640	\$1,300,040	\$8,388,680	\$7,088,640	\$1,300,040	\$8,388,680	\$0	\$0	\$0
A.b Total Staff	120.00	0.00	120.00	120.00	0.00	120.00	120.00	22.00	142.00	120.00	22.00	142.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$7,088,640	\$0	\$7,088,640	\$7,088,640	\$0	\$7,088,640	\$7,088,640	\$1,300,040	\$8,388,680	\$7,088,640	\$1,300,040	\$8,388,680	\$0	\$0	\$0
A-1.b. State FTEs (#)	120.00	0.00	120.00	120.00	0.00	120.00	120.00	22.00	142.00	120.00	22.00	142.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contractors)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. 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 Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$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 Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$7,088,640	\$0	\$7,088,640	\$7,088,640	\$0	\$7,088,640	\$7,088,640	\$1,300,040	\$8,388,680	\$7,088,640	\$1,300,040	\$8,388,680	\$0	\$0	\$0
F. Additional Tangible Benefits:		\$0			\$105,000,000			\$0			\$200,000,000			\$0	
F-1. Work Program Efficiencies		\$0			\$105,000,000			\$0			\$180,000,000			\$0	
F-2. Reduce Risk of Federal Funding Loss		\$0			\$0			\$0			\$20,000,000			\$0	
F-3. Specify		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$105,000,000			(\$1,300,040)			\$198,699,960			\$0	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	20%
Placeholder <input type="checkbox"/>	Confidence Level	

Department of Transportation

Work Program Integration

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.

CBA Form 2A Baseline Project Budget

			CBA Form 2A Baseline Project Budget																
			FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL	
			\$ 22,036,855	\$ 17,500,000		\$ 17,400,000		\$ 17,300,000		\$ 5,700,000		\$ -		\$ 79,936,855					
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 Base Budget		YR 2 Base Budget		YR 3 Base Budget		YR 4 Base Budget		YR 5 Base Budget		TOTAL					
				YR 1 #	YR 1 LBR	YR 2 #	YR 2 LBR	YR 3 #	YR 3 LBR	YR 4 #	YR 4 LBR	YR 5 #	YR 5 LBR						
Costs for all state employees working on the project.	FTE	S&B	\$ 2,262,213	\$ -	\$ 500,000	\$ -	\$ 400,000	\$ -	\$ 300,000	\$ -	\$ 200,000	\$ -	\$ -	\$ 3,662,213					
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -					
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ 3,370,913	\$ 2,000,000	\$ -	\$ 2,000,000	\$ -	\$ 2,000,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 9,370,913					
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ 1,160,490	\$ 700,000	\$ -	\$ 700,000	\$ -	\$ 700,000	\$ -	\$ 350,000	\$ -	\$ -	\$ -	\$ 3,610,490					
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ 420,000	\$ 420,000	\$ -	\$ 420,000	\$ -	\$ 420,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,680,000					
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ 200,956	\$ 300,000	\$ -	\$ 300,000	\$ -	\$ 300,000	\$ -	\$ 150,000	\$ -	\$ -	\$ -	\$ 1,250,956					
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ 8,272,282	\$ 1,500,000	\$ -	\$ 1,500,000	\$ -	\$ 1,500,000	\$ -	\$ 750,000	\$ -	\$ -	\$ -	\$ 13,522,282					
Hardware purchases not included in data center services.	Hardware	OCO	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -					
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ 3,000,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,000,000					
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ 850,000	\$ 8,500,000	\$ -	\$ 8,500,000	\$ -	\$ 8,500,000	\$ -	\$ 4,250,000	\$ -	\$ -	\$ -	\$ 30,600,000					
All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -					
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -					
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ 2,500,000	\$ 2,820,000	\$ -	\$ 2,820,000	\$ -	\$ 2,820,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 10,960,000					
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -	\$ 660,000	\$ -	\$ 660,000	\$ -	\$ 660,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,980,000					
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -					
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ 100,000	\$ -	\$ 100,000	\$ -	\$ 100,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 300,000					
Total			\$ 22,036,855	0.00	\$ 17,000,000	\$ 500,000	0.00	\$ 17,000,000	\$ 400,000	0.00	\$ 17,000,000	\$ 300,000	0.00	\$ 5,500,000	\$ 200,000	0.00	\$ -	\$ -	\$ 79,936,855

Agency <u>Department of Transportation</u>	Project <u>Work Program Integration</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$17,500,000	\$17,400,000	\$17,300,000	\$5,700,000	\$0	\$79,936,855
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$39,536,855	\$56,936,855	\$74,236,855	\$79,936,855	\$79,936,855	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$17,000,000	\$17,000,000	\$17,000,000	\$5,500,000	\$0	\$56,500,000
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$17,000,000	\$17,000,000	\$17,000,000	\$5,500,000	\$0	\$56,500,000
CUMULATIVE INVESTMENT	\$17,000,000	\$34,000,000	\$51,000,000	\$56,500,000	\$56,500,000	

Characterization of Project Cost Estimate - CBAForm 2C		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	Confidence Level	
Order of Magnitude x	Confidence Level	40%
Placeholder	Confidence Level	

CBAForm 3 - Project Investment Summary

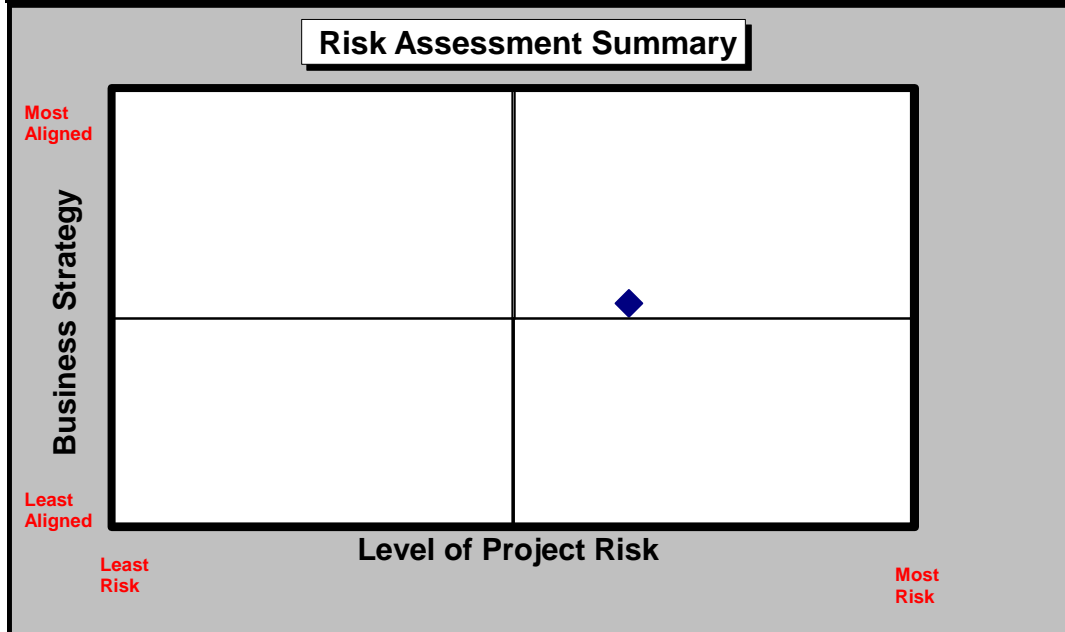
Agency	<u>Department of Transportation</u>	Project	<u>Work Program Integration</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	\$17,500,000	\$17,400,000	\$17,300,000	\$5,700,000	\$0	\$79,936,855
Net Tangible Benefits	\$0	\$105,000,000	(\$1,300,040)	\$198,699,960	\$0	\$302,399,920
Return on Investment	(\$39,536,855)	\$87,600,000	(\$18,600,040)	\$192,999,960	\$0	\$222,463,065
Year to Year Change in Program Staffing	0	0	22	22	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	1 4/9	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2019-20	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$191,327,968	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	170.77%	IRR is the project's rate of return.

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

Project	<i>Work Program Integration Initiative</i>	
Agency	<i>Transportation</i>	
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title:	
<i>36233C0</i>	<i>Work Program Integration Initiative</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Tom McCullion, 850.445.9065, Tom.McCullion@dot.state.fl.us</i>		
Executive Sponsor	<i>Rachel Cone</i>	
Project Manager	<i>Tom McCullion</i>	
Prepared By	<i>Tom McCullion</i>	<i>8/24/2017</i>



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

Agency: Transportation

Project: Work Program Integration Initiative

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes unknown
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Between 3 and 5 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Transportation

Project: Work Program Integration Initiative

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

Agency: Transportation

Project: Work Program Integration Initiative

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Moderate changes to organization structure, staff or business processes
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	Yes
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	41% to 80% -- Some process changes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Moderate changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with fewer change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	All or nearly all messages are documented
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Success measures have been developed for some messages
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

Agency: Transportation

Project: Work Program Integration Initiative

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	No
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	41% to 80% -- Some defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Greater than \$10 M
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	No
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Order of magnitude – estimate could vary between 10-100%
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Neither requested nor received
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	Most project benefits have been identified but not validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	Within 5 years
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 not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Combination FFP and T&E
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined Purchase all hardware and software at start of project to take advantage of one-time discounts Just-in-time purchasing of hardware and software is documented in the project schedule	Just-in-time purchasing of hardware and software is documented in the project schedule
5.14	Has a contract manager been assigned to this project?	No contract manager assigned Contract manager is the procurement manager Contract manager is the project manager Contract manager assigned is not the procurement manager or the project manager	Contract manager assigned is not the procurement manager or the project manager
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes No	Yes
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 All or nearly all selection criteria and expected outcomes have been defined and documented	All or nearly all selection criteria and expected outcomes have been defined and documented
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed Multi-stage evaluation not planned/used for procurement Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed No, bid response did/will not require proof of concept or prototype Yes, bid response did/will include proof of concept or prototype Not applicable	Yes, bid response did/will include proof of concept or prototype

Agency: Transportation

Project: Work Program Integration Initiative

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Mostly staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: Transportation

Project: Work Program Integration Initiative

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	0% to 40% -- None or few are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	81% to 100% -- All or nearly all have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
		No	
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

Agency: Transportation

Project: Work Program Integration Initiative

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Unknown at this time
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	Greater than 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Agency-wide business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
		No	
8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

Appendix H: Glossary of Terms

Acronym	Definition
BPA	Business Process Analysis
Ca-Gen	Computer Aided Software Engineering (CASE) application tool used to generate COBOL code
CFR	Code of Federal Regulations
CICS	Customer Information Control System
CITS	Consultant Invoice Transmittal System
CMIA	Cash Management Improvement Act
COBOL	Common Business-Oriented Language
COTS	Custom-Off-The-Shelf
DB2	DB2 is a family of database server products developed by IBM
DFS	Department of Financial Services
DOT	Department of Transportation (generic)
ERP	Enterprise Resource Planning
FACTS	Florida Accountability Contract Tracking System
FAMS	Federal Aid Management System
FDOT	Florida Department of Transportation
FHWA	Federal Highway Administration
FLAIR	Florida Accounting Information Resource
FM	Financial Management
FMIS 5.0	Financial Management Information System 5.0
FPM	Federal Programs Management
FS	Florida Statutes
FTC	Florida Transportation Commission
FTP	Florida Transportation Plan
LAS/PBS	Legislative Appropriation System/Planning Budget Subsystem
LBR	Legislative Budget Request
OIT	Office of Information Technology
PALM	Planning, Accounting and Ledger Management
PCM	Project Cost Management System
ROI	Return on Investment
SAS	Statistical Analysis System (Software)
SIS	Strategic Intermodal System
SSRC	Southwood Shared Resource Center
SWOT	Strengths, Weaknesses, Opportunities and Threats
TSO	Time Sharing Option (IBM Mainframe interactive interface session with Z/OS)
WPA	Work Program Administration System
WPPI	Work Program Integration Initiative
Z/OS Processing	IBM Z Series Operating System

SCHEDULE IV-B FOR CONSTRUCTION MANAGEMENT SOFTWARE UPGRADE

For Fiscal Year 2018-2019




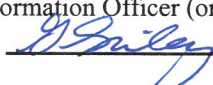

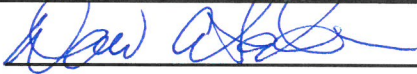

09/15/2017

FLORIDA DEPARTMENT OF TRANSPORTATION

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Transportation	Schedule IV-B Submission Date:
Project Name: Construction Management Software Upgrade	Is this project included in the Agency's LRPP? _____ Yes <input checked="" type="checkbox"/> No
FY 2018-19 LBR Issue Code: 36344C0	FY 2018-19 LBR Issue Title: Construction Management Software Upgrade
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Greg Smiley, 414-4771, greg.smiley@dot.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 14 SEP 17
Printed Name: Mike Dew, Secretary of Transportation	
Agency Chief Information Officer (or equivalent): 	Date: 9/13/17
Printed Name: Greg Smiley, Chief Information Officer	
Budget Officer: 	Date: 9/13/17
Printed Name: Mechelle Marcum, Budget Officer	
Planning Officer: 	Date: 9/13/17
Printed Name: David Sadler, Director of State Construction Office	
Project Sponsor: 	Date: 14 SEP 17
Printed Name: Brian Blanchard, Assistant Secretary of Engineering and Operations	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
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General Guidelines

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

Schedule IV-B is not required for requests to:

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

Documentation Requirements

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

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

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

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

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

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

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

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

A. Background and Strategic Needs Assessment

1. Business Need

The Florida Department of Transportation (FDOT) has primary statutory responsibility to provide a safe statewide transportation system that ensures the mobility of people and goods, enhances economic prosperity, and preserves the quality of Florida's environment and communities. The department's construction program provides the physical means to ensure accomplishment of the department's mission.

FDOT manages between 450 to 500 construction contracts at any given time, having a total of approximately \$12 billion. The department processes on average approximately \$250 million in payments each month to construction contractors on active construction projects. For these active construction projects, the department is required by statute to make monthly payments for work completed and timely payments upon final acceptance of work (s. 337.141. and s. 337.015(6), F.S., respectively). Additionally, the department's maintenance offices manage their contracts using the current application with similar processes. At any given time, there are typically 700 to 800 active maintenance contracts, for a total active contract amount of approximately \$2 billion.

With the department authorized to operate on a cash-flow basis (s. 339.135(6) (a), F.S.), it is imperative that accurate records of completed work are maintained in a manner that enables precise monthly payment calculations. These monthly payment calculations must be completed at a project-specific level in addition to an overall monthly summary in order to ensure the department continues to comply with the requirement to have as little cash balance fluctuation as practical (s. 337.015(6), F.S.).

Over the years, the department has used commercially available products, accompanied by internally developed programs, to allow project staff to capture and enter active construction project data in order to develop the necessary payment records. The primary commercial product being used is a client-server based application. This client-server based application will no longer be supported by the vendor beginning fiscal year 2019-20. If the department remains with the current application past system sunset, FDOT will assume responsibility for the application's maintenance, as enhancements and upgrades will no longer be supported by the application provider.

The application owner (American Association of State Highway and Transportation Officials [AASHTO]) is in the process of converting all client-server based applications to vendor-hosted, web-based applications. Florida has been an active AASHTO member since 1920. One of the membership benefits is that construction management application innovations and developments are shared among other state transportation agencies. These agencies have developmental input, resulting in the new web-based solution, which meets a majority of FDOT's business requirements without requiring a change to business practices or operating procedures. This new vendor-hosted, web-based product increases accessibility for remote users who collect and input data in construction project records.

To minimize disruption to the established processes for construction project data collection, it is essential that the vendor-hosted, web-based product be adopted. This option will ensure projects and data can be migrated into the new application as seamlessly as possible.

If unsuccessful in gaining approval to transition to the vendor-hosted, web-based version of this application, the department will be faced with the following alternatives: procuring another commercially available application, developing its own application internally or reverting to a manual calculation process. Each alternative option will be more costly, more time consuming and require significant training and procedure development. Given the department's history with the current application owner, the expectation is a virtually seamless migration to the web-based version of the same product.

Choosing an alternative option to the proposed solution (e.g., purchasing a new commercial product, developing an application internally or returning to a manual process), is expected to impact the productivity and efficiency of both internal department staff and consultant construction engineering and inspection (CCEI) staff. Diminished productivity and efficiency has the potential to impact monthly contractor payments, and possibly the construction industry and the Florida economy.

The most feasible approach would be to transition to the vendor-hosted, web-based version of the same application currently in use, which is the most cost effective in terms of product purchase, the least disruptive to currently

established procedures, and assures the development of timely, accurate payment requests.

2. Business Objectives

- The below are FDOT's business objectives in procuring a vendor hosted, web-based solution:
- Procure a solution that is fully compatible with current applications to replace an end of life product.
- Improve server utilization. A web-based vendor hosted solution will provide optimum utilization of server space.
- Reduce the risks associated with unsupported software applications.
- Improve efficiencies and productivity.
- Maintain auditability.
- Support the statutory requirements to maintain accurate records of completed work and comply with the requirements to have as little cash balance fluctuation as practical.
- Secure the ability to seamlessly link to other enterprise data as required.

B. Baseline Analysis

1. Current Business Process(es)

The current construction management system is a client-server based application that is reaching end of life. The process starts with the contract activation function where project specific information is loaded in or extracted from other sources into the current program. The information contains the scope of the project, the contractor and project number, key personnel, key dates on the project and approved subcontractors.

Daily work reports are produced for project specific records of the work performed by construction contractors on individual projects. Reports include such information as weather conditions, equipment used, active project contractors and subcontractors, hours worked, location on the project site where the work is performed, measurements of work completed, and subcontractors or suppliers on the project. The daily work report is electronically routed through a hierarchal work-flow.

Directions or instructions given to contractor or subcontractors relative to the performance or limitations of the work by the contractor is documented including: traffic impacts, public involvement, unacceptable contractor quality control practices, etc. Construction project pay items are tracked and recorded to ensure completion of the work required on the project.

Department staff can collect information at the project site and derive monthly estimates from the data. This information is reviewed weekly and rolled into a payment submittal and transmitted electronically to the Comptroller's Office for payment.

Contract modifications are handled by the current application. These are time extensions, change orders or supplemental agreements to add or delete work to a contract. The application documents the department's final acceptance of the project with key dates, including: final acceptance, material certification, offer of final payment to contractor, acceptance of final payment by contractor, comptroller final acceptance of contract and final contract payment.

FDOT has developed policies and procedures following AASHTO principles by using commercially available products to manage construction and maintenance projects. Using AASHTO products allows for a level of compatibility with other state transportation agencies. AASHTO helps to unify and standardize state transportation agencies by promoting innovation, developing transportation solutions, and assisting policy development, advocacy, and technical services.

The current application accommodates the department's operations, maintains auditability of the entire construction program and is consistent with other AASHTO member states. It also enables periodic payments, which can be generated based on completed work quantities. Contractors and subcontractors can be tracked and monitored within

the current application to ensure compliance with applicable project requirements.

2. Assumptions and Constraints

This section addresses assumptions which may impact or influence the department's construction project delivery. It also outlines potential constraints that could impact the outcome of proposed solutions.

Assumptions

- If the existing application ceases operation during fiscal year 2019-20, the department would revert to manual/paper processing of construction project payments. Returning to a manual/paper processing solution would result in dramatic slowing of the contract payment process, significantly impacting the construction contracting industry. This is due to the reliance on an electronic approach in construction management for the past two decades, resulting in few staff experienced in developing and processing manual contractor payments.
- FDOT will continue to require a method to collect construction project information to enable accurate, timely payments for completed construction work in order to comply with statutory requirements.
- Any solution chosen will require some level of customization and configuration to meet FDOT's business and technical needs and requirements. The proposed solution will require the least amount of customization and configuration, and will be the most cost-effective solution.
- Adopting an alternative solution would result in higher error rates during the start of product use, which would necessitate increased oversight of department managerial staff to ensure compliance with the statutes. Policies and procedures developed around the current client-server application would have to be revised to provide guidance and direction to the users.

Constraints

- The current product and vendor is so embedded in the department's construction management operations that other internally constructed applications and operating procedures are built into and developed around the current application. Changing vendors will be costly on three fronts: different application implementation requirements, extensive internal reprogramming to reestablish communication and connectivity with internal applications, and statewide training of application users.
- FDOT does not have the staff, expertise or procedures to handle the volume of manual input required to submit payment requests electronically. This will negatively affect FDOT and its contractors.
- Internal applications that extract data from the existing application for the Florida Transportation Commission's reporting purposes must be redeveloped, which will create a delay in the timely reporting of data.
- FDOT electronically issues payments to construction contractors using the Electronic Estimates Disbursement System (EED). The data used to develop the invoices is derived from the current client-server based application. Interruption of this process could cause a delay to construction contractor payments.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The proposed business process requirements being submitted allows the department to transition from the current use of a client-server based application to a hosted web-based solution from the same application owner.

The proposed business process will be capable of:

- Starting with the contract activation function where project specific information is loaded in or extracted from other sources.
- Producing daily work reports for project specific records of the work performed by construction contractors on individual projects. Includes such information as weather conditions, equipment used, active project contractors and subcontractors and hours worked, location on the project site where the work is performed, measurements of work completed, subcontractors or suppliers on the project.
- Including a daily work report approval process with a hierarchal, electronically routed work-flow.

- Producing customizable and scalable ad hoc reports.
- Documenting directions or instructions given to the contractor or subcontractors. Any pertinent information relative to the performance or limitations of the work by the contractor is documented including traffic impacts, public involvement, unacceptable contractor quality control practices, etc.
- Automatically synchronizing with remote mobile devices to allow for field data collection and continuous workflow.
- Tracking and recording construction project pay items to ensure completion of the work required on the project.
- Allowing department staff to collect information at the project site and derive monthly estimates from the data. This information is reviewed weekly and rolled into a payment submittal transmitted electronically to the Comptroller's Office for payment.
- Allowing contract modifications. These are time extensions, change orders or supplemental agreements to add or delete work to a contract.
- Documenting the department's final acceptance of the project with key dates, including: document final acceptance, material certification, offer of final payment to contractor, acceptance of final payment by contractor, comptroller final acceptance of contract and final contract payment.

2. Business Solution Alternatives

- Upgrade the current client-server based application to the current vendor hosted web-based solution.
- Purchase a new off-the-shelf application, involving substantial customization to meet FDOT business requirements.
- Internal development of a new construction management application.
- Reversion to a manual/paper processing of construction management contracts.

3. Rationale for Selection

In addition to maintaining consistency in processes and avoiding a halt to business operations, the upgrade from a client-server based application to a hosted web-based solution of the same provider will also result in reduced costs, reduced time impacts and reduced training needs. The department must continue to use technology to manage its construction projects in order to ensure timely and accurate construction contract payments.

The proposed solution is similar to the current application, but features an intuitive, user-friendly design to users already familiar with the department's current operations. This will reduce training requirements and costs. The enhanced features, including quicker log-in and streamlined changing of user roles, is expected to improve user performance by 30 percent. Also, since the proposed and current applications share the same vendor, data compatibility issues will be minimal, allowing for a faster transition period.

FDOT was one of seven states selected for beta testing during the web-based solution's development phase. FDOT helped to design a product that is not only compatible with the department's current business practices and procedures, but features enhancements on the current system that affect user productivity. Additionally, FDOT has internal staff not only familiar with the proposed application's operations, but also its technological design and function. This internal knowledge will significantly impact FDOT's ability to successfully transition to the new application.

4. Recommended Business Solution

The department recommends upgrading from the current client-server based application to the vendor-hosted, web-based solution. This solution aligns seamlessly with the department's goals, objectives, and business processes.

D. Functional and Technical Requirements

The construction management application must provide the functionality necessary to manage contract data from award through contract finalization (integrating field based data collection, administration of contract records, and contractor payments). This application must also be able to provide payment, change order data and contract related

information that is compatible with existing financial management, SiteManager and PreConstruction applications. The application needs to be robust, web-based, configurable by role and designed to streamline the workflow of each specific user's roles and responsibilities. In addition to these features, key functions of the application-wide functionality must include:

Attachments and agency fields: any user with proper access must be able to attach multiple files/URL links and add an unlimited number of agency fields to any record in the application.

System events and issue tracking: these features enable the department to automate complex processes and workflows that might require input or review from several different levels of authority.

Integrated agency views (also referred to as templates or forms): this feature must allow the department to design and implement agency-specific forms, extend contracts, daily work report postings, daily source report postings and mix designs.

Extensive online help must be available throughout the application, including configurable tooltips.

Field-based data entry: this functionality must be a part of the daily work reports.

Diaries for the project manager to review the inspectors daily work reports.

Contract change order functionality: for creation, review, and approval of contract changes, including agency-configurable exceptions such as item over-runs, limited funding, missed time. Other items will be defined later.

Various reports that the department will find beneficial in managing its construction projects, including reports for the Contract Status, Change Orders, Work Item Detail, Contractor Payment, and the Outstanding Item List.

The solution must effectively manage the volume of information involved in a transportation construction project. It must seamlessly integrate field-based data collection, administration of contract records, and contractor payments.

The solution should decrease the time needed for approval of change orders and estimates, while providing more timely, accurate and easier to access statewide information for management decision-making and historical analysis.

The solution must automate transportation construction project recordkeeping through the following functions:

- Data must be electronically transferred to and from the field to minimize data entry and reduce errors.
- Must allow extensive creation, review, and approval of contract changes.
- Estimates must be automatically generated and reviewed.
- Must allow sophisticated adjustments and calculations which are provided in the estimate, along with reported discrepancies.
- Data must be compatible with the department's financial management system.
- Data must be compatible with the department's preconstruction application to ensure a seamless and customizable interface for the import and export of data.

The application must be able to generate a number of reports that provide a variety of project information such as:

Contract status: display the current stage of the contract's construction activity including critical dates, percentage of work completed and history of individual payments to the contractor.

Daily work report history: list daily work report activities by individual daily work report, work items and contractor activities.

Installed work report: document the installed quantities by project and item that will be paid by the next estimate.

Change order report: details the comprehensive specifics of a contract change including time extensions, modification of existing item quantities and addition of new items.

Field Data Collection

To keep the current status on a project, regular supervision from field inspectors is vital. These key individuals monitor progress and record and report important data. The solution must allow for both on-line and off-line field data collection.

Data transfer of the solution’s on-line and off-line field collection system must be simple. Information must be automatically synched between the off-line system and the host application. The updated data must be periodically uploaded via an automated process that both imports the new data and exports any new contract reference information back to the off-line system, all in one simple execution.

To maintain auditability, the solution must ensure all data shared between the on-line system and the off-line system is user specific and password protected.

Field data shall be compiled by the application in the proposed solution as daily work reports, which track detailed item and material progress for the prime contractor and all of the subcontractors, record weather and temperature data, track contractor personnel and equipment, track agency staff, and provide space for a large number of user classified remarks. For added efficiency, previous daily work reports must be automatically carried over to the next day’s daily work report, saving valuable time recording information. These reports must allow inspectors to collect information in a quick and uniform manner.

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	No system-wide interruption of the progress of the department’s construction and maintenance contracting program	Construction Management staff will not have any system interruptions in the construction and maintenance contracting program once the web-based version goes live	FDOT and External Stakeholders	02/19
2	Minimal interruption of the department’s monthly payments to the construction and maintenance contracting industry	Will be measured by having less than 1% in delayed monthly payments on construction contracts	FDOT and External Stakeholders	02/19
3	Timely and accurate reporting	Provide timely and accurate reports to the Florida Transportation Commission with 99% accuracy	FTC and FDOT	02/19
4	Ad hoc reporting	The data retrieved from the web-based application is 95% accurate with little to no delay in the production of the report	FDOT and requesting parties	02/19

SUCCESS CRITERIA TABLE				
5	Field staff with wireless communication service will be able to upload data on a real-time basis	90% of the time field staff with a wireless connection can upload field collected data from the project site	FDOT and Consultant Project personnel	02/19
6	Successful tracking of individual project expenditures	98% of the projects will not exceed the allowable amount of expenditures	FDOT	02/19
7	Accurate Status Update	Users can retrieve a real-time snapshot of the status of individual or multiple projects	FDOT	02/19
8	FHWA Funds Tracking	Users can successfully track the payments made on contracts using federal funds	FDOT	02/19
9	Training	90% of the users will be able to successfully operate the application	FDOT and Consultant Project personnel	02/19
10	Successful migration of all contract data from the local site to the hosted web-based site	The department will conduct quality control checks of the migrated data of active contracts to ensure a minimum of 95% accuracy	FDOT and External Stakeholders	06/19

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

A. Benefits Realization Table

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

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Reduction in risk due to product end of life	FDOT and External Stakeholders	FDOT and Stakeholders will not experience delays in processing data	Reduction in staff time and costs related to application failure	02/19
2	Cost avoidance of adding additional staff to manually process contracts	FDOT and External Stakeholders	FDOT – will avoid claims. Stakeholders – paid on time	Avoiding costs associated with manual processing	02/19

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3	Increase efficiency of data entry by project personnel	FDOT and Consultants	There will be a 30% performance improvement gained during processing	Representative sample will be taken during performed tasks	02/19
4	Reduction in field staff data entry time	FDOT and Consultants	Reduction in time spent by FDOT and Consultants performing data entry	Representative sample will be taken during performed tasks	02/19
5	Increase efficiencies in accessing and reporting data	FDOT, and other Transportation Stakeholders	Ease of use and reduction in time spent accessing and creating reports	Representative sample will be taken during performed tasks	02/19

B. Cost Benefit Analysis (CBA)

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

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

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

Project	<i>Construction Management Software Upgrade</i>	
Agency	<i>Department of Transportation</i>	
FY 2017-18 LBR Issue Code:	FY 2017-18 LBR Issue Title:	
<i>36344C0</i>	<i>Construction Management Software</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Steve Carter 850-414-4144 steve.carter@dot.state.fl.us</i>		
Executive Sponsor	<i>Brain Blanchard</i>	
Project Manager	<i>Mike Nelson / Quinton Tillman</i>	
Prepared By	<i>Steve Carter</i>	<i>9/1/2016</i>

Risk Assessment Summary	

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

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

SiteManager is published to a Citrix 6.5 environment, which is on Windows 2008 R2 servers. It uses an Oracle 11g database, which is on a Windows 2012 R2 Enterprise Edition server. SiteManager is a Commercial off the Shelf (COTS) application written in Power Builder.

a. Description of Current System

There is currently a total of 3,199 active user IDs with active AD accounts. User types can fall within 115 different security groups ranging from Inquiry Only to Administrator. SiteManager access is controlled by security coordinators within each district. SiteManager does not handle confidential data. The current system operates on Windows 2008 R2 client-servers, Windows 2008 R2 application servers and Windows 2012 R2 Enterprise Edition server for the database. The software uses a Power Builder GUI presentation.

FDOT adds specific functionality with the following VB6 application “plug-ins”: Contract Change Tracking System, Copy Contract, Maintenance Management System and a Data Quality Reporting and Update utility. These VB6 applications are launched from within SiteManager and run in the Citrix environment.

Several COBOL programs run on the mainframe and access SiteManager’s database. These programs range from EED (validating and approving pay estimates for construction), to processes extracting data for a de-normalized data warehouse, to a pay estimate report, to a process loading equipment into SiteManager (allowing vendors to report equipment use in contracts). SiteManager adheres to FDOT’s software standards and hardware platforms.

Citrix client machines can be added to meet demand, and servers can be upgraded to keep up with performance demands. The current software system, however, will sunset in fiscal year 2019-20, meaning continuation of the current system will require FDOT to accept all maintenance and upgrade responsibility.

b. Current System Resource Requirements

SiteManager currently has the following hardware and software:

- Windows 2008 R2 client-servers has 2 CPUs with 8GB MEM.
- Windows 2008 R2 application servers have 2 SPU’s with 8GB MEM.
- Windows 2012 R2 Enterprise Edition servers has 48GB MEM with a 4-core processor.

c. Current System Performance

SiteManager performance is relatively stable, performing with adequate speed and response times. However, users regularly experience problems when launching SiteManager. The delay in launch time is usually triggered from problems with the server or from corrupt user profiles.

SiteManager is meeting the current workload requirements. Workload requirements are not projected to increase; however, the current system is projected to sunset in fiscal year 2019-20, meaning continuation will require FDOT to accept all maintenance and upgrade responsibility.

If the proposed vendor-hosted web-based solution is not adopted, the largest concern would be an operating system compatibility issue after sunset of the current system. Newer versions of SiteManager will not be developed, causing it to eventually cease functioning on new operating systems. Additionally, any system issues or routine maintenance would fall upon FDOT to correct or develop internally.

With current software projected to sunset in fiscal year 2019-20, newer versions of SiteManager will not be developed unless FDOT assumes responsibility and develops upgrades internally. The technical support staff troubleshoots and solves Citrix user issues. Anticipated failures prior to sunset can include anything from a problem with a Citrix Server to a corrected Citrix user profile. When running properly, both Citrix and SiteManager perform with adequate speed and response time.

2. Information Technology Standards

Projects managed by Applications Services (the application development section of the Office of Information Technology) are developed following Agency for State Technology (AST) guidelines (AST Security Rule 74-2 F.A.C and Project Management Rule 74-1 F.A.C), which are based on the Project Management Institute's methodology including standard phases, tools, steps, and sign-off processes. This methodology is made available to all project management and project staff working within FDOT to ensure consistent steps are followed when developing system applications.

B. Current Hardware and/or Software Inventory

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

Not applicable. FDOT is not replacing any hardware.

C. Proposed Technical Solution

1. Technical Solution Alternatives

- Upgrade the current client-server based application to the current vendor hosted web-based solution.
- Purchase a new off-the-shelf application, involving substantial customization to meet FDOT business requirements.
- Internal development of a new construction management application.
- Reversion to a manual/paper processing of construction management contracts

2. Rationale for Selection

The technical requirements are the driving force behind transitioning to a web-based solution. In addition to providing a seamless transition from a client-server application to a web-based solution, the current provider is able to meet all of FDOT's specifications and requirements with only a moderate amount of additional configuration or customization. Any required customization can easily be integrated into the recommended web-based solution.

The proposed web-based solution effectively manages the volume of information involved in a transportation construction project, and will be able to seamlessly integrate field-based data collection, contract record administration and contractor payments.

The proposed web-based solution will allow for sophisticated adjustments and calculations provided in the estimate, in addition to reported discrepancies.

The proposed web-based solution will be compatible with both the department's financial management system and the preconstruction application, which it relies upon to import and export data required for construction management.

The proposed web-based solution is able to generate the variety of reports required for department operations, such as: contract status, daily work report histories, installed work reports and change order reports, contract status, work item detail, contractor payment and outstanding item list.

In addition, the proposed web-based solution is configurable by role, allowing the user to easily switch from role to role within the system depending on his or her responsibilities. The solution provides the following key features: attachments and agency fields, system events and issue tracking, integrated agency view, extensive online help, field-based data entry, and contract change order functionality.

3. Recommended Technical Solution

The recommended technical solution is a vendor hosted solution for both the application and the associated database, based on a foundation of web application in a loosely coupled, multi-tiered, Microsoft .Net architecture. The current application owner provides a web-based platform meeting all FDOT's technical requirements in a consistent, unified data model with a single standard security model.

D. Proposed Solution Description

1. Summary Description of Proposed System

Since the department currently operates under an AASHTOWare client-based application and they offer a vendor hosted, web-based product, the proposed solution is to continue using an AASHTOWare product. This proposed product meets all FDOT business and technical requirements. Below is a description of the proposed solution:

AASHTOWare Project Construction & Materials is a web-based construction and materials management application. AASHTOWare Project Construction & Materials covers the construction and materials management process, including laboratory information management functionality. It is a powerful application spanning all levels of construction and materials enabling personnel to progress a contract and its supporting documentation from contract award through finalization. It will also allow the department to manage all aspects of a construction project through daily work reports, diaries, storm water compliance inspections, contract change orders, force accounts, contractor and design evaluations, plan discrepancies, meeting records, document submission and review and contractor payments.

AASHTOWare Project 4.0 web-based application manages virtually all aspects of the road construction and maintenance project life cycle, from cost estimation to proposal preparation. AASHTOWare Project 4.0 software suite includes four modular components targeting different business areas and functionality dealing with road construction and maintenance projects in a single web-based application and database. The specific modular components are enabled by entering license keys tied to each component. The software suite provides different modules to meet construction/materials needs, including an integrated laboratory information management system and a module to manage labor and civil rights issues. Modular components exist of the following: AASHTOWare Project Construction & Materials, AASHTOWare Preconstruction, AASHTOWare Project Estimation, and AASHTOWare Project Civil Rights & Labor software. FDOT is using a modular component of the AASHTOWare Project 4.0 software: AASHTOWare Project Construction & Materials.

The vendor-hosted, web-based AASHTOWare Project application is a three-tier setup. The configuration consists of a web server, an application server, and a database server. The web server hosts the user interface (UI) website; the application server hosts the web-based AASHTOWare Project application and business layer; the database server hosts the database used by the web-based AASHTOWare Project application. Security is enabled through LDAP lookup of FDOT Active Directory.

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

Database

- SQL Server 2012 Win Server 2012 R2 64-bit (FDOT currently hosting)

Web Browser Clients

- Internet Explorer 10
- Internet Explorer 11 (FDOT currently hosting)
- Google Chrome

Web/Application Server

- Windows Server 2012 64-bit with a minimum of eight processors and 8GB of RAM (FDOT currently hosting 2 servers – F5 enabled for Internet accessibility from any IP provider – SSL enabled)
- Internet Information Server 8 64-bit (FDOT currently hosting)

- Recommended that the Application Server and UI Server features are installed together on each server if using more than one server (FDOT currently has two servers each hosting application and UI separately; server 1 – application server, server 2 UI server)
- Microsoft .NET Framework 4.5.1

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

FDOT's data requirements for the current client-server based application identified a current data storage usage of 180GB, which includes active and archive construction management contract data. The vendor-hosted solution will provide a storage capacity of 500GB. This is anticipated to fulfill FDOT's data requirements for the new application for a minimum of 10 years after the transition to the vendor-hosted solution.

Servers for testing, training and production will be provided as part of the hosted solution and are scalable per customer need.

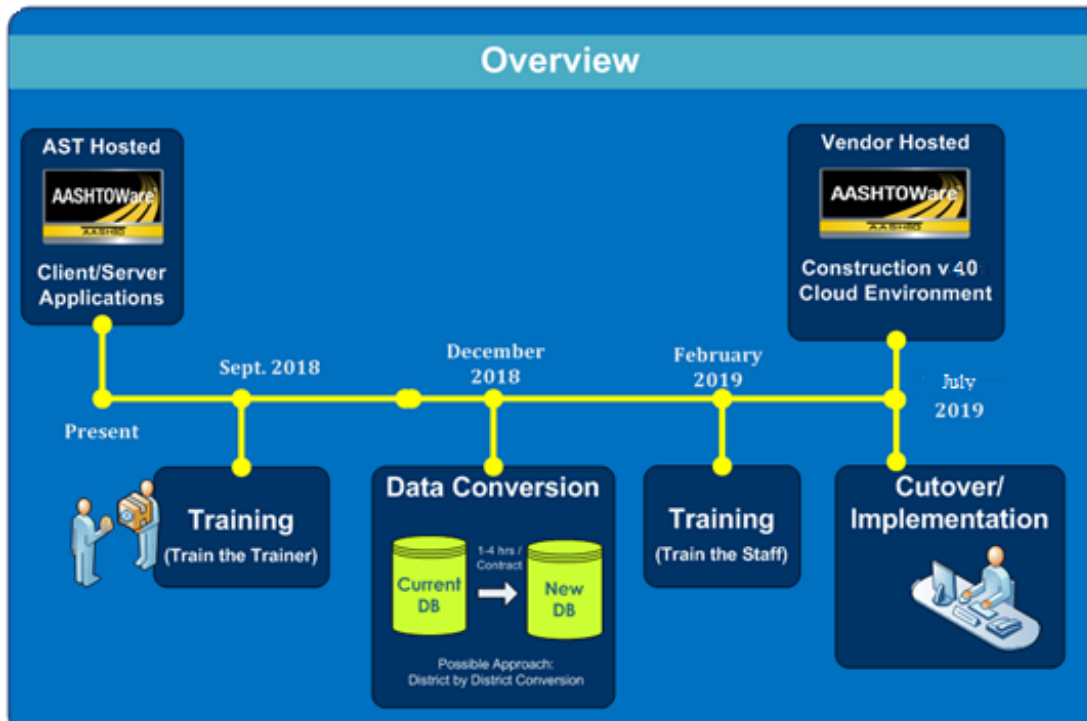
3,199 users operate within the current client-based application. Due to planning for future construction projects and FDOT staffing requirements, this number is not expected to rise. However, additional users can be accommodated within the system with no impact to system operations.

VII. Schedule IV-B Project Management Planning

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

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

Project Scope



Milestones	No. of Days	Completion Date
Role Development	90	9/29/2017
Application Services	335	8/30/2018
System Test vendor hosted site	14	9/13/2018
Application Services	335	8/30/2018
Training Coordinators	14	9/20/2018
Training End Users	150	2/17/2019
Implement FDOT Hosted Site	14	2/28/2019
Cutover to vendor hosted site in cloud	10	6/30/2019

The scope of the proposed project includes:

- Analyzing and documenting the necessary steps to perform the transition from the existing technical architecture (client-server and local web hosting) and to a vendor-hosted, web-based environment.
- Determine the least risky and most seamless approach to this migration (see the charts in the Appendix).
- Once funding is approved, establish a project manager and team to ensure timely milestone completion.
- Establish a project schedule to include all the major tasks and milestones.
- Testing of the construction data conversion to the new formats.
- Establish the training schedule: train the trainer and then train the staff and application users.

Project Phasing Plan

This is a two fiscal year plan where the project will be managed by a project team that will execute the plan when it is fully realized. The project will follow the Project Management Rule 74-1 F.A.C.

Once funding approval is given the following phases will be implemented:

FY 2017-18

Major work activates anticipated:

- Form the project team
- Verify proposed solution implementation and determine all necessary modifications to existing applications/processes (assumption that implementation of test, system test and production has been completed in FY 2016-17)
- Determine data conversion strategies
- Test data conversion from the existing client-based application to proposed web-based solution
- Determine required modifications to existing applications
- Develop Training Materials

FY 2018-19

Major work activates anticipated:

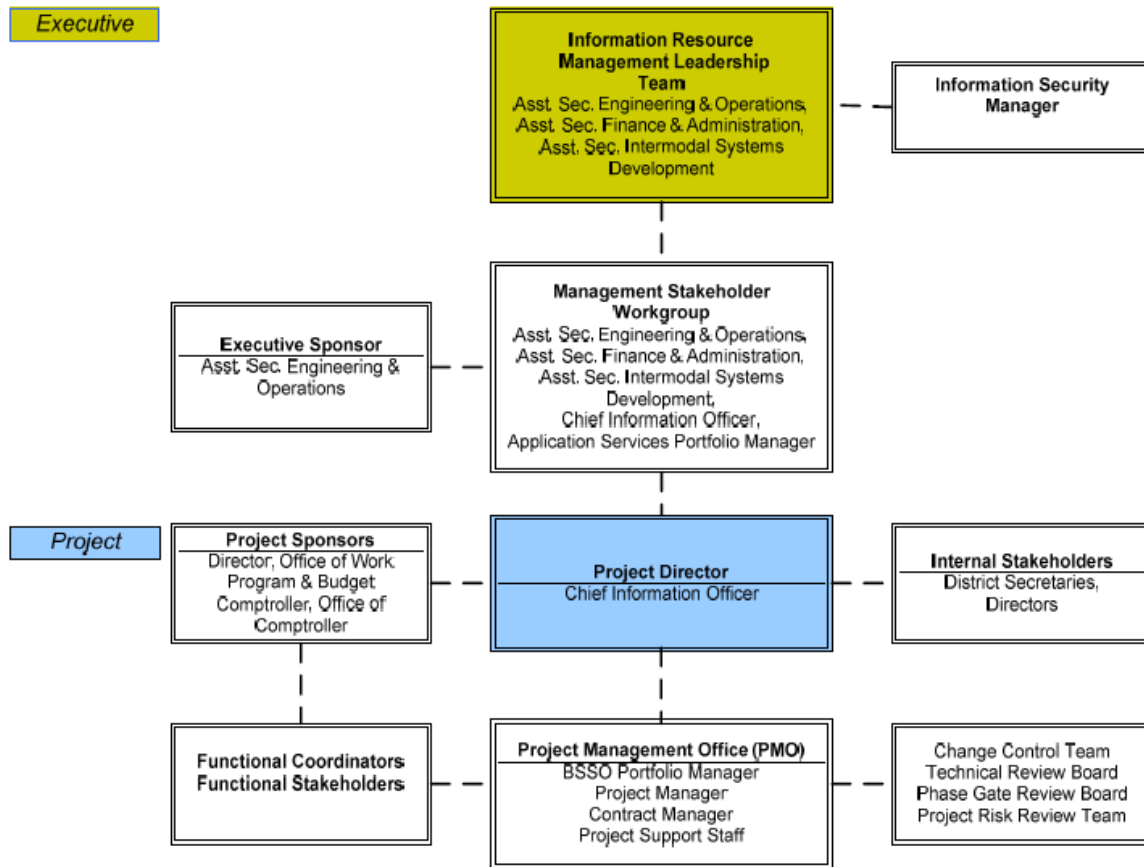
- Train the Trainer training
- Train the Users training
- Final data conversion to local production
- Finalize application roles and responsibilities
- Copy of databases sent to proposed application vendor
- Cutover to the proposed web-based application

Baseline Schedule

Task	Status	Planned Start	Planned Stop
Planning	In Progress	07/2017	06/2018
<ul style="list-style-type: none"> • Collect Inventory and define scope 	In Progress	07/2017	10/2017
<ul style="list-style-type: none"> • Detailed Requirements 	In Progress	07/2015	06/2018
Execution		10/2017	06/2019
<ul style="list-style-type: none"> • Role Development 	Pending	10/2017	02/2019
<ul style="list-style-type: none"> • Data Conversion 	Pending	10/2017	02/2019
<ul style="list-style-type: none"> • COTS Installation 	Pending	10/2017	02/2019
<ul style="list-style-type: none"> • Report Conversion 	Pending	10/2017	06/2019
<ul style="list-style-type: none"> • Interface Conversion 	Pending	10/2017	06/2019
<ul style="list-style-type: none"> • Training 	Pending	09/2018	02/2019
<ul style="list-style-type: none"> • Move to cloud hosting 	Pending	10/2017	06/2019
Closing	Pending	04/2019	06/2019
Monitoring and Control	In Progress	07/2017	06/2019

Project Organization and Governance

This subsection describes the proposed project organization and governance.



The project governance structure consists of the following elements:

- **Information Resource Management Leadership Team:** provides direction and prioritization for information technology resources and projects estimated at over 1,500 hours of effort. The group usually consists of the department’s Assistant Secretaries and the Chief Information Officer (CIO).
 - **The Information Security Manager (ISM)** reports directly to the CIO. The ISM is responsible for statewide coordination and administration of the Department's security policies, procedures, and standards including security awareness training and security compliance assessment. The ISM reviews and approves the Security Plans that are submitted for all enterprise applications including this initiative.
- **Office of Inspector General:** serves as a central point for coordination of and responsibility for activities that promote accountability, integrity, and efficiency in the department. Conducts audits, investigation and management review relating to the programs and operation of the agency.
- **Management Stakeholder Workgroup:** The Management Stakeholder Workgroup provides functional management oversight for the application projects.
- **Executive Sponsor:** The Executive Sponsor is a chairperson of the subject business process improvement, analysis, and design efforts. The Executive Sponsor acts as a visionary and motivator and instills the project

with a purpose and a sense of mission. The Executive Sponsor introduces the project within the organization and demonstrates commitment to its success.

- **Project Sponsors:** ensure that security controls related to access and integrity of the application and data are in place. Ensure that the needed resources from the Functional Office are available to serve in various roles throughout the application's life cycle.
- **Project Director:** Coordinates and manages the information resources management policies, procedures, and standards activities. Advises executive management regarding information resources management needs of the department. Assist in the development and prioritization of the information resources management schedule of the department's legislative budget request.
- **Internal Stakeholders:** functional areas and Directors that are affected by the project. It is critical that Internal Stakeholders are kept aware of the project; and are involved (provide staff) in discussions regarding their functional area at the appropriate time in the project.
- **Functional Coordinators:** serve as a dedicated resource from the Functional Office assigned to serve as liaison between the Office of Information Systems and the Functional Office. The role of the Functional Coordinator will exist beyond the project, throughout the life of an application. The Functional Coordinator may act as an agent for the Project Sponsor.
- **Functional Stakeholders:** provide functional management oversight of the application project for which they have been delegated responsibility. Provide direction to the Project Team in regard to project strategy and planning.
- **Project Management Office (PMO):** provides coordination and support for Communications, Human Resource, Risk, Integration, Time, Cost, and Quality management. Reports to Executive Leadership overall status of projects. Monitors project progress against business objectives. Monitors relationships with internal and external stakeholders. Responsible for document management and requirements management process. The Project Management Office includes the Application Services Portfolio Manager, Project Manager, Contract Manager, and other support staff as needed.
- **Application Services Portfolio Manager:** The Business Systems Support Office Portfolio Manager provides leadership and facilitation to the Program Managers of the development and maintenance of applications taken on by the Application Support Office within the Office of Information Technologies. The Application Services Portfolio Manager ensures proper methodology support is provided for Application Services application development projects and maintenance efforts. The Application Services Portfolio Manager also represents the application development and maintenance perspective within Office of Information Systems management and to other Offices or work groups within the Department as required.
- **Project Manager:** The Project Manager is accountable for maintaining project scope, cost, and schedule in accordance with the baselines established in the Project Plan. The Project Manager plans, assigns, and oversees the deliverables provided by team members.
- **Contract Manager:** a department employee responsible for enforcing performance of the contract terms and conditions, serving as liaison with the vendor and ensuring that the contractual terms have been complied with prior to processing the invoice for payment.
- **Change Control Team (CCT):** responsible for reviewing and determining the outcome of all change requests submitted to the project during the project life cycle. The CCT will meet as often as necessary, as changes are introduced throughout the project, to discuss potential impacts or changes to the scope, schedule or budget. If the CCT approves a change, the CCT must then seek authorization from the Executive Sponsor, Project Sponsor, Application Services Portfolio Manager, or combination of those stakeholders, depending on the type of impact the change will have on the project.
- **Technical Review Board:** reviews technical components of the project to ensure alignment with scope, time, budget, and quality.
- **Project Risk Review Team:** prioritizes and ranks all risks identified for project, and agree on a risk response strategy for each identified risk.

Quality Assurance Plan

FDOT follows standard practice project management principles to reduce project incurred risks, ensure compliance with stated quality standards and keep the project on track. This subsection describes several of FDOT’s quality assurance plans including:

- Communication Plan
- Deliverables Review and Acceptance
- Issue Management
- Risk Management
- Scope Change Management

Communication Plan

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

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

Item	Purpose	Frequency	Audience
Project FAQ	Provide list of answers to frequently asked questions	Available at all Times. Update as needed	All FDOT Staff

Deliverables Review and Acceptance

All deliverables are reviewed by appropriately appointed staff. Standard review teams will be established, by technology or business area, to provide a consistent review base. Project schedules must be established to provide time for deliverables review, feedback, and secondary review.

Issue Management

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

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

Change Management

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

- The Project Change Control Process will be documented in the Change Management section of the Project Management Plan.
- Any proposed changes will be documented using a change control form and tracked through the change control log.
- The change control log and form will be available and reviewable by all project members.
- The Project Manager will establish the CCT.
- The CCT will meet as often as necessary to ensure changes are dealt with in a timely manner.
- The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Change Management Process.
- Changes that are approved by the CCT will seek final approval from the appropriate staff and stakeholders.
- Monthly Status Reports will track and provide status for all open change requests.

Security Plan

The objectives of the Security Plan are to:

- Ensure confidentiality, integrity, and availability of the system data
- Identify confidential or sensitive information in the system

- Define system security methods, requirements, and procedures
- Promote consistency and uniformity in the system’s security practices

The following Sections are outlined in the document to address risk management and reduce exposure to the Department by identifying controls to offset threats and protect the Department’s resources.

1. Risk Analysis (Authentication/ Data and System Integrity/ Confidential Information)
2. Federal Information Processing Standards (FIPS) 199 Potential Impact Categorization
3. Critical Resources
4. Roles and Responsibilities
5. FDOT Policies and Procedure

Risk Management

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

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

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

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization	Inconsistent processes and standards across FDOT business units could impact drive to standardize business processes	<ul style="list-style-type: none"> • Establish organizational change management program • Engage stakeholders from various agencies in defining process changes
Change Management, Technology	Perception by various FDOT business units about apparent loss of tailored functionality	<ul style="list-style-type: none"> • Encourage early involvement by key business units • Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution • Ensure consistent and ongoing senior management support

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization	Changes in FDOT executive management can impact program execution	<ul style="list-style-type: none"> • Immediately brief new management on program objectives and status • Implement Steering Committee to manage program with a mix of executive-level policymakers and senior-level career staff • Engage continuing Steering Committee members to assist in presenting program benefits to new management team members • Include career staff in key roles responsible for managing program execution for continuity
Fiscal	Delay in obtaining funding for all or part of proposed program effort from the legislature	<ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval for change in scope based on funding • Revisit budgets regularly; economic factors should be on agenda for discussion at Steering Committee meetings and other executive management briefings where appropriate • Adjust program schedule as necessary based on timing of funding • Identify activities that could continue in the interim (process analysis, etc.) to maintain momentum
Fiscal	Less funding than requested is approved for the program effort	<ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval • Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate • Adjust scope and/or program schedule as necessary based on timing of funding
Project Complexity	Challenges in aligning project schedule with current hosting services or the vendor's hosting solution	<ul style="list-style-type: none"> • Initiate early discussions with the current hosting provider and/or the vendor hosting team and continue dialogue throughout planning process

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Communication	Project delays not resolved in a timely manner	<ul style="list-style-type: none"> • Initiate early discussions • Monitor and track resolution • Ensure management understands required timeline for resolution and cost/schedule impact of not resolving
Strategic	Desired business benefits not achieved	<ul style="list-style-type: none"> • Adhere to requirements, involve stakeholders, and tie scope decisions to performance measures and anticipated benefits to ensure success • Incorporate business process training and mentoring into the work plan
Project Organization	Staff not being able to participate when needed or review deliverables within schedule	<ul style="list-style-type: none"> • Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time • Proactively identify resource constraints and escalate in a timely manor • Re-assign some responsibilities of key extended team members • Reprioritize some activities assigned to extended team members
Project Complexity	Project scope too large or complex and/or implementation strategy attempts to implement too much at one time	<ul style="list-style-type: none"> • Establish implementation plan, carefully develop the plan, and link it to expected business benefits • Link project scope to business benefits • Careful review by FDOT Steering Committee of requirements and implementation plan before approving implementation go-ahead • Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes
Project Organization, Project Management	Availability of FDOT resources (business and technical) to support implementation	<ul style="list-style-type: none"> • Develop detailed estimates of resource requirements as early as possible as part of planning • Develop an implementation strategy and work plan that is in sync with availability of FDOT resources • Obtain specific commitment of resources from FDOT management prior to start of implementation

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Complexity, Project Management	Need to provide large number of employees with training on various new application functions	<ul style="list-style-type: none"> Initiate organizational change management program from start of program Develop training strategy for each project component early and monitor status of training effort closely

Implementation Plan

The Implementation Phase will be defined as the project progresses.

Project Staffing and Continuity

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

To ensure that day-to-day work proceeds during this effort, the Legislative Budget Request includes funding to address staffing. The department plans to use staff augmentation to backfill for personnel assigned to the project.

Project Manager (half-time)

- All project planning and documentation, etc.
- Set the schedules, assigning tasks, etc.

