FDLE
Florida Department of
Law Enforcement
Richard L. Swearingen
Commissioner

50 Years of Service
1967-2017

LEGISLATIVE BUDGET REQUEST

Florida Department of Law Enforcement

Tallahassee, Florida

October 15, 2018

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

Eric Pridgeon, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Florida Department of Law Enforcement is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2019-20 Fiscal Year.

Sincerely,

Richard L. Swearingen
Commissioner

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

Request for Approval
Temporary Special Duty – General Pay Additives Implementation Plan
For Fiscal Year 2019-20

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

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

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

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

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

During fiscal year 2017-18, the agency implemented a total of fifteen temporary special duty additives, all of which would fall within the scenarios described above. The positions granted included the following classes; Special Agent Supervisor, Special Agent, Inspector, Law Enforcement Officer, Government Analyst I & II, Senior Crime Intelligence Analyst II, and Crime Laboratory Analyst. The agency expended approximately $45,979 on these fifteen additives. The agency anticipates expenditures to be comparable to those in prior years.

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

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

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

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

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 021025 ADMINISTRATIVE TF FDLE

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	871,056.54
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	871,056.54-
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
94100	ENCUMBRANCES	
100777	CONTRACTED SERVICES	11,574.00
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
100777	CONTRACTED SERVICES	11,574.00-
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 148001 CRIMINAL JUSTICE STANDARDS & TRAINING TRUST FUND

G-L		G-L ACCOUNT NAME	
CAT			BEGINNING BALANCE
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	10,006,883.45
14100		POOLED INVESTMENTS WITH STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	0.00
15100		ACCOUNTS RECEIVABLE	
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
15300		INTEREST AND DIVIDENDS RECEIVABLE	
000000		BALANCE BROUGHT FORWARD	0.00
000500		INTEREST	0.00
		** GL 15300 TOTAL	0.00
16200		DUE FROM STATE FUNDS, WITHIN DEPART.	
000000		BALANCE BROUGHT FORWARD	0.00
010000		SALARIES AND BENEFITS	0.00
		** GL 16200 TOTAL	0.00
16300		DUE FROM OTHER DEPARTMENTS	
000000		BALANCE BROUGHT FORWARD	0.00
001600		DISTRIBUTION-TRANSFERS REQUIRED BY LAW	0.00
001903		SALES OF GOODS/SERVICES TO STATE AGENCIES	0.00
		** GL 16300 TOTAL	0.00
16500		DUE FROM OTHER GOVERNMENTAL UNITS	
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
31100		ACCOUNTS PAYABLE	
040000		EXPENSES	0.00
040000	CF	EXPENSES	13,333.64-
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	3,700.31-
105281		LEASE/PURCHASE/EQUIPMENT	0.00
105281	CF	LEASE/PURCHASE/EQUIPMENT	1,090.40-
		** GL 31100 TOTAL	18,124.35-
32100		ACCRUED SALARIES AND WAGES	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	271,685.20-
030000		OTHER PERSONAL SERVICES	0.00
030000	CF	OTHER PERSONAL SERVICES	7,841.12-
		** GL 32100 TOTAL	279,526.32-

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 148001 CRIMINAL JUSTICE STANDARDS & TRAINING TRUST FUND

G-L		G-L ACCOUNT NAME	
CAT			BEGINNING BALANCE
35200		DUE TO STATE FUNDS, WITHIN DEPARTMENT	
000000		BALANCE BROUGHT FORWARD	0.00
35300		DUE TO OTHER DEPARTMENTS	
000000		BALANCE BROUGHT FORWARD	0.00
005001		CIT-OTHER DEPARTMENTAL DEPOSITS	0.00
040000		EXPENSES	0.00
040000	CF	EXPENSES	2,344.24-
100777		CONTRACTED SERVICES	28.84-
100777	CF	CONTRACTED SERVICES	205.10-
100851		DOMESTIC SECURITY	0.00
		** GL 35300 TOTAL	2,578.18-
35344		DEPARTMENT OF BANKING & FINANCE	
005001		CIT-OTHER DEPARTMENTAL DEPOSITS	0.00
35372		DEPARTMENT OF GENERAL SERVICES	
010000		SALARIES AND BENEFITS	0.00
35373		DEPARTMENT OF REVENUE	
180000		TRANSFERS	0.00
35500		DUE TO OTHER GOVERNMENTAL UNITS	
040000		EXPENSES	0.00
040000	CF	EXPENSES	1,380.80-
100851		DOMESTIC SECURITY	0.00
		** GL 35500 TOTAL	1,380.80-
35600		DUE TO GENERAL REVENUE	
310322		SERVICE CHARGE TO GEN REV	75,481.94-
38600		CURRENT COMPENSATED ABSENCES LIABILITY	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	3,733.95-
		** GL 38600 TOTAL	3,733.95-
38900		REVENUES RECEIVED IN ADVANCE - CURRENT	
001903		SALES OF GOODS/SERVICES TO STATE AGENCIES	0.00
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
		** GL 38900 TOTAL	0.00
54900		COMMITTED FUND BALANCE	
000000		BALANCE BROUGHT FORWARD	9,626,057.91-

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 148001 CRIMINAL JUSTICE STANDARDS & TRAINING TRUST FUND

G-L		G-L ACCOUNT NAME	
CAT			BEGINNING BALANCE
55100		FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000		BALANCE BROUGHT FORWARD	0.00
94100		ENCUMBRANCES	
040000	CF	EXPENSES	1,826.00
100777		CONTRACTED SERVICES	9.94
100777	CF	CONTRACTED SERVICES	92,448.96
		** GL 94100 TOTAL	94,284.90
98100		BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
040000	CF	EXPENSES	1,826.00-
100777		CONTRACTED SERVICES	9.94-
100777	CF	CONTRACTED SERVICES	92,448.96-
		** GL 98100 TOTAL	94,284.90-
99100		BUDGETARY FUND BALANCE	
000000		BALANCE BROUGHT FORWARD	0.00
		*** FUND TOTAL	0.00

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

G-L CAT		G-L ACCOUNT NAME	BEGINNING BALANCE
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	0.00
15100		ACCOUNTS RECEIVABLE	
001800		REFUNDS	0.00
16200		DUE FROM STATE FUNDS, WITHIN DEPART.	
001510		TRANSFER OF FEDERAL FUNDS	494,033.54
001800		REFUNDS	1,170.41
100851		DOMESTIC SECURITY	0.00
		** GL 16200 TOTAL	495,203.95
16300		DUE FROM OTHER DEPARTMENTS	
001510		TRANSFER OF FEDERAL FUNDS	10,468.88
16400		DUE FROM FEDERAL GOVERNMENT	
000700		U S GRANTS	95,476.97
35200		DUE TO STATE FUNDS, WITHIN DEPARTMENT	
001510		TRANSFER OF FEDERAL FUNDS	0.00
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	10,702.41-
030000		OTHER PERSONAL SERVICES	0.00
030000	CF	OTHER PERSONAL SERVICES	39,629.26-
040000		EXPENSES	0.00
040000	CF	EXPENSES	2,528.15-
060000		OPERATING CAPITAL OUTLAY	0.00
060000	CF	OPERATING CAPITAL OUTLAY	64,999.70-
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	33,448.03-
100851		DOMESTIC SECURITY	0.00
100851	CF	DOMESTIC SECURITY	395,461.41-
102331		OVERTIME	0.00
		** GL 35200 TOTAL	546,768.96-
35500		DUE TO OTHER GOVERNMENTAL UNITS	
050011		CRIMINAL INVESTIGATIONS	0.00
050011	CF	CRIMINAL INVESTIGATIONS	2,576.00-
		** GL 35500 TOTAL	2,576.00-
35600		DUE TO GENERAL REVENUE	
001510		TRANSFER OF FEDERAL FUNDS	0.00
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	5,405.40-
030000		OTHER PERSONAL SERVICES	0.00

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

G-L CAT		G-L ACCOUNT NAME	BEGINNING BALANCE
030000	CF	OTHER PERSONAL SERVICES	3,255.82-
040000		EXPENSES	0.00
040000	CF	EXPENSES	10,969.43-
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	681.67-
102331		OVERTIME	0.00
102331	CF	OVERTIME	23,465.52-
		** GL 35600 TOTAL	43,777.84-
54900		COMMITTED FUND BALANCE	
000000		BALANCE BROUGHT FORWARD	0.00
55100		FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000		BALANCE BROUGHT FORWARD	0.00
57200		RESTRICTED BY FEDERAL GOVERNMENT	
000000		BALANCE BROUGHT FORWARD	8,027.00-
94100		ENCUMBRANCES	
050011	CF	CRIMINAL INVESTIGATIONS	209,686.00
98100		BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
050011	CF	CRIMINAL INVESTIGATIONS	209,686.00-
		*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 261022 FEDERAL GRANTS TRUST FUND - FDLE

G-L CAT		G-L ACCOUNT NAME	BEGINNING BALANCE
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	25,692.64
16200		DUE FROM STATE FUNDS, WITHIN DEPART.	
001800		REFUNDS	12.96
16300		DUE FROM OTHER DEPARTMENTS	
001510		TRANSFER OF FEDERAL FUNDS	405,776.80
16400		DUE FROM FEDERAL GOVERNMENT	
000700		U S GRANTS	326,827.04
31100		ACCOUNTS PAYABLE	
040000		EXPENSES	96.16-
35200		DUE TO STATE FUNDS, WITHIN DEPARTMENT	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	3,978.31-
040000		EXPENSES	0.00
040000	CF	EXPENSES	851.43-
050046		G/A-NCHIP-STATE AGENCIES	0.00
050046	CF	G/A-NCHIP-STATE AGENCIES	99,642.54-
100625		INFRASTRUCTURE/STATE OPERS	0.00
100625	CF	INFRASTRUCTURE/STATE OPERS	394,391.00-
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	6,128.36-
		** GL 35200 TOTAL	504,991.64-
35300		DUE TO OTHER DEPARTMENTS	
105507		BYRNE MEM ST LAW ENF PROG	0.00
105507	CF	BYRNE MEM ST LAW ENF PROG	11,764.62-
106824		G/A-RES SUB ABUSE TREAT-ST	0.00
106824	CF	G/A-RES SUB ABUSE TREAT-ST	45,350.85-
		** GL 35300 TOTAL	57,115.47-
35500		DUE TO OTHER GOVERNMENTAL UNITS	
055045		BYRNE MEM LOC LAW ENF PROG	0.00
055045	CF	BYRNE MEM LOC LAW ENF PROG	20,121.83-
		** GL 35500 TOTAL	20,121.83-
35600		DUE TO GENERAL REVENUE	
040000		EXPENSES	0.00
040000	CF	EXPENSES	562.80-
105281		LEASE/PURCHASE/EQUIPMENT	0.00
105281	CF	LEASE/PURCHASE/EQUIPMENT	24.76-
		** GL 35600 TOTAL	587.56-

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 261022 FEDERAL GRANTS TRUST FUND - FDLE

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	165,506.58-
57200	RESTRICTED BY FEDERAL GOVERNMENT	
000000	BALANCE BROUGHT FORWARD	9,890.20-
94100	ENCUMBRANCES	
050046	G/A-NCHIP-STATE AGENCIES	1,652,540.26
050047	G/A-NCHIP-LOCAL GOVTS	20,237.94
055045	BYRNE MEM LOC LAW ENF PROG	389,235.93
100625	INFRASTRUCTURE/STATE OPERS	1,447,319.80
105507	BYRNE MEM ST LAW ENF PROG	190,031.29
106824	G/A-RES SUB ABUSE TREAT-ST	64,231.07
	** GL 94100 TOTAL	3,763,596.29
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
050046	G/A-NCHIP-STATE AGENCIES	1,652,540.26-
050047	G/A-NCHIP-LOCAL GOVTS	20,237.94-
055045	BYRNE MEM LOC LAW ENF PROG	389,235.93-
100625	INFRASTRUCTURE/STATE OPERS	1,447,319.80-
105507	BYRNE MEM ST LAW ENF PROG	190,031.29-
106824	G/A-RES SUB ABUSE TREAT-ST	64,231.07-
	** GL 98100 TOTAL	3,763,596.29-
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 316002 FORFEITURE AND INVESTIGATIVE SUPPORT TF

G-L CAT		G-L ACCOUNT NAME	BEGINNING BALANCE
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	937,545.92
14100		POOLED INVESTMENTS WITH STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	0.00
15100		ACCOUNTS RECEIVABLE	
001200		FINES, FORFEITURES, JUDGEMENTS, AND PENALTI	0.00
001204		RESTITUTION	3,717,397.64
		** GL 15100 TOTAL	3,717,397.64
15300		INTEREST AND DIVIDENDS RECEIVABLE	
000000		BALANCE BROUGHT FORWARD	0.00
000500		INTEREST	0.00
		** GL 15300 TOTAL	0.00
15900		ALLOWANCE FOR UNCOLLECTIBLES	
000000		BALANCE BROUGHT FORWARD	3,714,051.98-
16200		DUE FROM STATE FUNDS, WITHIN DEPART.	
000000		BALANCE BROUGHT FORWARD	0.00
16300		DUE FROM OTHER DEPARTMENTS	
001520		TRANSFERS - SUBJECT TO SERVICE CHARGE	15,315.08
002900		SALE OF SURPLUS PROPERTY	0.00
		** GL 16300 TOTAL	15,315.08
35200		DUE TO STATE FUNDS, WITHIN DEPARTMENT	
000000		BALANCE BROUGHT FORWARD	0.00
35300		DUE TO OTHER DEPARTMENTS	
040000		EXPENSES	0.00
040000	CF	EXPENSES	10.50-
		** GL 35300 TOTAL	10.50-
35500		DUE TO OTHER GOVERNMENTAL UNITS	
102009		G/A-SPECIAL PROJECTS	0.00
102009	CF	G/A-SPECIAL PROJECTS	2,859.59-
		** GL 35500 TOTAL	2,859.59-
35600		DUE TO GENERAL REVENUE	
000000		BALANCE BROUGHT FORWARD	0.00
001500		TRANSFERS	0.00
310322		SERVICE CHARGE TO GEN REV	13,318.93-
		** GL 35600 TOTAL	13,318.93-

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 316002 FORFEITURE AND INVESTIGATIVE SUPPORT TF

G-L		G-L ACCOUNT NAME	
CAT			BEGINNING BALANCE
38900		REVENUES RECEIVED IN ADVANCE - CURRENT	
000000		BALANCE BROUGHT FORWARD	0.00
001200		FINES, FORFEITURES, JUDGEMENTS, AND PENALTI	0.00
001204		RESTITUTION	9,692.12-
001800		REFUNDS	0.00
		** GL 38900 TOTAL	9,692.12-
47300		DEFERRED INFLOWS - UNAVAILABLE REVENUE	
001200		FINES, FORFEITURES, JUDGEMENTS, AND PENALTI	172,292.66-
54900		COMMITTED FUND BALANCE	
000000		BALANCE BROUGHT FORWARD	758,032.86-
55100		FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000		BALANCE BROUGHT FORWARD	0.00
94100		ENCUMBRANCES	
102009	CF	G/A-SPECIAL PROJECTS	34,500.00
98100		BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
102009	CF	G/A-SPECIAL PROJECTS	34,500.00-
		*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 339064 GRANTS & DONATIONS TRUST FUND LAW ENF-MGT DIV.

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

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 339064 GRANTS & DONATIONS TRUST FUND LAW ENF-MGT DIV.

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
38800	UNEARNED REVENUE - CURRENT	
000700	U S GRANTS	0.00
38900	REVENUES RECEIVED IN ADVANCE - CURRENT	
000000	BALANCE BROUGHT FORWARD	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 339066 GRANTS & DONATION TRUST FUND FDLEF-INVEST DIV.

G-L CAT	G-L	ACCOUNT NAME	BEGINNING BALANCE
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	3,024.80
16300		DUE FROM OTHER DEPARTMENTS	
001510		TRANSFER OF FEDERAL FUNDS	0.00
16400		DUE FROM FEDERAL GOVERNMENT	
000700		U S GRANTS	0.00
16500		DUE FROM OTHER GOVERNMENTAL UNITS	
001110		OTHER GRANTS - NO SERVICE CHARGE	102,915.95
32100		ACCRUED SALARIES AND WAGES	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	0.00
		** GL 32100 TOTAL	0.00
35200		DUE TO STATE FUNDS, WITHIN DEPARTMENT	
001510		TRANSFER OF FEDERAL FUNDS	0.00
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	100,536.75-
102331		OVERTIME	0.00
102331	CF	OVERTIME	322.69-
		** GL 35200 TOTAL	100,859.44-
35300		DUE TO OTHER DEPARTMENTS	
001510		TRANSFER OF FEDERAL FUNDS	0.00
38800		UNEARNED REVENUE - CURRENT	
000700		U S GRANTS	0.00
001510		TRANSFER OF FEDERAL FUNDS	0.00
		** GL 38800 TOTAL	0.00
38900		REVENUES RECEIVED IN ADVANCE - CURRENT	
001100		OTHER GRANTS	0.00
001110		OTHER GRANTS - NO SERVICE CHARGE	0.00
001510		TRANSFER OF FEDERAL FUNDS	0.00
		** GL 38900 TOTAL	0.00
48800		UNEARNED REVENUE - LONG TERM	
001510		TRANSFER OF FEDERAL FUNDS	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 339066 GRANTS & DONATION TRUST FUND FDLEF-INVEST DIV.

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	5,081.31-
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
99100	BUDGETARY FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 339067 GRANTS & DONATIONS TRUST FUND LAW ENF-STDS DIV.

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

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

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

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 339126 GRANTS & DONATIONS TF-FDLE PUBLIC ASSIST/FRAUD

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
16300	DUE FROM OTHER DEPARTMENTS	
001510	TRANSFER OF FEDERAL FUNDS	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 339129 GRANTS AND DONATIONS TF/FDLE-LAW ENFORCMT GRANTS

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
14100	POOLED INVESTMENTS WITH STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
31100	ACCOUNTS PAYABLE	
001800	REFUNDS	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 510015 OPERATING TRUST FUND LAW ENF-MGT DIV.

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
31100	ACCOUNTS PAYABLE	
040000	EXPENSES	0.00
040000 CF	EXPENSES	0.00
	** GL 31100 TOTAL	0.00
39900	OTHER CURRENT LIABILITIES	
000000	BALANCE BROUGHT FORWARD	0.00
920000	CATEGORY NAME NOT ON TITLE FILE	0.00
	** GL 39900 TOTAL	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 510016 OPERATING TRUST FUND LAW ENF-INFO SYS DIV.

G-L		G-L ACCOUNT NAME	BEGINNING BALANCE
CAT			
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	42,234,169.61
12400		CASH IN STATE TREASURY UNVERIFIED	
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	269,472.68
14100		POOLED INVESTMENTS WITH STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	0.00
15100		ACCOUNTS RECEIVABLE	
001800		REFUNDS	0.00
001903		SALES OF GOODS/SERVICES TO STATE AGENCIES	0.00
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	721,404.25
		** GL 15100 TOTAL	721,404.25
15300		INTEREST AND DIVIDENDS RECEIVABLE	
000000		BALANCE BROUGHT FORWARD	0.00
000500		INTEREST	0.00
		** GL 15300 TOTAL	0.00
16200		DUE FROM STATE FUNDS, WITHIN DEPART.	
000000		BALANCE BROUGHT FORWARD	0.00
001800		REFUNDS	611,725.22
		** GL 16200 TOTAL	611,725.22
16300		DUE FROM OTHER DEPARTMENTS	
001600		DISTRIBUTION-TRANSFERS REQUIRED BY LAW	0.00
001800		REFUNDS	0.00
001801		REIMBURSEMENTS	44,848.40
001903		SALES OF GOODS/SERVICES TO STATE AGENCIES	2,381,409.00
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	36.00
		** GL 16300 TOTAL	2,426,293.40
16400		DUE FROM FEDERAL GOVERNMENT	
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	0.00
001970		SALES OF GOODS/SERVICES TO FEDERAL GOVERNME	24,552.00
		** GL 16400 TOTAL	24,552.00
16500		DUE FROM OTHER GOVERNMENTAL UNITS	
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	1,931,456.85
31100		ACCOUNTS PAYABLE	
010000		SALARIES AND BENEFITS	673.62-
040000		EXPENSES	0.00
040000	CF	EXPENSES	46,516.05-

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 510016 OPERATING TRUST FUND LAW ENF-INFO SYS DIV.

G-L CAT		G-L ACCOUNT NAME	BEGINNING BALANCE
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	958,758.06-
100851		DOMESTIC SECURITY	0.00
100851	CF	DOMESTIC SECURITY	4,824.31-
105281		LEASE/PURCHASE/EQUIPMENT	0.00
105281	CF	LEASE/PURCHASE/EQUIPMENT	1,675.95-
220020		REFUND STATE REVENUES	38.00-
		** GL 31100 TOTAL	1,012,485.99-
32100		ACCRUED SALARIES AND WAGES	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	1,744,820.60-
030000		OTHER PERSONAL SERVICES	0.00
030000	CF	OTHER PERSONAL SERVICES	26,358.03-
102331		OVERTIME	0.00
103290		SALARY INCENTIVE PAYMENTS	0.00
103290	CF	SALARY INCENTIVE PAYMENTS	1,443.86-
		** GL 32100 TOTAL	1,772,622.49-
35200		DUE TO STATE FUNDS, WITHIN DEPARTMENT	
000000		BALANCE BROUGHT FORWARD	0.00
040000		EXPENSES	0.00
040000	CF	EXPENSES	127,550.91-
100851		DOMESTIC SECURITY	0.00
100851	CF	DOMESTIC SECURITY	1,070.41-
		** GL 35200 TOTAL	128,621.32-
35300		DUE TO OTHER DEPARTMENTS	
010000		SALARIES AND BENEFITS	673.62
010000	CF	SALARIES AND BENEFITS	673.62-
040000		EXPENSES	350,377.39-
040000	CF	EXPENSES	329,576.35-
100777		CONTRACTED SERVICES	6,619.04-
100777	CF	CONTRACTED SERVICES	578.92-
220030		REFUND NONSTATE REVENUES	1,310.00-
		** GL 35300 TOTAL	688,461.70-
35345		DEPARTMENT OF STATE	
040000		EXPENSES	0.00
040000	CF	EXPENSES	0.00
		** GL 35345 TOTAL	0.00
35372		DEPARTMENT OF GENERAL SERVICES	
040000		EXPENSES	0.00
040000	CF	EXPENSES	0.00
		** GL 35372 TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 510016 OPERATING TRUST FUND LAW ENF-INFO SYS DIV.

G-L CAT		G-L ACCOUNT NAME	BEGINNING BALANCE
35400		DUE TO FEDERAL GOVERNMENT	
310175		FBI ASSESSMENT/FINGERPRINT	1,250,917.50-
35500		DUE TO OTHER GOVERNMENTAL UNITS	
040000		EXPENSES	0.00
040000	CF	EXPENSES	559.76-
050011		CRIMINAL INVESTIGATIONS	0.00
050011	CF	CRIMINAL INVESTIGATIONS	586,160.18-
		** GL 35500 TOTAL	586,719.94-
35600		DUE TO GENERAL REVENUE	
310322		SERVICE CHARGE TO GEN REV	1,605,290.81-
37200		CURRENT CERTIFICATES OF PARTICIPATION	
060000		OPERATING CAPITAL OUTLAY	0.00
38600		CURRENT COMPENSATED ABSENCES LIABILITY	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	22,840.97-
102331		OVERTIME	0.00
		** GL 38600 TOTAL	22,840.97-
38900		REVENUES RECEIVED IN ADVANCE - CURRENT	
001202		PENALTIES	0.00
001903		SALES OF GOODS/SERVICES TO STATE AGENCIES	26,636.00-
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	39,529.06-
		** GL 38900 TOTAL	66,165.06-
38901		DEFERRED REVENUE - ESCROW ACCOUNTS	
001903		SALES OF GOODS/SERVICES TO STATE AGENCIES	0.00
001905		SALE OF SERVICES OUTSIDE STATE GOVERNMENT	5,154.25-
		** GL 38901 TOTAL	5,154.25-
54900		COMMITTED FUND BALANCE	
000000		BALANCE BROUGHT FORWARD	41,079,793.98-
55100		FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000		BALANCE BROUGHT FORWARD	0.00
55600		RESERVED FOR FCO AND GRANTS/AID - FCO	
000000		BALANCE BROUGHT FORWARD	0.00
084419	08	MINOR REP/REN REG FAC	0.00
084419	09	MINOR REP/REN REG FAC	0.00
084419	10	MINOR REP/REN REG FAC	0.00
		** GL 55600 TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 510016 OPERATING TRUST FUND LAW ENF-INFO SYS DIV.

G-L	CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
94100		ENCUMBRANCES	
040000	CF	EXPENSES	46,439.66
050011	CF	CRIMINAL INVESTIGATIONS	166,808.87
060000		OPERATING CAPITAL OUTLAY	248,040.00
060000	CF	OPERATING CAPITAL OUTLAY	4,814.52
100777		CONTRACTED SERVICES	141,236.57
100777	CF	CONTRACTED SERVICES	1,247,120.04
100851		DOMESTIC SECURITY	588,915.02
100851	CF	DOMESTIC SECURITY	18,012.64
105281	CF	LEASE/PURCHASE/EQUIPMENT	309.26
310175		FBI ASSESSMENT/FINGERPRINT	5,274,830.00
		** GL 94100 TOTAL	7,736,526.58
98100		BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
000000		BALANCE BROUGHT FORWARD	194,081.91
030000		OTHER PERSONAL SERVICES	109,914.25-
040000		EXPENSES	27,523.26-
040000	CF	EXPENSES	46,439.66-
050011	CF	CRIMINAL INVESTIGATIONS	166,808.87-
060000		OPERATING CAPITAL OUTLAY	252,019.80-
060000	CF	OPERATING CAPITAL OUTLAY	4,814.52-
100777		CONTRACTED SERVICES	193,901.17-
100777	CF	CONTRACTED SERVICES	1,247,120.04-
100851		DOMESTIC SECURITY	588,915.02-
100851	CF	DOMESTIC SECURITY	18,012.64-
105281	CF	LEASE/PURCHASE/EQUIPMENT	309.26-
310175		FBI ASSESSMENT/FINGERPRINT	5,274,830.00-
		** GL 98100 TOTAL	7,736,526.58-
99100		BUDGETARY FUND BALANCE	
000000		BALANCE BROUGHT FORWARD	0.00
		*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 510017 OPERATING TRUST FUND

G-L CAT	G-L	ACCOUNT NAME	BEGINNING BALANCE
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	5,384,394.59
16200		DUE FROM STATE FUNDS, WITHIN DEPART.	
001800		REFUNDS	10,958.10
31100		ACCOUNTS PAYABLE	
040000		EXPENSES	0.00
040000	CF	EXPENSES	0.47-
		** GL 31100 TOTAL	0.47-
32100		ACCRUED SALARIES AND WAGES	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	14,080.18-
		** GL 32100 TOTAL	14,080.18-
35200		DUE TO STATE FUNDS, WITHIN DEPARTMENT	
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	12.96-
		** GL 35200 TOTAL	12.96-
35300		DUE TO OTHER DEPARTMENTS	
040000		EXPENSES	0.00
040000	CF	EXPENSES	637.23-
		** GL 35300 TOTAL	637.23-
35600		DUE TO GENERAL REVENUE	
310322		SERVICE CHARGE TO GEN REV	12,019.46-
54900		COMMITTED FUND BALANCE	
000000		BALANCE BROUGHT FORWARD	5,368,602.39-
94100		ENCUMBRANCES	
040000		EXPENSES	35,000.00
040000	CF	EXPENSES	1,290.00
100777		CONTRACTED SERVICES	66,600.00
		** GL 94100 TOTAL	102,890.00
98100		BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
040000		EXPENSES	35,000.00-
040000	CF	EXPENSES	1,290.00-
100777		CONTRACTED SERVICES	66,600.00-
		** GL 98100 TOTAL	102,890.00-
		*** FUND TOTAL	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 510018 OPERATING TRUST FUND FDLE-CAPITAL POLICE

G-L		G-L ACCOUNT NAME	
CAT			BEGINNING BALANCE
12100		UNRELEASED CASH IN STATE TREASURY	
000000		BALANCE BROUGHT FORWARD	3,128,089.73
31100		ACCOUNTS PAYABLE	
040000		EXPENSES	0.00
040000	CF	EXPENSES	5,311.16-
060000		OPERATING CAPITAL OUTLAY	0.00
060000	CF	OPERATING CAPITAL OUTLAY	42,096.00-
100777		CONTRACTED SERVICES	0.00
100777	CF	CONTRACTED SERVICES	106.00-
105281		LEASE/PURCHASE/EQUIPMENT	0.00
105281	CF	LEASE/PURCHASE/EQUIPMENT	320.43-
		** GL 31100 TOTAL	47,833.59-
32100		ACCRUED SALARIES AND WAGES	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	229,872.35-
030000		OTHER PERSONAL SERVICES	0.00
030000	CF	OTHER PERSONAL SERVICES	1,735.73-
103290		SALARY INCENTIVE PAYMENTS	0.00
103290	CF	SALARY INCENTIVE PAYMENTS	2,656.24-
		** GL 32100 TOTAL	234,264.32-
35300		DUE TO OTHER DEPARTMENTS	
040000		EXPENSES	0.00
040000	CF	EXPENSES	2,130.90-
		** GL 35300 TOTAL	2,130.90-
35500		DUE TO OTHER GOVERNMENTAL UNITS	
040000		EXPENSES	0.00
040000	CF	EXPENSES	1,801.32-
		** GL 35500 TOTAL	1,801.32-
38600		CURRENT COMPENSATED ABSENCES LIABILITY	
010000		SALARIES AND BENEFITS	0.00
010000	CF	SALARIES AND BENEFITS	2,180.51-
		** GL 38600 TOTAL	2,180.51-
54900		COMMITTED FUND BALANCE	
000000		BALANCE BROUGHT FORWARD	0.00
55100		FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000		BALANCE BROUGHT FORWARD	0.00

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 510018 OPERATING TRUST FUND FDLE-CAPITAL POLICE

G-L		G-L ACCOUNT NAME	BEGINNING BALANCE
CAT			
57400		RESTRICTED BY ENABLING LEGISLATION	
000000		BALANCE BROUGHT FORWARD	2,839,879.09-
94100		ENCUMBRANCES	
040000	CF	EXPENSES	11,937.45
060000		OPERATING CAPITAL OUTLAY	7,106.00
060000	CF	OPERATING CAPITAL OUTLAY	11,916.15
100777	CF	CONTRACTED SERVICES	2,365.00
105281	CF	LEASE/PURCHASE/EQUIPMENT	191.55
		** GL 94100 TOTAL	33,516.15
98100		BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
040000	CF	EXPENSES	11,937.45-
060000		OPERATING CAPITAL OUTLAY	7,106.00-
060000	CF	OPERATING CAPITAL OUTLAY	11,916.15-
100777	CF	CONTRACTED SERVICES	2,365.00-
105281	CF	LEASE/PURCHASE/EQUIPMENT	191.55-
		** GL 98100 TOTAL	33,516.15-
		*** FUND TOTAL	0.00

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

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

710000 DEPARTMENT OF LAW ENFORCEMENT
20 2 719001 FEDERAL LAW ENFORCEMENT TRUST FUND

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100	UNRELEASED CASH IN STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	754,208.62
14100	POOLED INVESTMENTS WITH STATE TREASURY	
000000	BALANCE BROUGHT FORWARD	0.00
15300	INTEREST AND DIVIDENDS RECEIVABLE	
000000	BALANCE BROUGHT FORWARD	0.00
000500	INTEREST	0.00
	** GL 15300 TOTAL	0.00
32100	ACCRUED SALARIES AND WAGES	
102331	OVERTIME	0.00
38600	CURRENT COMPENSATED ABSENCES LIABILITY	
102331	OVERTIME	0.00
54900	COMMITTED FUND BALANCE	
000000	BALANCE BROUGHT FORWARD	0.00
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
000000	BALANCE BROUGHT FORWARD	0.00
57200	RESTRICTED BY FEDERAL GOVERNMENT	
000000	BALANCE BROUGHT FORWARD	754,208.62-
	*** FUND TOTAL	0.00

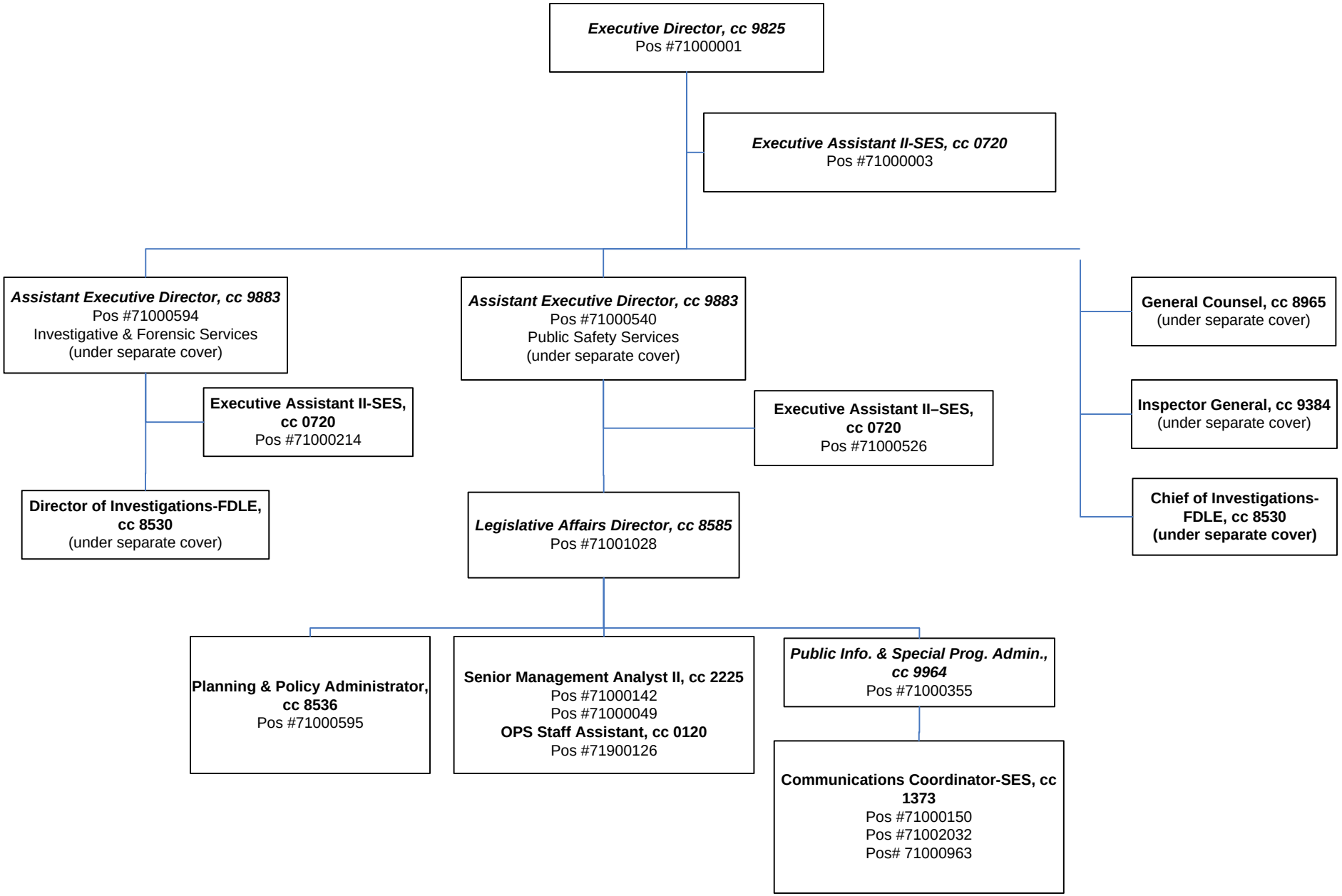
Schedule VII: Agency Litigation Inventory

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

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

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	National Rifle Association of America, Inc. vs. Pam Bondi, Attorney General of Florida & Richard Swearingen, Commissioner, Florida Department of Law Enforcement	
Court with Jurisdiction:	United States District Court, Northern District of Florida	
Case Number:	4:18-cv-00137-MW-CAS	
Summary of the Complaint:	Declaratory and Injunctive action challenging the law, Section 790.065(13), Florida Statutes, which prohibits the sale of firearms to persons under the age of 21. The complaint alleges that the law is unconstitutional under the Second and Fourteenth Amendments to the United States Constitution.	
Amount of the Claim:	$ N/A	
Specific Statutes or Laws (including GAA) Challenged:	Section 790.065(13), Florida Statutes	
Status of the Case:	Amended Complaint filed. Case currently held in abeyance pending appeal of the Court's Order Denying Plaintiff's Motion to Proceed Under Pseudonyms.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

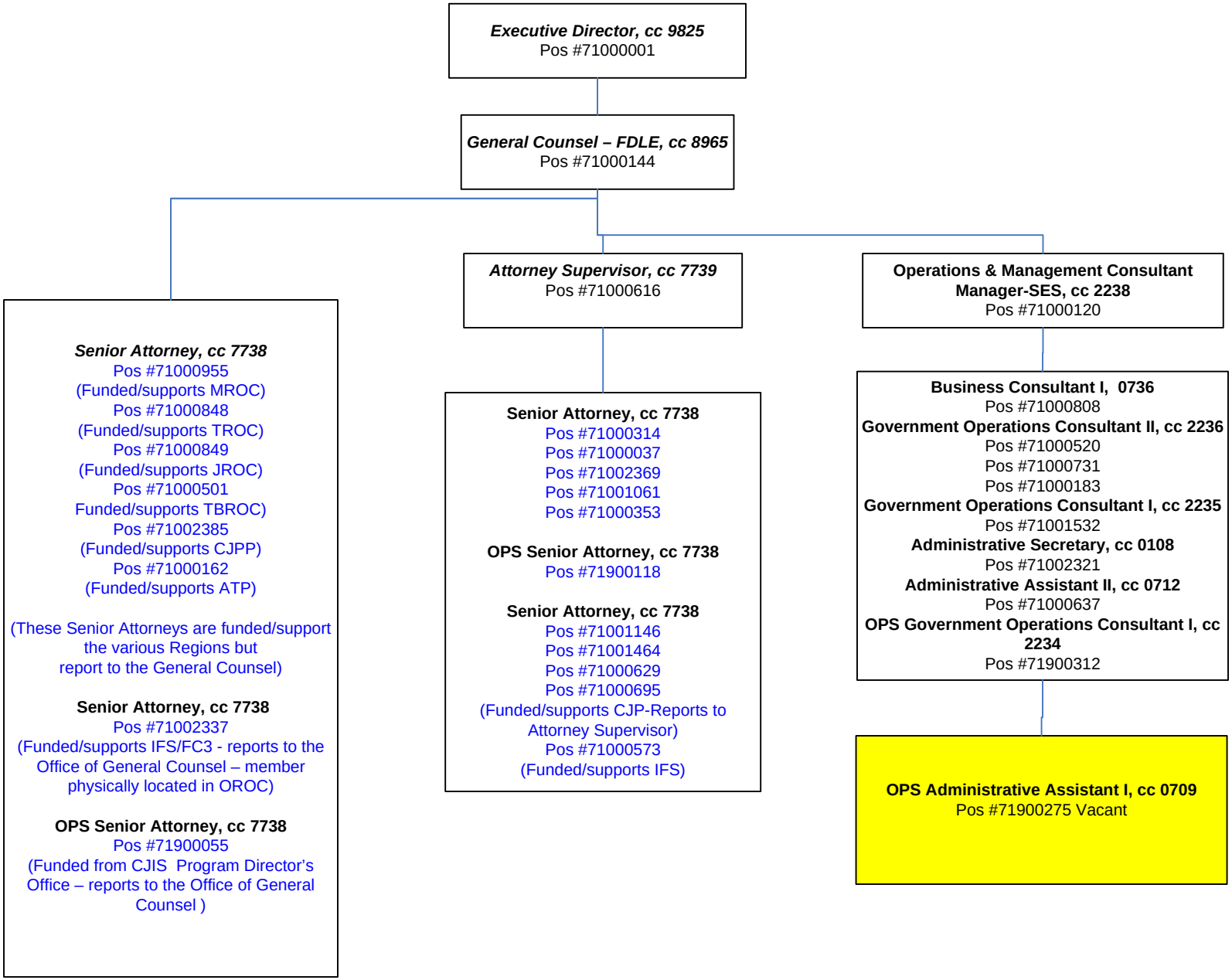
Florida Department of Law Enforcement
Office of the Executive Director



10/17/2018

Florida Department of Law Enforcement

Office of the General Counsel



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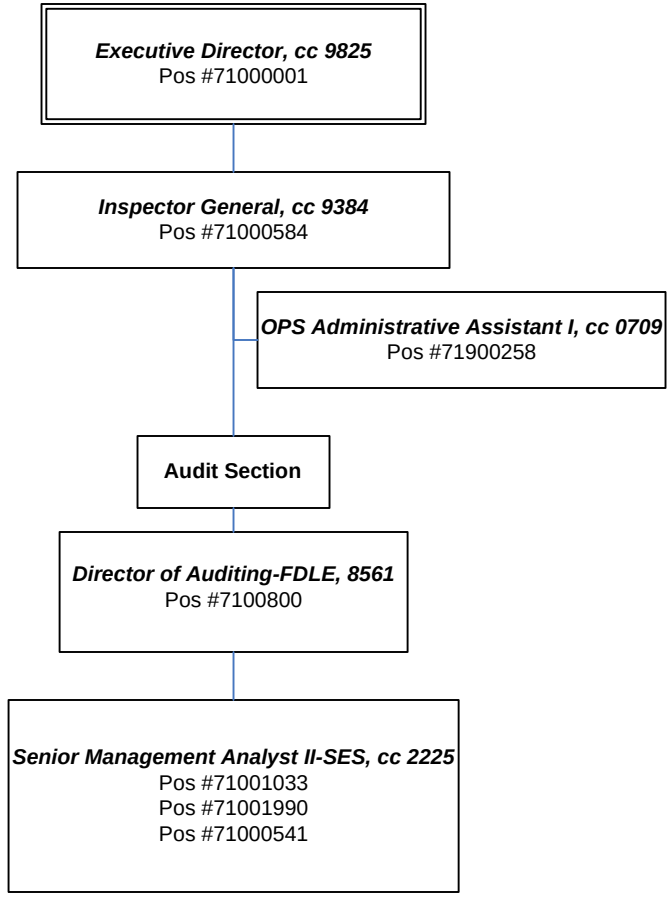
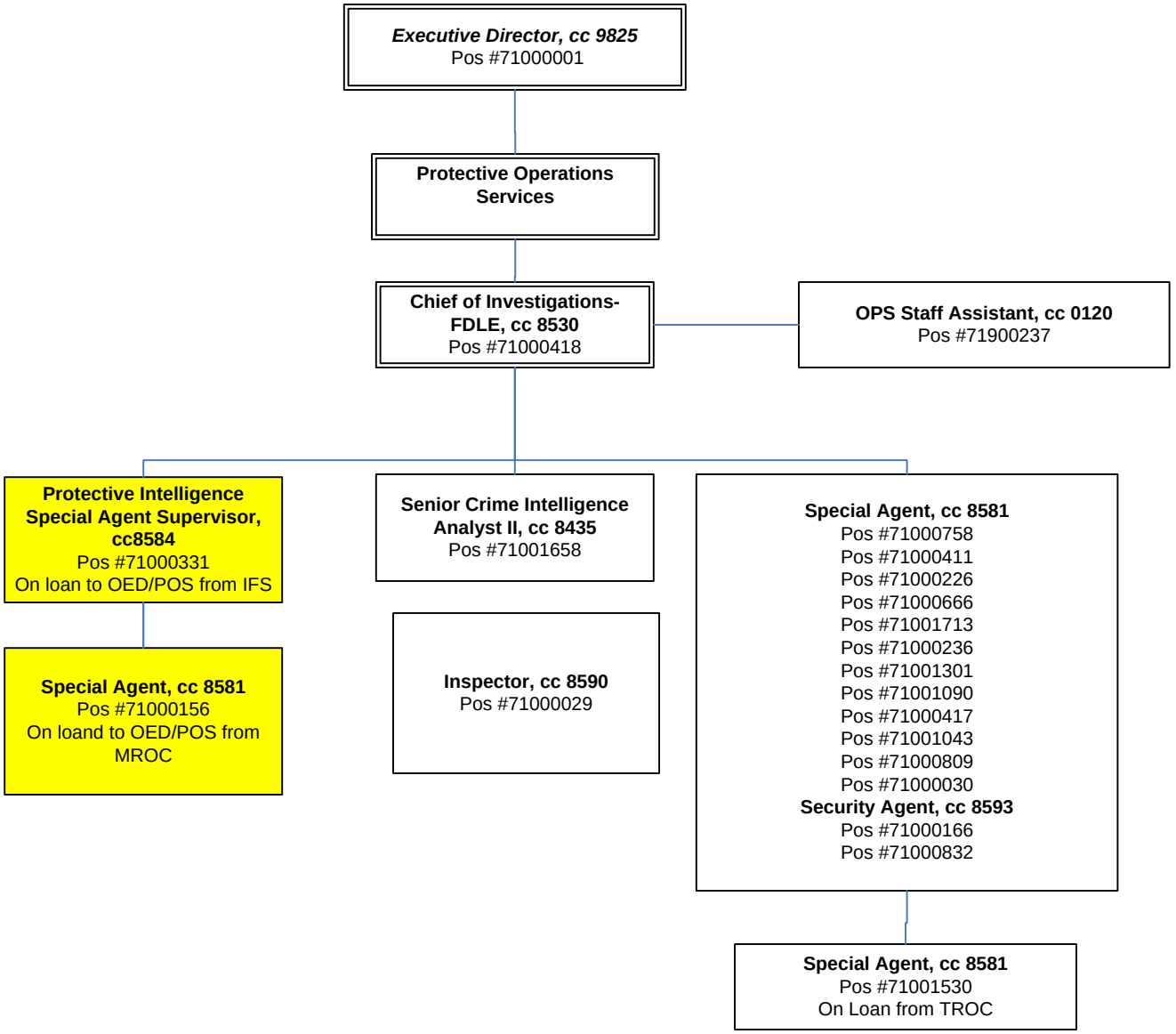
Florida Department of Law Enforcement
Office of Inspector General



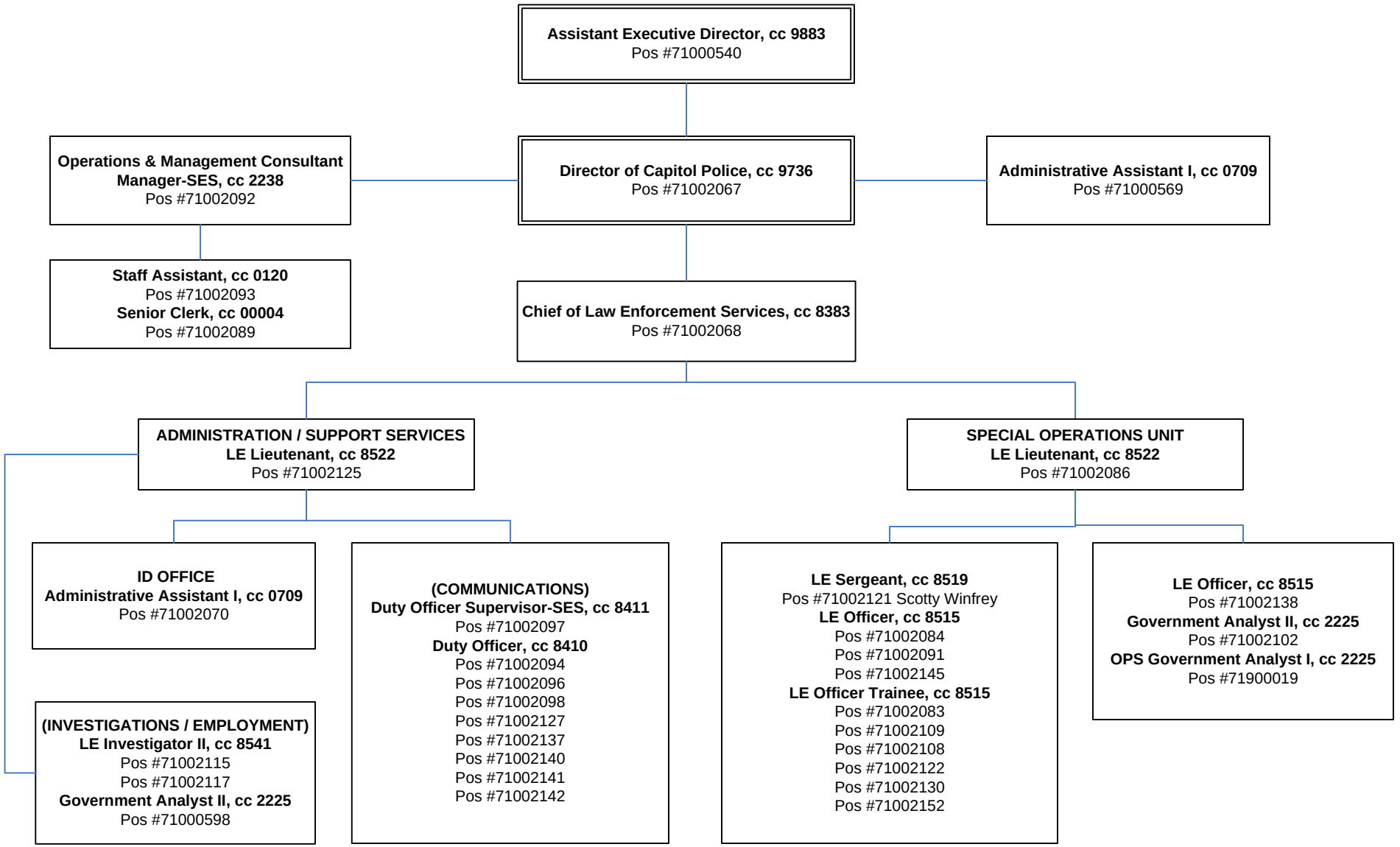
Florida Department of Law Enforcement
Office of the Executive Director
Protective Operations Services



10/17/2018

Florida Department of Law Enforcement

Capitol Police



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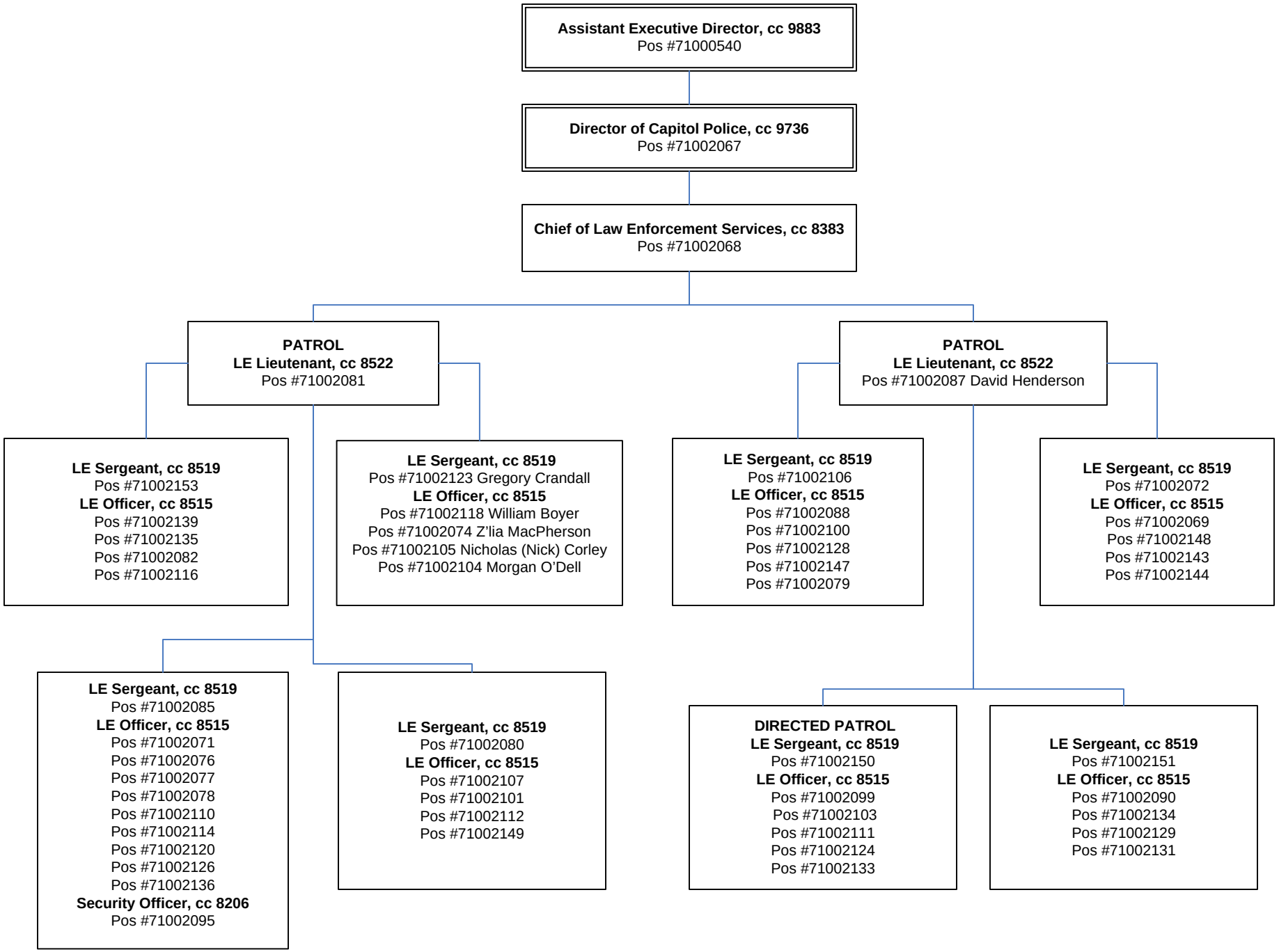
Florida Department of Law Enforcement
Capitol Police



10/17/2018

Security Agent, cc 8593
Pos #71002113
(On Loan to TROC)

OPS Security Officer, 8206
Pos #71900221
(On Loan to TROC)

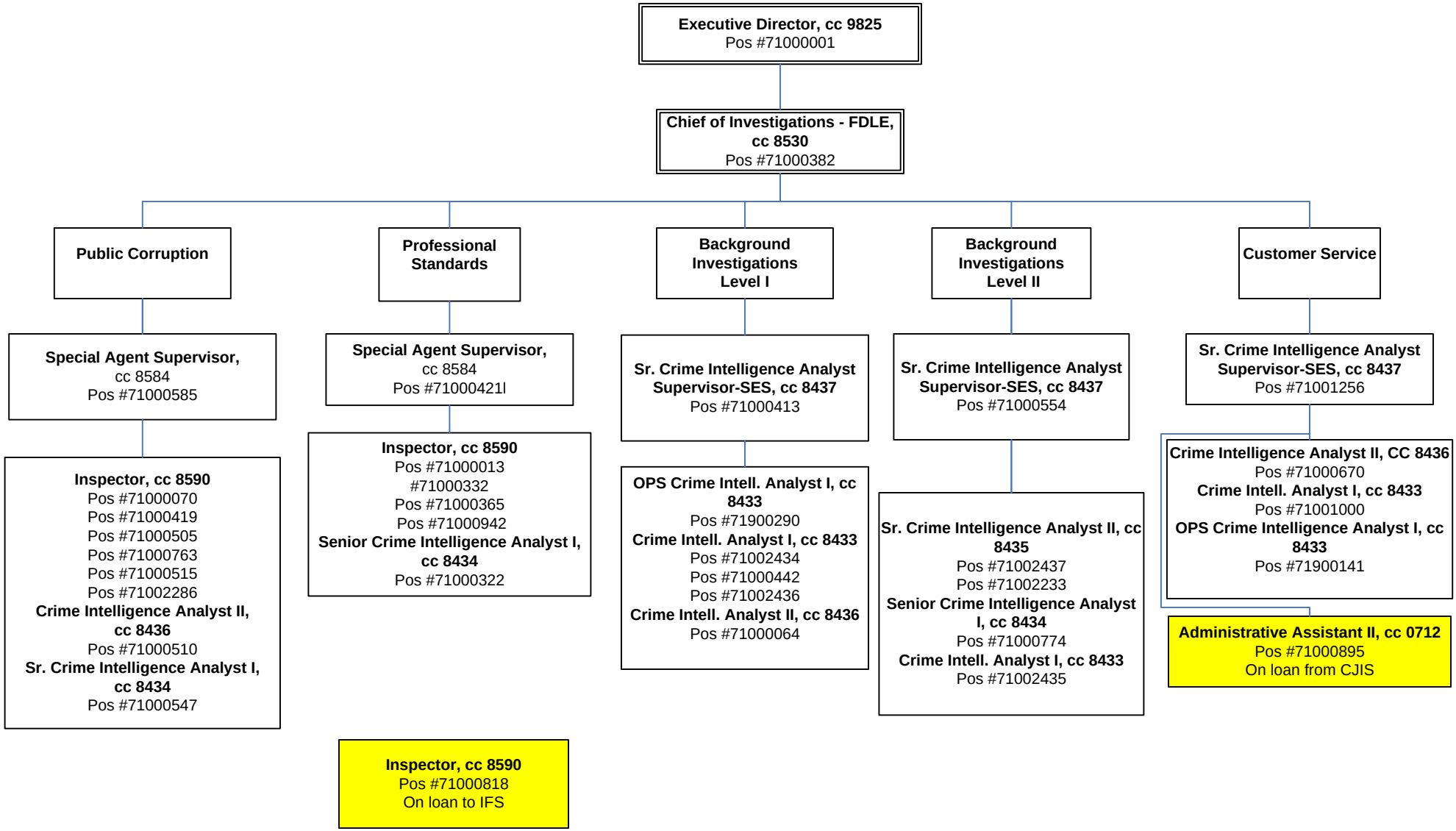
Senior Management Analyst II-SES, cc 2225
Pos #71002073
(On Loan to BSP)

Distributed Computer Systems Analyst, cc 2052
Pos #71000206
(On Loan to ITS)

Telecommunications Specialist II, cc 2035
Pos #71000325
(On loan to ITS)

Florida Department of Law Enforcement

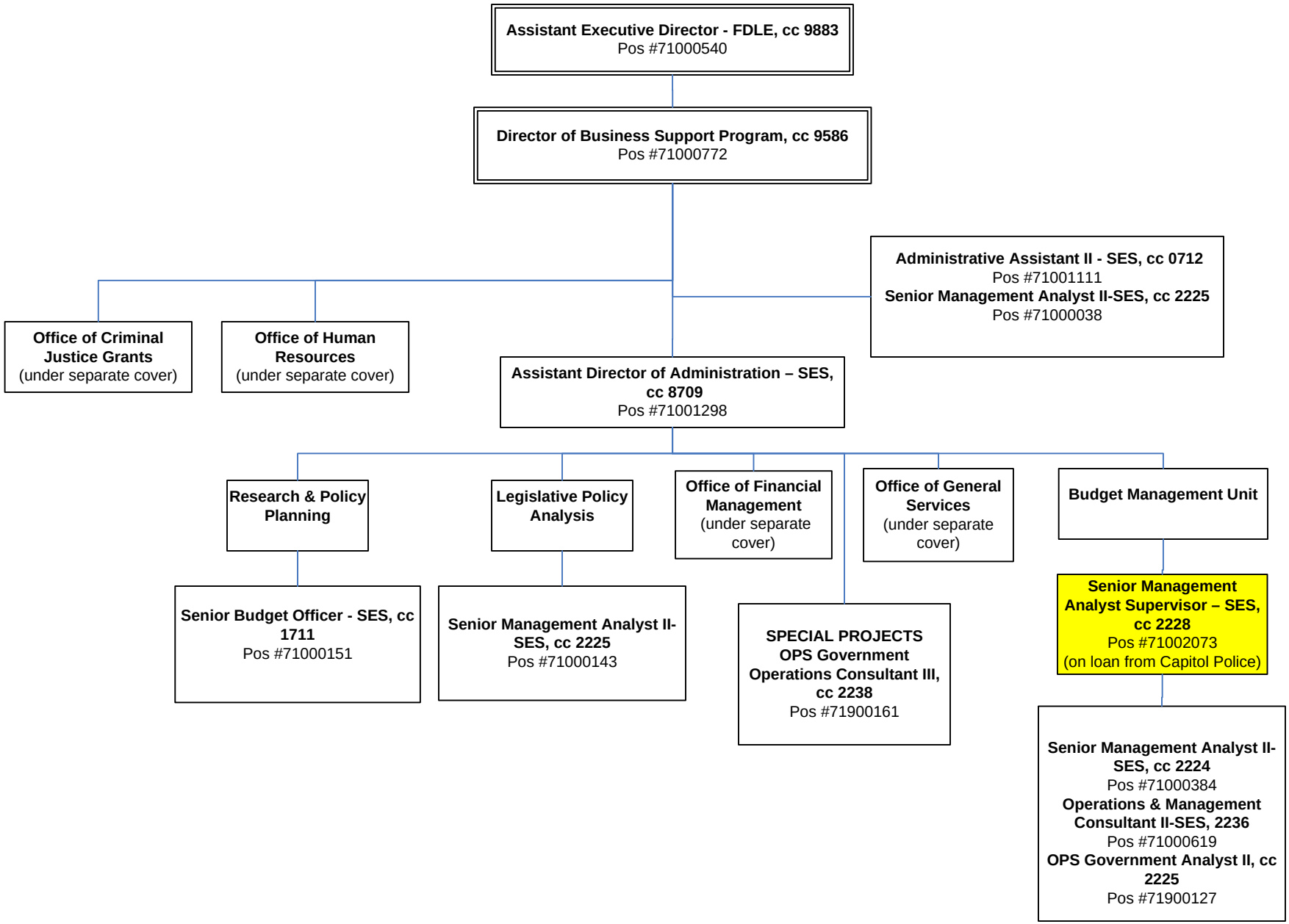
Office of Executive Director
Office of Executive Investigations



10/17/2018

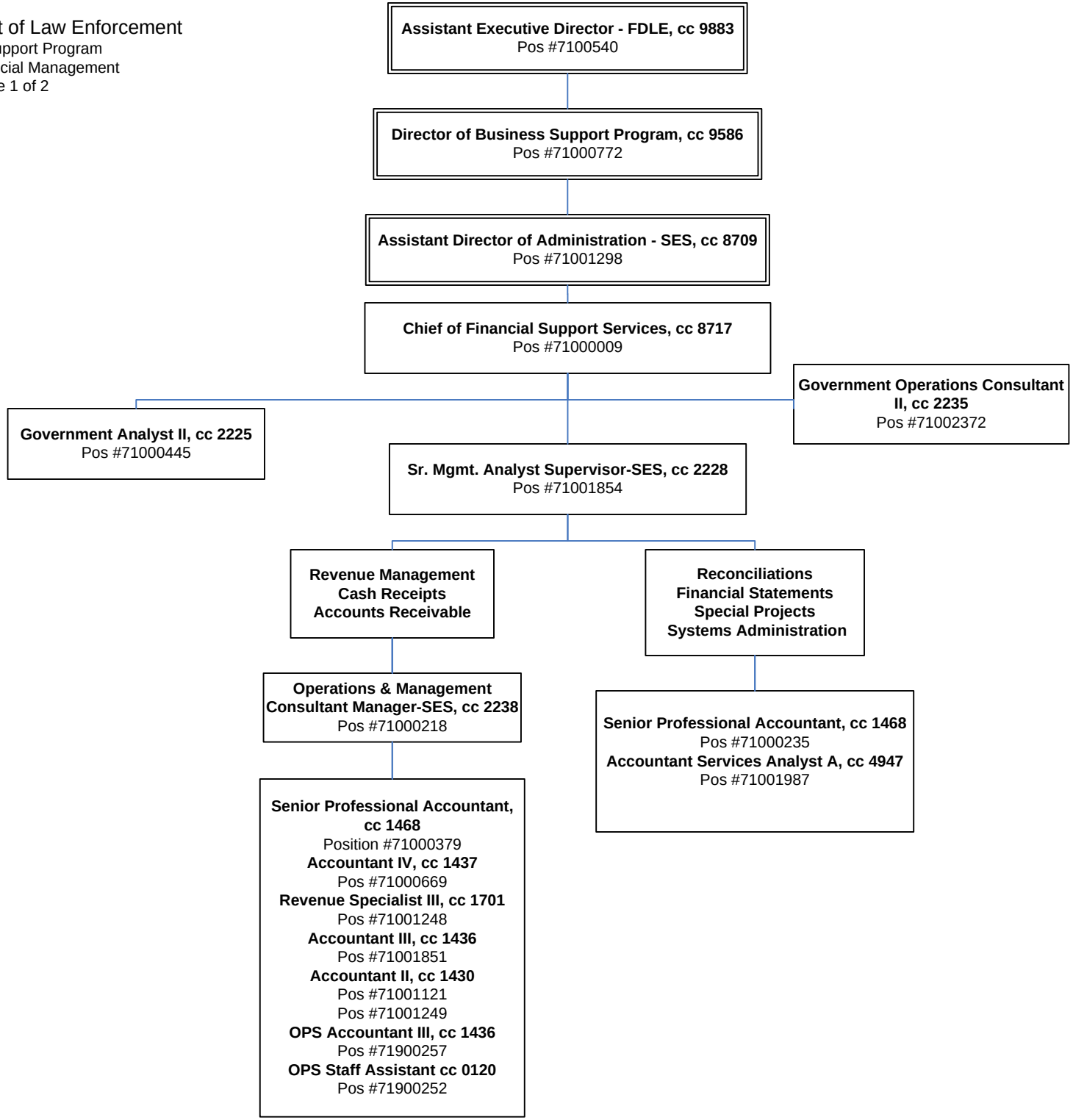
Florida Department of Law Enforcement

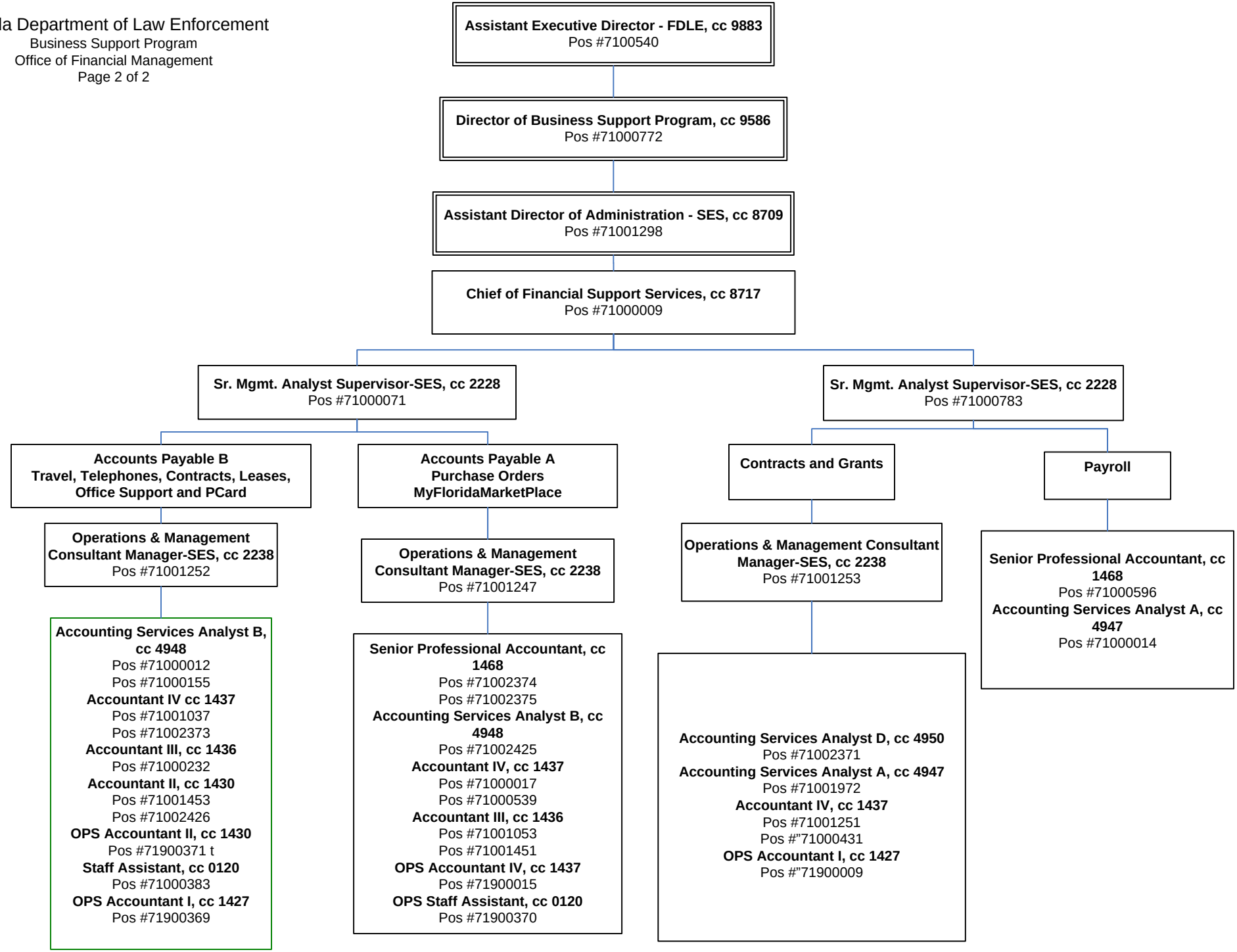
Business Support Program
Director's Office



10/17/2018

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




Assistant Executive Director - FDLE, cc 9883
Pos #7100540
Director of Business Support Program, cc 9586
Pos #71000772
Assistant Director of Administration - SES, cc 8709
Pos #71001298
Chief of Financial Support Services, cc 8717
Pos #71000009
Sr. Mgmt. Analyst Supervisor-SES, cc 2228
Pos #71000071
Sr. Mgmt. Analyst Supervisor-SES, cc 2228
Pos #71000783
Accounts Payable B
Travel, Telephones, Contracts, Leases, Office Support and PCard
Accounts Payable A
Purchase Orders
MyFloridaMarketPlace
Contracts and Grants
Payroll
Operations & Management Consultant Manager-SES, cc 2238
Pos #71001252
Operations & Management Consultant Manager-SES, cc 2238
Pos #71001247
Operations & Management Consultant Manager-SES, cc 2238
Pos #71001253
Accounting Services Analyst B, cc 4948
Pos #71000012
Pos #71000155
Accountant IV cc 1437
Pos #71001037
Pos #71002373
Accountant III, cc 1436
Pos #71000232
Accountant II, cc 1430
Pos #71001453
Pos #71002426
OPS Accountant II, cc 1430
Pos #71900371 t
Staff Assistant, cc 0120
Pos #71000383
OPS Accountant I, cc 1427
Pos #71900369
Senior Professional Accountant, cc 1468
Pos #71002374
Pos #71002375
Accounting Services Analyst B, cc 4948
Pos #71002425
Accountant IV, cc 1437
Pos #71000017
Pos #71000539
Accountant III, cc 1436
Pos #71001053
Pos #71001451
OPS Accountant IV, cc 1437
Pos #71900015
OPS Staff Assistant, cc 0120
Pos #71900370
Accounting Services Analyst D, cc 4950
Pos #71002371
Accounting Services Analyst A, cc 4947
Pos #71001972
Accountant IV, cc 1437
Pos #71001251
Pos #"71000431
OPS Accountant I, cc 1427
Pos #"71900009
Senior Professional Accountant, cc 1468
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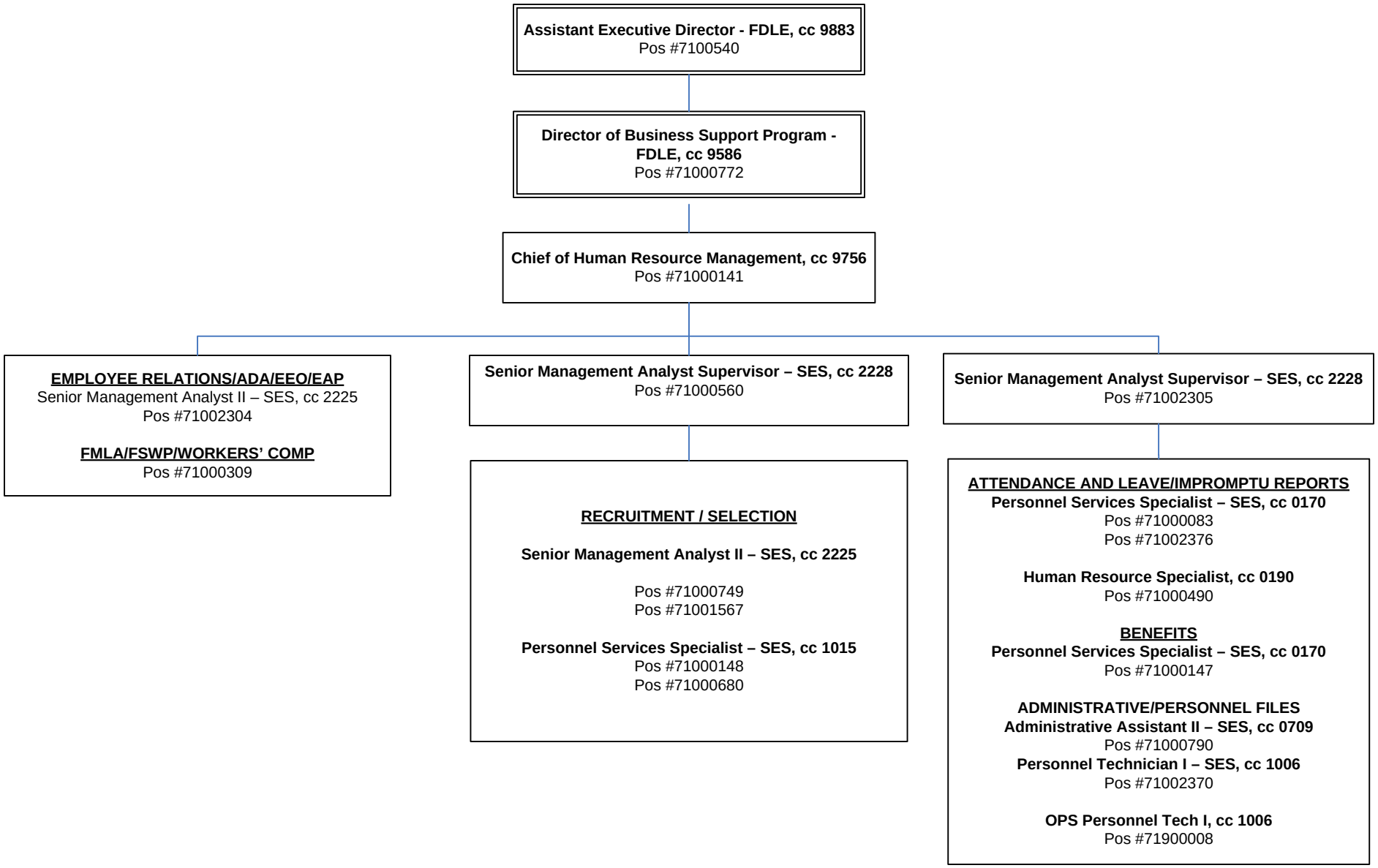
Accounting Services Analyst A, cc 4947
Pos #71000014

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



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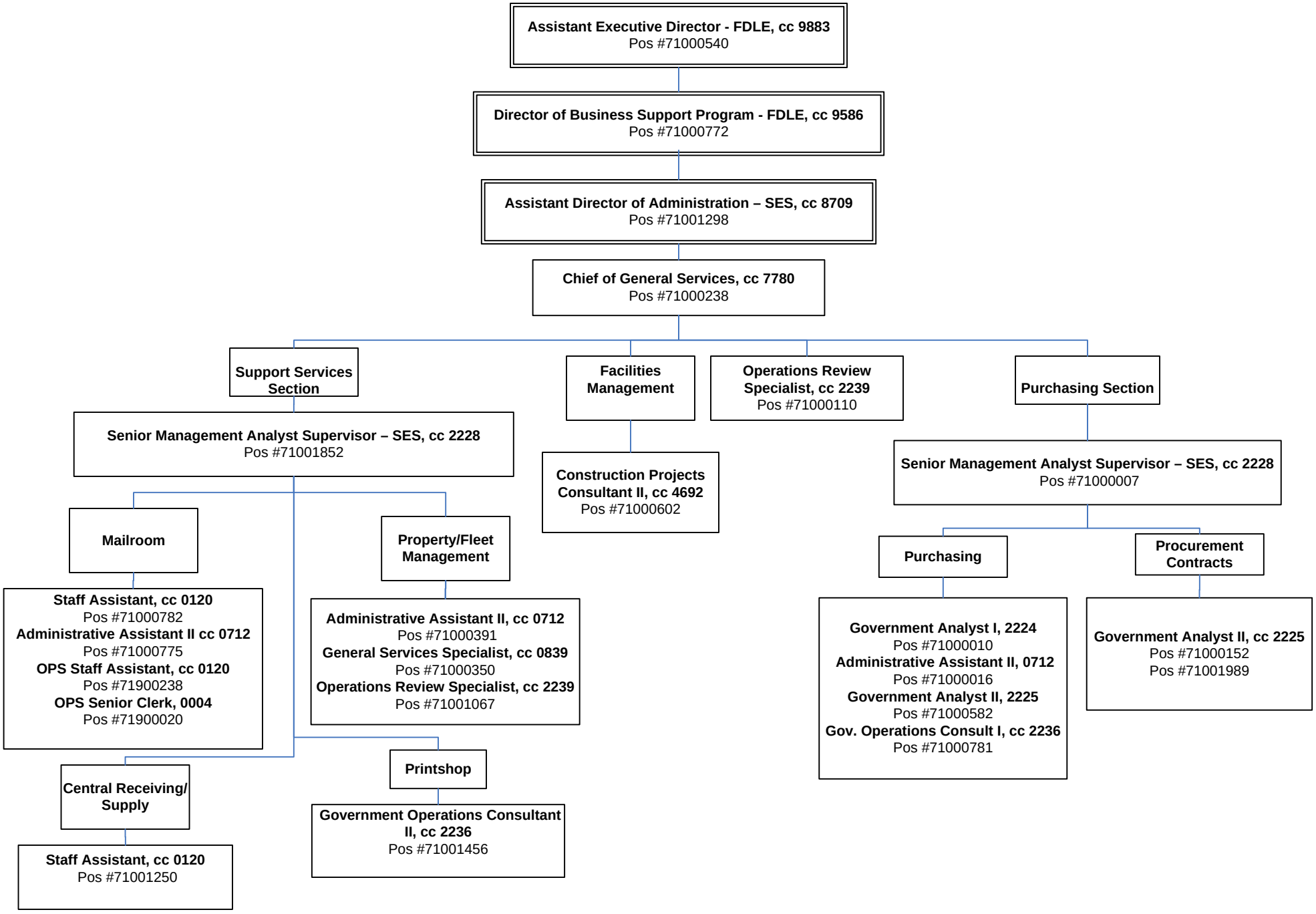
Florida Department of Law Enforcement

Business Support Program
Office of General Services



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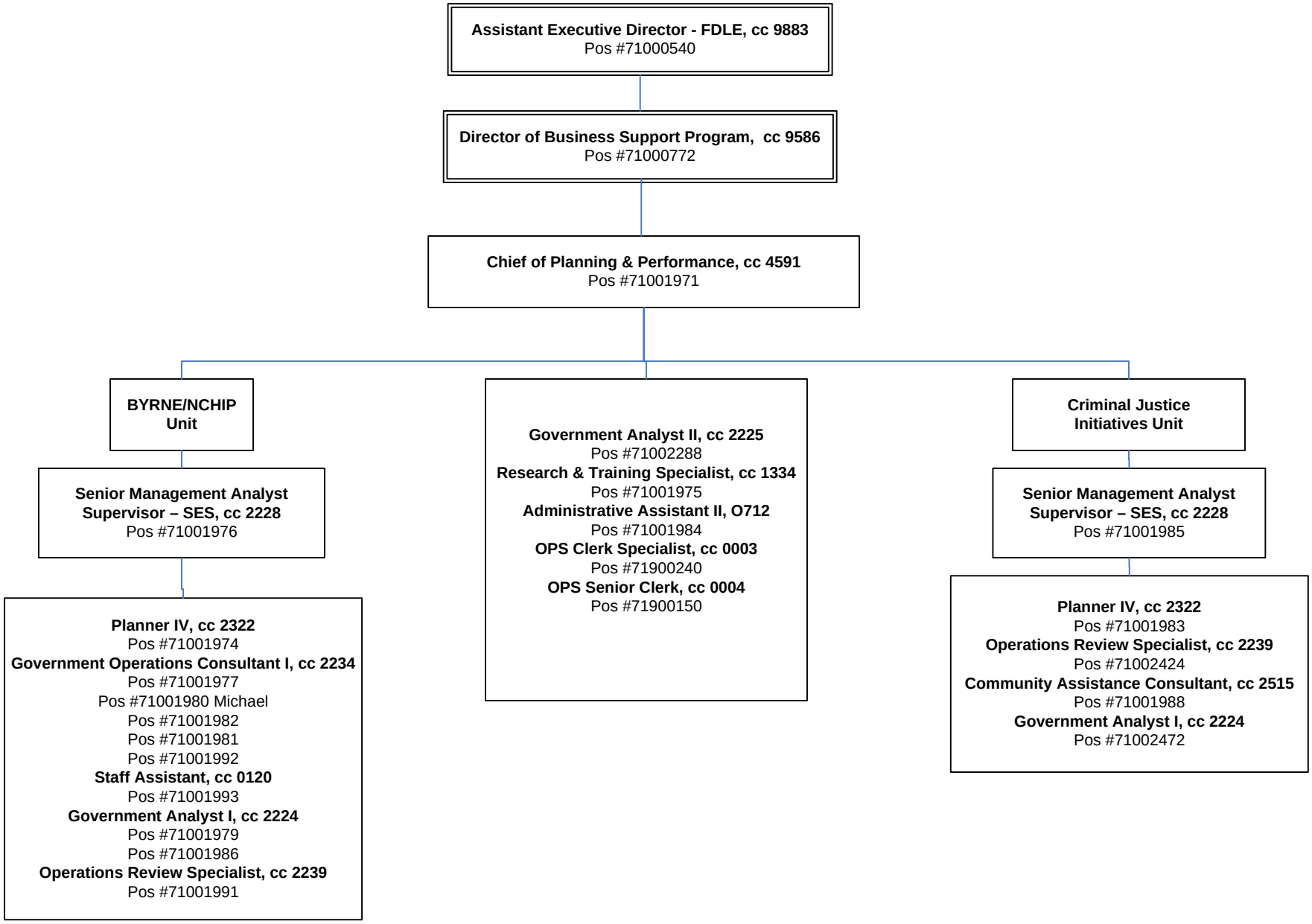
Florida Department of Law Enforcement
Business Support Program
Office of Criminal Justice Grants



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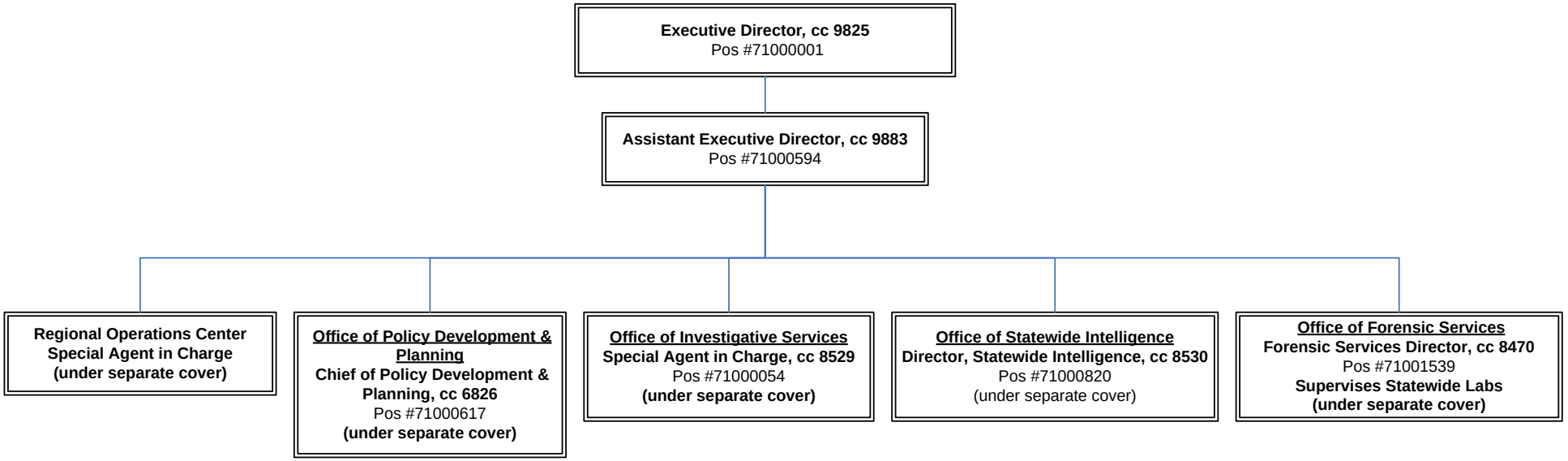
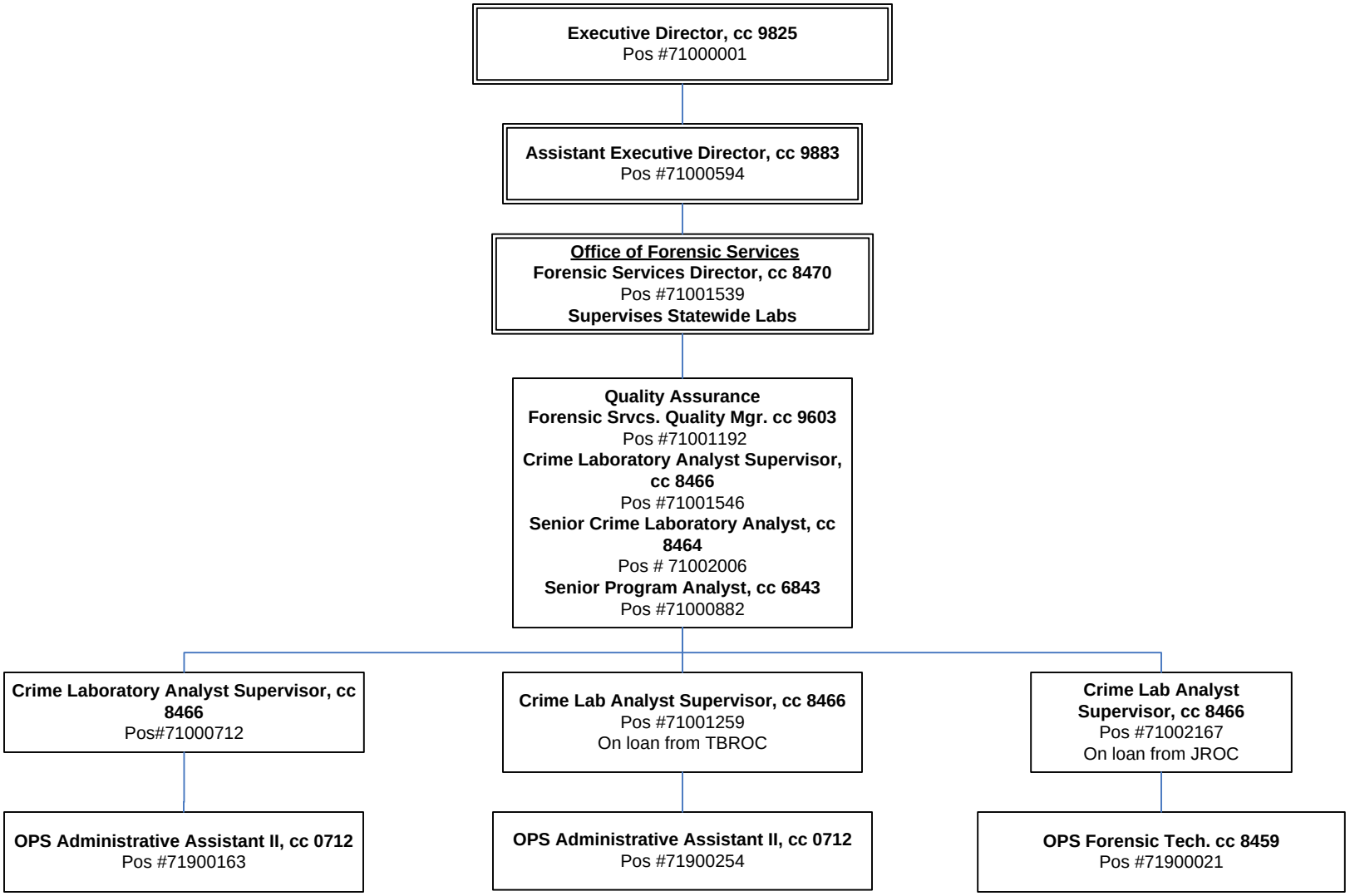
Florida Department of Law Enforcement
Investigations and Forensic Science Program



Florida Department of Law Enforcement
Investigations and Forensic Science Program