System Project Consultant (full time)

- Team lead, senior technical analyst, coding, data conversion planning, transferring data to the hosting vendor

Contractor – Lead (full time)

- Senior technical analyst, data conversion lead, coding, testing and verification, assist in transferring data to the hosting vendor

Contractor (full time)

- Data conversion, report writing, misc. duties as they arise

Database Administrator (half time)

- Set up test regions and databases for the conversion effort

Server Support Staff (1/4 to 1/2 time)

- Establish test regions, server configuration as needed, set up Secure VPN connections to the vendor hosted Site

Additional information will be provided as the project progresses.

VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

- A. Cost Benefit Analysis FY 18/19
- B. Project Risk Assessment FY 18/19
- C. Acronym Definition

CBAForm 1 - Net Tangible Benefits

Agency	Department of Transportation	Project	Action Management Software U
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$203,706	\$758,214	\$961,920	\$203,706	\$271,254	\$474,960	\$4,327,984	-\$4,309,741	\$18,243	\$4,327,981	-\$4,309,738	\$18,243	\$4,327,981	-\$4,309,738	\$18,243
A.b Total Staff	0.00	8.00	8.00	0.00	8.00	8.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$203,706	-\$45,786	\$157,920	\$203,706	-\$124,746	\$78,960	\$0	\$18,243	\$18,243	\$0	\$18,243	\$18,243	\$0	\$18,243	\$18,243
A-1.b. State FTEs (#)	0.00	3.00	3.00	0.00	3.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$804,000	\$804,000	\$0	\$396,000	\$396,000	\$4,327,984	-\$4,327,984	\$0	\$4,327,981	-\$4,327,981	\$0	\$4,327,981	-\$4,327,981	\$0
A-3.b. Staff Augmentation (# of Contractors)	0.00	5.00	5.00	0.00	5.00	5.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Application Maintenance Costs	\$774,908	\$183,334	\$958,242	\$774,908	\$266,666	\$1,041,574	\$0	\$853,908	\$853,908	\$0	\$853,908	\$853,908	\$0	\$853,908	\$853,908
B-1. Managed Services (Staffing)	\$339,908	\$121,000	\$460,908	\$339,908	\$271,000	\$610,908	\$0	\$489,908	\$489,908	\$0	\$489,908	\$489,908	\$0	\$489,908	\$489,908
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$435,000	-\$71,000	\$364,000	\$435,000	-\$71,000	\$364,000	\$0	\$364,000	\$364,000	\$0	\$364,000	\$364,000	\$0	\$364,000	\$364,000
B-4. Other <i>Data Migration</i>	\$0	\$133,334	\$133,334	\$0	\$66,666	\$66,666	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$254,119	-\$74,269	\$179,850	\$254,119	-\$74,269	\$179,850	\$0	\$179,550	\$179,550	\$0	\$179,550	\$179,550	\$0	\$179,550	\$179,550
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	\$254,119	-\$74,269	\$179,850	\$254,119	-\$74,269	\$179,850	\$0	\$179,550	\$179,550	\$0	\$179,550	\$179,550	\$0	\$179,550	\$179,550
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	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$77,720	\$77,720	\$0	\$138,180	\$138,180	\$2,907,800	-\$2,907,800	\$0	\$2,907,800	-\$2,907,800	\$0	\$2,907,800	-\$2,907,800	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$99,900	\$99,900	\$411,800	-\$411,800	\$0	\$411,800	-\$411,800	\$0	\$411,800	-\$411,800	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>GAP Measures(17/18) & (18/19) Claims</i>	\$0	\$77,720	\$77,720	\$0	\$38,280	\$38,280	\$2,496,000	-\$2,496,000	\$0	\$2,496,000	-\$2,496,000	\$0	\$2,496,000	-\$2,496,000	\$0
Total of Recurring Operational Costs	\$1,232,733	\$944,999	\$2,177,732	\$1,232,733	\$601,831	\$1,834,564	\$7,235,784	-\$6,184,083	\$1,051,701	\$7,235,781	-\$6,184,080	\$1,051,701	\$7,235,781	-\$6,184,080	\$1,051,701
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		(\$944,999)			(\$601,831)			\$6,184,083			\$6,184,080			\$6,184,080	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	<input checked="" type="checkbox"/>	Confidence Level	90%
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input type="checkbox"/>	Confidence Level	

Department of Transportation

Construction Management Software Upgrade

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.

			CBA Form 2A Baseline Project Budget															
			FY2017-18			FY2018-19			FY2019-20			FY2020-21			FY2021-22			TOTAL
			\$ -	\$ 1,813,432		\$ 1,470,264		\$ -			\$ -			\$ -			\$ 3,283,696	
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 Base Budget		YR 2 Base Budget		YR 3 Base Budget		YR 4 Base Budget		YR 5 Base Budget		TOTAL				
				YR 1 #	YR 1 LBR	YR 2 #	YR 2 LBR	YR 3 #	YR 3 LBR	YR 4 #	YR 4 LBR	YR 5 #	YR 5 LBR					
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -	
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ 133,334	\$ -	0.00	\$ 66,666	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 200,000	
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -	
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ 157,920	\$ -	0.00	\$ 78,960	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 236,880	
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ 460,908	\$ -	0.00	\$ 460,908	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 921,816	
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	
Commercial software purchases and licensing costs.	Commercial Software	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -		\$ 881,720	\$ -		\$ 584,280	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 1,466,000	
All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ 99,900	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 99,900	
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -		\$ 179,550	\$ -		\$ 179,550	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 359,100	
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	
Total			\$ -	0.00	\$ 1,813,432	\$ -	0.00	\$ 1,470,264	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 3,283,696	

CBAForm 2 - Project Cost Analysis

Agency <u>Department of Transportation</u>	Project <u>Instruction Management Software Upgrade</u>
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<i>PROJECT COST SUMMARY</i>	<i>PROJECT COST SUMMARY (from CBAForm 2A)</i>					TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	
TOTAL PROJECT COSTS (*)	\$1,813,432	\$1,470,264	\$0	\$0	\$0	\$3,283,696
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$1,813,432	\$3,283,696	\$3,283,696	\$3,283,696	\$3,283,696	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

<i>PROJECT FUNDING SOURCES</i>	<i>PROJECT FUNDING SOURCES - CBAForm 2B</i>					TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$2,177,732	\$1,834,564	\$1,051,701	\$1,051,701	\$1,051,701	\$7,167,399
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$2,177,732	\$1,834,564	\$1,051,701	\$1,051,701	\$1,051,701	\$7,167,399
CUMULATIVE INVESTMENT	\$2,177,732	\$4,012,296	\$5,063,997	\$6,115,698	\$7,167,399	

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

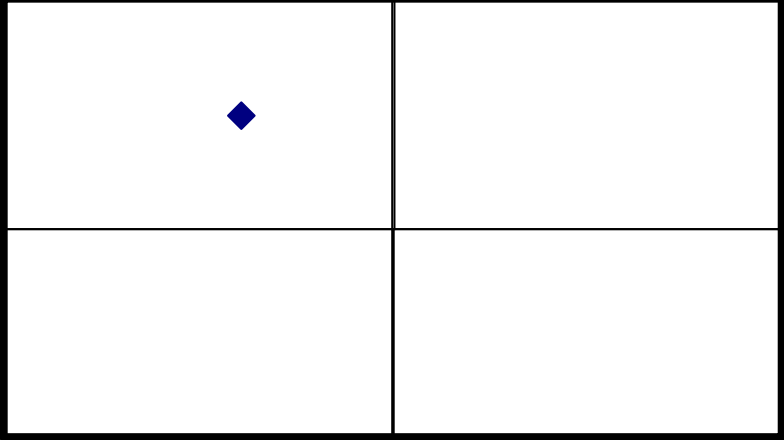
CBAForm 3 - Project Investment Summary

Agency	<u>Department of Transportation</u>	Project	<u>tion Management Software</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	TOTAL FOR ALL YEARS
Project Cost	\$1,813,432	\$1,470,264	\$0	\$0	\$0	\$3,283,696
Net Tangible Benefits	(\$944,999)	(\$601,831)	\$6,184,083	\$6,184,080	\$6,184,080	\$17,005,413
Return on Investment	(\$2,758,431)	(\$2,072,095)	\$6,184,083	\$6,184,080	\$6,184,080	\$13,721,717
Year to Year Change in Program Staffing	8	8	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	2 7/9	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2019-20	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$11,036,669	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	72.90%	IRR is the project's 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
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

	B	C	D	E	F	G	H	
3	Project		<i>Construction Management Software Upgrade</i>					
4								
5	Agency		<i>Department of Transportation</i>					
6	FY 2017-18 LBR Issue Code:			FY 2017-18 LBR Issue Title:				
7	<i>36344C0</i>			<i>Construction Management Software</i>				
8	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):							
9	<i>Steve Carter 850-414-4144 steve.carter@dot.state.fl.us</i>							
10	Executive Sponsor		<i>Brain Blanchard</i>					
11	Project Manager		<i>Mike Nelson / Quinton Tillman</i>					
12	Prepared By		<i>Steve Carter</i>			<i>9/1/2016</i>		
14	Risk Assessment Summary							
15								
16	Business Strategy							
17								
18								
19								
20								
21								
22								
23								
24								
25								
26								
27								
28								
29								
30	Level of Project Risk							
31	<i>Least Risk</i>					<i>Most Risk</i>		
32								
34	Project Risk Area Breakdown							
35	Risk Assessment Areas						<i>Risk Exposure</i>	
36	Strategic Assessment						LOW	
37								
38	Technology Exposure Assessment						LOW	
39								
40	Organizational Change Management Assessment						LOW	
41								
42	Communication Assessment						LOW	
43								
44	Fiscal Assessment						MEDIUM	
45								
46	Project Organization Assessment						MEDIUM	
47								
48	Project Management Assessment						MEDIUM	
49								
50	Project Complexity Assessment						MEDIUM	
51								
52								
53	Overall Project Risk						MEDIUM	

	B	C	D	E
1	Agency: Department of Transportation		Project: Construction Management Software Upgrade	
3	Section 1 -- Strategic Area			
4	#	Criteria	Values	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	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	Single agency-wide use or visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 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: Department of Transportation		Project: Construction Management Software Upgrade	
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	Supported production system 1 year to 3 years
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed 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	Minor or no infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Department of Transportation		Project: Construction Management Software Upgrade	
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	81% to 100% -- All or nearly all processes 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	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	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	Less than 1% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	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 similar change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name		Project: Project Name	
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Success measures have been developed for some messages
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Department of Transportation		Project: Construction Management Software Upgrade	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all 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	Between \$2 M and \$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 3 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	Just-in-time purchasing of hardware and software is documented in the project schedule
45			Purchase all hardware 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 assigned is not the procurement manager or the project 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	All or nearly all selection criteria and expected 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 not planned/used for procurement
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	Not applicable
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: Department of Transportation		Project: Construction Management Software Upgrade	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No, project manager assigned more than half-time, but less than full-time 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	Completely staffed from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	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	No board has been established
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: Department of Transportation		Project: Construction Management Software Upgrade	
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	All or nearly all
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Only project manager signs-off
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	41 to 80% -- Some have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
35			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: Department of Transportation		Project: Construction Management Software Upgrade	
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
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	Business process change in single division or bureau
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Implementation requiring software development or purchasing commercial off the shelf (COTS) software
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	Greater size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

Acronym

AASHTO
AASHTOWare
AD
AST
CCEI
CCT
CIO
COBOL
COTS
CPU
EED
FDOT
FHWA
FTC
GB
GUI
ID
IT
LDAP
MEM
PMO
R2
RAM
SP2
SPU
SQL
SSL
UI
VB6

Definition

American Association of State Highway Transportation Officials
AASHTO Software Product Names
Active Directory
Agency for State Technology
Consultant Construction Engineering and Inspection
Change Control Team
Chief Information Officer
Common Business Oriented Language
Commercial-Off-The-Shelf
Control Processing Unit
Electronic Estimates Disbursement System
Florida Department of Transportation
Federal Highway Administration
Florida Transportation Commission
Gigabyte
Graphical User Interface
Identity
Information Technology
Lightweight Directory Access Protocol
Memory
Project Management Office
Release 2
Random Access Memory
Service Pack 2
Secure Processing Unit
Structured Query Language
Secure Socket Layer
User Interface
Visual Basic 6

SCHEDULE IV-B FOR IDENTITY ACCESS MANAGEMENT

For Fiscal Year 2018-19




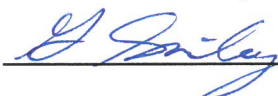

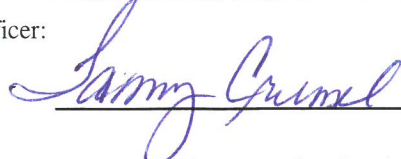
September 15, 2017

Department of Transportation

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Transportation	Schedule IV-B Submission Date: September 15, 2017
Project Name: Identity Access Management	Is this project included in the Agency's LRPP? _____ Yes _____ No
FY 2018-19 LBR Issue Code: 36238C0	FY 2018-19 LBR Issue Title: Secure Access Management
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Greg Smiley, 414-4470, Greg.Smiley@ dot.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:  Printed Name: Michael Dew	Date: September 15, 2017
Agency Chief Information Officer (or equivalent):  Printed Name: Greg Smiley	Date: September 15, 2017
Budget Officer:  Printed Name: Mechelle Marcum	Date: 9/13/17 September 15, 2017
Planning Officer:  Printed Name: Tammy Crumel, Integration Services Mgr.	Date: September 15, 2017

Project Sponsor: 	Date: September 15, 2017
Printed Name: Tammy Crumel, Integration Services Mgr.	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Stephanie Tanner 850-414-4011
Cost Benefit Analysis:	Tammy Crumel, 850-414-4292
Risk Analysis:	Contacts/Preparers for all sections.
Technology Planning:	
Project Planning:	

General Guidelines

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

Schedule IV-B is not required for requests to:

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

Documentation Requirements

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

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

- Project Management Planning

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

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

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

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

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

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

1. Background and Strategic Needs Assessment

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

1. Business Need

In March 2016, the Agency for State Technology (AST) established Rules 74-2.001 through 74-2.006 creating the Florida Cybersecurity Standards. State Agencies must comply with these standards in the management and operation of state IT resources. This rule is modeled after the National Institute of Standards and Technology (NIST) Framework for Improving Critical Infrastructure Cybersecurity, February 12, 2014, and the Federal Information Security Management Act of 2002.

As part of the implementation of the State’s cyber security program, AST provided funds to the Florida Department of Transportation (FDOT) for the completion of a Security Risk Assessment to evaluate FDOT’s current state against the established standards, as well as identification of the appropriate plan of action to assist the department in improving its overall security maturity.

FDOT’s Risk Assessment was completed in January 2017. One of the recommendations focused on establishing an organization-specific access management process that includes identity lifecycle management, consolidated and comprehensive use case provisioning, change management workflows, and a centralized access authentication and authorization process.

The category of information systems that meet these needs is referred to as Identity Access Management (IAM) and Identity Governance Administration (IGA). Funding for this category of tool will allow the department to fill a gap identified in the Security Risk Assessment, while also laying the groundwork to address additional focus areas, including:

- Multi Factor Authentication (MFA);
- Enforced Expiration of Service Accounts; and
- Enhanced Administration of Privileged Accounts

Department Executives have a good understanding for the funding of the need to improve security maturity. The IAM project is one of the key means of improving security and accountability in this area.

2. Business Objectives

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

The business objectives of this project include:

- 1) Improving the security maturity of the department by addressing gaps that were identified in the January 2017 Risk Assessment.
- 2) Implement a system which supports the full life cycle of identity and access management including: identity creation, access requests and approvals, access changes, access recertification, access termination and identity/access audit.
- 3) Provide information on identities, their documented access, and potentially undocumented access, through tools with insight into identity sources throughout the department.
- 4) Provide staff responsible for security and access with tools which evaluate the risks of current access structures in the department.
- 5) Support and expand the message regarding the roles and responsibilities of business system

owners in the securing of their data and applications.

2. Baseline Analysis

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

1. Current Business Process(es)

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

The current business process includes the following general areas. Note the high level of user interaction, and low level of automation. All requests must begin based on the actions of a manager or employee, rather than by triggers from a system which is the official source of information (Example: PeopleFirst) which could trigger these requests.

- A. **Request Access for New Employees/Consultants:** Managers with a new employee or consultant submit request for an FDOT userid in the Automated Access Request Form (AARF) system.
 - a. Staff will be given a userid in both the Active Directory (AD) and RACF (mainframe) userid.
 - b. Userid created based on FDOT generated standard for userids, FFCCCUU, where FF is the Functional Area, CCC is the cost center, and UU is the users initials.
 - c. Security Coordinators prepare userid, but not activated, pending completion of required security training and paperwork.
- B. Complete Employee Training/Paperwork
 - a. Employee reports to work on their first day and must complete required Security Training. Online Security CBT Training completed (1 hour) and certificate printed/signed.
 - b. Employee reviews Security and Use Standard and signs paperwork acknowledging review, understanding and acceptance of security and use standards.
 - c. Manager appends signed security certificate to AARF request.
 - d. Manager appends signed paperwork acknowledging security and use standards to AARF request.
- C. Complete Consultant Training/Paperwork
 - a. Consultant provided link to required Security Training. Online Security CBT Training completed (1 hour) and certificate printed/signed.
 - b. Employee reviews Security and Use Standard and signs paperwork acknowledging review, understanding and acceptance of security and use standards.
 - c. Completed paperwork submitted to Security Coordinator.
 - d. Security Coordinator appends signed security certificate to AARF request.
 - e. Security Coordinator appends signed paperwork acknowledging security and use standards to AARF request.
- D. Finalize Access Request/Create Userid for New Employees/Consultants:
 - a. Userid(s) for RACF and AD activated. Employee notified of password using secure methods.
 - b. Notification send to Application System Administrators for all the various accesses created.
- E. Grant Access
 - a. Application System Administrators for the various systems (Mainframe Applications, Web Applications, Sharepoint access, SAN Access, specialized systems) grant needed access.
 - b. System Administrators acknowledging granting access in the AARF System.
- F. **Modify Access for Existing Employee/Consultant** – Requests to remove or add additional access can be processed once the initial userid is created.
 - a. Requestor submits request for additional, or modified, access.
 - b. Supervisor and Cost Center Manager approve request.
 - c. Request routed to Application System Administrator to implement access.
 - d. Access implemented (or not) based on approval from Application System Administrator.
- G. Terminate Access for Existing Employee/Consultant
 - a. Requestor submits request in AARF to terminate part/or all access.
 - b. Supervisor and Cost Center Manager approve termination request.

- c. Request routed to Application System Administrator(s) of all affected systems to remove access.
 - d. Access removed.
- H. **Employee Changes Position** – Employees assigned to a new position are required to request a new userid. Position changes within the same cost center often do not have a resulting userid change, therefore, the accesses for this employee are not reviewed. The employee could be left with accesses that are not needed, and not within their area of responsibility.
 - a. Employee assigned to a new position.
 - b. Manager requests new userid.
 - i. New userid is created, which creates new Outlook Account and Inbox.
 - ii. All previously accesses are reviewed and recreated if appropriate.
 - c. Manager requests renamed userid.
 - i. Manager request rename of existing userid, rather than creation of new.
 - ii. Manager asked to review and confirm that existing accesses are still relevant.
- I. **Annual Recertification** – On a yearly basis the access record of each employee/consultant must be reviewed and confirmed. Unneeded and missing access should be updated. Recertification is initiated from the perspective of the user, and not from system levels – therefore System Owners are never asked to look at the accesses to their system and review/confirm. The process is also very time-consuming for the Security Access Services team. Ad-hoc reporting is unavailable to track the status of this effort.
 - a. New Access Item added to AARF.
 - b. Managers instructed to update the AARF record for all employees/consultants.
 - c. Managers review AARF record for employees/consultants. Make needed changes.
 - d. Supervisor and Cost Center Manager approve request.
 - e. Request routed to Application System Administrator to implement access.
 - f. Access changes implemented (or not) based on approval from Application System Administrator.
- J. Document FLAIR Access Requests
 - a. FDOT Employee requests access to FLAIR in AARF.
 - b. AARF request routed to staff in Comptroller’s Office for review and approval. Required paperwork completed for FLAIR request.
 - c. Request approved by FDOT Comptroller’s
 - d. Email generated to FLAIR System Administrators with required information.
 - e. FLAIR System Administrators email FDOT when access is approved and id is established.

2. Current Business Assumptions and Constraints

This section addresses assumptions which may impact or influence the department’s identity access management and governance project delivery. It also outlines potential constraints that could impact the outcome of proposed solutions.

Assumptions

1. The implementation of this project will include business process analysis which could result in changes in how the department handles identity and access management.
2. Implementation of a new identity access management/identity governance product will significantly improve the security maturity of the department.
3. The large amount of applications within the department indicates that a phased approach will be required for this implementation.
4. The new IAM system will become the department’s system of record for identities and accesses.
5. Integration with Enterprise Data Systems will be required
6. Detailed coordination with FDOT’s Application Services team, and the Enterprise Architect, will be necessary. Standards for the handling of identities and access within department-develop applications will change.

Constraints

1. Preliminary research indicates that vendors may not be able to provide the full spectrum of identity governance and identity access management tools in a software as a service offering. More robust features are often found only in the on-premise part of the solution. Hybrid solutions allow for a blending of offerings.
2. Some legacy systems may not be able to benefit from automated provisioning available in IAM systems. Some legacy systems may benefit with specialized coding, which will increase the cost of the project.

K. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

The proposed business processes include increased automation, reduced manual intervention, and integration of key systems to request, control and monitor access. Employees will be provided access to Active Directory and/or RACF based on their needs, and not based on RACF being the system of record. The new Identify Access Management system will serve as the system of record for departmental access. Events in state/departmental systems (such as new position numbers, position number changes, consultant company changes) triggers events in the IAM. These events start required reviews and approvals to ensure security is maintained.

A. Establish Access for New Employees:

- a. Updated information from PeopleFirst system initiates a request to provide access for a new employee.
- b. Staff will be given an identity in the IAM system.
- c. Userid created based on agreed upon naming convention, which will be granted to the employee throughout their entire time at FDOT.
- d. IAM system generates starting request based on role of position.
- e. Manager notified of pending request. Reviews and makes changes for any specialized/additional requests not covered in the role-based access template.
- f. IAM system creates agreed upon base level of access for new user based on rules established in IAM. User can access the system quickly on their first day. Example of a base level of access includes: Intranet and Email. Access to applications and Internet not allowed until training is complete.
- g. Extended access is not granted – pending completion of security training.

B. Establish Access for New Consultant:

- a. Updated information from appropriate departmental system initiates a request to provide access for a new consultant.
- b. Staff will be given an identity in the IAM system.
- c. Userid created based on agreed upon naming convention, which will be granted to the employee throughout their entire time at FDOT.
- d. IAM system generates starting request based on role of position.
- e. Manager notified of pending request. Reviews and makes changes for any specialized/additional requests not covered in the role-based access template.
- f. IAM system creates agreed upon base level of access for new user based on rules established in IAM. User can access the system quickly on their first day. Example of a base level of access includes: Intranet and Email. Access to applications and Internet not allowed until training is complete.
- g. Extended access is not granted – pending completion of security training.

C. Initial Provisioning

- a. Staff will be given an identity in the IAM system.
- b. Userid created based on agreed upon naming convention, which will be granted to the employee throughout their entire time at FDOT.
- c. IAM system creates agreed upon base level of access for new user based on rules established in IAM. User is able to access the system quickly on their first day. Example of a base level of access includes: Intranet and Email. Access to applications and Internet not allowed until training is complete.

- D. Complete Employee/Consultant Training/Paperwork**
 - a. Employee notified via email to complete required Security Training within established timeframe (Ex: 5 business days).
 - b. Employee reviews Security and Use Standard online and acknowledges their review, understanding and acceptance of security and use standards. Their acknowledgement is digitally captured.
 - c. Employee notified as timeframe for completing training approaches. Notification escalates through management as due date approaches.
 - d. If Security Training not completed, employee access is disabled.
 - e. Once Security Training completed, provisioning of additional accesses (Internet, FDOT specific applications) will continue.
- E. Full Provisioning (Granting Access) for New Employees/Consultants**
 - a. Security Training and Confirmation of Security and Use completed.
 - b. Remaining Access established for user using automated provisioning where available to key systems. Automated provisioning will be available for the department's two key systems (RACF and AD).
 - c. Remaining Access for systems not included in automated provisioning completed manually.
- F. Modify Access for Existing Employee/Consultant** – Requests to remove or add additional access can be processed once the initial userid is created.
 - a. Requestor submits request for additional, or modified, access.
 - b. Supervisor and Cost Center Manager approve request.
 - c. Application System Administrator approves request.
 - d. Request completed through automated provisioning where available, otherwise Application System Administrator implement changes manually.
- G. Terminate Access for Existing Employee/Consultant**
 - a. Departmental system/PeopleFirst generates notification of terminated employee.
 - b. Supervisor confirms termination.
 - c. Accesses removed with automated provisioning where applicable.
 - d. Accesses removed manually where automated provisioning not available.
- H. Terminate Access for Existing Employee/Consultant (Emergency)**
 - a. Requestor submits request in IAM to terminate part/or all access immediately.
 - b. Supervisor and Cost Center Manager approve termination request.
 - c. Request routed to System Administrator(s) of all affected systems to remove access.
 - d. Access removed.
- I. Employee Changes Position**
 - a. PeopleFirst generates notification on a position change for employee.
 - b. HR or Manager confirms position change is valid.
 - c. Previous employee accesses that are prohibited based on roles/system rules are disabled automatically. Affected System Administrators are notified for systems where automated provisioning is not available.
 - d. Manager must review all remaining accesses. Manager either confirms or removes each one.
 - e. System Administrators for remaining accesses are notified of the employee position change. They may also submit a request to remove access as they see necessary.
- J. Annual Recertification** – On a yearly basis the access record of each employee/consultant must be reviewed and confirmed. Unneeded and missing access should be updated.
 - a. Recertification is initiated by IAM System Administrators.
 - b. All users asked to review their access and suggest needed changes.
 - c. Managers review and confirm the access records for all employees/consultants.
 - d. Managers review records and needed changes.
 - e. Supervisor and Cost Center Manager approve request.
 - f. Request for additional/removed access routed to Application System Administrator to confirm. Automated provisioning completes change where applicable. Application System Administrators complete non-automated changes.
- K. System Recertification**
 - a. Recertification is initiated by an IAM System Administrator or Application System Administrator.

- b. Notification sent to all users with users with system access requesting they review their access and confirm if they feel their access is still needed and access and confirm they still need access and it is the appropriate level.
- c. Manager confirms the access for their employee is needed and appropriate.

L. Risk-Based Recertification

- a. IAM System identifies users with high-risk accesses.
- b. IAM System Administrator initiate a recertification of all accesses for specific user(s).
- c. All users asked to review their access and suggest needed changes.
- d. Managers review and confirm the access records for all employees/consultants.
- e. Managers review records and needed changes.
- f. Supervisor and Cost Center Manager approve request.
- g. Request for additional/removed access routed to Application System Administrator to confirm. Automated provisioning completes change where applicable. Application System Administrators complete non-automated changes.

M. Access Reconciliation

- a. IAM monitors systems which it provisions automatically for accesses that were created directly (not created by IAM).
- b. IAM confirms these accesses have a matching access record for the user.
- c. If record does not exist, provisional access request is started.
- d. Application System Administrator notified. Administrator may revoke access or confirm it to continue.
- e. If approved, access goes through regular approval of Manager and Cost Center.

N. Document FLAIR Access Requests

- a. FDOT Employee requests access to FLAIR in IAM system.
- b. Request routed to staff in Comptroller’s Office for review and approval. Required paperwork completed for FLAIR request.
- c. Request approved by FDOT Comptroller’s
- d. Email generated to FLAIR System Administrators with required information.
- e. FLAIR System Administrators confirm access is approved and id is established. Electronic confirmation updates department’s IAM system.

O. Business Solution Alternatives

There are several viable Identity Governance and Access Management solutions in the current market. Research shows thirteen vendors in Gartner’s Magic Quadrant for Identify Governance Administration vendors (published February 22, 2017). Preliminary research for the top four vendors shows they have functionality in line with the department’s business needs.

P. Rationale for Selection

Detailed requirements for selecting the final product have not been established.

Q. Recommended Business Solution

The recommended business solution has not been selected. It is anticipated that the solution will be a custom-off-the-shelf product, or software as a service.

L. Functional and Technical Requirements

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

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

III. Success Criteria

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

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/ assessed?	Who benefits?	Realization Date (MM/YY)
1.	Implementation of an Identity Access Management infrastructure that serves as a single, centrally-managed process for provisioning of access to all IT assets.	Percentage of systems that can be systematically provisioned using the IAM solution.	FDOT	06/2020 or 1 month after full implementation
2.	Ability to fulfill audit requirements to track, report and validate individual access.	Ability to answer audit-related questions using functionality within the IAM system.	FDOT	06/2020 or 1 month after full implementation
3.	Ability to systematically re-validate (recertify) accesses on annual/periodic basis.	Reduction in time to implement and report on annual recertification.	OIT	06/2020 or 1 month after full implementation
4.	Ability to systematically recertify using a variety of factors, (users of a certain system, users from a certain office, users at higher risk, etc.)	The ability to process more than 1 recertification per year.	OIT	06/2020 or 1 month after full implementation
5.	Enforcement of access management policy through the IAM.	Number of access management policies that can be implemented systematically.	FDOT	06/2020 or 1 month after full implementation
6.	Ability to implement a provisioning process that addresses all user populations (employees, consultants, external partners)	Percentage of user types that can be provisioned through the system.	FDOT	06/2020 or 1 month after full implementation
7.	Ability to implement a provisioning process that addresses all platforms in the IT inventory.	Percentage of platforms that can be provisioned through the system.	FDOT	06/2020 or 1 month after full implementation

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/ assessed?	Who benefits?	Realization Date (MM/YY)
8.	Ability to implement a provisioning process that addresses all access use cases (internal, external, wired, wireless, remote and federated).	Percentage of access use cases that can be provisioned through the system.	FDOT	06/2020 or 1 month after full implementation
9.	Ability to implement a provisioning process that addresses personnel status changes (position changes, leave of absence, termination)	Number of personnel changes that can be systematically identified and addressed through the system.	FDOT	06/2020 or 1 month after full implementation
10.	Ability to enforce enterprise and organization-specific access management policy through use of provisioning process to track, report, and validate individual user access requirements and assignments.	Number of enterprise and organization specific access management policies that can be implemented systematically.	FDOT	06/2020 or 1 month after full implementation
11.	Strengthen enforcement of access management policy through regular and periodic recertification of individual user access requirements and assignments.	Ability to implement individual and user access requirement recertification.	FDOT	06/2020 or 1 month after full implementation
12.	Ability to enforce access management policies, and validate processes and integrity of identity data through a program of regular and periodic review, maintenance, update and audit.		FDOT	06/2020 or 1 month after full implementation
13.	Ability to provide staff and consultants of FDOT with a single userid throughout their time at FDOT.	Ability to implement an IAM system that maintains a single userid.	FDOT	06/2020 or 1 month after full implementation

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

A. Benefits Realization Table –*Purpose: To calculate and declare the tangible benefits compared to the total investment of resources needed to support the proposed IT project.*

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be

measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1.	Reduce time to provision and deprovision user accounts.	New Employees	New Employees have access to FDOT IT resources more quickly.	Ability to provide new users with basic access on their 1 st day at work.	06/2020 or 1 month after full implementation
		FDOT Security Access Staff	Automated provisioning provides new users with of common accesses (such as Intranet and Email).	Ability to provide new users with basic access on their 1 st day at work.	06/2020 or 1 month after full implementation
		FDOT Security Access Staff, Information Security	Quicker and cleaner removal of accesses.	Ability to see in a single system that all accesses have been removed.	
2.	Employees transitioning to different positions have a seamless transition while maintaining/removing appropriate levels of access security.	Current Employees and Consultants	Current Employees and Consultants do not have to get new userid when transitioning.	Reduction in time for FDOT Security for transitioning employees. Improved security for transitioning employees.	06/2020 or 1 month after full implementation
3.	Centralized view of access privileges for all technology assets	FDOT Security Compliance Officers Managers	Quicker validation during recertification process	Ability to see access assigned to userid	06/2020 or 1 month after full implementation

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
4.	Shared Accountability of Office Management through the creation of role-based access.	FDOT Information Security	Planning for IAM requires review of standard accesses and roles for each office.	Ability to identify standard roles and accesses. Reduction in isolated privileges that may not be appropriate based on role.	06/2020 or 1 month after full implementation
5.	Reduction in Data Entry Error	FDOT Information Security, IAM System Administrators, Security Coordinators	Improved data reliability and accuracy on record creation. Improved accuracy during recertification.	Through ability to pull information from enterprise data sources.	06/2020 or 1 month after full implementation
6.	Multi-Factor Authentication	FDOT Information Security	Improved security.	Ability to implement MFA for a broad range of users.	06/2020 or 1 month after full implementation
		FDOT Employees	Ability to implement flexible and mobile work environment that is secure.	Ability to support a more mobile work environment.	06/2020 or 1 month after full implementation
		FDOT Information Security Manager	Improved defense against malicious social engineering attacks.	Reduction in security incidents and breaches.	06/2020 or 1 month after full implementation
7.	Automated Recertification	FDOT Information Security, Business Managers, Enterprise Security Coordinators	Elimination of redundancy, and reduction in manual process to initiate annual recertification.	Preparation time required to implement annual recertification.	06/2020 or 1 month after full implementation

Benefits Realization Table					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
		FDOT Information Security, Business Managers, Enterprise Security Coordinators	More granular rules for recertification (ex: do not recertify is hired in less than 1 year).	Improved reporting. Reduction of time for Business Managers in completing recertification.	06/2020 or 1 month after full implementation
8.	Business Process Improvement	FDOT OIT Management	Ability to better measure response times, metrics and performance.	Improved Security Maturity level.	06/2020 or 1 month after full implementation
9.	Increased Compliance with Florida Administrative Code 74-2, Florida Cybersecurity Standards.	FDOT Information Security Manager	Implementation of standardized identity access management processes	Improved Security Maturity level.	06/2020 or 1 month after full implementation
10.	Increased Compliance with Florida Administrative Code 74-5, Identity Access Management	FDOT Information Security Manager	Standardized credentials and authorization methods. Better interoperability with outside entities.	Ability to accept and interact with external users as a trusted party.	06/2020 or 1 month after full implementation

B. Cost Benefit Analysis (CBA)

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

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

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.

Cost Benefit Analysis	
Form	Description of Data Captured
	Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.
CBA Form 2 - Project Cost Analysis	Baseline Project Budget: Estimated project costs. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants. Characterization of Project Cost Estimate.
CBA Form 3 - Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

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

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

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B. The Project Risk Summary calculated with the Risk Assessment Tool is below. A formal project team has not been formed, as the project is currently pursuing funding. This fact increases the risk that is reflected below. Once project funding is confirmed, a Project Team will be formed, which follows the standard project management processes reflected in 74-1 F.A.C.

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

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System –

There are disparate systems addressing identity and access management, provisioning and governance. The various systems, and their lack of integration and automation, has the potential to lead to decreased security in an area that should be tightly integrated and controlled.

Identity Management within the current environment is used to control IT and information resources. RACF is the legacy security system controlling mainframe resources and is identified as the system of record. RACF uses a custom application for directory services to manage user access and file system components. Active Directory (AD) is a Microsoft operating system used to store network and user information and allows administrators to setup security to control access to connected devices, files, accounts, and systems.

Access Management, which includes the approvals to grant access to users to the various systems, is managed through the internally-developed Automated Access Request Form (AARF) system. This system depends on manual intervention, rather than triggers from enterprise systems, to request new, changed or terminated accesses. Approvals are requested and documented in the system, however approved access requests must then be manually implemented.

Provisioning is done manually, using the tools available within RACF and Active Directory. Common provisioning groups (i.e. role-based provisioning) have not been developed therefore, there are no repeatable steps that can be automated by staff.

Governance is managed through reporting available in AARF, along with reporting tools from Active Directory and SharePoint. There is no single reporting/governance source that can report on all accesses for a user.

AD and RACF systems are not capable of enforcing the same password requirements. AD is configured to use Microsoft's standard complexity requirements and RACF, IBM's add-on software product provides basic security for the mainframe system.

a. Description of Current System –

The current systems are decentralized and owned by different entities responsible for enforcing security methods and practices specific to its use, creating distributed security measures across the technology environment. Identity and access management provisioning is performed manually by administrators across the state and in different business units. There is no connection with HR to initiate the onboarding provisioning process. Provisioning is initiated through an Automated Access Request Form (AARF) submitted by a manager or business unit coordinator. AARF is a custom application for requesting and approving access to enterprise systems. Access to shadow systems may not be tracked in AARF. Data and file collaboration becomes complicated when defining the appropriate access privileges to ensure systems work together regulating inputs and outputs. Access control is managed in several areas with various methods of management and oversight. In addition, manual provisioning results in inconsistent access controls and requirements.

b. Current System Resource Requirements

The systems comprising the access control processes are housed on mainframe and windows server environments. Keeping track of everything within the computing environment involves many manual and time-consuming tasks performed by many to efficiently stay secure. There are security administrators spread across the state to maintain and process technology access requests. In addition to the security coordinators, there are business coordinators and application owners. The business coordinators ensure requests are submitted for the appropriate needs to complete functions within their respective work units. The application owners grant or deny access to specific systems within their area of control.

Mainframe system - centralized repository for user ids and access control to applications housed on this system.

The mainframe is considered the 'system of record' because computing began on this platform over 30 years ago. Userids are maintained on this platform whether access is needed or not.

Windows Servers - a group of computing devices used to house software operating systems designed by Microsoft that supports enterprise-level management, data storage, applications, and communications.

Software application and tools (RACF, Active Directory) -

- **RACF** - provides the tools to manage user access to critical resources. RACF is an add-on software product that provides basic security for a mainframe system. As defined by IBM documentation, RACF protects resources by granting access only to authorized users of the protected resources. RACF retains information about users, resources, and access authorities in special structures called **profiles** in its database, and it refers to these profiles when deciding which users should be permitted access to protected system resources. RACF provides the ability to:
 - Identify and authenticate users
 - Authorize users to access protected resources
 - Log and report various attempts of unauthorized access to protected resources
 - Control the means of access to resources
 - Allow applications to use the RACF macros
 - RACF uses a user ID and a system-encrypted password to perform its user identification and verification.
- **Active Directory (AD)** - is similar to a phone book in several ways, and it is far more flexible. Active Directory stores information about an organization, sites, systems, users, files, and just about any other network object that is part of the computing environment. An object is any user, system, resource, or service tracked within Active Directory. Administrators must be able to protect their directory from attackers and users., while delegating tasks to other administrators to allow the appropriate access. This is all possible using the Active Directory security model, which associates an access control list (ACL) with each object and attribute within the directory. Active Directory provides a single source to locate any object within the computing environment called a global catalog. The global catalog is a service that allows users to find any object to which they have been granted access.

System administrators - are charged with installing, supporting, maintaining servers and access control, and planning for and responding to service outages and other problems involving the computing environment.

Local area network (LAN) administrators - The **LAN administrator** is responsible for maintaining the computing environment (district or work unit level devices and resources). network. The local area network connects computers and other equipment that shares a common communications line, files, or network server.

Enterprise security coordinators - central contact for local security coordinators to provide support and is responsible for authorizing access to global or elevated resources for data and equipment.

Security coordinators - is responsible for responding to requests for security access to different resources within their site locations.

Cost Center Managers – responsible for approving requested access for FTEs and consultants within the respective business unit to perform work.

End-user – term used to generalize multiple user types (such as FTE, staff, consultant, staff augmentation) acting as the recipient of the granted access to computing resources used to perform work functions.

Application Owner - individual or group responsible for deciding the business needs of their application and to ensure that a program or programs, which make up the application, accomplish the specified objective or set of user requirements established for that application, including appropriate security safeguards.

c. Current System Performance

The current system performance is difficult to gauge because most functions are manual which require more administration. It can take up to seven days to create a unique userid with approved access to multiple systems or applications. The administrators are dependent upon the business unit to submit requests for access. If this process is delayed, it prolongs the onboarding process. Paperwork should be filed with signature acknowledgement for

technology usage and training must be complete before processing is completed. System auditing requires manual work gathering the requested information from several access locations. Administrators are not familiar with all security access points and usage patterns are difficult to pinpoint for subsequent action or deter adverse behavior on the system.

Typical Monthly Processing in AARF						
New User	Access Change	Name Change	Transfer	Termination	Cross District Access	Total Requests
55	193	8	15	39	3	313

2. Information Technology Standards -

The information technology standards comply with Rules 74-2.001 through 74-2.006, F.A.C., known as the Florida Cybersecurity Standards (FCS) to establish security governance over (IT) resources to manage and secure access to the computing environment. The IAM services will incorporate the Identity Management rule 74-5.001 - 74-5.003, F.A.C., to ensure that Identity Management Services provide secure, reliable and interoperable mechanisms for authenticating the identity of devices, application services, and Users that consume state information and application resources

B. Current Hardware and/or Software Inventory

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

C. Proposed Technical Solution

1. Technical Solution Alternatives

Technical solutions in the current market place include: on-premise hosted custom-of-the-shelf software, vendor-hosted software as a service, or a hybrid implementation.

2. Rationale for Selection

Specific selection criteria have not been identified. A custom-off-the-shelf implementation, hosted as software-as-a-service is preferred as it provide more flexibility and the ability to quickly adjust to new security standards. Regular maintenance and upgrades provided by the vendor, rather than through in-house resources, allows FDOT to quickly benefit from improvements to this important system. This allows staff to focus on department-specific security needs rather than developing systems that are available as commodities on the open market.

3. Recommended Technical Solution

A recommended technical solution is not available at this time.

D. Proposed Solution Description

1. Summary Description of Proposed System

The system is expected to be a custom-off-the-shelf solution, provided by an enterprise level vendor. The solution may include a hybrid of on-premise software to address legacy systems, and software-as-a-service to address more current offerings.

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

It is anticipated that we would maintain the same types of resources as currently established, however they would spend less time in day-to-day support.

E. Capacity Planning

(historical and current trends versus projected requirements)

Capacity planning has not been addressed. It is expected that capacity needs will increase as additional systems can be addressed by this enterprise level IAM.

VII. Schedule IV-B Project Management Planning

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

FDOT follows the project management practices supported by the Project Management Institute's Project Management Book of Knowledge (PMBOK). Staff have been assigned to complete preliminary research and support of the Legislative Budget Request process. This group currently includes a PMP-certified Project Manager. Once project funding is confirmed, a full team, and the all required project management documentation will be completed. The following sections represent the Project Management information that is currently known or typical of a project managed by FDOT.

Project Phasing Plan

This project is planned to span two fiscal years. The project will be managed by a project team that will execute the plan when it is fully realized. The project will follow the Project Management Rule 74-1 F.A.C.

Detailed phases will be developed when the project is formalized. Projected activities are included in the Baseline Schedule.

Baseline Schedule

Task	Status	Planned Start	Planned Stop
Obtain Funding	In Progress	6/2017	6/2018
Project Gate: Funding Approved?	Pending	6/2018	6/2018
Project Planning/Formalization	Pending Funding	7/2018	7/2018
Study (Requirements, Market Scan, Product Selection)	Pending Funding	8/2018	12/2018
Procurement Activities (Solution, Implementation Services)	Pending Funding	1/2019	2/2019
Establish Environment	Pending Funding	2/2019	3/2019
Product Configuration	Pending Funding	3/2019	5/2019

Task	Status	Planned Start	Planned Stop
Use Case Testing	Pending Funding	5/2019	7/2019
Implementation	Pending Funding	7/2019	12/2019

Note: This chart will be completed when the funding has been received and the project manager is assigned.

Project Organization and Governance

This subsection describes the proposed project organization and governance. The project governance structure consists of the following standard elements. As the project is formalized, adjustments may be made.

- **Information Resource Management Leadership Team:** provides direction and prioritization for information technology resources and projects estimated at over 1,500 hours of effort. The group usually consists of the department's Assistant Secretaries and the Chief Information Officer (CIO).
- **Office of Inspector General:** serves as a central point for coordination of and responsibility for activities that promote accountability, integrity and efficiency in the department. Conducts audits, investigation and management review relating to the programs and operation of the agency.
- **Management Stakeholder Workgroup:** The Management Stakeholder Workgroup provides functional management oversight for the application projects.
- **Executive Sponsor:** The Executive Sponsor is a chairperson of the subject business process improvement, analysis, and design efforts. The Executive Sponsor acts as a visionary and motivator and instills the project with a purpose and a sense of mission. The Executive Sponsor introduces the project within the organization and demonstrates commitment to its success.
- **Project Sponsors:** Ensure that security controls related to access and integrity of the application and data are in place. Ensure that the needed resources from the Functional Office are available to serve in various roles throughout the application's life cycle.
- **Internal Stakeholders:** Functional areas and Directors that are affected by the project. It is critical that Internal Stakeholders are kept aware of the project; and are involved (provide staff) in discussions regarding their functional area at the appropriate time in the project.
- **Functional Coordinators:** Serve as a dedicated resource from the Functional Office assigned to serve as liaison between the Office of Information Technology and the Functional Office. The role of the Functional Coordinator will exist beyond the project, throughout the life of an application. The Functional Coordinator may act as an agent for the Project Sponsor.
- **Functional Stakeholders:** Provide functional management oversight of the application project for which they have been delegated responsibility. Provide direction to the Project Team in regard to project strategy and planning.
- **Portfolio Manager:** The Portfolio Manager provides leadership and facilitation to the Program and Project Managers of Information Technology projects taken on by the Office of Information Technology. The Portfolio Manager ensures proper methodology support is provided for projects.
- **Project Manager:** The Project Manager is accountable for maintaining project scope, cost, and schedule in accordance with the baselines established in the Project Plan. The Project Manager plans, assigns, and oversees the deliverables provided by team members.
- **Contract Manager:** a department employee responsible for enforcing performance of the contract terms and conditions, serving as liaison with the vendor and ensuring that the contractual terms have been complied with prior to processing the invoice for payment.
- **Change Control Team (CCT):** responsible for reviewing and determining the outcome of all change requests submitted to the project during the project life cycle. The CCT will meet as often as necessary, as changes are introduced throughout the project, to discuss potential impacts or changes to the scope, schedule or budget. If the CCT approves a change, the CCT must then seek authorization from the Executive Sponsor, Project Sponsor, Application Services Portfolio Manager, or combination of those stakeholders, depending on the type of impact the change will have on the project.
- **Project Risk Review Team:** prioritizes and ranks all risks identified for project, and agree on a risk response strategy for each identified risk.

Quality Assurance Plan

FDOT follows standard practice project management principles to reduce project incurred risks, ensure compliance with stated quality standards and keep the project on track. This subsection describes several of FDOT's quality assurance plans including:

- Communication Plan
- Deliverables Review and Acceptance
- Issue Management
- Risk Management
- Scope Change Management

Communication Plan

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

Item	Purpose	Frequency	Audience
Functional Steering Committee Meeting	Provide updates on project activities, issue and deadlines	Monthly	Functional Steering Committee
Project Status Report	Provide update on project activities, issues and deadlines	Monthly	All Project Team Members
AST Project Status Report	Status Report as required by 74-1 F.A.C.	Monthly	AST
Legislative Status Report	Provide update on project activities for all projects funded by a Budget Request	Monthly	Legislative Members and Staff
Executive Status Report and Review Meeting	Monthly review of the project status and schedule with the Information Resource Management Leadership Team	Monthly	Information Resource Management Leadership Team, Executive Sponsor, Project Sponsor, CIO, Application Services Portfolio Manager
Functional Group Status Presentations	Provide project status updates to existing functional teams that are affected by the project. Management Stakeholders will request time on the agenda of these existing meeting to provide status and answer questions	As Needed	Statewide Teams that are affected by project.

Deliverables Review and Acceptance

All deliverables are reviewed by appropriately appointed staff. Standard review teams will be established, by technology or business area, to provide a consistent review base. Project schedules must be established to provide time for deliverables review, feedback and secondary review.

Issue Management

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

The Project Issue Management Process will be documented in the Issue Management section of the Project Management Plan. This plan will address:

- What constitutes an issue
- Who can create or update issues
- How will issues be reported
- Where will issues be documented and tracked
- Who will receive/review the issues
- How/When will issues be reviewed
- How will issues be resolved
- How and when will unaddressed issues be escalated
- How will information be communicated

All Project Issues will be documented in the change control log and will be available and reviewable by all project members.

The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Issue Management Process.

Weekly Status Reports will track and provide status for all open project issues.

Change Management

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

- The Project Change Control Process will be documented in the Change Management section of the Project Management Plan.
- Any proposed changes will be documented using a change control form and tracked through the change control log.
- The change control log and form will be available and reviewable by all project members.
- The CCT will meet as often as necessary to ensure changes are dealt with in a timely manner.
- The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Change Management Process.
- Changes that are approved by the CCT will seek final approval from the appropriate staff and stakeholders.
- Monthly Status Reports will track and provide status for all open change requests.

Security Plan

The objectives of the Security Plan are to:

- Ensure confidentiality, integrity, and availability of the system data
- Identify confidential or sensitive information in the system
- Define system security methods, requirements and procedures
- Promote consistency and uniformity in the system's security practices

The following sections are outlined in the document to address risk management and reduce exposure to the department by identifying controls to offset threats and protect the department's resources.

1. Risk Analysis (Authentication/ Data and System Integrity/ Confidential Information)
2. Federal Information Processing Standards (FIPS) 199 Potential Impact Categorization
3. Critical Resources
4. Roles and Responsibilities
5. FDOT Policies and Procedure

Risk Management

A key focus of risk management is to anticipate, identify and address events or occurrences that left unabated could negatively impact a project's success. Risk Management Plans define work products and processes for assessing and

controlling risks. The process of Risk Management has two parts: risk assessment, which involves identifying, classifying, analyzing and prioritizing risk; and risk monitoring and control, which involves planning, tracking and reporting, reducing and resolving risk.

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

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

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization	Inconsistent processes and standards across FDOT business units could impact drive to standardize business processes	Establish organizational change management program Engage stakeholders from various agencies in defining process changes
Change Management, Technology	Perception by various FDOT business units about apparent loss of tailored functionality	Encourage early involvement by key business units Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution Ensure consistent and ongoing senior management support
Project Organization	Changes in FDOT executive management can impact program execution	Immediately brief new management on program objectives and status Implement Steering Committee to manage program with a mix of executive-level policymakers and senior-level career staff Engage continuing Steering Committee members to assist in presenting program benefits to new management team members Include career staff in key roles responsible for managing program execution for continuity

Inventory of Potential Risks and Response Strategies

Risk Type	Risk Description	Risk Response Strategy and Notes
Fiscal	Delay in obtaining funding for all or part of proposed program effort from the legislature	<p>Actively engage with stakeholders and policymakers to obtain approval for change in scope based on funding</p> <p>Revisit budgets regularly; economic factors should be on agenda for discussion at Steering Committee meetings and other executive management briefings where appropriate</p> <p>Adjust program schedule as necessary based on timing of funding</p> <p>Identify activities that could continue in the interim (process analysis, etc.) to maintain momentum</p>
Fiscal	Less funding than requested is approved for the program effort	<p>Actively engage with stakeholders and policymakers to obtain approval</p> <p>Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate</p> <p>Adjust scope and/or program schedule as necessary based on timing of funding</p>
Project Complexity	Challenges in aligning project schedule with current hosting services or the vendor's hosting solution	Initiate early discussions with the current hosting provider and/or the vendor hosting team and continue dialogue throughout planning process
Communication	Project delays not resolved in a timely manner	<p>Initiate early discussions</p> <p>Monitor and track resolution</p> <p>Ensure management understands required timeline for resolution and cost/schedule impact of not resolving</p>
Strategic	Desired business benefits not achieved	<p>Adhere to requirements, involve stakeholders and tie scope decisions to performance measures and anticipated benefits to ensure success</p> <p>Incorporate business process training and mentoring into the work plan</p>

Inventory of Potential Risks and Response Strategies

Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization	Staff not being able to participate when needed or review deliverables within schedule	<p>Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time</p> <p>Proactively identify resource constraints and escalate in a timely manor</p> <p>Re-assign some responsibilities of key extended team members</p> <p>Reprioritize some activities assigned to extended team members</p>
Project Complexity	Project scope too large or complex and/or implementation strategy attempts to implement too much at one time	<p>Establish implementation plan, carefully develop the plan and link it to expected business benefits</p> <p>Link project scope to business benefits</p> <p>Careful review by FDOT Steering Committee of requirements and implementation plan before approving implementation go-ahead</p> <p>Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes</p>
Project Organization, Project Management	Availability of FDOT resources (business and technical) to support implementation	<p>Develop detailed estimates of resource requirements as early as possible as part of planning</p> <p>Develop an implementation strategy and work plan that is in sync with availability of FDOT resources</p> <p>Obtain specific commitment of resources from FDOT management prior to start of implementation</p>
Project Complexity, Project Management	Need to provide large number of employees with training on various new application functions	<p>Initiate organizational change management program from start of program</p> <p>Develop training strategy for each project component early and monitor status of training effort closely</p>

Implementation Plan

The Implementation Phase will be defined as the project progresses.

Project Staffing and Continuity

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

VIII. Appendices

Appendix A – Cost Benefit Analysis

Appendix B - Project Risk Assessment

CBAForm 1 - Net Tangible Benefits

Agency Transportation Project Identity Access Management

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A.b Total Staff	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A-1.b. State FTEs (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A-3.b. Staff Augmentation (# of Contractors)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
B. Application Maintenance Costs	\$0	\$0	\$0	\$0	\$112,500	\$112,500	\$0	\$112,500	\$112,500	\$0	\$112,500	\$112,500	\$0	\$112,500	
B-1. Managed Services (Staffing)	\$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	
B-3. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
B-4. Other <i>Yearly Maintenance</i>	\$0	\$0	\$0	\$0	\$112,500	\$112,500	\$0	\$112,500	\$112,500	\$0	\$112,500	\$112,500	\$0	\$112,500	
C. Data Center Provider Costs	\$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	
C-2. Infrastructure	\$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	
C-4. Disaster Recovery	\$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	
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E. Other Costs	\$28,000	\$0	\$28,000	\$28,000	\$0	\$28,000	\$28,000	-\$28,000	\$0	\$0	\$0	\$0	\$0	\$0	
E-1. Training	\$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	
E-3. Other <i>Hitachi Password Manager</i>	\$28,000	\$0	\$28,000	\$28,000	\$0	\$28,000	\$28,000	-\$28,000	\$0	\$0	\$0	\$0	\$0	\$0	
Total of Recurring Operational Costs	\$28,000	\$0	\$28,000	\$28,000	\$112,500	\$140,500	\$28,000	\$84,500	\$112,500	\$0	\$112,500	\$112,500	\$0	\$112,500	
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			(\$112,500)			(\$84,500)			(\$112,500)			(\$112,500)	

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	

Transportation

Identity Access Management

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.