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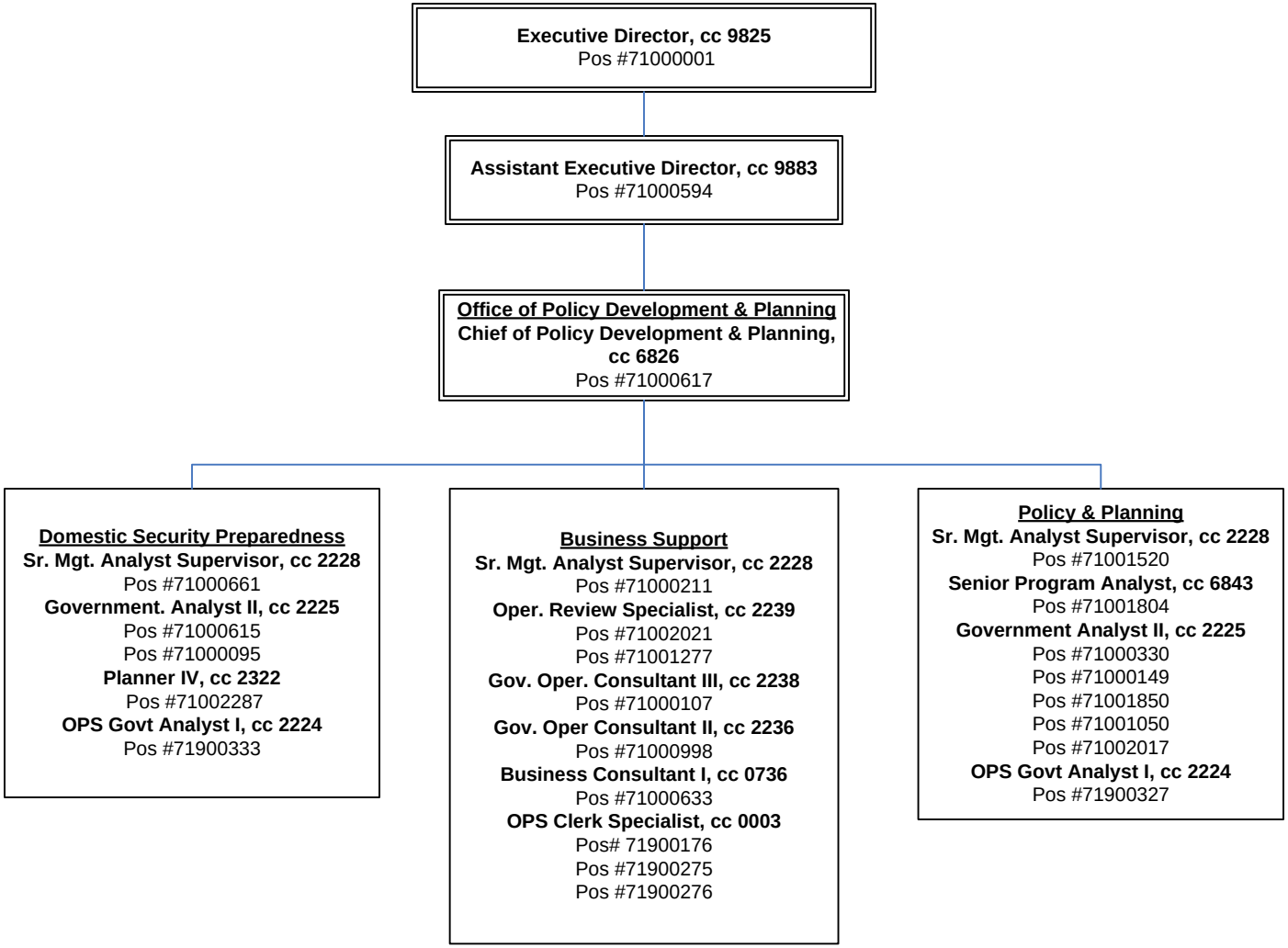
Florida Department of Law Enforcement

Investigations and Forensic Science Program



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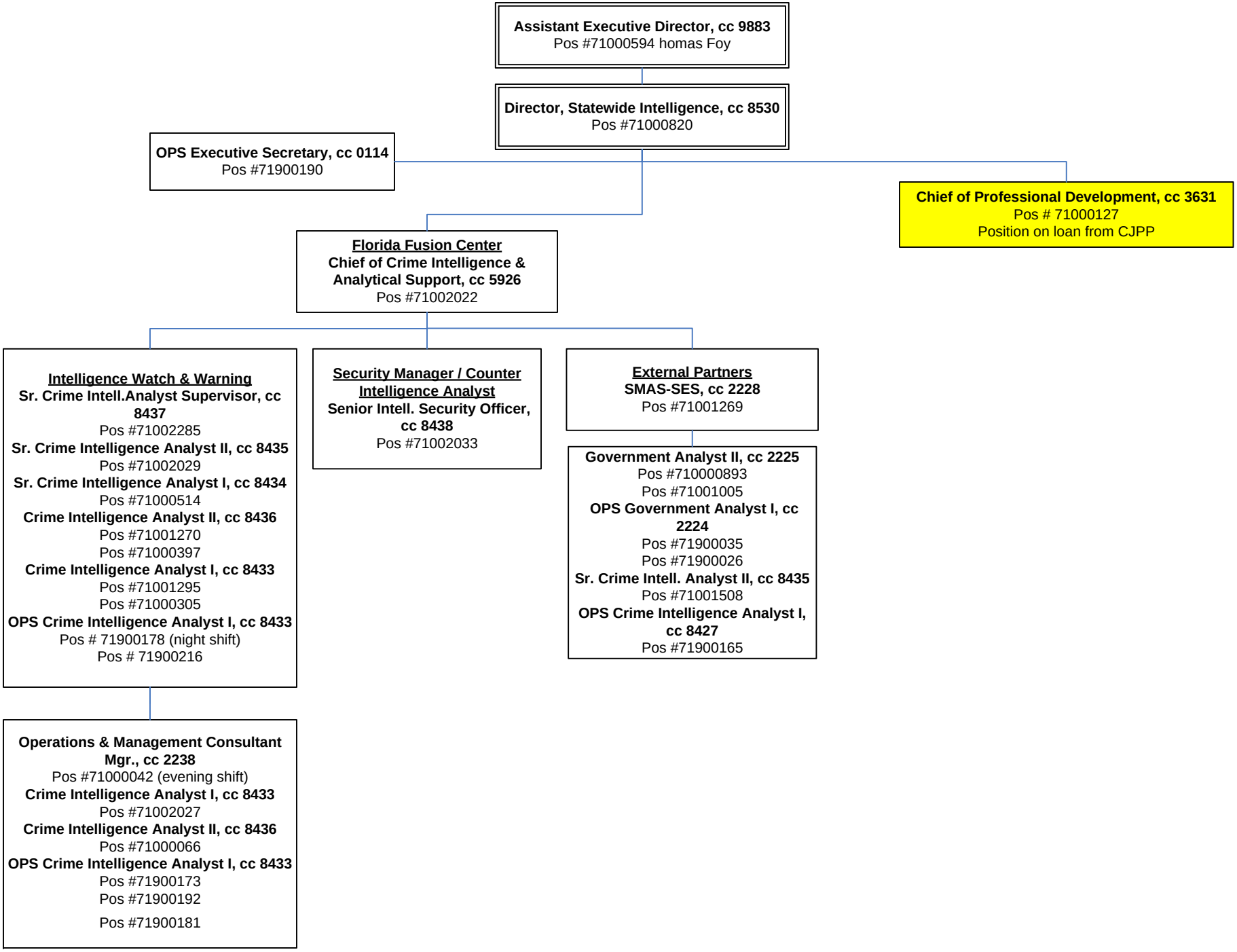
Florida Department of Law Enforcement

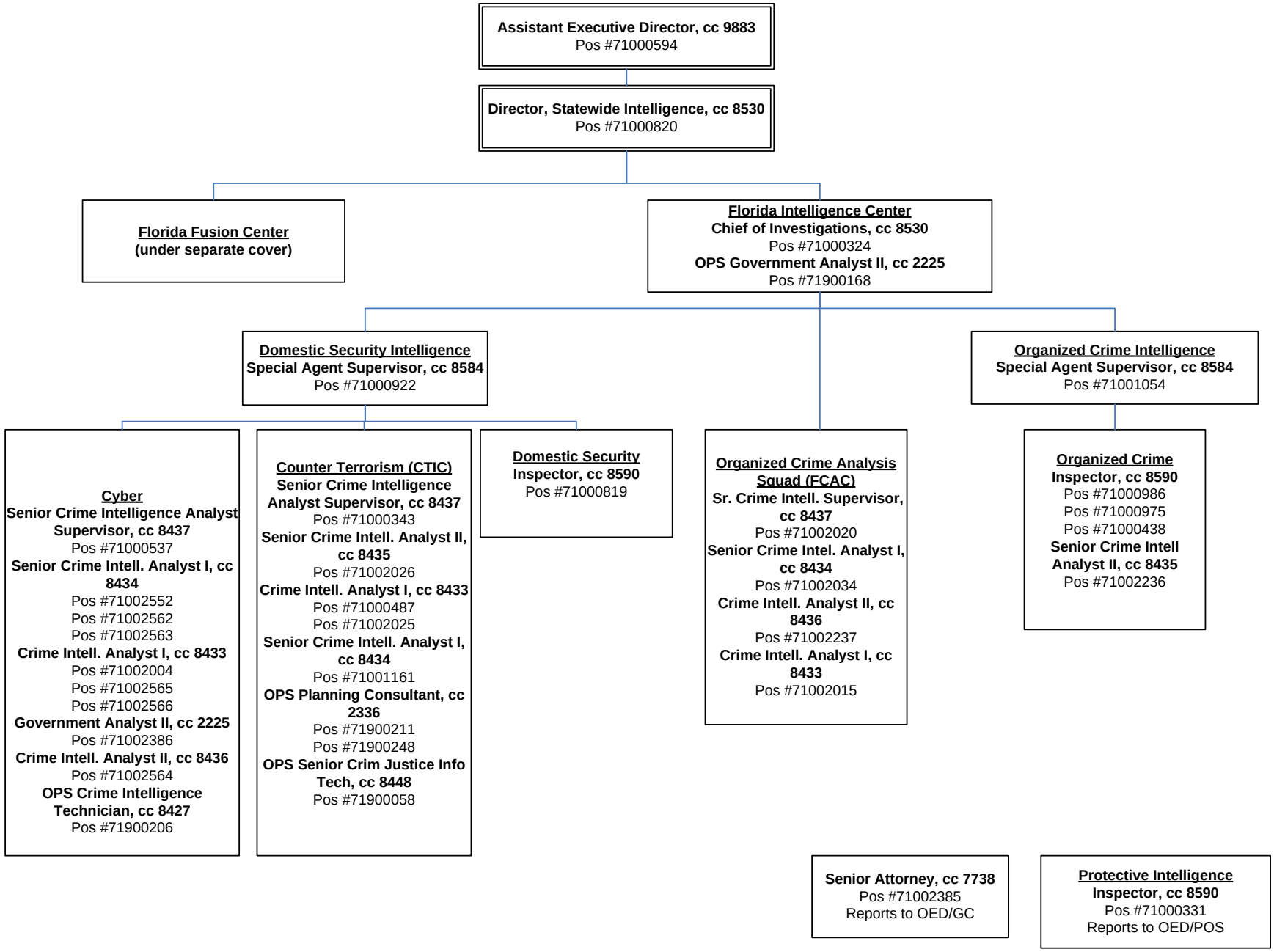
Investigations and Forensic Science Program

Office of Statewide Intelligence



10/17/2018

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



10/17/2018

Florida Department of Law Enforcement

Investigations and Forensic Science Program

Field Services

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000054

Field Services
Chief of Investigations, cc 8530
Pos #71000304

Administrative Assistant II, cc 0712
Pos #71002338

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

Mutual Aid
Inspector, cc 8590
Pos #71000021 rett Lycett

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

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

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

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

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

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

Inspector, cc 8590
Pos #71000818
On loan from OEI

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

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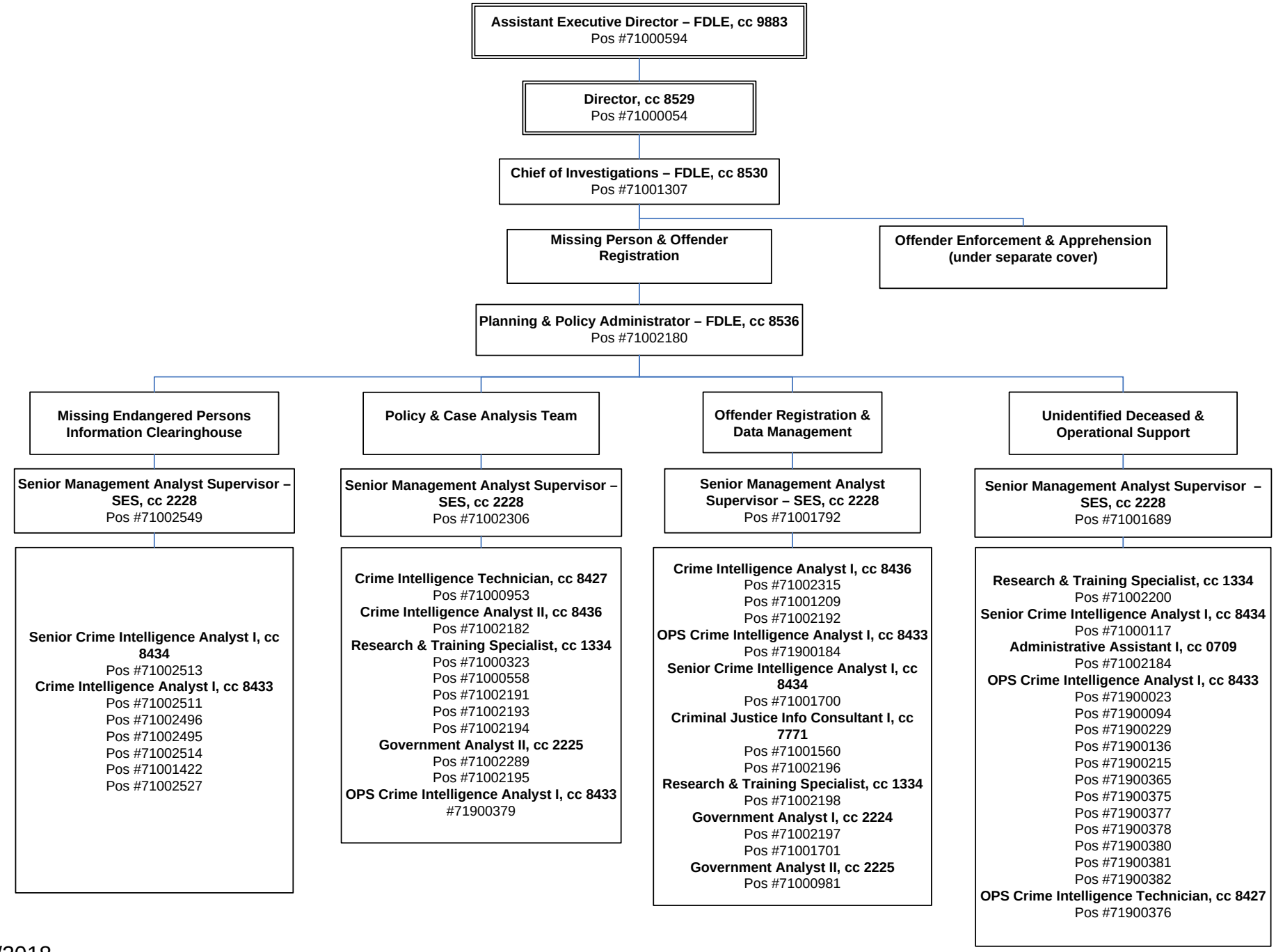
Florida Department of Law Enforcement
Investigations and Forensic Sciences
Office of Enforcement & Investigative Support Page 1



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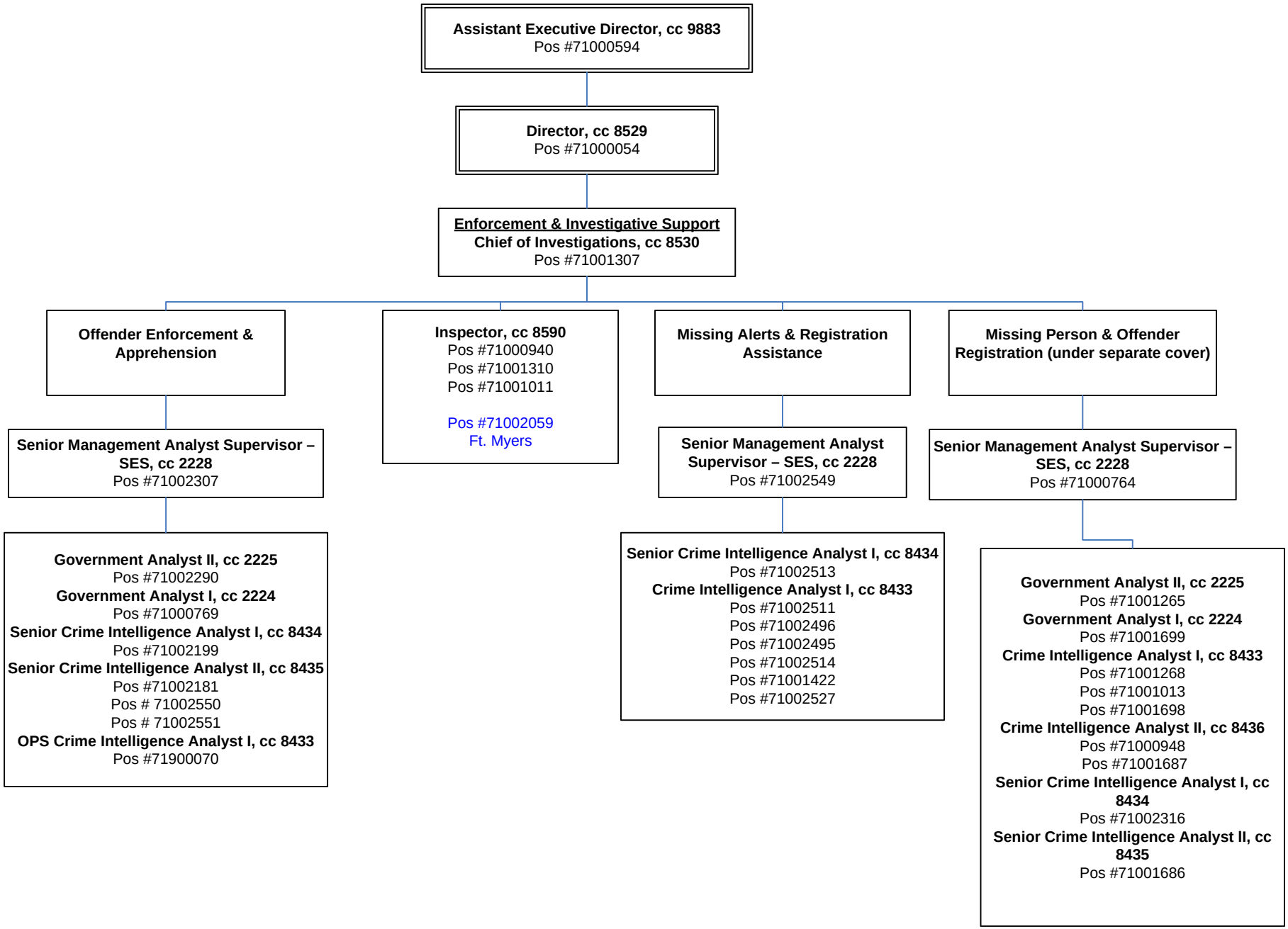
Florida Department of Law Enforcement
Investigations and Forensic Sciences
Office of Enforcement & Investigative Support – Page 2



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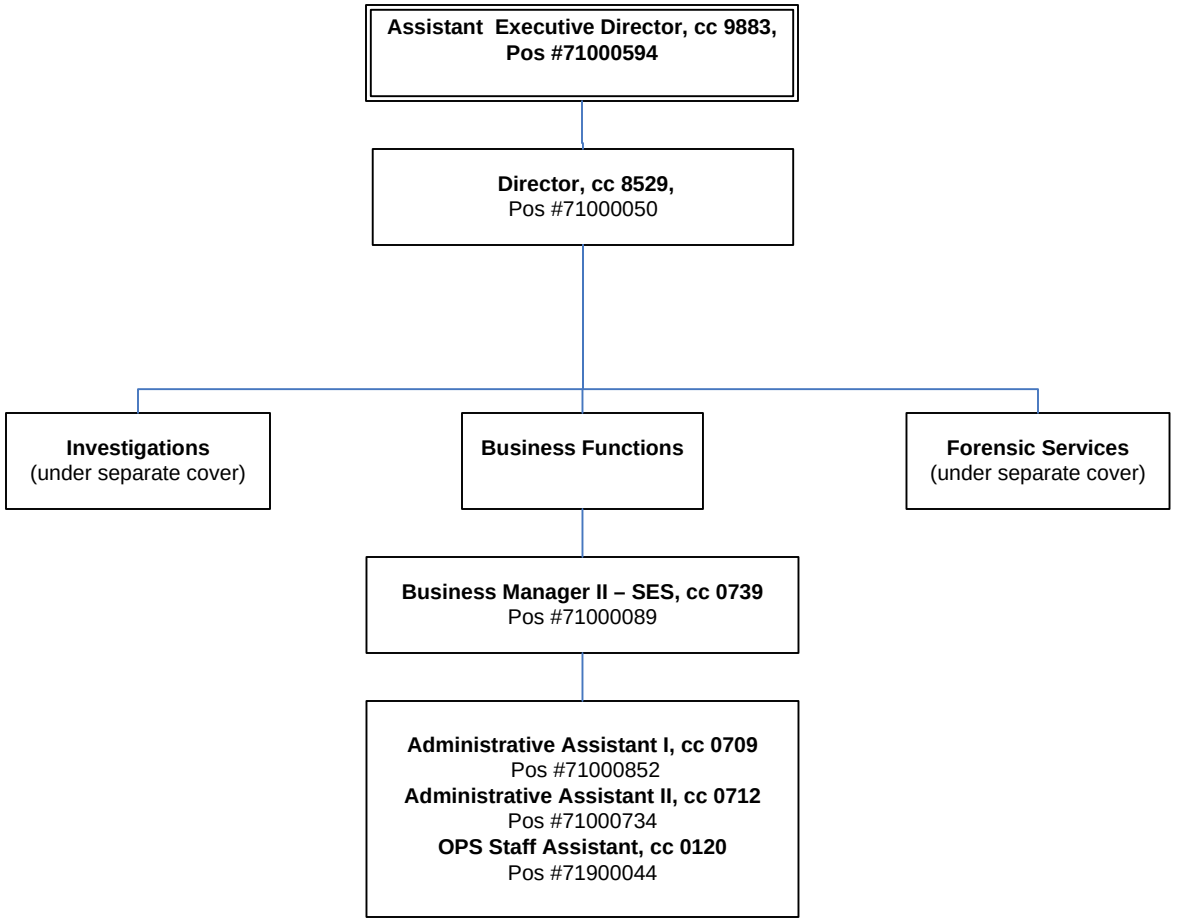
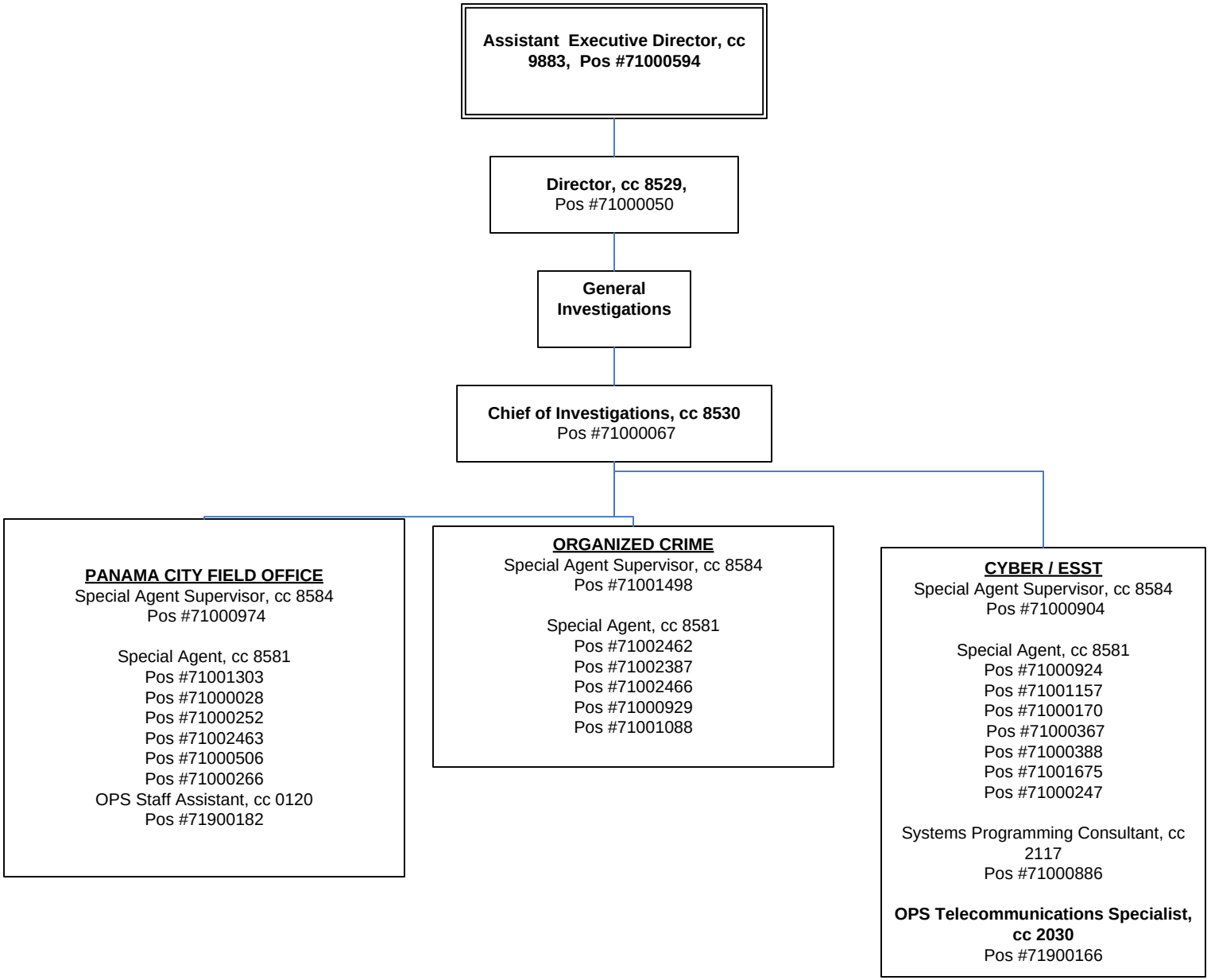
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Pensacola Regional Operations Center



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



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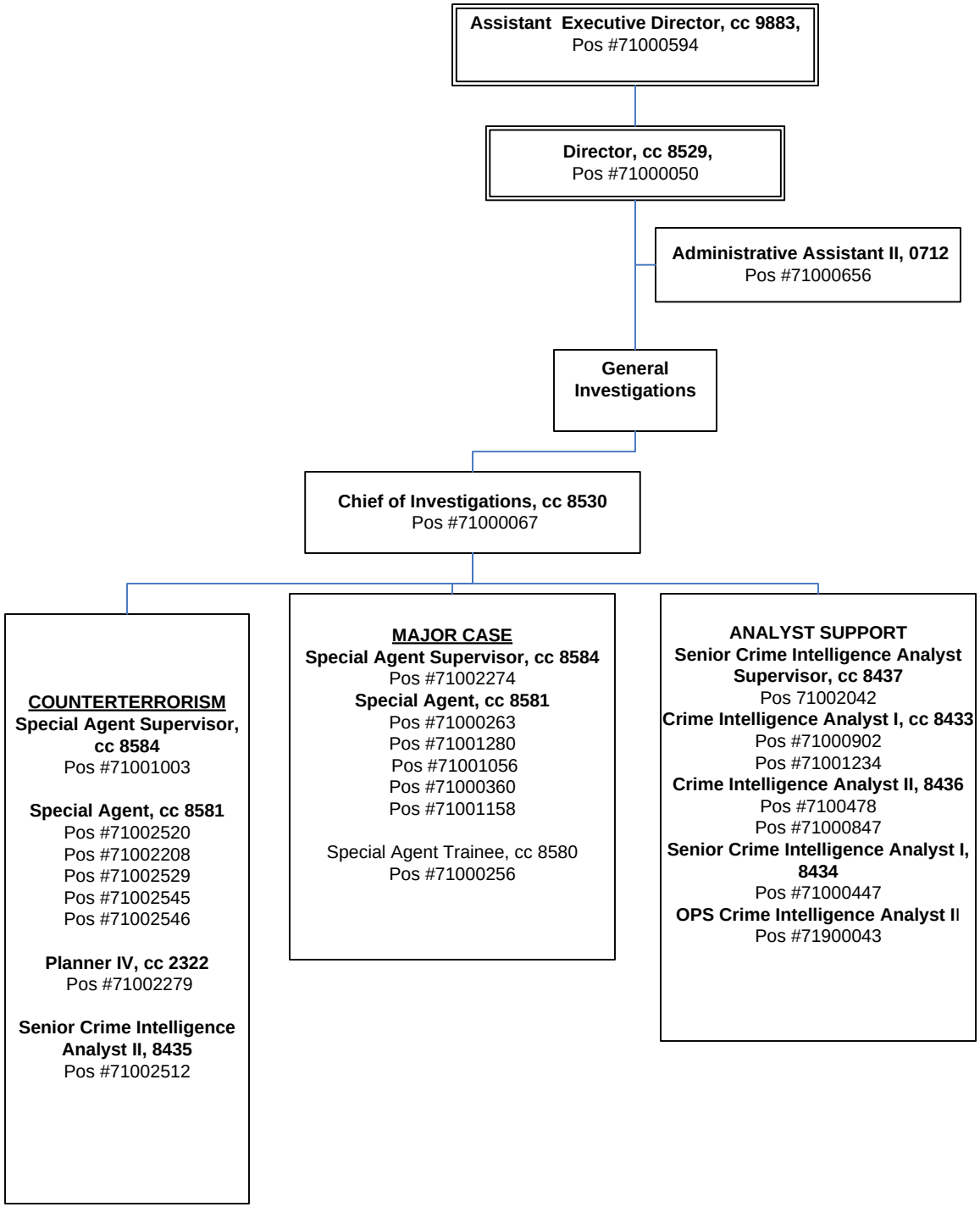
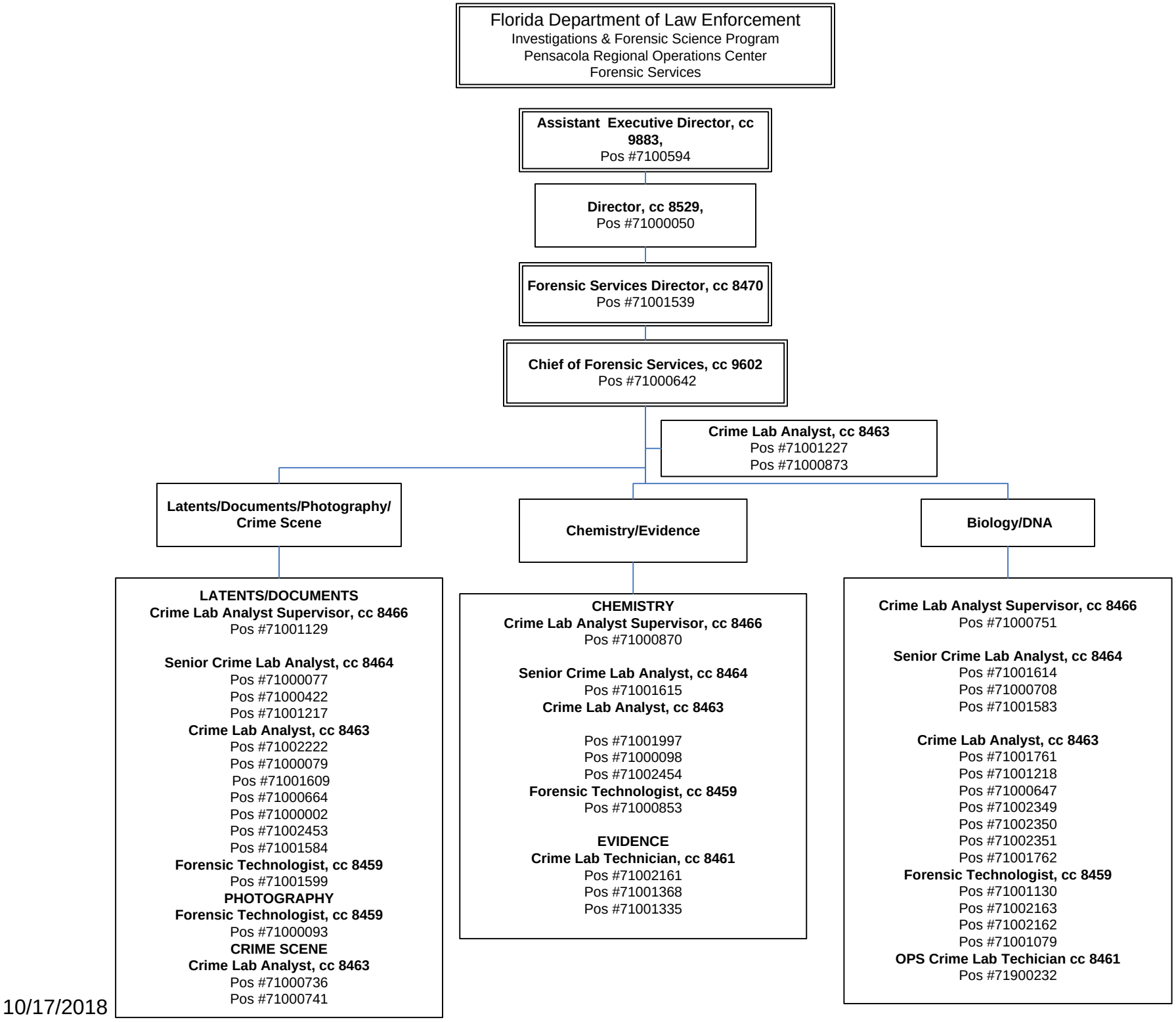
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Pensacola Regional Operations Center



10/17/2018


Florida Department of Law Enforcement
Investigations & Forensic Science Program
Pensacola Regional Operations Center
Forensic Services
Assistant Executive Director, cc 9883,
Pos #7100594
Director, cc 8529,
Pos #71000050
Forensic Services Director, cc 8470
Pos #71001539
Chief of Forensic Services, cc 9602
Pos #71000642
Crime Lab Analyst, cc 8463
Pos #71001227
Pos #71000873
Latents/Documents/Photography/ Crime Scene
Chemistry/Evidence
Biology/DNA
LATENTS/DOCUMENTS
Crime Lab Analyst Supervisor, cc 8466
Pos #71001129
Senior Crime Lab Analyst, cc 8464
Pos #71000077
Pos #71000422
Pos #71001217
Crime Lab Analyst, cc 8463
Pos #71002222
Pos #71000079
Pos #71001609
Pos #71000664
Pos #71000002
Pos #71002453
Pos #71001584
Forensic Technologist, cc 8459
Pos #71001599
PHOTOGRAPHY
Forensic Technologist, cc 8459
Pos #71000093
CRIME SCENE
Crime Lab Analyst, cc 8463
Pos #71000736
Pos #71000741
CHEMISTRY
Crime Lab Analyst Supervisor, cc 8466
Pos #71000870
Senior Crime Lab Analyst, cc 8464
Pos #71001615
Crime Lab Analyst, cc 8463
Pos #71001997
Pos #71000098
Pos #71002454
Forensic Technologist, cc 8459
Pos #71000853
EVIDENCE
Crime Lab Technician, cc 8461
Pos #71002161
Pos #71001368
Pos #71001335
Crime Lab Analyst Supervisor, cc 8466
Pos #71000751
Senior Crime Lab Analyst, cc 8464
Pos #71001614
Pos #71000708
Pos #71001583
Crime Lab Analyst, cc 8463
Pos #71001761
Pos #71001218
Pos #71000647
Pos #71002349
Pos #71002350
Pos #71002351
Pos #71001762
Forensic Technologist, cc 8459
Pos #71001130
Pos #71002163
Pos #71002162
Pos #71001079
OPS Crime Lab Techician cc 8461
Pos #71900232

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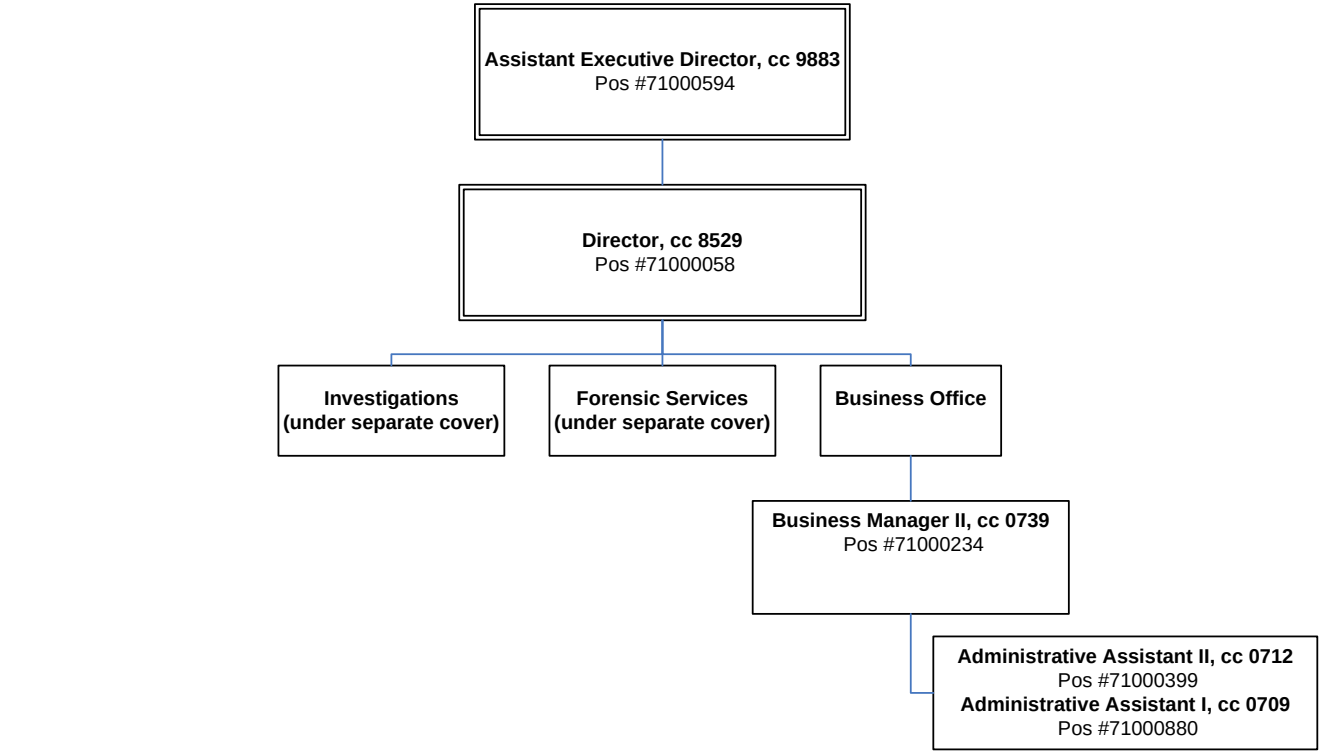
Florida Department of Law Enforcement

Investigations & Forensic Science Program
Tallahassee Regional Operations Center



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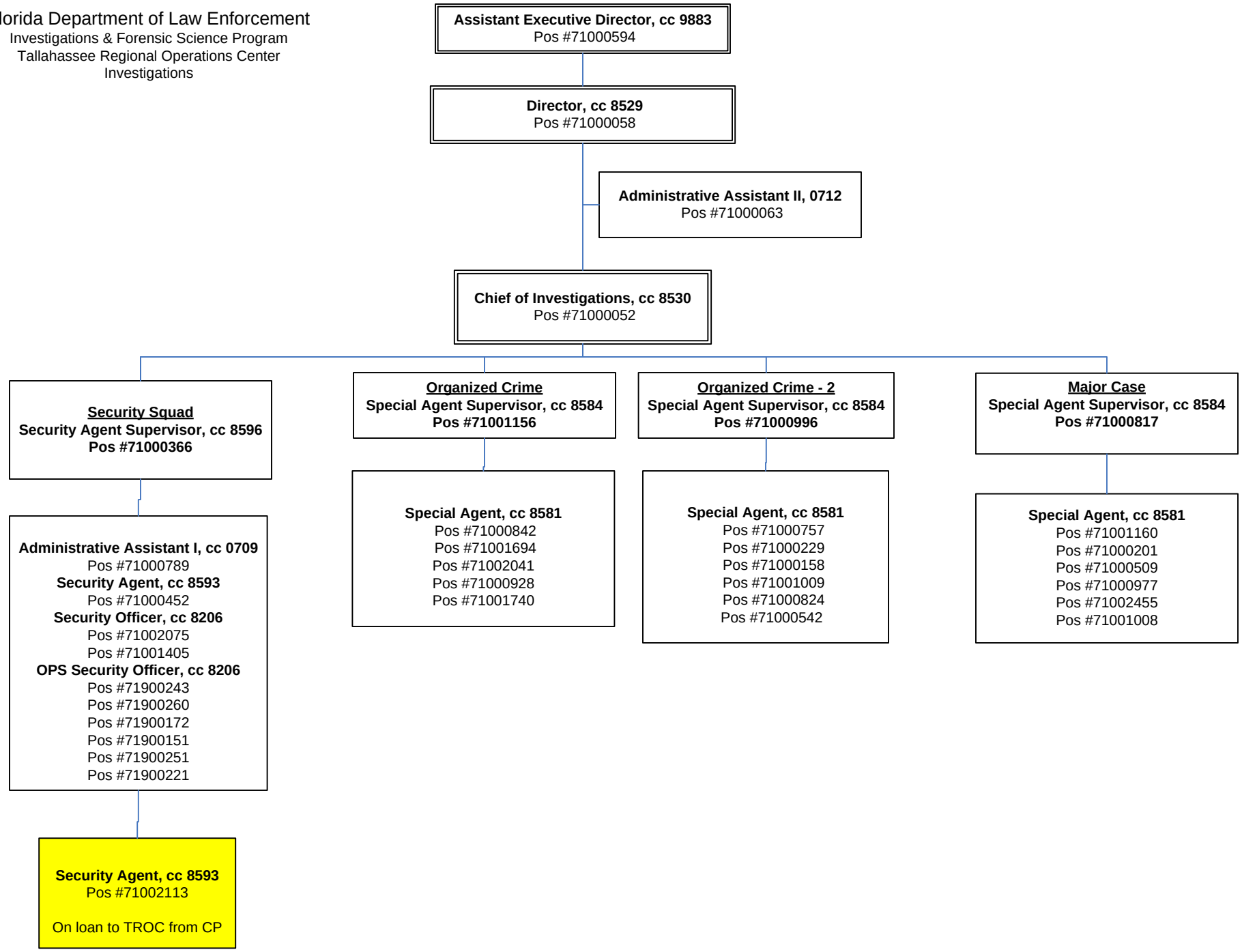
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Investigations



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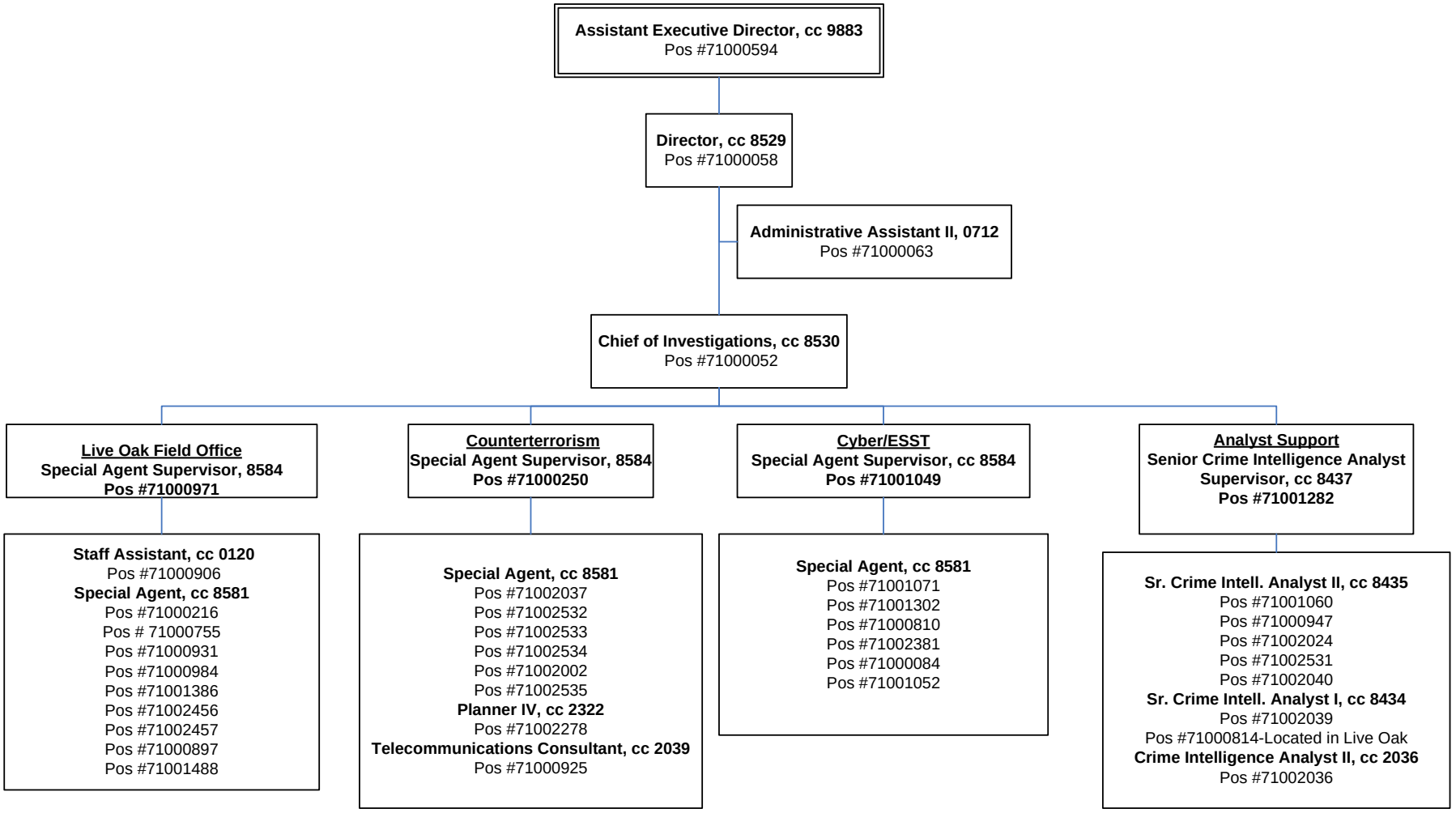
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Investigations



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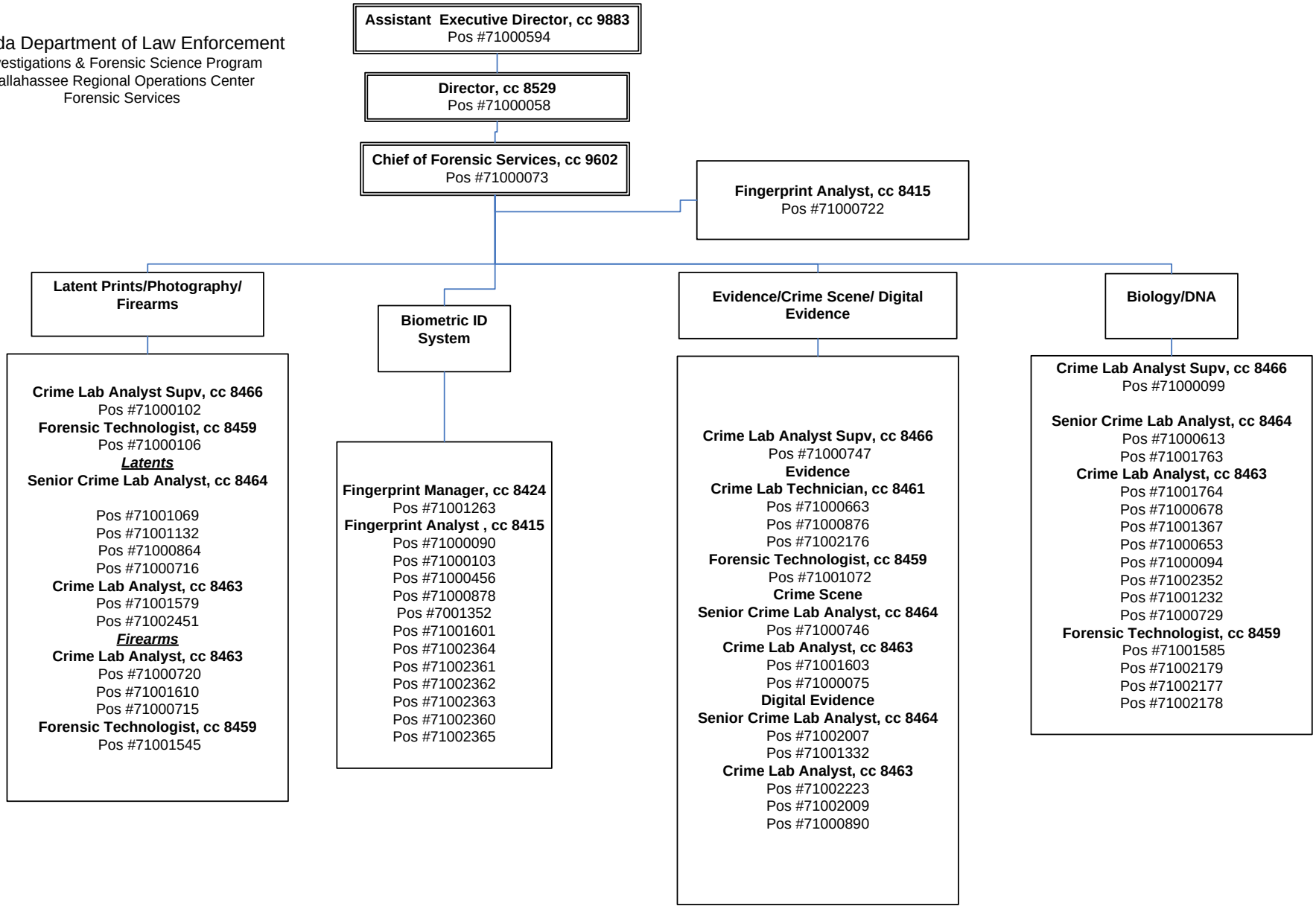
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Forensic Services



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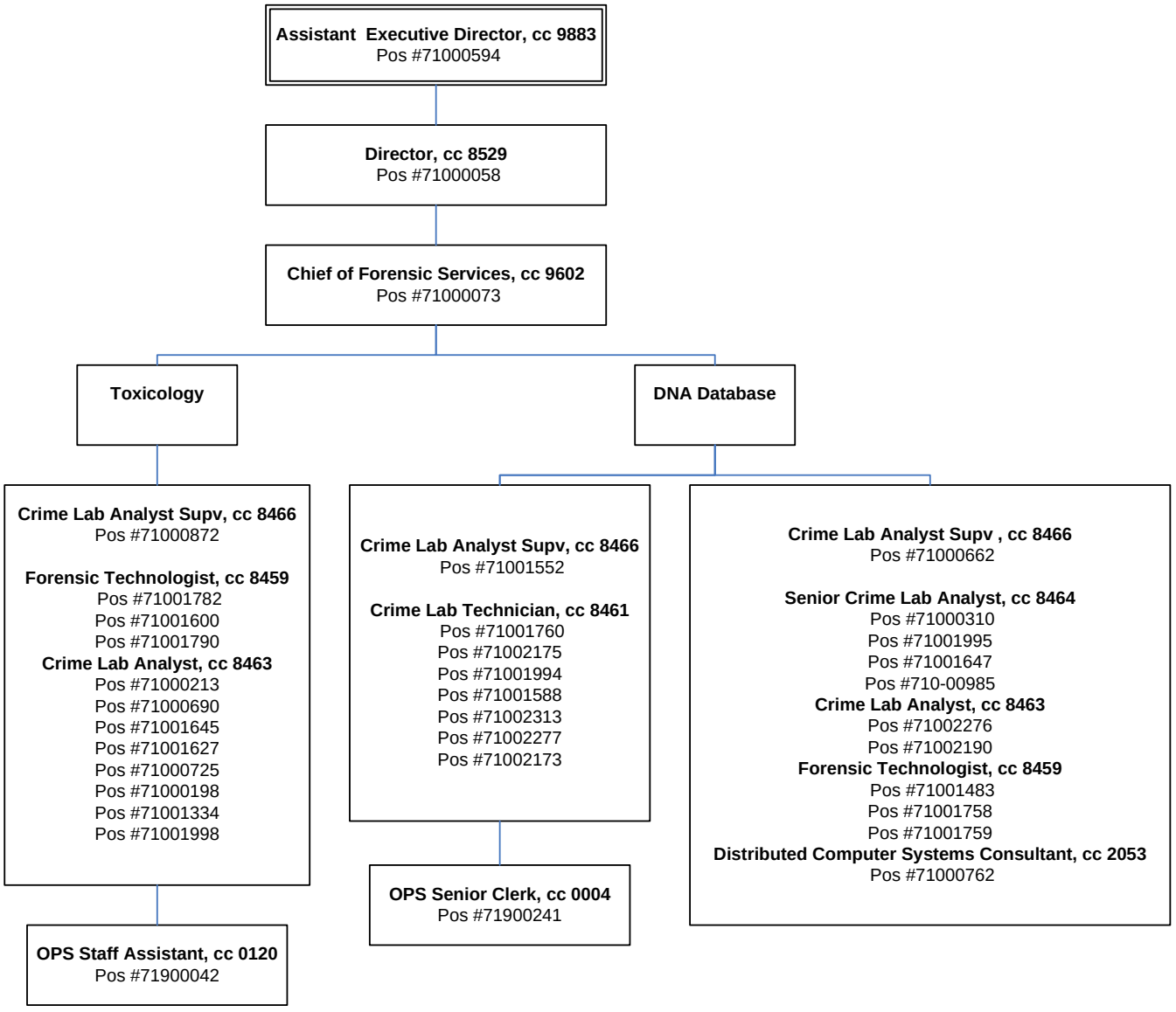
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tallahassee Regional Operations Center
Forensic Services



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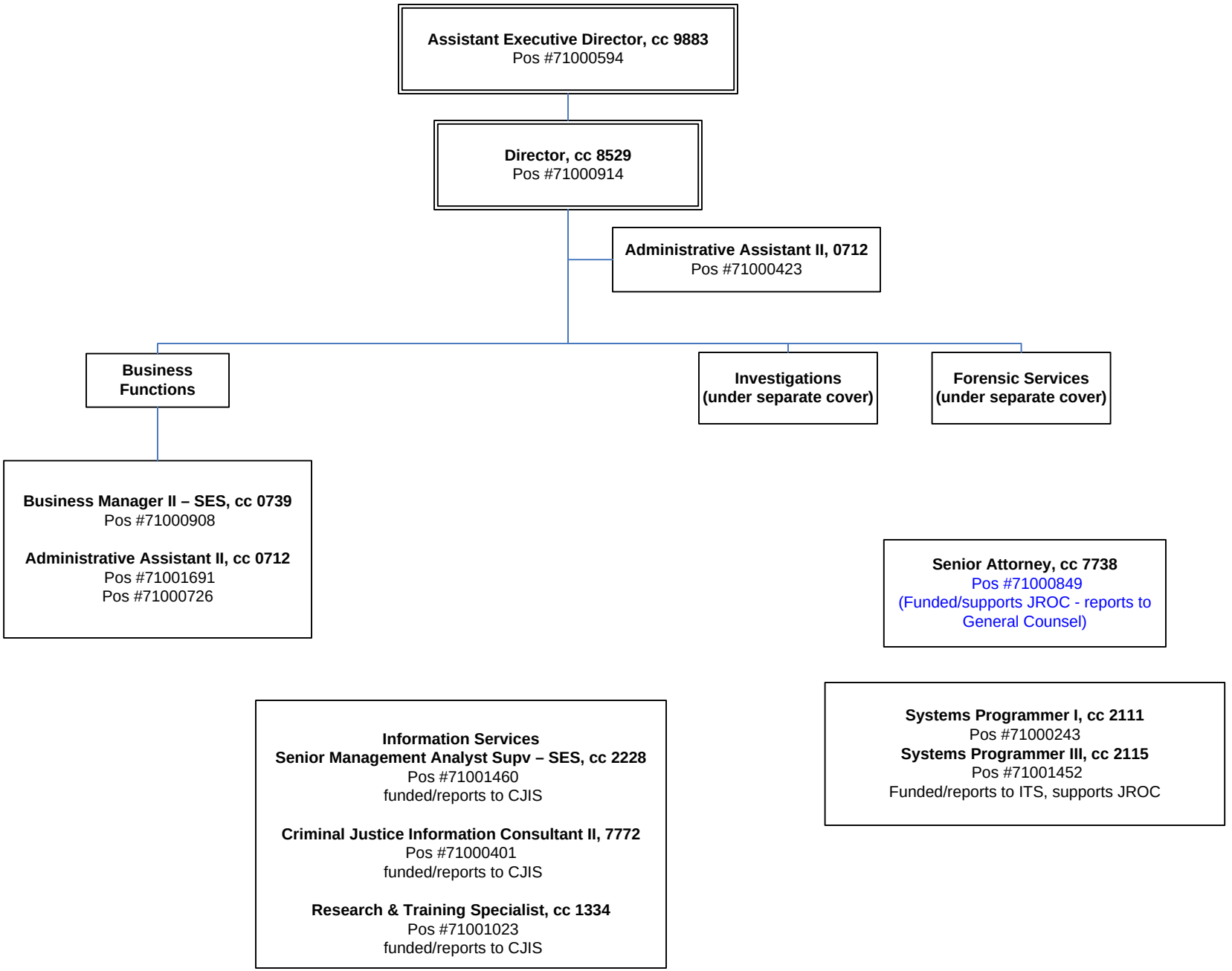
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Jacksonville Regional Operations Center



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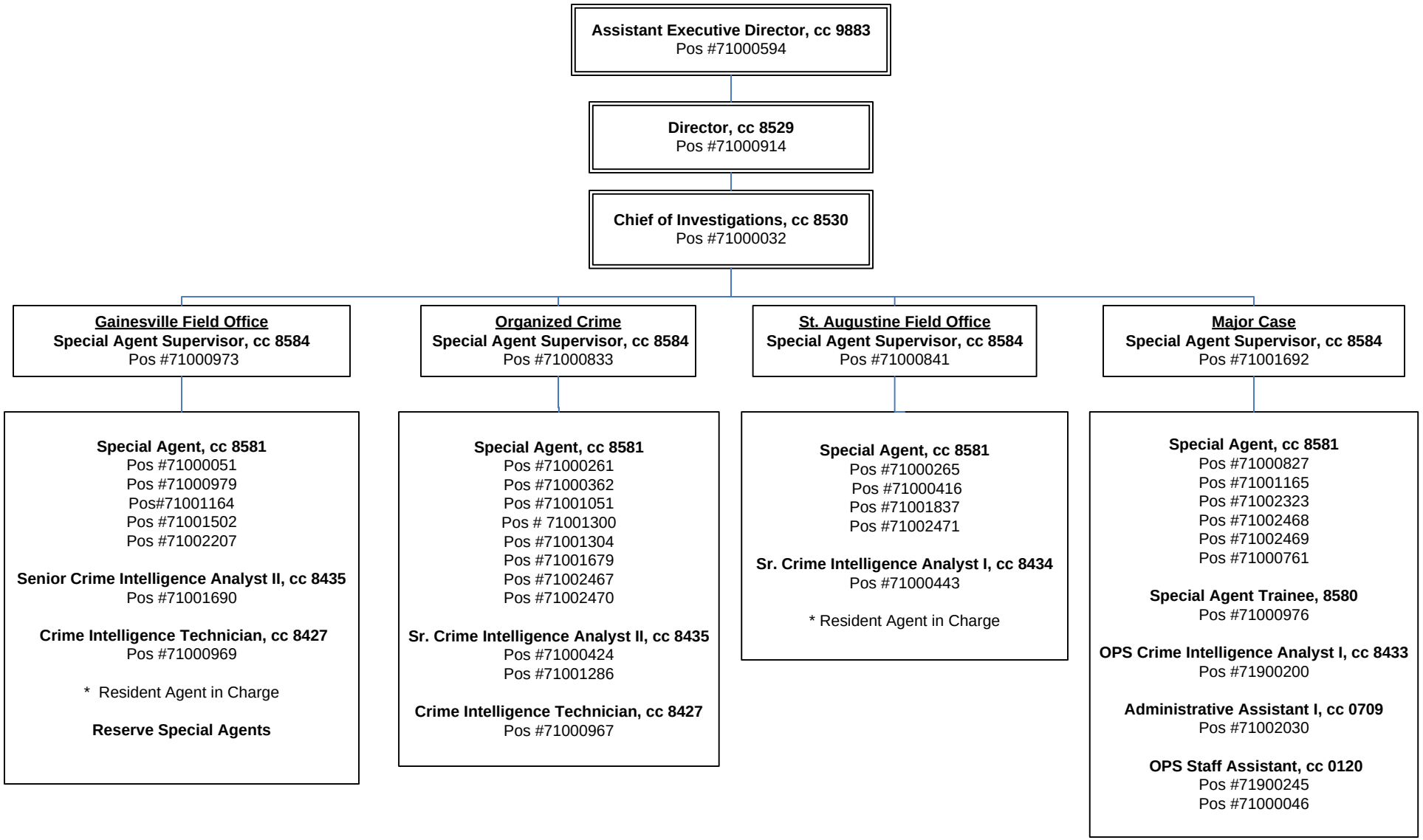
Florida Department of law Enforcement

Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Investigations



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Florida Department of law Enforcement

Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000914

Chief of Investigations, cc 8530
Pos #71000032

Cyber / ESST
Special Agent Supervisor, cc 8584
Pos #71001528

Special Agent, cc 8581
Pos #71000025
Pos #71000222
Pos #71000264
Pos #71000508
Pos #71002388

Senior Crime Intelligence Analyst II, cc 8435
Pos #71001167

Sr. Crime Intelligence Analyst I, cc 8434
Pos #71001657

Systems Prog Consultant, cc 2117
Pos #71000992

Data Processing Manager-SES, cc 2133
Pos #71000888
(on loan to ITS)

RDSTF
Special Agent Supervisor, cc 8584
Pos #71002331

Special Agent, cc 8581
Pos #71000371
Pos #71002044
Pos #71002045
Pos #71000020

Sr. Crime Intelligence Analyst II, cc 8435
Pos #71002048
Pos #71001521

Sr. Crime Intelligence Analyst I, cc8434
Pos #71001205

Crime Intelligence Technician, cc 8127
Pos #71000805

Research & Training Spec., cc 1334
Pos #71002046

Planner IV, cc 2322
Pos #71002282

OPS Planner IV, cc 2322
Pos #71900332

OPS Planning Consultant, cc 2336
Pos. #71900269

Counterterrorism
Special Agent Supervisor, cc 8584
Pos #71002043 Michael O'Neal

Special Agent, cc 8581
Pos #71000435
Pos #71002490
Pos #71002491
Pos # 71002492
Pos # 71002493
Pos #71002526

Sr. Crime Intelligence Analyst II, cc 8435
Pos # 71002494

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Forensic Services

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000100

Chemistry/Evidence

Crime Lab Analyst Supervisor, cc 8466
Pos #71000863

Staff Assistant, cc 0120
Pos #71000733

Chemistry
Senior Crime Lab Analyst, cc 8464
Pos #71001223
Pos #71001606

Crime Lab Analyst, cc 8463
Pos #71000650
Pos # 71000651
Pos #71000681
Pos #71002447

Forensic Technologist, cc 8459
Pos #71001775

Evidence Management
Crime Lab Technician, cc 8461
Pos #71000658
Pos #71000744
Pos #71001076
Pos #71001774

Latents/AFIS/ Photography

Crime Lab Analyst Supervisor, cc 8466
Pos #71000684

Latents
Senior Crime Lab Analyst, cc 8464
Pos #71000854
Pos #71001328

Crime Lab Analyst, cc 8463
Pos #71000096
Pos #71000869
Pos #71000874
Pos #71001225
Pos #71001625
Pos #71002220
Pos #71002445
Pos #71002446 r

Photography
Forensic Technologist, cc 8459
Pos #71001787

Crime Intelligence Analyst II, cc 8436
Pos #71000397
Position on loan to IFS/Fusion Center

Crime Scene/ Firearms

Crime Lab Analyst Supervisor, cc 8466
Pos #71001333

Crime Scene
Senior Crime Lab Analyst, cc 8464
Pos #71000705
Pos #71001631

Crime Lab Analyst, cc 8463
Pos #71000177

Forensic Technologist, cc 8459
Pos #71000092

Firearms
Senior Crime Lab Analyst, cc 8464
Pos #71001630
Pos #71002219

Crime Lab Analyst, cc 8463
Pos #71000649
Pos #71000667
Pos #71001258
Pos #71002354

Forensic Technologist, cc 8459
Pos #71000745

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Florida Department of Law Enforcement

Investigations & Forensic Science Program
Jacksonville Regional Operations Center
Forensic Services

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000100

Biology

Crime Lab Analyst Supervisor, cc 8466
Pos #71000714

Senior Crime Lab Analyst, cc 8464
Pos #71000682
Pos #71001632
Pos #71001766
Pos #71002165

Crime Lab Analyst, cc 8463
Pos #71000707
Pos #71001612
Pos #71001634
Pos #71001776
Pos #71002221
Pos #71002510

Forensic Technologist, cc 8459
Pos #7101593

OPS Forensic Technologist, cc 8459
Pos #71900268

Crime Lab Technician, cc 8462
Pos #71002164

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

Biology

Crime Lab Analyst Supervisor, cc 8466
Pos #71001261

Senior Crime Lab Analyst, cc 8464
Pos #71001074

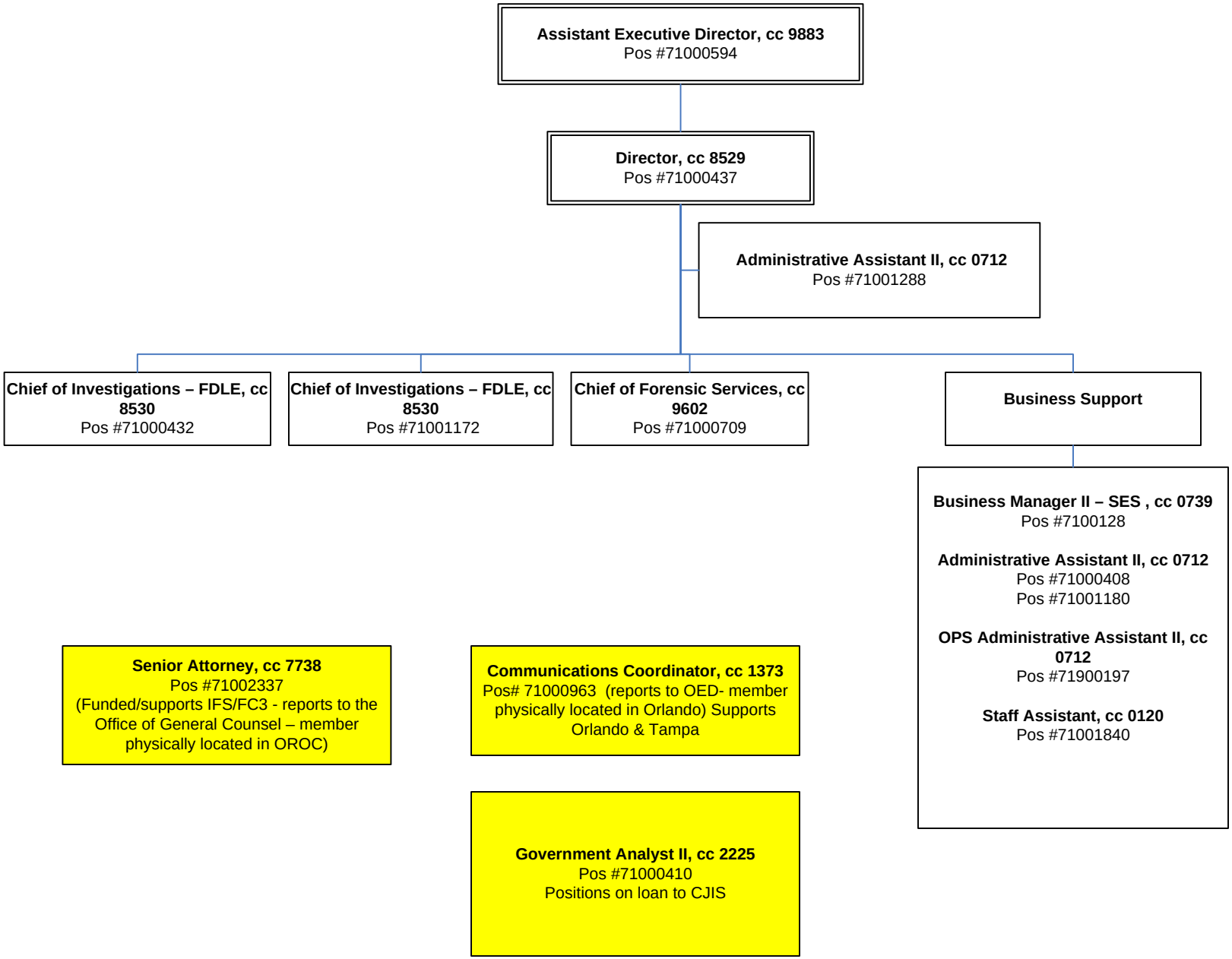
Crime Lab Analyst, cc 8463
Pos #71000659
Pos #71000687
Pos #71000739
Pos #71001073
Pos #71001633
Pos #71001765
Pos #71001999
Pos #71002355

Forensic Technologist, cc 8459
Pos #71001773
Pos #71001128
Pos #71001586
Pos #71002166

10/17/2018

Florida Department Of Law Enforcement

Investigations & Forensic Science Program
Orlando Regional Operations Center



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Florida Department of Law Enforcement

Investigations & Forensic Science Program
Orlando Regional Operations Center

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000437

Chief of Investigations – FDLE, cc 8530
Pos #71001172

Counterterrorism
Special Agent Supervisor, cc 8584
Pos #71000336

Special Agent, cc 8581
Pos #71002497
Pos #71002498
Pos #71002502
Pos #71002500
Pos #71002499
Pos #71002501

Sr. Crime Intelligence Analyst II, cc 8435
Pos #71002503

Crime Intelligence Analyst I, cc 8433
Pos #71000524

Crime Intelligence Analyst II, 8436
Pos #71000027

ESST
Special Agent Supervisor, cc 8584
Pos #71000055

Special Agent, cc 8581
Pos #71000472
Pos #71001823
Pos #71000816
Pos #71002484

Sr. Crime Intelligence Analyst II, cc 8435
Pos #71001838
Pos #71001313

ESST Task Force Agents

Cyber
Special Agent Supervisor, cc 8584
Pos #71000227

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

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

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

Cyber Task Force Agents

Organized Crime 2
Special Agent Supervisor, cc 8584
Pos # 71002488

Special Agent, cc 8581
Pos #71000242
Pos #71001001
Pos #71000085
Pos #71000221
Pos #71001833
Pos #71002051
Pos #71001505
Pos #71000935

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

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

Sr. Crime Intelligence Analyst I, cc 8434
Pos #71000989

Crime Intelligence Analyst II, cc 8436
Pos #71001839

Crime Intelligence Analyst I, cc 8433
Pos #71000566
Pos #71001222

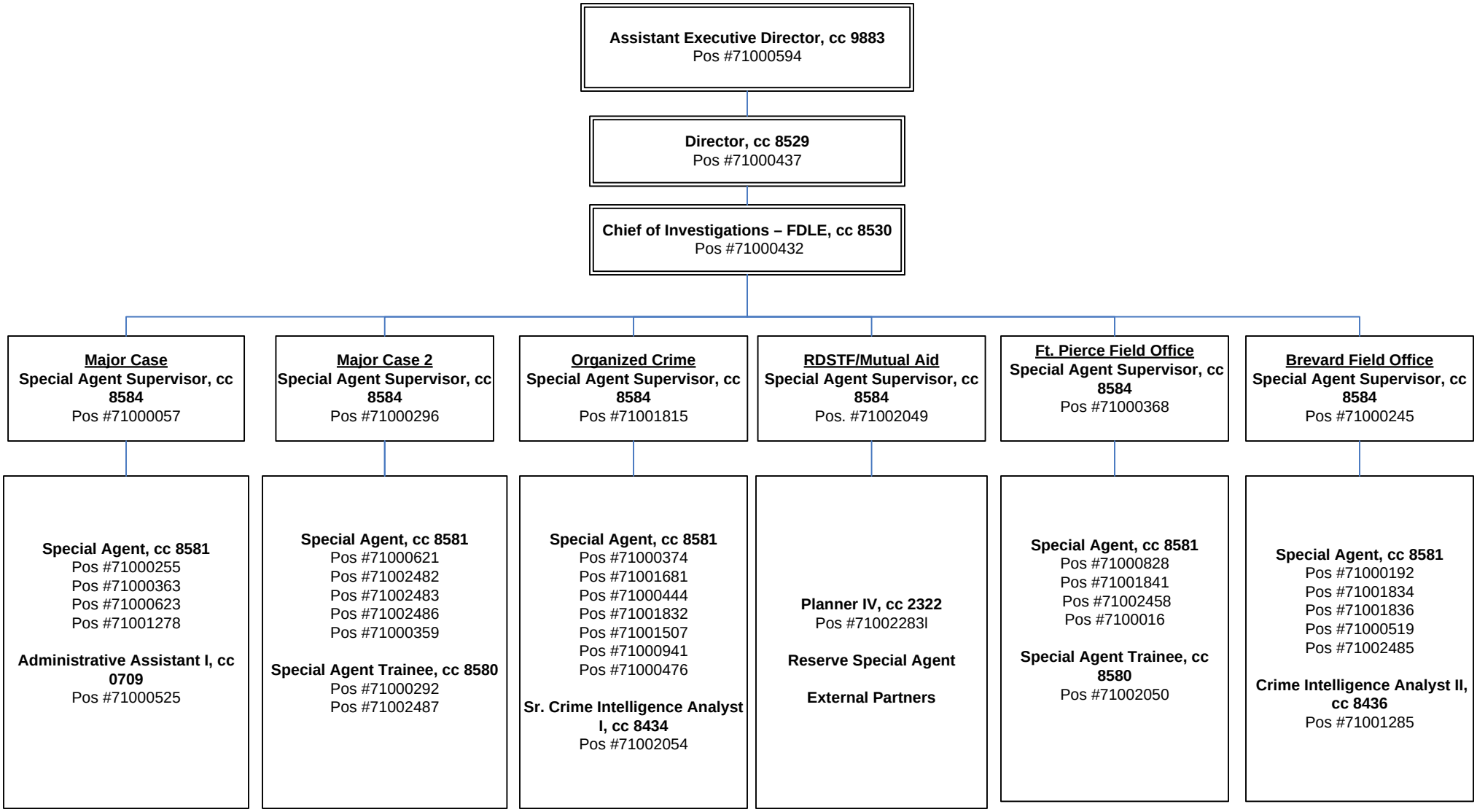
Government Analyst II, cc 2225
Pos #71000698
Funded/reports to CJP – supports OROC

Systems Programmer I, cc 2111
Pos #71000233

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

10/17/2018

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



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

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000709

Senior Crime Lab Analyst, cc 8464
Pos #71001622

Evidence

Crime Lab Analyst Supv, cc 8466
Pos #71001365

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

Chemistry

Crime Lab Analyst Supv, cc 8466
Pos #71000641

Senior Crime Lab Analyst, cc 8464
Pos #71001260
Pos #71001363
Pos #71001623
Pos #71001078
Pos #71002211
Pos #71001624

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

Forensic Technologist, cc 8459
Pos #71000074

Trace Evidence

Crime Lab Analyst Supv, cc 8466
Pos #71000740

Senior Crime Lab Analyst, cc 8464
Pos #71001083
Pos #71001472
Pos #71001085
Pos #71000867

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

Forensic Technologist cc 8459
Pos #71000665
Pos #71001596
Pos #71001551

Firearms

Crime Lab Analyst Supv, cc 8466
Pos #71000721

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

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

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

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

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000709

Biology / DNA

Crime Lab Analyst Supv, cc 8466
Pos #71001084

Senior Crime Lab Analyst, cc 8464
Pos. #71000859

Crime Lab Analyst, cc 8463
Pos #71000088
Pos #71001126
Pos #71001336
Pos #71002217
Pos #71002214
Pos #71000648
Pos #71001581
Pos #71001767

Forensic Technologist, cc 8459
Pos #71001780
Pos #71001548
Pos #71001777

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

Crime Lab Analyst Supv, cc 8466
Pos #71000752

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

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

Forensic Technologist, cc 8459
Pos #71002171 y
Pos #71001481

OPS Forensic Technologist, cc 8459
Pos #71900274

Crime Lab Analyst Supv, cc 8466
Pos #71002172

Senior Crime Lab Analyst, cc 8464
Pos #71000174
Pos #71001362
Pos #71002215
Pos #71000711

Crime Lab Analyst, cc 8463
Pos #71001618
Pos #71002347
Pos #71001626
Pos #71001769
Pos #7100732

Forensic Technologist cc 8459
Pos #71000104
Pos #71001598
Pos #71001544
Pos #71001580

Toxicology

Crime Lab Analyst Supv, cc 8466
Pos #71000655

Senior Crime Lab Analyst, cc 8464
Pos #71000646
Pos #71000866
Pos #71001329
Pos #71001213

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

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

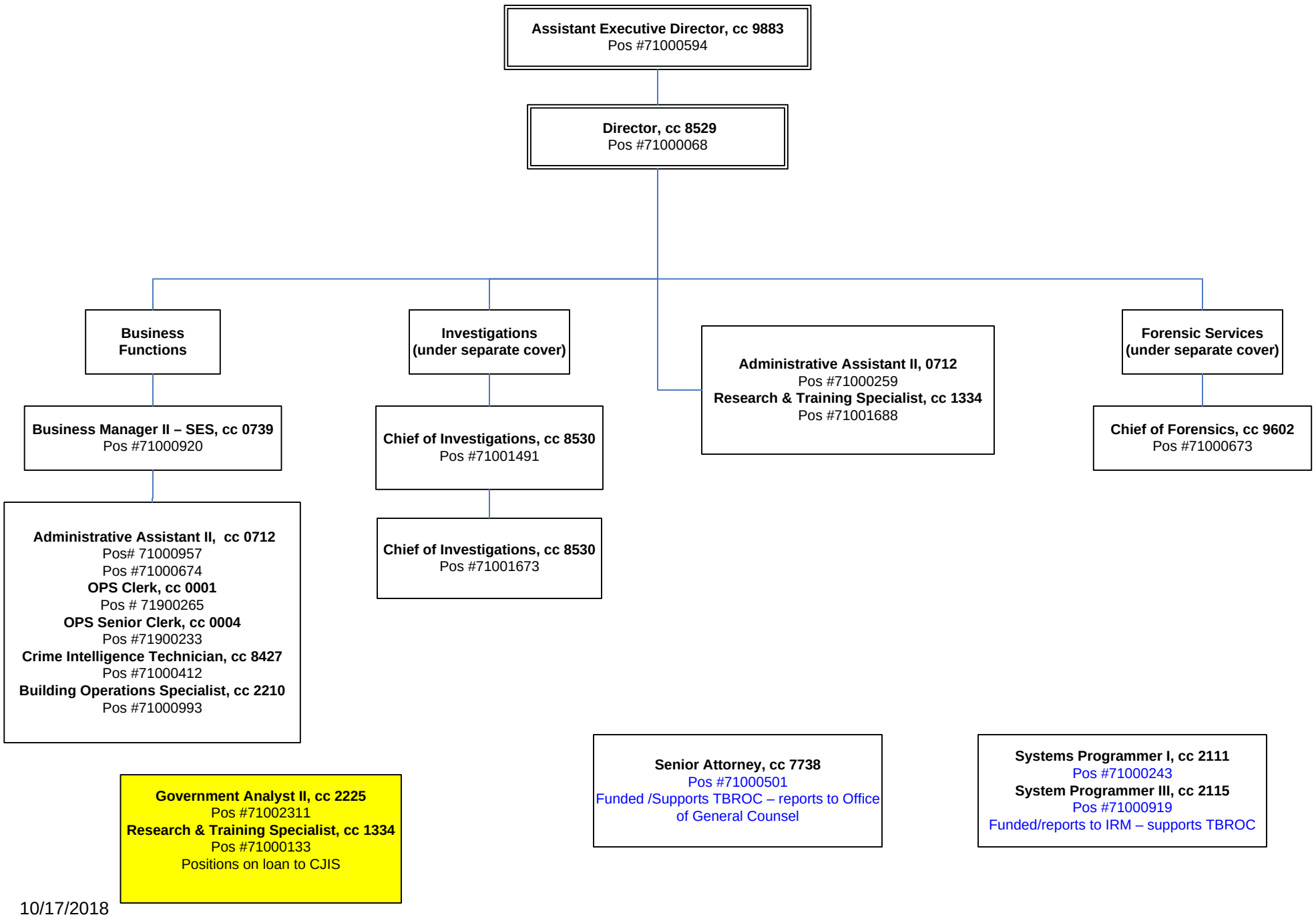
OPS Staff Assistant, cc 0120
Pos #71900291

OPS Clerk Specialist, cc 0003
Pos #71900120

10/17/2018

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Tampa Regional Operations Center



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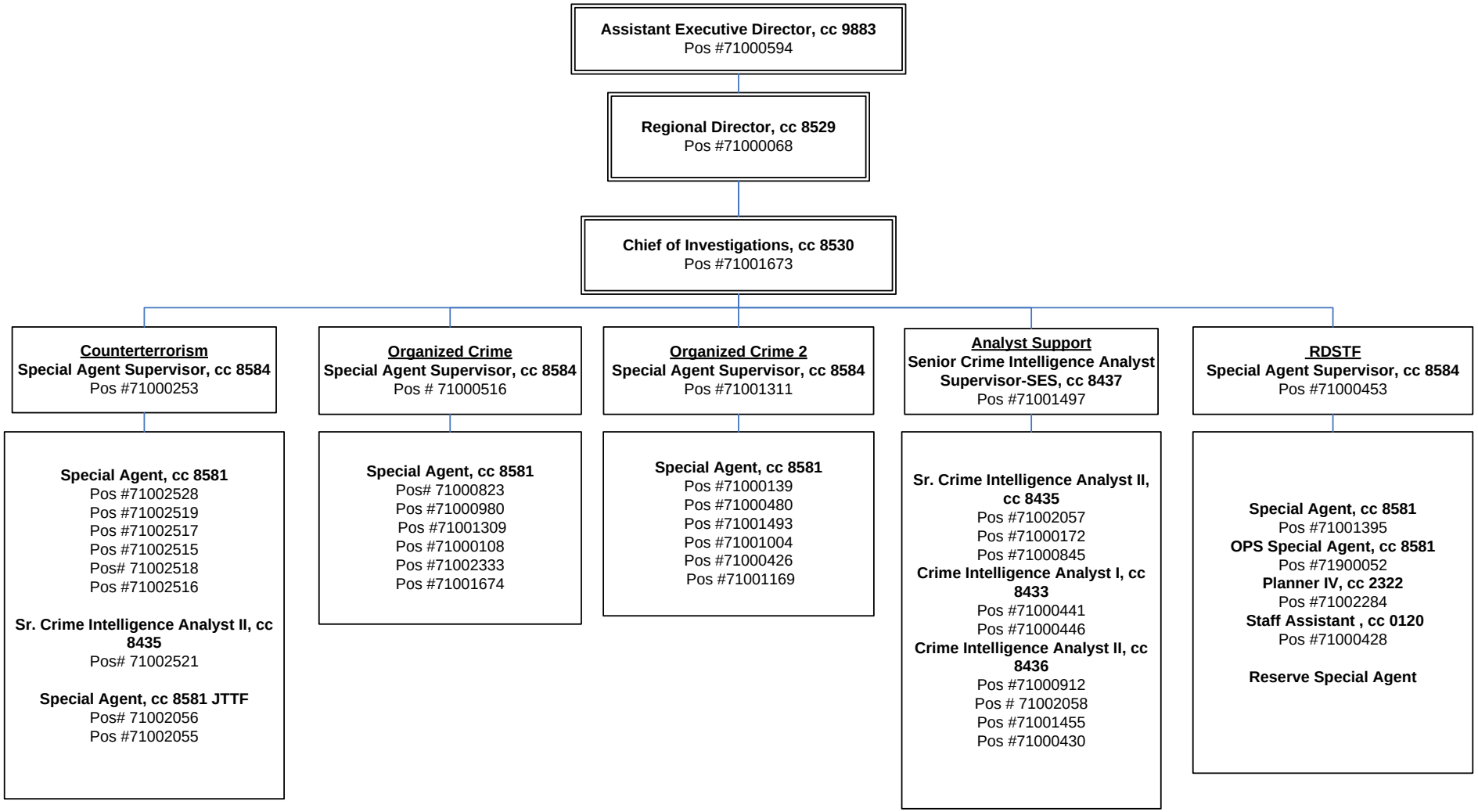
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Tampa Regional Operations Center

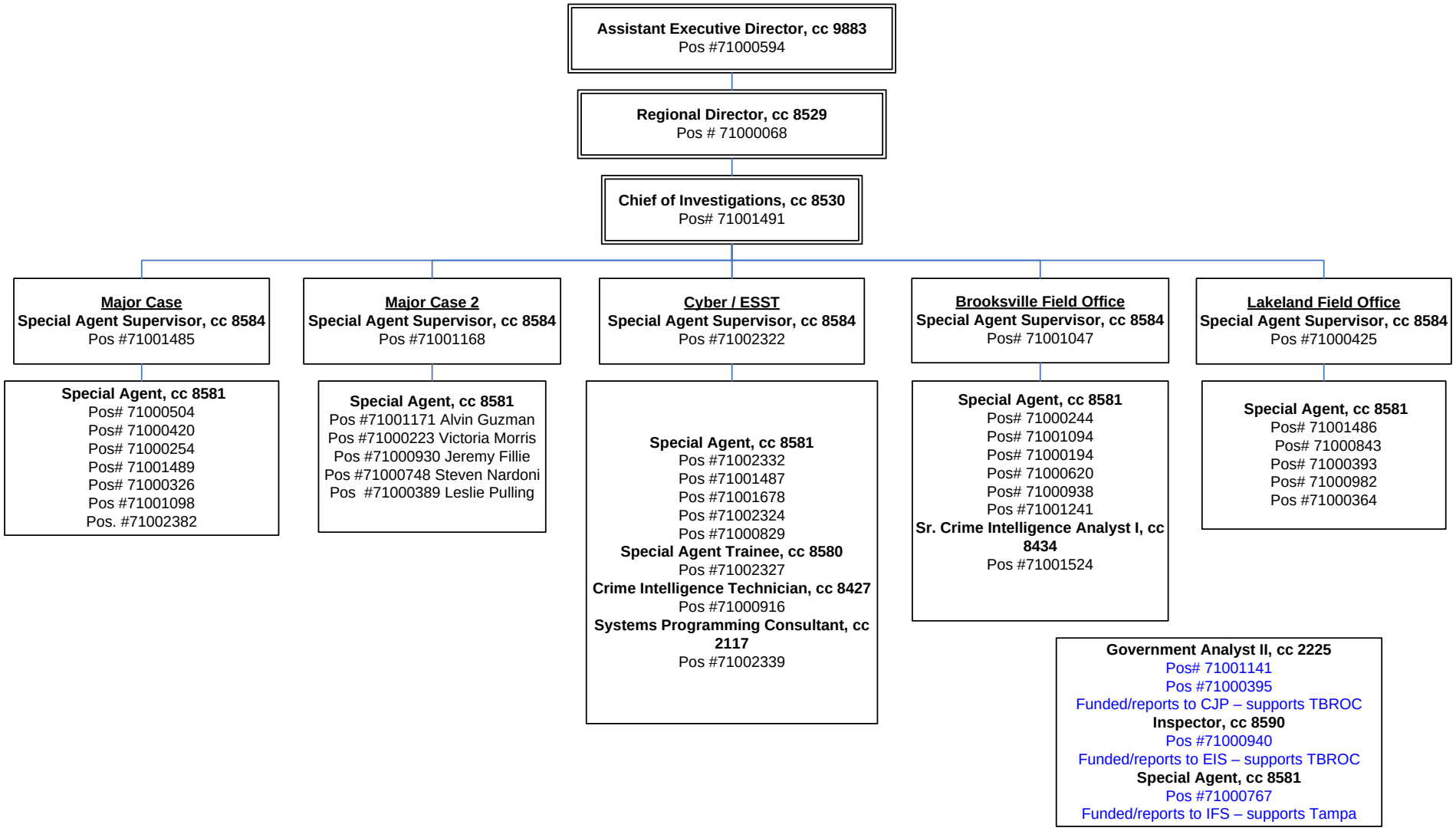


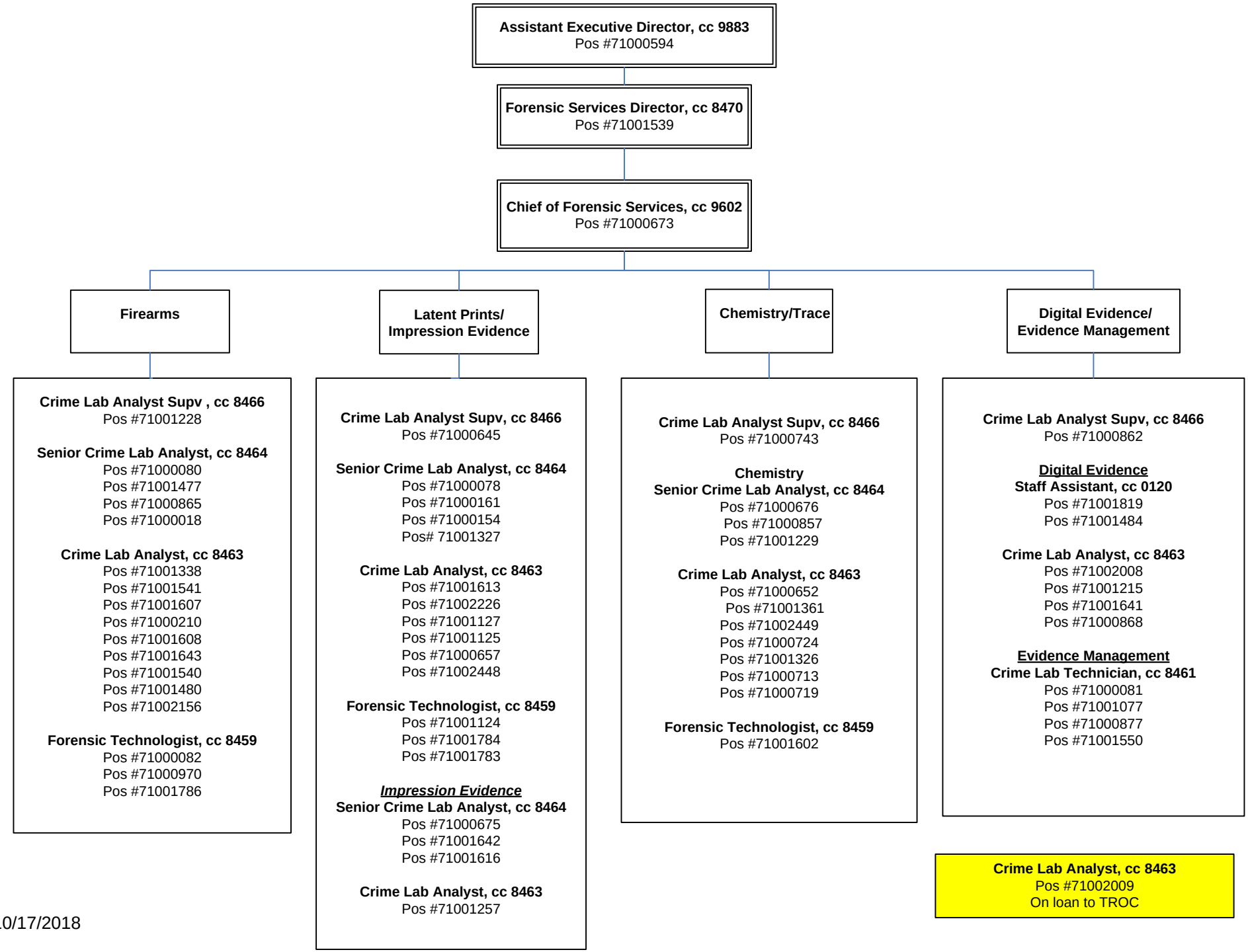
Special Agent Chief Pilot, cc 8581
Pos #71001170
On loan to HQ/IFS

Florida Department of Law Enforcement

Investigations & Forensic Science Program

Tampa Regional Operations Center




Assistant Executive Director, cc 9883
Pos #71000594
Forensic Services Director, cc 8470
Pos #71001539
Chief of Forensic Services, cc 9602
Pos #71000673
Firearms
Latent Prints/ Impression Evidence
Chemistry/Trace
Digital Evidence/ Evidence Management
Crime Lab Analyst Supv , cc 8466
Pos #71001228
Senior Crime Lab Analyst, cc 8464
Pos #71000080
Pos #71001477
Pos #71000865
Pos #71000018
Crime Lab Analyst, cc 8463
Pos #71001338
Pos #71001541
Pos #71001607
Pos #71000210
Pos #71001608
Pos #71001643
Pos #71001540
Pos #71001480
Pos #71002156
Forensic Technologist, cc 8459
Pos #71000082
Pos #71000970
Pos #71001786
Crime Lab Analyst Supv, cc 8466
Pos #71000645
Senior Crime Lab Analyst, cc 8464
Pos #71000078
Pos #71000161
Pos #71000154
Pos# 71001327
Crime Lab Analyst, cc 8463
Pos #71001613
Pos #71002226
Pos #71001127
Pos #71001125
Pos #71000657
Pos #71002448
Forensic Technologist, cc 8459
Pos #71001124
Pos #71001784
Pos #71001783
Impression Evidence
Senior Crime Lab Analyst, cc 8464
Pos #71000675
Pos #71001642
Pos #71001616
Crime Lab Analyst, cc 8463
Pos #71001257
Crime Lab Analyst Supv, cc 8466
Pos #71000743
Chemistry
Senior Crime Lab Analyst, cc 8464
Pos #71000676
Pos #71000857
Pos #71001229
Crime Lab Analyst, cc 8463
Pos #71000652
Pos #71001361
Pos #71002449
Pos #71000724
Pos #71001326
Pos #71000713
Pos #71000719
Forensic Technologist, cc 8459
Pos #71001602
Crime Lab Analyst Supv, cc 8466
Pos #71000862
Digital Evidence
Staff Assistant, cc 0120
Pos #71001819
Pos #71001484
Crime Lab Analyst, cc 8463
Pos #71002008
Pos #71001215
Pos #71001641
Pos #71000868
Evidence Management
Crime Lab Technician, cc 8461
Pos #71000081
Pos #71001077
Pos #71000877
Pos #71001550
Crime Lab Analyst, cc 8463
Pos #71002009
On loan to TROC

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

Assistant Executive Director, cc 9883
Pos #71000594

Forensic Services Director, cc 8470
Pos #71001539

Chief of Forensic Services, cc 9602
Pos #71000673

BIOLOGY

Crime Lab Analyst Supervisor, cc 8466
Pos #71002154

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

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

Forensic Technologist, cc 8459
Pos #71000668
Pos #71002158

Crime Lab Analyst Supervisor, cc 8466
Pos #71001479

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

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

Forensic Technologist, cc 8459
Pos #71002155
Pos #71001068

OPS Forensic Technologist, cc 8459
Pos #71900383

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

Crime Lab Analyst Supervisor, cc 8466
Pos #71001220

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

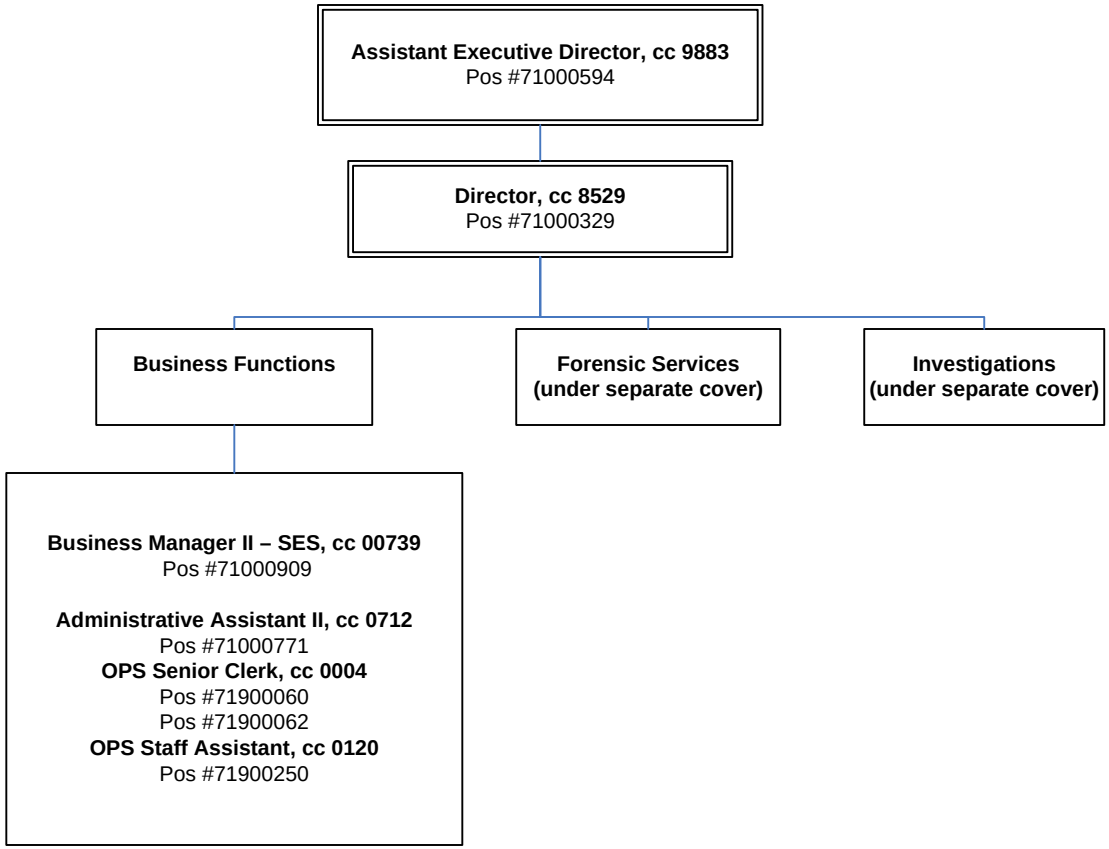
Crime Lab Analyst, cc 8463
Pos #71000603
Pos #71000861
Pos #71001772
Pos #71002225
Pos #71002524
Pos #71001604
Pos #71002523 Sweta DiMartino

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

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

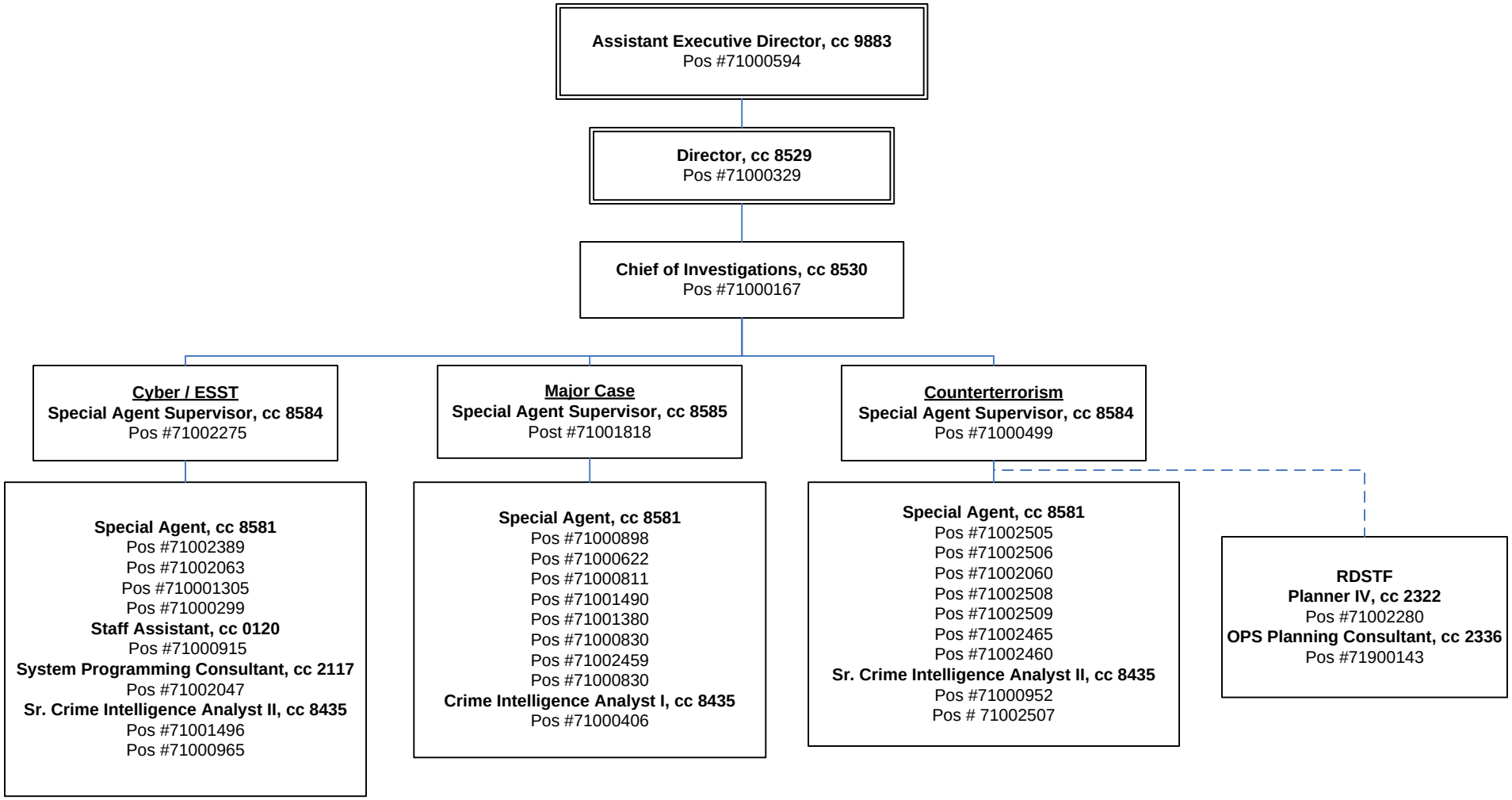
10/17/2018

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



Florida Department of Law Enforcement

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



10/17/2018

Florida Department of Law Enforcement

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

Assistant Executive Director, cc 9883
Pos #71000594

Director, cc 8529
Pos #71000329

Chief of Investigations, cc 8530
Pos #71000167

Administrative Assistant II, cc 0712
Pos #71000269

Sebring Field Office
Special Agent Supervisor, cc 8584
Pos #7100834

Special Agent, cc 8581
Pos #71001492
Pos #71000230
Pos #71000936
Pos #71000320
Pos #71001048
Pos #71002464
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71001166

Organized Crime
Special Agent Supervisor, cc 8584
Pos #71001097

Special Agent, cc 8581
Pos #71000836
Pos #71000262
Pos #71001676
Pos #71002461
Pos #71001057

Sr. Crime Intelligence Analyst I, cc 8434
Pos #71000535

Sarasota Field Office
Special Agent Supervisor, cc 8584
Pos #71000224

Special Agent, cc 8581
Pos #71001275
Pos #71000807
Pos #71001308
Pos #71000765
Pos #71000983

Inspector, cc 9384
Pos # 71002059
Systems Programmer III, cc 2115
Pos #71001693
Distributed Computer Systems Specialist, cc 2050
Pos #71000891
Funded/reports to ITS-Supports FMROC
Government Analyst II, cc 2225
Pos #71000605
Pos #71001140
Pos #71000797
Funded/reports to CJP-supports FMROC

Government Analyst II, cc 2225
Pos #71000632
On loan to CJIS from CJP
(Information Delivery Team (IDT) – CJIS)

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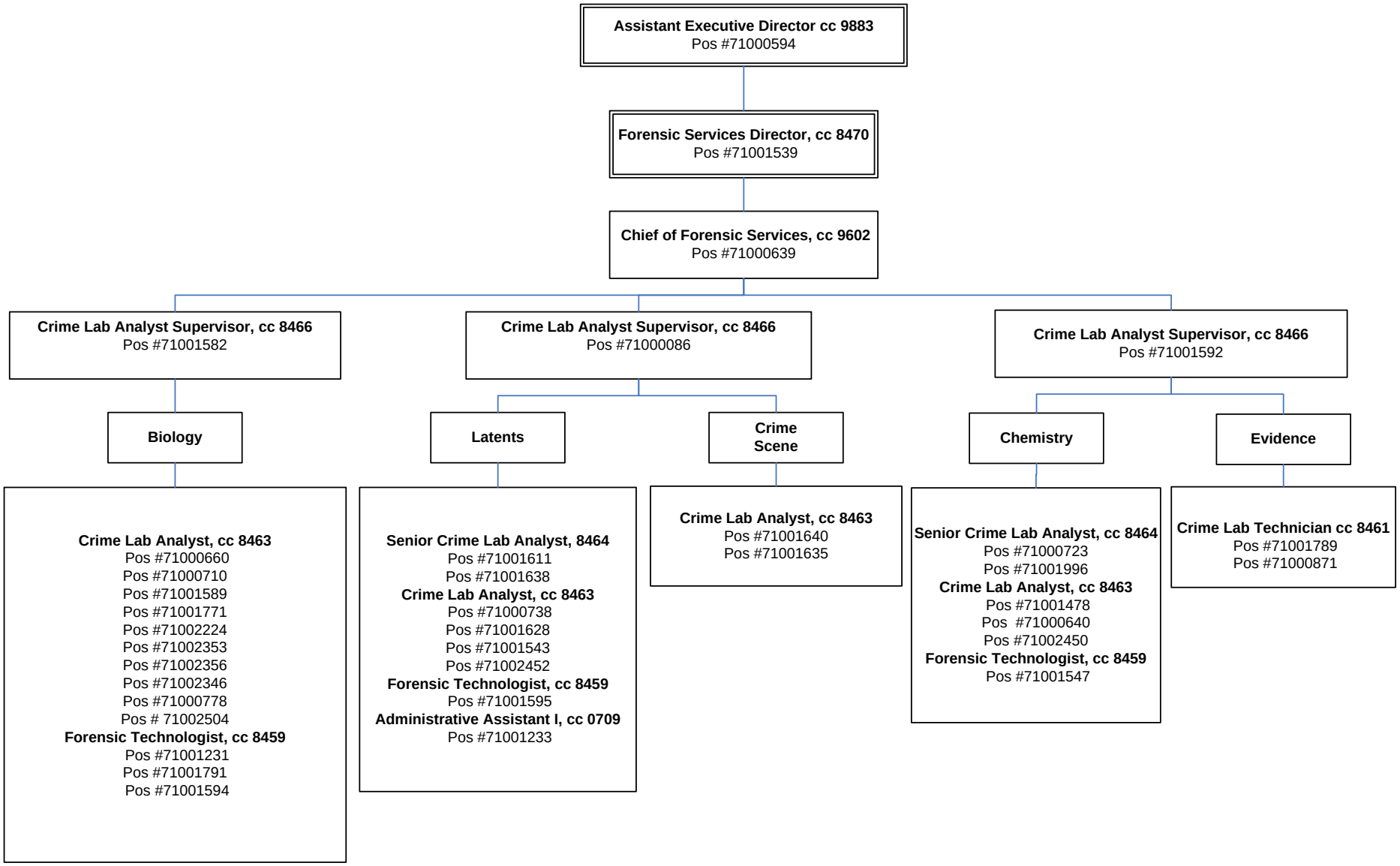
Florida Department of Law Enforcement
Investigations & Forensic Science Program
Ft. Myers Regional Operations Center
Forensic Services



10/17/2018

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director – FDLE, cc 8529
Pos #71000024

Administrative Assistant II, 0712
Pos #71001314

Information Services IT & Training

Research & Training Specialist, cc 1334
Pos # 71001408
Administrative Assistant I, cc 0709
Pos # 71000239
OPS Staff Assistant, cc 0120
Pos #71900336

Chief of Investigations – FDLE, cc 8530
Pos #71001006

Chief of Investigations, cc 8530
Pos #71000962

Business Manager II – SES, cc 0739
Pos #71000241

Business Office

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

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

Sr. Management Analyst Supervisor – SES, cc 2228
Pos #71000317
Research & Training Specialist, cc 1334
Pos #71002064
(Funded from IFS Program Director's Office – reports to CJIS – members physically located in MROC)
Criminal Justice Info Consultant II, cc 7772
Pos #71000632
(Member physically located in FMROC)

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

10/17/2018

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director – FDLE, cc 8529
Pos #71000024

Chief of Investigations – FDLE, cc 8530
Pos #71001006

RDSTF
Special Agent Supervisor, cc 8584
Pos #71000035

Special Agent, cc 8581
Pos #71001182
Pos #71002539
Planner IV, cc 2322
Pos #71002281
Crime Intelligence Analyst I, cc8433
Pos #71002066

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

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

Counterterrorism
Special Agent Supervisor, cc 8584
Pos #71002540

Senior Crime Intelligence Analyst II, cc 8435
Pos #71002544
Crime Intelligence Analyst II, cc 8436
Pos #71000138
Special Agent, cc 8581
Pos #71000398
Pos #71000939
Pos #71001393
Pos #71001826
Pos #71002335
Pos #71002536
Pos #71002537
Pos #71002538
Pos #71002541
Pos #71002542
Pos #71002543
Pos #71002548

Inspector, cc 8590
Pos #71001310
Funded/reports to EIS – supports Miami

10/17/2018

Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations

Assistant Executive Director, cc 9883
Pos #71000594

Director – FDLE, cc 8529
Pos #71000024

Chief of Investigations, cc 8530
Pos #71001006

Organized Crime
Special Agent Supervisor, cc 8584
Pos #71001389

Special Agent, cc 8581
Pos #71000060
Pos #71000455
Pos #71001500
Pos #71001058
Pos #71001824

Organized Crime 2
Special Agent Supervisor, cc 8584
Pos #71001091

Special Agent, cc 8581
Pos #71000825
Pos #71000840
Pos #71001503
Pos #71001829

Reserve Special Agents

Cyber / ESST
Special Agent Supervisor, cc 8584
Pos #71001306

Special Agent, cc 8581
Pos #71000225
Pos #71002326
Pos #71002328
Pos #71002330
Pos #71002383
Special Agent Trainee, cc 8580
Pos # 71001501
Sr. Crime Intelligence Analyst I, cc 8434
Pos #71002340
Systems Programming Consultant, cc 2117
Pos #71002065

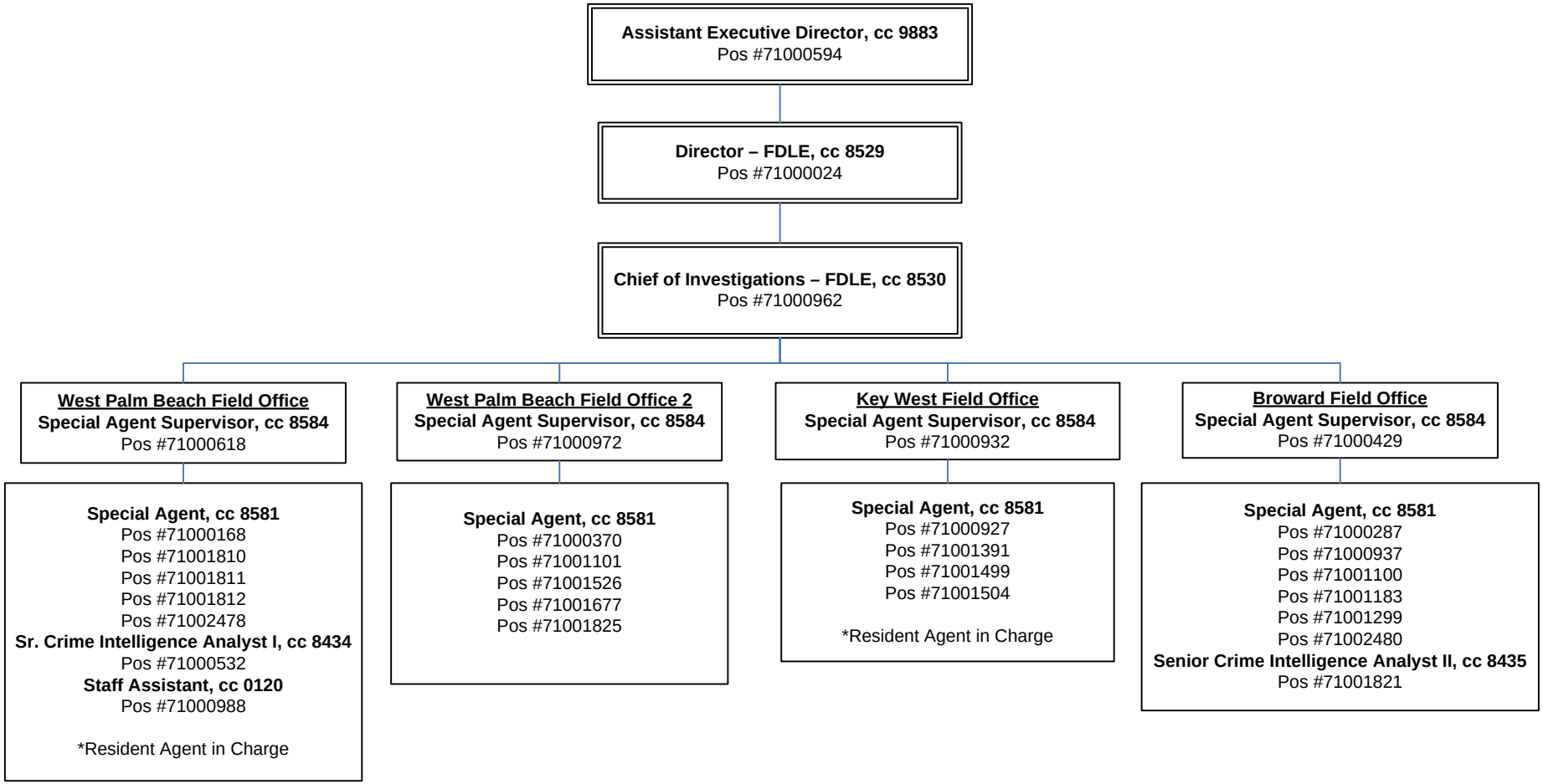
Government Analyst II, cc 2225
Pos #71000768
Funded/Reports to CJP – supports MROC

Special Agent, cc 8581
Pos 71000156
Position on loan to OED/POS

10/17/2018

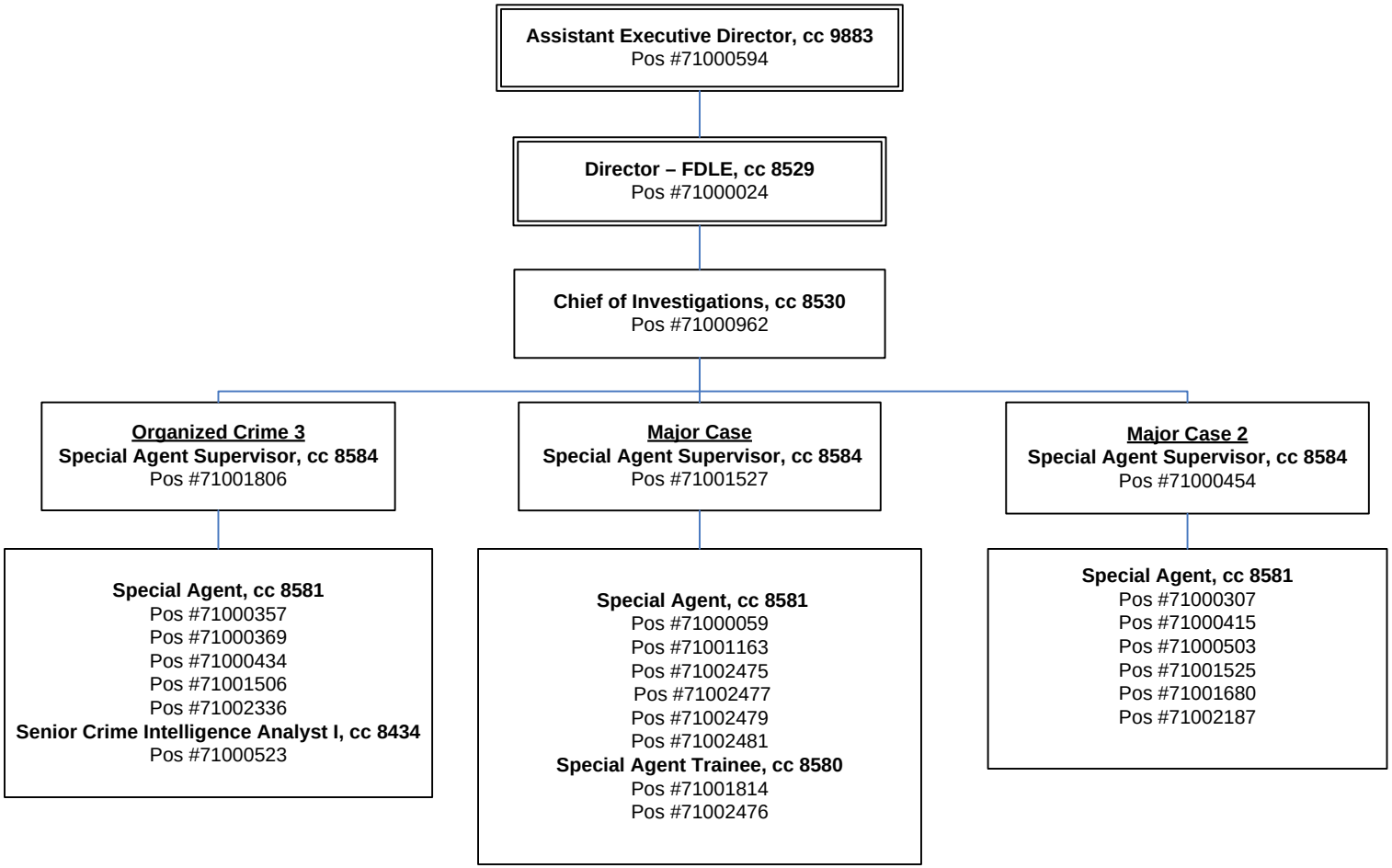
Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations



Florida Department of Law Enforcement

Investigations & Forensic Science Program
Miami Regional Operations Center
Investigations



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

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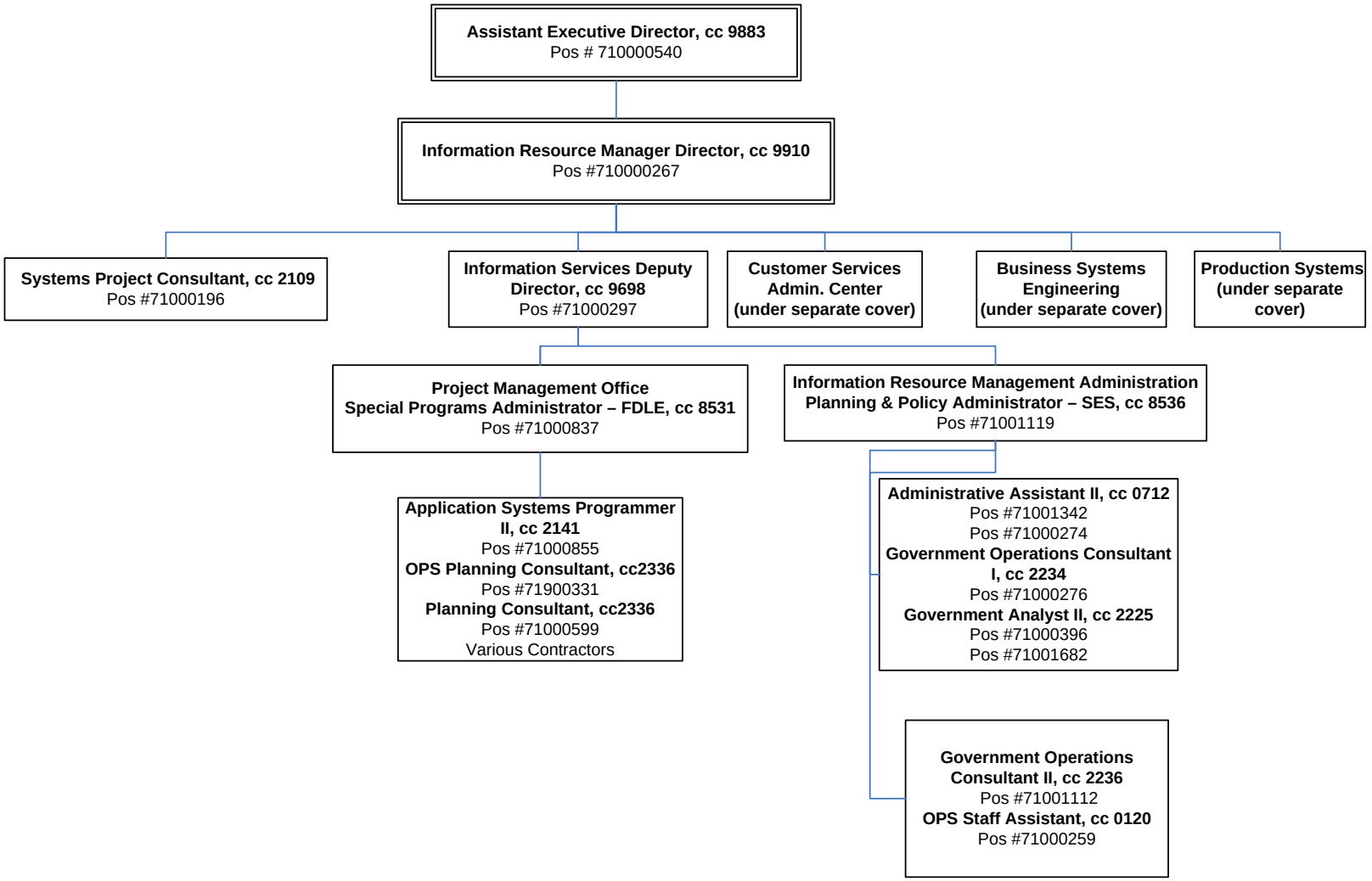
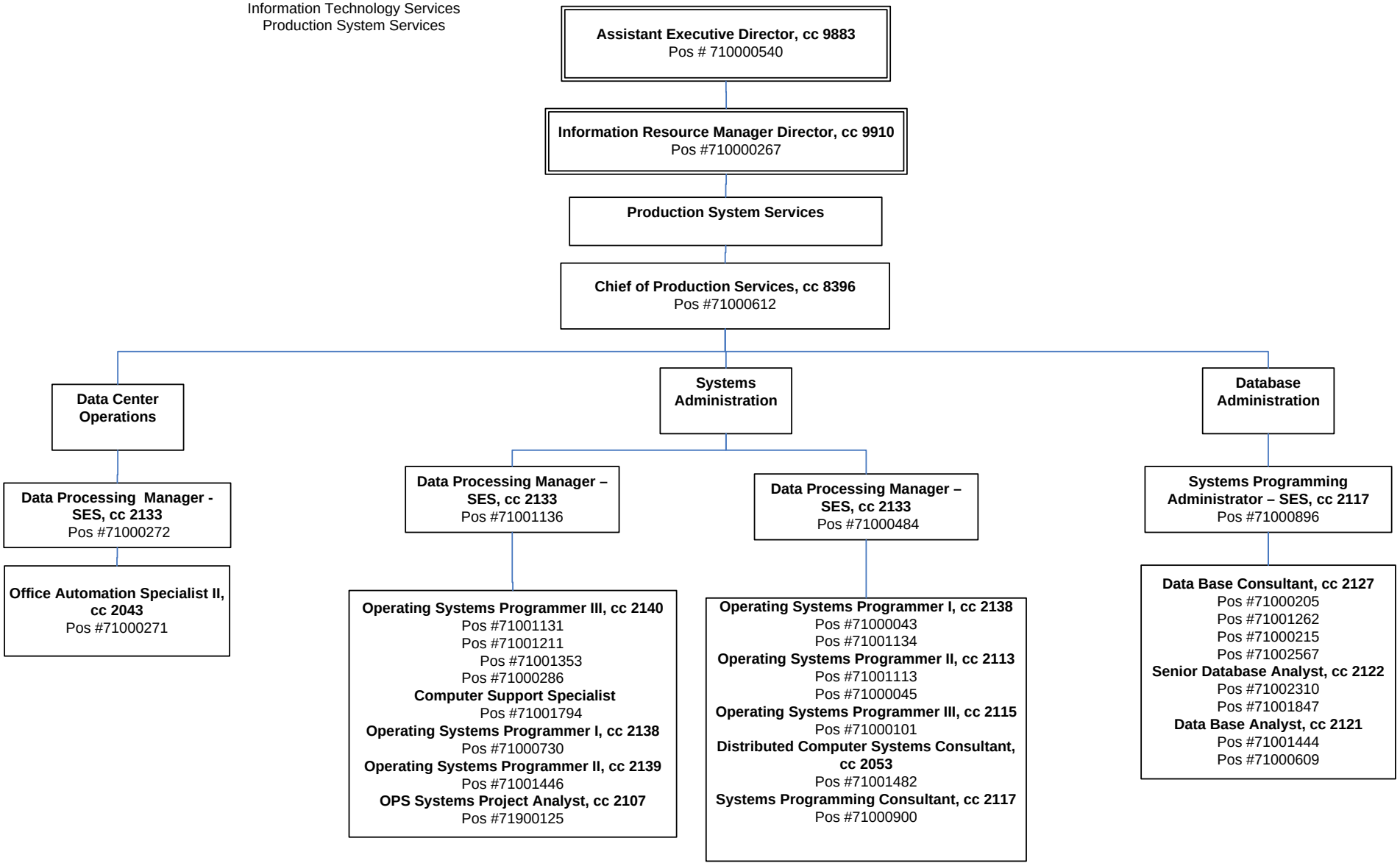
Florida Department of Law Enforcement
Information Technology Services



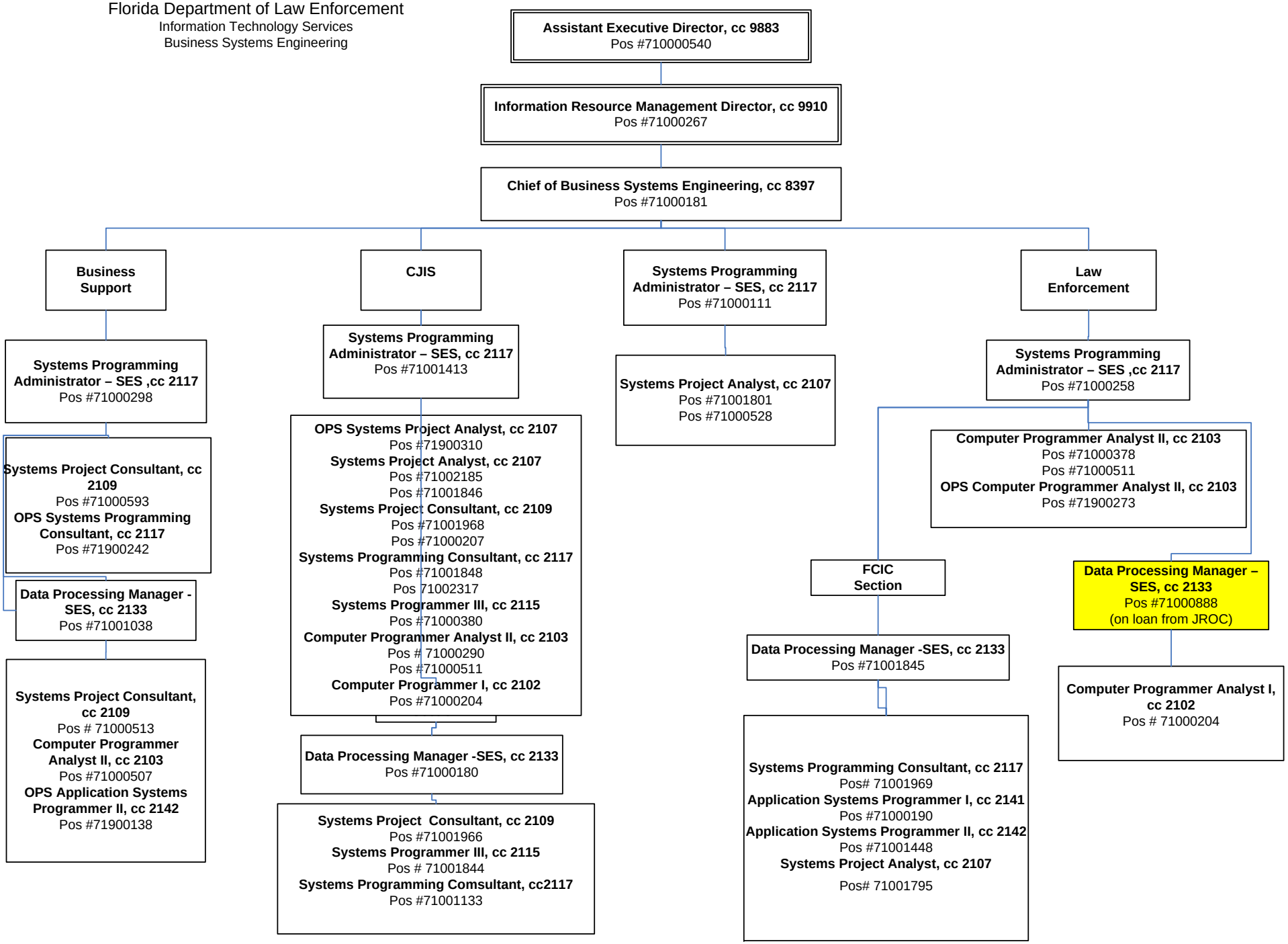
10/17/2018

Florida Department of Law Enforcement
Information Technology Services
Production System Services



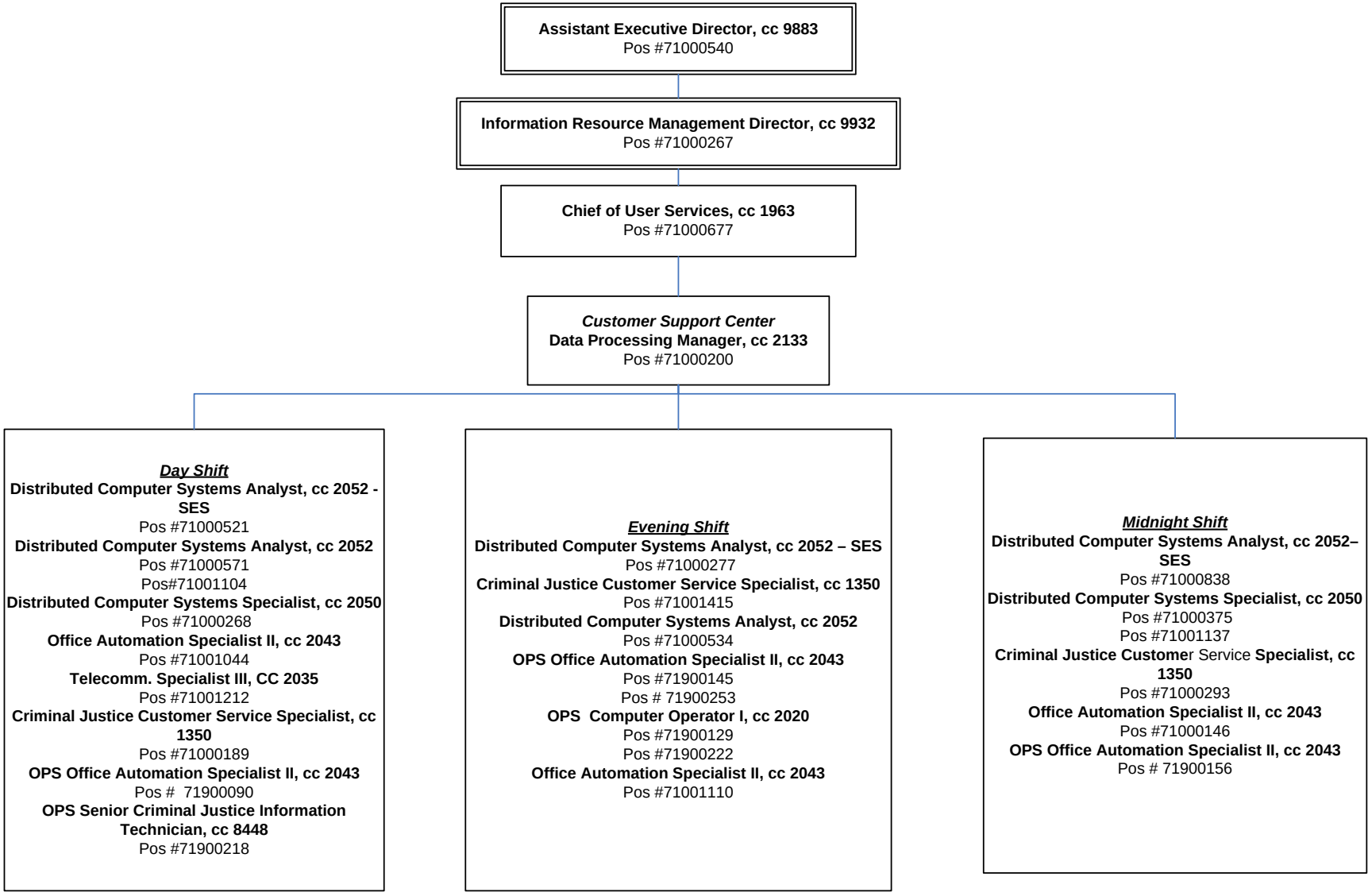
10/17/2018

Florida Department of Law Enforcement
Information Technology Services
Business Systems Engineering



10/17/2018

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



10/17/2018

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

Assistant Executive Director, cc 9883
Pos #71000540

Information Resource Management Director, cc 9932
Pos #71000267

Chief of User Services, cc 1963
Pos #71000677

Regional System Administration
Data Processing Manager, cc 2133
Pos #71000005

Funded/Reports to ITS/Supports:
Pensacola
Systems Programmer III, cc 2115
Pos #71001339
Distributed Computer Systems Specialist, cc 2050
Pos #71001967
OPS Telecommunications Systems Consultant II, cc 6582
Pos #71900266
Jacksonville
Systems Programmer III, cc 2115
Pos #71001452
Systems Programmer I, cc 2111
Pos #71000233
Tampa
Systems Programmer III, cc 2115
Pos #71000919
Systems Programmer I, cc 2111
Pos #71000243
Orlando
Systems Programmer I, cc 2111
Pos #71000796
Systems Programmer III, cc 2115
Pos #71000295
Miami
Systems Programmer III, cc 2115
Pos #71000228
Pos #71000034
FMROC
Systems Programmer III, cc 2115
Pos #71001693
Distributed Computer Systems Specialist, cc 2050
Pos #71000891
These positions are under Regional Systems Administration in the Regional Offices

Network Management
Data Processing Manager-SES, cc 2133
Pos #71002014

Application Systems Programmer II, cc 2142
Pos #71002013
Pos #71000212
Application Systems Programmer III, cc 2143
Pos #71000529
Pos #71001685
Network Systems Analyst, cc 2120
Pos # 71000804
Telecommunications Systems Specialist III, cc 2035
Pos #71000489

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

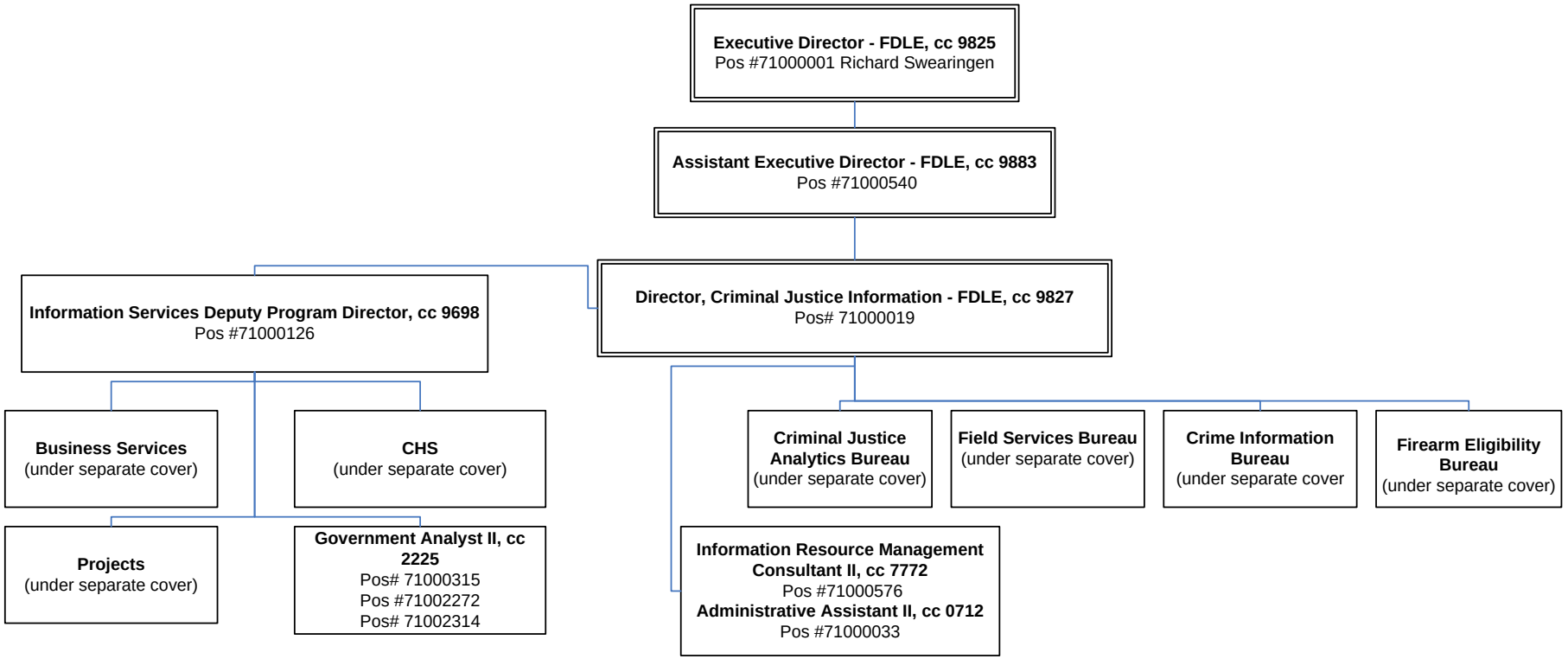
Distributed Computer Systems Analyst, cc 2052
Pos #71000750
Pos #71001355
Pos #71000206
OPS Distributed Computer Systems Analyst, cc 2052
Pos #71900244
Distributed Computer Systems Specialist, cc 2050
Pos # 71001113
Telecommunications Systems Specialist III, cc 2035
Pos #71000325
Systems Programmer I, cc 2111
Pos #71000786
Pos #71000699
Systems Programmer III, cc 2115
Pos #71000284
Pos#71000999

Systems Programmer II, cc 2113
Pos #71002146
Systems Programmer I, cc 2111
Pos #71002119

On loan to ITS from Cap. Police

10/17/2018

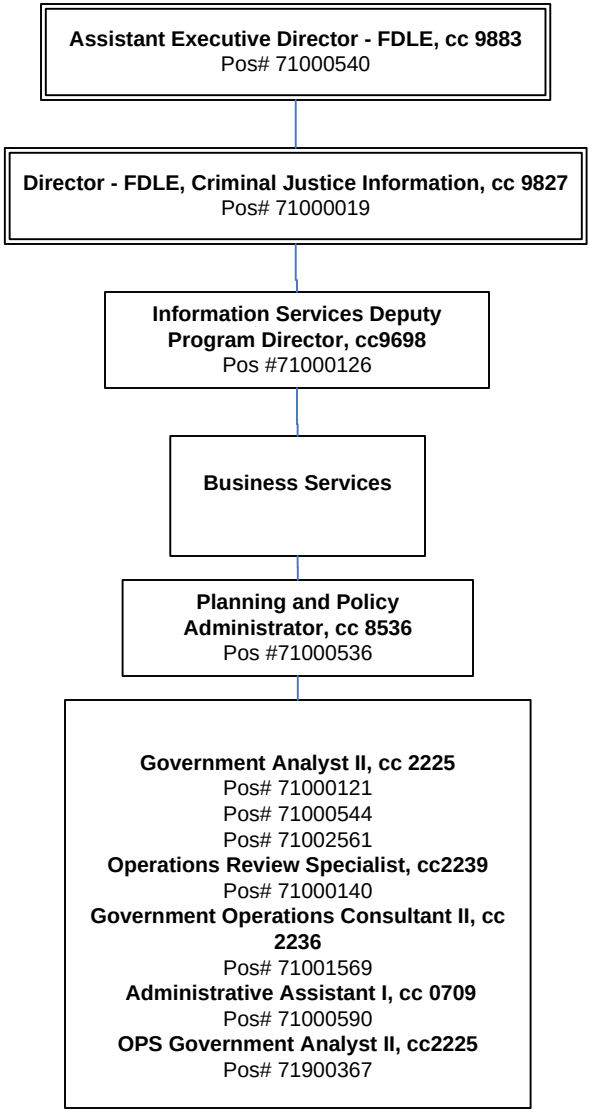
Florida Department of Law Enforcement
Criminal Justice Information Services



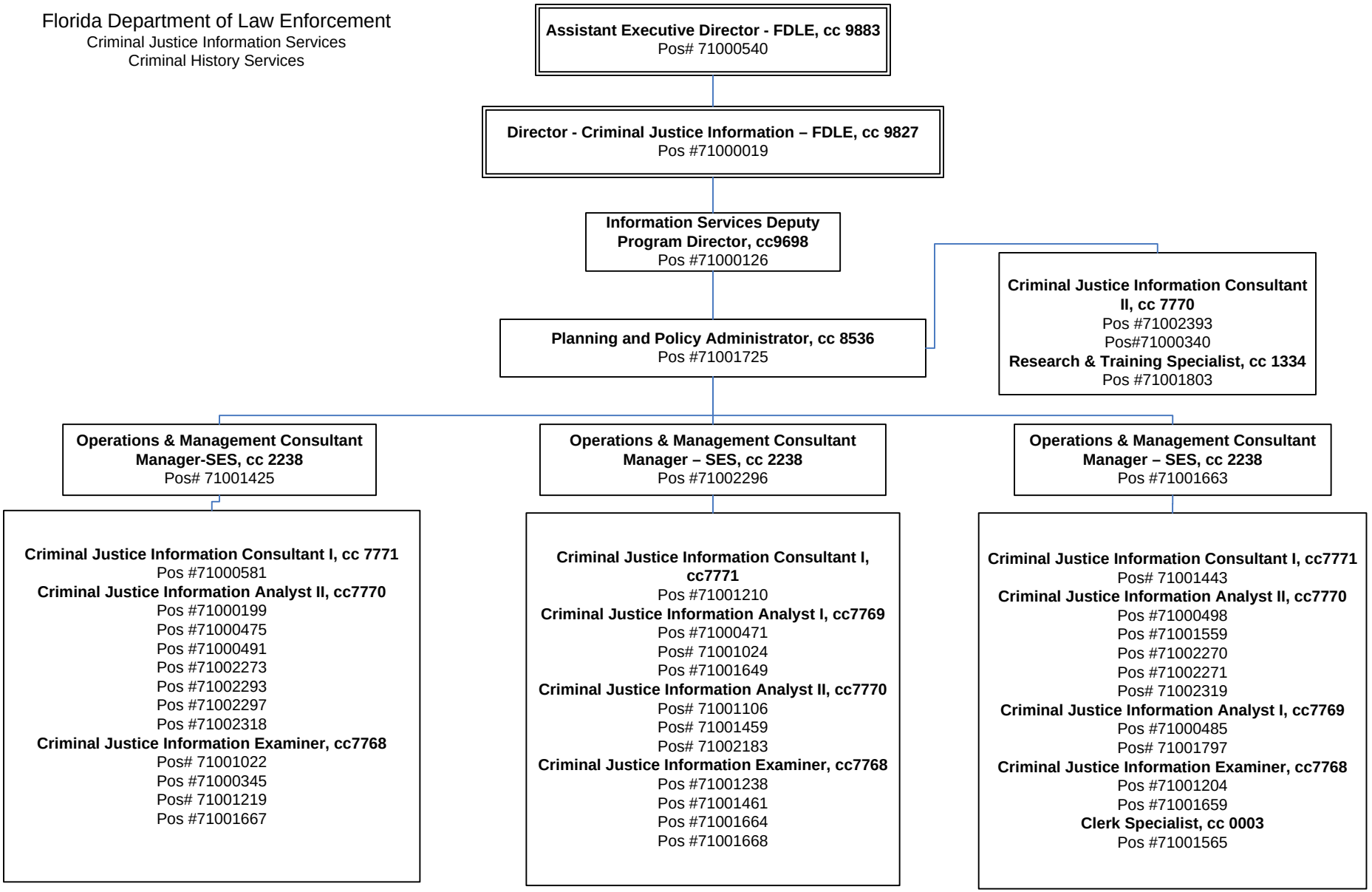
10/17/2018

Florida Department of Law Enforcement
Criminal Justice Information Services
Office of Planning, Policy & Data Analysis

Florida Department of Law Enforcement
Criminal Justice Information Services
Administration



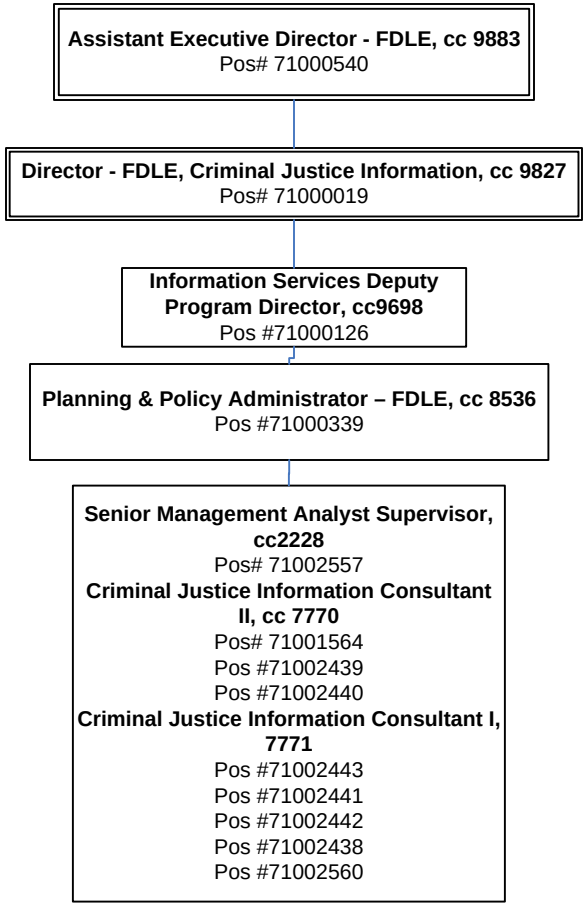
Florida Department of Law Enforcement
Criminal Justice Information Services
Criminal History Services



10/17/2018

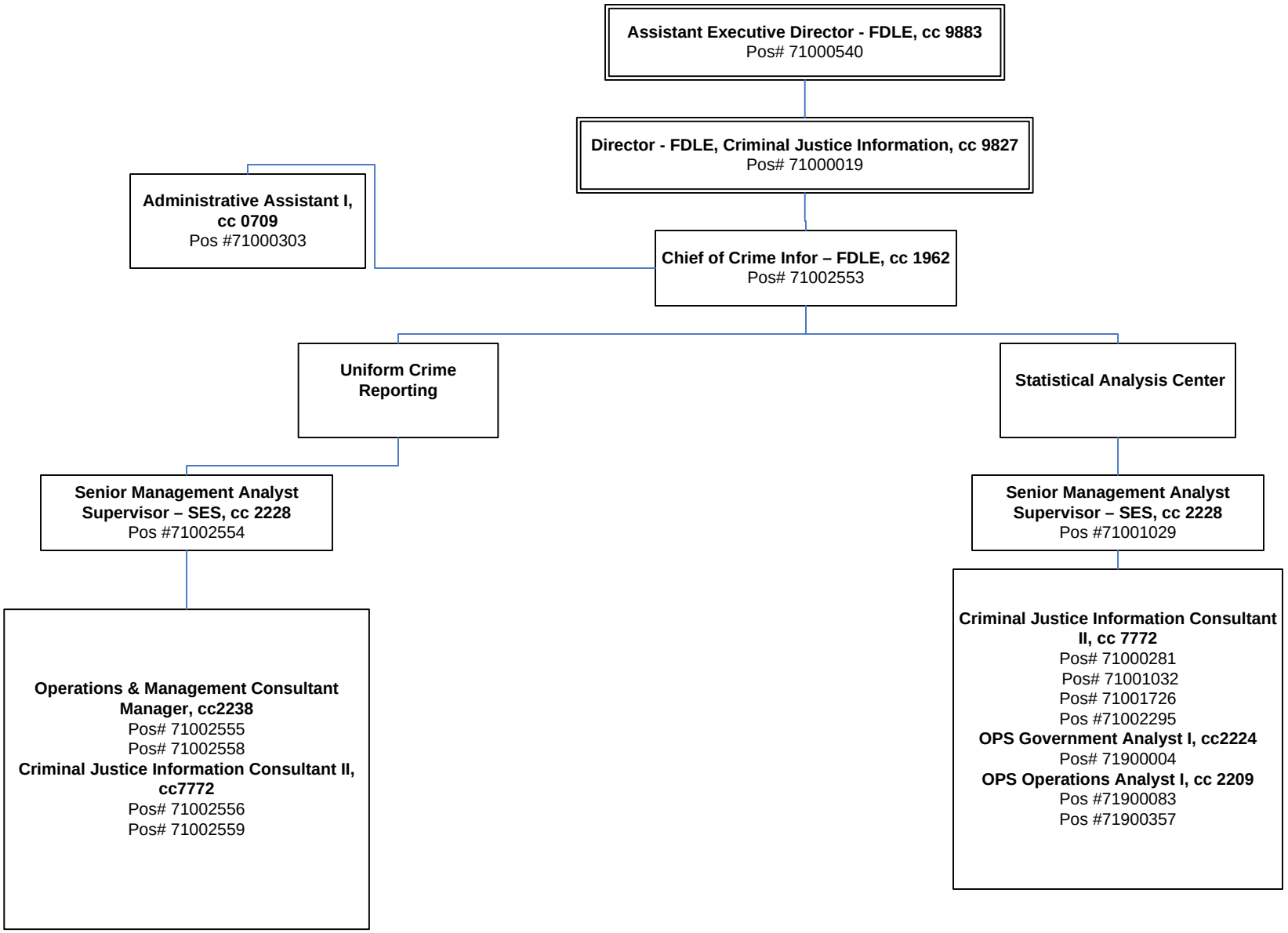
Florida Department of Law Enforcement
Criminal Justice Information Services
Projects

Florida Department of Law Enforcement
Criminal Justice Information Services
Projects Section



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

Florida Department of Law Enforcement
Criminal Justice Information Services
Administration



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

Florida Department of Law Enforcement
Criminal Justice Information Services
Field Services

Assistant Executive Director - FDLE, cc 9883
Pos# 71000540

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

Chief, User Services – FDLE, cc 1963
Pos #71000097

Criminal Justice Information Consultant II, cc 7770
Pos# 71000580
Pos# 71001031
Pos# 71001436
Administrative Assistant I, cc0709
Pos # 7100575

Audit and Compliance

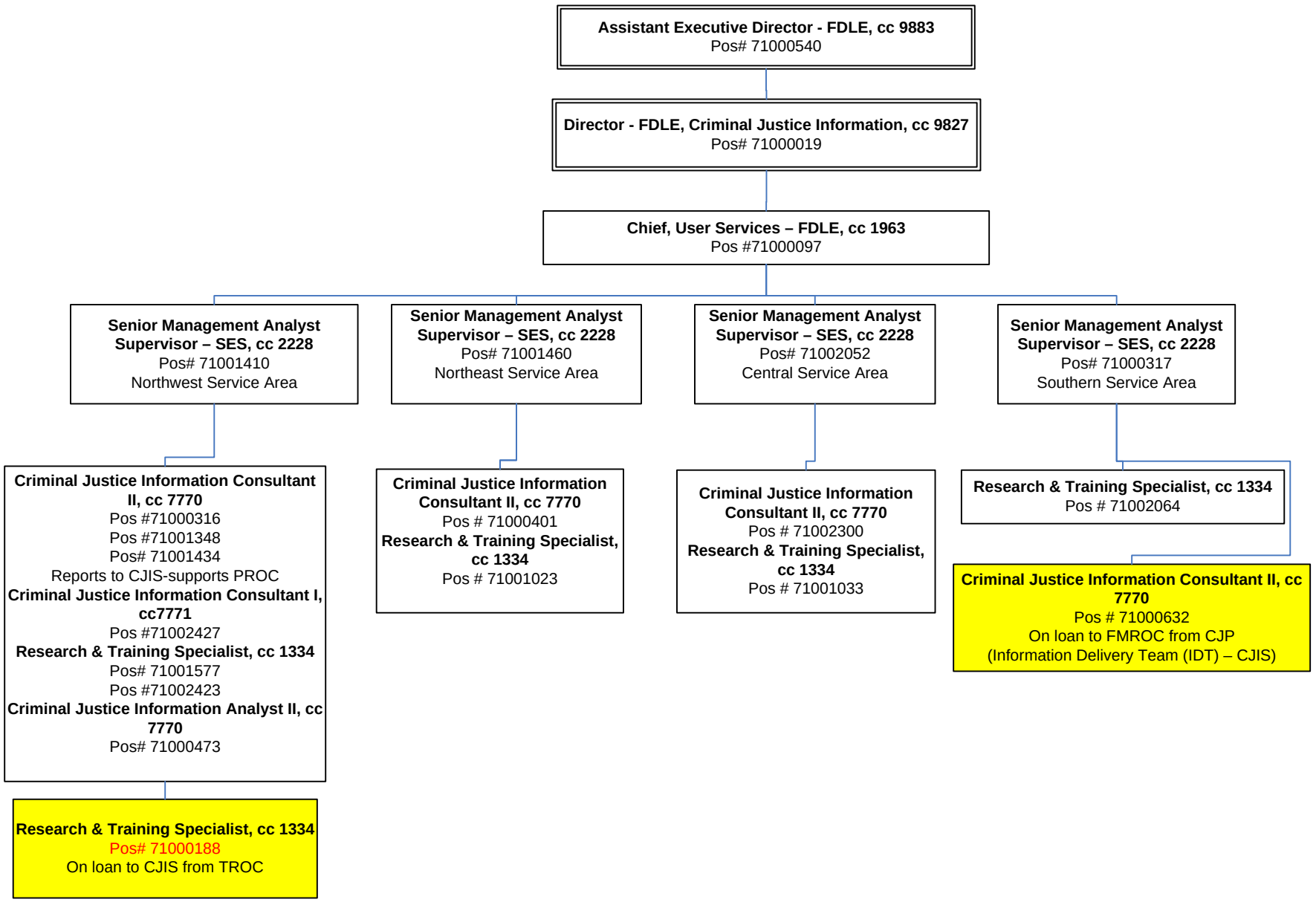
Information Delivery and Training (under separate cover)

Criminal Justice Info Compliance Supervisor – SES, cc 7774
Pos # 71000946

Criminal Justice Information Consultant I, cc7771
Pos #71001727
Pos #71001021
Criminal Justice Information Consultant II, cc 7772
Pos #71000562
Pos #71001454
Pos #71002201
Pos #71002203
Pos #71000469
Pos #71002202
Criminal Justice Technical Auditor, cc 7773
Pos #71002431
Pos #71002342
Pos #71002429
Pos #71002430
Pos #71002341
Pos #71002432

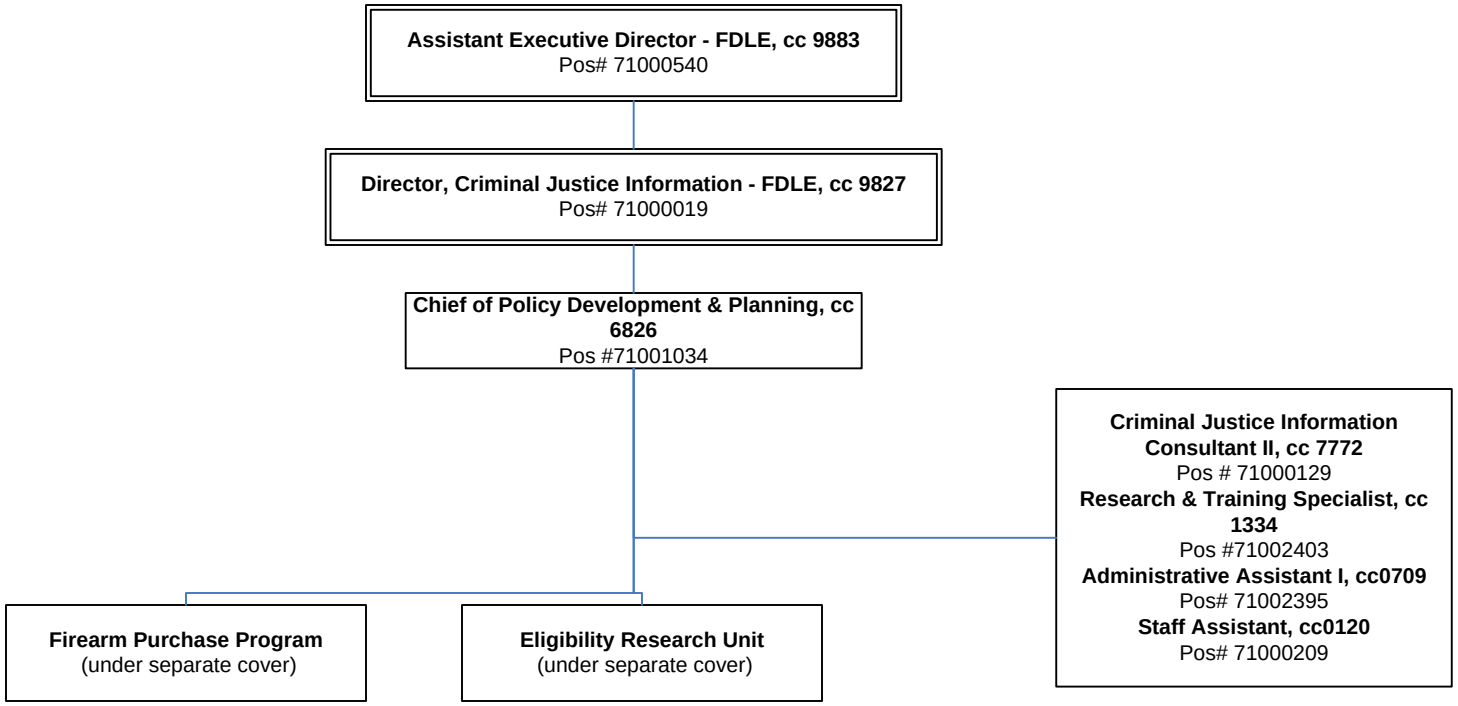
Florida Department of Law Enforcement
Criminal Justice Information Services
Field Services Bureau
Page 2 of 2

Florida Department of Law Enforcement
Criminal Justice Information Services
Field Services

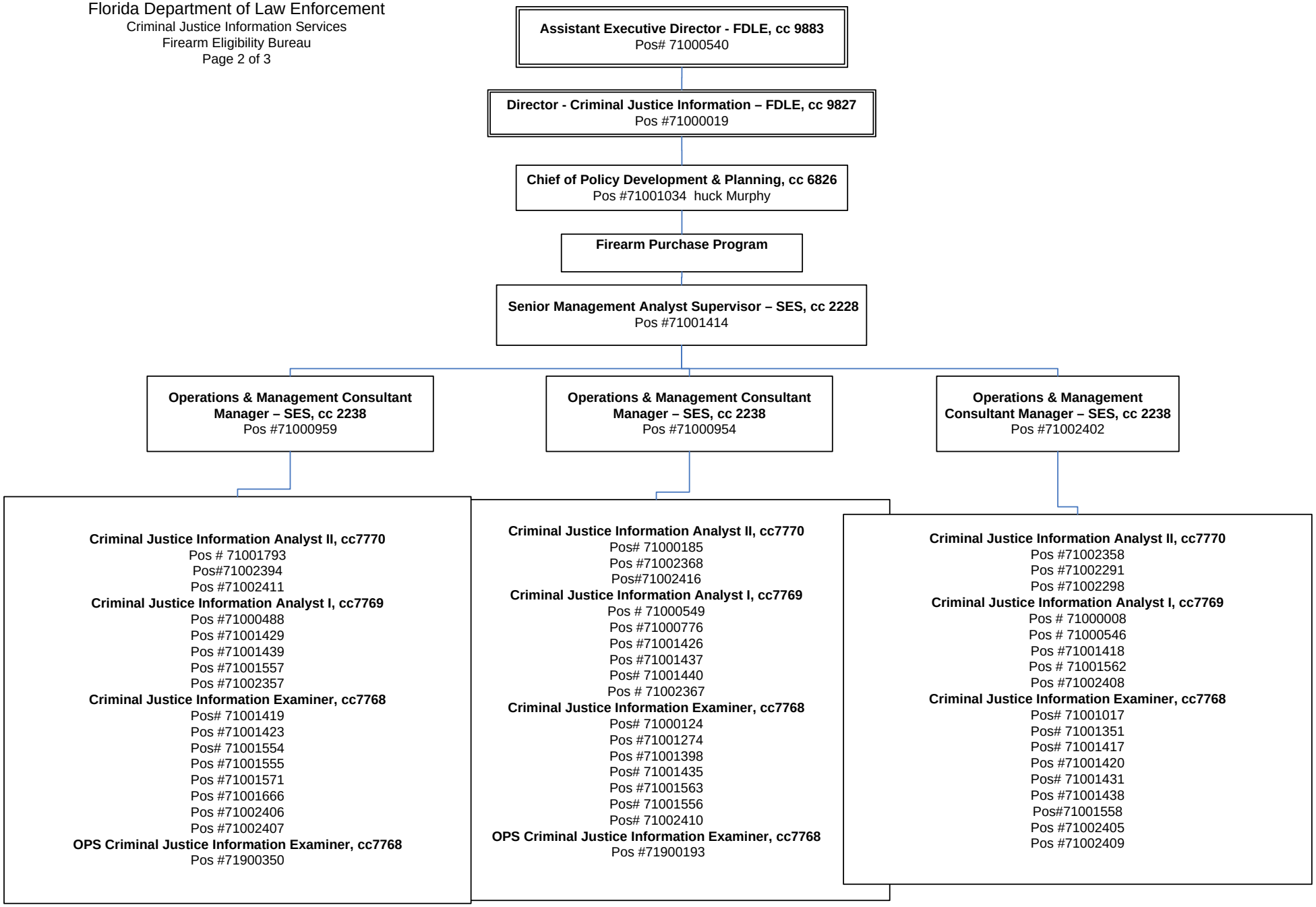


10/17/2018

Florida Department of Law Enforcement
Criminal Justice Information Services
Firearm Eligibility Bureau

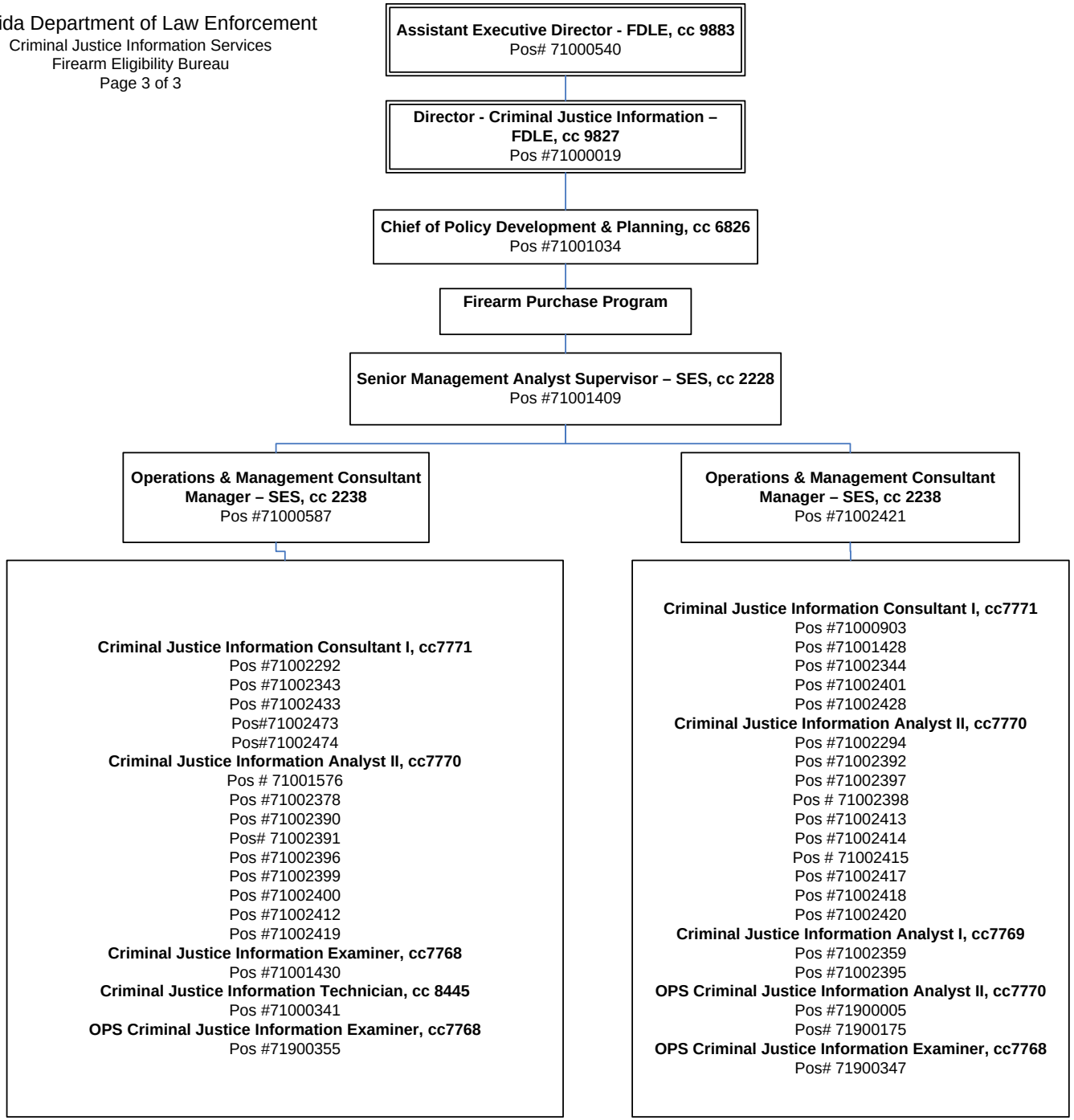


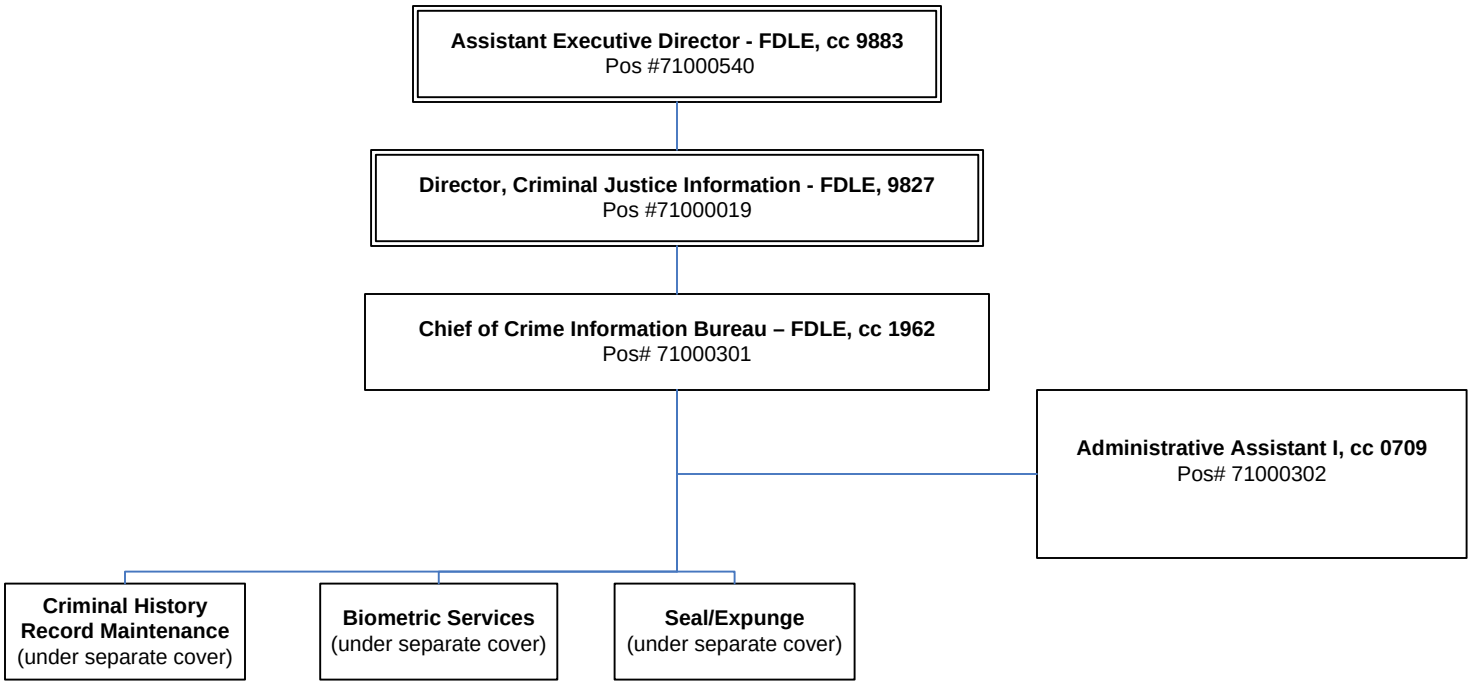
Florida Department of Law Enforcement
Criminal Justice Information Services
Firearm Eligibility Bureau



10/17/2018

Florida Department of Law Enforcement
Criminal Justice Information Services
Firearm Eligibility Bureau

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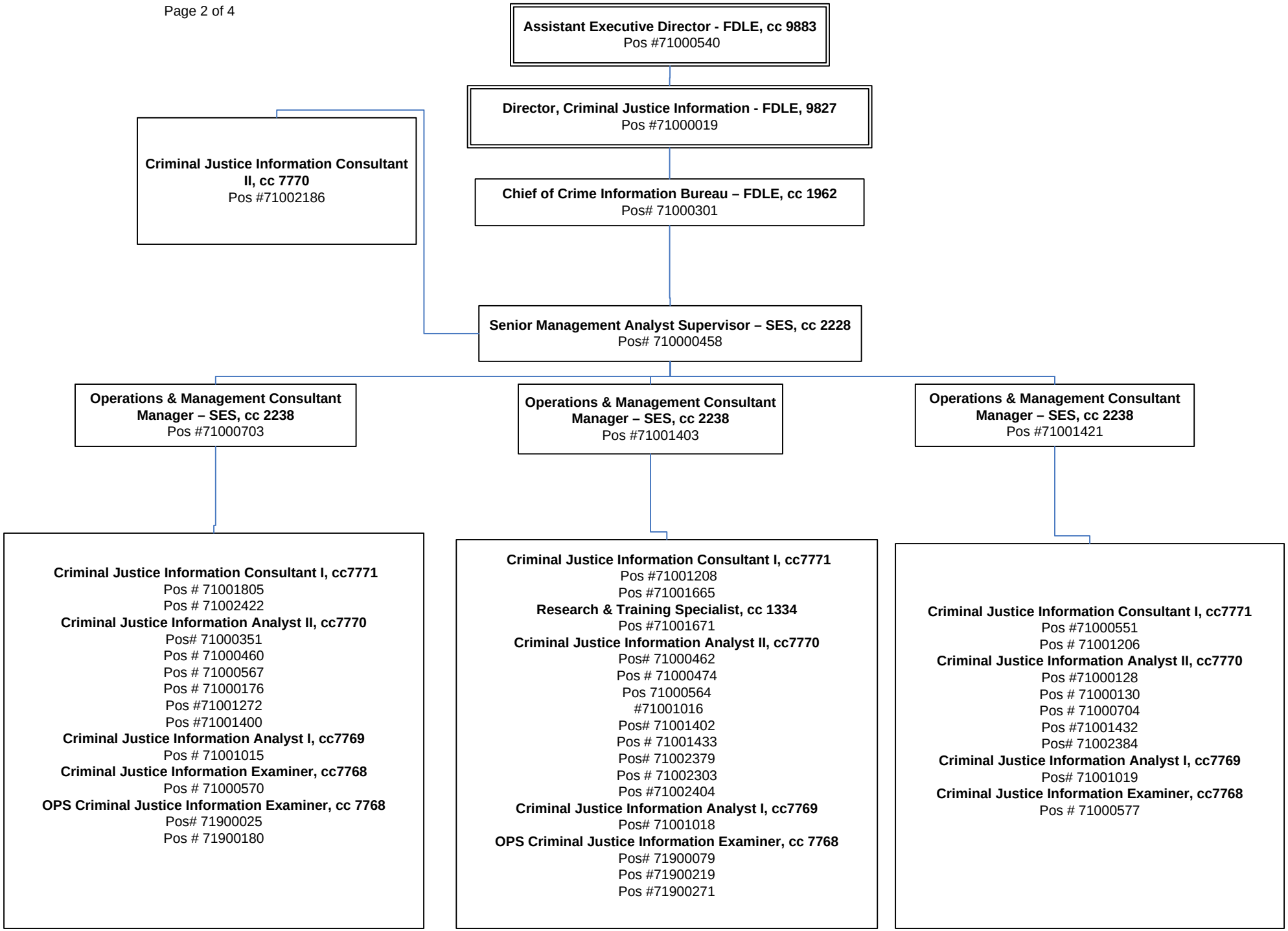
Pos #71000540
Director, Criminal Justice Information - FDLE, 9827
Pos #71000019
Chief of Crime Information Bureau – FDLE, cc 1962
Pos# 71000301
Administrative Assistant I, cc 0709
Pos# 71000302
Criminal History Record Maintenance
(under separate cover)
Biometric Services
(under separate cover)
Seal/Expunge
(under separate cover)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Director, Criminal Justice Information - FDLE, 9827
Pos #71000019
Criminal Justice Information Consultant II, cc 7770
Pos #71002186
Chief of Crime Information Bureau – FDLE, cc 1962
Pos# 71000301
Senior Management Analyst Supervisor – SES, cc 2228
Pos# 710000458
Operations & Management Consultant Manager – SES, cc 2238
Pos #71000703
Operations & Management Consultant Manager – SES, cc 2238
Pos #71001403
Operations & Management Consultant Manager – SES, cc 2238
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Criminal Justice Information Analyst II, cc7770
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Pos #71001400
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Pos # 71001015
Criminal Justice Information Examiner, cc7768
Pos # 71000570
OPS Criminal Justice Information Examiner, cc 7768
Pos# 71900025
Pos # 71900180
Criminal Justice Information Consultant I, cc7771
Pos #71001208
Pos #71001665
Research & Training Specialist, cc 1334
Pos #71001671
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Pos# 71000462
Pos # 71000474
Pos 71000564
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Pos# 71001402
Pos # 71001433
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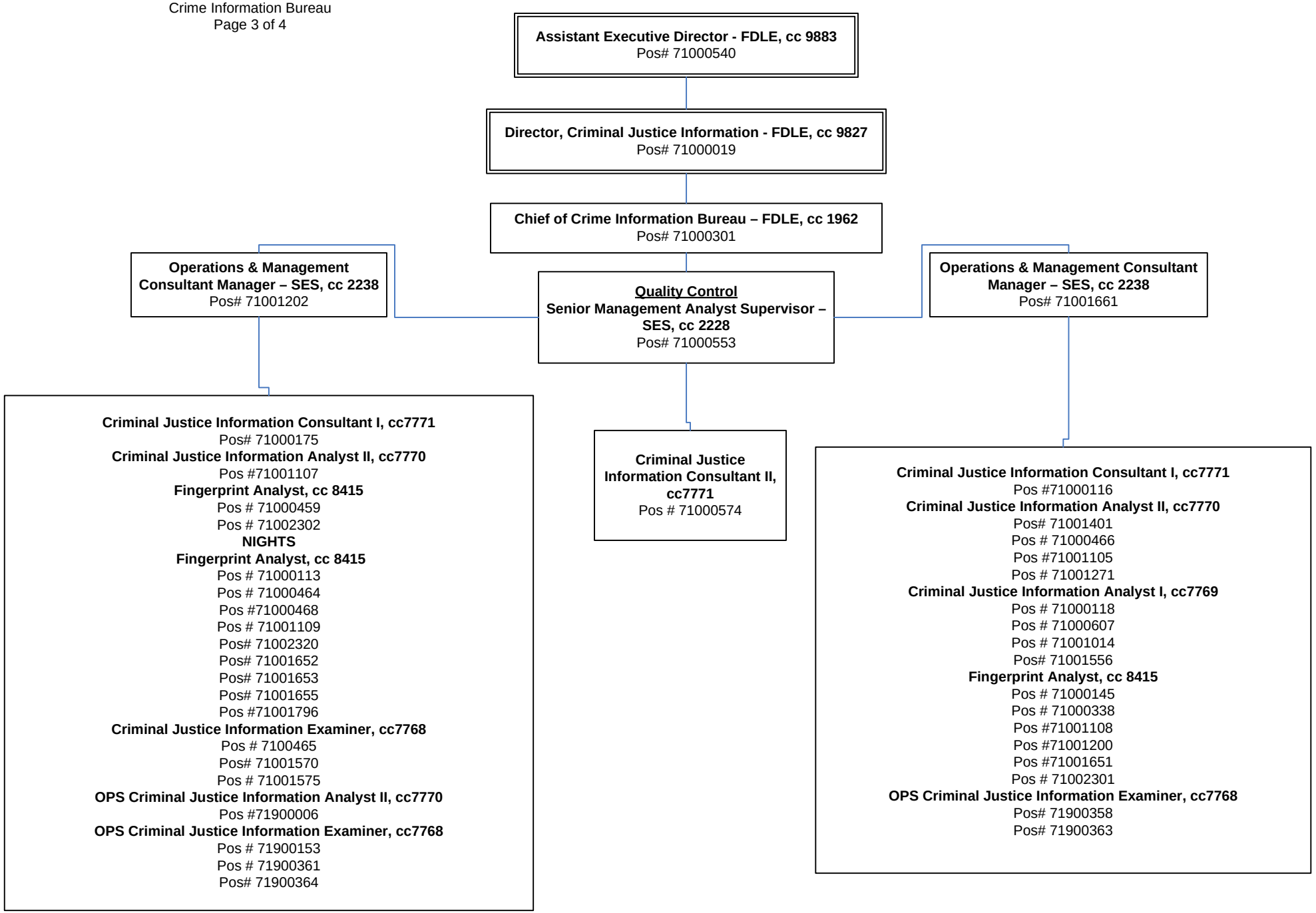
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Director, Criminal Justice Information - FDLE, cc 9827
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Chief of Crime Information Bureau – FDLE, cc 1962
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Operations & Management Consultant Manager – SES, cc 2238
Pos# 71001202
Quality Control
Senior Management Analyst Supervisor – SES, cc 2228
Pos# 71000553
Operations & Management Consultant Manager – SES, cc 2238
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Fingerprint Analyst, cc 8415
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Pos # 71002302
NIGHTS
Fingerprint Analyst, cc 8415
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Pos # 71001575
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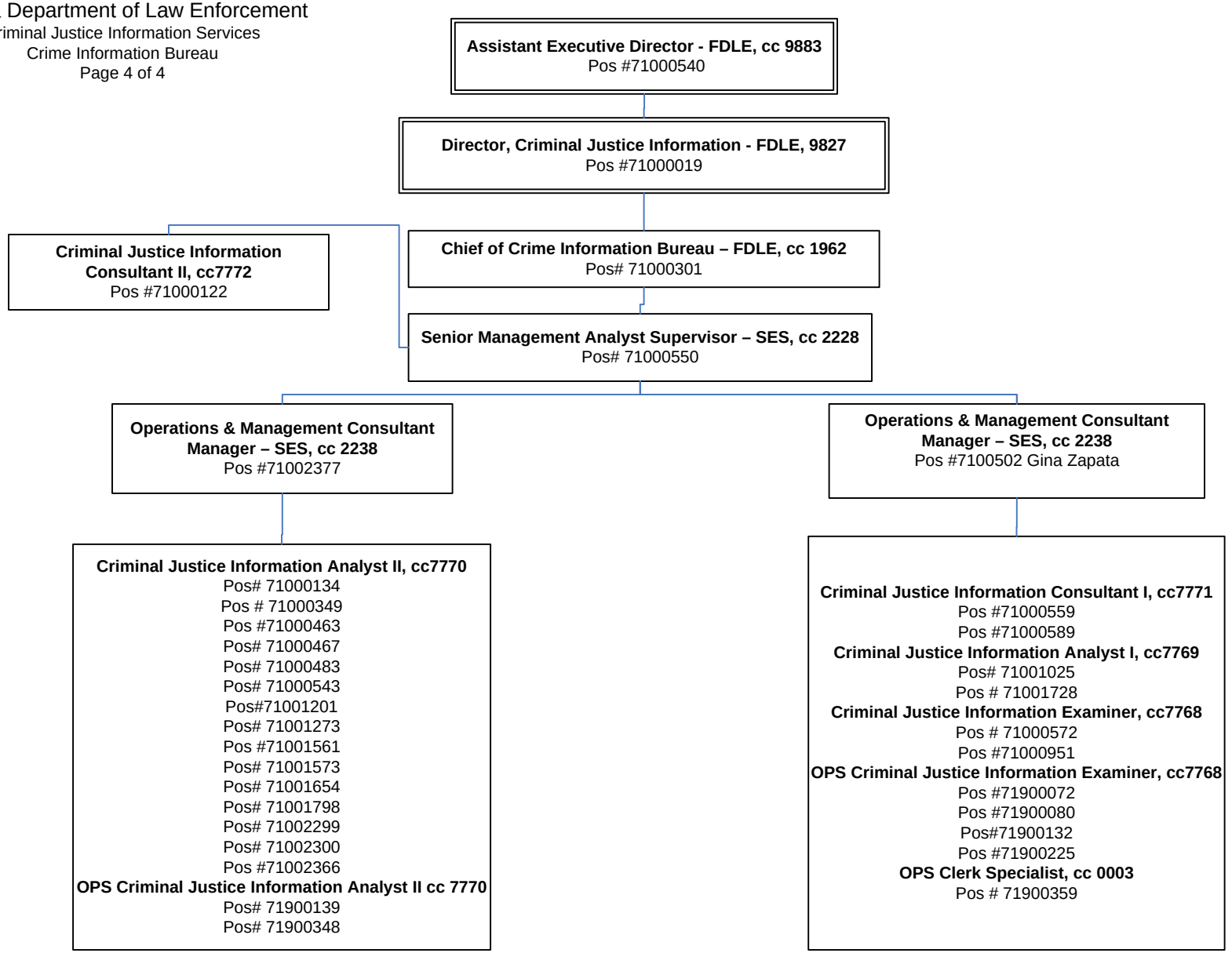
Pos# 71900363