CBA Form 2A Baseline Project Budget

			CBA Form 2A Baseline Project Budget																
			FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL	
			\$ -	\$ 1,000,000		\$ 500,000		\$ -			\$ -			\$ -			\$ 1,500,000		
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 Base Budget			YR 2 Base Budget			YR 3 Base Budget			YR 4 Base Budget			YR 5 Base Budget			TOTAL
				YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Project Manager and Business Analyst	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Project Implementation Services	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ 300,000	\$ -	0.00	\$ 500,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 800,000
Study/Requirements/Product Selection	Project Planning/Analysis	Contracted Services	\$ -		\$ 250,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 250,000
Hardware purchases not included in data center services.	Hardware	OCO	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -		\$ 350,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 350,000
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -		\$ 100,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ 100,000
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -
Total			\$ -	0.00	\$ 1,000,000	\$ -	0.00	\$ 500,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 1,500,000

CBAForm 2 - Project Cost Analysis

Agency	<u>Transportation</u>	Project		<u>Identity Access Management</u>
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<i>PROJECT COST SUMMARY</i>	<i>PROJECT COST SUMMARY (from CBAForm 2A)</i>					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$1,000,000	\$500,000	\$0	\$0	\$0	\$1,500,000
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$1,000,000	\$1,500,000	\$1,500,000	\$1,500,000	\$1,500,000	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

<i>PROJECT FUNDING SOURCES</i>	<i>PROJECT FUNDING SOURCES - CBAForm 2B</i>					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	\$1,404,964	\$904,964	\$0	\$0	\$0	\$2,309,928
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$1,404,964	\$904,964	\$0	\$0	\$0	\$2,309,928
CUMULATIVE INVESTMENT	\$1,404,964	\$2,309,928	\$2,309,928	\$2,309,928	\$2,309,928	

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

CBAForm 3 - Project Investment Summary

Agency	<u>Transportation</u>	Project	<u>Identity Access Manager</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	\$1,000,000	\$500,000	\$0	\$0	\$0	\$1,500,000
Net Tangible Benefits	\$0	(\$112,500)	(\$84,500)	(\$112,500)	(\$112,500)	(\$422,000)
Return on Investment	(\$1,000,000)	(\$612,500)	(\$84,500)	(\$112,500)	(\$112,500)	(\$1,922,000)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$1,829,573)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

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

	B	C	D	E	F	G	H	
3	Project		<i>Identity Access Management</i>					
4								
5	Agency		<i>Transportation</i>					
6	FY 2018-19 LBR Issue Code:			FY 2018-19 LBR Issue Title:				
7	<i>36238C0</i>			<i>Secure Access Management</i>				
8	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):							
9	<i>Stephanie Tanner (850)-414-4011 stephanie.tanner@dot.state.fl.us</i>							
10	Executive Sponsor		<i>April Blackburn, Chief of Transportation Technology</i>					
11	Project Manager		<i>Stephanie Tanner</i>					
12	Prepared By		<i>Stephanie Tanner</i>			<i>8/18/2017</i>		
14	Risk Assessment Summary							
15								
16	Business Strategy	Level of Project Risk						
17								
18								
19								
20								
21								
22								
23								
24								
25								
26								
27								
28								
29								
30								
31								
32								
34	Project Risk Area Breakdown							
35	Risk Assessment Areas						<i>Risk Exposure</i>	
36	Strategic Assessment						HIGH	
37								
38	Technology Exposure Assessment						HIGH	
39								
40	Organizational Change Management Assessment						MEDIUM	
41								
42	Communication Assessment						HIGH	
43								
44	Fiscal Assessment						HIGH	
45								
46	Project Organization Assessment						HIGH	
47								
48	Project Management Assessment						HIGH	
49								
50	Project Complexity Assessment						HIGH	
51								
52								
53	Overall Project Risk						HIGH	

	B	C	D	E
1	Agency: Transportation		Project: Identity Access Management	
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	41% to 80% -- Some 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	Not documented or agreed to 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	Not or rarely involved
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	0% to 40% -- Few or none defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes unknown
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	Single agency-wide use or visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 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: Transportation		Project: Identity Access Management	
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 for implementation and operations
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	No technology alternatives researched
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	No relevant standards have been identified or incorporated into proposed technology
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	Complete infrastructure replacement
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 not understood or defined
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: Transportation		Project: Identity Access Management	
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Moderate changes to organization structure, staff or business processes
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	No
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	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	Less than 1% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	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 similar 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	Negligible or no 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	No
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	No
21			No	

	B	C	D	E
1	Agency: Transportation		Project: Identity Access Management	
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	Between \$500K and \$1,999,999
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%)	Order of magnitude – estimate could vary between 10-100%
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	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	Some project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Procurement strategy has not been identified and documented
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	Timing of major hardware and software purchases has not yet been determined
45			Purchase all hardware 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	No contract manager assigned
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	No selection criteria or outcomes have been identified
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	Procurement strategy has not been developed
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	Not applicable
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: Transportation		Project: Identity Access Management	
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	None or few have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Needed staff and skills have not 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	No experienced project manager assigned
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	None
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	No board has been established
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: Transportation		Project: Identity Access Management	
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	None or few 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 (checkpoints), critical milestones, and resources?	Yes	No
35			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	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	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	None or few 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	No
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	No
50			No	

	B	C	D	E
1	Agency: Transportation		Project: Identity Access Management	
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	More 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	More than 3 sites
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	5 to 8
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	Implementation requiring software development or purchasing commercial off the shelf (COTS) software
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	No recent experience
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	Greater size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

SCHEDULE IV-B FOR MAINFRAME TO CLOUD PROJECT

For Fiscal Year 2018-19




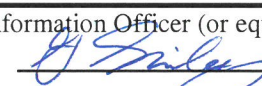
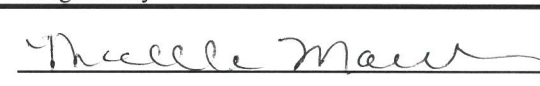
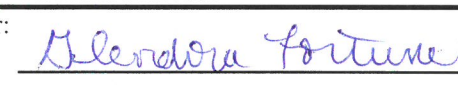

September 15, 2017

FLORIDA DEPARTMENT OF TRANSPORTATION

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Transportation	Schedule IV-B Submission Date: September 15, 2017
Project Name: Migration to Cloud	Is this project included in the Agency's LRPP? _____ Yes _____ No
FY 2018-19 LBR Issue Code: 36225C0	FY 2018-19 LBR Issue Title: Migration to cloud
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Greg Smiley, 414-4470, Greg.Smiley @ dot.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 14 SEP 17
Printed Name: Michael Dew	
Agency Chief Information Officer (or equivalent): 	Date: 9/13/2017
Printed Name: Greg Smiley	
Budget Officer: 	Date: 9-13-17
Printed Name: Mechelle Marcum	
Planning Officer: 	Date: 9/13/2017
Printed Name: Glendora Fortune	
Project Sponsor: 	Date: 9/13/2017
Printed Name: Greg Smiley	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Greg Smiley, 414-4771, Greg.Smiley@dot.state.fl.us
Cost Benefit Analysis:	Thomas Montalbano, 410-5528, Thomas.Montalbano@dot.state.fl.us
Risk Analysis:	Thomas Montalbano, 410-5528, Thomas.Montalbano@dot.state.fl.us
Technology Planning:	Michael McBride, 410-5483, Michael.McBride@dot.state.fl.us
Project Planning:	Sylvia McLeod, 410-5550, Sylvia.McLeod@dot.state.fl.us

General Guidelines

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

Schedule IV-B is not required for requests to:

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

Documentation Requirements

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

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

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

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

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

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

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

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

A. Background and Strategic Needs Assessment

1. Business Need

The Florida Department of Transportation (FDOT) is requesting to procure a Cloud mainframe environment to house FDOT's mission critical core applications currently housed on the Agency for State Technology (AST) mainframe. Cloud services are not available through the current mainframe provider. The request includes purchasing of management services such as hosting, staffing and shifting/transferring to the Cloud. This is the next step in the department's goal to move the data and applications to a more secure and robust Cloud environment. The first step in the process was in FY 2017-18 with the approval of the Enterprise Service Bus, which is a subscription-based mechanism used to facilitate the transfer of business applications and data across platforms in a consistent and compatible manner, and is required to ensure business applications maintain their functionality while moving to the Cloud environment. There may be a potential for increased costs related to the current provider due to timing of when FDOT can leave the mainframe and the time the current two-year contract expires. Those costs are estimated at \$6 million. Although the costs are high and must be tied into the ROI, the shift to the Cloud is more key to the integrated nature of FDOT's business.

Currently, FDOT utilizes the mainframe in a highly integrated enterprise environment. FDOT's current strategic direction is to have its new applications move away from a dependency on the mainframe. This allows for application modernization and establishes an infrastructure that better leverages the Enterprise Service Bus. The Cloud environment would allow the department to decrement its mainframe footprint as these modernization projects reduce the business demand for the mainframe.

Modern mainframe pricing is based on processor utilization, measured in service units. The AST currently has the defined capacity for FDOT set at 61 million service units (MSUs). The Cloud environment would provide the department more flexibility in setting the level of the required service units and, accordingly, the associated software costs. This flexibility would allow the department to tailor our mainframe utilization to the business demand of the units, including the changes associated to the modernization projects.

A Cloud mainframe environment would provide the department more diverse options on disaster recovery solutions and data storage and retention capabilities. Available differences in mainframe processor architectures would allow for more precise recovery scenarios based on the exact business needs of the department. The Cloud solution would offer recovery alternatives that would better ensure limited business downtime with a greater infrastructure resiliency. New integration capabilities would allow for data storage and retention to be addressed for the long-term benefit of the department, across its highly integrated enterprise environment.

The Cloud environment will provide FDOT a viable mainframe environment for department business throughout the life of the modernization projects. It will provide FDOT a means to better control costs without delaying the workflow of all areas of the department, including time-sensitive projects requested by department management, the Governor's Office, and the Legislature. It will support the core mission critical systems, including Financial Management System (FM), Contracts Fund Management System (CFM), Right of Way Management System (RWMS), the Consultant Invoice Transmittal System (CITS), and Roadway Characteristics Inventory (RCI). A move to a Cloud environment would also allow for protection of the application systems tied to and within the Work Program Integration Initiative (WPPI), which will come on line within the next five years. A Cloud solution will provide the stability, capacity, flexibility, and hours of operation necessary to construct the new Work Program system while allowing for continuity of daily operations, thus ensuring that no negative impacts are experienced by FDOT users or constituents.

2. Business Objectives

The department's Office of Information Technology (OIT) has developed a one-year plan to build and implement a Cloud solution to replace the current mainframe housed at the AST. The Cloud environment will provide FDOT a viable mainframe environment for department business throughout the life of the modernization projects as well as diverse options on disaster recovery solutions and data storage and retention capabilities. This strategy will assist in developing a more coordinated and consolidated approach to data retention, data storage, and align with the modernization of applications within the department.

By relocating the mainframe from the AST to a Cloud environment, the department will realize benefits in the following areas:

- A. Provide a stable platform for mission critical systems while providing the department the means to better control costs.
- B. Allow for improved productivity and opportunity for evaluation and updating of processes.
- C. Avoid the risk of absorbing costs based on the actions of other agencies related to their use of the mainframe at the AST.
- D. Provide efficiency through a stable environment with an adaptable capacity.
- E. Provide better responsiveness to the changing landscape of FDOT critical business applications.
- F. Allow FDOT the flexibility to tailor its mainframe footprint as modernization projects reduce demand for the mainframe.
- G. Ensure that no additional risk is placed upon the WPII project should it become necessary to move the mainframe from the AST post FY 2018-19.

The Mainframe to Cloud Project is a one year, multi-phase project that will be comprised of the design and build of the new FDOT mainframe infrastructure in the selected vendor's Cloud environment (the "lift"), and subsequent migration of the production business environment from the AST to this Cloud (the "shift").

B. Baseline Analysis

1. Current Business Process(es)

FDOT's mission critical applications, including Financial Management System (FM), Contracts Fund Management System (CFM), Right of Way Management System (RWMS), the Consultant Invoice Transmittal System (CITS), and Roadway Characteristics Inventory (RCI), are currently housed on the Agency for State Technology (AST) mainframe. The AST provides FDOT a z13 mainframe shared with other agencies. FDOT utilizes the mainframe in a highly integrated enterprise environment. FDOT's current strategic direction is to have its applications move away from a dependency on the mainframe.

2. Assumptions and Constraints

If FDOT is going to move to the Cloud mainframe environment, the move cannot take place during the implementation of the Work Program Integration Initiative (WPII) and Integrated Roadway Asset Inventory System (IRAIS) projects. We must be "lifted and shifted" before these critical systems come on line. If FDOT does not move the department's critical core applications to the Cloud environment before the WPII and IRAIS projects come on line, FDOT will need to remain in the current environment, incurring any cost recovery increases due to the actions of other agencies, for at least one to four years (depending on a successful renegotiated contract via AST), until WPII is completed.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The proposed business process requirements being submitted allow the department to procure a Cloud mainframe environment to house FDOT's mission critical core applications currently housed on the Agency for State Technology (AST) mainframe.

The successful "Lift and Shift" will provide the following benefits to the department:

- Application modernization and establishment of an infrastructure that better leverages the Enterprise Service Bus.
- More diverse options on disaster recovery solutions and data storage and retention capability.
- A viable mainframe environment for business throughout the life of the modernization projects.
- Protection of the application systems tied to and within the Work Program Integration Initiative, which will come on line within the next five years.
- Stability, capacity, and flexibility necessary to construct the new Work Program system while allowing for continuity of daily operations, thus ensuring that no negative impacts are experienced by users.
- Improved productivity and opportunity for evaluation and updating of processes.
- Allows the department to tailor the mainframe utilization to the business demand of the units, including the changes associated to the modernization projects and the lowering of mainframe needs, and therefore cost, they will entail.

2. Business Solution Alternatives

If FDOT does not move the department's critical core applications to the Cloud environment, FDOT will need to remain in the current environment, incurring any cost recovery increases due to actions of other agencies, for at least four years until the WPII modernization project is implemented.

3. Rationale for Selection

The AST provides FDOT a z13 mainframe shared with other agencies. One of those agencies has formally submitted their intent to move its mainframe footprint from the AST. Since the AST uses a cost recovery model, FDOT could be responsible for all costs that were previously shared between the agencies for the same levels of service. FDOT must mitigate the financial risk as these other agencies work to 'get off the mainframe'.

4. Recommended Business Solution

The department recommends moving the data and applications from the Agency for State Technology (AST) mainframe to a Cloud mainframe environment to mitigate the risk of being responsible for all the costs that were previously shared between FDOT and other agencies.

D. Functional and Technical Requirements

- The department must move its data and applications to a more secure and robust cloud environment.
- The transfer must be facilitated in a consistent and compatible manner to ensure business applications maintain their functionality while moving to the Cloud environment.
- The transfer must ensure the continuity of overall department business operations.
- The transfer must take place before the implementation of critical systems like WPII and IRAIS.

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Successful migration of FDOT mainframe environment to the Cloud.	FDOT will conduct comprehensive testing to ensure all components have been migrated.	FDOT and External Stakeholders	07/19
2	Successful integration of the mainframe in the Cloud into the FDOT Enterprise infrastructure.	FDOT will conduct system testing across the enterprise to ensure all applications are functioning.	FDOT and External Stakeholders	07/19
3	No system-wide interruptions of the department's enterprise financial systems.	System applications available when called upon by users.	FDOT and External Stakeholders	07/19
4	More diverse options related to disaster recovery solutions.	Conduct a full disaster recovery drill and system restore to a recovery site.	FDOT and External Stakeholders	07/19
5	Uninterrupted management of federal fiscal dollars which support the FDOT partnership with federal agencies.	Data validation and successful interface of accounting and budgeting transactions.	FDOT and External Stakeholders	07/19
6	Validation of the FDOT's interface with the State of Florida accounting system.	Data validation and successful interface of accounting and budgeting transactions.	FDOT and External Stakeholders	07/19

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

A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Ability to ensure continuity of business operations during Enterprise modernization efforts.	Citizens of the State of Florida	Uninterrupted business functions.	Little or no downtime of business operations.	07/19
2	Ability to sustain the integrated Enterprise infrastructure as mainframe dependencies are decreased.	FDOT and External Stakeholders	Stable environment for business application function.	No business application disruptions.	07/19
3	Consistent business data access and integrity during Enterprise modernization efforts.	FDOT and External Stakeholders	Effectively reply to requests for information in a consistent manner.	Maintain consistent response time of service delivery.	07/19
4	Maintain reliable performance and productivity reporting.	FDOT and External Stakeholders	Consistent data collection for performance reporting across the integrated infrastructure.	Compliance with state and federal law concerning performance reporting (ex. F.S. 334.045, F.S. 334.046, Title 23 of USC).	07/19
5	Continuation of the seamless access to the department's vast information assets.	FDOT and External Stakeholders	Ability to quickly convert data into information for decision-making. More efficient development of ROI analyses for transportation projects.	Sustained prompt response to requests for information. Consistent response with established variables when developing ROI profiles of transportation investments.	07/19

B. Cost Benefit Analysis (CBA)

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

COST BENEFIT ANALYSIS	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

VI. Schedule IV-B Major Project Risk Assessment

Project	<i>Mainframe to Cloud</i>	
Agency	<i>Florida Department of Transportation</i>	
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title:	
	<i>Mainframe to Cloud</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Thomas Montalbano, (850) 410-5528, Thomas.Montalbano@dot.state.fl.us</i>		
Executive Sponsor	<i>Greg Smiley</i>	
Project Manager	<i>Thomas Montalbano</i>	
Prepared By	<i>Thomas Montalbano</i>	
Risk Assessment Summary		
Business Strategy	Most Aligned	◆
	Least Aligned	
	Least Risk	Most Risk
Level of Project Risk		
Project Risk Area Breakdown		
Risk Assessment Areas	<i>Risk Exposure</i>	
Strategic Assessment	LOW	
Technology Exposure Assessment	LOW	
Organizational Change Management Assessment	LOW	
Communication Assessment	LOW	
Fiscal Assessment	LOW	
Project Organization Assessment	LOW	
Project Management Assessment	LOW	
Project Complexity Assessment	MEDIUM	
<i>Overall Project Risk</i>		LOW

*The Risk Assessment details can be found in Appendix B.

VII. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The systems supporting FDOT business exist across a single mainframe and multiple distributed environments. The mainframe and distributed environments for the Central Office are currently housed at the Agency for State Technology (AST) in Tallahassee. The distributed environments for the Districts and Florida's Turnpike Enterprise are currently housed locally to each. The single mainframe environment is accessed and utilized across them all, through the FDOT comprehensive integrated infrastructure.

2. Information Technology Standards

Projects managed by Applications Services (the application development section of the Office of Information Technology) are developed following the AST guidelines (AST Security Rule 74-2, F.A.C. and Project Management Rule 74-1, F.A.C.), which are based on the Project Management Institute's methodology including standard phases, tools, steps and sign-off processes. This methodology is made available to all project management and project staff working within FDOT to ensure consistent steps are followed when developing system applications.

B. Current Hardware and/or Software Inventory

The department's mainframe environment consists of a z13 server shared across multiple agencies. The department's distributed environment includes multiple instances of Microsoft Internet Information Services servers for hosting internet, intranet, and end user applications.

These environments are leveraged in an integrated infrastructure to provide efficient processing and effective data access. The systems supporting the transportation financial management functions exist in both mainframe and distributed environments, so that integration is essential to that key business operation. Other systems supporting critical business functions must closely integrate to this financial operation, so they too are dependent on a stable and reliable technical infrastructure.

C. Proposed Technical Solution

1. Technical Solution Alternatives

Since FDOT cannot purchase and house a mainframe environment on premise, the only alternative to a Cloud mainframe environment is for FDOT to continue to use the Agency for State Technology (AST) to provide this environment for FDOT business needs.

2. Rationale for Selection

A Cloud mainframe environment would provide FDOT a better ability to adapt to the changing landscape of its critical business applications. Currently, FDOT utilizes the mainframe in a highly integrated enterprise environment. FDOT's current strategic direction is to have its new applications move away from a dependency on the mainframe. This allows for application modernization and establishes an infrastructure that better leverages the approved Enterprise Service Bus. The Cloud mainframe environment would allow the department to decrement its mainframe footprint as these modernization projects reduce the business demand for the mainframe.

Modern mainframe pricing is based on processor utilization, measured in service units. The defined capacity for FDOT is currently set at 61 million service units (MSUs). All associated software costs are based on this value, so having the MSUs set to exactly what FDOT business requires is essential. The Cloud environment would provide the department more flexibility in setting the level of the required

service units and, accordingly, the associated software costs. This flexibility would allow the department to tailor its mainframe utilization to the shifting business demand of the units, including the changes associated to the modernization projects.

A Cloud mainframe environment would provide the department more diverse options on disaster recovery solutions and data storage and retention capabilities. Available differences in mainframe processor architectures would allow for more precise recovery scenarios based on the exact business needs of the department. The Cloud solution would offer recovery alternatives that would better ensure limited business downtime with a greater infrastructure resiliency. New integration capabilities would allow for data storage and retention to be addressed for the long-term benefit of the department, across its highly integrated enterprise environment.

The Cloud environment will provide FDOT a viable mainframe environment for department business throughout the life of the modernization projects. It will provide FDOT a means to better control costs without delaying the workflow of all areas of the department, including time-sensitive projects requested by department management, the Governor's Office, and the Legislature. It will support the core mission critical systems, including Financial Management System (FM), Contracts Fund Management System (CFM), Right of Way Management System (RWMS), the Consultant Invoice Transmittal System (CITS), and Roadway Characteristics Inventory (RCI). A move to a Cloud environment would also allow for protection of the application systems tied to and within the Work Program Integration Initiative, which will come on line within the next five years. A Cloud solution will provide the stability, capacity, flexibility, and hours of operation necessary to construct the new Work Program system while allowing for continuity of daily operations, thus ensuring that no negative impacts are experienced by FDOT users or constituents.

3. Recommended Technical Solution

The recommended technical solution is to move to a Cloud mainframe environment and integrate it into the existing multi-tier enterprise environment. The existing mainframe environment would be ported to the Cloud mainframe environment, connectivity across the enterprise environment would be established and tested, and then a point in time data move would be done to bring the Production business data to the cloud environment. This process is referred to as "Lift and Shift".

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed Cloud mainframe environment would mirror the mainframe environment which the department currently utilizes to address its business needs. The software required to run all current mainframe functions would be an essential part of this. This is crucial for FDOT because much of the department's mainframe-based business logic leverages Computer-Aided Software Engineering (CASE) technology.

FDOT would address its mainframe-dependent business without alteration. Business applications would continue to drive using their established online capabilities and their substantial batch capabilities. All supporting technical requirements, like data stores and security, would similarly be established without alteration. All distributed connectivity to the Cloud mainframe environment would be established as it exists now to ensure the integrated enterprise environment continues to address the business needs without issue.

Once the proposed Cloud mainframe environment is established to reliably handle FDOT business, an evaluation and measure process will be established to adjust the new environment to best suit the department. This, along with the changes associated to the modernization projects, will provide the department an optimal way to fine-tune the mainframe environment as its business needs dictate.

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

The basic resource requirements for the proposed Cloud mainframe solution are as follows:

- z13 mainframe running z/OS 2.1
 - 6 FICON Channels.
 - 4 OSA cards.
 - Two defined logical partitions (LPARs); one for Production and a small one for a sandbox.
- 1 zIIP specialty engine
- DB2 10 for z/OS (or DB2 11 for z/OS if the department has migrated there in current environment).
 - 3 defined DB2 sub-systems on the Production LPAR (one for Production; two for test).
- CICS
 - 4 defined regions on the Production LPAR (one for Production; three for test).
- Software
 - Must include all software on which FDOT business is currently dependent.
- Fully integrated direct access storage devices (DASD)
 - 9 TB of DASD currently allocated.
 - 5.095 TB of DASD currently utilized.
- Fully integrated virtual tape system
 - The Production LPAR will require 32 virtual tape drives.
 - The Sandbox LPAR will require 8 virtual tape drives.
 - All the FDOT virtual tape data will need to be migrated forward.
- Security components
 - RACF must be full supported.
 - Business driven encryption requirements must be supported.
 - Data in transit using FTP or SFTP must be encrypted.
- Network connectivity
 - Currently, the mainframe is linked to the servers in the network with a 1GB network connection.
 - Much FDOT business relies on unfettered mainframe access through the network for an array of desktop, distributed, and decentralized processes.
- Integrated enterprise infrastructure
 - Maintain the relationship with the mainframe and out-board application servers for data or other resources.
 - External servers and desktop users must be able to access DB2 data via DB2 Connect.
 - Information Builder Inc. (IBI) product based servers must be able to provide mainframe access to Oracle and MSSQL servers.
 - All the middle tier servers that connect to the mainframe will have to have a large enough pipe to accommodate the required traffic.
- Disaster Recovery (DR)
 - Business criticality of the FDOT mainframe application suite requires a thorough and complete disaster recovery process be in place.
 - The currently-documented business requirements dictate a recovery time objective (RTO; time it takes to be up and running) of less than one week.
 - The currently-documented business requirements dictate a recovery point objective (RPO; how much data can be lost) of less than one day.
 - The recovery site must be physically separated from the main production data center.

E. Capacity Planning

Currently, FDOT business demands regularly push the limits of its defined capacity on the z13 central processor unit (CPU) in the current mainframe environment. The throttling mechanism used to ensure the z13 server is not compromised, the Rolling 4-Hour Average (R4HA), regularly impacts business at peak times on peak business days. This is the key capacity of consequence for the others, such as Maximum Concurrent Users, DASD, and tape space, which fall well into what is provided in the current mainframe environment.

As FDOT proceeds with its modernization projects, it is projected that this peak CPU utilization will lessen and the actual required defined capacity will gradually be reduced. This will take several years, so planning to ensure a viable mainframe environment is imperative for FDOT business in the interim; but accordingly, an adaptable mainframe environment will be in the best interest of the department as its business dependencies on the mainframe lessen. This flexibility to reduce the defined capacity as business demand dictates is essential since software costs are associated to this capacity.

The FDOT staffing requirements for a Cloud mainframe environment will not be impacted as the system programmer and operations functions that are covered by the AST now will be covered by the Cloud provider in the future.

VIII. Schedule IV-B Project Management Planning

Executive Summary

FDOT request to procure a Cloud mainframe environment to house FDOT's mission critical core applications currently housed on the Agency for the State Technology (AST) mainframe. The request includes purchasing of management services such as hosting, staffing and "lifting and shifting" support to the Cloud. This is the next step in the department's goal to move our data and applications to a more secure and robust Cloud environment. The first step in the process was in FY 2017-18 with the approval of the Enterprise Service Bus, which is a subscription-based mechanism used to facilitate the transfer of business applications and data across platforms in a consistent and compatible manner, and is required to ensure business applications maintain their functionality while moving to the Cloud environment.

A Cloud mainframe environment would provide the Department more diverse options on disaster recovery solutions and data storage and retention capabilities. Available differences in mainframe processor architectures would allow for more precise recovery scenarios based on the exact business needs of the department. The Cloud solution would offer recovery alternatives that would better ensure limited business downtime with a greater infrastructure resiliency. New integration capabilities would allow for data storage and retention to be addressed for the long-term benefit of the department, across its highly integrated enterprise environment.

Also of major importance to FDOT, the agencies that share the z13 server with FDOT have expressed an intent to 'get off the mainframe'. Since the AST uses a cost recovery financial model, FDOT could be responsible for all costs of the z13 server that were previously shared between the agencies for the same levels of services. FDOT must mitigate the financial risk of this before the modernization projects to allow FDOT to 'get off the mainframe' too.

Project Scope

- Procure a Cloud mainframe environment to house FDOT’s mission critical core applications currently housed on the AST mainframe.
- Procure management services such as hosting, staffing and “lifting and shifting” support to the Cloud.

Project Phasing Plan

This is a one (1) fiscal-year plan where the project will be managed by a project team that will execute the plan when it is fully realized. The project will follow the Project Management Rule 74-1, F.A.C.

Once funding approval is given, the following major work activities are anticipated:

FY 2017-18

Vendor Procurement

- Create Vendor Solicitation Document
- Advertise Vendor Solicitation Document
- Create Vendor Selection Team
- Vendor Selection Team Review Vendor Responses
- Vendor Selection Team Selects Vendor
- Complete Vendor Procurement Contract Activities
- Conduct Onboarding Process of Selected Vendor

FY2018-19

Summary Project Schedule

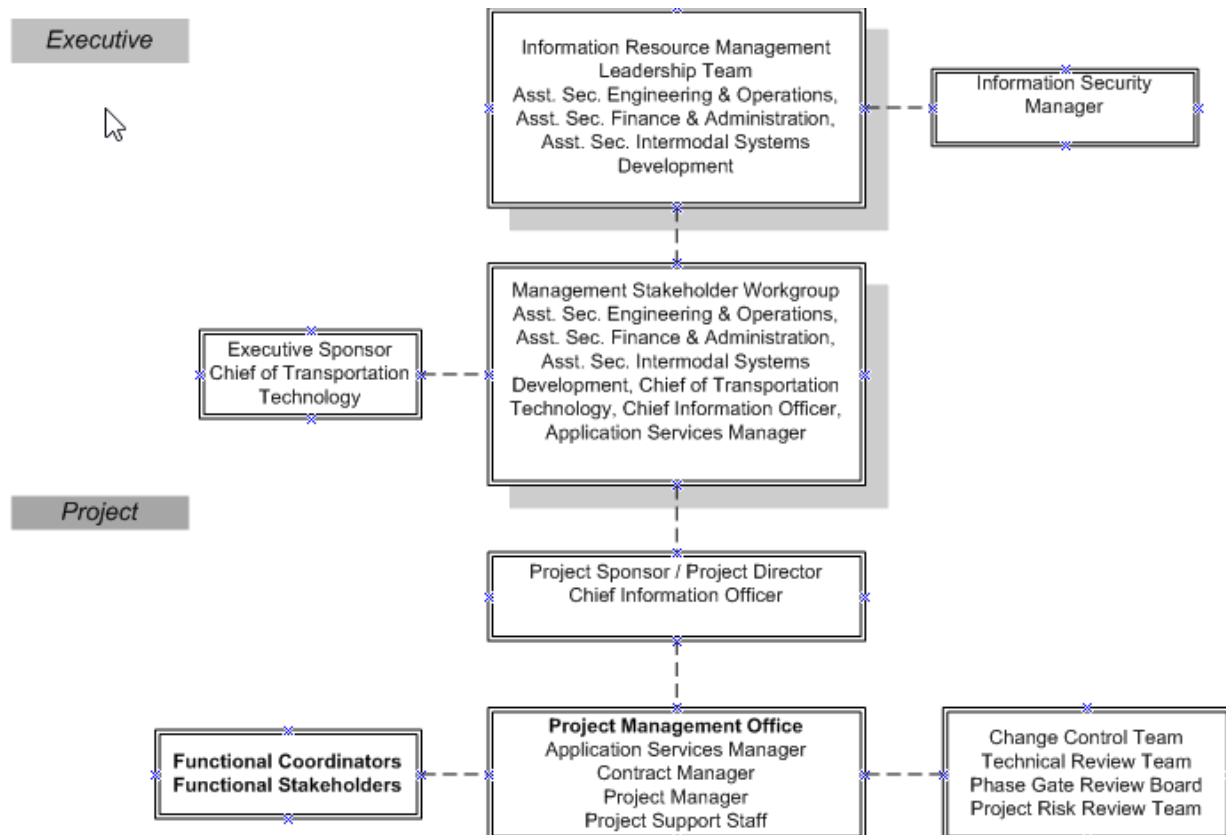
- Initiation, Charter, Risk Assessment
- Project and Procurement Planning and Approvals
- Detailed Analysis and Infrastructure Design
- Detailed Analysis of Network Connectivity
- Procurement and Vendor Contract Execution
- Planning for Migration to Cloud Infrastructure
- Planning for Performance Metrics and Overall Testing
- Cloud Infrastructure and Environment Building
- Network Migration and Integration Testing
- Full Integration Testing of Cloud Environment (online, batch, connectivity)
- Optimization of Outside Networks
- Production Cutover of Business Data to Cloud Environment
- Final Verification of FDOT Business in Cloud Environment
- Closeout Documentation

Baseline Schedule

TASK	STATUS	*PLANNED START	*PLANNED STOP
Procure Vendor	<i>Pending LBR Approval</i>	3/2018	6/2018
Initiation	<i>Pending Funding</i>	7/2018	8/2018
Planning <ul style="list-style-type: none"> • Analysis • Design 	<i>Pending Funding</i>	7/2018	12/2018
Execution/Operations	<i>Pending Funding</i>	1/2019	6/2019
Post Implementation	<i>Pending Funding</i>	6/2019	6/2019

***Note: Planned Start and Planned Stop dates on the chart will be updated when LBR approval has been received and the project manager assigned.**

Project Organization and Governance



- **Information Resource Management Leadership Team:** Provides direction and prioritization for Information Technology resources and projects estimated at over 1,500 hours of effort. The group usually consists of the department's Assistant Secretaries and the Chief Information Officer (CIO).
 - **The Information Security Manager (ISM):** Reports directly to the CIO. The ISM is responsible for statewide coordination and administration of the department's security policies, procedures, and standards, including security awareness training and security compliance assessment. The ISM reviews and approves the Security Plans that are submitted for all enterprise applications, including this initiative.
- **Office of Inspector General:** Serves as a central point for coordination of and responsibility for activities that promote accountability, integrity, and efficiency in the Department. Conducts audits, investigation and management review relating to the programs and operation of the agency.
- **Management Stakeholder Workgroup:** The Management Stakeholder Workgroup provides functional management oversight for the application projects.
- **Executive Sponsor:** The Executive Sponsor is a chairperson of the subject business process improvement, analysis, and design efforts. The Executive Sponsor acts as a visionary and motivator and instills the project with a purpose and a sense of mission. The Executive Sponsor introduces the project within the organization and demonstrates commitment to its success.
- **Project Sponsors:** Ensure that security controls related to access and integrity of the application and data are in place. Ensure that the needed resources from the Functional Office are available to serve in various roles throughout the application's life cycle.
- **Project Director:** Coordinates and manages the information resources management policies, procedures and standards activities. Advises executive management regarding information resources management needs of the department. Assists in the development and prioritization of the information resources management schedule of the department's Legislative Budget Request.
- **Internal Stakeholders:** Functional Areas and Directors that are affected by the project. It is critical that Internal Stakeholders are kept aware of the project and are involved (provide staff) in discussions regarding their Functional Area at the appropriate time in the project.
- **Functional Coordinators:** Serves as a dedicated resource from the Functional Office assigned to serve as liaison between the OIT and the Functional Office. The role of the Functional Coordinator will exist beyond the project, throughout the life of an application. The Functional Coordinator may act as an agent for the Project Sponsor.
- **Functional Stakeholders:** Provide functional management oversight of the application project for which they have been delegated responsibility. Provide direction to the Project Team regarding project strategy and planning.
- **Project Management Office (PMO):** Provides coordination and support for Communications, Human Resource, Risk, Integration, Time, Cost, and Quality Management. Reports to Executive Leadership the overall status of projects. Monitors project progress against business objectives. Monitors relationships with internal and external stakeholders. Responsible for document management and requirements management process. The Project Management Office includes the Application Services Portfolio Manager, Project Manager, Contract Manager and other support staff as needed.
- **Application Services Portfolio Manager:** The Application Services Portfolio Manager provides leadership and facilitation to the Program Managers of the development and maintenance of applications taken on by the Application Support Office within the Office of Information Technology. The Application Services Portfolio Manager ensures proper methodology support is provided for Application Services application development projects and maintenance efforts. The Application Services Portfolio Manager also represents the application development and maintenance perspective within Office of Information Technology management and to other offices or work groups within the department as required.

- **Project Manager:** The Project Manager is accountable for maintaining project scope, cost, and schedule in accordance with the baselines established in the Project Plan. The Project Manager plans, assigns, and oversees the deliverables provided by team members.
- **Contract Manager:** A department employee responsible for enforcing performance of the contract terms and conditions, serving as liaison with the vendor and ensuring that the contractual terms have been complied with prior to processing the invoice for payment.
- **Change Control Team (CCT):** Responsible for reviewing and determining the outcome of all change requests submitted to the project during the project life cycle. The CCT will meet as often as necessary, as changes are introduced throughout the project, to discuss potential impacts or changes to the scope, schedule, or budget. If the CCT approves a change, the CCT must then seek authorization from the Executive Sponsor, Project Sponsor, Application Services Portfolio Manager, or combination of those stakeholders, depending on the type of impact the change will have on the project.
- **Technical Review Team:** Reviews technical components of the project to ensure alignment with scope, time, budget, and quality.
- **Project Risk Review Team:** Prioritizes and ranks all risks identified for project, and agrees on a risk response strategy for each identified risk.

Quality Assurance Plan

FDOT follows standard practice project management principles to reduce project incurred risks, ensure compliance with stated quality standards, and keep the project on track. This subsection describes several of FDOT’s quality assurance plans including:

Communication Plan

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

ITEM	PURPOSE	FREQUENCY	AUDIENCE
Functional Steering Committee Meeting	Provide updates on project activities, issues, and deadlines.	Monthly	Functional Steering Committee
Written Status Report	Provide updates on project activities, issues, and deadlines.	Bi-Weekly	All Project Team Members
Legislative Status Report	Provide updates on project activities for all projects funded by a Budget Request.	Monthly	Legislative Members and Staff
Executive Status Report and Review Meeting	Monthly review of the project status and schedule with the Information Resource Management Leadership Team.	Monthly	Information Resource Management Leadership Team, Executive Sponsor, Project Sponsor, CIO, Application Services Manager
Functional Group Status Presentations	Provide project status updates to existing functional teams that are affected by the project. Management Stakeholders will request time on the agenda of these existing meetings to provide status and answer questions.	As Needed	Statewide Teams that are affected by project.

Deliverables Review and Acceptance

All deliverables are reviewed by appropriately-appointed staff. Standard review teams will be established, by technology or business area, to provide a consistent review base. Project schedules must be established to provide time for deliverables review, feedback, and secondary review.

Issue Management

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

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

Risk Management

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

This project will follow FDOT's standard process for Risk Management. This includes:

- Identification of potential risks early in the planning phases. Potential Project Risks are provided in table below.
- Establishment of a formal Project Risk Review Team to evaluate risks on a scheduled basis.
- Establishment of a method for analyzing and prioritizing risk.
- Review of new or changing Risks at Weekly Project Status Meetings.
- Ensure all project Team Members are aware of the Risk Management process and their involvement in the Process.

Risks and Response Strategies

Risk Type	Risk Description	Risk Response Strategy and Notes
Fiscal	Delay in obtaining funding for proposed migration effort from the Legislature.	<ul style="list-style-type: none"> • As other Agency(ies) move to the Cloud environment and FDOT does not, FDOT may be exposed to absorbing additional costs from the AST, potentially \$3 million in FY2017-18 and \$6 million in FY 2018-19. • Due to FDOT’s WPII’s implementation scheduled beginning FY2018-19 and concluding FY2022-23, mainframe migration during FY2018-19 through FY2022-23 would impose inherent risk to both WPII’s and the migration’s success. Additional costs could be \$6 million per FY with an approximate total of \$24 million.

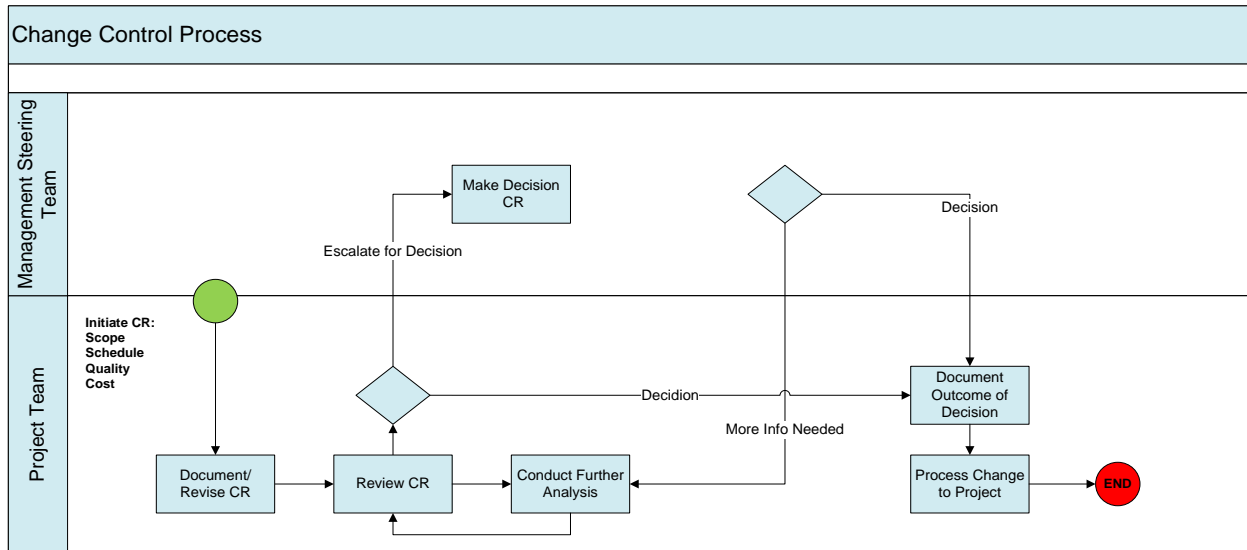
Change Management

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

- The Project Change Control Process will be documented in the Change Management section of the Project Management Plan.
- Any proposed changes will be documented using a Change Control Form and tracked through the Change Control Log.
- The Change Control Log and Form will be available and reviewable by all project members.
- The Project Director will establish the Change Control Team (CCT).
- The CCT will meet as often as necessary to ensure changes are dealt with in a timely manner.
- The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Change Management Process.
- Changes that are approved by the CCT will seek final approval from the appropriate staff and stakeholders.
- Monthly Status Reports will track and provide status for all open change requests.

Change Control Process

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



Once the CR has been approved, the Project Manager is responsible for implementing the change. Key activities to complete (as needed):

- Project Manager will update project documentation baseline, including Project Schedule.
- Project Manager will coordinate with Project Sponsor & Contract Manager to update project budget as it relates to a contract.
- Project Manager will update the master project budget (if new scope is introduced).
- Contract Manager will oversee the appropriate change to the project purchase order in MyFloridaMarketPlace.
- Project Manager will communicate disposition of CR to the Project Team and Stakeholders.

Organizational Change Management

As part of the Mainframe to Cloud project, modifications and enhancements to business processes and technology will require change management in order for the migration to be effectively implemented. While organizational change has been routinely accepted, many business reengineering efforts have met with sub-optimal success because the department failed to properly plan and implement a strategy to help engage staff throughout the change process. Consequently, the proposed approach to implementing change is based on a human relations-based change management model. This persuasive-type model is built around the overarching principle to drive change management by educating employees on how the change will positively affect their work. This contrasts with a more coercive change management approach that informs employees of the change in the form of an edict or mandate from upper management with little involvement from staff. The change approach recognizes validity of staff and stakeholder concerns that can lead to reduced employee morale, diminished commitment, and increased cynicism. Table 1 lists some of the potential sources of resistance the change management approach will address throughout the life of the project. Failure to address these resistance factors in the project can significantly impact the successful Mainframe to Cloud migration implementation. The change process model is comprised of seven general steps (see Table 1). This approach conforms to the department's need for implementing change quickly by significantly improving the culture and performance of FDOT-impacted areas.

The model is based on several key underlying assumptions. First, employees require and often seek out support and recognition from their peers and superiors. In other words, employees are connected, positively or negatively, to the department through interactions with their supervisors and other departmental employees. Second, employees are generally trustworthy and seek to do the right thing, as long as they know what is expected of them, why they need to perform a certain way, and how they benefit from the performance task. Based on this viewpoint, the need for change is not viewed as the result of the individual worker but rather stems from sources such as poorly defined expectations, cumbersome processes, poor management or oversight, overly burdensome procedures, inadequate tools/technology, and resources. This message must be communicated clearly and frequently to clarify the underlying key question – “Is the change necessary or simply a reaction to a high-profile case?” Lastly, to affect change requires management to recognize the importance of creating a positive, collaborative work environment and provide positive feedback for actions taken by individual employees or groups that achieve desired outcomes.

TABLE 1: SOURCES OF RESISTANCE

Domain	Potential sources of resistance within the domain
Employee Factors	Personal concerns and attributes that evoke dislike or aversion to change in general.
Organizational Factors	Credibility of the change agent (i.e., project team, management, consultants).
Redesign Specific Factors	The change is not perceived as needed for the organization or viewed as a reaction to a high-profile case.

To affect a successful change effort, the project team and leadership should be engaged to assist managers, supervisors, employees, and other stakeholders through the development and execution of the following:

- Clear vision and message about the need for change and how such change supports the overall mission of the department;
- Clear, measurable, and well-communicated goals or targets to be achieved by the organizational change;
- Utilize key staff to function in the role of change champions to provide input into the project as well as act as advocates for the project;
- Involvement with management and supervisors with front-line staff to answer questions and help connect their efforts to the overall success of the project; and
- Implement recognition program to tie project success with individual commitment to the project (support and rewards).

Security Plan

The objectives of the Security Plan are to:

- Ensure confidentiality, integrity, and availability of the system data.
- Identify confidential or sensitive information in the system.
- Define system security methods, requirements, and procedures.
- Promote consistency and uniformity in the system’s security practices.

The following Sections are outlined in the document to address risk management and reduce exposure to the department by identifying controls to offset threats and protect the department’s resources:

1. Risk Analysis (Authentication/ Data and System Integrity/ Confidential Information)
2. Federal Information Processing Standards (FIPS) 199 Potential Impact Categorization
3. Critical Resources
4. Roles and Responsibilities
5. FDOT Policies and Procedure

Implementation Plan

The Implementation Phase will be defined in detail as the project progresses.

IX. Appendices

Number and include all required spreadsheets, along with any other tools, diagrams, charts, etc., chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

A. Cost Benefit Analysis Details, Cost Break Analysis and Analysis conducted by Gartner

CBAForm 1 - Net Tangible Benefits		Agency			Project											
		Florida Department of Transportation			Mainframe Cloud											
Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits - CBAForm 1A																
Agency <i>(Recurring Costs Only - No Project Costs)</i>	FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23			
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	
A. Personnel Costs - Agency-Managed Staff	\$821,300	\$0	\$821,300	\$821,300	-\$143,728	\$677,573	\$821,300	-\$287,455	\$533,845	\$821,300	-\$431,183	\$390,118	\$821,300	-\$574,910	\$246,390	
A.b Total Staff	7.03	0.00	7.03	7.03	-1.23	5.80	7.03	-2.46	4.57	7.03	-3.69	3.34	7.03	-4.92	2.11	
A-1.a. State FTEs (Salaries & Benefits)	\$266,748	\$0	\$266,748	\$266,748	-\$46,681	\$220,067	\$266,748	-\$93,362	\$173,386	\$266,748	-\$140,043	\$126,705	\$266,748	-\$186,724	\$80,024	
A-1.b. State FTEs (#)	3.50	0.00	3.50	3.50	-0.6125	2.89	3.50	-1.225	2.28	3.50	-1.8375	1.66	3.50	-2.45	1.05	
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
A-3.a. Staff Augmentation (Contract Cost)	\$554,552	\$0	\$554,552	\$554,552	-\$97,047	\$457,505	\$554,552	-\$194,093	\$360,459	\$554,552	-\$291,140	\$263,412	\$554,552	-\$388,186	\$166,366	
A-3.b. Staff Augmentation (# of Contractors)	3.53	0.00	3.53	3.53	-0.61775	2.91	3.53	-1.2355	2.29	3.53	-1.85325	1.68	3.53	-2.471	1.06	
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 Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
C. Data Center Provider Costs	\$3,361,490	\$0	\$3,361,490	\$3,361,490	-\$588,261	\$2,773,229	\$3,361,490	-\$1,176,522	\$2,184,969	\$3,361,490	-\$1,764,782	\$1,596,708	\$3,361,490	-\$2,353,043	\$1,008,447	
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 Mainframe Services	\$3,361,490	\$0	\$3,361,490	\$3,361,490	-\$588,261	\$2,773,229	\$3,361,490	-\$1,176,522	\$2,184,969	\$3,361,490	-\$1,764,782	\$1,596,708	\$3,361,490	-\$2,353,043	\$1,008,447	
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
E. Other 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 Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
Total of Recurring Operational Costs	\$4,182,790	\$0	\$4,182,790	\$4,182,790	-\$731,988	\$3,450,802	\$4,182,790	-\$1,463,977	\$2,718,814	\$4,182,790	-\$2,195,965	\$1,986,825	\$4,182,790	-\$2,927,953	\$1,254,837	
F. Additional Tangible Benefits:		\$378,630			\$6,757,260			\$6,757,260			\$6,757,260			\$6,757,260		
F-1. Increased Services (i.e., Recovery &		\$378,630			\$757,260			\$757,260			\$757,260			\$757,260		
F-2. Cost Avoidance moving to Cloud		\$0			\$6,000,000			\$6,000,000			\$6,000,000			\$6,000,000		
F-3. Specify		\$0														
Total Net Tangible Benefits:		\$378,630			\$7,489,248			\$8,221,237			\$8,953,225			\$9,685,213		

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE - CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input checked="" type="checkbox"/>	Confidence Level	90%
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	90%
Placeholder <input checked="" type="checkbox"/>	Confidence Level	90%

SCHEDULE IV-B FOR MAINFRAME TO CLOUD PROJECT

Florida Department of Transportation Mainframe Cloud			CBAForm 2A Baseline Project Budget																	
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs			FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL		
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL	
			\$																	
project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
Hardware purchases not included in data center services.	Hardware	OCO	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are	Data Center Services - One Time Costs	Data Center Category	\$ -		\$ 4,209,625	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ 4,209,625
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
Other Expenses	Other Expenses	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
Total			\$ -	0.00	\$ 4,209,625	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 4,209,625

CBAForm 2 - Project Cost Analysis

Agency Florida Department of Transportation

Project Mainframe Cloud

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$4,209,625	\$0	\$0	\$0	\$0	\$4,209,625
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$4,209,625	\$4,209,625	\$4,209,625	\$4,209,625	\$4,209,625	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	\$4,209,625	\$0	\$0	\$0	\$0	\$4,209,625
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$4,209,625	\$0	\$0	\$0	\$0	\$4,209,625
CUMULATIVE INVESTMENT	\$4,209,625	\$4,209,625	\$4,209,625	\$4,209,625	\$4,209,625	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	x	Confidence Level	90%
Order of Magnitude	x	Confidence Level	90%
Placeholder	x	Confidence Level	90%

CBAForm 3 - Project Investment Summary	Agency <u>Florida Department of Transportation</u>	Project <u>Mainframe Cloud</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	\$4,209,625	\$0	\$0	\$0	\$0	\$4,209,625
Net Tangible Benefits	\$378,630	\$7,489,248	\$8,221,237	\$8,953,225	\$9,685,213	\$34,727,553
Return on Investment	(\$3,830,995)	\$7,489,248	\$8,221,237	\$8,953,225	\$9,685,213	\$30,517,928
Year to Year Change in Program Staffing	0	(1)	(2)	(4)	(5)	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	1 1/2	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2019-20	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$26,117,598	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	201.57%	IRR is the project's rate of return.

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

BREAKDOWN OF COST SUMMARY:

The total cost of transferring mainframe applications to the Cloud mainframe environment is \$4,209,625 of nonrecurring budget authority in the Contracted Services category. The total cost for the Cloud mainframe environment and FDOT Specific Mainframe Software is \$4,939,750 of recurring budget authority in the Contracted Services category.

	Contracted Services (Nonrecurring) for 2018/19

Lift and Shift Services:	\$1,839,750
Cloud Mainframe Services (6 months)	\$2,369,875

Total	\$4,209,625

	Contracted Services (Recurring) starting with 2019/20

Cloud Mainframe Services (12 months)	\$4,939,750

Total	\$4,939,750

2016/17 Mainframe environment and FDOT Mainframe Services total cost equals \$4,182,490

- Operations, Support Services and General Mainframe Services: \$1,939,915
- FDOT Specific Mainframe Software Costs: \$1,242,575

Mainframe Services with current provider is \$40,729,960 including increased recovery costs (4 year)

- Annual estimated is \$6,000,000 for potential increased recovery costs
- 2016/17 Mainframe environment and FDOT Mainframe Services total cost is \$4,182,490

Mainframe Cloud Managed Services is \$23,968,625 (4 year)

- 2018/19 Nonrecurring Lift and Shift Services: \$1,839,750
- 2018/19 Nonrecurring Cloud Mainframe Services: \$2,369,875
- 2019/20 Recurring Cloud Mainframe Services: \$4,939,750

Gartner Mainframe Service Categories & FDOT Specific Software		AST Mainframe Services added with FDOT Mainframe Services	Analysis provided by Gartner FDOT Mainframe Cloud Services breakdown by mainframe service category	
			<i>Actual Costs</i>	<i>low range costs</i>
1	Operations and support services	\$ 300,704	\$ 285,600	\$ 450,003
2	Technical support services	\$ 360,000	\$ 348,000	\$ 552,045
3	Business recovery services	\$ 207,249	\$ 192,800	\$ 296,941
4	Information security management	\$ 90,000	\$ 68,800	\$ 114,287
5	Ownership services	\$ 1,939,915	\$ 1,425,600	\$ 2,206,138
6	Other	\$ -	\$ 22,400	\$ 35,715
FDOT Specific Mainframe Software		\$ 1,284,622	\$ 1,284,622	\$ 1,284,622
Annual Recurring Mainframe Footprint Costs		\$ 4,182,490	\$ 3,627,822	\$ 4,939,750
Nonrecurring Lift/Shift Costs for Mainframe Cloud Provider 2018/19		\$ -	\$ 1,414,851	\$ 1,839,750
Nonrecurring Costs for Mainframe Cloud Provider 2018/19		\$ -	\$ 1,813,910	\$ 2,369,875
Potential Risk not moving to Mainframe Cloud		\$ 24,000,000	\$ -	
4 years of cost for Mainframe footprint		\$ 40,729,960	\$ 17,740,048	\$ 23,968,626

Gartner Definitions - Data Center Definitions	
Mainframe	
1	<p>Operations and support services — Schedule, setup, release and run Void production and batch processing jobs Production control consultation and walk-through support Problem management and resolution Root cause and problem correction analysis for critical or recurring problems Initial program load (IPL) scheduling and management System maintenance, including the management and administration of third-party contracts as required Production job queue management, monitoring, abend (abnormal end) reporting and job reruns Primary storage monitoring and operations management Backup monitoring and handling Microfilm processing Print service and preparation for distribution</p>
2	<p>Technical support services — Capacity planning for all systems, to be performed in conjunction with client management Hardware and software change and configuration management Off-hour, on-site support for the implementation of changes presenting potential risk or business impact Technology management, including the evaluation of new products and technologies relevant to the environment System software management and administration, including upgrade and new system planning, scheduling and implementation System and database software maintenance, including the management and administration of third-party contracts as required Primary storage planning and optimization Third-level help desk support function for calls transferred to the data center for problem resolution</p>
3	<p>Business recovery services — Maintenance of a remote hot site, either under vendor or third-party management Verifying the functionality of equipment at the remote operations center Off-site storage of critical data, either under vendor or third-party management Coordination and implementation of data communications with recovery locations Recovery training and orientation for client and vendor departments and teams Business recovery planning, including required consulting with business and IT management as required to define applications and systems included in the business recovery plan Business recovery periodic testing, to include the provision of all required staff and resources to conduct a valid and meaningful test Number of system tests annually Periodic plan maintenance and updates to reflect changing business requirements The identification and recommendation of new processes, technologies or third-party services that may enhance business recovery services and/or reduce related costs</p>
4	<p>Information security management services — System security monitoring Processing and implementation of daily security requests for user IDs, dataset access, CICS transaction access and database access System security oversight and review, including processes and tools used for operational security administration Security systems and process problem troubleshooting and resolution Security management and system consulting, to include the development of suggestions and recommendations for improvement in the security environment and posture for client, as well as security policy development and implementation support</p>
5	<p>Ownership services — Hardware for the mainframe processing unit Disk and backup devices, as well as hardware supplies Software, including operating and data management systems The facilities, including raised floor and office space Facilities management</p>

B. Mainframe to Cloud Risk Assessment FY 2018/19

Project	Mainframe to Cloud	
Agency	Florida Department of Transportation	
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title:	
	Mainframe to Cloud	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Thomas Montalbano, (850) 410-5528, Thomas.Montalbano@dot.state.fl.us		
Executive Sponsor	Greg Smiley	
Project Manager	Thomas Montalbano	
Prepared By	Thomas Montalbano	
Risk Assessment Summary		
Business Strategy	Most Aligned	Least Risk
	Least Aligned	Most Risk
Level of Project Risk		
Project Risk Area Breakdown		
Risk Assessment Areas		Risk Exposure
Strategic Assessment		LOW
Technology Exposure Assessment		LOW
Organizational Change Management Assessment		LOW
Communication Assessment		LOW
Fiscal Assessment		LOW
Project Organization Assessment		LOW
Project Management Assessment		LOW
Project Complexity Assessment		MEDIUM
Overall Project Risk		LOW

Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Some
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

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

Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	No
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with fewer change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Agency: Agency Name		Project: Project Name	
Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	All or nearly all messages are documented
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	All or nearly all messages have success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and	Yes	Yes
		No	

SCHEDULE IV-B FOR MAINFRAME TO CLOUD PROJECT

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

Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	

Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Completely staffed from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	All or nearly all deliverables and acceptance criteria have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	

Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
Section 7 -- Project Management Area			
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	81% to 100% -- All or nearly all have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
		No	
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

SCHEDULE IV-B FOR MAINFRAME TO CLOUD PROJECT

Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
Section 8 – Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	5 to 8
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	None
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Agency-wide business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	No
		No	
8.09	What type of project is this?	Infrastructure upgrade	Infrastructure upgrade
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

CBAForm 1 - Net Tangible Benefits

Agency	Florida Department of Transportation	Project	Mainframe Cloud
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$821,300	\$0	\$821,300	\$821,300	-\$143,728	\$677,573	\$821,300	-\$287,455	\$533,845	\$821,300	-\$431,183	\$390,118	\$821,300	-\$574,910	\$246,390
A.b Total Staff	7.03	0.00	7.03	7.03	-1.23	5.80	7.03	-2.46	4.57	7.03	-3.69	3.34	7.03	-4.92	2.11
A-1.a. State FTEs (Salaries & Benefits)	\$266,748	\$0	\$266,748	\$266,748	-\$46,681	\$220,067	\$266,748	-\$93,362	\$173,386	\$266,748	-\$140,043	\$126,705	\$266,748	-\$186,724	\$80,024
A-1.b. State FTEs (#)	3.50	0.00	3.50	3.50	-0.6125	2.89	3.50	-1.225	2.28	3.50	-1.8375	1.66	3.50	-2.45	1.05
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$554,552	\$0	\$554,552	\$554,552	-\$97,047	\$457,505	\$554,552	-\$194,093	\$360,459	\$554,552	-\$291,140	\$263,412	\$554,552	-\$388,186	\$166,366
A-3.b. Staff Augmentation (# of Contractors)	3.53	0.00	3.53	3.53	-0.61775	2.91	3.53	-1.2355	2.29	3.53	-1.85325	1.68	3.53	-2.471	1.06
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	\$3,361,490	\$0	\$3,361,490	\$3,361,490	-\$588,261	\$2,773,229	\$3,361,490	-\$1,176,522	\$2,184,969	\$3,361,490	-\$1,764,782	\$1,596,708	\$3,361,490	-\$2,353,043	\$1,008,447
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>Mainframe Services</i>	\$3,361,490	\$0	\$3,361,490	\$3,361,490	-\$588,261	\$2,773,229	\$3,361,490	-\$1,176,522	\$2,184,969	\$3,361,490	-\$1,764,782	\$1,596,708	\$3,361,490	-\$2,353,043	\$1,008,447
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$4,182,790	\$0	\$4,182,790	\$4,182,790	-\$731,988	\$3,450,802	\$4,182,790	-\$1,463,977	\$2,718,814	\$4,182,790	-\$2,195,965	\$1,986,825	\$4,182,790	-\$2,927,953	\$1,254,837
F. Additional Tangible Benefits:		\$378,630			\$6,757,260			\$6,757,260			\$6,757,260			\$6,757,260	
F-1. <i>Increased Services(i.e.. Recovery&</i>		\$378,630			\$757,260			\$757,260			\$757,260			\$757,260	
F-2. <i>Cost Avoidance moving to Cloud</i>		\$0			\$6,000,000			\$6,000,000			\$6,000,000			\$6,000,000	
F-3. <i>Specify</i>		\$0													
Total Net Tangible Benefits:		\$378,630			\$7,489,248			\$8,221,237			\$8,953,225			\$9,685,213	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	<input checked="" type="checkbox"/>	Confidence Level	90%
Order of Magnitude	<input checked="" type="checkbox"/>	Confidence Level	90%
Placeholder	<input checked="" type="checkbox"/>	Confidence Level	90%

Florida Department of Transportation

Mainframe Cloud

CBAForm 2A Baseline Project Budget

Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. **Include only one-time project costs in this table. Include any recurring costs in CBA**

			CBAForm 2A Baseline Project Budget																
			FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL	
			\$ 4,209,625			\$ -			\$ -			\$ -			\$ -			\$ 4,209,625	
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Previous Years Project-Related Cost	YR 1 Base Budget			YR 2 Base Budget			YR 3 Base Budget			YR 4 Base Budget			YR 5 Base Budget			TOTAL
				YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Hardware purchases not included in data center services.	Hardware	OCO	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ 4,209,625	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,209,625
Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total			\$ -	0.00	\$ 4,209,625	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 4,209,625

CBAForm 2 - Project Cost Analysis

Agency	<u>Florida Department of Transportation</u>	Project	<u>Mainframe Cloud</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$4,209,625	\$0	\$0	\$0	\$0	\$4,209,625
<i>(includes Current & Previous Years' Project-Related Costs)</i>	\$4,209,625	\$4,209,625	\$4,209,625	\$4,209,625	\$4,209,625	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	\$4,209,625	\$0	\$0	\$0	\$0	\$4,209,625
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$4,209,625	\$0	\$0	\$0	\$0	\$4,209,625
CUMULATIVE INVESTMENT	\$4,209,625	\$4,209,625	\$4,209,625	\$4,209,625	\$4,209,625	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	x	Confidence Level	90%
Order of Magnitude	x	Confidence Level	90%
Placeholder	x	Confidence Level	90%

CBAForm 3 - Project Investment Summary

Agency	<u>Florida Department of Transportatic</u>	Project	<u>Mainframe Cloud</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	\$4,209,625	\$0	\$0	\$0	\$0	\$4,209,625
Net Tangible Benefits	\$378,630	\$7,489,248	\$8,221,237	\$8,953,225	\$9,685,213	\$34,727,553
Return on Investment	(\$3,830,995)	\$7,489,248	\$8,221,237	\$8,953,225	\$9,685,213	\$30,517,928
Year to Year Change in Program Staffing	0	(1)	(2)	(4)	(5)	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	1 1/2	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2019-20	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$26,117,598	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	201.57%	IRR is the project's rate of return.

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

	B	C	D	E	F	G	H				
3	Project		<i>Mainframe to Cloud</i>								
4											
5	Agency		<i>Florida Department of Transportation</i>								
6	FY 2018-19 LBR Issue Code:			FY 2018-19 LBR Issue Title:							
7				<i>Mainframe to Cloud</i>							
8	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):										
9	<i>Thomas Montalbano, (850) 410-5528, Thomas.Montalbano@dot.state.fl.us</i>										
10	Executive Sponsor		<i>Greg Smiley</i>								
11	Project Manager		<i>Thomas Montalbano</i>								
12	Prepared By		<i>Thomas Montalbano</i>								
14	Risk Assessment Summary										
15											
16	Business Strategy										
17											
18											
19											
20											
21											
22											
23											
24											
25											
26											
27											
28											
29											
30	Level of Project Risk										
31	<i>Least Risk</i>				<i>Most Risk</i>						
32											
34	Project Risk Area Breakdown										
35	Risk Assessment Areas						<i>Risk Exposure</i>				
36	Strategic Assessment						LOW				
37											
38	Technology Exposure Assessment						LOW				
39											
40	Organizational Change Management Assessment						LOW				
41											
42	Communication Assessment						LOW				
43											
44	Fiscal Assessment						LOW				
45											
46	Project Organization Assessment						LOW				
47											
48	Project Management Assessment						LOW				
49											
50	Project Complexity Assessment						MEDIUM				
51											
52											
53	Overall Project Risk						LOW				

	B	C	D	E
1	Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
3	Section 1 -- Strategic Area			
4	#	Criteria	Values	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	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	Some
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	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	Single agency-wide use or visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
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 Transportation		Project: Mainframe to Cloud	
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Extensive 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 Transportation		Project: Mainframe to Cloud	
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	No
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes 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	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	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	Less than 1% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	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	Yes
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	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 resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Department of Transportation		Project: Mainframe to Cloud	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all 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	Between \$2 M and \$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 3 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	Just-in-time purchasing of hardware and software is documented in the project schedule
45			Purchase all hardware 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 assigned is not the procurement manager or the project 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	All or nearly all selection criteria and expected 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	Not applicable
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 Transportation		Project: Mainframe to Cloud	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% 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	Completely staffed from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	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 Transportation		Project: Mainframe to Cloud	
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	All or nearly all
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	All or nearly all 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	81% to 100% -- All or nearly all have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
35			No	
36	7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
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 Transportation		Project: Mainframe to Cloud	
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
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	5 to 8
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	No
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Infrastructure upgrade
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	Greater 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	Greater size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

For Fiscal Year 2018-19




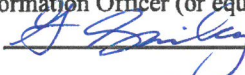

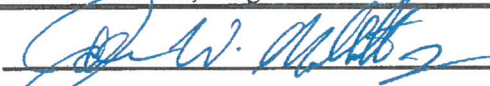
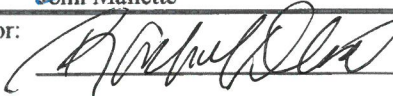
September 15, 2017

FLORIDA DEPARTMENT OF TRANSPORTATION

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Transportation	Schedule IV-B Submission Date: Sept. 15, 2017
Project Name: Paperless Reengineering	Is this project included in the Agency's LRPP? _____ Yes ___X___ No
FY 2018-19 LBR Issue Code: 36236C0	FY 2018-19 LBR Issue Title: Paperless Reengineering
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Rachel Cone, Asst. Secretary of Finance and Administration, 850-414-4100, Rachel.cone@dot.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 14 SEP 17
Printed Name: Michael Dew, Secretary of Transportation	
Agency Chief Information Officer (or equivalent): 	Date: 9/19/17
Printed Name: Greg Smiley, Chief Information Officer	
Budget Officer: 	Date: 9.14.17
Printed Name: Mechelle Marcum, Budget Officer	
Planning Officer: 	Date: 9/13/2017
Printed Name: John Mallette	
Project Sponsor: 	Date: 9/14/17
Printed Name: Rachel Cone, Asst. Secretary of Finance and Admin	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Brigette Kornbroke, 414-4067, Brigette.Kornbroke@dot.state.fl.us
Cost Benefit Analysis:	Erin Callan, 414-4047, Erin.Callan@dot.state.fl.us
Risk Analysis:	John Mallette, 410-5554, John.Mallette@dot.state.fl.us
Technology Planning:	Sylvia McLeod, 410-5550, Sylvia.McLeod@dot.state.fl.us
Project Planning:	Sylvia McLeod, 410-5550, Sylvia McLeod@dot.state.fl.us

General Guidelines

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

Schedule IV-B is not required for requests to:

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

Documentation Requirements

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

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

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

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

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

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

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

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

A. Background and Strategic Needs Assessment

1. Business Need

The Florida Department of Transportation (department/FDOT) Paperless Reengineering initiative supports the department’s mission and vision by providing for innovation and efficiency in administrative operations. This multi-year initiative will reengineer processes and electronically route documents through streamlined, automated workflows. These documents, some of which include confidential or sensitive information, must be managed securely, promptly, and maintained in manner that enables tracking and access by authorized individuals. A pilot effort has begun in Finance and Administration (F & A) and broad scale implementation will institutionalize supporting business practices that engender paper reduction throughout the agency, modernize forms-driven manual business processes, and capitalize on related cost savings.

By reengineering processes within FDOT, the agency will gain time and physical resource savings, provide a more secure avenue for obtaining and tracking approval signatures, and store and access documents electronically. Documents will be captured and catalogued in electronic format allowing them to be monitored, retrieved, and audited. Reduced turnaround time, more accurate reporting, and ability to identify where a document is in a workflow will result in more efficient and accurate responses to all requests, including public records.

The current "as is" business processes require an abundance of paper usage and the need for manual routing throughout the agency for approvals and physical signatures. The manual routing process for approvals and physical signatures involves many steps. Documents are printed, hand delivered to the first required person for review and signature; often times leaving it with an assistant, then hand delivered to the next person for review and signature. This process continues until all levels of approval have been completed. At times, this process could include up to five signatures (not including the other hands the document was in), take three months or longer depending on the document, and risk the document being lost. By reviewing the "as is" processes, the department will eliminate manual processes such as this one and identify areas where paper reduction can be achieved, while capitalizing on those areas where there is a cost savings. Implementation of the Paperless Reengineering initiative in F & A will take place over three years and will be completed in phases. While identifying and implementing solutions within F & A, the department expects to identify other areas outside of F & A that could also benefit from leveraging FDOT’s existing technology solutions (SharePoint, Cherwell, Electronic Document Management System (EDMS), etc.). A small-scale pilot project is currently being implemented in the Equal Opportunity Office (EOO) and Human Resources Office (HRO). Knowledge and programming gained from this focus project will allow for development and implementation of workflows to support the specific needs of the other program areas, thus benefiting the administrative functions throughout the department.

2. Business Objectives

The department’s Organizational Development Team developed a three-year plan to implement electronic forms, workflow automation, and electronic signatures to improve the efficiency of business operations. The enterprise strategy will assist in developing a more coordinated and consolidated approach to records retention, document management, and disposition to align with the modernization of manual business processes within the department. Reengineering processes with eSignature technologies will better serve department employees and meet the needs of the public. By automating manual business processes surrounding forms completion and submission, defining new requirements to govern electronic document management and records disposition, and implementing an electronic signature process, the department will realize savings in the following areas:

- Improved productivity and opportunity for evaluation and updating of processes
- More efficient operations with reduced environmental impact
- More effective and reliable mechanisms for managing enterprise information assets
- Cost savings related to storing and accessing records and reducing paper usage in the workplace
- Greater employee satisfaction / remote productivity

The Paperless Reengineering initiative is a multi-year, multi-phase project as depicted below:

FY 15/16 - Completed

- Phase I - The scope included providing information and recommendations to F&A on advancing paperless processes with enterprise solutions. The focus was on electronically producing, storing, and managing documents to achieve the following goals: process efficiencies, improve customer service, reduce reliance on print-based resources and environmental benefits.

FY 16/17 - Completed

- Phase II - The scope of this phase was limited to the development of high-level requirements and an initiative roadmap for moving the F & A business functions to a paperless work environment by 2018.
- Phase III - The scope of this phase was to develop a high-level schedule for future phases, based on information gathered in Phase II, conduct analysis of current state of EOO to facilitate development of use-case materials to document detailed requirements supporting EOO workflows.
- Phase IV - The scope of this phase was to develop a high-level schedule for future phases, based on information gathered in Phase III, conduct analysis of current state of HRO to facilitate development of use-case materials, to document detailed requirements supporting EOO workflows.

FY 17/18 and 18/19

- Phase IV(continued) - The scope of this phase is to implement EOO requirements and create current and future state cases for HRO transactional processes. This will include implementation of those using an Agile approach.
- Phase V – The scope of this phase is to create current and future state cases for Support Services and the Office of Information Technology (OIT) processes. This will include implementation of those processes using an Agile approach and will transition any previously developed transactional processes to the self-service portal.

FY 18/19 and 19/20

- Phase VI – The scope of this phase is to create current and future state cases for Procurement and include implementation of Procurement transactional and approval workflows in the Enterprise Content Management (ECM) solution and associated approvals.

FY 19/20 and 20/21

- Phase VII – The scope of this phase is to transition remaining manual transactional workflows to the self-service portal. This phase of the project will also include evaluation of remaining electronic processes and workflows within F & A to determine if it is cost-effective to transition them to a single platform.

B. Baseline Analysis

1. Current Business Process(es)

HRO, EOO, Support Services, Organizational Development Office (ODO), Procurement, and OIT are the offices initially being analyzed in this initiative. While identifying and implementing solutions in these offices, the department expects to identify other areas that could benefit from leveraging FDOT’s existing technology solutions.

A high-level analysis of the above offices was performed initially and general patterns and trends emerged, identifying processes in need of automation and streamlining.

Many areas have implemented SharePoint based workflows, but, generally, rely heavily on paper forms. Many processes are fully manual, with paper files being moved from desk to desk to accomplish workflow tasks involving more than one department resource. There is little to no automated collection of data from forms for use in other systems and current solutions create silos within the organization. Some areas are scanning documents but then retain the duplicate in a paper form. Of the processes discussed, many are transactional and could be candidates for paperless at an enterprise level; such as, travel approval and reimbursement and property management. Another example is paper-based transactional processes within OIT that could be implemented in a tool such as Cherwell, which would allow for user requests, workflow to various levels of approval, and spawning of implementation/execution processes. This would work well for system access and database changes.

Most of the functional areas use shared drives to store documents, others use the EDMS, others use paper files, and some use a combination of all three, creating duplicate records in different formats. This method leaves the department with a potential challenge of identifying the “official” record and maintaining an accurate inventory of records. The solutions in place currently focus on specific business units, but do not support an enterprise view of the department’s information assets, which could be problematic when entities interact with multiple functional areas within the department.

Two offices have undergone process design and current processes have been identified in detail. The HRO onboarding of employees and request for pay action appointment package, along with all EOO processes have been analyzed and mapped and are as follows:

HR Onboarding

In the current-state process, each Specialist follows a separate and distinct process flow that requires them to print multiple documents, collate informational packets, meet with each individual new hire, review all documents individually, and complete a final review with the new hire after all documents are signed. After the onboarding documents are complete, they are processed by the Human Resource Office Sr. Clerk for scanning and filing into each new hire’s e-Personnel file which is manually created with a pre-defined document taxonomy.

In-processing is a component of the HR onboarding process in which a new hire manually completes various new hire forms, their identity is E-Verified, they are required to manually sign acknowledgements/document receipts, and the Personnel Action Request (PAR) is created in the People First system (see appendix A).

The benefits process is a component of the HR onboarding process in which a new hire is informed of their options for employee benefits, resources are provided and reviewed with the Specialist in order to enroll in benefits, and the new hire is required to manually sign several FDOT memoranda (see appendix B).

The retirement process is a component of the HR onboarding process in which a new hire is informed of their options for retirement benefits, resources are provided and reviewed with the Specialist in order to enroll in a retirement plan, and the new hire is required to manually sign FDOT forms (see Appendix C).

The deferred compensation process is a component of the HR onboarding process in which a new hire is informed of their options for deferred compensation benefits with resources provided and reviewed with the Specialist (see Appendix D).

HRO Request for Pay Action (RPA) Appointment package

In the current-state process, each individual user has a separate and important role that requires them to either print multiple documents, collate appointment packages, manually complete an RPA form, or review each separate document with the requirement of a signature for approval. These activities are done with the overall purpose of moving a candidate for a position to new hire status through the appointment package process. After the appointment package is complete in its entirety, the appointment package and RPA form are processed by the HRO Sr. Clerk for scanning and filing into either the new hire’s e-Personnel file which is manually created with a pre-defined document taxonomy or an established FDOT employee’s e-Personnel file. This highly duplicative current-state process reduces the amount of time the Specialists have to serve both the new hires and other employees due to the time spent managing and routing hard copies.

The appointment package process is when a Requestor manually completes an RPA form and attaches the appointment package to be routed through the signatory process. Signatories receive, review, and approve with a manual signature the appointment package and RPA form prior to the onboarding process or an existing employee adjustment, such as an employee pay increase, promotion, separation, etc. (see Appendix E).

EOO

Contract Compliance (see Appendix F & G)

Contractor-facing processes involve contractors that work with FDOT completing required documentation (Federal Form 1391 for the July Report, Officer Update, and the Disadvantaged Business Enterprise (DBE) Affirmative Action Plan) on an annual basis with the purpose of the contractor maintaining compliance with FDOT and federal standards. These forms and reports are submitted manually and letters are in turn mailed to the customer. If forms are submitted with errors, it is necessary for EOO staff to spend extra time with the submission and contractor. Once information is finalized it is uploaded to the department's website.

Internal-facing processes involve the Central Office (CO) coordinating with the District Offices for the completion of their annual Quality Assurance Review (QAR) and On the Job Training (OJT) reports with the purpose of FDOT maintaining compliance with the state and federal standards. These processes are also completed manually and involve mailing of forms and reports, and uploading of information once it is received by EOO staff.

Disadvantaged Business Enterprise (DBE) (see Appendix H)

A DBE Applicant submits a DBE application to the department to be considered eligible for DBE status. A DBE submits required no change declaration information each year to the department to verify that the business still qualifies as a DBE. In the case that a DBE does not verify itself as eligible to be a DBE, the department changes the business status to Other Business Enterprise (OBE) and allows for additional time to certify its eligibility. FDOT will change a DBE's status to OBE in the event of receiving a notification regarding potential fraud, death or incarceration and allow for the DBE's response. This process involves a paper application and letters to be mailed to the submitter. Often there are errors in the application and additional correspondence is necessary.

Investigations (see Appendix I)

A complainant communicates a complaint that triggers the Investigations intake process. As a result of a complaint being filed, the EOO State Title VI Coordinator (Title VI) or EEO Investigator (Title VII or Management Directed) determines if an investigation is necessary and if so, investigates. The investigation results are reviewed, stored and made available for public record. This process is currently accomplished manually, with minimal traceability.

2. Assumptions and Constraints

This section addresses assumptions which may impact or influence the department's Paperless Reengineering initiative. It also outlines potential constraints that could impact the outcome of proposed solutions.

Assumptions

- The initiative will require investment of resources from management at all levels.
- There are employees who are content with the current processes and are not comfortable with all-electronic processes.
- Training and socialization will be needed to transition from current processes to paperless.
- If the department is not able to gain funding for this initiative, it would continue to use manual/paper processing. Using manual/paper processes results in inefficiencies which affect external and internal customers.
- FDOT will continue to require some information to be submitted timely to comply with various regulations. Manual processes introduce the possibility of error.
- Any solution chosen will require some level of customization and configuration to meet the department's business and technical needs and requirements. The proposed solution will require the least amount of customization and configuration and will be the most cost-effective solution.
- Adopting an alternative solution, such as remaining with the current solution, could result in higher error rates, which would necessitate increased oversight of department managerial staff to ensure compliance with regulations.

Constraints

- Employees will need to commit time to business process reengineering while continuing to perform their daily duties.
- FDOT employees are negatively affected by the volume of manual input required.

- FDOT external and internal customers and FDOT as an agency are negatively affected by the delays that take place because of the manual processes currently in place.
- FDOT currently is at risk for possible litigation because of the opportunity for error and loss of paper forms.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

High level business requirements have been completed for six areas of the department. Based on discussion of the business needs of the various functional areas participating in the sessions, more than 200 requirements were identified. At an implementation level, many of the requirements are unique to the individual functional areas. However, from an ECM perspective, the requirements generally roll up into many common features that are needed to support the specific needs of each area. For example, Contract Compliance has a need to receive information or documents uploaded by vendors who are external to the FDOT network. DBE has a similar need to receive information and attached documents from vendors. Both need capabilities to launch workflows when certain items are received. Similarly, functionality is needed but the implementation details might be slightly different. Reference the table below detailing the high-level requirements.

Requirement	Type	Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function	
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required			Transactional
Ability to enforce a single channel for vendor invoice submissions for invoices for those not handled by another system such as MFMP.	x													
Ability to enforce a single channel for internal requests for payment.	x											Arrive via e-mail, hard copy, etc.		

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area						Other			Comments, Rule/Statute/PNP Reference	Sub-function	
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required			Transactional
Ability to OCR data from submitted forms for input into current systems.	x												Would eliminate some manual keying into the Single Audit Reporting System (SARS).	
Ability to receive Property Management requests online.	x												Currently manual process. Items \$1,000 and above, or considered "attractive item."	
Ability to complete online checklists associated with Federal Projects as a part of workflow.	x												PCM Closeout Checklist is an example.	
Ability to receive documents electronically and route them through workflow for approval and management	x	-						x					Form #350-000-15 Emergency Local Government Emergency Relief Reimbursement Agreement, for example.	
Ability to enforce enterprise document taxonomy and metadata for indexing.	x							x					Is an issue across the org, noted in Financial Management as an issue for retrieving documents when they are indexed incorrectly due to human error.	

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to support on-line application submission.	x					x							DBE Application	Disadvantaged Business Enterprise DBE
Ability to receive no-change declarations online annually.	x					x							DBE Application	Disadvantaged Business Enterprise DBE
Ability to securely receive application attachments.	x	-				x							For example, federal tax forms	Disadvantaged Business Enterprise DBE
Ability to receive online changes of owner or contact information or add NAICS codes.	x	-				x								Disadvantaged Business Enterprise DBE
Must provide content creation workflow for documents.	x	-				x							Contract Compliance manual, for example	EOO Contract Compliance EOO CC
Ability to receive online data for Contractor-submitted Federal 1391 and 1392 format for July Report.	x					x							CC July report	EOO Contract Compliance EOO CC
Ability to receive EEO complaints online.	x					x							Title VI, Title VII, Contract Compliance	EOO Investigations EOO-INV

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to print any EEO forms	x					x							EEO Online Forms	EEO Investigations EEO-INV
Ability to upload attachments in multiple formats	x					x							EEO Investigations creates audio files. Other areas might need to upload images.	EEO Investigations EEO-INV
Ability to create an electronic hiring package.	x		x											Human Resources HR-REC-SELEC
Provide all-electronic interface to reduce/eliminate scanning of paper documents.	x		x											Human Resources HR-GENERAL
Ability to capture and reuse basic candidate information later in the process.	x		x										For example, the candidate has to provide Emergency contact information more than once.	Human Resources HR-REC-SELEC
Ability to provide single point of entry for data.	x		x											Human Resources HR-GENERAL

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to capture and manage externally created forms and documents.	x		x										Most HR processes utilize forms from other state and federal agencies - USDOL, FL Division of Retirement, IRS, USCIS, Commission on Ethics, DBPR, etc.	Human Resources HR-GENERAL
Should enforce standardization of indexing/metadata.	x							x						Office of Information Technology TECH
Ability to re-use data for future transactions.	x							x					Such as not creating a new AARF to add a new user privilege, but rather recall, revise, and re-approve an existing base user request.	Office of Information Technology OIT-GENERAL
Ability to submit Request for Procurement Action and Request for Advertisement online.	x			x									Procurement Action and Request for Advertisement	Procurement - Commodities/ Contractual Services PROC-C; Procurement - Professional Services PROC
Ability to receive externally submitted documents and route to proper workflow and person based on unique identifier	x			x									For example, Request for Quote Number	Procurement - Commodities/ Contractual Services PROC-C

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to scan documents that cannot be sent electronically, or must be validated before converting to electronic format.	x			x									For example, Insurance Certificates, or other certifications or documents requiring a raised seal, such as Power of Attorney, Bonds, Consents.	Procurement - Commodities/ Contractual Services PROC-C
Ability to check for "completeness" of external submission, based on document types uploaded.	x			x										Procurement - Commodities/ Contractual Services PROC-C
Electronic processes replacing current forms must be compliant with statute/rule/policy requirements.	x			x				x						Procurement - Commodities/ Contractual Services PROC-C
Ability to accept AFP via a web-based tool (without spreadsheet)	x			x									Future capability - Web-based submission of AFP. Generic requirement, ability to collect data via online tool.	Procurement - Professional Services PROC

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to transfer data provided online by vendors to other documents.													For example, transferring AFP data to contracts.	
Ability to initially capture information provided online by external entities into FDOT systems	x			x									For example, pre-qual information or capturing assignment agreement data into systems.	Procurement - Professional Services PROC
Ability for external entities to periodically provide updates to information that is utilized in FDOT systems (after FDOT Review)	x			x									For example, updating for pre-qual information annually, or updating assignment agreement data into systems.	
Ability to prepopulate data on electronic forms from various systems (Depending on task - APO, SRS, PSI).	x			x										Procurement - Professional Services PROC
Ability for vendors to upload/creat	x			x				x					Procurement prequalification process.	Procurement - Professional Services PROC

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
e online application or prequalification packages.														
Ability to convert paper records to electronic records for retention purposes.	x								x				Versus sending them to the warehouse as paper records.	Support Services DOC-CTRL
Ability to prevent submission of incomplete transactional request.	x								x				For example, document request that does not have some form of approval by Custodial Manager.	Support Services DOC-CTRL
Ability to enforce enterprise document taxonomy and metadata for indexing.	x								x				Is an issue across the organization	Support Services DOC-CTRL
Ability to pre-populate electronic forms/requests based on user ID and functional area.	x								x				For doc control, basic identifying information is the same across multiple forms.	Support Services DOC-CTRL
Ability for users to create an online index of contents in a records disposition request.	x				x								Doc Control requirement.	Support Services DOC-CTRL

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability for Custodial units to create and maintain records inventories online.	x								x				Current issue for Doc Control	Support Services DOC-CTRL
Ability to incorporate external electronic signatures into approval processes.	x								x				For example, Vendor VP must sign-off on building access request.	Support Services ACCESS
Ability to check visitors in electronically	x				x								Eliminating a paper form and providing tracking.	Support Services ACCESS
Routing the access requests electronically	x				x									
Ability to scan identification cards when visitors check in.	x				x								Currently manually copy them.	Support Services ACCESS
Ability to receive Property Management requests online.	x				x								Certification of Surplus Property Form (#350-090-05)	Support Services SURPLUS
Manage														
Ability to utilize electronic signatures for internal documents.	x								x				AP - Contract Summary forms.	

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

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	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required			Transactional
Ability to utilize electronic signatures for external documents.	x								x				For example, documents sent to DFS as hardcopy today.	
Ability to manage creation and approval of transactional requests via workflow.	x								x				Signature Authorization	
Ability to route Property Management transactions through approval workflow based on functional area and value of item(s).	x												Currently manual process.	
Ability to trigger Property "Advertisement" via online request prior to sending work order to Surplus Property to dispose of property.	x				x								Currently manual process.	

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to automate workflow for approval and processing of refunds related to Local Funding Agreements.	x								x				Approval of these contracts occurs before Accounting receives the contract. Refund process has an internal workflow. Need to see agreements for changes occur.	
Ability to present checklists that are integrated with workflow.	x								x				For example, Accounting has a checklist associated with Local Funding Agreement refunds.	
Ability to store and manage insurance forms online.	x												Hard copy documents that are currently scanned.	
Ability to add additional retention metadata to ensure that documents used in special circumstances are maintained.	x								x				For example, disaster-related documents. Need to be associated with the particular event, and maintained years after the event-related work is completed. Also, bonds. Bond-related docs are kept for the life of the bond plus 3 years.	
Ability to limit access to documents/data based on workgroup.		x							x					

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

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	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to limit access to documents containing personally identifying data such as SSN or FEIN.		x							x					
Must support multi-level internal review of application packages	x								x				DBE Application	Disadvantaged Business Enterprise DBE
Capability to notify applicants of deficiencies.	x					x							DBE Application - incomplete applications, forms	Disadvantaged Business Enterprise DBE
Ability to notify applicants of approval/denial.	x		x			x							DBE Application	Disadvantaged Business Enterprise DBE
Ability to generate periodic notifications to DBEs.	x					x							For example, anniversary letter, notification to submit updated DBE information, or no change declaration.	Disadvantaged Business Enterprise DBE
Ability to make workflow assignments based on configurable business rules (i.e., geography, skillset, etc.)	x					x								Disadvantaged Business Enterprise DBE
Ability to view staff workflow	x					x								Disadvantaged Business

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
assignments and status														Enterprise DBE
Ability to update online DBE tables/reports in EOR from Paperless application	x					x								Disadvantaged Business Enterprise DBE
Must be able to integrate application status into online view for applicants to check progress on application.	x					x								Disadvantaged Business Enterprise DBE
Must be able to generate certificate	x					x								Disadvantaged Business Enterprise DBE
Must be able to provide access to Contract Compliance for investigations /reviews.	x					x								EOO Contract Compliance EOO CC
Must provide notification of aging of workflow items	x					x							For example, DBE applications must be processed within 90 days or deemed denied. Constructive denial.	Disadvantaged Business Enterprise DBE
Must not advance application process if the application is incomplete.	x					x								Disadvantaged Business Enterprise DBE

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function	
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional			
Must provide mechanism to check for required elements of applications or other workflow packages.	x					x									Disadvantaged Business Enterprise DBE
Ability to associate anniversary letters with specific DBEs.	x					x									Disadvantaged Business Enterprise DBE
Ability to receive field (District) requests for assistance/clearification and track/manage).	x					x							Service Request concept		EOO Contract Compliance EOO CC
Ability to access electronic District documents for QA purposes	x					x							Contract Compliance		EOO Contract Compliance EOO CC
Ability to manage review/approval of field-submitted reports	x					x							CC QAR Reports		EOO Contract Compliance EOO CC
Ability to create and maintain online checklists	x					x							CC QAR checklist		EOO Contract Compliance EOO CC

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to receive contractor-submitted information directly into workflow for approval	x					x							EEO CC EEO Officer Notifications, DBE Affirmative Action Plans	EEO Contract Compliance EEO CC
Ability to generate notifications to contractors or other stakeholders when requests have been fulfilled by FDOT	x					x							EEO Officer Notification acknowledgement	EEO Contract Compliance EEO CC
Ability to interface with exiting systems to update reporting databases	x					x							EOR EEO Officers and Affirmative Action Plans report - FDOT Website	EEO Contract Compliance EEO CC
Ability to track status of EEO Officer assessment results	x					x								EEO Contract Compliance EEO CC
Ability to create workflow items for review/approval of Contractor reports submitted online.	x					x							CC July report	EEO Contract Compliance EEO CC

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to aggregate all approved Contractor 1391 and 1392 reports into a consolidated report for the department	x					x							CC July report	EOO Contract Compliance EOO CC
Ability to allow management review/approval of the July report	x					x							CC July report	EOO Contract Compliance EOO CC
Ability to limit access to data containing FEIN		x						x					EOO general	EOO Contract Compliance EOO CC
Ability to automatically notify Primes of need to update Affirmative Action Plans (every 3 years).	x					x							EOO Contract Compliance	EOO Contract Compliance EOO CC
Ability to accept/generate electronic signatures for contract or grant-related documents.	x					x								EOO Contract Compliance EOO CC

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to create an electronic case file consisting of multiple large and small documents.	x					x							Similar processes in DBE, Procurement, other areas needing to manage a group of documents as a single entity with a defined outcome.	EOO Investigations EOO-INV
Ability to flag records to prevent release while certain workflows have control of the documents.	x								x				For example, the ability to limit access to case-related records during an active investigation.	EOO Investigations EOO-INV
Ability to route electronic case files and associated documents to multiple reviewers.	x								x					EOO Investigations EOO-INV
Ability to track and report on open and closed complaints.	x					x							Historical and current.	EOO Investigations EOO-INV
Ability to interface or upload complaints to database.	x					x								EOO Investigations EOO-INV
Ability to manage user requests through workflow for development and approval	x								x			x	Travel and IT-related processes raised most frequently.	General

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
of transactional processes.														
Ability to obtain sign-offs on hiring packages using electronic signature.	x		x											Human Resources HR-REC-SELEC
Ability to route hiring package through configurable workflow for approval.	x		x											Human Resources HR-REC-SELEC
Ability to interface with PeopleFirst to transfer data upon completion of hiring process.	x		x											Human Resources HR-REC-SELEC
Provide an API between systems to eliminate redundant data entry.	x		x										Goes beyond Paperless.	Human Resources HR-GENERAL
Ability to create an entirely electronic Personnel record.	x		x											Human Resources HR-GENERAL
Ability to manage Request for Payroll	x		x											Human Resources HR-PAY

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Action via electronic creation and approval workflow.														
Ability to manage Workers Comp requests (internal components) via an electronic creation and approval workflow.	x		x										Require links to external processes.	Human Resources HR-WORK-COMP
Ability to manage Retirement requests (internal components) via an electronic creation and approval workflow.	x		x										Require links to external processes.	Human Resources HR-RETIRE
Ability to manage multiple complex approval workflows.	x		x											Human Resources HR-GENERAL
Ability to provide integrated workflows for HR across Central Office and Districts.	x		x											Human Resources HR-GENERAL

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to manage classification changes (internal components) via an electronic creation and approval workflow.	x		x										Classification changes are sent to DMS for approval, then back to FDOT for implementation.	Human Resources HR-CLASSIFICATION
Ability to transmit documents to DMS or other entities with electronic signatures.	x		x										For example, classification changes or Career Service to SES/SES to Career Service changes.	Human Resources HR-CLASSIFICATION
Ability to process transactional user requests via electronic workflow.	x		x						x				For example request for uniform allowance.	Human Resources HR-GENERAL
Ability to process transactional user requests via electronic workflow.	x		x						x				For example, Leave of Absence form, Military Leave, FMLA, etc.	Human Resources HR-ATT-LEAVE
Ability to automate notification system for user transactions	x								x				Example: Notifications need to be sent between HR and Security Access when an employee leaves.	General

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to provide electronic notifications based on request type and other business rules.	x		x						x				For example, notification to payroll is a leave of absence request is longer than 30 days.	Human Resources HR-ATT-LEAVE
Ability to track progress of a request against statutory or other mandatory timelines.	x		x						x				Processes involve external organizations and requirements.	Human Resources HR-WORK-COMP
Ability to manage contractor time reporting electronically	x							x					Predominantly OIT, but affects other areas using hourly contractors.	Office of Information Technology OIT-APP-SVCS
Ability to allow external entities to electronically sign documents	x							x						Office of Information Technology OIT-GENERAL
Ability to manage user requests through electronic workflow for development and approval of transactional processes.	x							x					For example, Elevated Security access. Travel requests. Database change requests.	Office of Information Technology OIT-GENERAL

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to generate secure electronic signatures for key approval processes.	x							x					For example, Elevated Security access, vendor access requests, new employee processes.	Office of Information Technology OIT-GENERAL
Ability to interface with existing systems to launch workflows in specialized applications such as Cherwell.	x								x				Potential for self-service portal for on-boarding, IT requests.	Office of Information Technology OIT-GENERAL
Must adhere to OIT design standards for look and feel, and for workflow design.	x							x						Office of Information Technology OIT-QUAL-STDS
Ability to utilize electronic signatures for Property Management transactions.	x							x					For example, distributing and returning computers.	Office of Information Technology OIT-GENERAL
Ability to manage creation and approval of transactional requests via workflow.	x							x					Such as requesting web migrations, batch job services, webmaster tasks	Office of Information Technology OIT-GENERAL

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to have a unified electronic workflow for creation of content, review of content, and approval of content.	x						x						Policy Management uses PIMS and two SharePoint systems.	Organizational Development OD-POL-MGT
Ability to manage creation and approval of transactional requests via workflow.	x						x					x	Policy Management process to allow users to request changes to forms or procedures. Request for Form Action	Organizational Development OD-POL-MGT
Ability to route workflow items for approval based on item type and user flags.	x						x						For example, if a policy or form update appears to have Legal or Financial impacts, must include Legal and Comptroller in the review/approval process.	Organizational Development OD-POL-MGT
Must adhere to OIT design standards for look and feel, and for workflow design.	x						x						No current standards for SharePoint design are enforced.	Organizational Development OD-POL-MGT
Ability to provide traceability across "forms" and procedures to link to statute, rule, related policy,	x								x					Organizational Development OD-POL-MGT

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area						Other			Comments, Rule/Statute/PNP Reference	Sub-function	
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required			Transactional
related procedures.														
Ability to prevent action on requests to revise "forms" or procedures prior to management approval.	x								x					Organizational Development OD-POL-MGT
Ability to link to FDOT approved data to determine basic supervisory relationships for approval purposes.	x								x				Applies to many approval workflows	Organizational Development OD-POL-MGT
Ability to manage creation and approval of transactional requests via workflow.	x							x				x	Training requests	Organizational Development OD-TRAIN
Ability to share data with external systems upon workflow creation or approval.	x							x					Learning Management System, for example.	Organizational Development OD-TRAIN
Ability to have a unified electronic workflow for creation of content, review of	x								x				QAR process	Organizational Development OD-QUAL

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function	
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional			
content, and approval of content.															
Ability to track status of workflow items.	x								x				QAR process, QAR Results, Corrective Action Plans (CAPs).	Organizational Development OD-QUAL	
Ability to utilize electronic signatures for workflow approval purposes.	x								x					Organizational Development OD-POL-MGT	
Ability to route, review and approve user requests/documents electronically	x			x					x				Request for Procurement, Request for Advertising, for example.	Procurement - Commodities/ Contractual Services PROC-C	
Ability to assign approved Request for Procurement Action to Procurement resource.	x			x									Request for Procurement, Request for Advertising, for example.	Procurement - Commodities/ Contractual Services PROC-C	
Ability to route to proper Procurement workflow based on configurable business rules.	x			x									\$\$ Amount drives procurement type.	Procurement - Commodities/ Contractual Services PROC-C	

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to create and route justifications and approvals, based on procurement type/amount	x			x									As examples, ITNs require a justification, informal quotes require an approval form.	Procurement - Commodities/ Contractual Services PROC-C
Ability to capture legally acceptable electronic signatures meeting advanced authentication standards.	x			x									For example, xDTM. Covers many different doc types - Single Source approvals, Advertisements, etc.	Procurement - Commodities/ Contractual Services PROC-C
Ability to provide configurable workflow for Task Assignment and funding Authorization Letters.	x			x									Purchases of approved Master Service Agreements. Amounts over \$1M must be reviewed by Procurement. Other do not require review.	Procurement - Commodities/ Contractual Services PROC-C
Ability to manage an approved library of boilerplate language to ensure consistency across documents	x			x					x				For example, contract boilerplate or other standard language	Procurement - Commodities/ Contractual Services PROC-C
Ability to track workflow/review assignments for	x			x					x				For example, evaluator assignments on ITNs.	Procurement - Commodities/ Contractual Services PROC-C

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area						Other			Comments, Rule/Statute/PNP Reference	Sub-function	
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required			Transactional
documents that are due on a deadline.														
Must provide checks and balances to ensure that all documents received/created are stored in this system in a manner meeting records requirements	x			x					x				All. Noted in Procurement and other processes that this is an individual responsibility, but no checks and balances to ensure that everything is put in the various repositories.	Procurement - Commodities/ Contractual Services PROC-C
Ability to conduct parallel review of documents that do not require sequential review.	x			x					x				For example, breaking a document among various reviewers, based on subject expertise.	Procurement - Commodities/ Contractual Services PROC-C

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to create transactional requests and route them for approval without the need for electronic form.	x			x					x				For example, "Request for Copier Lease Justification." This could be a completely electronic process, in the form of a "ticket." Same for IRR Justifications for IT Resource, which currently requires wet signature.	Procurement - Commodities/ Contractual Services PROC-C
Must support multiple approval workflows, based on configurable rules (i.e., type and amount, request type).	x			x					x					Procurement - Commodities/ Contractual Services PROC-C
Ability to utilize secure digital signatures.	x			x					x				Procurement in the middle of DocuSign implementation for use in contract routing and approval.	Procurement - Professional Services PROC
Shall provide configurable workflows for processes with variable workflows.	x			x					x					Procurement - Professional Services PROC
Ability to provide rule-driven approval workflows,	x			x					x				Contracts, Attestations, Legal approval on Mergers, ITNs, etc.	Procurement - Professional Services PROC

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
based on document type or contract amount.														
Ability to route electronically signed documents for review	x			x					x				Contract Attestation, Contracts	Procurement - Professional Services PROC
Ability to create checklists linked to workflow items	x			x					x				Contract Attestation Checklist	Procurement - Professional Services PROC
Ability to limit access based on document type and content	x			x					x				Audits, Pre-qualification letters, Automated Fee Proposals in Procurement	Procurement - Professional Services PROC
Ability to set "Confidential" flags on documents based on document type, workflow step, or status.	x			x					x				Procurement documents - shielded until award.	Procurement - Professional Services PROC
Ability to negotiate AFP online with vendor.	x			x										Procurement - Professional Services PROC
Ability to manage collaborative content creation workflow	x			x									ITNs, RFP's, Contracts, etc.	Procurement - Professional Services PROC

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
(versus sign-off)														
Ability to process transactional user requests via electronic workflow.	x								x				Document requests - Records Submittal, Records Disposition, Records Inventory, Initial Content	Support Services DOC-CTRL
Ability to assign workflow items to FDOT staff based on configurable business rules.	x								x				Doc control - once forms approved by Custodial Office Manager, routed to Doc Control Technician, then to Doc control Manager for approval.	Support Services DOC-CTRL
Ability to route incomplete transactional requests back to originator.	x								x				For example, document request that has missing or incomplete information that is not clear.	Support Services DOC-CTRL
Ability to limit access to documents based on document type and other metadata.		x							x				For example, limiting access to records containing PII, or those otherwise excluded by Ch. 119, F.S.	Support Services DOC-CTRL
Ability to route requests to multiple levels of approval.	x								x					Support Services DOC-CTRL

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to electronically approve transactional requests.	x								x				Replace hard signatures on Doc Control forms, for example.	Support Services DOC-CTRL
Ability to generate a report listing records ready for disposition (regardless of format).	x				x									Support Services DOC-CTRL
Ability to route transaction request for multiple levels of approval, based on request type and other attributes of the request.	x				x								For example, requests for restricted access travel all the way to the Secretary.	Support Services ACCESS
Ability to maintain an electronic file of all employee and contractor access changes.	x				x								For both active and inactive employees and contractors.	Support Services ACCESS
Ability to integrate with other off-boarding processes to provide timely termination of access when an	x				x									Support Services ACCESS

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
employee or contractor is separated.														
Ability to route Property Management transactions through approval workflow based on functional area and value of item(s).	x				x									Support Services SURPLUS
Ability to trigger Property "Advertisement" via online request prior to sending work order to Surplus Property to dispose of property.	x				x									Support Services SURPLUS
Ability to electronically sign forms.	x							x					For example, both the request and the conformation of release on the Certification of Surplus Property Form.	Support Services SURPLUS
Ability to submit QAR data online.	x				x								For example, spot audits of cleaning services, other QAR processes.	Support Services SURPLUS
Ability to provide data from Surplus transactions to Procurement	x				x									Support Services SURPLUS

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
systems used for Property Management														
Ability to provide a single department-wide electronic workflow for Budget Issue/LBR development and approval.	x												Currently there are processes at the District level, then a SharePoint process at the CO level.	
Ability to route LBR components separately for review, based on content and request type.	x												For example, Schedule IV-Bs for technology projects require input from IT, but other types of requests might not.	
Ability to provide a single department-wide electronic workflow for Capital Improvement Plans (CIPs) development and approval.	x												Currently in SharePoint.	
Must provide a single repository for all documents related to federal grants.	x												Uploaded in to the Federal Grant Tracking System (FGTS).	

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

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	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Must be able to provide workflow related to transactional requests.	x												For example, in Budget, there is a form to request re-allocation of the budget, requiring several layers of approval.	
Must be able to track accountability process functions	x												For example, in Budget there are forms that needs approvals at different levels, budget needs to be able to track this accountability.	
Ability to accept/generate electronic signatures for budget issues approval.	x												For example, budget issues in SharePoint currently require print, signature then scan back into SharePoint.	
Store														
Ability to create a consolidated view of documents related to particular functions or projects, regardless of owning entity (CO or District).	x	-							x				Documents are currently scattered across multiple repositories (EDMS, SharePoint, shared drives, District SP sites, District shared drives).	

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Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Must provide long-term storage with access to electronic documents over long periods of time into the future.	x	-							x				Industry standards with long track record of success. No proprietary formats that might not be available in the future.	
Ability to manage document retention based on GS1-SL and FDOT Retention Schedule.	x	-							x				EOO - 4 years after Investigation of employment or discrimination complaint.	EOO Investigations EOO-INV
Ability to maintain confidentiality of records containing PII.		x	x										SSN, Health information.	Human Resources HR-GENERAL
Must enforce GS1-SL retention requirements	x	-						x					Offices currently not purging documents.	Office of Information Technology TECH
Must provide a consistent purge requirement/ approval process.	x	-							x					Office of Information Technology TECH
Must provide storage limit capacity notifications	x	-							x					Office of Information Technology TECH
Must utilize efficient storage of document/im	x	-							x					Office of Information Technology TECH

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	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
ages using industry leading compression algorithms.														
Must provide "hot" and "cold" storage and retrieval capability.	x	-						x						Office of Information Technology TECH
Ability to auto-archive and log folders/files without activity for a pre-determined period of time	x	-						x						Office of Information Technology TECH
Ability to limit access to key documents/information based on data classification.		x							x					Office of Information Technology OIT-GENERAL
Ability to limit access to documents containing personally identifying data such as SSN or FEIN, or sensitive system security information.		x							x					Office of Information Technology OIT-GENERAL

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to house all contract related documents in one secure repository.	x			x									Currently saving docs in shared drive, some in SharePoint.	Procurement - Professional Services PROC
Ability to manage document retention using business rules based on document type, creation date, last active date, and other tags such as "litigation-related."	x				x									Support Services DOC-CTRL
Ability to manage document retention based on GS1-SL and FDOT Retention Schedule.	x				x									Support Services DOC-CTRL
Ability to track location and other information related to records that must remain as paper.	x				x								Information such as box number, location of box, purge data, disposition number, tracking number and office of origination.	Support Services DOC-CTRL

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	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional			
Preserve															
Must scan all historical and in-process applications at time of cutover.	x					x									Disadvantaged Business Enterprise DBE
Must comply with Title 49 Code of Federal Regulations Part 26 to protect DBE applications from Public Records releases.	x					x									Disadvantaged Business Enterprise DBE
Ability to retrieve documents within specified timeframes for Public Records, litigation or investigation purposes.		x							x				General, identified in most processes		EOO Contract Compliance EOO CC
Must enforce a consolidated backup strategy.	x							x					Technical information.		Office of Information Technology TECH
Must utilize FDOT backup strategy.	x							x							Office of Information Technology TECH

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Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional		
Ability to electronically archive and retrieve final documents.	x			x					x				Signed Contracts, Attestations, other procurement forms	Procurement - Professional Services PROC
Ability to retain certain records permanently, based on retention schedules.	x				x									Support Services DOC-CTRL
Must be maintainable with FDOT resources.		x							x					General
Deliver														
Must allow applicants to print federal forms in original format, even when data is supplied online.	x		x						x					Disadvantaged Business Enterprise DBE
Must be able to search for records and defined metadata with multiple filters such as: name, code, specialty, FEIN	x								x					Disadvantaged Business Enterprise DBE
Ability to distribute new hire information electronically	x		x										Benefits, payroll, leave currently handed out as printed material.	Human Resources HR-REC-SELEC

Requirement	Type		Functional Area							Other			Comments, Rule/Statute/PNP Reference	Sub-function	
	Functional	Non-Functional	HR	Procurement	Support Svcs	Equal Opp	Org Dev	Information Tech	Enterprise	Priority	Tool Required	Transactional			
Ability to utilize keyword search.	x								x						Office of Information Technology TECH
Ability to conduct full text search across contents and metadata.	x								x						Office of Information Technology TECH
Ability to redact proprietary/confidential information from documents.	x			x					x				For example, Procurement documents and other sensitive documents, per statute.		Procurement - Professional Services PROC
Ability to for users look up records dispositions online.	x								x						Support Services DOC-CTRL
Must provide full-text search capabilities across all documents, including scanned documents.	x								x						General

2. Business Solution Alternatives

- Continue the manual processes already in place
- Allow offices to individually review their processes and make them paperless where possible rather than at an enterprise level
- Consolidate forms where possible

3. Rationale for Selection

FDOT already owns one of the top-rated EDMS/Workflow solutions in OpenText. In addition, FDOT has implemented Cherwell within OIT and Support Services as a Service Management request tool, and this tool has broad capabilities in terms of managing transactional request workflows. The department has invested in SharePoint

and is utilizing it for an increasing number of request processes and workflows. By leveraging the resources FDOT already owns, the department will be able to realize a return on investment much sooner than if any other technical option were entertained.

4. Recommended Business Solution

After extensive analysis of requirements, a market scan, and review of existing technologies at FDOT, it was recommended FDOT leverages current technology investments that were being underutilized (in terms of capability). These investments include OpenText, Cherwell, and SharePoint. Utilizing these investments will also allow the department to achieve results in a shorter time, with reduced risk and cost.

D. Functional and Technical Requirements

By utilizing current solutions with EDMS, Cherwell, and SharePoint, the Paperless Reengineering initiative must provide the functionality necessary to capture, manage, preserve and deliver processes in a paperless environment, and must effectively manage the volume of information in all processes. The solution(s) will decrease the time needed for capturing, managing, preserving, delivering and approving processes, while providing more timely and accurate access to information statewide.