Assistant Executive Director - FDLE, cc 9883
Pos #71000540
Director, Criminal Justice Information - FDLE, 9827
Pos #71000019
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Chief of Crime Information Bureau – FDLE, cc 1962
Pos# 71000301
Senior Management Analyst Supervisor – SES, cc 2228
Pos# 71000550
Operations & Management Consultant Manager – SES, cc 2238
Pos #71002377
Operations & Management Consultant Manager – SES, cc 2238
Pos #7100502 Gina Zapata
Criminal Justice Information Analyst II, cc7770
Pos# 71000134
Pos # 71000349
Pos #71000463
Pos# 71000467
Pos# 71000483
Pos# 71000543
Pos#71001201
Pos# 71001273
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OPS Criminal Justice Information Analyst II cc 7770
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Pos #71000589
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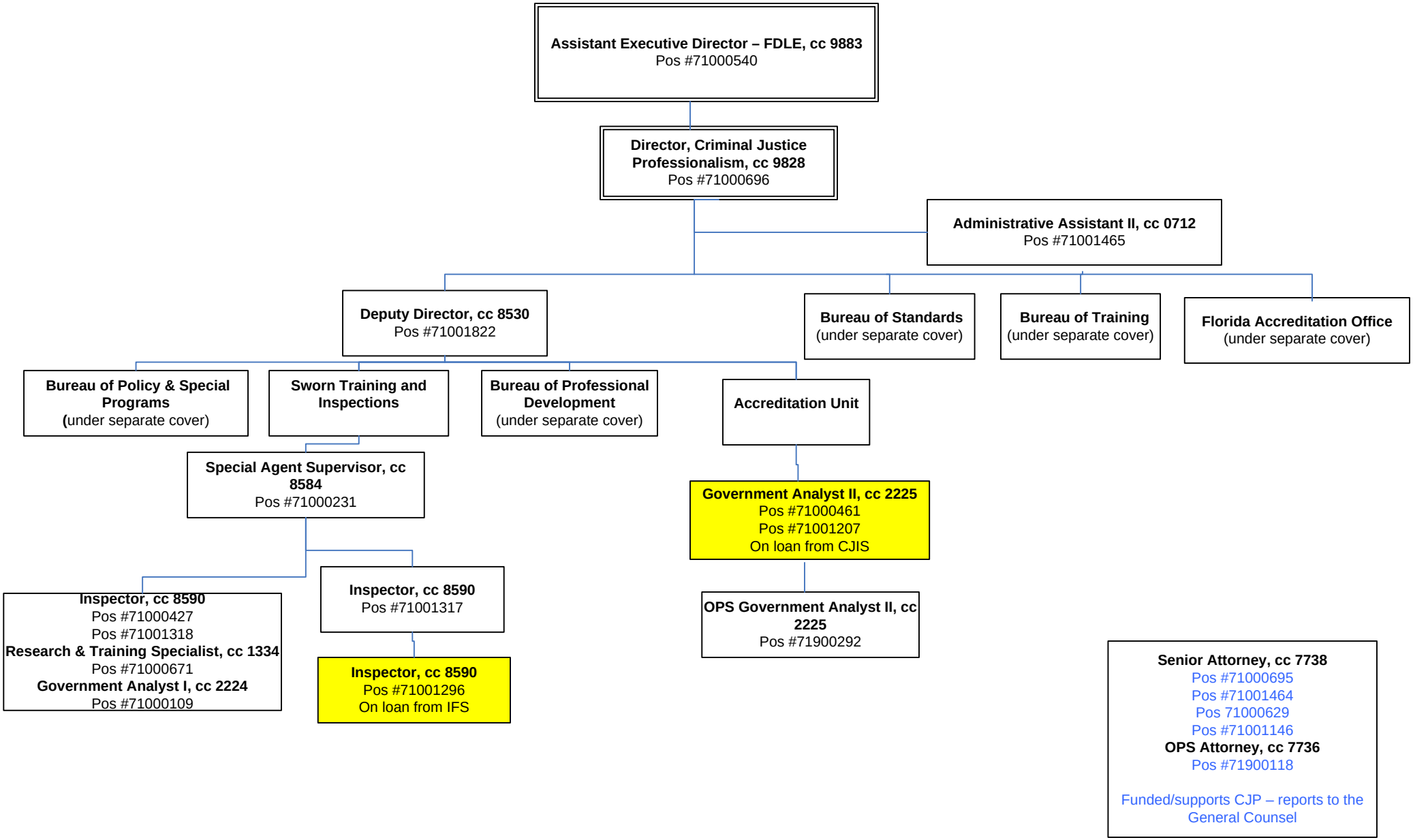
Pos# 71001025
Pos # 71001728
Criminal Justice Information Examiner, cc7768
Pos # 71000572
Pos #71000951
OPS Criminal Justice Information Examiner, cc7768
Pos #71900072
Pos #71900080
Pos#71900132
Pos #71900225
OPS Clerk Specialist, cc 0003
Pos # 71900359

Florida Department of Law Enforcement

Criminal Justice Professionalism

Director's Office



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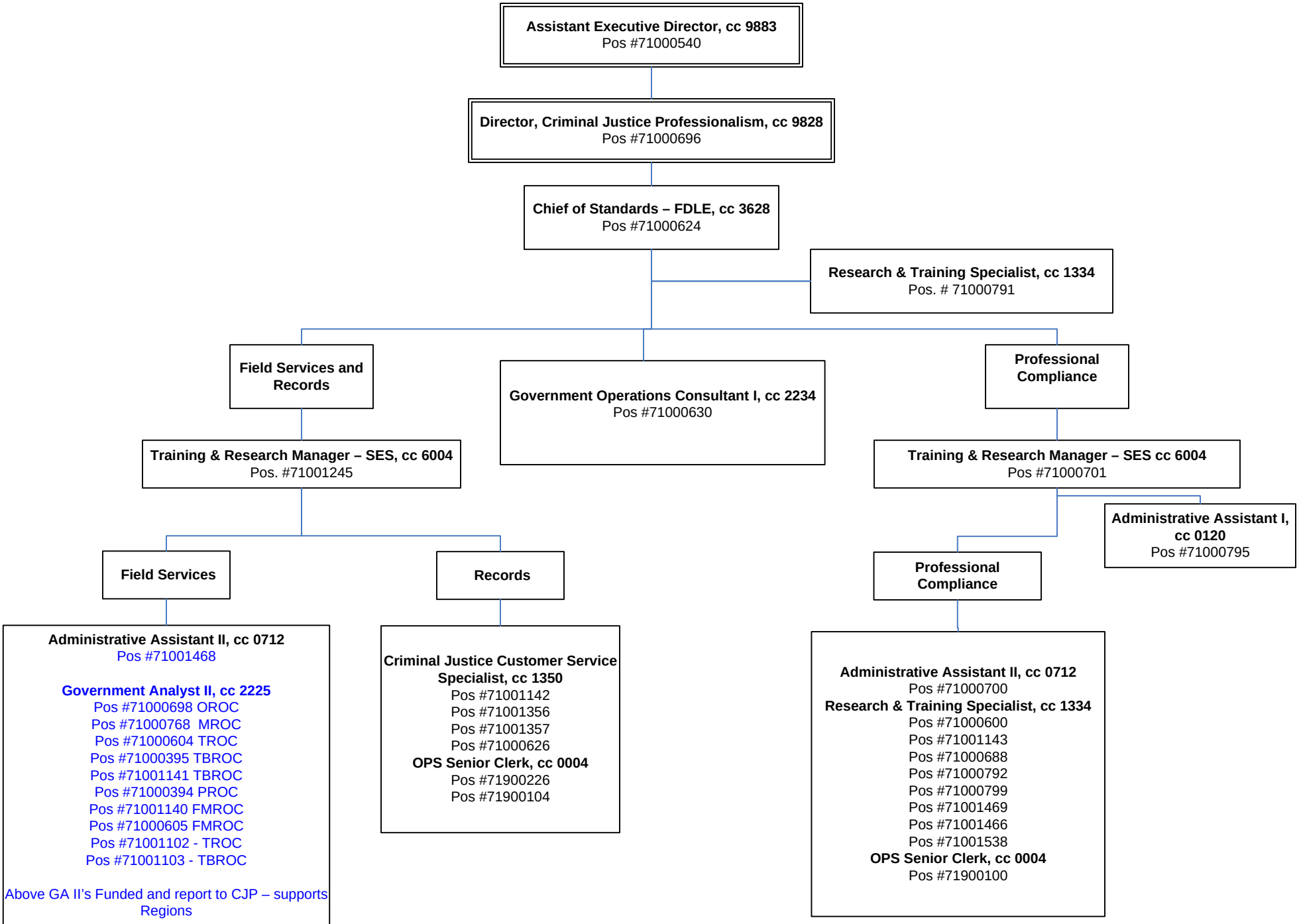
Florida Department of Law Enforcement

Criminal Justice Professionalism
Bureau of Standards



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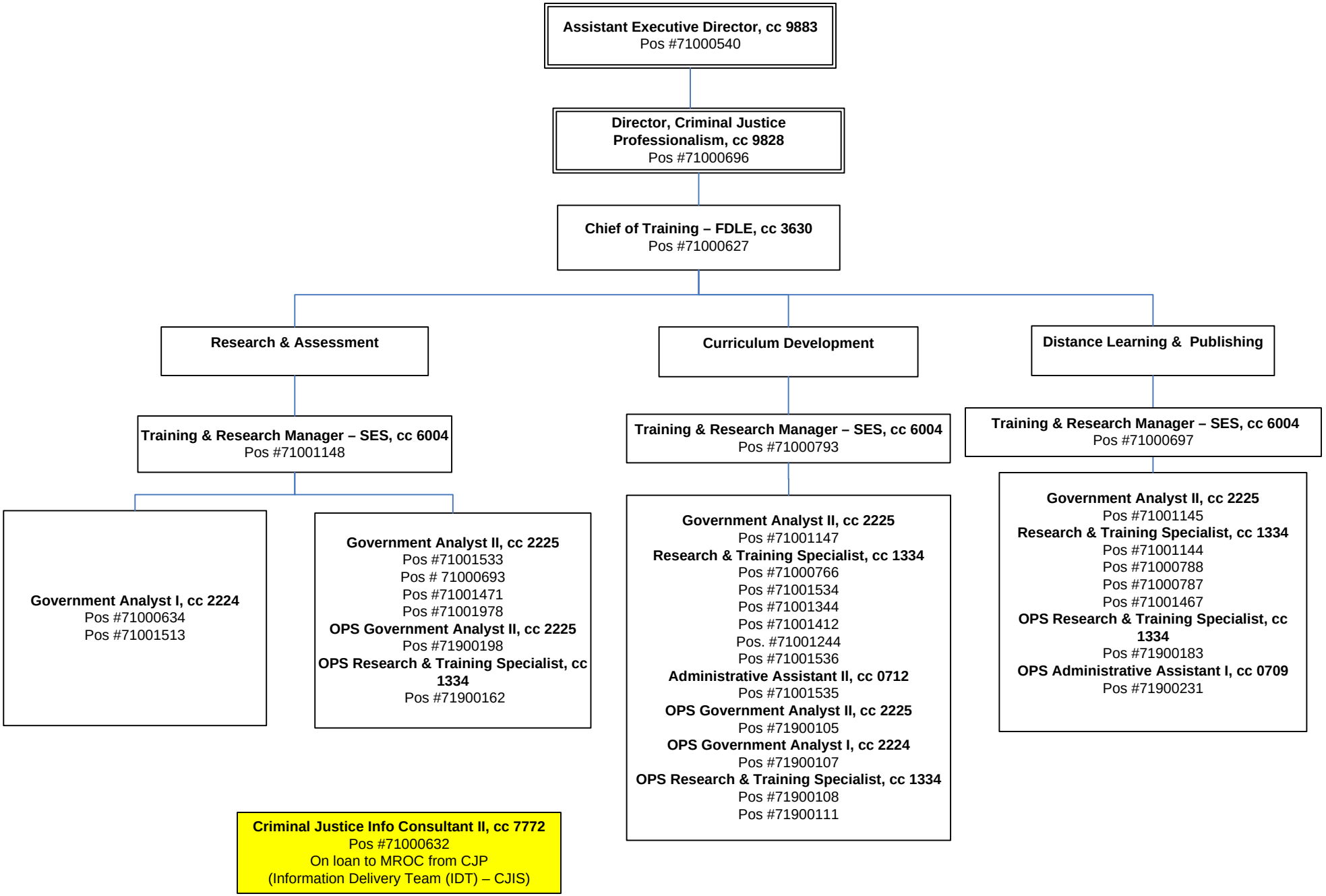
Florida Department of Law Enforcement

Criminal Justice Professionalism
Bureau of Training



10/17/2018

Florida Department of Law Enforcement

Criminal Justice Professionalism
Bureau of Professional Development

Assistant Executive Director, cc 9883
Pos #71000540

Director, Criminal Justice Professionalism, cc 9828
Pos #71000696

Deputy Director, cc 8530
Pos #71001822

Chief of Professional Development – FDLE, cc 3630
Pos #71001560
On loan from CJIS

Analyst Academy & Internal Training

Training & Research Manager-SES, cc 6004
Pos #71000907

Government Analyst II, cc 2225
Pos #71001065
Government Analyst I, cc 2224
Pos #71001243
Research & Training Specialist, cc 1334
Pos #71000883
Government Operations Consultant III, cc 2238
Pos #71001316
Pos #71001235
Administrative Assistant II, cc 0712
Pos #71001347
OPS Senior Clerk, cc 0004
Pos #71900187
Pos #71900113
Pos #71900075
Pos #71900329

Research & Training Specialist, cc 1334
Pos #71001340

Florida Criminal Justice Executive Institute

Research & Training Specialist, cc 1334
Pos #71001242
Government Analyst II, cc 2225
Pos #71001199
OPS Research & Training Specialist, cc 1334
Pos #71900110
Administrative Assistant II, cc 0712
Pos #71001066

Pos #71000127
On loan to OSI

Accreditation Commission

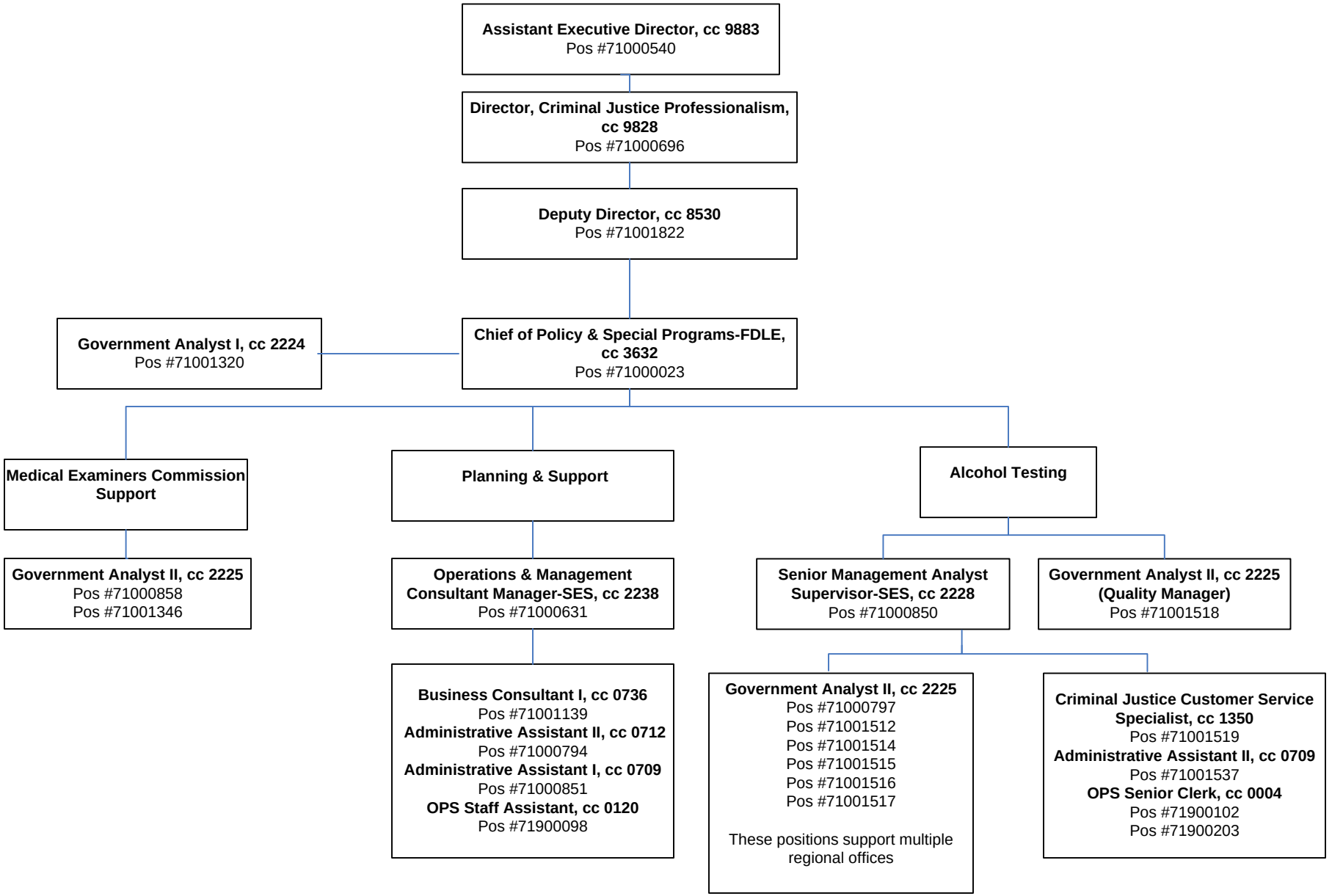
Florida Law Enforcement Accreditation Director, cc 8535
Pos #71001297

Administrative Assistant II, cc 0712
Pos #71001246

Government Operations Consultant III, cc 2238
Pos #71001695
Pos #71001696
Pos #71002204
Pos #71000702
OPS Administrative Assistant I, cc 0709
Pos #71900130
OPS Staff Assistant, cc 0120
Pos #71900217
OPS Senior Clerk, cc 0004
Pos #71900002
OPS Web Page Design Specialist, cc 2098
Pos #71900121

10/17/2018

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



10/17/2018

LAW ENFORCEMENT, DEPARTMENT OF

SECTION I: BUDGET	FISCAL YEAR 2017-18 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	291,288,171	8,250,000
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	16,403,363	-6,192,158
FINAL BUDGET FOR AGENCY	307,691,534	2,057,842

SECTION II: ACTIVITIES * MEASURES	Number of Units	*(1) Unit Cost*	*(2) Expenditures (Allocated)*	*(3) FCO*
Executive Direction, Administrative Support and Information Technology (2)				0
Capitol Complex Security * Number of calls for Capitol Police services	4,657	1,920.02	8,941,512	
DNA Database * Number of DNA samples added to the DNA Database	74,806	49.29	3,687,315	
Crime Laboratory Services * Number of lab service requests completed	88,508	668.36	59,155,239	
Investigative Services * Number of criminal investigations	2,247	35,637.76	80,078,036	
Domestic Security * Number of domestic security activities	1,410	4,361.82	6,150,173	
Intelligence Initiatives * Number of intelligence initiatives	484	9,758.22	4,722,980	
Missing Persons * Number of missing persons cases	4,362	393.67	1,717,200	
Sexual Predator Tracking and Information * Number of registered sexual predators/offenders indentified to the public	73,508	46.32	3,405,124	
Criminal History Information * Number of criminal history record checks processed	3,775,538	3.94	14,878,168	
Criminal History Creation and Maintenance * Number of arrest records created and maintained	28,153,019	0.44	12,509,884	
Officer Compliance * Number of criminal justice officer disciplinary actions.	482	8,273.63	3,987,890	
Officer Records Management * Number of professional law enforcement certificates issued	19,687	77.44	1,524,572	
Criminal Justice Training * Number of individuals who pass the basic professional certification examination	6,831	884.22	6,040,133	
TOTAL			206,798,226	

SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS		4,143,840	2,057,842
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS			
OTHER		26,640,395	
REVERSIONS		70,109,306	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)		307,691,767	2,057,842

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

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

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

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

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

SECTION III - PASS THROUGH ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8: ACT6310

AUDIT #1: THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND SHOULD NOT:

*** NO ACTIVITIES FOUND ***

AUDIT #2: THE FCO ACTIVITY (ACT0210) CONTAINS EXPENDITURES IN AN OPERATING CATEGORY AND SHOULD NOT: (NOTE: THIS ACTIVITY IS ROLLED INTO EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION TECHNOLOGY)

*** NO OPERATING CATEGORIES FOUND ***

AUDIT #3: THE ACTIVITIES LISTED IN AUDIT #3 DO NOT HAVE AN ASSOCIATED OUTPUT STANDARD. IN ADDITION, THE ACTIVITIES WERE NOT IDENTIFIED AS A TRANSFER-STATE AGENCIES, AS AID TO LOCAL GOVERNMENTS, OR A PAYMENT OF PENSIONS, BENEFITS AND CLAIMS (ACT0430). ACTIVITIES LISTED HERE SHOULD REPRESENT TRANSFERS/PASS THROUGHS THAT ARE NOT REPRESENTED BY THOSE ABOVE OR ADMINISTRATIVE COSTS THAT ARE UNIQUE TO THE AGENCY AND ARE NOT APPROPRIATE TO BE ALLOCATED TO ALL OTHER ACTIVITIES.

BE	PC	CODE	TITLE	EXPENDITURES	FCO
71800200	1202000000	ACT0900	TRANSFERS BETWEEN FUNDS WITHIN THE	6,000,000	
71150200	1202000000	ACT5610	PASS THROUGH FEDERAL GRANTS AND AID	10,406,340	
71150200	1202000000	ACT5630	PASS THROUGH FEDERAL DOMESTIC	1,690,859	
71600100	1202000000	ACT6290	PASSTHROUGH FUNDING TO LOCAL CRIME	2,644,651	
71800100	1202000000	ACT8310	LOCAL LAW ENFORCEMENT TRAINING	5,898,545	

AUDIT #4: TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 71	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	307,691,534	2,057,842
TOTAL BUDGET FOR AGENCY (SECTIONS II + III):	307,691,767	2,057,842
DIFFERENCE:	233-	
(MAY NOT EQUAL DUE TO ROUNDING)		

Schedule XIV
Variance from Long Range Financial Outlook

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

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

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

Yes [ ] No [X]

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

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

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

* R/B = Revenue or Budget Driver

SCHEDULE IV-B FOR SEXUAL OFFENDER/ PREDATOR REGISTRY IMPROVEMENT

For Fiscal Year 2019-20

September 18, 2018

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	Schedule IV-B Submission Date:
Project Name: Sexual Offender/Predator Registry Improvement	Is this project included in the Agency's LRPP? __X__ Yes ____ No
FY 2019-20 LBR Issue Code: 36118C0	FY 2019-20 LBR Issue Title: Improve Sexual Offender and Predator Registry Database
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us	

AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name:	Date: 9/13/2018
Agency Chief Information Officer (or equivalent): Printed Name: Joseph Hornsby	Date: 9/11/18
Budget Officer: Printed Name: Cynthia Barr	Date: 8-20-18
Planning Officer: Michelle B. Ryle Printed Name: Michelle B. Ryle	Date: 9/10/18
Project Sponsor: Printed Name:	Date: 9-10-18

Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Mary Coffee, 850-410-8784, marycoffee@fdle.state.fl.us
Cost Benefit Analysis:	Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us
Risk Analysis:	Pamela Bullard, 850-410-8584, pamelabullard@fdle.state.fl.us
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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

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

1. Business Need

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

2. Business Objectives

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

The business objectives of the proposed project are:

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

improvements for the Career Offender Application for Statewide Tracking Registry.

- Implement a supported technology architecture related to the programming framework.

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

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

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

Goal 3: Prevent Crime and Promote Public Safety

B. Baseline Analysis

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

1. Current Business Process(es)

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

a. FDLE Processing

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

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

Registration

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

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

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

Statutory Registration Requirements at the Sheriff's Office

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

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

Community Notifications

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

internet identifier search will notify the public citizen whether or not that particular email address or internet identifier has been registered. The public citizen even has the ability to keep track of sexual offenders/predators that they specify to ensure they know where that person is located. Today, there are over 180,000 people signed up to receive sexual offender/predator alerts through the Florida Offender Alert System. In 2015, over 3 million email notifications were sent to citizens signed up to receive these alerts.

Criminal Justice Notifications

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

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

Data Management/Sharing

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

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

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

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

Document Management

The Sexual Offender Registry currently has the ability for registry personnel to upload documents that are required to determine registration requirements or are related to registrants. These documents include registrations, conviction documents, and confirmations of registration requirements from other state registries, correspondence, case review forms, arrest/incident reports, and more. There are currently over 1.2 million registration forms and registration related documents uploaded directly into the sexual offender/predator registry's database. In addition, FDLE has scanned and uploaded approximately 61,000 registrant files each containing multiple documents.

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

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

Mapping/Geocoding

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

Reporting and Searches

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

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

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

b. Current Performance/Operational Issues

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

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

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

Mobility: The current system is web based and therefore not fully adaptable for use by mobile devices. The new system design would be in a programming framework that enables the application to adapt to websites or mobile devices. This would allow the presentation of the sexual offender/predator information to be more readable in

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

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

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

Pre-registration: This is a new concept being asked for that will enable Sheriffs' Offices to set up in-office kiosks or develop functionality in the current Cyber Communication System (CCS) for registrants to review their last Registration information. The registrant would be able to view their personal information that may have changed since they last registered (ex. any new scars/marks/tattoos, vehicle changes, vessel changes, or addresses). They would be able to view the information at any time during the periods of registration in the Sheriff's Office which would make for quicker processing by law enforcement.

2. Assumptions and Constraints

Assumptions

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

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

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

Constraints

Given the increase in the sexual offender/predator population in Florida, the Sheriffs' Offices must absorb the workload associated with registration requirements typically with no additional staffing to assist. And, likewise, FDLE must implement any new legislative requirements associated with the registration process in the Sexual Offender Registry System which is written in a programming framework that is no longer supported. The current unsupported technology design of the Registry makes it difficult to implement improvements or adapt to the use of

newer technology, such as mobile devices.

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

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

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

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

offenders or as general information such as message board topics. Methods will be: sharing of documents researched by Counties and utilization of the scrolling banner.

- Allow local agencies to upload, view, and download arrest, registration, court documents, and reports for subjects into the secure application EDMS.
- Allow local agencies to upload, store, and retrieve documents specifically related to a subject's status pertaining to residence restrictions and the statewide 1,000 foot rule.
- Allow local agencies to upload, store, and retrieve documents related local ordinance language.
- Allow local agencies to upload documents and photographs (vehicles, homes, scars, marks, and tattoos) related to information collected on subjects in their jurisdiction thus allowing for the sharing of information across jurisdictions.
- Provide the ability for Registry users to select and print "all documents" in a subject profile.
- Incorporate a form for internal FDLE analysts to use with certified documents for requested diligent searches by local agencies.
- Allow for direct update of address information and vehicle data without reliance on the field information process.
- Provide the ability to record associated non-public information such as:
    - Shelter/Emergency relocation information
    - Additional descriptors such as piercings and missing teeth/limbs
- Provide ability to store non-public emergency contact information for registrants.
- Allow for local law enforcement to update and edit field information notes and/or make changes to registrant's profiles directly from the application.
- Determine better controls for outdated/invalid addresses and information sent from external systems.
- Allow for filtering of address verification due report by zip codes.
- Allow users to set default parameters for the Address Verification Due Report which would be maintained each time the report is accessed.
- Allow users to establish zones within their jurisdiction, utilizing zip codes and city fields, for report filtering purposes.
- Develop reports that allow for offenders to be searched by specific legal statuses (i.e. county incarcerated).
- Provide the ability to run reports for a specific user that shows all activity related to the user's profile during a specific period of time.
- Allow users to exclude some subject types and legal statuses on reports.
- Enable ease of county to county comparison in reporting.
- Allow for address related reports to include all types of addresses for an offender and allow for customization by the user.
- Expand search and sort capabilities beyond the county level; allowing for city or zip code searches.
- Provide the ability to use Rapid ID to tie in with the Registry and notify relevant agencies when registrant's fingerprints are run.
- Support the use of a kiosk system for updating registration data or completing transient check-in.
- Provide indications if a subject qualifies under the state's 1,000-foot residence restriction rule and also provide the ability to save documents related to the residency restrictions for viewing by other jurisdictions.
- Provide indications that show active alerts, warrants, and cautions for registrants.
- Provide an easier method of recording address verifications in the Registry.
- Simplify the navigation required by the Registry system in the registration process.

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

- Prepopulate standard Address Verification forms with data already captured and stored in the database.
- Provide the ability to generate and send notifications to the public and/or schools and daycares regarding offender and predator addresses.
- Develop customizable flyer to include agency contact information/logo and subject information specified by the user.
- Create links between the current application and other systems and databases such as:

  - FCIC/NCIC for warrant and wanted information
  - Justice Exchange and LiveScan for arrest data
  - Comprehensive Case Information System (CCIS) for updated judgment and sentence data
- Add ways to capture, store and display biometric data as images for thumbprints.
- Incorporate a better, more seamless process for the use of 2-finger reader for identification.
- Allow the Registry to function with non-proprietary equipment and software; the system should function with tablets and smartphones for image capture and signature.
- Allow the Registry to populate standard information into forms such as user names.

2. Business Solution Alternatives

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

Option #1 – Upgraded Solution with Current Functionality

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

Option # 2 – Custom Solution with New Functionality

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

Option # 3 – Customized Commercial Solution

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

3. Rationale for Selection

Each alternative was analyzed using the following criteria.

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

Option #1 – Upgraded Solution with Current Functionality

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

headquarters in Tallahassee.

Estimated Duration – 24 months

Estimated Cost - $3.7 million

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

Option # 2 – Custom Solution with New Functionality

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

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

Estimated Duration - 36 months

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

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

Lower risk than Option 3.	
Responsiveness to statutory changes. With in-house staff, FDLE can react quickly to changes in Florida Statutes that affect registration of sexual offenders.	

Option #3 - Customized Commercial Solution

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

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

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

Estimated Duration – 36 months

Estimated Cost - $4.7 million

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

4. Recommended Business Solution

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

FDLE recommends Option # 2 – Custom Solution with New Functionality

FDLE implemented the original state-level sexual offender database in the late 1990's and has effectively managed

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

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

D. Functional and Technical Requirements

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

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

1. Functional Requirements

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

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

Registration Improvements

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

Address and Address Verification Improvements

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

Contacts, System Notifications, and Alerts to Law Enforcement

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

6. Collect and store non-public emergency contact information for registrants.

Data Entry, Data Updates, and Registrant Management Improvements

1. Ability for external users to add/modify/remove data in Registry.
2. Ability to record associated non-public information such as:
   - Shelter/Emergency relocation information;
   - Additional descriptors such as piercings and missing teeth/limbs;

Reporting Improvements

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

2. Technical Requirements

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

III. Success Criteria

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

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

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

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

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

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

A. Benefits Realization Table

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

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

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

B. Cost Benefit Analysis (CBA)

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

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

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

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

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

1. The Cost-Benefit Analysis Forms

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

Cost Benefit Analysis	
Form	**Description of Data Captured**
CBA Form 1 - Net Tangible Benefits	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project. Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.
CBA Form 2 - Project Cost Analysis	Baseline Project Budget: Estimated project costs. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants. Characterization of Project Cost Estimate.
CBA Form 3 - Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

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

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

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

A. Risk Assessment Summary

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

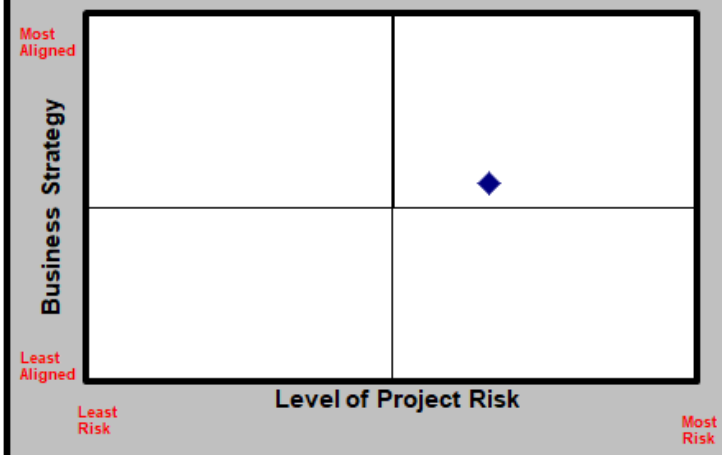
The initial risk exposure for the Project Complexity Assessment area is High mostly because of the involvement of 67 counties of local law enforcement; they were counted as separate entities instead of one entity of users. FDLE has confidence in this project due to its adherence to FDLE ITS standards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

The Risk and Complexity Assessment (RCA) using the Agency for State Technology form categorized this project as a "2" in the Pre-Charter Phase meaning it is Medium Risk and Low Complexity. The Planning Phase RCA identified the project as a category "1".

RAForm 1 / Project Assessment

Project	*Sexual Offender/Predator Registry Improvement*	
Agency	*Florida Department of Law Enforcement*	
FY 2019-20 LBR Issue Code:	**FY 2019-20 LBR Issue Title:**	
36118CO	*Sexual O/P Registry Improvement*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us		
Executive Sponsor	*Donna Uzzell, Special Agent in Charge*	
Project Manager	*Mary Coffee, Planning and Policy Administrator*	
Prepared By	*Pamela Bullard/Brian Browning*	*7/26/2018*

Risk Assessment Summary



Project Risk Area Breakdown

Risk Assessment Areas	*Risk Exposure*
Strategic Assessment	HIGH
Technology Exposure Assessment	Medium
Organizational Change Management Assessment	Medium
Communication Assessment	Medium
Fiscal Assessment	Medium
Project Organization Assessment	Medium
Project Management Assessment	Medium
Project Complexity Assessment	HIGH
Overall Project Risk	HIGH

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

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

The following provides a breakdown of the current system:

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

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

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

b. Current System Resource Requirements

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

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

c. Current System Performance

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

2. Information Technology Standards

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

a. Architecture

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

b. Servers

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

c. Storage

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

d. Network

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

e. Database

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

f. Application Software

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

g. Security

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

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

h. Availability

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

i. Usability

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

B. Current Hardware and/or Software Inventory

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

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

C. Proposed Technical Solution

1. Technical Solution Alternatives

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

2. Rationale for Selection

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

3. Recommended Technical Solution

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

- ASM
- JSF

- Jasper Reports
- Alfresco

D. Proposed Solution Description

1. Summary Description of Proposed System

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

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

Cost Elements	2017-18	2018-19	2019-20	Totals
Staff	$1,584,000	$2,060,000	$1,475,000	$5,109,000
Hardware	$102,200	$98,400	$5,400	$206,000
Software	$251,980	$62,280	$62,280	$376,540
Services	$0	$0	$0	$0
Other	$0	$0	$0	$0
Total	**$1,938,180**	**$2,220,680**	**$1,542,680**	**$5,691,540**

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

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

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

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

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

Additional data collected in 2015:

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

VII. Schedule IV-B Project Management Planning

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

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

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

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

Project Scope

The scope of this project is to:

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

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

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

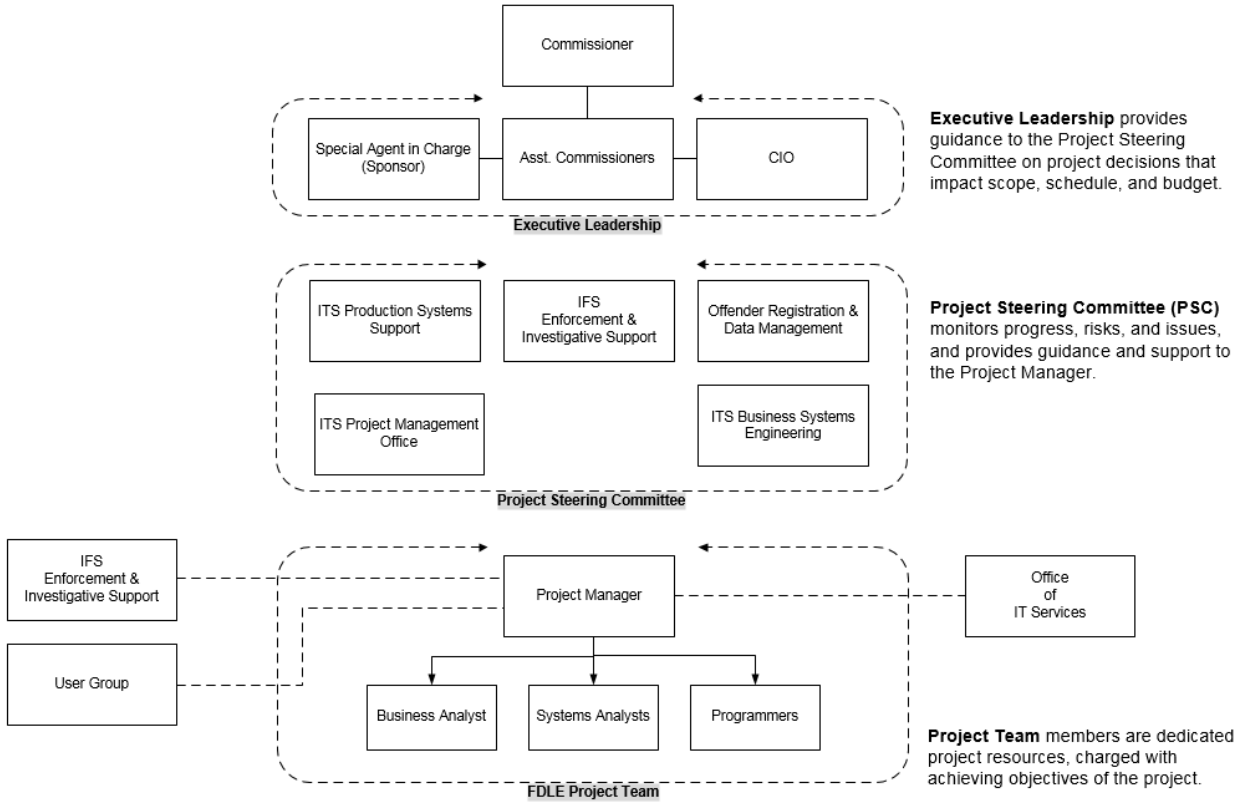
Work with local LE via the Florida Sheriff's Association, to identify and implement improved functionality currently included in a list of over 80 specific functions organized under the following topics:

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

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

Project Organization & Governance

The Sexual Offender / Predator Registry Improvement Project organization will include agency Executive Management, a Project Steering Committee (PSC), a Project Manager, the Project Team, and the Project Management Office. FDLE subject matter experts and other groups will provide additional support. Each group performs a particular role for the project and is comprised of members of Investigations and Forensic Services, Information Technology Services and FDLE leadership. The project organization is shown below.



FDLE Executive Leadership

The Executive Leadership consists of the Assistant Commissioners, Special Agent in Charge – Office of Statewide Investigative Services (also the project sponsor), and the Chief Information Officer (CIO). Executive Leadership provides guidance on project decisions that impact scope, schedule, and budget.

Project Steering Committee

The PSC monitors and resolves risks and issues, and provides direction to the PM for the day-to-day operations, to minimize impact to project scope, schedule, and budget. Regular meetings are conducted (based on direction from the PSC to provide project updates. Meetings focus on action items, scope change requests, and risks (issues impacting budget or timeliness). The meetings follow a standard agenda. Critical project needs are addressed and guidance and direction are requested from the Executive Leadership as appropriate. The PSC provides assessment and analysis, ensuring that supporting initiatives are based upon knowledgeable and informed decisions.

A status report is prepared for each meeting and is distributed to each attendee. Minutes are taken during each meeting and made available to the attendees. Composition of the Steering Committee has been determined and they are meeting bi-weekly as warranted.

Project Management Office

The PMO is responsible for providing guidance to the PM in using project management requirements, principles, and processes used in the agency and confirm compliance with 74-1 F.A.C. In addition, the PMO assists in the reporting of critical issues and risks related to the project.

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

FDLE Project Team

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

Project Schedule Management

The initial project schedule is developed starting with a Work Breakdown Structure which identifies the work and activities that will be conducted, at a summary level. As the planning phase of the project progresses, those work packages are elaborated with more detail, captured in project phases or by milestones based on the PM's preference. The task dependencies and durations are identified, resulting in the estimation of planned start and finish dates for each task. For schedules that are created using MS Project® the planned dates are auto-scheduled based on those dependencies and durations. Some schedules are created in a MS Word® table or in an MS Excel® spreadsheet, in which case the planned dates are manually calculated by the PM.

The schedule is baselined when it is approved by the Project Steering Committee and the project sponsor. The schedule is re-baselined only when a significant change occurs, usually resulting in a Project Change Request (PCR) and only with approval of the project sponsor. Re-baselining a schedule is reported in the monthly status report.

The schedule status is reported in monthly status reports. The variances of planned versus actual dates are calculated, evaluated and reported upon in the status reports, when required

Schedule Maintenance

The project schedule is updated by the PM bi-weekly, based on input from the resources that are assigned the work. As tasks start or finish, the actual start and actual finish dates are posted in the schedule. When updates are posted to the schedule, the percentage complete is provided for in-progress tasks so that the current state of the project can be determined. If dates pass and become "stale", those tasks are re-planned so that planned start and planned finish dates are accurate in the schedule.

In rare cases, the schedule may be cost-loaded so that SPI and CPI can be automatically calculated, but for this low-to-medium risk and complexity project, that degree of detail is not required.

The baselined schedule is evaluated against current progress. For status reporting, the PM identifies overdue tasks and computes the percentage of last tasks related to total tasks to date. (Formula: number of overdue tasks / number of total tasks to date.) If this analysis indicates a variance of 10% or more, an explanation is provided in the status report.

Project Cost Management

The Project Budget describes costs associated with defined project activities and procurements. The Budget is developed by the PM and IT Services Budget staff, and includes the following information:

- Source of funds, which may include grants, general revenue or trust funds
- Costs for the project by major category (Hardware, Software, Contract Services, Staffing, etc.]
- Schedule for expending project funds
- Planned costs and Actual costs, by fiscal year, over the life of the project, including FY Total-to-Date

The Budget and Spend Plan document is update monthly, and reported in the status report.

Project Change Management

During the project lifecycle, changes are expected, and may be identified or requested by anyone involved in the project. Any change impacting scope, time, or cost initiates the Project Change Request (PCR) process.

Changes that are needed, identified, or requested are submitted to the PM in writing. The PM, with the appropriate project team members and/or FDLE resources, will assess the change request and analyze the potential impact to the approved schedule, budget, scope and deliverables.

The PM will then confer with the Project Sponsor (or their delegate) and customer to obtain approval to accept the change and integrate the additional work and costs into the appropriate plans.

The PM will log and track PCR's in the Project Workbook. Changes that require re-planning the Schedule and/or the Budget may also result in re-baselining those respective plans. Changes to the project, and subsequent adjustments to the Schedule and Budget are all reported in the Monthly Status Report.

Risk Management

The Risk & Complexity Assessment provided by the Agency for State Technology is conducted at three different stage-gates throughout the first phases of the project, and then again anytime a significant change is introduced and accepted into the project. This assessment is conducted by the PM, Project Sponsor or designee, and PMO at a minimum; other participants are permitted as well. A copy of the Risk & Complexity Assessment with the scores is stored in the centralized project repository. The Assessment produces the Category assigned to the project.

The PM is the lead in managing risks, which includes risk identification, risk analysis, prioritization or level of importance, and mitigation strategies or risk response. At the beginning of the Project, the PM will conduct an exercise with the project team to identify any known risks and document those in the Risk Register, located in the Project Workbook. As the project progresses, any risks that are identified are added to the Risk Register.

Risks are evaluated for Probability and Impact, and are prioritized based on the resulting score. High priority risks are monitored and managed with a high degree of attention. Mitigations plans are determined and documented in the Risk Register.

When a risk is added to the Risk Register and on a periodic basis throughout the project, the PM and project team will conduct a review of risks. This review will confirm the description of the risk, the owner, a mitigation strategy, the probability, impact, and criticality of the risk.

Risks are monitored by the PM; new risks and updates to Risk data are reported in the Monthly Status Report.

Issue Management

The PM is responsible for managing project issues. When an issue is identified, it is logged in the Issues List in the Project Workbook. On a periodic basis throughout the project, the PM and project team will conduct a review of issues. This review will confirm the description of the issue, the owner, the status and priority of the issue. When appropriate, Issues are assigned due dates. The PM monitors issues, actively works to resolve issues so that they do not have a negative impact on the project, and reports on issues in the Monthly Status Report.

Quality Management

Quality assurance focuses on preventative steps used to manage and deliver the solution and to eliminate any variances in the deliverable produced from the established quality targets. The table below describes some of the quality assurance processes that will be used.

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

Quality Assurance Processes		
Topic	**Description**	**Frequency**
Mapping of Requirements	The Project Team will map all requirements to work packages to assure quality of the delivered product and compliance with the requirements; the Project Manager will verify and validate.	During development reviews, functional testing, and user acceptance testing
Document Standards	The FDLE Project Team will use templates for Microsoft Office products to ensure that all documentation follows the same layout. Each document will go through team reviews sufficient to assure quality prior to submission to the customer or to the Project Steering Committee. In addition to templates, the FDLE Project Team will ensure that all documentation complies with established document standards, established version control, and requirements. The Project Team will also ensure that all documentation is accurate and timely. For example, reports should identify potential problems early so they can be avoided or resolved.	During the creation of any document deliverable
Testing	The team will map all system requirements to system functionality for functional and user acceptance testing. The test cases and system will also have adequate sample record data sufficient for determining level of compliance with quality. The Project Team will verify and validate.	During development, functional, and user acceptance testing
FDLE Team Peer Reviews	The FDLE Project Team will perform peer reviews on each other's deliverables by: 1. Performing team reviews of all deliverables for the project prior to release/publishing to the end users. 2. Discussing quality at every review and during each weekly team meeting.	Throughout Project
Inspection and Verification of Deliverables	The Project Manager is responsible for ensuring that project deliverables are inspected at the appropriate time, by qualified staff, and documented. Then the Project Manager reports to the Project Steering Committee with a recommendation regarding acceptance.	Throughout the Project

Procurement Management

Products and services needed for the project are procured by the ITS Administration Section. An Information Resource Request (IRR) form is submitted to the ITS Administration team for review and is reviewed and approved by the Chief Information Officer. After CIO approval, ITS Administration staff coordinates the acquisition of approved products and services following FDLE Policy and State of Florida Contract and Procurement rules and laws.

All procurement artifacts (IRRs, quotes, copies of Purchase Orders, Contracts, deliverable acceptance documents, etc.) are maintained and stored with ITS Administration.

Because the most of the project staff will be hired IT consultants, human resource (staff) management will incorporated into the procurement plan.

Communications Management

The PM is responsible for planning project-related communications to ensure that the project team, stakeholders and customers are kept informed of project status and critical information on a timely basis. This plan will serve as a guide for communications throughout the life of the project and will be updated as communication needs change.

The communications plan is outlined in the Project Workbook. It identifies the following:

- The audience of communications (including key stakeholders, organizations and individuals affected by the project or interacting with the project team)
- The type, frequency and medium of delivery for those communications
- The author or person responsible for delivering the communications.

The communications plan includes, but is not limited to meetings and meeting summaries, project governance meetings, stakeholder communications and project status reports.

Stakeholder management will incorporate into the Communications Plan.

Organizational Change Management

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

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

A preliminary, high-level schedule has been developed and is in Appendix F based on a 3-point estimate of the current system plus the improvements identified by local law enforcement. A detailed project schedule has been Baselined by the Project Manager as approved by the Project Steering Committee.

VIII. Appendices

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

Appendix A – Standards and Definitions

1. **Chapter 74-2, the State of Florida Information Technology Security**

   https://www.flrules.org/gateway/ChapterHome.asp?Chapter=74-2

2. **Lightweight Directory Access Protocol (LDAP)/Active Directory**

   LDAP is an application protocol for accessing and maintaining distributed directory information services over an Internet Protocol (IP) network.

3. **United States Rehabilitation Act – Section 508 details accessibility standards for all systems**

   The Section 508 Standards are part of the Federal Acquisition Regulation (FAR) and address access for people with physical, sensory, or cognitive disabilities. They contain technical criteria specific to various types of technologies and performance-based requirements, which focus on functional capabilities of covered products. Specific criteria cover software applications and operating systems, web-based information and applications, computers, telecommunications products, video and multi-media, and self-contained closed products.

4. **Chapter 74-1, the State of Florida Project Management and Oversight**

   https://www.flrules.org/gateway/ChapterHome.asp?Chapter=74-1

Appendix B – Cost Benefit Analysis Forms

CBAForm 1 - Net Tangible Benefits | **Agency** FDLE | **Project** SOPR Improvement

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A

Agency (Recurring Costs Only -- No Project Costs)	FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	$557,600	$0	$557,600	$557,600	$0	$557,600	$557,600	$0	$557,600	$557,600	$0	$557,600	$557,600	$0	$557,600
A.b Total Staff	4.50	0.00	4.50	4.50	0.00	4.50	4.50	0.00	4.50	4.50	0.00	4.50	4.50	0.00	4.50
A-1.a. State FTEs (Salaries & Benefits)	$97,600	$0	$97,600	$97,600	$0	$97,600	$97,600	$0	$97,600	$97,600	$0	$97,600	$97,600	$0	$97,600
A-1.b. State FTEs (#)	1.50	0.00	1.50	1.50	0.00	1.50	1.50	0.00	1.50	1.50	0.00	1.50	1.50	0.00	1.50
A-2.a. OPS Staff (Salaries)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	$460,000	$0	$460,000	$460,000	$0	$460,000	$460,000	$0	$460,000	$460,000	$0	$460,000	$460,000	$0	$460,000
A-3.b. Staff Augmentation (# of Contractors)	3.00	0.00	3.00	3.00	0.00	3.00	3.00	0.00	3.00	3.00	0.00	3.00	3.00	0.00	3.00
B. Application Maintenance Costs	$143,250	$0	$143,250	$143,250	$5,400	$148,650	$143,250	$5,400	$148,650	$143,250	$5,400	$148,650	$143,250	$85,000	$228,250
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	$5,400	$5,400	$0	$5,400	$5,400	$0	$5,400	$5,400	$0	$85,000	$85,000
B-3. Software	$143,250	$0	$143,250	$143,250	$0	$143,250	$143,250	$0	$143,250	$143,250	$0	$143,250	$143,250	$0	$143,250
B-4. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. Data Center Provider Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Infrastructure	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-3. Network / Hosting Services	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-4. Disaster Recovery	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-5. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Other Costs	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779
E-1. Training	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-2. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other Specify	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779	$9,779	$0	$9,779
Total of Recurring Operational Costs	$710,629	$0	$710,629	$710,629	$5,400	$716,029	$710,629	$5,400	$716,029	$710,629	$5,400	$716,029	$710,629	$85,000	$795,629
F. Additional Tangible Benefits:		$0			$0			$0			$0			$0	
F-1. Specify		$0			$0			$0			$0			$0	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		$0			($5,400)			($5,400)			($5,400)			($85,000)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☑	Confidence Level	10%
Order of Magnitude	☐	Confidence Level	
Placeholder	☐	Confidence Level	

SOPR Improvement . Insert rows for detail and modify appropriation categories as necessary, elements. Reference vendor quotes in the Item Description where in this table. Include any recurring costs in CBA Form 1A.			CBAForm 2A Baseline Project Budget																	
			FY2019-20			FY2020-21			FY2021-22			FY2022-23			FY2023-24			TOTAL		
		$ 3,587,422		$ 1,542,680			$ -			$ -			$ -			$ -			$ 5,130,102	
Project Cost Element	Appropriation Category	Previous Years Project-Related Cost	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR #	YR LBR	YR Base Budget	YR #2	YR LBR2	YR Base Budget2	YR #3	YR LBR	YR Base Budget3	YR #4	YR LBR3	YR Base Budget4	TOTAL		
FTE	S&B	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -		
OPS	OPS			$	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -			
Staff Augmentation	Contracted Services	$ 2,732,004	11.00	$ 1,275,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 4,007,004		
Project Management	Contracted Services	$ 405,975	1.00	$ 200,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 605,975		
Project Oversight	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -		
Consultants/Contractors	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -		
Project Planning/Analysis	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -		
Hardware	OCO	$ 163,023			$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 163,023		
Commercial Software	Contracted Services	$ -		$ 21,800	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 21,800		
Project Deliverables	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -		
Training	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -		
Data Center Services - One Time Costs	Data Center Category				$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -		
Other Services	Contracted Services	$ 206,210		$ 45,880	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 252,090		
Equipment	Expense	$ 80,210			$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 80,210		
Leased Space	Expense			$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -		
Other Expenses	Expense			$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -		
Total		$ 3,587,422	12.00	$ 1,542,680	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 5,130,102		

CBAForm 2 - Project Cost Analysis	Agency	FDLE	Project	SOPR Improvement

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
TOTAL PROJECT COSTS (*)	$1,542,680	$0	$0	$0	$0	$5,130,102
CUMULATIVE PROJECT COSTS (includes Current & Previous Years' Project-Related Costs)	$5,130,102	$5,130,102	$5,130,102	$5,130,102	$5,130,102	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
General Revenue	$1,542,680	$0	$0	$0	$0	$1,542,680
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$1,542,680	$0	$0	$0	$0	$1,542,680
CUMULATIVE INVESTMENT	$1,542,680	$1,542,680	$1,542,680	$1,542,680	$1,542,680	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	x	Confidence Level	15%
Order of Magnitude		Confidence Level	
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary | **Agency** FDLE | **Project** SOPR Improvement

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL FOR ALL YEARS
Project Cost	$1,542,680	$0	$0	$0	$0	$5,130,102
Net Tangible Benefits	$0	($5,400)	($5,400)	($5,400)	($85,000)	($101,200)
Return on Investment	($5,130,102)	($5,400)	($5,400)	($5,400)	($85,000)	($5,231,302)
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	($5,114,208)	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 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix C – Current System Cost

Click to zoom in on the PDF copy of the current system cost table.

Current Operating Costs
Sex Offender / Predator Registry
Updated: 7/25/2017

Category	Item Description	Notes	2017-18	2018-19	2019-20	2020-21	2021-22	Totals
Staff								
	State Staff:							
	DP Mgr (Bullard)		$47,800	$47,800	$47,800	$47,800	$47,800	
	CPA II (Gorijewolu)		$49,800	$49,800	$49,800	$49,800	$49,800	
			$0	$0	$0	$0	$0	
	Contract Staff:							
	Systems Analyst (Desai)		$150,000	$150,000	$150,000	$150,000	$150,000	
	Systems Analyst (Gupta)		$160,000	$160,000	$160,000	$160,000	$160,000	
	Systems Analyst (More)		$150,000	$150,000	$150,000	$150,000	$150,000	
			$0	$0	$0	$0	$0	
	Subtotal - Staff		**$557,600**	**$557,600**	**$557,600**	**$557,600**	**$557,600**	**$1,672,800**
Hardware		Assume 5 year replacement cycle						
	Production							
	Web Servers	Shared		$10,000				
	Process Server	Shared		$2,500				
	Storage Server	Dedicated		$10,000				
	JCI Gateway Server	Shared		$5,000				
	Database Server	Dedicated		$10,000				
	Report Server	Shared		$2,500				
	Document Server	Shared		$2,500				
	Fail-over Server	Shared		$2,500				
	Development							
	Web Servers	Shared		$5,000				
	Process Server	Shared		$2,500				
	Storage Server	Dedicated		$10,000				
	JCI Gateway Server	Shared		$5,000				
	Database Server	Shared		$2,500				
	Test							
	Web Servers	Shared		$5,000				
	Process Server	In Dev		$0				
	Storage Server	In Dev		$0				
	JCI Gateway Server	Shared		$5,000				
	Database Server	In Dev		$0				
	Storage							
	Enterprise SAN (Shared)	In Server cost		$0				
	Subtotal - Hardware		**$0**	**$80,000**	**$0**	**$0**	**$0**	**$80,000**
Software								
	Red Hat Enterprise Linux	Physical & Virtual	$3,350	$3,350	$3,350	$3,350	$3,350	
	JBOSS EAP		$13,000	$13,000	$13,000	$13,000	$13,000	
	Apache Tomcat		$0	$0	$0	$0	$0	
	VMWare		$5,000	$5,000	$5,000	$5,000	$5,000	
	JCI Gateway		$12,000	$12,000	$12,000	$12,000	$12,000	
	Oracle DBMS		$79,200	$79,200	$79,200	$79,200	$79,200	
	Subtotal - Software		**$112,550**	**$112,550**	**$112,550**	**$112,550**	**$112,550**	**$337,650**
Services								
	Google MAP API		$19,200	$19,200	$19,200	$19,200	$19,200	
	Melissa Data Cloud Service		$11,500	$11,500	$11,500	$11,500	$11,500	
	Subtotal - Services		**$30,700**	**$30,700**	**$30,700**	**$30,700**	**$30,700**	**$92,100**
Other								
	Standard Expenses for State pos.		$9,263	$9,263	$9,263	$9,263	$9,263	
	HR Service Fee		$516	$516	$516	$516	$516	
	Subtotal - Other		**$9,779**	**$9,779**	**$9,779**	**$9,779**	**$9,779**	**$29,336**
TOTALS			**$710,629**	**$790,629**	**$710,629**	**$710,629**	**$710,629**	**$2,211,886**

Appendix D – Project Cost Estimate

Click to zoom in on the project cost estimate table.

Title:	Sex Offender/ Predator System Improvement	Planned Costs:			
Cost Element:		Year 1	Year 2	Year 3	Planned Total
A. Personnel		$1,584,000	$2,060,000	$1,465,000	$5,109,000
1	State Staff				
2	OPS Staff				
3	Contract Staff				
3.1	Project Manager	$190,000	$190,000	$190,000	
3.2	Business Analyst	$170,000	$170,000	$170,000	
3.3	Yr 1 - Systems Analysts / Programmers	$1,224,000			
3.3	Yr 2 - Systems Analysts / Programmers		$1,700,000		
3.3	Yr 3 - Systems Analysts / Programmers			$1,105,000	
B. Hardware		$102,200	$98,400	$5,400	$206,000
1	Servers				
1.1	Application servers		$40,000		
1.2	Process servers		$10,000		
1.3	Storage servers	$10,000	$10,000		
1.4	DB servers	$15,000	$15,000		
1.5	Report server	$10,000			
1.6	Document server	$10,000			
1.7	DEV server	$10,000			
1.8	TEST server	$10,000			
2	Storage Systems				
3	Network Equipment				
3.1	Load Balancing Appliance	$18,000	$18,000		
3.2	Maintenance - Load Balancing Appliance	$2,700	$5,400	$5,400	
4	PCs / Workstations				
4.1	PCs for Developers	$16,500			
5	Other Equipment (Describe)				
C. Software		$251,980	$62,280	$62,280	$376,540
1	Software - Application				
2	Software - Systems				
2.1	RHEL Server OS	$8,800	$8,800	$8,800	
2.2	JBOSS Enterprise Application Platform	$13,000	$13,000	$13,000	
3	Software - Database				
3.1	Oracle DB Enterprise Edition	$160,000			
3.2	Oracle DB Enterprise Maintenance	$35,200	$35,200	$35,200	
3.3	Oracle Diagnostics Pack License	$12,000			
3.4	Oracle Diagnostics Pack Maintenance	$2,640	$2,640	$2,640	
3.5	Oracle Tuning Pack License	$12,000			
3.6	Oracle Tuning Pack Maintenance	$2,640	$2,640	$2,640	
3.7	Oracle DB Enterprise Edition	$1,500			
3.8	Oracle Diagnostics Pack	$1,500			
3.9	Oracle Tuning Pack	$1,500			
4	Other Software				
	Microsoft Office				
	Microsoft Project	$1,200			
	Eclipse IDE				
D. Services		$0	$0	$0	$0
1	Consulting				
2	Training				
3	Subscriptions				
4	Hardware Maintenance				
5	Software Maintenance				
6	Other (Describe)				
E. Other		$0	$0	$0	$0
TOTAL		$1,938,180	$2,220,680	$1,532,680	$5,691,540

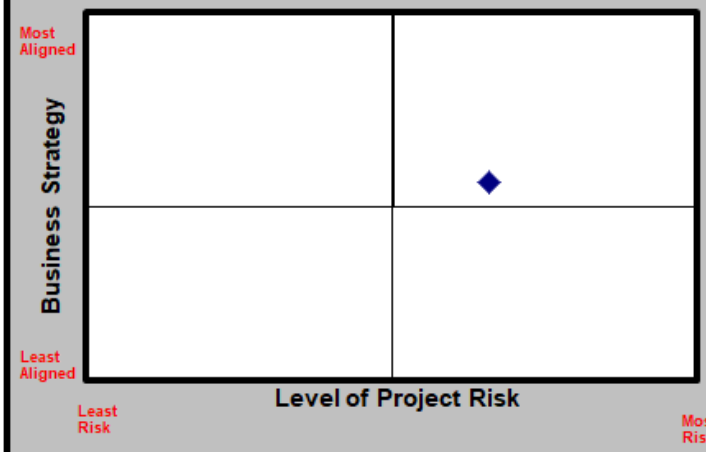
Appendix E – Risk Assessment Worksheets

A copy of the complete project risk assessment is provided in the following pages.

RAForm 1 / Project Assessment

Project	Sexual Offender/Predator Registry Improvement	
Agency	Florida Department of Law Enforcement	
FY 2019-20 LBR Issue Code:	FY 2019-20 LBR Issue Title:	
36118CO	Sexual O/P Registry Improvement	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us		
Executive Sponsor	Donna Uzzell, Special Agent in Charge	
Project Manager	Mary Coffee, Planning and Policy Administrator	
Prepared By	Pamela Bullard/Brian Browning	7/26/2018

Risk Assessment Summary



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

Strategic

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

Technology

Agency: Florida Department of Law Enforcement Project: Sexual Offender/Predator Registry Improvement

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

Change Management

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

Communication

Agency: Agency Name			Project: Project Name
Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	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	Some key messages have been developed
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
		No	

Fiscal

Agency: Florida Department of Law Enforcement		Project: Sexual Offender/Predator Registry Improvement	
Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between $2 M and $10 M
		Greater than $10 M	
		Between $2 M and $10 M	
		Between $500K and $1,999,999	
		Less than $500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Detailed and rigorous (accurate within ±10%)
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Not applicable
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	

Fiscal Continued

5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Firm Fixed Price (FFP)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Purchase all hardware and software at start of project to take advantage of one-time discounts
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the procurement manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation not planned/used for procurement
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding $10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Project Organization

Agency: Florida Department of Law Enforcement	Project: Sexual Offender/Predator Registry Improvement		
Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
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	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Few or no staff from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Project Management

Agency: Florida Department of Law Enforcement Project: Sexual Offender/Predator Registry Improvement

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No Project Management team will use the methodology selected by the systems integrator Yes	Yes
7.02	For how many projects has the agency successfully used the selected project management methodology?	None 1-3 More than 3	More than 3
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None Some All or nearly all	Some
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all have been defined and documented	0% to 40% -- None or few have been defined and documented
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented 41 to 80% -- Some have been defined and documented 81% to 100% -- All or nearly all have been defined and documented	0% to 40% -- None or few have been defined and documented
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable 41 to 80% -- Some are traceable 81% to 100% -- All or nearly all requirements and specifications are traceable	0% to 40% -- None or few are traceable
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented Some deliverables and acceptance criteria have been defined and documented All or nearly all deliverables and acceptance criteria have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required Only project manager signs-off Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables

Project Management Continued

7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	41 to 80% -- Some have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

Complexity

Agency: Florida Department of Law Enforcement Project: Sexual Offender/Predator Registry Improvement

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

Appendix F – Preliminary High-level Schedule

A link to the PDF copy of the Preliminary High-level Schedule is provided in the following page.

ID	Task Name	Work	Baseline Start	Baseline Finish	Start	Finish	% Work Complete
1	**SOPS System Improvement Project**	**62,152.68 ...**	**Wed 7/19/17**	**Tue 6/30/20**	**Wed 7/19/17**	**Tue 6/30/20**	**26%**
2	**SubProject 1 Due FY17/18**	**3,930.77 hrs**	**Wed 7/19/17**	**Tue 1/16/18**	**Wed 7/19/17**	**Fri 2/16/18**	**100%**
3	**Public/CJNet Flyer**	**3,930.77 hrs**	**Wed 7/19/17**	**Tue 1/16/18**	**Wed 7/19/17**	**Fri 2/16/18**	**100%**
7	**SubProject 2 Due FY18/19 Maintenance App**	**33,311.41 ...**	**Mon 11/27/17**	**Wed 7/17/19**	**Mon 11/27/17**	**Thu 7/4/19**	**34%**
8	**Reports Technology Refresh**	**2,337 hrs**	**Wed 1/24/18**	**Wed 1/24/18**	**Wed 1/24/18**	**Wed 1/24/18**	**100%**
9	Report Migration	2,337 hrs	Wed 1/24/18	Wed 1/24/18	Wed 1/24/18	Wed 1/24/18	100%
10	**Reports Enhancements (LBR)**	**1,804.2 hrs**	**Mon 11/27/17**	**Thu 7/19/18**	**Mon 11/27/17**	**Thu 6/28/18**	**59%**
11	**Define Phase**	**509 hrs**	**Mon 11/27/17**	**Mon 2/26/18**	**Mon 11/27/17**	**Tue 5/22/18**	**98%**
73	**Design Phase**	**179 hrs**	**Fri 2/9/18**	**Wed 3/7/18**	**Wed 2/7/18**	**Mon 2/26/18**	**100%**
118	**Development Phase**	**394.2 hrs**	**Wed 3/7/18**	**Mon 6/4/18**	**Thu 2/15/18**	**Fri 5/11/18**	**100%**
148	**Testing Phase**	**706 hrs**	**Mon 2/26/18**	**Tue 7/17/18**	**Mon 4/30/18**	**Tue 6/26/18**	**0%**
232	Implementation Phase	16 hrs	Mon 7/16/18	Thu 7/19/18	Mon 6/25/18	Thu 6/28/18	0%
238	**Reports Enhancements (LBR - Patrol Zones & Adhoc Reports)**	**1,355 hrs**	**Thu 7/19/18**	**Thu 10/25/18**	**Thu 7/19/18**	**Fri 12/21/18**	**0%**
336	**SOPS Application (Technology Refresh) -FY18/19**	**19,106.21 ...**	**Mon 12/4/17**	**Mon 6/10/19**	**Mon 12/4/17**	**Tue 5/28/19**	**36%**
337	**Source New Resources Part 1**	**16 hrs**	**Mon 12/4/17**	**Wed 2/21/18**	**Mon 12/4/17**	**Wed 3/7/18**	**88%**
355	**Source New Resources Part 2**	**0 hrs**	**Tue 5/1/18**	**Wed 7/18/18**	**Tue 5/1/18**	**Wed 7/18/18**	**0%**
367	**Define Phase - Full Registry**	**3,343.72 hrs**	**Mon 12/4/17**	**Wed 4/25/18**	**Mon 12/4/17**	**Fri 5/4/18**	**100%**
992	**Design Phase**	**1,286.12 hrs**	**Wed 3/14/18**	**Thu 6/7/18**	**Mon 3/26/18**	**Tue 6/19/18**	**100%**
1265	**Development Phase**	**9,022.73 hrs**	**Tue 3/20/18**	**Wed 1/30/19**	**Thu 3/15/18**	**Thu 1/17/19**	**25%**
1266	**Registration Information/FL Registrations & Out of State Registrations**	**1,308 hrs**	**Mon 5/7/18**	**Thu 1/10/19**	**Tue 4/10/18**	**Tue 11/27/18**	**13%**
1299	**Registration Information/Transient Check-Ins**	**275.04 hrs**	**Mon 5/7/18**	**Mon 6/25/18**	**Thu 5/17/18**	**Fri 7/6/18**	**0%**

Project: SOPR_Sub Project2_1030
Date: Tue 5/8/18

Task	Inactive Task	Start-only	
Split	Inactive Milestone	Finish-only	
Milestone	Inactive Summary	Deadline	
Summary	Manual Task	Progress	
Project Summary	Duration-only	Manual Progress	
External Tasks	Manual Summary Rollup		
External Milestone	Manual Summary		

Page 1

SCHEDULE IV-B FOR FLORIDA INCIDENT BASED REPORTING SYSTEM (FIBRS) IMPLEMENTATION

For Fiscal Year 2019-20

October 15, 2018

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	Schedule IV-B Submission Date: October 15, 2018
Project Name: Florida Incident Based Reporting System (FIBRS)	Is this project included in the Agency's LRPP? ____ Yes __X__ No
FY 2018-19 LBR Issue Code: 44002C0	FY 2018-19 LBR Issue Title: Florida Incident Based Reporting System (FIBRS)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Richard Swearingen	Date: 10/19/18
Agency Chief Information Officer (or equivalent): Printed Name: Joey Hornsby	Date: 10/15/18
Budget Officer: Printed Name: Cynthia Barr	Date: 10-19-18
Planning Officer: Printed Name: Michelle Pyle	Date: 10/19/18
Project Sponsor: Printed Name: Charles Schaeffer	Date: 10/5/18
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Charles Schaeffer, 850-410-7100, charlesschaeffer@fdle.state.fl.us
Cost Benefit Analysis:	Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us
Risk Analysis:	Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us
Technology Planning:	Charles Schaeffer, 850-410-7100, charlesschaeffer@fdle.state.fl.us
Project Planning:	Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us

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

A. Background and Strategic Needs Assessment

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

1. Business Need

Florida has participated in the Uniform Crime Reporting (UCR) program since 1971, collecting crime data and providing the information to the Federal Bureau of Investigation's (FBI) UCR program. There are approximately 400 Florida state and local agencies UCR reporting summary data to FDLE.

As the FBI's UCR program is phasing out the Summary Reporting System (SRS) in 2021 in favor of incident-based crime reporting, it is necessary for states that report UCR summary data, such as Florida, to make the transition to incident-based crime reporting to participate in national crime reporting statistics and analytics.

Florida's state and local law enforcement agencies' eligibility for certain federal grant funds is dependent on submission of crime statistics to the FBI's "Crime in the U.S. Report". Beginning in 2021, the FBI will only accept incident-based crime data; therefore, Florida will need to submit the state's data in this new format in order to enable the law enforcement agencies to continue to be eligible for annual federal funding.

To accommodate incident-based data, Florida's UCR Program must have a system that is capable of receiving and processing the data, as well as able to report in the National Incident Based Reporting System (NIBRS) format to the FBI.

Florida also generates and publishes crime statistical information for the state. While the current UCR Summary data could continue to be used for state statistics, summary data does not include the same level of detail, nor does it include all crimes that are included in NIBRS. Therefore, using summary data in Florida while all other states and the federal government transition to NIBRS would mean that Florida information cannot be accurately compared or consolidated with data from other states. Additionally, NIBRS provides higher quality and more accurate information along with additional context that agencies need to understand crime problems internally as well as to explain crime trends to their constituents.

NIBRS provides a mechanism to combine data from various law enforcement agencies to study multi-jurisdictional patterns and trends. While most law enforcement agencies have their own information systems with their data structures and codes, NIBRS standardizes the data across agencies so they can be combined easily for multi-jurisdictional analyses. While a law enforcement agency with a sophisticated information system will not need NIBRS to support its internal work, if its analysts are interested in what is happening in neighboring or similar jurisdictions across the country, NIBRS data will expedite the analysis.

The current data collection, analysis, validation, and dissemination processes are a mixture of manual and automated activities performed by many agency staff members that require the use of multiple, disparate information systems. Many of the processes associated with the summary reports are obsolete by technological standards due to age and inflexible design characteristics. There are several areas where current processes do not meet end user needs. The FDLE staff depends greatly on manual processes to achieve business goals. Success depends on staff in approximately 400 agencies

performing interdependent tasks in a timely and correct manner. Manual processes always carry the potential of introducing human error. Due to historical design constraints, it is not possible to upgrade the current disparate systems to meet the new requirements that would bring modern benefits in terms of both efficiency and timeliness of information to FDLE and its customers, such as elected officials, government agencies, the general public, and the media.

Florida state and local agencies currently submit separate data sets for UCR Summary, hate crime, domestic violence, human trafficking, and cargo theft information based on Florida requirements. In addition, the FBI has recently established a process for collecting use of force information from law enforcement agencies. Many agencies also submit data to the Florida Data Sharing Project (FDSP) repositories, and the FDSP data set has significant overlap with these other data sets. Each of these data streams has its own data formats and processes for submitting data, and these disparate requirements add to the burden placed upon the staff at these agencies. While NIBRS includes human trafficking, cargo theft, hate crime, and domestic violence information, Florida collects additional information on hate crimes and domestic violence beyond what is required by NIBRS, and NIBRS does not include a significant portion of the necessary use of force data. Therefore, rather than requiring separate data streams to support NIBRS and non-NIBRS data requirements, Florida can use this opportunity to consolidate data submission to simplify the process and reduce the burden on state and local agencies.

2. Business Objectives

In order to provide incident-based data to the FBI, continue grant eligibility for local agencies, and meet other state requirements, Florida must support the following business objectives.

- Provide a state-level repository for NIBRS data elements and for Florida-specific data elements received from state and local law enforcement agencies
- Provide a mechanism for agencies that do not have a records management system (RMS) or whose RMS is not capable of reporting NIBRS data so that those agencies can provide incident data to the state
- Ingest data from state and local law enforcement agencies
- Perform data quality checks on received data to ensure it meets NIBRS business rules plus additional state-defined business rules
- Generate agency-level statistics from the received data for agency review, and for an appropriate period of time also provide statistics equivalent to the UCR Summary for comparison purposes
- Provide a mechanism for an agency to review the generated statistics, allowing the agency to update their data if necessary
- Generate NIBRS data for submission to the FBI

In addition to the objectives that are geared towards the submission of incident-based data to the FBI, Florida intends to support the following business objectives.

- Automate data quality checks
- Eliminate or improve manual and/or obsolete processes in the collection of data, formatting/reformatting of data, generation of statistics and reports, maintenance of agency information and points of contact, data review and cleanup, and data approval
- Consolidate and streamline data submission from state and local agencies to state, regional, and federal data repositories so that agencies are not responsible for multiple, disparate data

submission processes

- Eliminate standalone stovepipe data collection websites currently maintained by FDLE for collection of hate crime, human trafficking, and cargo theft information
- Provide an integrated mechanism for agencies to submit data to the recently established FBI Use of Force repository
- Provide web-based mechanisms to disseminate state and local crime data and statistics to the public, media, and government officials in a timely manner.

B. Baseline Analysis

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

1. Current Business Process(es)

Background

The Department of Justice's (DOJ) Federal Bureau of Investigation (FBI) is responsible for the Uniform Crime Reporting (UCR) program. The DOJ's Bureau of Justice Statistics (BJS) uses the data from the UCR program to generate national crime statistics. BJS is tasked with generating a representative sample of national crime data as part of the National Crime Statistics Exchange (NCS-X) program. The UCR program includes both Summary Reporting System (SRS) data as well as the National Incident Based Reporting System (NIBRS). Summary data has been collected since the 1930s, while NIBRS came online nationally in 1988.

Florida has participated in the UCR program since 1971, collecting crime data and providing the information to the FBI UCR program. While Florida once reported incident-based data, for the last twenty years Florida has been reporting UCR summary data.

Approximately 400 state and local agencies report summary data to FDLE, with some agencies reporting data for their jurisdiction as well as other jurisdictions. The state and local law enforcement agencies submit summary data to FDLE; FDLE checks, compiles, and verifies the information, and then submits the State's summary data to the FBI UCR Program. The overall business process includes not just data submission to FDLE or the FBI, but also the management of agencies and users who submit data through the FDLE UCR Summary system, data validation, and report generation. In addition, FDLE prepares state crime data and statistics for release to the public and media through their public website. The details for the current business process are described below.

User and Agency Management

UCR summary data in Florida is reported for approximately 400 jurisdictions, and each jurisdiction has been assigned at least one unique ORI code[1]. UCR summary data is reported by ORI code. Some jurisdictions have multiple ORI codes; for example, the Florida Highway Patrol (FHP) is a single reporting agency, but has a unique ORI for each county in the state and submits data for each ORI code. Overall, UCR Summary data is reported for 627 ORI codes; this could vary slightly in the future due to the establishment of new agencies or the addition of ORI codes within agencies.

[1] An ORI code (Originating Agency Identifier) is a unique nine-character identifier assigned by the FBI to a law enforcement agency.

Each agency that reports UCR data designates one or more users who have access to the FDLE UCR system. These users are assigned specific roles: AGENCY_ADMIN, CARGOTHEFT_USER, HATECRIME_USER, HUMAN_TRAFFICKING_USER, and UCR_USER. The AGENCY_ADMIN role permits access to all of the input modules while the others are limited to their respective modules. Each user is assigned the ORI code(s) that indicate what data he/she is allowed to access. Each agency may have multiple users, and each user may have access to multiple agencies. Agencies are configured as a regular agency or a contract agency. A contract agency's data is submitted by another agency. For example, Broward County Sheriff's Office reports county data as recorded by the Sheriff's Office, but also data for some cities in the county, such as the Pembroke Park Police Department. Therefore, a Pembroke Park user would be configured as a contract agency user.

Users access FDLE's UCR system either through Florida's Criminal Justice Network (CJNET) or through the public Internet. While every agency has access to CJNET, only specific terminals and systems are connected to CJNET. Each user gains access via a username and password.

FDLE manages agencies and users as described below.

Creating and Managing Users

New users are manually added by FDLE administrators through a user management tool. Any user who inputs or manages UCR summary data for an agency is assigned an AGENCY_ADMIN role. Users may be assigned other roles, such as for cargo theft. Each user is also assigned at least one ORI code. The user role of AGENCY_ADMIN is assigned to new users by default unless limited duties are indicated by the agency as part of the request.

FDLE also manages users, including updating user information, resetting passwords, removing user accounts, or adding or deleting ORI codes for an account.

New user accounts are created as requested by agencies in the state via the agencies' designated contacts. Agencies notify FDLE when users are terminated or when someone will no longer be performing UCR-related tasks. The timeliness of the notification is dependent upon the agency; however, occasionally FDLE receives notifications via return messages from disabled email accounts.

Managing Agencies

FDLE maintains information for each jurisdiction in the UCR Input Module. The data fields include basic agency information (ORI, agency name, address, and vendor) and contact information fields for the commanding officer, UCR contact person, and Human Trafficking contact. The contact fields include the person's name, title, email, phone number, and fax number. Agencies can update this information themselves using the AGENCY_ADMIN role, but normally the change is made by FDLE personnel when notified to ensure that the information is updated.

Updating agency population values in UCR Input Module

FDLE has used population data generated by the University of Florida (UF) Bureau of Economic and Business Research (BEBR), not U.S. Census data, to generate statistics since 1971. The population information is generated annually and includes data for each city, town, and unincorporated area. Since FDLE does not receive data from cities and towns that do not have a police force, FDLE must manually

combine cities and towns with unincorporated areas as necessary to be able to generate accurate crime rates. This population data is entered manually into the UCR Input Module.

Updating information in agency contact list spreadsheet

In addition to the agency information maintained in the UCR Input Module as described above, FDLE manually maintains an agency contact list spreadsheet that includes most of the same information plus contact information for hate crimes and annual employee counts. The spreadsheet includes worksheets with contact information for specific uses, such as email addresses for agencies in each of the seven FDLE regions, state agencies, sheriff's offices, police chiefs, and points of contact for hate crimes.

Activities for Each Reporting Cycle

There are two reporting cycles, semi-annual and annual. The semi-annual cycle covers the first six months of the year, and the annual cycle covers the entire year. Agencies may submit updated information for the first half of the year during the second half, which is incorporated in the annual report. Because of the potential for updated data affecting the first six months, one cannot assume that the difference between the data submitted during the semi-annual period and the annual period represents crime in the second half of the year.

Unless otherwise noted, documentation in this section applies to both annual and semi-annual reports.

Setting Up New Reporting Period

At the beginning of each reporting period, FDLE manually creates and opens a new reporting period in the UCR system. FDLE creates a new version of a tracking spreadsheet that logs if and when each agency has submitted its data, what kind of agency it is, whether FDLE has sent a summary verification package(s) to the agency head, whether each agency has provided a signed verification of its data, and whether an agency is in the process of adjusting/correcting its data following an initial submission.

Once the initial setup is complete, FDLE manually emails a notification that the reporting period is open, which prompts agencies to start their entry of data.

Agency Entry of Data

UCR Summary Data

Users submit UCR summary data to FDLE either by uploading seven mandatory and two optional data files per ORI code as text files or by filling in an online form. The Agency UCR upload files contain comma separated text fields. In either case, the data indicates the ORI code for the data, the report period, and report year. A user who reports for multiple ORI codes must upload multiple sets of files or fill in multiple forms.

The UCR system, including the input web site, is written, hosted, and maintained at and by FDLE's Information Technology Services (ITS).

Submitted UCR summary data undergoes a number of validations to ensure the consistency of numeric data, the ORI is correct, the reporting period is accurate, etc. If all validations pass, the data is ingested into the UCR summary system.

Hate Crime and Cargo Theft Data

Hate crime and cargo theft data are only reported annually (not semi-annually) to the FBI. Although FDLE submits this data to the FBI only on an annual basis, local agencies report the data to FDLE as incidents occur.

Hate crime and cargo theft information is supplied by agencies to FDLE solely through forms that must be filled out manually on a web page. While some field-level validation is performed on this data, there is no cross-field validation logic on either the hate crime or cargo theft forms. There is not a designed input module to collect this data; instead, online survey forms are used which include drop-down menus for fields where the response is limited to a list of select codes. Since all data is entered in free-form fields, FDLE personnel must manually review and test for errors, and correct formatting and typographical errors.

Human Trafficking Data

Human Trafficking data is only reported annually (not semi-annually) to the FBI. Although FDLE submits this data to the FBI only on an annual basis, local agencies report the data to FDLE as incidents occur.
Human Trafficking data is entered by agency users via a dedicated web-based input module. The system performs cross-validation logic that checks Human Trafficking data for internal validation errors. It works similarly to the UCR error checks. Human Trafficking data is only reported for occurrences and is incident-based rather than statistics for a specified time period as with UCR summary data.

Employee Count Data

Employee count data is only reported annually (not semi-annually) to the FBI.

The FBI requires statistics on the number of full-time employees in law enforcement in the state, designated by the number of males and females in two categories: law enforcement officers and civilian employees. This data includes employees from all law enforcement agencies but not Department of Corrections employees.

FDLE maintains a database that can generate an accurate count of sworn officers since all have to be approved by the State, and this data can provide the number of male and female officers. However, the civilian employee count includes anyone else employed by law enforcement agencies in a civilian capacity, which is not available through existing FDLE databases.

FDLE has a web-based survey form for the collection of data for both the sworn and civilian personnel at each agency. The data collection for the current cycle is launched around October 31st through an email notification to the agencies. At the completion of the survey in December, FDLE manually compiles a spreadsheet of the results which is provided to the FBI.

Data Validation and Updates

Submission tracking and verification

FDLE manually maintains a tracking spreadsheet to note when data submissions occurred, whether submissions are pending, if and when FDLE has sent a summary verification package(s) to the agency, whether each agency has provided a signed verification of its data, and whether an agency is in the process of adjusting or correcting its data following an initial submission. There are situations when an agency will report to FDLE that it will not be submitting data for a particular reporting period, and these situations are tracked as well. The tracking spreadsheet is used to manually generate reports for managers to show the status of the current submission cycle. If an agency submits data but is unable to

verify and complete the submission process for a specific submission cycle, in addition to updating the tracking spreadsheet to note this, that agency's data must be manually removed from the database.

FDLE creates a copy of the UCR Database twice daily. This process performs data cleanup such as standardizing formats and generates reports.

FDLE generates several reports that are saved in portable document format (PDF) and then manually e-mailed to the agencies following data submission for review and verification purposes. These reports can also be run at the county and statewide level and are used to generate reports that are placed on the website or run on an ad hoc basis to provide data to outside requestors.

FDLE uses statistical analytical software (SAS) to manually generate a Verification Checklist Packet for each ORI that provides the verification details for that agency's submission, as well as for re-submissions if changes are made. There are numerous detailed validations that are performed, primarily with regard to values being consistent, such as that specific numeric counts add up to the supplied total. The checklist provides a comparison of the currently reported data to the previous year. Each agency receives the summarized data in the form of a "Crime in Florida Report." The checklist includes a signature block that must be signed by the agency head or designee and returned to FDLE to document that the agency approves of the final data as reported. FDLE coordinates with each agency, following up as needed to ensure data is submitted, corrections are completed when necessary, and the verification checklist form is signed. Signed verification forms are returned to FDLE via fax or email, and FDLE collects and tracks the signed forms.

FDLE manually sends out reminders to agencies that have not yet submitted or verified data.

Use of Detail/Error Warning Report

Once a user has entered data into the system, either by manual data entry or upload of data files, the Detail/Error Warning Report is available and must be accessed by the user as part of the submission process. When users access the Detail/Error Warning Report, they receive a list of reported errors and warnings. Warnings reflect data that is atypical but not necessarily wrong. If any errors are displayed, they must be corrected or submission is not possible. When the report indicates no errors are present, users may then complete the submission of their data.

In addition to the Detail/Error Warning Report, a test environment version of the UCR Input Module is available for agencies to submit partial data (i.e., less than the full cycle) to identify any errors. This has been provided to allow agencies to correct errors during the course of a reporting period rather than having to wait until submitting for the full cycle when agencies would then have six or twelve months of errors to fix at once.

FDLE actively works with agencies by phone and email to correct any errors preventing submission or any errors revealed during verification.

Finalizing Submissions and Locking Data

Once an agency signifies that its submission is complete, their data record is locked. If the agency determines that corrections are required, or if FDLE data verification reveals an issue, the agency can request that its record be unlocked. FDLE manually unlocks the record so the agency can make necessary corrections.