The proposed solutions must include the following key functions agency-wide:

REQUIREMENT
Ability to scan documents that cannot be sent electronically, or must be validated before converting to electronic format
Ability to OCR data from submitted forms for input into current systems
Ability to enforce enterprise document taxonomy and metadata for indexing
Ability to support on-line document submission
Ability to securely receive document attachments
Must provide content creation workflow for documents
Ability to receive data online for use in FDOT systems and reports
Ability to upload attachments in multiple formats
Ability to deploy an all-electronic interface to reduce/eliminate scanning of paper documents
Ability to capture and reuse basic user information for future transactions
Ability to provide single point of entry for data
Ability to route externally submitted documents to the proper workflow and person based on unique identifier
Ability to check for "completeness" of external submission, based on document types uploaded
Electronic processes replacing current forms must be compliant with Florida statute/rule/policy requirements
Ability to transfer data provided online to other documents
Ability to initially capture information provided online by external entities into FDOT systems
Ability for external entities to periodically provide updates to information that is utilized in FDOT systems (after FDOT Review)
Ability to prepopulate data on electronic forms from various systems
Ability to convert paper records to electronic records for retention purposes
Ability to prevent submission of incomplete transactional requests
Ability to pre-populate electronic forms/requests based on user ID and functional area

REQUIREMENT
Ability for Custodial units to create and maintain records inventories online
Ability to present checklists that are integrated with workflow
Ability to add additional retention metadata to ensure that documents used in special circumstances are maintained
Ability to limit access to documents/data based on workgroup
Must support multi-level internal review of workflow items
Ability to notify requesters (internal or external) of workflow status for submitted requests
Ability to make workflow assignments based on configurable business rules (i.e., geography, skillset, etc.)
Ability to view staff workflow assignments and status
Must be able to integrate workflow status into external online view
Must provide notification of aging of workflow items
Must not advance workflow process if workflow requirements are not complete
Must provide mechanism to check for required elements of applications or other workflow packages
Ability for authorized users to access documents across the enterprise
Ability to receive contractor-submitted information directly into workflow for approval
Ability to generate notifications to contractors or other stakeholders when requests have been fulfilled by FDOT
Ability to interface with exiting systems to update reporting databases
Ability to create an electronic "file" consisting of multiple large and small documents
Ability to flag records to prevent release while certain workflows have control of the documents
Ability to route electronic case files and associated documents to multiple reviewers
Ability to change workflow configuration for special circumstances
Ability to interface with external systems to transfer data upon completion of workflow processes
Ability to manage multiple complex approval workflows
Ability to provide integrated workflows for HR across Central Office and Districts
Ability to automate notification system for user transactions
Ability to provide electronic notifications based on request type and other business rules
Ability to track progress of a request against statutory or other mandatory timelines
Ability to allow external entities to electronically sign documents
Ability to interface with existing systems to launch workflows in specialized applications such as Cherwell
Must adhere to OIT design standards for look and feel, and for workflow design
Ability to have a unified electronic workflow for creation of content, review of content, and approval of content
Ability to provide traceability across "forms" and procedures to link to statute, rule, related policy, related procedures
Ability to link to FDOT approved data to determine basic supervisory relationships for approval purposes
Ability to track the status of workflow items

REQUIREMENT
Ability to capture legally acceptable electronic signatures meeting advanced authentication standards
Ability to manage an approved library of boilerplate language to ensure consistency across documents
Ability to track workflow/review assignments for documents that are due on a deadline
Must provide checks and balances to ensure that all documents received/created are stored in this system in a manner meeting record requirements
Ability to conduct parallel review of documents that do not require sequential review
Ability to create transactional requests without the need for paper forms
Must support multiple approval workflows, based on configurable rules (i.e., type and amount, request type)
Shall provide configurable workflows for processes with variable workflows
Ability to set "Confidential" flags on documents based on document type, workflow step, or status
Ability to assign workflow items to FDOT staff based on configurable business rules
Ability to route incomplete transactional requests back to originator
Ability to electronically approve transactional requests
Ability to generate a report listing records ready for disposition (regardless of format)
Ability to electronically sign forms
Ability to route information to user-defined external recipients
Ability to require deadlines for completed forms by user or user group
Ability to allow multiple request/approve cycles
Ability to interface with the email system of record
Ability to communicate documents as an attachment to external parties (outside FDOT domain)
Ability to generate and store automatic email notifications of workflow events to intended recipients by individual or group
Ability to send system-generated notifications via email
Ability to notify users if and when a change has been made to a document
Ability to generate an email when workflow has been overridden
Ability to delegate approvals
Ability to create a consolidated view of documents related to particular functions or projects, regardless of owning entity (CO or District)
Must provide long-term storage with access to electronic documents over long periods of time into the future
Ability to manage document retention based on GS1-SL and FDOT Retention Schedule
Must provide a consistent purge requirement/approval process
Must provide storage limit capacity notifications
Must utilize efficient storage of document/images using industry leading compression algorithms
Must provide "hot" and "cold" storage and retrieval capability
Ability to auto-archive and log folders/files without activity for a pre-determined period of time
Ability to limit access to key documents/information based on data classification

REQUIREMENT
Ability to limit access to documents containing personally identifying data such as SSN or FEIN, or sensitive system security information
Ability to manage document retention using business rules based on document type, creation date, last active date, and other tags such as "litigation-related"
Ability to manage document retention based on GS1-SL and FDOT Retention Schedule
Ability to track location and other information related to records that must remain as paper
Must have version control capabilities
Ability to revert back to any previous version
Ability to view any previous version
Ability to provide a time and date stamp by version
Ability to capture a justification for version updates
Must scan all historical and in-process applications at time of cutover
Must comply with Title 49 Code of Federal Regulations Part 26 to protect DBE applications from Public Records releases
Ability to retrieve documents within specified timeframes for Public Records, litigation or investigation purposes
Must enforce a consolidated backup strategy
Must utilize FDOT backup strategy
Ability to electronically archive and retrieve final documents
Ability to retain certain records permanently, based on retention schedules
Must be maintainable with FDOT resources
Ability to allow an authorized user to revise a document within his/her respective permission levels
Ability to manage access based on defined security roles/privileges
Ability to allow an authorized user to configure a document as 'locked' or 'unlocked' by user, user role or user group
Ability to lock and unlock a certain document to specific users during specific lock-out dates
Ability to provide the option for global read-only access to documents based on user role
Flexible role-based security access and interchangeable roles
Ability to comply with FDOT security requirements
Ability to maintain an audit trail
Ability to provide a detailed log of changes made to a given document according to user or user group
Ability to protect audit trail from unauthorized access, modification, and deletion
Ability to protect the integrity of data/information stored within the system
Must be able to search for records and defined metadata with multiple filters such as: name, code, specialty, FEIN
Ability to utilize keyword search
Ability to conduct full text search across contents and metadata

REQUIREMENT
Ability to redact proprietary/confidential information from documents
Ability for users look up records dispositions online
Must provide full-text search capabilities across all documents, including scanned documents
Ability to search by specific form
Ability to sort results from most to least relevant
Ability for an authorized user to search by metadata parameters
Ability to search for active documents
Ability to search for inactive documents
Ability for an authorized user to search for all files
Ability to comply with ADA requirements
Ability to be compatible with Active Directory provisioning services
Must remain accessible 24/7 with built-in redundancy and scheduled maintenance, patches, upgrades, and new release integration must require minimal downtime.

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Implement uniform scanning processes and the ability to capture data during scanning	By being able to retrieve data that is scanned	Entire department (Internal and External) and the public	04/20-final implementation
2	Implement workflow capabilities to eliminate paper forms	By using less paper	Same as above	04/20
3	Eliminate the need for signatures through Active Directory-based sign-off, and implement electronic signatures where absolutely necessary	By signatures being electronic rather than wet	Same as above	04/20
4	Implement document-level security to ensure the integrity of documents stored in a single repository and ease of access to those documents by authorized personnel – also provide an audit mechanism that captures authorized and unauthorized access, deletions, changes, etc.	The documents will be stored securely and accessed by authorized personnel. The document management system will have the ability for auditing.	Same as above	04/20

SUCCESS CRITERIA TABLE				
5	Improve the ability to manage document retention and disposal	By documents being electronic they can be managed in a way to automate disposal based on retention schedules	FDOT	04/20
6	Ensure any solution meets basic standards, including statute/rule/policy, OIT standards, and federal requirements, such as ADA compliance, and that FDOT can maintain the solution after implementation	By technical security oversight and OIT involvement	FDOT	04/20

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

A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Reduction in time spent on tasks and costs spent on supplies in EOO	EOO budget, FDOT and taxpayers	By a decrease in office supply costs and an increase in efficiency, allowing employees to work on other tasks	<p>+ July report data input for Administrator takes two hours for each district (14 hours total or \$509/annually*).</p> <p>> For the report itself CC Administrator takes the excel data and puts it into the 1392 form, hand written. If there are errors, there can be approximately 1-2 days of additional work for each correction necessary.</p> <p>+ Officer Update notification letters account for approximately 80 letters per month (15mins/approval letter)(20hrs/mo. Or 12.5% of time or \$727/mo.*).</p> <p>+ DBE AA Plan Approval Letters account for approximately 50 letters per month (15mins/approval</p>	01/18

BENEFITS REALIZATION TABLE					
				<p>letter)(12.5hrs/mo. Or 8% of time or \$454/mo.*).</p> <p>+ OJT compilation of data takes about 2 hours per district (14 hours or \$509/annually*) or may take longer (2-3 days). > If a correction is needed an additional 1-2 days may be necessary to confirm.</p> <p>+ DBE processes approximately 125 letters per month which is comprised of generating the letter, printing the letter, signing, enclosing in the envelope and mailing the letter (approximately 30mins/letter)(62.5hrs./mo. Or 39% of time or \$2,272/mo.*).</p> <p>+ DBE processes approximately 100 letters per month which is comprised of generating the letter, printing the letter, signing, enclosing in the envelope and mailing the letter (approximately 30mins/letter)(50hrs./mo. Or 31% of time or \$1,818/mo.*).</p> <p>+ DBE processes approximately 12 letters per month (145 Nov.2015-Oct.2016) which is comprised of generating the letter, printing the letter, signing, enclosing in the envelope and mailing the letter via Certified Mail (approx. \$6.50/letter or \$78/mo. or \$936/annually) (approximately 30mins/letter)(6hrs./mo. or 3.8% of time or \$218/mo.*).</p>	

BENEFITS REALIZATION TABLE					
				Total Monthly savings based on *Blended Rate: \$5,651/mo. Or \$67,812/yr. > DBE \$4,308/mo. And CC \$1,265/mo.	
2	Reduction in time spent on RPA Appointment Package and Onboarding processes in HR	HR budget, FDOT and taxpayers	By decreasing office supply costs and increasing efficiencies (time savings)	<p>RPA/Appt. Pkg. - Complete RPA form, attach Appt. Pkg., Sign & Submit (2 hrs./ea., approx. 600 new hires/yr.) = \$122,696.10 per year</p> <p>Appt. Pkg. - Routing steps of Appt. Pkg. (2.5 hrs./ea., 5 re-routes, includes interoffice mail, walking packages, etc.)</p> <p>Appt. Pkg. - Recruitment & Selection Specialist Review (4 hrs./ea. Appt. Pkg. checklist and post-budget process, approx. 25/day, 261 work days/yr.) = \$67,447.62</p> <p>Appt. Pkg./Budget - Budget Review-approx. 1 day to complete (RPA metadata provided by HR, assume half time for future state) = \$294,470.64</p> <p>RPA/Appt. Pkg. - Signatories (3) review, approve, etc. RPA/Appt. Pkg. (avg. 30 min./signatory, CCM, SMS, Dep. Dir./Asst. Secretary) = \$69,471.68</p> <p>Appt. Pkg. - Prepare Appt. Letter and route to Requestor = \$17,177.45</p> <p>Appt. Pkg. - Scanning and file into HRO e-Personnel file per taxonomy rules (avg. 10 min/ea. 25/day, 261 work days/yr.) = \$4,812.84</p> <p>Total cost savings for RPA Appointment Package process = \$576,076.33</p> <p>Onboarding - In-Processing phase (approx. 1 hr./ea. Start-to-finish, time varies</p>	01/19

BENEFITS REALIZATION TABLE					
				depending on accuracy/completion of new hire information, previous state employee or not, etc.) = \$9,660.00 Onboarding - Retirement/Deferred Comp phase (approx. 90 min./ea. Start-to-finish) = \$19,320.00 Onboarding - Benefits phase (approx.. 45 min./ea. Start-to-finish) = \$4,830.00 Total cost savings for Onboarding process = \$33,810.00 Total cost savings for HR processes analyzed based on blended rates for Recruitment & Selection Specialists, signatories, Senior Clerks, Onboarding team, and FDOT 'All Manager' group = \$609,886.33	

Cost avoidance will be realized in the reduced use of physical resources including paper, toner, storage space, and postage. Additional benefits are anticipated in reduced time spent manually handling and processing paper documents. Electronic routing through streamlined processes allows for better customer service and elimination of redundant efforts. Automation and electronic storage offer greater security, reliability, and integrity of documents and enable staff to focus on production and job duties rather than paper shuffling.

After EOO and HRO onboarding were analyzed, a cost avoidance/efficiency of approximately \$678,000 per year was identified. There are still other areas of HRO and four additional offices that will be analyzed. Dividing the identified avoidance/efficiency per staff user within the program areas and then extrapolating for the entire F & A staff, a potential cost avoidance of \$2,114,085 per year could be realized.

B. Cost Benefit Analysis (CBA)

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

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The

Cost Benefit Analysis	
Form	Description of Data Captured
	<p>agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

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

Project	<i>Paperless & Bus. Process Reengineerig Initiative</i>	
Agency	<i>Florida Department of Transportation</i>	
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title:	
<i>Issue Code</i>	<i>Paperless and Business Process</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>John Mallette, (850) 410-5554, John.Mallette@dot.state.fl.us</i>		
Executive Sponsor	<i>Rachel Cone</i>	
Project Manager	<i>John Mallette</i>	
Prepared By	<i>John Mallette</i>	
Risk Assessment Summary		
Business Strategy	Most Aligned	Least Aligned
	Least Risk	Most Risk
Project Risk Area Breakdown		
Risk Assessment Areas		<i>Risk Exposure</i>
Strategic Assessment		LOW
Technology Exposure Assessment		LOW
Organizational Change Management Assessment		LOW
Communication Assessment		LOW
Fiscal Assessment		MEDIUM
Project Organization Assessment		MEDIUM
Project Management Assessment		LOW
Project Complexity Assessment		MEDIUM
<i>Overall Project Risk</i>		MEDIUM

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. **Current System** – There is currently no automated systems for processing documents or approvals in any of the offices within F & A.

- a. **Description of Current System**

- 1) Twenty-four (24) functions and sub-functions exist within F & A.
- 2) Five (5) major types of repositories are used to manage documents within F & A.
- 3) There is little to no automated collection of data from forms for use in other systems.
- 4) The department currently employs a variety of tools and approaches to manage the more than 350 business processes.
- 5) Some functional areas use shared drives to store documents, others use paper files and some use the EDMS for document storage. With the combination of all three (3), duplication is often encountered with different formats leaving the department with a challenge to determine ‘official’ records.
- 6) Many processes are fully manual, with paper files being moved from desk-to-desk to accomplish workflow tasks involving more than one FDOT resource.
- 7) Common use of shared drives for storage of records means that these items are not under version control, and are not available to search engines across the enterprise.

- b. **Current System Resource Requirements** – N/A, all processes are manual.

- c. **Current System Performance** – N/A, all processes are manual.

2. **Information Technology Standards**

Projects managed by Applications Services (the application development section of the Office of Information Technology) are developed following Agency for State Technology (AST) guidelines (AST Security Rule 74-2F.A.C and Project Management Rule 74-1 F.A.C), which are based on the Project Management Institute’s methodology including standard phases, tools, steps and sign-off processes. This methodology is made available to all project management and project staff working within FDOT to ensure consistent steps are followed when developing system applications.

B. Current Hardware and/or Software Inventory

Not applicable. FDOT is not replacing any hardware and/or software.

C. Proposed Technical Solution

1. **Technical Solution Alternatives**

The department currently employs a variety of tools and approaches to manage the more than 350 business processes identified during the initial inventory of forms and processes conducted in the first phase of the Paperless Reengineering initiative. In the second phase of the initiative, the team identified the following major components used to some extent by FDOT to manage workflows, documents, forms, or other content:

#	TOOL	DESCRIPTION
1	Electronic Document Management System (EDMS)	The OpenText acquired solution is currently utilized as the document repository for a variety of FDOT applications.
2	Cherwell	Currently being utilized as a help desk ticketing process with workflow capabilities.
3	SharePoint 2010 & 365	S/P 2010 - Multiple “partitions” of SharePoint are being utilized for internal workflow and document management. S/P 365 – A cloud hosted solution is being used for collaboration with external entities.

Leveraging existing solutions; EDMS, Cherwell and SharePoint, owned by the department for document management, transactional processes and workflows would meet all the business office requirements. No other technical solution alternatives are being petitioned as they would include:

- purchasing off-the-shelf solutions with considerable customization necessary to meet business office requirements
- procuring a third-party vendor for custom development
- internal development of a new paperless application
- continuing the current manual paper extension process, all of which would be less cost efficient

All the above would be less cost effective than the proposed solutions.

2. **Rationale for Selection**

FDOT currently owns a top-rated EDMS/Workflow solution in OpenText. Furthermore, FDOT has implemented Cherwell within OIT and Support Services as a service management request tool. This tool has far reaching capabilities in managing transactional request workflows. The department has invested in SharePoint and is using it for an increasing number of request processes and workflows. By leveraging resources FDOT currently owns, the department will be able to meet the requirements identified while realizing a return on investment much sooner than if any other technical alternatives were considered.

3. **Recommended Technical Solution**

A market scan, extensive analysis of requirements, and a review of existing technologies was completed and the recommendation was that FDOT leverage current technology investments that were being underutilized. These investments include OpenText, Cherwell, and SharePoint. Utilizing these investments will also allow the department to achieve results in a shorter time, with reduced risk and cost.

D. Proposed Solution Description

1. **Summary Description of Proposed System**

Since the department currently utilizes EDMS OpenText, Cherwell and SharePoint, the solution is to expand utilization of these applications. These proposed products meet all FDOT business and technical requirements currently identified including security requirements as they apply to privacy, confidentiality and public access.

EDMS maintains a top-rated electronic document management/workflow solution with OpenText. The capability to capture, store and track the lifecycle of electronic documents will meet the needs of F & A to support a paperless environment. OpenText organizes and shares electronic documents in any file format enabling users to accomplish tasks while increasing staff productivity and decreasing repetitive manual daily operational tasks. Some of the functions of OpenText include: workflow capability, associating metadata with documents, providing change request, review and approval processes to be electronically supported, control/manage document versions, draft mode and document locking, auditing capability, supports electronic signature and report-building tool for customization.

Cherwell uses intelligent interfaces and well-constructed forms to automate basic processes in a comprehensive and informative way. Cherwell currently manages issue tracking and some transactional processes, such as developer requests related to database changes within OIT. It is also used to manage workflow for Facilities work orders and will be considered for other Support Services processes that are service request based.

SharePoint is web-based and integrates with Microsoft Office. It can be used as a secure place to store, organize, share, and access information. Various offices within FDOT use SharePoint for different purposes, such as document management and process workflow. SharePoint will be considered when identifying individual requirements in the affected offices.

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

EDMS Development

Cherwell Development

EDMS FDOT Maintenance	Cherwell License/Maintenance
EDMS Storage	Cherwell FDOT Maintenance
EDMS Training	Cherwell Training
AST Maintenance Cherwell Server	AST fees- EDMS/OpenText/eDOCS
OpenText eDOCS DM Licenses	OpenText eDOCS DM Maintenance
OpenText Workflow licenses	OpenText Workflow Maintenance
Workflow Integration	Workflow Integration Maintenance
Data Migration	DocuSign
Consultant Fees	Project Oversight

E. Capacity Planning

FDOT’s data requirements for the EDMS application are currently 1TB of data storage usage and Cherwell is 6GB, all of which include active and archive data for each application. This is anticipated to fulfill FDOT data requirements for the new paperless environment for years after the process is implemented.

Servers for testing, training and production will be provided as part of the new solution. EDMS and Cherwell systems are scalable for the needs of FDOT.

EDMS will operate with approximately 300 users, Cherwell will operate with approximately 800 users. Due to planning for future paperless projects and FDOT staffing requirements, this number may increase. However, additional users can be accommodated within the system with no impact to system operations.

VII. Schedule IV-B Project Management Planning

Executive Summary

The FDOT Paperless Reengineering initiative supports the department’s mission and vision by enabling innovation and efficiency in ongoing operations in F & A. The ongoing F & A operations will institutionalize supporting business practices that engender paper reduction throughout the agency, modernize forms-driven manual business processes, and capitalize on related cost savings.

The department’s Organizational Development Team developed a 3-year plan to implement electronic forms, workflow automation, and electronic signatures to improve the efficiency of business operations within the department. The enterprise strategy will assist in developing a more coordinated and consolidated approach to records retention, document management, and disposition to align with the modernization of manual business processes throughout FDOT. Reengineering processes with eSignature technologies will better serve department employees and better meet the needs of the public. By automating manual business processes surrounding forms completion and submission, defining new requirements to govern electronic document management and records disposition, and implementing an electronic signature process, FDOT will realize savings in the following areas:

- Improved productivity
- Leaner, greener operations
- Reduced cost for storing and accessing records
- Greater employee satisfaction / remote productivity

The Paperless Initiative is a multi-year multi-phase project as depicted below:

FY 15/16 - Completed

- Phase I - The scope included providing information and recommendations to F&A on advancing paperless processes with enterprise solutions. The focus was on electronically producing, storing, and managing

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

documents to achieve the following goals; process efficiencies, improve customer service, reduce reliance on print-based resources and environmental benefits.

FY 16/17 - Completed

- Phase II - The scope of this phase was limited to the development of high-level requirements and an initiative roadmap for moving the F & A business functions to a paperless work environment by 2018.
- Phase III - The scope of this phase was to develop a high-level schedule for future phases, based on information gathered in Phase II, conduct analysis of current state of Equal Opportunity Office (EOO) to facilitate development of use-case materials to document detailed requirements supporting EOO workflows.
- Phase IV - The scope of this phase was to develop a high-level schedule for future phases, based on information gathered in Phase III, conduct analysis of current state of Human Resources to facilitate development of use-case materials to document detailed requirements, and support EOO workflows.

FY 17/18 and 18/19

- Phase IV (continued) - The scope of this phase is to implement EOO requirements and create current and future state cases for HR transactional processes.
- Phase V – The scope of this phase is to create current and future state cases for Support Services and OIT processes. This will include implementation of those processes and will transition any previously developed transactional processes to the self-service portal.

FY 18/19 and 19/20

- Phase VI – The scope of this phase is to create current and future state cases for Procurement and include implementation of Procurement transactional and approval workflows in the ECM solution and associated approvals.

FY 19/20 and 20/21

- Phase VII – The scope of this phase is to transition remaining manual transactional workflows to the self-service portal. This phase of the project will also include evaluation of remaining electronic processes and workflows within F & A to determine if it is cost-effective to transition them to a single platform.

Project Scope

Once funding is approved, the project team will continue analyzing and documenting the necessary steps to perform transitioning from the existing manual processes in F & A to a single automated paperless platform.

Milestones	No. of Days	Completion Date
Paperless Support Services and OIT Transactional Process Design	178	11/13/18
Paperless Human Resource Paperless Implementation	368	1/23/19
Paperless Procurement Process Design	178	7/5/19
Paperless Support Services and OIT Implementation	192	10/18/19

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Paperless Procurement Transactional Process Implementation	202	4/14/20
Paperless Procurement Single Platform Implementation	16	7/29/20
Paperless Single Platform Design	474	4/29/21

Project Phasing Plan

This is a three-fiscal year project managed by a team that will execute the plan when it is fully realized. The project will follow the Project Management Rule 74-1 F.A.C.

Once funding approval is given the following phases will be implemented.

FY 2018 - 19

Major work activities anticipated for Paperless Reengineering Support Services and OIT Transactional Process Design Project:

- Complete Support Services and OIT Transactional Process Paperless Reengineering Business Case
- Develop Preliminary Project Schedule
- Obtain Project Resources
- Build Support Services Transactional Use Cases
- Determine Support Services Transactional Requirements
- Build OIT Transactional Process Use Cases
- Determine OIT Transactional Requirements

Major activities anticipated for Paperless Reengineering Human Resources Implementation Project:

- Make Technology Determination Based on Previous Phase Requirements
- Define Preliminary HR Paperless Reengineering Implementation Project Schedule
- Obtain Project Resources
- Complete Self-Service Portal Design (Internal & External)
- Determine Technical/Architectural Design
- Conduct Operational Change Management (OCM) Planning
- Implement User Case Stories
- Conduct QA Testing
- Implement OCM Plan
- Conduct Training
- Conduct User Acceptance Testing
- Implement Paperless Reengineering Human Resources Processes

FY 2019 – 20

Major activities anticipated for Paperless Reengineering Procurement Process Design and Implementation Project:

- Complete Procurement Transactional Process Paperless Reengineering Business Case
- Define Preliminary Project Schedule
- Obtain Project Resources
- Build Paperless Reengineering Procurement Transactional User Cases
- Determine Paperless Reengineering Procurement Transactional Requirements
- Make Technology Determination Based on Previous Phase for Procurement Phase Requirements
- Develop Preliminary Procurement Schedule

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

- Obtain Project Resources
- Determine Technical/Architectural Design
- Conduct OCM Planning
- Implement User Case Stories
- Conduct QA Testing
- Implement OCM Plan
- Conduct Training
- Conduct User Acceptance Testing
- Implement Paperless Reengineering Procurement Transactional Processes

Major activities anticipated for Paperless Reengineering Support Services and OIT Transactional Implementation Project:

- Make Technology Determination Based on Previous Phase for Support Services and OIT Transactional Process
- Build Implementation Schedule
- Determine Technical/Architectural Design
- Conduct Operational Change Management (OCM) Planning
- Implement User Case Stories
- Conduct QA Testing
- Implement OCM Plan
- Conduct Training
- Conduct User Acceptance Testing
- Implement Paperless Reengineering of Support Services and OIT Transactional Processes

FY 2020 – 21

Major activities anticipated for Paperless Reengineering Procurement Single Platform Implementation Project:

- Define Preliminary Schedule
- Obtain Project Resources
- Complete Technical/Architectural Design
- Conduct OCM Planning
- Implement User Case Stories
- Conduct QA Testing
- Conduct Training
- Conduct User Acceptance Testing
- Implement Paperless Reengineering Single Platform
- Conduct Project Closeout

Major activities anticipated for Paperless Single Platform Design Project:

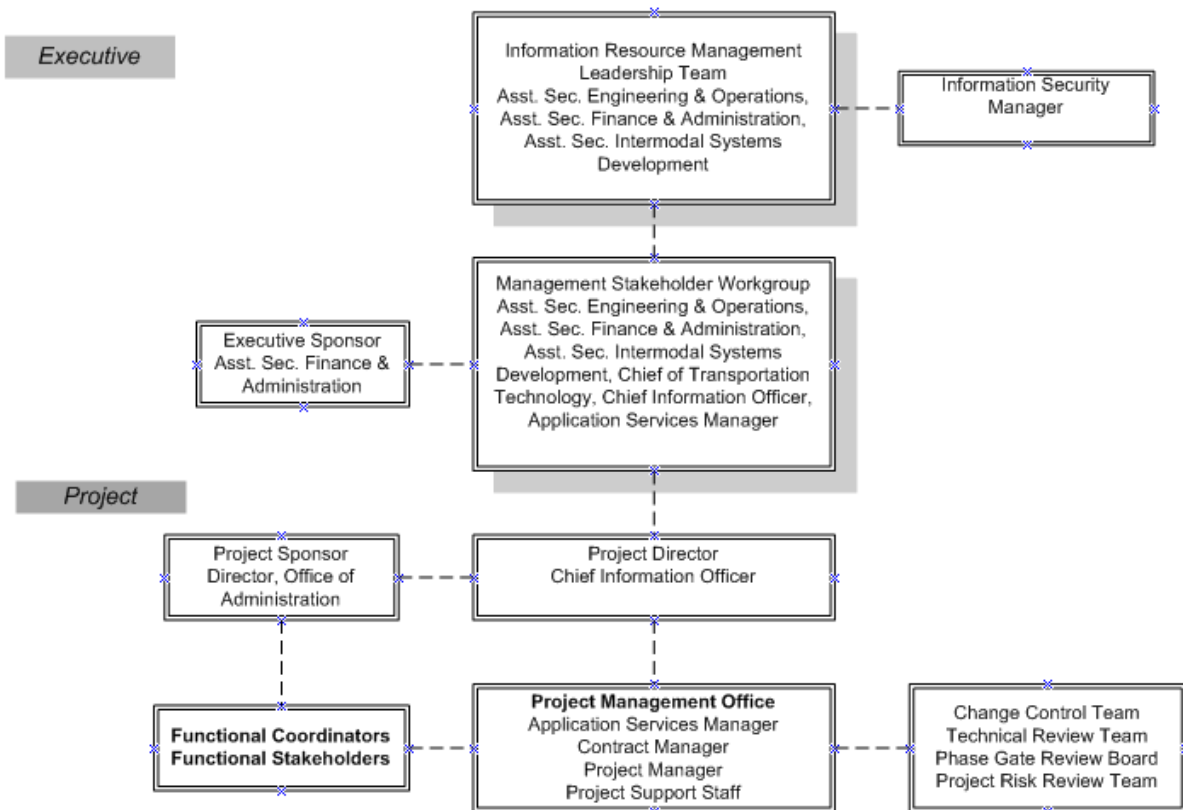
- Complete Paperless Reengineering Single Platform Business Case
- Define Preliminary Schedule
- Obtain Project Resources
- Complete Paperless Reengineering Single Platform Candidate Process Design
- Identify Candidate Processes
- Develop Candidate Process Use Cases
- Determine Single Platform Candidate Process Requirements

Baseline Schedule

Task	Status	Planned Start	Planned Finish
Paperless Support Services and OIT Transactional Process Design	In progress for FY17/18 Pending Funding FY18/19	3/18/18	11/13/18
Paperless Human Resource Paperless Implementation	Pending Funding	7/2/18	1/23/19
Paperless Procurement Process Design	Pending Funding	10/30/18	7/5/19
Paperless Support Services and OIT Implementation	Pending Funding	1/23/19	10/18/19
Procurement Transactional Process Implementation	Pending Funding	7/15/19	4/14/20
Paperless Procurement Single Platform Implementation	Pending Funding	7/7/20	7/29/20
Paperless Single Platform Design	Pending Funding	7/5/19	4/29/21

Project Organization and Governance

This subsection describes the proposed project organization and governance.



The project governance structure consists of the following elements:

- **Information Resource Management Leadership Team:** provides direction and prioritization for information technology resources and projects estimated over 1,500 hours of effort. The group usually consists of the department's Assistant Secretaries and the Chief Information Officer (CIO).
- **The Information Security Manager (ISM)** reports directly to the CIO. The ISM is responsible for statewide coordination and administration of the department's security policies, procedures, and standards including security awareness training and security compliance assessment. The ISM reviews and approves the Security Plans that are submitted for all enterprise applications including this initiative and ensures that security controls related to access and integrity of the application and data are in place.
- **Office of Inspector General:** serves as a central point for coordination of and responsibility for activities that promote accountability, integrity and efficiency in the department. Conducts audits, investigation and management review relating to the programs and operation of the Agency.
- **Management Stakeholder Workgroup:** The Management Stakeholder Workgroup provides functional management oversight of the application projects.
- **Executive Sponsor:** The Executive Sponsor is a chairperson of the subject business process improvement, analysis, and design efforts. The Executive Sponsor acts as a visionary and motivator and instills the project with a purpose and a sense of mission. The Executive Sponsor introduces the project within the organization and demonstrates commitment to its success.
- **Project Sponsors:** Ensures that the needed resources from the Functional Office are available to serve in various roles throughout the application's life cycle.
- **Project Director:** Coordinates and manages the information resources management policies, procedures and standards activities. Advises executive management regarding information resources management needs of the department. Assist in the development and prioritization of the information resources management schedule of the department's legislative budget request.
- **Internal Stakeholders:** functional areas and Directors that are affected by the project. It is critical that Internal Stakeholders are kept aware of the project; and are involved (provide staff) in discussions regarding their functional area at the appropriate time in the project.
- **Functional Coordinators:** serve as a dedicated resource from the Functional Office assigned to serve as liaison between the Office of Information Systems and the Functional Office. The role of the Functional Coordinator will exist beyond the project, throughout the life of an application. The Functional Coordinator may act as an agent for the Project Sponsor.
- **Functional Stakeholders:** provide functional management oversight of the application project for which they have been delegated responsibility. Provide direction to the Project Team regarding project strategy and planning.
- **Project Management Office (PMO):** provides coordination and support for Communications, Human Resource, Risk, Integration, Time, Cost and Quality management. Reports to Executive Leadership overall status of projects. Monitors project progress against business objectives. Monitors relationships with internal and external stakeholders. Responsible for document management and requirements management process. The Project Management Office includes the Application Services Portfolio Manager, Project Manager, Contract Manager and other support staff as needed.
- **Application Services Portfolio Manager:** The Business Systems Support Office Portfolio Manager provides leadership and facilitation to the Program Managers of the development and maintenance of applications taken on by the Application Support Office within the Office of Information Technologies. The Application Services Portfolio Manager ensures proper methodology support is provided for Application Services application development projects and maintenance efforts. The Application Services Portfolio Manager also represents the application development and maintenance perspective within Office of Information Systems management and to other Offices or work groups within the department as required.
- **Project Manager:** The Project Manager is accountable for maintaining project scope, cost, and schedule in accordance with the baselines established in the Project Plan. The Project Manager plans, assigns, and oversees the deliverables provided by team members.
- **Contract Manager:** a department employee responsible for enforcing performance of the contract terms and conditions, serving as liaison with the vendor and ensuring that the contractual terms have been complied with prior to processing the invoice for payment.

- **Change Control Team (CCT):** responsible for reviewing and determining the outcome of all change requests submitted to the project during the project life cycle. The CCT will conduct meeting as often as necessary, as change requests are submitted, to discuss potential impacts to scope, schedule or budget. If CCT approves change, the CCT must then seek authorization from the Executive Sponsor, Project Sponsor, Application Services Manager or combination of those stakeholders, depending on the type of impact the change will have on the project.
- **Technical Review Team:** reviews technical components of the project to ensure alignment with scope, time, budget and quality.
- **Project Risk Review Team:** prioritizes and ranks all risks identified for project, and agree on a risk response strategy for each identified risk.

Quality Assurance Plan

FDOT follows standard practice project management principles to reduce project incurred risks, ensure compliance with stated quality standards and keep the project on track. This subsection describes several of FDOT’s quality assurance plans including:

- Communication Plan
- Deliverables Review and Acceptance
- Issue Management
- Risk Management
- Change Management
- Organizational Change Management

Communication Plan

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

Item	Purpose	Frequency	Audience
Functional Steering Committee Meeting	Provide updates on project activities, issue and deadlines	Monthly	Functional Steering Committee
Written Status Report	Provide update on project activities, issues and deadlines	Weekly	All Project Team Members
Legislative Status Report	Provide update on project activities for all projects funded by a Budget Request	Monthly	Legislative Members and Staff
Executive Status Report and Review Meeting	Monthly review of the project status and schedule with the Information Resource Management Leadership Team	Monthly	Information Resource Management Leadership Team, Executive Sponsor, Project Sponsor, CIO, Application Services Manager

Functional Group Status Presentations	Provide project status updates to existing functional teams that are affected by the project. Management Stakeholders will request time on the agenda of these existing meeting to provide status and answer questions	As Needed	Statewide Teams that are affected by project.
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Deliverables Review and Acceptance

All deliverables are reviewed by appropriately appointed staff. Standard review teams will be established, by technology or business area, to provide a consistent review base. Project schedules must be established to provide time for deliverables review, feedback and secondary review.

Issue Management

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

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

Risk Management

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

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

- Establishment of a formal Project Risk Review Team to evaluate risks on a scheduled basis.
- Establishment of a method for analyzing and prioritizing risk.
- Review new or changing Risks at Weekly Project Status Meetings.
- Ensure all project Team Members are aware of the Risk Management process and their involvement in the Process.
- Identification of potential risks early in the planning phases. Potential Project Risks are provided in the table below.

Inventory of Potential Risks and Response Strategies

Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization	Inconsistent processes and standards cross FDOT business units could impact drive to standardize business processes	<ul style="list-style-type: none"> • Establish organizational change management program • Engage stakeholders from various agencies in defining process changes
Change Management, Technology	Perception by various FDOT business units about apparent loss of tailored functionality	<ul style="list-style-type: none"> • Encourage early involvement by key business units • Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution • Ensure consistent and ongoing senior management support
Project Organization	Changes in FDOT executive management can impact program execution	<ul style="list-style-type: none"> • Immediately brief new management on program objectives and status • Implement Steering Committee to manage program with a mix of executive-level policymakers and senior-level career staff • Engage continuing Steering Committee members to assist in presenting program benefits to new management team members • Include career staff in key roles responsible for managing program execution for continuity
Fiscal	Delay in obtaining funding for all or part of proposed program effort from the legislature	<ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval for change in scope based on funding • Revisit budgets regularly; economic factors should be on agenda for discussion at Steering Committee meetings and other executive management briefings where appropriate • Adjust program schedule as necessary based on timing of funding • Identify activities that could continue in the interim (process analysis, etc.) to maintain momentum
Fiscal	Less funding than requested is approved for the program effort	<ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval • Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate • Adjust scope and/or program schedule as necessary based on timing of funding

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Project Complexity	Challenges in aligning project schedule with current hosting services or the vendor’s hosting solution	<ul style="list-style-type: none"> • Initiate early discussions with the current hosting provider and/or the vendor hosting team and continue dialogue throughout planning process
Communication	Project delays not resolved in a timely manner	<ul style="list-style-type: none"> • Initiate early discussions • Monitor and track resolution • Ensure management understands required timeline for resolution and cost/schedule impact of not resolving
Strategic	Desired business benefits not achieved	<ul style="list-style-type: none"> • Adhere to requirements, involve stakeholders and tie scope decisions to performance measures and anticipated benefits to ensure success • Incorporate business process training and mentoring into the work plan
Project Organization	Staff not being able to participate when needed or review deliverables within schedule	<ul style="list-style-type: none"> • Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time • Proactively identify resource constraints and escalate in a timely manner • Re-assign some responsibilities of key extended team members • Reprioritize some activities assigned to extended team members
Project Complexity	Project scope too large or complex and/or implementation strategy attempts to implement too much at one time	<ul style="list-style-type: none"> • Establish implementation plan, carefully develop the plan and link it to expected business benefits • Link project scope to business benefits • Careful review by FDOT Steering Committee of requirements and implementation plan before approving implementation go-ahead • Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes
Project Organization, Project Management	Availability of FDOT resources (business and technical) to support implementation	<ul style="list-style-type: none"> • Develop detailed estimates of resource requirements as early as possible as part of planning • Develop an implementation strategy and work plan that is in sync with availability of FDOT resources • Obtain specific commitment of resources from FDOT management prior to start of implementation
Project Complexity, Project Management	Need to provide large number of employees with training on various new application functions	<ul style="list-style-type: none"> • Initiate organizational change management program from start of program • Develop training strategy for each project component early and monitor status of training effort closely

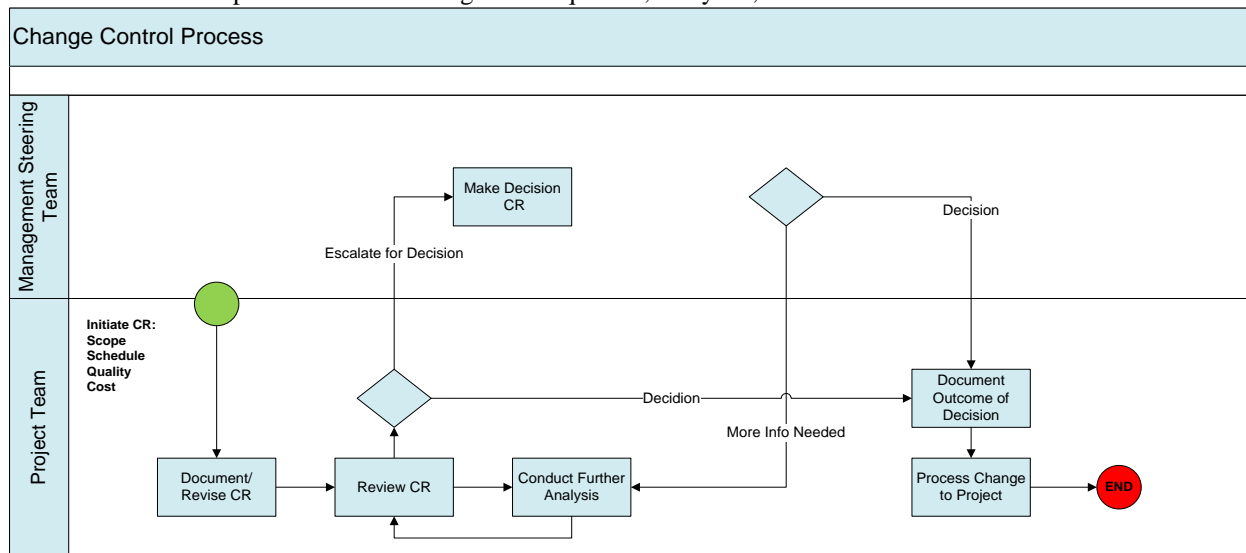
Change Management

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

- Any proposed changes will be documented using a change control form and tracked through the change control log.
- The change control log and form will be available and reviewable by all project members.
- The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Change Control Process.
- Changes that are approved by the Change Control Team, the Project Team will seek final approval from the appropriate staff and stakeholders.
- Monthly Status Reports will track and provide status for all open change requests.

Change Control Process

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



Once the CR has been approved, the Project Manager is responsible for implementing the change. Key activities to complete (as needed);

- Project Manager will update Project documentation baseline, include Project schedule
- Project Manager will coordinate with Project Sponsor & Contract Manager to update project budget as it relates to a contract
- Project Manager will update the master project budget (if new scope introduced)
- Contract Manager will oversee the appropriate change to the project purchase order in MyFloridaMarketPlace
- Project Manager will communicate disposition of CR to the Project Team and Stakeholders

Organizational Change Management

As part of the Paperless Reengineering initiative, modifications and enhancements to the business processes, and technology will require change management to effectively transform the HRO, OIT, EOO, ODO, Procurement, and Support Services. While organizational change has been routinely accepted, many business reengineering efforts have met with sub-optimal success because the department failed to properly plan and implement a strategy to help engage staff throughout the change process. Consequently, the proposed approach to implementing change is based on a human relations-based change management model. This persuasive-type model is built around the overarching

principle to drive change management by educating employees on how the change will help them be more effective in their work. This contrasts with a more coercive change management approach that informs employees of the change in the form of an edict or mandate from upper management with little involvement from staff. The change approach recognizes validity of staff and stakeholder concerns that can lead to reduced employee morale, diminished commitment, and increased cynicism. Table 1 lists some of the potential sources of resistance the change management approach will address throughout the life of the project. Failure to address these resistance factors in the project can significantly impact the successful implementation of the Paperless and Business Process Reengineering project. The change process model is comprised of seven general steps (see Figure 1). This approach conforms to the department's need for implementing change quickly by significantly improving the culture and performance of OIT, HRO, EOO, ODO, Procurement, and Support Services.

The model is based on several key underlying assumptions. First, employees require and often seek out support and recognition from their peers and superiors. In other words, employees are connected, positively or negatively, to the department through interactions with their supervisors and other departmental employees. Second, employees are generally trustworthy and seek to do the right thing, as long as they know what is expected of them, why they need to perform a certain way, and how they benefit from the performance task. Based on this viewpoint, the need for change is not viewed as the result of the individual worker but rather stems from sources such as poorly defined expectations, cumbersome processes, poor management or oversight, overly burdensome procedures, inadequate tools/technology and resources. This message must be communicated clearly and frequently to clarify the underlying key question – “Is the change necessary or simply a reaction to a high-profile case?” Lastly, to affect change requires management to recognize the importance of creating a positive, collaborative work environment and provide positive feedback for actions taken by individual employees or groups that achieve desired outcomes.

TABLE 1: SOURCES OF RESISTANCE

Domain	Potential sources of resistance within the domain
Employee Factors	Personal concerns and attributes that evoke dislike or aversion to change in general Current issues in personal life that make change unappealing Concerns over issues in the external environment (e.g., legislation, media attention)
Organizational Factors	The history of change within the organization Credibility of the organization to institute change Credibility of the change agent (i.e., project team, management, consultants)
Redesign Specific Factors	The change is not perceived as needed for the organization or viewed as a reaction to a high-profile case The planning process the change is perceived as flawed and not inclusive of input from staff Concerns about the interpersonal impact of the change (e.g., role changes, layoffs, leadership changes)

To affect a successful change effort the project team and leadership should be engaged to assist managers, supervisors, employees, and other stakeholders through the development and execution of the following:

- Clear vision and message about the need for change and how such change supports the overall mission of the department,
- Clear, measurable, and well-communicated goals or targets to be achieved by the organizational change,
- Utilize key staff to function in the role of change champions to provide input into the project as well as act as advocates for the project,
- Involvement with management and supervisors with front-line staff to answer questions and help connect their efforts to the overall success of the project, and
- Implement recognition program to tie project success with individual commitment to the project (support and rewards).

Aspects of the proposed change management approach will be embedded in each of the major phases of the project which are briefly described below:

FY 17/18 and 18/19

- Phase IV - The scope of this phase is to implement EOO requirements and create current and future state cases for HR transactional processes.
- Phase V – The scope of this phase is to create current and future state cases for Support Services and OIT processes. This will include implementation of those processes and will transition any previously developed transactional processes to the self-service portal.

FY 18/19 and 19/20

- Phase VI – The scope of this phase is to create current and future state cases for Procurement and include implementation of Procurement transactional and approval workflows in the ECM solution and associated approvals.

FY 19/20 and 20/21

- Phase VII – The scope of this phase is to transition remaining manual transactional workflows to the self-service portal. This phase of the project will also include evaluation of remaining electronic processes and workflows within F& A to determine if it is cost-effective to transition them to a single platform.

Security Plan

The objectives of the Security Plan are to:

- Ensure confidentiality, integrity, and availability of the system data
- Identify confidential or sensitive information in the system
- Define system security methods, requirements and procedures
- Promote consistency and uniformity in the system’s security practices

The following Sections are outlined in the document to address risk management and reduce exposure to the department by identifying controls to offset threats and protect the department’s resources.

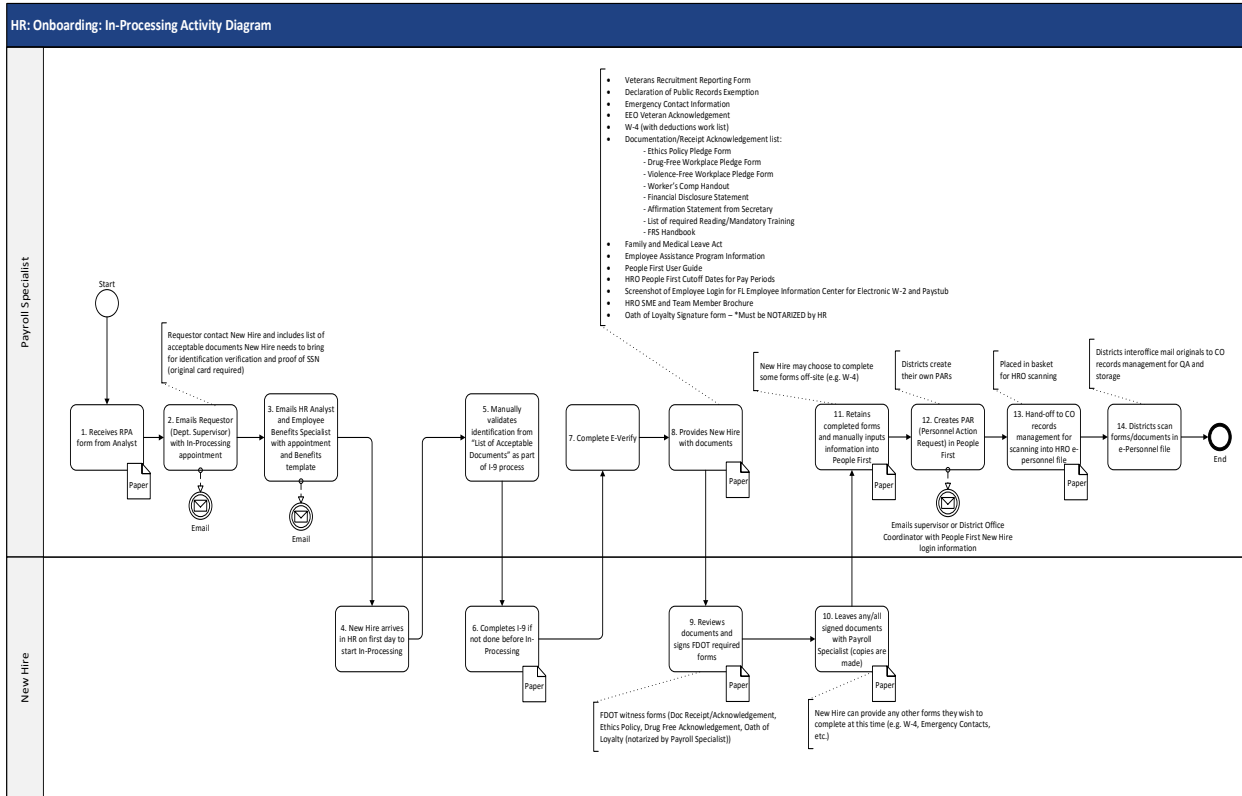
- Risk Analysis (Authentication/ Data and System Integrity/ Confidential Information)
- Federal Information Processing Standards (FIPS) 199 Potential Impact Categorization
- Critical Resources
- Roles and Responsibilities
- FDOT Policies and Procedure

Implementation Plan

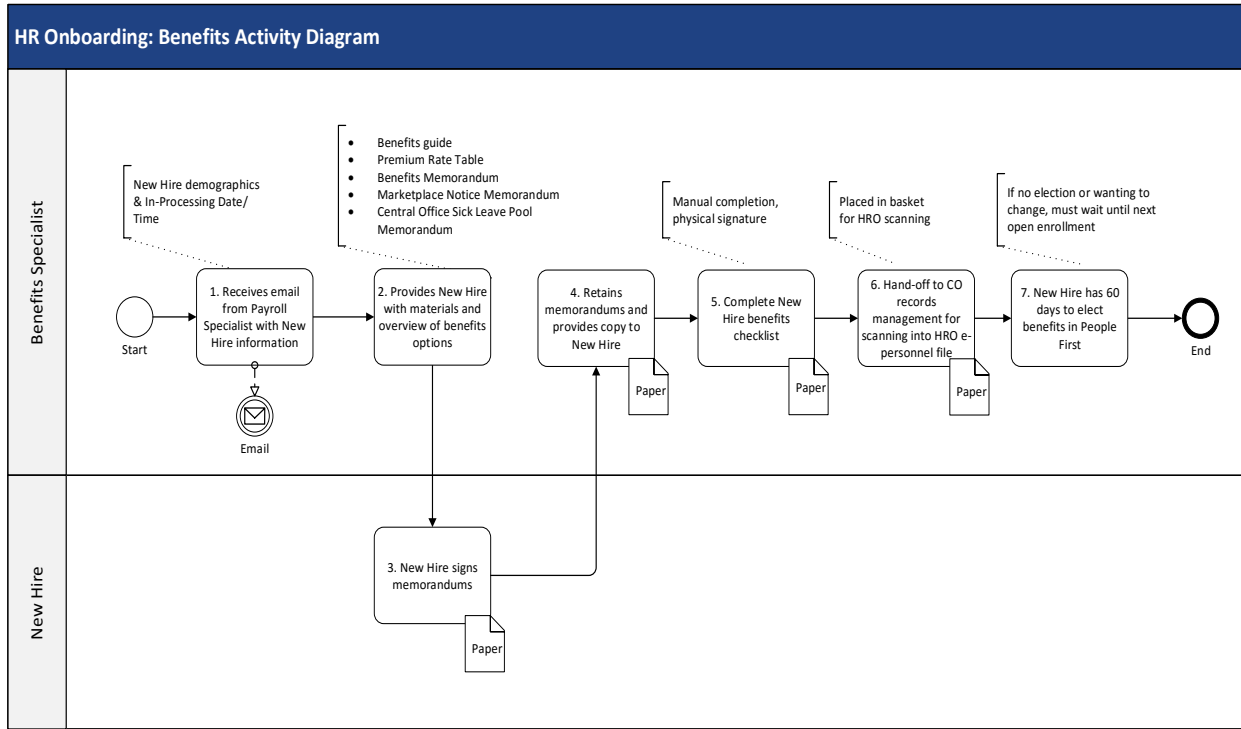
The Implementation Phase will be defined in detail as the project progresses.