Agency Download of Data Tables

Once data has been input by agencies, an agency user may view a summary of the entered data for each data table (offense, arrest, etc.). When viewing a table in the input program, the user has the option to download the table in Microsoft Word, Microsoft Excel, or PDF format. This can be helpful if errors are present that need to be resolved, or if they would like to make a copy of their submitted data for their records.

Finalizing Data and Submitting to FBI

Closing of Reporting Period in UCR Input Module

Once data submission is complete and the data has been verified and approved, FDLE manually closes the reporting period so reports can be generated.

Federal Report Generation and Submission to the FBI

FDLE manually generates the Human Trafficking report as an XML file per the FBI National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) specification.

The hate crime and cargo theft data have historically been provided as Microsoft Excel spreadsheets, where the data is collected in online forms and FDLE generates a spreadsheet for each data set. At the request of the FBI, FDLE provides those as flat files per the respective FBI technical specification, and the flat files are generated from the spreadsheets.

Employee count data is compiled by FDLE into a spreadsheet which is provided to the FBI.

Currently, data files are emailed to the FBI.

Reporting Activities for Florida

Once data is available for the reporting period, FDLE prepares reports for publication on the FDLE website. It is important to release the correct information on the FDLE website in a timely manner as FDLE typically gets requests for the semi-annual and annual information releases.

In addition, FDLE prepares a Hate Crimes spreadsheet for the Florida Office of the Attorney General. Florida Statute 877.19, the Hate Crimes Reporting Act, outlines Hate Crime reporting requirements for the state, asserting that law enforcement agencies report Hate Crimes to FDLE and the Florida Attorney General's Office publishes an annual hate crime report.

Differences Between UCR and Florida Reports

FDLE collects some data elements that are not defined by the FBI's UCR Summary specification. Some are collected as required by Florida statute, others because of state Attorney General requirements or requests. These data elements are primarily for hate crimes and domestic violence.

There are some values for data elements defined in the FBI's UCR Summary specification that FDLE does not collect. For example, Florida's data lacks the same level of granularity for victim and offender ages, race by age and sex of offender, types of drugs associated with an arrest, or types of felonies associated with homicides.

Data Format

The format for the agencies' UCR Summary reporting files does not follow the UCR format defined by the FBI, but is an FDLE-specific comma-delimited text file format. The data files uploaded by agencies into the UCR input system are the same for the semi-annual cycle as for the annual cycle.

Drivers for Change

The top driver for change is that the FBI is scheduled to stop accepting UCR Summary data in the year 2021 and will only accept NIBRS data afterwards. Florida's current processes and systems cannot effectively be upgraded to meet national standards. States that only report UCR Summary data, including Florida, must make the transition to NIBRS to participate in national crime reporting statistics and analytics.

The current data collection, analysis, validation, and dissemination processes are a mixture of manual and automated activities performed by many agency staff members at all levels of government that require the use of multiple, disparate information systems. Many of the processes associated with the summary reports are obsolete by technological standards due to age and inflexible design characteristics. There are several areas where current processes do not meet the needs of the users of the systems and/or data. The FDLE staff depends greatly on manual processes. Success depends on staff in approximately 400 agencies performing interdependent tasks in a timely and correct manner. Manual processes always carry the potential of introducing human error. Due to historical design constraints, it is not possible to upgrade the current disparate systems to new requirements that would bring modern benefits in terms of both efficiency and timeliness of information to FDLE and its customers such as elected officials, government agencies, the general public, and the media.

NIBRS Benefits to State and Local Agencies

NIBRS provides a number of benefits to state and local agencies.

The June 2014 NCS-X bulletin includes a frequently asked question "How will participating in NIBRS benefit a local agency's needs?" It is answered as follows: "In today's environment of open access to data, NIBRS provides a national standard for crime reporting to which local agencies can point when interacting with elected officials, the media, and the public. The editing and validation checks built into the NIBRS reporting standard provide agencies with higher quality and more accurate incident-based data. The additional data collected through NIBRS also provides the context that agencies need to understand crime problems internally and to help explain crime problems and trends to their constituents. Finally, agencies collecting NIBRS data can track crimes based on the attributes of the crime incident, not just on the limited number of crime types captured by the standard UCR Part I offenses. For example, NIBRS will allow an agency to talk about gangs, drugs, and firearms related crimes at a level of detail not possible with summary UCR data. "

In addition to a significant improvement in the details and context of the reported data, the data will also be more timely. Florida UCR Summary data is submitted twice per year, so it is somewhat out-of-date before it is compiled into crime statistics and published. NIBRS data is generally submitted monthly and is, therefore, much more current. This means that statistics can be published more frequently, providing more timely data not only to law enforcement, but to the public and elected officials as well.

NIBRS also provides a mechanism to combine data from various law enforcement agencies to study multi-jurisdictional patterns and trends. While most law enforcement agencies have their own information systems with their data structures and codes, NIBRS standardizes the data across different agencies so that they can be combined easily for multi-jurisdictional analyses. While a law enforcement agency with a sophisticated information system will not need NIBRS to support its internal work, if its analysts are interested in what is happening in neighboring or similar jurisdictions across the country, NIBRS data will expedite the analysis.

Support for Small Local Agencies

There are agencies in Florida that do not have a records management system (RMS), or do not have one capable of reporting UCR Summary (or NIBRS) data. These agencies either do not provide data to FDLE, or have to manually type in their entire data set using the FDLE UCR Input Module. Manual data entry increases the risk of data entry errors and is time-consuming. Agencies that do not have an RMS must rely on paper forms, or electronic forms stored potentially on a local computer.

Support should be provided for agencies that do not have the budget and resources to buy or maintain a NIBRS-compatible RMS, which could include providing access to a basic RMS system that is capable of NIBRS reporting. This would not only increase the statistical or incident data available to the State, but would also streamline incident management at the local level.

National Crime Statistics Exchange (NCS-X) Program

The National Crime Statistics Exchange (NCS-X) program, led by BJS and the FBI, is an effort to expand NIBRS into a nationally representative system of incident-based crime statistics. The goal of NCS-X is to enroll a sample of 400 scientifically selected law enforcement agencies to submit data to NIBRS. When these 400 new NIBRS-reporting agencies are combined with the more than 6,800 agencies that already reported to NIBRS as of 2013, the nation will have a nationally representative system of incident-based crime statistics drawn from the operational data systems of local and state law enforcement agencies. These incident-based data will draw upon the attributes and circumstances of criminal incidents and allow for more detailed and transparent descriptions of crime in communities. Thirty-one of those 400 sample agencies are in Florida. NCS-X provides funding to states and sample agencies to offset at least some portion of the costs of transitioning to NIBRS.

Consolidate and Simplify Data Submission for State and Local Agencies

Florida's state and local agencies currently submit separate data sets for UCR Summary, hate crime, domestic violence, human trafficking, and cargo theft information based on Florida requirements.[2] In addition, the FBI is piloting a process for collecting use of force information from law enforcement agencies. Many agencies also submit data to the Florida Data Sharing Project (FDSP) repositories, and the FDSP data set has significant overlap with these other data sets. Each of these data streams has its own data formats and processes for submitting data, and these disparate requirements add to the burden placed upon the staff at these agencies.

While NIBRS includes human trafficking, cargo theft, hate crime, and domestic violence information, Florida collects additional information on hate crimes and domestic violence beyond what is in NIBRS, and NIBRS does not include a significant portion of the necessary Use of Force data. Therefore, rather

[2] Florida Statute 943.05 outlines program requirements for crime reporting.

than requiring separate data submission processes to support NIBRS and non-NIBRS data requirements, Florida can use this opportunity to consolidate data submission to simplify the process and reduce the burden on state and local agencies.

Current Metrics

Note that performance metrics are not applicable for the current business process given that:

- the current system takes input submissions only twice per year,
- the first submission covers a six month period; the second submission covers a twelve month period,
- each submission contains 7-9 files, and
- each file consists of a limited set of numerical statistics.

2. Assumptions and Constraints

Assumptions

- The collection of statistical information is mission critical to FDLE which analyzes criminal justice data and prepares statistical reports for policy makers, planners, and program developers, in addition to supporting local law enforcement agencies in crime analysis and grant eligibility.
- Detailed requirements need to be documented before moving forward with the project.
- Requirements and requests for data collection from the federal government, as well as requirements from the Florida legislature and/or Attorney General will evolve over time.
- The system will comply with state of Florida and FBI Criminal Justice Information Services (CJIS) Security Policies.

Constraints

- NIBRS data submissions to the FBI must conform to the FBI NIBRS technical specification and must be certified by the NIBRS program.
- Florida must continue to collect hate crime and domestic violence data beyond what is required for NIBRS.
- Use of force data submissions to the FBI must conform to the FBI Use of Force technical specification.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

1) Establish a Florida Incident-Based Reporting System (FIBRS) data repository for incident-based data from state and local agencies
2) Collect all NIBRS data elements on a monthly basis (or more frequently) from state and local agencies for all NIBRS-reportable incidents and arrest

3) Continue to collect all Florida-specific data elements (i.e., not included in NIBRS) for hate crime and domestic violence on a monthly basis (or more frequently) from state and local agencies
4) Collect use of force data on a monthly basis (or more frequently) from participating state and local agencies
5) Collect FDSP data from participating state and local agencies
6) Collect employee count data from state and local agencies annually, designating law enforcement or civilian employees and male or female
7) Ensure that statistical incident data (e.g., NIBRS, hate crime) is cleanly separated from more sensitive investigative data
8) Minimize the number of separate and unique data submission processes and data sets that state and local agencies must support
9) Eliminate and/or streamline current manual processes for collecting, reviewing, tracking, and updating data submissions
10) Maintain information on state and local agencies, including one or more designated reporting coordinators for each agency, referred to as a Reporting Agency Coordinator (RAC), and his/her contact information
11) Maintain information for one or more designated data approvers for each agency, referred to as an Agency Data Approver (ADA), and his/her contact information
12) Provide training and support for each agency's RACs and ADAs
13) Provide a user management capability to allow the addition, deletion, and modification of FIBRS users, including FDLE and state/local agency users, providing the ability to manage user authorization and privilege management so that each user only has access to the data he/she are authorized to view, update, or approve
14) Support state and local agencies to generate data for submission to the state repository to ensure the data is accurate, complete, timely, and of high quality
15) Provide a mechanism for agencies that do not have an RMS or whose RMS is not capable of reporting NIBRS data so that those agencies can provide incident data to the state
16) Perform automated and manual data quality checks on received data to ensure it meets NIBRS and use of force business rules plus state-defined business rules
17) Provide a mechanism to alert an agency of any data quality problems in the received data, along with a way for the agency to update its data
18) Generate agency-level data and statistics from the received data for agency review, and for an appropriate period of time also provide statistics equivalent to the UCR Summary for comparison purposes
19) Provide a mechanism for an agency to review and download the generated statistics, and to update its data if the review indicates any issues with the data provided by the agency
20) Provide a mechanism for a RAC to indicate to FDLE that the agency's data is not to be included in the state's NIBRS submission, which may occur for reasons such as concerns with the statistics resulting from the agency's data, data quality issues, RMS issues, etc.
21) Provide a mechanism for the ADA to explicitly approve the submitted data based on agency review of the data and the corresponding generated statistics, and where approval is mandatory for semi-annual and annual data compilations and optional for all other monthly data submissions
22) Provide an automated mechanism to track data submissions and approvals to show the status of the current submission cycle, including agencies who have submitted data, are revising data, or that will not be able to submit data, that have indicated that the data is not to be included in the state's NIBRS submission, and that have formally approved their data

23) Provide automated reminders to RACs if his/her agency has not submitted its data, and to RACs and ADA(s) if the agency has not provided one of the mandatory formal approvals of its data
24) Accept UCR Summary data submissions from state and local agencies until FDLE determines that a sufficient number of agencies are submitting data to FIBRS
25) Manage agency population data for use in developing statistics
26) Generate NIBRS data for monthly submission to the FBI for the entire state
27) Submit data to FDSP for those agencies that want their data included in FDSP
28) Submit use of force data to the FBI for those agencies that want their data submitted
29) Submit employee count information to the FBI annually
30) Generate state crime data and statistics for publication and distribution
31) Publish state crime data and statistics for dissemination to the public, media, and government stakeholders

2. Business Solution Alternatives

In 2016, FDLE received funding from the NCS-X program to develop an implementation plan for transitioning from UCR Summary to NIBRS. As part of that project, FDLE developed an online readiness assessment survey to collect information from Florida state and local agencies. In addition, FDLE participated in a number of on-site readiness assessments conducted directly by the NCS-X program.

These assessments provided a statewide snapshot with the following data points:

- Incident data collection processes and systems currently in place across the state
- NIBRS data elements currently being collected at each agency
- Vendor and agency-developed RMS products in use, as well as short-term plans for upgrading or replacing products
- Readiness of deployed vendor and agency-developed RMS products for NIBRS data collection, quality checks, and submission to the state
- Number of officers and staff potentially impacted by the NIBRS transition

The project was also intended to conduct the following tasks:

- Document AS-IS and TO-BE high-level business processes and technical functionality for Florida's statistical reporting at the state level.
- Determine the use of RMS products and the changes and costs required to implement and deploy a statewide incident reporting system that can support NIBRS.
- Determine data elements that state and local agencies are required to submit to the state beyond what is defined by NIBRS.
- Research data that is submitted to other state and federal programs, and evaluate the potential for simplifying the current disparate data submission processes state and local agencies must support.
- Develop cost and schedule estimates for a new Florida system that supports NIBRS at a minimum.
- Develop and research alternative approaches for implementing a new statewide NIBRS reporting system that also supports Florida-specific data elements, and the potential for consolidating the current disparate data submissions to other programs.

Four approaches were evaluated as follows:

Approach 1 – Develop a basic NIBRS capability based on the existing NIBRS technical specification.
Approach 2 – Leverage the existing Florida Data Sharing Project (FDSP) systems in the state.
Approach 3 – Develop a system based on the existing FBI National Data Exchange (N-DEx) data submission specification.
Approach 4 – Develop a hybrid system that accounts for the strengths and weaknesses of FDSP and N-DEx.

3. Rationale for Selection

FDLE applied several criteria to compare alternatives and recommend a business solution that best meets the business and strategic needs of the agency, as well as state and local agency stakeholders.

These criteria include:

- Initial and future workload for state and local agencies
- Support for multiple data sets used by the state and/or the FBI
- Ability to automate or streamline data collection processes
- Ability to disseminate crime data and statistics to public, media, and government stakeholders
- Impact to vendor and agency RMS systems
- Impact to FDLE IT services and systems
- Costs

4. Recommended Business Solution

After evaluation of several approaches, the recommended business solution is to replace the current UCR Summary system with a new hybrid solution, based on Approach 4, above. This system will meet Florida's needs for collecting NIBRS, FDSP, use of force, and the Florida-specific data elements required for hate crime and domestic violence reporting, while also supporting FDLE's need for a state-owned crime data and analysis repository. The new FIBRS system will be based on Commercial Off-The-Shelf (COTS) products that are customizable to meet current and future business needs and integrate with existing FDSP systems.

FIBRS will be able to process and store all required high level data constructs and all detailed data contents to meet both current needs and anticipated future upgrades. This approach will define business rules to ensure the data is consistent and of high quality, so that crime data can be used for both statistical and investigative purposes.

To realize the business solution, FDLE plans a competitive procurement process to determine and acquire commercially available systems that can be customized to meet FDLE's business requirements.

The contracted systems will include, but are not limited to:

- Commercial NIBRS repository
- Commercial RMS product
- Integration with existing FDSP systems
- Contracted services to upgrade local agencies' RMS products
- Computer hardware (e.g., servers, storage, and network)

- Commercial systems software (e.g., operating system, database management system, and application server platform)
- Project management services
- Software customization services
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)

D. Functional and Technical Requirements

Purpose: To identify the function and technical system requirements that must be met by the project?

This section documents the functional and technical requirements of the system. These functional requirements are mapped to the corresponding business process requirement numbers documented in "Section II.C.1 – Business Process Requirements" of this document using the notation (BPR #X).

Data Collection and Storage

- The FIBRS repository will be hosted at the FDLE data center with a backup repository hosted at the FDLE backup data center. (BPR #1)
- The FIBRS backup repository does not require a real-time failover capability, but the backup repository must be capable of being brought online within 8 hours and have access to the most current data from the primary repository. (BPR #1)
- The FIBRS repository will be capable of supporting data elements and their cardinality as defined by the FIBRS Extensible Markup Language (XML) data specification. (BPR #1) Where equivalent data elements are included in more than one data source or external specification listed below, the FIBRS XML data specification will have a single data element. The FIBRS XML data specification will include the data elements described below (BPR #2, #3, #4, #5, #9):
    - All data elements and their corresponding cardinality as defined in the most recent FBI NIBRS specification
    - All data elements and their corresponding cardinality as defined in the most recent FBI Use of Force specification
    - Multiple occurring text element for the state statute corresponding to the offense(s)
    - Multiple occurring text element for the local statute corresponding to the offense(s)
    - All data elements currently available in the FDSP
    - All existing Florida hate crime (bias motivation) code values
    - All existing Florida domestic violence relationship categories
- The FIBRS technical specification will include markings so that an agency can indicate that the data for a specific incident may be included in NIBRS submissions, use of force submissions, forwarded to the FDSP, or any combination. For example, an agency may indicate that an incident is to be included in NIBRS submissions but not forwarded to the FDSP. (BPR #8, #20, #26, #27, #28)
- The FIBRS repository will be capable of supporting employee count data elements, including (BPR #6, #29):
    - Agency name
    - Agency ORI
    - Report year
    - Number of law enforcement personnel
    - Number of civilian employees

    - Number of male employees
    - Number of female employees
- The FIBRS repository will provide an interactive mechanism for agencies to submit their annual employee count information. (BPR #6)
- The FIBRS repository will accept agency data submissions that conform to the FIBRS XML data specification. (BPR #14)
- The FIBRS repository will retain the original data submission as provided based on the FIBRS XML data specification. (BPR #2, #3, #4, #5)
- An agency data submission to FIBRS will consist of one or more files, where each file contains a single incident. (BPR #14)
- FIBRS will provide a mechanism for an agency to indicate it has no reportable incidents for a particular month. (BPR #14)
- Agencies will submit data to FIBRS through a secure web service accessible via CJNET or over the Internet. (BPR #14)
- The FIBRS repository will store the following information for each agency and contact information for appropriate personnel designated by the agency (BPR #10, #11):
    - Agency name
    - Agency ORI(s)
    - Agency region
    - Code indicating whether sheriff's office, police department, state agency or other agency head name
    - Agency head phone number(s)
    - Agency head fax number(s)
    - Agency head email address
    - RAC name
    - RAC phone number(s)
    - RAC fax number(s)
    - RAC email address
    - ADA name
    - ADA phone number(s)
    - ADA fax number(s)
    - ADA email address
    - Personnel contact name
    - Personnel contact phone number(s)
    - Personnel contact fax number(s)
    - Personnel email address
    - Date agency information updated
- The FIBRS repository will support the import of population data from University of Florida (UF) Bureau of Economic and Business Research (BEBR). FIBRS will automate the consolidation of population data to combine cities and towns with unincorporated areas as necessary to allow accurate calculation of crime rates for all jurisdictions. (BPR #9, #25)
- FDLE will acquire an RMS for use by agencies that do not have an RMS, whose RMS is not capable of reporting NIBRS data, or who desire to transition to a state-supported solution. FDLE will work with interested agencies to define requirements for the RMS, evaluate RMS products, and to collect feedback on the recommended product. (BPR #9, #15)
- The state-provided RMS will be accessible over the Internet from an officer's desktop computer, laptop, or Mobile Data Terminal. Regardless of where the officer is and whether he/she has network access, the officer must be able to access all functions of the software and all code lists

in order to be able to enter complete incident data. However, if the officer is at a location without network access, the software must temporarily store the data and be capable of uploading the data to the RMS when network access becomes available. (BPR #15)

- The state-provided RMS may be hosted at the FDLE data center with a backup RMS hosted at the FDLE backup data center, or FDLE may utilize an RMS hosted at a secure site such as International Justice and Public Safety Network. (BPR #15)
- The state-provided backup RMS does not require a real-time failover capability. However, if a real-time failover is not available, the system must support officer entry of data into his/her desktop computer, laptop, or MDT at all times with the ability to transmit the input data to the RMS when the backup RMS comes online or the primary RMS returns to service. (BPR #15)
- FDLE will provide technical assistance to RMS vendors and developers to provide training on the FIBRS technical specification and functional and technical requirements, as well as to provide implementation and testing support, to ensure that all implementers understand the requirements and are able to develop products that will interoperate with FIBRS. (BPR #14)
- FDLE will provide technical and financial support for agencies to upgrade their RMS systems in order to ensure that as many agencies as possible are able to participate, providing the jurisdictional and population coverage necessary for representative crime statistics for the state and the nation. (BPR #14)
- Agencies will submit their data at least monthly; however, the FIBRS repository will support accepting data on a more frequent basis. Agencies that desire their incident data to be available to the FDSP will submit their data to FIBRS on a daily basis. (BPR #1, #2, #3, #4, #5)
- The FIBRS repository will perform automated checks on submitted data to ensure it adheres to all NIBRS and use of force business rules, as well as any rules defined by FDLE. (BPR #9, #14, #16)
- The FIBRS repository will provide a mechanism for FDLE personnel to view submitted data in order to perform manual checks on the data to ensure it adheres to business rules that cannot be automated. (BPR #14, #16)
- Agencies will be able to update their data to correct errors or to incorporate more recent information. (BPR #14, #17, #19)
- The FIBRS repository will calculate UCR Summary statistics from agency data submissions and provide to each agency so staff can compare with earlier statistics. This provides continuity with historical data, and also provides an extra check that submitted data accurately reflects crime in the jurisdiction. The agency can download the generated statistics or view through FIBRS. (BPR #18, #19)
- An agency that submits FIBRS data will not be required to also submit UCR Summary data. (BPR #18, #24)
- FDLE will continue to accept UCR Summary data from agencies that have not transitioned to the use of the FIBRS technical specification until FDLE determines that a sufficient number of agencies are submitting data to FIBRS. Depending on the capabilities of the product selected for the FIBRS repository, UCR Summary submissions may continue through the existing UCR Input Module, or may be submitted through FIBRS. (BPR #24)

Administration and Management

- An agency can designate one or more persons to be an agency RAC, and one or more persons to be an agency ADA. A RAC and an ADA may be the same person(s). (BPR 10, #11)
- RACs and ADAs will be provided training on their roles and on any software tools available to them to support their tasks. New RACs and ADAs must receive training prior to being granted

access to FIBRS. Existing RACs and ADAs will receive periodic refresher training, with the frequency of refresher training to be determined by FDLE. (BPR #12)

- The FIBRS repository will provide a web-based interface to RACs and FDLE users, accessible via CJNET or over the Internet. Access requirements will follow FDLE security policy.(BPR #9, #13, #17, #18, #19, #20, #23)
- A RAC is the only agency representative that can update information in FIBRS, review agency-level data or generated statistics, or review error and warning reports for their data. (BPR #12)
- The FIBRS repository will support the following agency user roles (BPR #6, #10, #11):
    - RAC
    - ADA
- The FIBRS repository will support an FDLE administrator role. (BPR #13)
- A RAC may only review data and generated statistics, review error and warning reports for their data, or update information for their designated agency. (BPR #7, #12)
- An ADA may only provide formal approvals for data from their designated agency.
- A RAC or ADA may view the contact information for other agencies. (BPR #9, #7, #10, #11)
- The FIBRS repository will provide a mechanism for FDLE personnel, RACs, and ADAs to search agency and contact information by agency name, agency ORI, or person name. Wildcards will be supported so that users can search by partial names or ORIs. (BPR #9, #10, #11, #12)
- The FIBRS repository will provide an interactive mechanism for an ADA to formally approve monthly data, semi-annual statistics generated by FIBRS, and annual statistics generated by FIBRS. (BPR #9, #21)
- The FIBRS repository will require an ADA to approve data used for NIBRS submission both semi-annually and annually in keeping with the current process. However, the approval process will be done interactively through FIBRS, rather than through the use of a physical or electronic copy of a manually signed form as is currently done for UCR Summary data. Approval of monthly data submission is optional but also performed interactively through FIBRS. (BPR #9, #21)
- The FIBRS repository will provide an interactive mechanism for a RAC to indicate for a particular reporting period that the agency is planning to update their data, or will not be able to submit their data, or that their data should not be used for the generation of Florida statistics or supplied to the FBI. (BPR #20)
- The FIBRS repository will automatically notify the agency RAC(s) and ADA(s) when mandatory agency approvals of data are required. These notifications will be emailed to RACs and ADAs once per workday via email, and will also display on the screen when the RAC or ADA logs into FIBRS. FIBRS will automatically notify designated FDLE personnel if an agency does not approve their data in a timely fashion. (BPR #9, #23)
- The FIBRS repository will automatically track and update the following status information for each agency, which will be available to designated FDLE personnel (BPR #2, #3, #4, #5, #6, #9, #22):
    - Has the agency submitted their monthly data?
    - Has the agency provided a mandatory semi-annual or annual approval of their data?
    - Has the agency provided an optional monthly approval of their data?
    - Has the agency indicated that they will be revising their data, including the reporting period(s) they will be updating?
    - Has the agency indicated that the data for a reporting period(s) is not to be used for the generation of Florida statistics or submitted to the FBI?
    - Has the agency indicated that they will not be able to submit data for a reporting period(s)?
    - Has the agency submitted their annual employee count data?

- The FIBRS repository must be sufficiently flexible to accommodate FBI and State updates to NIBRS, Use of Force, and employee count specifications and/or published templates. (BPR #26, #28, #29)
- Data must be explicitly marked in FIBRS to logically and/or physically separate statistical data from the more sensitive investigative data to ensure that the only users who can access sensitive data are those who have the explicit authorization to do so. Different user roles will determine the type of data accessible; user roles will have different attributes for those working with investigative versus statistical data. (BPR #7, #13)
- The FIBRS repository will automatically notify the agency RAC(s) when errors are found in the submitted data, either through automated or manual checks performed by FDLE, or through checks performed by the FBI NIBRS or use of force programs. These notifications will be emailed to the RACs once per workday via email, and will also display on the screen when the RAC logs into FIBRS. FIBRS will also automatically notify designated FDLE personnel of these errors and will update the status of the agency's submission to reflect the errors. (BPR #9, #17, #22)
- By default, all NIBRS data submitted to FIBRS will be included in the state's NIBRS submission. However, a RAC can use the FIBRS user interface to indicate to FDLE that their agency's data is not to be included in the state's NIBRS submission, which may occur for various reasons such as concerns with the statistics resulting from the agency's data, data quality issues, RMS issues, etc. FIBRS will update the status of the agency's data submission process and will alert the appropriate FDLE personnel. When the agency is ready, they can use the FIBRS user interface to indicate that their data may be submitted to NIBRS. (BPR #9, #20, #22)

Report Generation and Data Submission to Other Organizations and Systems

- The FIBRS repository will generate and submit NIBRS data for state and local agencies to the FBI NIBRS repository monthly, adhering to the published FBI NIBRS XML specification. (BPR #26)
- The FIBRS repository will forward FDSP data to the FDSP repositories daily. (BRP #27)
- The FIBRS repository will generate and submit use of force data to the FBI on a monthly basis, or more often if desired by an agency, adhering to the published FBI Use of Force specification. (BPR #28)
- The FIBRS repository will generate and submit employee count data to the FBI annually, in the format documented by the FBI. (BPR #29)
- The FIBRS repository will automatically generate state crime data and statistics for publication and distribution where possible, and provide interactive access and/or download of data where necessary. FDLE will publish the data and/or provide access to it for the public, media and government stakeholders. (BPR #30, #31)
- The FIBRS repository will be capable of generating ad hoc reports in response to requests from agencies or public record requests or state policymakers. (BPR #30, #31)

III. Success Criteria

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	More detailed and accurate crime data (Incident-based) available in FIBRS from state and local agencies	Agencies submit data using FIBRS technical specification instead of UCR Summary	FDLE Local agencies State policymakers	01/21 (initial agencies) 07/23 (remainder)
2	More detailed and accurate crime data available – data validation performed on submitted data with reports on errors/discrepancies reported to agency	Agencies submit data to FIBRS repository will perform automated data validation and report results to agency, which can update data in FIBRS	FDLE Local agencies State policymakers NIBRS FBI	01/21 (initial agencies) 07/23 (remainder)
3	More complete crime data available – additional agencies using Records Management Systems	State-supported RMS available to agencies without an RMS or whose RMS cannot submit incident-based data	FDLE Local agencies NIBRS State policymakers	01/21 (initial agencies) 07/23 (remainder)
4	More timely crime data available	Agencies submit data daily or monthly instead of every six months	FDLE Local agencies	01/21 (initial agencies) 07/23 (remainder)
5	Incident-based data from Florida available for generation of nationwide crime reporting through FBI NIBRS	Data from FIBRS submitted to FBI NIBRS	FDLE Local agencies NIBRS	01/21 (initial agencies) 07/23 (remainder)
6	Incident-based data from Florida available for use by FBI Use of Force	Data from FIBRS submitted to FBI Use of Force repository	FDLE Local agencies FBI	01/21 (initial agencies) 07/23 (remainder)
7	Law enforcement data available in FDSP repositories	Data from FIBRS submitted to FDSP repositories	Local agencies FDSP	01/21 (initial agencies) 07/23 (remainder)
8	Reduction in number of different and overlapping data submissions processes supported by agencies	Agencies submit data using FIBRS technical specification instead of separate UCR	FDLE Local agencies	01/21 (initial agencies) 07/23 (remainder)

SUCCESS CRITERIA TABLE				
	and FDLE	Summary, FDSP, cargo theft, hate crime, and domestic violence interfaces		
9	Incident-based crime reports available in Florida	Florida crime reports generated using FIBRS data	FDLE Local and state agencies/officials State policymakers Public	01/21 (initial agencies) 07/23 (remainder)
10	Automate existing manual processes	Data verification information generated by FIBRS and available online to agency users	FDLE Local agencies	01/21 (initial agencies) 07/23 (remainder)
11	Eliminate multiple, overlapping data submissions	State and local agencies submit a single data set to FIBRS rather than using multiple overlapping data submission processes	FDLE Local agencies	01/21 (initial agencies) 07/23 (remainder)
12	Leverage new technology	Use of standards such as NIEM, NIBRS, Use of Force, web services	FDLE Local agencies	01/21
13	Decommission legacy systems	UCR Input Module, and web input forms for Hate Crime, Cargo Theft, and Domestic Violence taken out of service	FDLE	TBD

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

A. Benefits Realization Table

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

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

BENEFITS REALIZATION TABLE					
#	**Description of Benefit**	**Who Receives benefit**	**How is the benefit realized?**	**How will the realization of the benefit be measured**	**Realization Date (MM/YY)**
1	More detailed and accurate crime data	• Criminal Justice Agencies • State and local policymakers • State and local governments • FDLE • Public • FBI	• Florida UCR data does not currently meet all FBI UCR specifications due to a lack of data granularity. The new FIBRS system will collect compliant data. • Florida's current UCR system collects aggregate crime data; specific descriptive data about victim, offender, location, weapon, time-of-day, drug/alcohol involvement is not collected. The new FIBRS system will collect this information providing analytical value to influence policy. • Incident geolocation data, not currently collected, will allow for the creation and utilization of statewide crime-mapping. • Currently, agencies are presented with their aggregate crime data statistics twice annually. The new FIBRS system will provide immediate feedback for data error/validity correction and comparison as well as providing for continuous corrections/updates to previously submitted data.	• More detailed and accurate crime data will be measured by the implementation of new methods for receiving, validating, updating, correcting, storing, and displaying data in the new FIBRS system.	06/22
2	More complete crime data available (due to more agencies using Records Management System)	• Criminal Justice Agencies • State and local policymakers • State and local governments • FDLE • Public • FBI	• Agencies currently not able to participate in Florida's UCR program because of an outdated/obsolete system will be able to participate by using the state-provided RMS system and thereby eliminate the need to manually count, record, and submit their UCR data. This will both increase the completeness and accuracy of the UCR data and increase the number of agencies participating. • Agencies that use the state-provided RMS will be able to participate in Florida's UCR program.	• FDLE will measure the number of local criminal justice agencies utilizing the state-provided RMS system to collect and submit compliant UCR data.	06/22
3	Availability of more timely crime data	• Criminal Justice Agencies • State and local policymakers • State and local governments	• Currently, Florida's crime data is collected and provided on a twice annual basis. With the new FIBRS system, data will be collected and made available on at least a monthly basis with the ability to report more frequently. • Agencies can provide incident data to the	• The availability of more timely crime data will be measured by the implementation of new methods for receiving,	06/22

		• FDLE • Public • FBI	state program without having to wait for classification, clearance, closure, prosecution, etc. of an incident because the new FIBRS system will allow for continuous updates to previously submitted data. • Florida will be able to provide statewide UCR data to the national program on a monthly basis as required by the FBI.	validating, updating, correcting, storing, and displaying data in the new FIBRS system on at least a monthly basis. • The availability of more timely crime data will be measured by FDLE's ability to provide the FBI with monthly UCR data.	
4	Reduction in the number of different and overlapping data submission processes supported by agencies and FDLE	• FDLE • Criminal Justice Agencies • FBI	• Criminal justice agencies are required to provide four separate data submissions, twice annually, as part of the UCR submission requirements. The current submission process requires these data submissions to be entered in separate places. • A new FIBRS system will be able to provide all the functionality in one cohesive system, which will reduce the time spent synchronizing data and maintaining separate systems. • Currently, FDLE manually generates separate files for submitting statewide UCR data to the national program at the FBI. A new FIBRS system will generate file(s) that conform to the national program standards.	• The reduction of the number of different and overlapping data submissions will be measured by the ability of the new FIBRS system to provide the functionality in one cohesive system. • The FBI will be able to ingest Florida's statewide crime data file(s) without modification.	06/22
5	Automate existing manual processes	• FDLE • Criminal Justice Agencies • FBI	• Currently, Florida's UCR program requires the manual management of several processes: setting the system to the current year and reporting period, combine population values for overlapping jurisdictions, setting every agency (ORI) to the correct population, create/manage user accounts for system access, unlock agencies in system when need to resubmit/edit data, send notifications to agencies about submission cycles, generate and distribute agency verification packets, log and track submissions and verification progress, and direct contact delinquent agencies regarding submissions/verifications. • Currently, agencies receive verification packets to review and verify their submitted data. Generating and distributing these packets is a manually triggered and monitored process. The new FIBRS system will automatically generate and display these immediately upon data submission.	• The reduction of time for manual management of processes will be measured by the added functionality to the FIBRS system.	06/22

B. Cost Benefit Analysis (CBA)

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

The focus on this project is to implement the agency's strategy to comply with the Federal Bureau of Investigation's (FBI) deadline to convert Uniform Crime Reporting (UCR) from summary data to incident-based data from Florida's local and state law enforcement agencies by standing-up the state program and assisting Florida law enforcement agencies to transition to incident-based crime reporting.

NIBRS also provides a mechanism to combine data from various law enforcement agencies to study multi-jurisdictional patterns and trends. While most law enforcement agencies have their own information systems with their data structures and codes, NIBRS standardizes the data across different agencies so that they can be combined easily for multi-jurisdictional analyses. While a law enforcement agency with a sophisticated information system will not need NIBRS to support its internal work, if its analysts are interested in what is happening in neighboring or similar jurisdictions across the country, NIBRS data will expedite the analysis.

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

Cost Benefit Analyst spreadsheets are in appendix H.

V. Schedule IV-B Major Project Risk Assessment

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

A. Risk Assessment Tool

The complete risk assessment worksheets are in appendix I.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The current UCR Summary system is comprised of a number of automated, semi-automated, and manual processes and systems developed over twenty years. Requirements for UCR Summary data have evolved over time, and new data collection requirements have been added, such as for human trafficking. At this time, the following data is collected from state and local agencies through the mechanisms indicated:

- UCR Summary data either through manual entry on a dedicated web-based input form, or by uploading multiple text data files to the UCR Input Module,
- Hate crime data through manual entry on a Kentico survey form available on a web page,
- Cargo theft data through manual entry on a Kentico survey form available on a web page,
- Human trafficking data through manual entry on a dedicated web-based input form, and
- Employee count data through manual entry on a web-based survey form.

The current system performs some automated validation of the supplied data, while other validation is performed manually by FDLE personnel.

The current system also includes artifacts that are managed manually by FDLE personnel rather than through an automated system or process, and these artifacts include:

- Agency Contact List spreadsheet
- Data Submission Tracking spreadsheet

Local agencies collect summary, hate crime, cargo theft, and human trafficking data primarily through officers dispatched to calls for service. In most cases, an officer enters data into the Mobile Data Terminal (MDT) which then transfers the data to the agency's automated RMS, although some agencies

still use paper forms or have officers take notes that are then called in to data entry personnel for transcription into an RMS.

User and User Types

The current FDLE system includes the following user types and user numbers.

User Type for State System	# of users
Agency Data Entry Users	694
FDLE Administrators	16
Total	**710**

Number of Transactions

UCR Summary data is currently received from approximately 400 state and local agencies. Some agencies report data for their jurisdiction as well as other jurisdictions; over 400 jurisdictions are represented.

The number of internal transactions, such as for FDLE personnel to add or update an agency user, are not tracked. It should also be noted that under the current reporting requirements, data submission transactions are very limited given that:

- Agencies submit UCR Summary data to FDLE twice per year
- The first submission covers a six month period; the second submission covers a twelve month period
- Each summary submission contains 7-9 files consisting of a limited set of numerical statistics
- FDLE submits summary data to the FBI twice per year
- Agency submissions to FDLE for hate crime, cargo theft, and human trafficking contain limited data and totaled only 265 for an entire year
- FDLE submits hate crime, cargo theft, and human trafficking data to the FBI once per year
- Agency personnel counts are submitted to FDLE and compiled for submission to the FBI once per year.

However, some transaction information is available or can be estimated as noted below based on the 2016 Crime in Florida Reports.

- Total number of UCR Summary crimes reported by state and local agencies: 641,014
- Highest number of UCR Summary crimes reported by a county: 111,219
- Lowest number of UCR Summary crimes reported by a county: 73
- Number of hate crimes reported: 104
- Number of cargo thefts reported: 26
- Number of human trafficking incidents reported: 134
- Employee data is supplied once per year per agency

Requirements for Public Access, Security, Privacy, and Confidentiality

The UCR systems are not open to the public. Reports generated from the data are available to the public via FDLE's Florida Statistical Analysis Center's public web site. Currently, reports are generated twice a year with additional ad-hoc reports generated as needed.

Hardware Characteristics
The overall FDLE system may consist of two (2) production servers, two (2) test servers, and two (2) development servers. There are separate network interfaces for users accessing via CJNET versus the Internet, and each interface includes a network load balancer. Most storage is internal to the servers, although the development server may use the FDLE Storage Area Network (SAN).

The hardware used by state and local agencies that submit data to FDLE varies by jurisdiction.

Software Characteristics
The overall FDLE system uses a number of different software and data based components that have been developed over the years. The system uses a SQL Server database housing the in-process data that has been submitted by state and local agencies as well as a separate database that houses data once it has been validated and edited for consistency. Data is copied to a Microsoft Access database where data is generated for submission to the FBI. Data is also copied to a set of SAS data sets which are used for quality analysis, generating reports for publication, and making the data available to other users/public. Some data transformation has to occur outside of the current system to accommodate legacy issues for historical data.

Agency users upload some data through dedicated web forms, while Summary data is submitted either by an agency user typing the information into a form in the UCR Input Module or by uploading a set of files. Some data validation is performed as part of a regular batch process. Some components use Microsoft Windows while others use Linux. Internally developed software generally uses the Java programming language, although a number of utilities have been developed over the years using SAS software. Some SAS programs are run automatically, while others are initiated manually.

The characteristics for software used by state and local agencies that submit data to FDLE vary by agency.

Existing System and Process Documentation
The current processes and software products and tools in use at FDLE have evolved over the years. Documentation for the total system as a whole does not exist, although some individual processes and software products have been documented.

System and process documentation available at state and local agencies that submit data to FDLE are unknown.

User Interfaces
The current systems include a number of user interfaces for FDLE and/or agency personnel to access various components of the current system as described below.

- FDLE personnel use the UCR user management tool to manage agency user accounts.
- FDLE personnel use the UCR Input Module to manage information for each jurisdiction.
- Agency users enter UCR Summary data into the UCR Input Module through a web-based input form.
- Agency users upload UCR Summary data into the UCR Input Module.
- Agency users enter hate crime, cargo theft, and employee count data through Kentico survey forms on a web page.
- Agency users enter human trafficking data through web-based input forms.
- Agency users access the Detail/Error Warning Report through the UCR Input Module.

- Once an agency signifies the submission is complete, the Input Module locks the data record.
- FDLE personnel use the UCR Input Module to unlock an agency's data record so the agency can manually enter or upload corrected data.
- FDLE personnel use SAS programs to extract the data.
- FDLE personnel use macro-enabled Microsoft Excel templates to present the data as reports in PDF format.
- FDLE personnel use the Microsoft Access database to populate data for internal status reports, including which agencies have submitted, are pending, have verified, etc., and the respective percentage of the population falling into each category.
- FDLE personnel manually enter population data into the UCR Input Module.
- State and local agency officers generally enter incident data via MDT into their agency's RMS.
- State and local agency supervisors, data transcribers, and records personnel generally access incident data through the user interface provided by their RMS.

System Interfaces

The current systems include a number of internal and external interfaces as described below.

- Agency users can interface to the current systems either through Florida's CJNET or through the public Internet.
- SAS interfaces with the UCR Database to copy the data which is used to generate reports and perform some data cleanup on agency submissions.
- A Microsoft Access database interfaces with the UCR Database via ODBC.
- Data entered or uploaded by agency users goes into the UCR Web Database.
- Once data in the UCR Web Database has been checked and any errors corrected, data is copied to the UCR Database.

Report Generation

FDLE generates six UCR Summary data files for submission to the FBI from a Microsoft Access database that is linked via ODBC to the UCR data tables on the UCRDB database running under SQL Server.

FDLE manually generates the human trafficking report as an XML file per the FBI National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) specification.

The hate crime and cargo theft data have historically been provided as Microsoft Excel spreadsheets, where the data is collected in online forms and FDLE generates a spreadsheet for each data set. At the request of the FBI, FDLE provides those as flat files per the respective FBI technical specification, and the flat files are generated from the spreadsheets.

Employee count data is compiled by FDLE into a macro-enabled Microsoft Excel template, which generates a flat file to provide to the FBI.

Currently, data files are emailed to the FBI. The FBI has instituted a new electronic upload process using an FTP server which FDLE will use once the FBI authorizes its use.

Once data is available for a reporting period, FDLE prepares reports for publication on the FDLE website. In addition, FDLE prepares a hate crimes spreadsheet for the Florida Office of the Attorney General.

Consistency with Agency Software Standards and Hardware Platforms

Many of the processes associated with the summary reports are obsolete by technological standards due

to age and inflexible design characteristics. As the overall system has evolved over the years, additions and changes have adhered to FDLE's software standards and hardware platforms available at the time. The format of Summary data submitted to the FBI does not adhere to the current FBI specification.

Scalability to Meet Long-Term and Network Requirements
The current system is specifically geared towards UCR Summary data collection, processing, and submission. The new incident-based system and processes will be put into place, and agencies will transition over a period of time. The current systems and processes must remain in place while the state and approximately 400 Florida agencies make the transition. FDLE will collect and report both UCR Summary and NIBRS information until sufficient agencies make the transition for the state and FBI to have representative NIBRS data for Florida. The current system is not capable of scaling to support NIBRS data submissions.

b. Current System Resource Requirements

FDLE Systems
The following hardware is part of the FDLE system:

- 2 load balancers (one for the CJNET interface, one for the Internet interface)
- 2 production physical servers (each with 2 CPUs, 4 cores, 16GB RAM, 150GB internal storage)
- 2 test physical servers (each with 1 CPU, 4 cores, 8GB RAM, 150 GB internal storage)
- 2 development virtual servers (1 CPU, 2 cores, 1GB RAM, 50 GB on Storage Area Network)

The following software is part of the FDLE system:

- Microsoft Windows 2012
- Linux
- JBoss
- Microsoft SQL Server 2014
- Commvault Enterprise back-up
- Java programming language
- Apache Wicket framework
- SAS software
- Kentico
- Microsoft Excel
- Microsoft Access
- FDLE in-house developed authentication and authorization Application Security Module (ASM)

The FDLE UCR systems are hosted and maintained by the FDLE ITS. There are annual maintenance contracts in place on hardware and software. It is estimated that the equivalent of two full-time ITS personnel provide operations and maintenance support to the FDLE UCR systems. In addition to support staff, there are five (5) personnel that support data collection, agency assistance, report generation, data management, training, and agency liaison services as part of the overall FDLE system. These five personnel include one fulltime position assigned specifically to UCR, and four positions with duties outside of the UCR program.

State and Local Agency Systems
The hardware used by state and local agencies that submit data to FDLE varies by jurisdiction.

The software used by state and local agencies that submit data to FDLE varies by agency. Based on a

survey performed by FDLE, there are at least 36 different commercial RMS systems in use in Florida, seven (7) in-house RMS products, and 11 agencies that do not have an automated RMS. Specific RMS systems used in the state are documented in the "Current Hardware and Software Inventory" section of this document.

FDLE does not currently fund the acquisition or maintenance of agency RMS software or hardware.

c. Current System Performance

The UCR system is a collection of servers, operating systems, databases, software products, and numerous interfaces that is specifically geared towards data collection, processing, and submission of UCR Summary, hate crime, cargo theft, and human trafficking data, as well as agency personnel counts. While the current system is capable of handling the current data storage, data processing, and user interfaces requirements, extensive changes are required in order to go from the current UCR Summary requirements to NIBRS. The data to be submitted by agencies to FDLE, and by FDLE to the FBI, will change from being a very small set of numerical statistics submitted twice per year to a detailed set of incident-based data submitted monthly.

The current data collection, analysis, validation, and dissemination processes are a mixture of manual and automated activities performed by many agency staff members at all levels of government that require the use of multiple, disparate information systems. Many of the processes associated with the summary reports are obsolete by technological standards due to age and inflexible design characteristics. There are several areas where current processes do not meet end user needs. The FDLE staff depends greatly on manual processes to achieve business goals. Success depends on staff in approximately 400 agencies performing interdependent tasks in a timely and correct manner. Manual processes always carry the potential of introducing human error. Due to historical design constraints, it is not possible to upgrade the current disparate systems to new requirements that would bring modern benefits in terms of both efficiency and timeliness of information to FDLE and its customers such as elected officials, government agencies, the general public, and the media.

In addition, the FBI is piloting a process for the submission of Use of Force data to the FBI. This encompasses any use of force that results in the death or serious bodily injury of a person, as well as when a law enforcement officer discharges a firearm at or in the direction of a person. Given the potential benefit of such information based on recent incidents, the accompanying publicity, and the current lack of representative data, it is anticipated that submission of such data to FDLE and then to the FBI will provide significant benefit at both the state and federal levels. However the current systems and processes cannot support the collection of this data from Florida agencies, or the submission of data to the FBI.

2. Information Technology Standards

The current system is based upon the standards and specifications provided by FBI CJIS, there are some deviations from the standard in use in Florida.

- UCR Summary data is provided by FDLE to the FBI based on the FBI UCR Summary Reporting Technical Specification, with some Florida-specific deviations.
- Summary data files uploaded by Florida agencies are based on an FDLE-defined flat-file specification derived from the FBI Summary Reporting Technical Specification.
- Hate crime data is provided by FDLE to the FBI using the FBI Hate Crime Technical Specification.
- Cargo theft data is provided by FDLE to the FBI using the FBI Cargo Theft Specification.

- Human trafficking data is provided by FDLE to the FBI using the FBI National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) specification.
- Employee count data is provided by FDLE to the FBI using a spreadsheet template provided by the FBI which produces a flat file per the FBI technical specification.

B. Current Hardware and/or Software Inventory

The current hardware and software systems were designed to support the UCR Summary reporting system, which only reports on a small set of data (originally designed more than a half century ago) and no longer meets new federal requirements and state needs for a significantly larger data set, collected more frequently, and analyzed and reported more thoroughly. The existing software cannot be upgraded to the new data standards being used in the law enforcement community, and the existing hardware is inadequate to handle the new data sizes and processing power required to meet current and future law enforcement practices.

The current hardware is no longer under purchase or warranty coverage. Software has primarily been developed in-house over the years and is not covered by maintenance contracts. All production hardware is supported through maintenance contracts.

The current processes, hardware, and software must remain operational while the state transitions to NIBRS reporting. This will allow FDLE to continue to generate crime reports for Florida and submit summary data to the FBI until a sufficient number of state and local agencies have transitioned for the state to have representative incident-based data available.

UCR Web Application Architecture

The current UCR web application architecture is hosted at FDLE Information Technology Services (ITS) and consists of:

- Firewall protecting FDLE user access
- Firewall protecting UCR Admin/User access
- JBoss middle-ware enterprise application server
- F5 load balancer for FDLE users
- F5 load balancer for UCR Admin/Users
- Internet-accessible DMZ Windows server cluster (FDLE users)
- CJNET-accessible Windows server cluster (UCR Admin/Users)
- Web server architecture, including:
    - Presentation Layer – User Interface Components
    - Service Layer – Spring Beans
    - Database Layer – DAO Components
    - Application Layer – Java SE, SQL Server 2008/2014, Authentication and Authorization Framework (ASM)
- SQL Server Database, including
    - FDLE ASM
    - UCR Transactions on UCRDBWEB SQL server
    - UCR Report on UCRDB SQL server
    - UCR data tables are housed in SQL Server 2014; the database resides in a clustered 2 node environment; the OS for the 2 nodes are Windows 2012 R2.
- Reporter – SAS Reporting Application

Network connections from the FDLE users and state and local agency users (i.e., UCR Admin/User) to the FDLE site is either through the existing Internet connection or the Florida Criminal Justice Network (CJNET).

The system hardware of the current UCR summary system consists of legacy CPUs, memory, and internal data storage devices:

- Production System: 2 physical servers – each with 2 CPUs 4 Cores, 16 GB RAM, 150 GB internal storage.
- Testing System: 2 physical servers – each with 1 CPU 4 Cores, 8GB RAM, 150 GB internal storage.
- Development System: 2 virtual servers – 1 CPU, 2 Cores, 1 GB RAM, 50 GB on SAN

The current UCR system is backed up by Commvault (enterprise back-up system).

Current User Groups and RMS Applications

State and local agency users are from approximately 400 Florida law enforcement agencies and include:

- All Police departments (including all cities, counties, schools, colleges, universities, airports, beach patrols, etc.)
- All sheriff's offices (SO)
- The Florida Fish and Wildlife Conservation (FWC) Commission
- The Florida Department of Corrections Inspector General (IG) Office
- The Florida Department of Law Enforcement (FDLE)
- The Florida Highway Patrol (FHP)
- The Florida Department of Business and Professional Regulation Division of Alcoholic Beverages and Tobacco (DABT)
- The Florida Department of Financial Services Division of Insurance Fraud

FDLE surveyed of all agencies currently submitting UCR Summary data to the state to determine which agencies have an RMS, what RMS is used, what NIBRS data elements are collected, how many officers in the agency report incident data, whether the agency shares their RMS with any other agencies, the age of their hardware and software, and whether there are plans to update or replace the RMS hardware or software. Over 85% of the agencies (311) responded. Based on this data, there are at least 36 different commercial RMS products in use in Florida, seven (7) in-house RMS products, and 11 agencies that do not have an automated RMS. There are also approximately 18 RMS products, including both commercial and in-house systems, which are used by only one agency in the state. Details from that survey are shown below. Note that the numbers shown are from the survey and do not include every agency in the state.

The following commercial Records Management Systems (RMS) are being used throughout Florida:

Commercial RMS	# of agencies
ACISS Systems RMS	9
ARMS Records Management	2
AssetWorks BOSSCOPS	1
Beacon Software Solutions RMS	3

Caliber Public Safety Global Software	1
Capers Software RMS	1
Cohero CommandPoint RMS/AFR	1
Competitive Edge Software Report Exec	1
Computer Information Systems RMS	4
Crime Star RMS	1
Delphi Enterprises Code 3	3
eForce Software RMS	3
Executive Information Services RMS	7
Florida State Univ. TRACS	2
Hexagon Safety & Infrastructure I/LEADS	3
Informant Technologies Informant PS	1
Logisys Systems Data Trak	1
MobileTec International InMotion RMS	1
Motorola Solutions InfoTrak	1
Motorola Solutions PremierOne	3
Pamet RMS	1
Pulsiam SafetyNet RMS	1
QED Web/Partner	1
SmartCOP SmartRMS	42
Southern Software RMS	4
Spillman Flex	11
Sungard Naviline	3
Sungard ONESolution	52
TriTech Inform RMS	3
TriTech Tiburon Total Command RMS	26
TriTech VisionRMS	2
Tritier WinGS Direct RMS	2
Tyler New World Records Management	24
USA Software CrimeFile IMS	20
Versaterm Versadex	2

In addition to the above commercial RMS applications, the following Florida agencies have developed

and support their own in-house RMS, with several of these agencies also providing RMS services to sister agencies:

In-House Developed	# of agencies
Bay County SO	5
FDLE/Capitol Police	1
Florida Department of Law Enforcement	1
Jacksonville SO	2
Palm Beach County SO	1
Seminole County SO	11
University of Central Florida PD	1

Current Agency Data Collection Practices

This section describes the process for collecting and recording incident data used by state and local agencies for crimes that occur within their jurisdiction. While details vary from agency to agency, the general process described here provides a high level, general view of the current process.

Citizen calls for service and officer dispatch are initiated through a staff of call takers, generally using a Computer Aided Dispatch (CAD) product that provides call information to an officer's Mobile Data Terminal (MDT). Officers input additional incident data into their MDT, which in general automatically populate the agency's RMS system. RMS systems currently used in the state are configured for Florida's UCR Summary data collection and submission and perform very limited, if any, data validations geared towards UCR Summary on the data entered by the officer. Incident data is generally reviewed by a supervisor to ensure it meets agency and UCR Summary business rules. Supervisors can approve the incident report or send it back to the officer for corrections; in some cases supervisors can make limited changes to the data themselves. Once the supervisor has approved the incident report, the report goes to records department staff, who also perform business rule checks and can also send a report back for corrections, and who may also be able to make some updates to the report themselves. UCR Summary data submissions are generated semi-annually by the agency, generally through the use of UCR Summary reporting capabilities built into the agency's RMS, and submitted to FDLE.

Note that some agencies do not have automated CAD systems and/or MDTs. Some agencies have a very limited automated RMS system, while some do not have an automated RMS system at all and rely on paper forms. These agencies generate UCR Summary data submissions manually and submit to FDLE through an online web form.

Most current vendor and some in-house developed RMS systems used in the state include NIBRS capabilities. In some cases, all NIBRS data elements are already included in the RMS database and displayed to the officers on their MDTs. However, NIBRS business rule data validation is not performed on input data since the state is not currently reporting NIBRS data. In other cases, the RMS database does not include all the NIBRS data elements. Therefore these agencies would need changes to their RMS database and to the screens displayed to officers on their MDTs.

C. Proposed Technical Solution

The current information technology environment supporting UCR Summary reporting is significantly different from the proposed environment required to support incident-based reporting. While the processes are comparable in some cases, incident-based reporting requires daily and monthly data collection, processing, and submission versus semi-annual data collection and submission for summary reporting. Keeping the current systems and processes in place indefinitely is not an option based on the FBI's plan to discontinue accepting summary data in January 2021.

The processing power and storage capacity required for the new FIBRS repository is much greater than the current summary system due to the larger number of data elements required for incident-based reporting, and because detailed information for each incident is reported rather than a statistical summary of the total data for six months or a year. It requires increased storage capacity plus the processing power to manage the increased data handling and analysis. However, similar to the current system, the incident-based reporting system does not require real-time transaction processing for data collection or reporting. Although FDSP data requires much more timely data collection and data forwarding, it is still on a daily basis versus real-time. The proposed state-provided RMS system will also operate on a non-real-time basis, accounting for officers not having internet or cell phone connectivity for limited time periods. Therefore, the new system does not need to be able to handle peak loads without degrading response time; as long as data submissions can be consumed, processed, and passed along in a timely fashion, performance would be considered sufficient.

Hosting of FIBRS Repository

The FIBRS repository is the backbone storage and processing system and may consist of several machines hosting a database server, application server, web server, and associated network and software systems. The systems must be hosted at a secure site with redundant power supplies and must be protected from unauthorized access and environmental events.

State-provided RMS

FDLE intends to provide an RMS for agencies that do not have their own RMS, have an RMS that cannot be reasonably upgraded to support incident-based reporting, or that desire to use a state-supported RMS rather than maintain their own. The RMS must meet the requirements of the agencies that intend to use it and FDLE will develop requirements, evaluate candidate products, and make a final selection.

Hosting of State-provided RMS

The state-provided RMS will be the incident management system for Florida law enforcement agencies and may consist of several machines hosting a database server, application server, web server, and associated network and software systems. The systems must be hosted at a secure site with redundant power supplies and must be protected from unauthorized access and environmental events.

Develop FIBRS Repository In-House or Acquire Customized COTS FIBRS Repository

The FIBRS repository will be based on the NIBRS specification with customized functionality added to meet Florida requirements. The NIBRS specification is well documented. FDLE intends to write the additional FIBRS specification documentation that must be developed. The deployed FIBRS repository must meet the FIBRS specification as published by FDLE.

Develop State-provided RMS In-House or Acquire Customized COTS RMS

The state-provided RMS must meet the needs determined by FDLE. The RMS will be based on the

NIBRS specification with customized functionality added to meet Florida's documented FIBRS requirements. The deployed RMS must meet the FIBRS specification as published by FDLE.

1. Technical Solution Alternatives

Based on the business process requirements and the recommended business solution as documented in section II.C – Proposed Business Process Requirements, a number of different aspects of the overall solution were reviewed as documented below.

Hosting of FIBRS Repository
The alternative implementations for the FIBRS repository are to host at the FDLE data center, or to use a repository hosted at a third-party site. Note that some repository vendors offer hosting, while others do not.

State-provided RMS
The alternative implementations are for the state to provide an RMS for agencies that do not have their own RMS, have an RMS that cannot be reasonably upgraded to support FIBRS incident-based reporting, or that desire to use a state-supported RMS rather than maintain their own.

Hosting of State-provided RMS
The alternatives for the state-provided RMS are to host at the FDLE data center, use a repository hosted at a vendor-site, or use an RMS that already exists at NLETS.

Develop FIBRS Repository In-House or Acquire Customized COTS FIBRS Repository
The alternatives are to develop the FIBRS repository at FDLE, or to acquire a COTS product and contract with the vendor to customize for Florida's needs.

Develop State-provided RMS In-House or Acquire Customized COTS RMS
The alternatives are to develop the state-provided RMS at FDLE, or to acquire a COTS product and contract with the vendor to customize for Florida's needs.

2. Rationale for Selection

FDLE applied several criteria to compare alternatives and recommend a solution that best meets the business and strategic needs of the agency, as well as state and local agency stakeholders. These criteria include:

- Impact to state and local agencies
- Impact to vendor and agency RMS systems
- Impact to FDLE IT services and systems
- Resource requirements
- Costs

3. Recommended Technical Solution

Hosting of FIBRS repository
FDLE will host the FIBRS repository at the FDLE data center.

While some vendors provide hosting support, many do not, and those that do only provide it as an alternative for states that do not have the data center support necessary. The time and cost required to

ensure that a vendor-hosted repository meets state policy requirements makes a vendor-hosted solution more expensive than hosting at FDLE. A vendor would still have to acquire hardware upon which to host the repository given that there are few vendor-hosted state incident data repositories in the country. FDLE would also have to conduct periodic audits of the vendor site to ensure ongoing adherence to state and agency policy requirements since the site is not under the control of FDLE or a trusted organization such as NLETS.

The repository could also be hosted at a site such as NLETS if FDLE provided the hardware. But the installation of hardware and software at a remote site, and the management of such a remote system would make this solution more expensive and less secure than hosting at FDLE. FDLE already has the network, power, space, and support capabilities necessary to support the FIBRS repository without significant impact.

State-provided RMS

The state will provide a state-supported RMS in order to ensure that incident-based data is available from a sufficient number of jurisdictions in the state to provide representative data for crime statistics.

Some of the reasons for this are below.

- There are a number of agencies that do not have an RMS and manage incident data through paper forms. Without a state-provided RMS, those agencies would not be able to participate in FIBRS.
- There are a number of agencies that maintain incident data in local computer systems that cannot support data submission to FIBRS, or that have systems that cannot be upgraded to support any new requirements. Without a state-provided RMS, those would not be able to participate in FIBRS.
- Given the number of commercial and in-house developed RMS systems used by only one or two agencies, the cost of upgrading all those systems is quite high. Given the option of using a state-provided system, at least some of these agencies will switch to the state-provided RMS, saving the costs of upgrading their existing RMSs.
- For small and some medium-size agencies, the cost of maintaining the existing RMS is a strain on budgets, data centers, and support staff. By using a state-provide RMS, these agencies can liberate resources for other mission critical needs.

Hosting of State-provided RMS

FDLE will host the state-provided RMS at the FDLE data center.

While some vendors provide hosting support, most do not. The time and cost required to ensure that a vendor-hosted RMS meets state and agency policy requirements makes a vendor-hosted solution more expensive than hosting at FDLE. FDLE would also have to conduct periodic audits of the vendor site to ensure ongoing adherence to state and agency policy requirements since the site is not under the control of FDLE or a trusted organization such as NLETS.

NLETS provides a number of services for state and local jurisdictions across the country, so this facility has the necessary security and resources in place to meet Florida's needs. The NLETS-hosted RMS would not require the acquisition of hardware and software, but would incur an ongoing monthly or annual subscription fee per officer. An FDLE-hosted RMS would not have subscription fees, but would require initial expenditures for hardware and software as well as ongoing support and maintenance costs.

The final decision on whether to use the commercial RMS at NLETS or to host the state-provided RMS at FDLE will be determined based on evaluations performed by FDLE and agencies interested in using a state-provided RMS. Usability, functionality, support and cost will be the primary factors in determining which RMS to use, and the NLETS-hosted product is one of the candidates.

Develop FIBRS Repository In-House or Acquire Customized COTS FIBRS Repository
FDLE will acquire a vendor-customized COTS repository product for the FIBRS repository.

The market for a state-level incident-based repository consists of the 50 states; this is not a large number of COTS state-level repository products. In addition, some states have developed their own. Virtually every installed COTS repository has been customized to some degree to meet state requirements for additional data elements, business rules, code values, data export formats, etc. Therefore, all vendors are capable of, and have the expectation that any customer will require customizations to the base product. Therefore in this realm, the customization of a COTS product is a standard approach. Vendors typically charge license, installation, and training fees for their base product plus any additional modules that are required, then charge an additional amount for customization. Ongoing maintenance fees cover the base product plus any customizations. Therefore, when the base product is updated to add features, improve usability, or to address any security issues, the vendor provides those changes to the customized products as well.

While the state-level repository is not as complex a product as an RMS, there is still a significant level of requirements analysis, design, and development. Given the number of data elements that are expected to be in the FIBRS repository, and the number of business rules that will be inherited from NIBRS and use of force, the repository would not be a small, simple project. Development of such a product from scratch in FDLE would be a significant undertaking requiring subject matter experts (SMEs), system engineers, business analysts, software developers, and technical writers. Developing a Florida-specific repository product from scratch would be an extremely complex and costly endeavor, and doing it while transitioning the entire state to incident-based reporting would be onerous. Therefore, development of the FIBRS repository at FDLE is not a practical alternative.

Develop State-provided RMS In-House or Acquire Customized COTS RMS
FDLE will acquire a vendor-customized COTS RMS product as the state-provided RMS.

There are dozens of COTS RMS products currently available since the market consists of every law enforcement agency in the country, if not the world. Virtually every installed product has been customized to some degree to meet state or agency requirements for additional data elements, business rules, code values, screen layout, etc. Therefore, all vendors are capable of, and have the expectation that any customer will require customizations to the base product. Therefore in this realm, the customization of a COTS product is a standard approach. Vendors typically charge license, installation, and training fees for their base product plus any additional modules that are required, then charge an additional amount for customization. Ongoing maintenance fees cover the base product plus any customizations. Therefore, when the base product is updated to add features, improve usability, or to address any security issues, the vendor provides those changes to the customized products as well.

Development of an RMS product entails a significant level of requirements analysis, design, and development. Complexities of a simple RMS product that can support an entire agency throughout the lifecycle of an incident from initial reporting to final disposition is a significant undertaking requiring subject matter experts (SMEs), system engineers, business analysts, software developers, and technical writers. Most existing RMS products have taken years to design, develop, and evolve into fully functional and

usable products. Developing a Florida-specific RMS product from scratch would be an extremely complex and costly endeavor, and doing it while transitioning the entire state to incident-based reporting would be onerous. Therefore, development of a state-provided RMS at FDLE is not a practical alternative.

D. Proposed Solution Description

The proposed solution is to replace the current UCR Summary system with a new hybrid solution (i.e., Approach 4 as selected in Section II.C.4) that is geared toward meeting Florida's needs for NIBRS, FDSP, use of force, and the Florida-specific data elements required for hate crime and domestic violence reporting. The hybrid approach is intended to allow state and local agencies to submit a FIBRS message to FDLE, and FDLE will extract the data necessary to support data submissions to the FBI for NIBRS and the Use of Force, for Florida's state-wide crime statistics plus hate crime and domestic violence reporting, and to FDSP repositories. FDLE could also submit data directly to the N-DEx program if desired.

The technical requirements are mapped to the corresponding business process requirement numbers shown in "Section II.C.1 – Business Process Requirements" of this document using the notation (BPR #X).

To meet these requirements, FDLE intends to implement a Florida Incident Based Reporting System (FIBRS) data repository to collect, store, and distribute incident based data from state and local agencies. (BPR #1)

Data collection will consist of the following types of data from state and local agencies in Florida:

1. Collect all NIBRS data elements on a monthly-basis or more frequently, for all NIBRS-reportable incidents and arrests. (BPR #2)
2. Collect all Florida-specific data elements (i.e. not in standard NIBRS) for hate crime and domestic violence on a monthly-basis or more frequently. (BPR #3)
3. Collect Use of Force data on a monthly basis or more frequently (BPR #4).
4. Collect FDSP data on a daily basis. (BPR #5)

Additional data collection consists of law enforcement agencies' employee count data, which is provided by FDLE to the FBI. FDLE will maintain a web-based survey form for the annual collection of data for the count of sworn and civilian employees at each agency (BPR #6). This data is formatted using a spreadsheet template provided by the FBI to produce a flat file per the FBI technical specification (BPR #29).

The following section describes the technical aspects of the collected information.

Data Contents Overview

The hybrid solution includes approximately 250 data elements, including all NIBRS, FDSP, Florida hate crime, Florida domestic violence, and use of force data elements.

The high level data constructs include: (BPR #2, #5)

- Address/location
- Event (incident, arrest, citation, booking, field contact, case record or CAD record)
- Image
- Narrative

- Offense/charge
- Pawn
- Person (including whether subject, victim, witness, etc.)
- Organization (including agency information)
- Phone number
- Vehicle
- Property (non-vehicle)
- Scars/marks/tattoos for a person
- Warrant
- Weapon

The hybrid solution's data contents are summarized below.

- Location information includes individual address elements such as street number, street name, city, and latitude and longitude. (BPR #5)
- Organization information includes organization name, organization type, and agency ORI code for law enforcement agencies. (BPR #2, #5)
- Person information includes both a full name and name separated into first/middle/last, date of birth, identifiers such as social security number, race, sex, ethnicity, and descriptors such as hair color, height, weight, etc. (BPR #5)
- Property information includes the identical set of property status values as in NIBRS, but property is organized by the piece of property as in the FDSP. (BPR #2, #5)
- Includes equivalents for all of the additional hate crime data fields that Florida currently collects. (BPR #3)
- Includes equivalents for all domestic violence offense codes and relationship types currently collected by Florida. (BPR #3)
- Includes equivalents for all use of force data elements. (BPR #4)

The hybrid approach provides the capability to include sensitive data in a data submission by including explicit dissemination criteria as defined by the N-DEx program. This allows accurate and complete NIBRS data to be extracted from the Florida FIBRS repository since sensitive data can be marked appropriately to restrict sharing (BPR #7). Data marked as sensitive can be used to generate NIBRS statistics, which do not include any personally identifiable information. Data marked as non-sensitive can be forwarded to the FDSP, which does not collect sensitive data. By leveraging the N-DEx data markings, the Florida system can potentially forward data to N-DEx with the appropriate markings for that system.

The design of the hybrid solution includes all data elements for the various data sets (i.e., NIBRS, FDSP, hate crime, domestic violence, etc.) that must be supported by Florida. Previously, these data sets were reported separately with numerous overlapping data elements. Some of the reporting was done manually by personnel at the agencies and at FDLE. These manual processes required extra work and increased chances for data entry errors. Therefore, one of the goals of the hybrid solution is to minimize the number of data sets and data submission processes that must be supported by state and local agencies (BPR #8) and this approach will also eliminate manual steps in the data submissions process (BPR #9).

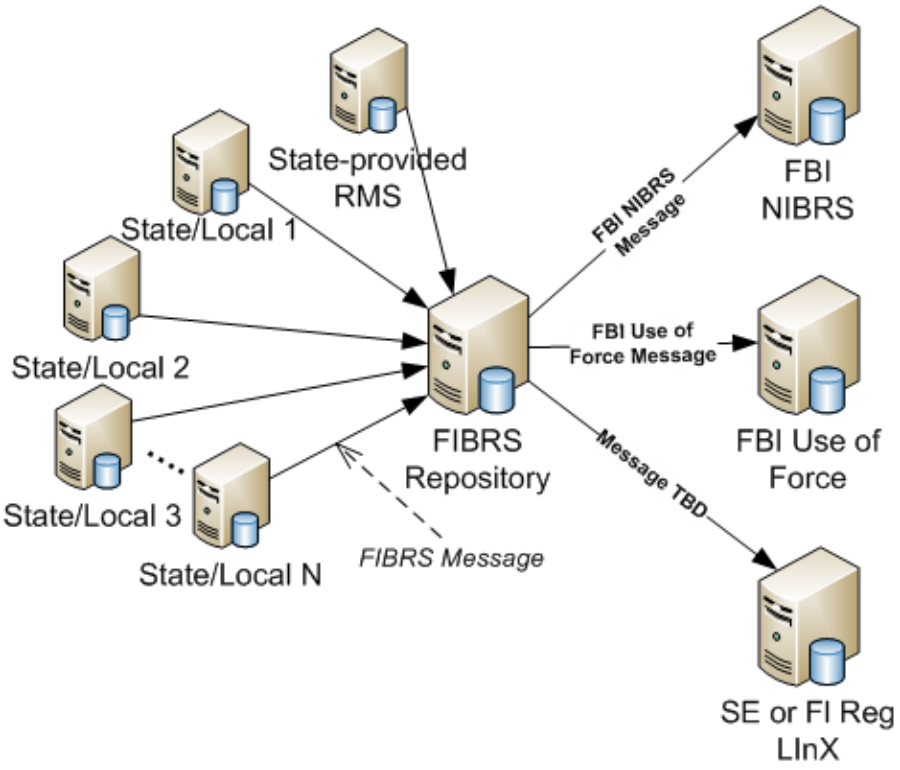
This approach will define and implement business rules to ensure the data is consistent and of high quality, and will incorporate the required NIBRS business rules (BPR #16).

Data Submission

The hybrid data specification will be defined in the form of a National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD), which includes extensive information for mapping the hybrid data model to NIBRS. The hybrid data specification will extend the NIBRS data model so that existing RMS and repository vendor products, software tools, and documentation can be leveraged for implementation and interoperability. NIBRS and NIEM also provide a number of free-to-use tools that can be used by vendor and agency implementers for testing, to ensure conformance to the business rules, and to simplify development; these tools can be modified to support the Florida implementation rather than developing comparable tools from scratch.

Data will be submitted to the FDLE FIBRS repository (BPR #1) by state and local agencies. FIBRS will extract the raw data and generate the formatted data to submit incident data to NIBRS, investigative data to the FDSP and incident data to Use of Force (BPR #18). During these steps, the data will be checked against all applicable business rules as well as any other data quality requirements. In case of data quality issues, the submitting agency will be notified so that errors can be corrected (BPR #17).

The data submission process is outlined in the conceptual diagram below. "State/Local" refers to state and local law enforcement agencies across Florida. They may send their data to the FIBRS repository located at FDLE, where data collection, validation, and state reporting will occur (BPR #14). Furthermore, data is submitted in various formats to other analytical and investigative law enforcement programs.



Administration and Data Functions

The FIBRS repository includes an application server and web interface to implement agency and user management, data upload, review, validation, and other miscellaneous administrative functions:

- Collect and store all incident data submitted by state and local agencies (BPR #1)
- Store state and local agencies, including their names, locations, ORI code, etc. (BPR #10)

- Store authorized agency FIBRS users (BPR #13)
- Store authorized FDLE FIBRS users (BPR #13)
- Add, delete, and edit users in the system; modify authorizations and privileges (BPR #13)
- Assign roles to users, such as Administrator, Reporting Agency Coordinator (RAC), Agency Data Approver (ADA), data entry, etc. (BPR #10, #11)
- Download and review the generated agency crime statistics by Reporting Agency Coordinator or Agency Data Approvers (BPR #19)
- Examine any data quality issues and allow Reporting Agency Coordinator or Agency Data Approvers to update the data (BPR #17)
- Approve agency data submission for submission to the FBI (BPR #21)
- Designate that agency data is not to be included in a data submission to the FBI (BPR #20)
- Track data submissions and approvals by individual agency; show status of progress, error correction, and approvals; provide reminders to agencies to complete their required tasks in a timely manner (BPR #22, BPR #23)
- Collect agency/jurisdiction population data to be used for statistical analysis in the annual Crime in Florida report and other reports (BPR #25)
- Accept UCR Summary data submissions from state and local agencies until FDLE determines that a sufficient number of agencies are submitting data to FIBRS (BPR #24)
- Generate state crime data and statistics (i.e., Crime in Florida report, etc.) to be published (BPR #30)
- Publish and disseminate state crime data and statistics to the public, media, and government officials (BPR #31)
- Provide training and support to the agencies' administrative personnel (RAC, ADA, etc.) in the use of the above functions (BPR #12)

1. Summary Description of Proposed System

There are two major components that are part of the planned approach: (a) the FIBRS system that receives data from agencies, stores and processes the data, and generates data submissions for transmission to other systems such as NIBRS at the FBI, and (b) a state-provided RMS for agencies that do not have their own RMS, have an RMS that cannot be reasonably upgraded to support incident-based reporting, or that desire to use a state-supported RMS rather than maintain their own.

System Type

FIBRS will be a data warehouse hosting all data submitted by state and local agencies to FDLE, and will include a machine-to-machine web service for agencies to upload data to FIBRS.

FIBRS will include an application server and web server, and potentially a database server, with a web-based interface to perform numerous administrative and managerial functions related to user management and data handling, as described above.

The state-provided RMS will be a data warehouse hosting all data submitted by officers at agencies using the RMS (BPR #15). Depending on the vendor selected, the RMS will consist of an applications server and web server, and potentially a database server.

Operating system, database management system, storage, programming language, etc. for both the FIBRS repository and state-provided RMS will be determined based on negotiation between FDLE and the vendor selected through a competitive procurement process.

Connectivity

FIBRS will interface with the FBI and FDSP systems over existing secure connections. FDLE personnel will connect to FIBRS over the FDLE intranet. State and local agency representatives will connect to the system over existing secure connection (CJNET) with the agencies.

The state-provided RMS will be accessible over a secure Internet connection to allow officers to enter data from incident locations as well as their offices. Officers will be able to enter data into their mobile data terminals (MDTs) or office computers for transmission to the RMS. In locations where Internet service is not available, the data will be stored on the MDT until Internet service is available, at which time the data will be transmitted. Agency supervisors and records management personnel will be able to review and approve data from their office computers. The RMS will submit data to FIBRS over a wired connection at FDLE, if the RMS is hosted at FDLE. If the RMS is hosted at a location such as the International Justice and Public Safety Network (NLETS), the data will be transmitted over the available secure connection from the host site.

Security, Privacy, Confidentiality, Access

These standards will be the same as the current security standards used by FDLE.

Since FIBRS will contain personally identifiable information, data controls will be established to ensure that access to sensitive data is restricted to appropriate personnel, while allowing the data necessary for crime statistics reporting to be accessible by the Florida Statistical Analysis Center (FSAC).

Development and Procurement Approach

To realize the business solution, FDLE plans a competitive procurement process to acquire commercially available systems that can be customized to meet FDLE's business requirements. The contracted systems will include, but are not limited to:

- Commercial NIBRS repository
- Commercial RMS product
- Contracted services to upgrade local agencies' RMS products
- Computer hardware (e.g., servers, storage, and network)
- Commercial systems software (e.g., operating system, database management system, and application server platform)
- Project management services
- Software customization services
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)

Internal and External Interfaces

FIBRS will communicate with the following external systems:

- FBI NIBRS (outgoing) (BPR #26)
- Florida Southeastern FDSP (outgoing) (BPR #27)
- Florida Regional FDSP (outgoing) (BPR #27)
- FBI Use of Force (outgoing) (BPR #28)
- Florida state-provided RMS (incoming)
- All Florida state and local agency RMS systems (incoming)

The state-provided RMS will communicate with the following systems:

- FIBRS (outgoing)
- Officer MDTs at agencies using the RMS (incoming)
- Officer, supervisor, and records management personnel desktop systems (incoming)

Maturity and Life Expectancy of the Technology

FDLE intends to procure a vendor solution which is mature and used in other states. The systems will be updated by the vendor when upgrades are available for the underlying vendor product. The vendor solutions will be flexible to facilitate future changes and upgrades.

Other Systems to be Integrated With

The systems will interface with the systems indicated in the "Internal and External Interfaces" section above. These systems will not be tightly integrated since system-to-system data submissions will be accomplished via the transmission of data files through a web services interface. Agency and FDLE users will interface via web applications.

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

FIBRS will be hosted at the FDLE data center. The state-provided RMS may be hosted at the FDLE data center. The FDLE data center will provide hardware and software support for systems hosted there. Hardware requirements and whether the systems are hosted on virtual systems or dedicated hardware will be determined during negotiations with the selected vendor.

Anticipated total project costs are summarized in the table below:

Project Budget	Planned					
Cost Elements	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**	**Totals**
Staff						
State Staff	$980,059	$2,111,769	$2,111,769	$2,111,769	$2,111,769	$9,427,135
OPS	$0	$0	$0	$0	$0	$0
Expenses						
Project Deliverables	$600,000	$1,371,100	$1,271,100	$1,271,100	$1,271,100	$5,784,400
Software	$0	$0	$0	$0	$0	$0
Other Expenses	$121,127	$337,002	$214,962	$214,962	$214,962	$1,103,015
OCO	$415,000	$225,000	$0	$0	$500,000	$1,140,000
Contract Services						
Contract Staff	$755,200	$755,200	$755,200	$755,200	$0	$3,020,800
Project Deliverables	$0	$79,000	$79,000	$41,000	$41,000	$240,000
Maintenance	$0	$205,665	$190,665	$190,665	$190,665	$777,660
Other IT Services	$115,000	$115,000	$115,000	$115,000	$115,000	$575,000
Other	$0	$7,786,000	$6,286,000	$116,000	$116,000	$14,304,000
Total	**$2,986,386**	**$12,985,736**	**$11,023,696**	**$4,815,696**	**$4,560,496**	**$36,372,010**

E. Capacity Planning

(historical and current trends versus projected requirements)

The overall process of the planned system includes agencies processing and submitting data to FDLE as well as FDLE processing and analyzing data for internal and public use and subsequently submitting data to the FBI. However, for the purposes of this section, only components under the control of FDLE are included since agency RMS systems already collect and store incident data and the transition to incident-

based reporting by FDLE does not significantly impact agency RMS system capacities or capabilities.

There are two major components that are part of the planned approach:

1. The FIBRS repository that receives data from agencies, stores and processes the data, and generates data submissions for transmission to other systems such as FBI NIBRS, and
2. A state-provided RMS system for agencies that do not have their own RMS or that desire to use a state-supported RMS rather than maintaining their own.

Each of these major components is covered separately below.

Historical and Current Information

FIBRS

Current data submission transactions from state and local agencies are limited due to the restrictive design of the UCR Summary data collection. Most data is submitted twice per year, with some data only collected once per year. Limited data is submitted more frequently; in 2016 this data consisted of fewer than 300 reports. UCR Summary data reporting was originally designed more than a half century ago to be suitable for paper reporting and has not been significantly updated since then. The data is statistical in nature so the size of the data sets and the number of records is relatively small by modern standards. The number of agencies submitting data directly to FDLE is approximately 400. Therefore data capacity, network bandwidth, and processing power requirements are currently low.

State-provided RMS

The state does not currently provide such a service.

Projected Requirements

FIBRS

The required transition from a UCR Summary statistical reporting process to a FIBRS incident-based process means that data set size will increase significantly, and the frequency of data submissions will go from semi-annual to daily and monthly. Therefore, the historical capacity and capabilities of the existing hardware, software, and network do not provide a foundation for determining projected requirements. However the information available regarding the number of agencies and number of incidents does provide input into projected requirements.

The inclusion of FDSP data that will be forwarded to the FDSP repository(ies) means that FIBRS must be capable of receiving, processing, and transmitting data on a daily basis. When errors or other issues are identified in submitted data, or when additional information regarding an incident becomes available, an agency can update and then resubmit the data to FDLE, meaning that some incident data may be submitted multiple times.

The transition from UCR Summary to NIBRS for statistical analysis of incident data will increase reporting frequency from twice annually to monthly, with a significantly larger data set requiring application of a complex business rule set to enforce much higher data quality. Additionally, NIBRS supports more frequent reporting than monthly, so some agencies may report weekly or by any other desired schedule.

While the actual capacity planning can only be done after the detailed design of the system is completed, some generalizations can be made.

- Over 600,000 offenses were reported during the previous annual reporting cycle, for an average of almost 1,700 per day or 50,000 per month.
- Some incidents may be submitted more than once either due to the availability of additional data or to make corrections and/or updates to an earlier submission. Assuming ten percent (10%) are resubmitted, the average number of incidents submitted would increase to over 1,800 per day or 55,000 per month.
- All incident data is expected to be retained indefinitely.
- Original data submission files will be retained indefinitely.
- While there is not an expectation that agencies will submit historical (i.e., pre-FIBRS) data to FIBRS, some agencies may submit all data that has not previously been submitted, which would include historical data.
- Some agencies may submit data weekly or monthly rather than daily, requiring greater capacity to handle larger data files. It is expected that these larger file submissions would occur over a short period of time at the beginning of the month, increasing the maximum capacity required to accept data submissions.

In addition to the primary FIBRS system, a back-up system must also be acquired, so operations can continue if the primary system is down for a period of time. While FIBRS will forward incident data on a daily basis to FDSP, a slowdown or short delay in submitting data to FDSP is not catastrophic. Data submissions to the FBI for NIBRS and Use of Force will occur monthly; a slowdown or short delay in submitting this data does not create issues with these programs. This means that FIBRS does not require a redundant system to be running in parallel for immediate switchover, so the back-up system can be a passive back-up activated as necessary, with the current data available to the back-up. Additionally, the back-up hardware for FIBRS does not need to have the processing or network capacity of the primary system, although the back-up system should have equivalent storage capacity.

State-provided RMS

Based on the online survey conducted by FDLE, it appears that fewer than 15 agencies currently lack an RMS, totaling fewer than 600 officers. However, it is anticipated that as many as 100 small and medium agencies totaling as many as 4,000 officers may switch to a state-provided RMS in order to upgrade to a modern system, simplify operations, and lower costs. Therefore, the hardware must be sufficient to support the larger user base. While the details will depend on the user pricing model of the selected product, licensing and upgrades must support adding additional users as new agencies come online. RMS software licensing prices and capacity requirements are driven by the number of officers and agencies rather than the number or frequency of incident data collected. Therefore, detailed estimates for the number of incidents, transaction frequency, peak transactions, etc., are not required.

A large percentage of the data elements that must be supported by the FIBRS RMS are already included in all basic RMS products. Additional system processing and storage capacity required to support data elements that are not already part of the “base” RMS will be determined during negotiations with the selected vendor, but are expected to be minimal.

In addition to the primary state-provided RMS system, a back-up system must also be acquired so operations can continue if the primary system is down for a period of time. Since the RMS is used in real-time by officers, data entry and access responsiveness for the back-up system must be equivalent to that of the primary system, requiring the back-up system to have equivalent processing power, networking

capacity, and storage capacity as the primary system. Even though the RMS system will be used operationally by officers in the field, a redundant system is not required, so the back-up system can be a passive back-up activated as necessary, although the current data will have to be available to the back-up.

VII. Schedule IV-B Project Management Planning

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

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

Project Scope

The scope of this project is to design, develop and deploy processes and systems for Florida to collect and process incident-based crime data from participating local and state criminal justice agencies and provide the data to national programs. In addition, build and administer an IT infrastructure to support new applications and projected expansion and data storage needs related to the management of crime data.

FDLE's primary objectives for this project are to:

- Continue to assess the current status of all local and state law enforcement agencies to provide incident-based crime data to the state's UCR program
- Handle the increased burden to the state's UCR program for accepting incident-based data from participating agencies
- Determine the technical capacity for the state's UCR program to support incident-based crime data submitted to the state
- Obtain additional staffing for FDLE needed during the transition period required to implement an incident-based reporting(IBR) program including the institutionalization of new functions required as part of establishing the new IBR program
- Hire and train the training staff that will need during the transition period and after
- Overcome obstacles to enable the reporting of NIBRS-compliant data to the FBI
- Collaborate with the NCS-X Implementation team, using their technical assistance and expertise in areas such as outreach to stakeholders, project management guidance, and the development of the capabilities and products
- Develop a technical specification for IBR in Florida that supports the needs of NIBRS, Use of Force, FDSP, and any additional data required by Florida for hate crime and domestic violence reporting in the state
- Acquire a state repository for the incident-based crime data that can extract and submit data to NIBRS, Use of Force and FDSP
- Acquire a state-provided RMS system for use by agencies that do not have an RMS, or have an RMS that cannot reasonably be updated to support Florida's IBR needs
- Assist state and local agencies to upgrade their RMS systems to support Florida's IBR needs
- Coordinate public awareness communications and project strategies with Sheriffs' Association, Police Chiefs' Association and Criminal and Juvenile Justice Information Services Council
- Provide training and technical assistance to state and local agencies in the transition, upgrades,

and/or modifications to local systems or business processes

Project Phasing Plan

This project consists of three high-level phases: detailed planning, procurement/contracting, and implementation and deployment. Given the number of state and local agencies that will interface to the FIBRS repository, and the number of initial and future agencies that are anticipated to use the state-provided RMS, the overall timeframe for this project is relatively long. In addition, FDLE needs to have systems in place and at least a partial set of agencies reporting NIBRS data by the time the FBI stops accepting UCR Summary data in January 2021. Therefore, all phases of the project will overlap so at least partial functionality is in place by then.

Phase 1 - Detailed Planning

The detailed planning phase involves designing and developing the FIBRS technical specification and technical requirements, assembling the project team, and establishing mechanisms for FDLE to collaborate with state and local law enforcement agencies and with vendors. The technical specification and technical requirements documentation will be provided to state and local agencies that have developed their own RMSs to gain their feedback. FDLE will identify agencies that are interested in using the state-provided RMS to assemble a working group to review requirements defined by FDLE and to review product offerings. During this phase, FDLE will also continue to collect and update information collected during readiness assessments to fill in missing information and to make updates as agencies change their RMSs.

Phase 2 - Contracting

This phase of project will include obtaining funding and statutory approvals to move forward with procurement process. The specifications and requirements developed during the detailed planning phase will be used to develop competitive procurements (Invitation to Negotiate (ITNs)) for both the FIBRS repository and state-provided RMS. FDLE will procure a vendor(s) commercial product for FIBRS repository and state-provided RMS.

Phase 3 - Implementation and Deployment

The implementation and deployment phase starts as soon as the technical specification and requirements are available since agencies and vendors can begin efforts to upgrade their existing RMS products. In addition, FDLE can start development of a test plan and various documentation and software tools to simplify development and testing of products. Once the procurement/contracting phase is complete, vendors can start customizations to the products that will be used for the FIBRS repository and state-provided RMS.

FDLE will work with agencies and vendors to determine the first set of vendor and in-house RMS products to upgrade, and FDLE will provide technical assistance to those agencies and vendors to aid with the rapid adjustment, to answer questions, and to provide support to ensure a successful upgrade and deployment. FDLE will focus primarily, but not exclusively, on agencies that are part of the NCS-X sample agencies that the FBI needs to be able to generate accurate nationwide NIBRS crime statistics. Once the first set of RMS upgrades is well underway, FDLE will start work with additional vendors and agencies. FDLE will work with the FIBRS repository and state-provided RMS vendors to provide similar technical assistance. FDLE will also work with the state-provided RMS vendor to interface the RMS to the FIBRS repository.

Once the state-provided RMS is deployed, FDLE will work with an initial set of agencies to onboard them to the RMS. FDLE will focus primarily, but not exclusively, on agencies that are part of the NCS-X sample agencies that the FBI needs to be able to generate accurate nationwide NIBRS crime statistics. Once the initial set is operational, additional agencies will be brought onboard with the state-provided RMS.

During this phase, FDLE will also work with the NCS-X Implementation Team and FBI NIBRS programs to start submitting data to NIBRS. FDLE will work with the FBI to submit data to the Use of Force repository once the FBI's system is ready to accept data. FDLE will coordinate with the state FDSP repositories to forward appropriate data to FDSP. Work will be done on an agency-by-agency approach as agencies submit data to FIBRS.

Toward the end of this phase, the FIBRS repository and state-provided RMS will have been deployed for approximately two years. While it is anticipated that FDLE will still be bringing agencies online with both the FIBRS repository and the state-provided RMS, the number of agencies being brought online will have slowed. However, by this time, desirable additional features or requirements may have been identified, technology advances may be available that would improve the process and related systems, user requests may have been received, new features may be available in the various products, etc. Therefore it is anticipated that a round of feature enhancements and technology refreshes will be beneficial to improve services, stay current with technology, and continue to improve the overall process. These enhancements and refreshes will be conducted in parallel to any ongoing work to bring agencies online with the FIBRS repository and the state-provided RMS. In addition to defining operational processes and procedures, FDLE will retire and decommission outdated business process, tools, methods, and functions that no longer add value FIBRS process.

Baseline Schedule

A baseline scheduled can be found in Appendix G. A more detailed baseline schedule will be prepared after a contract is established with FIBRS and RMS vendors

Project Organization

[define in narrative and chart formats the project's governance structure, to include the sponsor, executive steering committee, oversight entities, and project management and implementation teams]

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

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

FDLE Executive Leadership

The Executive Leadership consists of the Assistant Commissioner (Public Safety Services), Director of CJIS (also the project sponsor), Special Agent in Charge (SAC) of Office of Statewide

Investigative Services and the Chief Information Officer (CIO). The CJIS Director and CIO report to the Assistant Commissioner of Public Safety Services. The SAC reports to the Assistant Commissioner of Investigations and Forensic Sciences. The Executive Leadership provides guidance on project decisions that impact scope, schedule and budget.

FDLE Project Steering Committee

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

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

A status report is prepared for each meeting and is distributed to each attendee. The member of the PSC will be represented by the following organizations:

- Florida Sheriffs Association
- Florida Police Chiefs Association
- State Law Enforcement Agency
- Florida Attorney General's Office
- FDLE - Information Technology Services
- FDLE - Criminal Justice Information Services
- FDLE - Investigations and Forensic Sciences

Project Manager

The PM is responsible for the overall management and coordination of the work effort and successful completion of the FIBRS project. The PM monitors the day-to-day status of project team efforts. This includes establishing and maintaining the project management plan, assigning, directing, and monitoring the work of project staff, serving as FDLE's primary point of contact for the prime contractor, managing issues and risks, monitoring and reporting project status, and reviewing contract deliverables prior to delivery to the PSC for approval.

Project Team

The FIBRS Project Team consists of a core group of FDLE members responsible for the day-to-day tasks associated with the project. This team will be comprised largely of members of Criminal Justice Information Services, Information Technology Services and any other positions (FTE or Contract) deemed necessary for the successful completion of the project.

Contract Manager

As a member of the Project Team, the Contract Manager is responsible for gathering the necessary information for developing the SOW and other contracting vehicles, monitoring the award of those contracts, ensuring performance delivery as required by the contract and closing out contracts when the tasks are completed. The Contract Manager works closely with FDLE contract and legal members to ensure that all work is accomplished within State and FDLE contracting rules and guidelines. The Contract Manager will coordinate budget issues and maintain awareness of all expenditures and accounts payable.

FDLE Implementation and Transition Unit (ITU)

Workgroups will assist the Project Team in ensuring that the FIBRS project meets the operational needs. SMEs, representatives from business operations, and IT will be assigned to the project. FDLE is requesting a total of 27 additional state positions; nine in FY2018-2019 to serve as the FIBRS ITU and a remaining 18 positions as the system is implemented for auditing and training purposes. Business staff consisting of management, Criminal Justice Information Consultants, Government Analyst, Criminal Justice Information Analysts and Operations Review Specialist will be assembled to improve the collection and reporting of criminal data through the state's FIBRS repository and RMS. The unit will be responsible for implementation and transition of external agencies to the new system, as well as for stakeholder and customer communication, education/training, preparation and readiness for the new technology. They will evaluate existing policies and determine whether modifications are needed, or if new policies need to be created, to mitigate privacy or other risks related to new services and business processes.

The ITU will serve as the conduit through which user community stakeholders and program personnel communicate, ensuring the resulting services are compliant with the mission. This includes policy identification/coordination for new services, questions for the record, and public inquires. This project will require extensive coordination with loyal agencies as they make modifications to their systems to become compliant with state specifications.

Quality Assurance Plan

[describe the agency's approach to quality measurement and control. Tools may include a deliverable acceptance plan, phase gate process, project change/contract management plan, status reporting, testing plans, and independent verification & validation (IV & V)]

The focus of the quality management process is to build effective processes that enable the production of high quality deliverables that meet the specified business requirements. The qualify management procedure consists of two principal processes: Quality Assurance (QA) and Quality Control (QC).

Quality Assurance

QA is the practice of adhering to planned, established and systematic approaches designed to ensure the high caliber of the deliverables and the detection and correction of any errors. It provides information about a common set of guidelines and standards to be applied by the Project Team. The primary aspect of a QA review is to ensure that the processes established for the project are being followed. If new processes are required, a group will be formed to establish the quality procedure. The benefits of following quality assurance processes include the following:

- Improved communication
- Improved planning and requirement gathering/definition processes
- Improved development process
- Improved product quality
- Better criteria for hardware and software testing
- Easier transition to production for hardware and software

The most effective QA activity is a formal QA review. The Project Team will conduct these reviews of project processes. Using results generated by this review, the PM will direct follow-up

actions to ensure that the project uses sound processes. Additionally the ESC will advise the PM of any observed deficiencies in processes and the PM will take corrective action to resolve the deficiency in the future.

Quality Control

QC activities are those focused on the inspection and/or testing of the deliverable produced. The QC Team will verify that the deliverables are of acceptable quality and that they are technically accurate. QC is the responsibility of the Project Team and the PM or Task Lead responsible for a deliverable. The PM will monitor the activities associated with the acceptance of deliverables. QC is conducted before a deliverable is submitted as final to be approved by the PM. The Project Manager is responsible for developing and maintaining a Quality Plan. The Quality Plan will document major deliverables of the project, completeness and correctness criteria, quality control activities and quality assurance activities.

Topics Addressed in the Quality Plan:

Quality Control activities associated with project deliverables:

- Document Deliverables
- Hardware and Software Deliverables
- Service Deliverables

Quality Assurance activities:

- QA processes (Requirements Traceability, Testing, Data Migration, etc.)
- Responsibility for QA processes

Quality Metrics for the project such as:

- Customer Satisfaction
- IT Satisfaction
- Vendor Satisfaction
- Changes in Scope
- Changes to Schedule
- Changes in Cost
- Number and Type of Issues
- Number and Type of Defects
- Preparedness of customer to assume production responsibilities
- Preparedness of IT to assume production responsibilities
- Solution “Fitness for Use”

System testing and operational acceptance testing will be the primary QC processes used to assure that deliverables meet FDLE’s documented requirements. System testing will involve specific testing and measurement at a technical level to verify compatibility, usability, performance, accuracy, and content of results.

External Project Oversight

Criminal and Juvenile Justice Information Systems Council (CJJIS)

The CJJIS Council was created by section 943.08, F.S., with the purpose to develop and implement a statewide strategy for identification, sharing, and coordination of criminal and juvenile justice data among federal, state and local criminal justice agencies. The Council is comprised by 14 members, consisting of representatives from the Attorney General, State

Attorneys, Department of Law Enforcement, Department of Corrections, Parole Commission, Department of Juvenile Justice, Department of Highway Safety and Motor Vehicles, Public Defenders and the Office of State Court Administrators. The Governor of Florida appoints two sheriffs, two police chiefs, and one clerk of court to the Council. With this broad representation of the criminal justice community, all issues receive a full and fair hearing from all perspectives.

Pursuant to Rule 74-1.009 F.A.C., this project will include the contracting of an independent verification and validation vendor to provide additional project oversight.

Change Management

Change management occurs throughout the lifecycle of the project. A change can be related to any facet of the project – scope creep, schedule revision, funding / cost changes, team / resource changes, issues and risks, etc.

If the change is minor, the PM may determine that the change can be met within current project parameters and the formal change process is not necessary. If the change could impact requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the PM (or team member assigned) will fully research the impact of the project change and formulate a resolution. The PM will complete a formal Project Change Request form and present the change to the Project Steering Committee.

The Project Steering Committee will determine if the proposed change should be approved. Members of the Project Steering Committee will signify approval or disapproval of a proposed project change by signing the Project Change Request form.

The PM and/or Project Steering Committee may consult with FDLE Executive Management if the proposed change significantly alters requirements, deliverables, payment schedule, cost, or completion date of a major milestone. FDLE Executive Management will determine if the proposed change should be approved.

If the Project Steering Committee or FDLE Management determines that the approved project change will require a Contract Amendment, the PM will work with the vendor to prepare the Contract Amendment for the PSC's review and approval. The contract amendment will then be processed according to FDLE contract procedures.

Communications Plan

The PM will develop a Communications Plan to provide a framework for addressing change management with customers. The Communications Plan outlines a comprehensive strategy of both communicating project and process change information to the FIBRS customer base and others affected by the project as well as receiving and processing input/feedback from customers and others. The Communication Plan identifies communication strategies which will be used to target the different audience groups (users, stakeholders, advisors, media, decision-makers, etc.) via an assortment of communication methods (Internet and email, formal and informal documents, multi-media presentations, and face-to-face meetings). This document serves as the core of the FIBRS change management effort and will be updated throughout the life of the project.

Effective communication and outreach, both internal and external to FDLE is critical to the overall new repository and statewide RMS during the design, development and implementation phase of

the project and to ensure increased understanding, involvement, and buy-in from all stakeholders. The objectives of the Communications Plan include the following:

- To ensure that target audiences are aware of and understand the purpose and mission of FDLE, particularly as it relates to crime statistics reporting, understand the rationale for development of a new system, and know what will and what will not change as a result of this project.
- To ensure that all audiences and stakeholder groups recognize the benefits of an updated reporting method, and how it will help organizations achieve their criminal justice objectives.
- To provide information to external customers on how implementation of the updated FIBRS may affect current and future work processes and what will be done to mitigate any perceived negative effects, address and clarify any unrealistic user expectations, and achieve “buy-in” from the internal and external user community.
- To maintain a dynamic and proactive communications campaign, in which information is updated and continuously provided for the benefit of the entire user community, and to establish a culture in which feedback is encouraged and is gathered and evaluated to ensure that project objectives will be met and project goals achieved.

The Project Manager is responsible for developing and maintaining a Communication Management Plan. This plan will document how and in what format information will be communicated, when and where communication will be made, and who is responsible for providing each type of communication.

Topics included in the Communication Management Plan:

1. Target Audience - Identification of all possible audience groups in as much detail as possible:
   - Specific stakeholder groups (Police Departments, Sheriff’s Offices, etc.)
   - Project Team
   - Project Steering Committee
   - FDLE management
   - FDLE customers
   - Legislature
   - Oversight agencies

2. Communication Method Communications may be formal, such as status reports, Operational Work Plans, newsletters, and quarterly meetings or informal such as notices or announcements through email or website. Communications may also be in written form or face-to-face. Examples include such things as:
   - Status reports
   - Operational Work Plans
   - Stakeholder /customer surveys
   - Project newsletters
   - Pamphlets
   - Project website
   - Ad Hoc notices
   - Project Steering Committee meetings

- Project Team meetings
- FDLE Executive Management briefs

3. Method of Delivery - Methods of delivery could be such things as:
   - Emails
   - Presentations
   - Reports
   - Website
   - Documents (electronic or paper)
   - Meetings

4. Frequency

Some communications could be set at regular intervals such as meetings or reports required annually, quarterly, biweekly, etc. or upon specific project milestone or phase timelines according to project needs. Some communication could also be random and event-specific such as notices dealing with specific issues.

5. Responsibility

Each type of communication must be assigned to the PM or a specific member of the Project Team.

Risk Management

[describe the agency's process for identifying, documenting, and mitigating project issues and risks]

The selected vendor(s) will provide a Risk Management Plan that describes the plan to manage risks throughout the life of the project. A risk refers to future conditions or circumstances, which will have an adverse impact on the project if they occur, that exist outside of the control of FDLE or the Project Team. In other words, a risk is a potential future problem. Risk management is performed continually over the life of the project. Risk management includes the following:

Step 1: Identify major risks to project success
Step 2: Assess the potential impact of each risk and its probability of occurrence
Step 3: Determine appropriate contingency plans
Step 4: Determine the acceptable level of tolerance for each risk
Step 5: Specify mitigation strategies to be implemented for critical risks
Step 6: Periodically review the effectiveness of mitigation strategies and identify any new risks.

Risk identification occurs throughout the life of the project. Any project stakeholder, Project Team member, customer or contractor can submit a risk at any time. A risk mitigation session is conducted at the start of each build or phase. The PM will manage the FDLE risk documents which one of the artifacts maintained throughout the life of the project. Distribution of the risk document will be agreed upon between the FDLE and the vendor PM at the beginning of the engagement. The risk document will be an electronic document and available to the Project Team at all times during the project.

The PM (in consultation with the PSC) evaluates the risk and recommends a risk level. The risk level is used to set the priority of the risk and determine how risks should be addressed.

Risk management includes an ongoing cycle of risk identification, analysis and monitoring. FDLE uses TenStep to perform risk management. Each risk with a risk level of medium or high is evaluated to determine if the impact is severe enough that a risk mitigation plan should be created. If a risk mitigation plan is required, the risk is investigated to determine whether or not the resolution of a risk causes the budget, personnel, scope or schedule to change. In the event a risk mitigation plan must be exercised, project change control processes will be used (if necessary) and activities associated with the risk mitigation plan will be added to the Project Schedule to ensure the work is completed. The PM monitors all risk mitigation plans to ensure they are being executed successfully.

Implementation Plan

One of the most important goals of the entire implementation plan is to ensure that state and local agencies do not have to bear the cost of the transition to incident-based reporting. Therefore, significant assistance will be provided to agencies and vendors to educate them on the new specifications, and to simplify development, testing, deployment, and training. FDLE will provide funding to agencies to upgrade their vendor or in-house RMS products, to deploy the upgraded versions, and to train-the-trainer for these products. FDLE will also provide tools and software so vendors and agencies do not have to duplicate each other's efforts. This assistance is part of all aspects of the implementation plan described below.

As noted previously, there are two major components that are part of the planned approach: the FIBRS repository and the state-provided RMS system for agencies that do not have their own RMS or that desire to use a state-supported RMS rather than maintaining their own. Both systems will be based upon a FIBRS technical specification that is geared towards meeting Florida's needs for NIBRS, FDSP, use of force, and the Florida-specific data elements required for hate crime and domestic violence reporting.

At the highest level, the implementation plan consists of the following:

- Develop and publish the technical specification,
- Acquire, customize, and deploy a commercial customized repository and a customized RMS system to meet FDLE's business requirements,
- Update existing RMS systems in use by state and local agencies to adhere to the technical specification,
- Test with agencies to work with the FIBRS repository,
- Test with agencies to submit NIBRS and use of force data to the FBI,
- Forward FDSP data to the state FDSP system, and
- Retire the existing UCR Summary systems.

FDLE will develop the FIBRS technical specification using the existing FBI NIBRS specification as the foundation. This specification will include complete documentation, data elements listings, diagrams, and sample data submission messages. FDLE will also establish a developer portal where vendors and agencies can download the technical specification, access documentation and software/tools, ask questions, and request assistance.

FDLE will develop and release an competitive procurement to all interested vendors for both the FIBRS repository and the state-provided RMS. The RFI will include the technical specification so that vendors have complete technical information on the data to be submitted and/or stored, and they will be able to review the specification and provide feedback on errors or potential places of improvement. The technical specification will also be released to agencies that have developed their own RMS so they can review the

specification and provide feedback.

Vendors will be able to provide information on their solutions, and vendors and agencies will provide feedback on the technical specification. Feedback on the technical specification will be used to revise the technical specification, if necessary.

Based on the results of the RFI, FDLE will undertake a competitive procurement process Intent to Negotiate (ITN) to acquire the FIBRS repository and state-provided RMS. Depending on the results of the ITN, FDLE may acquire both products from the same vendor, or from different vendors.

Once the procurement contract is in place for the FIBRS repository and state-provided RMS, the vendor(s) will modify their products to meet FDLE's needs, including:

- Conformance to the FIBRS technical specification for data coming into FIBRS,
- Conformance to the FBI NIBRS and Use of Force technical specification for data going from FIBRS to the FBI,
- Ability to submit data to the FDSP repositories in the state, and
- Adherence to the business process requirements and the functional and technical requirements defined by FDLE.

FDLE intends to establish a small working group of agencies interested in using the state-provided RMS to assist in the selection of the RMS. This group will help to establish requirements, review information on available products, participate in demonstrations, and rate the products under consideration.

In parallel with the acquisition, customization, and deployment of the FIBRS repository and state-provided RMS, FDLE will work with vendors and agencies to update their RMS products to conform to the FIBRS technical specification. For each vendor RMS product currently in use, FDLE will work with the vendor and agencies to identify a single agency to conduct testing for that product. Initial efforts will focus on vendor and in-house RMS products in use by sample agencies identified by the NCS-X project. FDLE will provide technical assistance to vendors and agencies regarding the various specifications and requirements to simplify implementation and to ensure interoperability. FDLE will start with a small set of RMS products and the selected test agency to educate and support the vendor and agency. As vendors and agencies make progress and need reduced technical assistance, FDLE will start to provide assistance to additional vendors and agencies. Given the number of different RMS products in use in the state, the upgrade process will be a multi-year undertaking and is expected to continue beyond January 1, 2021, when the FBI is scheduled to cease accepting UCR Summary data.

As noted previously, FDLE will provide funding to agencies to upgrade their vendor or in-house RMS products, to deploy the upgraded versions, and to train-the-trainer for these products. These upgrades will be prioritized as shown below. Note that all upgrades are dependent on the readiness of agencies and vendors to perform and use the upgraded RMS products. Some agencies and their vendors that are ready to start the upgrade process may move up the priority list over agencies and/or vendors that are not yet ready.

1. Upgrade NCS-X sample agencies to FIBRS.
2. Upgrade other agencies that use the same vendors as the NCS-X sample agencies.
3. Upgrade remaining large population agencies.
4. Upgrade remaining agencies that utilize RMS products used by multiple agencies.
5. Upgrade remaining agencies that utilize RMS products used by a single agency.

Once the FIBRS repository is deployed, each agency will test their vendor, in-house, or state-provided RMS product for interoperability for FIBRS data submission. Once FIBRS interoperability is achieved, the agency will work with FDLE and the FBI to be NIBRS and Use of Force operational.

FDLE will work with agencies and vendors to ensure that FDSP data is properly submitted to FIBRS and forwarded as appropriate to the state FDSP repositories; there is no certification process for FDSP.

As noted previously, FDLE conducted an online survey which collected extensive information on what RMS systems are currently in use in the state. FDLE will continue to follow-up with agencies and vendors to ensure that there is accurate information on products and agencies using them, as well as to identify agencies that are interested in using the state-supplied RMS either because they do not have an RMS or would prefer to use a state-provided system. For products in use by only a few agencies, the state may also realize cost savings by encouraging agencies to switch to the state-provided RMS rather than paying the cost of upgrading the vendor's RMS system.

FDLE will continue to accept UCR Summary data during the transition to incident-based reporting. For agencies that have transitioned to FIBRS, FDLE will convert NIBRS data to the UCR Summary format to allow for comparison of statistical reports to previous years. The agencies will be able to compare their NIBRS crime numbers with what their data would have looked like if they were still submitting according to UCR Summary guidelines FDLE will generate state crime statistics using these converted UCR Summary statistics combined with UCR Summary data from agencies that have not made the transition until FDLE determines sufficient state and local agencies have transitioned for the state to have representative incident-based data available. Once a sufficient number of agencies have made the transition, FDLE will decommission the UCR Summary systems currently in use.

VIII. Appendices

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

Appendix A – Acronyms and Definitions

Appendix B – Information Technology Standards

Appendix C – FBI Effects of NIBRS on Crime Statistics

Appendix D – FBI Notification of transition to IBR

Appendix E – Current System Operational Cost

Appendix F – Project Cost Estimate

Appendix G – Project Schedule

Appendix H – Cost-Benefit Analysis Worksheets

Appendix I – Risk Assessment Worksheets

Appendix A – Acronyms and Definitions

Abbreviation / Acronym	Description
ADA	Agency Data Approver
ASM	Application Security Module
BEBR	Bureau of Economic and Business Research at the University of Florida
BJS	Bureau of Justice Statistics, U.S. Department of Justice
BPR	Business Process Requirement
CAD	Computer Aided Dispatch
CBA	Cost Benefit Analysis
CJIS	Criminal Justice Information Services
CJNET	Florida Criminal Justice Network. A communications network maintained by FDLE that provides access to state and national criminal justice resources relating to Law Enforcement, Judicial, and Correctional information.
COTS	Commercial Off-The-Shelf
CPU	Central Processing Unit
DABT	Florida Division of Alcoholic Beverages and Tobacco
DAO	Data Access Object
DMZ	Demilitarized Zone
DOJ	U.S. Department of Justice
FBI	Federal Bureau of Investigation
FDLE	Florida Department of Law Enforcement
FDSP	Florida has two systems that agencies use to share record management system (RMS), jail management system (JMS), computer-aided dispatch (CAD), and other investigative data with each other and law enforcement partners outside of Florida. The Orlando region uses the Federated Integrated Network for Data Exchange and Retrieval (FINDER) and the remainder of the state uses the Naval Criminal Investigative Service's (NCIS) Law Enforcement Information Exchange (LInX) system. Both systems are integrated with each other and share data with other LInX systems around the United States including the Department of Defense Law Enforcement Defense Data Exchange (D-DEx). In both systems, the agency data is mapped into a common data format and then

	stored in a database that is accessible to the other agencies. Collectively known as the Florida Data Sharing Project (FDSP), these systems capture most, but not all of the data elements required for NIBRS reporting. Data in the systems is updated by the agencies on a daily basis. Florida also participates in the FBI's National Data Exchange (N-DEx) system which is a national repository for a subset of the data stored in FDSP. Data is uploaded to N-DEx in the FBI National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) specification format.
FHP	Florida Highway Patrol
FIBRS	Florida Incident Based Reporting System
FSAC	Florida Statistical Analysis Center
FWC	Florida Fish and Wildlife Conservation Commission
FY	Fiscal Year
GB	Gigabyte
IBR	Incident Based Reporting. A crime data collection approach consisting of details of criminal incidents, rather than summary counts as in SRS.
IEPD	Information Exchange Package Documentation. A NIEM specification for a specific data exchange. Contains data describing the structure, content, and other artifacts of the information exchange, supporting a specific set of business requirements.
IG	Inspector General
IT	Information Technology
ITS	Information Technology Services
ITN	Invitation to Negotiate
Kentico	Webpage content management system
LBR	Legislative Budget Request
MDT	Mobile Data Terminal
N-DEx	FBI National Data Exchange. An unclassified national information sharing system that enables criminal justice agencies to search, link, analyze, and share local, state, tribal, and federal records. N-DEx contains incident, arrest, and booking reports; pretrial investigations; supervised released reports; calls for service; photos; and field contact/identification records. Includes over 3,000 data elements.
NCS-X	National Crime Statistics Exchange. An effort to expand the FBI's National Incident-Based Reporting System (NIBRS) into a nationally representative system of incident-based crime statistics. Managed by BJS and the FBI.
NIBRS	National Incident Based Reporting System. The FBI IBR used by law enforcement agencies in the U.S. for collecting and reporting crime data. Includes 58 data elements.
NIEM	National Information Exchange Model. An XML-based information exchange framework that defines a common vocabulary enabling efficient information exchange across diverse public and private organizations. Supported by DHS, DoD and DOJ.

NLETS	International Justice & Public Safety Network, formerly known as the National Law Enforcement Telecommunications System. Nationwide interstate justice and public safety network for the exchange of law enforcement-, criminal justice-, and public safety-related information.
ODBC	Open Database Connectivity
ORI	Originating Agency ID
OS	Operating System
PD	Police Department
PDF	Portable Document Format
R2	Release 2
RAC	Reporting Agency Coordinator
RAM	Random Access Memory
RFI	Request for Information
RMS	Records Management System
SAN	Storage Area Network
SAS	Company name, originally known as Statistical Analysis System
SE	Standard Edition
SME	Subject Matter Expert
SO	Sheriff's Office
SQL	Structured Query Language
SRS	Summary Reporting System. A crime data collection approach consisting of counts of offenses and arrests for certain offense categories occurring over a period of time, rather than criminal incident details as in IBR.
UCR	Uniform Crime Reporting. An FBI program that compiles official data on crime in the United States. Includes SRS and NIBRS, as well as programs for Law Enforcement Officers Killed or Assaulted, Hate Crimes, Cargo Theft, and Human Trafficking reporting.
UCRDB	System name of one of FDLE's UCR database servers
UCRDBWEB	System name of one of FDLE's UCR database servers
UF	University of Florida
Use of Force	Use of Force. The FBI program to collect data on police-involved shootings and use of force, which includes any use of force that results in the death or serious bodily injury of a person, as well as when a law enforcement officer discharges a firearm at or in the direction of a person. Includes approximately 90 data elements.
XML	Extensible Markup Language

Appendix B – Information Technology Standards

A copy of the complete document is provided in the following pages.

Florida Department of Law Enforcement
Information Technology Standards

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

a. Architecture

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

b. Servers

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

c. Storage

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

d. Network

- FDLE's Criminal justice information systems will use CJNet.

e. Database

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

f. Application Software

- Software development standards are specified in FDLE Development Standards Version 2.0.
- Application software will be developed using Java EE or Microsoft .NET.
- Java development standards are specified in Java Development Standards Version 2.0.
- Web-based application standards are specified in JSF Web Framework Standards Version 2.0.
- JBoss is the preferred application server platform used for FDLE information systems.

g. Security

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

- 28 CFR Part 20 and Public Law 92-544, which regulate sharing criminal justice information with criminal justice and non-criminal justice governmental agencies.
- The system shall meet the FBI CJIS Security Policy (CSP), state of Florida, and FDLE security policy.

- FBI's CSP provides detailed requirements for reporting, handling, and auditing security incidents.
- Requirements of Florida Statutes Chapters 943.05, 943.051, 943.0515, 943.052, 943.053, 943.054, 943.0542, 943.0543, 943.055, 943.056, 943.057, 943.0575, 943.0581, 943.0582, 943.0583, 943.0585, 943.059, in addition to a variety of other statutes detailing background screening requirements, which describe FDLE's duties as the State's central repository for criminal record information and gateway to the Federal repository.
- Section 282.318, F.S. – Security of Data and Information Technology
- Rule 74.2, F.A.C. – Information Technology Security
- Rule 74.5, F.A.C. – Identity Management
- FDLE Policies -
    - 1.4 – Use of FDLE Resources,
    - 2.5 – Information Security,
    - 2.6 – Acceptable Use of Information Technology, and
    - 3.1 – Background Investigations.

Compliance with the following standards is preferred:

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

h. Availability

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

i. Data Communication Standards

- NIEM 3.0 (or current version)
- Joint Task Force on RAP Sheet Standardization
- NCIC 2000
- ANSI/NIST-ITL 1-2011, NIST Special Publication 500-290 Data Format for the Interchange of Fingerprint, Facial, and Other Biometric Information (or current version)
- FBI EBTS 10.0 (or current version)
- Conformance to the National Crime Prevention and Privacy Compact Council's National Fingerprint File (NFF) specification

j. Usability

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

k. Project Management

- Sections 282.003 to 282.318, F.S. – Enterprise Information Technology Services Management Act
- Rule 74-1, F.A.C. – Project Management and Oversight Standards
- Project Management Institute, Project Management Body of Knowledge (PMBOK)

Appendix C – FBI Effects of NIBRS on Crime Statistics

A copy of the complete document is provided in the following pages.

Effects of NIBRS on Crime Statistics

Executive Summary

Many law enforcement agencies are hesitant about moving from the Uniform Crime Reporting (UCR) Program's Summary Reporting System (SRS) to its National Incident-Based Reporting System (NIBRS) because of the perception that reporting crime through NIBRS will appear to increase the agency's crime. The perception is based on the following reporting differences:

- The SRS collects aggregated monthly crime in ten offense categories.
- NIBRS collects disaggregated offense, victim, offender, property, and arrestee information for 49 offenses.
- The SRS employs a hierarchy rule, which NIBRS does not.
- NIBRS counts up to 10 offenses per incident.

An example of these differences can be seen in an incident involving murder, robbery, and motor vehicle theft. The Hierarchy Rule in the SRS states when more than one offense occurs within an incident, only the most serious crime contributes to the agency's monthly crime totals. Therefore, the agency would count only the homicide for the monthly totals because homicide is the highest offense on the hierarchy. When reported through NIBRS, however, the agency would count the murder, the robbery, and the motor vehicle theft.

Due to the differences between the SRS and NIBRS reporting standards, it can appear that an agency has higher levels of crime after switching to NIBRS. Agencies, of course, understand that NIBRS reporting does not actually increase crime, but often fear that the public, media, and government officials will misinterpret the *apparent* change in crime and attribute the increased crime counts to failed policing administration and leadership rather than a change in how the crime data are being reported. In spite of this concern, NIBRS participation increased from 663 reporting agencies in 1991 to 6,299 agencies in 2014.

Analysis of the NIBRS data and the data that were converted to SRS data sets showed the following effects on reported crime due to the removal of the Hierarchy Rule and to an allowance for reporting multiple offenses:

- Rape: No effect.
- Robbery: Increased 0.6 percent.
- Aggravated Assault: Increased 0.6 percent.
- Burglary: Increased 1.0 percent.
- Larceny: Increased 2.6 percent.
- Motor Vehicle Theft: Increased 2.7 percent.
- Total SRS Offenses: Increased 2.1 percent.
- Incidents that involved multiple offenses: 10.6 percent of all reported incidents.

Agencies moving to NIBRS can use this information to explain that increases in their crime rates are due, at least in part, to the elimination of the Hierarchy Rule and to the allowance of reporting up to ten offenses in a single incident. In addition, the long-term effect of using SRS data to develop policies may be negative because SRS data may not address the true nature of the crime problem.

◆

Introduction

Since 1930, the FBI's Uniform Crime Reporting (UCR) Program has collected statistics from law enforcement agencies who voluntarily submit monthly aggregate totals for seven Part I crimes through the Summary Reporting System (SRS). By the late 1970s, the FBI and its partner law enforcement agencies saw the need for a new crime reporting program which not only included a host of expanded crime categories, but which also collected more comprehensive data about crime incidents in general. After working together to develop the blueprint for a new data collection program, the UCR Program began collecting data through the National Incident-Based Reporting System (NIBRS) in 1991.

Though NIBRS was seen as a major improvement over the SRS, not all law enforcement agencies were willing to make the change to a more robust and disaggregated system for reporting crime data. The cost of changing to NIBRS electronic data submission was, and still is, an expensive transition for law enforcement agencies. Additionally, and aside from potential costs, some law enforcement agency administrators fear that transitioning to NIBRS from the SRS will make it appear that their agency has an unwarranted increase in the level of crime in their jurisdiction. However, the apparent increase in crime volume when switching to NIBRS is easily explained due to the elimination of the Hierarchy Rule. The Hierarchy Rule in the SRS requires that law enforcement agencies only report the most serious offense occurring in an incident, whereas NIBRS collects up to ten offenses for each incident of crime.

It is important to understand the value of data that law enforcement agencies release to the public. The true value of these data are realized only when the data are accurate and the integrity of the data allows for the necessary confidence to make valid conclusions about crime within communities and across the nation. UCR data are used by government entities (at all levels), businesses, and citizens to make important decisions. Administrators choose locations to target resources, businesses choose locations to conduct profitable ventures, and families chose locations to establish safe homes and send children to safe schools based on the accuracy and integrity of crime data.

Providing erroneous or incomplete crime data will yield inaccurate information and cause people to make inaccurate conclusions. This can result in ineffective policies, business practices, and

personal decisions. The harm of such inaccuracy may cost billions of dollars in ineffective policy implementation, unprofitable ventures, and loss due to crime.

The following analysis aims to evaluate the increase in crime volume reported by law enforcement agencies when using NIBRS data specifications, rather than the SRS. Further, why this change occurs and why it will not be apparent in law enforcement agency crime trends is discussed. In short, when NIBRS data are converted to the SRS for the purpose of trending, the hierarchy rule is reapplied. In spite of reporting more data, agencies do not experience an increase in crime when changing from the SRS to NIBRS reporting specifications.

To achieve the goal of evaluating the change in crime data that law enforcement agencies may experience, this study simply compares the difference in crime volume and computes the percentage difference in crime volume due to the hierarchy rule. The analysis was conducted at the national level and is used as a reasonable estimate of how changing from an SRS reporting agency to a NIBRS reporting agency affects the amount of crime submitted to the FBI's UCR Program. NIBRS data for 2014 was used to determine this effect. Law enforcement agencies reporting at least one Group A offense occurring in 2014 were represented.[1]

History: UCRs Evolution from a Socioeconomic Indicator to a Means of Transparency

These seven crimes were established in 1930 and are the nation's premier indicator of the nature of crime in the United States: murder, rape, robbery, aggravated assault, burglary, motor vehicle theft, and larceny. Together, these seven offenses were called Crime Index offenses because they were *indicators* illustrating the extent to which crime was increasing or decreasing in the United States. Since the collection and reporting of data was a completely manual process—meaning there were no computers to help account for the number of crimes occurring in the nation—the Crime Index offenses were used to determine the general level of crime in the nation. Since, in essence, these seven crimes represented nearly all types of crime, no other types of crime needed to be collected. Moreover, it also would not have been feasible to collect/report each and every crime with the manually intensive methods of collecting data in the 1930s. (An eighth index crime, arson, was added in 1979. The term Crime Index was discontinued in 2003 and the eight offenses are since referred to as Part I crimes. The ninth and tenth Part I crimes, human trafficking—commercial sex acts and human trafficking—involuntary servitude, were added in 2013.)

Computers had begun automating manual processes for UCR in 1960 which allowed for collecting more disaggregated data. By 1984, the nation was entering the information age, and technology allowed for the collection of greater amounts of crime data. NIBRS was created to

[1] The data file used to create this report was generated on 7/7/2015. Agencies are allowed to report 2014 NIBRS data until December 2015. It is assumed the majority of law enforcement agencies already reported NIBRS data for 2014, though there may be slight differences in results from NIBRS data files created after 7/7/2015 should the data be used to replicate this study. The conclusions derived from such findings are assumed to not be significantly different from the findings presented in this study.

take advantage of technological advances in order to meet the need for a more detailed crime data collection format. Rather than focus on aggregate totals inferring crime rate changes, the NIBRS collects an *accounting* of information on incidents of crime within an agency and geographic location. After all, data must reflect the true phenomenon that has taken place at a particular time and location.

To meet the public's need for accounting crime incidents, the NIBRS expanded the eight SRS offenses to 49 Group A offenses with data about victims, offenders, property, and arrests being collected along with elements for each offense. NIBRS also included arrest-only information collected for an additional 10 Group B offenses.[2]

By the new millennium, the concept of a Crime Index, which provided a total crime count based on the seven original SRS offenses, was challenged. The FBI's UCR Program began to question the validity of comparing crime rates based on the combined total count of the seven Crime Index offenses to represent an agency's overall level of criminality. For example, the Crime Index equally weighted a murder and a burglary. Therefore, a town recording two murders appeared to have the same level of crime as a town reporting two burglaries. As mentioned earlier in this article, this imprecise representation of crime levels was removed from the UCR vernacular in 2003.

The public's need for expanded victim information was realized around this same time. In 2001, the FBI UCR Program received requests to expand the definition of rape to include male victims (the legacy definition only included female victims) and victims of sodomy and sexual assault with objects. NIBRS, however, already contained this more inclusive definition of rape.

In 2014, several changes were made in NIBRS: data collection was expanded to collect data on cargo theft, new hate crime categories were added, the race category of Asian/Pacific Islander was separated into two distinct race categories, two human trafficking categories were added, an offense for purchasing prostitution was added, and a law enforcement victim type was added.

To meet the public's expanding needs for crime data, the following efforts are underway to enhance NIBRS:

- A partnership with the National Academy of Science and the Bureau of Justice Statistics (BJS) will modernize the nation's crime statistics.
- The National Crime Statistics Exchange Project, in partnership with BJS, aims to provide a valid and reliable sample of crime data used to develop national NIBRS crime estimates.
- The FBI UCR Program plans to transition to a NIBRS-only reporting system.

[2] An eleventh Group B offense, runaways, was dropped in 2011 as it is not technically a criminal offense. Runaway offenses are still collected in UCR databases as agencies may still report runaways, but it is not required and is no longer published in UCR data releases.

NIBRS data has been used in recent years to provide more transparency in law enforcement. NIBRS data can be very useful to agencies in this regard because, unlike SRS data, the public is able to examine a jurisdiction's detailed crime data. Since most records management software will report NIBRS data in an automated fashion, the public can be sure agencies are not reporting false crime numbers to make their crime rate appear to decrease when it has not. In effect, NIBRS data provides tamper-proof transparency for law enforcement agencies, which has a positive impact on law enforcement public relations.

The following are the current NIBRS record descriptions. They are indicative of the UCR Program's evolution from an indicator-based system in the 1930s, to a technological accounting-based and victim-focused system via NIBRS. (These descriptions are likely to change in the future as the need for different, better, and more detailed crime data grows; as technology capacity increases; and as the familiarity with its use makes data collection and analysis easier.)

NIBRS Segments

- Incident Information
  - Incident Date
  - Incident Hour
  - Exceptional Clearance
  - Exceptional Clearance Date
- Offense Information
  - Offense Codes
  - Attempted vs. Completed
  - Offender Suspected Use (of alcohol, drug, or computers)
  - Location
  - Type and Number of Premises Entered
  - Type of Criminal Activity
  - Weapon/Force Used
  - Bias Motivation
- Property Information
  - Loss Type
  - Property Description
  - Value of Property
  - Date Recovered

  - Number of Motor Vehicles Stolen/Recovered
  - Drug Types and Amounts
- Victim Information
  - Connection to Offenses
  - Type of Victim
  - Age/Sex/Race/Ethnicity/Resident Status of Victim
  - Assault and Homicide Circumstances
  - Injury Types
  - Relationships to Offenders
- Offender Information
  - Age/Sex/Race/Ethnicity[3] of Offender
- Arrestee Information
  - Arrest Date
  - Type of Arrest
  - Arrest Offense Code
  - Arrestee Weapons
  - Age/Sex/Race/Ethnicity/Resident Status of Arrestee
  - Disposition of Minors
- Group B Arrest Information
  - Type of Arrest
  - Arrestee Weapons
  - Age/Sex/Race/Ethnicity of Arrestee
  - Disposition of Minors

NIBRS Offenses

Group A Offenses[4]—The following offenses are reported in Group A Incident Reports. There are 23 Group A crime categories made up of 49 offenses (Offense Codes are in parentheses):

Arson (200)

Assault Offenses

[3] Ethnicity category was added in the 2013 data collection.
[4] FBI. (1/17/2013). *NIBRS User Manual*, https://www.fbi.gov/about-us/cjis/ucr/nibrs/nibrs-user-manual. pp. 14-18.

- Aggravated Assault (13A)
- Simple Assault (13B)
- Intimidation (13C)

Bribery (510)

Burglary/Breaking and Entering (220)

Counterfeiting/Forgery (250)

Destruction/Damage/Vandalism of Property (290)

Drug/Narcotic Offenses

- Drug/Narcotic Violations (35A)
- Drug Equipment Violations (35B)

Embezzlement (270)

Extortion/Blackmail (210)

Fraud Offenses

- False Pretenses/Swindle/Confidence Game (26A)
- Credit Card/Automated Teller Machine Fraud (26B)
- Impersonation (26C)
- Welfare Fraud (26D)
- Wire Fraud (26E)

Gambling Offenses

- Gambling Offenses Betting/Wagering (39A)
- Operating/Promoting/Assisting Gambling (39B)
- Gambling Equipment Violations (39C)
- Sports Tampering (39D)

Homicide Offenses

- Murder and Nonnegligent Manslaughter (09A)

- Negligent Manslaughter (09B)
- Justifiable Homicide (09C)

Kidnaping/Abduction (100)

Larceny/Theft Offenses

- Pocket-picking (23A)
- Purse-snatching (23B)
- Shoplifting (23C)
- Theft From Building (23D)
- Theft From Coin-Operated Machine or Device (23E)
- Theft From Motor Vehicle (23F)
- Theft of Motor Vehicle Parts or Accessories (23G)
- All Other Larceny (23H)

Motor Vehicle Theft (240)

Human Trafficking

- Human Trafficking/Commercial Sex Acts (64A)[5]
- Human Trafficking/Involuntary Servitude (64B)[5]

Pornography/Obscene Material (370)

- Prostitution Offenses (40A)
- Assisting or Promoting Prostitution (40B)
- Purchasing Prostitution (40C)[5]

Robbery (120)

Sex Offenses

- Rape (11A)
- Sodomy (11B)

[5] These offenses were added in the 2013 data collection.

Sexual Assault With An Object (11C)

Fondling (11D)

Incest (36A)

Statutory Rape (36B)

Stolen Property Offenses (Receiving, etc.) (280)

Weapon Law Violations (520)

Group B Offenses[6]—The following offenses are reported in Group B Arrest Reports. They include all offenses that are not Group A offenses. Group B offenses are reported using the following 10 crime categories:

1. Bad Checks (90A)
2. Curfew/Loitering/Vagrancy Violations (90B)
3. Disorderly Conduct (90C)
4. Driving Under the Influence (90D)
5. Drunkenness (90E)
6. Family Offenses, Nonviolent (90F)
7. Liquor Law Violations (90G)
8. Peeping Tom (90H)
9. Trespass of Real Property (90J)
10. All Other Offenses (90Z)

Participation

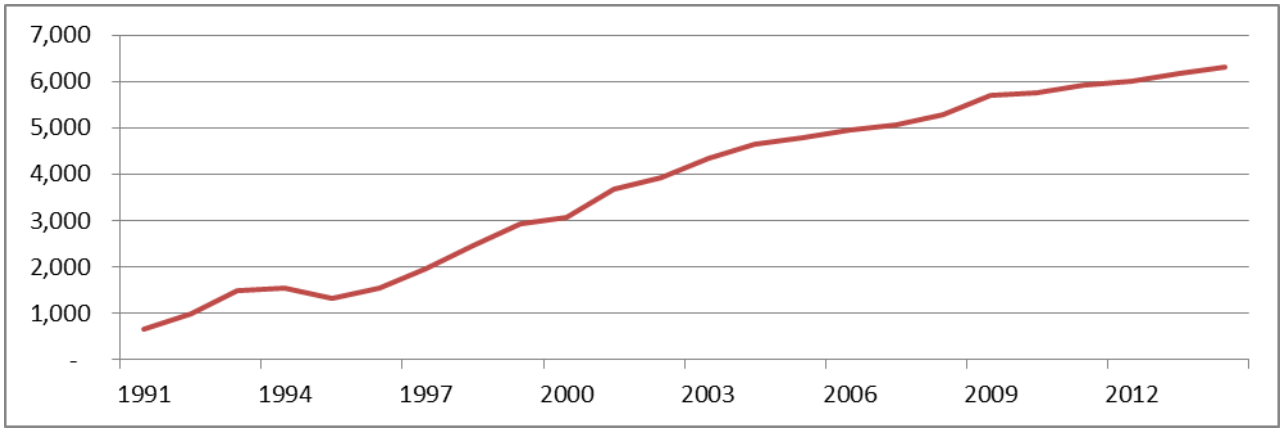
In 1991, NIBRS' first year, 663 law enforcement agencies converted from the SRS and provided crime data to the FBI in the new, highly-disaggregated NIBRS format. Twenty-five years later, more than 6,299 agencies actively participated in the NIBRS data collection. Those agencies submitted more than 76 million incidents involving Group A offenses and nearly 26 million incidents involving Group B offenses (See Table 1 and Figure 1).

[6] An 11th category, Runaway, was discontinued in 2010.

Table 1: NIBRS ORIs, Incidents Involving Group A Offenses, and Group B Offenses by Year[7]

Year	ORIs	Group A	Group B	Year	ORIs	Group A	Group B
1991	663	582,369	227,485	2003	4,344	3,597,576	1,154,498
1992	990	760,509	266,438	2004	4,648	4,036,881	1,296,557
1993	1,474	876,646	332,714	2005	4,791	4,561,703	1,457,435
1994	1,553	894,350	345,323	2006	4,947	4,847,671	1,540,038
1995	1,307	836,846	318,524	2007	5,062	4,945,692	1,588,734
1996	1,530	1,063,339	387,663	2008	5,290	4,959,971	1,648,144
1997	1,961	1,460,136	541,424	2009	5,695	4,992,094	1,746,930
1998	2,449	1,822,384	711,548	2010	5,744	4,998,914	1,753,973
1999	2,924	2,136,872	830,071	2011	5,929	5,020,791	1,720,606
2000	3,063	2,616,248	937,668	2012	6,004	5,001,060	1,713,703
2001	3,662	3,232,081	1,044,178	2013	6,178	4,927,535	1,667,350
2002	3,923	3,418,648	1,126,216	2014	6,299	4,759,438	1,565,192
				Total		**76,349,754**	**25,922,412**

Figure 1: Number of ORIs Reporting NIBRS Records by Year, 1991-2014[7]



[7] Totals for agencies and reports for 2014 may change because records may be submitted to the FBI until December 2015. (Please see footnote 1.) The number does not include zero reporting agencies which are active but report no crime.

The Hierarchy Rule in Depth

In the SRS, offenses are ranked in terms of severity, and only the highest-ranked offense is reported in incidents which have multiple offense types. The exceptions are the offenses of Arson and Human Trafficking. These offenses do not follow the Hierarchy Rule in that they are *always* reported. SRS offenses are reported in the following order:

I. Murder and Nonnegligent Manslaughter (abbreviated to Murder)
II. Rape[8]
III. Robbery
IV. Aggravated Assault
V. Burglary
VI. Larceny
VII. Motor Vehicle Theft
VIII. Arson (always reported, does not follow the Hierarchy Rule)
IX. Human Trafficking – Commercial Sex Acts (always reported, does not follow the Hierarchy Rule)
X. Human Trafficking – Involuntary Servitude (always reported, does not follow the Hierarchy Rule)

According to the Hierarchy Rule, murder, human trafficking, and arson are always counted in the SRS, however the other six Part I crimes are not always reported in multiple-offense incidents. If, for example, a murder and rape occur within the same incident, only the murder is counted in the SRS. Further, if an aggravated assault occurs in the same incident as a burglary, the burglary is not counted.

There are also a few considerations which are true to both NIBRS and the SRS. For example, aggravated assault is always inherent to robbery, so only a robbery is counted when both occur in the same incident.[9] Similarly, larceny is not reported with burglary as it is inherent to the crime.[10] NIBRS, however, would capture each crime mentioned above. Up to ten offenses of the 49 offenses reported in NIBRS can be listed in an incident's offense segments.

Table 2 shows the number of NIBRS offenses that are removed from crime counts when the data are converted to the SRS. As murder is at the top of the hierarchy, there is no reduction in the number of murder offenses when converting from NIBRS to the SRS. However, there were 12

[8] In 2011, the FBI's CJIS Advisory Policy Board changed the definition of Rape in the SRS to include male victims, sodomy, and sexual assault with objects. The change was approved by the FBI Director and implemented starting with the 2013 UCR data collections. NIBRS always collected information for these sex offense. The expanded definition of rape was used in this study.
[9] The exception in NIBRS would be if there were multiple victims in an incident and some were not robbed, but all were victims of aggravated assault.
[10] The exception in NIBRS would be if offenders committed larceny offenses outside of a structure after committing burglary offenses within the same incident.

rape victims involved in incidents where murder was also involved. Similarly, for 4,458 NIBRS burglaries, there was a murder, a rape, a robbery, or an aggravated assault which happened in the same incident. The 12 rapes and 4,458 burglaries would not be counted in the UCR SRS data collection due to conditions established by the Hierarchy Rule.

Nationally, there is a minimal percentage increase (less than 0.04%) in crime volume for rape when law enforcement agencies move from the SRS to NIBRS. Robbery increased by little more than one-half of one percent (0.6%), aggravated assault and burglary each increased by 1.0 percent, larceny increased by 2.6 percent, and motor vehicle theft increased by 2.7 percent.

Table 2: Percent Increases in Crime Volume by Removing the Hierarchy Rule

	Incidents	Offenses	Reduction to Hierarchy	Percent Increase
Murder[11]	3,418	3,650	0	-
Rape[11]	36,035	37,635	12	0.0
Robbery	75,581	75,581	382	0.6
Aggravated Assault[11]	167,992	203,740	1,154	0.6
Burglary[12]	570,470	570,470	4,458	1.0
Larceny[13]	1,666,327	1,666,327	43,248	2.6
Motor Vehicle Theft	162,652	162,652	4,689	2.7
Totals	2,682,475	2,720,055	53,743	2.1

The concern of many law enforcement agency officials is that the inclusion of these crimes, particularly property crimes, will appear as an increase in crime when switching from SRS reporting to NIBRS reporting. As previously discussed, the apparent increase is simply due to the difference between how crimes are counted in NIBRS versus the SRS and its application of the Hierarchy Rule. Further, none of the increases amount to a change greater than 2.7 percent.

No Need for Apprehension

Any increases in crime volume due to the ability to report multiple offenses in the NIBRS are eliminated when trending. For trends, NIBRS data are converted to SRS data and the Hierarchy Rule is again applied. This reduces crime counts in multiple-offense incidents to what would

[11] The number of offenses differs from the number of incidents for murder, rape, and aggravated assault because these Crimes Against Persons offense categories count one offense for each victim in the incident. Robbery, burglary, and motor vehicle theft are considered Crimes Against Property and count only one offense per incident.
[12] The Hotel Rule (see the *SRS Users Manual* at https://www.fbi.gov/about-us/cjis/ucr/nibrs/summary-reporting-system-srs-user-manual, pp 43 for explanation) and number of premises entered were not considered for burglary offense totals.
[13] NIBRS allows for the reporting of eight different types of larceny offenses per offense. Incidents with more than one larceny offense type reported were aggregated to only count one larceny per offense to simulate how this would be reported in the SRS.

have been reported if the agency was only reporting according to SRS specifications. When the FBI UCR Program starts trending NIBRS data, comparisons to pre-NIBRS data submissions would not be included in trends.

Reporting NIBRS data does not actually increase crime within jurisdictions, even though there is a slight, but visible, effect on crime rates. As shown in Table 3, approximately one in ten of NIBRS incidents have multiple offenses (10.6%), and only 1 percent (1.1%) of NIBRS incidents have multiple offenses affected by the Hierarchy Rule. NIBRS shows a small (2.1%) percentage increase from the SRS in crime volume which is easily explained by the allowance of reporting incidents with multiple offenses and the absence of the Hierarchy Rule.

Table 3: Number of Offenses per Incident, 2014

Offenses	Frequency	Percent	Cumulative Percent
1	4,253,081	89.4	89.4
2	457,479	9.6	99.0
3	43,304	0.9	99.9
4	4,778	0.1	100.0
5	688	-	100.0
6	93	-	100.0
7	14	-	100.0
8	1	-	100.0
Total	4,759,438	100.0	100.0

Conclusion

The elimination of the SRS has been discussed for some time in UCR governance meetings. In several speeches in 2015, FBI Director James B. Comey called for "more and better data related to those we arrest, those we confront for breaking the law and jeopardizing public safety, and those who confront us." The CJIS Advisory Policy Board (a joint group of law enforcement executives, academics, and data analysts who are stakeholders in the UCR Program) the International Association of Chiefs of Police, the National Sheriffs' Association, Major City Chiefs Association, Major County Sheriffs' Association have all pledged their support for that call. The result of this dialogue and agreement is the FBI and its partners undertaking the cessation of SRS reporting and the across-the-board implementation of NIBRS.

When this change is eventually made, a similar 2.1 percent increase in the number of reported crimes should be expected for agencies transitioning from SRS to NIBRS data. One strategy to ease this perceived uptick in crime is that agencies can provide a side-by-side comparison of their NIBRS data with a few years of NIBRS data that has been converted to SRS data and

demonstrate what the trend of crime rates would look like if the agency was still only reporting in the SRS. The converted data could help soften and explain the *appearance* of increased crime while lending even more transparency to the agency's crime reporting to the public.

Law enforcement agency officials can use this study to demonstrate how changing from SRS reporting to NIBRS reporting might affect their local crime counts. It is accepted that incident-based data collections will have more robust and accurate crime counts over traditional tally-based systems like the SRS. Any reports law enforcement agencies generate can show how the elimination of the Hierarchy Rule has affected the agency's data by trending and comparing data prior to the law enforcement agency's conversion to the NIBRS.

Above all, law enforcement agencies are engaged in partnerships with their communities to maximize public safety. Inaccurate information concerning crime in these communities and the nation may cause enormous social costs and waste of public and private resources. Effective policies must be enacted based on relevant and accurate information provided through NIBRS in order to meet the goal of maximizing public safety.

Though NIBRS adds a level of complexity, as well as initial costs to agencies, there is greater value for agencies who transition from the incomplete story of crime told through the antiquated SRS data to a more accurate, transparent, and complete story of crime articulated through NIBRS.

Appendix D – FBI Notification of transition to IBR

A copy of the complete document is provided in the following pages.

U.S. Department of Justice

Federal Bureau of Investigation

Office of the Director

Washington, D.C. 20535-0001

June 10, 2016

TO: State Uniform Crime Reporting (UCR) Program Managers

RE: The FBI's Transition to a National Incident-Based Reporting System (NIBRS)-Only Data Collection

Recent events across the nation have underscored the importance of having informed conversations about policing and crime policy. The FBI has a longstanding tradition of collecting and providing crime statistics for transparency and accountability in policing through its UCR Program. But we need to get better.

After careful consideration, the FBI will discontinue its Summary Reporting System (SRS) for crime statistics and fully transition the UCR Program to the data-rich NIBRS data collection. On February 9, 2016, I concurred with the following Criminal Justice Information Services (CJIS) Advisory Policy Board (APB) recommendation:

> "The FBI UCR Program will transition to a NIBRS-only data collection by January 1, 2021, and will evaluate the probability of achieving that goal on an annual basis. Federal, state, local, and tribal agencies unable to meet the five year transition and who have committed to transitioning to NIBRS will collaborate with the FBI CJIS to develop a transition plan and timeline for conversion."

This transition is supported by the CJIS APB, the International Association of Chiefs of Police, Major Cities Chiefs Association, Major County Sheriffs' Association, and the National Sheriffs' Association, as well as the Executive Branch of our government.

Transitioning to a NIBRS-only data collection will happen over the next five years. Once complete, the FBI will have faster access to more robust data that is necessary to show how safe our communities are and to help law enforcement and municipal leaders better allocate resources to prevent and combat crime. Through the NIBRS, law enforcement agencies can be more transparent and accountable to the communities they serve.

To: State Uniform Crime Reporting (UCR) Program Managers
Re: The FBI's Transition to a National Incident-Based Reporting System (NIBRS)-Only Data Collection

Already, 31 percent of participating agencies report their UCR statistics via the NIBRS. In the last few years, the FBI and the Bureau of Justice Statistics have worked to increase the number of NIBRS participants through the National Crime Statistics Exchange (NCS-X) initiative. Currently, the FBI and the NCS-X team are working with local and state agencies as well as other law enforcement organizations across the country to improve the way crime data is reported. The FBI understands this transition comes with a financial burden and is committed to helping state UCR Programs and the 400 agencies identified through the NCS-X initiative to obtain necessary resources to transition to NIBRS.

NIBRS is the pathway to richer crime statistics that can improve our ability to address the important issues we face today. As we move forward, the transition from the SRS to the NIBRS is crucial to our success in providing better, more meaningful national crime data. I'm grateful for your help.

Sincerely yours,

James B. Comey
Director

Appendix E – Current System Operational Cost

A copy of the complete document is provided in the following pages.

Current Operating Costs - UCR System
Updated: 9/13/2017

Category	Item Description	Notes	2018-19	2019-20	2020-21	2021-22	2022-23	Totals
Staff								
	State Staff:							
	1 Criminal Justice Information Consultant II (UCR)	Kennedy	$66,000	$66,000	$66,000	$66,000	$66,000	
	1 Database Admin (PSS)	Elaine	$17,500	$17,500	$17,500	$17,500	$17,500	
	1 Sys Admin (PSS)	Grant's team	$17,500	$17,500	$17,500	$17,500	$17,500	
	1 Sys Programmer (BSE)	Kevin	$17,500	$17,500	$17,500	$17,500	$17,500	
	1 Application SW Developer (BSE)	Brandon	$35,000	$35,000	$35,000	$35,000	$35,000	
	Contract Staff:							
	1 Systems Analyst	Ramanathan	$85,000	$85,000		$85,000	$85,000	
	Subtotal - Staff		**$238,500**	**$238,500**	**$153,500**	**$238,500**	**$238,500**	**$1,107,500**
Hardware								
	Production							
Assume 5 year re	Database Server	Shared	$9,000					
	Application Server	Shared	$5,000					
	Development							
	Database Server	Shared	$5,500					
	Application Server	Virtual						
	Test							
	Database Server	Shared	$5,500					
	Application Server	Virtual						
	Subtotal - Hardware		**$25,000**	**$0**	**$0**	**$0**	**$0**	**$25,000**
Software								
	Red Hat Enterprise Linux	Physical & Virtual	$2,000	$2,000	$2,000	$2,000	$2,000	
	JBOSS EAP	Physical & Virtual	$13,000	$13,000	$13,000	$13,000	$13,000	
	VMWare	Virtual	$1,000	$1,000	$1,000	$1,000	$1,000	
	MS SQL	Physical & Virtual	$2,200					
	Subtotal - Software		**$18,200**	**$16,000**	**$16,000**	**$16,000**	**$16,000**	**$82,200**
Other								
	Standard Expenses for State pos.		$13,894	$13,894	$13,894	$13,894	$13,894	
	HR Service Fee		$774	$774	$774	$774	$774	
	Subtotal - Other		**$14,668**	**$14,668**	**$14,668**	**$14,668**	**$14,668**	**$73,339**

Current Operating Costs - UCR System
Updated: 9/13/2017

Category	Item Description	Notes	2018-19	2019-20	2020-21	2021-22	2022-23	Totals
TOTALS			**$296,368**	**$269,168**	**$184,168**	**$269,168**	**$269,168**	**$1,288,039**

Appendix F – Project Cost Estimate

A copy of the complete document is provided in the following pages.

Florida Department of Law Enforcement
IT Project Cost Estimate

Title:	National Incident-Based Reporting System for Crime Statistics	**Planned Costs:**					
Tracking #:	TBD						
Manager:	TBD						
Duration:	60.8						
Baseline Date:	8/2/2017						
Revision Date:	October 15, 2017						
Version #:							
Cost Elements	**Description**	**FY 18-19**	**FY 19-20**	**FY 20-21**	**FY 21-22**	**FY 22-23**	**Planned Total**
Salary & OPS							
	Project Manager	$85,020	$85,020	$85,020	$85,020	$85,020	$425,100
	Criminal Justice Information Consultant II	$16,500	$33,000	$33,000	$33,000	$33,000	$148,500
	Criminal Justice Information Consultant II	$16,500	$33,000	$33,000	$33,000	$33,000	$148,500
	Criminal Justice Information Consultant I	$14,883	$29,765	$29,765	$29,765	$29,765	$133,943
	Criminal Justice Information Consultant I	$14,883	$29,765	$29,765	$29,765	$29,765	$133,943
	Criminal Justice Information Consultant I	$14,883	$29,765	$29,765	$29,765	$29,765	$133,943
	Criminal Justice Information Consultant I	$14,883	$29,765	$29,765	$29,765	$29,765	$133,943
	Criminal Justice Information Consultant II	$66,000	$66,000	$66,000	$66,000	$66,000	$330,000
	Senior Management Analyst Supervisor	$37,622	$37,622	$37,622	$37,622	$37,622	$188,110
	Criminal Justice Information Consultant II	$33,000	$33,000	$33,000	$33,000	$33,000	$165,000
	Chief of Florida Crime Information	$114,890	$114,890	$114,890	$114,890	$114,890	$574,450
	Senior Management Analyst Supervisor	$75,243	$75,243	$75,243	$75,243	$75,243	$376,215
	Senior Management Analyst Supervisor	$75,243	$75,243	$75,243	$75,243	$75,243	$376,215
	Operations & Management Consultant Manager	$71,407	$67,544	$67,544	$67,544	$67,544	$341,583
	Operations & Management Consultant Manager	$71,407	$67,544	$67,544	$67,544	$67,544	$341,583
	Criminal Justice Information Consultant II	$66,000	$66,000	$66,000	$66,000	$66,000	$330,000
	Criminal Justice Information Consultant II	$66,000	$66,000	$66,000	$66,000	$66,000	$330,000
	Government Analyst II	$66,000	$66,000	$66,000	$66,000	$66,000	$330,000
	Operations Review Specialist	$59,697	$59,697	$59,697	$59,697	$59,697	$298,485
	Research and Training Specialist		$57,973	$57,973	$57,973	$57,973	$231,892
	Research and Training Specialist		$57,973	$57,973	$57,973	$57,973	$231,892
	Research and Training Specialist		$57,973	$57,973	$57,973	$57,973	$231,892
	Research and Training Specialist		$57,973	$57,973	$57,973	$57,973	$231,892
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Criminal Justice Information Analyst II		$53,134	$53,134	$53,134	$53,134	$212,536
	Systems Programming Consultant		$82,803	$82,803	$82,803	$82,803	$331,212
	Database Consultant		$66,957	$66,957	$66,957	$66,957	$267,828

Florida Department of Law Enforcement
IT Project Cost Estimate

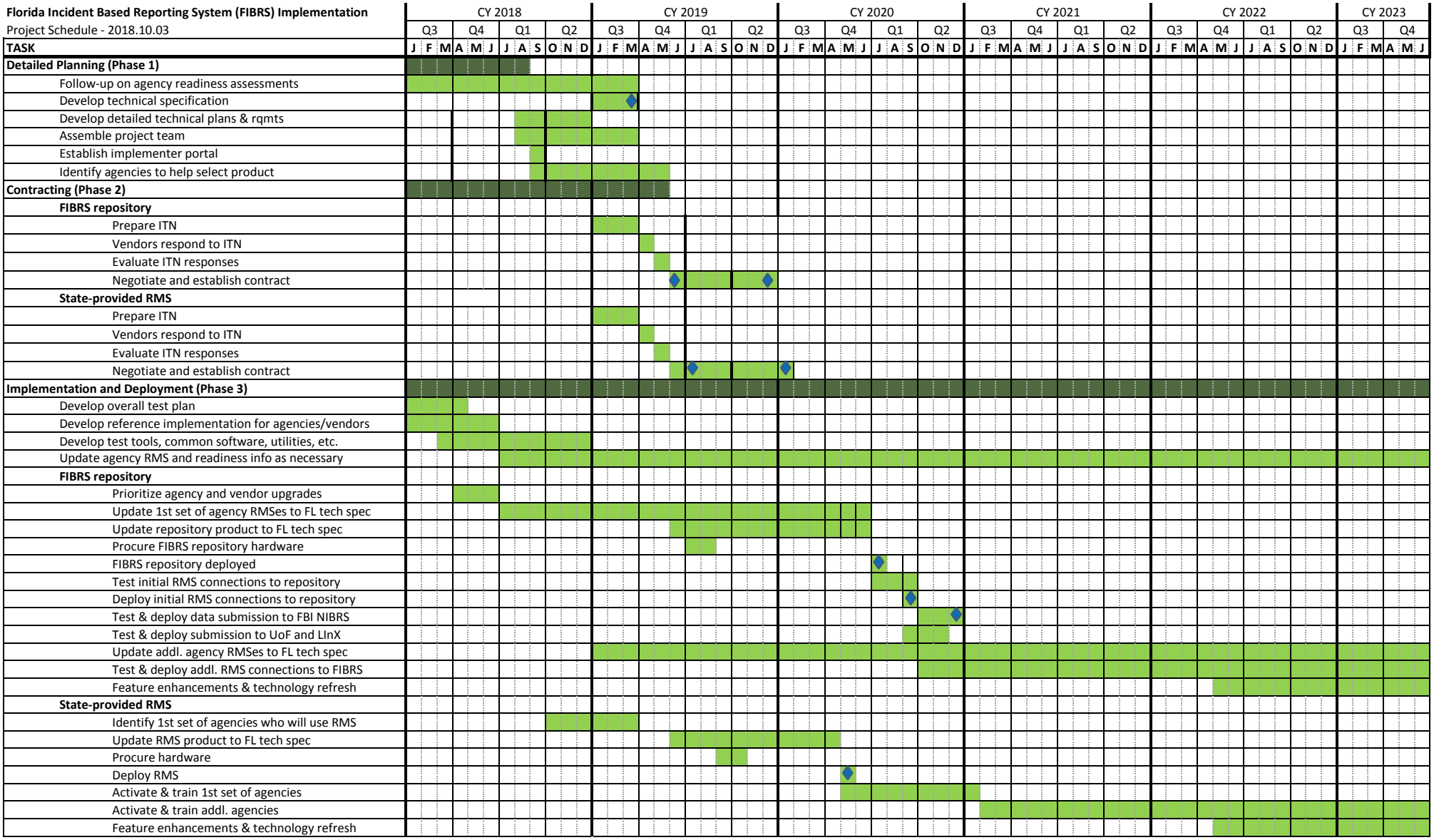
Title:	National Incident-Based Reporting System for Crime Statistics	**Planned Costs:**					
Tracking #:	TBD						
Manager:	TBD						
Duration:	60.8						
Baseline Date:	8/2/2017						
Revision Date:	October 15, 2017						
Version #:							
Cost Elements	**Description**	**FY 18-19**	**FY 19-20**	**FY 20-21**	**FY 21-22**	**FY 22-23**	**Planned Total**
	Criminal Justice Information Consultant II		$66,957	$66,957	$66,957	$66,957	$267,828
	Criminal Justice Information Consultant II		$66,957	$66,957	$66,957	$66,957	$267,828
							$ -
Full Time Employees	**Subtotal**	**$ 980,059**	**$ 2,111,769**	**$ 2,111,769**	**$ 2,111,769**	**$ 2,111,769**	**$ 9,427,135**
	None						$0
							$0
							$0
OPS	**Subtotal**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
State Staff	**Subtotal**	**$ 980,059**	**$ 2,111,769**	**$ 2,111,769**	**$ 2,111,769**	**$ 2,111,769**	**$ 9,427,135**
Expenses							
	Florida Incident Based Repository Software (TBD)	$600,000	$300,000	$300,000	$300,000	$300,000	$1,800,000
	Record Management System Software (TBD)	$0	$1,071,100	$971,100	$971,100	$971,100	$3,984,400
							$0
							$ -
Project Deliverables	**Subtotal**	**$ 600,000**	**$ 1,371,100**	**$ 1,271,100**	**$ 1,271,100**	**$ 1,271,100**	**$ 5,784,400**
							$ -
							$ -
							$ -
Software	**Subtotal**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
	HR and Standard FTE Expenses	$121,127	$337,002	$214,962	$214,962	$214,962	$1,103,015
Other Expenses		**$ 121,126.50**	**$ 337,002.00**	**$ 214,962.00**	**$ 214,962.00**	**$ 214,962.00**	**$ 1,103,014.50**
Expenses	**Subtotal**	**$ 721,127**	**$ 1,708,102**	**$ 1,486,062**	**$ 1,486,062**	**$ 1,486,062**	**$ 6,887,415**
Operating Capital Outlay							
	Servers for FIBRS Repository, Record Management System, Backup Site	$415,000	$225,000			$500,000	$1,140,000
							$0
							$0
Operating Capital Outlay	**Subtotal**	**$ 415,000**	**$ 225,000**	**$ -**	**$ -**	**$ 500,000**	**$ 1,140,000**
Contract Services							
	Data Scientist	$400,000	$400,000	$400,000	$400,000		$1,600,000
	Business Process Consultant	$192,000	$192,000	$192,000	$192,000		$768,000
	Business Analyst	$163,200	$163,200	$163,200	$163,200		$652,800
Contract Staff	**Subtotal**	**$755,200**	**$ 755,200.00**	**$ 755,200.00**	**$ 755,200.00**	**$0**	**$3,020,800**
	Training and Technical Support	$0	$79,000	$79,000	$41,000	$41,000	$240,000
							$0
							$0
Project Deliverables	**Subtotal**	**$ -**	**$ 79,000.00**	**$ 79,000.00**	**$ 41,000.00**	**$ 41,000.00**	**$ 240,000.00**

Florida Department of Law Enforcement
IT Project Cost Estimate

Title:	National Incident-Based Reporting System for Crime Statistics	**Planned Costs:**					
Tracking #:	TBD						
Manager:	TBD						
Duration:	60.8						
Baseline Date:	8/2/2017						
Revision Date:	October 15, 2017						
Version #:							
Cost Elements	**Description**	**FY 18-19**	**FY 19-20**	**FY 20-21**	**FY 21-22**	**FY 22-23**	**Planned Total**
	Server Maintenance		$205,665	$190,665	$190,665	$190,665	$777,660
							$ -
							$ -
Maintenance	**Subtotal**	**$ -**	**$ 205,665.00**	**$ 190,665.00**	**$ 190,665.00**	**$ 190,665.00**	**$777,660**
	Independent Validation and Verification	$115,000	$115,000	$115,000	$115,000	$115,000	$575,000
							$ -
Other IT Services	**Subtotal**	**$ 115,000.00**	**$ 115,000.00**	**$ 115,000.00**	**$ 115,000.00**	**$ 115,000.00**	**$ 575,000.00**
Contract Services	**Subtotal**	**$ 870,200.00**	**$ 1,154,865.00**	**$ 1,139,865.00**	**$ 1,101,865.00**	**$ 346,665.00**	**$ 4,613,460.00**
Other							
	Passthrough to Local Agencies for RMS Upgrades (Software)	$0	$6,286,000	$6,286,000	$116,000	$116,000	$12,804,000
	Motor Vehicle for Auditors and Trainers		$100,000				$100,000
	NCS-X Passthrough for Local Agencies		$1,400,000				$1,400,000
Other	**Subtotal**	**$0**	**$7,786,000**	**$6,286,000**	**$116,000**	**$116,000**	**$ 14,304,000.00**
Grand Total		**$2,986,386**	**$12,985,736**	**$11,023,696**	**$4,815,696**	**$4,560,496**	**$36,372,010**

Appendix G – Project Schedule

A copy of the complete document is provided in the following pages.



* Note: A more detailed baseline schedule will be prepared after a contract is established with FIBRS and RMS vendors. In addition, schedule does not include date for decommissioning current Summary system since FDLE will continue to accept Summary data from state and local agencies as long as deemed necessary to ensure state crime reports are accurate representations.

Appendix H – Cost-Benefit Analysis Worksheets

A copy of the complete document is provided in the following pages.

CBAForm 1 - Net Tangible Benefits

Agency: Department of Law Enforcement Project: Florida Incident Based Reporting System

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A

Agency *(Recurring Costs Only -- No Project Costs)*	FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	$238,500	$0	$238,500	$238,500	$0	$238,500	$238,500	$1,705,067	$1,943,567	$238,500	$1,705,067	$1,943,567	$238,500	$1,705,067	$1,943,567
A.b Total Staff	3.25	0.00	3.25	3.25	0.00	3.25	3.25	27.00	30.25	3.25	27.00	30.25	3.25	27.00	30.25
A-1.a. State FTEs (Salaries & Benefits)	$153,500	$0	$153,500	$153,500	$0	$153,500	$153,500	$1,705,067	$1,858,567	$153,500	$1,705,067	$1,858,567	$153,500	$1,705,067	$1,858,567
A-1.b. State FTEs (#)	2.25	0.00	2.25	2.25	0.00	2.25	2.25	27.00	29.25	2.25	27.00	29.25	2.25	27.00	29.25
A-2.a. OPS Staff (Salaries)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	$85,000	$0	$85,000	$85,000	$0	$85,000	$85,000	$0	$85,000	$85,000	$0	$85,000	$85,000	$0	$85,000
A-3.b. Staff Augmentation (# of Contractors)	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00
B. Application Maintenance Costs	$43,200	$0	$43,200	$16,000	$0	$16,000	$16,000	$0	$16,000	$16,000	$2,077,765	$2,093,765	$16,000	$1,577,765	$1,593,765
B-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-2. Hardware	$25,000	$0	$25,000	$0	$0	$0	$0	$0	$0	$0	$500,000	$500,000	$0	$0	$0
B-3. Software	$18,200	$0	$18,200	$16,000	$0	$16,000	$16,000	$0	$16,000	$16,000	$1,461,765	$1,477,765	$16,000	$1,461,765	$1,477,765
B-4. Other App Maintenance for Local Agency RMS	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$116,000	$116,000	$0	$116,000	$116,000
C. Data Center Provider Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Infrastructure	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-3. Network / Hosting Services	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-4. Disaster Recovery	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-5. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Other Costs	$14,668	$0	$14,668	$14,668	$0	$14,668	$14,668	$225,032	$239,700	$14,668	$157,442	$172,110	$14,668	$157,442	$172,110
E-1. Training	$0	$0	$0	$0	$0	$0	$0	$41,000	$41,000	$0	$41,000	$41,000	$0	$41,000	$41,000
E-2. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other HR/FTE PKG	$14,668	$0	$14,668	$14,668	$0	$14,668	$14,668	$184,032	$198,700	$14,668	$116,442	$131,110	$14,668	$116,442	$131,110
Total of Recurring Operational Costs	$296,368	$0	$296,368	$269,168	$0	$269,168	$269,168	$1,930,099	$2,199,267	$269,168	$3,940,274	$4,209,442	$269,168	$3,440,274	$3,709,442
F. Additional Tangible Benefits:		$0			$0			$0			$0			$0	
F-1. Specify		$0			$0			$0			$0			$0	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		$0			$0			($1,930,099)			($3,940,274)			($3,440,274)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☐	Confidence Level	
Order of Magnitude	☑	Confidence Level	20%
Placeholder	☐	Confidence Level	

Department of Law Enforcement **Florida Incident Based Reporting System**

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.***

CBAForm 2A Baseline Project Budget

			FY2019-20			FY2020-21			FY2021-22			FY2022-23			FY2023-24			TOTAL
			$ 3,398,386		$ 12,985,736			$ 11,023,696			$ 4,815,696			$ 4,560,496			$ -		$ 36,784,010
Item Description *(remove guidelines and annotate entries here)*	**Project Cost Element**	**Appropriation Category**	**Current & Previous Years Project-Related Cost**	**YR 1 #**	**YR 1 LBR**	**YR 1 Base Budget**	**YR 2 #**	**YR 2 LBR**	**YR 2 Base Budget**	**YR 3 #**	**YR 3 LBR**	**YR 3 Base Budget**	**YR 4 #**	**YR 4 LBR**	**YR 4 Base Budget**	**YR 5 #**	**YR 5 LBR**	**YR 5 Base Budget**	**TOTAL**
Costs for all state employees working on the project.	**FTE**	S&B	$ 980,059	33.00	$ 1,046,906	$ 1,064,863	0.00	$ -	$ 2,111,769	0.00	$ -	$ 2,111,769	0.00	$ -	$ 2,111,769	0.00	$ -	$ -	**$ 9,427,135**
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	$ 755,200	0.00	$ 755,200	$ -	0.00	$ 755,200	$ -	0.00	$ 755,200	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ 3,020,800**
Project oversight to include Independent Verification & Validation (IV&V)	**Project Oversight**	Contracted Services	$ 115,000	0.00	$ 115,000	$ -	0.00	$ 115,000	$ -	0.00	$ 115,000	$ -	0.00	$ 115,000	$ -	0.00	$ -	$ -	**$ 575,000**
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	$ 412,000		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 412,000**
Hardware purchases not included in data center services.	**Hardware**	OCO	$ 415,000		$ 225,000	$ -		$ -	$ -		$ -	$ -		$ 500,000	$ -		$ -	$ -	**$ 1,140,000**
Commercial software purchases and licensing costs.	**Commercial Software**	Contracted Services	$ 600,000		$ 1,371,100	$ -		$ 1,271,100	$ -		$ 1,271,100	$ -		$ 1,271,100	$ -		$ -	$ -	**$ 5,784,400**
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	$ -		$ 79,000	$ -		$ 79,000	$ -		$ 41,000	$ -		$ 41,000	$ -		$ -	$ -	**$ 240,000**
Other contracted services not included in other categories.	**Other Services**	Contracted Services	$ -		$ 205,665	$ -		$ 190,665	$ -		$ 190,665	$ -		$ 190,665	$ -		$ -	$ -	**$ 777,660**
Include costs associated with leasing space for project personnel.	**Leased Space**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Passthrough to Local Agencies for RMS	**Pass through Funding**		$ -		$ 7,686,000			$ 6,286,000			$ 116,000			$ 116,000			$ -		**$ 14,204,000**
Other project expenses not included in other categories. HR / FTE Expense / Vehicle	**Other Expenses**	Expense	$ 121,127		$ 339,292	$ 97,710		$ -	$ 214,962		$ -	$ 214,962		$ -	$ 214,962		$ -	$ -	**$ 1,203,015**
	Total		**$ 3,398,386**	**33.00**	**$ 11,823,163**	**$ 1,162,573**	**0.00**	**$ 8,696,965**	**$ 2,326,731**	**0.00**	**$ 2,488,965**	**$ 2,326,731**	**0.00**	**$ 2,233,765**	**$ 2,326,731**	**0.00**	**$ -**	**$ -**	**$ 36,784,010**

CBAForm 2 - Project Cost Analysis

Agency: Department of Law Enforcement

Project: Florida Incident Based Reporting System

PROJECT COST SUMMARY	*PROJECT COST SUMMARY (from CBAForm 2A)*					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
TOTAL PROJECT COSTS (*)	$12,985,736	$11,023,696	$4,815,696	$4,560,496	$0	$36,784,010
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$16,384,122	$27,407,818	$32,223,514	$36,784,010	$36,784,010	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	*PROJECT FUNDING SOURCES - CBAForm 2B*					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
General Revenue	$11,242,452	$10,680,412	$4,472,412	$4,217,212	$0	$30,612,488
Trust Fund	$343,284	$343,284	$343,284	$343,284	$0	$1,373,136
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☑	$1,400,000	$0	$0	$0	$0	$1,400,000
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$12,985,736	$11,023,696	$4,815,696	$4,560,496	$0	$33,385,624
CUMULATIVE INVESTMENT	$12,985,736	$24,009,432	$28,825,128	$33,385,624	$33,385,624	

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

CBAForm 3 - Project Investment Summary

Agency: Department of Law Enforcement

Project: Florida Incident Based Reporting System

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL FOR ALL YEARS
Project Cost	$12,985,736	$11,023,696	$4,815,696	$4,560,496	$0	$36,784,010
Net Tangible Benefits	$0	$0	($1,930,099)	($3,940,274)	($3,440,274)	($9,310,647)
Return on Investment	($16,384,122)	($11,023,696)	($6,745,795)	($8,500,770)	($3,440,274)	($46,094,657)
Year to Year Change in Program Staffing	0	0	27	27	27	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	($42,687,154)	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.

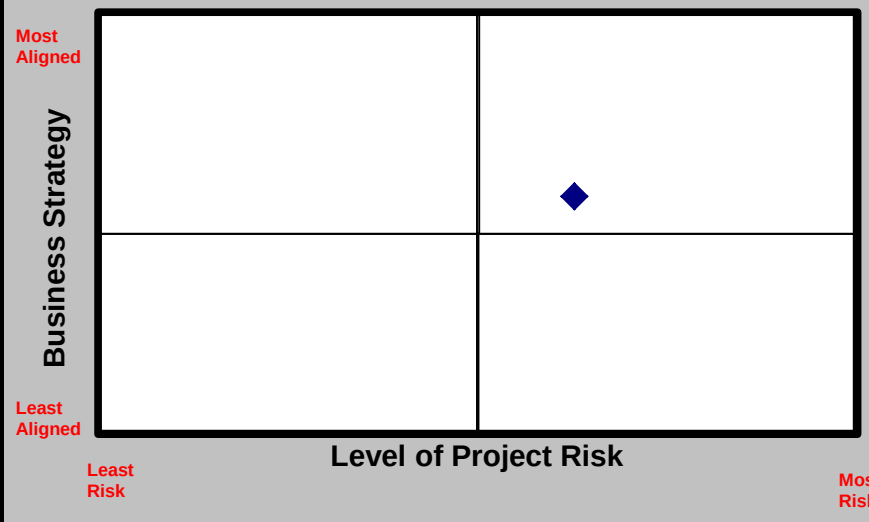
Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix I – Risk Assessment Worksheets

A copy of the complete document is provided in the following pages.

Project	*Florida Incident Based Reporting System (FIBRS)*	
Agency	*Florida Department of Law Enforcement*	
FY 2019-20 LBR Issue Code:	**FY 2019-20 LBR Issue Title:**	
44002C0	*Florida Incident Based Reporting System (FIBRS)*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Andrew Branch - 850-410-7978 - andrewbranch@fdle.state.fl.us		
Executive Sponsor	*Charles Schaeffer*	
Project Manager	*Andrew Branch*	
Prepared By	*Andrew Branch*	*10/2/2018*

Risk Assessment Summary



Project Risk Area Breakdown

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

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 1 -- Strategic Area			
4	#	**Criteria**	**Values**	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is 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	All or nearly all
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Greater than 5 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed for implementation and operations
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Moderate changes to organization structure, staff or business processes
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	No
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	41% to 80% -- Some process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defiined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	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	1% to 10% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Less than 1% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Moderate changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with 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	Plan does not include desired messages outcomes and success measures
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	No
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	0% to 40% -- None or few defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than $10 M
11			Greater than $10 M	
12			Between $2 M and $10 M	
13			Between $500K and $1,999,999	
14			Less than $500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	No
16			No	
17	5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Requested and received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have not been consulted re: 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	No
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	5.18	For projects with total cost exceeding $10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Yes, bid response did/will include proof of concept or prototype
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	
63				
64				
65				
66				

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	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	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Half of staff from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No, all stakeholders are not represented on the board
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	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	41 to 80% -- Some have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), 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 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	No
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Florida Incident Based Reporting System (FIBRS)	
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	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	Greater than 15
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Statewide or multiple agency 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	Similar size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

SCHEDULE IV-B FOR CRIMINAL JUSTICE DATA TRANSPARENCY

For Fiscal Year 2019-20

October 15, 2018

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	Schedule IV-B Submission Date: October 15, 2018
Project Name: Criminal Justice Data Transparency	Is this project included in the Agency's LRPP? ____ Yes __X__ No
FY 2019-20 LBR Issue Code: 36121C0	FY 2019-20 LBR Issue Title: Criminal Justice Data Transparency
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Richard Swearingen	Date: 10/19/18
Agency Chief Information Officer (or equivalent): Printed Name: Joey Hornsby	Date: 10/18/18
Budget Officer: Printed Name: Cynthia Barr	Date: 10-19-18
Planning Officer: Printed Name: Michelle Pyle	Date: 10/19/18
Project Sponsor: Printed Name: Charles Schaeffer	Date: 10/19/18
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Renee Strickland, 850-410-7100, reneestrickland@fdle.state.fl.us
Cost Benefit Analysis:	Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us
Risk Analysis:	Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us
Technology Planning:	Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us
Project Planning:	Andrew Branch, 850-410-7872, andrewbranch@fdle.state.fl.us

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

A. Background and Strategic Needs Assessment

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

1. Business Need

The Florida Legislature passed Senate Bill 1392 (SB1392) creating s. 900.05 and s. 943.6871, Florida Statutes, during the 2018 Legislative Session. SB1392 was approved by the Governor on March 30, 2018, and took effect on July 1, 2018. This legislation requires five criminal justice entities to provide criminal justice data and statistics to the Florida Department of Law Enforcement (FDLE) as part of a Criminal Justice Data Transparency (CJDT) initiative. The legislation stipulates specific parameters concerning the data collections and directs FDLE to provide public access to the data. FDLE is responsible for receiving specific data elements from each entity on a monthly basis and making the information publicly available beginning January 1, 2019.

The five criminal justice entities required to submit data to FDLE are the clerks of the court (Clerks), state attorneys, public defenders, county detention facilities, and the Florida Department of Corrections (FDC). Some of the required data elements from the Clerks and FDC are already provided to FDLE through existing courses of business; however, these data are for specific purposes and may not meet the standards necessary to fulfill requirements of this legislation. The remaining data elements must be clearly defined and methods identified for submission to FDLE for inclusion in the information made publicly accessible.

The data provided by the criminal justice entities must be maintained by FDLE in a modern, open, electronic format that is machine-readable and readily accessible through an application program interface (API). The database must be available via the internet and must be searchable by each data element, county, judicial circuit, or unique identifier. The unique identifier must be created for each criminal case received from the Clerks to identify the person who is the subject of the criminal case and must be the same for all information related to that person at any time. The legislation places limits on the creation of the unique identifier but places the responsibility for linking the data on FDLE.

2. Business Objectives

To implement the requirements of SB1392 for data collection, compilation, maintenance, and public accessibility, FDLE must support the following business objectives that will result in the availability of searchable and downloadable criminal justice datasets in an modern, open, electronic, machine-readable format.

- Collect specified data on a biweekly basis from five criminal justice entities, including 1) the clerks of the court, 2) state attorneys, 3) public defenders, 4) county detention facilities, and 5) the Florida Department of Corrections.
- Create an internet-based database of the criminal justice data received in a modern, open, electronic format that is machine-readable and readily accessible through an application program interface (API). This database shall allow the public to search, at a minimum, by each data element, county, judicial circuit, or unique identifier.
- Collect, compile, maintain, and manage the data submitted by local and state entities and coordinate related activities to make such data comparable, transferable, and readily usable.
- Monitor data collection procedures and test data quality.
- Create a unique identifier for each criminal case received from the clerks of court which identifies the person who is the subject of the criminal case. This identifier must be the same for that person in any court case and used across local and state entities for all information related to that person at any time.
- Develop methods for archiving data, retrieving archived data, and data editing and verification.
- Provide administrative reporting for data submissions and analysis purposes.

Upon completion of the development of the CJDT database, FDLE must:

- Publish datasets in a modern, open, electronic format that is machine readable and readily accessible by the public on FDLE's website.
- Promote criminal justice data sharing by making such data received comparable, transferable, and readily usable.
- Maintain the internet-based database of criminal justice data received in a modern, open, electronic format that is machine-readable and readily accessible through an application program interface (API).
- Continue to monitor data collection procedures and test data quality to facilitate the dissemination of accurate, valid, reliable, and complete criminal justice data.
- Disseminate accurate, valid, reliable, and complete criminal justice data.

Upon completion, the public must be able to:

- Freely access to the outlined criminal justice data through the application program interface (API).
- Search the database, at a minimum, by each data element, county, judicial circuit, or unique identifier.

B. Baseline Analysis

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

1. Current Business Process(es)

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

FDLE currently has many processes that coordinate data submission from other local and state agencies, data processing, and publication. These procedures occur for data that enters the repository of computerized criminal history records (CCH), the Uniform Crime Reports (UCR) program, and the Sexual Offender and Predator Registry (SOPR). Current processes are outlined as follows:

Data Submissions to FDLE

CCH

The clerks of the court (Clerks) and the Florida Department of Corrections (FDC) provide some of the specified data to FDLE's CCH files which serve as the State's criminal history repository. The submitted data updates the criminal history records after passing through rigorous machine matching processes to ensure that the data are attached to the correct person's record.

UCR

Summary data are currently submitted to FDLE by over 400 local and state agencies twice annually for UCR Offenses and Arrests that have occurred for the specified period. Agencies may upload text files into the UCR Input System, or may individually enter data directly into the system. Submissions for seven segments are required, including Arrest, Offense, Property, Weapon, Domestic Violence, Arson, and Motor Vehicles and two segments are optional, including Law Enforcement Officers Killed and Assaulted and Supplemental Homicide Reports.

SOPR

Florida sexual offenders and predators are required to register quarterly or biannually, based on their registration requirements. FDLE receives data about individuals who have registered as a sexual offender or predator on a daily basis from over 400 local and state agencies and the Department of Highway Safety and Motor Vehicles. Data are transmitted to FDLE via text file, which gets automated and uploaded into the Sexual Offender and Predator Database.

Data Processing/Verification by FDLE

CCH
The CCH system has internal error checks and verifications to ensure data integrity and validity. If errors are detected, then the information must be corrected either by the submitter or FDLE members.

UCR
The UCR Input System has internal error checks and verifications to ensure crime category totals align for each segment of data submitted. If errors are detected, the submitter must manually change the data and verify that values are correct before the system accepts the submission.

SOPR
The Sexual Offender and Predator Database has internal error checks and validations to ensure accurate data are being entered. If errors are detected, the user may still add or modify the offender's address information; the database system creates a report for further follow-up.

Data Publication by FDLE

CCH
Limited arrest data from Florida's computerized criminal history (CCH) repository is currently represented on FDLE's website and displayed in aggregate as trends, presented in a graphical form, and compared to Florida's Uniform Crime Reports (UCR) arrest trends for similar crime types. A Microsoft Excel version of the trend data is also available. Other CCH data are not otherwise published or searchable online.

UCR
Florida currently uses the Summary Reporting System (SRS) to report numbers for the state to the national UCR program. As such, Florida compiles, reports, and publishes data semi-annually with reports that display aggregated counts for the semi-annual (January through June) and annual (January through December) reporting cycles.

In addition to the trends presented with CCH, UCR data are presented in PDF and Microsoft Excel formats on FDLE's website. Total offense counts by crime type and unique crime type characteristics are displayed on individual web pages on an annual basis, with data for previous years available in both Microsoft Excel and PDF formats. Arrest totals for each crime are also available in both formats with counts by County, Age and Sex, and Judicial Circuit. Historical documentation for each crime type have also been digitized in PDF format and are available (http://www.fdle.state.fl.us/FSAC/Data-Statistics-(1).aspx).

SOPR
Florida's Sexual Offenders and Predators database is freely available and searchable online (https://offender.fdle.state.fl.us/offender/sops/offenderSearch.jsf).