VIII. Appendices

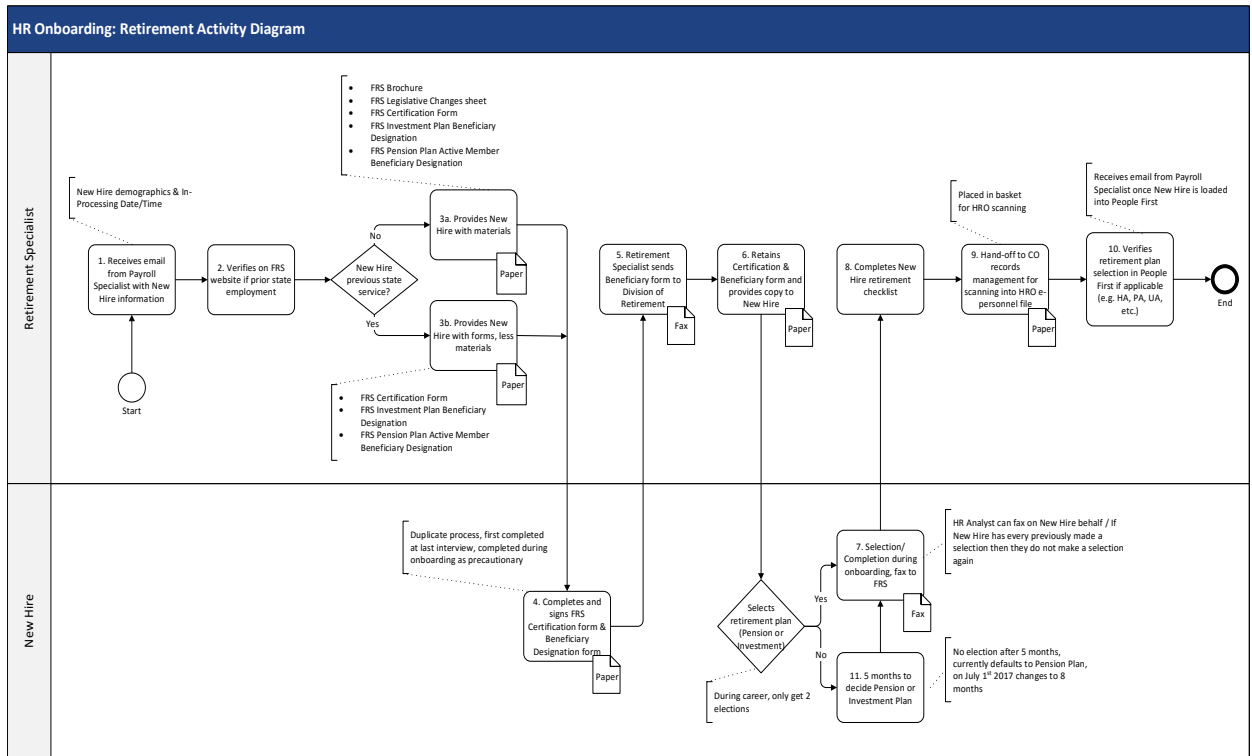
Appendix A



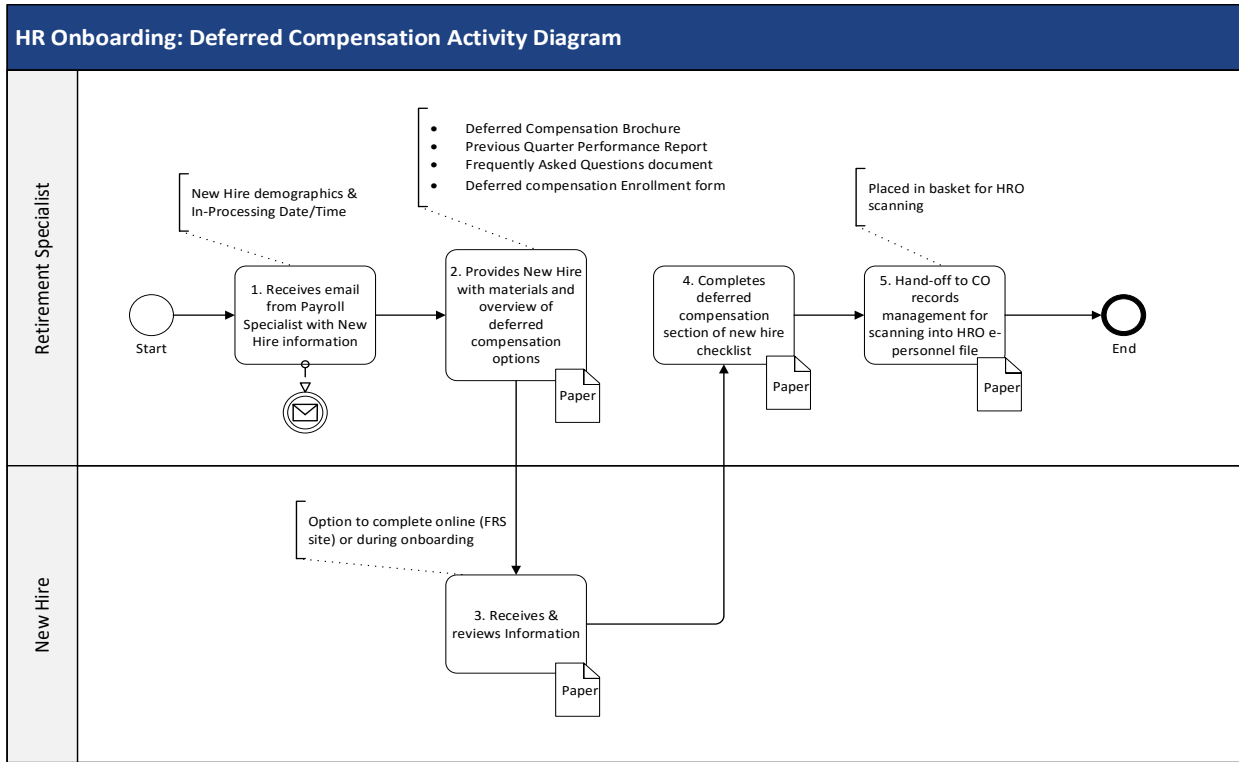
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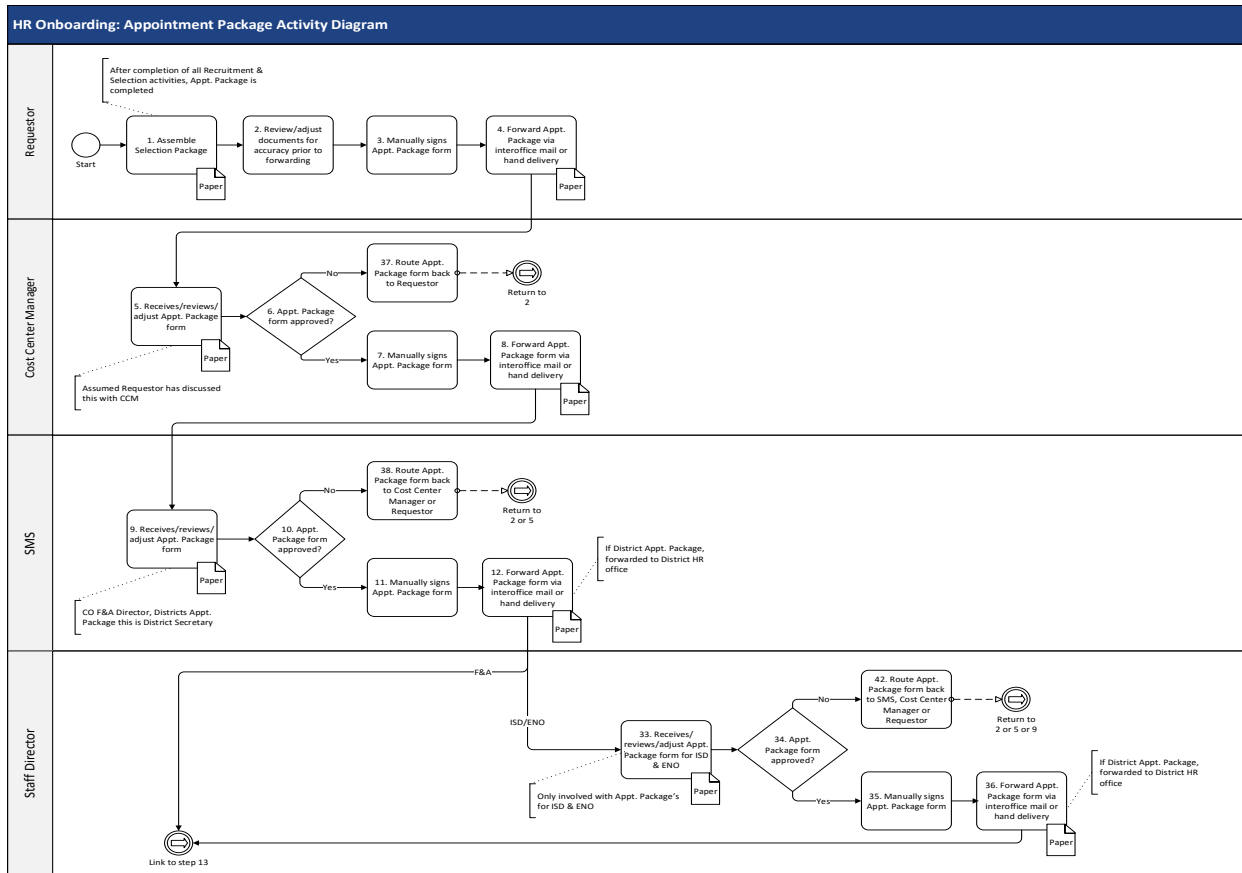
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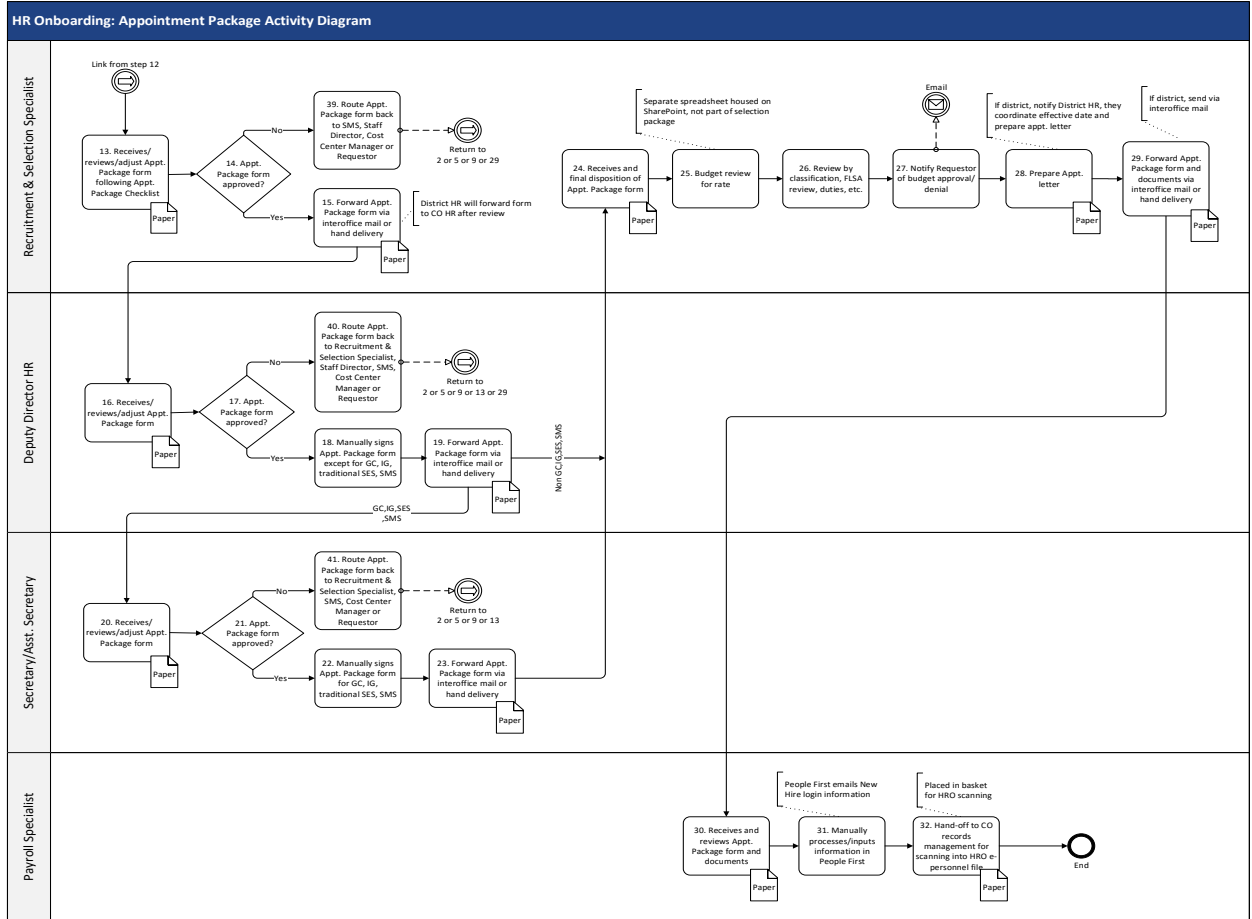
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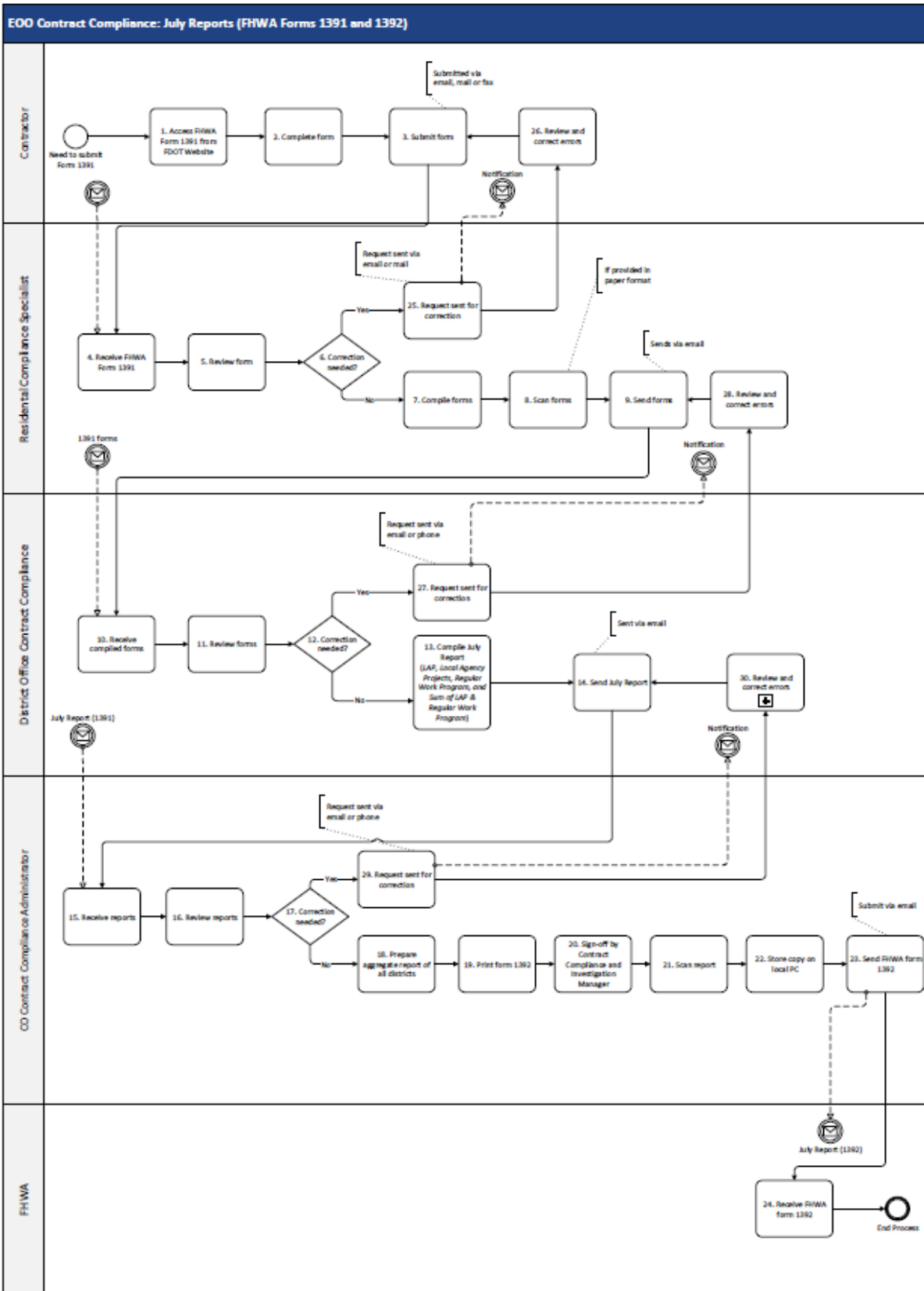
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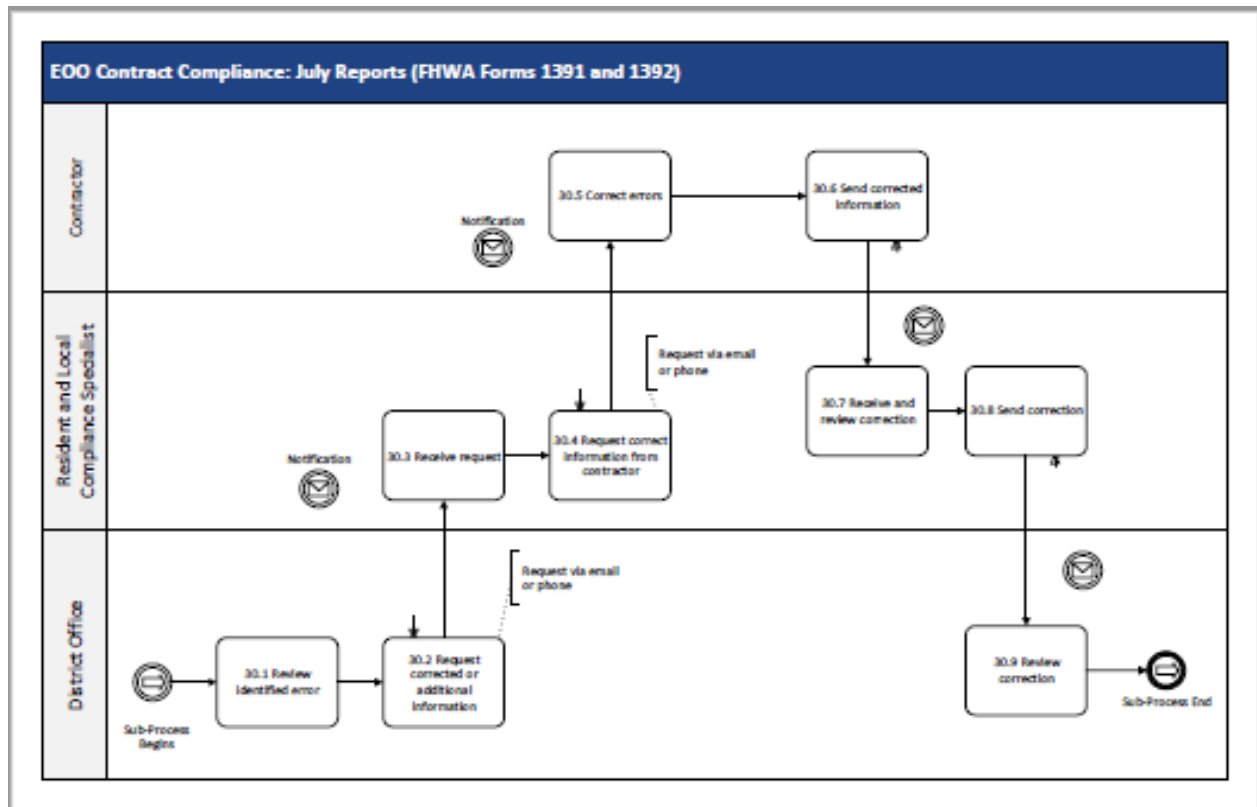


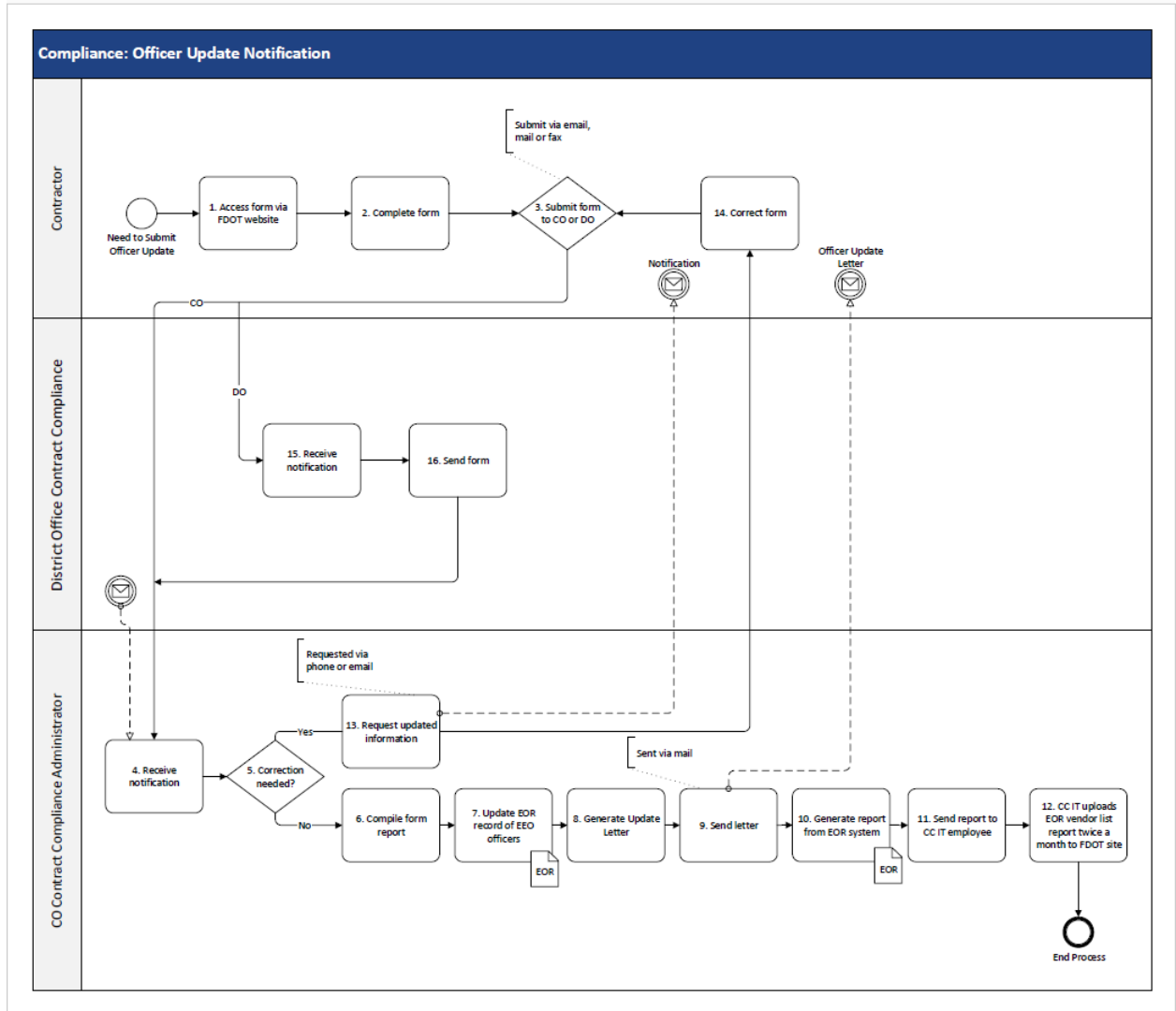
SCHEDULE IV-B FOR PAPERLESS REENGINEERING

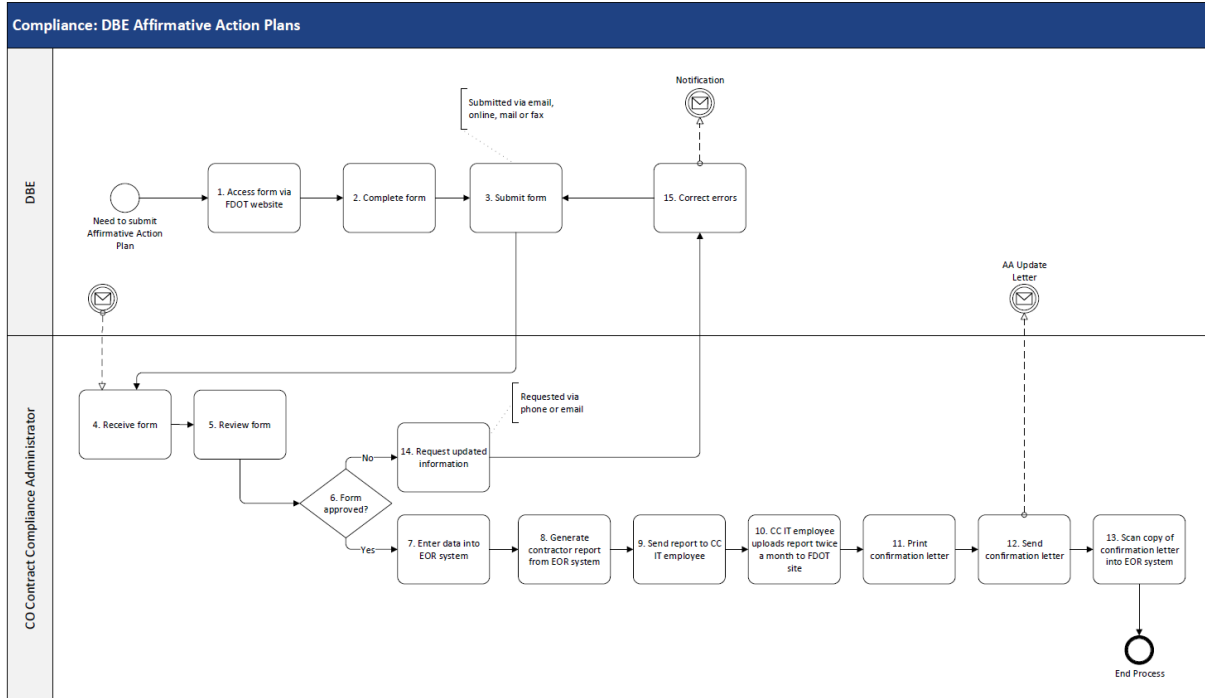


Appendix F

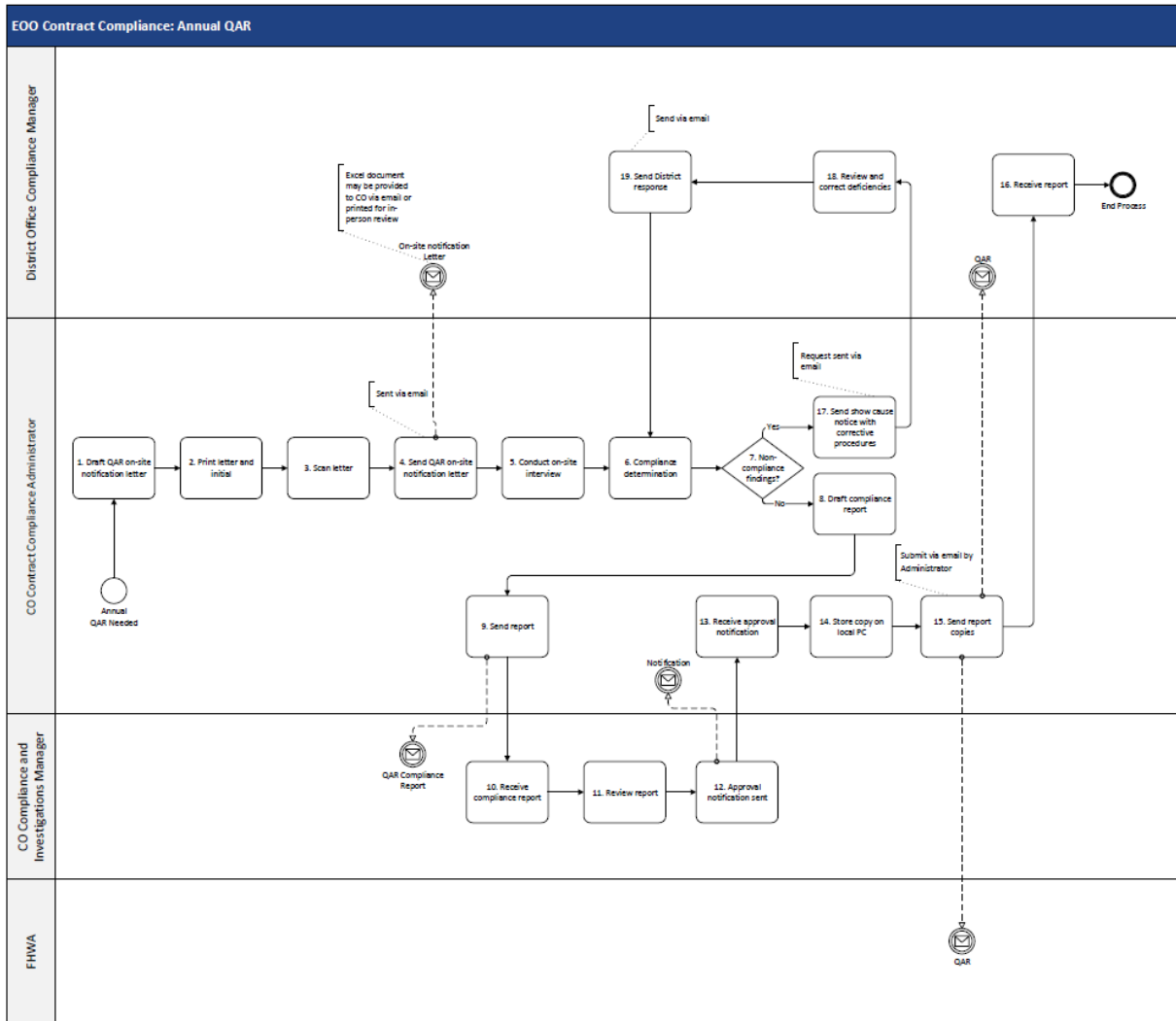




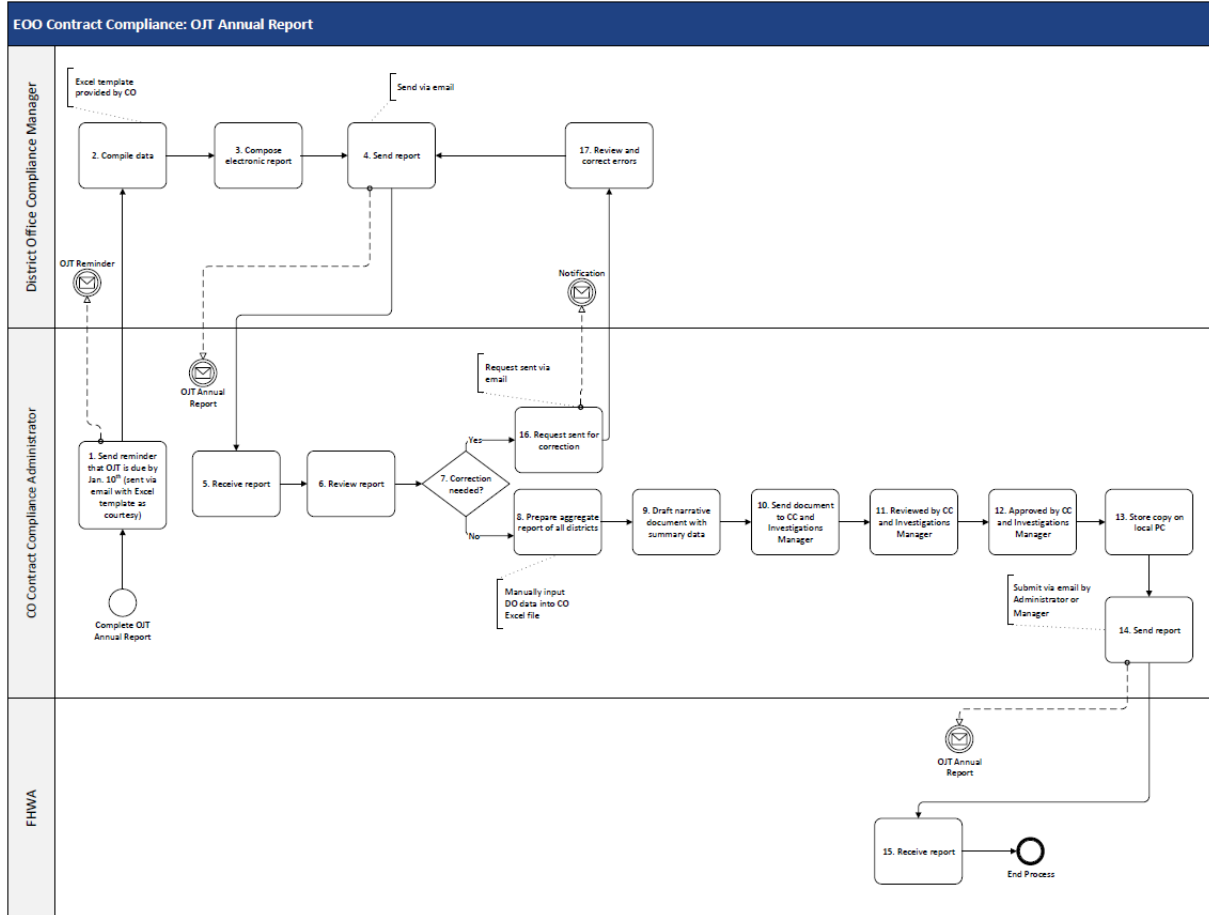




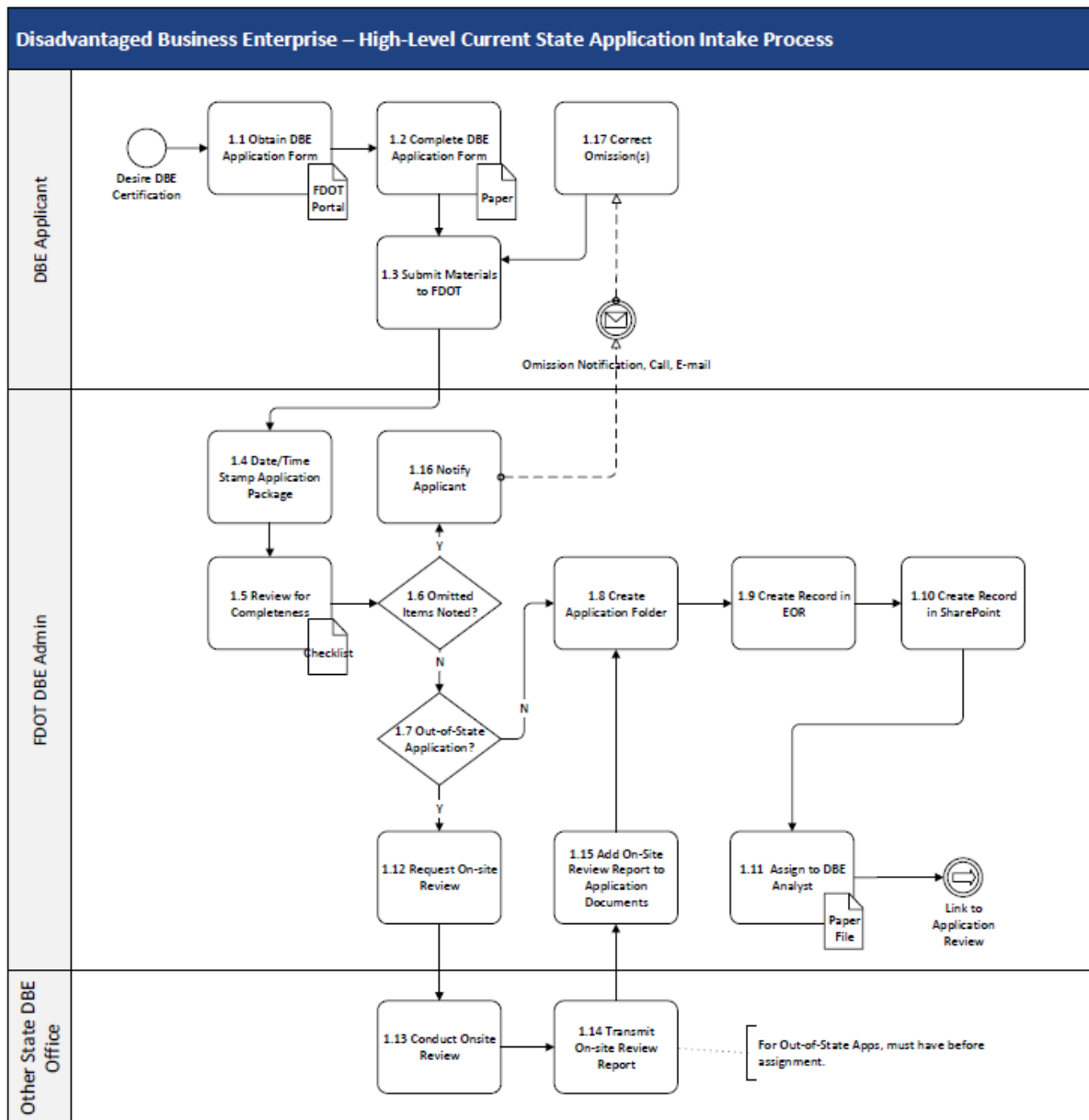
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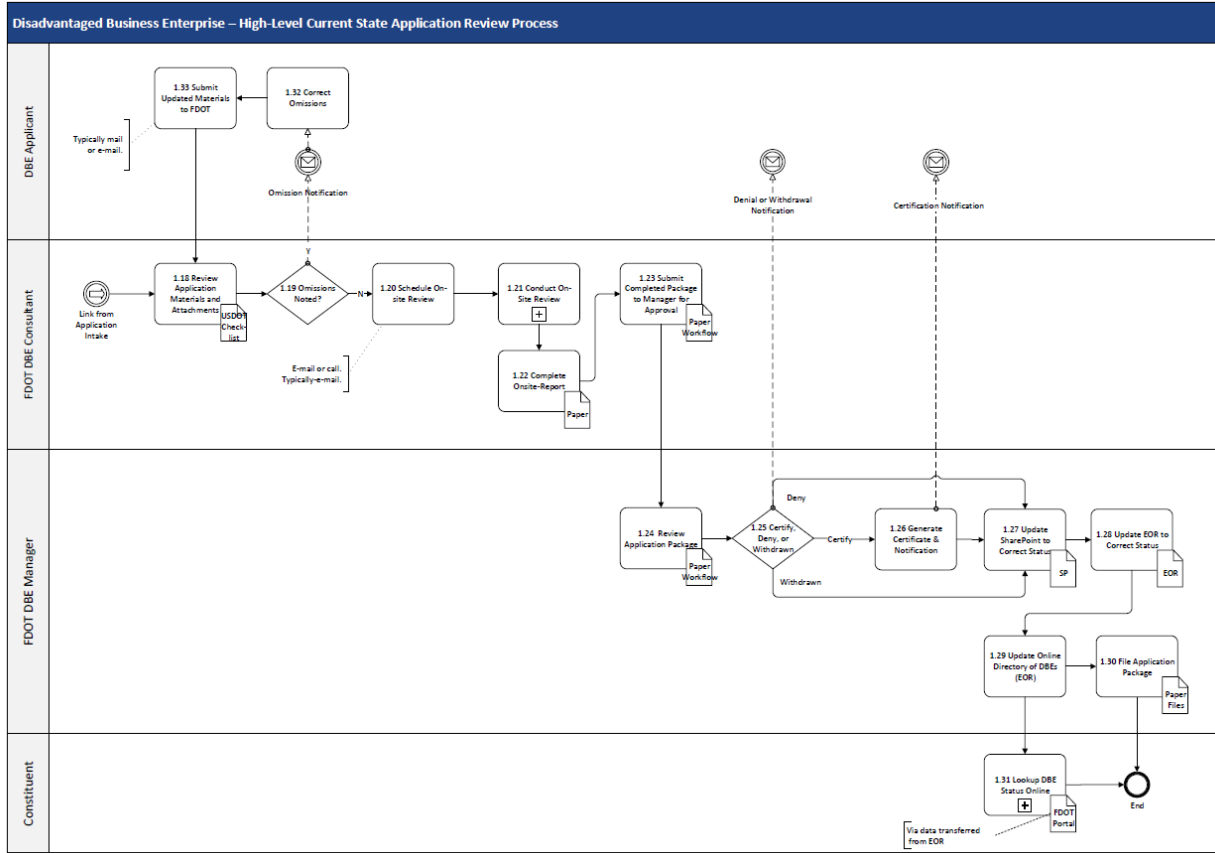
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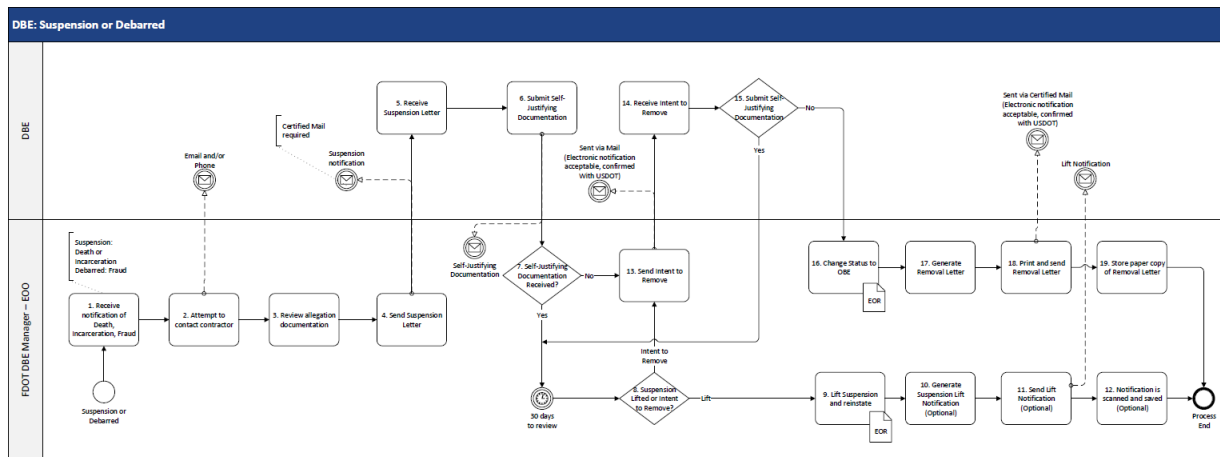
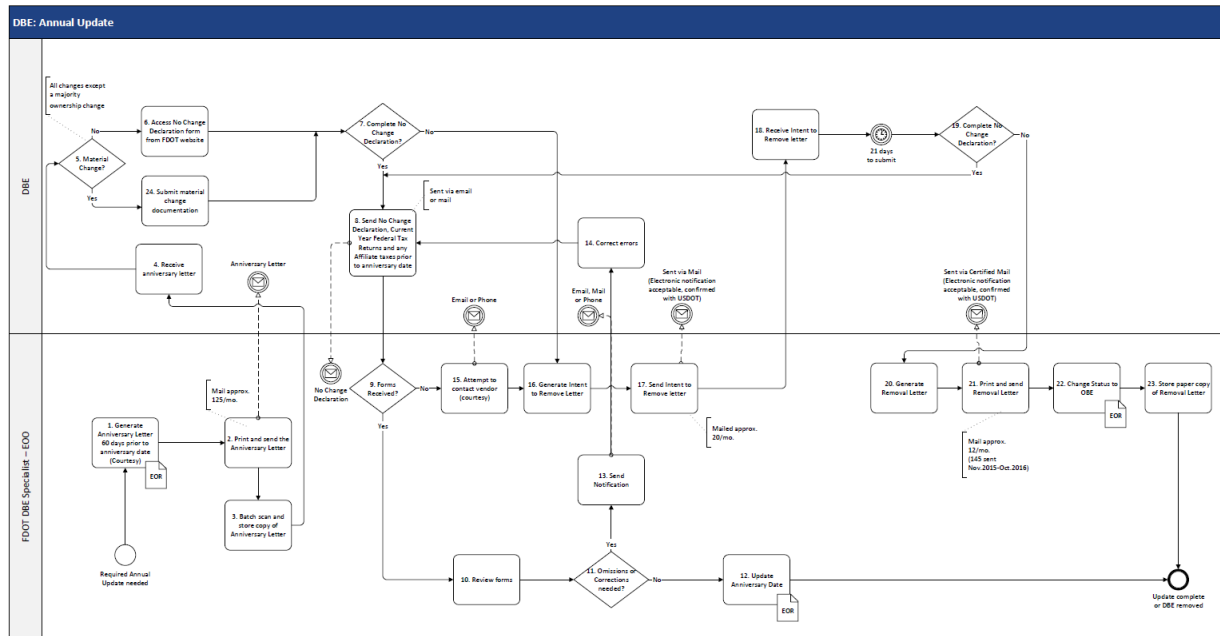
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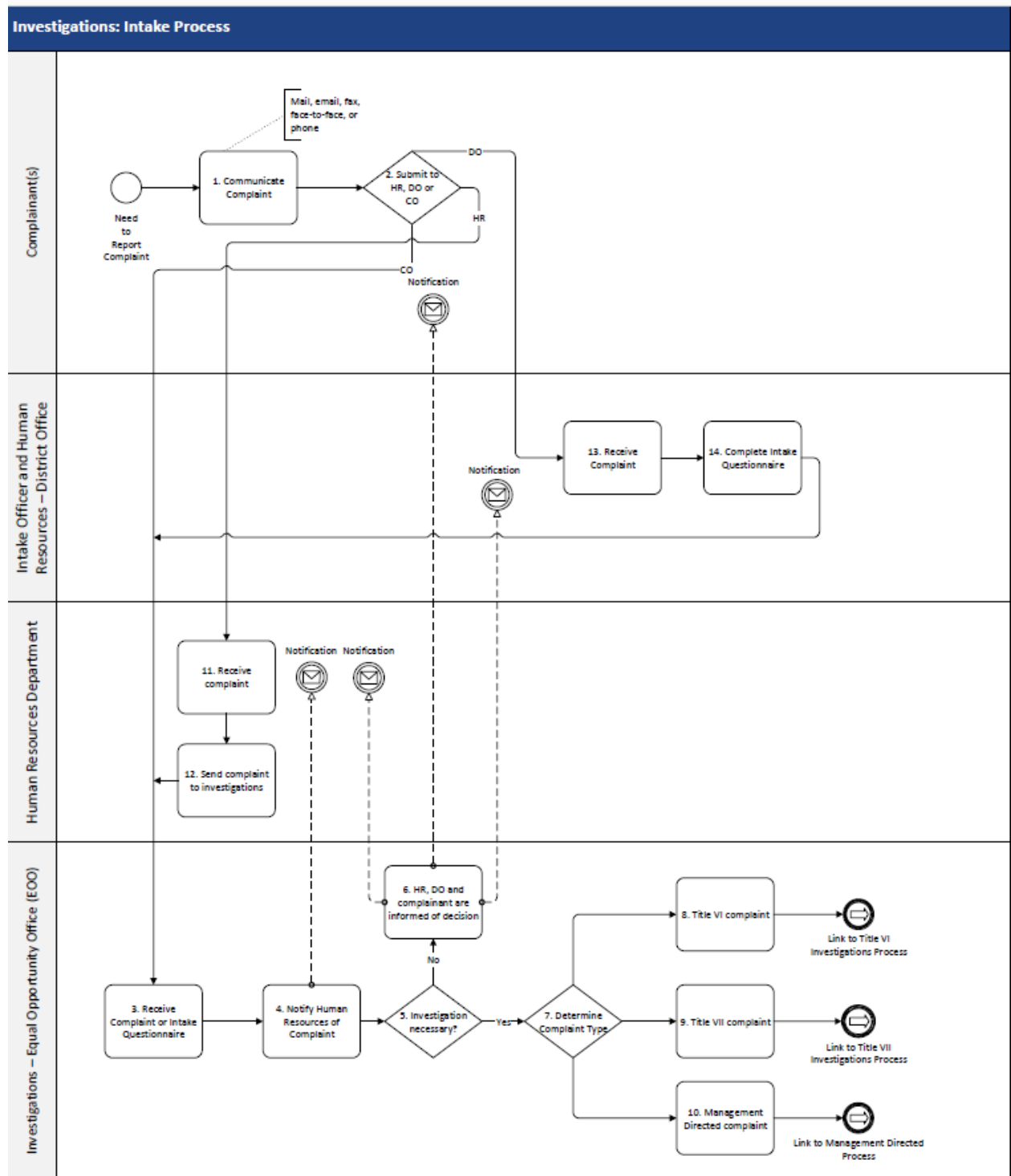
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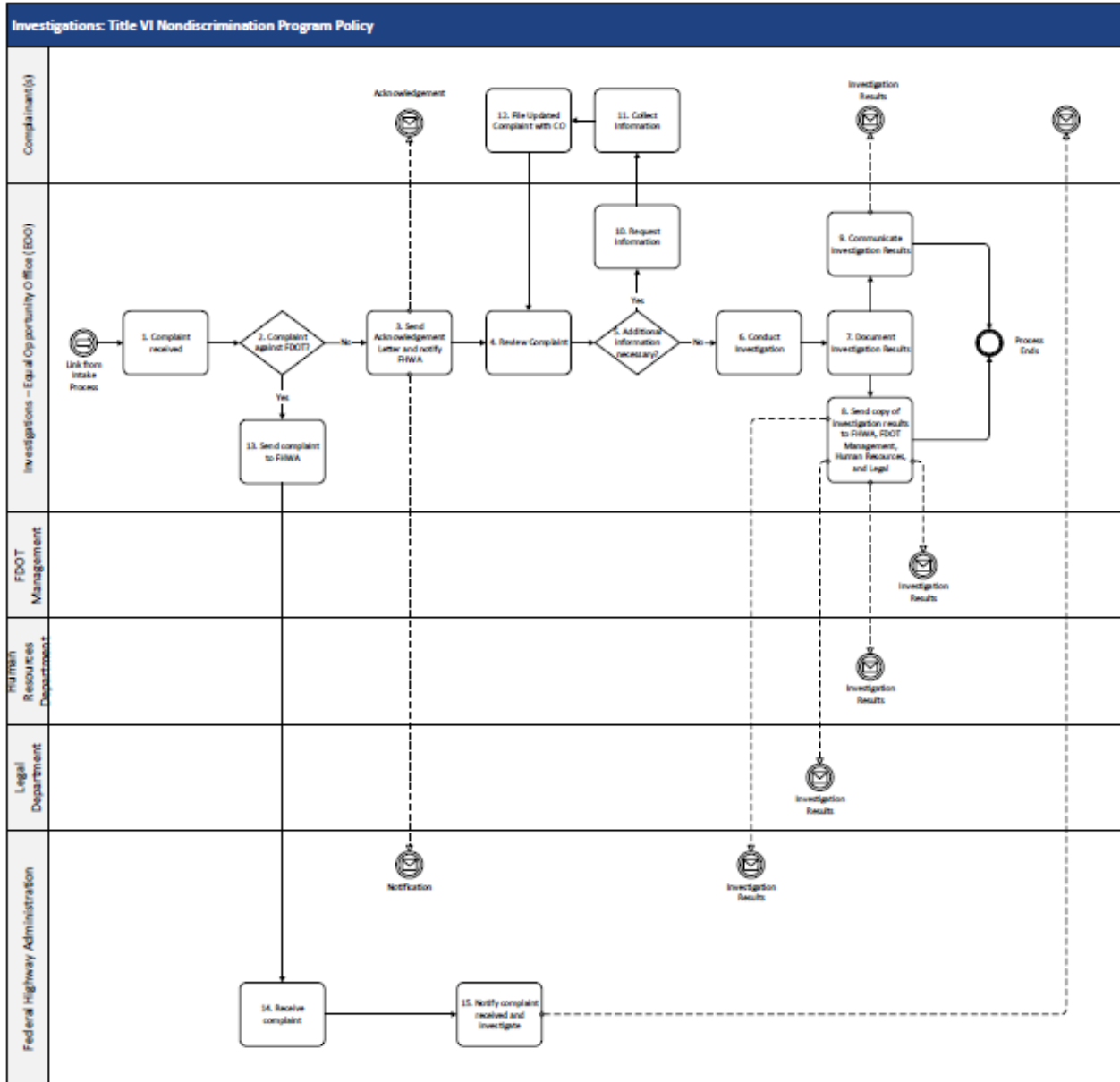
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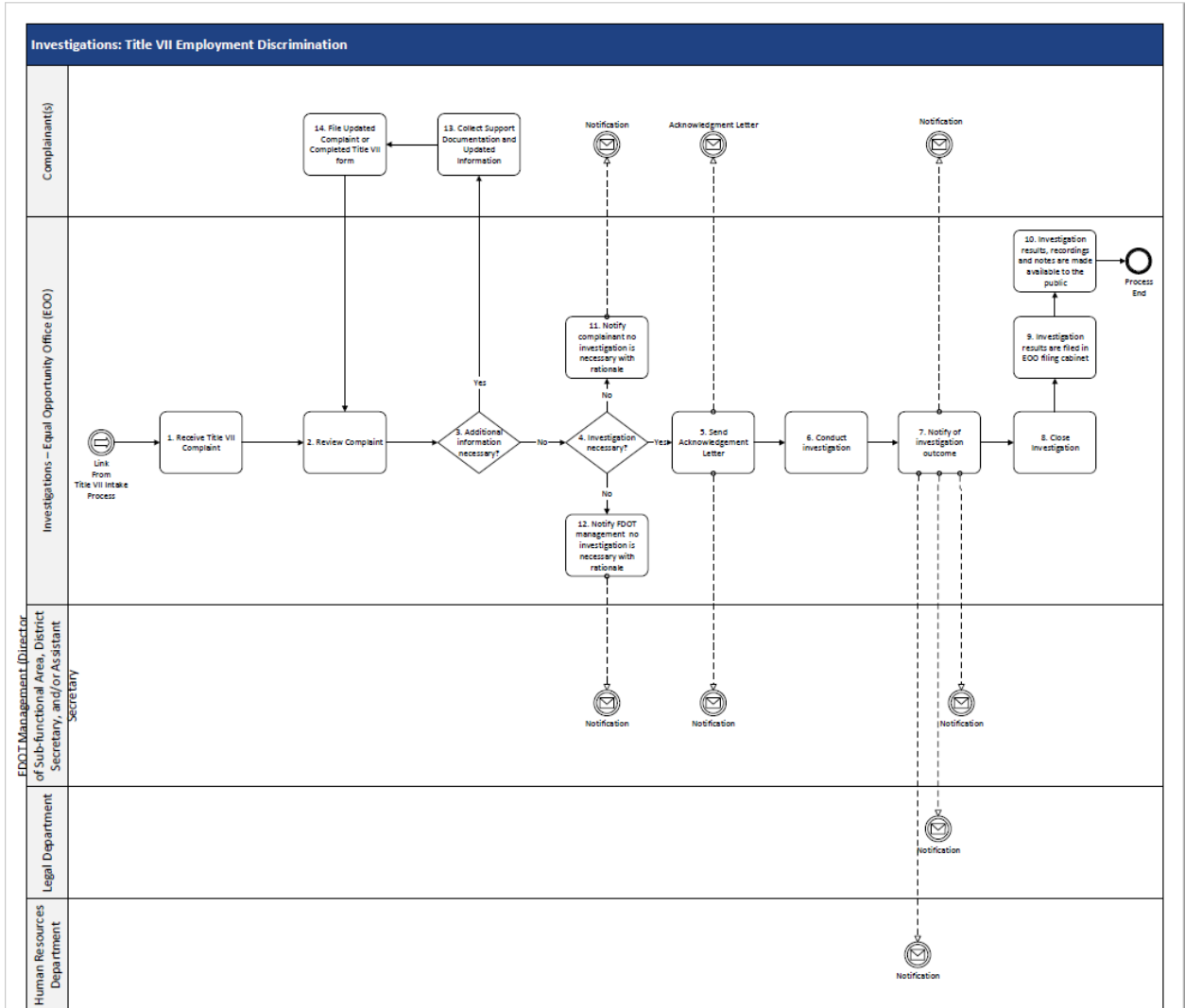
Appendix I



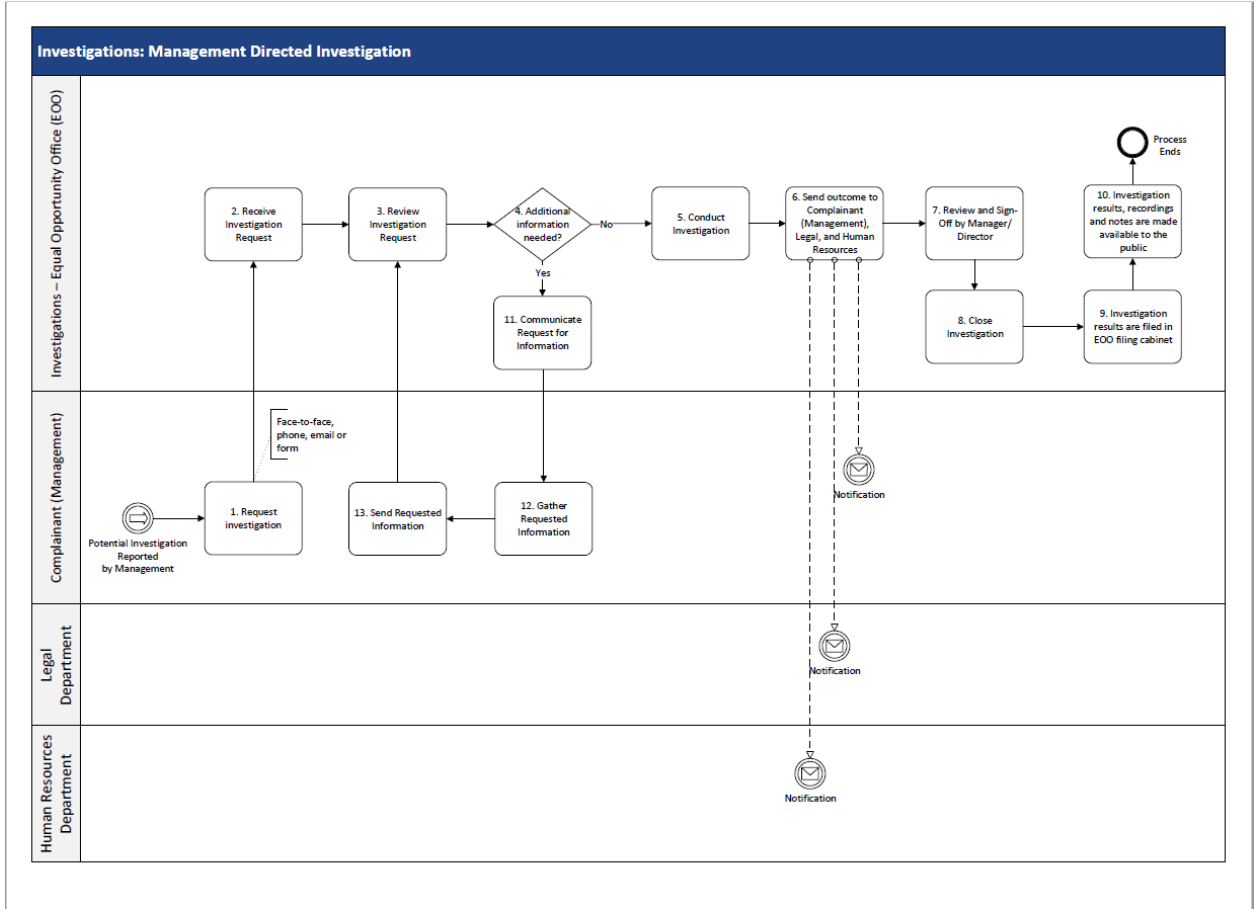
SCHEDULE IV-B FOR PAPERLESS REENGINEERING



SCHEDULE IV-B FOR PAPERLESS REENGINEERING



SCHEDULE IV-B FOR PAPERLESS REENGINEERING



SCHEDULE IV-B FOR PAPERLESS REENGINEERING

Appendix J

CBAForm 1 - Net Tangible Benefits			Agency <u>orida Department of Transporta</u>			Project <u>aperless Reengineering Initiatv</u>									
Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits - CBAForm 1A															
Agency (Recurring Costs Only - No Project Costs)	FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs - Agency-Managed Staff	\$5,447,269	\$477,814	\$5,925,083	\$4,797,477	\$428,612	\$5,226,088	\$4,206,757	\$346,000	\$4,552,757	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total Staff	65.00	2.00	67.00	54.00	2.00	56.00	44.00	2.00	46.00	0.00	0.00	0.00	0.00	0.00	0.00
A.1.a. State FTEs (Salaries & Benefits)	\$3,367,104	\$0	\$3,367,104	\$2,717,312	\$0	\$2,717,312	\$2,126,592	\$0	\$2,126,592	\$0	\$0	\$0	\$0	\$0	\$0
A.1.b. State FTEs (#)	57.00	0.00	57.00	46.00	0.00	46.00	36.00	0.00	36.00	0.00	0.00	0.00	0.00	0.00	0.00
A.2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.2.b. OPS Staff (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A.3.a. Staff Augmentation (Contract Cost)	\$2,080,165	\$477,814	\$2,557,979	\$2,080,165	\$428,612	\$2,508,776	\$2,080,165	\$346,000	\$2,426,165	\$0	\$0	\$0	\$0	\$0	\$0
A.3.b. Staff Augmentation (# of Contractors)	8.00	2.00	10.00	8.00	2.00	10.00	8.00	2.00	10.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Application Maintenance Costs	\$0	\$854,535	\$854,535	\$0	\$163,635	\$163,635	\$0	\$163,635	\$163,635	\$0	\$0	\$0	\$0	\$0	\$0
B.1. Managed Services (Staffing)	\$0	\$163,635	\$163,635	\$0	\$163,635	\$163,635	\$0	\$163,635	\$163,635	\$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	\$690,900	\$690,900	\$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	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$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	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$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	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$0	\$0	\$0	\$6,200	\$6,200	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E.1. Training	\$0	\$0	\$0	\$0	\$6,200	\$6,200	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E.2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E.3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$5,447,269	\$1,424,349	\$6,871,618	\$4,797,477	\$690,447	\$5,487,923	\$4,206,757	\$602,435	\$4,809,192	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible Benefits		\$373,000			\$2,200,997			\$3,655,896			\$3,655,896			\$3,655,896	
F.1. <i>Workflow Efficiencies</i>		\$373,000			\$2,200,997			\$3,655,896			\$3,655,896			\$3,655,896	
F.2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F.3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits		(\$1,051,349)			\$1,500,550			\$3,053,461			\$3,655,896			\$3,655,896	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE - CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	Confidence Level	
Order of Magnitude	Confidence Level	75%
Placeholder	Confidence Level	

Florida Department of Transportation <i>Paperless Reengineering Initiative</i>				CBAForm 2A Baseline Project Budget															
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
Costs for all state employees working on the project	FTE	S&B	\$ 3,367,104	57.00	\$ -	\$ 3,367,104	46.00	\$ -	\$ 2,717,312	36.00	\$ -	\$ 2,126,592	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 11,578,112
Costs for all OPS employees working on the project	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Staffing costs for personnel using Time & Expense	Staff Augmentation	Contracted Services	\$ 1,386,278	10.00	\$ 346,800	\$ 1,386,278	10.00	\$ 1,733,078	\$ 1,733,078	10.00	\$ -	\$ 1,733,078	0.00	\$ -	\$ 1,733,078	0.00	\$ -	\$ 1,733,078	\$ 10,051,688
Project management personnel and related deliverables	Project Management	Consultant Fees	\$ 683,886	0.00	\$ 824,901	\$ -	0.00	\$ 775,698	\$ -	0.00	\$ 608,900	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 2,903,385
Project oversight to include Independent Verification & Validation (I&V) personnel and related deliverables	Project Oversight	Contracted Services	\$ -	0.00	\$ 79,560	\$ -	0.00	\$ 80,753	\$ -	0.00	\$ 81,965	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 242,278
Staffing costs for all professional services not included in other categories	Consultants/Contractors -Maint	Contracted Services	\$ -	0.00	\$ 163,635	\$ -	0.00	\$ -	\$ 163,635	0.00	\$ -	\$ 163,635	0.00	\$ -	\$ 163,635	0.00	\$ -	\$ 163,635	\$ 818,175
Separate requirements analysis and feasibility study procurements	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Hardware purchases not included in data center services	Hardware	OCO	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Commercial software purchases and licensing costs	Commercial Software	Contracted Services	\$ -	\$ -	\$ 191,900	\$ -	\$ -	\$ 372,700	\$ 100,000	\$ -	\$ 635,000	\$ 100,000	\$ -	\$ 100,000	\$ -	\$ 100,000	\$ -	\$ 100,000	\$ 1,599,600
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables - Dev't	Contracted Services	\$ -	\$ -	\$ 1,163,835	\$ -	\$ -	\$ 890,019	\$ -	\$ -	\$ 700,369	\$ 163,635	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,737,858
All first-time training costs associated with the project	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ 6,200	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 6,200
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other contracted services not included in other categories	Other Services - Migration/Storage	Contracted Services	\$ -	\$ -	\$ 105,000	\$ -	\$ -	\$ 60,000	\$ 45,000	\$ -	\$ 60,000	\$ 45,000	\$ -	\$ 45,000	\$ -	\$ 45,000	\$ -	\$ 45,000	\$ 405,000
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Include costs associated with leasing space for project personnel	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other project expenses not included in other categories	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total			\$ 5,447,268	67.00	\$ 2,895,631	\$ 4,753,382	56.00	\$ 1,985,370	\$ 4,750,025	46.00	\$ 2,086,234	\$ 4,331,940	0.00	\$ -	\$ 2,041,713	0.00	\$ -	\$ 2,041,713	\$ 30,342,276

SCHEDULE IV-B FOR PAPERLESS REENGINEERING

CBAForm 2 - Project Cost Analysis

Agency [Ia Department of Transport](#)

Project [Paperless Reengineering Initiative](#)

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$7,649,013	\$6,744,395	\$6,418,174	\$2,041,713	\$2,041,713	\$30,342,276
<i>(Includes Current & Previous Years' Project-Related Costs)</i>	\$13,096,281	\$19,840,676	\$26,258,850	\$28,300,563	\$30,342,276	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$2,942,631	\$2,687,805	\$2,788,669	\$702,435	\$702,435	\$9,823,975
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$2,942,631	\$2,687,805	\$2,788,669	\$702,435	\$702,435	\$9,823,975
CUMULATIVE INVESTMENT	\$2,942,631	\$5,630,436	\$8,419,105	\$9,121,540	\$9,823,975	

Characterization of Project Cost Estimate - CBAForm 2C		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous		Confidence Level
Order of Magnitude <input checked="" type="checkbox"/>		Confidence Level 75%
Placeholder		Confidence Level

CBAForm 3 - Project Investment Summary

Agency [Irida Department of Transporta](#)

Project [rless Reengineering Initi](#)

	COST BENEFIT ANALYSIS -- CBAForm 3A					TOTAL FOR ALL YEARS
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
Project Cost	\$7,649,013	\$6,744,395	\$6,418,174	\$2,041,713	\$2,041,713	\$30,342,276
Net Tangible Benefits	(\$1,051,349)	\$1,590,550	\$3,083,461	\$3,685,896	\$3,685,896	\$10,994,454
Return on Investment	(\$14,147,631)	(\$5,153,845)	(\$3,334,713)	\$1,644,183	\$1,644,183	(\$19,347,823)
Year to Year Change in Program Staffing	2	2	2	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$19,175,313)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	-49.19%	IRR is the project's rate of return.