Other Published Data
FDLE has other searchable databases currently available to the public online including the Public Access System (PAS - http://pas.fdle.state.fl.us/pas/restricted/PAS/home/home.jsf). In addition, the Florida Department of Corrections offers their searchable Corrections Offender Network to the public online (http://www.dc.state.fl.us/offendersearch/).

Other Data Distribution by FDLE

Criminal Background Checks
A full criminal history may be requested for an individual through FDLE's background check service and is subject to a fee. These data are not otherwise published or publically available.

Privacy and Security Agreements
Limited individual criminal history information may be provided under certain restrictions based on s. 943.057, Florida Statutes and Rule 11C-6.005, Florida Administrative Code. Researchers may request criminal history information only for research and statistical purposes as part of a Privacy and Security Agreement with FDLE. These data are limited to as little criminal history information as possible to fulfill the request, and researchers must follow definitive rules to ensure the protection of the data provided. Such requests are subject to a fee.

Public Records Requests
Limited arrest and court information may be provided under certain restrictions based on s. 119, Florida Statutes. Individuals requesting data based on the Public Records law receive aggregated counts from CCH or UCR based on their specific request. Requests are subject to a fee.

2. Assumptions and Constraints

Assumptions

- The accessibility of crime data and statistics is mission critical to Florida's criminal justice policy makers who analyze criminal justice data and prepare statistical reports to inform the public about the criminal justice process in the State.
- Detailed requirements need to be documented before moving forward with the project.
- The system will comply with state of Florida and FBI Criminal Justice Information Services (CJIS) Security Policies.
- Data will be available from the criminal justice entities in a format supported by the CJDT database.
- Data will be collected on a biweekly basis from five entities, including the clerks of the court, state attorneys, public defenders, county detention facilities, and the Department of Corrections.
- Data will be published in a modern, open, electronic format that is machine readable and readily accessible on FDLE's website.
- FDLE will create a unique identifier for each criminal case received from the clerks of court which identifies the person who is the subject of the case. This identifier must be the same for that person in any court case and used across local and state entities for all information related to that person at any time.
- FDLE will disseminate accurate, valid, reliable, and complete criminal justice data.
- Public access to the database will not require a license or fee to receive information.

Constraints

- The data required for CJDT include both Personally Identifiable Information (PII) and Criminal Justice Information (CJI) which must both be protected and managed according to CJIS Security Policies while being processed, accessed, and stored.
- Corresponding data elements submitted by each entity must have agreed-upon definitions for each element.
- Search and display functions of the publicly available data will not exceed capabilities of FDLE's website platform.
- Linking over 120 data elements submitted from 67 Clerks, 20 state attorneys, and the Florida Department of Corrections, with various data element definitions and data structures.
- FDLE's public website ability to support traffic and data usage.
- Data must be in an electronic format that is machine readable and readily accessible on FDLE's website.
- Data must be made comparable, transferable, and readily usable.
- FDLE must develop methods for archiving data, retrieving archived data, and data editing and verification.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

Criminal justice data transparency requires the establishment of technical specifications and processes to facilitate the availability of comparable and uniform criminal justice data. FDLE is required to collect, compile, maintain, manage, and publish the data required by s. 900.05, F.S. and ensure that the data is comparable, transferable, and readily usable. The data must be publicly available, searchable, and downloadable, and records must be linked by individual. Some of the following processes are required to be established by administrative rule.

1) Create a data catalog defining data objects, descriptive data fields, and options for each data element that is readily accessible through application program interface (API) and is searchable by each data element, county, judicial circuit, and unique identifier. The database cannot require a license or fee to access or receive information.
2) Develop written agreements with local, state, and federal agencies to facilitate criminal justice data sharing.
3) Establish database to receive and store CJDT data.
4) Establish requirements on how entities submit data through the API.
5) Develop test environment for data transmission.
6) Establish rules on how the data will be compiled, processed, structured, used, or shared.
7) Develop methods for data editing and verification.
8) Establish procedures for implementing and monitoring the internet database, including the frequency in which the data is refreshed, e.g., biweekly, monthly.
9) Provide rules for linking all information associated with each case number and unique identifier.
10) Establish rules for how the information will be accessed by the public.
11) Consult with local, state, and federal criminal justice agencies and other public and private users of the database on the data elements collected, the use of such data, and adding data elements.
12) Monitor data collection procedures.
13) Test data quality for accuracy, validity, reliability, and completeness.
14) Develop methods and rules for archiving and retrieving archived data.
15) Collect, compile, maintain, and manage the data submitted by local and state entities and coordinate related activities to collect and submit data.

2. Business Solution Alternatives

The Florida Legislature passed Senate Bill 1392 (SB1392) during the 2018 Legislative Session. SB1392 was approved by the Governor on March 30, 2018 and took effect on July 1, 2018. This legislation impacts several criminal justice entities concerning data collections and public access to the data. The Florida Department of Law Enforcement (FDLE) is responsible for ensuring that the specific data elements are received from local and state agencies on a monthly basis, beginning January 1, 2019.

Three approaches were evaluated as follows:

Approach 1 – Develop a repository or data warehouse, to house all the required data elements to include the elements that are collected through the Computerized Criminal History (CCH) system. In addition, procure a separate platform to house required statistical reports, and the open data management platform.
Approach 2 – Develop a system based on the existing data submissions from other agencies, with additional variables added to satisfy SB1392 requirements.
Approach 3 – Develop a new system to collect, process, store, and display required data.

3. Rationale for Selection

FDLE applied several criteria to compare alternatives and recommend a business solution that best meets the business and strategic needs of the agency, as well as state and local agency stakeholders.

These criteria include:

- Initial and future workload for required entities
- Support for multiple data sets used by the state
- Ability to automate or streamline data collection processes
- Ability to disseminate crime data to the public and stakeholders
- Impact to data systems of submitting entities
- Impact to FDLE IT services and systems
- Costs

4. Recommended Business Solution

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

After evaluation of several approaches, the recommended technical solution is Approach 1. With this approach, FDLE will develop a central repository to house all the data elements. The electronic submission of the data will happen through several different data streams from other agencies to FDLE. This will include data submissions from systems such as the CCH system. Other statistical data that cannot be inputted in to the CCH system, will be gathered through other pre-determined methods, compiled, analyzed and made available to the public. All data, as allowed by law or policy, will be available through an Open Data Management Platform.

D. Functional and Technical Requirements

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

Data Collection and Storage

Pursuant to s. 900.05, F.S., state and local entities will coordinate related activities to collect and submit data. FDLE must:

- Create a unique identifier for each criminal case received from the clerks of court, which identifies the person who is the subject of the criminal case
    - The unique identifier must be the same for that person in any court case and used across local and state entities for all information related to that person at any time.
    - The unique identifier must be randomly created and may not include any portion of the person's social security number or date of birth.
- Create and maintain an Internet-based database of criminal justice data received, in a modern, open, electronic format. The format must be machine-readable and readily accessible through an application program interface.

- The program will allow the public to search, at a minimum by:
  - Data element
  - County
  - Judicial Circuit
  - Unique Identifier

- Creation of a data catalog defining data objects, describing data fields, and detailing the meaning of and options for each data element reported
- Ensure that the following variables are being reported by each criminal justice entity:
  - Clerk of Court
    - Case Number
    - Date of Offense
    - County of Offense
    - Date that the defendant is taken into custody
    - Date of Criminal Prosecution
    - Arraignment Date
    - Attorney Assignment Date
    - Attorney Withdrawal Date
    - Case Status
    - Disposition Date
    - Information related to each defendant, including:
    - Identifying Information, including name, date of birth, age, race, or ethnicity, and gender
    - Zip code of primary residence
    - Primary language
    - Citizenship
    - Immigration Status
    - Indigency
    - Information related to formal charges filed against the defendant, including:
      - Charge Description
      - Charge Modifier
      - Drug Type for each charge
      - Qualification for Flag Designation as defined in this section, including a domestic violence flag, gang affiliation flag, sexual offender flag, habitual offender flag, or pretrial release violation flag
    - Information related to bail or bond and pretrial release determinations, including the dates of any such determinations: Pretrial release determinations made at first appearance, modification of bail bonds conditions, cash bail or bond payment, date defendant is released on bail, and bail or bond revocation due to a new offense
    - Information related to court dates and dates of motions and appearances, including: date of any court appearance and the type of proceeding scheduled for each date reported, date of any failure to appear in court, judicial transfer date, trail date, date that defendant files a notice to participate in discovery, speedy trial motion and hearing dates, dismissal motion and hearing dates, and defense attorney type
    - Information related to sentencing, including: date that a court enters sentencing information, charge sentenced to, charge sequence number, charge description, statute

type, and charge class severity, sentence type and length imposed by the court, amount of time served in custody, total amount of court fees imposed by the court, defendants outstanding balance, total amount of fines imposed by the court, restitution amount ordered, digitized sentencing scoresheets, and number of judges and magistrates

- State Attorney's Office
  - Information related to a human victim of a criminal offense: identifying information of the victim, including race or ethnicity, gender, age, and relationship to the offender, if any.
  - Number of Full-time prosecutors
  - Number of Part-time prosecutors
  - Annual Felony Caseload
  - Annual Misdemeanor Caseload
  - Any charges referred to the State Attorney
  - Number of cases in which a No Information was filed
  - Information related to each defendant, including: each charge referred to the state attorney by a law enforcement agency and drug type for each drug charge
- Public Defender's Office
  - Number of full-time public defenders
  - Number of part-time public defenders
  - Number of contract attorneys representing indigent defendants
  - Annual felony caseload
  - Annual Misdemeanor caseload
- County Detention Facility Administrator
  - Maximum capacity for the county detention facility
  - Weekly Admissions to the county detention facility
  - Daily Population of the county detention facility, to include: cases that are awaiting disposition, cases that have been sentenced to county imprisonment, cases that have been sentenced to the Department of Corrections, and cases that have a federal detainer
  - Information related to each inmate, including: date the defendant is processed into the county detention facility, reason why the defendant is processed into the county detention facility, and qualification for flag designation
  - Total Population of the county detention facility at year end
  - Per diem rate for a county detention facility bed
  - Daily number of correctional officers for the county detention facility
  - Annual county detention facility budget
  - Revenue generated for the county from the temporary incarceration
- Department of Corrections
  - Identifying information related to each inmate, including: name, date of birth, race or ethnicity, identification number assigned by the department, number of children, education level, date the inmate was admitted into custody, current institution, custody level assignments, flag qualifications, county that committed the offender, reason for admission, specific statutory citation that the offender was committed under, length of sentence, tentative release date, gain time earned, prior incarceration status, disciplinary violations, and participation in rehabilitative or educational programs

- Information about each state correctional facility, including: state correctional institution budget, daily prison population, and daily number of corrections officers
- Information related to each persons supervised by the department on probation, including: identifying information for each person supervised by the department, length of probation or community control sentence, projected termination date for probation or community control, revocation of probation or community control due to a new violation
- Per diem rates, including: prison bed, probation, and community control

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	More detailed Criminal Justice Data available in centralized repository	Agencies submit data using FDLE rule and technical requirements	FDLE Local and state agencies/officials State policymakers Public	06/22
2	More detailed and accurate crime data available – data validation performed on submitted data with reports on errors/discrepancies reported to agency	Agencies submit data to repository. Automated data validation and report results to agency	FDLE Local and state agencies/officials State policymakers Public	06/22
3	Leverage new technology	Use of standards such as web services and open data platform	FDLE Local and state agencies/officials Public	06/22
4	More data available to public and stakeholder as defined by FDLE rule and requirements	Data availability in public format	FDLE Local and state agencies/officials State policymakers Public	06/22
5	Consistent collection, linkage, and reporting of criminal justice data from multiple data owners	Definitions of identified data elements for use by all agencies	FDLE Local and state agencies/officials State policymakers	06/20

SUCCESS CRITERIA TABLE				
			Public	

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	Data catalog for applicable criminal justice data for use by all Criminal Justice Agencies	Criminal Justice Agencies; State and Local Policymakers; State and Local governments; FDLE; Public.	Creation of a data catalog	Evaluated and adopted by the oversight council, Criminal and Juvenile Justice Information Systems Council	06/20
2	More detailed Criminal Justice Data available in centralized repository	Criminal Justice Agencies; State and Local Policymakers; State and Local governments; FDLE; Public.	Data is collected and made available on a consistent basis	Implementation of new methods for receiving and publishing of open data.	06/23
3	Automated submission processes and availability of information as defined by law	Criminal Justice Agencies; State and Local Policymakers; State and Local governments; FDLE; Public.	Data is collected in an automated process, analyzed, and published in open data platform	Implementation of new methods for receiving and publishing of open data.	06/23

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.

Cost Benefit Analysis spreadsheets are in appendix C.

V. Schedule IV-B Major Project Risk Assessment

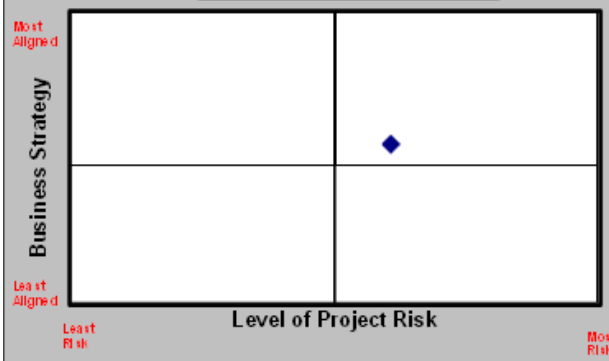
Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides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

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

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

Project	Criminal Justice Data Transparency	
Agency	Florida Department of Law Enforcement	
FY 2019-20 LBR Issue Code:	FY 2019-20 LBR Issue Title:	
36121C0	Criminal Justice Data Transparency	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Andrew Branch, 850-410-7978, andrew.branch@fdle.state.fl.us		
Executive Sponsor	Charles Schaeffer	
Project Manager	Kristen Lambert	
Prepared By	Andrew Branch	10/15/2018

Risk Assessment Summary



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

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The Florida Department of Law Enforcement does not have a current established business process or system established for this system. This is new requirement of the Department.

b. Current System Resource Requirements

Not applicable

c. Current System Performance

Not applicable

2. Information Technology Standards

See attached appendix A for FDLE information technology standards.

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

The Florida Legislature passed Senate Bill 1392 (SB1392) during the 2018 Legislative Session. SB1392 was approved by the Governor on March 30, 2018 and took effect on July 1, 2018. This legislation impacts several criminal justice entities concerning data collections and public access to the data. The Florida Department of Law Enforcement (FDLE) is responsible for ensuring that the specific data elements are received from local and state agencies on a monthly basis, beginning January 1, 2019.

Three approaches were evaluated as follows:

Approach 1 – Develop a repository or data warehouse, to house all the required data elements to include the elements that are collected through the Computerized Criminal History (CCH) system. In addition, procure a separate platform to house required statistical reports, and the open data management platform.
Approach 2 – Develop a system based on the existing data submissions from other agencies, with additional variables added to satisfy SB1392 requirements.
Approach 3 – Develop a new system to collect, process, store, and display required data.

2. Rationale for Selection

FDLE applied several criteria to compare alternatives and recommend a business solution that best meets the business and strategic needs of the agency, as well as state and local agency stakeholders.

These criteria include:

- Initial and future workload for required entities
- Support for multiple data sets used by the state
- Ability to automate or streamline data collection processes
- Ability to disseminate crime data to the public and stakeholders
- Impact to data systems of submitting entities
- Impact to FDLE IT services and systems
- Costs

3. **Recommended Technical Solution**

After evaluation of several approaches, the recommended technical solution is Approach 1. With this approach, FDLE will develop a central repository to house all the data elements. The electronic submission of the data will happen through several different data streams from other agencies to FDLE. This will include data submissions from systems such as the CCH system. Other statistical data that cannot be inputted in to the CCH system, will be gathered through other pre-determined methods, compiled, analyzed and made available to the public. All data, as allowed by law or policy, will be available through an Open Data Management Platform.

D. Proposed Solution Description

1. Summary Description of Proposed System

There are two major components that are part of the planned approach: (a) the repository system that receives data from agencies, stores and processes the data, and generates data submissions for transmission to other systems, and (b) an open data management system that makes the data available to the public.

System Type
CJDT System will be a data warehouse hosting all data submitted by state and local agencies to FDLE, and will include a machine-to-machine web service for agencies to upload data by a predetermined format.

System will include an application server and web server, and potentially a database server, with a web-based interface to perform numerous administrative and managerial functions related to user management and data handling, as described above.

Operating system, database management system, storage, programming language, etc. for the CJDT system will be determined based on negotiation between FDLE and the vendor selected through a competitive procurement process.

Connectivity
CJDT System will leverage existing and newly defined data feeds from state and local agencies over secure connections.

Security, Privacy, Confidentiality, Access
These standards will be the same as the current security standards used by FDLE. Since data will contain personally identifiable information, data controls will be established to ensure that access to sensitive data is restricted to appropriate personnel.

Development and Procurement Approach
To realize the business solution, FDLE plans a competitive procurement process to acquire commercially

available systems that can be customized to meet FDLE's business requirements. The contracted systems will include, but are not limited to:

- Commercial CJDT Repository
- Open Data Management Service
- Computer hardware (e.g., servers, storage, and network)
- Commercial systems software (e.g., operating system, database management system, and application server platform)
- Project management services
- Software customization services
- Data analysis services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)

Maturity and Life Expectancy of the Technology

FDLE intends to procure a mature solution, with customizable functionality to accommodate the business need. The vendor solutions shall be flexible to facilitate future changes and upgrades as applicable.

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

CJDT systems will be hosted at the FDLE data center. The FDLE data center will provide hardware and software support for systems hosted there. Hardware requirement and whether the systems are hosted on virtual systems or dedicated hardware will be determined during negotiations with the selected vendor.

Anticipated project costs are summarized in the table below:

Project Budget	Planned				
Cost Elements	**FY 19/20**	**FY 20/21**	**FY 21/22**	**FY 22/23**	**Totals**
Staff					
State Staff	$426,925	$509,728	$509,728	$509,728	$1,956,108
OPS	$0	$0	$0	$0	$0
Expenses					
Project Deliverables	$362,500	$0	$0	$0	$362,500
Software	$0	$55,000	$55,000	$55,000	$165,000
Other Expenses	$48,847	$51,270	$47,224	$47,224	$194,564
OCO	$760,000	$450,000	$0	$0	$1,210,000
Contract Services					
Contract Staff	$365,000	$365,000	$365,000	$365,000	$1,460,000
Project Deliverables	$175,000	$700,000	$700,000	$700,000	$2,275,000
Maintenance	$49,300	$118,050	$118,050	$118,050	$403,450
Other IT Services	$111,450	$167,175	$167,175	$111,450	$557,250
Other	$0	$0	$0	$0	$0
Total	**$2,299,022**	**$2,416,223**	**$1,962,177**	**$1,906,452**	**$8,583,872**

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

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.

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

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

Project Phasing Plan and Scope

This project consists of three high-level phases: detailed planning, procurement/contracting, and implementation and deployment.

Phase 1 - Detailed Planning

The detailed planning phase involves designing and developing the CJDT system technical specification and technical requirements, assembling the project team, and establishing mechanisms for FDLE to collaborate with state and local agencies and with vendors.

Phase 2 - Contracting

This phase of the project will include obtaining funding and statutory approvals to move forward with procurement process. The specifications and requirements developed during the detailed planning phase will be used to develop competitive procurements (Invitation to Negotiate (ITNs)) for both the repository and open data management system. FDLE will procure a vendor(s) commercial product.

Phase 3 - Implementation and Deployment

The implementation and deployment phase starts as soon as the technical specification and requirements are available and the competitive procurement is complete. In addition, FDLE can start development of a test plan and various documentation and software tools to simplify development and testing of products.

Baseline Schedule

A baseline scheduled can be found in Appendix E. A more detailed baseline schedule will be prepared after a contract is established with vendors.

Project Organization

This project requires coordination and management of a skilled project staff consisting of technical, functional, and administrative staff, mixed with contract staff and task-specific vendors.

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

FDLE Executive Leadership

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

FDLE Project Steering Committee

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

Regular meetings are conducted (based on direction from the PSC) to provide project updates. Meetings focus on action items, scope change requests, and risks (issues impacting budget or timeliness). The meetings follow a standard agenda. Critical project needs are addressed and guidance and direction are requested from the PSC as appropriate. The PSC provides assessment and analysis, ensuring that supporting initiatives are based upon knowledgeable and information decisions. A status report is prepared for each meeting and is distributed to each attendee.

Project Manager

The PM is responsible for the overall management and coordination of the work effort and successful completion of the CJDT project. The PM monitors the day-to-day status of project team efforts. This includes establishing and maintaining the project management plan, assigning, directing, and monitoring the work of project staff, serving as FDLE's primary point of contact for the prime contractor, managing issues and risks, monitoring and reporting project status, and reviewing contract deliverables prior to delivery to the PSC for approval.

Project Team

The Project Team consists of a core group of FDLE members responsible for the day-to-day tasks associated with the project. This team will be comprised largely of members of Criminal Justice Information Services, Information Technology Services and any other positions (FTE or Contract) deemed necessary for the successful completion of the project.

Contract Manager

As a member of the Project Team, the Contract Manager is responsible for gathering the necessary information for developing the statement of work (SOW) and other contracting vehicles, monitoring the award of those contracts, ensuring performance delivery as required by the contract and closing out contracts when the tasks are completed. The Contract Manager works closely with FDLE contract and legal members to ensure that all work is accomplished within State and FDLE contracting rules and guidelines. The Contract Manager will coordinate budget issues and maintain awareness of all expenditures and accounts payable.

FDLE Implementation and Transition Unit (ITU)

Workgroups will assist the Project Team in ensuring that the CJDT project meets the operational needs. SMEs, representatives from business operations, and IT will be assigned to the project. FDLE is requesting a total of 3 additional state positions; two in FY2019-2020 to serve as the ITU and one in FY2020-2021 as the system is implemented for technical support. The unit will be responsible for implementation and transition as well as for stakeholder and customer communication, education/training, preparation and readiness for the new technology. They will evaluate existing policies and determine whether modifications are needed, or if new policies need to be created, to mitigate privacy or other risks related to new services and business processes.

The ITU will serve as the conduit through which user community stakeholders and program personnel communicate, ensuring the resulting services are compliant with the mission. This includes policy identification/coordination for new services, questions for the record, and public inquires. This project will require extensive coordination with criminal justice entities as they make modifications to their systems to become compliant with state specifications.

Project Management Office

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

Quality Assurance Plan

The focus of the quality management process is to build effective processes that enable the production of high quality deliverables that meet the specified business requirements. The quality management procedure consists of two principal processes: Quality Assurance (QA) and Quality Control (QC).

Quality Assurance

QA is the practice of adhering to planned, established and systematic approaches designed to ensure the high caliber of the deliverables and the detection and correction of any errors. It provides information about a common set of guidelines and standards to be applied by the Project Team. The primary aspect of a QA review is to ensure that the processes established for the project are being followed. If new processes are required, a group will be formed to establish the quality procedure. The benefits of following quality assurance processes include the following:

- Improved communication
- Improved planning and requirement gathering/definition processes
- Improved development process
- Improved product quality
- Better criteria for hardware and software testing
- Easier transition to production for hardware and software

The most effective QA activity is a formal QA review. The Project Team will conduct these reviews of project processes. Using results generated by this review, the PM will direct follow-up actions to ensure that the project uses sound processes. Additionally the PSC will advise the PM of any observed deficiencies in processes and the PM will take corrective action to resolve the deficiency in the future.

Quality Control

QC activities are those focused on the inspection and/or testing of the deliverable produced. The QC Team will verify that the deliverables are of acceptable quality and that they are technically accurate. QC is the responsibility of the Project Team and the PM or Task Lead responsible for a deliverable. The PM will monitor the activities associated with the acceptance of deliverables. QC is conducted before a deliverable is submitted as final to be approved by the PM. The Project Manager is responsible for developing and maintaining a Quality Plan. The Quality Plan will document major deliverables of the project, completeness and correctness criteria, quality control activities and quality assurance activities.

Topics Addressed in the Quality Plan:

Quality Control activities associated with project deliverables:

- Document Deliverables
- Hardware and Software Deliverables
- Service Deliverables

Quality Assurance activities:

- QA processes (Requirements Traceability, Testing, Data Migration, etc.)

- Responsibility for QA processes

Quality Metrics for the project such as:

- Customer Satisfaction
- IT Satisfaction
- Vendor Satisfaction
- Changes in Scope
- Changes to Schedule
- Changes in Cost
- Number and Type of Issues
- Number and Type of Defects
- Preparedness of customer to assume production responsibilities
- Preparedness of IT to assume production responsibilities
- Solution "Fitness for Use"

System testing and operational acceptance testing will be the primary QC processes used to assure that deliverables meet FDLE's documented requirements. System testing will involve specific testing and measurement at a technical level to verify compatibility, usability, performance, accuracy, and content of results.

External Project Oversight

Criminal and Juvenile Justice Information Systems Council (CJJIS)

The CJJIS Council was created by section 943.08, F.S., with the purpose to develop and implement a statewide strategy for identification, sharing, and coordination of criminal and juvenile justice data among federal, state and local criminal justice agencies. The Council is comprised by 14 members, consisting of representatives from the Attorney General, State Attorneys, Department of Law Enforcement, Department of Corrections, Parole Commission, Department of Juvenile Justice, Department of Highway Safety and Motor Vehicles, Public Defenders and the Office of State Court Administrators. The Governor of Florida appoints two sheriffs, two police chiefs, and one clerk of court to the Council. With this broad representation of the criminal justice community, all issues receive a full and fair hearing from all perspectives.

Change Management

Change management occurs throughout the lifecycle of the project. A change can be related to any facet of the project – scope creep, schedule revision, funding / cost changes, team / resource changes, issues and risks, etc.

If the change is minor, the PM may determine that the change can be met within current project parameters and the formal change process is not necessary. If the change could impact requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the PM (or team member assigned) will fully research the impact of the project change and formulate a resolution. The PM will complete a formal Project Change Request form and present the change to the Project Steering Committee.

The PSC will determine if the proposed change should be approved. Members of the PSC will signify approval or disapproval of a proposed project change by signing the Project Change Request form.

The PM and/or PSC may consult with FDLE Executive Leadership if the proposed change significantly alters requirements, deliverables, payment schedule, cost, or completion date of a major milestone. FDLE Executive Leadership will determine if the proposed change should be approved.

If the Project Steering Committee or FDLE Leadership determines that the approved project change will require a Contract Amendment, the PM will work with the vendor to prepare the Contract Amendment for the PSC's review and approval. The contract amendment will then be processed according to FDLE contract procedures.

Communications Plan

The PM will develop a Communications Plan to provide a framework for addressing change management with customers. The Communications Plan outlines a comprehensive strategy of both communicating project and process change information to the customer base and others affected by the project as well as receiving and processing input/feedback from customers and others. The Communication Plan identifies communication strategies which will be used to target the different audience groups (users, stakeholders, advisors, media, decision-makers, etc.) via an assortment of communication methods (Internet and email, formal and informal documents, multi-media presentations, and face-to-face meetings). This document serves as the core of the change management effort and will be updated throughout the life of the project.

The Project Manager is responsible for developing and maintaining a Communication Management Plan. This plan will document how and in what format information will be communicated, when and where communication will be made, and who is responsible for providing each type of communication.

Topics included in the Communication Management Plan:

1. Target Audience - Identification of all possible audience groups in as much detail as possible:
    - Specific stakeholder groups
    - Project Team
    - Project Steering Committee
    - FDLE management
    - FDLE customers
    - Legislature and Cabinet
    - Oversight agencies

2. Communication Method Communications may be formal, such as status reports, Operational Work Plans, newsletters, and quarterly meetings or informal such as notices or announcements through email or website. Communications may also be in written form or face-to-face. Examples include such things as:
    - Status reports
    - Operational Work Plans
    - Stakeholder /customer surveys
    - Project newsletters
    - Pamphlets
    - Project website
    - Ad Hoc notices
    - Project Steering Committee meetings
    - Project Team meetings
    - FDLE Executive Leadership briefs

3. Method of Delivery - Methods of delivery could be such things as:
   - Emails
   - Presentations
   - Reports
   - Website
   - Documents (electronic or paper)
   - Meetings

4. Frequency

Some communications could be set at regular intervals such as meetings or reports required annually, quarterly, biweekly, etc. or upon specific project milestone or phase timelines according to project needs. Some communication could also be random and event-specific such as notices dealing with specific issues.

5. Responsibility

Each type of communication must be assigned to the PM or a specific member of the Project Team.

Risk Management

The selected vendor(s) will provide a Risk Management Plan that describes the plan to manage risks throughout the life of the project. A risk refers to future conditions or circumstances, which will have an adverse impact on the project if they occur, that exist outside of the control of FDLE or the Project Team. In other words, a risk is a potential future problem. Risk management is performed continually over the life of the project. Risk management includes the following:

Step 1: Identify major risks to project success
Step 2: Assess the potential impact of each risk and its probability of occurrence
Step 3: Determine appropriate contingency plans
Step 4: Determine the acceptable level of tolerance for each risk
Step 5: Specify mitigation strategies to be implemented for critical risks
Step 6: Periodically review the effectiveness of mitigation strategies and identify any new risks.

Risk identification occurs throughout the life of the project. Any project stakeholder, Project Team member, customer or contractor can submit a risk at any time. A risk mitigation session is conducted at the start of each build or phase. The PM will manage the FDLE risk documents which one of the artifacts maintained throughout the life of the project. Distribution of the risk document will be agreed upon between the FDLE and the vendor PM at the beginning of the engagement. The risk document will be an electronic document and available to the Project Team at all times during the project.

The PM (in consultation with the PSC) evaluates the risk and recommends a risk level. The risk level is used to set the priority of the risk and determine how risks should be addressed.

Risk management includes an ongoing cycle of risk identification, analysis and monitoring. FDLE uses TenStep to perform risk management. Each risk with a risk level of medium or high is evaluated to determine if the impact is severe enough that a risk mitigation plan should be created. If a risk mitigation plan is required, the risk is investigated to determine whether or not the resolution of a risk causes the budget, personnel, scope or schedule to change. In the event a risk mitigation plan must be exercised, project change control processes will

be used (if necessary) and activities associated with the risk mitigation plan will be added to the Project Schedule to ensure the work is completed. The PM monitors all risk mitigation plans to ensure they are being executed successfully.

Implementation Plan

The implementation plan will include four major processes:

- Data Collection - this process enables contributing agencies to submit data to FDLE. CJIS and ITS propose using existing data collection methods as much as possible. For example, data currently submitted by the Clerk of Courts for criminal history records will be extracted and FDLE staff will work with the Clerks to add data elements that are not currently reported. CJIS and ITS will also work with other agencies (such as the Department of Corrections and Office of State Courts Administrator) to identify other existing data collection methods that may support this project.
- Maintenance - this process enables FDLE staff to monitor and maintain data submitted to it and databases that store the data. CJIS and ITS propose establishing a new data repository.
- File Sharing - this process enables the public to programmatically extract bulk data data in a format that is machine readable.
- Open Data Management – this process provides the public with a website and a wide range of search options. The department plans to acquire a commercial product (or suite of products) to implement file sharing and the public website.

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 – IT Standards

Florida Department of Law Enforcement
Information Technology Standards

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

a. Architecture

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

b. Servers

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

c. Storage

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

d. Network

- FDLE's Criminal justice information systems will use CJNet.

e. Database

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

f. Application Software

- Software development standards are specified in FDLE Development Standards Version 2.0.
- Application software will be developed using Java EE or Microsoft .NET.
- Java development standards are specified in Java Development Standards Version 2.0.
- Web-based application standards are specified in JSF Web Framework Standards Version 2.0.
- JBoss is the preferred application server platform used for FDLE information systems.

g. Security

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

- 28 CFR Part 20 and Public Law 92-544, which regulate sharing criminal justice information with criminal justice and non-criminal justice governmental agencies.
- The system shall meet the FBI CJIS Security Policy (CSP), state of Florida, and FDLE security policy.

- FBI's CSP provides detailed requirements for reporting, handling, and auditing security incidents.
- Requirements of Florida Statutes Chapters 943.05, 943.051, 943.0515, 943.052, 943.053, 943.054, 943.0542, 943.0543, 943.055, 943.056, 943.057, 943.0575, 943.0581, 943.0582, 943.0583, 943.0585, 943.059, in addition to a variety of other statutes detailing background screening requirements, which describe FDLE's duties as the State's central repository for criminal record information and gateway to the Federal repository.
- Section 282.318, F.S. – Security of Data and Information Technology
- Rule 74.2, F.A.C. – Information Technology Security
- Rule 74.5, F.A.C. – Identity Management
- FDLE Policies -
    - 1.4 – Use of FDLE Resources,
    - 2.5 – Information Security,
    - 2.6 – Acceptable Use of Information Technology, and
    - 3.1 – Background Investigations.

Compliance with the following standards is preferred:

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

h. Availability

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

i. Data Communication Standards

- NIEM 3.0 (or current version)
- Joint Task Force on RAP Sheet Standardization
- NCIC 2000
- ANSI/NIST-ITL 1-2011, NIST Special Publication 500-290 Data Format for the Interchange of Fingerprint, Facial, and Other Biometric Information (or current version)
- FBI EBTS 10.0 (or current version)
- Conformance to the National Crime Prevention and Privacy Compact Council's National Fingerprint File (NFF) specification

j. Usability

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

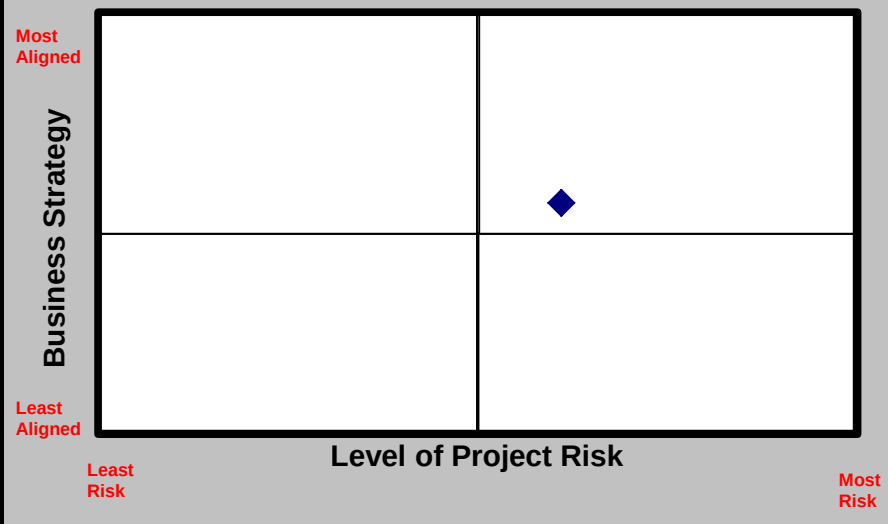
k. Project Management

- Sections 282.003 to 282.318, F.S. – Enterprise Information Technology Services Management Act
- Rule 74-1, F.A.C. – Project Management and Oversight Standards
- Project Management Institute, Project Management Body of Knowledge (PMBOK)

Appendix B – Project Risk Assessment

Project	*Criminal Justice Data Transparency*	
Agency	*Florida Department of Law Enforcement*	
FY 2019-20 LBR Issue Code:	**FY 2019-20 LBR Issue Title:**	
36121C0	*Criminal Justice Data Transparency*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Andrew Branch, 850-410-7978, andrewbranch@fdle.state.fl.us		
Executive Sponsor	*Charles Schaeffer*	
Project Manager	*Kristen Lambert*	
Prepared By	*Andrew Branch*	*10/15/2018*

Risk Assessment Summary



Project Risk Area Breakdown

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

	B	C	D	E
1	Agency: Florida Department of Law Enforcement			Project: Criminal Justice Data Transparency
3	Section 1 -- Strategic Area			
4	#	**Criteria**	**Values**	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is partially documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	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	All or nearly all
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 3 and 5 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement			Project: Criminal Justice Data Transparency
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	Some 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 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: Florida Department of Law Enforcement			Project: Criminal Justice Data Transparency
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 defiined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	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	Moderate changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with greater change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

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

	B	C	D	E
1	Agency: Florida Department of Law Enforcement			Project: Criminal Justice Data Transparency
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 $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	No
16			No	
17	5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Neither requested nor received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have not been consulted re: 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	No
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	5.18	For projects with total cost exceeding $10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Yes, bid response did/will include proof of concept or prototype
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	
63				
64				
65				
66				

	B	C	D	E
1	Agency: Florida Department of Law Enforcement		Project: Criminal Justice Data Transparency	
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	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	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	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, all stakeholders are not represented on the board
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement			Project: Criminal Justice Data Transparency
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	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	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	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 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	No
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Florida Department of Law Enforcement			Project: Criminal Justice Data Transparency
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	Single location
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	2 to 4
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Statewide or multiple agency 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	

Appendix C – Cost Benefit Analysis

CBAForm 1 - Net Tangible Benefits

Agency Florida Department of Law Enforcement Project Criminal Justice Data Transparency

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 2019-20			FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24		
	(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	$378,424	$378,424
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	4.00	4.00
A-1.a. State FTEs (Salaries & Benefits)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$213,424	$213,424
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	3.00	3.00
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	$165,000	$165,000
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	1.00	1.00
B. Application Maintenance Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$873,050	$873,050
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	$173,050	$173,050
B-4. Other Open Data Management	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$700,000	$700,000
C. Data Center Provider Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Infrastructure	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-3. Network / Hosting Services	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-4. Disaster Recovery	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-5. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Other Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$19,407	$19,407
E-1. Training	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-2. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other HR/FTE Expense	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$19,407	$19,407
Total of Recurring Operational Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$1,270,881	$1,270,881
F. Additional Tangible Benefits:		$0			$0			$0			$0			$0	
F-1. Specify		$0			$0			$0			$0			$0	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		$0			$0			$0			$0			($1,270,881)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☐	Confidence Level	
Order of Magnitude	☑	Confidence Level	20%
Placeholder	☐	Confidence Level	

Florida Department of Law Enforcement **Criminal Justice Data Transparency**

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.***

CBAForm 2A Baseline Project Budget

				FY2019-20			FY2020-21			FY2021-22			FY2022-23			FY2023-24			TOTAL
			$ -		$ 2,299,022			$ 2,416,223			$ 1,962,177			$ 1,906,452			$ -		$ 8,583,874
Item Description *(remove guidelines and annotate entries here)*	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
Costs for all state employees working on the project.	**FTE**	S&B	$ -	6.30	$ 133,914	$ 293,011	7.30	$ 82,803	$ 426,925	7.30	$ -	$ 509,728	7.30		$ 509,728	0.00	$ -	$ -	**$ 1,956,109**
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	$ -	1.00	$ 165,000	$ -	1.00	$ 165,000	$ -	1.00	$ 165,000	$ -	1.00	$ 165,000	$ -	0.00	$ -	$ -	**$ 660,000**
Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ -	1.00	$ 200,000	$ -	1.00	$ 200,000	$ -	1.00	$ 200,000	$ -	1.00	$ 200,000	$ -	0.00	$ -	$ -	**$ 800,000**
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	**Project Oversight**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	**$ -**
Staffing costs for all professional services not included in other categories.	**Consultants/Contractors**	Contracted Services	$ -	1.00	$ 111,450	$ -	1.00	$ 167,175	$ -	1.00	$ 167,175	$ -	1.00	$ 111,450	$ -	0.00	$ -	$ -	**$ 557,250**
Separate requirements analysis and feasibility study procurements.	**Project Planning/Analysis**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Hardware purchases not included in data center services.	**Hardware**	OCO	$ -		$ 760,000	$ -		$ 450,000	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ 1,210,000**
Commercial software purchases and licensing costs.	**Commercial Software**	Contracted Services	$ -		$ 49,300			$ 118,050	$ -		$ 118,050	$ -		$ 118,050	$ -		$ -	$ -	**$ 403,450**
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	**Project Deliverables**	Contracted Services	$ -		$ 175,000	$ -		$ 700,000	$ -		$ 700,000	$ -		$ 700,000	$ -		$ -	$ -	**$ 2,275,000**
All first-time training costs associated with the project.	**Training**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Other contracted services not included in other categories.	**Other Services**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Include costs associated with leasing space for project personnel.	**Leased Space**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	**$ -**
Other project expenses not included in other categories. HR / FTE Expense/Database Software/Data Connection	**Other Expenses**	Expense	$ -		$ 383,530	$ 27,817		$ 65,515	$ 40,755		$ 55,000	$ 47,224		$ 55,000	$ 47,224		$ -	$ -	**$ 722,065**
	Total		**$ -**	**9.30**	**$ 1,978,194**	**$ 320,828**	**10.30**	**$ 1,948,543**	**$ 467,680**	**10.30**	**$ 1,405,225**	**$ 556,952**	**10.30**	**$ 1,349,500**	**$ 556,952**	**0.00**	**$ -**	**$ -**	**$ 8,583,874**

CBAForm 2 - Project Cost Analysis

Agency: Florida Department of Law Enforcement

Project: Criminal Justice Data Transparency

PROJECT COST SUMMARY	*PROJECT COST SUMMARY (from CBAForm 2A)*					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
TOTAL PROJECT COSTS (*)	$2,299,022	$2,416,223	$1,962,177	$1,906,452	$0	$8,583,874
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$2,299,022	$4,715,245	$6,677,422	$8,583,874	$8,583,874	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	*PROJECT FUNDING SOURCES - CBAForm 2B*					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
General Revenue	$1,978,194	$2,095,395	$1,641,349	$1,585,624	$0	$7,300,562
Trust Fund	$320,828	$320,828	$320,828	$320,828	$0	$1,283,312
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$2,299,022	$2,416,223	$1,962,177	$1,906,452	$0	$8,583,874
CUMULATIVE INVESTMENT	$2,299,022	$4,715,245	$6,677,422	$8,583,874	$8,583,874	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous		Confidence Level	
Order of Magnitude	x	Confidence Level	20%
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary

Agency: Florida Department of Law Enforcement

Project: Criminal Justice Data Transparency

COST BENEFIT ANALYSIS -- CBAForm 3A	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL FOR ALL YEARS
Project Cost	$2,299,022	$2,416,223	$1,962,177	$1,906,452	$0	$8,583,874
Net Tangible Benefits	$0	$0	$0	$0	($1,270,881)	($1,270,881)
Return on Investment	($2,299,022)	($2,416,223)	($1,962,177)	($1,906,452)	($1,270,881)	($9,854,755)
Year to Year Change in Program Staffing	0	0	0	0	4	

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)	($8,973,423)	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 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix D – Estimated Project Budget

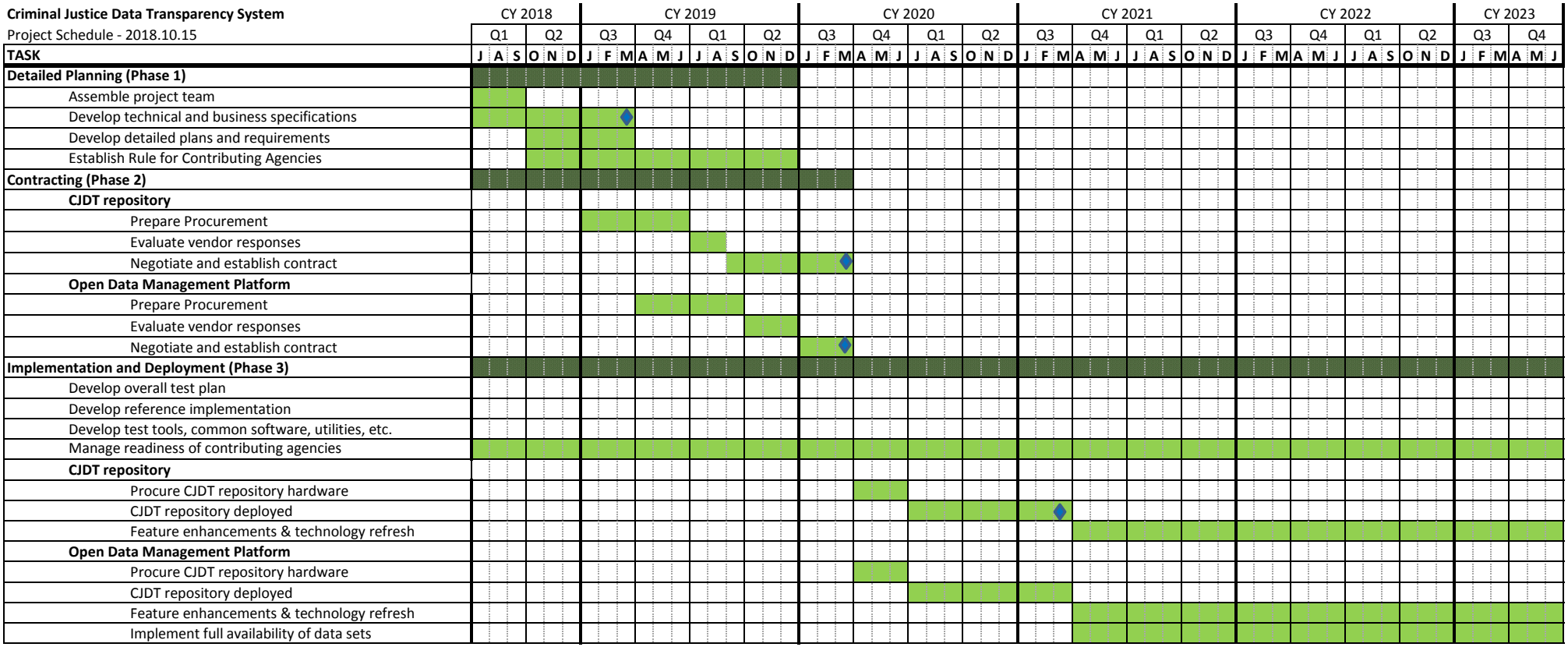
Florida Department of Law Enforcement
IT Project Cost Estimate

Title:	Criminal Justice Data Transparency		**Planned Costs:**				
Tracking #:	TBD						
Manager:	Andrew Branch						
Duration:	48.7						
Baseline Date:	10/1/2018						
Revision Date:							
Version #:							
Cost Elements	**Description**		**FY 19-20**	**FY 20-21**	**FY 21-22**	**FY 22-23**	**Planned Total**
Salary & OPS							
	Project Manager - Criminal Justice Information Consultant II		$65,813	$65,813	$65,813	$65,813	$263,250
	Criminal Justice Information Consultant II		$16,453	$16,453	$16,453	$16,453	$65,813
	Criminal Justice Information Consultant II		$16,453	$16,453	$16,453	$16,453	$65,813
	Criminal Justice Information Consultant I		$29,766	$29,766	$29,766	$29,766	$119,063
	Criminal Justice Information Consultant I		$14,883	$14,883	$14,883	$14,883	$59,531
	Criminal Justice Information Consultant I		$14,883	$14,883	$14,883	$14,883	$59,531
	Criminal Justice Information Consultant I		$14,883	$14,883	$14,883	$14,883	$59,531
	Criminal Justice Information Consultant I		$14,883	$14,883	$14,883	$14,883	$59,531
	Chief of Florida Crime Information		$34,467	$34,467	$34,467	$34,467	$137,868
	Senior Management Analyst Supervisor		$37,622	$37,622	$37,622	$37,622	$150,486
	Criminal Justice Information Consultant II		$32,906	$32,906	$32,906	$32,906	$131,625
	Criminal Justice Information Consultant II		$66,957	$66,957	$66,957	$66,957	$267,828
	Criminal Justice Information Consultant II		$66,957	$66,957	$66,957	$66,957	$267,828
	Database Consultant		$0	$82,803	$82,803	$82,803	$248,409
Full Time Employees	**Subtotal**		**$ 426,925**	**$ 509,728**	**$ 509,728**	**$ 509,728**	**$ 1,956,108**
OPS	**Subtotal**		**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
State Staff	**Subtotal**		**$ 426,925**	**$ 509,728**	**$ 509,728**	**$ 509,728**	**$ 1,956,108**
Expenses							
	Database Management Software for DEV Enviornment		$50,000	$0	$0	$0	$50,000
	Database Management Software for TEST & PROD Enviornment		$312,500	$0	$0	$0	$312,500
Project Deliverables	**Subtotal**		**$ 362,500**	**$ -**	**$ -**	**$ -**	**$ 362,500**
	Data Services Connection		$0	$55,000	$55,000	$55,000	$165,000
							$ -
Software	**Subtotal**		**$ -**	**$ 55,000**	**$ 55,000**	**$ 55,000**	**$ 165,000**
	HR and Standard FTE Expenses		$48,847	$51,270	$47,224	$47,224	$194,564
Other Expenses			**$ 48,846.70**	**$ 51,269.70**	**$ 47,223.70**	**$ 47,223.70**	**$ 194,563.80**
Expenses	**Subtotal**		**$ 411,347**	**$ 106,270**	**$ 102,224**	**$ 102,224**	**$ 722,064**
Operating Capital Outlay							
	Servers for DEV Enviornment		$25,000				$25,000
	Servers for TEST & PROD Enviorment		$135,000				$135,000
	Storage Area Network		$500,000				$500,000
	Network Equipment		$100,000				$100,000
	Backup & Recovery System			$450,000			$450,000
							$0
Operating Capital Outla	**Subtotal**		**$ 760,000**	**$ 450,000**	**$ -**	**$ -**	**$ 1,210,000**

Florida Department of Law Enforcement
IT Project Cost Estimate

Title:	Criminal Justice Data Transparency		**Planned Costs:**				
Tracking #:	TBD						
Manager:	Andrew Branch						
Duration:	48.7						
Baseline Date:	10/1/2018						
Revision Date:							
Version #:							
Cost Elements	**Description**		**FY 19-20**	**FY 20-21**	**FY 21-22**	**FY 22-23**	**Planned Total**
Contract Services							
	Projoect Leader		$200,000	$200,000	$200,000	$200,000	$800,000
	SAS Programmer		$165,000	$165,000	$165,000	$165,000	$660,000
							$0
Contract Staff	**Subtotal**		**$365,000**	**$ 365,000.00**	**$ 365,000.00**	**$ 365,000.00**	**$1,460,000**
	Open Data Management Platform		$175,000	$700,000	$700,000	$700,000	$2,275,000
							$0
Project Deliverables	**Subtotal**		**$ 175,000.00**	**$ 700,000.00**	**$ 700,000.00**	**$ 700,000.00**	**$ 2,275,000.00**
	Op System & Middleware Subscriptions for DEV Enviornment		$7,300	$7,300	$7,300	$7,300	$29,200
	Op System & Middleware Subscriptions for TEST & PROD Enviornment		$21,000	$21,000	$21,000	$21,000	$84,000
	Database Management Software		$11,000	$79,750	$79,750	$79,750	$250,250
	Network Equipment		$10,000	$10,000	$10,000	$10,000	$40,000
							$ -
Maintenance	**Subtotal**		**$ 49,300.00**	**$ 118,050.00**	**$ 118,050.00**	**$ 118,050.00**	**$403,450**
	Consulting Services / Contingency		$111,450	$167,175	$167,175	$111,450	$557,250
							$ -
Other IT Services	**Subtotal**		**$ 111,450.00**	**$ 167,175.00**	**$ 167,175.00**	**$ 111,450.00**	**$ 557,250.00**
Contract Services	**Subtotal**		**$ 700,750.00**	**$ 1,350,225.00**	**$ 1,350,225.00**	**$ 1,294,500.00**	**$ 4,695,700.00**
Other							
Other	**Subtotal**		**$0**	**$0**	**$0**	**$0**	**$ -**
Grand Total			**$2,299,022**	**$2,416,223**	**$1,962,177**	**$1,906,452**	**$8,583,872**

Appendix E – Estimated Project Schedule



* Note: A more detailed baseline schedule will be prepared after a contract is established with vendors.

SCHEDULE IV-B FOR FDLE MODERNIZATION TO COUNTER 21ST CENTURY THREATS

For Fiscal Year 2019-20

October 15, 2018

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Law Enforcement	Schedule IV-B Submission Date: 10/15/2018
Project Name: FDLE Modernization to Counter 21st Century Threats	Is this project included in the Agency's LRPP? ____ Yes __X__ No
FY 2019-20 LBR Issue Code: 36122CO	FY 2019-20 LBR Issue Title: Counter 21st Century Threats
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AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Richard Swearingen	Date: 10/8/18
Agency Chief Information Officer (or equivalent): Printed Name: Joey Hornsby	Date: 10/8/18
Budget Officer: Printed Name: Cynthia Barr	Date: 10/8/18
Planning Officer: Printed Name: Michelle Pyle	Date: 10 | 8 | 18
Project Sponsor: Printed Name: Richard Swearingen	Date: 10/8/18
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II. Schedule IV-B Business Case – Strategic Needs Assessment

A. Background and Strategic Needs Assessment

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

1. Business Need

The Florida Department of Law Enforcement (FDLE) embodies two primary missions; to ensure domestic security and promote public safety. The department pursues these missions in partnership with local, state, and federal criminal justice agencies operating throughout the state of Florida and across the United States while managing an annual budget over $300 million and employing approximately 1,900 members statewide. The Florida Cabinet oversees the department, while the Executive Director (i.e. Commissioner) manages its operations. The department is structured into five programs (i.e. divisions); Executive Direction and Business Support, Investigations and Forensic Science Services, Criminal Justice Information Services, Criminal Justice Professionalism, and the Capitol Police.

The Investigations and Forensic Science Services program (IFS) is the department's largest operational component with numerous law enforcement (i.e. sworn) and civilian (i.e. non-sworn) members who primarily conduct and support complex, statewide criminal and intelligence investigations. These investigations, and other law enforcement operations, are undertaken pursuant to statewide strategies focused upon statutorily mandated or authorized initiatives, such as ensuring domestic security and public integrity, combating terrorism and organized crime, and protecting state government officials and infrastructure. A majority of these investigative and other operational activities span multiple local jurisdictions, involve numerous alleged victims, and target a variety of threats to Florida's domestic security and public safety.

Criminal and terrorist organizations are now highly decentralized, globally networked, and equipped with advanced IT systems and operational capabilities that rival many developed nations and often thwart law enforcement investigations. These organizations routinely engage in transnational operations that pose a direct threat to Florida's domestic security, public safety, and economy. Similarly, violent extremists and other lone-actors, like those who recently committed acts of mass murder in Florida, also pose a direct threat to Florida because their latent motives or intentions and disparate behaviors or activities often remain undetected or obfuscated leading up to an act of targeted or mass violence. Detecting, understanding, and disrupting criminal or terrorist operations and violent extremists or other lone-actors are significant challenges to traditional (i.e. reactive) law enforcement practices. However, these complex 21st century threats are indeed detectable, and often preventable, through modern (i.e. proactive) law enforcement investigations and operations, when adequately supported by modern IT systems and operational business processes that enable and support the development of actionable, strategic intelligence.

The FDLE is committed to a proactive, 21st century vision predicated upon the implementation of intelligence-led policing (ILP) as an organizational management strategy to enhance its operational efficiency and investigative productivity. ILP is a proven and widely adopted model of law enforcement organizational management that entails the automatic integration, management, and analysis of all relevant data available for proactive investigation and the development of actionable, strategic insight. ILP also requires streamlining operational business processes, particularly those driving criminal and intelligence investigations, to better inform executive, strategic decision-making.

As such, the department intends to implement a tailored ILP strategy that encourages and facilitates enhanced operational collaboration, information analysis, and organizational management between all its internal programs and external partnering state law enforcement agencies. This strategy embodies a "whole of government" approach to countering complex 21st century threats while more efficiently and effectively exploiting the continuously growing volume of relevant data available for proactive investigation and the development of actionable, strategic insight.

To successfully implement this strategy, however, the department must modernize its legacy operational IT infrastructure. The department's existing law enforcement records management system (RMS) is antiquated and overdue for replacement. It lacks adaptability to integrate with new or refined operational business processes and

does not adequately support complex, statewide criminal and intelligence investigations. The department presently employs a highly customized, internally developed RMS, known as the Automated Investigative Management System (AIMS), to centrally manage the majority of its administrative and operational law enforcement records, particularly its active criminal investigative and intelligence records. However, a large minority of these records remain stored as paper files in multiple locations throughout the state. The AIMS was developed and implemented over two decades ago and is now obsolete compared to the average commercially available RMS being marketed to the US law enforcement community. Second, the department presently relies upon numerous manual business processes with regard to collecting, compiling, and analyzing the continuously growing volume of data available for proactive investigation and stored across multiple, disparate databases. Finally, the department does not presently employ an IT system that can automatically integrate, manage, and analyze multiple, disparate databases to derive actionable, strategic insights.

If appropriated funding, the department will simultaneously procure modern IT systems in a phased approach to replace its outdated law enforcement RMS and provide Florida's state law enforcement agencies an IT system with the ability to automatically integrate, manage, and analyze all relevant data available for proactive investigation. This multi-year program will increase the department's operational efficiency and investigative productivity, along with its partnering state law enforcement agencies, thereby enabling future mission success against the various 21st century threats to Florida's domestic security and public safety. This program is estimated to cost between $23 – $27 million.

The primary goal of this program is to enable and support the department's envisioned transition to an intelligence-led policing (ILP) model of organizational management, wherein a centralized, collaborative, and statewide intelligence enterprise consistently and reliably informs, proactively motivates, and measurably improves executive decision-making on issues of strategic importance to the department. These issues include, among others, the efficient allocation of limited operational resources across the department and the refinement of operational business processes (i.e. workflows) to enhance its decentralized, statewide law enforcement operations.

A secondary goal of this program is to promote organizational culture change that will ensure the department's envisioned end-state is realized. Achieving the requisite organizational culture change, however, is the department's responsibility and therefore not included within the scope of proposed funding for this program.

2. Business Objectives

Data Integration & Analysis

- Integrate multiple, disparate internal databases containing structured and unstructured data with potential intelligence value.
- Access multiple, disparate databases via a single point of search or query to efficiently extract, compile and organize data into information for analysis.
- Visualize information via a configurable dashboard to determine the need and appropriate model(s) for analysis.
    - Standardize and organize information with context and sourcing.
    - Import information from third-party software for analysis.
    - Export information to third-party software for analysis.
    - Eliminate the need to conduct workflows across multiple systems or platforms.
- Apply appropriate analytical model(s) to information.
- Collaborate in information analysis via a common, intuitive, and secure end-user environment.
- Develop actionable intelligence for tactical, operational, or strategic application.
- Record, automate, and refine business processes for conducting information analysis.
- Export actionable intelligence product into law enforcement records management system.
- Reduce manual business processes supporting information analysis.
- Develop a statewide common operating picture for situational awareness.
- Increase the speed from decision to action.

- Detect trends, patterns, and gaps in structured and unstructured data based on business rules.
- Establish and maintain a data integration and governance architecture.

Records Management

- Transition from a case-centric to an entity-centric records management system to improve analysis of entities under investigation.
- Provide an intuitive search capability to locate and retrieve all documented entities and other data or information.
- Increase efficiency in the documentation of data or information via natural language processing to increase its collection.
- Increase the electronic storage of data or information to reduce or eliminate the space required for its physical storage and release storage space in existing facilities.
- Increase end-user collaboration and communication regarding investigative and intelligence information via a common, intuitive, and secure end-user environment.
    - Reduce the volume of enterprise e-mail traffic on the existing network.
    - Reduce or eliminate the discussion of confidential or exempt investigative and intelligence information via enterprise e-mail.
    - Reduce the time necessary to review enterprise e-mail subject to public records release for the redaction of confidential or exempt investigative and intelligence information and streamline the public records review process.
- Increase law enforcement operations and information security.
- Increase the collection of dynamic attributes regarding entities under investigation.
- Provide for the automatic detection, relational linking, and merger of duplicative entities or other documented data or information.
- Provide for the automatic creation of standardized forms that are automatically populated with documented data or information.
- Intake and store media of any size, format, and type.
- Facilitate the visualization of related and attached documents or other supporting media.
- Provide the automatic detection and creation of new or repeated entities.
- Reduce or eliminate the collection, documentation, and processing of administrative data or information.

Organization Change Management

- Communicate the critical need for organizational culture change throughout the organization before, during, and after program implementation.
- Obtain professional consultation and guidance in implementing organizational culture change before and during program implementation.
- Ensure internal leadership remains committed and supportive of organizational culture change and program implementation.
- Lead organizational culture change via the development and modeling of best practices and standardized operational business processes for the collection and analysis of data or information for intelligence value.
- Ensure organizational culture change through consistent and sustained education and training programs.
- Determine and manage long-term success criteria for organizational culture change.
- Ensure internal leadership remains accountable for organizational culture change.

B. Baseline Analysis

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

1. Current Business Process(es)

At present, the department's IFS program is statutorily mandated or authorized to conduct multiple law enforcement missions. These varied missions are often complementary to each other, yet at times may compete for limited resources. These missions are represented in the high-level operational business processes described below. Many of these business processes are conducted without any immediate or intimate awareness of their interdependencies upon each other. This lack of awareness limits the department's ability to increase operational efficiency and investigative productivity, especially in its statewide criminal and intelligence investigations and supporting operations. As a result, each mission is conducted without comprehensive knowledge of its overall operational impact, whether positive or negative, upon other complementary or competing missions.

Multiple factors contribute to the department's lack of awareness in its operational business processes and their interdependencies. First, operational data and information created or collected through these business processes is stored in separate internal databases. Second, the department's inability to automatically integrate and analyze these disparate databases inhibits its development of strategic insight. Third, the department is unable to establish and maintain a statewide common operating picture for situational awareness because there is minimal or no collaboration between its operational business processes. Finally, many of the department's operational business processes involve manual tasks that end in the documentation of data or information in its current RMS (i.e. AIMS), but without analytic insight that reveals statewide trends, patterns, or relationships between identifiable entities subject to criminal or intelligence investigation. Many of these manual tasks are duplicative in nature because various operational components maintain different business processes with a similar purpose. The following operational business processes are presently in effect throughout the department.

1) Protective Services – Annual Transportation & Protective Services Report

   a) Florida Government Officials & Infrastructure – In FY 17/18, the department provided 24/7/365 protection to Florida's Governor and First Family, including the Governor's Mansion and the Executive Office of the Governor.
   b) Visiting Government Officials – In FY 17/18, the department conducted 37 protective details for visiting state governors and other authorized government officials or persons.

2) Domestic Security – Florida's Domestic Security Strategic Plan & Annual Report

   a) Domestic Security Oversight Council (DSOC) – The department's Executive Director (i.e. Commissioner) serves as Chairperson of Florida's DSOC, which provides executive oversight and recommendations on strategic policy-making with regard to domestic security issues of statewide concern, operational resource procurement funding and allocation planning, and annual reporting to the Governor and Legislature.
   b) Domestic Security Coordinating Group (DSCG) – The department coordinates and serves as a member of Florida's DSCG, which is comprised of subject-matter experts from multiple state agencies, key outside organizations, and the RDSTFs who address various domestic security issues of statewide concern.
   c) Regional Domestic Security Task Forces (RDSTF) – In FY 17/18, the department RDSTF's completed 1,410 domestic security activities statewide, which included training and incident responses.

3) Statewide FDLE Investigations – Annual Statewide Strategies & Reports

   a) Criminal Investigations – In FY 17/18, the department conducted 2,247 criminal investigations within the scope of its statewide investigative strategy, closed 763 investigations, and cleared 250 investigations by arrest.
      - Domestic Security
        - Counterterrorism Investigations
        - Cyber & High-Technology Crime Investigations
        - Capitol Complex Security – In FY 17/18, the Capitol Police responded to 4,657 calls for police service.
      - Public Integrity

- Florida Governor Ordered Investigations
- Public Corruption Investigations
- Florida Department of Corrections In-Custody Death & Injury Investigations
- Law Enforcement Officer-Involved Shooting Investigations

- Offender Registration Enforcement
  - Sexual & Career Offender Registration Enforcement
- Missing & Endangered Persons Information Clearinghouse
- Organized Crime
  - All other statewide criminal investigations relating to organized crime.

b) Intelligence Investigations – In FY 17/18, the department conducted 484 intelligence initiatives or investigations.
- Intelligence Requirements
  - Annual Standing & Priority Information Needs
- Collection
  - Field Intelligence Squads
- Processing, Exploitation, & Analysis
  - Florida Intelligence Center
  - Counterterrorism Intelligence Center
  - Financial Crimes Analysis Center
  - Cyber Intelligence Center
- Florida Fusion Center
  - Statewide Intelligence Watch & Warning Center
  - Interagency Fusion Liaisons Program
  - Operations Security & Counterintelligence
- Targeted Enforcement Response
  - Field Intelligence Squads
- Feedback
  - Strategic Value & Operational Guidance

c) Administrative Investigations
- Internal Affairs Investigations – In CY 17, the department completed 147 internal investigations.
- Internal & External Background Investigations – In CY 17, the department completed 2,778 background investigations.
- Internal Fraud, Waste, or Abuse Inspections or Investigations
- Internal Legal Reviews

4) Statewide Task Force Investigations – Annual Statewide Strategies & Reports

a) FDLE Regional Domestic Security Task Force (Domestic Security/Antiterrorism)
b) FDLE Electronic Surveillance Support Team (Violent Offender Tracking) – In CY 17, the department conducted 262 active cellular locates, 584 GPS cellular locates, 2,348 cellular analyses, 1,130 video surveillances, 1,146 surveillance camera deployments, 542 covert audio recordings, 298 GPS vehicle tracks, 371 GPS vehicle tracker analyses, 496 PEN registers, 84 title III wiretaps, 320 audio or visual enhancements, all of which all resulted in 786 arrests statewide.
c) FDLE Child Abduction Response Team (Violent Crimes)
d) FDLE Internet Crimes Against Children Task Force (Internet Crimes)
e) Federal Task Forces – The department participates in numerous federally sponsored and managed task forces that focus upon various prioritized crime initiatives.

5) Statewide FDLE Investigative Support

a) Florida Computer Crimes Center – In CY 17, the department conducted 217 computer crimes investigations.
b) Statewide Law Enforcement Radio System
c) FDLE Investigative & Evidentiary Funds
d) Statewide Investigative Forfeitures

e) Statewide Undercover LEO Identities Management
f) FDLE Confidential Human Source Management
g) Statewide Authorized Central Storage Management
h) Evidence and In-Custody Property Management

6) Statewide FDLE Mutual Aid Operations

a) Florida Mutual Aid Plan – Statewide Emergency Disaster Response
b) FDLE Continuity of Operations Plan
c) Regional Law Enforcement Communications Team
d) Field Management Support Team
e) FDLE Aviation

2. Assumptions and Constraints

Assumptions

- FDLE will continue to serve as the lead agency for coordinating counter-terrorism activities, including assessments of the state's vulnerability to, and ability to detect, prevent, prepare for, respond to, and recover from acts of terrorism in Florida.
- FDLE will continue to conduct criminal investigations with reference to organized crime, vice, racketeering, rioting, inciting to riot, and insurrection.
- FDLE will continue to aid local enforcement in preventing or solving crimes and controlling criminal activity in Florida.
- Criminal and terrorist groups will continue to be early adopters of advances in technology.
- Incitement to violence and terrorism through social media will increase.
- Technology enables transient and less structured criminal and terrorist organizations.
- While violent and property crime rates have been trending down since the early 1990's, cybercrime is up and will continue to grow.
- A records management system is mission critical to FDLE. It is the central repository for all intelligence and investigation cases. It will continue to be necessary to help support local law enforcement, criminal justice agencies, and Florida's overall public safety and security for the foreseeable future as we have seen in the increased number of cases.
- The demand for intelligence will continue to grow in both quantity and complexity, and laws associated with the use of intelligence and investigations' records will continue to evolve and change. Requests to collect and report on specific data will change as policy issues emerge and change.

Constraints

- Special Authorization Requirement – The Data Analytics System project is estimated to exceed $10 million dollars and must comply with 216.023(4)(a)10, F.S.
- The new systems must comply with the FBI CJIS Security Policy (CSP), Florida's Information Technology Security Rule (74-2), and FDLE security policies. Where there is overlap or conflict, the more restrictive requirement will supersede the other. Furthermore, where requirements are similar but not exact, the two (2) policies' requirements shall enhance each other. When discrepancies arise, it will be up to FDLE to determine the level of compliance. Systems must also meet the 28 Code of Federal Regulations, 28 CFR Part 20 and Public Law 92-544, which regulate sharing criminal justice information with non-criminal justice governmental agencies and 28 CFR Part 23, which contains standards for operating federally funded multi-jurisdictional criminal intelligence systems.
- The new systems must be operational 24 hours a day, 7 days a week, and 365 days a year. Systems must adhere to FDLE information system availability standard of 99.5%.
- All project activities must be performed and completed within the United States and all data must remain within the United States. Additionally, those who work on this project at FDLE facilities or have access to FDLE information systems will be permitted to work only upon successful completion of an FDLE

background check. According to FDLE Policy 3.1 – Background Investigations, the background check will include, but is not limited to, criminal record check, credit check, employer verification, drug test, and E-verify requirements.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

FDLE will continue to perform the activities identified above but with improved operational efficiency and investigative productivity. This will be done by streamlining existing operational business processes and augmenting those processes with modern information technology (IT) systems or solutions. To do so, the department intends to procure a data integration and analytics system that provides the ability to integrate, manage, and analyze exponentially increasing volumes of structured and unstructured data available for investigation and stored across multiple, disparate databases. Additionally, the department intends to replace its legacy RMS and thereby transition from case-centric to entity-centric law enforcement records management. These procurements will facilitate several operational business process improvements.

First, RMS replacement will permit the department to collect, store, and search law enforcement data in greater detail and volume.

Second, interoperability between both systems will allow operational personnel to collaborate and communicate about statewide criminal or intelligence investigations in real-time, which is anticipated to increase operations security and information or intelligence sharing.

Third, data integration and analytics will provide operational personnel a force multiplier in conducting manual business processes, such as the processing and exploitation of structured and unstructured data or information, thereby increasing the time available for analysis and other investigative activities.

Fourth, the department anticipates that both systems will improve its ability to formulate strategic insight regarding statewide trends, patterns, or relationships between identifiable entities subject to criminal or intelligence investigation.

Finally, future operational business processes will be refined and automated to reduce manual and duplicative tasks while eliminating the need for physical storage of documents or electronic media containing data and information.

Understanding and reducing existing interdependencies between operational business processes will increase the department's statewide situational awareness and enable the department to build a statewide common operating picture between all its operational personnel and partnering law enforcement agencies. The department believes this IT modernization program will also prompt an organizational culture change to adopt streamlined operational business processes that will permit the department more effectively counter 21st century threats to Florida's domestic security and public safety.

2. Business Solution Alternatives

In FY 2015-16, FDLE conducted a series of meetings with members across the state to assess the Automated Investigative Management (AIM) system and explore options for enhancements or replacement. In 2017 and early 2018, FDLE conducted market research of IT firms that offered data analytics and law enforcement records management systems.

Alternative #1 – Maintain the Current AIM System

This alternative would have FDLE maintain and enhance the current AIM system to meet FDLE's analytics and case management needs. The 2016 AIM system assessment found that searching, investigative report editing/formatting, and system navigation needed improvement, AIMS does not provide for the records and reporting needs of Capitol Police (FDLE's uniform and first response component), and AIM is not intuitive and requires significant training and practice to be able to navigate, locate records, and perform administrative reporting functions. Finally, AIM does not have the capability to perform complex analytics which is vital to FDLE's investigative and intelligence mission.
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Alternative # 2 – Procure Commercially Available Solutions

Procure Vendor Product(s) for records management and data analytics solutions. Many FDLE counterparts in other states have successfully used this approach to implement a new records management system and data analytics solution. Commercial products would provide a proven core software system with a standby disaster recovery (DR) system that is in use today by FDLE's counterparts. It also significantly reduces the time to deliver and it reduces the risk to the project by the vendor having previously implemented their product. There are IT firms in the market with products and experience in the field, as well as an understanding of the complex nature of the records management and data analytics process.

Alternative # 3 – In-House Development

This alternative is feasible for a new Records Management System. In-house development would require using a combination of staff and contract staff. FDLE has undertaken a number of IT projects using this approach. FDLE has Subject Matter Experts (SMEs) in areas of law enforcement records management (business and IT) and staff experienced in managing IT projects. This solution will take more time than the procured vendor solution approach, as the development effort will need to start at the very beginning (i.e., all code will need to be created). The total lifecycle cost of ownership for Option 3 may be several orders of magnitude more expensive, as all maintenance and defect repair would have to be done by FDLE staff for the life of the system.

This alternative is not feasible for a Data Analytics system. FDLE does not have the skills or experience to undertake this type of project.

It is worth noting that the non-fiscal cost of not undertaking either alternative two (2) or three (3) could be great. This is due to the fact that the current AIM system is the foundation for a multitude of public safety activities, and it is imperative that the data remain available and secure. The current system was also not designed to be used in the manner that it is used today and it is increasingly difficult to add new services and functionality to meet FDLE's evolving needs.

3. Rationale for Selection

FDLE identified advantages and disadvantages of each alternative.

Alternative #1 – Maintain the Current AIM System

Advantage	Disadvantage
In the short term, requires little additional time and effort to implement.	Builds on older technology framework.
This is the least expensive option for the short-	Does not provide data analytics capabilities needed

term.	for FDLE's investigative and intelligence missions.
	As business needs change, FDLE will continue to spawn external, ancillary (but necessary) systems to fulfill business needs.
	AIM design and technologies make it difficult to comply with Federal information exchange standards.
	Difficult to acquire technical resources to maintain the system.

Alternative # 2 – Procure Commercially Available Solutions

Advantage	**Disadvantage**
Commercially available solutions are available and will meet FDLE's needs.	Competitive procurements require significant time and effort to complete, typically 6 to 12 months. Large dollar competitive procurements do introduce risks for delay due to vendor protests.
Enables FDLE to employ experience and skilled staff to help implement new information systems.	Requires significant investment to implement and operate.
FDLE can draw on experience of other law enforcement agencies that have implemented similar systems.	
Mitigates some risk associated with implementing large-scale information systems.	
FDLE and State Law Enforcement partners benefit from new and improved features / functions as products evolve.	

Alternative # 3 – In-House Development

Advantage	**Disadvantage**
FDLE has extensive experience developing law enforcement information systems.	FDLE assumes all risk for successful management and implementation of the project.
FDLE maintains complete control over project activities.	This approach will likely require the most time to complete.
	Potential lack of innovation in data, presentation, and functionality.
	The risk associated with retaining skilled staff for

	the long duration projects is high.
	FDLE does not have the skills or experience to implement a data analytics system.

4. Recommended Business Solution

FDLE recommends procuring commercially available solutions (Alternative #2).

FDLE implemented the original state-level Automated Information Management System in 1999 and has managed the system for nearly twenty years. In that time, the intelligence and investigative communities have had major growth that the system has struggled to adapt to. By replacing the existing AIM system using latest technologies the Department would realize improvements, efficiencies, enhancements, eliminate manual processes, and allow extensibility and scalability of the system as business needs change. The new architected system will avoid system failure and increase efficiencies and improvements to the security access process, case profile process, administrative activities, party profiles, search process, system administration process and automated batch process/manual process. Correspondingly, by acquiring an automated data mining and analytics software solution to work with large data sets, identify trends and patterns, and establish relationships through the analysis of the data, FDLE will be better prepared to successfully implement ILP as an organizational strategy.

This approach is the best fit to implement and institutionalize the analytical capabilities that help prevent, investigate, solve, and respond to crimes and terrorism to support FDLE's vision for Intelligence-Led Policing.

D. Functional and Technical Requirements

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

Data Analytics System

Data Storage & Integration

- Operational storage for data mining and analysis to support tactical, operational, and strategic law enforcement intelligence and executive decision-making
- Scalable architecture to support functional mission differentiation
- Independent data system
- On-premise or cloud-based storage (cloud storage requires FBI CJIS Security compliance)
- Integrate internal, disparate and distributed enterprise databases containing both structured and unstructured data
- Interoperable with external, distributed and heterogeneous databases containing both structured and unstructured data
- Provide extract, transform, and load (ETL) technology to access various data sources

End-User Interface

- Support tactical, operational, and strategic law enforcement intelligence analysis and criminal investigative activities
- Interactive and intuitive interface with dynamic data visualization (i.e. dashboards) and minimal end-user training or support (e.g. graphical user-interface (GUI) with user-centered design (UCD))

Search & Query Capability

- Single-point enterprise and federated search of distributed, disparate databases containing both structured and unstructured data
- Multiple search types (e.g. Boolean, free-text, natural-language, regular expressions, etc.) and strategies (e.g. keywords, phrases, metadata, file formats, etc.)
- Create, save, and share automated end-user searches with customizable alerts to subsequent positive responses
- Create, save, and share manual end-user queries with customizable alerts to subsequent positive responses

Analytical Capabilities

- Enterprise Knowledge Model based on rules and sources
- Collaboration between law enforcement personnel in analysis efforts
- Social Network Analysis
- Geospatial Analysis with Geotagging of Unstructured Data
- Timeline & Frequency Analysis
- Fraud Detection & Analysis
- Financial Analysis
- Self-Organized Mapping
- Object-based Entity Linking & Relational Analysis
- Bayesian Analysis
- Textual Analysis
- Linguistic Analysis
- Predictive Analysis
- Automated & Enhanced Data Visualization
- Statistical Analysis
- Data Clustering & Segmenting
- Sequential & Temporal Event Patterning
- Automated Entity Extraction from Unstructured Narrative Reporting
- Entity Summarization Analysis
- Entity, Financial, & Commodity Flow Charting Analysis
- Temporal Evidentiary Visualization (i.e. Story Boarding)

System Availability

- Operational 24 hours per day, 7 days per week, and 365 days per year with “peak” usage during standard business hours (M-F; 8:00 AM – 5:00 PM) or any hours during critical incident response (e.g. hurricane, civil unrest, terrorist events, etc.)
- 99.5% availability

Hardware & System Software

- High availability. All hardware and software designs must be robust and offer redundancy with no single points of failure.
- Support continuity of operations
- System management tools (e.g. security, maintenance, scheduling, monitoring, and reporting)

Training Services

- Application Administrator training

- End-user training
- IT Support training

Maintenance & Technical Support

- Preventive and Remedial maintenance services
- Call Center support
- Software patching and upgrades
- On-site and off-site technical support options

Records Management System

Law Enforcement Case Management Capabilities

- Comprehensive case management for complex, long-term law enforcement intelligence and criminal investigations, including attachment or relation of case supporting documentation or evidentiary documents in multiple file formats
- Physical or logical segregation of law enforcement intelligence and criminal investigative reports in narrative format
- Adaptive case management
- Adaptive workflow management (Design by Doing)
- Object-based entity-centric data indexing (e.g. persons, organizations, etc.)
- Multiple end-user case collaboration environment
- Delineation between juvenile and adult data
- Automated de-confliction and end-user prompted merger of duplicative data

End-User Interface

- Primary end-user application is law enforcement intelligence and criminal investigations case management
- Interactive and intuitive interface with dynamic data visualization (i.e. dashboards) and minimal end-user training or support (e.g. graphical user-interface (GUI) with user-centered design (UCD))
- Accessible from a desktop computer, laptop, or tablet

Search & Query Capability

- Single-point search of both structured and unstructured data
- Multiple search types (e.g. Boolean, free-text, natural-language, regular expressions, etc.) and strategies (e.g. keywords, phrases, metadata, file formats, etc.)
- Create, save, and share automated end-user searches with customizable alerts to subsequent positive responses
- Create, save, and share manual end-user queries with customizable alerts to subsequent positive responses

Data Storage & Integration

- Scalable to functional mission differentiation (e.g. intelligence operations vs. criminal investigations)
- On-premise data storage
- Integration of internal, disparate and distributed enterprise databases containing both structured and unstructured data
- Interoperability with external, distributed and heterogeneous databases containing both structured and unstructured data

Data Migration Services

- Prepare a Data Migration Plan to move legacy data from the AIM system to the new Records Management System.
- Perform trial migrations
- Migrate AIM data accurately and completely

System Administration

- Administrative end-user configurability to meet specific and evolving data management requirements
- Administrative end-user customizable data forms and fields (e.g. dropdown selection menus, data validation forms, etc.)
- Customizable, scalable, and automated data security controls with alert capabilities (e.g. tiered end-user system access and authentication, data dissemination tracking, etc.)
- Customizable and scalable data management and auditing capabilities (e.g. data purge and retention scheduling, etc.)

System Performance

- Supports more than 1,000 end-users who are physically dispersed in office locations throughout the state of Florida

System Availability

- The FDLE requires that its RMS be available to end-users 24 hours per day, 7 days per week, and 365 days per year with "peak" usage times during standard business hours (M-F; 8:00 AM – 5:00 PM) or any hours during critical incident response (e.g. hurricane, civil unrest, terrorist events, etc.)
- 99.5% availability

System Hardware & Software

- High system availability. All hardware and software designs must be robust and offer redundancy with no single points of failure.
- Support continuity of system operations
- System management tools (e.g. security, maintenance, scheduling, monitoring, and reporting)

Training Services

- Application Administrator training
- End-user training
- IT Support training

Maintenance & Technical Support

- Preventive and Remedial maintenance services
- Call Center support
- Software patching and upgrades
- On-site and off-site technical support options

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	Facilitate Implementation of Intelligence-led Policing	An environment for organizational behavior and business process changes is in place	The Public State and Local Law Enforcement FDLE Operational Personnel	07/2022
2	Establish a Framework for the integration of FDLE datasets	New data analytics system is operational with initially defined datasets	FDLE Operational Personnel	07/2022
3	Establish a Framework for the future integration of external data for law enforcement use	New data analytics system is operational with initially defined datasets	State and Local Law Enforcement FDLE Operational Personnel	07/2022
4	Create the foundation for a Common Operational Picture for all State Law Enforcement Personnel	New data analytics system is operational with initially defined datasets	State and Local Law Enforcement FDLE Operational Personnel	07/2022
5	Enhanced statewide situational awareness of threats to domestics security and public safety	Improved quality of investigations and increased opportunities for interdiction	The Public State and Local Law Enforcement FDLE Operational Personnel	07/2022
6	Modernize FDLE's Records Management System	New Records Management System is operational	FDLE Management FDLE Operational Personnel FDLE Investigative Support Personnel	07/2023
7	Improve decision-making regarding the use of resources for intelligence and investigative operations	Increased productivity in investigations and efficiency in operations	FDLE Management and Staff	07/2023
8	Improve understanding of FDLE's operational business processes	Increased productivity in investigations and efficiency in operations	FDLE Management and Staff	07/2023

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	Perform complex analysis of datasets to increase validity and reliability of intelligence	FDLE Operational Personnel State Law Enforcement Agencies	FDLE staff use: • Predictive Analytics • Visual Data Discovery • Enterprise Reporting • Geospatial Location Intelligence • Event Stream Processing • And others analytical capabilities	The quantity and quality of intelligence reports are improved. Intelligence work leads to targeted, high value interdiction and investigations.	7/2022
2	Increase efficiency in the collection and normalization of data	FDLE Operational Personnel State Law Enforcement Agencies	Increase the amount and quality of useful information	Identification of patterns and relationships that would not otherwise be detected	7/2022
3	Develop more quality investigative leads	FDLE Operational Personnel State Law Enforcement Agencies	Increase the amount and quality of useful information	Identification and disruption of criminal organizations and activity	7/2022
4	Improve collaboration between FDLE and Law Enforcement partners	FDLE Operational Personnel State Law Enforcement Agencies	• Agencies get up to speed faster • Greater adaptability and flexibility • Accelerates intelligence work • Improved	Identification and disruption of criminal organizations and activity	7/2022

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)
			cohesion		
5	Increase understanding of criminal enterprises	FDLE Operational Personnel State Law Enforcement Agencies	Identify and index additional data points related to criminal organizations	Identification and disruption of criminal organizations and activity	7/2022
6	Capture more characteristics about people, groups, and businesses	FDLE Operational Personnel State Law Enforcement Agencies	Identify and index additional data points related to people, groups, and businesses	Identification and disruption of criminal organizations and activity	7/2022
7	Improve ability to store, index, and search multiple file formats	FDLE Operational Personnel State Law Enforcement Agencies	Staff have a greater range of tools to work with various files and file formats	Reduced time and effort to process documentation and records	7/2022
8	Provide a modern, intuitive Records Management System	FDLE Operational Personnel	System is based on a commercially available product Logical, easy to use interface System is based on a solid, comprehensive, architecture that supports FDLE's business processes Flexible search and retrieval capabilities Rapid assimilation of new information and records	FDLE personnel are able to effectively use the new system. The system enables personnel to become more effective and efficient. The system supports the continuous improvement of intelligence and investigative processes.	7/2023
9	Provide Common Operational Picture for operational personnel	FDLE Management & Operational Personnel	Improved situation awareness	Personnel throughout the organization are	7/2023

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)
			Personnel have access to the same data and intelligence associated with FDLE cases	able to make decisions and take action based on the same information	
10	Electronic Records Documentation	FDLE Management & Operational Personnel	Paper Forms, Reports, and Files are reduced or eliminated	Elimination of paper files	7/2023
11	Expand and improve Reporting Capabilities	FDLE Operational Personnel	End users have access to a wide range of reporting capabilities that do not require assistance from IT staff	Users are able to produce the reports they need when they need them	7/2023
12	Enable system components to run on a variety of mobile devices	FDLE Operational Personnel	Personnel have access to data from anywhere, at any time	System can be securely accessed from desktop computers, laptops, tablets, and smartphones	7/2023
13	Ability to maintain and improve system security	FDLE Operational Personnel	Only authorized personnel are able to access the system and use is based on defined roles	Compliance with industry and government security standards	7/2023
14	Ability to track operational workflow from time information is received to documented in the RMS	FDLE Management & Operational Personnel	Workflows can be documented, adjusted, and managed to meet FDLE operational needs.	Reduce time and effort to complete investigative processes	7/2023
15	Improved management reporting	FDLE Management	FDLE management is able to obtain the information they need when they need it	Faster access to more complete and meaningful information	7/2023
16	Streamline system administration and management	FDLE Operational Personnel FDLE IT Staff	System is based on a commercially available	Changes to the system are based on product updates / releases	7/2023

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)
			product Operational and IT staff have a complete set of tools to manage the system	from the product manufacturer Reduction of custom programming Reduction in exception processes	

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 cost to implement the program (FDLE Modernization to Counter 21st Century Threats) is estimated to be about $24.5 million. The program includes two projects.

Data Analytics Solution - $14.5 million

New Records Management System $10 million

See Appendix C for a more detailed project cost estimates.

The chart below summarizes the required CBA Forms. Cost Benefit forms are provided in Appendix A.

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

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

V. Schedule IV-B Major Project Risk Assessment

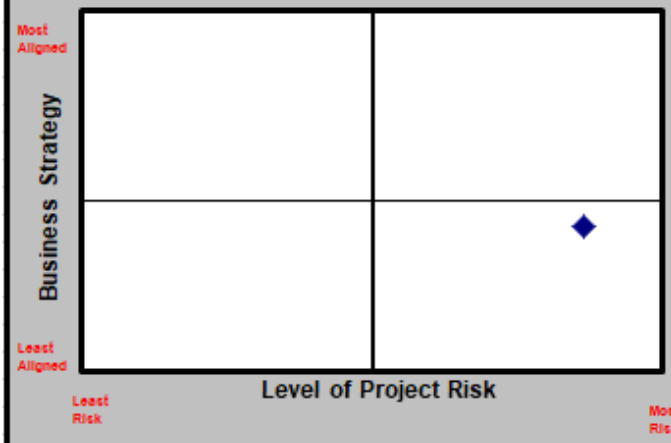
Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides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

Separate Risk Assessments have been prepared for the Data Analytics System and Records Management System projects.

The complete Risk Assessments can be found in Appendix D.

Project	Data Analytics System	
Agency	Florida Department of Law Enforcement	
FY 2019-20 LBR Issue Code:	FY 2019-20 LBR Issue Title:	
36122CO	Modernization to Counter 21st Century	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Becky Bezemek, 850-410-8459, BeckyBezemek@fdle.state.fl.us		
Executive Sponsor	Rick Swearingen, Commissioner	
Project Manager	Dickson Robert	
Prepared By	Mark Scharein & Dickson Robert	9/26/2018

Risk Assessment Summary



Project Risk Area Breakdown

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

Project	Records Management System	
Agency	Florida Department of Law Enforcement	
FY 2019-20 LBR Issue Code:	FY 2019-20 LBR Issue Title:	
36122CO	Modernization to Counter 21st Century	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
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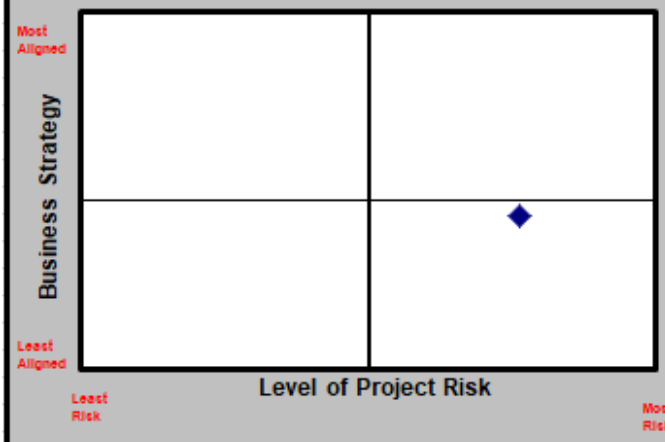
Risk Assessment Summary



Project Risk Area Breakdown

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

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The Automated Investigative Management System (AIMS) is an information system used to enter and track information associated with investigative and intelligence cases worked by FDLE's agents and analysts. The system was originally implemented in the late 1990's and has been modified and updated over the years. The last major upgrade was completed in 2012.

AIMS is comprised of 89 "modules". Some of these modules have one or more "screens" or "forms" used to enter, view, modify, and in some circumstances, delete cases and case related information, purge cases and case related information, and purge Investigative Report and Investigative Report related information. Some of these modules provide administrative support functions and therefore do not have traditional screens or forms and do not require additional input from the user. Some of these administrative support functions include security validation, field validation and display of information and error messages.

This system contains confidential information, such as the identities and contact information of confidential informants and undercover agents, details of active investigations and links to sensitive information from other agencies.