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

CBAForm 1 - Net Tangible Benefits

Agency Florida Department of Transportation Project Seamless Reengineering Initiative

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$3,685,896	\$815,835	\$4,501,731	\$3,685,896	-\$1,590,978	\$2,094,918	\$3,685,896	-\$2,985,527	\$700,369	\$3,685,896	-\$3,685,896	\$0	\$3,685,896	-\$3,685,896	\$0
A.b Total Staff	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$3,685,896	-\$373,000	\$3,312,896	\$3,685,896	-\$2,280,997	\$1,404,899	\$3,685,896	-\$3,685,896	\$0	\$3,685,896	-\$3,685,896	\$0	\$3,685,896	-\$3,685,896	\$0
A-1.b. State FTEs (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$1,188,835	\$1,188,835	\$0	\$690,019	\$690,019	\$0	\$700,369	\$700,369	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contractors)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Application Maintenance Costs	\$0	\$1,601,796	\$1,601,796	\$0	\$1,839,586	\$1,839,586	\$0	\$1,936,300	\$1,936,300	\$0	\$610,435	\$610,435	\$0	\$610,435	\$610,435
B-1. Managed Services (Staffing)	\$0	\$510,435	\$510,435	\$0	\$510,435	\$510,435	\$0	\$510,435	\$510,435	\$0	\$510,435	\$510,435	\$0	\$510,435	\$510,435
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$0	\$186,900	\$186,900	\$0	\$472,700	\$472,700	\$0	\$735,000	\$735,000	\$0	\$100,000	\$100,000	\$0	\$100,000	\$100,000
B-4. Other <i>Consultant Fees/Oversight</i>	\$0	\$904,461	\$904,461	\$0	\$856,451	\$856,451	\$0	\$690,865	\$690,865	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000	\$0	\$92,000	\$92,000
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	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$60,000	\$60,000	\$0	\$66,200	\$66,200	\$0	\$60,000	\$60,000	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$6,200	\$6,200	\$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>Data Migration</i>	\$0	\$60,000	\$60,000	\$0	\$60,000	\$60,000	\$0	\$60,000	\$60,000	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$3,685,896	\$2,569,631	\$6,255,527	\$3,685,896	\$406,808	\$4,092,704	\$3,685,896	-\$897,227	\$2,788,669	\$3,685,896	-\$2,983,461	\$702,435	\$3,685,896	-\$2,983,461	\$702,435
F. Additional Tangible Benefits:		\$373,000			\$2,280,997			\$3,685,896			\$3,685,896			\$3,685,896	
F-1. <i>Workflow Efficiencies</i>		\$373,000			\$2,280,997			\$3,685,896			\$3,685,896			\$3,685,896	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		(\$2,196,631)			\$1,874,189			\$4,583,123			\$6,669,357			\$6,669,357	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level	
Order of Magnitude	<input checked="" type="checkbox"/>	Confidence Level	75%
Placeholder	<input type="checkbox"/>	Confidence Level	

Florida Department of Transportation

Paperless Reengineering Initiative

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.

			CBA Form 2A Baseline Project Budget															
			FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL
			\$ -	\$ 2,240,196		\$ 1,985,370		\$ 2,086,234			\$ -			\$ -			\$ 6,311,800	
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 Base Budget		YR 2 Base Budget		YR 3 Base Budget		YR 4 Base Budget		YR 5 Base Budget		TOTAL				
				YR 1 #	YR 1 LBR	YR 2 #	YR 2 LBR	YR 3 #	YR 3 LBR	YR 4 #	YR 4 LBR	YR 5 #	YR 5 LBR					
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -				
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -				
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -				
Project management personnel and related deliverables.	Project Management	Consultant Fees	\$ -	0.00	\$ 824,901	0.00	\$ 775,698	0.00	\$ 608,900	0.00	\$ -	0.00	\$ -	\$ 2,209,499				
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ 79,560	0.00	\$ 80,753	0.00	\$ 81,965	0.00	\$ -	0.00	\$ -	\$ 242,278				
Staffing costs for all professional services not included in other categories.	Consultants/Contractors -Maint	Contracted Services	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	\$ -				
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -				
Hardware purchases not included in data center services.	Hardware	OCO	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -				
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ 86,900	\$ -	\$ 372,700	\$ -	\$ 635,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,094,600				
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables - Dev't	Contracted Services	\$ -	\$ 1,188,835	\$ -	\$ 690,019	\$ -	\$ 700,369	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,579,223				
All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ 6,200	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 6,200				
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -				
Other contracted services not included in other categories.	Other Services - Migration/Stor	Contracted Services	\$ -	\$ 60,000	\$ -	\$ 60,000	\$ -	\$ 60,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 180,000				
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -				
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -				
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -				
Total			\$ -	0.00	\$ 2,240,196	0.00	\$ 1,985,370	0.00	\$ 2,086,234	0.00	\$ -	0.00	\$ -	\$ 6,311,800				

CBAForm 2 - Project Cost Analysis

Agency	<u>Florida Department of Transportation</u>	Project	<u>Paperless Reengineering Initiative</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$2,240,196	\$1,985,370	\$2,086,234	\$0	\$0	\$6,311,800
<i>(includes Current & Previous Years' Project-Related Costs)</i>	\$2,240,196	\$4,225,566	\$6,311,800	\$6,311,800	\$6,311,800	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$2,942,631	\$2,687,805	\$2,788,669	\$702,435	\$702,435	\$9,823,975
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$2,942,631	\$2,687,805	\$2,788,669	\$702,435	\$702,435	\$9,823,975
CUMULATIVE INVESTMENT	\$2,942,631	\$5,630,436	\$8,419,105	\$9,121,540	\$9,823,975	

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

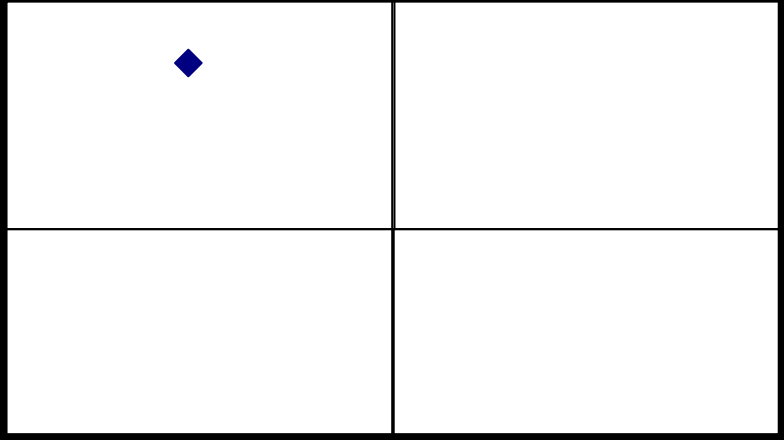
CBAForm 3 - Project Investment Summary

Agency	<u>Florida Department of Transportatic</u>	Project	<u>erless Reengineering Initia</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	\$2,240,196	\$1,985,370	\$2,086,234	\$0	\$0	\$6,311,800
Net Tangible Benefits	(\$2,196,631)	\$1,874,189	\$4,583,123	\$6,669,357	\$6,669,357	\$17,599,395
Return on Investment	(\$4,436,827)	(\$111,181)	\$2,496,889	\$6,669,357	\$6,669,357	\$11,287,595
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	3 1/3	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2021-22	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$8,708,428	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	48.81%	IRR is the project's rate of return.

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

	B	C	D	E	F	G	H	
3	Project		<i>Paperless Reengineering Initiative</i>					
4								
5	Agency		<i>Florida Department of Transportation</i>					
6	FY 2018-19 LBR Issue Code:			FY 2018-19 LBR Issue Title:				
7	<i>36236C0</i>			<i>Paperless Reengineering Initiative</i>				
8	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):							
9	<i>John Mallette, (850) 410-5554, John.Mallette@dot.state.fl.us</i>							
10	Executive Sponsor		<i>Rachel Cone</i>					
11	Project Manager		<i>John Mallette</i>					
12	Prepared By		<i>John Mallette</i>					
14	Risk Assessment Summary							
15								
16	Business Strategy			Level of Project Risk				
17								Most Aligned
18								
19								
20								
21								
22								
23								
24								
25								
26								
27								
28								
29	Least Aligned							
30		Least Risk	Most Risk					
31								
32								
34	Project Risk Area Breakdown							
35	Risk Assessment Areas						<i>Risk Exposure</i>	
36	Strategic Assessment						LOW	
37								
38	Technology Exposure Assessment						LOW	
39								
40	Organizational Change Management Assessment						LOW	
41								
42	Communication Assessment						LOW	
43								
44	Fiscal Assessment						MEDIUM	
45								
46	Project Organization Assessment						MEDIUM	
47								
48	Project Management Assessment						LOW	
49								
50	Project Complexity Assessment						MEDIUM	
51								
52								
53	Overall Project Risk						MEDIUM	

	B	C	D	E
1	Agency: Florida Department of Transportation		Project: Paperless Reengineering Initiative	
3	Section 1 -- Strategic Area			
4	#	Criteria	Values	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	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	Some
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	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	Single agency-wide use or visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 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 Transportation		Project: Paperless Reengineering Initiative	
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed for implementation and operations
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Florida Department of Transportation		Project: Paperless Reengineering Initiative	
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	No
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	41% to 80% -- Some process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	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	Less than 1% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	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	Yes
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Success measures have been developed for some messages
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Department of Transportation		Project: Paperless Reengineering Initiative	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all 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	Between \$2 M and \$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 project to take advantage of one-time discounts
45			Purchase all hardware 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 assigned is not the procurement manager or the project 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	All or nearly all selection criteria and expected 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 not planned/used for procurement
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	Not applicable
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 Transportation		Project: Paperless Reengineering Initiative	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
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	No, project manager assigned more than half-time, but less than full-time to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Mostly staffed from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	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 Transportation		Project: Paperless Reengineering Initiative	
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	81% to 100% -- All or nearly all 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	81% to 100% -- All or nearly all have been defined and documented
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	81% to 100% -- All or nearly all have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
35			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	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
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 Transportation		Project: Paperless Reengineering Initiative	
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	Single location
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	5 to 8
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	Business Process Reengineering
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	Greater size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (A)	81,411,934	98,113,152	116,883,782
Principal (B)	86,275,000	97,810,000	115,195,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	342,367	2,140,482	2,131,910
Other Debt Service (E)	0	0	0
Total Debt Service (F)	168,029,301	198,063,633	234,210,691

Explanation: Total combined debt service for outstanding Alligator Alley, ROW Acquisition, Seaport, and State-funded Infrastructure Bank, and proposed issuance of ROW Acquisition and Transportation Financing Corporation.
 *Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

(1) ISSUE:

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
	FY 2016-2017	FY 2017-2018	FY 2018-2019
SECTION I			
Interest on Debt (A)	1,432,750	3,069,691	5,055,500
Principal (B)	2,015,000	2,410,000	3,100,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	2,865	11,494	11,249
Other Debt Service (E)	0	0	0
Total Debt Service (F)	3,450,615	5,491,185	8,166,749

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

SECTION II

(1) ISSUE: _____

	(2)	(3)	(4)	(5)	(6)
	INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
			(7)	(8)	(9)
			ACTUAL	ESTIMATED	REQUEST
			FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)			0	0	0
Principal (H)			0	0	0
Fiscal Agent or Other Fees (I)			0	0	0
Other (J)			0	0	0
Total Debt Service (K)			0	0	0

(1) ISSUE: _____

	(2)	(3)	(4)	(5)	(6)
	INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
			(7)	(8)	(9)
			ACTUAL	ESTIMATED	REQUEST
			FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)			0	0	0
Principal (H)			0	0	0
Fiscal Agent or Other Fees (I)			0	0	0
Other (J)			0	0	0
Total Debt Service (K)			0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (A)	1,432,750	1,030,691	993,500
Principal (B)	2,015,000	1,765,000	1,805,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	2,865	3,273	3,093
Other Debt Service (E)	0	0	0
Total Debt Service (F)	3,450,615	2,798,965	2,801,593

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

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

(1) **ISSUE:** _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (A)	0	2,039,000	4,062,000
Principal (B)	0	645,000	1,295,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	8,221	8,156
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	2,692,221	5,365,156

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

SECTION II

(1) **ISSUE:** Sunshine Skyway Bridge 1/1/2018 (2018A)

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
5.000%	7/1/2047	82,205,000	81,560,000	80,265,000
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	2,039,000	4,062,000
Principal (H)		0	645,000	1,295,000
Fiscal Agent or Other Fees (I)		0	8,221	8,156
Other (J)		0		
Total Debt Service (K)		0	2,692,221	5,365,156

(1) **ISSUE:** _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Sunshine Skyway Bridge as authorized by Chapter 338.165(4), Florida Statutes.
2. The source of repayment of the debt or obligation: Net toll revenues collected on the Sunshine Skyway Bridge.
3. The principal amount of the debt or obligation: \$82,205,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$657,640</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$183,040</u>
<u>Deposit into Debt Service Reserve Account</u>	<u>\$5,362,000</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$82,205,000 of debt or obligation for the purpose of the Sunshine Skyway Bridge, as authorized by Chapter 338.165 (4), Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$75,838,125.

The proposed issuance date is 1/1/2018.

SBA-FDOT
SS18A

Dated: 01/01/2018
Delivered: 01/01/2018

Sizing Debt Service Schedule
\$82,205,000.00

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>Dbt Svc Rsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
45	7/1/2045	N	5.000	2,365,000.00	311,125.00	2,676,125.00		60,054.40		2,616,070.60	5,234,891.20
46	1/1/2046	N	5.000	2,425,000.00	252,000.00	2,677,000.00		60,054.40		2,616,945.60	
46	7/1/2046	N	5.000	2,490,000.00	191,375.00	2,681,375.00		60,054.40		2,621,320.60	5,238,266.20
47	1/1/2047	N	5.000	2,550,000.00	129,125.00	2,679,125.00		60,054.40		2,619,070.60	
47	7/1/2047	N	5.000	2,615,000.00	65,375.00	2,680,375.00		5,422,054.40		-2,741,679.40	-122,608.80
				82,205,000.00	75,838,125.00	158,043,125.00	0.00	8,905,209.60	0.00	149,137,915.40	
<i>True Interest Cost (TIC)</i>						5.0697892	<i>Arbitrage Yield Limit (AYL)</i>				4.9983000
<i>Net Interest Cost (NIC)</i>						5.0422834	<i>Arbitrage Net Interest Cost (ANIC)</i>				4.9989371

SBA-FDOT
SS18A

Dated: 01/01/2018
Delivered: 01/01/2018

Sizing Debt Service Schedule
\$82,205,000.00

Fiscal Yr	Compan Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvcRsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
18	7/1/2018			645,000.00	2,039,000.00	2,684,000.00		60,054.40		2,623,945.60	2,623,945.60
19	1/1/2019	N	5.000	640,000.00	2,039,000.00	2,679,000.00		60,054.40		2,618,945.60	
19	7/1/2019	N	5.000	655,000.00	2,023,000.00	2,678,000.00		60,054.40		2,617,945.60	5,236,891.20
20	1/1/2020	N	5.000	670,000.00	2,006,625.00	2,676,625.00		60,054.40		2,616,570.60	
20	7/1/2020	N	5.000	690,000.00	1,989,875.00	2,679,875.00		60,054.40		2,619,820.60	5,236,391.20
21	1/1/2021	N	5.000	705,000.00	1,972,625.00	2,677,625.00		60,054.40		2,617,570.60	
21	7/1/2021	N	5.000	725,000.00	1,955,000.00	2,680,000.00		60,054.40		2,619,945.60	5,237,516.20
22	1/1/2022	N	5.000	740,000.00	1,936,875.00	2,676,875.00		60,054.40		2,616,820.60	
22	7/1/2022	N	5.000	760,000.00	1,918,375.00	2,678,375.00		60,054.40		2,618,320.60	5,235,141.20
23	1/1/2023	N	5.000	780,000.00	1,899,375.00	2,679,375.00		60,054.40		2,619,320.60	
23	7/1/2023	N	5.000	800,000.00	1,879,875.00	2,679,875.00		60,054.40		2,619,820.60	5,239,141.20
24	1/1/2024	N	5.000	820,000.00	1,859,875.00	2,679,875.00		60,054.40		2,619,820.60	
24	7/1/2024	N	5.000	840,000.00	1,839,375.00	2,679,375.00		60,054.40		2,619,320.60	5,239,141.20
25	1/1/2025	N	5.000	860,000.00	1,818,375.00	2,678,375.00		60,054.40		2,618,320.60	
25	7/1/2025	N	5.000	880,000.00	1,796,875.00	2,676,875.00		60,054.40		2,616,820.60	5,235,141.20
26	1/1/2026	N	5.000	905,000.00	1,774,875.00	2,679,875.00		60,054.40		2,619,820.60	
26	7/1/2026	N	5.000	925,000.00	1,752,250.00	2,677,250.00		60,054.40		2,617,195.60	5,237,016.20
27	1/1/2027	N	5.000	950,000.00	1,729,125.00	2,679,125.00		60,054.40		2,619,070.60	
27	7/1/2027	N	5.000	975,000.00	1,705,375.00	2,680,375.00		60,054.40		2,620,320.60	5,239,391.20
28	1/1/2028	N	5.000	1,000,000.00	1,681,000.00	2,681,000.00		60,054.40		2,620,945.60	
28	7/1/2028	N	5.000	1,025,000.00	1,656,000.00	2,681,000.00		60,054.40		2,620,945.60	5,241,891.20
29	1/1/2029	N	5.000	1,050,000.00	1,630,375.00	2,680,375.00		60,054.40		2,620,320.60	
29	7/1/2029	N	5.000	1,075,000.00	1,604,125.00	2,679,125.00		60,054.40		2,619,070.60	5,239,391.20
30	1/1/2030	N	5.000	1,100,000.00	1,577,250.00	2,677,250.00		60,054.40		2,617,195.60	
30	7/1/2030	N	5.000	1,130,000.00	1,549,750.00	2,679,750.00		60,054.40		2,619,695.60	5,236,891.20
31	1/1/2031	N	5.000	1,155,000.00	1,521,500.00	2,676,500.00		60,054.40		2,616,445.60	
31	7/1/2031	N	5.000	1,185,000.00	1,492,625.00	2,677,625.00		60,054.40		2,617,570.60	5,234,016.20
32	1/1/2032	N	5.000	1,215,000.00	1,463,000.00	2,678,000.00		60,054.40		2,617,945.60	
32	7/1/2032	N	5.000	1,245,000.00	1,432,625.00	2,677,625.00		60,054.40		2,617,570.60	5,235,516.20
33	1/1/2033	N	5.000	1,275,000.00	1,401,500.00	2,676,500.00		60,054.40		2,616,445.60	
33	7/1/2033	N	5.000	1,310,000.00	1,369,625.00	2,679,625.00		60,054.40		2,619,570.60	5,236,016.20
34	1/1/2034	N	5.000	1,340,000.00	1,336,875.00	2,676,875.00		60,054.40		2,616,820.60	
34	7/1/2034	N	5.000	1,375,000.00	1,303,375.00	2,678,375.00		60,054.40		2,618,320.60	5,235,141.20
35	1/1/2035	N	5.000	1,410,000.00	1,269,000.00	2,679,000.00		60,054.40		2,618,945.60	
35	7/1/2035	N	5.000	1,445,000.00	1,233,750.00	2,678,750.00		60,054.40		2,618,695.60	5,237,641.20
36	1/1/2036	N	5.000	1,480,000.00	1,197,625.00	2,677,625.00		60,054.40		2,617,570.60	
36	7/1/2036	N	5.000	1,520,000.00	1,160,625.00	2,680,625.00		60,054.40		2,620,570.60	5,238,141.20
37	1/1/2037	N	5.000	1,555,000.00	1,122,625.00	2,677,625.00		60,054.40		2,617,570.60	
37	7/1/2037	N	5.000	1,595,000.00	1,083,750.00	2,678,750.00		60,054.40		2,618,695.60	5,236,266.20
38	1/1/2038	N	5.000	1,635,000.00	1,043,875.00	2,678,875.00		60,054.40		2,618,820.60	
38	7/1/2038	N	5.000	1,675,000.00	1,003,000.00	2,678,000.00		60,054.40		2,617,945.60	5,236,766.20
39	1/1/2039	N	5.000	1,715,000.00	961,125.00	2,676,125.00		60,054.40		2,616,070.60	
39	7/1/2039	N	5.000	1,760,000.00	918,250.00	2,678,250.00		60,054.40		2,618,195.60	5,234,266.20
40	1/1/2040	N	5.000	1,805,000.00	874,250.00	2,679,250.00		60,054.40		2,619,195.60	
40	7/1/2040	N	5.000	1,850,000.00	829,125.00	2,679,125.00		60,054.40		2,619,070.60	5,238,266.20
41	1/1/2041	N	5.000	1,895,000.00	782,875.00	2,677,875.00		60,054.40		2,617,820.60	
41	7/1/2041	N	5.000	1,945,000.00	735,500.00	2,680,500.00		60,054.40		2,620,445.60	5,238,266.20
42	1/1/2042	N	5.000	1,990,000.00	686,875.00	2,676,875.00		60,054.40		2,616,820.60	
42	7/1/2042	N	5.000	2,040,000.00	637,125.00	2,677,125.00		60,054.40		2,617,070.60	5,233,891.20
43	1/1/2043	N	5.000	2,090,000.00	586,125.00	2,676,125.00		60,054.40		2,616,070.60	
43	7/1/2043	N	5.000	2,145,000.00	533,875.00	2,678,875.00		60,054.40		2,618,820.60	5,234,891.20
44	1/1/2044	N	5.000	2,200,000.00	480,250.00	2,680,250.00		60,054.40		2,620,195.60	
44	7/1/2044	N	5.000	2,255,000.00	425,250.00	2,680,250.00		60,054.40		2,620,195.60	5,240,391.20
45	1/1/2045	N	5.000	2,310,000.00	368,875.00	2,678,875.00		60,054.40		2,618,820.60	

Summary of Sizing Inputs

\$82,205,000.00

General Information

1st Month in FY: 1

Denomination: 5000.

Rate scale: T17A

Issue type:

Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

-> Proportionally level debt service in stub period.

Dates

01/01/2018-> Dated (bond issue) date

01/01/2018-> Delivery date

07/01/2018-> 1st coupon date

07/01/2018-> First principal payment

07/01/2047-> Last maturity date

No CABS in bond issue

Gross Construction Costs

Total project costs	76,000,000.00
Total prior costs	
Net total project costs:	76,000,000.00
Total number of projects = 0	

Restricted Accounts

DSR rule: Maximum yearly debt service

No capitalized interest

Restricted yield = 2.240000%

Net deposit to Debt Service Reserve Fund	5,362,000.00
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Net deposit to Contingency Fund	2,301.91
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Costs of Issuance

Underwriter spread: 8.000/\$1,000	-657,640.00
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Bond insurance: 0.000% (net of accrued & cap. interest)	
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Other TIC costs:	183,040.00
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SS18A

Summary of Sizing Calculations

\$82,205,000.00

Sources of Funds

Par amount of bonds	82,205,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	76,000,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	76,000,000.00

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.240%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	5,362,000.00
Net deposit to Contingency Fund	2,301.91

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-657,640.00
Bond insurance: 0.000%	
Other issuance costs	183,040.00
Rounding due to denomination size	18.09

Calculations

Net Interest Cost (NIC)	5.0422834
True Interest Cost (TIC)	5.0697892
All-Inclusive TIC:	5.0898457
Arbitrage Net Interest Cost (NIC)	4.9989371
Arbitrage Yield Limit (AYL)	4.9983000
Total Bond Years (delivery date)	1,517,085,000.00
Average Bond Years (Delivery date)	18.45
Level debt service calculation	2,678,558.36

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (A)	71,754,028	86,819,054	94,796,625
Principal (B)	73,240,000	84,245,000	92,200,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	317,848	2,102,918	2,094,573
Other Debt Service (E)	0	0	0
Total Debt Service (F)	145,311,876	173,166,972	189,091,198

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

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE: _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
SECTION I			
Interest on Debt (A)	71,754,028	75,524,179	72,295,375
Principal (B)	73,240,000	80,705,000	85,030,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	317,848	2,057,384	2,049,393
Other Debt Service (E)	0	0	0
Total Debt Service (F)	145,311,876	158,286,563	159,374,768

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

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1) SECTION I	(2) ACTUAL FY 2016-2017	(3) ESTIMATED FY 2017-2018	(4) REQUEST FY 2018-2019
Interest on Debt (A)	0	11,294,875	22,501,250
Principal (B)	0	3,540,000	7,170,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	45,534	45,180
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	14,880,409	29,716,430

Explanation:

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

SECTION II

(1) ISSUE: Proposed Right-of-Way and Bridge Construction bond sale 1/1/2018 (ROW2018A)

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2018	(6) June 30, 2019
5.000%	7/1/2047	101,195,000	100,410,000	98,820,000
		(7) ACTUAL FY 2016-2017	(8) ESTIMATED FY 2017-2018	(9) REQUEST FY 2018-2019
Interest on Debt (G)			2,510,250	5,000,875
Principal (H)			785,000	1,590,000
Fiscal Agent or Other Fees (I)			10,120	10,041
Other (J)				0
Total Debt Service (K)		0	3,305,370	6,600,916

(1) ISSUE: Proposed Right-of-Way and Bridge Construction bond sale 7/1/2018 (ROW2018B)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
5.000%	7/1/2047	354,140,000	351,385,000	345,805,000
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	8,784,625	17,500,375
Principal (H)		0	2,755,000	5,580,000
Fiscal Agent or Other Fees (I)		0	35,414	35,139
Other (J)		0	0	0
Total Debt Service (K)		0	11,575,039	23,115,514

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.
2. The source of repayment of the debt or obligation: Funded from monies transferred from the State Transportation Trust Fund, pursuant to Section 206.46 and 215.605, Florida Statutes.
3. The principal amount of the debt or obligation: \$101,195,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$809,560</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$208,000</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$101,195,000 of debt or obligation for the purpose of the Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$93,359,250.

The proposed issuance date is 1/1/2018.

SBA-FDOT

ROWA

Dated: 01/01/2018

Delivered: 01/01/2018

Sizing Debt Service Schedule

\$101,195,000.00

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>Dbt Svc Rsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
45	7/1/2045	N	5.000	2,915,000.00	382,875.00	3,297,875.00				3,297,875.00	6,596,875.00
46	1/1/2046	N	5.000	2,985,000.00	310,000.00	3,295,000.00				3,295,000.00	
46	7/1/2046	N	5.000	3,060,000.00	235,375.00	3,295,375.00				3,295,375.00	6,590,375.00
47	1/1/2047	N	5.000	3,140,000.00	158,875.00	3,298,875.00				3,298,875.00	
47	7/1/2047	N	5.000	3,215,000.00	80,375.00	3,295,375.00				3,295,375.00	6,594,250.00
				101,195,000.00	93,359,250.00	194,554,250.00	0.00	0.00	0.00	194,554,250.00	

True Interest Cost (TIC) **5.0698097**

Net Interest Cost (NIC) **5.0422973**

Arbitrage Yield Limit (AYL) **5.0137867**

Arbitrage Net Interest Cost (ANIC) **5.0083731**

SBA-FDOT

ROWA

Dated: 01/01/2018
 Delivered: 01/01/2018

Sizing Debt Service Schedule
 \$101,195,000.00

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	DbtSvrSv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
18	7/1/2018			785,000.00	2,510,250.00	3,295,250.00				3,295,250.00	3,295,250.00
19	1/1/2019	N	5.000	785,000.00	2,510,250.00	3,295,250.00				3,295,250.00	
19	7/1/2019	N	5.000	805,000.00	2,490,625.00	3,295,625.00				3,295,625.00	6,590,875.00
20	1/1/2020	N	5.000	825,000.00	2,470,500.00	3,295,500.00				3,295,500.00	
20	7/1/2020	N	5.000	850,000.00	2,449,875.00	3,299,875.00				3,299,875.00	6,595,375.00
21	1/1/2021	N	5.000	870,000.00	2,428,625.00	3,298,625.00				3,298,625.00	
21	7/1/2021	N	5.000	890,000.00	2,406,875.00	3,296,875.00				3,296,875.00	6,595,500.00
22	1/1/2022	N	5.000	915,000.00	2,384,625.00	3,299,625.00				3,299,625.00	
22	7/1/2022	N	5.000	935,000.00	2,361,750.00	3,296,750.00				3,296,750.00	6,596,375.00
23	1/1/2023	N	5.000	960,000.00	2,338,375.00	3,298,375.00				3,298,375.00	
23	7/1/2023	N	5.000	985,000.00	2,314,375.00	3,299,375.00				3,299,375.00	6,597,750.00
24	1/1/2024	N	5.000	1,010,000.00	2,289,750.00	3,299,750.00				3,299,750.00	
24	7/1/2024	N	5.000	1,035,000.00	2,264,500.00	3,299,500.00				3,299,500.00	6,599,250.00
25	1/1/2025	N	5.000	1,060,000.00	2,238,625.00	3,298,625.00				3,298,625.00	
25	7/1/2025	N	5.000	1,085,000.00	2,212,125.00	3,297,125.00				3,297,125.00	6,595,750.00
26	1/1/2026	N	5.000	1,115,000.00	2,185,000.00	3,300,000.00				3,300,000.00	
26	7/1/2026	N	5.000	1,140,000.00	2,157,125.00	3,297,125.00				3,297,125.00	6,597,125.00
27	1/1/2027	N	5.000	1,170,000.00	2,128,625.00	3,298,625.00				3,298,625.00	
27	7/1/2027	N	5.000	1,200,000.00	2,099,375.00	3,299,375.00				3,299,375.00	6,598,000.00
28	1/1/2028	N	5.000	1,230,000.00	2,069,375.00	3,299,375.00				3,299,375.00	
28	7/1/2028	N	5.000	1,260,000.00	2,038,625.00	3,298,625.00				3,298,625.00	6,598,000.00
29	1/1/2029	N	5.000	1,290,000.00	2,007,125.00	3,297,125.00				3,297,125.00	
29	7/1/2029	N	5.000	1,325,000.00	1,974,875.00	3,299,875.00				3,299,875.00	6,597,000.00
30	1/1/2030	N	5.000	1,355,000.00	1,941,750.00	3,296,750.00				3,296,750.00	
30	7/1/2030	N	5.000	1,390,000.00	1,907,875.00	3,297,875.00				3,297,875.00	6,594,625.00
31	1/1/2031	N	5.000	1,425,000.00	1,873,125.00	3,298,125.00				3,298,125.00	
31	7/1/2031	N	5.000	1,460,000.00	1,837,500.00	3,297,500.00				3,297,500.00	6,595,625.00
32	1/1/2032	N	5.000	1,495,000.00	1,801,000.00	3,296,000.00				3,296,000.00	
32	7/1/2032	N	5.000	1,535,000.00	1,763,625.00	3,298,625.00				3,298,625.00	6,594,625.00
33	1/1/2033	N	5.000	1,570,000.00	1,725,250.00	3,295,250.00				3,295,250.00	
33	7/1/2033	N	5.000	1,610,000.00	1,686,000.00	3,296,000.00				3,296,000.00	6,591,250.00
34	1/1/2034	N	5.000	1,650,000.00	1,645,750.00	3,295,750.00				3,295,750.00	
34	7/1/2034	N	5.000	1,695,000.00	1,604,500.00	3,299,500.00				3,299,500.00	6,595,250.00
35	1/1/2035	N	5.000	1,735,000.00	1,562,125.00	3,297,125.00				3,297,125.00	
35	7/1/2035	N	5.000	1,780,000.00	1,518,750.00	3,298,750.00				3,298,750.00	6,595,875.00
36	1/1/2036	N	5.000	1,825,000.00	1,474,250.00	3,299,250.00				3,299,250.00	
36	7/1/2036	N	5.000	1,870,000.00	1,428,625.00	3,298,625.00				3,298,625.00	6,597,875.00
37	1/1/2037	N	5.000	1,915,000.00	1,381,875.00	3,296,875.00				3,296,875.00	
37	7/1/2037	N	5.000	1,965,000.00	1,334,000.00	3,299,000.00				3,299,000.00	6,595,875.00
38	1/1/2038	N	5.000	2,010,000.00	1,284,875.00	3,294,875.00				3,294,875.00	
38	7/1/2038	N	5.000	2,065,000.00	1,234,625.00	3,299,625.00				3,299,625.00	6,594,500.00
39	1/1/2039	N	5.000	2,115,000.00	1,183,000.00	3,298,000.00				3,298,000.00	
39	7/1/2039	N	5.000	2,165,000.00	1,130,125.00	3,295,125.00				3,295,125.00	6,593,125.00
40	1/1/2040	N	5.000	2,220,000.00	1,076,000.00	3,296,000.00				3,296,000.00	
40	7/1/2040	N	5.000	2,275,000.00	1,020,500.00	3,295,500.00				3,295,500.00	6,591,500.00
41	1/1/2041	N	5.000	2,335,000.00	963,625.00	3,298,625.00				3,298,625.00	
41	7/1/2041	N	5.000	2,390,000.00	905,250.00	3,295,250.00				3,295,250.00	6,593,875.00
42	1/1/2042	N	5.000	2,450,000.00	845,500.00	3,295,500.00				3,295,500.00	
42	7/1/2042	N	5.000	2,515,000.00	784,250.00	3,299,250.00				3,299,250.00	6,594,750.00
43	1/1/2043	N	5.000	2,575,000.00	721,375.00	3,296,375.00				3,296,375.00	
43	7/1/2043	N	5.000	2,640,000.00	657,000.00	3,297,000.00				3,297,000.00	6,593,375.00
44	1/1/2044	N	5.000	2,705,000.00	591,000.00	3,296,000.00				3,296,000.00	
44	7/1/2044	N	5.000	2,775,000.00	523,375.00	3,298,375.00				3,298,375.00	6,594,375.00
45	1/1/2045	N	5.000	2,845,000.00	454,000.00	3,299,000.00				3,299,000.00	

ROW A

Summary of Sizing Inputs

\$101,195,000.00

General Information

1st Month in FY: 1

Denomination: 5000.

Rate scale: T17A

Issue type:

Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

-> Proportionally level debt service in stub period.

Dates

01/01/2018-> Dated (bond issue) date

01/01/2018-> Delivery date

07/01/2018-> 1st coupon date

07/01/2018-> First principal payment

07/01/2047-> Last maturity date

No CABS in bond issue

Gross Construction Costs

Total project costs	100,000,000.00
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Total prior costs	
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Net total project costs:	100,000,000.00
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Total number of projects = 0	
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Restricted Accounts

DSR rule: No debt service reserve fund

No capitalized interest

Restricted yield = 2.240000%

Net deposit to Debt Service Reserve Fund

Net deposit to Contingency Fund	1,439.91
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Costs of Issuance

Underwriter spread: 8.000/\$1,000	-809,560.00
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Bond insurance: 0.000% (net of accrued & cap. interest)	
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Other TIC costs:	208,000.00
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Bond surety fee: (user input)	176,000.00
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SBA-FDOT

Dated: 01/01/2018

Delivered: 01/01/2018

ROW A

Summary of Sizing Calculations

\$101,195,000.00

Sources of Funds

Par amount of bonds	101,195,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	100,000,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	100,000,000.00

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.240%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	1,439.91

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-809,560.00
Bond surety fee: (user input)	176,000.00
Bond insurance: 0.000%	
Other issuance costs	208,000.00

Calculations

Net Interest Cost (NIC)	5.0422973
True Interest Cost (TIC)	5.0698097
All-Inclusive TIC:	5.0883209
Arbitrage Net Interest Cost (NIC)	5.0083731
Arbitrage Yield Limit (AYL)	5.0137867
Total Bond Years (delivery date)	1,867,577,500.00
Average Bond Years (Delivery date)	18.46
Level debt service calculation	3,297,621.69

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.
2. The source of repayment of the debt or obligation: Funded from monies transferred from the State Transportation Trust Fund, pursuant to Section 206.46 and 215.605, Florida Statutes.
3. The principal amount of the debt or obligation: \$354,140,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$2,833,120</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$468,000</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$354,140,000 of debt or obligation for the purpose of the Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$326,725,875.

The proposed issuance date is 1/1/2018.

SBA-FDOT

ROWB

Dated: 01/01/2018
 Delivered: 01/01/2018

Sizing Debt Service Schedule
 \$354,140,000.00

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
45	7/1/2045	N	5.000	10,200,000.00	1,340,125.00	11,540,125.00				11,540,125.00	23,079,000.00
46	1/1/2046	N	5.000	10,455,000.00	1,085,125.00	11,540,125.00				11,540,125.00	
46	7/1/2046	N	5.000	10,715,000.00	823,750.00	11,538,750.00				11,538,750.00	23,078,875.00
47	1/1/2047	N	5.000	10,980,000.00	555,875.00	11,535,875.00				11,535,875.00	
47	7/1/2047	N	5.000	11,255,000.00	281,375.00	11,536,375.00				11,536,375.00	23,072,250.00
				354,140,000.00	326,725,875.00	680,865,875.00	0.00	0.00	0.00	680,865,875.00	
<i>True Interest Cost (TIC)</i>						5.0698045	<i>Arbitrage Yield Limit (AYL)</i>				5.0193813
<i>Net Interest Cost (NIC)</i>						5.0422933	<i>Arbitrage Net Interest Cost (ANIC)</i>				5.0117754

SBA-FDOT

ROWB

Dated: 01/01/2018
 Delivered: 01/01/2018

Sizing Debt Service Schedule
 \$354,140,000.00

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	Dbt Svc Rsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
18	7/1/2018			2,755,000.00	8,784,625.00	11,539,625.00				11,539,625.00	11,539,625.00
19	1/1/2019	N	5.000	2,755,000.00	8,784,625.00	11,539,625.00				11,539,625.00	
19	7/1/2019	N	5.000	2,825,000.00	8,715,750.00	11,540,750.00				11,540,750.00	23,080,375.00
20	1/1/2020	N	5.000	2,895,000.00	8,645,125.00	11,540,125.00				11,540,125.00	
20	7/1/2020	N	5.000	2,970,000.00	8,572,750.00	11,542,750.00				11,542,750.00	23,082,875.00
21	1/1/2021	N	5.000	3,040,000.00	8,498,500.00	11,538,500.00				11,538,500.00	
21	7/1/2021	N	5.000	3,120,000.00	8,422,500.00	11,542,500.00				11,542,500.00	23,081,000.00
22	1/1/2022	N	5.000	3,195,000.00	8,344,500.00	11,539,500.00				11,539,500.00	
22	7/1/2022	N	5.000	3,275,000.00	8,264,625.00	11,539,625.00				11,539,625.00	23,079,125.00
23	1/1/2023	N	5.000	3,360,000.00	8,182,750.00	11,542,750.00				11,542,750.00	
23	7/1/2023	N	5.000	3,440,000.00	8,098,750.00	11,538,750.00				11,538,750.00	23,081,500.00
24	1/1/2024	N	5.000	3,530,000.00	8,012,750.00	11,542,750.00				11,542,750.00	
24	7/1/2024	N	5.000	3,615,000.00	7,924,500.00	11,539,500.00				11,539,500.00	23,082,250.00
25	1/1/2025	N	5.000	3,705,000.00	7,834,125.00	11,539,125.00				11,539,125.00	
25	7/1/2025	N	5.000	3,800,000.00	7,741,500.00	11,541,500.00				11,541,500.00	23,080,625.00
26	1/1/2026	N	5.000	3,895,000.00	7,646,500.00	11,541,500.00				11,541,500.00	
26	7/1/2026	N	5.000	3,990,000.00	7,549,125.00	11,539,125.00				11,539,125.00	23,080,625.00
27	1/1/2027	N	5.000	4,090,000.00	7,449,375.00	11,539,375.00				11,539,375.00	
27	7/1/2027	N	5.000	4,195,000.00	7,347,125.00	11,542,125.00				11,542,125.00	23,081,500.00
28	1/1/2028	N	5.000	4,300,000.00	7,242,250.00	11,542,250.00				11,542,250.00	
28	7/1/2028	N	5.000	4,405,000.00	7,134,750.00	11,539,750.00				11,539,750.00	23,082,000.00
29	1/1/2029	N	5.000	4,515,000.00	7,024,625.00	11,539,625.00				11,539,625.00	
29	7/1/2029	N	5.000	4,630,000.00	6,911,750.00	11,541,750.00				11,541,750.00	23,081,375.00
30	1/1/2030	N	5.000	4,745,000.00	6,796,000.00	11,541,000.00				11,541,000.00	
30	7/1/2030	N	5.000	4,865,000.00	6,677,375.00	11,542,375.00				11,542,375.00	23,083,375.00
31	1/1/2031	N	5.000	4,985,000.00	6,555,750.00	11,540,750.00				11,540,750.00	
31	7/1/2031	N	5.000	5,110,000.00	6,431,125.00	11,541,125.00				11,541,125.00	23,081,875.00
32	1/1/2032	N	5.000	5,235,000.00	6,303,375.00	11,538,375.00				11,538,375.00	
32	7/1/2032	N	5.000	5,370,000.00	6,172,500.00	11,542,500.00				11,542,500.00	23,080,875.00
33	1/1/2033	N	5.000	5,500,000.00	6,038,250.00	11,538,250.00				11,538,250.00	
33	7/1/2033	N	5.000	5,640,000.00	5,900,750.00	11,540,750.00				11,540,750.00	23,079,000.00
34	1/1/2034	N	5.000	5,780,000.00	5,759,750.00	11,539,750.00				11,539,750.00	
34	7/1/2034	N	5.000	5,925,000.00	5,615,250.00	11,540,250.00				11,540,250.00	23,080,000.00
35	1/1/2035	N	5.000	6,075,000.00	5,467,125.00	11,542,125.00				11,542,125.00	
35	7/1/2035	N	5.000	6,225,000.00	5,315,250.00	11,540,250.00				11,540,250.00	23,082,375.00
36	1/1/2036	N	5.000	6,380,000.00	5,159,625.00	11,539,625.00				11,539,625.00	
36	7/1/2036	N	5.000	6,540,000.00	5,000,125.00	11,540,125.00				11,540,125.00	23,079,750.00
37	1/1/2037	N	5.000	6,705,000.00	4,836,625.00	11,541,625.00				11,541,625.00	
37	7/1/2037	N	5.000	6,870,000.00	4,669,000.00	11,539,000.00				11,539,000.00	23,080,625.00
38	1/1/2038	N	5.000	7,045,000.00	4,497,250.00	11,542,250.00				11,542,250.00	
38	7/1/2038	N	5.000	7,220,000.00	4,321,125.00	11,541,125.00				11,541,125.00	23,083,375.00
39	1/1/2039	N	5.000	7,400,000.00	4,140,625.00	11,540,625.00				11,540,625.00	
39	7/1/2039	N	5.000	7,585,000.00	3,955,625.00	11,540,625.00				11,540,625.00	23,081,250.00
40	1/1/2040	N	5.000	7,775,000.00	3,766,000.00	11,541,000.00				11,541,000.00	
40	7/1/2040	N	5.000	7,970,000.00	3,571,625.00	11,541,625.00				11,541,625.00	23,082,625.00
41	1/1/2041	N	5.000	8,165,000.00	3,372,375.00	11,537,375.00				11,537,375.00	
41	7/1/2041	N	5.000	8,370,000.00	3,168,250.00	11,538,250.00				11,538,250.00	23,075,625.00
42	1/1/2042	N	5.000	8,580,000.00	2,959,000.00	11,539,000.00				11,539,000.00	
42	7/1/2042	N	5.000	8,795,000.00	2,744,500.00	11,539,500.00				11,539,500.00	23,078,500.00
43	1/1/2043	N	5.000	9,015,000.00	2,524,625.00	11,539,625.00				11,539,625.00	
43	7/1/2043	N	5.000	9,240,000.00	2,299,250.00	11,539,250.00				11,539,250.00	23,078,875.00
44	1/1/2044	N	5.000	9,470,000.00	2,068,250.00	11,538,250.00				11,538,250.00	
44	7/1/2044	N	5.000	9,705,000.00	1,831,500.00	11,536,500.00				11,536,500.00	23,074,750.00
45	1/1/2045	N	5.000	9,950,000.00	1,588,875.00	11,538,875.00				11,538,875.00	

Summary of Sizing Inputs

\$354,140,000.00

General Information

1st Month in FY: 1

Denomination: 5000.

Rate scale: T17A

Issue type:

Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

-> Proportionally level debt service in stub period.

Dates

01/01/2018-> Dated (bond issue) date

01/01/2018-> Delivery date

07/01/2018-> 1st coupon date

07/01/2018-> First principal payment

07/01/2047-> Last maturity date

No CABS in bond issue

Gross Construction Costs

Total project costs	350,000,000.00
Total prior costs	
Net total project costs:	350,000,000.00
Total number of projects = 0	

Restricted Accounts

DSR rule: No debt service reserve fund

No capitalized interest

Restricted yield = 2.240000%

Net deposit to Debt Service Reserve Fund

Net deposit to Contingency Fund 379.98

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-2,833,120.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	468,000.00
Bond surety fee: (user input)	838,500.00

ROW B

Summary of Sizing Calculations

\$354,140,000.00

Sources of Funds

Par amount of bonds	354,140,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	350,000,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	350,000,000.00

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.240%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	379.98

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-2,833,120.00
Bond surety fee: (user input)	838,500.00
Bond insurance: 0.000%	
Other issuance costs	468,000.00

Calculations

Net Interest Cost (NIC)	5.0422933
True Interest Cost (TIC)	5.0698045
All-Inclusive TIC:	5.0816992
Arbitrage Net Interest Cost (NIC)	5.0117754
Arbitrage Yield Limit (AYL)	5.0193813
Total Bond Years (delivery date)	6,535,895,000.00
Average Bond Years (Delivery date)	18.46
Level debt service calculation	11,540,302.18

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1) SECTION I	(2) ACTUAL FY 2016-2017	(3) ESTIMATED FY 2017-2018	(4) REQUEST FY 2018-2019
Interest on Debt (A)	6,216,550	6,098,300	5,974,050
Principal (B)	2,365,000	2,485,000	2,605,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	12,755	22,066	21,805
Other Debt Service (E)	0	0	0
Total Debt Service (F)	8,594,305	8,605,366	8,600,855

Explanation:

Combined total debt service of up to \$10 million annually for proposed
Seaport bond sales, as authorized by Section 339.0801, F.S.

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

SECTION II

(1) **ISSUE:** _____

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2018	(6) June 30, 2019
		(7) ACTUAL FY 2016-2017	(8) ESTIMATED FY 2017-2018	(9) REQUEST FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) **ISSUE:** _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt	(A) 6,216,550	6,098,300	5,974,050
Principal	(B) 2,365,000	2,485,000	2,605,000
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 12,755	22,066	21,805
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 8,594,305	8,605,366	8,600,855

Explanation: Total debt service requirements for outstanding Seaport bonds.

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt	(G) 0	0	0	
Principal	(H) 0	0	0	
Fiscal Agent or Other Fees	(I) 0	0	0	
Other	(J) 0	0	0	
Total Debt Service	(K) 0	0	0	

(1) **ISSUE:** _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt	(G) 0	0	0	
Principal	(H) 0	0	0	
Fiscal Agent or Other Fees	(I) 0	0	0	
Other	(J) 0	0	0	
Total Debt Service	(K) 0	0	0	

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt	(A) 0	0	0
Principal	(B) 0	0	0
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 0	0	0
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 0	0	0

Explanation: Total debt service for proposed Seaport bond sales, as authorized by Section 339.0801, F.S.

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
	FY 2016-2017	FY 2017-2018	FY 2018-2019
SECTION I			
Interest on Debt	(A) 0	550,250	9,889,750
Principal	(B) 0	510,000	10,090,000
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 0	1,101	2,099
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 0	1,061,351	19,981,849

Explanation: Combined total debt service for outstanding and Transportation Finance Corporation bonds and proposed bond sales.

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt		(G) 0	0	0
Principal		(H) 0	0	0
Fiscal Agent or Other Fees		(I) 0	0	0
Other		(J) 0	0	0
Total Debt Service		(K) 0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
SECTION I			
Interest on Debt	(A) 0	0	0
Principal	(B) 0	0	0
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 0	0	0
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 0	0	0

Explanation: Total debt service requirements for outstanding Transportation Finance Corporation bonds.

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt	(G) 0	0	0	
Principal	(H) 0	0	0	
Fiscal Agent or Other Fees	(I) 0	0	0	
Other	(J) 0	0	0	
Total Debt Service	(K) 0	0	0	

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt	(G) 0	0	0	
Principal	(H) 0	0	0	
Fiscal Agent or Other Fees	(I) 0	0	0	
Other	(J) 0	0	0	
Total Debt Service	(K) 0	0	0	

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (A)	0	550,250	9,889,750
Principal (B)	0	510,000	10,090,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	1,101	2,099
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	1,061,351	19,981,849

Explanation: Total debt service for proposed Transportation Finance Corporation bond sales.

SECTION II

(1) **ISSUE:** Proposed Transportation Finance Corporation bond sale 7/1/2017 (FINC 2018A).

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
5.000%	7/1/2032	11,005,000	10,495,000	9,960,000
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	550,250	524,750
Principal (H)		0	510,000	535,000
Fiscal Agent or Other Fees (I)		0	1,101	1,050
Other (J)		0		
Total Debt Service (K)		0	1,061,351	1,060,800

(1) **ISSUE:** Proposed Transportation Finance Corporation bond sale 7/1/2018 (FINC 2019A).

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
5.000%	7/1/2032	187,300,000	187,300,000	177,745,000
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	9,365,000
Principal (H)		0	0	9,555,000
Fiscal Agent or Other Fees (I)		0	0	1,050
Other (J)		0	0	0
Total Debt Service (K)		0	0	18,921,050

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Department of Transportation Financing Corporation as authorized by Chapter 339, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Department of Transportation Financing Corporation.
3. The principal amount of the debt or obligation: \$11,005,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$88,040</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$115,232</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$11,005,000 of debt or obligation for the purpose of the Florida Department of Transportation Financing Corporation, as authorized by Chapter 339, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 15 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$4,901,000.

The proposed issuance date is 7/1/2017.

SBA-FDOT
C17A

Dated: 07/01/2017

Delivered: 07/21/2017

Sizing Debt Service Schedule

\$11,005,000.00

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
18	1/1/2018				275,125.00	275,125.00				275,125.00	
18	7/1/2018	N	5.000	510,000.00	275,125.00	785,125.00				785,125.00	1,060,250.00
19	1/1/2019				262,375.00	262,375.00				262,375.00	
19	7/1/2019	N	5.000	535,000.00	262,375.00	797,375.00				797,375.00	1,059,750.00
20	1/1/2020				249,000.00	249,000.00				249,000.00	
20	7/1/2020	N	5.000	560,000.00	249,000.00	809,000.00				809,000.00	1,058,000.00
21	1/1/2021				235,000.00	235,000.00				235,000.00	
21	7/1/2021	N	5.000	590,000.00	235,000.00	825,000.00				825,000.00	1,060,000.00
22	1/1/2022				220,250.00	220,250.00				220,250.00	
22	7/1/2022	N	5.000	620,000.00	220,250.00	840,250.00				840,250.00	1,060,500.00
23	1/1/2023				204,750.00	204,750.00				204,750.00	
23	7/1/2023	N	5.000	650,000.00	204,750.00	854,750.00				854,750.00	1,059,500.00
24	1/1/2024				188,500.00	188,500.00				188,500.00	
24	7/1/2024	N	5.000	685,000.00	188,500.00	873,500.00				873,500.00	1,062,000.00
25	1/1/2025				171,375.00	171,375.00				171,375.00	
25	7/1/2025	N	5.000	715,000.00	171,375.00	886,375.00				886,375.00	1,057,750.00
26	1/1/2026				153,500.00	153,500.00				153,500.00	
26	7/1/2026	N	5.000	755,000.00	153,500.00	908,500.00				908,500.00	1,062,000.00
27	1/1/2027				134,625.00	134,625.00				134,625.00	
27	7/1/2027	N	5.000	790,000.00	134,625.00	924,625.00				924,625.00	1,059,250.00
28	1/1/2028				114,875.00	114,875.00				114,875.00	
28	7/1/2028	N	5.000	830,000.00	114,875.00	944,875.00				944,875.00	1,059,750.00
29	1/1/2029				94,125.00	94,125.00				94,125.00	
29	7/1/2029	N	5.000	870,000.00	94,125.00	964,125.00				964,125.00	1,058,250.00
30	1/1/2030				72,375.00	72,375.00				72,375.00	
30	7/1/2030	N	5.000	920,000.00	72,375.00	992,375.00				992,375.00	1,064,750.00
31	1/1/2031				49,375.00	49,375.00				49,375.00	
31	7/1/2031	N	5.000	965,000.00	49,375.00	1,014,375.00				1,014,375.00	1,063,750.00
32	1/1/2032				25,250.00	25,250.00				25,250.00	
32	7/1/2032	N	5.000	1,010,000.00	25,250.00	1,035,250.00				1,035,250.00	1,060,500.00
				11,005,000.00	4,901,000.00	15,906,000.00	0.00	0.00	0.00	15,906,000.00	
<i>True Interest Cost (TIC)</i>						5.1180699	<i>Arbitrage Yield Limit (AYL)</i>				4.9995524
<i>Net Interest Cost (NIC)</i>						5.0898184	<i>Arbitrage Net Interest Cost (ANIC)</i>				5.0000000

Summary of Sizing Inputs

\$11,005,000.00

General Information

Profile: I95_3C_FY2018_C17A_TIB

1st Month in FY: 1

Denomination: 5000.

Rate scale: STANDARD5%

Issue type:

Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

-> Proportionally level debt service in stub period.

Dates

07/01/2017-> Dated (bond issue) date

07/21/2017-> Delivery date

01/01/2018-> 1st coupon date

07/01/2018-> First principal payment

07/01/2032-> Last maturity date

No CABS in bond issue

Gross Construction Costs

Total project costs	10,800,000.00
Total prior costs	
Net total project costs:	10,800,000.00
Total number of projects = 0	

Restricted Accounts

DSR rule: No debt service reserve fund

No capitalized interest

Restricted yield = 2.240000%

Net deposit to Debt Service Reserve Fund

Net deposit to Contingency Fund	1,727.89
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Costs of Issuance

Underwriter spread: 8.000/\$1,000	-88,040.00
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Bond insurance: 0.000% (net of accrued & cap. interest)

Other TIC costs:	115,232.00
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C17A

Summary of Sizing Calculations

\$11,005,000.00

Sources of Funds

Par amount of bonds	11,005,000.00
Original Issue Premium	
Accrued Interest	30,569.47

Construction Costs

Costs to complete construction	10,800,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	10,800,000.00

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.240%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	1,727.89

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-88,040.00
Bond insurance: 0.000%	
Other issuance costs	115,232.00

Calculations

Net Interest Cost (NIC)	5.0898184
True Interest Cost (TIC)	5.1180699
All-Inclusive TIC:	5.2753099
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	4.9995524
Total Bond Years (delivery date)	97,408,611.11
Average Bond Years (Delivery date)	8.85
Level debt service calculation	1,059,964.37

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Department of Transportation Financing Corporation as authorized by Chapter 339, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Department of Transportation Financing Corporation.
3. The principal amount of the debt or obligation: \$187,300,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$1,498,400</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$296,920</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$187,300,000 of debt or obligation for the purpose of the Florida Department of Transportation Financing Corporation, as authorized by Chapter 339, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 14 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$77,609,000.

The proposed issuance date is 7/1/2018.

SBA-FDOT

C18C

Dated: 07/01/2018

Delivered: 07/21/2018

Sizing Debt Service Schedule

\$187,300,000.00

Fiscal Yr	Compon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	Dbt Svc Rsv Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
19	1/1/2019				4,682,500.00	4,682,500.00				4,682,500.00	
19	7/1/2019	N	5.000	9,555,000.00	4,682,500.00	14,237,500.00				14,237,500.00	18,920,000.00
20	1/1/2020				4,443,625.00	4,443,625.00				4,443,625.00	
20	7/1/2020	N	5.000	10,035,000.00	4,443,625.00	14,478,625.00				14,478,625.00	18,922,250.00
21	1/1/2021				4,192,750.00	4,192,750.00				4,192,750.00	
21	7/1/2021	N	5.000	10,535,000.00	4,192,750.00	14,727,750.00				14,727,750.00	18,920,500.00
22	1/1/2022				3,929,375.00	3,929,375.00				3,929,375.00	
22	7/1/2022	N	5.000	11,065,000.00	3,929,375.00	14,994,375.00				14,994,375.00	18,923,750.00
23	1/1/2023				3,652,750.00	3,652,750.00				3,652,750.00	
23	7/1/2023	N	5.000	11,615,000.00	3,652,750.00	15,267,750.00				15,267,750.00	18,920,500.00
24	1/1/2024				3,362,375.00	3,362,375.00				3,362,375.00	
24	7/1/2024	N	5.000	12,195,000.00	3,362,375.00	15,557,375.00				15,557,375.00	18,919,750.00
25	1/1/2025				3,057,500.00	3,057,500.00				3,057,500.00	
25	7/1/2025	N	5.000	12,805,000.00	3,057,500.00	15,862,500.00				15,862,500.00	18,920,000.00
26	1/1/2026				2,737,375.00	2,737,375.00				2,737,375.00	
26	7/1/2026	N	5.000	13,445,000.00	2,737,375.00	16,182,375.00				16,182,375.00	18,919,750.00
27	1/1/2027				2,401,250.00	2,401,250.00				2,401,250.00	
27	7/1/2027	N	5.000	14,120,000.00	2,401,250.00	16,521,250.00				16,521,250.00	18,922,500.00
28	1/1/2028				2,048,250.00	2,048,250.00				2,048,250.00	
28	7/1/2028	N	5.000	14,825,000.00	2,048,250.00	16,873,250.00				16,873,250.00	18,921,500.00
29	1/1/2029				1,677,625.00	1,677,625.00				1,677,625.00	
29	7/1/2029	N	5.000	15,565,000.00	1,677,625.00	17,242,625.00				17,242,625.00	18,920,250.00
30	1/1/2030				1,288,500.00	1,288,500.00				1,288,500.00	
30	7/1/2030	N	5.000	16,345,000.00	1,288,500.00	17,633,500.00				17,633,500.00	18,922,000.00
31	1/1/2031				879,875.00	879,875.00				879,875.00	
31	7/1/2031	N	5.000	17,165,000.00	879,875.00	18,044,875.00				18,044,875.00	18,924,750.00
32	1/1/2032				450,750.00	450,750.00				450,750.00	
32	7/1/2032	N	5.000	18,030,000.00	450,750.00	18,480,750.00				18,480,750.00	18,931,500.00
					187,300,000.00	77,609,000.00	264,909,000.00	0.00	0.00	0.00	264,909,000.00
<i>True Interest Cost (TIC)</i>						5.1249012	<i>Arbitrage Yield Limit (AYL)</i>				4.9995265
<i>Net Interest Cost (NIC)</i>						5.0965352	<i>Arbitrage Net Interest Cost (ANIC)</i>				5.0000000

Summary of Sizing Inputs

\$187,300,000.00

General Information

Profile: I95_3C_FY2019_C18C_TIB5%_AnnualDS

1st Month in FY: 1

Denomination: 5000.

Rate scale: STANDARD5%

Issue type:

Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

-> Proportionally level debt service in stub period.

Dates

07/01/2018-> Dated (bond issue) date

07/21/2018-> Delivery date

01/01/2019-> 1st coupon date

07/01/2019-> First principal payment

07/01/2032-> Last maturity date

No CABS in bond issue

Gross Construction Costs

Total project costs	185,500,000.00
Total prior costs	
Net total project costs:	185,500,000.00
Total number of projects = 0	

Restricted Accounts

DSR rule: No debt service reserve fund

No capitalized interest

Restricted yield = 2.890000%

Net deposit to Debt Service Reserve Fund

Net deposit to Contingency Fund 4,679.70

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-1,498,400.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	296,920.00

C18C

Summary of Sizing Calculations

\$187,300,000.00

Sources of Funds

Par amount of bonds	187,300,000.00
Original Issue Premium	
Accrued Interest	520,277.78

Construction Costs

Costs to complete construction	185,500,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	185,500,000.00

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.890%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	4,679.70

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-1,498,400.00
Bond insurance: 0.000%	
Other issuance costs	296,920.00

Calculations

Net Interest Cost (NIC)	5.0965352
True Interest Cost (TIC)	5.1249012
All-Inclusive TIC:	5.1499193
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	4.9995265
Total Bond Years (delivery date)	1,541,774,444.44
Average Bond Years (Delivery date)	8.23
Level debt service calculation	18,921,353.34

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
SECTION I			
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	0	0

Explanation: Combined total debt service for outstanding GARVEE bonds and proposed bond sales.
*Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
<u>SECTION I</u>			
Interest on Debt	(A) 0	0	0
Principal	(B) 0	0	0
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 0	0	0
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 0	0	0

Explanation: Total debt service requirements for outstanding GARVEE bonds.

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt	(G) 0	0	0	
Principal	(H) 0	0	0	
Fiscal Agent or Other Fees	(I) 0	0	0	
Other	(J) 0	0	0	
Total Debt Service	(K) 0	0	0	

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt	(G) 0	0	0	
Principal	(H) 0	0	0	
Fiscal Agent or Other Fees	(I) 0	0	0	
Other	(J) 0	0	0	
Total Debt Service	(K) 0	0	0	

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
SECTION I			
Interest on Debt	(A) 0	0	0
Principal	(B) 0	0	0
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 0	0	0
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 0	0	0

Explanation:

**Total debt service for proposed GARVEE bond sales, as authorized
by Section 215.616, Florida Statutes.**

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

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt	(G) 0	0	0	0
Principal	(H) 0	0	0	0
Fiscal Agent or Other Fees	(I) 0	0	0	0
Other	(J) 0	0	0	0
Total Debt Service	(K) 0	0	0	0

(1) **ISSUE:** _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt	(G) 0	0	0	0
Principal	(H) 0	0	0	0
Fiscal Agent or Other Fees	(I) 0	0	0	0
Other	(J) 0	0	0	0
Total Debt Service	(K) 0	0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (A)	2,008,606	1,575,856	1,167,856
Principal (B)	8,655,000	8,160,000	7,200,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	8,898	2,904	2,184
Other Debt Service (E)	0	0	0
Total Debt Service (F)	10,672,504	9,738,760	8,370,040

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

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

SECTION II

(1) **ISSUE:**

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) **ISSUE:**

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
<u>SECTION I</u>	FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (A)	2,008,606	1,575,856	1,167,856
Principal (B)	8,655,000	8,160,000	7,200,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	8,898	2,904	2,184
Other Debt Service (E)	0	0	0
Total Debt Service (F)	10,672,504	9,738,760	8,370,040

Explanation:

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

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
<u>SECTION I</u>	FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (A)	0	0	0
Principal (B)	0	0	0
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	0
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	0	0

Explanation:

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

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

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
5.000%				
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)			0	0
Other (J)			0	0
Total Debt Service (K)		0	0	0

(1) **ISSUE:** _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
SECTION I			
Interest on Debt (A)	128,688,562	134,917,849	134,740,974
Principal (B)	133,590,000	142,920,000	154,295,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	393,801	411,035	415,764
Other Debt Service (E)	0	0	0
Total Debt Service (F)	262,672,363	278,248,885	289,451,739

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

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

***Note: Amounts are not adjusted for BABs subsidies.**

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (A)	128,688,562	122,095,474	115,140,474
Principal (B)	133,590,000	140,640,000	148,070,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	393,801	381,296	366,489
Other Debt Service (E)			
Total Debt Service (F)	262,672,363	263,116,770	263,576,963

Explanation: Total debt service requirements for outstanding Florida Turnpike bonds.
*Note: Does not include interest credited from Debt Service Reserve Account.
*Note: Amounts are not adjusted for BABs subsidies.

SECTION II

(1) ISSUE: _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
(7)	(8)	(9)		
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

(1) ISSUE: _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019		
Interest on Debt (G)	0	0	0	
Principal (H)	0	0	0	
Fiscal Agent or Other Fees (I)	0	0	0	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	0	

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1) <u>SECTION I</u>	(2) ACTUAL FY 2016-2017	(3) ESTIMATED FY 2017-2018	(4) REQUEST FY 2018-2019
Interest on Debt (A)	0	12,822,375	19,600,500
Principal (B)	0	2,280,000	6,225,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	29,740	49,276
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	15,132,115	25,874,776

Explanation:

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

SECTION II

(1) **ISSUE:** Proposed Turnpike bond sale 7/1/2017 (TPK2017A)

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2018	(6) June 30, 2019
5.000%	7/1/2047	216,135,000	214,490,000	211,085,000
		(7) ACTUAL FY 2016-2017	(8) ESTIMATED FY 2017-2018	(9) REQUEST FY 2018-2019
Interest on Debt (G)		0	10,806,750	10,682,500
Principal (H)		0	1,645,000	3,405,000
Fiscal Agent or Other Fees (I)		0	21,614	21,449
Other (J)		0	0	0
Total Debt Service (K)		0	12,473,364	14,108,949

(1) **ISSUE:** Proposed Turnpike bond sale 1/1/2018 (TPK2018A)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
5.000%	7/1/2047	81,260,000	80,625,000	79,345,000
		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt (G)		0	2,015,625	4,015,500
Principal (H)		0	635,000	1,280,000
Fiscal Agent or Other Fees (I)		0	8,126	8,063
Other (J)		0	0	0
Total Debt Service (K)		0	2,658,751	5,303,563

SCHEDULE VI: DETAIL OF DEBT SERVICE

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

Budget Period 2018 - 2019

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (A)	0	0	4,902,500
Principal (B)	0	0	1,540,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	0	19,764
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	0	6,462,264

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

SECTION II

(1) **ISSUE:** Proposed Turnpike bond sale 1/1/2019 (TPK2019A)

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
5.000%	7/1/2048	197,640,000	197,640,000	196,100,000
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	4,902,500
Principal (H)		0	0	1,540,000
Fiscal Agent or Other Fees (I)		0	0	19,764
Other (J)		0	0	0
Total Debt Service (K)		0	0	6,462,264

(1) **ISSUE:** _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2018	June 30, 2019
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2016-2017	FY 2017-2018	FY 2018-2019
Interest on Debt (G)		0	0	0
Principal (H)		0	0	0
Fiscal Agent or Other Fees (I)		0	0	0
Other (J)		0	0	0
Total Debt Service (K)		0	0	0

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Turnpike as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Turnpike System.
3. The principal amount of the debt or obligation: \$216,135,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$1,729,080</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$312,000</u>
<u>Deposit into Debt Service Reserve Account</u>	<u>\$14,095,875</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$216,135,000 of debt or obligation for the purpose of the Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$204,907,500.

The proposed issuance date is 7/1/2017.

SBA-FDOT
TP 2017A

Dated: 07/01/2017
Delivered: 07/01/2017

Sizing Debt Service Schedule

\$216,135,000.00

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
45	1/1/2045	N	5.000	6,075,000.00	970,375.00	7,045,375.00		203,685.39		6,841,689.61	
45	7/1/2045	N	5.000	6,230,000.00	818,500.00	7,048,500.00		203,685.39		6,844,814.61	13,686,504.21
46	1/1/2046	N	5.000	6,385,000.00	662,750.00	7,047,750.00		203,685.39		6,844,064.61	
46	7/1/2046	N	5.000	6,545,000.00	503,125.00	7,048,125.00		203,685.39		6,844,439.61	13,688,504.21
47	1/1/2047	N	5.000	6,705,000.00	339,500.00	7,044,500.00		203,685.39		6,840,814.61	
47	7/1/2047	N	5.000	6,875,000.00	171,875.00	7,046,875.00		14,299,560.39		-7,252,685.39	-411,870.79
				216,135,000.00	204,907,500.00	421,042,500.00	0.00	26,316,998.63	0.00	394,725,501.38	

<i>True Interest Cost (TIC)</i>	5.0701600	<i>Arbitrage Yield Limit (AYL)</i>	5.0000000
<i>Net Interest Cost (NIC)</i>	5.0421907	<i>Arbitrage Net Interest Cost (ANIC)</i>	5.0000000

SBA-FDOT

TP 2017A

Sizing Debt Service Schedule

\$216,135,000.00

Dated: 07/01/2017

Delivered: 07/01/2017

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
18	1/1/2018				5,403,375.00	5,403,375.00		203,685.39		5,199,689.61	
18	7/1/2018	N	5.000	1,645,000.00	5,403,375.00	7,048,375.00		203,685.39		6,844,689.61	12,044,379.21
19	1/1/2019	N	5.000	1,680,000.00	5,362,250.00	7,042,250.00		203,685.39		6,838,564.61	
19	7/1/2019	N	5.000	1,725,000.00	5,320,250.00	7,045,250.00		203,685.39		6,841,564.61	13,680,129.21
20	1/1/2020	N	5.000	1,765,000.00	5,277,125.00	7,042,125.00		203,685.39		6,838,439.61	
20	7/1/2020	N	5.000	1,810,000.00	5,233,000.00	7,043,000.00		203,685.39		6,839,314.61	13,677,754.21
21	1/1/2021	N	5.000	1,855,000.00	5,187,750.00	7,042,750.00		203,685.39		6,839,064.61	
21	7/1/2021	N	5.000	1,905,000.00	5,141,375.00	7,046,375.00		203,685.39		6,842,689.61	13,681,754.21
22	1/1/2022	N	5.000	1,950,000.00	5,093,750.00	7,043,750.00		203,685.39		6,840,064.61	
22	7/1/2022	N	5.000	2,000,000.00	5,045,000.00	7,045,000.00		203,685.39		6,841,314.61	13,681,379.21
23	1/1/2023	N	5.000	2,050,000.00	4,995,000.00	7,045,000.00		203,685.39		6,841,314.61	
23	7/1/2023	N	5.000	2,100,000.00	4,943,750.00	7,043,750.00		203,685.39		6,840,064.61	13,681,379.21
24	1/1/2024	N	5.000	2,155,000.00	4,891,250.00	7,046,250.00		203,685.39		6,842,564.61	
24	7/1/2024	N	5.000	2,205,000.00	4,837,375.00	7,042,375.00		203,685.39		6,838,689.61	13,681,254.21
25	1/1/2025	N	5.000	2,260,000.00	4,782,250.00	7,042,250.00		203,685.39		6,838,564.61	
25	7/1/2025	N	5.000	2,320,000.00	4,725,750.00	7,045,750.00		203,685.39		6,842,064.61	13,680,629.21
26	1/1/2026	N	5.000	2,375,000.00	4,667,750.00	7,042,750.00		203,685.39		6,839,064.61	
26	7/1/2026	N	5.000	2,435,000.00	4,608,375.00	7,043,375.00		203,685.39		6,839,689.61	13,678,754.21
27	1/1/2027	N	5.000	2,495,000.00	4,547,500.00	7,042,500.00		203,685.39		6,838,814.61	
27	7/1/2027	N	5.000	2,560,000.00	4,485,125.00	7,045,125.00		203,685.39		6,841,439.61	13,680,254.21
28	1/1/2028	N	5.000	2,625,000.00	4,421,125.00	7,046,125.00		203,685.39		6,842,439.61	
28	7/1/2028	N	5.000	2,690,000.00	4,355,500.00	7,045,500.00		203,685.39		6,841,814.61	13,684,254.21
29	1/1/2029	N	5.000	2,755,000.00	4,288,250.00	7,043,250.00		203,685.39		6,839,564.61	
29	7/1/2029	N	5.000	2,825,000.00	4,219,375.00	7,044,375.00		203,685.39		6,840,689.61	13,680,254.21
30	1/1/2030	N	5.000	2,895,000.00	4,148,750.00	7,043,750.00		203,685.39		6,840,064.61	
30	7/1/2030	N	5.000	2,970,000.00	4,076,375.00	7,046,375.00		203,685.39		6,842,689.61	13,682,754.21
31	1/1/2031	N	5.000	3,040,000.00	4,002,125.00	7,042,125.00		203,685.39		6,838,439.61	
31	7/1/2031	N	5.000	3,120,000.00	3,926,125.00	7,046,125.00		203,685.39		6,842,439.61	13,680,879.21
32	1/1/2032	N	5.000	3,195,000.00	3,848,125.00	7,043,125.00		203,685.39		6,839,439.61	
32	7/1/2032	N	5.000	3,275,000.00	3,768,250.00	7,043,250.00		203,685.39		6,839,564.61	13,679,004.21
33	1/1/2033	N	5.000	3,360,000.00	3,686,375.00	7,046,375.00		203,685.39		6,842,689.61	
33	7/1/2033	N	5.000	3,440,000.00	3,602,375.00	7,042,375.00		203,685.39		6,838,689.61	13,681,379.21
34	1/1/2034	N	5.000	3,530,000.00	3,516,375.00	7,046,375.00		203,685.39		6,842,689.61	
34	7/1/2034	N	5.000	3,615,000.00	3,428,125.00	7,043,125.00		203,685.39		6,839,439.61	13,682,129.21
35	1/1/2035	N	5.000	3,705,000.00	3,337,750.00	7,042,750.00		203,685.39		6,839,064.61	
35	7/1/2035	N	5.000	3,800,000.00	3,245,125.00	7,045,125.00		203,685.39		6,841,439.61	13,680,504.21
36	1/1/2036	N	5.000	3,895,000.00	3,150,125.00	7,045,125.00		203,685.39		6,841,439.61	
36	7/1/2036	N	5.000	3,990,000.00	3,052,750.00	7,042,750.00		203,685.39		6,839,064.61	13,680,504.21
37	1/1/2037	N	5.000	4,090,000.00	2,953,000.00	7,043,000.00		203,685.39		6,839,314.61	
37	7/1/2037	N	5.000	4,195,000.00	2,850,750.00	7,045,750.00		203,685.39		6,842,064.61	13,681,379.21
38	1/1/2038	N	5.000	4,300,000.00	2,745,875.00	7,045,875.00		203,685.39		6,842,189.61	
38	7/1/2038	N	5.000	4,405,000.00	2,638,375.00	7,043,375.00		203,685.39		6,839,689.61	13,681,879.21
39	1/1/2039	N	5.000	4,515,000.00	2,528,250.00	7,043,250.00		203,685.39		6,839,564.61	
39	7/1/2039	N	5.000	4,630,000.00	2,415,375.00	7,045,375.00		203,685.39		6,841,689.61	13,681,254.21
40	1/1/2040	N	5.000	4,745,000.00	2,299,625.00	7,044,625.00		203,685.39		6,840,939.61	
40	7/1/2040	N	5.000	4,865,000.00	2,181,000.00	7,046,000.00		203,685.39		6,842,314.61	13,683,254.21
41	1/1/2041	N	5.000	4,985,000.00	2,059,375.00	7,044,375.00		203,685.39		6,840,689.61	
41	7/1/2041	N	5.000	5,110,000.00	1,934,750.00	7,044,750.00		203,685.39		6,841,064.61	13,681,754.21
42	1/1/2042	N	5.000	5,240,000.00	1,807,000.00	7,047,000.00		203,685.39		6,843,314.61	
42	7/1/2042	N	5.000	5,370,000.00	1,676,000.00	7,046,000.00		203,685.39		6,842,314.61	13,685,629.21
43	1/1/2043	N	5.000	5,505,000.00	1,541,750.00	7,046,750.00		203,685.39		6,843,064.61	
43	7/1/2043	N	5.000	5,640,000.00	1,404,125.00	7,044,125.00		203,685.39		6,840,439.61	13,683,504.21
44	1/1/2044	N	5.000	5,780,000.00	1,263,125.00	7,043,125.00		203,685.39		6,839,439.61	
44	7/1/2044	N	5.000	5,930,000.00	1,118,625.00	7,048,625.00		203,685.39		6,844,939.61	13,684,379.21

Summary of Sizing Inputs

\$216,135,000.00

General Information

1st Month in FY: 1

Denomination: 5000.

Rate scale: T17A

Issue type:

Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

-> Proportionally level debt service in stub period.

Dates

07/01/2017-> Dated (bond issue) date

07/01/2017-> Delivery date

01/01/2018-> 1st coupon date

07/01/2018-> First principal payment

07/01/2047-> Last maturity date

No CABS in bond issue

Gross Construction Costs

Total project costs 200,000,000.00

Total prior costs

Net total project costs: 200,000,000.00

Total number of projects = 0

Restricted Accounts

DSR rule: Maximum yearly debt service

No capitalized interest

Restricted yield = 2.890000%

Net deposit to Debt Service Reserve Fund 14,095,875.00

Net deposit to Contingency Fund

Costs of Issuance

Underwriter spread: 8.000/\$1,000 -1,729,080.00

Bond insurance: 0.000% (net of accrued & cap. interest)

Other TIC costs: 312,000.00

TP 2017A

Summary of Sizing Calculations

\$216,135,000.00

Sources of Funds

Par amount of bonds	216,135,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	200,000,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	200,000,000.00

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.890%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	14,095,875.00
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-1,729,080.00
Bond insurance: 0.000%	
Other issuance costs	312,000.00
Rounding due to denomination size	-1,955.00

Calculations

Net Interest Cost (NIC)	5.0421907
True Interest Cost (TIC)	5.0701600
All-Inclusive TIC:	5.0829123
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0000000
Total Bond Years (delivery date)	4,098,150,000.00
Average Bond Years (Delivery date)	18.96
Level debt service calculation	7,044,345.20

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Turnpike as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Turnpike System.
3. The principal amount of the debt or obligation: \$81,260,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

Underwriter Discount	\$650,080
Rating Agency Fees	\$75,000
Other Costs of Issuance	\$182,132
Deposit into Debt Service Reserve Account	\$5,299,875

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$81,260,000 of debt or obligation for the purpose of the Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$74,972,875.

The proposed issuance date is 1/1/2018.

SBA-FDOT

TP 2018A

Sizing Debt Service Schedule

\$81,260,000.00

Dated: 01/01/2018

Delivered: 01/01/2018

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>DbtSvcRsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
45	7/1/2045	N	5.000	2,340,000.00	307,375.00	2,647,375.00		59,358.60		2,588,016.40	5,178,157.80
46	1/1/2046	N	5.000	2,400,000.00	248,875.00	2,648,875.00		59,358.60		2,589,516.40	
46	7/1/2046	N	5.000	2,455,000.00	188,875.00	2,643,875.00		59,358.60		2,584,516.40	5,174,032.80
47	1/1/2047	N	5.000	2,520,000.00	127,500.00	2,647,500.00		59,358.60		2,588,141.40	
47	7/1/2047	N	5.000	2,580,000.00	64,500.00	2,644,500.00		5,359,233.60		-2,714,733.60	-126,592.20
				81,260,000.00	74,972,875.00	156,232,875.00	0.00	8,802,032.40	0.00	147,430,842.60	
True Interest Cost (TIC)						5.0697910	Arbitrage Yield Limit (AYL)				4.9983070
Net Interest Cost (NIC)						5.0422840	Arbitrage Net Interest Cost (ANIC)				4.9989415

SBA-FDOT

TP 2018A

Sizing Debt Service Schedule

\$81,260,000.00

Dated: 01/01/2018

Delivered: 01/01/2018

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>Dbt Svc Rsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
18	7/1/2018			635,000.00	2,015,625.00	2,650,625.00		59,358.60		2,591,266.40	2,591,266.40
19	1/1/2019	N	5.000	630,000.00	2,015,625.00	2,645,625.00		59,358.60		2,586,266.40	
19	7/1/2019	N	5.000	650,000.00	1,999,875.00	2,649,875.00		59,358.60		2,590,516.40	5,176,782.80
20	1/1/2020	N	5.000	665,000.00	1,983,625.00	2,648,625.00		59,358.60		2,589,266.40	
20	7/1/2020	N	5.000	680,000.00	1,967,000.00	2,647,000.00		59,358.60		2,587,641.40	5,176,907.80
21	1/1/2021	N	5.000	700,000.00	1,950,000.00	2,650,000.00		59,358.60		2,590,641.40	
21	7/1/2021	N	5.000	715,000.00	1,932,500.00	2,647,500.00		59,358.60		2,588,141.40	5,178,782.80
22	1/1/2022	N	5.000	735,000.00	1,914,625.00	2,649,625.00		59,358.60		2,590,266.40	
22	7/1/2022	N	5.000	750,000.00	1,896,250.00	2,646,250.00		59,358.60		2,586,891.40	5,177,157.80
23	1/1/2023	N	5.000	770,000.00	1,877,500.00	2,647,500.00		59,358.60		2,588,141.40	
23	7/1/2023	N	5.000	790,000.00	1,858,250.00	2,648,250.00		59,358.60		2,588,891.40	5,177,032.80
24	1/1/2024	N	5.000	810,000.00	1,838,500.00	2,648,500.00		59,358.60		2,589,141.40	
24	7/1/2024	N	5.000	830,000.00	1,818,250.00	2,648,250.00		59,358.60		2,588,891.40	5,178,032.80
25	1/1/2025	N	5.000	850,000.00	1,797,500.00	2,647,500.00		59,358.60		2,588,141.40	
25	7/1/2025	N	5.000	870,000.00	1,776,250.00	2,646,250.00		59,358.60		2,586,891.40	5,175,032.80
26	1/1/2026	N	5.000	895,000.00	1,754,500.00	2,649,500.00		59,358.60		2,590,141.40	
26	7/1/2026	N	5.000	915,000.00	1,732,125.00	2,647,125.00		59,358.60		2,587,766.40	5,177,907.80
27	1/1/2027	N	5.000	940,000.00	1,709,250.00	2,649,250.00		59,358.60		2,589,891.40	
27	7/1/2027	N	5.000	960,000.00	1,685,750.00	2,645,750.00		59,358.60		2,586,391.40	5,176,282.80
28	1/1/2028	N	5.000	985,000.00	1,661,750.00	2,646,750.00		59,358.60		2,587,391.40	
28	7/1/2028	N	5.000	1,010,000.00	1,637,125.00	2,647,125.00		59,358.60		2,587,766.40	5,175,157.80
29	1/1/2029	N	5.000	1,035,000.00	1,611,875.00	2,646,875.00		59,358.60		2,587,516.40	
29	7/1/2029	N	5.000	1,060,000.00	1,586,000.00	2,646,000.00		59,358.60		2,586,641.40	5,174,157.80
30	1/1/2030	N	5.000	1,090,000.00	1,559,500.00	2,649,500.00		59,358.60		2,590,141.40	
30	7/1/2030	N	5.000	1,115,000.00	1,532,250.00	2,647,250.00		59,358.60		2,587,891.40	5,178,032.80
31	1/1/2031	N	5.000	1,145,000.00	1,504,375.00	2,649,375.00		59,358.60		2,590,016.40	
31	7/1/2031	N	5.000	1,170,000.00	1,475,750.00	2,645,750.00		59,358.60		2,586,391.40	5,176,407.80
32	1/1/2032	N	5.000	1,200,000.00	1,446,500.00	2,646,500.00		59,358.60		2,587,141.40	
32	7/1/2032	N	5.000	1,230,000.00	1,416,500.00	2,646,500.00		59,358.60		2,587,141.40	5,174,282.80
33	1/1/2033	N	5.000	1,260,000.00	1,385,750.00	2,645,750.00		59,358.60		2,586,391.40	
33	7/1/2033	N	5.000	1,295,000.00	1,354,250.00	2,649,250.00		59,358.60		2,589,891.40	5,176,282.80
34	1/1/2034	N	5.000	1,325,000.00	1,321,875.00	2,646,875.00		59,358.60		2,587,516.40	
34	7/1/2034	N	5.000	1,360,000.00	1,288,750.00	2,648,750.00		59,358.60		2,589,391.40	5,176,907.80
35	1/1/2035	N	5.000	1,395,000.00	1,254,750.00	2,649,750.00		59,358.60		2,590,391.40	
35	7/1/2035	N	5.000	1,430,000.00	1,219,875.00	2,649,875.00		59,358.60		2,590,516.40	5,180,907.80
36	1/1/2036	N	5.000	1,465,000.00	1,184,125.00	2,649,125.00		59,358.60		2,589,766.40	
36	7/1/2036	N	5.000	1,500,000.00	1,147,500.00	2,647,500.00		59,358.60		2,588,141.40	5,177,907.80
37	1/1/2037	N	5.000	1,540,000.00	1,110,000.00	2,650,000.00		59,358.60		2,590,641.40	
37	7/1/2037	N	5.000	1,575,000.00	1,071,500.00	2,646,500.00		59,358.60		2,587,141.40	5,177,782.80
38	1/1/2038	N	5.000	1,615,000.00	1,032,125.00	2,647,125.00		59,358.60		2,587,766.40	
38	7/1/2038	N	5.000	1,655,000.00	991,750.00	2,646,750.00		59,358.60		2,587,391.40	5,175,157.80
39	1/1/2039	N	5.000	1,700,000.00	950,375.00	2,650,375.00		59,358.60		2,591,016.40	
39	7/1/2039	N	5.000	1,740,000.00	907,875.00	2,647,875.00		59,358.60		2,588,516.40	5,179,532.80
40	1/1/2040	N	5.000	1,785,000.00	864,375.00	2,649,375.00		59,358.60		2,590,016.40	
40	7/1/2040	N	5.000	1,830,000.00	819,750.00	2,649,750.00		59,358.60		2,590,391.40	5,180,407.80
41	1/1/2041	N	5.000	1,875,000.00	774,000.00	2,649,000.00		59,358.60		2,589,641.40	
41	7/1/2041	N	5.000	1,920,000.00	727,125.00	2,647,125.00		59,358.60		2,587,766.40	5,177,407.80
42	1/1/2042	N	5.000	1,970,000.00	679,125.00	2,649,125.00		59,358.60		2,589,766.40	
42	7/1/2042	N	5.000	2,020,000.00	629,875.00	2,649,875.00		59,358.60		2,590,516.40	5,180,282.80
43	1/1/2043	N	5.000	2,070,000.00	579,375.00	2,649,375.00		59,358.60		2,590,016.40	
43	7/1/2043	N	5.000	2,120,000.00	527,625.00	2,647,625.00		59,358.60		2,588,266.40	5,178,282.80
44	1/1/2044	N	5.000	2,175,000.00	474,625.00	2,649,625.00		59,358.60		2,590,266.40	
44	7/1/2044	N	5.000	2,230,000.00	420,250.00	2,650,250.00		59,358.60		2,590,891.40	5,181,157.80
45	1/1/2045	N	5.000	2,285,000.00	364,500.00	2,649,500.00		59,358.60		2,590,141.40	

Summary of Sizing Inputs

\$81,260,000.00

General Information

1st Month in FY: 1

Denomination: 5000.

Rate scale: T17A

Issue type:

Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

-> Proportionally level debt service in stub period.

Dates

01/01/2018-> Dated (bond issue) date

01/01/2018-> Delivery date

07/01/2018-> 1st coupon date

07/01/2018-> First principal payment

07/01/2047-> Last maturity date

No CABS in bond issue

Gross Construction Costs

Total project costs 75,126,971.33

Total prior costs

Net total project costs: 75,126,971.33

Total number of projects = 0

Restricted Accounts

DSR rule: Maximum yearly debt service

No capitalized interest

Restricted yield = 2.240000%

Net deposit to Debt Service Reserve Fund 5,299,875.00

Net deposit to Contingency Fund 940.60

Costs of Issuance

Underwriter spread: 8.000/\$1,000 -650,080.00

Bond insurance: 0.000% (net of accrued & cap. interest)

Other TIC costs: 182,132.00

TP 2018A

Summary of Sizing Calculations

\$81,260,000.00

Sources of Funds

Par amount of bonds	81,260,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	75,126,971.33
Prior costs to be paid from bond proceeds	
Gross Construction Costs	75,126,971.33

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.240%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	5,299,875.00
Net deposit to Contingency Fund	940.60

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-650,080.00
Bond insurance: 0.000%	
Other issuance costs	182,132.00

Calculations

Net Interest Cost (NIC)	5.0422840
True Interest Cost (TIC)	5.0697910
All-Inclusive TIC:	5.0899789
Arbitrage Net Interest Cost (NIC)	4.9989415
Arbitrage Yield Limit (AYL)	4.9983070
Total Bond Years (delivery date)	1,499,775,000.00
Average Bond Years (Delivery date)	18.46
Level debt service calculation	2,647,861.77

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Turnpike as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Turnpike System.
3. The principal amount of the debt or obligation: \$197,640,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$1,581,120</u>
<u>Rating Agency Fees</u>	<u>\$75,000</u>
<u>Other Costs of Issuance</u>	<u>\$294,196</u>
<u>Deposit into Debt Service Reserve Account</u>	<u>\$12,884,125</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$197,640,000 of debt or obligation for the purpose of the Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$182,331,375.

The proposed issuance date is 1/1/2019.

SBA-FDOT
TP 2019A

Dated: 01/01/2019
Delivered: 01/01/2019

Sizing Debt Service Schedule

\$197,640,000.00

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annul Dbt Svc</i>	<i>Cap Int</i>	<i>Dbt Svc Rsv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annul Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
46	7/1/2046	N	5.000	5,690,000.00	747,875.00	6,437,875.00		186,175.61		6,251,699.39	12,502,148.79
47	1/1/2047	N	5.000	5,830,000.00	605,625.00	6,435,625.00		186,175.61		6,249,449.39	
47	7/1/2047	N	5.000	5,980,000.00	459,875.00	6,439,875.00		186,175.61		6,253,699.39	12,503,148.79
48	1/1/2048	N	5.000	6,130,000.00	310,375.00	6,440,375.00		186,175.61		6,254,199.39	
48	7/1/2048	N	5.000	6,285,000.00	157,125.00	6,442,125.00		13,070,300.61		-6,628,175.61	-373,976.21
				197,640,000.00	182,331,375.00	379,971,375.00	0.00	23,868,485.77	0.00	356,102,889.23	
<i>True Interest Cost (TIC)</i>						5.0698050	<i>Arbitrage Yield Limit (AYL)</i>				4.9983118
<i>Net Interest Cost (NIC)</i>						5.0422937	<i>Arbitrage Net Interest Cost (ANIC)</i>				4.9989445

SBA-FDOT

TP 2019A

Sizing Debt Service Schedule

\$197,640,000.00

Dated: 01/01/2019

Delivered: 01/01/2019

<i>Fiscal Yr</i>	<i>Coupon Date</i>	<i>Zer Cpn</i>	<i>Cpn Rate</i>	<i>Maturing Principal</i>	<i>Periodic Interest</i>	<i>Gross Semi-Annl Dbt Svc</i>	<i>Cap Int</i>	<i>Dbt Svc Rsw Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
19	7/1/2019			1,540,000.00	4,902,500.00	6,442,500.00		186,175.61		6,256,324.39	6,256,324.39
20	1/1/2020	N	5.000	1,540,000.00	4,902,500.00	6,442,500.00		186,175.61		6,256,324.39	
20	7/1/2020	N	5.000	1,575,000.00	4,864,000.00	6,439,000.00		186,175.61		6,252,824.39	12,509,148.79
21	1/1/2021	N	5.000	1,615,000.00	4,824,625.00	6,439,625.00		186,175.61		6,253,449.39	
21	7/1/2021	N	5.000	1,655,000.00	4,784,250.00	6,439,250.00		186,175.61		6,253,074.39	12,506,523.79
22	1/1/2022	N	5.000	1,700,000.00	4,742,875.00	6,442,875.00		186,175.61		6,256,699.39	
22	7/1/2022	N	5.000	1,740,000.00	4,700,375.00	6,440,375.00		186,175.61		6,254,199.39	12,510,898.79
23	1/1/2023	N	5.000	1,785,000.00	4,656,875.00	6,441,875.00		186,175.61		6,255,699.39	
23	7/1/2023	N	5.000	1,830,000.00	4,612,250.00	6,442,250.00		186,175.61		6,256,074.39	12,511,773.79
24	1/1/2024	N	5.000	1,875,000.00	4,566,500.00	6,441,500.00		186,175.61		6,255,324.39	
24	7/1/2024	N	5.000	1,920,000.00	4,519,625.00	6,439,625.00		186,175.61		6,253,449.39	12,508,773.79
25	1/1/2025	N	5.000	1,970,000.00	4,471,625.00	6,441,625.00		186,175.61		6,255,449.39	
25	7/1/2025	N	5.000	2,020,000.00	4,422,375.00	6,442,375.00		186,175.61		6,256,199.39	12,511,648.79
26	1/1/2026	N	5.000	2,070,000.00	4,371,875.00	6,441,875.00		186,175.61		6,255,699.39	
26	7/1/2026	N	5.000	2,120,000.00	4,320,125.00	6,440,125.00		186,175.61		6,253,949.39	12,509,648.79
27	1/1/2027	N	5.000	2,175,000.00	4,267,125.00	6,442,125.00		186,175.61		6,255,949.39	
27	7/1/2027	N	5.000	2,225,000.00	4,212,750.00	6,437,750.00		186,175.61		6,251,574.39	12,507,523.79
28	1/1/2028	N	5.000	2,285,000.00	4,157,125.00	6,442,125.00		186,175.61		6,255,949.39	
28	7/1/2028	N	5.000	2,340,000.00	4,100,000.00	6,440,000.00		186,175.61		6,253,824.39	12,509,773.79
29	1/1/2029	N	5.000	2,400,000.00	4,041,500.00	6,441,500.00		186,175.61		6,255,324.39	
29	7/1/2029	N	5.000	2,460,000.00	3,981,500.00	6,441,500.00		186,175.61		6,255,324.39	12,510,648.79
30	1/1/2030	N	5.000	2,520,000.00	3,920,000.00	6,440,000.00		186,175.61		6,253,824.39	
30	7/1/2030	N	5.000	2,585,000.00	3,857,000.00	6,442,000.00		186,175.61		6,255,824.39	12,509,648.79
31	1/1/2031	N	5.000	2,650,000.00	3,792,375.00	6,442,375.00		186,175.61		6,256,199.39	
31	7/1/2031	N	5.000	2,715,000.00	3,726,125.00	6,441,125.00		186,175.61		6,254,949.39	12,511,148.79
32	1/1/2032	N	5.000	2,780,000.00	3,658,250.00	6,438,250.00		186,175.61		6,252,074.39	
32	7/1/2032	N	5.000	2,850,000.00	3,588,750.00	6,438,750.00		186,175.61		6,252,574.39	12,504,648.79
33	1/1/2033	N	5.000	2,920,000.00	3,517,500.00	6,437,500.00		186,175.61		6,251,324.39	
33	7/1/2033	N	5.000	2,995,000.00	3,444,500.00	6,439,500.00		186,175.61		6,253,324.39	12,504,648.79
34	1/1/2034	N	5.000	3,070,000.00	3,369,625.00	6,439,625.00		186,175.61		6,253,449.39	
34	7/1/2034	N	5.000	3,145,000.00	3,292,875.00	6,437,875.00		186,175.61		6,251,699.39	12,505,148.79
35	1/1/2035	N	5.000	3,225,000.00	3,214,250.00	6,439,250.00		186,175.61		6,253,074.39	
35	7/1/2035	N	5.000	3,305,000.00	3,133,625.00	6,438,625.00		186,175.61		6,252,449.39	12,505,523.79
36	1/1/2036	N	5.000	3,390,000.00	3,051,000.00	6,441,000.00		186,175.61		6,254,824.39	
36	7/1/2036	N	5.000	3,475,000.00	2,966,250.00	6,441,250.00		186,175.61		6,255,074.39	12,509,898.79
37	1/1/2037	N	5.000	3,560,000.00	2,879,375.00	6,439,375.00		186,175.61		6,253,199.39	
37	7/1/2037	N	5.000	3,650,000.00	2,790,375.00	6,440,375.00		186,175.61		6,254,199.39	12,507,398.79
38	1/1/2038	N	5.000	3,740,000.00	2,699,125.00	6,439,125.00		186,175.61		6,252,949.39	
38	7/1/2038	N	5.000	3,835,000.00	2,605,625.00	6,440,625.00		186,175.61		6,254,449.39	12,507,398.79
39	1/1/2039	N	5.000	3,930,000.00	2,509,750.00	6,439,750.00		186,175.61		6,253,574.39	
39	7/1/2039	N	5.000	4,030,000.00	2,411,500.00	6,441,500.00		186,175.61		6,255,324.39	12,508,898.79
40	1/1/2040	N	5.000	4,130,000.00	2,310,750.00	6,440,750.00		186,175.61		6,254,574.39	
40	7/1/2040	N	5.000	4,235,000.00	2,207,500.00	6,442,500.00		186,175.61		6,256,324.39	12,510,898.79
41	1/1/2041	N	5.000	4,340,000.00	2,101,625.00	6,441,625.00		186,175.61		6,255,449.39	
41	7/1/2041	N	5.000	4,445,000.00	1,993,125.00	6,438,125.00		186,175.61		6,251,949.39	12,507,398.79
42	1/1/2042	N	5.000	4,560,000.00	1,882,000.00	6,442,000.00		186,175.61		6,255,824.39	
42	7/1/2042	N	5.000	4,670,000.00	1,768,000.00	6,438,000.00		186,175.61		6,251,824.39	12,507,648.79
43	1/1/2043	N	5.000	4,790,000.00	1,651,250.00	6,441,250.00		186,175.61		6,255,074.39	
43	7/1/2043	N	5.000	4,910,000.00	1,531,500.00	6,441,500.00		186,175.61		6,255,324.39	12,510,398.79
44	1/1/2044	N	5.000	5,030,000.00	1,408,750.00	6,438,750.00		186,175.61		6,252,574.39	
44	7/1/2044	N	5.000	5,155,000.00	1,283,000.00	6,438,000.00		186,175.61		6,251,824.39	12,504,398.79
45	1/1/2045	N	5.000	5,285,000.00	1,154,125.00	6,439,125.00		186,175.61		6,252,949.39	
45	7/1/2045	N	5.000	5,415,000.00	1,022,000.00	6,437,000.00		186,175.61		6,250,824.39	12,503,773.79
46	1/1/2046	N	5.000	5,550,000.00	886,625.00	6,436,625.00		186,175.61		6,250,449.39	

TP 2019A

Summary of Sizing Calculations

\$197,640,000.00

Sources of Funds

Par amount of bonds	197,640,000.00
Original Issue Premium	
Accrued Interest	

Construction Costs

Costs to complete construction	182,880,987.82
Prior costs to be paid from bond proceeds	
Gross Construction Costs	182,880,987.82

Restricted Funds

Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 2.890%	
Net deposit to Capitalized Interest Fund	
Net deposit to Debt Service Reserve Fund	12,884,125.00
Net deposit to Contingency Fund	

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-1,581,120.00
Bond insurance: 0.000%	
Other issuance costs	294,196.00
Rounding due to denomination size	-428.82

Calculations

Net Interest Cost (NIC)	5.0422937
True Interest Cost (TIC)	5.0698050
All-Inclusive TIC:	5.0832054
Arbitrage Net Interest Cost (NIC)	4.9989445
Arbitrage Yield Limit (AYL)	4.9983118
Total Bond Years (delivery date)	3,647,397,500.00
Average Bond Years (Delivery date)	18.45
Level debt service calculation	6,440,347.33

Summary of Sizing Inputs

\$197,640,000.00

General Information

1st Month in FY: 1

Denomination: 5000.

Rate scale: T17A

Issue type:

Sizing Rule 2: Level debt service - periodic principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.

-> Proportionally level debt service in stub period.

Dates

01/01/2019-> Dated (bond issue) date

01/01/2019-> Delivery date

07/01/2019-> 1st coupon date

07/01/2019-> First principal payment

07/01/2048-> Last maturity date

No CABS in bond issue

Gross Construction Costs

Total project costs	182,880,987.82
Total prior costs	
Net total project costs:	182,880,987.82
Total number of projects = 0	

Restricted Accounts

DSR rule: Maximum yearly debt service

No capitalized interest

Restricted yield = 2.890000%

Net deposit to Debt Service Reserve Fund	12,884,125.00
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Net deposit to Contingency Fund

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-1,581,120.00
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Bond insurance: 0.000% (net of accrued & cap. interest)

Other TIC costs:	294,196.00
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Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Transportation							
Agency Budget Officer/OPB Analyst Name: Mechelle Marcum/Tonja Webb							
A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.							
Action	Program or Service (Budget Entity Codes)						
	55100100	55100500	55150200	55150500	55150600	55180100	
1. GENERAL							
1.1	Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y	Y	Y	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	Y	Y
AUDITS:							
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	Y	Y
1.4	Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y	Y	Y	Y	Y	Y
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.						
2. EXHIBIT A (EADR, EXA)							
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)							
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	N/A	N/A	N/A	N/A
AUDITS:							
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.						
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.						

Fiscal Year 2018-19 LBR Technical Review Checklist

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A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.						
Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
<p>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.</p>						
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?					
	Y	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?					
	Y	Y	Y	Y	Y	Y
<p>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.</p>						
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)					
	Y	Y	Y	Y	Y	Y
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")					
	Y	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)					
	Y	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)					
	Y	Y	Y	Y	Y	Y
<p>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.</p>						
<p>TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.</p>						
<p>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.</p>						
<p>TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.</p>						
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?					
	Y	Y	Y	Y	Y	Y
<p>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.</p>						
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)					
	Y	Y	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)					
	Y	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?					
	Y	N/A	N/A	Y	Y	N/A
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	N/A	N/A	Y	Y	N/A

Fiscal Year 2018-19 LBR Technical Review Checklist

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A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.						
Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)					
	N/A	N/A	N/A	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.					
	N/A	Y	N/A	N/A	N/A	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)					
	Y	N/A	N/A	N/A	Y	N/A
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?					
	Y	Y	N/A	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?					
	Y	Y	Y	Y	Y	Y
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?					
	N/A	N/A	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)					
	N/A	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?					
	N/A	N/A	N/A	N/A	N/A	N/A
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?					
	N/A	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?					
	Y	Y	Y	Y	Y	Y
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.					
	N/A	N/A	N/A	N/A	N/A	Y
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	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 (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?					
	Y	N/A	N/A	Y	Y	N/A
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?					
	N/A	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?					
	Y	Y	Y	Y	Y	Y
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)					
	N/A	N/A	Y	N/A	N/A	N/A
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)					
	N/A	N/A	Y	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)					
	N/A	N/A	Y	N/A	N/A	N/A
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))					
	Y	Y	Y	Y	N/A	Y

Fiscal Year 2018-19 LBR Technical Review Checklist

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	Program or Service (Budget Entity Codes)					
Action	55100100	55100500	55150200	55150500	55150600	55180100
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 72 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?					Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?					Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?					Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?					Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?					Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?					N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?					N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?					Y
8.10	Are the statutory authority references correct?					Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)					Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					Y

Fiscal Year 2018-19 LBR Technical Review Checklist

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Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?					Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?					Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?					Y
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?					Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?					Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)					Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?					Y
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?					Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?					No, The September reversion are not available until after September 30, 2017. Schedule Is will be updated as soon as the amounts become available.
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?					Y
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?					Y
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?					Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					Y
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).					Y
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")					Y
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)					Y
8.33	Has a Schedule IB been provided for 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

Fiscal Year 2018-19 LBR Technical Review Checklist

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A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.						
Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y					
TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!						
TIP Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.						
TIP Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.						
TIP Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.						
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	Those position transfer issues with the vacant positions requested to transfer at the broadband minimum.					
10. SCHEDULE III (PSCR, SC3)						
10.1 Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A	N/A	N/A	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 OADI or OADR to identify agency other salary amounts requested.	N/A	N/A	Y	N/A	Y	N/A
11. SCHEDULE IV (EADR, SC4)						
11.1 Are the correct Information Technology (IT) issue codes used?	Y	N/A	N/A	Y	Y	N/A
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1 NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y	Y	Y	Y	Y	Y
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A	Y	Y	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	Y	Y	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	Y	Y	N/A

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Transportation

Agency Budget Officer/OPB Analyst Name: Mechelle Marcum/Tonja Webb

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

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

AUDIT:						
15.6 Do the issues net to zero at the department level? (GENR, LBR5)	Y					

16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)

16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y

AUDITS INCLUDED IN THE SCHEDULE XI REPORT:

16.3 Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y					
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y					
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y					
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y					
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y					
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						

17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)

17.1 Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y	Y
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y
17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A	Y	Y	Y	Y	Y
17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	N/A	Y

AUDITS - GENERAL INFORMATION

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.						

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)

18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A	Y	Y	N/A	N/A
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	N/A	Y	N/A	N/A
18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A	Y	Y	N/A	N/A
18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	Y	Y	N/A	N/A

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Transportation

Agency Budget Officer/OPB Analyst Name: Mechelle Marcum/Tonja Webb

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

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

18.5	Are the appropriate counties identified in the narrative?	N/A	N/A	Y	Y	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	Y	Y	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.						

19. FLORIDA FISCAL PORTAL							
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y