The system serves as a comprehensive case management tool for all FDLE investigations. This system is a repository for all details and costs related to all FDLE investigations. It provides for case management, analysis, reporting, case cost analysis and information sharing within FDLE. It also holds confidential data sets such as financial information related to Unemployment Compensation and Interstate Unemployment Compensation and also Employee Wage and Employer information which is obtained through a written agreement with the Department of Economic Opportunity (DEO) and the Department of Revenue (DOR). AIMS is also the only system in FDLE that tracks all monthly costs (fuel costs and maintenance costs) related to a State Vehicle. Each month, the State Vehicle data is sent to the Department of Management Services (DMS) and entered in to the statewide vehicle system, FLEET, which is soon to be replaced by the Fleet Information Management System (FIMS).

System Type	All of the components except the batch jobs follow the same type of 3-tier framework: • Presentation tier is a web browser • Server architecture uses the Red Hat JBoss Server Architecture • The database is Oracle. • Accessed by users over the FDLE corporate network
Number of Users and Types	• 1,000 named users
Records	• 2,800 active cases • 365,000 total cases on file • 1.6 million criminal profiles (persons, vehicles, businesses)

	• + more
Security Access	• Custom – Application Security Module
Hardware Characteristics	• Rack mounted Dell PowerEdge Servers
Software Characteristics	• Operating system: Linux • Application Server: Redhat JBoss • Java Foundation Framework • Database: Oracle
Internal & External Interfaces	• Department of Revenue • Department of Health • Department of Economic Opportunity • Department of Management Services • Department of Financial Services • Appriss Incarceration Data • Law Enforcement Information Exchange (LinX) • FDLE Human Resources Database • FDLE Investigative Evidence Mgt. System (EMS)
Consistency with FDLE Standards	• AIMS was consistent with FDLE standards when it was originally developed
Scalability	• The current system is not fully scalable in its end-of-life programming version of software, custom-written document management solution, and reporting solution.
Connectivity Requirements	• FDLE's Corporate Network
Development and Maintenance Approach	• The support of the current application components follow FDLE's approved maintenance and project governance rules.
Maturity of the Technology	• Application components were originally implemented in 1999 with the last major upgrade in 2012.
Flexibility to Incorporate Changes	• Programming changes can still be made to the application components. Application software is in a supported state and uses the latest version of Wicket.
Future Data Sharing with other Entities	• Information is shared by the current application in the form of extract files produced by the batch jobs.

b. Current System Resource Requirements

Hardware Requirements	Production, Test, and Development Web Application Servers Production, Test, and Development Java Process Servers Production File Share to store the electronic documents Production, Test, and Development Database Servers
Software Requirements	Red Hat Enterprise Linux Operating system Red Hat JBoss Application Server Java Foundation Framework 3rd Party Tools Oracle Database
Staffing Requirements	Application Software Systems Programming Administrator .25 Data Processing Manager .5 Systems Programming Consultant 1 Systems Analyst (Contract) 1 Infrastructure Data Processing Manager .25 OS Programmer .5 Sr. Database Analyst .25

c. Current System Performance

Ability to Meet Current & Projected Workload	Supports current operations but is increasingly difficult to adapt to new or evolving requirements of FDLE staff.
Level of User & Technical Staff Satisfaction	Users and technical staff are not satisfied with AIMS. Navigation and queries are cumbersome. The system requires redundant manual processes.
Current and Anticipated Failures	None
Capacity or Reliability Problems	None

2. Information Technology Standards

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

Architecture

Information systems will be developed to operate in a multi-tier architecture.
Web-based interfaces will be used for the presentation (user) tier.
Information systems will use load-balancing appliances where appropriate.
Development and testing will be performed on separate non-production servers.
No data or transactions are to be lost due to isolated failures of equipment.
Florida Administrative Rule 74-5, Information Technology Architecture Standards, F.A.C.

Servers

Rack-mountable servers hosting either physical or virtualized operating system services will be used for information systems.
All tiers of server infrastructures (physical or virtual) will be clustered with two or more hosts.

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

Storage

Information systems will be designed to use redundant disk arrays in the FDLE Data Center Network

Database

Data will be stored in relational database(s) using either Oracle RDBMS or Microsoft SQL Server.
Databases will be designed to replicate data to alternate database infrastructure for fault tolerance using Oracle Data Guard or Microsoft database clustering.
Audit logs will capture forensic metadata for all changes to data, including changes made by FDLE staff.

Application Software

Software development standards are specified in FDLE Development Standards Version 1.0.
Application software will be developed using Java EE
All application software and services should be designed and configured as "cluster aware" meaning that if one side of a cluster is down the other side assumes the workload without manual intervention.
Java development standards are specified in Java Development Standards Version 1.0.
Web-based application standards are specified in Web Application Architecture Version 1.0.
JBoss is the preferred application server platform used for FDLE information systems.

Security

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

28 CFR Part 20 and Public Law 92-544, which regulate sharing criminal justice information with criminal justice and non-criminal justice governmental agencies.
28 CFR Part 23, which contains standards for operating federally funded multi-jurisdictional criminal intelligence systems.

The system shall meet the FBI CJIS Security Policy (CSP), state of Florida, and FDLE security policy.
FBI's CSP provides detailed requirements for reporting, handling, and auditing security incidents.

Florida Statutes Chapters 943.03101, 943.0311, 943.0312, 943.0313, 943.0314, 943.032, 943.321, 943.04, 943.041, 943.0412, 943.0415, 943.042, which describe FDLE duties related to Counter-terrorism, Domestic Security, Criminal Investigations, and Cybercrime.

Florida Statutes Chapters 943.05, 943.051, 943.0515, 943.052, 943.053, 943.054, 943.0542, 943.0543, 943.055, 943.056, 943.057, 943.0575, 943.0581, 943.0582, 943.0583, 943.0585, 943.059, in addition to a variety of other statutes detailing background screening requirements, which describe FDLE's duties as the State's central repository for criminal record information and gateway to the Federal repository.

Florida Administrative Rule 74-2, F.A.C. Information Security

FDLE Policies

- 1.4 – Use of FDLE Resources
- 2.5 – Information Security
- 3.1 – Background Investigations

Availability

FDLE's standards for system availability - minimum 99.5% uptime

Data Communication Standards

FDLE criminal justice information systems operate over the Criminal Justice Network (CJNet)

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

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

B. Current Hardware and/or Software Inventory

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

Hardware

Servers	Environment	Make / Model	Qty	Type	Use
AIM Application					
	Production	Dell PowerEdge	3	Physical	Shared
			2	Virtual	
	Test	Dell PowerEdge	2	Physical	Shared
			2	Virtual	
	Dev	Dell PowerEdge	2	Physical	Shared
			2	Virtual	
PAF Application					
	Production	Dell PowerEdge	1	Physical	Shared
			3	Virtual	
	Test / Dev	Dell PowerEdge	2	Physical	Shared
			2	Virtual	
AIM/PAF DB					
	Production	Dell PowerEdge	1	Physical	Shared
		Dell PowerEdge	1	Physical	Shared
	Test		1	Physical	Dedicated
			1	Physical	Shared
	Dev		2	Physical	Shared

Storage Area Network	Production	Dell Compellent	16 TB	Shared

Software

Operating System - Red Hat Enterprise Linux

Virtualization - VMWare

Middleware - JBOSS Enterprise Application Platform (EAP)

Database Management - Oracle DBMS and Oracle Data Guard

Backup & Recovery - CommVault Backup & Recovery

C. Proposed Technical Solution

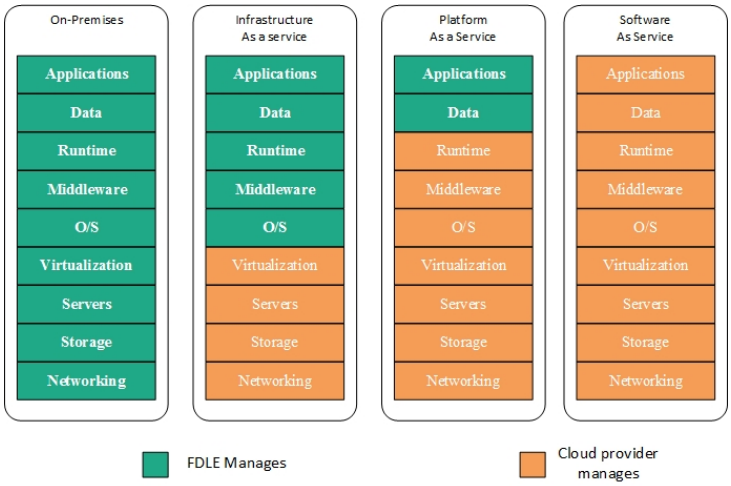
1. Technical Solution Alternatives

Cloud Based Alternatives

	Description	Delivery	Advantages	Characteristics
SaaS	Software as a Service, also known as cloud application services, represent the most commonly utilized option for businesses in the cloud market. SaaS utilizes the internet to deliver applications to its users, which are managed by a third-party vendor. A majority of SaaS applications are run directly through the web browser, and do not require any downloads or installations on the client side.	Due to its web delivery model, SaaS eliminates the need to download and install applications on each individual computer; a nightmare for IT staff. With SaaS, vendors manage all of the potential technical issues, such as data, middleware, servers, and storage, while businesses can simply streamline their maintenance and support.	SaaS provides numerous advantages to employees and companies by greatly reducing the time and money spent on tedious tasks such as installing, managing, and upgrading software. This frees up a lot of time for technical staff to spend on more pressing matters and issues within the organization.	• Managed from a central location • Hosted on a remote server • Accessible over the internet • FDLE not responsible for hardware or software updates
PaaS	Cloud platform services, or Platform as a Service (PaaS), provide cloud components to certain software while being used mainly for applications. PaaS provides a framework for developers that they can build upon and use to create customized	The delivery model of PaaS is similar to SaaS, except instead of delivering the software over the internet, PaaS provides a platform for software creation. This platform is delivered over the web, and gives developers the freedom to concentrate on building the software	• Makes the development and deployment of apps simple and cost-effective • Scalable • Highly available • Gives developers the ability to create customized apps without	• It is built on virtualization technology, meaning resources can easily be scaled up or down as your business changes • Provides a variety of services to assist with the development, testing, and

	applications. All servers, storage, and networking can be managed by the enterprise or a third-party provider while the developers can maintain management of the applications.	while still not having to worry about operating systems, software updates, storage, or infrastructure. PaaS allows businesses to design and create applications that are built into the PaaS with special software components. These applications, or middleware, are scalable and highly available as they take on certain cloud characteristics.	the headache of maintaining the software • Greatly reduces the amount of coding • Automates business policy • Allows easy migration to the hybrid model	deployment of apps • Numerous users can access the same development application • Web services and databases are integrated
IaaS	Cloud infrastructure services, known as Infrastructure as a Service (IaaS), are made of highly scalable and automated compute resources. IaaS is fully self-service for accessing and monitoring things like compute, networking, storage, and other services, and it allows businesses to purchase resources on-demand and as-needed instead of having to buy hardware outright.	IaaS delivers Cloud Computing infrastructure to organizations, including things such as servers, network, operating systems, and storage, through virtualization technology. These cloud servers are typically provided to the client through a dashboard or an API, and IaaS clients have complete control over the entire infrastructure. IaaS provides the same technologies and capabilities as a traditional data center without having to physically maintain or manage all of it. IaaS clients can still access their servers and storage directly, but it is all outsourced through a "virtual data center" in the cloud. As opposed to SaaS or PaaS, IaaS clients are responsible for managing aspects such as applications, runtime, OSes, middleware, and data. However, providers of the IaaS manage the servers, hard drives, networking, virtualization, and	• Is the most flexible cloud computing model • Easily allows for automated deployment of storage, networking, servers, and processing power • Hardware can be purchased based on consumption • Gives clients complete control of their infrastructure • Resources can be purchased as-needed • Is highly scalable	• Resources are available as a service • The cost varies depending on consumption • Services are highly scalable • Typically includes multiple users on a single piece of hardware • Provides complete control of the infrastructure to organizations • Dynamic and flexible

		storage. Some providers even offer more services outside of the virtualization layer, such as databases or message queuing.		



The On-Premises option in the graphic above assumes that FDLE has contracted for a Private Cloud buying hardware and system software components from a 3rd party Cloud provider. The other three options are hosted in the 3rd party vendor data centers. Typically, Applications built in this paradigm of deployment are based on SOA /REST Webservices technology. The client-server interaction is stateless. The client and server develop independently of each other. There could be a Layered approach to the design of the application. The frontend is typically built using Browser based JavaScript GUI or RIA frameworks. Except for SaaS, all the other modes allow for remote development and deployment.

In these Cloud options, FDLE would pay a monthly or quarterly fee to a Cloud service provider based on the IT resources used and management services offered by the provider. The point of "Cloud" is to consume IT resources as a commodity supplied by a provider under a service level agreement. This frees the customer from capital expenditures and moves the organization toward programmatic consumption of IT resources on-demand.

On-Premise Systems using Systems Integrators

Commercially available data analytics and law enforcement records management systems would be acquired through system integration firms. As with other large-scale information systems implemented at FDLE, dedicated project teams would be established to work these firms and coordinate activities of agency business and IT support staff.

This alternative would enable FDLE to work with IT firms that have the experience and skills necessary to implement these systems. The systems will be based on proven products that will include roadmaps for future development and improvement by the manufacturer.

This alternative requires FDLE to purchase and "own" the infrastructure (hardware and software) and FDLE assumes full responsibility for managing these resources.

In House Development

FDLE could redesign and develop a new records management system. The new RMS would run in the Linux operating system environment utilizing a JBoss application server. The system will be written in Java except with the latest application foundation framework which is referred to as Java Server Faces (JSF). The database will be Oracle. There will be Production, Test, and Development servers. The proposed system would utilize FDLE's approved standard security application called "Application Security Model (ASM)" to authenticate and authorize users. The proposed system would utilize FDLE's enterprise document management system (Alfresco). The current documents will be converted to the Alfresco data storage in order to optimize document management functionality. New documents will be added directly to Alfresco. Reports will also utilize a true reporting tool called Jasper Reports thereby making them more functional. Mobility will be available by utilizing the Primefaces JSF toolkit to create a mobile responsive user interface. Some components will be added to FDLE's public mobile application (yet to be developed) based on need. Workflow and process implementation would be with use of Open source frameworks.

FDLE does not have the experience or skill sets required to develop a data analytics solution.

This alternative requires FDLE to purchase and "own" the infrastructure (hardware and software) and FDLE assumes full responsibility for managing these resources.

2. **Rationale for Selection**

From August 2017 through November 2017, FDLE conducted market research that included reviewing product proposals and viewing demonstrations from fifteen IT firms. This research enabled FDLE to identify several viable products and suppliers and confirm that mature products are in use that meet the agency's requirements. While FDLE is continuing research, there are several key assumptions moving forward.

First, FDLE will acquire commercially available data analytics and law enforcement records management solutions.

Second, both systems will be hosted in FDLE's Data Center.

Third, FDLE will hire system integration firms to deliver and implement the data analytics and records management systems.

Fourth, FDLE will organize dedicated project teams to work with system integration firms to implement the new systems.

In today's technology landscape, there are many combinations of relevant technology stacks that can meet FDLE's requirements. The points in section C.1, describe different architectural environments in which the solution can be implemented. It also means that the solution can be achieved by adopting a mixture of those points. The final solutions will depend on the vendors selected to provide the software for the Analytics and RMS solutions.

3. **Recommended Technical Solution**

FDLE recommends acquiring commercially available data analytics and records management systems through system integrators.

The technical solution that will best meet the challenges and complexity of the expected benefits and goals, will be one that spans different aspects described in section C.1 and C.2. The RMS solution and Analytical solution will be affected by the technologies that support the following:

a) Web and Mobile technology stacks
b) J2EE standards that support Webservices (SOAP and REST)
c) GUI Frameworks that are JavaScript based e.g. Angular etc.
d) Artificial Intelligence Frameworks like tensorflow
e) RDBMS like Oracle
f) Resource Description Frameworks (RDF)
g) Big Data Analytics Frameworks

h) Content Indexing Frameworks
i) Document Scanning Frameworks
j) Lpr and Video pattern recognition frameworks like OpenCV
k) Cache Frameworks
l) Workflow Frameworks
m) Image Recognition Frameworks
n) Natural language processing frameworks
o) Collaborative messaging environment.
p) Content scanning technology
q) Social Media Analytical tools.
r) Adaptive Workflow management
s) Adaptive Case management.
t) Business Activity monitoring Frameworks.
u) Analysis Visualization Frameworks.

D. Proposed Solution Description

1. Summary Description of Proposed System

Data Analytics Platform - used by FDLE and other State law enforcement personnel assigned to Fusion Centers and Task Forces. This system will provide a range of new capabilities to analyze data from various sources and help produce finished intelligence.

Law Enforcement Records Management System - used by FDLE agents and analysts to manage investigative and intelligence cases, property and evidence, information about entities (persons, groups, and businesses), crime and trend analysis, statistical reporting, and related investigative processes.

Both systems will be made up of functional and implementable components based on architectural principles that are important and must-haves. The principles and components are categorized under the following topics.

- General Architecture Principles
- Data Analytics System: Principles
- Records Management System: Principles

➢ General Architecture Principles

The principles are stated as rules that the reference architecture must adhere to. A rationale is provided for each principle to explain why the principle might be desired. In addition, one or more implications are listed to provide some background on what might be involved in satisfying the principle. These architecture principles are not intended to represent an exhaustive list rather they offer guidance and food for thought when formulating a business analytics reference architecture. They have been applied to the formation of this reference architecture.

1. Data Quality

Statement	Analysis must be based on the highest quality data available, and the degree of data quality must be well known.
Rationale	Decisions should not be based on bad data; and if the best data available are of questionable quality, then consumers should understand this. Some data of relatively low quality may be provided in order to satisfy decision when a "best guess" is satisfactory. Users must not assume that all available data are of the same quality.

Implications

- Data cleansing must be performed as part of the provisioning process.
- Data quality indicators must be made available to consumers of information.
- The number of disparate data stores that constitute the Foundation Layer of the data warehouse should be minimal in order to avoid the potential of having inconsistent data between them.
- Where multiple dimensional data sources exist, common dimensions must be conformed and common facts must align.
- When operational data is used for analysis purposes, queries should take place on the master source of that data (as opposed to copies that may become stale or inaccurate).

2. Accommodate All Forms of Data

Statement The architecture must accommodate all forms of data that are of value to the business and in a manner that appropriately addresses business requirements.

Rationale Business analytics can be performed using data in many different forms, from various sources, and with varying degrees of structure. The architecture must be flexible enough to support different forms of data in a manner that best supports analysis while being efficient and cost-effective.

Implications

- The system must be able to capture, process, organize, and analyze all forms of data in order to meet existing business requirements and support discovery of new business opportunities.
- The system must impose the proper amount of structure to each form of data. Some forms may be highly structured, which requires a relatively high degree of up-front modelling, cleansing, and formatting. Other forms may have minimal structure, which requires greater effort on the consumer for interpretation and processing
- The system must be able to maintain relationships between different forms of data, and enable navigation between data of different structures.

3. Information Management of Separation of Concerns

Statement When there are different purposes for information that require different structures or management techniques, then each purpose should be handled separately in order to avoid unnecessary or unacceptable compromises.

Rationale While it is best to minimize the number of databases/repositories to manage, one shouldn't consolidate resources in such a way that compromises the important qualities that the business requires.

For example, the accuracy of information that is provisioned for the sake of historical record must not be compromised by the changes that occur within the organization from day to day or year to year. Usability of information should not suffer for the sake of historical integrity. Likewise, data types and feeds that have vastly different load characteristics and performance concerns may require separate management techniques.

Implications

- Historical data management and analytical data management should be treated as separate concerns with different requirements and priorities.
- Separation of historical and analytical data management does not necessitate duplication of data or data management systems, provided a single system can handle both concerns (and manage both structures) without unnecessary or unacceptable compromises.
- Some, but not all, information is managed by IT; some is often managed by end users. The architecture must support both management schemes and provide a means to properly integrate the two

4. Information Abstraction

Statement It must be possible to decouple the consumers of information from the sources of information such that changes required by consumers do not necessitate changes to data sources, and conversely, changes to data sources do not necessitate changes to consumers.

Rationale BA tools, applications, and requirements are bound to change over time. Likewise, data sources will come and go, especially when mergers, acquisitions, and IT changes occur. The architecture must be able to insulate one from the other in order to avoid a ripple effect across the system for each change that happens.

Implications

- The architecture must provide a virtualization layer to abstract consumers from providers, even if it is for a limited amount of time until organizational and IT restructuring can occur.
- The architecture should provide information and analysis services that offer well-defined capabilities through a well-defined interface without direct coupling to data sources.
- To support use cases where virtualization cannot be used, e.g. for performance reasons, the architecture must be versatile enough to adapt to changing consumer needs without causing a ripple effect across the system.
- The architecture should be able to present data in different ways without the need to deploy separate instances for each view.

5. Unified View of Information

Statement Wherever feasible, information must be presented as a single unified view rather than a collection of disparate schemas, even if multiple data sources are deployed.

Rationale Converging all data into a single database is often not possible, either for technical, business, or logistical reasons. Regardless, consumers should not need to navigate and make sense of duplicate or inconsistent schemas. A single unified view offers consistency and ease of use, and it best supports the creation of a common semantic data model.

Implications

- "A virtualization layer is required if multiple data sources are deployed. For example, when multiple data warehouses are deployed, or when data from operational systems are used in conjunction with data from a data warehouse.
- Dimensional data sources must maintain conformed dimensions.

6. Consistent and Complete Information

Statement The architecture must provide a consistent and complete view of information at all times.

Rationale It is important for the organization to understand and specify requirements pertaining to the availability of information, and that information is available as required. This includes the period of time when data loading processes are taking place. There should be no inconsistencies or missing data due to unfinished load processes.

Implications

- Consumers must have access to exactly one version (release) of information at a time. A new release must be made available immediately after the previous release is taken offline.
- The architecture may need to support queries while data loading is taking place without the complexity of lock-escalations or the chance of reading dirty data.
- A new version of information cannot be made available until it is fully ready (collected, cleansed, normalized, formatted, indexed, aggregated, etc.).

7. Information Confidentiality and Integrity

Statement Pervasiveness of analysis must not adversely affect the confidentiality and integrity of information.

Rationale Information security is important to an organization, and it should not be compromised by carelessly designed solutions.

Implications

- Access controls to BA must be designed in accordance with the organization's policies regarding information security.
- Data must be classified and access must be controlled. Data classifications should carry over from operational systems and apply to the same data that are available for BA.
- Sensitive data must not be exposed to delivery channels that lack proper access controls, e.g. hardcopy reports and desktop applications, without proper procedures or warnings.

8. Universal information Access

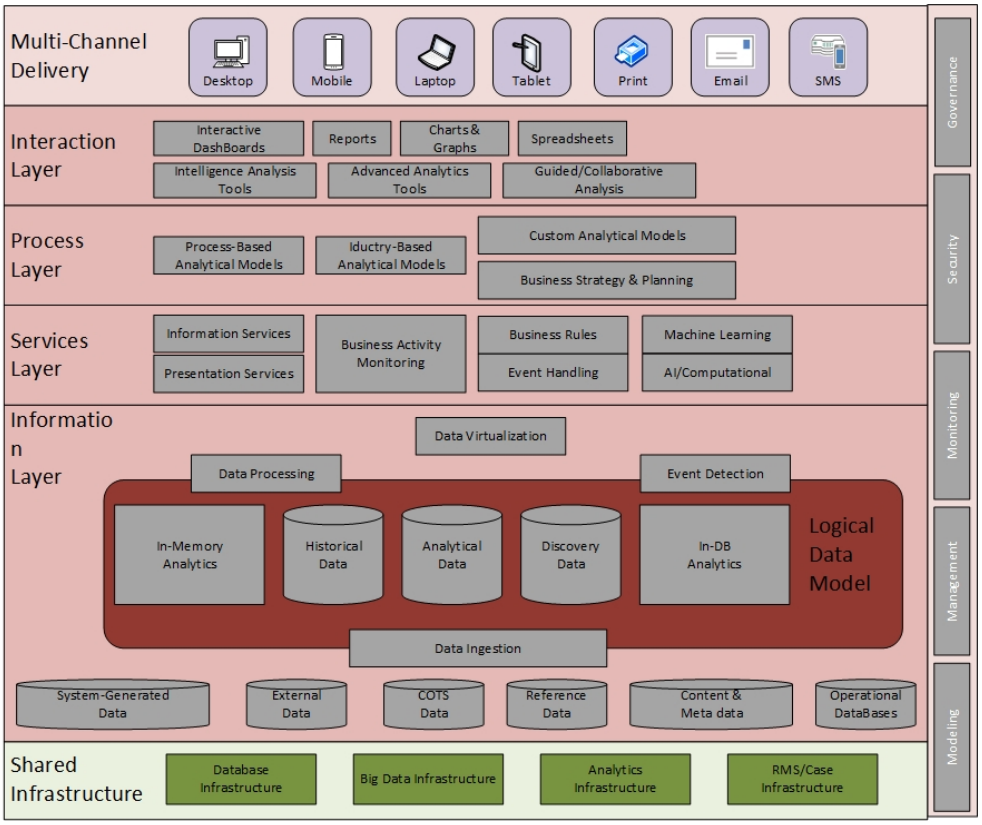
Statement The architecture must provide the ability to access information from any source that best provides the required insight.

Rationale Analysis should not be constrained by what can be gleaned from data in a warehouse. It must be able to connect into real-time operational systems, forecasting systems, BAM systems, Big Data stores, etc., as needed to satisfy intelligence needs.

Implications

- The virtualization layer, information services, and unified view of information must be extensive enough to accommodate these sources of information.
- Users must know when raw data - data that has not been cleansed -is being factored into an analysis.

Below is a diagram that represents the logical view of components that are going to be required to implement both the Data Analytics System and Records Management System, the above principles have been applied to the proposed structure



- **Data Analytics System: Principles**

1. Multi-Modal Architecture

Statement The architecture must provide the ability to work with different forms of data using query, manipulation, and rendering techniques that are appropriate for the task. It must also support various forms of analysis such as OLAP, statistical analysis, and sentiment analysis. In spite of this the number of data stores, architecture components, and tools should be minimized.

Rationale Care should be taken to avoid approaching each new form of data or analysis processing with a new set of tools and technologies, particularly if doing so produces new silos of data and analysis artifacts that cannot integrate easily and properly.

Implications

- Architecture components should be capable of handling different forms of data and different forms of analysis processing.
- A virtualization layer may be used to establish uniformity across data stores in the event that multiple stores are required to handle specialized forms of data.

2. Define & Share Analysis Semantics

Statement The architecture must provide the ability to define and share semantics with regards to BA.

Rationale Information can have different meaning to different people. Just as words are defined in a dictionary, information and analysis artifacts can be semantically defined in order to clarify their precise meaning. Doing so improves the accuracy of analysis and reduces guesswork.

Implications

- The architecture must provide a way to catalog and define BA artifacts.

- The BA catalog must support all well-known object types such as formulas, calculations, graphs, tables, charts, dashboards, and reports.
- The catalog must allow users to locate and share BA artifacts.
- The catalog must be protected by an access control mechanism that will support the integrity and availability requirements of shared artifacts.

3. Consistency of Analysis

Statement Descriptive forms of analysis must be consistent across the organization and over time.

Rationale BA is of little value if different people get different results to the same questions, or if answers to historical questions return different results over time.

Implications

- Information must be defined in a data dictionary so that its meaning is well understood.
- There should only be one master source of information and all queries should draw from it. (SVoT).
- Analysis artifacts must be semantically defined such that users can easily identify them and their meaning.
- A master catalog of analysis artifacts should be created and maintained such that users can draw conclusions from the same queries and calculations. (SVoQ).
- Some forms of analysis may intentionally be based on "raw" data, lacking the quality checks required to ensure consistency. These forms of analysis may be immune to this principle. End users must be aware of these instances and understand that the results of the analysis are not exact, but more of a current state indicator.

4. Integrated Analysis

Statement Information and analysis must be available to all users, processes, and applications across the organization that can benefit from it.

Rationale BA must not be thought of as only a tool for management reporting. The reach of decision-making analysis must expand to include all knowledge workers in the organization and the applications they use.

Implications

- Analysis should be integrated into the UIs, devices, and processes such that users gain insight where and when they need it.
- Analysis systems should be integrated with business processes in a way to automatically leverage the available information to optimize operational processes.
- BA should be available as a shared service to promote its use.
- The architecture must enable end users who are not familiar with data structures and BA tools to view information pertinent to their needs.

5. Insight to Action

Statement The system must provide the ability to initiate actions based on insight that is gained from analysis.

Rationale Analysis is most useful when it is actionable. It is important for an organization to link the results of analysis to actions that are taken. Otherwise, some of the value that BA provides will be lost when users fail to take appropriate action. This may be for a variety of reasons including a breakdown in communications, negligence, or lack of knowledge.

Implications

- The architecture must support proactive forms of analysis such as monitoring data streams, detecting events, periodically querying various forms of information, and performing analysis to detect particular conditions of concern.
- The system must provide the ability to alert users when events are detected, and to enable users to subscribe to different types of events.
- When situations occur that require user action, users should be given the insight and guided to the appropriate applications/processes/screens from which they can take action.
- Users must be able to drill down into information in order to perform analysis.

6. Sense and Response

An important aspect of the system is the ability to support the principle of Insight to Action. This principle closes the loop between what an organization knows, via intelligence systems, and what it does operationally. It promotes an active, real-time application of intelligence that allows the organization to adapt quickly to changing conditions.

7. Adaptive Workflow Collaboration

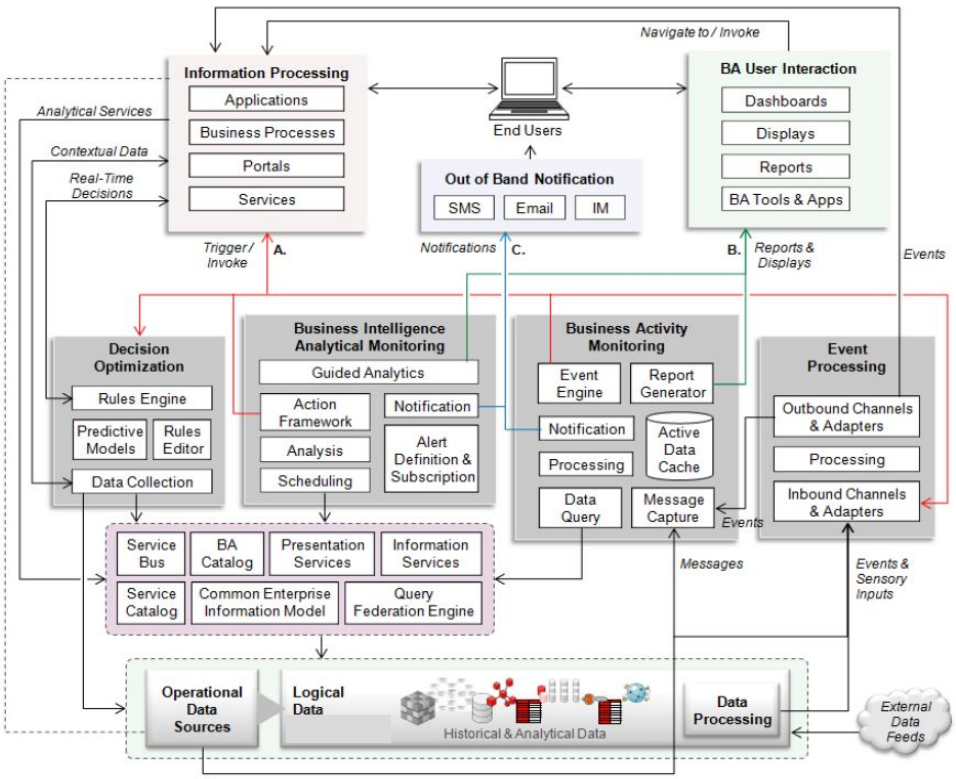
Rather than putting the responsibility for process design in the hands of a business analyst, who models and simulates (tests) the process before it is executed, AWC enables any knowledge worker to simultaneously create and act on the process - there is no separation of design and run time. There may be events and rules that guide the process, but AWC places decision-making where it belongs - in the hands of business people.
AWC should enable dynamic decision-making by providing the needed information at the right time or enabling the knowledge worker to quickly find it. AWC does this by surrounding a fundamental business transaction, opportunity or challenge (the Analysis Thread) with a set of capabilities that support effective and efficient decision-making and action-taking.

8. Machine learning and AI

Machine learning aims to gain knowledge from data. It also shares many of the same algorithms with data mining. However, the intent of machine learning is to produce a highly accurate model that can be used to react most appropriately to ongoing events. For example: learning moves to play chess, learning handwriting patterns to interpret written words, and learning buying habits to recommend products and services, inferring patterns of intelligence in FDLE data and so on.

Mining/machine learning of unstructured data is performed using the batch processing engine (Tensorflow/MapReduce) and a library of mining/machine learning algorithms. It interacts with the distributed file system in order to produce the results. As with the structured data, the results can be used by operational systems.

Based on all the above principles for Data Analytics the below architecture is being proposed



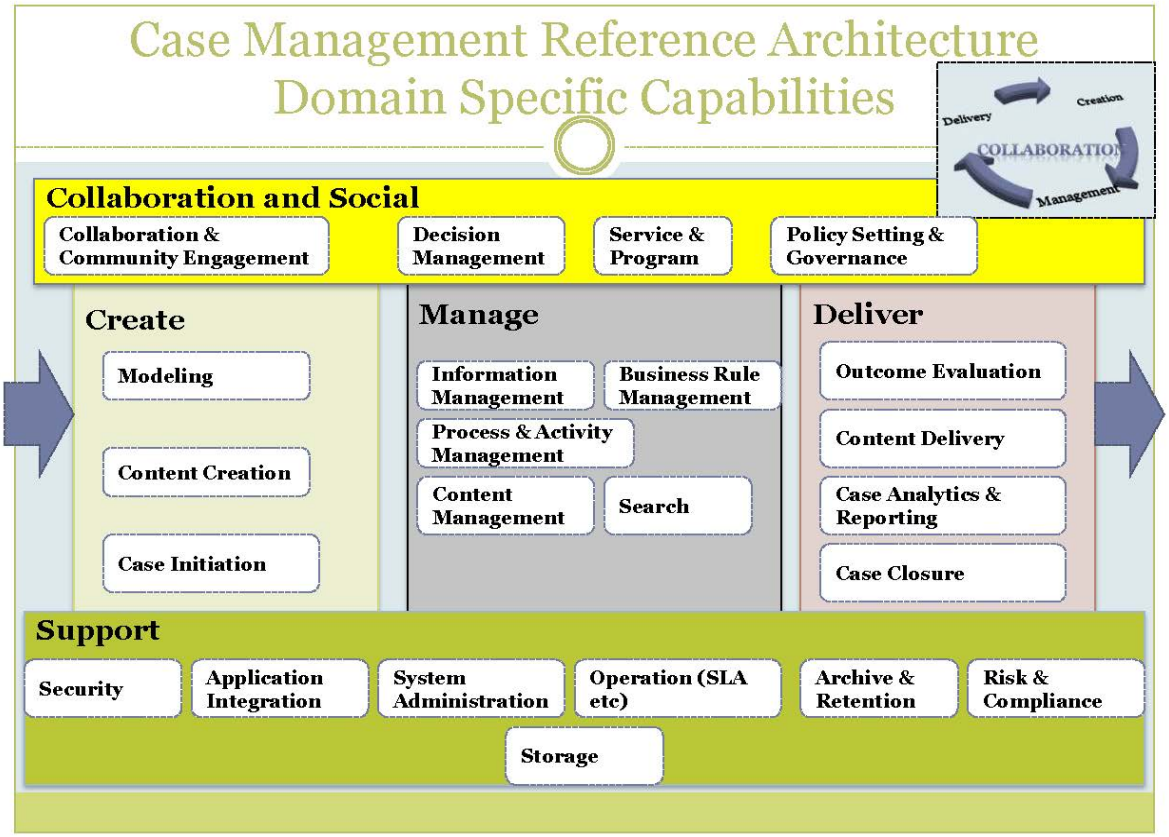
- **Records Management System: Principles**

9. Goal-oriented, Adaptive Processes

   The importance of goal-driven process by incorporating the use of milestones and rules to manage path and control progression, along with sub-goals – reusable sub-processes available in multiple applications and in a balanced scorecard. Collaborative activities performed on architecture data models and content. State/event chains of execution are used rather than rigid flowcharts. Adaptive technology enables model-based process definition and execution. It also collects 'actionable knowledge' based on process patterns created by business users. Actionable knowledge is not merely data, information or descriptive text but also knowing which action will lead from the current situation A to a desired situation B.

10. Consolidates 5 elements: Data, Activities, Content, Goals/Rules, GUI
11. Adapts the process in real time – Design-by-Doing
    Newly created and modified processes are immediately executable without the time-consuming step of translation of the process model into the executable process code, which leads to considerably increased efficiency. Running processes can be modified by non-technical business users ”on-the-fly“ at the process execution time to adapt to the requirements of the specific business situation as needed. The corresponding graphical BPMN notation with all the decision process steps and process modifications is automatically charted in the background, and can be subsequently saved as a template to be used in similar business situations. This approach is called "Design-by-Doing".
    The knowledge from execution is fed back into the process and case templates. This way, many non-cost-intensive process improvements are consequently and automatically implemented in accordance with the business strategy during normal day-to-day work, rather than through programmed, add-on functions or workarounds.

12. Embeds all decision-relevant data
13. Embedded Natural Language Rules (NLR) Engine
    Helps business users in execution but instead guides them by means of case definitions, monitored by business rules and measured by goal fulfillment. Rule entry should be a natural language (NL) capability without complex syntax that guides the user and offers both multilingual presentation and editing from a single-rule definition. NL rules have to be usable in the GUI as normal business user entry for queries also. That means that must be multi-lingual in presentation and editing from a single-rule definition. NL rules must be able to access any data model stored in the central metadata repository.
    When a business user fires a rule she just has created, the execution of that rule has to be verified against and secured with the user role/policy setting.
14. Add new actors and tasks, as needed
15. Actors receive recommendations by the User Trained Agent
16. Alternative decisions by actors are audited
17. No restriction in execution – calling Web services, human workflow with automated workflow, task execution/letter writing, job management, etc.
18. Inbound content classified, data extracted and validated at point of entry
19. Embedded security on the object and function levels
20. Artificial Intelligence Mentoring System
21. Digital Collaboration
22. Machine learning applied to case patterns.


Case Management Reference Architecture
Domain Specific Capabilities
Delivery
Creation
COLLABORATION
Management
Collaboration and Social
Collaboration & Community Engagement
Decision Management
Service & Program
Policy Setting & Governance
Create
Modeling
Content Creation
Case Initiation
Manage
Information Management
Business Rule Management
Process & Activity Management
Content Management
Search
Deliver
Outcome Evaluation
Content Delivery
Case Analytics & Reporting
Case Closure
Support
Security
Application Integration
System Administration
Operation (SLA etc)
Archive & Retention
Risk & Compliance
Storage

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

Analytics Implementation Costs

Cost Elements	Planned 2019-20	2020-21	2021-22	2022-23	Planned Total
State	$0	$0	$0	$0	$0
Contract	$730,000	$1,410,000	$1,410,000	$705,000	$4,255,000
Staff	$730,000	$1,410,000	$1,410,000	$705,000	$4,255,000
Hardware	$4,000	$594,000	$270,000	$0	$868,000
Custom SW	$0	$0	$0	$0	$0
Commercial SW	$6,000	$2,231,000	$3,350,000	$0	$5,587,000
Software	$6,000	$2,231,000	$3,350,000	$0	$5,587,000
Services	$245,000	$1,392,500	$2,072,500	$0	$3,710,000
Other	$15,000	$18,000	$18,000	$9,000	$60,000
Totals	**$1,000,000**	**$5,645,500**	**$7,120,500**	**$714,000**	**$14,480,000**

The annual recurring cost to maintain the Data Analytics system is estimated to be about $1.1 million.

RMS Implementation Costs

Category	Planned 2019-20	2020-21	2021-22	2022-23	Planned Total
State	$0	$0	$0	$0	$0
Contract	$0	$880,000	$880,000	$880,000	$2,640,000
Staff	$0	$880,000	$880,000	$880,000	$2,640,000
Hardware	$0	$5,000	$610,000	$0	$615,000
Custom SW	$0	$0	$0	$0	$0
Commercial SW	$0	$7,500	$1,625,000	$2,325,000	$3,957,500
Software	$0	$7,500	$1,625,000	$2,325,000	$3,957,500
Services	$0	$160,000	$905,000	$1,675,000	$2,740,000
Other	$0	$12,500	$12,500	$12,500	$37,500
Totals	**$0**	**$1,065,000**	**$4,032,500**	**$4,892,500**	**$9,990,000**

The annual recurring cost to maintain the Records Management System is estimated to be about $825,000.

Annual recurring costs to operate and maintain the AIM system (4 State FTE, 1 Contractor, and about $615,000) can be re-allocated to maintain the new Records Management System.

In addition to the resources identified above, additional staff will be needed after implementation of the Data Analytics System to operate a Data Analytics Team. Members of this team must have strong knowledge of data science, statistics, mathematics, and machine learning. They must understand complex algorithms and how they can be applied to law enforcement intelligence work. While specific position titles and head-count have not been determined, it is important that FDLE supplement its present law investigative and intelligence staff with Data Scientists, Data Engineers, and Analysts. This team will become a critical part of the FDLE's intelligence operations. More precise information regarding titles and FTE counts will be provided in the FY 2020-21 Schedule IV-B.

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

AIMS is the central records management system for FDLE that contains highly confidential information, such as the identities and contact information of confidential informants and undercover agents, details of active investigations and links to sensitive information. The system is accessed by over 800+ internal sworn and non-sworn FDLE members.

The legacy of the framework creates availability and usability concerns for the users as well as concern for public safety. One example of the concerns relate to being unable to quickly arrive at actionable intelligence. Another concern is the lack of tools that implement social media analysis features, which reduces the effectiveness of the analysis being conducted. There is a concern that the current state does not scale itself to the modern technological implementation required to respond to current day threats. Any system failures would be detrimental to the FDLE business operations that enforce the law. This system does not have the capability to allow single sign on into multiple databases, so that the investigator can do their work in a single workspace. Hence, the need to handle ever-growing sets of data, both in diversity and volume.

a) General Case Profiles

	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Yearly Total:	838,878	854,077	868,771	888,103	906,867	922,509	934,348	953,035	972,096	991,538
Percent Yearly Increase:		1.81%	1.72%	2.23%	2.11%	1.72%	1.28%	2%	2%	2%

b) Investigative reports

	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Yearly Total:	2,535,086	2,731,451	2,965,101	3,199,461	3,427,934	3,662,374	3,824,429	4,092,139	4,378,589	4,685,090
Percent Yearly Increase:		7.75%	8.55%	7.90%	7.14%	6.84%	4.42%	7%	7%	7%

c) Party Profiles

	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Yearly Total:	1,446,229	1,475,273	1,510,031	1,543,471	1,575,447	1,610,772	1,635,073	1,684,125	1,734,649	1,786,688
Percent Yearly Increase:		2.01%	2.36%	2.21%	2.07%	2.24%	1.51%	3%	3%	3%

d) Related Items (All Modules)

	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Yearly Total:	655,507	689,043	738,295	783,465	829,939	878,503	915,239	983,882	1,057,673	1,136,999
Percent Yearly Increase:		5.12%	7.15%	6.12%	5.93%	5.85%	4.18%	7.5%	7.5%	7.5%

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.

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

A. Project Scope

1. Data Analytics System

This project includes the acquisition of equipment, software, and services (through a systems integrator) to implement a Data Analytics Platform that will be used by FDLE and other State law enforcement personnel assigned to Fusion Centers and Task Forces. This system will provide a range of new capabilities to analyze data from various sources and help produce finished intelligence.

A full-time Project Manager and team will be hired to run the project and help FDLE transition to the new system. This team will work under the direction of a steering committee and with the support of FDLE investigative/intelligence, administration and IT staff.

2. Records Management System

This project includes the acquisition of equipment, software, and services (through a systems integrator) to implement an integrated system that will be used FDLE agents and analysts to manage investigative and intelligence cases, property and evidence, information about entities (persons, groups, and businesses), crime and trend analysis, statistical reporting, and related investigative processes. This new system will replace the current RMS known as the Automated Investigative Management (AIM) system.

A full-time Project Manager and team will be hired to run the project and help FDLE transition to the new system. This team will work under the direction of a steering committee and with the support of FDLE investigative/intelligence, administration and IT staff.

3. Organizational Change

Intelligence-Led Policing concepts and practices along with the implementation of the Data Analytics and Records Management Systems, will instigate change in the agency. However, the benefits of these initiatives will only be realized if there is a focused, organized strategy for introducing and managing change. A task force will be organized within FDLE to help identify, champion, and implement this change.

Members of the task force will come from within FDLE, supplemented with consulting services as needed.

B. Project Phasing Plan

FDLE is working on business process analysis, market research, and requirements analysis during the 2018-19 fiscal year. If the 2019 Legislature authorizes the Data Analytics System Project, FDLE will organize the Program Steering Committee and project support staff.

During the 2019-20 fiscal year, FDLE will organize the Data Analytics System Project team and conduct a procurement process for the Data Analytics System. Implementation of the Data Analytics System is expected to take about 24 months to complete.

During the 2020-21 fiscal year, FDLE will organize the Records Management System Project team and conduct a procurement process for the new Records Management System. Implementation of the Records Management System is expected to take about 24 months to complete.

C. Baseline Schedule

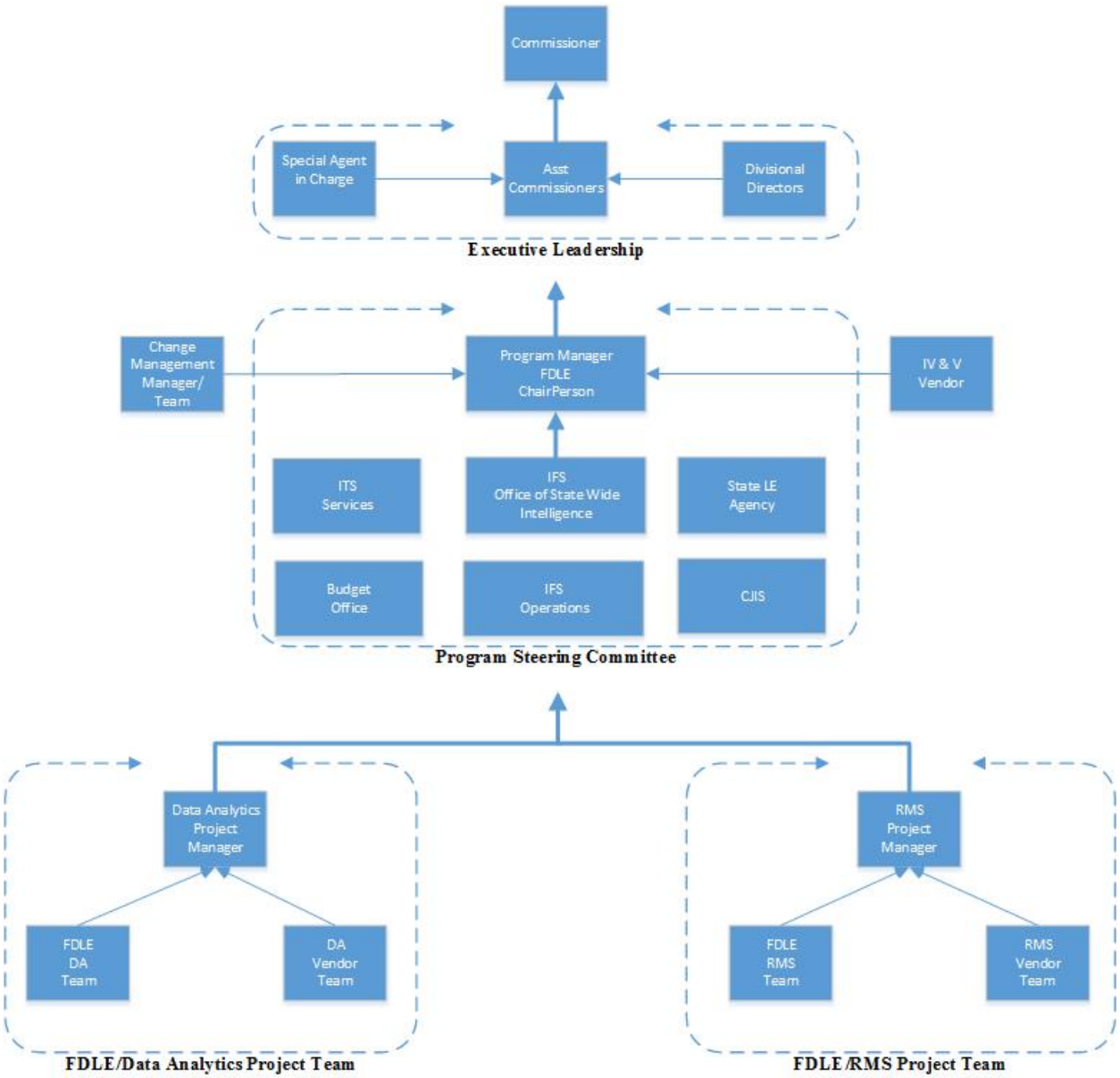
Fiscal Year	Activity / Milestone	Planned Completion
2018-19	Request Authorization / Funding	October 2018
	Business Process Analysis	March 2019
	Market Research	March 2019
	Obtain Authorization	May 2019
	Requirements Analysis	June 2019
	Planning	June 2019
	Organize Program Staff	June 2019
2019-20	Hire Data Analytics Project Staff	July 2019
	Prepare Data Analytics System Procurement	September 2019
	Request Authorization / Funding	September 2019
	Prepare Organizational Change Management Plan	December 2019
	Obtain Authorization	March 2020
	Data Analytics System Procurement Process	June 2020
	Establish Data Analytics System Contract	June 2020
2020-21	Start Data Analytics System Work	July 2020
	Implement Data Analytics System	
	Hire Records Mgt. System (RMS) Project Staff	July 2020
	Prepare RMS Procurement	August 2020
	RMS Procurement Process	June 2021

Fiscal Year	Activity / Milestone	Planned Completion
	Establish RMS Contract	June 2021
2021-22	Start RMS Work	July 2021
	Implement RMS	
	Implement Data Analytics System	
	Complete Data Analytics System	June 2022
2022-23	Implement RMS	
	Complete Records Management System	June 2023

D. Project Organization

Governance	Roles and Responsibilities
FDLE Executive Management	• Appoint members of the Program Steering Committee and the Committee Chair • Obtain Legislative approvals and funding • Review and approve proposed changes to scope, cost, or schedules • Provide management direction on issues that cannot be resolved by the Program Steering Committee
Program Steering Committee (PSC)	• Assess project health and provide regular reports to Executive Management • Approve recommendations regarding deliverables and authorize payments • Review and recommend proposed changes to scope, cost, or schedules • Provide management direction to and address issues submitted by Project Managers
Project Managers (PM) and Teams	• Manage project management plans and subsidiary documents • Oversee and manages execution of the project • Assign, prioritize, manage, and review work assignments • Oversee system integration firms and other IT service providers associated with project • Monitor project activities • Manage project risks and issues • Report to the Program Steering Committee regarding status, progress, risk mitigation, and issues • Inspect deliverables and makes recommendations for acceptance or rejection • Collaborate with business units and IT support to ensure a smooth transition from implementation to operations and maintenance.

Project Management Office (PMO)	• Coordinate the hiring and placement of contract project staff • Provide project management support to Project Managers and staff, including standards, best practices, tools, and templates • Serve as the agency point of contact with the Agency for State Technology • Serve as the agency point of contact for independent verification and validation (IV&V)



1. Scope Management

Scope management ensures that a project includes all work required, and only the work required, to complete a project successfully. This involves but is not limited to: managing functional and non-functional requirements, monitoring contract deliverables and payments, and tracking the achievement of project objectives.

Only FDLE's Project Managers may submit requests to modify scope of a project. Such a request will be documented in an FDLE-approved Project Change Request. The Project Change Request will be presented by the Project Manager to the Program Steering Committee.

If a proposed change alters requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the Chair of the Program Steering Committee will consult with Executive Management. FDLE Executive Management will determine if the proposed change should be approved. See Procurement Management procedure for steps associated with approved change requests.

If the proposed change does not alter requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the Program Steering Committee will determine if the proposed change should be approved.

Members of the Program Steering Committee will signify approval or disapproval of a proposed scope change by signing the Project Change Request form.

2. Schedule Management

The schedule included in this document is a preliminary schedule based on number of assumptions. Through the system procurement process associated with each project, more definitive schedules will be developed. After contracts for each system are established, projects schedules will be evaluated and refined. After contracts have been established, a baseline schedule will be set that is agreed to by all involved parties.

Once baselined schedules are set, Project Managers for each project will be responsible monitoring activities and ensuring that schedules are updated. Project schedules will be updated bi-weekly based on reports from assigned staff. Progress is evaluated against the baselined schedule. Project Managers will analyze the schedule and report to the Program Steering Committee.

Key metrics from the updated schedule will be included in monthly and quarterly status reports.

As described in Scope Management, only FDLE's Project Managers may submit requests to modify critical milestones, phase end dates, or completion dates associated with projects. Such a request will be documented in an FDLE-approved Project Change Request. The Project Change Request will be presented by the Project Manager to the Program Steering Committee for review.

3. Cost Management

Cost management ensures that project costs are appropriately planned, estimated, budgeted, and controlled so that the project can be completed within the approved budget.

The cost estimates included in this document is a budgetary estimates prepared for the purpose of submitting a budget request. Through the system procurement process associated with each project, definitive cost estimates will be developed. After contracts for each system are established, project budgets will be evaluated and refined. Similar to the practice in schedule management, FDLE will establish baselined budgets for each project.

Once baselined project budgets are set, Project Managers will be responsible for operating within those budgets. Each fiscal year, a spend plan will prepared to capture planned versus actual costs. Spend plans will be updated monthly. Updated spend plans will be included in monthly and quarterly status reports.

As described in Scope and Schedule Management, FDLE Project Managers may submit requests to modify costs associated with projects. Such a request will be documented in an FDLE-approved Project Change Request. The Project Change Request will be presented by the Project Manager to the Program Steering Committee for review.

4. Change Management

During the project lifecycle, changes are expected, and may be identified or requested by individuals involved in the project. Requests for change will initiate the Project Change Request (PCR) process.

All change requests will be submitted to Project Managers in writing. Project Managers, with the appropriate project team members and/or other FDLE members, will assess the change request and analyze the potential impact to the approved schedule, budget, scope and deliverables.

Change Requests that Project Managers believe are valid will be submitted to the Program Steering Committee for review.

Project Managers are responsible for ensuring that Change Requests are recorded in a Change Management Log. Changes that require re-planning the Schedule and/or the Budget may also result in re-baselining those respective plans. Changes to the project, and subsequent adjustments to the Schedule and Budget are all reported in the Monthly Status Report.

5. Issue Management

The PM is responsible for managing project issues. When an issue is identified, it is logged in the Issues Log. On a periodic basis throughout the project, the PM and project team will conduct a review of issues. This review will confirm the description of the issue, the owner, the status and priority of the issue. When appropriate, Issues are assigned due dates. The PM monitors issues, actively works to resolve issues so that they do not have a negative impact on the project, and reports on issues in the Monthly Status Report.

6. Procurement Management

The IT Services Administration Section located in FDLE's Office of IT Services is responsible for coordinating the procurement of products and services needed for the project. Project Managers or their designees will submit requests to procure products and services to the ITS Administration Section. Requests must include an Information Resource Request (IRR) form. The IRR form is then submitted to FDLE's Chief Information Officer for review and approval. After CIO approval, ITS Administration staff coordinates the acquisition of approved products and services following FDLE Policy and State of Florida Contract and Procurement rules and laws.

All procurement artifacts (IRRs, quotes, copies of Purchase Orders, Contracts, deliverable acceptance documents, etc.) are maintained and stored with ITS Administration.

7. Communication Management

Project Managers are responsible for planning project-related communications to ensure that the project team, stakeholders and customers are kept informed of project status and critical information on a timely basis. This plan serves as a guide for communications throughout the life of the project and will be updated as communication needs change.

Topics Addressed in the Communication Management Plan:

- Target Audience
- Purpose
- Method of Delivery
- Schedule for Key Events
- Frequency
- Responsibility

The communications plan includes, but is not limited to meetings and meeting summaries, project governance meetings, stakeholder communications and project status reports. Stakeholder management will incorporate into the Communications Plan.

E. Quality Assurance

Quality is ultimately defined by those who use a new system or service and represents how close the end product comes to meeting their requirements and expectations. Quality assurance focuses on preventative steps used to manage and deliver a solution and to identify and eliminate variances in deliverables from documented requirements and quality targets.

Project Managers are responsible for developing and maintaining a Quality Plan. The Quality Plan will document major deliverables of the project, completeness and correctness criteria, quality control activities and quality assurance activities.

Topics Addressed in the Quality Plan:

Quality Control activities associated with project deliverables:

- Document Deliverables
- Hardware and Software Deliverables
- Service Deliverables

Quality Assurance activities:

- QA processes (Requirements Traceability, Testing, Data Migration, etc.)
- Responsibility for QA processes

Metrics:

- User Satisfaction
- IT Satisfaction
- Vendor Satisfaction
- Changes in Scope
- Changes to Schedule
- Changes in Cost
- Number and Type of Issues
- Number and Type of Defects
- Preparedness of IFS to assume production responsibilities
- Preparedness of IT to assume production responsibilities
- Solution "Fitness for Use"

The Quality Plan is a subsidiary plan within FDLE's Project Management Plan.

F. Risk Management

The Risk & Complexity Assessment provided by the Agency for State Technology is conducted at three different stage-gates throughout the first phases of the project, and then again anytime a significant change is introduced and accepted into the project. This assessment is conducted by the PM, Project Sponsor or designee, and PMO at a minimum; other participants are permitted as well. A copy of the Risk & Complexity Assessment with the scores is stored in the centralized project repository. The Assessment produces the Category assigned to the project.

The PM is the lead in managing risks, which includes risk identification, risk analysis, prioritization or level of importance, and mitigation strategies or risk response. At the beginning of the Project, the PM will conduct an exercise with the project team to identify any known risks and document those in the Risk Register. As the project progresses, any risks that are identified are added to the Risk Register.

Risks are evaluated for Probability and Impact, and are prioritized based on the resulting score. High priority risks are monitored and managed with a high degree of attention. Mitigation plans are determined and documented in the Risk Register.

When a risk is added to the Risk Register and on a periodic basis throughout the project, the PM and project team will conduct a review of risks. This review will confirm the description of the risk, the owner, a mitigation strategy, the probability, impact, and criticality of the risk.

Risks are monitored by the PM; new risks and updates to Risk data are reported in the Monthly Status Report.

G. Implementation

1. Organizational Change Management

FDLE will form a task force under the leadership of an FDLE manager to be appointed by FDLE Executive Management. The Task Force Manager will report to the Chair of the Program Steering Committee and work with the Project Managers responsible for the Data Analytics Solution and new RMS. The Team will prepare an Organizational Change Management Plan that will be used to guide how FDLE members learn new behaviors and skills due to the introduction of new tools and business processes.

This is a process that starts at the beginning of the first project, operates continuously throughout project execution, and continues after the project is completed.

2. System Implementation Plans

System implementation plans will be prepared for each system. These plans will include information required to move systems into development and testing to full production. Plans will include operational readiness assessment, types (subject, format, content) of communications required during the implementation process, staffing requirements, step-by-step instructions for IT staff, implementation schedule, roll-back procedures, and post-implementation tasks.

3. Operations & Maintenance Plans

Operations and maintenance plans will be prepared for each system. These plans will include information required to maintain the systems in good working order. Plans will include an overview of the system, system design and components, operating instructions, maintenance procedures, disaster recovery capabilities, references to manuals and supporting documentation.

4. Data Analytics Strategy

FDLE and law enforcement partners will develop an analytics strategy that addresses how advancements in analytics and business intelligence technology will be used to counter criminal and terrorist activities. This includes access to expanding sources of data, application of artificial intelligence and machine learning, and using increasingly sophisticated data analytics tools and techniques. This strategy will help identify new roles, planning processes, data governance, and initiatives that continuously improve law enforcement intelligence capabilities.

VIII. Appendices

A. Cost Benefit Analysis Worksheets

B. Current System Operations & Maintenance Costs

C. Project Cost Estimates

D. Risk Assessment Worksheets

Appendix A—Cost Benefit Analysis Forms

CBAForm 1 - Net Tangible Benefits | **Agency** FDLE | **Project** Data Analytics

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 2019-20			FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24		
	(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	$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)	$0	$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	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	$1,100,000	$1,100,000	$0	$1,100,000	$1,100,000
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	$1,100,000	$1,100,000	$0	$1,100,000	$1,100,000
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	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$1,100,000	$1,100,000	$0	$1,100,000	$1,100,000
F. Additional Tangible Benefits:		$0			$0			$0			$0			$0	
F-1. Specify		$0			$0			$0			$0			$0	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		$0			$0			$0			($1,100,000)			($1,100,000)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☐	Confidence Level	
Order of Magnitude	☑	Confidence Level	25%
Placeholder	☐	Confidence Level	

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2019-20

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	FDLE	Data Analytics			CBAForm 2A Baseline Project Budget															
2	*Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable.* ***Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.***				FY2019-20			FY2020-21			FY2021-22			FY2022-23			FY2023-24			TOTAL
3				$ -	$ 1,000,000			$ 5,645,500			$ 7,120,500			$ 714,000			$ -			$ 14,480,000
4	Item Description *(remove guidelines and annotate entries here)*	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
5	Costs for all state employees working on the project.	FTE	S&B	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	$ -	0.00		$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	$ -	4.00	$ 745,000	$ -	8.00	$ 1,428,000	$ -	8.00	$ 1,428,000	$ -	8.00	$ 714,000	$ -	0.00	$ -	$ -	$ 4,315,000
8	Project management personnel and related deliverables.	Project Management	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ 480,000	$ -	0.00	$ 480,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 960,000
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	$ -	0.00	$ 30,000	$ -	0.00	$ 120,000	$ -	0.00	$ 90,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 240,000
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
12	Hardware purchases not included in data center services.	Hardware	OCO	$ -		$ 4,000	$ -		$ 594,000	$ -		$ 270,000	$ -		$ -	$ -		$ -	$ -	$ 868,000
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	$ -		$ 6,000	$ -		$ 2,231,000	$ -		$ 3,350,000	$ -		$ -	$ -		$ -	$ -	$ 5,587,000
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	$ -		$ -	$ -		$ 577,500	$ -		$ 1,072,500	$ -		$ -	$ -		$ -	$ -	$ 1,650,000
15	All first-time training costs associated with the project.	Training	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
17	Other contracted services not included in other categories.	Other Services	Contracted Services	$ -		$ 215,000	$ -		$ 215,000	$ -		$ 430,000	$ -		$ -	$ -		$ -	$ -	$ 860,000
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
20	Other project expenses not included in other categories.	Other Expenses	Expense	$ -			$ -			$ -			$ -		$ -	$ -		$ -	$ -	$ -
21		Total		$ -	4.00	$ 1,000,000	$ -	8.00	$ 5,645,500	$ -	8.00	$ 7,120,500	$ -	8.00	$ 714,000	$ -	0.00	$ -	$ -	$ 14,480,000

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2019-20

CBAForm 2 - Project Cost Analysis

Agency: FDLE Project: Data Analytics

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
TOTAL PROJECT COSTS (*)	$1,000,000	$5,645,500	$7,120,500	$714,000	$0	$14,480,000
CUMULATIVE PROJECT COSTS (includes Current & Previous Years' Project-Related Costs)	$1,000,000	$6,645,500	$13,766,000	$14,480,000	$14,480,000	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
General Revenue	$1,000,000	$5,645,500	$7,120,500	$714,000	$0	$14,480,000
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$1,000,000	$5,645,500	$7,120,500	$714,000	$0	$14,480,000
CUMULATIVE INVESTMENT	$1,000,000	$6,645,500	$13,766,000	$14,480,000	$14,480,000	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous		Confidence Level	
Order of Magnitude	x	Confidence Level	25%
Placeholder		Confidence Level	

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2019-20

CBAForm 3 - Project Investment Summary

Agency	FDLE	Project	Data Analytics

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL FOR ALL YEARS
Project Cost	$1,000,000	$5,645,500	$7,120,500	$714,000	$0	$14,480,000
Net Tangible Benefits	$0	$0	$0	($1,100,000)	($1,100,000)	($2,200,000)
Return on Investment	($1,000,000)	($5,645,500)	($7,120,500)	($1,814,000)	($1,100,000)	($16,680,000)
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)	($15,281,767)	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 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix A—Cost Benefit Analysis Forms (continued)

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2019-20

CBAForm 1 - Net Tangible Benefits

Agency: FDLE Project: RMS

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 2019-20			FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24		
	(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	$498,526	$0	$498,526	$498,526	$0	$498,526	$498,526	$0	$498,526	$498,526	$0	$498,526	$498,526	$0	$498,526
A.b Total Staff	9.00	0.00	9.00	9.00	0.00	9.00	9.00	0.00	9.00	9.00	0.00	9.00	9.00	0.00	9.00
A-1.a. State FTEs (Salaries & Benefits)	$330,526	$0	$330,526	$330,526	$0	$330,526	$330,526	$0	$330,526	$330,526	$0	$330,526	$330,526	$0	$330,526
A-1.b. State FTEs (#)	8.00	0.00	8.00	8.00	0.00	8.00	8.00	0.00	8.00	8.00	0.00	8.00	8.00	0.00	8.00
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)	$168,000	$0	$168,000	$168,000	$0	$168,000	$168,000	$0	$168,000	$168,000	$0	$168,000	$168,000	$0	$168,000
A-3.b. Staff Augmentation (# of Contractors)	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00
B. Application Maintenance Costs	$132,600	$0	$132,600	$98,500	$0	$98,500	$132,600	$0	$132,600	$98,500	$0	$98,500	$98,500	$753,000	$851,500
B-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-2. Hardware	$60,600	$0	$60,600	$26,500	$0	$26,500	$60,600	$0	$60,600	$26,500	$0	$26,500	$26,500	$0	$26,500
B-3. Software	$72,000	$0	$72,000	$72,000	$0	$72,000	$72,000	$0	$72,000	$72,000	$0	$72,000	$72,000	$753,000	$825,000
B-4. Other Specify	$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	$17,886	$0	$17,886	$17,886	$0	$17,886	$17,886	$0	$17,886	$17,866	$0	$17,866	$17,886	$8,130	$26,016
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 Staff Expenses/HR Svc Fees	$17,886	$0	$17,886	$17,886	$0	$17,886	$17,886	$0	$17,886	$17,866	$0	$17,866	$17,886	$8,130	$26,016
Total of Recurring Operational Costs	$649,012	$0	$649,012	$614,912	$0	$614,912	$649,012	$0	$649,012	$614,892	$0	$614,892	$614,912	$761,130	$1,376,042
F. Additional Tangible Benefits:		$0			$0			$0			$0			$0	
F-1. Specify		$0			$0			$0			$0			$0	
F-2. Specify		$0			$0			$0			$0			$0	
F-3. Specify		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		$0			$0			$0			$0			($761,130)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☐	Confidence Level	
Order of Magnitude	☑	Confidence Level	25%
Placeholder	☐	Confidence Level	

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2019-20

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	FDLE	RMS			CBAForm 2A Baseline Project Budget															
2	*Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable.* ***Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.***				FY2019-20			FY2020-21			FY2021-22			FY2022-23			FY2023-24			TOTAL
3				$ -	$ -			$ 1,065,000			$ 4,032,500			$ 4,892,500			$ -			$ 9,990,000
4	**Item Description** *(remove guidelines and annotate entries here)*	**Project Cost Element**	**Appropriation Category**	**Current & Previous Years Project-Related Cost**	**YR 1 #**	**YR 1 LBR**	**YR 1 Base Budget**	**YR 2 #**	**YR 2 LBR**	**YR 2 Base Budget**	**YR 3 #**	**YR 3 LBR**	**YR 3 Base Budget**	**YR 4 #**	**YR 4 LBR**	**YR 4 Base Budget**	**YR 5 #**	**YR 5 LBR**	**YR 5 Base Budget**	**TOTAL**
5	Costs for all state employees working on the project.	**FTE**	S&B	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
6	Costs for all OPS employees working on the project.	**OPS**	OPS	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
7	Staffing costs for personnel using Time & Expense.	**Staff Augmentation**	Contracted Services	$ -	0.00	$ -	$ -	5.00	$ 892,500	$ -	5.00	$ 892,500	$ -	5.00	$ 892,500	$ -	0.00	$ -	$ -	$ 2,677,500
8	Project management personnel and related deliverables.	**Project Management**	Contracted Services	$ -	0.00	$ -	$ -	0.00		$ -	0.00	$ 360,000	$ -	0.00	$ 360,000	$ -	0.00		$ -	$ 720,000
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	**Project Oversight**	Contracted Services	$ -	0.00		$ -	0.00	$ 20,000	$ -	0.00	$ 80,000	$ -	0.00	$ 60,000	$ -	0.00	$ -	$ -	$ 160,000
10	Staffing costs for all professional services not included in other categories.	**Consultants/Contractors**	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
11	Separate requirements analysis and feasibility study procurements.	**Project Planning/Analysis**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
12	Hardware purchases not included in data center services.	**Hardware**	OCO	$ -		$ -	$ -		$ 5,000	$ -		$ 610,000	$ -		$ -	$ -		$ -	$ -	$ 615,000
13	Commercial software purchases and licensing costs.	**Commercial Software**	Contracted Services	$ -		$ -	$ -		$ 7,500	$ -		$ 1,625,000	$ -		$ 2,325,000	$ -		$ -	$ -	$ 3,957,500
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	**Project Deliverables**	Contracted Services	$ -		$ -	$ -			$ -		$ 325,000	$ -		$ 975,000	$ -		$ -	$ -	$ 1,300,000
15	All first-time training costs associated with the project.	**Training**	Contracted Services	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	**Data Center Services - One Time Costs**	Data Center Category	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
17	Other contracted services not included in other categories.	**Other Services**	Contracted Services	$ -		$ -	$ -		$ 140,000	$ -		$ 140,000	$ -		$ 280,000	$ -		$ -	$ -	$ 560,000
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	**Equipment**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
19	Include costs associated with leasing space for project personnel.	**Leased Space**	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
20	Other project expenses not included in other categories.	**Other Expenses**	Expense	$ -			$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
21		**Total**		$ -	0.00	$ -	$ -	5.00	$ 1,065,000	$ -	5.00	$ 4,032,500	$ -	5.00	$ 4,892,500	$ -	0.00	$ -	$ -	$ 9,990,000

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2019-20

CBAForm 2 - Project Cost Analysis

Agency FDLE Project RMS

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
TOTAL PROJECT COSTS (*)	$0	$1,065,000	$4,032,500	$4,892,500	$0	$9,990,000
CUMULATIVE PROJECT COSTS *(includes Current & Previous Years' Project-Related Costs)*	$0	$1,065,000	$5,097,500	$9,990,000	$9,990,000	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
General Revenue	$0	$1,065,000	$4,032,500	$4,892,500	$0	$9,990,000
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants ☐	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$0	$1,065,000	$4,032,500	$4,892,500	$0	$9,990,000
CUMULATIVE INVESTMENT	$0	$1,065,000	$5,097,500	$9,990,000	$9,990,000	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous		Confidence Level	
Order of Magnitude	x	Confidence Level	25%
Placeholder		Confidence Level	

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2019-20

CBAForm 3 - Project Investment Summary

Agency	FDLE	Project	RMS

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL FOR ALL YEARS
Project Cost	$0	$1,065,000	$4,032,500	$4,892,500	$0	$9,990,000
Net Tangible Benefits	$0	$0	$0	$0	($761,130)	($761,130)
Return on Investment	$0	($1,065,000)	($4,032,500)	($4,892,500)	($761,130)	($10,751,130)
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)	($9,424,964)	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 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix B—Current System Cost

Category	Item Description	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	Planned Total
OPERATIONS & MAINTENANCE								
Staff								
	State							
	IT Services							
	Sys Prog Admin	$25,425	$25,425	$25,425	$25,425	$25,425	$25,425	
	DP Mgr	$41,500	$41,500	$41,500	$41,500	$41,500	$41,500	
	Sys Prog Consultant	$90,100	$90,100	$90,100	$90,100	$90,100	$90,100	
	DP Mgr	$26,250	$26,250	$26,250	$26,250	$26,250	$26,250	
	OS Programmer III	$40,800	$40,800	$40,800	$40,800	$40,800	$40,800	
	Sr. DB Analyst	$21,500	$21,500	$21,500	$21,500	$21,500	$21,500	
	IFS							
	GA II	$66,051	$66,051	$66,051	$66,051	$66,051	$66,051	
	SMAS	$18,900	$18,900	$18,900	$18,900	$18,900	$18,900	
	OPS							
	Contract							
	Systems Analyst	$168,000	$168,000	$168,000	$168,000	$168,000	$168,000	
	Subtotal - Staff	**$498,526**	**$498,526**	**$498,526**	**$498,526**	**$498,526**	**$498,526**	**$2,991,154**
Hardware								
	Servers	$0	$34,100	$0	$34,100	$0	$0	
	Storage Area Network	$25,000	$25,000	$25,000	$25,000	$25,000	$25,000	
	Load Balancers	$1,500	$1,500	$1,500	$1,500	$1,500	$1,500	
	Subtotal - Hardware	**$26,500**	**$60,600**	**$26,500**	**$60,600**	**$26,500**	**$26,500**	**$227,200**

Category	Item Description	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	Planned Total
OPERATIONS & MAINTENANCE								
Software								
	RH Enterprise Linux	$8,000	$8,000	$8,000	$8,000	$8,000	$8,000	
	JBOSS	$6,000	$6,000	$6,000	$6,000	$6,000	$6,000	
	Oracle Maintenance	$50,000	$50,000	$50,000	$50,000	$50,000	$50,000	
	CommVault Maintenance	$8,000	$8,000	$8,000	$8,000	$8,000	$8,000	
	Subtotal - Software	**$72,000**	**$72,000**	**$72,000**	**$72,000**	**$72,000**	**$72,000**	**$432,000**
Services								
	Subtotal - Services	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Other								
	Std Expenses for Staff	$16,981	$16,981	$16,981	$16,981	$16,981	$16,981	
	HR Svc fee for Staff	$905	$905	$905	$905	$905	$905	
	Subtotal - Other	**$17,886**	**$17,886**	**$17,886**	**$17,886**	**$17,886**	**$17,886**	**$107,316**
Totals - Ops & Maintenance		**$614,912**	**$649,012**	**$614,912**	**$649,012**	**$614,912**	**$614,912**	**$3,757,670**

Appendix C—Project Cost Estimates

FDLE
Project Cost Estimate
Title: Data Analytics System
Estimate Type: Budget (-10% to +25%)
Updated: 9/28/2018

6/2020 Sign Contract

6/2022 Project Completed

		Planned					
Category	**Resource Description**	**2019-20**	**2020-21**	**2021-22**	**2022-23**	**2023-24**	**Planned Total**
DEVELOPMENT / IMPLEMENTATION							
Staff							
	State						
	Program Manager		To be determined				
	Subtotal - State Staff	$0	$0	$0	$0	$0	
	Contract						
	Project Mgr	$200,000	$200,000	$200,000	$100,000		
	Data Architect	$190,000	$190,000	$190,000	$95,000		
	Business Analyst	$170,000	$170,000	$170,000	$85,000		
	Data Analyst	$170,000	$170,000	$170,000	$85,000		
	Business Analyst		$170,000	$170,000	$85,000		
	Systems Analyst		$170,000	$170,000	$85,000		
	Data Analyst		$170,000	$170,000	$85,000		
	QA Analyst		$170,000	$170,000	$85,000		
	Subtotal - Contract Staff	$730,000	$1,410,000	$1,410,000	$705,000	$0	
	Subtotal - Staff	**$730,000**	**$1,410,000**	**$1,410,000**	**$705,000**	**$0**	**$4,255,000**

Category	Resource Description	2019-20	2020-21	2021-22	2022-23	2023-24	Planned Total
DEVELOPMENT / IMPLEMENTATION							
Software Development							
	Subtotal - SW Development	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Commercial Software							
	Analytics Software		$1,500,000	$1,500,000			
	Analytics Software Maintenance`		$400,000	$800,000			
	System / DB Software		$250,000	$750,000			
	Sys / DB SW Maintenance		$75,000	$300,000			
	PC Software for Staff	$6,000	$6,000				
	Subtotal - Commercial SW	**$6,000**	**$2,231,000**	**$3,350,000**	**$0**	**$0**	**$5,587,000**
Hardware							
	Servers / Load Balancers		$90,000	$270,000			
	Storage Area Network		$500,000				
	PCs for Project Staff	$4,000	$4,000				
	Subtotal - Hardware	**$4,000**	**$594,000**	**$270,000**	**$0**	**$0**	**$868,000**
Services							
	PM, Integration, Training		$480,000	$480,000			
	Programming / Customization		$350,000	$650,000			
	Data Conversion / Migration		$227,500	$422,500			
	Consulting / Contingency	$215,000	$215,000	$430,000			
	IV&V	$30,000	$120,000	$90,000			
	Subtotal - Services	**$245,000**	**$1,392,500**	**$2,072,500**	**$0**	**$0**	**$3,710,000**
Other							
	Expenses for Staff	$15,000	$18,000	$18,000	$9,000		
	Subtotal - Other	**$15,000**	**$18,000**	**$18,000**	**$9,000**	**$0**	**$60,000**
Totals - Data Analytics System		**$1,000,000**	**$5,645,500**	**$7,120,500**	**$714,000**	**$0**	**$14,480,000**

FDLE
Project Cost Estimate
Title: Records Mgt System
Estimate Type: Budget (-10% to +25%)
Updated: 9/28/2018

6/2021 Sign Contract

6/2023 Project

		Planned					
Category	**Resource Description**	**2019-20**	**2020-21**	**2021-22**	**2022-23**	**2023-24**	**Planned Total**
DEVELOPMENT / IMPLEMENTATION							
Staff							
	State						
	Subtotal - State Staff	$0	$0	$0	$0	$0	
	Contract						
	Project Mgr		$200,000	$200,000	$200,000		
	Business Analyst		$170,000	$170,000	$170,000		
	Business Analyst		$170,000	$170,000	$170,000		
	Systems Analyst		$170,000	$170,000	$170,000		
	QA Analyst		$170,000	$170,000	$170,000		
	Subtotal - Contract Staff	$0	$880,000	$880,000	$880,000	$0	
	Subtotal - Staff	**$0**	**$880,000**	**$880,000**	**$880,000**	**$0**	**$2,640,000**
Software Development							
	Subtotal - SW Development	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

Category	Resource Description	2019-20	2020-21	2021-22	2022-23	2023-24	Planned Total
DEVELOPMENT / IMPLEMENTATION							
Commercial Software							
	RMS Software			$500,000	$1,500,000		
	RMS Software Maintenance			$150,000	$600,000		
	System / DB Software			$750,000			
	Sys / DB SW Maintenance			$225,000	$225,000		
	PC Software for Staff		$7,500				
	Subtotal - Commercial SW	**$0**	**$7,500**	**$1,625,000**	**$2,325,000**	**$0**	**$3,957,500**
Hardware							
	Servers / Load Balancers			$360,000			
	Storage Area Network			$250,000			
	PCs for Project Staff		$5,000				
	Subtotal - Hardware	**$0**	**$5,000**	**$610,000**	**$0**	**$0**	**$615,000**
Services							
	PM, Integration, & Training			$360,000	$360,000		
	Programming / Customization			$162,500	$487,500		
	Data Conversion / Migration			$162,500	$487,500		
	Consulting / Contingency		$140,000	$140,000	$280,000		
	IV&V		$20,000	$80,000	$60,000		
	Subtotal - Services	**$0**	**$160,000**	**$905,000**	**$1,675,000**	**$0**	**$2,740,000**
Other							
	Expenses for Staff		$12,500	$12,500	$12,500		
	Subtotal - Other	**$0**	**$12,500**	**$12,500**	**$12,500**	**$0**	**$37,500**
Totals - Records Management Sysstem		**$0**	**$1,065,000**	**$4,032,500**	**$4,892,500**	**$0**	**$9,990,000**

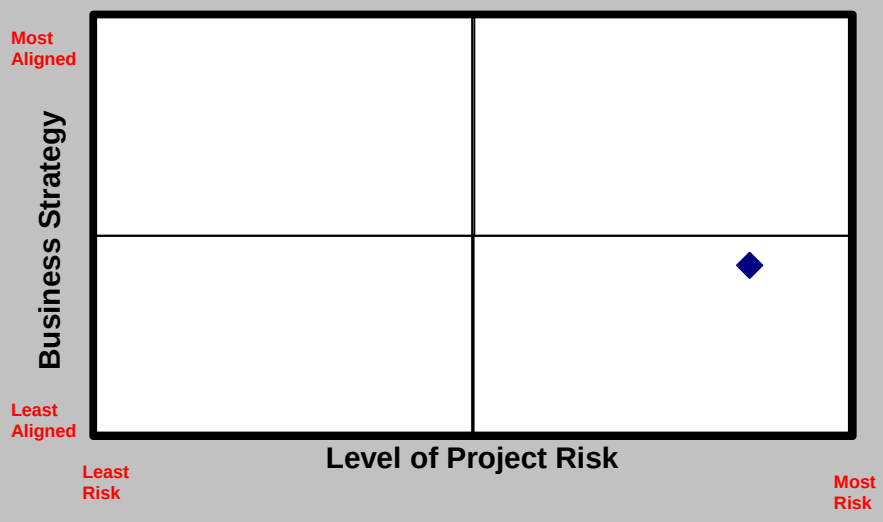
Appendix D—Risk Assessment Worksheets

Copies of complete project risk assessments are provided in the following pages.

Separate Risk Assessments have been prepared for the Data Analytics System and Records Management System projects.

Project	*Data Analytics System*	
Agency	*FDLE*	
FY 2019-20 LBR Issue Code:	**FY 2019-20 LBR Issue Title:**	
36122C0	*Counter 21st Century Threats*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Becky Bezemek, 850-410-8459, BeckyBezemek@fdle.state.fl.us		
Executive Sponsor	*Rick Swearingen, Commissioner*	
Project Manager	*Dickson Robert*	
Prepared By	*Mark Scharein & Dickson Robert*	*9/26/2018*

Risk Assessment Summary



Project Risk Area Breakdown

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

	B	C	D	E
1	Agency: FDLE			Project: Data Analytics System
3	Section 1 -- Strategic Area			
4	#	**Criteria**	**Values**	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is partially documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	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 are identified in concept only
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	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	Multiple agency or state enterprise visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 3 and 5 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: FDLE			Project: Data Analytics System
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	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	Some relevant standards have been incorporated into the 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	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 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: FDLE			Project: Data Analytics System
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	Extensive 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	Yes
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	0% to 40% -- Few or no process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defiined 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	1% to 10% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Over 10% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Moderate changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Moderate changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	No experience/Not recently (>5 Years)
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name			Project: Project Name
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	No
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	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: FDLE			Project: Data Analytics System
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	41% to 80% -- Some defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than $10 M
11			Greater than $10 M	
12			Between $2 M and $10 M	
13			Between $500K and $1,999,999	
14			Less than $500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	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	Neither requested nor received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have not been consulted re: 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	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	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	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	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	Procurement strategy has not been developed
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				

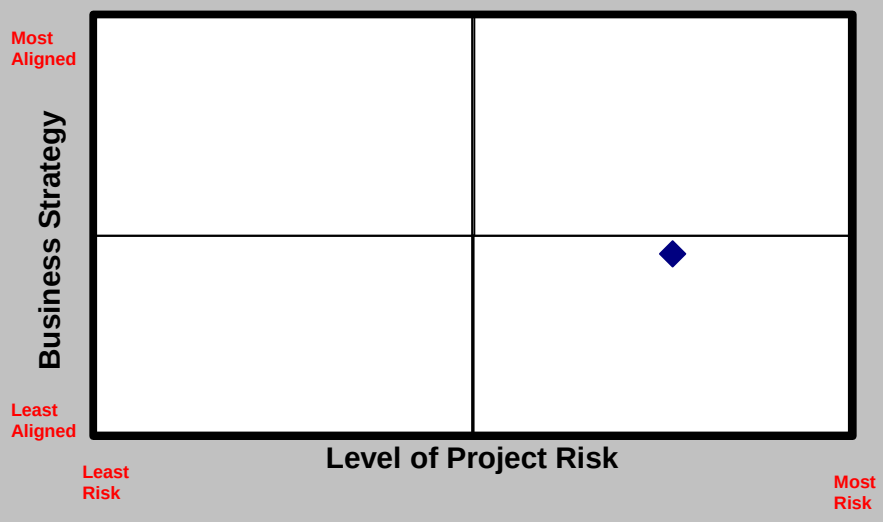
	B	C	D	E
1	Agency: FDLE			Project: Data Analytics System
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	Some have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	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	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated 50% or less 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	Few or no staff from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: FDLE			Project: Data Analytics System
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	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 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	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	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: FDLE			Project: Data Analytics System
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	Greater than 15
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	None
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Agency-wide business process change
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	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	Similar size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

Project	*Records Management System*	
Agency	*FDLE*	
FY 2019-20 LBR Issue Code:	**FY 2019-20 LBR Issue Title:**	
36122C0	*Counter 21st Century Threats*	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Becky Bezemek, 850-410-8459, BeckyBezemek@fdle.state.fl.us		
Executive Sponsor	*Rick Swearingen, Commissioner*	
Project Manager	*Dickson Robert*	
Prepared By	*Mark Scharein & Dickson Robert*	*9/26/2018*

Risk Assessment Summary



Project Risk Area Breakdown

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

	B	C	D	E
1	Agency: FDLE			Project: Records Management System
3	Section 1 -- Strategic Area			
4	#	**Criteria**	**Values**	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is partially documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	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 are identified in concept only
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Some
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Use or visibility at division and/or bureau level only
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 3 and 5 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: FDLE			Project: Records Management System
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	Some relevant standards have been incorporated into the 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	Moderate infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are defined only at a conceptual level
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: FDLE			Project: Records Management System
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	Yes
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	0% to 40% -- Few or no process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defiined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	1 to 10% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with greater change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name			Project: Project Name
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	No
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	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: FDLE			Project: Records Management System
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	41% to 80% -- Some defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	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%)	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	Neither requested nor received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have not been consulted re: 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	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	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	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	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	Procurement strategy has not been developed
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: FDLE			Project: Records Management System
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	Some have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	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	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated 50% or less to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Half of staff from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: FDLE			Project: Records Management System
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	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 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	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	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: FDLE			Project: Records Management System
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	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	Business process change in single division or bureau
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	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	Similar size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 2018

Department: Florida Dept of Law Enforcement

Director of Auditing Tijuana L. Comer

Budget Entity: 710000

Phone Number: 850-410-7235

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA-1516-02	Report dated 1/3/18	Information Technology Services	This audit tested and evaluated compliance with the requirements established in Department policy, statutes, and administrative code for the network and application access process.	Management agreed with all findings and corrective actions are in progress.	

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service):
Agency Budget Officer/OPB Analyst Name:

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Program or Service (Budget Entity Codes)								
Action	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
1. GENERAL									
1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? **(CSDC or Web LBR Column Security)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDC)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:									
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.4 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? **(CSDR, CSA)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. 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 to the portal.									
2. EXHIBIT A (EADR, EXA)									
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
2.3 Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)									
3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:									
3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Generally look for and be able to fully explain significant differences between A02 and A03.									
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.									
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.									
4. EXHIBIT D (EADR, EXD)									
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.									
5. EXHIBIT D-1 (ED1R, EXD1)									
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
AUDI									
5.2 Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences [with a $5,000 allowance] need to be corrected in Column A01.)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences [with a $5,000 allowance at the department level] need to be corrected in Column A01.)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.									
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.									
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2017-18 approved budget. Amounts should be positive. The $5,000 allowance is necessary for rounding.									
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a $5,000 allowance at the department level.									
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)									
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.									
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)									
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. **(PLRR, PLMO)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
7.16 Do the issue codes relating to special *salary and benefits* issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.17 Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.18 Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDIT:									
7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? **(GENR, LBR1)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? **(GENR, LBR2)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? **(GENR, LBR3)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? **(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.									
TIP The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 72 of the LBR Instructions.									

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
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 2018-19 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.									
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level *or* SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)									
8.1 Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative**;** fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?									
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)								
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8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:									
8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.33 Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!									
TIP Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.									
TIP Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.									

Action	Program or Service (Budget Entity Codes)								
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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 *Base Rate Audit* on page 158 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)									
10.1 Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
10.2 Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y	Y	Y	Y	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)									
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.									
12. SCHEDULE VIIIA (EADR, SC8A)									
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)									
13.1 **NOT REQUIRED FOR THIS YEAR**									
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)									
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.									
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)									

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
15.1 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
15.2 Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
15.3 Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
AUDIT:									
15.6 Do the issues net to zero at the department level? **(GENR, LBR5)**	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)									
16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. **The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.** (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:									
16.3 Does the FY 2017-18 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1)**	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? **(Audit #2 should print "No Operating Categories Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which should appear in Section II? (Note: The activities listed in **Audit #3** do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.									
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)									
17.1 Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.4 Does the LBR include a separate Schedule IV-B for each IT project over $1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: **IT@LASPBS.STATE.FL.US?**	Y	Y	Y	Y	Y	Y	Y	Y	Y
18 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS - GENERAL INFORMATION									
TIP Review *Section 6: Audits* of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.									
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.									
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)									
18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y	Y	Y	Y	Y
18.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)								
	71150200	71550100	71600100	71600200	71600300	71700100	71700200	71800100	71800200
18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.									
19. FLORIDA FISCAL PORTAL									
19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y	Y	Y	Y